

Chapter III : Jawaharlal Nehru University (Ministry of Human Resource Development)

Highlights

- Due to defective admission policy of the University, 1016 seats in various courses remained unfilled during the academic years 2005-06 to 2009-10.
(Paragraph 3.3.2.1)
- The University did not utilize 31 per cent of the infrastructure grant during the period of report.
(Paragraph 3.3.4)
- Due to non-implementation of the recommendations of the Punnayya Committee (1992-93) regarding mobilization of internal resources; the University could generate 1.49 to 5.91 per cent only of its total recurring expenditure as against 15-25 per cent recommended by the Punnayya Committee.
(Paragraph 3.3.5.1)
- Non-submission of timely claims for the years 2003-04 to 2009-10 to UGC resulted in non-realisation of matching grant of ₹ 2.50 crore.
(Paragraph 3.3.5.4)
- Due to systemic fault of keeping large sums in saving bank account instead of investing the surplus funds over and above the average requirement of funds in short term deposits, university suffered a loss of interest of ₹ 1.39 crore
(Paragraph 3.3.5.5)
- The University is facing shortage of teaching staff as 33 per cent of the total sanctioned posts in teaching cadres remained vacant as of March 2010.
(Paragraph 3.3.6.1)

Summary of recommendations

- *University may review its admission policy and consider removing the restrictive clause regarding release of second list. Unfilled seats of foreign nationals may be considered for filling by domestic aspirants.*
- *The periodic assessment of different courses needs to be done regularly on the basis of past experience to increase/decrease the intake capacity.*
- *University may take appropriate steps for augmenting its internal resources as per recommendation of Punnayya Committee.*

- *University may take urgent steps to fill up all vacant posts to ensure smooth functioning and quality of education.*
- *University may initiate appropriate measures to ensure proper maintenance of records to monitor status of each project.*

3.1 Introduction

The Jawaharlal Nehru University (University) was established in 1966 under the Jawaharlal Nehru University Act 1966 (Act) and inaugurated on 14 November 1969. The University laid down the following objectives for itself:

Quote

“to disseminate and advance knowledge, by teaching and research; and by the example and influence of its corporate life to promote the study of the principles for which Jawaharlal Nehru worked during his life time, namely national integration, social justice, secularism, a democratic way of life, international understanding and a scientific approach to the problems of society.”

Unquote

Towards this end the University was entrusted with the following main objectives:

- making special provision for integrated courses in humanities as well as science and technology in its educational programmes;
- taking appropriate measures for promoting interdisciplinary studies;
- establishing such departments or institutions as may be necessary for the study of languages, literature and life of foreign countries with a view to inculcating in the students an international understanding and a holistic perspective; and
- providing facilities for students and teachers from various countries to participate in its academic programmes and activities.



The University was envisioned as essentially a post-graduate teaching and research institution. The University has ten schools¹ and three Special Centres². Of these, UGC has granted the status of Centre of Excellence to three schools highlighted in green colour.

3.1.1 Organizational setup

The University is headed by a Chancellor and Vice Chancellor, assisted by two Rectors, Registrar, Finance Officer and other functionaries. The Schools are headed by Deans and the Special Centres are headed by Chairpersons. The regulating bodies responsible for the functioning of the University are the University Court, the Executive Council, the Academic Council and Statutory Committees viz. Finance Committee etc.

3.2 Audit approach

The audit of the University is conducted under Section 19(2) of the Comptroller and Auditor General's (Duties, Powers and Conditions of Service) Act, 1971, read with Section 20(1) of the Act.

3.2.1 Audit scope

The performance audit covered the period from 2005-06 to 2009-10 involving test check of records of the university.

3.2.2 Audit objectives

The performance audit was conducted to verify whether:

- ✓ the academic activities were planned and executed efficiently and effectively;
- ✓ the University had utilized the grants received for the development of infrastructure optimally;
- ✓ the University had utilized its resources economically, efficiently and effectively; and
- ✓ the University had completed the sponsored research/consultancy projects as per the conditions for the grant of each project.

¹ (i) School of Arts and Aesthetics, (ii) School of Biotechnology, (iii) School of Computer and System Sciences, (iv) School of Environmental Sciences, (v) School of International Studies, (vi) School of Computational and Integrative Sciences, (vii) School of Language, Literature and Culture Studies, (viii) School of Life Sciences, (ix) School of Physical Sciences and (x) School of Social Sciences.

² (i) Centre for the Study of Law and Governance, (ii) Special Centre for Molecular Medicine and (iii) Special Centre for Sanskrit Studies

3.2.3 Audit criteria

The following audit criteria were adopted:

- Jawaharlal Nehru University Act, 1966. And Ordinances of JNU;
- Academic Rules and Regulations of JNU, Plan and budget documents and orders/sanctions/circulars of UGC;
- Terms and conditions of sanctions/approval of research projects; and
- Report of the Punnayya Committee.

3.2.4 Audit methodology

The performance audit of the University commenced with an entry conference with the Registrar, University in November 2010 in which audit objectives, criteria and scope of audit were discussed. The records of the UGC and University were examined during November 2010 to March 2011. Audit findings were discussed in detail with the Vice Chancellor, Registrar and other officers of the University during exit conference held in March 2011.

3.3 Audit findings

3.3.1 Previous audit findings

C&AG had earlier reviewed the functioning of Jawaharlal Nehru University in its report No. 4 of 2003. Main findings of audit were as under:

- non-observance of norms in the utilisation of maintenance grant;
- insufficient mobilization of internal resources; and
- poor monitoring of research projects.

Action taken notes (ATN) on this report is still pending.

This is the second performance audit of the university which revealed that these deficiencies still persist.

