

LEVERAGING GRADED AUTONOMY TO ACHIEVE GLOBAL EXCELLENCE
(VERSION 2.0)

References:

1. MINISTRY OF HUMAN RESOURCE DEVELOPMENT, (UNIVERSITY GRANTS COMMISSION) GAZETTE NOTIFICATION, 12TH FEBRUARY, 2018; CATEGORISATION OF UNIVERSITIES (ONLY) FOR GRANT OF GRADED AUTONOMY, REGULATIONS, 2018
2. BRAINSTORMING DISCUSSIONS WITH DEANS/HEADS ON 07TH SEPTEMBER, 2018 AT C V RAMAN AUDITORIUM

Note: Figures and values in this document (for eg. B ii [a]) are only indicative and NOT definite, and will be determined after consultation at School and/or Dept levels. All details will be evolved in each of these categories, keeping disciplines in mind.

Milestones to be achieved:

1. Push average annual citations
2. Push average number of Publications
3. Patents to be pushed
4. Academic Reputation to be pushed up
5. Stakeholder Perception to be pushed substantially
6. Employer Reputation to be pushed up
7. New and Innovative Programmes
8. International Faculty to be increased
9. International Students to be increased

Based on the Milestones and the Graded Autonomy Gazette Notification, following action is being suggested/ contemplated to allow our University to reach national/global excellence, in next 5 years.

Action Items [For points 1 to 4]:

Under Clause 4.8 of the Gazette Notification: Universities, while following the pay scales as laid down by the Commission, shall build in an incentive structure to attract talented faculty, with the condition that the incentive structure shall have to be paid from their own revenue sources and not from Commission or Government funds. Such incentive structure shall be strictly merit based with clear defined, transparent and objective criteria and shall not be universal. It must necessarily be approved by both the Academic Council and the Finance Committee of the Institution, apart from Statutory Bodies like Senate/Syndicate/Executive Council, as the case may be. The Commission shall be informed of the incentive structure within thirty days of approval by the statutory bodies of the Institution.

(A) Journal/Conference list: Preparing a set of processes using the compiled citation index and other data to see how best we can tackle the question of qualitative publishing.

- a. To drop UGC list
- b. Each School/Department/Centre to prepare a list of Universities ranked 350-500 (in QS) where their specific disciplines are highly rated, and whose best practices we could think of implementing.
- c. Each faculty should list 10 top-ranked journals/conferences [including the source of the list], in their area of research. The School should then compile a list of such Journal/Conferences, across research areas.

(B) Faculty related

1. Categorization of faculty: Faculty members can and do contribute differently to the multiple missions of Schools/Departments at different points in their careers. At times it is important to expect achievements in multiple dimensions; at other points in a career, research achievements should weigh most heavily; at others it may be more appropriate to acknowledge greater contributions to our teaching and service missions. There should be explicit agreement with each faculty member about the expected contribution focus or foci and the levels of achievement expected of him/her in a given years [Can be negotiated]. The overall mix of contribution patterns should be such that the portfolio of school/department/university objectives are achieved.

NOTE:

- i) The existing category is Teaching and Research, but a flexibility can be thought of where teachers can negotiate for teaching only or research only for a fixed period of time based on the School's/Department's vision. Such names have to be forwarded through Departmental Councils/School Boards. Only exceptional cases, making up a small percentage of the total Faculty/Professor cadre strength, would be considered by the Competent Authority
- ii) The Graded Autonomy scheme allows us to evolve **additional** criteria over the UGC norms in recruitment and promotions, for the clear purpose of improving excellence in research and teaching. UoH is attempting to do so in order to bid for higher ranks that may bring in better students, funding and collaboration.
- iii) In all the categories some amount of **teaching is a must** (the quantum will be worked out by the competent authority).
 - a. Faculty opting for Teaching only
 - i. Should also offer inter-disciplinary and innovative courses [Elective/Foundation Courses]
 - b. Faculty opting for Research only
 - i. Should handle Ph.D level teaching of course work, eg in Research Methodology, or any specialized course the Dept and its scholars may need.

- a. Teaching only:
 - i. 4 courses/year with at least average of 50 students in each course.
 - ii. Guide PG programme related projects/dissertation (if any)
 - iii. Guide PhD thesis as per UGC 2016 regulations
 - iv. Promotion based on Item 2.
 - v. National recognition by way of awards

 - b. Teaching and Research only
 - i. 3 courses/year with at least average of 30 students in each course
 - ii. Guide PG programme related projects/dissertation (if any)
 - iii. Guide PhD thesis as per UGC 2016 regulations
 - iv. Should publish at least 2 quality Journal/Conference paper every year
 - v. Promotion based on Item 2.
 - vi. Funded Research Grants Rs 10.0 Lakhs/year: NOTE: Papers published to acknowledge the source of funding, if the research being reported was supported by it.

