

**Report of the
Comptroller and Auditor General of India
on
Performance Audit of
Outcomes in Higher Education**



Mahatma Gandhi Kashi Vidyapith



Lucknow University



SUPREME AUDIT INSTITUTION OF INDIA

लोकहितार्थ सत्यनिष्ठा

Dedicated to Truth in Public Interest



**Government of Uttar Pradesh
Report No. 6 of the year 2022**

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Preface

This Report of the Comptroller and Auditor General of India has been prepared for submission to the Governor of Uttar Pradesh under Article 151 of the Constitution of India.

The Report contains results of the Performance Audit of Outcomes in Higher Education covering the period 2014-15 to 2018-19, which was updated for the year 2019-20.

The instances mentioned in this Report are those which came to notice in the course of test audit for the period 2014-15 to 2019-20 as well as those which came to notice in earlier years, but could not be reported in the previous Audit Reports; matters subsequent to the year 2019-20 have also been included, wherever necessary.

The audit has been conducted in conformity with the Auditing Standards issued by the Comptroller and Auditor General of India.

Executive Summary

As of March 2020, there were 18 State Public Universities in the State under the administrative control of Higher Education Department of Uttar Pradesh. One hundred seventy government degree colleges, 331 non-government aided colleges and 6,682 self-financed private colleges in the State were affiliated to these Universities. During 2019-20, 90.61 lakh students were enrolled in these Colleges. Higher Education Department spent ₹ 13,848 crore during 2014-20, which was between 0.56 *per cent* (2015-16) and 0.76 *per cent* (2014-15) of total expenditure of the State. This expenditure was 0.15 *per cent* to 0.19 *per cent* of GSDP of the State during 2014-20.

The Performance Audit of Outcomes in Higher Education covering the period 2014-19 was carried out during the year 2019-20 and it was updated for the year 2019-20 in August 2021. Two Universities – Mahatma Gandhi Kashi Vidyapith Varanasi (MGKV) and University of Lucknow (UoL) along with 10 colleges affiliated with these Universities were selected for detailed examination. The access and equity in higher education along with quality of higher education in the State were assessed. Governance and management issues which are critical for improving all these factors were also assessed. This report aims at identifying the areas that require systemic corrections and improvements.

Gross Enrollment Ratio (GER) of the State during 2019-20 was lower (25.30 *per cent*) than the all India average (27.10 *per cent*). None of the State University/College was in the top 100 Higher Educational Institutions (HEIs) of India. Only 8.47 *per cent* (498 HEIs) of HEIs graded in the State with NAAC grading in 2018-19 were further reduced to 2.60 *per cent* (183 HEIs) in 2019-20. Of these, only 29 HEIs (0.40 *per cent*) were accredited with ‘A’ grading.

Number of State Public Universities, Private Universities and Government and Non-Government Aided Colleges under the administrative control of Higher Education Department was stagnant from 2016-17. However, the number of Self-financed Colleges increased from 5,377 in 2016-17 to 6,682 in 2019-20. Five districts did not have any government degree colleges and another five districts did not have men’s or co-ed government degree colleges. Further, 20 districts did not have either Government or non-government aided girls’ colleges. The enrolment level showed a regular decline from 94.88 lakh students in 2015-16 to 90.61 lakh students in 2019-20. The average enrolment *per college* reduced from 1,830 students in 2015-16 to 1,261 students in 2019-20.

The State did not have any specific policy for opening of universities/colleges. However, a scheme is being implemented in the State for opening new colleges by private management in unserved areas with the criteria that the blocks which do not have any college were to be given priority. Against approval of 90 such

colleges during 2014-17, only 12 got affiliation in different streams of courses of study as of March 2020.

In spite of specific provision given in University Grant Commission (Affiliation of Colleges by University) Regulation, 2009, the test checked Universities (MGKV and UoL) did not approve fees structure for their affiliated private colleges. Audit observed that the fee of regular and self-finance courses charged from the student during 2014-20 by the test checked institutions were varying to a large extent. The tuition fee fixed by the State Government through executive order was not complied with by many higher education institutions test checked in audit.

Audit observed that 73 to 80 *per cent* students in MGKV and 56 to 67 *per cent* students in UoL were benefited from post matric scholarships provided by Social Welfare Department during 2017-20.

During 2019-20, only 29 *per cent* and 17 *per cent* class rooms in MGKV and UoL respectively were ICT enabled. However, libraries of the Universities provided access to e-resources to students.

While implementing National Education Policy (NEP) 2020, the government did substantial works on designing and development of curriculum and choice-based credit system has been introduced from academic session 2021-22. During 2014-20, the average percentage of programs having focus on employability in MGKV and UoL was only 21 *per cent* and 10 *per cent* respectively.

As against prescribed ratio of 20:1, the Student Teacher Ratio (STR) in government colleges during 2019-20 was 49:1. On average, 19 *per cent* teachers in MGKV and 16 *per cent* teachers in UoL attended training programs during 2014-20.

From 2014-15 to 2019-20 (except during 2018-19), results of different courses were delayed up to 273 days in MGKV. The information related to declaration of results during 2014-17 was not made available to audit by UoL though asked for. As analysed in audit the results during 2017-20 were delayed up to 175 days in UoL.

During 2017-20, very few students (0.15 *per cent*) applied for re-evaluation in MGKV, however, marks of average 90 *per cent* students were increased in re-evaluation. Further, during 2017-20, on an average, marks in 77 *per cent* papers increased in improvement examination of MGKV. In UoL, marks of all students (2,783) increased in improvement examination.

Research projects in MGKV and UoL were completed with delays up to 1,463 days. Some were prematurely closed without any project outcomes. Patents awarded and consultancy given was nil in test checked Universities.

Data of students going for higher education either outside the University or colleges or pursuing the higher education in same University during 2014-20 was not maintained.

Governing Bodies in Universities were not functioning effectively due to vacant seats of members and lack of requisite meetings. Internal Quality Assurance Cell (IQAC) was established in MGKV (April 2010) and UoL (December 2016). However, State Level Quality Assurance Cell for monitoring the functioning of IQAC in the colleges was not set up and decision to establish was under consideration (July 2022) at Government level.

As of March 2020, MGKV and UoL have 341 and 171 affiliated colleges scattered across five districts of eastern Uttar Pradesh and Lucknow district respectively. Out of 28 test-checked Self-Financed Colleges in MGKV, 18 did not fulfil four to 29 per cent of criteria for affiliation. The inspection of affiliated colleges was not done. There was extension of temporary affiliation to colleges not having adequate infrastructure. The relaxation of norms for granting affiliation to colleges may affect quality of education.

State Government released its share including central share for development of University and Colleges to State Project Director of *Rashtriya Uchchatar Shiksha Abhiyan* with delays ranging up to 1,636 days. MGKV and UoL were not self sufficient to meet out their expenditure out of revenue earned by them and were dependent on government grants.

Recommendation 1: To achieve overall targeted Gross Enrollment Ratio of 40 per cent by 2030 in Uttar Pradesh, the State Government should ensure access to higher education by providing more colleges in districts where there is shortfall.

Recommendation 2: To provide quality education in all Colleges the State Government should provide prescribed basic infrastructure in Government Colleges. The Universities should ensure availability of infrastructure and basic facilities in affiliated private colleges.

Recommendation 3: In order to make higher education affordable the State Government and the Universities may regulate fee structure of private colleges.

Recommendation 4: Timely revision of curriculum may be ensured and courses having focus on employability may be included.

Recommendation 5: In order to ensure quality education, the State Government and the Universities should maintain prescribed Student Teacher Ratio in government Colleges and Universities.

Recommendation 6: For improvement and continuous development in the performance of teachers for individual and institutional excellence, the State Government and the Universities should conduct relevant professional development programs regularly and ensure that all teachers are imparted training in these programs.

Recommendation 7: *Examination system and delay in declaration of results should be closely monitored.*

Recommendation 8: *Quality and timeliness of research should be ensured by the Universities/State Government by close monitoring of the projects.*

Recommendation 9: *The State Government/Universities should ensure that placement cell and career counseling cell are set up in all Higher Educational Institutions.*

Recommendation 10: *The Higher Educational Institutions should put in place a robust system of collecting and maintaining data relating to higher studies and placement of students.*

Recommendation 11: *Vacancies in Governing Bodies in the State and the Universities should be filled up on priority basis.*

Recommendation 12: *The Universities should strengthen the affiliation process to ensure that only those colleges which comply with all regulatory requirements are granted affiliation.*

Chapter-1

Introduction

1 Introduction

Brief snapshot of the Chapter:

- Higher Education Department spent 0.16 *per cent* of the State's Gross State Domestic Product (GSDP) on higher education in 2019-20.
- Gross Enrollment Ratio (GER) of the State during 2019-20 was lower (25.30 *per cent*) than that of all India average (27.10 *per cent*). However, it increased from 25 *per cent* in 2014-15 to 25.30 *per cent* in 2019-20.

1.1 Introduction

Higher education significantly contributes towards sustainable livelihoods and economic development of the nation. Good quality education is the foundation of new discoveries, new knowledge, innovation and entrepreneurship that trigger growth and prosperity of the individual as well as that of nation. The purpose of quality higher education is, therefore, more than the creation of greater opportunities for individual employment.

As of March 2020, under the administrative control of Higher Education Department of Uttar Pradesh, there were 18 State Public Universities¹ in the State. One hundred seventy government degree colleges², 331 non-government aided colleges and 6,682 self-financed private colleges in the State were affiliated to these Universities. Twenty-seven Private Universities were also in the State. During 2019-20, 90.61 lakh students were enrolled in these Colleges. Higher Education Department spent 0.16 *per cent* of the State's Gross State Domestic Product (GSDP) on higher education in 2019-20.

Gross Enrollment Ratio (GER)³ of the State during 2019-20 was lower (25.30 *per cent*) than that of all India average (27.10 *per cent*). However, it increased from 25 *per cent* in 2014-15 to 25.30 *per cent* in 2019-20. None of the State University/College was in the top 100 Higher Educational Institutions (HEIs) of India. Only 8.47 *per cent* (498 HEIs) of HEIs graded in the State with NAAC grading in 2018-19 were further reduced to 2.60 *per cent* (183 HEIs) in 2019-20. Of these, only 29 HEIs (0.40 *per cent*) were accredited with 'A' grading.

To examine the above concerns, it was decided to conduct a performance audit of outcomes in higher education in the State. This audit covered State funded universities/colleges with detailed scrutiny of general subjects of Arts, Commerce and Science streams only.

¹ A University means a multidisciplinary institution of higher learning that offers undergraduate and graduate programs, with high quality teaching, research and community engagement.

² A degree-granting College is referred to a multidisciplinary institution of higher learning that grants undergraduate and graduate degrees and is primarily focused on undergraduate teaching though it need not be restricted to that and it would generally be smaller than a typical university.

³
$$\text{GER} = \frac{\text{Number of students enrolled in a given level of education regardless of age}}{\text{Population of the age group which officially corresponds to the given level of education}} \times 100$$

1.2 Organisational set-up for HEIs

At the State Government level, Additional Chief Secretary, Department of Higher Education is responsible for policy decision-making. Planning and coordination is assigned to Chairman, U.P. State Council of Higher Education. The Director, Higher Education Department is responsible for implementation of schemes for higher education, management of government degree colleges and controlling administration of non-government aided degree colleges through Regional Higher Education Officers (RHEO) who conduct inspections and monitor implementation of schemes for higher education.

The Universities in the State are set up under the Uttar Pradesh University Act, 1973. The State Government enacted Uttar Pradesh Private Universities Act, 2019 for establishing new Private Universities and to regulate all the existing Private Universities in the State. All Universities need to adhere to the rules and regulations of University Grant Commission (UGC) for their operation.

At the University level, Vice Chancellor (VC) is the principal executive and administrative officer. VC is assisted by Pro-Vice Chancellor, Registrar, Finance Officer, Controller of Examination and Head of Departments, *etc.* The Executive Council is the principal executive body of the University and is responsible for making statutes and passing resolutions on the annual accounts and also plays vital role in administration of the University. The Academic Council is the principal academic body of the University which finalises the academic matters. Matters related to finance are looked after by Finance Committee. Apart from these permanent bodies, the University constitutes committees for specified works, *viz.*, Admission Committee, Examination Committee, Selection Committee, *etc.*, to advise the VC.

At the College level, Principal is responsible for general administration, supervision and guidance of teaching staff, student welfare, *etc.*

1.3 Outcome parameters

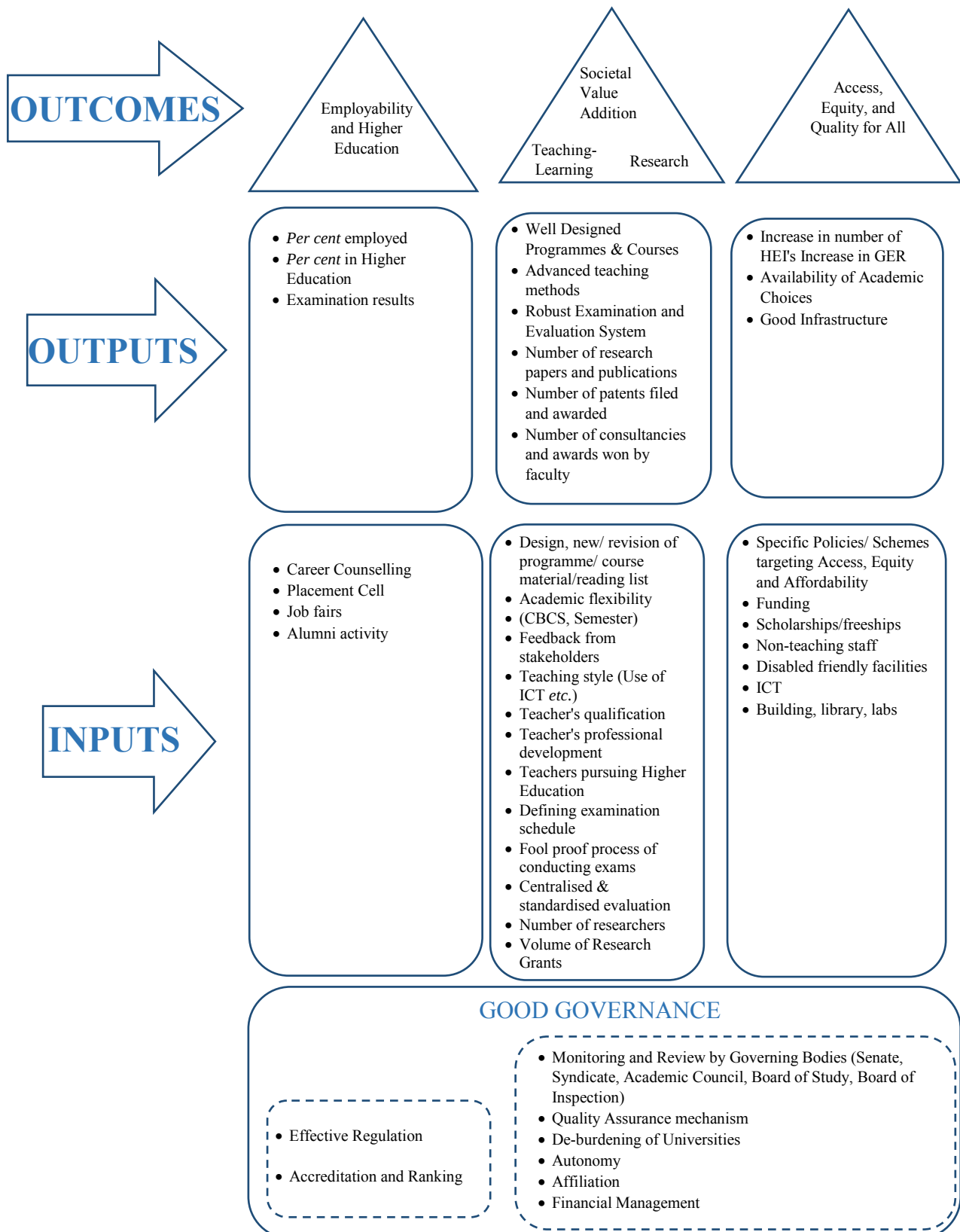
Strategic Framework of Twelfth Five Year Plan (FYP) and the Output Outcomes Budget 2018-19 of Government of India have identified four main areas of focus in Higher Education that need attention. These are Access, Equity, Quality and Governance. Outcomes of these areas have been defined as: (i) expanded availability of Higher Education Institutions, (ii) narrowing of group inequalities in access to higher education, and (iii) improving teaching and research across all institutions.

While it is possible to easily identify the inputs and outputs for evaluating higher education, identification of outcomes and their measurement is quite a challenging task. Student's desire of higher studies connected with employability as a primary outcome of higher education. The society wants higher education to contribute towards creation of new knowledge through research and effective teaching/learning processes. The Government aims to create a high quality higher education system with easy accessibility to all sections of society.

In order to assess the performance of higher education system in relation to the outcomes, key outcomes indicators (**Appendix 1.1**) as well as input-output indicators (**Appendix 1.2**) were formulated based on Twelfth FYP and assessment

indicators adopted by National Assessment and Accreditation Council. These indicators helped in evaluating the outcomes as well as the steps taken to achieve these outcomes. The outcomes, their related inputs and outputs are shown in **Chart 1.1**.

Chart 1.1: Diagrammatic representation of relation between outcomes of higher education and their related inputs and outputs



1.4 Audit objectives

The objectives for the Audit of Outcomes in Higher Education in Uttar Pradesh were to assess whether:

- I. equitable and affordable access to higher education was ensured for all;
- II. good quality higher education was ensured through effective teaching, learning and examination processes and high quality research;
- III. there was employability and progression of students to higher studies; and
- IV. governance and management of higher education system was adequate, efficient and effective.

1.5 Audit criteria

The Outcome Audit in Higher Education was conducted against the criteria derived from the following documents:

- Twelfth Five Year Plan;
- Inclusive & Qualitative Expansion of Higher Education-Twelfth Five Year Plan (2012-17);
- Uttar Pradesh State Universities Act, 1973;
- Guidelines/Regulations issued by University Grants Commission;
- Guidelines and Manual issued by National Assessment and Accreditation Council (NAAC);
- Internal Quality Assurance Cell Manual issued by NAAC;
- National Institutional Ranking Framework Manual (NIRF);
- New Education Policy 2020;
- Circulars/orders issued by Department of Higher Education, *etc.*;
- Statutes, circulars and guidelines of the test-checked Universities;
- Minutes of the meetings of Senates, Academic Councils, Executive Councils, Finance Committees, *etc.*, of the selected Universities; and,
- Annual Accounts of the selected Universities.

1.6 Scope of Audit

The audit of outcomes was conducted during November 2019 to March 2020 covering the period of 2014-15 to 2018-19 to examine aspects of access, equity, quality, student progression and governance of higher education in State Universities and their affiliated colleges. The audit was conducted again in July to August 2021 for updating the report for the year 2019-20.

Two⁴ universities providing higher education in general streams (Arts, Commerce and Science) were selected applying simple random sampling without replacement (SRSWOR) method. While major coverage of one of the universities (University of Lucknow) selected was urban area of the Lucknow district, the major coverage of the other selected university (Mahatma Gandhi Kashi

⁴ Mahatma Gandhi Kashi Vidyapeeth, Varanasi and University of Lucknow.

Vidyapeeth, Varanasi) was rural areas of five districts (Bhadohi, Chandauli, Mirzapur, Sonebhadra and Varanasi) which represented two diverse geographical regions the Central and the Eastern regions of the State.

As of March 2019, 23 government colleges, 33 non-government aided colleges and 435 self-finance colleges were affiliated under both sampled Universities. Audit selected 10 government colleges and non-government aided colleges using SRSWOR method for detailed scrutiny of records. We had no audit mandate for self-finance private colleges, therefore, 40 such colleges affiliated by the selected two universities were selected for facility survey by Audit jointly (**Appendix -1.3**).

1.7 Audit Methodology

The aim of this audit was to assess and evaluate the State's performance in achieving outcomes of higher education. Since the Government of Uttar Pradesh has not clearly defined such outcomes, audit used the criteria which were based on policy documents, processes of accrediting and ranking HEIs and inputs from experts of the higher education domain including provisions of Twelfth FYP regarding higher education. Assessment indicators adopted by NAAC, NIRF were also utilised. Audit developed data annexure, audit questionnaires and student survey formats on the basis of these criteria.

An Entry Conference was held (15 November 2019) with Special Secretary, Higher Education Department, Government of Uttar Pradesh (GoUP), Additional Secretary, Uttar Pradesh State Council of Higher Education and Registrars of two selected Universities in which audit objectives, scope of audit, audit methodology and audit criteria including NAAC grading for the audit of outcomes in higher education were discussed.

The audit was conducted through scrutiny of records/documents, replies against audit queries/audit observations and joint physical inspections of teaching and other infrastructure in the test checked universities and the colleges. Evidence was collected through copies of relevant documents, discussion papers and photographs of sites. For evaluation of quality of education, feedback from students through a student's satisfaction survey was also obtained.

The draft report was issued to the State Government in October 2021 and their replies were received in July 2022. Exit conference was held on 15 July 2022 with Special Secretary, Higher Education Department. The reply of State Government and replies furnished by Universities⁵ have been suitably incorporated in the report.

1.8 Structure of the Report

This report has been structured on the basis of broad outcomes of Higher Education that have been identified keeping in mind the perspectives of major stakeholders i.e., Students, Society and Government.

Chapter-I of the report gives brief about introduction of the subject matter, organisational set up of HEIs, outcome parameters, audit objectives, audit criteria, scope of audit and audit methodology. Chapter-II deals with equitable and

⁵ The State Government forwarded (July 2022) the replies of UoL and MGKV on the draft report.

affordable access to higher education. Chapter-III is related with quality of higher education, employability and progression of students to higher studies. Audit findings pertaining to governance and management are discussed in Chapter-IV of the report.

1.9 Acknowledgement

We acknowledge the co-operation extended by Higher Education Department, Directorate of Higher Education, Uttar Pradesh State Council of Higher Education, Vice-Chancellors/Officers and staffs of Mahatama Gandhi Kashi Vidyapeeth, Varanasi, University of Lucknow, Principals of the test-checked government colleges, non-government aided colleges and private colleges in conduct of this Performance Audit of Outcomes in Higher Education.

Chapter-2

Equitable and Affordable to Higher Education

2 Equitable and Affordable Access to Higher Education

This chapter discusses affordable and equitable access to Higher Education in the State of UP. In order to assess the performance of HEIs and GoUP, the following audit objective was framed.

Audit objective 1: Whether equitable and affordable access to higher education was ensured for all?

Brief snapshot of the Chapter:

- GoUP did not undertake geographical mapping to identify habitations that were lacking higher education facilities. There was asymmetrical distribution of universities in the four regions (East, West, Central and Bundelkhand) of the State.
- Number of State Public Universities, Private Universities and Government and Non-Government Aided Colleges under the administrative control of Higher Education Department was stagnant from 2016-17. However, the number of Self-financed Colleges increased from 5,377 in 2016-17 to 6,682 in 2019-20.
- Five districts did not have any government degree colleges and another five districts did not have men's or co-ed government degree colleges. Further, 20 districts did not have either Government or non-government aided girls' colleges.
- GER of SC and ST students was better than all-India average in 2019-20.
- Gender equity promotional programmes were held only sporadically in the test checked Universities and affiliated colleges.
- Test checked Universities and affiliated colleges made provision for 10 *per cent* reservation of seats for Economically Weaker Sections (EWS), however, large number of EWS seats remained vacant.
- ICT teaching tools in classrooms of test checked Universities and colleges was much short of requirement. However, libraries of the Universities provided access to e-resources to students. Many of the test checked colleges were deficient in infrastructural facilities particularly for differently abled students.
- In spite of provision in UGC (Affiliation of Colleges by University) Regulation 2009, test checked Universities did not prescribe fee structure for private affiliated colleges. In the absence of any mechanism for monitoring the fee structure, there was wide variation even within same courses in test-checked Universities and colleges.
- 73 to 80 *per cent* students in MGKV and 56 to 67 *per cent* students in UoL were benefited by scholarships provided by the State Government during 2017-20.

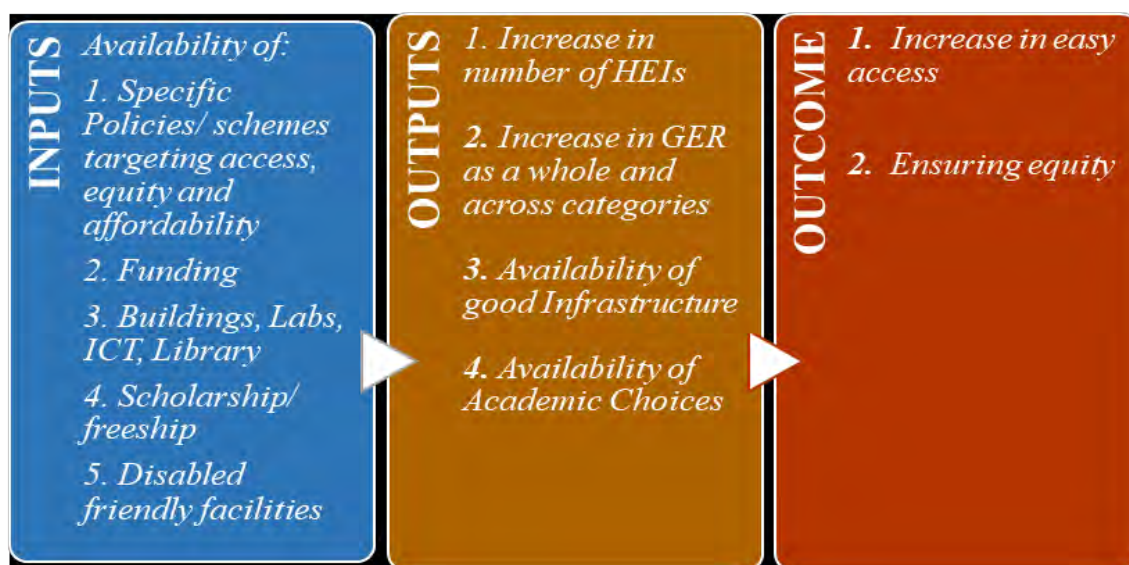
2.1 Introduction

The global education development agenda reflected in the Goal 4 (SDG-4) of the 2030 Agenda for Sustainable Development, adopted in September 2015 seeks to ensure

inclusive and equitable quality education and promote lifelong learning opportunities for all by 2030.

Greater access requires an enhancement of the education institutional capacity of the higher education sector to provide opportunities to all those who deserve and desire higher education. Eleventh Five Year Plan (2007-12) recognized and responded to the rising demand for higher education. Gross Enrolment Ratio (GER) is often used to measure higher education access. As per NEP 2020, GER should reach 50 *per cent* by 2035. Equity involves fair access of the poor and the socially disadvantaged groups to higher education.

This chapter discusses the different dimensions of access, equity and affordability in higher education system and mechanisms in place to enhance access and equity without compromising on quality, efforts and initiatives. Input, output and outcomes of the access and equity are summarised in the diagram below:



2.2 Easy Access to Higher Education

One of the major outcomes of Higher Education for a government is ensuring equitable access to quality education for all through its various policies, schemes and administrative decisions. Paragraph 21.105 of Twelfth Five Year Plan focused towards achieving higher access through expansion, consolidation and better utilisation of the existing infrastructure and physical facilities through resource mapping. Further, GoI's output-outcomes framework for schemes *inter alia* also focuses on enhancement of access.

2.2.1 Higher Education Institutions under the control of Higher Education Department in Uttar Pradesh

As of March 2020, Uttar Pradesh had 75 districts and the total population and literacy rate of the State as per 2011 census was 19.98 crore and 67.68 *per cent* respectively. During the year 2014-20, the number of Universities (including Private Universities) and the number of colleges under the administrative control of Higher Education Department, excluding technical, engineering and medical institutions was as given in Table 2.1.

Table 2.1: No. of Universities, Colleges and average enrolment per college

Year	Number of universities			Number of Colleges				Total Enrolment (in lakh)	Average enrolment per college
	State Public universities	Private universities	Total	Govt. colleges	Non-Govt. Aided colleges	Self Financed colleges	Total		
2014-15	15	21	36	138	331	4277	4746	81.89	1726
2015-16	16	22	38	166	331	4689	5186	94.88	1830
2016-17	18	27	45	170	331	5377	5878	93.75	1595
2017-18	18	27	45	170	331	6192	6693	92.76	1386
2018-19	18	27	45	170	331	6531	7032	91.66	1303
2019-20	18	27	45	170	331	6682	7183	90.61	1261

(Source: Higher Education Department)

It is evident from **Table 2.1** that the number of State Public Universities (18) and Private Universities (27) under the administrative control of Higher Education Department was stagnant since 2016-17. Similarly, number of government colleges (170) and non-government aided colleges (331) also did not change since 2016-17 and 2014-15 respectively. Thus, over the period (2016-20) the State did not visualise expansion of Government funded educational institutions of higher studies of general stream (State Public Universities and government colleges/non-government aided colleges). Further, enrolment of students in the Colleges which was 94.88 lakh in 2015-16 was decreasing year to year and reduced to 90.61 lakh in 2019-20.

The State Government replied (July 2022) that presently 19 State Universities, 01 Deemed University, 01 Open University, 30 Private Universities, 172 government colleges, 331 non-government aided colleges and 7,372 self-financed colleges are operational in the State. It was further stated that establishment of self-financed colleges was the reason for reduction in average enrolment per college. In the exit conference (15 July 2022), it was stated that the students might have taken admissions in other courses like engineering/medical, etc.

2.2.2 Policies for establishment of new HEIs

In order to evaluate the adequacy of State's policy in providing inclusive and accessible higher education, audit sought policy documents regarding this. We were informed (August 2021) that no comprehensive policy exists regarding opening of new universities/colleges in the State. However, a scheme for opening new colleges by private management in unserved areas is being implemented since May 1999. The criteria which decide unserved area are as given below:

- Blocks which do not have any college were to be given priority for opening new colleges;
- Blocks which do not have a college of particular stream is considered as unserved in respect of that particular stream;
- The Blocks having college with co-education is considered as unserved for girls' college; and
- The Block having girls' college is considered as unserved for co-education college.

For opening self-financed Arts and Commerce colleges in unserved areas grants-in-aid of ₹ 30 lakh and for Science colleges grants-in-aid of ₹ 40 lakh was admissible under the scheme.

Audit noticed that data regarding unserved area/blocks in the State which did not have degree colleges were not available with Higher Education Department. The Department stated (August 2021) that any physical survey or geo-mapping for identification of unserved area/block had not been carried out.

Further scrutiny revealed that the Department had approved grants-in-aid for opening of 90 colleges in unserved area during 2014-17. However, the basis on which these new colleges were accorded sanction without any survey of unserved area were not provided to Audit. In this context, the Department stated (August 2021) that the proposals for opening of colleges were invited through newspaper advertisements/departmental website and after receipt of proposals, approvals were given by a screening committee of the Department.

Audit analysis revealed that during 2014-17, against approval of 90 such colleges¹, construction of only 64 colleges were complete by March 2020 and affiliations were obtained only by 12 colleges. As of August 2021, out of total grant of ₹ 23.90 crore sanctioned for these 90 colleges, utilisation certificates of only ₹ 14.90 crore were obtained. In the absence of utilisation certificates, there was no assurance that grants-in-aid disbursed had been actually used for the purpose of construction of colleges, besides it was also fraught with the risk of diversion and misappropriation of fund. Further, due to non-submission of required documents, the grants of ₹ 50 lakh given to five such colleges have been recovered and deposited in government account. From 2017-18, no grants were sanctioned for any new college under the scheme.

2.2.3 Distribution of HEIs in Uttar Pradesh

Audit scrutiny revealed that as of March 2020, there were 170 government degree colleges in the State. Of which, 130 colleges were for men or co-ed and 40 colleges were for girls. Of the 331 non-government aided colleges, 267 colleges were co-ed and 64 were for girls.

Further scrutiny revealed that each district in the State was served by either government degree college or non-government aided college or both. However, 20 districts did not have either government or non-government aided girls' colleges. Further, five districts (*Bahraich, Gonda, Hapur, Muzaffarnagar* and *Sultanpur*) did not have any government degree colleges and another five districts (*Azamgarh, Ballia, Etawah, Firozabad* and *Meerut*) did not have men's or co-ed government degree colleges. Thus, the students of the districts where government colleges were not available were dependent completely on non-government aided colleges and self-financed private colleges.

Since availability of girls' government colleges contributes towards bringing gender parity, the unavailability of government girls' colleges in different districts in the State raises questions on equity for higher education to students.

2.2.4 Regional Accessibility

Achieving regional accessibility implies providing adequate access to prospective students in all the regions of the State, irrespective of geographical and other limitations.