3.3.2 Academic activities

In order to achieve its objective of making special provision for integrated courses in humanities as well as science and technology in its educational programmes, the University was offering doctorate in 64 disciplines, postgraduate courses in 28 disciplines and under graduate courses in nine foreign languages. In addition, it also offered Certificate, Diploma and Advanced Diploma courses in various languages. Further, to inculcate international understanding and a holistic perspective among students, the University had provided a reservation of 15 *per cent* for foreign nationals in each programme of study in its admission policy.

3.3.2.1 Seats lying vacant

The selection of candidates for admission to various programmes of study is based on their performance in the written examination and viva voce (wherever prescribed) and after incorporating Deprivation Points³. In case of foreign nationals, those who are present in India are required to appear in the entrance examination, however, in cases where the foreign nationals happened to be outside India at the time of entrance examination would be considered under the “in-absentia” category.

The figures of enrolment of students vis-à-vis the number of students applied, appeared and offered admission and seats remained vacant during the academic years 2005-06 to 2009-10 is given in table-1.

Table-1

Academic Year	Number of Students					
	Sanctioned seats	Applied	Appeared	Offered	Joined	Number of vacant seats (percentage to available seats)
2005-06	1620	75107	61012	2063	1516	104 (6.42)
2006-07	1659	78132	63139	2142	1580	79(4.76)
2007-08	1704	83491	64507	2237	1574	130(7.63)
2008-09	1963	82226	64144	2268	1619	344(17.52)
2009-10	2175	87393	67105	2467	1816	359(16.51)
Total	9121	406349	319907	11177	8105	1016

As may be seen from the above table that the unfilled seats continued to increase from 79 in the year 2006-07 to 359 in the year 2009-10 despite the fact that the University was not facing any deficiency in the number of aspirants seeking admission every year.

Of the above, the position of seats available, seats offered, number of students joined and seats remained vacant in respect of foreign nationals is given in table-2.

Table-2

Academic year	Seats available of foreign students	Number of foreign students offered admission	Number of foreign students joined	Number of vacant seats (percentage to seats available)
2005-06	211	181	103	108 (51)
2006-07	216	207	109	107 (50)
2007-08	222	253	101	121 (54)
2008-09	256	218	107	149 (58)
2009-10	284	177	110	174 (61)

³ A maximum of 10 points awarded to candidates of certain specific disadvantaged categories like Kashmiri migrants, widows of defence personnel, female candidates and candidates of backward areas etc.

The percentage of vacant seats was higher in respect of admissions of foreign nationals as it remained in the range of 50 to 61 *per cent*.

The main reason for the vacant seats in totality was the admission policy of the University according to which only one single list of selected candidates was to be released with the exception that in case the intake in any programme of study fell short by 50 *per cent* by the prescribed last date, second list will be released. This condition was not met in any of the years and the university did not release the second list resulting in seats remained vacant despite availability of aspirants during all the years. Besides, University could have admitted Indian aspirants against the vacant seats meant for foreign nationals by modifying its admission policy.

In six courses detailed in **Annexe-I**, the number of students joining the courses were either nil or less than/equal to 50 *per cent* of the seats available during any of the academic years 2005-06 to 2009-10. The University neither made any efforts to fill up these seats nor re-assessed the requirement of the concerned courses to increase or decrease the intake capacity.

Audit revealed that significant resources of the University to the tune of ₹ 24.06 crore have gone un-utilised over the years on account of 1016 unfilled seats in various courses which could have been utilised in full but for its admission policy.

The University stated (July 2011) that it follows the intake and offers concept where the offers of admission are more than the intake capacity in each discipline so as to fill up the seats. Similarly, many of the seats under the category of foreign nationals are not filled up due to non-availability of suitable foreign national candidates. However, keeping in view the recommendations of audit, it would take up the matter with the appropriate bodies at the time of review of admission policy next year.

Recommendations

- *University may review its admission policy and consider removing the restrictive clause regarding release of second list. Unfilled seats of foreign nationals may be considered for filling by domestic aspirants.*
- *The periodic assessment of different courses needs to be done regularly on the basis of past experience to increase/decrease the intake capacity.*

3.3.2.2 Failure/dropouts of students

During the academic years 2005-06 to 2009-10, the year-wise data of number of students passed and failed/dropouts vis-à-vis number of students admitted in various courses (excluding Ph.D. and M. Phil courses for which data was unavailable) is given in table-3.

Table-3

Year (In which the course was completed)	BA (Hons.)				MA/M.Sc./MCA			
	Number of students admitted*	Number of students passed out	Number of students dropped out/failed	Percentage of dropped out/failed students to number of students admitted	Number of students admitted*	Number of students passed out	Number of students dropped out/failed	Percentage of dropped out/failed students to number of students admitted
2005-06	256	134	122	48	787	645	142	18
2006-07	273	168	105	38	823	647	176	21
2007-08	256	165	91	36	840	652	188	22
2008-09	263	170	93	35	779	612	167	21
2009-10	260	157	103	40	848	682	166	20

* Number of students admitted shows the number of students admitted for the respective courses in the starting years of the courses.

The percentage of students dropped out/failed in BA (Hons.) courses against the number of students enrolled ranged between 35 to 48 whereas in MA/M.Sc./MCA courses, it ranged between 18 to 22.

Audit scrutiny revealed that in five undergraduate courses⁴, the percentage of students dropout as compared to enrollment during first year was in the range of 19 to 64 *per cent* and in respect of postgraduate course in four centres⁵ it was in the range of 15 to 82 *per cent*. This indicated poor performance of the concerned centres. No analysis of reasons of dropouts/ failure made by the schools was found on record.

The University replied (July 2011) that some students tend to leave the course for jobs or opportunity available within or outside the country. However, it is in the process to take all possible efforts to reduce dropouts of the students.