As per paragraph 2.2.2 (e) of Report on 'Inclusive and Qualitative Expansion in Higher Education' issued under Twelfth FYP, the growth of the higher education institutions is not uniform across the country. Twelfth FYP states that the aim should be correcting the

¹ 2014-15 (51 colleges), 2015-16 (16 colleges) and 2016-17 (23 colleges).

regional and disciplinary imbalances in the distribution of institutions. Further, paragraph 21.207 of Twelfth FYP envisages that geographical mapping of HEIs should be done to identify habitations and settlements which lack higher education facilities.

2.2.4.1 Accessibility in urban and rural areas

Accessibility enhances with greater availability of degree colleges in urban and rural areas. The availability of degree colleges in urban and rural areas of the State during 2014-20 is given in table below:

Table 2.2: Number of Government Degree Colleges, Non-Government Aided Degree Colleges and Self-financed Private Colleges in Uttar Pradesh

Year	Govt. Degree College			Non-Government Aided Degree College			Self-financed Private College		
	Total	Urban	Rural	Total	Urban	Rural	Total	Urban	Rural
2014-15	138	41	97	331	209	122	4277	855	3422
2015-16	166	50	116	331	209	122	4689	938	3751
2016-17	170	51	119	331	209	122	5377	1075	4302
2017-18	170	51	119	331	209	122	6192	1238	4954
2018-19	170	51	119	331	209	122	6531	1306	5225
2019-20	170	51	119	331	209	122	6682	1403	5279

(Source: Higher Education Department)

From **Table 2.2** above it can be seen that the number of government and non-government aided colleges in urban and rural areas in the State was stagnant since 2016-17 and 2014-15 respectively. However, the number of self-financed private colleges increased from 4,277 in 2014-15 to 6,682 in 2019-20 with an increase of 56 per cent. The increase in self-financed private colleges in urban areas during the same period was 64 per cent and in the rural areas the increase was 54 per cent. Thus, the increase in the number of colleges during the period 2014-20, which improves accessibility, was entirely due to the increase in the number of self-financed private colleges.

2.2.4.2 Distribution of colleges in selected Universities

Distribution of colleges in urban and rural areas in test checked universities is given in **Chart 2.1** and **Table 2.3**.

Chart 2.1: Distribution of colleges in rural and urban areas in MGKV and UoL

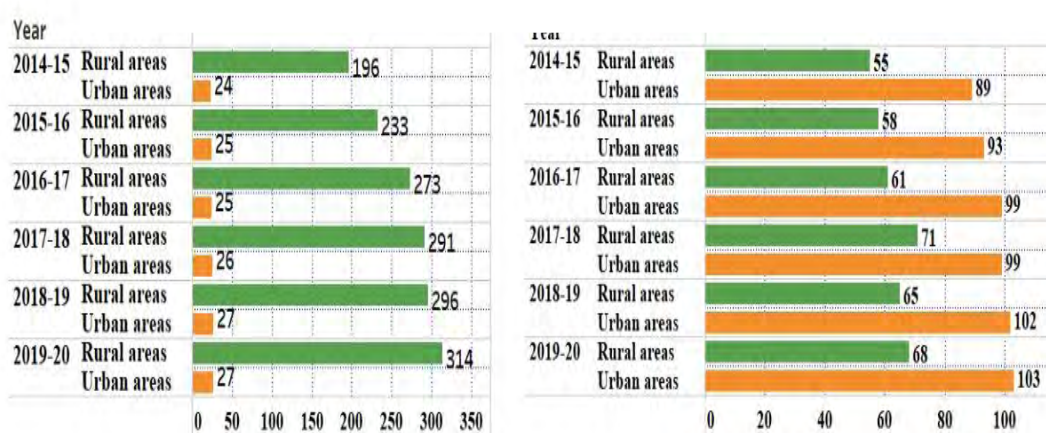


Table 2.3: No. of colleges, total students and average students per college in MGKV and UoL

Year	Urban areas	Rural areas	Total Colleges	Total students	Average student per college
MGKV					
2014-15	24	196	220	329805	1499
2015-16	25	233	258	377651	1464
2016-17	25	273	298	382114	1282
2017-18	26	291	317	330938	1044
2018-19	27	296	323	294754	912
2019-20	27	314	341	259754	761
UoL					
2014-15	89	55	144	Not made available	Not made available
2015-16	93	58	151	Not made available	Not made available
2016-17	99	61	160	Not made available	Not made available
2017-18	99	71	170	105861	623
2018-19	102	65	167	106947	640
2019-20	103	68	171	116888	684

(Source: MGKV and UoL)

It is evident from **Table 2.3** that in MGKV 27 (8 per cent) out of 341 colleges was available in urban areas and 314 (92 per cent) colleges were available in rural areas of five² districts during 2019-20. Further, the number of colleges in the urban areas almost remained stagnant during 2014-20, but in rural areas, it increased by 60 per cent. However, these colleges failed to attract more students for pursuing higher education as there was regular decrease (32 per cent) in the number of total students compared to the students in 2016-17. The average number of students per college also decreased (49 per cent) from 1,499 students in 2014-15 to 761 students in 2019-20.

As of March 2020, majority of the affiliated colleges in UoL belong to urban areas of Lucknow district. Data related to number of students in its 171 affiliated colleges during 2014-17 was not made available by the university due to which the data of that period could not be analysed in Audit. During 2017-20, number of colleges in urban areas increased slightly from 99 to 103 whereas in rural areas the same reduced from 71 to 68. However, during that period, total number of colleges increased from 170 to 171 and average students per college increased from 623 to 684. Thus, access to higher education in UoL slightly increased compared to previous years.

2.2.4.3 Accessibility in different geographical areas of the State

Geographical aspects of a region also impact the ease of access to higher education. Despite the fact that Twelfth FYP (paragraph 21.207) envisaged the use of geographical mapping of HEIs to identify habitations and settlements lacking HEIs, the GoUP neither had a policy for geographical mapping of HEIs in the State nor did it conduct any geographical mapping to identify number of habitations that lack higher education facilities and accordingly assess total requirement of HEIs in the State.

Audit analysed region wise availability of colleges providing higher education in general streams. The distribution of government degree colleges and non-government aided degree colleges during 2014-20 in four geographical regions of the State (**Appendix 2.1**) was as given in **Table 2.4**:

² Bhadohi, Chandauli, Mirzapur, Sonbhadra and Varanasi.

Table 2.4: Distribution of government colleges and non-government aided colleges in geographical regions of Uttar Pradesh

Geographical regions (No of districts)	Number of Government Colleges		Number of Non-Government Aided Colleges		Total Number of Colleges		Population (Census 2011 for age group 18-23 year) (Per cent)
	2014 -15 (Per cent)	2019 -20 (Per cent)	2014 - 15 (Per cent)	2019-20 (Per cent)	2014 - 15 (Per cent)	2019 -20 (Per cent)	
Eastern (28 districts)	54 (39)	63 (37)	122 (37)	122 (37)	176 (38)	185 (37)	90,50,625 (38)
Western (30 districts)	52 (38)	65 (38)	132 (40)	132 (40)	184 (39)	197 (39)	93,15,529 (39)
Central (10 districts)	18 (13)	24 (14)	64 (19)	64 (19)	82 (18)	88 (18)	42,57,453 (19)
Bundelkhand (7 districts)	14 (10)	18 (11)	13 (4)	13 (4)	27 (6)	31 (6)	10,94,724 (5)
Total	138	170	331	331	469	501	2,37,18,321

(Source: Directorate of Higher Education)

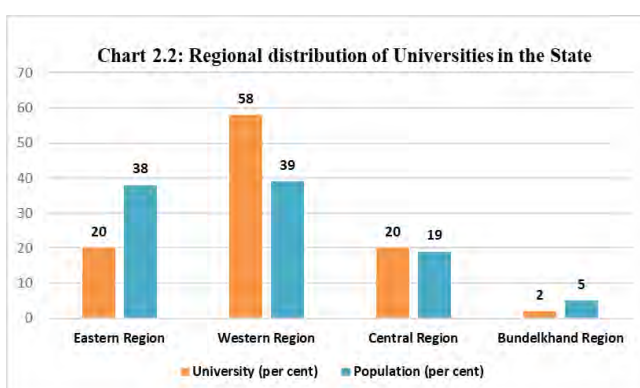
As is evident in **Table 2.4**, percentage of distribution of colleges as of 2019-20 was more or the less same compared to the Region wise distribution of population under the age group 18-23 years in the four regions of the State. However, Audit noticed regional imbalance in the availability of Universities. The region wise distribution of State Public Universities and Private Universities under the control of Higher Education Department as of 2019-20 was as below:

Table 2.5: Regional distribution of State Public Universities and Private Universities in Higher Education Department during 2019-20

Sl. No.	Name of region (No. of districts)	No. of State Public Universities and Private Universities (Per cent)	Population ³ (Per cent)
1.	Eastern (28)	9 (20)	90,50,625 (38)
2.	Western (30)	26 (58)	93,15,529 (39)
3.	Central (10)	9 (20)	42,57,453 (19)
4.	Bundelkhand (7)	1 (2)	10,94,724 (5)
Total		45	2,37,18,321

(Source: Directorate of Higher Education)

As is evident from **Table 2.5** and **Chart 2.2**, the percentage of State Universities in different regions was not commensurate with their population of the age group 18-23 years. Fifty-eight *per cent* Universities were distributed in western region, which accommodated only 39 *per cent* of the said population of the State. The percentage of Universities in eastern region and the population it accommodated was 20 *per cent* and 38 *per cent* respectively. The Bundelkhand region though accommodated five *per cent* such population but only two *per cent* Universities were available in the region. The State Government did not have any policy regarding establishment of Universities in the urban, rural, tribal and under-served areas in the State.



³ As per census 2011 (age group 18-23 years).

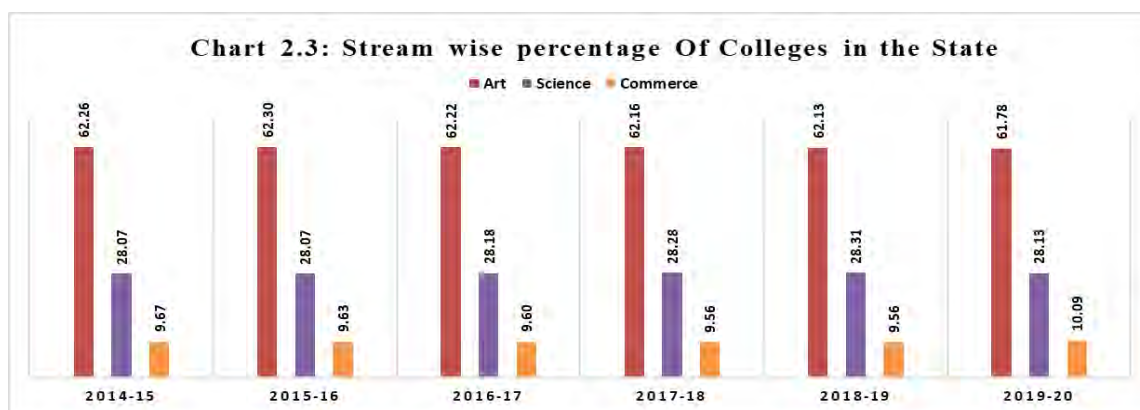
2.2.4.4 Accessibility to different stream of academic choices

Academic choice in terms of the discipline an aspiring student seeks to study through higher education is a crucial aspect of access to quality education. Paragraph 10.11 of NEP 2020, states that single-stream HEIs will be phased out over time, and all will move towards becoming vibrant multidisciplinary institutions or parts of vibrant multidisciplinary HEI clusters, in order to enable and encourage high-quality multidisciplinary and cross-disciplinary teaching and research across fields. **Table 2.6** and **Chart 2.3** depict stream wise position of colleges during the period 2014-20 in the State.

Table 2.6: Stream wise number of colleges in Uttar Pradesh

Year	Government				Non-Government Aided Colleges				Self-Financed Colleges			
	No. of College	Art	Science	Com-merce	No. of College	Art	Science	Com-merce	No. of College	Art	Science	Com-merce
2014-15	138	138	19	12	331	305	99	79	4277	4277	2010	642
2015-16	166	166	23	16	331	308	99	79	4689	4689	2204	703
2016-17	170	170	24	17	331	305	99	79	5377	5377	2527	807
2017-18	170	170	24	17	331	305	99	79	6192	6192	2910	929
2018-19	170	170	24	19	331	305	99	79	6531	6531	3070	980
2019-20	170	170	24	19	331	318	99	83	6682	6682	3141	1069

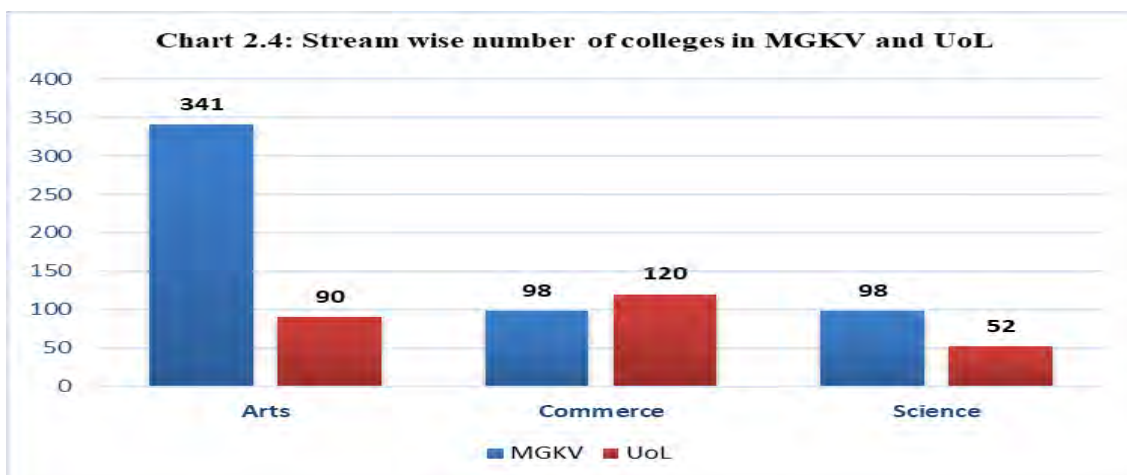
(Source: Directorate of Higher Education)



It can be seen from **Table 2.6** and **Chart 2.3** that Art stream was available in all government and self-financed colleges. Overall, Science and Commerce streams were available in only 28 per cent and 10 per cent colleges respectively during 2019-20. Further, total number of government colleges with Science and Arts stream were stagnant since 2016-17. In the case of non-government aided colleges, the Science stream remained stagnant (99 colleges) during the period 2014-20. The stream wise availability of colleges in test checked universities is given in **Table 2.7** and **Chart 2.4**.

Table 2.7: Streams availability in MGKV and UoL during the year 2019-20

District	Total Number of Colleges			Number of Colleges in urban areas			Number of Colleges in rural areas		
	Urban	Rural	Total	Arts	Commerce	Science	Arts	Commerce	Science
MGKV Varanasi									
Bhadoli	1	24	25	1	0	0	24	6	9
Chaundauli	4	80	84	4	2	1	80	11	8
Mirzapur	5	78	83	5	2	2	78	16	22
Sonbhadra	2	40	42	2	1	1	40	12	14
Varanasi	15	92	107	15	8	9	92	40	32
Total	27	314	341	27	13	13	314	85	85
UoL Lucknow									
Lucknow	86	44	130	63	80	41	27	40	11



The stream imbalance as shown in **Table 2.7** and **Chart 2.4** indicates lack of availability of vibrant multi-disciplinary institutions in urban and rural areas which are needed for the students to get the benefit of choice of different streams in MGKV and UoL both.

2.2.5 Gross Enrolment Ratio

Gross Enrolment Ratio (GER) is often used to measure the higher education access. GER is the total enrolment in higher education (both degree and diploma programmes) as a percentage of the population in the eligible age cohort of 18–23 years. Increase in GER with respect to its target during 2014-20 is one of the indicators for outcomes in higher education (*Sl. No. 19 of Appendix 1.2*).

Twelfth FYP targeted to increase GER in higher education to 25 *per cent* by 2016-17. Further, the State Government fixed target of 30 *per cent* GER by the year 2020 and 40 *per cent* GER by 2030. The achievement of the State with reference to GER data was as given in **Table 2.8**.

Table 2.8: Data of Gross Enrolment Ratio

Particulars	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20
GER of India	24.30	24.50	25.20	25.80	26.30	27.10
GER of UP	25.00	24.50	24.90	25.90	25.80	25.30
Ranking of UP	18	19	19	19	20	21

(Source: AISHE reports)

The following can be observed from **Table 2.8**:

- State Government did not achieve its target of 30 *per cent* GER by 2020.
- GER of Uttar Pradesh showed a fluctuating trend during 2014-15 to 2019-20, it remained lower than the All-India GER during 2014-20 (except in 2014-15 and 2017-18).
- Ranking of Uttar Pradesh in terms of GER amongst States/Union Territories showed a declining trend from 18th rank in 2014-15 to 21st in 2019-20.

The State Government stated (July 2022) that the efforts taken by the Government shall improve the gross enrolment ratio in the State.

2.2.6 Seats to application ratio

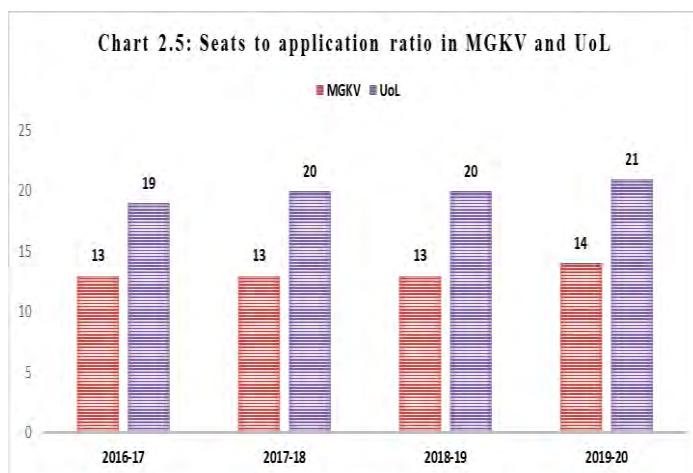
To assess the admission strength in each program, percentage of sanctioned seats available for the students who applied for admissions in each program was taken as

indicator. We obtained data of first year UG (BA, B Sc and B Com) and PG (MA, M Sc and M Com) courses in test checked universities and worked out seats to application ratio. The number of seats sanctioned in these courses in the test checked universities during 2016-17 to 2019-20, the number of applications received and the seat to application ratio is given in **Table 2.9** and **Chart 2.5**.

Table 2.9: Seats to application ratio for UG and PG general streams

Name of University	2016-17			2017-18			2018-19			2019-20		
	Sanctioned seats	Application received	Seats to Application ratio (Per cent)	Sanctioned seats	Application received	Seats to Application ratio (Per cent)	Sanctioned seats	Application received	Seats to Application ratio (Per cent)	Sanctioned seats	Application received	Seats to Application ratio (Per cent)
MGKV	3002	23923	0.13:1 (13)	3002	22392	0.13:1 (13)	3002	23383	0.13:1 (13)	3479	24437	0.14:1 (14)
UoL	6018	31793	0.19:1 (19)	6568	33457	0.20:1 (20)	6688	33725	0.20:1 (20)	6653	31214	0.21:1 (21)

(Source: MGKV and UoL)



Minimum one seat is needed for a student to be admitted in any course/program of study. As is evident from **Chart 2.5**, during 2016-2020 seats to only 13 to 14 per cent students were available in MGKV and 19 to 21 per cent seats were available for a student to be admitted in UoL. The increase in the seat to application ratios during 2016-20 in both the test checked Universities were insignificant.

The State Government replied (July 2022) that by way of establishing new Universities and Colleges, the process of balancing in distribution of seats per student was under process.

2.3 Ensuring Equity in Higher Education

Achieving equity in access to higher education is a universally accepted objective of any higher education system. Equity needs to be ensured across various divisions of society, viz., gender, caste, socio-economic backwardness, disability and other vulnerabilities.

Twelfth FYP in paragraph 21.239 envisaged a targeted approach focusing on Scheduled Caste (SC) and Scheduled Tribes (ST) dominated regions and convergence of various equity schemes in a composite manner to address the educational needs of the disadvantaged sections. Further, as per paragraph 2.2.2 (a) of Report on 'Inclusive and Qualitative Expansion in Higher Education', Twelfth FYP shall aim at complete elimination of gap between men and women in access to higher education.

In the following paragraphs, observation about aspects related to increase in GER of disadvantaged group and efforts made by test checked institutions including

strengthening of SC/ST Cell, organising gender equity promotion programs etc. are discussed.

2.3.1 GER of disadvantaged groups

SCs, STs, OBCs, minorities, disabled and women have generally been considered as the disadvantaged sections of our society and many policies and schemes target their enhanced enrolment in higher education. Category wise GER is the most common metric used to assess the improvement in enrolments of these sections and the effectiveness of measures targeted towards such improvement. To assess efforts of the State Government in this regard, increase in category wise GER with respect to All India Ratios/targets during 2014-20 is used as an indicator for outcomes in higher education (**Sl. No. 20 of Appendix 1.2**).

Data with respect to GER of OBCs, minorities and disabled categories were not made available to audit though asked for. In the absence of complete data, Audit could only analyse GER of SCs, STs and Female categories and gender parity index⁴ taking the data from AISHE⁵ reports. Data for All India and for Uttar Pradesh for the period 2014-15 to 2019-20 are given in **Table 2.10**.

Table 2.10: GER of SC, ST category and Gender Parity Index

(in per cent)

Year	GER of SC category		GER of ST category		GER of female category		Gender parity index	
	All India	Uttar Pradesh	All India	Uttar Pradesh	All India	Uttar Pradesh	All India	Uttar Pradesh
2014-15	19.10	20.60	13.70	30.60	23.20	25.50	0.92	1.04
2015-16	19.90	20.50	14.20	30.60	23.50	24.90	0.92	1.03
2016-17	21.10	21.10	15.40	33.30	24.50	25.30	0.94	1.03
2017-18	21.80	21.70	15.90	35.60	25.40	26.70	0.97	1.06
2018-19	23.00	24.00	17.20	42.60	26.40	27.50	1.00	1.14
2019-20	23.40	23.60	18.00	39.00	27.30	26.90	1.01	1.13

(Source: AISHE reports)

For the period 2014-20, the following observations are made from **Table 2.10** above:

- Though GER of SC category of Uttar Pradesh increased from 20.60 *per cent* of 2014-15 to 23.60 *per cent* of 2019-20 but it showed a reduction from previous year (2018-19: 24.00 *per cent*); however, it was better than/equal to All India Average in all years except 2017-18.
- GER of ST category increased from 30.60 *per cent* to 39.00 *per cent* but it also showed a reduction from previous year (2018-19: 42.60 *per cent*). However, it was way ahead of All India Average in all years.
- GER of female category reduced to 26.90 *per cent* in 2019-20 from 27.50 *per cent* of penultimate year.
- Gender parity index of all categories of Uttar Pradesh increased from 1.04 to 1.13 which was a good trend.

The State Government stated (July 2022) that for improving GER of female and SC/ST categories, students in the State are encouraged by way of reduction in fee, implementing scholarships scheme and providing other facilities etc.

⁴ It is calculated as the quotient of number of females by number of males enrolled in higher education institutions.

⁵ All India Survey of Higher Education (AISHE), Ministry of Education (Department of Higher Education), Government of India.

2.3.2 Institutional mechanisms to assist disadvantaged groups

Apex planning and regulatory institutions have emphasized the importance of setting up and strengthening institutional mechanisms such as Equal Opportunity Cell, SC/STs Cells, Community Education Development Cell (CEDC), etc.

UGC in its directions issued (September 2009) to universities stated that Equal Opportunities Cell (EOC) should be setup in colleges to improve the infrastructure and basic facilities so as to help SC/STs/OBCs (non-creamy layer) and minorities to achieve at least the threshold level and to promote enhancement of quality. Colleges were also allowed to obtain funds from UGC as assistance for opening of the EOC. Tenth and Eleventh FYPs initiated establishment of SC/STs Cell.

Twelfth FYP envisaged formation of CEDC mandatorily in all recognized institutions. Paragraph 6.1.2 of Inclusive and Qualitative Expansion of Higher Education (12th FYP document) stipulates creation of a CEDC to monitor intake of students, performance, capacity building efforts, along with intake in faculty and administrative staff from deprived social groups, including minorities new programs. Audit findings on EOC and CED Cell are discussed below:

2.3.2.1 Equal Opportunity Cell and Community Education Development Cell

The basic aim and the objective of EOC and CEDC were to oversee the effective implementation of policies and programs for disadvantaged groups, to provide guidance and counseling with respect to academic, financial, social and other matters, to monitor intake of students, performance, capacity building efforts, along with intake in faculty and administrative staff from deprived social groups, including minorities new programs etc.

Audit observed that MGKV did not notify constitution of EOC in the University. In UoL, EOC was though set up through a notification in September 2013 but during 2014-20, it did not perform its functional activities.

None of the test checked colleges affiliated by both the test checked Universities took funds from UGC scheme for opening the EOC. Due to which, EOCs were not opened in the colleges and the SC/STs/OBC students deprived from the benefits of the Cell.

CEDC was also not formed in MGKV, UoL and their test checked affiliated colleges. Due to not forming the institution (CEDC), the students belonging to disadvantaged sections in all test checked HEIs were not made aware of all the initiatives and programs in place to put them on equal footing.

The State Government replied (July 2022) that directions for establishing different Cells had been issued in January 2021. In the Exit Conference (15 July 2022), it was apprised that the problem may be because of not documenting by the Cells established in HEIs. It was further stated that earlier UGC provided funds for establishing the Cells but now the funding had been stopped.

The fact remains that EOC and CEDC was either not notified or not functional in test checked Universities/colleges, as a results the HEIs and the students could not enjoy the benefits of institutional outcomes of EOC and CEDC.

2.3.3 Gender equity promotional programs and gender sensitive facilities

Often considered as the largest disadvantaged section of our society, upliftment of women in general is essential towards enhancing gender equity in higher education.

NAAC evaluates performance of an institution on promotion of gender equity and sensitivity during accreditation of a higher education institution. It considers it as a key indicator of 'Institutional Values'. An HEI's initiatives in terms of the number of gender equity promotional programs (sexual harassment and violence against women, women's right and access to criminal justice, legal awareness about women related laws, etc.) organised and gender sensitivity facilities (safety and security, counseling, common room, etc.) being provided are assessed.

Audit observed that out of eight test checked departments⁶ of MGKV, two departments (Social Work Department and Psychology Department) organised signature campaign on International Day on Elimination of Violence, lecture on *Nirbhaya Smriti Diwas*, awareness program on Triple *Talaq*, etc. during 2014-20. However, relevant records related to these activities were not maintained by the departments. During 2014-20, 19 gender equity promotional programs were organised (17 programs by Social Work Department and two programs by Psychology department) in the University.

Of the test checked 10 departments⁷ in UoL, none of the departments organized gender equity promotional program.

Out of six test checked government and non-government aided colleges affiliated to MGKV Varanasi, five colleges⁸ organised gender equity programs related to self-defense training, awareness against sexual exploitation and violence, etc., during 2014-20.

Test checked government colleges⁹ and non-government aided colleges¹⁰ affiliated to UoL organised gender equity promotional programs during 2014-20, such as gender sensitisation, celebrations of International Women Day and International Literacy Day, lecture on women empowerment, poster competition on sex ratio, violence against women, child abuse etc.

As evident from the above paragraphs, the gender equity promotional programs were held sporadically in some departments of the test checked universities and colleges.

In reply, UoL stated (July 2022) that it had Gender Sensitisation Cell which organises awareness program, lecture and training. MGKV did not furnish reply on the issue.

2.3.4 Reservation to Economically Weaker Sections in admissions

State Government Order¹¹ (18 February 2019) provided for reservation to Economically Weaker Sections (EWS) in admission to educational institutions¹² with effect from academic session 2019-20 subject to a maximum of 10 *per cent* of the total seat in each category.

Audit observed that 10 *per cent* seats were reserved for admissions under EWS category in both test checked Universities. Out of 345 seats reserved in MGKV for EWS students in BA, B.Sc, B.Com, MA, M.Sc and M.Com courses in each year during 2019-22,

⁶ MGKV: Botany, Chemistry, Commerce, Economics, Geography, Psychology, Physics and Social work.

⁷ English, Economics, Sanskrit, Ancient Indian History, Philosophy, Applied Economics, Commerce, Physics, Chemistry and Botany.

⁸ Govt. PG College Obra Sonbhadra, Govt. Degree College Naugarh Chandauli, Pandit Kamalapati Tripathi Rajkiya PG College Chandauli, Jagatpur PG College Varanasi and Sri Agrasen Kanya PG College Varanasi.

⁹ Maharaja Bijli Pasi Government PG College, Ashiyana, Lucknow and Mahamaya Government Degree College, Mahona, Lucknow.

¹⁰ Karamat Husain Muslim Girls' PG College, Lucknow and Navyug Kanya Mahavidyalaya Lucknow.

¹¹ GoUP Order number 1/2019/4/1/2002/Ka-2/19 T.C.II dated 18.2.2019

¹² except minority educational institutions

only 132 seats (38 *per cent*) in 2019-20, 188 seats (54 *per cent*) in 2020-21 and 214 seats (62 *per cent*) in 2021-22 were filled up with students from EWS category.

In UoL, out of the 395, 413 and 420 UG seats reserved in 2019-20, 2020-21 and 2021-22 for EWS students, 347 seats (88 *per cent*), 373 seats (90 *per cent*) and 259 seats (62 *per cent*) respectively were filled up. Further, against reserved seats of 390, 462 and 470 for EWS students in PG courses during 2019-20, 2020-21 and 2021-22 respectively, 257 students (66 *per cent*), 311 students (67 *per cent*) and 315 students (67 *per cent*) respectively were admitted.

Test checked Government Colleges

In Maharaja Bijli Pasi Government PG College, Lucknow, affiliated by UoL, EWS seats were though reserved in MA (30 seats) and M.Sc (three seats) courses but admissions under EWS were not noticed. Further, out of reserved seats in BA (24), B.Sc (six) and B.Com (six), no admission in BA was noticed under EWS quota during 2019-22 whereas one student was admitted in B.Sc course in 2019-20. In B.Com course admission were provided to three, five and one EWS students in 2019-20, 2020-21 and 2021-22 respectively. The College attributed the vacant seats of EWS to less number of applications under EWS quota.

In Mahamaya Government Degree College, Mahona, Lucknow affiliated by UoL, 10 *per cent* seats were reserved in BA, B.Sc and B.Com courses but admissions of EWS students were not noticed. The College stated (September 2022) that the students under EWS category would be taken as and when they apply for admission.

Pandit Kamlapati Tripathi Rajkiya PG College, Chandauli, which is affiliated to MGKV, reserved 10 seats against required 20 seats (10 *per cent* against sanctioned 200 seats) in BA course to EWS students during 2019-22. All EWS seats were filled during 2019-20 and 2020-21, however, four EWS seats remained vacant during 2021-22.

In case of Government PG College Obra, Sonbhadra, affiliated by MGKV, seats were reserved for EWS students, but these remained vacant during 2019-22 except partial utilisation of EWS seats¹³ in M.Sc and M.Com during 2020-22. The College attributed the vacant seats of EWS to lack of sufficient number of applications for admission. Further, Government Degree College Naugarh Chandauli though reserved EWS seats for BA course, however, EWS quota could not be utilised as the overall number of applicants for admission in the college remained less than the sanctioned number of seats in the college.

Test checked Non-Government Aided Colleges

Out of five test-checked non-government aided colleges, the reservation under EWS quota was not applicable to Karamat Hussain Muslim Girls' PG College, Lucknow being a minority college. The remaining four test checked non-government aided colleges reserved 10 *per cent* seats for EWS students, except Navyug Kanya Mahavidyalaya Lucknow which did not reserve seats for EWS students in 2019-20 and reserved less than 10 *per cent* seats¹⁴ in 2020-21 and 2021-22. Further, admissions of students of EWS category against reserved seats were not noticed during 2019-22 in test-checked colleges, except in Sakaldeepa PG College, Chandauli in which admissions to only three students against 72 EWS seats were provided in BA course in 2020-21.

¹³ Out of nine EWS seats in MSc, two students (in 2020-21) and three students (in 2021-22) were admitted. Further, four students (in 2020-21) and six students (in 2021-22) were given admission out of six EWS seats in M Com.

¹⁴ Reserved 70, 19 and 24 seats for EWS against required 77, 20 and 26 seats for BA, B Sc and B Com courses respectively in 2020-21 and 2021-22.

These colleges stated (September 2022) that EWS seats remained vacant due to lack of applications from students under EWS quota.

Thus, although 10 *per cent* reservation of seats for EWS students was provided by test-checked universities and colleges, there were a large number of vacant seats under this category.