3.3.3 Implementation of reservation of Other Backward Classes (OBCs) in admissions

The Ministry issued (April 2008) directions to all Universities to implement 27 *per cent* reservation in admissions for Other Backward Classes (OBCs) as per Central Educational Institutions (Reservation in Admission) Act, 2006. The details of number of seats increased and students admitted in pursuance of the above policy are given in table-4.

⁴ BA (Hons) in (i) Arabic and African studies, (ii) Russian studies, (iii) Spanish, Portuguese, Italian and Latin American studies, (iv) Japanese and (v) Chinese and South east Asian studies.

⁵ (i) Centre for German studies, (ii) Centre for Spanish, Portuguese, Italian and Latin American studies – Spanish, (iii) Centre for Japanese, Korean and North east Asian studies – Japanese and (iv) Centre for Japanese, Korean and North east Asian studies – Korean

Table -4

Academic Year	Percentage increase in reservation for OBCs	Number of seats increased for OBC category	Student of OBC category admitted against the seats increased	Percentage of students admitted to total seats available under the category
2008-09	12	256	173	68.58
2009-10	18	397	256	64.48
2010-11	27	687	349	50.80

It may be seen from the above table that admission capacity could not be utilised in full during any of the above years and the percentage of admission gradually decreased from 69 in the year 2008-09 to 51 in the year 2010-11.

Audit scrutiny of records pertaining to the implementation of OBC reservation in the University further revealed that UGC sanctioned (July 2008) 280 teaching posts under OBC reservation scheme, out of which 95 posts were approved for first year. Out of these the University could fill up only five posts as of August 2010.

The University replied (July 2011) that delay in recruitment of teachers had been due to delay in finalization of Regulations on minimum qualifications for appointment of teaching and other academic staff in Universities by UGC. However, the University assured to fill up some of these posts by March 2012.

3.3.4 Infrastructure development

The Government of India allotted 1009.38 acres of land to the University in the year 1970 for development of its campus consisting of university buildings, hostels and residential quarters. Of the above, 635.52 acres of land was earmarked as Institutional area, 96 acres of land was green belt including Play ground under the Master plan whereas rest of the area was under rocks where the development was not possible.

For the purpose of infrastructure development viz. construction of new buildings, campus development, up-gradation of hostels, e-governance, etc., UGC released Plan grant to the University under its X Plan and XI Plan period⁶. The details of grant received and expenditure incurred during 2005-06 to 2009-2010 is given in table-5.

⁶ Xth plan – 2002-07, XIth plan – 2007-12

Table-5

(*₹ in crore*)

Year	Grant received	Expenditure incurred	Savings
2005-06	11.39	4.38	7.01
2006-07	45.69	45.69	0.00
2007-08	26.33	19.02	7.31
2008-09	96.56*	54.99*	41.57
2009-10	123.16*	85.39*	37.77
Total	303.13	209.47	93.66
Percentage of un-utilised grant to total grant			30.89

*includes OBC figures also.

It may be seen from the above table that University did not utilize 31 *per cent* of the infrastructure grant during the period of report. The savings in grants gradually increased from ₹ 7.01 crore in the year 2005-06 to ₹ 41.57 crore during 2008-09.

Deficiencies in the infrastructure development noticed during audit have been discussed in the following paragraphs:

3.3.4.1 Under-utilisation of OBC grant

Out of the total grant of ₹ 88.57 crore received for the implementation of OBC reservation during the years 2008-09 and 2009-10, the University could utilize only ₹ 69.43 crore. Audit observed that the under utilization of grant was due to non recruitment of faculty, delay in development of infrastructural facilities.

3.3.4.2 Blocking of funds amounting to ₹ 2.02 crore

As per the agreement entered into (August 2006) with M/s RITES Ltd., the University was to release 33.33 *per cent* of the estimated cost of work towards 1st installment to the former to enable it to initiate the tendering process and award the works. In respect of the two construction works, audit noted that construction was yet to commence as of September 2010, despite release of funds of 56 *per cent* in one work and 33 *per cent* in the other, more than two to four years back respectively as given in table-6.

Table-6

(*₹ in lakh*)

Sl. No.	Name of work	Cost of work	Funds released	Date of release of funds
1	Student Cultural Centre	134.00	75.00	21 September 2006
2	Construction of USIC Building	383.00	126.65	6 November 2008
Total		517.00	201.65	

Audit observed that the foundation laying ceremony of the new building of USIC was held in June 2009. However, in August 2009, the University issued orders to M/S RITES Ltd. not to take up the said work for the time being. Since then neither any orders were issued to start the work nor any reason for stoppage of work was found on record. In respect of work of construction of

Student Cultural Centre, although the University released 56 *per cent* of the cost of work against agreed 33.33 *per cent*, M/S RITES Ltd. after laying down the foundation stone, requested (October 2007) the university to relocate the site as a valley was coming across the proposed building. However, no further progress was noticed as University is yet to take a decision in the matter. Therefore, indecision on the part of the University in both the works resulted in blockage of funds of ₹ 2.02 crore for two to four years. The University may take immediate decision in respect of both the works.

The University stated (July 2011) that there was no blocking of funds and advances released to M/S RITES Ltd. for the above works were being utilized for other ongoing works. The reply is not convincing as the decision to transfer the advances to other ongoing constructions works was taken in September 2010 i.e. after a delay of two to four years.

3.3.4.3 Allotment of land to various institutions

Of the total available land, the University has allotted 150 acres of land to other institutions on payment of rent basis. A test check of the records relating to allotment of land to other institutions revealed that as per agreements entered into by the University with these agencies/institutions the University had provided land to them at free of cost/₹ 1 per sq. ft. (details in **Annexe-II**) thereby losing commensurate rental income. One of the recommendations of the Punnayya Committee⁷ (1992-93) was that the Universities may generate income by letting out their infrastructural facilities.