2.3.5 Physical infrastructure for differently abled students

The Persons with Disabilities Act, 1995 indicates that differently abled persons should have access to education at all levels. Paragraph 2.2.2 (c) of the Report stipulates improvement in basic infrastructural facilities for enabling differently abled students to access all institutions of higher education. Further, during accreditation of an institution, NAAC considers availability of physical facilities such as lifts, ramps/rails, braille software, rest rooms, scribes for examinations, skill development, *etc.*, in an institution.

Audit observed that in MGKV many of the infrastructure, *viz.*, lifts, ramps/rails, braille software, skill development, *etc.*, was not available in the eight test checked departments. Only Commerce department had rest room facilities and only three departments provided scribes in examinations on demand of the disabled students. Out of test checked ten departments in UoL, rest room facility was available in Botany department only.

In reply, UoL stated (July 2022) that all type of physical infrastructure was provided to differently abled students either in admission, examinations, teachings and all other activities. However, the evidence provided to audit spoke otherwise. MGKV did not furnish reply on the issue.

2.4 Teaching infrastructure

Higher educational institutions should create an environment that not only assures learning, but also pays attention to the mental and physical well-being of the students. Environmental factors can increase the academic performance and motivate attendance. Overcrowded and stressful environment can affect the learning capabilities of students. Physical conditions can leave both positive and negative effects on the students' all-inclusive development.

Well-equipped laboratories enable the students to perform lab activities more effectively. Facilities like workshops, libraries, halls, games equipment, ICT facilities, ramp for differently abled students, drinking water facility, assembly area and proper sanitation facilities are some of the infrastructure essentials that every higher educational institution should provide to its students. Paragraph 3.1 of UGC (Affiliation of Colleges by Universities) Regulation, 2009 prescribes that affiliated colleges should have minimum infrastructure facilities such as a college building, classrooms, laboratory, library, *etc.*, as specified in the regulation. NAAC also considers percentage of ICT enabled classrooms and student-computer ratio while granting accreditation to an institution.

Some of these aspects were examined during audit and related observations are discussed in succeeding paragraphs.

2.4.1 Availability of ICT facilities

To assess the efforts made by test checked institutions to encourage advanced teaching methods through the use of ICT, the percentage of classrooms/seminar halls with ICT-enabled facilities, such as, smart class, learning management system, etc., during 2019-20 were used in Audit (**Sl. No. 22 of Appendix 1.2**). This indicator is also one of the key indicators used by NAAC during assessment and accreditation process of HEIs.

The percentage of ICT enabled classrooms in selected eight departments¹⁵ of MGKV and in selected 10 departments of UoL during 2019-20 is given in **Table 2.11**.

Table 2.11: ICT enabled classrooms in test checked Universities

Name of university	Percentage of ICT enabled classrooms		
	Total number of classrooms	No. of classrooms with ICT	Percentage
MGKV	28	08	29
UoL	60	10	17

(Source: MGKV and UoL)

It is evident from the table above that during 2019-20, only 29 per cent and 17 per cent class rooms in MGKV and UoL respectively were ICT enabled. Further scrutiny revealed that two out of six test checked colleges¹⁶ in MGKV did not have ICT enabled classrooms. Further, the remaining four test checked colleges¹⁷ had 15 (9 per cent) out of 165 classrooms ICT enabled during 2019-20. In case of UoL, one college (Mahamaya Government Degree College, Mahona, Lucknow) out of four test checked colleges did not have ICT equipped classroom, whereas in the remaining three colleges¹⁸ 15 (16 per cent) out of 93 classrooms were ICT enabled. Thus, usage of ICT teaching tools by the faculties in UoL, MGKV and their test checked colleges was very less.

UoL stated (July 2022) that ICT facilities were available in almost all departments. However, the fact remains that in test-checked departments, only 17 per cent classroom had ICT facility.

2.4.2 Availability of infrastructure facilities

Buildings, classrooms, laboratories and equipment are crucial elements of the learning environment in universities and colleges. High-quality infrastructure facilities improve student outcomes and reduces dropout rates among other benefits. UGC (Affiliation of Colleges by the University) Regulation, 2009 fixed norms for minimum requirement of buildings, laboratory, library, etc., for affiliated colleges.

MGKV

As per information provided by MGKV, administrative and academic blocks, laboratories and central library were available in the University. University library had provided free access to e-resources through e-ShodhSindhu¹⁹. MGKV, however, informed shortage of following equipment in laboratories of Physics, Chemistry, Botany and Zoology.

¹⁵ Due to non-availability of consolidated information of the universities.

¹⁶ Pt. Kamlapati Tripathi Government PG College, Chandauli and Government Degree College, Navgarh, Chandauli.

¹⁷ Sri Agrasen Kanya PG College Varanasi (4 ICT enabled classrooms out of 85 classrooms), Jagatpur PG College Varanasi (5 ICT enabled classrooms out of 52 classrooms), Government PG College Sonbhadra, Obra (4 ICT enabled classrooms out of 15 classrooms) and Sakaldeepa PG College (2 ICT enabled classrooms out of 13 classrooms).

¹⁸ Maharaja Bijli Pasi Government PG College, Ashiyana, Lucknow of UoL (6 ICT enabled classrooms out of 18), Karamat Husain Muslim Girls PG College Lucknow (2 ICT enabled classrooms out of 25) and Navyug Kanya Mahavidyalaya Lucknow (7 ICT enabled classrooms out of 50).

¹⁹ Ministry of HRD (now renamed as Ministry of Education) has formed e-Shodh Sindhu which provides e-resources (e-journals, e-journal archives and e-books) to its member institutions including universities and colleges.

Table 2.12: Shortage of equipment in laboratories in MGKV as of January 2020

Name of the Laboratory	Types of equipment	Number of equipment required	Number of equipment available	Shortage (per cent)
Physics	38	158	57	101 (64)
Chemistry	27	480	433	47 (8)
Botany	42	1319	1141	178 (14)
Zoology	21	198	141	57 (29)

(Source: MGKV)

UoL

As per the information furnished by UoL, the University has 147 acres land in old campus and 71 acres land in new campus, adequate classrooms, lab facilities, playground, sports facilities, etc. The central library (Tagore Library) was equipped with 538 computers for e-resource access to students and faculties. There was membership of e-ShodhSindhu and the library has also purchased e-books for faculty members and students. Further, Chemistry Department of UoL informed (August 2021) shortage of 155 (35 per cent) equipment in laboratory as against 442 number of required equipment of 16 types.

Test checked colleges

Results of physical verification of availability of infrastructure facilities in six test-checked colleges (three government colleges and three non-government aided colleges) and 28 self-financed private colleges affiliated to MGKV and four test checked colleges (two Government Colleges and two non-government aided Colleges) and 12 self-financed private colleges affiliated to UoL are given in **Table 2.13**.

Table 2.13: Availability of facilities in affiliated colleges of MGKV and UoL

Name of university	No. of colleges physically verified		No. of colleges having sufficient administrative and academic building		No. of colleges having lab facilities		No. of colleges having sufficient library facility		No. of colleges having sufficient furniture		No. of colleges disabled friendly	
	Govt.	Pvt.	Govt.	Pvt.	Govt.	Pvt.	Govt.	Pvt.	Govt.	Pvt.	Govt.	Pvt.
MGKV	06	28 ²⁰	06	27	05	25	05	22	05	27	03	06
UoL	04	12 ²¹	04	10	04	9 ²²	04	10	04	10	0	04

(Source: Test checked affiliated colleges)

Adequate academic and administrative buildings were available with government colleges of MGKV but only 83 per cent colleges had sufficient laboratory, library and furniture. Further, only 50 per cent government colleges were provided with disabled friendly facilities. In case of self-financed private colleges of MGKV, one college was found closed during facility survey and the remaining 27 private colleges had sufficient administrative and academic blocks as well as furniture. Libraries and laboratories were available in 81 per cent and 93 per cent self-financed private colleges respectively, while only 22 per cent had disabled friendly facilities.

Similarly, except two self-financed private colleges which were found closed during facility survey, sufficient academic and administrative buildings were available with test checked government and self-financed private colleges of UoL. However, no government college of UoL was disabled friendly in test checked sample and only 40 per cent self-financed private colleges were disabled friendly.

²⁰ One college (Maharaja Jodhraj Singh Mahavidyalaya, Sant Ravidas Nagar, Bhadohi) was found closed.²¹ Two (Bimtec Degree College, Baxi Ka Talab, Lucknow and Jakisth Education Institute, Rampur Behta, Lucknow) were found closed.²² No practical subject was available in one private college (C.B. Gupta B.S.S Mahavidhyalaya, Lucknow).

2.4.2.1 Availability of hostels

MGKV have two boys' and one girls' hostel with their total intake capacity of 580 students. Of the total 8,592 students enrolled during academic session 2019-20, 419 students (6.75 *per cent*) were residing in these hostels. In our joint physical verification of hostels, 12 rooms (double seated capacity) in Narendra Dev Boys' Hostel were occupied for storing purposes.

UoL have ten boys' and seven girls' hostels with intake capacity of 2,769 students (18 *per cent* of enrolled students: 15562 of 2019-20). During 2019-20 academic sessions, 2,408 students were residing in these hostels. In joint physical verification (August-2021) of seven student's hostels²³ of Arts, Commerce and Science streams, Audit noticed that two hostels (Habibullah Boys Hostel and Prof. R. S. Bisht Boys Hostel) were not in good condition.

The State Government replied (July 2022) that repair of dining hall and kitchen had been started by UoL.

2.4.2.2 Student's satisfaction survey

Student's satisfaction survey was done on pre-designed questions. The survey was done by the Audit among 975 students in both the test checked universities and colleges (525 in MGKV and its test checked colleges and 450 in UoL including its test checked colleges) in the departments selected for audit. Results of student survey are summarized in **Table 2.14**.

Table 2.14: Result of students' satisfaction survey

Sl. No.	Status of students' satisfaction	Response (in <i>per cent</i> of students)	
		MGKV	UoL
1.	Are you satisfied with the laboratory facility available in the campus?		
	Dissatisfied	12	12
	Satisfied	43	36
	Partially satisfied	21	16
	Highly satisfied	15	30
	Not offered comment	09	06
2.	Are you satisfied with the library facility?		
	Dissatisfied	06	11
	Satisfied	43	35
	Partially satisfied	26	18
	Highly satisfied	23	36
	Not offered comment	02	0
3.	Are you satisfied with the toilet facility in the campus?		
	Dissatisfied	08	30
	Satisfied	43	28
	Partially satisfied	18	20
	Highly satisfied	30	22
	Not offered comment	01	0
4.	Are you satisfied with the Drinking water facility in the campus?		
	Dissatisfied	03	18
	Satisfied	39	35
	Partially satisfied	09	19
	Highly satisfied	49	28
	Not offered comment	0	0

²³ Tilak Hall Girls Hostel, Chandra Shekhar Azad Hall, Kailash Girls Hostel, Lal Bahadur Shastri Boys Hostel, Mahmudabad Boys Hostel, Habibullah Boys Hostel and Prof. R. S. Bisht Boys Hostel (Arts College).

Sl. No.	Status of students' satisfaction	Response (in per cent of students)	
		MGKV	UoL
5.	Are you satisfied with the supportive facilities for differently abled?		
	Dissatisfied	21	17
	Satisfied	38	38
	Partially satisfied	16	21
	Highly satisfied	20	21
	Not offered comment	05	03
6.	Are you satisfied with the cleanliness in the campus?		
	Dissatisfied	02	11
	Satisfied	44	38
	Partially satisfied	10	19
	Highly satisfied	43	32
	Not offered comment	01	0

(Source: Test checked affiliated colleges)

As evident from students' satisfaction survey, a large percentage of students were satisfied with the available infrastructure of MGKV and UoL.

2.4.3 Funding for infrastructure

MHRD provides funds through RUSA for filling critical infrastructure gaps in higher education by augmenting and supporting the efforts of the State Governments. It provides infrastructure grants to universities and colleges for upgrading the existing infrastructure by way of new construction, renovation or purchase of equipment. State Government also provides funds to colleges for improvement of their existing college buildings, smart classes and purchases of computers.

To assess efforts of the test checked universities in this regard, average percentage of budget allocation, expenditure excluding salary for infrastructure augmentation during 2014-20 has been used in Audit as an indicator (**Sl. No. 23 of Appendix 1.2**). This indicator is also one of the key indicators used by NAAC during assessment and accreditation process of HEIs.

Status of budget allocation on infrastructure augmentation and total expenditure excluding salary during the period 2014-20 is given in **Table 2.15**.

Table 2.15: Budget allocation for infrastructure with respect to expenditure
(₹ in crore)

Name of the Institution	Budget allocation		Total expenditure excluding salary	Average percentage of budget allocation excluding salary for infrastructure augmentation
	Total allocation excluding salary	Allocation for infrastructure augmentation		
MGKV	216.08	43.56	162.73	27
UoL	654.09	221.71	462.33	48

(Source: Finance wing of the Universities)

Scrutiny of records and information revealed that during 2014-20, the budget allocation for infrastructure in MGKV was 27 per cent of its total expenditure excluding salary. Similarly, the UoL allocated 48 per cent of funds for expenditure on infrastructure.

NAAC awards maximum score to institutions where on average 20 per cent and above budget allocation excluding salary was for infrastructure augmentation during last five years. Thus, as against this indicator both the test checked universities have performed well.

2.5 Affordability

Affordability is an important enabler for equitable and easy access to higher education. As per paragraph 21.182 of 12th FYP, the pressure to increase access to affordable education is steadily increasing with the number of eligible students set to double by 2020. Regulated fee structure, comparable fees in government and private colleges, attractive student loan schemes and ample opportunities for availing scholarships/free-ships are some of the factors that contribute towards making higher education affordable. The audit findings are discussed below:

2.5.1 Uniformity in fee structure

As per UGC (Affiliation of Colleges by University) Regulation 2009, fees to be charged from each student should be approved by the affiliating university.

Audit observed that in spite of specific provision given in UGC Regulation, both the test checked Universities did not approve fees structure for its affiliated private colleges.

State Government issued an order (1997) for fixation of tuition fee for different self-financed courses and considering BA, B Sc and B Com courses at par, the State Government fixed same tuition fee of ₹ 5,000 yearly for all the courses. Audit, however, observed that the total fee of regular and self-financed courses charged from the student during 2014-20 by the test checked institutions were varying to a large extent. For the same course the fee being taken in MGKV for regular courses was different from that of UoL. Further, the annual fee of self-financed courses during 2014-17, of BA (₹ 12,000-22,400), B Com (₹ 25,000-30,000) and M Com (₹ 15,000-16,000) and M Sc (₹ 16,000-44,400) in UoL was approximately three time higher than that in MGKV. The fee data for 2017-20 was not made available by the UoL though asked for. Again the fee of self-financed courses in test-checked colleges of UoL was higher than that in the colleges of MGKV (**Appendix 2.2**).

Details of fee structure indicating minimum and maximum fee (including all fees) in a course in test checked universities and their test checked colleges is given in **Table 2.16**.

Table 2.16: Fee structure in MGKV, UoL and their test checked Colleges

(in ₹)

Programs	MGKV		Colleges of MGKV (2014-20)		UoL (2014-17)		Colleges of UoL	
	Regular	Self financed	Regular	Self financed	Regular	Self financed	Regular	Self financed
BA	2055-3190	Not applicable	1730- 3944	Not made available	2869- 10219	12000- 22400	2070- 7000	Not applicable
B.Com	2105-2110	Not applicable	1900- 2841	6550- 15600	6869- 7919	25000- 30000	3365- 7272	11200- 21300
B.Sc.	Not applicable	6910- 13700	2410- 3591	6550- 21800	4369- 17919	6000- 22600	4065- 14660	18600- 25000
MA	2515-4840	8100- 20880	1898- 5171	6500- 28000	1852- 6500	6000- 40000	2300- 5873	6885- 23000
M.Com	2565-2570	Not applicable	5441	13100- 23000	5091- 5902	15000- 16000	Not made available	14500- 15000
M.Sc.	3115-3120	8100- 10260	2420- 5441	Not made available	3352- 15000	16000- 44400	Not made available	Not made available

(Source: Concerned institutions)

Thus, the fee structure of different regular and self-financed courses varied substantially from university to university and from college to college even in the UG courses where the State Government had established parity of tuition fees through the executive order. It is a clear indication that neither the Government nor the Universities have any mechanism to regulate fee of colleges despite clear rule framed by UGC and orders issued by the State Government.

2.5.2 Scholarship

Scholarship²⁴ schemes, as a facilitative mechanism, have been widely used by governments to not only encourage meritorious students but also to enhance equity in access to higher education. In para 6.1.2 (c) of Report on 'Inclusive and Qualitative Expansion in Higher Education' issued under 12th FYP, it is advised that for enhancing participation of SC/ST/OBC/Minorities, scholarships and fellowships for students of SC/ST/OBC/Minorities may be enhanced at all levels.

The GoUP through its Social Welfare Department implements fee reimbursement and scholarship schemes for the students pursuing various general, professional and technical programs. The funds under the scheme are being transferred in Direct Benefit Transfer (DBT) mode with the objective of development of SC/ST/OBC/Minorities and uplifting their educational status.

Audit collected data of scholarships provided to the students of test checked HEIs. The results of audit analysis are discussed below:

Audit observed that 73 to 80 *per cent* students in MGKV and 56 to 67 *per cent* students in UoL were benefited from post matric scholarships provided by Social Welfare Department during 2017-20. Number of students enrolled, number of students benefited and percentage of students benefited is used as an indicator for outcomes in higher education (**Sl. No. 21 of Appendix 1.2**). The position of students enrolled in test checked Universities and students benefited for the period of 2017-20 are given in **Table 2.17**.

Table 2.17: Students enrolled in test checked universities and students benefited with scholarships during 2017-20

Year	2017-18		2018-19		2019-20	
Name of University	No. of students enrolled	No. of students benefitted (Per cent)	No. of students enrolled	No. of students benefitted (Per cent)	No. of students enrolled	No. of students benefitted (Per cent)
MGKV	8178	6535 (80)	8881	6460 (73)	8592	6408 (75)
UoL	9929	5580 (56)	9409	5271 (56)	8583	5780 (67)

(Source: MGKV and UoL)

Out of six test-checked colleges in MGKV, in four colleges²⁵ scholarship were provided to 23.05 *per cent* to 80.16 *per cent* students during the period 2014-20. Remaining two colleges did not provide data of the scholarships provided to students. In test-checked colleges affiliated with UoL, the details of the beneficiaries of government scholarship were not available with colleges. UoL stated (July 2022) that the students had applied

²⁴ Scholarship means a sum of money or other aid granted to a student, because of merit, need, etc., to pursue his or her studies.

²⁵ Sri Agrasen Kanya PG College, Sakaldhia Post Graduate College Sakaldhia, Chandauli, Jagatpur PG College Varanasi and Government PG College Sonbhadra Obra.

online on the portal of Social Welfare Department and their data was verified by the competent authorities.

Conclusion and Recommendations

The State Government did not undertake geographical mapping to identify habitations that were lacking in higher education facilities. The number of government and non-government aided colleges was almost stagnant, but the number of self-financed colleges increased by 56 *per cent* in 2019-20 as compared to 2014-15. Twenty districts did not have either Government or non-government aided girls' colleges. The GER ranking of Uttar Pradesh which was 18 in 2014-15 among all the States and Union Territories declined to 21 in 2019-20. Many of the test checked colleges were deficient with infrastructural facilities including ICT teaching tools.

Test checked Universities did not prescribe fee structure for private affiliated colleges. There was wide variation even within same courses. 73 to 80 *per cent* students in MGKV and 56 to 67 *per cent* students in UoL were benefited by scholarships provided by the State Government.

Recommendation 1: *To achieve overall targeted Gross Enrollment Ratio of 40 per cent by 2030 in Uttar Pradesh, the State Government should ensure access to higher education by providing more colleges in districts where there is shortfall.*

Recommendation 2: *To provide quality education in all Colleges the State Government should provide prescribed basic infrastructure in Government Colleges. The Universities should ensure availability of infrastructure and basic facilities in affiliated private colleges.*

Recommendation 3: *In order to make higher education affordable the State Government and the Universities may regulate fee structure of private colleges.*

Chapter-3

Quality of Higher Education

3 Quality of Higher Education

This chapter discusses societal perspective of higher education outcomes which are expected from the Higher Education System. In order to assess the performance of higher education institutions (HEIs) and GoUP in providing high quality Higher Education, the following audit objectives were framed.

Audit objective 2: Whether good quality higher education was ensured through effective teaching, learning and examination processes and high quality research?

Audit objective 3: Whether there was employability and progression of students to higher studies?

Brief Snapshot of the Chapter:

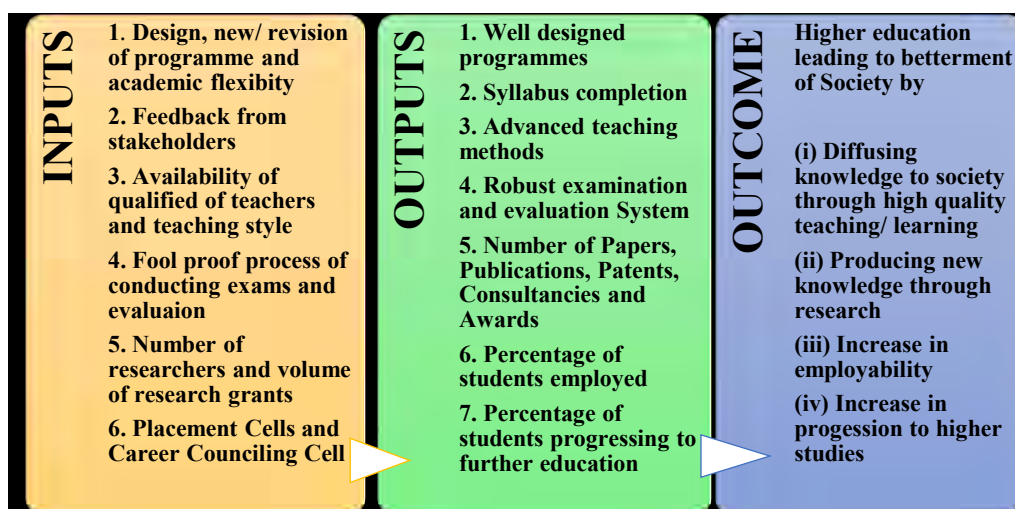
- Twelfth FYP envisaged that the curricula be revised at least once every three years, however, in MGKV, syllabus of only 31 *per cent* courses of the test checked departments were revised during 2014-20. Only 21 *per cent* and 10 *per cent* of the programs in MGKV and UoL respectively, were focused on employability/entrepreneurship/skill development.
- As against prescribed ratio of 20:1, the Student Teacher Ratio (STR) of government colleges in State during 2019-20 was 49:1. The STR in Arts, Commerce and Science streams in MGKV during 2019-20 was 54:1, 52:1 and 53:1 respectively. During the same period STR of UoL in Arts, Commerce and Science streams was 18:1, 39:1, 12:1 respectively. In the test checked government colleges of MGKV, STR of Arts, Commerce and Science streams was very high 151:1, 174:1, 306:1 and in the test checked colleges of UoL was 58:1, 63:1, 18:1 respectively.
- On an average only 19 *per cent* teachers attended professional development programs in MGKV and 16 *per cent* in UoL. In test checked colleges of MGKV and UoL on an average five *per cent* and 19 *per cent* teachers respectively attended training programs.
- Delay in declaration of results during 2014-20 ranged up to 273 days in MGKV (except 2018-19) and during 2017-20 in UoL ranged up to 175 days.
- Research projects in MGKV and UoL were completed with delays up to 1,463 days. Patents awarded and consultancy given was nil in test checked Universities.
- In MGKV and UoL, 781 and 2,692 students respectively were placed in the job fairs organised during 2016-20. However, data of students going for higher education either outside the University or colleges or pursuing the higher education in same University during 2014-20 was not maintained.

3.1 Introduction

The expectations of Society from Higher Education can be largely met if the system of Higher Education is of high quality in terms of its teaching-learning processes as well as its research capabilities.

Twelfth FYP (Paragraph 21.184) gave overriding emphasis to quality in higher education. It states that, given the serious quality issues in this sector, other efforts like expansion would prove counterproductive to the future of India. Regarding the importance of general higher education (meaning Arts, Science and Commerce streams), Twelfth FYP (Paragraph 21.244) states that, if properly imparted, general education could be an excellent foundation for knowledge based careers. Therefore, the focus should be on improving the quality of general education.

Various factors contribute towards improving quality of education and students progression to employment or higher studies. Related outcomes and their relationship with the contributing factors can be understood from the representation below:



3.2 Imparting knowledge through effective learning processes

In this section, aspects related to curriculum have been discussed. The audit findings relating to the test checked Universities and their test checked affiliated government, non-government aided and self-financed private colleges are discussed in succeeding paragraphs.

3.2.1 Curriculum Design, Development and Implementation

Curricular aspects are the mainstay of any educational institution. They include curriculum design, development, enrichment, planning, and implementation. Adequate flexibility is also considered as a positive feature of higher education curriculum. Curriculum design and development is a complex process of developing appropriate need-based inputs in consultation with expert groups based on the feedback from stakeholders. This results in the development of relevant higher education programmes¹ with flexibility to suit the professional and personal needs of the students.

Paragraph 4.3 of Report on Inclusive and Qualitative Expansion in Higher Education issued under Twelfth FYP envisaged that the curricula be revised at least once every three years. UGC requested (January 2017) VCs of all the universities to review and revise curricula of all the academic departments in the universities at least once in every

¹ As per NAAC manual programme is a range of learning experiences offered to students in a formal manner over a period of one-to-four years leading to certificates/ diplomas/degrees.

three years having focus on the existing and potential demand and supply of skill sets to make the university/college students employable.

A university has the mandate to visualize appropriate curricula for particular programs, revise/update them periodically and ensure that the outcomes of its programs are defined by its councils/bodies. An affiliated college, on the other hand, is essentially a teaching unit which operationalises the curriculum and depends largely on a university for legitimising its academic and administrative processes. Percentage of programs where syllabus revision was carried out during 2014-20 was evaluated in audit as Key Outcome Indicator (**Sl. No. 3 of Appendix 1.1**).

Audit noticed that MGKV revised curriculum/syllabus of four (31 *per cent*) out of 13 UG/PG programs offered by eight² test checked departments and UoL revised 17 (85 *per cent*) out of 20 UG/PG programs offered by 10³ test checked departments during 2014-20.

Scrutiny of information provided by two test checked universities with respect to curriculum design and development revealed the following:

- ***Stakeholders' feedback for revising curricular content***

This aspect was scrutinized at the level of selected test checked departments. In MGKV, students' and entrepreneur's feedback were not taken during the process of updating/revision of the four courses discussed above. Head of Department (HoD) of ten selected departments except Sanskrit department in UoL, stated that the feedback from students, faculty and visiting experts was obtained prior to revision in curriculum but lack of documentation by the departments limited Audit's scope of authenticating such a process.

- ***Referring to curricula of leading universities***

MGKV involved outside experts in the process of revision in curriculum. In any case they revised only a very limited number of subjects as mentioned earlier. Scrutiny of the minutes of Board of Studies (BoS) of ten departments test checked in the UoL revealed that no attempts were made at improving the curriculum by referring to curriculum of leading universities in the same field of study.

Thus, with regard to the process of curriculum design and development, though the test checked universities claimed to have followed the laid down procedures, there was insufficient evidence to conclude that crucial feedback from stakeholders, inputs from expert groups and reference to curricula of leading universities were used for curriculum improvement.

The State Government stated (July 2022) that while implementing NEP 2020, the choice-based credit system has been implemented from academic session 2021-22 after revising course/syllabus in universities and colleges in the State. In the exit conference (15 July 2022), the Government informed that NEP 2020 gave an opportunity to the department to revamp and re-envision the curriculums. UP started the task systematically in October 2020 by involving 258 educationists and organising 360 virtual meetings for preparing minimum common syllabus of 74 subject. The syllabus

² Botany, Chemistry, Commerce, Economics, Geography, Psychology, Physics and Social work

³ English and Modern European Languages, Economics, Philosophy, Ancient Indian History & Archaeology, Sanskrit, Commerce, Applied Economics, Physics, Chemistry and Botany.

was uploaded in public domain and feedback from guardians and other stakeholders were obtained.

3.2.2 Courses having focus on employability

NAAC in its accreditation and assessment process gives due weightage to employability, entrepreneurship and skill development focus in the design of curriculum by universities.

In order to assess the efforts made by MGKV and UoL towards increasing focus on employability in curriculum, average percentage of courses having focus on employability during 2014-20 was considered as Key Outcome Indicator (**Sl. No. 4 of Appendix 1.1**) for evaluation. This indicator is derived from one of the key indicators used by NAAC during assessment and accreditation process of HEIs.

The position of the number of programs having focus on employability was as shown in **Table 3.1** below:

Table 3.1: Number and percentage of courses having focus on employability

Name of University	No. of courses in all programs						No. of courses with focus on employability etc.						Percentage						
	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20	Average
MGKV	57	58	61	61	56	61	12	12	12	12	12	12	21	21	20	20	21	20	21
UoL ⁴	20	20	20	20	20	20	2	2	2	2	2	2	10	10	10	10	10	10	10

(Source: Registrar of MGKV and UoL)

It is evident from **Table 3.1** above that during 2014-20, the average percentage of programs having focus on employability in MGKV and UoL was 21 *per cent* and 10 *per cent* respectively.

Of the test-checked two government colleges and two non-government aided colleges) in UoL, the courses⁵ focused on employability, entrepreneurship and skill development (vocational courses) were offered only in a non-government aided college (Karamat Husain Muslim Girls' PG College, Lucknow) during 2019-20. In six test checked colleges of MGKV, courses focused on employability were not noticed in audit.

UoL stated (July 2022) that the University has now designed all the syllabi of the programs at UG and PG level to provide maximum emphasis on employability/ entrepreneurship/skill development.

3.2.3 Number of value-added courses and students enrolled

Value added course and activities are those which may not be directly linked with one's discipline of study but contribute to sensitizing students to cross cutting issues such as gender, environment and sustainability, human values and professional ethics. Further, as per NAAC manual, value-added courses are optional and offered outside the curriculum that add value and help the students in getting placement.

⁴ Test checked departments only.

⁵ (i) A summer school program by Professors Without Borders (PROWIBO) on the topic *Developing Social Innovations Using Design Thinking* which aims to develop student's communication and presentation skills, critical thinking, and leadership skills, (ii) National Council for Promotion of Urdu Language (NCPUL) which is a one year Diploma Course, (iii) CCC, (iv) Basic Computer Literacy Programme, (v) Short Term Fashion Designing Course.

To assess the efforts made by test checked universities in offering value-added courses, the number of value-added courses imparting transferable and life skills offered during 2014-20 was used as an indicator (**Sl. No. 3 of Appendix 1.2**). This indicator is also one of the key indicators used by NAAC during assessment and accreditation process of HEIs.

Audit observed that the MGKV and test checked colleges of MGKV and colleges of UoL did not offer any value added courses during 2014-20. UoL while implementing NEP 2020 in 2021 incorporated some value added papers in 13 PG courses (65 per cent) and elective papers in the remaining one PG course (MA Philosophy) in 10 test checked departments where it applied Choice Based Credit System (CBCS). Thus, the outcome performance of MGKV in this regard was nil and that of UoL was about 70 per cent.

UoL stated (July 2022) that credit and non-credit value-added programs have been included in all UG and PG program of the University under the NEP 2020.

3.2.4 Students undertaking field projects/internships

Internships are designated activities that carry some credits⁶ and involve working in an organization under the guidance of an identified mentor. Field projects that students need to undertake involve conducting surveys outside the college/university premises and collection of data from designated communities or natural places.

To assess students undertaking field projects /internships in the test checked universities and colleges, the percentage of students undertaking field projects/internships during 2019-20 was used as an indicator (**Sl. No. 4 of Appendix 1.2**). This indicator is one of the key indicators used by NAAC during assessment and accreditation process of HEIs.

Audit observed that internship activities were undertaken in one (Master of Social Works) out of 13 courses offered by 8 test checked departments of MGKV in which all the students (54 students) participated during 2019-20. Out of ten selected departments of UoL, internships were undertaken in only three⁷ out of 20 courses offered, in which 74 to 100 per cent students (average 84 per cent) participated during 2019-20. Details of the field projects and internships in MGKV and UoL are given in **Table 3.2** below:

Table 3.2: Students imparted internships during 2019-20

Name of university	Name of the program	Total students in the program	Number of students undertaking		
			Field project (per cent)	Internship (per cent)	Total (per cent)
MGKV	Master in Social Works	54	54 (100)	54 (100)	100
Total		54	54 (100)	54 (100)	100
UoL	M.Sc. Microbiology	35	0	26 (74)	26 (74)
	M.Sc. Pharmaceutical Chemistry	31	0	31 (100)	31 (100)
	M Sc. Environmental Science (during 2019-20 only)	21	0	16 (76)	16 (76)
Total		87	0	73 (84)	73 (84)

(Source: MGKV and UoL)

⁶ A credit system is a systematic way of describing an educational program by attaching credits to its components. UGC defines one credit as one theory period of one hour per week over a semester, one tutorial period of one hour per week over a semester and one practical period of two hour per week over a semester.

⁷ M.Sc. Microbiology and M.Sc. Environmental Science (Department of Botany) and M.Sc. Pharmaceutical Chemistry (Department of Chemistry).

Internship/field project activities were not carried out in the remaining 12 (92 *per cent*) courses offered by the eight test-checked departments in MGKV. Further, internship in the remaining 17 (85 *per cent*) courses were not offered by the 10 test checked departments in UoL.

Only one⁸ out of six test checked colleges of MGKV facilitated the students for undertaking internship/field projects during 2014-19 but it was not continued in 2019-20. Further, one⁹ out of four test checked colleges of UoL, facilitated the students for undertaking internship/field projects in which 206 students were enrolled and 110 students (53 *per cent*) completed internship during 2017-20.

Thus, the aim of making the students capable of applying their knowledge and skills in different settings and inculcating professional dispositions and ethics through internship/field projects was only partially fulfilled in MGKV and UoL and its affiliated colleges.

UoL stated (July 2022) that the university has introduced field project/internship at UG/PG level and is mandatory for all students. However, specific reply on the audit comments was not furnished.

3.2.5 Academic flexibility

Academic flexibility denotes the choices offered to the students in the curriculum offering and the curriculum transactions. It refers to the freedom in the use of the time-frame of the programs, horizontal mobility, inter-disciplinary options and others facilitated by curricular transaction. There are number of ways through which academic flexibility can be incorporated. It includes offering new and relevant/programs, introducing CBCS and grading systems, *etc.*

In order to assess the efforts made by test checked universities in providing academic flexibility through introduction of new courses in the programs, percentage of new courses introduced out of the total number of courses across all programs offered during 2014-20 with the focus on employability was considered as the outcome indicator.

3.2.5.1 Introduction of new courses

In order to assess performance of new courses, percentage of new courses introduced out of the total number of courses offered during 2014-20 was taken as Key Performance Indicator (**Sl. No. 6 of Appendix 1.1**).

Audit observed that MGKV introduced 10 new courses¹⁰ (16 *per cent*) out of 61 programs offered by it during 2014-20. However, none of the newly introduced programs were employment oriented. UoL started one new course in 2018-19 (MSc Bio-Technology) out of 82 courses offered during 2014-20.

In test checked colleges in MGKV, Government PG College, Obra and Sri Agrasen Kanya PG College, Varanasi introduced one new PG course and two new PG courses in 2019-20 respectively. In respect of test checked colleges in UoL, the situation was

⁸ Sri Agrasen Kanya PG college, Varanasi.

⁹ Karamat Husain Muslim Girls' PG College, Lucknow (Non-government aided college).

¹⁰ 2015-16: MA/M Sc (Geography), 2016-17: M. Phil (Economics), Russian Advance Diploma and Russian Diploma, 2018-19: Certificate course in Yoga for wellness, 2019-20: MA/ M Sc (Math), MA/ M Sc (Home Science) Food, MA/ M Sc (Botany), M. Phil- Psychology, M. Phil - Political Science.

similar. One government college¹¹ and one non-government aided college¹² introduced two UG courses (2016-18) and one new PG courses (2019-20) respectively out of four colleges test-checked in audit. Thus, only a few courses were introduced in UoL, MGKV and their affiliated colleges during 2014-20.

UoL stated (July 2022) that University has introduced new courses like wild life programs, women study, molecular medicines, GST and many more.

3.2.5.2 Choice Based Credit System

As per UGC (2015), choice based credit system (CBCS) not only offers opportunities and avenues to learn core subjects but also for exploring additional avenues of learning beyond the core subjects for holistic development of an individual. CBCS allows students to choose inter-disciplinary, intra-disciplinary courses, skill oriented papers (even from other disciplines according to their learning needs, interests and aptitude) and more flexibility for students. The CBCS provides an opportunity for the students to choose courses from the prescribed core, elective/minor or skill based courses. Further, UGC has prescribed minimum course curriculum for undergraduate courses under CBCS and guidelines for implementing Semester System in HEIs. UGC instructed (April 2018) the Universities to implement CBCS and to revise the curriculum.

To assess the efforts made by test checked universities in introducing CBCS as part of the curriculum, the percentage of programs having CBCS during 2019-20 (current year) was used an indicator (**Sl. No. 5 of Appendix 1.2**). This indicator is also one of the key indicators used by NAAC during assessment and accreditation process of HEIs.

Audit observed that MGKV did not offer CBCS in any of the courses offered by the test checked departments. UoL implemented CBCS from 2016-17 in two courses (one PG and one UG courses) and from 2020-21, in 42 PG courses. Further, CBCS was not introduced in 10 test-checked colleges of MGKV and UoL.

The State Government stated (July 2022) that the CBCS has been implemented while implementing NEP 2020 from the academic session 2021-22.

3.3 Effective Teaching Processes

In this section, aspects that are closely connected to and affect the teaching and evaluation processes in HEIs have been discussed. Use of advanced teaching methods such as Information and Communication Technology (ICT), Learning Management Systems (LMS), e-resources etc., and faculty related aspects such as availability and quality of faculty, qualifications and continuous professional development of faculty etc., have also been covered. Further, examination systems of the HEIs have been assessed with reference to timeliness and robustness in conducting examinations and evaluation of answer scripts including revaluation.

3.3.1 Use of Information and Communication Technology in teaching

Paragraph 21.265 of Twelfth FYP focuses on use of ICT in higher education by providing smart classrooms and setting up classrooms with interactive video-conferencing facilities linking Meta universities and affiliating universities.

¹¹ Mahamaya Government Degree College, Mahona, Lucknow.

¹² Navyug Kanya Mahavidyalay, Lucknow.

To evaluate the presence of advanced teaching environment in test checked universities the percentage of classrooms/seminar halls with ICT-enabled facilities such as percentage of smart class rooms and teachers using ICT methods in teaching were used as Key Outcome Indicator (**Sl. No.7 of Appendix 1.1**). This indicator is derived from one of the key indicators used by NAAC during assessment and accreditation process of HEIs.

The availability of ICT infrastructure in class rooms has been discussed in Paragraph 2.5.1. Further details regarding use of ICT methods in teaching during the academic year 2019-20 is as given in **Table 3.3**.

Table 3.3: Teachers using ICT methods in test-checked departments

Name of university	No. of department	Availability of IT infrastructure		No. of teachers using ICT methods	
		Total class rooms	IT enabled class Rooms (per cent)	Teachers	Teachers using ICT (per cent)
MGKV	08	28	08 (29)	43	42 (98)
UoL	10	60	10 (17)	134	85 (63)

(Source: MGKV and UoL)

Table 3.3 indicates that 42 out of 43 (98 per cent) teachers in eight test checked departments of MGKV were using ICT for teaching in 2019-20. In case of UoL, 85 out of 134 teachers (63 per cent) in ten test checked departments were using ICT methods. Further scrutiny revealed that in MGKV, 117 (48 per cent) out of 242 teachers in four test checked colleges¹³ were using ICT in teaching during 2019-20. In the test-checked four colleges of UoL, 82 (44 per cent) out of 186 teachers¹⁴ were using ICT in teaching during 2019-20.

State Government stated (July 2022) that by making agreement in 2021 with National Digital Library of India, an Uttar Pradesh Higher Education Digital Library has been established which has helped in developing collection of study material for various courses. State Government further stated that e-learning parks have been established (December 2020) in Government Colleges of rural areas to promote use of technology in higher education and reduce digital divide. Pre-loaded tablets in Government Colleges have also been made available vide Government's order dated 28 January 2021.

3.3.2 Usage of student-centric methods in teaching, coverage of course, assessment of slow learners and appointment of mentors

3.3.2.1 Use of Student-centric methods

NAAC manual (Paragraph no. 2.3.1) stipulates that student centric methods, such as experiential learning, participative learning and problem-solving methodologies should be used for enhancing learning experiences.

¹³ Sri Agrasen Kanya PG College Varanasi (49 out of 122 teachers using ICT in teaching), Jagatpur PG College Varanasi (25 out of 77 teachers using ICT in teaching), Government PG College Sonbhadra Obra (13 out of 13 teachers using ICT in teaching) and Sakaldeepa PG College (30 out of 30 teachers using ICT in teaching).

¹⁴ Maharaja Bijli Pasi Government Degree College (25 out of 25 teachers), Mahamaya Government Degree College Mahona Lucknow (2 out of 12 teachers), Karamat Husain Muslim Girls' PG College Lucknow (20 out of 70 teachers) and Navyug Kanya Mahavidyalaya Lucknow (35 out of 79 teachers).

The test checked ten departments in UoL stated that the student centric methods like organisation of seminar/workshops, assignment of projects to students and visual presentations by teachers in classrooms, etc., have been used for enhancing learning experiences. Analysis of students' survey data in UoL and its test checked colleges disclosed that 45 *per cent* students stated that student centric methods were being used in the learning process 'to a great extent' in UoL. Another 31 *per cent* students stated that the use of these technologies was 'moderate'. Thus, a total of 76 *per cent* students were satisfied with the use of the student centric methods in learning process.

Sixty-one *per cent* students in the student survey in MGKV stated that the student centric method was used to a great extent and 35 *per cent* stated moderate usage of the method.

3.3.2.2 Coverage of course content

University Grants Commission (UGC) norms stipulates (February 2018) that workload to teachers should not be less than 40 hours a week with minimum 14-16 hours for direct teaching so that course contents are fully covered in the class.

As per the data made available to audit by the test checked Universities the workload of the teachers during 2014-20 was according to the prescribed norms. Analysis of students' survey data in MGKV and UoL disclosed that 89 *per cent* students in MGKV and 77 *per cent* students in UoL stated that more than 70 *per cent* of the syllabus was covered in the classes which indicated that though teachers were taking classes, the syllabus in the Universities was not fully covered.

3.3.2.3 Assessment of slow learners

In order to improve learning skills of slow learning students and to organise special classes for assisting them, University needs to identify advance and slow learning students.

Test check of records of selected departments in MGKV and UoL revealed that there was no formal system in place to identify the slow learners. As stated by the department Heads, none of the eight selected departments in MGKV had identified slow learners during 2014-18. During 2018-20 Department of Social Work identified slow learners and extra classes were also provided.

Nine out 10 test checked departments in UoL stated that slow learners were helped, but separate classes were not organised for them. The HoD of Philosophy department however, stated that the separate classes were organised for slow learners. The test checked departments however, did not provide related documents and data to substantiate their statements.

3.3.2.4 Mentoring to students

Audit observed that the test-checked Universities had not appointed mentor for students for academic and stress related issues. MGKV informed (July 2021) that mentor would be appointed expeditiously. UoL, however, informed (August 2021) that regular faculties provide counselling in stress related issues. In this regard, Sanskrit department in UoL further stated that a TREE (Teaching, Reaching, Emboldening and Evolving) program had been implemented in the department since 2020-21 under which each faculty was expected to mentor a set of PG students from entrance to exit.

3.4 Availability and Quality of Faculty

NEP 2020 states that the most important factor in the success of higher education institutions is the quality and engagement of its faculty. Paragraph 7.1.2 of Report on 'Inclusive and Qualitative Expansion of Higher Education' issued under Twelfth FYP stated that shortage of quality faculty coupled with lack of faculty mobility across regions is a major constraint in the development of Indian higher education system.

As per NAAC manual, aspects that determine quality of faculty/teacher include qualification of teachers, teachers' characteristics, faculty availability, professional development and recognition of teaching ability.

3.4.1 Availability of teachers

Rashtriya Uchchatar Shiksha Abhiyan (RUSA) scheme aims to ensure adequate availability of quality faculty in all higher educational institutions. Under RUSA, States were required to fill all the vacant sanctioned posts and claim funds for additional posts of faculty to enable them to achieve the student-teacher ratio of 20:1.

3.4.1.1 Availability of teaching staff in Government Colleges

Student Teachers Ratio¹⁵ (STR) prescribed in RUSA guidelines is 20:1. Availability of teaching staff in the colleges of State Government and total enrolment of students during 2014-20 is given in **Chart 3.1** and **Table 3.4** below:

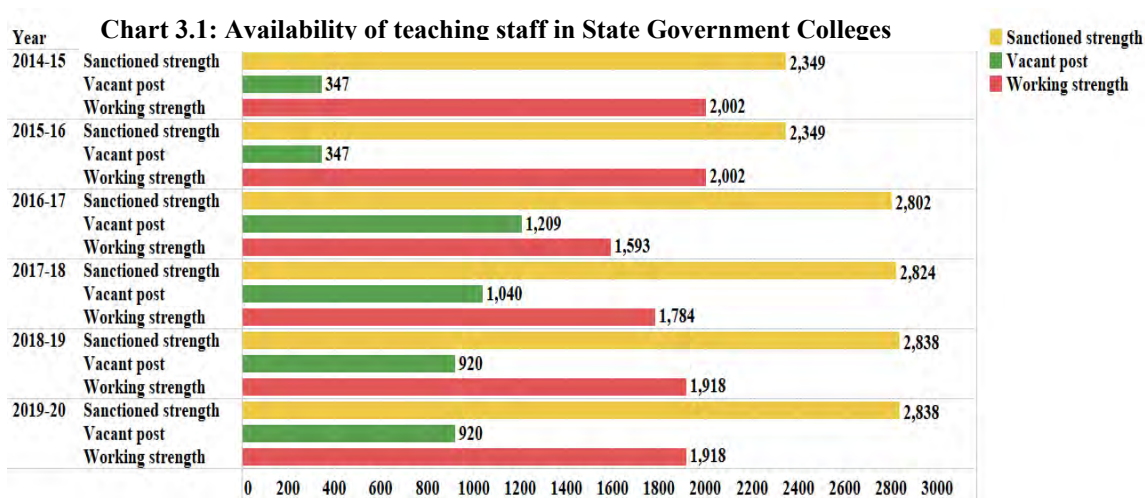


Table 3.4: Student Teacher Ratio of Government Colleges in the State

Year	Availability of teacher	Total enrolment	Student teacher ratio
2014-15	2002	98202	49:1
2015-16	2002	99402	50:1
2016-17	1593	96101	60:1
2017-18	1784	97337	55:1
2018-19	1918	99403	52:1
2019-20	1918	94301	49:1

(Source: Higher Education Department)

¹⁵ Student-teacher ratio is the number of students who enrolled in an institution divided by the number of teachers in the institution.

As is evident from **Chart 3.1** and **Table 3.4**, the posts of teachers were vacant in each year during 2014-20 and the vacancies ranged between 14.77 *per cent* in 2014-15 and 43.14 *per cent* in 2016-17. The STR ranged between 49:1 (2014-15) and 60:1 (2016-17) which was much higher than the RUSA prescribed ratio of 20:1.

In Exit conference (15 July 2022), it was stated that in future, the status of Government Colleges shall be improved.

3.4.1.2 Availability of teaching staff in test checked Universities and Colleges

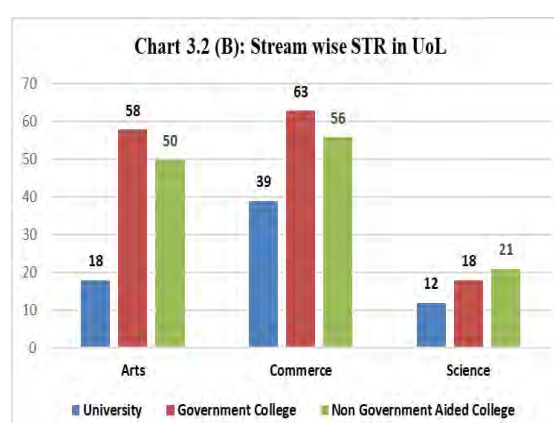
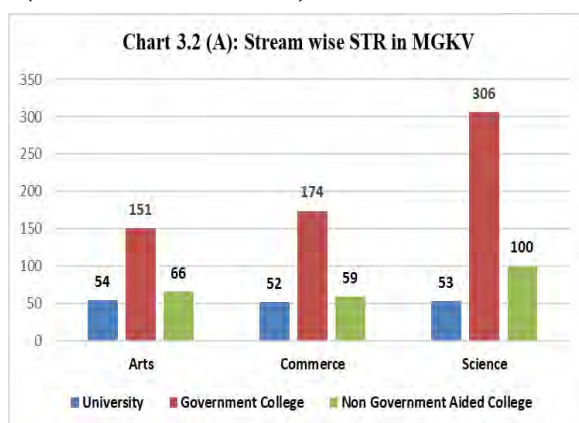
Teaching efficiency in terms of STR as per RUSA norms (20:1), was analyzed by Audit in the test checked Universities and colleges. This was used as an outcome indicator for quality of teaching (*Sl. No. 6 of Appendix 1.2*).

The position of total number of students enrolled in UG and PG programs in test-checked Universities and Colleges, number of teachers and the STR is given in **Table 3.5** and **Chart 3.2**.

Table 3.5: STR in test checked Universities and colleges during 2019-20

Name of university	HEIs	Total number of students			No of teachers			Students per Teacher (STR)		
		Arts	Commerce	Science	Arts	Commerce	Science	Arts	Commerce	Science
MGKV	University	5825	672	956	108	13	18	54	52	53
	Government College	2860	696	612	19	4	2	151	174	306
	Non-Government Aided College	10191	2635	2298	155	45	23	66	59	100
UoL	University	3059	1099	1545	169	28	126	18	39	12
	Government College	1324	250	180	23	4	10	58	63	18
	Non-Government Aided College	4121	892	719	83	16	35	50	56	21

(Source: MGKV and UoL)



The above table showed that the STRs of MGKV in Arts, Commerce and Science streams were 54:1, 52:1 and 53:1 respectively which were much higher than the prescribed limit of 20:1. The same for UoL were 18:1, 39:1 and 12:1 respectively which was better than MGKV. The Commerce stream had a higher STR and the other two streams are well within norms.

The positions of STRs in the government colleges of MGKV were much higher (Arts: 151:1, Commerce: 174:1 and Science: 306:1). In government colleges of UoL, STR was comparatively lower (Arts: 58:1, Commerce: 63:1 and Science: 18:1) but well within prescribed limit in Science stream (**Appendix 3.1**).

In test checked non-government aided colleges of MGKV, the STR in all streams were higher than the norm (Arts: 66:1, Commerce: 59:1 and Science: 100:1). The position in non-government aided colleges of UoL was similar (Arts: 50:1, Commerce: 56:1 and Science: 21:1) as of MGKV except in Science stream which is almost as per the norms (**Appendix 3.1**).

The State Government replied (July 2020) that for maintaining STR, clear government orders were presently in force. The MGKV has started filling up of the vacancies.

3.4.1.3 Teachers engaged on contract basis

The status of permanent and contract teachers in test checked Universities during 2014-20 was as below:

Table 3.6: Permanent and contract teachers in MGKV and UoL

Year	No. of teachers in MGKV			No. of teachers in UoL		
	Total	Permanent	Contractual	Total	Permanent	Contractual
2014-15	241	130	111	324	310	14
2015-16	213	121	92	316	302	14
2016-17	214	118	96	338	324	14
2017-18	227	113	114	335	321	14
2018-19	226	123	103	331	317	14
2019-20	139	105	34	323	309	14
Average	210	118	92 (44 per cent)	328	314	14 (4 per cent)

As evident from **Table 3.6**, on an average 44 *per cent* teachers in MGKV were on contract basis during 2014-20. In case of UoL, contract teachers were only four *per cent* during the same period.

Audit noticed that in one¹⁶ out of five test checked government colleges of MGKV and UoL, 22 *per cent* teachers in 2014-15 and 15 *per cent* teachers in 2015-16 were engaged on contractual basis. However, no contract teachers were engaged in these test checked colleges in subsequent years.

In case of each of the five test checked non-government aided colleges of MGKV and UoL, a substantial proportion of teaching staff was on contract. The percentage of contract teachers ranged from 76 to 80 *per cent* in Jagatpur PG college, Varanasi, 80 to 83 *per cent* in Sri Agrasen Kanya PG College, Varanasi, 33 to 37 *per cent* in Sakaldeepa PG College Chandauli affiliated to MGKV and 43 to 61 *per cent* in Karamat Husain Muslim Girls' PG College, Lucknow and 32 to 45 *per cent* in Navyug Kanya Mahavidyalaya, Lucknow affiliated to UoL.

¹⁶ Government PG College, Obra, Sonbhadra

Thus, teaching staff in test-checked universities and colleges included a large number of contract teachers, particularly in test checked non-government aided colleges. Appointment of teaching staff on contract basis together with high student teacher ratio (as discussed in Paragraph 3.4.1.2) might adversely affect the quality of education provided by these HEIs.

3.4.1.4 Reservation in recruitment of teachers under EWS categories

The Uttar Pradesh Public Services (Reservation for Economically Weaker Sections) Act, 2020, effective from 1 February 2019, provides for the reservation in public services and posts in favour of the persons belonging to the Economically Weaker Sections (EWS) of citizens in addition to the existing reservation applicable in the State.

Audit noticed that UoL appointed 17 teachers in 2021-22, but no teacher was appointed under EWS quota as the vacancy of EWS did not fall under the prescribed 100-point roster for the post. In MGKV, no teachers were appointed during 2020-22.

Further, no recruitment of teachers was done in the State Government's colleges during the period 2019-22. The recruitment for teachers in non-government aided colleges was, however, done in 2020-21. Of the total 2,002 vacancies, 182 seats were reserved for EWS category, against which 180 teachers were recruited under EWS category. Higher Education Directorate stated (September 2022) that EWS reservation in recruitment of teachers was provided on the basis of 100-point roster at the college level.

3.4.2 Availability of teachers with minimum prescribed qualification

Paragraph 3.4.4 of UGC (Affiliation of Colleges by University) Regulations, 2009 prescribes that the number of teaching posts, qualification of teaching staff and their recruitment/promotion procedure as prescribed by UGC and condition of the services shall be in accordance with the Statutes¹⁷/ Ordinance/ Regulation of the University/ State Government/ UGC.

In this context, the State Government prescribed (December 2013) minimum qualifications of 55 *per cent* marks in Master's degree and clearance of National Eligibility Test (NET) for the teachers in university and various faculties in the colleges affiliated to the universities in accordance with the provisions made in UGC regulations 2009. Students registered in PhD before July 2009 were exempted from the condition of clearance of NET.

Audit scrutinised the fresh recruitments of faculty to the selected departments for 2014-20 and found that in case of selected universities and government colleges, the required qualifications were adhered to. But in two non-government aided colleges¹⁸, eight part time teachers out of 149 teachers did not have the requisite minimum qualifications as they had not cleared NET and also not enrolled for PhD before 2009.

3.4.3 Full time teachers with PhD

To assess the efforts of test checked HEIs in making available full-time teachers with PhD degrees, the average percentage of full-time teachers with PhD during 2014-19

¹⁷ Statute is the document made by the university incorporating the conditions of the ordinance issued by the Government for creation and establishment of the university.

¹⁸ Karamat Hussain Muslim Girls' PG College, Lucknow (five teachers) and Navyug Kanya Mahavidyalaya, Lucknow (four teachers).

was used as an indicator (**Sl. No.7 of Appendix 1.2**). This indicator is also one of the key indicators used by NAAC during assessment and accreditation process of HEIs.

The status of full-time teachers in general subjects (BA, BSc, BCom, MA, MSc and MCom) with PhD during 2014-20 in MGKV and UoL is given in **Table 3.6(a)**.

Table 3.6(a): Number of full-time teachers with PhD

Year	MGKV			UoL		
	No. of full time teachers	No. of full time teachers with PhD	Percentage	No. of full time teachers	No. of full time teachers with PhD	Percentage
2014-20 (Average)	118	108	92	314	312	99

(Source: MGKV and UoL)

Thus during 2014-20, 92 *per cent* full time teachers in MGKV and 99 *per cent* full time teachers in UoL were PhD holders. As of March 2020, 10 teachers in MGKV and six teachers in UoL were not having PhD degree (**Appendix 3.2**). Further scrutiny revealed that during 2014-20, 15 teachers appointed in UoL without PhD got their degrees during service period.

3.4.4 Full time teachers who receive awards, recognition, fellowship

Since recognition of teachers at State, national and international levels is a marker of their teaching quality and research ability, the percentage of full time teachers who received awards, recognition, fellowships at State, National, International level from Government, recognized bodies during 2014-20 was used as an indicator (**Sl. No. 8 of Appendix 1.2**) for assessing quality of teaching staff in HEIs. This indicator is also one of the key indicators used by NAAC during assessment and accreditation process of HEIs.

The number of the teachers who received awards, recognition, fellowships during 2014-20 are given in **Table 3.7** below:

Table 3.7: Numbers of teachers who received awards, recognition, fellowships during 2014-20

Name of University	Average no. of full time teachers during last 6 years	No. of full time teachers received state/National/International awards during last five years	Percentage
MGKV	118	Nil	Nil
UoL	314	4	1.27

(Source: MGKV and UoL)

Thus, none of the teachers in MGKV and its test checked colleges received awards, etc., during 2014-20. Only four teachers (1.27 *per cent*) received awards, fellowships in UoL (**Appendix 3.2**).

In case of test checked colleges of UoL, the teachers of two government degree colleges did not receive awards during 2014-20. However, one teacher in one (Karamat Husain Muslim Girls' PG College Lucknow) out of two non-government aided colleges of UoL test checked in audit received award/certificate of appreciation for experimental teaching.

Thus, the fact that the work of very few teachers was acknowledged through awards, recognition, *etc.*, indicates that either the standard and quality of teaching was not high enough or the environment in which the faculty taught was not motivating enough to deliver high levels of teaching.

The State Government while accepting the audit observations replied (July 2022) that provision of Saraswati Award to nine teachers and Shiksha Shri Award to 15 teachers for their excellent contribution in the field of higher education has been made in State Teachers' Awards Rules 2021.

The fact remains that very few teachers received state, national and international levels awards, recognition, fellowships, *etc.*

3.4.5 Full time teachers from other States

According to paragraph 7.1.7 (b) of Report on 'Inclusive and Qualitative Expansion of Higher Education' issued under Twelfth FYP, recruitment of faculty should not be entirely from the products of the same university. On the contrary, at least 20 *per cent* of the faculty should be from other States of the country.

To analyse across the State mobility of teachers, the data of teachers recruited from other States in MGKV and UoL were analysed in **Table 3.8**.

Table 3.8: Teachers in MGKV and UoL from other States during 2014-20

Name of University	No. of sanctioned posts	Average no. of full time teachers available	Average no. of teachers from other States	Per cent of teachers from other States
MGKV	177	118	04	3
UoL	473	314	25	8

(Source: MGKV and UoL)

Evidently in both the test checked universities the percentage of teachers from other State was far below than the prescribed 20 *per cent* (**Appendix 3.2**).

3.4.6 Financial support to faculty for attending conference/workshop

To assess number of teachers provided with financial support to attend conferences/workshops in the test checked university and colleges, the average percentage of such teachers during 2014-20 was used as an indicator (**Sl. No. 9 of Appendix 1.2**). This indicator is also one of the key indicators used by NAAC during assessment and accreditation process of HEIs.

Audit observed that MGKV, UoL and their 10 test checked colleges did not provide any financial support to the faculty for attending conferences/workshops and towards membership fee of professional bodies during 2014-20. Thus, the Universities neither encouraged nor financially supported continuous professional development of teachers during the period under review.

MGKV stated (July 2022) that the Executive Council had approved (May 2022) creation of seminar-symposium fund. From the interest of the fund, reimbursement of teacher's registration fee up to ₹ 5000 and travelling allowance up to ₹ 25,000 to each teacher participating in national and international seminar/symposium would be given.

3.5 Professional Development/ Training of Faculty

Paragraph 7.1.3 of Report on ‘Inclusive and Qualitative Expansion of Higher Education’ issued under Twelfth FYP states that faculty development initiatives could include areas like entry level orientation, curriculum development, teaching and learning, research and innovation, engagement with social concerns and leadership development. Customised faculty development programs may also be developed on a large scale.

Further, as per NAAC Manual¹⁹ teachers need to take initiative to learn and keep themselves abreast with the latest developments, continuously seek improvement in their work and strive for individual and institutional excellence.

To assess number of teachers attending professional development programs in the test checked universities and colleges, the average percentage of teachers attending professional development programs²⁰ during 2014-20 was used as an indicator (**Sl. No. 10 of Appendix 1.2**).

The position of teachers attending professional development programs during 2014-20 is given in **Table 3.9**.

Table 3.9: Teachers attending professional development programs

Name of university	No. of full time teachers						No. of teachers who attended professional development during the year (percentage)						
	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20	Average
MGKV	130	121	118	113	123	105	16 (12)	10 (08)	11 (09)	26 (23)	35 (28)	34 (32)	19
UoL	310	302	324	321	317	309	53 (17)	54 (18)	29 (09)	51 (16)	55 (17)	49 (16)	16
Test checked Colleges (MGKV)	215	217	217	223	225	248	08 (04)	10 (05)	08 (03)	11 (05)	14 (06)	10 (04)	05
Test checked Colleges (UoL)	101	101	105	111	115	125	09 (09)	17 (17)	13 (12)	21 (19)	20 (17)	43 (34)	19

(Source: Concern HEIs)

Evidently, on an average 19 *per cent* teachers in MGKV and 16 *per cent* teachers in UoL attended training programs during 2014-20. Further, average percentage of teachers who attended training in test checked colleges in MGKV and UoL was only 5 *per cent* and 19 *per cent* respectively (**Appendix 3.3**).

The State Government stated (July 2022) that teacher’s training is done through UGC funded refresher and faculty development programs. It was stated that due to documentation issues, such information may have not been provided by the Universities.

¹⁹ Para 6.3.3 of NAAC.

²⁰ Orientation Program/course, Refresher Programme/course, Short Term Programme/course and Faculty Development Programme/course.

3.6 Robustness of examination and evaluation system

As per NAAC manual²¹, the effectiveness of examination system of an HEI depends on regularity in conducting examination, quality of questions, how well it actually tests the programme/course outcomes, etc. One of the purpose of evaluation is to provide development-inducing feedback. A high quality evaluation system contributes towards enhancing the competence of students.

3.6.1 Mechanism of setting up of question papers

MGKV and UoL informed that question paper setters for the examinations were selected from a panel of teachers received from Board of Studies and approved by the EC. The papers received from the teachers are moderated by a committee set up by HoD and thereafter the paper is sealed for printing and sent to the examination centers.

3.6.2 Quality of questions in the examinations

Major policy documents dealing with higher education have highlighted that examination reforms are considered as one of the key aspects of overall academic reforms for improving the quality of higher education.

Presence of analytical questions, less repetition of previous years' questions, conduct of open book examinations have been identified in audit as characteristics of good quality examination papers. Audit observations are discussed in the succeeding paragraphs:

3.6.2.1 Presence of analytical questions in the examination papers

Analytical questions are to assess a candidate's ability to study information and apply logic to find patterns or make inferences. Such questions measure critical thinking and problem solving skills of the students.

Audit observed that MGKV did not set analytical questions in examination papers during 2014-20. Further, the HODs/Controller of Examination in UoL informed that the analytical questions in examination papers had been set in seven out of 10 departments test checked in audit during 2014-20.

3.6.2.2 Courses in which open book examinations were allowed

To assess the efforts made by HEIs in introducing open book examinations with a view to enhance the analytical abilities of students and discourage rote learning, the percentage of programs in 2019-20 in which open book examination is allowed was used as an indicator (*Sl. No. 11 of Appendix-1.2*).

Audit observed that the test checked universities and colleges did not allow open book examination in any of the programs during 2014-20. Thus, the focus of examination was still predominantly on rote learning that does not provide an opportunity to the students to enhance their learning through the medium of examinations.

3.6.3 Status of automation of examinations

Policy documents such as the NEP 2020 and Twelfth FYP suggests that technology usage would bring greater transparency and efficiency to the examination system.

²¹ Para 2.5 of NAAC manual.

As informed by both the test checked universities, the works related to examination such as obtaining examination application forms, opportunity for correcting errors in the examination forms by the students, issue of admit card, declaration of examination results, issue of mark sheet and receipt of application forms for revaluation is fully computerized. In order to provide online facilitation to the students, UoL implemented EASE (Electronic Access to Service of Examination) software with effect from 2019-20. Audit however, found delay in declaration of results as discussed below:

3.6.4 Delays in declaration of examination results

Timely declaration of results is extremely important, especially for graduating students as many of their post-study opportunities such as employment, further studies, enrolment in competitive exams, etc., are dependent upon their performance in the examinations. Any delay in declaration has the potential to cause great damage to the future of such students.