The University replied (July 2011) that these institutions are autonomous bodies of Government of India and they incurred the capital cost of land development and cost of construction of buildings on the land provided by the University. However, the University may review its policy of letting out land at nominal/free of cost in view of the above mentioned recommendations for resource augmentation as a step towards self-reliance.

3.3.4.4 Delay in installation of equipments

Examination of records of equipments costing ₹ 10 lakh and above, revealed that 30 equipment valuing ₹ 22.60 crore were installed with a delay ranging from 3 to 23 months (**Annexe-III**). Further, one instrument (UV-VIS-VIR Spectroradiometer) of School of Environmental Sciences costing ₹ 13.94 lakh received in January 2009 was lying uninstalled as of December 2010. The delay in installation of equipments deprived the students/faculty to carry out the educational and research activities. Besides, delay in installation of the equipments would lead to non-availing the full warranty period by the University.

The University replied (July 2011) that Schools would take all precautions to install the equipments within a short time in the future.

⁷ Recommendations of Punnayya Committee has been discussed in detail in para No. 3.4.6.

3.3.5 Financial management

The University is financed mainly by grants from University Grant Commission (UGC) for its 'Plan', 'Non-plan' activities. It also receives earmarked funds for sponsored research projects and grant of fellowship to students from various funding agencies. Besides, it also generates its own receipts by way of fee from students, interest on investments, etc. The details of financial assistance received by the University and utilisation thereof under the heads 'Plan', 'Non-plan', Earmarked Endowment Funds and Sponsored Projects/Fellowships are given in table-7.

Table-7

(₹ in crore)

Year	Grant received	Internal receipts	Total	Amount utilized/(percentage to total funds received)	Savings(+)/ Excess (-)
Plan					
2005-06	11.39	-	11.39	4.38(38)	7.01
2006-07	45.69	-	45.69	45.70	(-)0.01
2007-08	26.33	-	26.33	19.02(72)	7.31
2008-09	96.56*	-	96.56	54.99(57)	41.57
2009-10	123.16**	-	123.16	85.39(69)	37.77
Non Plan					
2005-06	95.05	5.50	100.55	93.03(93)	7.52
2006-07	81.05	3.83	84.88	94.43	(-)9.55
2007-08	109.25	4.50	113.75	108.78(96)	4.97
2008-09	117.36	4.09	121.45	118.76(98)	2.69
2009-10	194.83	2.88	197.71	194.03(98)	3.68
Earmarked/Endowment Funds					
2005-06	14.18#	-	14.18	9.36(66)	4.82
2006-07	4.41	3.75	8.16	5.52(68)	2.64
2007-08	23.58	7.94	31.52	17.03(54)	14.49
2008-09	28.99	17.68	46.67	31.50(67)	15.17
2009-10	16.79	6.42	23.21	16.44(71)	6.77
Sponsored Projects/Fellowships					
2005-06	20.18#	-	20.18	18.38(91)	1.80
2006-07	20.55	1.77	22.32	12.42(56)	9.90
2007-08	32.06	2.93	34.99	18.55(53)	16.44
2008-09	35.68	5.10	40.78	26.61(65)	14.17
2009-10	37.48	5.30	42.78	38.28(89)	4.50

including internal receipts

* includes ₹ 48.57 crore as grant for OBC

** includes ₹ 40.00 crore as grant for OBC

Analysis of the above table reveals that University could utilise its entire funds under Plan head only in the year 2006-07 whereas in the remaining years it could utilise only 38 to 72 per cent of the total receipts.

Similarly the University could not fully utilise the Earmarked/Endowment Funds in any of the years under report as the utilisation of these funds

remained in the range of 54 to 71 *per cent* only. There was savings in each year in the Sponsored Projects/Fellowships as the University could utilise only 53 to 91 *per cent* of the receipts during the review period.

3.3.5.1 Insufficient mobilization of internal resources

Punnayya Committee in its report of 1992-93 recommended that Universities/Educational Institutions must generate internal resources in continuation of getting funds from the Government/UGC. The internal resources should be sizeable in course of time and must constitute at least 15 *per cent* of the total recurring expenditure at the end of five years and at least 25 *per cent* at the end of 10 years. Audit scrutiny revealed that against this recommended figure and after a lapse of 15 years, the University was able to generate internal resources varying from 1.49 to 5.91 *per cent* only of its annual recurring expenditure during the period of report. The issue of insufficient generation of internal resources was also pointed out in the previous report of the Comptroller and Auditor General of India-Union Government (Civil) No. 4 of 2003. This low generation of internal resources was on following account:

a) Non-revision of tuition and other fees

The Punnayya Committee recommended that tuition fee may be revised upwards with immediate effect and periodically adjusted, keeping in view the rate of inflation. Similarly, it had also recommended upward revision of fee for library and laboratory.

Audit scrutiny revealed that the University had not revised tuition fees and other types of fee since the report of the Punnayya Committee (1992-93). A comparison between tuition fees currently charged by JNU and those charged by IIT Delhi would show stark difference in the fee structure as shown in table-8.

Table-8

(Amount in Rupees)

Course	Tuition fees of JNU (per student per annum)	Tuition fees of IIT (per student per annum)
M.Sc	216	5000
Ph.D	240	5000

This has led to undue financial burden on the University as above rates have remained static whereas the input cost on these services incurred by the University has increased manifold from ₹ 93.03 crore in the year 2005-06 to ₹ 194.03 crore in the year 2009-10.

(b) Non-revision of hostel fee

Similarly, Punnayya Committee (1992-93) had recommended for revision of hostel fees with immediate effect to meet all the actual recurring cost and in due course of time, a part of capital cost as well. As per the Hostel Manual of

July 2001, the hostel fee per annum was quoted at ₹ 120 for double seat/₹ 240 for single seat which remained the same as of date.