Every year with the start of the academic session, the test checked universities prepare an academic calendar which serves as the time table for all of their activities throughout the year. The universities had decided to declare final results by the month of June each year. Audit noticed substantial delay in declaring results of BA, BCom, BSc, MA, MCom and MSc courses. Details of delay are given in **Table 3.10**.

Table 3.10: Delay in declaration of results

Year	MGKV			UoL		
	Due date	Actual date	Delay (days)	Due date	Actual date	Delay (days)
2014-15	30.06.2015	16.06.2015 to 12.08.2015	43	Not available	Not available	Not available
2015-16	30.06.2016	13.06.2016 to 16.08.2016	47	30.06.2016	Not available	Not available
2016-17	30.06.2017	06.06.2017 to 30.08.2017	61	30.06.2017	Not available	Not available
2017-18	30.06.2018	05.05.2018 to 16.07.2018	16	30.06.2018	04.05.2018 to 29.08.2018	59
2018-19	15.06.2019	30.04.2019 to 15.06.2019	0	15.06.2019	03.05.2019 to 11.09.2019	88
2019-20	15.06.2020	10.10.2020 to 15.03.2021	273	15.06.2020	03.10.2020 to 07.12.2020	175

(Source: MGKV and UoL)

As evident from **Table 3.10**, during the period 2014-15 to 2019-20 the results were delayed in MGKV up to 273 days, except in 2018-19. The information related to declaration of results during 2014-17 was not made available to audit by UoL though asked for. The results during 2017-20 were delayed by 59 to 175 days in UoL. Thus, the Universities failed to effectively manage the process of evaluation and declaration of results due to which there was substantial delay in declaring results.

The State Government replied (July 2022) that each year academic calendar is released by the department in the beginning of academic year, which is to be complied by the Universities. UoL replied that some delays in declaration of results were because of COVID-19.

Fact remains that the delays in declaration of results were persisting in the University since 2017-18.

3.6.5 Grading System

CBCS guidelines (to be effective from 2015-16) provide for standardised letter grades, corresponding grade points, uniform method for calculation of semester grade point average and cumulative grade point average and a consolidated transcript format to indicate a student's performance in each semester. Universities like Banaras Hindu University (BHU) adopted grading system in faculty of Science from 2009-10 and in faculty of Commerce from 2010-11 for evaluation of students and also to enhance interaction and participation of the students.

Audit observed that MGKV did not switch over to the grading system from the conventional marks system in the curriculum. It did not introduce the grading system in the new programs started during 2014-20. In UoL, the grading system has been adopted only in science subjects and that too at PG level only. Thus, the Universities continued with the old marking system.

The State Government stated (July 2022) that government orders have been issued in April 2022 to implement grading system at UG level.

3.7 Attendance of students

As per UGC Regulations 2003, universities were to prescribe minimum number of lectures, tutorials, seminars and practical which a student shall be required to attend for eligibility to appear at the examination which ordinarily shall not be less than 75 *per cent* of the total number of lectures, tutorials, seminars, practical. The MGKV and UoL both prescribed 75 *per cent* minimum attendance for appearing in the examination.

Audit found that in both MGKV and UoL, the departments/faculties were following the practice of taking regular attendance in the attendance register. In UoL, the students with less attendance were debarred from the examination. In MGKV, there was no case debarment due to less attendance.

During 2014-20, all the test-checked government colleges and non-government aided colleges of UoL maintained attendance register and no students were found with less attendance than the minimum required attendance.

3.8 Evaluation Process

Earlier the evaluation of copies of UG and PG courses was done in the universities in a decentralised manner which took too much time in evaluation. To overcome this, a centralised evaluation system was started in the universities wherein teachers adopting a prescribed procedure were selected for evaluation of copies. The centralised evaluation system is discussed below:

3.8.1 Centralised Evaluation System

MGKV and UoL had centralised evaluation system in their campus for evaluation of copies of the examinations conducted by them including of their affiliated colleges. After conduct of examination, a team of coordinators is selected by the Vice Chancellor, who further selects teams as per their choice consisting of sub coordinators for management of evaluation process. For evaluating the examination copies, a team of teachers is selected from a list made on seniority basis.

Audit observed that no standard answer keys were provided to the examiners for evaluation of the copies. As a result, evaluation was done based on the experience of the evaluators which introduces an element of subjectivity in the evaluation process.

3.8.2 Revaluation of answer books

Revaluation in an examination system refers to the requests of students for evaluating their answers afresh who believe that the result they obtained is not commensurate with their own expectations. Universities allow such revaluation as per their statute.

To assess the accuracy of evaluation of examination in the test checked Universities, the average percentage of applications for revaluation leading to change in marks during 2014-19 was used as an indicator (*Sl. No. 12 of Appendix 1.2*). This indicator is also one of the key indicators used by NAAC during assessment and accreditation process of HEIs.

In MGKV, student who wants to see his/her answer sheet needs to file an application under RTI and pay ₹ 3,000 per paper for revaluation of copies from the academic year 2017-18. This fee was however, higher than the average regular fee of UG (₹ 2,365) courses. The high fees potentially discourage students from seeking revaluation of their answer sheets. The number of students who applied for revaluation during 2017-20 in MGKV is given in **Table 3.11**.

Table 3.11: Position of revaluation of answer books

Name of university	Type of programme	Number of students appeared for examination	No of students applied for revaluation	No. of students' marks changed after revaluation (per cent)
MGKV	UG	18568	34	29 (85)
	PG	15815	16	16 (100)
Total		34383	50	45 (90)

(Source: MGKV)

It was observed that number of revaluation requests were very few and marks of 90 per cent students who applied for revaluation were increased after revaluation.

UoL withdrew the facility of revaluation of copies since introduction of back paper facilities in 1998-99.

The State Government replied (July 2022) that clear instructions have been issued (August 2021) to all Universities for adopting evaluation processes in the context of NEP 2020.

3.8.3 Improvement examination

Audit observed that both the test checked universities allowed students to appear in improvement examinations. In order to assess the outcome of such examinations, percentage of papers in which marks increased during 2017-20 was identified as indicators (*Sl. No. 13 of Appendix-1.2*). Status of results is given in **Table 3.12**.

Table 3.12: Position of improvement examination

Name of university	Type of program	Number of students appeared in main examination	No of students applied for improvement examination	No. of papers in which students has actually appeared	No. of papers in which marks increased in improvement examination (per cent)
MGKV	UG	18568	1032	1374	1073 (78)
	PG	15815	626	531	392 (73)
Total		34383	1658	1905	1465 (77)
UoL	UG	6244	2162	NA	2162 (100) ²²
	PG	6424	621	NA	621 (100)
Total		12668	2783	NA	2783 (100)

(Source: MGKV and UoL)

It can be seen from **Table 3.12** above that on an average, marks in 77 per cent of papers increased in improvement examinations of MGKV. Further, marks of all students who applied for improvement examinations were increased in UoL. The results of improvement examination in UoL was better than in MGKV. However, the practice of improvement examinations turned out to be beneficial to the students.

3.8.4 Back paper examination

Audit observed that both the test checked universities allowed failed students for appearing in back papers examinations. In order to assess the outcomes of back paper examination, percentage of papers in which marks were increased in 2017-20 was identified as an indicator (*Sl. No. 14 of Appendix 1.2*). Status of results of improvement examination is given in **Table 3.13**.

Table 3.13: Position of back paper examination

Name of university	Type of program	Number of students appeared in main examination	No. of students applied for back paper exam	No. of papers in which students has actually appeared	No. of papers in which marks increased in back paper exam (per cent)
MGKV	UG	18568	561	1884	437 (23)
	PG	15815	826	1274	603 (47)
Total		34383	1387	3158	1040 (33)
UoL	UG	6244	694	NA	143 ²³ (21)
	PG	6424	1649	NA	1434 (87)
Total		12668	2343	NA	1577 (67)

(Source: MGKV and UoL)

It can be seen from **Table 3.13** that on an average, marks in 33 per cent papers in MGKV and 67 per cent in UoL were increased as a result of appearing in back papers. Thus, back paper examinations turned out to be beneficial to the students, however, its result was not encouraging in MGKV.

²² In absence of data regarding no. of question papers applied for improvement in UG and PG courses in UoL, the percentage has been worked out with the no. of students applied for improvement examination.

²³ This data is for two years only (2018-19 and 2019-20).

3.9 Betterment of society by creating new knowledge through Research

Paragraph 7.1 of Report on Inclusive and Qualitative Expansion of Higher Education issued under Twelfth FYP recommends that research capacities need to be consciously developed in the colleges. Paragraph 7.1.19 (a) of Twelfth FYP also states that multi-disciplinary mission mode research and innovation programs should be evolved in association with arts, humanities and social sciences which should directly benefit the society at all levels and contribute to economic development. Further, paragraph 3.1 of NAAC manual stipulates that HEIs have to be actively engaged in promotion of research by evolving appropriate policies and practices, making adequate resources available and encouraging active involvement of teachers and scholars in research.

The audit findings on the aspects related to research inputs, activities and research outcomes have been discussed in succeeding paragraphs.

3.9.1 Research Inputs

Paragraphs 7.1 and 7.1.19 (a) of Report on 'Inclusive and Qualitative Expansion of Higher Education' issued under the Twelfth FYP states that adequate funding and initiatives/schemes need to be developed for research activities in HEIs. For this purpose, every university should allocate a certain proportion of their annual budget as an earmarked budget for research and innovation.

In this context, the position of grants received for research activities from government and non-government sources and utilisation thereof in MGKV and UoL during 2014-20 is given in **Table 3.14** below:

Table 3.14: Receipts and utilisation of grants for research activities

(₹ in lakh)

Name	Grants sanctioned	Grants received			Grants utilised			No of research projects undertaken	No of research projects completed
		Govt. sources	Non-Govt. sources	Total	Govt. sources (per cent)	Non-Govt. sources (per cent)	Total grants (per cent)		
MGKV	43.51	31.76	0	31.76	27.91 (88)	0	27.91 (88)	7	4
UoL ²⁴	691.20	596.16	0	596.16	533.95 (90)	0	533.95 (90)	45	35

(Source: concerned universities)

Research activities were very limited in MGKV. Out of ₹ 43.51 lakh sanctioned by UGC, MGKV received grants of ₹ 31.76 lakh for research work on seven projects. Of this, ₹ 27.91 lakh (88 per cent) was utilized during 2014-20. Of the seven projects 4 projects were completed with delay of 377 days to 1,463 days. The remaining three projects were ongoing, however, these projects were also delayed beyond their completion periods.

In UoL, ₹ 5.96 crore out of sanctioned grant of ₹ 6.91 crore was released to nine test checked departments for 45 research projects. Of which expenditure of ₹ 5.34 crore (90 per cent) was incurred during 2014-20 (**Appendix 3.4**). Audit analysis revealed that 25 out of 35 projects were completed within scheduled period. Ten projects were

²⁴ Test checked departments: 1. English & Modern European Language 2. Economics 3. Philosophy 4. Ancient Indian History & Archaeology 5. Sanskrit 6. Commerce 7. Applied Economics 8. Physics 9. Chemistry 10. Botany.

completed with a delay ranging between 60 and 1,160 days. Further, six projects were prematurely closed (**Appendix 3.5**).

Grants for undertaking research projects were not provided to the test-checked colleges of MGKV and UoL during 2014-20.

The State Government stated (July 2022) that for encouraging research in universities and colleges a Research and Development Scheme was being implemented by the government. MGKV replied that two projects were delayed due to COVID-19. UoL also stated some delays due to pandemic.

3.9.2 Research outcomes

NAAC suggests²⁵ that quality research outcome is beneficial for the discipline, society, industry, region and nation. Research outcomes of HEIs include research papers and publications, patents awarded, consultancies given externally, etc. Audit assessed these outcomes for the test checked HEIs, results of which are discussed below:

3.9.2.1 Patents, Consultancy and Researchers undertaking research

NAAC considers number of patents published/awarded to an institution, consultancy projects undertaken by faculty etc., during accreditation of the institution. To assess the performance of test checked institutions in doing effective research, the number of patents awarded to the institution during 2014-20 was used in Audit as an indicator (**Sl. No. 15 of Appendix-1.2**).

The details of number of patents awarded, revenue generated from consultancy and number of researchers doing research in the test checked university during 2014-20 are given in **Table 3.15** below:

Table 3.15: No. of patents awarded/revenue generated from consultancy

Name of University	Number of research projects		Number of patents awarded	Number of JRFs, SRFs, Post-Doctoral fellows enrolled for research projects	Number of consultancies given by the university	Amount of revenue generated from consultancies in the university
	Undertaken	Completed (per cent)				
MGKV	7	4 (51)	0	6	0	0
UoL ²⁶	45	35 (78)	0	33 ²⁷	0	0

(Source: MGKV and UoL)

It is evident from **Table 3.15** above that in the field of patents, awards and revenue generated from consultancy, the performance MGKV and UoL during 2014-2020 was negligible. Further, the Universities did not frame policy for providing consultancy and revenue sharing between institution and individuals.

3.9.2.2 Teachers' contributions to research in HEIs

The strategic framework of Twelfth FYP seeks to bring excellence in higher education by building synergies between teaching and research to promote excellence in both.

²⁵ Para 3.4 of the NAAC manual.

²⁶ Data of the test checked departments only.

²⁷ Data of nine test checked departments (Applied Economics, Chemistry, Commerce, English, Economics, Indian History and Archeology, Philosophy, Physics and Sanskrit) only.

NAAC during accreditation of an institution considers number of research papers per teacher published in UGC notified Journals and number of books and chapters in edited volumes/books published per teacher, which underscores the significance of teachers' contribution to research in enhancing the quality of HEIs. Audit findings are discussed below:

- ***Number of research papers published***

To assess the performance of an institution's faculty in doing research, the number of research papers per teacher in the Journals notified on UGC website during 2014-20 was used as an indicator (**Sl. No. 16 of Appendix 1.2**). This indicator is also one of the key indicators used by NAAC during assessment and accreditation process of HEIs.

Audit observed that in MGKV, one research paper was published in UGC notified journals but no books and chapters were published in edited volumes/books and no research papers were presented in national/international conference proceedings during 2014-20.

In UoL, during 2014-20, 1,311 publications in UGC notified journals and 254 books/chapters in edited volumes/papers were published in national/international conferences in nine²⁸ out of ten test checked departments. In one (Jagatpur PG College Varanasi) out of six colleges test checked in MGKV, 34 research papers were published in UGC notified journals during 2014-20.

No research papers were published in one of the test checked non-government aided college (Navyug Kanya Mahavidyalaya Lucknow) of UoL. However, 03 research papers were published in UGC notified journals in another test checked non-government aided college (Karamat Husain Muslim Girls' PG College Lucknow). Further, 12 books were also published by the college in 2019-20. The expenditure incurred on these researches were the teachers own expenditure. Similarly, the test checked Maharaja Bijli Pasi Government Degree College, Ashiyana, Lucknow published four research papers and 7 books in UGC journals in 2019-20. In Mahamaya Government Degree College, Mahona, Lucknow 39 papers by 22 teachers and 15 chapters in books by 9 teachers were published during 2014-19.

- ***Number of teachers awarded international fellowship***

To assess the encouragement and exposure given by test checked HEIs to teachers to undertake research, number of teachers awarded international fellowship for advanced studies/research during 2014-20 was used as an indicator (**Sl. No. 17 of Appendix-1.2**). This indicator is also one of the key indicators used by NAAC during assessment and accreditation process of HEIs.

Audit observed that no full-time teacher was awarded international fellowships for advanced studies/research in MGKV and test checked colleges of MGKV. Only three faculty (two per cent) in two departments (Department of Applied Economics and English & Modern European Languages) out of ten test checked departments in UoL were awarded international fellowship for advanced studies/research.

²⁸ 1. English & Modern European Language, 2. Economics 3. Philosophy 4. Ancient Indian History & archaeology 5. Sanskrit 6. Physics 7. Chemistry 8. Botany 9. Applied Economics.

Since very few teachers from the test-checked HEIs were awarded international fellowships for advanced studies/research, it can be inferred that these HEIs either failed to put enough efforts in encouraging and exposing their faculty to international research projects or the faculty themselves were not motivated enough to undertake such activities.

3.9.3 Collaborative and Extension Activities

3.9.3.1 Collaborative Activity: Industry-academia connect

Academia and Industry share a symbiotic relationship. Academia produces graduates who are absorbed by industry. Research work in universities are taken up by the industry and turned into products and services. Industry on the other hand looks to academia for solutions to their concerns. Industry would require universities to tailor their programs to turn out graduates whose skill-sets are aligned to industry requirements. Industry-academia engagement between universities and industries carry the idea of mutuality and sharing of knowledge and expertise. Participation of expertise available in the faculty of the university in offering consultancy to industries and assisting their R&D activities and industries on the other hand assisting universities in placements and internships of students and their skill development and employability are cases in point²⁹.

Further, as per paragraph 3.7 of NAAC Manual, through collaboration, the HEIs can maintain a closer contact with the work field. It helps keep the academic activities in the HEI in a more realistic perspective and also expand the scope of learning experiences for students.

In order to assess the performance of test checked universities in collaborative activities, Key Outcome Indicator “*extent of industry-academia connect*” (**Sl. No. 8 of Appendix 1.1**) was evaluated on the basis of number of functional MoUs executed with institutions of national/international importance, other Universities, industries, etc., during 2014-19.

As per the information provided by MGKV, UoL and their ten test checked colleges, no MoU was executed with any industry during 2014-20. Thus, there was a total lack of connect with job creators impacting placements as mentioned in subsequent paras.

UoL stated (July 2022) that 62 MoUs with various industries, research institutes and other national and international universities has been signed by the university.

The reply of UoL contradicts its earlier reply (December 2020) clearly stating that no initiative was taken by UoL to conduct extension and outreach programmes in collaboration with industries. Further, UoL did not provide details of the MoUs signed due to which Audit could not ascertain as to when and by which Department the said 62 MoUs had been signed.

3.9.3.2 Extension activities in collaboration with industry, community, etc., and student participation

As per paragraph 3.6 of NAAC manual, learning activities have a visible element for developing sensitivities towards community issues, gender disparities, social inequity,

²⁹ UGC guidelines for establishment of University-Industry inter linkage centres.

etc., and in inculcating values and commitment to society. Affiliation and interaction with groups or individuals who have an interest in the activities of the institution and the ability to influence the actions, decisions, policies, practices or goals of the organisation leads to mutual benefit to both. The processes and strategies inherent in such activities sensitise students to the social issues and contexts.

In order to assess the efforts made by test checked universities in encouraging extension and outreach programs conducted in collaboration with industry, community and NGOs (NCC/NSS/Red Cross, *etc.*), the Key Outcome Indicator “*extent to which industry has been consulted or has provided sponsorship and funding, in a collaborative environment*” (**Sl. No. 9 of Appendix 1.1**) was to be evaluated on the basis of the average percentage of students participating in these extension activities during 2014-20 (**Sl. No. 18 of Appendix 1.2**). This indicator is also one of the key indicators used by NAAC during assessment and accreditation process of HEIs.

Audit found that both the test checked universities and test checked colleges of MGKV did not undertake any extension activities in collaboration with industries/communities, *etc.*, during 2014-20.

One (Karamat Husain Muslim Girls’ PG College, Lucknow) out of four test checked colleges of UoL, organised extension and outreach programme in 2018 and 2019. Thus, test checked HEIs was not encouraging extension and outreach programs in collaboration with industry, community and NGOs.

3.9.3.3 Lack of research policy and monitoring mechanism for research

As per Paragraph 3.1 of NAAC manual, promotion of research is a significant responsibility of the HEIs particularly for Universities without which a research culture on campus cannot be realised. The HEIs have to be actively engaged in this through evolving appropriate policies and practices, making adequate resources available, encouraging active involvement of teachers and scholars in research as well as recognizing any achievement of teachers through research. It also includes responsiveness and administrative supportiveness (procedural flexibility) in the institution in utilising the support and resources available with the Government agencies and/or other agencies.

Audit observed that as of March 2020, MGKV and UoL did not have their own policy for undertaking and development of research in different fields of industries/academia and also for their academic departments. Centralised data regarding year-wise number of research projects proposed, sanctioned, amount sanctioned, sponsoring agency, progress of expenditure, *etc.*, were not maintained in UoL. The information of funds received, expenditure incurred and progress of the research projects was only available with the concerned Principal Investigators (PIs).

The State Government replied (July 2022), that it had made a research policy in 2021.

3.10 Students progression towards employment and higher studies

Increase in employability and progress to higher studies were identified as the most important outcomes that students expect from higher education. Achievement of these outcomes are directly dependent on a number of factors which, besides the quality of education imparted, specifically include availability of career counselling cells,

placement cells, alumni associations and proper maintenance of data of graduating students. The existence and effective functioning of such facilitating mechanisms is essential to increase employment opportunities for graduating students. Audit findings regarding job placements, factors aiding job placements and success rate in competitive examinations are discussed below.

3.10.1 Placement Cell, Career Counseling Cell and Alumni Associations

3.10.1.1 Placement Cell

As per NAAC and UGC guidelines³⁰ Government Colleges need to constitute a placement cell to promote the placement of the students through their campus.

Audit observed that MGKV was organizing campus placement through University Employment Information and Guidance Bureau since 2016-17 and it opened a Placement Cell in 2018-19. In UoL, Central Counseling and Placement Cell (CPC) was formed in March 2017. MGKV and UoL provided data for organising of job fairs and placement done during 2016-20 as given in **Table 3.16**.

Table 3.16: Job fairs organised in MGKV and UoL

Particulars	Number of job fairs organized				
	2016-17	2017-18	2018-19	2019-20	Total
MGKV					
No. of job fairs organised	6	5	17	14	42
Students placed	200	78	301	202	781
Medium salary (Average yearly salary in lakh)	1.8	2.25	2.4	2.25	
UoL					
No. of job fairs organised	1	6	3	3	13
Students placed	672	1020	720	280	2692
Medium salary (Average yearly salary in lakh)	3.50	3.50	3.50	4.70	

(Source: MGKV and UoL)

In MGKV and UoL, 781 and 2,692 students respectively were placed in these job fairs organised during 2016-20.

Out of six test checked colleges in MGKV, placement cells in Jagatpur PG College and Sakaldiha PG College in MGKV were formed in 2017-18 and the Jagatpur PG college placed nine students in a job fair organised in 2017-18.

Placement Cell in two test checked Government Colleges³¹ of UoL were also not formed. The placement cell in the two test checked non-government aided colleges in UoL were formed. Three job fairs were organised by Karamat Husain Muslim Girls' PG College, Lucknow during 2017-20 and 46 students were placed. In two job fairs organised by Navyug Kanya Mahavidyalaya Lucknow, three students were placed during 2014-16.

³⁰ Paragraph 5.2 of NAAC Manual, UGC guideline for general development assistance to central, deemed and state universities during XIth plan.

³¹ Maharaja Bijli Pasi Government PG College, Ashiyana, Lucknow and Mahamaya Government Degree College, Lucknow.

Thus, opening of placement cells is a new phenomenon in the test-checked HEIs and the numbers placed through placement cells confirm that the culture of placement through campus has not caught on particularly in government colleges.

3.10.1.2 Career Counseling Cell

Career Counseling Cell supports students in development of soft skills and communication ability to meet the rigors of competitive examination, on-job-training etc. UGC in its guidelines³² underscored the importance of well-functioning Career and Counseling Cells in addressing the diverse socio-economic handicaps and geographic backgrounds of the heterogeneous population of students coming to the universities vis-à-vis equity of access and placement opportunities through availability of appropriate institutional support information. Audit findings are discussed below:

In MGKV, no Career Counseling Cell (CCC) was formed. As stated by the University, the function of career counseling was being done by University Employment Information and Guidance Bureau. However, documentary evidence for such counseling was not provided to audit. Further, CCC was not established in the six test checked colleges of MGKV also.

In UoL, Counseling and Placement Cell (CPC) was formed in March, 2017 to provide successful and better placement opportunities to its students and build up their potentials and capacities. The University stated that career counseling to 17,081 students was provided during 2017-20. However, records of CPC were not provided to audit though asked for due to which achievement of its objectives could not be verified.

The CCC was not established in test checked Government Colleges of UoL. As replied by the colleges, the counseling was done by the teachers in classes itself. However, it was formed in the two test checked non-government aided colleges and counseling was done. Thus, career counseling was not properly institutionalised.

3.10.1.3 Alumni Association

An active Alumni Association has the potential to contribute significantly in academic matters, student support as well as mobilization of resources through financial and non-financial means³³.

The Alumni Association in MGKV was registered (December 2010) under Society Registration Act, 1860 under the name of *Puratan Chhatra Samiti*. As stated, association organised annual central alumni meet each year during the period of 2014-20. However, financial help was not provided by *Puratan Chhatra Samiti* to the University.

The governing body of Alumni Association in UoL was constituted only in January 2018. Since establishment of the governing body nine meetings were held. Membership fee of ₹ 7.55 lakh was received during 2017-20.

Alumni Association was established in one of the test checked government colleges (Maharaja Bijli Pasi Government PG college, Lucknow) of UoL in the year 2017-18 and its meetings were held during 2017-18 and 2018-19 but no meeting was held in

³² UGC guidelines for general development assistance to central, deemed and state universities during XIth plan.

³³ NAAC Manual.

2019-20. In Mahamaya Government Degree College, Mahona, Lucknow the association was not formed.

Alumni Association of Karamat Husain Muslim Girls' PG College, Lucknow was not registered. As per the information provided, its two meetings were held during 2019-20. Alumni Association was formed in Navyug Kanya Mahavidyalaya, Lucknow but no meetings were held during 2014-20.

The Alumni Association in two (Jagatpur PG College Varanasi and Sri Agrasen Kanya PG College Varanasi) out of six test checked colleges in MGKV were established which held six and nine meetings respectively during 2014-20.

Thus, Alumni Associations had a very limited role in extending the network of the students into the job market. No activity leading to securing jobs through the Association were noticed in audit.

3.10.2 Progress to higher studies

Along with employment, progress to higher studies for post-graduation, doctorate and post-doctorate studies, etc., is a career option that students aspire to take up. In order to assess how well test checked universities and colleges did in sending their students for higher studies, increase in percentage of students progressing to higher education during 2019-20 is used as Key Outcome Indicator (**Sl. No. 1 of Appendix 1.1**). It is one of the key indicators used by NAAC during assessment and accreditation process of HEIs.

Audit observed that MGKV and UoL and their test checked colleges, except Karamat Husain Muslim Girls' PG College, Lucknow, did not maintain data of students going for higher education either outside the university or colleges or pursuing the higher education in same university 2014-20. Karamat Husain Muslim Girls' PG College Lucknow maintained records of 20 students who progressed to higher education during 2014-18. In the absence of data, Audit could not comment on the performance of the Universities with respect to this indicator.

The State Government stated (July 2022) that in order to increase employment, employment-oriented education is strengthened by the Higher Education Department and the Government by organizing different programs, viz., NCC, NSS, Rovers Ranges, Career Counseling Cell, Placement Cell, Innovation Cell, etc. However, reply on the specific issues raised in audit was not furnished.

3.10.3 Qualifying in Competitive Examinations

Competitive examinations held at the national and State levels provide immense opportunities for student progression. A number of competitive examinations are held for graduating students to qualify for employment or for progressing to higher studies. Qualification in competitive examinations is an important criterion of NAAC's assessment and accreditation process of higher education institutions.

In order to assess an institution's ability to adequately equip its students for qualifying such examinations, average percentage of students qualifying in State/National/International level examinations during 2014-20 has been used in audit as Key Outcome Indicator (**Sl. No. 2 of Appendix 1.1**).

The Annual Quality Assurance Report (AQAR) of MGKV and UoL depicts number of students qualifying in the competitive examination out of total UG, PG, PhD and others students during 2014-20. This data is given in **Table 3.17**.

Table 3.17: Number of students qualified in the Public Examinations

Year	No. of students qualified in Public Examination (UPSC, SSC, State PSC, NET, CAT, GATE, etc.)					
	MGKV			UOL		
	Students enrolled	Students qualified	Percentage	Total students	Students qualified	Percentage
2014-15	8577	17	0.20	19272	65	0.34
2015-16	8599	0	0.00	20098	77	0.38
2016-17	8170	0	0.00	20908	97	0.46
2017-18	8178	106	1.30	20721	74	0.36
2018-19	8881	80	0.90	16522	125	0.76
2019-20	8592	Not available	--	15562 ³⁴	547	3.51

(Source: MGKV and UoL)

The data shows a fluctuating trend in MGKV which was 0.20 *per cent* in 2014-15, 1.30 *per cent* in 2017-18 and reduced to 0.90 in 2018-19. The data in UoL showed mostly increasing trend from 0.34 *per cent* in 2014-15 to 3.51 *per cent* 2019-20.

In the case of test checked colleges of UoL, Navyug Kanya Mahavidyalay, Lucknow and Mahamaya Government Degree College, Mahona, Lucknow did not maintain data of students qualifying in the State/National or International level competitive examinations. Karamat Husain Muslim Girls' PG College, Lucknow maintained data of three students qualified in competitive examinations. Maharaja Bijli Pasi Government PG College, Lucknow also maintained data of students qualified NET and JRF examinations.

Thus, MGKV and its constituent colleges did not maintain data as per AQAR. In case of UoL, the performance was improving but it was not satisfactory as less than one *per cent* of students qualified in competitive examinations during 2014-19 and only in 2019-20, there was an increase to 3.51 *per cent*.

3.10.4 Performance of Students in University Examinations

NAAC and NIRF in their assessment criteria have identified that effectiveness of a higher education institution is reflected through many student centric aspects including student's performance in the examinations, average pass percentage of students, percentage of students graduating with higher divisions etc.

In this context, test checked HEIs have been evaluated on the basis of examination results using average pass percentage of students during 2019-20 as indicator (**Sl. No. 2 of Appendix 1.2**). This indicator is derived from one of the key indicators used by NAAC during assessment and accreditation process of HEIs.

³⁴ This is the data of UG and PG students provided by the Director IQAC Cell of the university.

Division-wise results were also analysed of the test checked universities. This was important because getting campus placements as well as enrolment for higher studies are generally through competitive processes in which merely passing is not enough to be successful.

The data relating to average pass percentage and division wise result of all students who appeared in final year examinations in under graduate and post-graduate programs of Science, Arts and Commerce streams during 2019-20 in test checked universities are detailed in **Appendix 3.6** and summarised in **Table 3.18**.

Table 3.18: Performance of students in examinations during 2019-20

Particulars	MGKV Varanasi	Test checked College of MGKV	UoL Lucknow	Test checked College of UoL
	No. of students (per cent)	No. of students (per cent)	No. of students (per cent)	No. of students (per cent)
Students appeared	3538	11007	4314	3477
Students passed	3176 (90)	10750 (98)	3140 (73)	3121 (90)
Students passed with first division	1364 (43)	2272 (21)	1525 (49)	319 (9)
Students passed with second division	1676 (53)	6535 (61)	918 (29)	948 (40) ³⁵
Students passed with third/without division	136 (4)	1943 (18)	697 (22)	936 (39)

(Source: MGKV and UoL)

It could be seen from **Table 3.18** that in MGKV about 90 *per cent* students and in UoL about 73 *per cent* student passed in examinations during 2019-20. Forty-three *per cent* and forty-nine *per cent* students in MGKV and UoL respectively passed with first division. Substantially less number of students passing with 1st division in colleges is an indicative of weak performance of colleges in regard to quality of education. Further students passing without division indicated that the quality of education needs to be improved.

Conclusion and Recommendations

The curricula were not regularly revised/updated considering the needs of industry, because of which focus on employability could not be ensured. Student Teacher Ratio was much higher, besides effort towards professional development of teachers was also insufficient. Results were declared with delays in test checked Universities. Research projects were delayed and also closed midway without their outcomes. No patents were awarded and no consultancy were given. The placement through campus placement cells was not encouraging, particularly in government colleges.

Recommendation 4: *Timely revision of curriculum may be ensured and courses having focus on employability may be included.*

Recommendation 5: *In order to ensure quality education, the State Government and*

³⁵ Excluding the data of Maharaja Bijli Pasi Government Degree College Ashiyana Lucknow which did not have complete data.

the Universities should maintain prescribed Student Teacher Ratio in government Colleges and Universities.

Recommendation 6: *For improvement and continuous development in the performance of teachers for individual and institutional excellence, the State Government and the Universities should conduct relevant professional development programs regularly and ensure that all teachers are imparted training in these programs.*

Recommendation 7: *Examination system and delay in declaration of results should be closely monitored.*

Recommendation 8: *Quality and timeliness of research should be ensured by the Universities/State Government by close monitoring of the projects.*

Recommendation 9: *The State Government/Universities should ensure that placement cell and career counseling cell are set up in all Higher Educational Institutions.*

Recommendation 10: *The Higher Educational Institutions should put in place a robust system of collecting and maintaining data relating to higher studies and placement of students.*

Chapter-4

Governance and Management

4 Governance and Management

Leadership and Governance deeply influence all aspects of Higher Education Institutions (HEIs). Though good governance and management in themselves are not the outcomes that are to be achieved in higher education, but they are crucial in determining the effectiveness of all the efforts aimed at achieving such outcomes.

According to Twelfth FYP (paragraph 21.310), empirical evidence pointed out towards the fact that better-run institutions are highly autonomous. Further, it states that autonomy in the areas of finance, organisational structure, operations and staffing is important, but should be consistent with internal systems of evaluation and accountability.

In order to assess the status of governance and management in HEIs through various elements and mechanisms of HEI governance and the extent to which they have been effectively implemented in the selected HEIs, the following audit objective was framed.

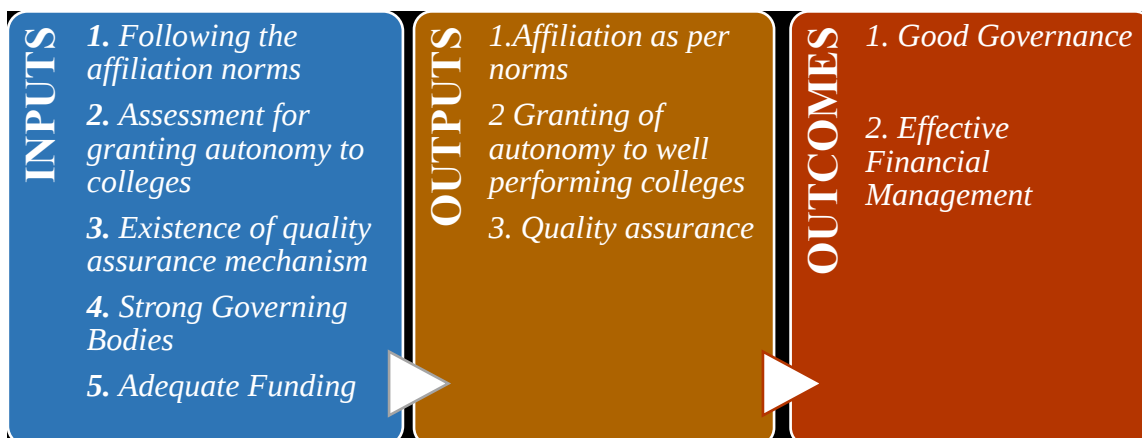
Audit objective 4: Whether Governance and management of higher education system was adequate, efficient and effective?

Brief snapshot of the Chapter:

- Uttar Pradesh State Higher Education Council set up (1995) in the State to co-ordinate and determine the standards in universities and colleges, did not have Chairman, Vice Chairman and Members during March 2017 to January 2020. Ten out of 14 sanctioned posts for its office were vacant. Perspective plans for development in higher education were not prepared by SCHE.
- State Level Quality Assurance Cell was not formed. Due to this, monitoring and maintenance of data regarding constitution of Internal Quality Assurance Cells in government and private colleges were not done, which had impact on accreditation of colleges in the State. Only 183 out of 7,038 HEIs in the State had been accredited with NAAC grading.
- Seat of many important stakeholders were vacant in Governing Bodies such as Executive Council, Court and Academic Council. College Development Council was not set up in MGKV and it was though set up in UoL but not functioning as desired.
- As of March 2020, there were 341 affiliated colleges in MGKV and 171 affiliated colleges in UoL. Thus, both the Universities had more number of affiliated colleges than the desired limit of 100 colleges as per *Rashtriya Uchchatar Shiksha Abhiyan* (RUSA). Audit noticed various deficiencies in granting affiliation to colleges/new courses in existing colleges. Periodical inspection of affiliated colleges by the Universities was not being done.
- State Government released grants-in-aid under RUSA with delays ranging up to 1,636 days. Both the test-checked Universities were not self-sufficient, however, dependency of Universities on the Government's grant was reducing.
- Internal audit unit was not functioning in the test-checked universities as the sanctioned post of Auditors was vacant.

4.1 Introduction

Various factors contribute to ensure that governance and management of a HEI is envisioned and carried out in a manner that effectively oversees the efforts towards achievement of higher education outcomes. Affiliation of colleges, load of affiliation on universities, encouragement given towards autonomy, quality assurance and adequate funding acquire significance and become crucial for HEIs to progress towards its goals. The relationship between the goals of adequate and effective governance and management in HEIs and its factors, mechanisms and systems contributing towards achieving these aims can be understood through the following representation:



Effectiveness of governance and management structures of an HEI is reflected in the results of its evaluation through accreditation, ranking methodologies and in the prudence of financial management.

4.2 Governance

Effective governance structures and processes are essential to ensure accountability and transparency in an HEI. The existence and functioning of governance structures have been discussed in this section.

4.2.1 State Government level governance

At the level of State Government, the role of Department of Higher Education is to govern all institutions of higher education through State policies/directives. It accords sanction for teaching and non-teaching posts and approves operation of self-finance courses by HEIs. Recruitment of teachers in government colleges and non-government aided colleges is done by the State Government through Uttar Pradesh Public Service Commission and Uttar Pradesh Higher Education Service Commission respectively.

4.2.2 State Level Governance

Institutional mechanisms for governance, at the state level include setting up of State Council of Higher Education (SCHE) and State Level Quality Assurance Cell (SLQAC). Audit findings related to their functioning are discussed in the following paragraphs.

4.2.2.1 State Council of Higher Education

Paragraph 21.308 of Twelfth FYP document states that it would be desirable for each State to set up an SCHE to lead the planned and coordinated development of Higher education in the State. *Rashtriya Uchchatar Shiksha Abhiyan* (RUSA) also requires formation of SCHE for planned and coordinated development of higher education in

State, sharing of resources between universities, lead academic and governance reforms at institutional level, establish principles for funding institutions, maintain a data bank on higher education and conduct research and evaluation studies.

Audit scrutiny revealed the following:

(i) Establishment of State Council of Higher Education

The State Government enacted Uttar Pradesh State Council of Higher Education Act 1995, which established SCHE in the State.

(ii) Constitution of SCHE

SCHE consists of a Chairman, a Member Secretary and eleven other members. In order to nominate two Vice-Chairman in the UPSCHE for solving issues raised by public representatives, the Act was amended and notified in November 2007.

Audit observed that SCHE was functioning without Chairman from 5 March 2017 to 23 January 2020. Vice chairmen were also not nominated in the SCHE. Additional Secretary posted on deputation basis was the office in-charge of SCHE in which 10¹ out of 14 sanctioned posts were vacant as of 31 March 2020.

(iii) Functions of SCHE

The SCHE was to meet at least once in three months. However, audit found that against prescribed 24 such quarterly meeting, only one meeting² was held during 2014-20.

The main function of SCHE was to co-ordinate and determine standards in universities and colleges in accordance with the guidelines issued from time to time by the University Grants Commission. SCHE was to prepare consolidated programmes in the sphere of higher education, to prepare perspective plan for development of higher education, to encourage innovations in curriculum development, to devise methods to improve standards of examination, to advice the State Government regarding norms for establishment of new Universities and colleges, to release and monitor grants in aid to Universities and colleges, etc.

Audit observed that SCHE did not prepare such perspective plan as of March 2020 nor gave any advice to the State Government on policy decisions for the development of higher education. Further, the envisaged function of planning and co-ordination, functions related to academic activities, and financial functions were also not done.

The State Government stated (July 2022) that presently Chairman of SCHE had been appointed and filling up of the other posts was under process by the Government.

4.2.2.2 State Level Quality Assurance Cell

As per paragraph 11(a) of guidelines issued by UGC for Internal Quality Assurance Cell (IQAC) under Twelfth FYP, the State Level Quality Assurance Cell (SLQAC) shall monitor the functioning of IQACs in the colleges coming under their jurisdiction.

NAAC in its accreditation process also gives importance to existence and functioning of SLQAC. In its Manual on 'Quality Assurance Activities of State Quality Assurance Cells', it suggests constitution of SLQAC whose objective would be to work towards quality improvement of colleges in the State, to draw up state-level action plan in

¹ Computer Operator (1), Senior Assistant (1), Assistant Account Officer (1), Statistical Assistant (1), Junior Accounts Clerk (1), Personal Secretary (1), Stenographer (2) and Peon (2).

² 25 August 2015.

consultation with NAAC and to act as nodal agency between the respective State HEIs and NAAC.

Audit observed that SLQAC was not formed in the State. Due to this, all functions including monitoring and maintenance of data regarding constitution of IQACs in government and private colleges were not done in the State. This can be understood from fewer number of colleges accredited in the State. As of 2019-20, 183 out of 7,038 HEIs were NAAC accredited of which, 29 HEIs were graded with A grades, 127 graded with B grades and 27 with C grades.

As per SCHE, HEIs were facing problem in NAAC evaluation due to insufficient teachers against sanctioned posts and unavailability of funds for NAAC evaluation fee. As a result, education and learning processes could not get necessary quality assurance.

The State Government replied (July 2022) that decision to establish SLQAC was under consideration at the government level.

4.2.3 Institutional level Governance

Governance at the level of university is carried out through an elaborate mechanism consisting of Governing Bodies, quality assurance mechanism, affiliation process, etc. Audit findings related to these bodies/mechanisms are discussed in the succeeding paragraphs.

4.2.3.1 Governing Bodies in Universities

Records related to functioning of governing bodies such as file noting, agenda of meeting, minutes of meetings, etc., were scrutinised in the selected Universities.

The test checked universities MGKV and UoL were set up before enactment of the Uttar Pradesh State Universities Act, 1973³ in 1921 and 1867 respectively. As provided in the Act (Clause 50), the MGKV prepared its first statute in 1977 and UoL prepared its statute in 1975. The Act and the Statutes inter-alia provided for constitution of different governing bodies, viz., Court, Councils, Committees, Boards, etc.

Audit observed that the Executive Council, Court, Academic Council and Finance Committee and other committees as provided in first Statute of the test checked universities were constituted. During 2014-20, their meetings were held time to time for taking decisions in different administrative and academic matters. College Development Council was also constituted. The governing bodies set up in the universities are discussed in succeeding paragraphs.

4.2.3.2 Executive Council

Executive Council (EC) is the principal executive body in the Universities. It consists of Vice-Chancellor (Chairman) and other members from among Professors, Associate Professors and Assistant Professors of the University and Principals of affiliated colleges as per the provisions given in the Uttar Pradesh State Universities Act 1973. It's meeting was to be held at least once every two months.

Details of the meetings of EC held and minimum and maximum members participated in the meetings are given in **Table 4.1**.

³ The Act was re-enacted vide Uttar Pradesh Universities (Re-enactment and Amendment) Act, 1974.

Table 4.1: Meetings of EC held and number of members participated
(Figures in numbers)

Calendar Year	MGKV		UoL	
	Meetings held	Min./Max. Participants	Meetings held	Min./Max. Participants
2014	6	13/17	10	13/22
2015	7	12/20	11	16/18
2016	5	13/17	12	13/23
2017	5	13/18	6	13/19
2018	4	13/16	6	11/14
2019	2	15/19	6	10/20
Total	29		51	

(Source: MGKV and UoL)

Audit findings are discussed below:

MGKV

Audit observed that against minimum 36 meetings which were to be held during the calendar year from 2014 to 2019, only 29 meetings were held. Two to seven meetings were held in each calendar year from 2014 to 2019 and 12 to 20 members participated in these meetings (**Table 4.1**). However, as of June 2021, the seats of five members⁴ are vacant.

Audit analysis revealed that against the provision of selection of four Principals and four other teachers in the Executive Council of the universities notified under Section 37 (1) of the UP State University Act, 1973, MGKV made provision of only three Principals and two teachers. Due to this, there was less representation of one Principal and two teachers in the EC.

UoL

As against requirement of at least six meeting in a year, UoL held six to 12 meetings each year during 2014-19. However, as of February 2021, the seats of eight members⁵ were vacant.

The State Government replied (July 2022) that regular meetings of EC in MGKV were not held due to COVID-19 however, the same would be regularly organised in future.

4.2.3.3 Court

As per section 22 of the Uttar Pradesh State University Act 1973, a Court was to be constituted which had to work as an advisory body and have power to:

- review broad policies and programs of the university;
- suggest measures for improvement and development of the University;
- consider and pass resolutions on annual report, annual accounts and audit report of the University;
- advise the Chancellor in respect of matters referred to it for advice, etc.

The Court shall consist of ex-officio Members (Vice Chancellor, the members of the Executive Council and the Finance Officer), life members (all members of Court and Senate before commencement of the Act), representative of teachers, members from registered graduates, representatives of students, nominee of Chancellor, two Members

⁴ Four elected members from registered graduate and one member from among *Udyogpatis*.

⁵ One post of Pro Vice Chancellor, One professor of OBC category, one professor of senior most category, all the four elected members and one member from among *Udyogpatis*.

of Legislative Council and five members of Legislative Assembly. Its meetings were to be held once in a year.

MGKV

The Court was set up in the University, however, its activities were not noticed in audit except attending convocation of the university. There was lack of representation of important stakeholders like 10 members from registered graduates, five members from Legislative Assembly and student representatives. Thus, as envisaged in the Act, the due advice was not obtained and monitoring of various activities in the university was not exercised by the Court during 2014-20.

UoL

Audit noticed that meetings of the Court were held in June 2015 and April 2016 and resolution were passed on Annual Report of 2014-15, annual accounts of 2011-12, 2012-13, 2013-14 and Income and Expenditure Account of 2015-16 and 2016-17. However, no meetings were held in 2017 onwards (August 2021).

Audit observed that as of February, 2021, the posts of many members of EC, viz., seven out of 24 members of EC, six out of 15 members from among teachers, two out of 15 registered graduates, all the eight students' representatives, and four nominees of the Chancellor were vacant. Thus, the Court lacked the representation of stakeholders.

The State Government stated (July 2022) that in MGKV, constitution of Court followed by its meetings would be held shortly and UoL was currently in process to hold the meeting of Court.

4.2.3.4 Academic Council

The role of Academic Council is to advise EC in all academic matters including matters relating to examinations conducted by the University.

Details of the meetings of Academic Council held and minimum and maximum members participated in the meetings are given in **Table 4.2**.

Table 4.2: Meetings of Academic Council held and number of members participated
(Figures in numbers)

Calendar year	MGKV		UoL	
	Meetings held	Min./Max. Participants	Meetings held	Min./Max. Participants
2014	2	60/65	3	33/75
2015	3	49/58	3	40/68
2016	1	64	1	70
2017	3	41/58	2	87/126
2018	2	51/58	2	52/69
2019	1	59	2	44/66

(Source: Concerned University)

Audit noticed that as of December 2019, the seats of all the seven members (teachers) from affiliated colleges and all the five members from persons of academic eminence were vacant in the Academic Council of UoL.

The State Government stated (July 2022) that in UoL, the members from affiliated colleges and persons of academic eminence have been included in Academic Council since last two years.

The fact remains that the seats of all the seven members (teachers) from affiliated colleges and all the five members from persons of academic eminence were vacant till December 2019.

4.2.3.5 Finance Committee

Finance Committee (FC) was to advise Executive Council on matters relating to the administration of property and funds of the University. The annual accounts and financial estimates of the University are laid before FC for consideration and thereafter submitted to EC for approval. As prescribed, meetings of the Finance Committee were to be held at least twice in a year.

Details of the meetings of FC held and minimum and maximum members participated in the meetings are given in **Table 4.3**.

Table 4.3: Meetings of Finance Committees held and number of members participated
(Figures in numbers)

Calendar Year	MGKV		UoL	
	Meetings held	Min./Max. Participants	Meetings held	Min./Max. Participants
2014	3	5/5	6	5/7
2015	3	4/6	4	6/8
2016	3	5/6	3	6/7
2017	2	6/6	3	7/8
2018	3	5/5	1	8
2019	2	6/6	2	7/7

(Source: Concerned University)

Audit observed that during the period 2014 to 2019, two to three meetings were held each year in MGKV and four to six members participated in these meetings. In UoL one to six meetings were held and five to eight members participated in the meetings held.

4.2.3.6 College Development Council

With a view to provide consultancy and guidance services and to channelise the UGC schemes to affiliated colleges and for proper monitoring of programs, every affiliating University was to establish an office of Dean of College Development with backup of a College Development Council (CDC). CDC was to take steps for promotion, coordination and raising standard of education in Colleges. Dean of CDC was to visit affiliated colleges to apprise them the ways in which CDC can function effectively for development of colleges.

As per the norms prescribed by UGC, Vice-Chancellor and members from University teaching departments, affiliated colleges, one representatives from UGC, State Council of Higher Education, State Government and Executive Council constitute the CDC. Registrar, Finance Officer and Controller of Examination were also to be the member of CDC. The CDC was to meet at least twice in an academic year to review implementation of programs and activities related to colleges.

Audit observed that UoL constituted CDC in 2013-14. CDC was responsible to function as the policy making body for integrated development of colleges, monitor academic programmes/academic calendar, ensure that UGC grants released to University for disbursement to colleges are properly and expeditiously disbursed to colleges for specified purpose, etc.

Audit noticed that UGC grants are received directly by affiliated colleges of UoL and CDC was not made aware about the grants received.

In MGKV, CDC was not formed due to which the university could not benefit on account of its envisaged outcomes.

4.2.4 Internal Quality Assurance Cell

As per National Assessment and Accreditation Council (NAAC) Guidelines for the Creation of the Internal Quality Assurance Cell (IQAC) and Submission of Annual Quality Assurance Report (AQAR) in Accredited Institutions, every accredited institution should establish IQAC for performance evaluation, assessment, accreditation and quality up-gradation. IQAC shall submit an AQAR of the HEI in the prescribed format to NAAC. On the basis of AQAR, NAAC awards grade (A++, A+, A, B++, B+, B, C and D) to HEI.

At the policy level, role of IQAC in enhancing the quality of HEIs has been given a lot of importance. Report on 'Inclusive & Qualitative Expansion in Higher Education' (Paragraph 2.2.3-g) issued under Twelfth FYP states that in order to internalise quality inputs all universities, government colleges and government-aided colleges are to be strengthened with full-fledged IQAC as part of UGC-supported scheme.

MGKV and its affiliated colleges

IQAC was established in April 2010 with the objective of making sincere efforts to determine the new parameters of quality education. MGKV submitted the AQAR to NAAC during 2014–20. MGKV was accredited (November 2018) for C grade which was valid up to November 2023.

Out of 341 affiliated colleges in MGKV, only 16 (4.7 *per cent*) had been accredited (A:2, B+:3, B:6, C:5) during 2014-20. Remaining 325 colleges did not approach NAAC for getting accredited. In test checked colleges, the accreditation (grade B) of Jagatpur PG College Varanasi expired in 2017. Audit further observed that two (Pt. Kamlapati Tripathi Govt. P.G. College, Chandauli and Govt. Degree College, Naugarh, Chandauli) out of six test checked Government Colleges and non-government Aided Colleges did not constitute IQAC.

UoL and its affiliated colleges

IQAC was to meet at least once in three months. Functioning of the IQACs in UoL and the test checked colleges are discussed in succeeding paragraphs:

IQAC in UoL was formed (December 2016) under the chairmanship of Vice-Chancellor. One to two meetings of IQAC were held each year participated by seven to eight members⁶. The NAAC B grade accreditation of UoL expired in May 2019. Director IQAC stated that the university was in the process of accreditation and Institutional Information for Quality Assessment (IIQA) would be submitted very soon. As of March 2020, only 27 (A:7, B:18, C:2) out of 171 affiliated colleges were NAAC accredited. The IQAC in Maharaja Bijli Pasi Govt. PG College, Ashiyana, Lucknow was formed in 2017-18. Since formation, its meetings were held twice each year but it did not prepare AQARs. In Mahamaya Government Degree College, Mahona, Lucknow IQAC was formed in 2015-16. Since its formation, its meetings were held regularly once in each year except in 2019-20 but it did not prepare AQARs.

In Karamat Hussain Muslim Girls' PG College, Lucknow (a non-government aided college), IQAC was formed in 2015-16. Its meetings were held thrice a year during

⁶ Except in February 2017 when 11 members participated in IQAC meeting.

2017-20 and AQAR was submitted in 2017-18. In Navyug Kanya Mahavidyalaya, Lucknow (a non-government aided college), IQAC was formed in 2012. Its meetings were held quarterly during 2014-18 but the same was discontinued in 2018-19 where only one meeting was held, however, during 2019-20, eight meetings were held. It did not prepare AQARs. Thus, IQACs in three out of four test checked colleges in UoL did not prepare AQARs.

State Government stated (July 2022) that instruction to the Colleges has been issued for establishing IQAC and to get evaluation from NAAC.

4.3 Governance through affiliation

UGC (Affiliation of Colleges by University) Regulation, 2009 defines affiliation of a college as its recognition by, association with, and admission to, the privileges of the affiliating university. In view of UGC (Affiliation of Colleges by University) Regulations, 2009 and *Pariniyamavali* of MGKV and various orders issued by the Government, MGKV and UoL prepared a checklist of criteria/norms for the inspection of the college's facilities who applied for affiliation.

In November 2014, State Government circulated an order that proposals of affiliation had to be disposed of at the University level. When a college applied for affiliation, an inspection team comprising of three members including Regional Higher Education Officer was to be formed by the university. At the time of inspection, the concerned colleges seeking affiliation, either run by the State Government or by the private management, shall satisfy pre-defined requirements for affiliation, viz., availability of land, fund, library, books, furniture, stationary items, laboratory and recreation centers. Deficiencies pointed out by the committee were to be rectified by the college. After rectification of deficiencies a proposal from the college is received for inspection of the college by the committee constituted by the University. After receipt of the inspection report from the committee, application of the college is processed for submission to EC. If EC is in agreement that the affiliation is admissible under rules and orders, an approval is given. Finally, a letter indicating terms and conditions of the affiliation granted is released to the colleges.

As of March 2020, MGKV and UoL had 341 and 171 affiliated colleges scattered across five districts of eastern Uttar Pradesh and Lucknow district respectively. During 2014-20, MGKV affiliated one Government College and 205 Self Finance Colleges (SFCs) and UoL affiliated 58 SFCs. Year wise number of colleges at the beginning of 2014-15, number of colleges affiliated and number of colleges closed during 2014-20 and total number of affiliated colleges at the end of 2019-20 are given in **Table 4.4**.

Table 4.4: No. of colleges affiliated during 2014-20

(Figures in numbers)

University	No. of Colleges affiliated at the beginning of 2014-15			No. of Colleges affiliated during 2014-20			No. of College closed during 2014-20 ⁷			Total no. of Colleges at the end of 2019-20			
	Govt. Colleges	Govt. Aided Colleges	SFCs	Govt. Colleges	Govt. Aided Colleges	SFCs	Govt. Colleges	Govt. Aided Colleges	SFCs	Govt. Colleges	Govt. Aided Colleges	SFCs	Total
MGKV	19	23	229	1	0	205	1	10	125	19	13	309	341
UoL	04	20	102	0	0	58	0	0	13	04	20	147	171

(Source: MGKV and UoL)

⁷ One Govt. College, 10 Non-Government Aided College and 107 Self-Financed Private Colleges were transferred to Jananayak Chandrshekhar Azad University Ballia.

The number of application received for granting affiliation of subjects in new and existing colleges and number of application on which affiliation granted during 2014-20 are given in **Table 4.5**.

Table 4.5: No. of application received and no. of applications approved
(Figures in numbers)

Name of University	No. of application received for granting affiliation			No. of application Approved
	For subjects in new colleges	For subjects in existing colleges	Total applications received	
MGKV	189	941	1130	1091
UoL	59	143	202	202

(Source: MGKV and UoL)

Deficiencies noticed in Audit are discussed in succeeding paragraphs:

(i) Non adherence to affiliation norms

The inspection teams constituted by MGKV to recommend affiliation of courses applied by the Government Colleges and SFCs recommended affiliation of courses in 18 out of 28 SFCs test checked in audit even though they did not fulfill four to 29 *per cent* criteria (28 points checklist) fixed for affiliation (**Appendix 4.1**). Further, many criteria in six government colleges were ignored (**Appendix 4.2**) considering them colleges of the State Government. The relaxation of norms for sanctioning affiliation may affect quality of education offered by these colleges.

(ii) Extension of temporary affiliation without additional infrastructure

Additional infrastructure should be ensured before sanctioning affiliation of new courses.

MGKV

A team for inspection was constituted (June 2017) by MGKV for inspection of infrastructure Sakaldeepa PG College, Chandauli for temporary affiliation of self-financed courses of Sociology and English at PG level. Audit observed that the college was already having shortage of one room. However, the inspection team recommended (June 2017) temporary affiliation of both courses applied for despite shortages of class rooms⁸ and the affiliation was sanctioned also (June 2017) by the EC. Thus, without ensuring additional infrastructure the inspection teams recommended affiliation of two new courses.

UoL

Temporary affiliation to Dr. Asha Smriti Mahavidyalaya, Deva Road, Lucknow for self-financed course of BA was given from 2015-16. An inspection report (May 2019) of the committee set up for granting permanent affiliation pointed out various deficiencies, viz., the college was having only three lecture rooms as against required six rooms for BA Courses, past three years examination results were not available at the time of granting affiliation to the College, non-availability of building maps, no proper office for HOD, no firefighting measure, library facilities were not up to date, no wash area/basin in practical labs, no cooking area for home science, psychology lab not furnished and Boy's and Girl's common rooms were cluttered. Hence, as recommended permanent affiliation was not given but extension of temporary affiliation for 2019-20 was given (June 2019) by the Vice Chancellor at the request (June 2019) of college management in anticipation of approval of EC, without satisfying the conditions for

⁸ 15 class rooms were available against 18.

affiliation. Thus, the college was running with temporary affiliation since 2015-16 despite lack of infrastructure. Further, this college was asked to obtain permanent affiliation by 31 December 2019 after rectifying all deficiencies. However, as of audit (January 2020) permanent affiliation was not obtained. As such, the rectification of deficiency by the college could not be ascertained in Audit.

(iii) Extension of temporary affiliation without ensuring teachers

The State Government clarified (October 2012) that selection and approval of teachers should be completed within one month from the date of sanction of affiliation.

The State Government granted (October 2012) temporary affiliation of Self-Finance Courses of Commerce and Home Science at PG level in Jagatpur PG College, Jagatpur, Varanasi with the condition that the process of appointment and approval of the teachers of said subjects would be completed by the college within one month. The affiliation for two years was made effective from July 2012.

Audit observed that MGKV forwarded application for further extension of affiliation of the college to the State Government in April 2014, without ensuring requisite number of teachers. However, it pointed out that the college has not appointed the teachers required for the subject. Despite this, the Government extended (June 2014) temporary affiliation of the said courses for the academic year 2014-15 with the condition that the shortcomings should be rectified by the college before starting of classes and University would receive all records of such rectification within one month. The college, however, submitted (September 2014) an affidavit to the University for getting the teachers selected within six months but it was done by September 2015. Meanwhile 323 students of M Com and 207 students of Home Science passed out from the college during 2013-15. Thus, 530 students were passed out from the college without having University approved teachers. In this context, the college stated that teachers for undergraduate courses were taking class for both PG courses, however, MGKV informed (August 2021) that only University appointed teacher could take classes at PG level courses. As such, neither the college nor the University ensured availability of qualified teachers in the college.

(iv) Conditions of permanent affiliation not adhered to

- As per the condition of affiliation (August 2001) for BA course to Maharaja Bijli Pasi Government Post Graduate Degree College, Lucknow, college had to appoint at least one additional lecturer in each subject for second year and also one additional lecturer in each subject for third year course. However, the college was granted permanent affiliation for BA courses in 2015 without fulfillment of these conditions. Audit further observed that against the requirement of 30 lecturers, the post of only 20 lecturers were sanctioned and the two sanctioned posts were vacant since 2019-20.
- Permanent affiliation was given to Mahamaya Government Degree College Mahona in 2015 for seven BA courses. Audit observed that against the requirement of 14 lecturers, only six lecturers were posted in 2016 which was reduced to five lecturers during 2018-20.

(v) Periodical inspection of colleges**MGKV**

Section 37 (6) of Uttar Pradesh State Universities Act, 1973 provides that EC shall cause every affiliated college to be inspected from time to time at intervals not exceeding five years, by one or more persons authorised by it in this behalf, and a report of the inspection shall be made to the EC. Further, as per paragraph 12 (Ka)-22 of *Pariniyamawali* each affiliated college was to forward a certificate to the university each year by 15th August showing fulfillment of the conditions of the affiliations.

Audit noticed that the inspection team was not constituted by MGKV, due to which EC was not being made aware about available infrastructure and facilities in its affiliated colleges. Further, the certificate to confirm requirements of affiliation being ensured in each year of validity period of affiliation by the colleges was also not submitted by affiliated colleges during 2014-20.

UoL

EC of UoL decided to set up a committee for surprise inspection of the colleges and submit its report to it. However, the Committee for inspection was not constituted due to which, during 2014-20, periodical inspection of colleges was not carried out and EC was not made aware about regular maintenance, availability of infrastructure and basic amenities by the affiliated colleges.

The State Government stated (July 2022) that necessary instructions had been issued for inspection of colleges by University.

As discussed above, the affiliation process showed different kind of deficiencies in both the test checked universities which needed to be rectified.

4.4 De-burdening the universities from load of affiliated colleges

As per paragraph 7.1.15 (c) of Report on 'Inclusive and Qualitative Expansion in Higher Education', effective structural modernisation of the Central and the State Universities Acts need to be carried out to de-burden universities from the load of affiliating colleges. Efficient governance and effective autonomy with accountability should be facilitated among the higher education institutions through the revision of the Acts. No university should have more than 50 affiliated colleges with a total enrolment not exceeding 50,000 students.

As per Governance and Administrative Reforms under Chapter 6 of RUSA guidelines number of affiliated colleges in a University should be limited to 100. Status of affiliated colleges in MGKV and UoL during 2014-20 is given in table below:

Table 4.6: No. of affiliated colleges in MGKV and UoL

Name of University	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20
MGKV	310	367	301	318	324	341
UoL	144	151	160	170	167	171

(Source: MGKV and UoL)

It can be seen from the table above that within last five years from 2014-15 to 2019-20, the number of colleges increased by 10 *per cent* and 19 *per cent* in MGKV and UoL respectively.

In the exit conference (15 July 2022), the Government stated that position had now been improved. Earlier the number of affiliated colleges with a University was much higher. The fact remains that the number of colleges in both test checked universities were more than the desirable norms of RUSA for 100 colleges with a University.

4.5 Non-teaching staff

Status of non-teaching posts sanctioned, person in position and vacant posts in MGKV and UoL is given in **Table 4.7**.

Table 4.7: Position of non-teaching staff in MGKV and UoL 2019-20

Name of University	Sanctioned posts of non-teaching staff	Working non-teaching staff	Vacant post of non-teaching staff	Percentage of vacant post
MGKV	460	244	216	47
UoL	1381	1002	379	27

(Source: MGKV and UoL)

Audit observed that 47 *per cent* (216 against 460 sanctioned posts) posts of the non-teaching staff were vacant in MGKV during 2019-20. In test checked six colleges of MGKV 37 *per cent* (38 out of 102 posts sanctioned) posts of non-teaching staff were vacant during 2019-20 (**Appendix 4.3**).

The State Government replied (July 2022) that the appointment of personnel are to be made through UP Subordinate Service Selection Commission for which dossier for recruitment of 847 employees has been forwarded to the Commission.

4.6 Financial management

GoUP provides funds from the State budget to MGKV and UoL as grants-in-aid for the salary of teaching and non-teaching staff. Apart from the State budget, MGKV receives assistance from MHRD, UGC, funds under *Rashtriya Uchchatar Shiksha Abhiyan* and other such schemes. Fees from self-finance courses are also received by the Universities.

4.6.1 Funds under State budget

Public spending on higher education in the State during 2014-20 was ₹ 13,847.97 crore. Audit analysis revealed that the expenditure compared to State's total expenditure ranged between 0.56 (2015-16) to 0.76 *per cent* (2014-15). The expenditure (₹ 2,676.02 crore) for the year 2019-20 was 0.67 *per cent* of State total expenditure.

The year-wise budget provisions and actual expenditure on Higher Education Department during 2014-20 is given in **Table 4.8**.