Audit scrutiny revealed that the University was not even recovering recurring cost of hostels leave aside the recovery of capital cost. During the years 2005-06 to 2009-10, the University incurred ₹ 1.23 crore on recurring cost of hostels against which only ₹ 46 lakh was collected as hostel fee which came to 38 *per cent*. This led to undue financial burden on the University. Reasons for not implementing the recommendation of the Punnayya Committee in this regard were not found on record.

The University replied (July 2011) that it had revised fees for issue of migration certificate, duplicate mark sheets, degree, etc. However, regarding revision of tuition fee, hostel fee, the University did not furnish any reply.

(c) Non-observance of norms in the utilization of maintenance grant

One of the recommendations of the Punnayya Committee was that the cost of teaching and research should be in the range of 60-65 *per cent* of the total expenditure whereas cost of administration and auxiliary services should be in the range of 10-12 *per cent* and 20-25 *per cent* of the total expenditure respectively. It was, however, noticed that in contravention of the above recommendation, the University was incurring 35.49 *per cent* of the total expenditure only on teaching and research whereas it incurred the maximum cost i.e. 45.27 *per cent* of the total expenditure on auxiliary services which mainly constituted of miscellaneous expenditure and other staff related expenses.

The low expenditure on teaching and research activities was mainly due to non-filling of 33 *per cent* vacant faculty posts as discussed in subsequent para No. 3.6.1.

The Ministry, of late, in its reply of February 2011 to the earlier audit report intimated that UGC as well as the University had constituted committees to look into the various aspects of mobilization of internal resources. Taking such a belated action defeated the whole purpose of the Punnayya committee's recommendation as internal resources could not be generated to the desired level during the period of last 15 years.

Recommendation

- *The University may take appropriate steps for augmenting its internal resources as per recommendation of Punnayya Committee.*

3.3.5.2 Diversion of OBC grant amounting to ₹ 6.29 crore

Rule 10 (6) (d) of Delegation of Financial Powers relating to restrictions on appropriation and re-appropriation prescribed that without the previous consent of Ministry of Finance, no re-appropriation shall be made from funds

provided under 'Plan' heads to 'Non-plan' heads both under Revenue and Capital heads.

In contravention of the above provisions, the University, however, charged (December 2009) its total electricity and water charges amounting to ₹ 6.29 crore for the period April to December 2009, to OBC recurring grant (released under 'Plan' head), though it was to be charged to 'Non-plan' grant received by the University. This resulted in diversion of funds from Plan grant meant for implementation of OBC scheme for University's expenditure under non-plan head leading to irregular expenditure of ₹ 6.29 crore.

The University replied (July 2011) that in view of severe resource crunch, UGC conveyed (March 2011) that expenditure to the extent of 30 *per cent* non-salary components can be paid out of OBC grant. The reply of the University is not convincing as the University had resorted to this diversion of funds in December 2009 i.e. prior to the receipt of UGC's aforesaid clarification and moreover, such diversion of 'plan' grant to 'non-plan' can only be made with the prior approval of the Ministry of Finance.

3.3.5.3 Short recovery of fee from recognized institutions

The University accorded recognition to 13 research institutions and 7 defence institutions across the country. The University decided (July 1997) to charge one time recognition fee and annual affiliation fee of ₹ 10 lakh and ₹ two lakh respectively from the institutions which offer postgraduate and doctorate programmes and ₹ five lakh and ₹ one lakh respectively from the institutions offering undergraduate courses and one time registration fee of ₹ 5000/ ₹ 3000/ ₹ 2000/ ₹ 1000 per student for the respective courses. In addition, one time admission fee of ₹ 100 and enrolment charges at the rate of ₹ 15/- per student was also to be charged by the University.

Audit scrutiny revealed that an amount of ₹ 73.00 lakh from four⁸ institutions on account of recognition and affiliation fees and an amount of ₹ 46.19 lakh from 10 institutions on account of one-time registration fee (₹ 45.50 lakh from 911 students) and admission fee including enrolment charges (₹ 0.69 lakh from 618 students) pertaining to the period 1997-98 to 2009-10 was still to be recovered by the University. The University replied (July 2011) that letters have been sent to above institutions for payment of outstanding dues.

3.3.5.4 Non-realisation of matching grant of ₹ 2.50 crore under the Scheme of Incentive for Resource Mobilization

During the Xth Five Year Plan, UGC introduced a scheme titled 'Incentive for Resource Mobilisation' with the objective to encourage universities to

⁸ (i) Centre for Cellular & Molecular Biology, Hyderabad - ₹ 8 lakh, (ii) Centre for Developmental Studies, Trivandrum - ₹ 25 lakh, (iii) Nuclear Science Centre - ₹ 36 lakh (iv) National Defence Academy, Pune - ₹ 4 lakh

mobilize resources by participation/contribution of society in their development and to provide incentives to such universities. Under this scheme, UGC would provide contribution to the extent of 25 *per cent* of the revenue⁹ generated by the university, subject to a maximum of ₹ 25 lakh (under Xth plan) and ₹ 50 lakh (under XIth plan) per annum.

In order to avail the matching grant benefit, Universities, for the funds generated from external sources during the last financial year, would make a claim in the prescribed format to the UGC by 30 September of the following year. UGC after scrutiny of the related documents would approve the proposal and release the admissible grant to the University. Audit noticed that the University had generated a fund of ₹ 3.10 crore, ₹ 4.25 crore and ₹ 5.31 crore from its external resources during the years 2003-04, 2004-05 and 2005-06 respectively. It had, however, submitted the claim of late in February/ March 2007. In response, the UGC found a number of discrepancy/deficiency like non-reconciliation of figures under various heads, inadmissible expenditure of corpus funds, non indication of the bank where corpus fund was being managed etc. and requested (November 2007) the University to reconcile the figures and justify the discrepancies noticed in the claims. The University furnished clarifications on the said issue in March 2008. In this regard Audit observed that the university did not pursue the matter with UGC after March 2008 with the result that UGC had not honoured the claims as of date (March 2011). It was further observed that the University had not submitted any claim for the subsequent periods of four years from 2006-07 to 2009-10 as no such claim was found on record. This resulted in non-realisation of matching grant amounting to ₹ 2.50 crore.