Table 4.8: Year wise budget provision and expenditure of Higher Education Department during 2014-20

(₹ in crore)

Year	State Total expenditure	Total Budget provision on Education Department (Higher Education)	Actual expenditure (percentage of State Total expenditure)	GSDP of the State	Expenditure on Higher Education as percentage of GSDP
2014-15	251804.43	2406.95	1914.79 (0.76)	1011790	0.19
2015-16	318412.23	2388.83	1795.19 (0.56)	1137808	0.16
2016-17	349232.60	2947.51	2429.39 (0.70)	1288700	0.19
2017-18	334876.62	2655.81	2120.44 (0.63)	1416006	0.15
2018-19	409784.50	3806.20	2912.14 (0.71)	1584764	0.18

Year	State Total expenditure	Total Budget provision on Education Department (Higher Education)	Actual expenditure (percentage of State Total expenditure)	GSDP of the State	Expenditure on Higher Education as percentage of GSDP
2019-20	399426.75	3093.65	2676.02 (0.67)	1687818	0.16
Total	2063537.13	17298.95	13847.97 (0.67)		

(Source: Appropriation Accounts of respective years)

It can be seen from **Table 4.8** above that 80 per cent of the budget provision on higher education were utilised during 2014-20. Thus, Higher Education Department spent ₹ 13,848 crore during 2014-20, which was between 0.56 per cent (2015-16) and 0.76 per cent (2014-15) of total expenditure of the State. This expenditure was 0.15 per cent to 0.19 per cent of GSDP of the State during 2014-20.

4.6.2 Funds under RUSA

Rashtriya Uchchatar Shiksha Abhiyan (RUSA) launched as a Centrally Sponsored Scheme in September 2013 aims to improve the quality of state universities and colleges and enhance their existing capacities so that they become dynamic, demand-driven, quality conscious, efficient and forward looking and responsive to rapid economic and technological developments occurring at the local, state, national and international levels. The scheme covers only government HEIs in the State excluding open universities and Institutions offering Medical, Agriculture, Veterinary, etc. Centre-State funding for this scheme in case of Uttar Pradesh is in the ratio of 60:40.

4.6.3 Release of funds under RUSA

The position of funds received by State Project Director (SPD), RUSA and thereafter released to the State Universities and Government Colleges under the scheme during 2014-20 is shown in **Table 4.9**.

Table 4.9: Funds released, funds released to State Universities and Government Colleges
(₹ in crore)

Year	Funds released to SPD RUSA by State Government			Funds released by SPD RUSA			
				Funds released to State Universities		Funds released to Government Colleges	
	GoI share	State share	Total	Funds released	Funds utilized	Funds released	Funds utilized
2014-15	25.86	13.93	39.79	19.29	19.29	20.50	20.50
2015-16	1.54	0.83	2.37	0.37	0.37	2.00	2.00
2016-17	71.97	28.79	100.76	54.91	54.91	45.85	45.85
2017-18	73.36	4.00	77.36	50.04	50.04	27.32	27.32
2018-19	2.14	68.77	70.91	42.09	42.09	28.82	28.82
2019-20	46.33	29.57	75.90	45.68	20.90	30.22	25.50
Total	221.20	145.89	367.09	212.38	187.60	154.71	149.99

(Source: Office of RUSA, Lucknow)

Audit observed that the funds received against GoI share were released by the State Government with much delay to SPD, RUSA. Details of the delay are discussed in the succeeding paragraphs.

4.6.4 Delay in release of funds by State Government

As per RUSA guidelines, States should contribute their share along with central share to dedicated RUSA saving bank account of the State Higher Education Council (here State Project Director, RUSA) within 15 days of the receipts of central share.

Scrutiny of record of State Project Director (SPD) of RUSA revealed that the State Government released its state share including central share to SPD, RUSA with delay ranging up to 1,636 days. Release details are given in **Table 4.10**.

Table 4.10: Delay in release of RUSA funds by the State Government

Year	Central Share		State release including central share		Delay in release of grants (in days)
	Amount (₹ in crore)	Date of release of grants to State Government	Amount (₹ in crore)	Date of release to SPD	
2014-15	26.00	06.01.2015	40.08	09.03.2015 to 16.07.2019	46 to 1636
	3.25	04.02.2015	5.01	10.03.2015 to 05.11.2015	18 to 258
2016-17	115.78	07.09.2016	165.75	10.11.2016 to 4.10.2017	48 to 376
2017-18	6.00	21.12.2017	10.00	12.03.2018	65
	95.43	28.02.2018	188.95	27.03.2018 to 26.08.2019	11 to 528
2019-20	57.13	16.05.2019	91.96	29.07.2019	58
	5.88	30.08.2019	9.89	26.12.2019	102
	4.20	27.09.2019	5.29	11.03.2020 to 30.03.2020	150 to 169

(Source: Office of RUSA)

Thus, the State Government did not adhere to the norms prescribed for release of GoI share including State share.

The State Government stated (July 2022) that the State share was being released after making allocations in the State budget. In the exit conference (15 July 2022), it was stated that time was taken in obtaining utilisation certificates from executing agencies.

4.6.5 University resources

MGKV and UoL are not self sufficient to meet out their expenditure out of revenue earned by them. During 2014-20, total receipts of MGKV and UoL were ₹ 531.56 crore and ₹ 1,358.78 crore respectively. Out of this, during 2014-20, the State Government provided ₹ 118.65 crore (22 per cent) to MGKV and ₹ 357.10 crore (26 per cent) to UoL.

Year wise details of available funds, expenditure incurred and unspent funds at the close of each year during the period of 2014-20 are given in **Table 4.11**.

Table 4.11: Funds received, expenditure and unspent funds 2014-20

Name of University	Opening balance	Funds received from					Total available funds	Expenditure	Unspent funds (per cent)
		State Govt.	Central Govt.	Own revenue	Other sources	Interest earned			
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(9)	(10)	(11)
MGKV	96.95	118.65	30.53	344.57	20.39	17.42	628.50	432.57	195.94 (31)
UoL	100.28	357.10	122.13	579.65	263.22	36.68	1459.06	1286.49	172.57 (12)

(Source: MGKV and UoL)

4.6.6 Dependency on Government grants

Total expenditure and expenditure from government grants by MGKV and UoL in 2014-15 and 2019-20 is given in **Table 4.12**.

Table 4.12: Dependency on Government Grants during 2014-15 and 2019-20**(₹ in crore)**

Name of university	2014-15		2019-20	
	Total Expenditure	Total expenditure from Government grants (Per cent)	Total Expenditure	Total expenditure from Government grants (Per cent)
MGKV	56.07	17.26 (31)	80.07	15.91 (20)
UoL	162.84	44.54 (27)	223.70	49.92 (22)

(Source: MGKV and UoL)

As evident from **Table 4.12**, dependency of Universities on the Government grants was reducing.

The State Government stated (July 2022) that the State Universities have their own sources, viz., entrance fee, examination fee, tuition fee and other fee. State Government provides limited funds to the Universities.

4.6.7 Interest earned on RUSA funds

RUSA scheme aims to improve the quality of state universities and colleges and enhance their existing capacities. As per Government Order (March 2015), interest earned on RUSA funds was to be deposited/transferred in bank account of Directorate of RUSA.

Audit observed that the interest earned amounting to ₹ 76.78 lakh and ₹ 75.68 lakh during 2014-20 on RUSA funds by MGKV and UoL respectively were not transferred to the bank account of Directorate of RUSA.

The State Government did not reply (July 2022) on the issue raised in audit.

4.6.8 Maintenance of annual accounts

Paragraph 55 of Uttar Pradesh State Universities Act, 1973 stipulates preparation of annual accounts by the universities and submission of the same to the State Government which shall cause the same to be audited. Since October 2019, audit of the universities has been entrusted to CAG. Audit by DLFA has been dispensed with. DLFA conducted audit up to 2018-19. Both the universities have not made (May 2022) amendment regarding audit in their Acts.

Audit observed that MGKV maintained 54 bank accounts⁹ but annual accounts by MGKV for the period of 2014-19 were not prepared. Subsequent to audit, MGKV though prepared these annual accounts in 2020 but did not submit to EC, Court and the State Government.

UoL maintains three separate annual accounts (balance sheets, receipt and payment accounts and income and expenditure accounts) on accrual basis and a consolidated account for General Funds, College of Art and Craft and Self Finance Courses. The annual accounts were, however, prepared and finalised late in each year during 2014-20 and were not submitted to the State Government as detailed in **Table 4.13**.

⁹ Three bank accounts for UGC, 13 bank accounts for General Funds, three bank accounts for NSS and 35 bank accounts for self-financed courses

Table 4.13: Year of annual accounts and date of preparation of accounts

Year of accounts	Due date of preparation of accounts	Date of preparation of accounts	Delay in preparation of accounts (Months)
2014-15	June 2015	09.03.2016	8
2015-16	June 2016	17.03.2017	8
2016-17	June 2017	24.03.2018	8
2017-18	June 2018	29.03.2019	8
2018-19	June 2019	09.05.2020	10
2019-20	June 2020	Not available	Not available

(Source: UoL)

MGKV stated (July 2022) that number of bank accounts had been reduced from 54 to 22 and approval of EC has also been obtained on annual accounts. It was also stated that the universities established in the State are autonomous institutions and they utilise allocated funds at their own level and maintain their annual accounts. However, the State Government time to time reviews the purpose of the utilisation of the funds. Specific reply on the audit observations was not furnished.

4.6.9 Unadjusted advance payments

As per the provisions contained in MGKV Account Code Volume-IV, it was the duty of the Head of Department/Drawing and Disbursing Officer to ensure that account of temporary advances is rendered as early as possible and unspent balances, if any, are refunded immediately after finalisation of the purchases for which the temporary advances were drawn.

Audit observed that the outstanding temporary advances at the end of 2014-15 in MGKV ₹ 26.75 crore was increased to ₹ 54.58 crore in 2019-20.

The outstanding advance in UoL at the end of March 2020 was ₹ 22.59 crore. These advances include advances for construction of buildings, software development and advances for SFCs, etc., and were outstanding since long before 2009.

The State Government replied (July 2022) that detailed instructions in this regard have been issued in November 2018 and January 2022. MGKV stated that quick action has been taken by it for reducing outstanding advances. The advance of ₹ 54.58 crore in 2019-20 has been reduced to ₹ 48.22 crore by March 2022 and efforts are being made to reduce it further during 2022-23.

4.6.10 Governing financial management

Governing financial management refers to the way an organisation collects, manages, monitors and controls financial information and includes tracking of financial transactions, managing performance and control data and compliance, operations. Audit findings in UoL are discussed in succeeding paragraphs.

4.6.10.1 Cash book

Scrutiny of Cash Book of General Funds Account in UoL for the month of March 2019 revealed discrepancies in maintenance of cash book, viz.,

- entries of UoL receipts were not written in its Cash Book due to which sources of credits in the General Fund Bank Accounts and their reconciliation with the balances in bank accounts was not made in audit.

- entries in the Cash Book for payments made were written without corresponding entries of cheque number/cash payments and other details of payments. Due to which cheques issued could not be confirmed through cash books.
- Cash Books maintained in UoL for the test checked period (2014-19) of audit were neither closed daily/monthly nor signed by the cashier or countersigned by the competent officer. Certificate in respect of receipts, expenditure and balances at the end of the month was not written in the Cash Book. Due to which authenticity of entries in the Cash Book and balance of funds could not be confirmed in audit.
- UoL maintained 46 to 74 bank accounts¹⁰ during 2014-20 by adding three to seven Bank Accounts in a year yet bank reconciliations of these bank accounts were not prepared after completion of monthly transactions. University had engaged a Chartered Accountant firm¹¹ who prepared the monthly reconciliation statement with a delay of 11 to 23 months after closure of concerned financial year.

Fourteen cases of fraudulent drawal during 2017-19 (December 2017 to April 2019) of ₹ 1.40 crore (**Appendix 4.4**) from the Examination Funds bank accounts number 00600200000149 in UCO Bank of UoL branch were noticed by the University only after preparing bank reconciliation in March 2019 and an FIR (no. 0481 of October 2019) was lodged. These fraudulent drawals were managed by making clone of cheques issued to the University.

Failure to timely reconcile bank balances along with many deficiencies in writing of cash book discussed above caused failure to timely detect these fraudulent drawals. UoL informed (August 2020) that the amount had been re-credited (June 2020) to the University's bank account by UCO Bank.

The State Government replied (July 2022) that withdrawal, utilisation and payments are done at the university level however, the State Government reviewed them time to time. In the exit conference (15 July 2022), it was stated that the number of bank account has now been reduced and the bank reconciliation was now being done by the University itself.

4.7 Internal control and internal audit

State Government directed (October 2019) universities for conducting regular internal audit. However, internal audit unit was not functioning in the test checked universities as the sanctioned post of Auditors was vacant. This resulted in weak internal control.

In exit conference (July 2022), Special Secretary advised Universities to give training to the employees for maintenance of cash book.

Conclusion and Recommendations

Audit observed that the Governance and Management of Higher Education system was not adequate and marred by delays in fund release, large number of vacancies and affiliation given to undeserving institutions. Uttar Pradesh State Higher Education Council set up in the State to co-ordinate and determine the standards in universities and colleges, did not have Chairman, Vice Chairman and Members during March 2017 to

¹⁰ 2014-15: 46, 2015-16: 49, 2016-17: 63, 2017-18: 67, 2018-19: 74 and 2019-20: 67.

¹¹ M/s Habibullah & Co.

January 2020. Ten out of 14 sanctioned posts for its office was vacant. State Level Quality Assurance Cell was not formed in the State. There were vacancies in important seats in Governing Bodies of Universities, which reduced their effectiveness. College Development Council was not set up in MGKV and it was though set up in UoL but not functioning as desired. Colleges were given affiliation without fulfilling norms, which may affect quality of education. The inspections of affiliated colleges were not done. State Government released its share including central share for development of University and Colleges to State Project Director of *Rashtriya Uchchatar Shiksha Abhiyan* with delays ranging up to 1,636 days. Annual accounts of test checked Universities were not submitted to the State Government. Internal audit unit was not functioning in the test checked universities as the sanctioned post of Auditors was vacant.

Recommendation 11: *Vacancies in Governing Bodies in the State and the Universities should be filled up on priority basis.*

Recommendation 12: *The Universities should strengthen the affiliation process to ensure that only those colleges which comply with all regulatory requirements are granted affiliation.*

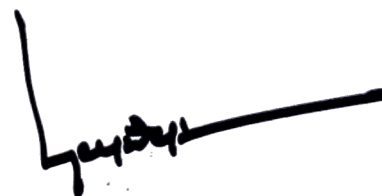
PRAYAGRAJ
THE

25 November 2022



(BIJAY KUMAR MOHANTY)
Principal Accountant General (Audit-I)
Uttar Pradesh

COUNTERSIGNED



(GIRISH CHANDRA MURMU)
Comptroller and Auditor General of India

NEW DELHI
THE

6 दिसम्बर 2022
DEC 2022

Appendices

Appendix 1.1
(Reference : Paragraph 1.3; Page no. 2)

List of Key Outcomes Indicators of Audit of Outcomes in Higher Education

Indicator Number	Key Indicator	Numerator of indicator	Denominator of indicator	Formula
1.	Increase in percentage of student progression to higher study (previous graduating batch) during 2019-20 (current year)	Total number of outgoing students progressing to Higher Education	Total number of final year students who passed in the University Examination	
2.	Average percentage of students qualifying in State/ National/ International level examinations during 2014-20 (NET/ SLET/ GATE/ GMAT/ CAT/ GRE/ TOEFL/ Civil Services/State government examinations)	Number of students qualified in Public Examination in a year	Total number of students enrolled in that year	Average percentage = (Sum of percentage of 6 years) /6
3.	Percentage of programmes where syllabus revision was carried out during 2014-20	Number of programmes in which syllabus was revised during 2014-19	Total number of programmes offered in the university during 2014-20	
4.	Average percentage of courses having focus on Employability/ Entrepreneurship/ Skill development during 2014-20	Number of courses having focus on Employability or Entrepreneurship or Skill Development in a particular year	Number of courses in all Programme	Average percentage = (Sum of percentage of 6 years) /6
5.	Average percentage of students enrolled in value added courses during 2014-20	Number of students enrolled in the value added courses during in a year	Number of students in the particular year	Average percentage = (Sum of percentage of 6 years) /6
6.	Percentage of new courses introduced out of the total number of courses across all programmes offered during 2014-20.	Number of new courses introduced during 2014-20.	Number of courses offered during 2014-20.	
7.	Percentage of teachers using ICT for effective teaching with Learning Management Systems (LMS), E-learning resources etc., during 2019-20 (current year)	Number of teachers using ICT during 2019-20	Total number of teachers during 2019-20	
8.	What is the extent of industry-academia connect?	Number of functional MoUs with institutions of national/ international importance, other Univ., industries etc. during 2014-19		
9.	What is the extent to which industry has been consulted or has provided sponsorship and funding, in a collaborative environment during 2014-20?	Number of extension and outreach programmes conducted in collaboration with industry, community, NGOs (NCC/NSS/Red Cross etc.) during last five years.		

(Source: NAAC guidelines)

Appendix 1.2
(Reference : paragraph 1.3; page no. 2)

List of Input-Outcomes Indicators of Audit of Outcomes in Higher Education

Indicator Number	Name of Indicator	Numerator of indicator	Denominator of indicator	Formula
1.	Average percentage of placement of outgoing students during 2014-20	Number of outgoing students placed in a year	No of outgoing students in that year	Average percentage = (Sum of percentage of 6 years) /6
2.	Average pass percentage of Students during 2019-20 (current year)	Total No. of final year students who passed in the University Examination	Total no. of final year students who appeared	-
3.	Number of value-added courses imparting transferable and life skills offered during 2014-20	Number of value-added courses imparting transferable and life skills offered during 2014-20	-	-
4.	Percentage of students undertaking field projects / internships during 2019-20 (current year)	Number of students undertaking field projects or internships during 2019-20.	Total number of students enrolled in the institution during 2019-20.	-
5.	Percentage of programmes in which CBCS has been implemented during 2019-20 (current year)	Number of programmes in which CBCS implemented during 2019-20.	Total number of programmes offered during 2019-20	-
6.	Availability of teachers as per prescribed Student Teacher Ratio during 2019-20 (current year)	Number of students enrolled in a particular programme during 2019-20	Number of teachers available (including part time teachers) for that particular during 2019-20.	-
7.	Average percentage of full time teachers with Ph.D. during 2014-20.	Number of full time teachers with Ph. D in a year	Number of full time teachers in that year	Average percentage = (Sum of percentage of 6 years) /6
8.	Percentage of full time teachers who received awards, recognition, fellowships at State, National, International level from Government, recognised bodies during 2014-20.	Number of full time teachers from receiving awards from State/National/International levels during last five years	Average no. of full time teachers during last 5 years	-
9.	Average percentage of teachers provided with financial support to attend conferences / workshops and towards membership fee of professional bodies during 2014-20.	Number of teachers provided with financial support to attend conferences/ workshops and towards membership fee of professional bodies during a year	Number of full time teachers in that year	Average percentage = (Sum of percentage of 6 years) /6
10.	Average percentage of teachers attending professional development programmes viz., Orientation Program, Refresher Course, Short Term Course, Faculty Development Program during 2014-20.	No of teaching staff attending such Programmes in a year	No of full time teachers in that year	Average percentage = (Sum of percentage of 6 years) /6
11.	Percentage of courses in which open book examinations were conducted in 2019-20 (current year)	No. of courses which conducted open book examinations	Total number of courses	

Indicator Number	Name of Indicator	Numerator of indicator	Denominator of indicator	Formula
12.	Average percentage of applications for revaluation leading to change in marks during 2014-20.	Number of Revaluation cases where marks changed in a year	No. of Revaluation applications received in that year	Average percentage = (Sum of percentage of 6 years) /6
13.	Percentage of papers in which marks increased in improvement examination	No. of papers applied for improvements exam	No. of papers in which marks increased in improvement exam	-
14.	Percentage of papers in which marks increased in back paper examination was identified as indicators	No. of papers applied for back paper examination	No of papers in which marks increased in back paper examination	
15.	Number of patents awarded to an institution during 2014-20.	Number of patents awarded to an institution during 2014-20.	-	-
16.	Number of research papers per teacher in the Journals notified on UGC website during 2014-20.	Number of publication in UGC notified journals during 2014-20.	Average number of full time teachers during 2014-20.	-
17.	Number of teachers awarded international fellowship for advanced studies/ research during 2014-20.	Number of teachers awarded international fellowship for advanced studies/ research during 2014-20.	-	-
18.	Average percentage of students participating in extension activities GOs, NGOs and Programmes like Swachh Bharat, Aids Awareness, Gender Issues etc. during 2014-20.	Number of students participating in such activities in a particular year	Total number of students enrolled in that year	Average percentage = (Sum of percentage of 6 years) /6
19.	Increase in Gross Enrolment Ratio with respect to target during 2014-20	Total number of students admitted in all types of HEIs in the state a particular year	Population of 18-23 years of age of the state during the year	-
20.	Increase in category wise Gross Enrolment Ratio with respect to All India ratios/targets during 2014-20	Category wise number of students admitted in all types of HEIs in a particular year	Population of 18-23 years of age of the particular category during the year	-
21.	Average percentage of students benefited by scholarships by the Government during 2014-20.	No. of students benefited by scholarships by Government in a particular year	total number of students enrolled in that year	Average percentage = (Sum of percentage of 6 years) /6
22.	Percentage of classrooms and seminar halls with ICT-enabled facilities such as smart class, LMS, etc during 2019-20 (current year)	No. of Classrooms and seminar halls with ICT facilities	Total No. of Classrooms and Seminar halls in the Institution	-
23.	Average percentage of budget allocation, excluding salary for infrastructure augmentation during 2014-20	Budget allocation for infrastructure augmentation excluding salary in a year	Total expenditure excluding salary in that year	Average percentage = (Sum of percentage of 6 years) /6

(Source: NAAC guidelines)

Appendix 1.3
(Reference: Paragraph 1.6; Page no.5)

Selected Units

Sl. No.	Selected Universities
1.	Mahatma Gandhi Kashi Vidyapith (MGKV), Varanasi
2.	University of Lucknow

Sl. No.	Selected Government Colleges of MGKV Varanasi
1.	Rajkiya P.G. College, Obra, Sonebhadra (Id: C-13727)
2.	Pt. Kamalapati Tripathi Rajkiya P.G. College, Chandauli (Id: C-13590)
3.	Rajkiya Mahavidyalaya, Naugarh, Chandauli (Id: C-50991)

Sl. No.	Selected Non-Government Aided Colleges of MGKV, Varanasi
1.	Sakaldeepa PG College, Chandauli (Id: C-13560)
2.	Jagatpur PG College, Varanasi (Id: C-13541)
3.	Sri Agrasen Kanya P.G.College, Bulanala, Varanasi (Id: C-13717)

Sl. No.	Selected Self-Financed Private Colleges affiliated by MGKV, Varanasi
1.	Maa Chandravati Mahavidyalay Semra, Chunar, Mirzapur (Id: C-54431)
2.	Shanti Shiksha Niketan Mahila Mahavidyalaya, Varanasi (Id: C-47322)
3.	Chaudhary Mahadev Singh Mahavidyalaya, Sonebhadra (Id: C-52208)
4.	Institute Of Computer Science and Technology, Nibiabachawan, Varanasi (Id: C-13716)
5.	Sankat Mochan Uchcha Shiksha Evam Takaniki Mahavidyalaya, Varanasi (Id: C-47321)
6.	Vindya Gurukul College for Women, Mirzapur (Id: C-59097)
7.	Late Subedar Singh Smriti Mahila Mahavidyalaya, Katesarkala, Chaubepur, Varanasi (Id: C-51075)
8.	Vindhya Kanya Mahavidyalaya, Urmaura, Robertsganj, Sonebhadra (Id: C-13600)
9.	Pt. Mahavir Prasad Tripathi Mahavidyalaya, Mirzapur (Id: C-13517)
10.	Arun Kumar Keshari Mahila Mahavidyalaya, Madhupur, Sonebhadra (Id: C-13675)
11.	Swami Argaranand Ji Mahila Mahavidyalaya, Barahan, Mangalpur, Chandauli (Id: C-51098)
12.	Halfal Mahavidyalaya (Id: C-54084)
13.	Gyananda Academy of Higher Education (Id: C-56246)
14.	Sw Dr. Sri Kuber Singh Mahavidyalaya, Mirzapur (Id: C-52719)
15.	Maharaja Jodharaj Singh Mahavidyalaya, Sant Ravidas Nagar, Bhadohi (Id: C-51106)
16.	Jamuna Ram Memorial School (Id: C-57200)
17.	Babu Ram Ujagir Singh Mahavidyalaya, Mirzapur (Id: C-51158)
18.	Ramlalit Singh Mahila Mahavidyalay (Id: C-57848)
19.	Pt. Shanti Bhushan Mahavidyalay, Gajokhar, Parasara, Varanasi (Id: C-51148)

20.	S K Mahila Mahavidyalaya, Mirzapur (Id: C-51161)
21.	Vindhya Mahila Mahavidyalaya, Mirzapur (Id: C-51154)
22.	Adarsh Janta Mahavidyalaya, Kolna, Chunar, Mirzapur (Id: C-13567)
23.	Shri Jamuna Prasad Maurya Shikshan Prashikshan Sansthan, Khewali, Varanasi (Id: C-51077)
24.	Maa Gayatri Mahila Mahavidyalaya, Hingutargarh, Chandauli (Id: C-52718)
25.	Hardeva Mahavidyalaya, Pagahi, Dhanapur, Chandauli (Id: C-51094)
26.	Chaudhari Ramdas Mahila Mahavidyalaya, Chandauli (Id: C-51099)
27.	Benaras Institute of Teachers Education, Nibah, Chiurapur, Varanasi (Id: C-13658)
28.	Sarvajeet Singh Mahavidyalaya Koilariya, Sonbhadra (Id: C-51135)

Sl. No.	Selected Government Colleges of University of Lucknow
1.	Mahamaya Rajkiya Mahavidyalaya, Mahona
2.	Maharaja Bijli Pasi Govt. College, Ashiyana

Sl. No.	Selected Non-Government Aided Colleges of University of Lucknow
1.	Navyug Kanya Mahavidyalaya, Rajendra Nagar
2.	Karamat Husain Muslim Girls' PG College, Faizabad Road, Lucknow

Sl. No.	Selected Self-Financed Private Colleges affiliated by University of Lucknow
1.	Shri Sharda Institute of Professional Studies, Plot No.-677, Chand Sarai
2.	Rajat P.G. College, Kamta Panchwati, Chinhat, Faizabad Road, Lucknow
3.	Dr. Aasha Smriti Degree College, Dewa Road, Chinhat, Lucknow
4.	Ram Prasad Bismil Memorial Degree College, Bismil Nagar, Kakori
5.	T.D.L. College of Engineering and Management Sciences, Kasimpur Biraua
6.	Shri Krishna Dutt Academy, Vrindavan Yojana
7.	Dr. Rajendra Prasad Memorial Girls Degree College, Rajajipuram, Lucknow
8.	Jakisth Education Institute, Rampur Behata
9.	Bimtec Degree College, Bakshi ka Talab
10.	A.K.G. College, Bika mau, Bakhshi Ka Talab
11.	C.B. Gupta B.S.S. Mahavidyalaya, Chandraval, Lucknow
12.	Surjan Debi Anusuiya Devi Degree College, Gangaganj, Lucknow

Appendix 2.1*(Reference : Paragraph 2.2.4.3; Page no. 12)***Geographical region wise name of districts**

Sl. No.	Geographical area (No. of districts)	Name of Districts
1.	Eastern region (28 districts)	Ayodhya, Ambedkernagar, Amethi, Azamgarh, Ballia, Balrampur, Bhadohi (St. Ravidas Nagar), Basti, Bahraich, Chandauli, Deoria, Gorakhpur, Gonda, Ghazipur, Jaunpur, Kushinagar, Kaushambi, Mirzapur, Mau, Maharajganj, Prayagraj, Pratapgarh, Sonbhadra, Sultanpur, Santkabirnagar, Siddharthnagar, Srawasti, Varanasi
2.	Western region (30 districts)	Agra, Aligarh, Amroha, Aurriya, Bijnor, Budaun, Bareilly, Baghpat, Bulandshahr, Etawah, Etah, Farrukhabad, Firozabad, Ghaziabad, Gautambudhanagar, Hathras, Hapur, Kannauj, Kasganj, Muzaffarnagar, Moradabad, Meerut, Mathura, Mainpuri, Pilibhit, Rampur, Shamli, Saharanpur, Sambhal, Shahjahanpur
3.	Central region (10 districts)	Barabanki, Fatehpur, Hardoi, Kanpur Dehat, Kanpur Nagar, Lakhimpur Kheri, Lucknow, Raebareli, Sitapur, Unnao
4.	Bundelkhand region (7 districts)	Banda, Chitrakoot, Hamirpur, Jalaun, Jhansi, Lalitpur, Mahoba

(Source: Statistical Diary Uttar Pradesh 2019, Planning Department, Government of Uttar Pradesh)

Appendix 2.2

(Reference: Paragraph 2.5.1; Page no. 26)

Annual fee charged by test checked Government Colleges and Non-Government Aided Colleges (2014-20)

Test checked colleges affiliated by Mahatma Gandhi Kashi Vidyapith, Varanasi

Name of College	Regular Courses						Self-Financed Courses					
	BA	B.Sc	B.Com	MA	M.Sc	M.Com	BA	B.Sc	B.Com	MA	M.Sc	M.Com
Jagatpur PG College Varanasi	2290	NA	NA	3194-4194	NA	NA	1550-7050	6550-12500	6550-12000	6500-28000	NA	13100-18000
Shri AgrasenKanya PG College Varanasi	2609-3944	NA	NA	2908-3753	NA	NA	NA	11617-21800	9620-15600	8000-17600	NA	23000
Govt. P.G. College, Obra, Sonebhadra	1900-2841	2410-3591	1900-2841	2050-5171	2420-5441	5441	NA	NA	NA	NA	NA	NA
Sakaldiha PG College, Sakaldiha, Chandauli	2200-3747	NA	NA	NA	NA	NA	NA	NA	NA	9100-13500	NA	NA
Pt. Kamalapati Tripathi Govt. PG College Chandauli	1730-2944	NA	NA	1898-3304	NA	NA	NA	NA	NA	NA	NA	NA
Govt Degree College, Naugarh, Chandauli	1742-3012	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA

Test checked colleges affiliated by University of Lucknow

Course	Karamat Husain Muslim Girls' PG College, Lucknow	Navyug Kanya Mahavidyalaya, Lucknow	Maharaj Bijli Pasi PG Government College, Lucknow	Mahamaya Government Degree College, Lucknow
B.A.	2950-7000	2605-6160	2300-6372	2070-5912
B.Sc.	18600-25000	4065-14660	5040-8242	4742-8120
B.Com.	19500-22000	11200-21300	3365-7272	5862-6912
M.Com.	-	14500-15000	-	-
M.A.	18000-23000	6885-12620	2300-5873	-

(Source: Test checked HEIs)

Appendix 3.1*(Reference: Paragraph 3.4.1.2; Page no. 40)***Student Teacher Ratio in test checked Universities and Colleges during 2019-20**

Name of University	Type of Data	Total number of Students			Number of Teacher			Student Teacher Ratio		
		Arts	Commerce	Science	Arts	Commerce	Science	Arts	Commerce	Science
MGKV University	A	5825	672	956	108	13	18	54:1	52:1	53:1
Pt. Kamlapati Tripathi Govt. PG College, Chandauli	B	719	No stream	No stream	09	No stream	No stream	80:1	No stream	No stream
Govt Degree College, Naugarh, Chandauli	B	320	No stream	No stream	03	No stream	No stream	107:1	No stream	No stream
Govt PG College, Obra, Sonbhadra	B	1821	696	612	07	04	02	260:1	174:1	306:1
Total		2860	696	612	19	04	02	151:1	174:1	306:1
Sri Agrasen Kanya PG College, Varanasi	C	4273	1212	843	79	36	07	54:1	34:1	120:1
Jagatpur PG College, Varanasi	C	3869	1423	1455	46	09	16	84:1	158:1	91:1
Sakaldiha PG College, Sakaldiha, Chandauli	C	2049	No stream	No stream	30	No stream	No stream	68:1	No stream	No stream
Total		10191	2635	2298	155	45	23	66:1	59:1	100:1
University of Lucknow	A	3059	1099	1545	169	28	126	18:1	39:1	12:1
Maharaja Bijli Pasi Government PG College, Lucknow	B	827	180	108	18	02	05	46:1	90:1	22:1
Mahamaya Government Degree College, Lucknow	B	497	70	72	05	02	05	99:1	35:1	14:1
Total		1324	250	180	23	04	10	58:1	63:1	18:1
Karamat Hussain Muslim Girls' PG College, Lucknow	C	2598	172	232	42	04	16	62:1	43:1	15:1
Navyug Kanya Mahavidyalaya, Lucknow	C	1523	720	487	41	12	19	37:1	60:1	26:1
Total		4121	892	719	83	16	35	50:1	56:1	21:1

(Source: Test checked HEIs)

Appendix 3.2

(Reference : Paragraph 3.4.3, 3.4.4 and 3.4.5; Page no. 42 and 43)

Number of full time teachers with PhD, teachers receiving awards and teachers from other State

(Figures in numbers)

Year	MGKV Varanasi					University of Lucknow				
	Full time teachers	Full time teachers with Ph.D	Percentage *	Received awards, recognition fellowship etc.	Teachers from other State	Full time teachers	Teachers with Ph.D	Percentage*	Received awards, recognition fellowship etc.	Teachers from other State
2014-15	130	120		0	07	310	309		0	21
2015-16	121	111		0	04	302	298		1	25
2016-17	118	109		0	02	324	324		0	27
2017-18	113	101		0	04	321	321		2	25
2018-19	123	113		0	02	317	316		1	27
2019-20	105	95		0	02	309	303		0	27
Total	710	649		0	21	1883	1871		04 (1.27 per cent)	152
Average	118	108	91.52		04 (2.97 per cent)	314	312	99.36		25 (8 per cent)

(Source: Test Checked HEIs) * percentage of full time teacher with Ph. D.

Appendix 3.3

(Reference : Paragraph 3.5; Page no. 44)

Teachers attending professional development programmes

Name of University	No of full time Teachers						No of teachers attending professional development programme						Average (Per cent)
	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20	
MGKV	130	121	118	113	123	105	16	10	11	26	35	34	22 (19)
Test checked Colleges of Mahatma Gandhi Kashi Vidyapith Varanasi													
Pt. Kamlapati Tripathi Government PG College Chandauli	08	08	09	08	08	09	01	05	03	00	01	03	10 (5)
Government Degree College, Naugarh, Chandauli	02	03	03	02	03	03	00	00	00	01	00	01	
Government PG College, Obra, Sonbhadra	18	20	15	15	13	13	06	05	04	08	05	06	
Sri Agrasen Kanya PG College, Varanasi	106	104	104	106	106	122	01	00	01	02	08	00	
Jagatpur PG College, Varanasi	63	64	68	66	69	71	00	00	00	00	00	00	
Sakaldiha PG College, Sakaldiha, Chandauli	18	18	18	26	26	30	00	00	00	00	00	00	
Total	215	217	217	223	225	248	8	10	8	11	14	10	
University of Lucknow	310	302	324	321	317	309	53	54	29	51	55	49	49 (16)
Test checked Colleges of University of Lucknow													
Maharaja Bijli Pasi Government PG College, Lucknow	27	27	25	23	25	25	03	09	01	09	09	22	21 (19)
Mahamaya Government Degree College, Lucknow	07	07	10	12	12	12	02	03	08	03	05	03	
Karamat Hussain Muslim Girls' PG College, Lucknow	21	22	25	34	33	40	00	00	04	05	06	15	
Navyug Kanya Mahavidyalaya, Lucknow	46	45	45	42	45	48	04	05	00	04	00	03	
Total	101	101	105	111	115	125	9	17	13	21	20	43	21 (19)

(Source: Test Checked HEIs)

Appendix 3.4

(Reference : Paragraph 3.9.1; Page no. 50)

Position of receipt and utilisation of grants for research activities

(₹ in lakh)

Sl. No.	Name of the Department	Name of Research Project	Purpose of research	Date of Sanction	Funding Agency (Govt. & Non-Govt)	Amount Sanctioned	Amount released	Stipulated date of completion of Projects	Actual date of completion	Expenditure Incurred
MGKV										
1	Psychology	Happiness of Adolescents as function of Personality and emotional intelligence: Behavioural evidences	Happiness of Adolescents as function of Personality and emotional intelligence: Behavioural evidences	31.08.2012	UGC	1.20	0.73	31.12.2013	03.01.2018	0.73
2	Social Work	A Study of Impact of Madarasa Education on Muslims in U.P. (Varanasi)	A Study of Impact of Madarasa Education on Muslims in U.P. (Varanasi)	22.06.2012	ICSSR	8.09	7.53	24.04.2014	31.12.2016	7.53
3	Political Science	Role of Panchayati Raj in Rural Development	Role of Panchayati Raj in Rural Development	25.06.2013	ICSSR	6.85	6.37	14.04.2014	30.07.2016	6.37
4	Psychology	Exploring psycho-social correlates of internet use among Indian adolescents	Exploring psycho-social correlates of internet use among Indian adolescents	14.09.2015	UGC	6.96	6.42	30.06.2018	Ongoing	5.28
5	Social Work	An Assessment of status of the adolescent girls in rural areas of district Varanasi UP	An Assessment of status of the adolescent girls in rural areas of district Varanasi UP	17.12.2015	ICSSR	6.40	5.12	24.03.2018	05.04.2019	5.12
6	Psychology	Smart Phone usage, Emotional intelligence, perceived Loneliness and life style of Indian Adolescents	Smart Phone usage, Emotional intelligence, perceived Loneliness and life style of Indian Adolescents	15.06.2019	ICSSR	10.00	4.00	14.06.2021	Ongoing	2.00

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Sl. No.	Name of the Department	Name of Research Project	Purpose of research	Date of Sanction	Funding Agency (Govt. & Non-Govt)	Amount Sanctioned	Amount released	Stipulated date of completion of Projects	Actual date of completion	Expenditure Incurred
7	Political Science	Changing status of Women in Indian society; Caste wise socio-political study of Sonbhadra district of UP	Changing status of Women in Indian society; Caste wise socio-political study of Sonbhadra district of UP	07.11.2019	ICSSR	4.00	1.60	06.11.2020	Ongoing	0.88
Total						43.50	31.77			27.91
UoL										
1	English	Translating the representative folk drama of Hindi speaking north India into English remapping the text, context and connotation	Translating folk drama of Hindi into English	04.03.2011	UGC	5.66	3.45	31.03.2013	30.06.2013	2.29
2	Economics	Growth and Structure of Elderly Population in Uttar Pradesh.	Implications for Economic Development and Social Security.	11.03.2013	UGC.	7.51	6.93	30.09.2015	05.12.2018	6.86
3	Economics	Mapping the adverse consequences of declining CSR and gender imbalance a case study of UP	To know reasons of declining CSR	26.02.2019	NCW	9.74	3.90	26.02.2021	August 2021	3.19
4	Economics	understanding backwardness of eastern up and role of ODOP scheme	To know role of ODOP scheme in reducing backwardness	11.04.2019	ICSSR	13.00	5.20	April 2021	August 2021	4.07
5	Economics	An exploratory investigation of migration from agricultural land in lower Assam to Waste slum in Lucknow	To know reasons of migration from Bayuta to Lucknow	30.03.2017	ICSSR	7.00	5.69	08.03.2018	08.03.2018	5.60
6	Economics	Impact of climate change on agricultural productivity and food security in India.	To estimate impact of cc on agricultural production and food security	04.07.2016	ICSSR	6.00	6.00	31.12.2017	31.12.2017	6.00
7	Economics	Status of agricultural risks & Insurance in UP	Estimate risk factor of UP agriculture & status of insurance in UP at district level	11.03.2019	ICSSR	4.80	3.36	15.04.2020	Awaited	3.35

Appendices

Sl. No.	Name of the Department	Name of Research Project	Purpose of research	Date of Sanction	Funding Agency (Govt. & Non-Govt)	Amount Sanctioned	Amount released	Stipulated date of completion of Projects	Actual date of completion	Expenditure Incurred
8	Economics	Structural transformation of Indian agriculture	Status of UP agriculture	24.10.2017	ICAR-NIAP	40.56	35.97	31.03.2021	31.03.2021	35.95
9	Economics	Analysis of Swachhh Bharat Abhiyan with special reference to Lucknow distt. of UP	To analyse impact of Swachhh Bharat Abhiyan in Lucknow	20.03.2019	ICSSR	4.00	2.80	15.04.2020	Final report submitted and comment awaited	2.80
10	Sanskrit	An encyclopedica of socio-cultural thinkers, their thinking process and thoughts mentioned in Sanskrit literature	An encyclopedica of socio-cultural thinkers, their thinking process and thoughts mentioned in Sanskrit literature	07.09.2012	UGC	6.26	4.39	31.12.2014	31.12.2014	4.39
11	Philosophy	Philosophy of J. Krishnamurthy and its contemporary relevance	Philosophy of J. Krishnamurthy and its contemporary relevance	03.08.2014	UGC	6.50	4.66	30.09.2016	26.05.2016	3.88
12	Philosophy	Kai Nielsen and Wittgensteinian fedism	To explore new interpretation	01.10.2014	Govt. ICPR New Delhi	2.00	1.80	30.09.2016	30.09.2016	1.52
13	Applied Economics	Inequality adjusted human development of UP	Inequality adjusted human development of UP	23.03.2017	ICSSR NR New Delhi	0.99	0.99	23.03.2018	23.03.2018	Not made available to Audit
14	Applied Economics	Study on evaluation of finances of UP	Study on evaluation of finances of UP	08.11.2018	Fifteenth finance Commission Govt. of India	4.50	4.50	May-19	May-19	Not made available to Audit
15	Commerce	Centre of Excellence	Entrepreneurship development in semi-urban area of UP	23.03.2019	Govt. of UP	16.00	16.00	31.03.2021	Ongoing	6.78
16	Physics	Indo-German Project	Paving the way for new tool to characterise the polymorphism in pharmaceutical	02.09.2013	DST	8.10	3.65	01.09.2015	01.09.2015	2.95
17	Physics	Indo-Brazil Project	Development evaluation and characterisation of new solid phase of active pharmaceutical ingredients	16.07.2014	DST	34.27	31.98	15.07.2017	15.12.2017	31.81

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Sl. No.	Name of the Department	Name of Research Project	Purpose of research	Date of Sanction	Funding Agency (Govt. & Non-Govt)	Amount Sanctioned	Amount released	Stipulated date of completion of Projects	Actual date of completion	Expenditure Incurred
18	Physics	UGC Research Award	Rigorous characterisation of active pharmaceutical ingredients and study of polymorphism in the solid state using vibration spectroscopy and quantum chemical techniques	01.02.2014	UGC	40.66	40.66	31.01.2016	31.01.2016	40.66
19	Physics	ISRO Project	Formation of prebiotic molecules and amino acids in astrophysical ices: ab initio molecular cluster and spectroscopic studies.	12.08.2015	ISRO	22.03	21.08	11.08.2018	11.08.2018	20.07
20	Physics	Morphological and relative humidity/gas sensing studies of undoped and doped ZnO nano materials	to synthesise and study and humidity gas sensing of surface morphology of pure ZnO and doped ZnO	22.03.2013	UGC	10.60	10.27	31.03.2016	31.03.2017	10.27
21	Physics	Thermo dynamical, rheological and acoustical properties of dilute solution of polymers.	Studies of polymer	14.05.2015	UPCST	6.16	5.96	21.07.2017	21.07.2017	5.96
22	Physics	Effect of doping diachronic dyes on dielectric, electro-optic and switching properties of nematic and cholesteric liquid crystals.	Switching properties of NLC	03.07.2016	UPCST	10.50	10.50	3 years	22.01.2019	10.50
23	Physics	Development of photonic devices based on doped new ferroelectric and antiferroelectric liquid crystals using photo orientation	Fabrication of photonic device	20.04.2015	Indo-Polish joint project Department of Science and Technology	10.00	10.00	02 years	09.10.2017	10.00
24	Physics	DAE-BRNS	Interaction of laser pulse with quantum plasma: spin up and spin down exchange interaction	12.07.2016	BARC (Govt.)	28.48	21.39	2020-21	31.03.2021	17.21

Appendices

Sl. No.	Name of the Department	Name of Research Project	Purpose of research	Date of Sanction	Funding Agency (Govt. & Non-Govt)	Amount Sanctioned	Amount released	Stipulated date of completion of Projects	Actual date of completion	Expenditure Incurred
25	Physics	DST-RFBR	Ultra bright plasma based gamma rays sources with petawatt laser	25.07.2017	Govt.	14.05	14.05	25.07.2019	25.07.2019	8.77
26	Physics	UGC	Collective excitations by laser pulse in high density degenerate plasma	21.04.2016	UGC	26.47	26.47	30.06.2018	30.06.2018	26.47
27	Physics	SERB, DST, New Delhi	Synthesis of nano-hydroxyapatite (nHAp) and its novel composites with metal/oxides: A study of structural, mechanical and biological properties for bone implant applications	20.02.2019	Science and engineering research board	34.94	21.90	19.02.2022	ongoing	18.32
28	Physics	R&D efforts by university groups for INO project	Establishing world class laboratory in India	13.11.2013	Govt.	36.89	36.00	12.11.2018	31.03.2020	24.00
29	Physics	Start-up grant UGC	Ion beam generation using laser produced colliding plasma plumes	12.2017	Govt.	10.00	9.85	31.03.2020	31.03.2020	8.85
30	Physics	Start-up grant UGC	Search for hidden regularity and symmetry in excited nuclei	9.2017	Govt.	10.00	9.83	31.03.2020	31.03.2020	7.83
31	Physics	IUAC/UFR/UGC	Spectroscopic study NB and Mo	1.2019	Govt.	5.79	1.37	31.03.2022	ongoing	1.01
32	Physics	Start-up grant UGC	NA	11.2017	Govt.	10.00	10.00	31.03.2020	31.03.2020	7.99
33	Physics	DST-INSPIRE Faculty award	Magnetic tunability of ferroelectric polarization in multiferroic oxides	20.07.2015	Govt.	19.00	19.00	19.07.2020	ONGOING	12.68
34	Chemistry	Exploiting ferrocene as an antenna in dye-sensitized solar cells (DSSCs)	To develop new ferrocene based sensitizers for dye sensitized solar cells	10.05.2013	DST New Delhi	26.45	24.75	09.05.2016	09.05.2016	24.73
35	Chemistry	Transition metal imine and dithiolate complexes as potential co-sensitizer in dye-sensitized solar cells (DSSCs)	To develop new co-sensitizers and co-adsorbents for dye sensitized solar cells	15.06.2017	CSIR New Delhi	12.00	11.75	14.06.2020	14.06.2020	11.75

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Sl. No.	Name of the Department	Name of Research Project	Purpose of research	Date of Sanction	Funding Agency (Govt. & Non-Govt)	Amount Sanctioned	Amount released	Stipulated date of completion of Projects	Actual date of completion	Expenditure Incurred
36	Chemistry	Improvement in biodegradability of biodegradable polymers (PLA, TPS and PGA) by the study of interfacial interaction between hydrophobic polymers and hydrophilic starch granules by using ultrasonic and rheological techniques	To develop new materials for biodegradable polymers	2016	CST UP	6.80	6.80	16.11.2019	06.01.2019	6.80
37	Chemistry	Dr. D.S. Kothari PDF	Utility of Tellurium in organic synthesis	14.09.2014	UGC	0.70	0.70	23.08.2015	23.08.2015	0.70
38	Chemistry	Dr. D.S. Kothari PDF	Utility of Tellurium in organic synthesis	19.03.2015	UGC	7.04	7.04	23.08.2015	23.08.2015	7.04
39	Botany	Characterisation of GABA-transaminase gene promoter for regulatory mechanism during rice leaf senescence process	Regulatory mechanism during rice leaf senescence process	25.03.2019	DST New Delhi	31.02	20.12	3.2022	ongoing	15.59
40	Botany	New Emerging contaminant, metallic nano-particles in agri-environment	Center of excellence new emerging contaminant metallic nano-particles in agri-environment toxicity, tolerance and molecular adaption in cereal crops	09.03.2019	Govt.	20.00	20.00	31.03.2020	31.03.2020	17.75
41	Botany	In vitro rhizogenesis and root transformation	In vitro rhizogenesis and root transformation in endangered Himalayan medicinal herb seliniumsp for characterization of its metabolites	04.12.2018	Govt.	18.30	12.20	04.12.2022	ongoing	12.20
42	Botany	Cloning, sequencing and expression of gene linked to induced antiviral resistance papaya	Development of the strategy for expression of antiviral protein after induction of CAP-34	08.04.2017	Govt.	32.58	27.60	07.04.2020	30.06.2020	27.27

Appendices

Sl. No.	Name of the Department	Name of Research Project	Purpose of research	Date of Sanction	Funding Agency (Govt. & Non-Govt)	Amount Sanctioned	Amount released	Stipulated date of completion of Projects	Actual date of completion	Expenditure Incurred
43	Botany	UGC-DS Kothari fellowship	Improving nutrient use efficiency in cereal crops by enriching root microbiota	16.05.2018	UGC	21.87	21.87	15.05.2021	15.07.2021	21.87
44	Botany	UGC PDF for women	Toxic impact and its remediation through innovative biotechnological tools.	11.04.2016	UGC	33.73	33.73	31.12.2021	ongoing	33.73
45	Botany	DST-SERB (TERE grant) Deciphering the role of nitric oxide in root development and zinc availability in rice plants	Deciphering the role of nitric oxide in root development and zinc availability in rice plants	18.10.2019	DST-SERB (TERE grant)	8.25	Not made available to Audit	31.10.2022	ongoing	2.49
Total						691.20	596.16			533.95

(Source: Test checked HEIs)

Appendix 3.5

(Reference : Paragraph 3.9.1; Page no. 51)

Infructuous expenditure in research projects

(₹ in lakh)

Sl. No.	Name of department	Name of project	Amount sanctioned	Amount spent	Audit findings
1.	English	Translation of representative folk drama of hindi speaking north India into English	5.66	2.29	The project closed incomplete with about 40 <i>per cent</i> expenditure. Audit analysis revealed that the project was closed midway without outcome because UGC did not agree for grant of second installment required (March, 2016) by concerned Project Investigator (PI). This necessitated to surrender the amount ₹ 1.17 lakh (November, 2016) balance with the PI.
2.	Sanskrit	Encyclopedia of socio-cultural thinkers of Sanskrit literature	6.26	4.39	The project closed with an expenditure of about 70 <i>per cent</i> without publication of the research outcomes. Records of the project were not made available to audit for scrutiny. In this connection department stated that the documents were with the concerned project investigator and he had been retired and no document were available with the department. It is evident from the above facts that department does not have any system mechanism in place for upkeep of records of projects enshrined to the PIs.
3.	Philosophy	Philosophy of J K Krishnamurti and its contemporary relevance	6.50	3.88	The project was complete with about 60 <i>per cent</i> expenditure without publication of research outcomes.
4.	Physics	Paving the way for a new tool to characterise the polymorphism in pharmaceutical compounds using THz spectroscopy combined with theoretical modeling	8.10	2.95	The Indo-German project was closed with 36 <i>per cent</i> expenditure but specific reasons regarding variation in sanction and actual expenditure was not intimated to audit though asked for. Audit scrutiny of utilisation revealed that exchanged visits of Indian and German scientists twice a year for two year was to be carried out by each side but up to March 2015 expenditure of Indian side was up to sanctioned cost of ₹ 2.60 lakh while expenditure for German side was up to ₹ 0.35 lakh (6 <i>per cent</i>).
5.	Physics	Ultra bright plasma based gamma rays sources with petawatt laser	14.05	8.77	The project was treated as complete after 62 <i>per cent</i> expenditure. On being asked about completion of project far below the sanctioned cost it was replied that manpower recommendation took long time, hence amount for manpower was not fully utilised and due to delay in formal approval to Russia only one visit could be undertaken as against two visits approved in the Project. Thus, the intended objective of the project was not achieved.
6.	Economics	Exploratory investigation of migration from agricultural land in lower Assam to waste slum in Lucknow	7.00	5.60	The project of Indian Council of Social Science and Research (ICSSR) was treated as complete with 80 <i>per cent</i> expenditure. On being asked about the reason of the completion of the project far below the sanctioned cost, concerned PI replied that the reimbursement bills was delayed in accounts office and therefore, we could not claim the balance amount and project period got over.
Total			47.57	27.88	

(Source: UoL)

Appendix 3.6

(Reference : Paragraph 3.10.4; Page no. 59)

Performance of students in examination during 2019-20

Particulars	No. of students in MGKV (per cent)							Total Test checked college of MGKV	No. of students in UoL (per cent)					Total Test checked college of UoL
	MGKV	Agrasen Kanya PG College Varanasi	Jagatpur PG College Varanasi	Pt kamlapati Tripathi PG College Varanasi	Rajkiya Mahavidyalaya Naugarh Chandauli	Govt PG College Obra Sonbhadra	Sakaldiha PG College Chandauli		UoL	Maharaja Bijli Pasi Govt. PG College, Lucknow	Mahamaya Govt . Degree College, Lucknow	Karamat Hussain Muslim Girls' PG College, Lucknow	Navyug Kanya Mahavidyalaya, Lucknow	
Students appeared	3538	2448	6648	248	90	946	627	11007	4314	1091	623	912	851	3477
Students passed	3176 (90)	2386	6648	211	76	847	582	10750 (98)	3140 (73)	969	561	777	814	3121 (90)
Students passed with first division	1364 (43)	663	1440	25	01	84	59	2272 (21)	1525 (49)	51	58	101	109	319 (9)
students passed with second division	1676 (53)	1394	3789	173	56	651	472	6535 (61)	918 (29)	no record	407	339	202	948 (40) ##
Students passed with third division	136 (4)	329	1419	13	19	112	51	1943 (18)	697 (22)	no record	96	337	503	936 (39) ##

Excluding the data of Maharaja Bijli Pasi Govt PG College, Lucknow which do not maintain and provide complete data to Audit.

(Source: Test Checked HEIs)

Appendix 4.1*(Reference : Paragraph 4.3; Page no. 70)***Checklist items and Self-Financed Colleges not fulfilling the checklist items**

Sl. No	Checklist items	Name of Colleges
1	Certified balance sheets of the society/trust or original certificate of annual income of society/trust.	Swami Argaranand Ji Mahila Mahavidyalaya, Barahan, Chandauli and Vindhy Gurukul College for Women, Chunar, Mirzapur.
2	Bank statement of deposit as per norms of the society/trust	Swami Argaranand Ji Mahila Mahavidyalaya, Barahan, Chandauli, Chaudhari Ramdas Women Degree College and Tiya, Chandauli.
3	Detail of pre operational courses at the college and result of last three years	Gyananda Academy of Higher Education, Vindhyachal, Mirzapur, Vindhya Women Degree College, Kanak Sarai, Kachhawa, Mirzapur, Chaudhari Ramdas Women Degree College, Tiya, Chandauli, Maharaja Jodhraj Singh Degree College, Saraihol, Sant Ravi Das Nagar, Swami Argaranand Ji Women Degree College, Barhan, Chandauli, S.K Women Degree College, Tilathi Chila, Mirzapur, Babu Ram Ujagir Singh Degree College, Mirzapur, Halfal Degree College Jalalpur Chandauli, Maa Chandrawati Degree College Semara Bhurkura Chunar Mirzapur and Late Subedar Singh Women Degree College, Chaubepur, Varanasi.
4	Certificate of permission of classroom operation.	Swami Argaranand Ji Mahila Mahavidyalaya, Barahan, Chandauli, Gyananda Academy of Higher Education, Vindhyachal, Mirzapur, Sarvjeet Singh Degree College, Koilariya, Ghorawal, Sonebhadra, Vindhya Women Degree College, Kanak Sarai, Kachhawa, Mirzapur, Pt. Mahavir Prasad Tripathi Degree College, Vijaypur, Mirzapur, Vindhya Girls Degree College, Urmaura, Robertsganj, Sonbhadra, Chaudhari Ramdas Women Degree College, Tiya, Chandauli.
5	Status of formation and approval of the management committee.	Swami Argaranand Ji Mahila Mahavidyalaya, Barahan, Chandauli, Gyananda Academy of Higher Education, Vindhyachal, Mirzapur, Hardev Degree College, Pagahi Dhanapur, Chandauli, Vindhya Women Degree College, Kanaksarai, Kachhawa, Mirzapur, Chaudhari Ramdas Women Degree College and Tiya, Chandauli.
6	Bank statement of appointed teacher for all courses/subjects & certificate issued by bank for salary payment/Salary transfer certificate etc.	Swami Argaranand Ji Mahila Mahavidyalaya, Barahan, Chandauli, Gyananda Academy of Higher Education, Vindhyachal, Mirzapur and Maharaja Jodhraj Singh Degree College, Saraihol, Sant Ravi Das Nagar.
7	Certificate of no allegation of mass copying	Swami Argaranand Ji Mahila Mahavidyalaya, Barahan, Chandauli, Babu Ram Ujagir Singh Degree College, Mirzapur, Gyananda Academy of Higher Education, Vindhyachal, Mirzapur, Halfal Degree College, Jalalpur Khadesara, Chandauli, Maa Chandrawati Degree College Semra Bhudkuda, Chunar, Mirzapur, Maharaja Jodhraj Singh Degree College Sarai Hol, Sant Ravi Das Nagar, Vindhya Women Degree College Kanak Sarai, Kachhawa, Mirzapur, Ma Gayatri Women Degree College, Himutargarh, Chandauli, Pt Mahavir Prasad Tripathi Degree College, Vijaypur, Mirzapur, Chaudhari Ramdas Women Degree College, Tiya, Chandauli, S.K. Women Degree College, Tilathi Chila, Mirzapur.

8	Current certificate of availability of fire extinguish	Swami Argaranand Ji Mahila Mahavidyalaya, Barahan, Chandauli, Maharaja Jodhraj Singh Degree College, Sarai Hola, Sant Ravi Das Nagar, Vindhya Women Degree College Kanak Sarai, Kachhawa, Mirzapur.
9	Certificate as per national building code 2005 issued from PWD for construction of building.	Vindhya Gurukul College for Women, Gosaiपुर, Chunar, Mirzapur.
10	CD of affiliation proposal	Babu Ram Ujagir Singh Degree College, Mirzapur, Hardev Degree College, Pagahi, Dhanapur, Chandauli, Sarvjeet Singh Degree College Koilariya, Ghorawal, Sonbhadra, Adarsh Janta Deree College, Kolna, Chunar, Mirzapur, Chaudhari Mahadev Prasad Degree College Chatra, Sonbhadra, Vindhya Girls Degree College, Urmaura, Robertsganj, Sonebhadra, Chaudhari Ramdas Women Degree College, Tiyaara, Chandauli, S.K Women Degree College, Tilathi Chila, Mirzapur.
11	Status of no objection in the operational courses/subjects at the time of the college is being established	Gyananda Academy of Higher Education, Vindhyachal, Mirzapur.

Appendix 4.2
(Reference : Paragraph 4.3; Page no. 70)

**Checklist items and Government Colleges/Non-Government Aided Colleges
not fulfilling the checklist items**

Sl. No.	Checklist items	Name of the Colleges
1	Certificates of revenue officer on land, original <i>Nazari naksa</i> and measurement of road	Government PG College, Obra, Sonbhadra
2	Original certificate issued by a competent authority of Municipality in case of college situated in urban areas.	Pt. Kamalapati Tripathi Government PG College, Chandauli, Government PG College, Obra, Sonbhadra
3	Affidavit regarding given information in application farm are correct.	Pt. Kamalapati Tripathi Government PG College, Chandauli, Government PG College, Obra, Sonbhadra
4	Status regarding the registration under section 2 (F) of UGC for the subject of PG level	Government PG College, Obra, Sonbhadra
5	NOC regarding temporary affiliation	Pt. Kamalapati Tripathi Government PG College, Chandauli
6	University approval/appointment of teachers	Jagatpur PG College, Jagatpur, Varanasi
7	Certificate of no allegation of mass copying	Pt. Kamalapati Tripathi Government PG College, Chandauli, Government PG College, Obra, Sonbhadra, Government PG College, Navgarh, Chandauli
8	Current certificate of availability of fire extinguish	Pt. Kamalapati Tripathi Government PG College, Chandauli, Government PG College, Obra, Sonbhadra, Government PG College, Navgarh, Chandauli
9	Certificate as per national building code 2005 issued from PWD for construction of building.	Pt. Kamalapati Tripathi Government PG College, Chandauli, Government PG College, Obra, Sonbhadra, Government PG College, Navgarh, Chandauli
10	Web site of degree college	Government PG College, Obra, Sonbhadra, Government PG College, Navgarh, Chandauli
11	CD of affiliation proposal	Government PG College, Navgarh, Chandauli

(Source: Test Checked HEIs)

Appendix 4.3
(Reference : Paragraph 4.5; Page no. 73)

Detail of non-teaching staff in test checked colleges

Sl. No.	Name Of college	No. of post sanctioned	No. of vacant posts	Vacant posts (number)
1.	Pt. Kamlapati Tripathi Govt. P.G. College, Chandauli	12	03	1. Office Superintendent (01) 2. Lab Assistant (02)
2.	Government Degree College, Naugarh, Chandauli	5	02	1. Librarian (01) 2. Peon (01)
3.	Government PG College, Obra, Sonbhadra	19	15	1. Lab. Assistant (01) 2. Junior Clerk (01) 3. Daftary (01) 4. Book Lifter (01) 5. Library Attendant (01) 6. Attendant (03) 7. Chowkidar cum Sweeper (01) 8. Gardener (01) 9. Gas Man (01) 10. Animal Catcher (01) 11. Lab. Attendant (03)
4.	Sri Agrasen Kanya P.G.College Varanasi	18	07	1. Librarian (01) 2. Office Superintendent (01) 3. Steno (01) 4. Lab. Attendant (02) 5. Chowkidar/Mali (01) 6. Sweeper (01)
5.	Jagatpur PG College, Varanasi	16	06	1. Librarian (01) 2. Clerk (01) 3. Daftary (01) 4. Library Attendant (01) 5. Lab. Attendant (01) 6. Sweeper (01)
6.	Sakaldeepa PG College, Sakaldeepa, Varanasi	32	05	1. Peon (03) 2. Clerk (01) 3. Lab. Attendant (01)
Total		102	38	

(Source: Test Checked HEIs)

Appendix 4.4*(Reference : Paragraph 4.6.10.1; Page no. 78)***Fraudulent withdrawals noticed by UoL in its bank account**

Year	Date of withdrawals	Name of firm	Cheque No.	Amount in rupees
2017-18	05.12.2017	KK Construction Lucknow	231992	9,98,274
	20.12.2017	KK Construction Lucknow	976251	9,98,682
	05.03.2018	KK Construction Lucknow	976111	9,98,176
2018-19	04.04.2018	KK Construction Lucknow	976023	9,99,570
	17.04.2018	Divya Electricals Lucknow	976226	9,97,864
	29.05.2018	Divya Electricals Lucknow	976119	9,98,570
	29.05.2018	Divya Electricals Lucknow	976158	9,98,620
	15.06.2018	Divya Electricals Lucknow	976160	9,98,775
	20.06.2018	Divya Electricals Lucknow	976161	9,99,695
	29.10.2018	Shah Agency Lucknow	976276	9,96,595
	07.11.2018	Shree Vishwakarma Service	976287	9,98,360
	19.12.2018	Shah Agency Lucknow	976308	9,98,210
	09.02.2019	Meena and Sons Lucknow	976307	9,98,566
2019-20	22.04.2019	Maa Vaishno Enterprises Lucknow	976310	9,98,110
Total				1,39,78,067

(Source: UoL)

Glossary of Abbreviations

Abbreviations	Descriptions
AC	Academic Council
AICTE	All India Council for Technical Education
AISHE	All India Survey on Higher Education
AQAR	Annual Quality Assurance Report
BA	Bachelor of Arts
BCom	Bachelor of Commerce
BSc	Bachelor of Science
CBCS	Choice Based Credit System
CEDC	Community Education Development Cell
CSIR	Council of Scientific and Industrial Research
DBT	Direct Benefit Transfer
EC	Executive Council
EOC	Equal Opportunity Cell
FC	Finance Committee
FYP	Five Year Plan
GER	Gross Enrolment Ratio
GoUP	Government of Uttar Pradesh
HoD	Head of Department
HEI	Higher Educational Institution
ICT	Information and Communication Technology
IQAC	Internal Quality Assurance Cell
ICSSR	Indian Council of Social Science and Research
MA	Master of Arts
M Com	Master of Commerce
MGKV	Mahatma Gandhi Kashi Vidyapeeth Varanasi
MHRD	Ministry of Human Resources Development
MoU	Memorandum of Understanding
MSc	Master of Science
NAAC	National Assessment and Accreditation Council
NET	National Eligibility Test
NIRF	National Institutional Ranking Framework
PG	Post Graduate
PhD	Doctor of Philosophy

PSU	Public Sector Unit
R&D	Research and Development
RHEO	Regional Higher Education Officer
RUSA	Rashtriya Uchchatar Shiksha Abhiyan
SC	Scheduled Caste
SDG	Sustainable Development Goal
SFC	Self Finance Course
SHEC	State Higher Education Council
SLQAC	State Level Quality Assurance Cell
SPD	State Project Director
SRSWOR	Simple Random Sampling Without Replacement
STR	Student Teacher Ratio
ST	Scheduled Tribe
UC	Utilisation Certificate
UG	Under Graduate
UGC	University Grants Commission
UoL	University of Lucknow, Lucknow
UPSCHE	Uttar Pradesh State Council of Higher Education



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