The University replied (July 2011) that in view of audit observation; it has requested (March 2011) UGC to release the matching grant.

3.3.5.5 Loss of interest of ₹ 1.39 crore due to parking of huge funds in saving bank account

The University was maintaining three saving bank accounts for Corpus Fund, HBA Fund and Academic Development Fund and invested surplus funds from these accounts into short term deposits. The interest income from these funds was to be utilized for construction and renovation of buildings, purchase of equipment, books and journals, student/staff amenities, supporting extension activities and organization of seminars/workshops, etc. and for House Building Advance to employees. Scrutiny of cash books revealed that large amounts ranging from ₹ 74.78 lakh to ₹ 10.53 crore were kept in these saving bank accounts during April 2005 to March 2010. The average monthly

⁹ From external resources like contribution/consultancy from individuals, Alumni Associations, public and family trusts, industrial/business houses, cooperatives, professional associations, unions/ associations of employees, municipalities/panchayats, MP/MLA/Counselor's funds including donations, monies received towards fellowships/scholarships/chairs, etc.

expenditure out of these accounts was in the range of nil to ₹ 9.6 lakh. Due to this systemic fault of keeping large amounts in savings bank accounts, the University incurred loss of interest of ₹ 1.39 crore due to non-investment of surplus funds over and above the average funds required, in short term deposits at prevailing rate of interest¹⁰.

The University accepted the audit finding and replied (July 2011) that in order to avoid idling of funds in the accounts, it has implemented the scheme of auto sweep with Banks with effect from November 2009.

3.3.6 Human resource management

3.3.6.1 Shortage of teaching staff

For the purpose of maintaining academic standards in educational institutions, the availability of qualified and experienced faculty is a prerequisite; otherwise shortage on this account may adversely affect the quality of education. The position of sanctioned posts and men-in-position of teaching staff as on 31 March 2010 is shown in table-9.

Table-9

Designation	Sanctioned posts	Men-in-position	Vacant posts and its percentage to sanctioned posts
Professor	165	101	64 (39)
Associate Professor	287	195	92 (32)
Assistant Professor	271	189	82 (30)
Total	723	485	238 (33)

It may be seen from the above that, there was a shortage of total 238 teaching staff (33 *per cent*) against the sanctioned strength of 723 posts. This could affect the quality of education. Further, scrutiny of centre wise position revealed that in the seven centres¹¹, the vacancy in the academic posts was 50 *per cent* or more against the sanctioned strength as of March 2010. The UGC directed (February 2010) the University to give top most priority in filling up these vacancies as the Parliamentary Standing Committee, in its 214th Report, had viewed the vacant teaching posts in central universities seriously.

The University assured (July 2011) to advertise and fill up the vacant teaching positions as early as possible.

¹⁰ The rate of interest on short term deposits made by the University - 2005-06 – 5.5 *per cent*, 2006-07- 6.5 *per cent*, 2007-08 – 8.25 *per cent*, 2008-09 – 9.75 *per cent* and 2009-2010 – 7 *per cent*

¹¹ (1) School of Arts and Aesthetics, (2) Centre for African Studies,(3) Centre for International Legal Studies,(4) Women Studies Programme, (5) North East Studies Research Centre, (6) Special Centre for Molecular Medicine and (7) Academic Staff College

Recommendation

- *The University may take urgent steps to fill up all vacant posts to ensure smooth functioning and quality of education.*

3.3.6.2 Unfruitful expenditure of ₹ 1.77 crore on e-governance

The University decided (August 2001) to implement office automation by computerizing its functions relating to Administration, Finance and Examination wings and sought an amount of ₹ 2.83 crore from the UGC for this purpose. UGC released ₹ 2.20 crore (₹ 20.00 lakh in November 2001 and ₹ 2.00 crore in May 2006) for implementation of the project by the Computer School/ Department of University.

Accordingly, University awarded (January 2005) the work of preparation of Request for Proposal (RFP) for e-governance requirements at a cost of ₹ 10.83 lakh to M/S Wipro consulting services. After getting RFP in April 2005, the University awarded (August 2005) the contract of development and implementation of e-governance project, at a cost of ₹ 94.83 lakh to M/S Accel ICIM to be completed by July 2006. In the meanwhile University also purchased (March 2007) computer hardware and software worth ₹ 1.66 crore for implementation of e-governance project. Subsequently, due to unsatisfactory progress of the project¹² noticed (January 2011) by an External Review Committee set up for reviewing the progress, the University terminated the contract and recovered the amount of advance payment of ₹ 46.41 lakh.

Audit scrutiny revealed that despite direction of UGC (September 2001) that work relating to software development should be carried out by the Computer School/ Department of University, the University engaged a private company for the same and the project remained un-developed. Hence on one hand the intended purpose of the project could not be achieved whereas on the other investment of ₹1.77 crore (₹ 10.83 lakh incurred on RFP and ₹ 1.66 crore on purchase of computer hardware/ software) incurred on the e-governance Project remained unfruitful.

The University stated (July 2011) that e-governance project was delayed due to non-performance and delivery of the software component and every attempt would be made to ensure timely delivery of the project.

3.3.7 Research projects

Research projects constitute a very important component of the academic activity of the University. The University receives funds for research projects from various funding agencies comprising Ministries/government institutions/private companies/foreign bodies etc. During the years 2005-06 to

¹² Applications developed in JAVA and Oracle would put up constraints in future applications of JNU and two modules cannot be used in the present shape as it required changes in the fundamental architecture etc.

2009-10, the University received ₹ 106.62 crore from funding agencies for 635 research projects and spent ₹ 94.19 crore during this period. The University had 211 ongoing research projects as on 31 March 2010. Scrutiny of the records relating to research projects revealed the following discrepancies:

3.3.7.1 Short levy of overhead charges

As per the Handbook for Research Projects of the University, research projects also bring in extra overhead charges to the University which can play a crucial role in strengthening the research infrastructure in the University. All faculty members are required to include JNU overhead charges (10-15 *per cent* of the project cost) while applying for a research project. During the years 2005-06 to 2009-10, the University received an amount of ₹ 5.22 crore as overhead charges on research projects.

Scrutiny of the records of Projects section revealed that in 59 projects which were sanctioned during 2005-06 to 2009-10, overhead charges were either not received or received at the rate of five *per cent*. Due to non/less levy of overhead charges by the concerned faculty members, the University incurred loss of ₹ 1.01 crore on account of overhead charges.

The University replied (July 2011) that the rate of overhead charges @ 10-15 *per cent* are only by way of reference and not prescriptive and overhead charges allowed by funding agencies vary from agency to agency. However, with the objective of strengthening of research infrastructure in the University, the University may direct all faculty members to include overhead charges @ 10-15 *per cent* while applying for a research project.

3.3.7.2 Under-utilization of overhead charges

Two-third of the overhead charges once received, will be at the disposal of the Project Director for the purposes of equipment maintenance, project advertisements and up-gradation of the laboratory infrastructure. The remaining one-third of the overhead charges will be at the disposal of the University.

The 'Handbook for running research projects' of the university prescribed guidelines for expenditure to be incurred by the Project Director out of his share of overhead money. However, no guidelines were prescribed regarding utilization of University's share of overhead charges. During the period 2005-06 to 2009-10, the overhead charges of ₹ 5.22 crore were received against which an amount of ₹ 2.40 crore (45.97 *per cent*) only was utilized. This indicates that the University has failed to utilize the available resources and the objective of strengthening the research infrastructure was defeated.

The University replied (July 2011) that efforts would be made for optimal utilization of overhead charges and norms would be laid down for utilization of University's share of overhead charges.

3.3.7.3 Poor monitoring of research projects

In its earlier report No. 4 of 2003, Audit had pointed out that University had no centralized system to monitor the projects executed by different departments as it could not produce information about the number of schemes completed, number of projects/schemes in which final report submitted/not submitted and publishing of research findings. The university did not take any action in this regard and again it could not produce information relating to completed projects, utilisation certificates and final technical report/progress reports in respect of the projects for the period 2005-06 to 2009-10. As such despite pointing out in the earlier audit report, the University did not create any centralized system for monitoring the projects undertaken by different departments.

The University replied (July 2011) that efforts are being made to computerize and capture complete data/information for proper monitoring of all research projects.

Recommendations

- *The University may ensure that the prescribed 10-15 per cent overhead charges be levied in each project in order to strengthen its research infrastructure.*
- *The University may initiate appropriate measures to ensure proper maintenance of records to monitor status of each project.*

3.4 Conclusion

The performance audit of the University revealed the following deficiencies in its functioning:

- Due to defective admission policy, it could not fill up 11 *per cent* of the available seats during the academic years 2005-06 to 2009-10 despite availability of large number of aspirants seeking admission resulting in under utilization of resources of ₹ 24.06 crore.
- The percentage of dropout/failed students in the courses of BA (Hons.) and MA/M.Sc/MCA ranged between 35 to 48 and 18 to 22 respectively.
- There was a shortage of 33 *per cent* of teaching staff as of March 2010.
- Under the OBCs reservation scheme 68, 64 and 51 *per cent* of the available seats could only be filled up in the years 2008-09, 2009-10 and 2010-11 respectively. Against the 95 teaching posts sanctioned for the 1st year of the scheme, only five posts were filled up.
- The University did not utilize 31 *per cent* of the resources meant for development of infrastructure.
- Despite pointing out in the earlier audit report, the University did not take action with regard to:

- adherence to the norms of academic cost recommended by Punnayya Committee in the utilization of maintenance grant.
- monitoring the research projects undertaken by different departments.

3.5 Acknowledgement

We acknowledge the cooperation and assistance rendered by the University during the course of this performance audit.

The performance audit report was issued to the Ministry/University in May 2011. The endorsement of the University's reply to the Ministry received in July 2011 has been incorporated in the report; the reply of the Ministry is awaited as of July 2011.

Annexe-I

(refer to paragraph 3.3.2.1)

Position of enrolment of students *vis-à-vis* seats available in six courses

Sl. No.	Name of the course and School	Academic Year									
		2005		2006		2007		2008		2009	
		S	E	S	E	S	E	S	E	S	E
1.	M.Phil/Ph.D. in Chinese Studies (School of International Studies)	8	5	8	4	8	2	9	4	10	4
2.	M.Phil/Ph.D. in Japanese Studies, School of Language, Literature and Cultural Studies (SLL&CS)	3	Nil	4	5	4	1	5	Nil	5	1
3.	M.Phil/Ph.D. in French (SLL&CS)	10	5	10	8	10	5	12	6	13	7
4.	M.Phil/Ph.D. in German (SLL&CS)	10	2	10	3	10	4	12	2	13	2
5.	M.Phil/Ph.D. in Portuguese (SLL&CS)	2	Nil	2	1	2	1	2	2	3	Nil
6.	MA in German (SLL&CS)	15	12	15	4	15	4	18	5	20	5

S: Seats available E: Number of students enrolled

Annexe-II

(refer to paragraph 3.3.4.3)

List of agencies/institutions to whom University has allotted land

Sl. No.	Name of agency/institution	Area allotted	Rate of rent	Year of allotment
1.	Delhi Library Network (DELNET)	1.00 acre	Nil	NA
2.	Nuclear Science Centre	25.00 acre	Nil	NA
3.	Indian Council of Social Science Research	6.50 acre	1 per year	1986
4.	National Centre for Plant Genome Research	15.00 acre	Nil	NA
5.	National Institute of Immunology	15.00 acre	Nil	NA
6.	Kendriya Vidyalaya Sangathan	17.00 acre	Nil	NA
7.	University Grants Commission	25.00 acre	Nil	1990
8.	International Centre for Genetic Engineering and Biotechnology	25.00 acre	Nil	NA
9.	Indian Institute of Mass Communication	15.00 acre	Nil	NA
10.	DESU (Delhi Vidyut Board)	1.865 acre	₹ 1 per year	1977
11.	Telegraph Office	467.51 sq. ft.	₹ 1 per sq. ft.	1992
12.	UGC Office at 35, Ferozeshah Road, New Delhi	71677.27 sq. ft	Nil	1976
13.	Jamia Hamdard at 35, Ferozeshah Road, New Delhi	96 sq. ft.	₹ 1 per sq. ft.	1992
14.	Indian Council for Historical Research at 35, Ferozeshah Road, New Delhi	10492 sq. ft.	₹ 1 per sq. ft.	NA
15.	UCO Bank at 35, Ferozeshah Road, New Delhi	565.73	₹ 1 per sq. ft.	1996

Annexe-III

(refer to paragraph 3.3.4.4)

Statement showing School-wise delay in installation/Un-installed equipment

Sl. No.	Name of School/ Centre	Name of equipment	Cost of equipment (in lakh)	Date of receipt of equipment	Date of installation	Delay in installation (in months)
1.	School of Life Sciences	Spectromax M2 Microplate Reader Microplate cuvette.	14.79	2/5/2005	12/8/2005	3
2.	-DO-	EMBLA A-10 Brai Wave Analyser	13.12	7/6/2005	13/10/2005	3
3.	-DO-	High Speed Refrigerated Centrifuge Model (CR-22G)	11.64	10/10/2006	16/1/2007	3
4.	-DO-	Centrifuge ultra L-90K Optima with Accessory and Rotors	24.60	18/8/2006	8/2/2007	5
5.	-DO-	P2. Biosafety unit with exhaust Air unit Biosafety cabinet supply of single skin in GSS coustration filter, Air Conditioner, false ceiling, clean room equipment	11.99	20/3/2007	12/7/2007	3 ½
6.	-DO-	(i) Real time PCR System TF7500 with access. (ii) 4000QTRAP System (MS&MS) System with access	188.94	22/12/2006	24/4/2007	4
7.	-DO-	(i) Nano flow liquid chromatography with access (ii) Rapid Miniature Electrophoresis system with access	77.85	23/1/2007	7/5/2007	3
8.	-DO-	Life lizer zone plus 6 liter greezer dry system with access	7.32	13/5/2005	29/8/2005	3 ½
9.	-DO-	NAT steel Horizontal Rectangular stabilizer size 2x2x4 double door Unit Modal 24 sol/EIDO/NAT-8 Sr. No. 1167 & 1168	15.18	28/5/2010	10/11/2010	5
10.	School of Environmental Sciences	Atomic Absorption Spectrophotometer	30.05	19/11/2008	30/6/2009	7
11.	-DO-	Gas Chromatograph System with Accessories	22.17	25/11/2008	7/7/2009	7
12.	-DO-	WDXRF System	65.10	9/3/2010	7/7/2010	4
13.	Special Centre for Molecular Medicine	Liquid Scintillation Counter	10.89	18/1/2007	18/6/2007	5
14.	-DO-	High Resolution Fluorescence Microscope	49.76	3/3/2008	5/8/2008	5

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15.	Advance Instrumentation Research Facility	Laser Confocal Microscope	143.20	17/8/2007	6/3/2008	6
16.	-DO-	XRD for Macromolecules and Protein crystallography	311.24	4/11/2007	8/8/2008	9
17.	-DO-	XRD Powder Single Crystal and thin Film	102.89	2/8/2007	21/11/2008	15
18.	-DO-	Transmission Electron Microscope	245.72	1/10/2007	/10/2008	12
19.	-DO-	FTIR Raman	72.20	17/8/2007	17/7/2009	23
20.	-DO-	Scanning Electron Microscope	146.52	8/9/2007	15/12/2008	14
21.	-DO-	EDXRF Spectrometer	56.96	26/6/2007	26/6/2008	11
22.	-DO-	WDXRF Spectrometer* (cost included in cost of equipment at Sl. No. 16)		4/11/2007	8/8/2008	9
23.	-DO-	CD + Stop attachment	132.84	10/9/2007	9/9/2008	12
24.	-DO-	Liquid Nitrogen Plant	95.94	17/10/2007	25/11/2008	12
25.	-DO-	GC Mass Spectrometer	71.66	/11/2007	12/9/2008	9
26.	-DO-	Capillary Electrophoresis	20.91	26/10/2007	2/8/2008	9
27.	-DO-	Cell Sorter & Flow Cytometer	110.76	26/6/2007	25/7/2008	12
28.	-DO-	Surface Plasmon Resonance	81.69	13/8/2007	15/7/2009	23
29.	-DO-	Time Resonance Analytical	88.37	19/10/2007	9/2/2008	3
30.	School of Physical Sciences	Femtosecond Optically Gated Fluorescence Up-conversion Spectrometer	35.83	15/6/2010	11/12/2010	5 ½
Total			2260.18			
Un-installed equipment						
31.	School of Environmental Sciences	UV-VIS-VIR Spectroradiometer	13.94	25/1/2009	still pending	