 - c. Research only
 - i. Guide PG programme related projects/dissertation (if any)
 - ii. Guide PhD thesis as per UGC 2016 regulations
 - iii. Should publish at least 4 quality Journal/Conference papers every year
 - iv. Promotion/Recruitment based on Item 2, but “or” to be replaced with “and”. Initial appointment for period of 5-years.
 - v. Funded Research Grants Rs 25.0 Lakhs/year: NOTE: Papers published to acknowledge the source of funding, if the research being reported was supported by it.
 - vi. Filing Patents
 - vii. Contribution towards “Make in India” Scheme
2. Faculty due for CAS promotion or recruited directly [under one of the above 3 categories], should satisfy the following besides the minimum eligible API and essential qualification:

NOTE:

- i) Selections should be based on stringent criteria, especially ability to pursue quality research
- ii) Avoidance of in-breeding (a practice discouraged by the UGC report 2003)
- iii) Extensive peer review of research accomplishments
- iv) The tables shown below with values against each parameter (rows) have to be drawn up by respective Schools/Departments/Centres. Additional rows like quality Books/Text books published by reputed and recognized publishers can be added.
- v) API computation should include
 - a. Points for courses taught should be factored in, including No. of Credits, Number of Students in the class
 - b. PDFs trained

For Science Schools (Examples)

AOP to P	Operator 'OR'	SCIS	SMS	SoC	SLS (Bio-Chemistry)
	H-index	> 5	> 4	> 8	> 10
	No of Papers with 50 citations in last 3 years	2	1	3	4
	Number of citations in last 5 years	300	100	400	500
	Number of PhD Guided (at least)	2	1	3	3
AIP to AOP					
	H-index	> 3	> 2	> 4	> 5
	No of Papers with 30 citations in last 3 years	2	1	3	4
	Number of citations in last 5 years	200	50	300	400
	Number of PhD Guided (at least)	1	1	1	1

For Non-Science Schools

AOP to P	Operator 'OR'	SSS (English)	SoE	
	H-index	> 1	> 3	
	No of Papers with 50 citations in last 3 years	0	1	
	Number of citations in last 5 years	50	75	
	Number of PhD Guided (at least)	2	2	
AIP to AOP				
	H-index	> 0	> 1	
	No of Papers with 30 citations in last 3 years	0	1	
	Number of citations in last	25	35	

	5 years			
	Number of PhD Guided (at least)	1	1	

3. Faculty members will be provided incentives, by way of:
 - a. Every paper that crosses 200 (SCIS, SLS[Biochemistry]), 300 (SoC, SLS[BioTech], SLS[Plant Sciences]) citations each time will get Rs 10,000 transferred to their Faculty Development Funds (FDFs) with citation
 - b. Very time a paper makes on the front cover of a Journal/Conference will get Rs 25,000 transferred to their FDFs with citation with citation
 - c. Fast Track Promotion, with stringent modalities.
 - d. Best teacher (criteria to be evolved) will be awarded Rs 10,000 with citation.
 - e. 1st Sabbatical leave will be sanctioned, if h-index > 4 and 2nd Sabbatical leave if h-index > 9
 - f. % of Overhead (from projects) would be differential, if current h-index
 - i. < 3 then 10%
 - ii. = 3 and < 6 then 20%
 - iii. = 6 and < 10 then 30%
 - iv. = 10 and < 20 then 40%
 - v. = 20 and < 30 then 50%
 - vi. = 30 and above 60%

NOTE: Transferred to their Faculty Development Funds for research use

4. Dis-incentive to those Faculty members who do not perform:
 - a. Schools to ensure that students are assigned only to supervisors who have demonstrated consistent research aptitude (in the form of a certain number of top level publications or performances in the last 5 years) and those supervisors have to be discouraged who themselves have no quality publications Research methodology courses must be taken seriously by supervisors.
 - b. Will have their annual increment stopped, if average number of PhD awarded in previous 5 years (with grace period of 6 years for AIP level) falls below 0.2.

Year →	12-13 (Start Year 7 th after 6 years grace for AIP)	13-14	14-15	15-16	16-17	17-18	18-19	19-20
Example 1 PhD Awarded	0	1	0	0	0	1	0	0
Average	0	.5	0.33	0.25	0.2	0.4	0.2	0.2
Increment	No	Yes	Yes	Yes	Yes	Yes	Yes	Yes

Example 2 PhD Awarded	1	1	0	0	0	0	0	0
Average	1	1	0.66	0.5	0.4	0.2	0.0	0.0
Increment	Yes	Yes	Yes	Yes	Yes	Yes	No	No

(C) Admissions Related

- a. Process to ensure that the best talents are attracted.
 - i. Specific cut-off marks for each category of candidates.
 - ii. JRF to be encouraged
- b. Providing enhanced fellowship to students admitted to PhD programme
- c. Fee Structure to be rationalized.

Action Items [For points 5 to 6]:

(A) Alumni Related:

1. Institution of Annual Alumni Awards for their accomplishments: Procedure to be formulated.
2. Alumni Interactions at School/University level.
3. Invite them to deliver Distinguished Lectures.
4. Provide Guest house accommodation for them.

(B) Stakeholder Perception

1. Placement Cell to be proactive: Get feedback from the employer, regarding
 - a. Quality of students
 - b. Readiness of students: Deficiencies to be highlighted
 - c. Their perception of the University, etc
2. Advertise about the University
3. More active Industry-University collaboration
 - a. Semester-level courses [At elective level]:
 - i. Example: SCIS runs a Semester Course on Current Trends in Enterprise Resource Planning
 - b. Internships to be increased.
 - c. Working with industry in specific areas of research to generate funds, and enabling 2-3 PhD Fellowships/1-2 PDFs.

Action Items [For points 7 to 9]:

Under Clause 4.2 of the Gazette Notification: Universities may start a new course/programme/department/school/centre in disciplines that form a part of its existing academic framework without approval of the UGC, provided no demand for fund is made from the government on account of starting the new course/programme/department/school/centre. Degree programs shall be consistent with the approved nomenclature of the UGC. Diploma and certificate courses approved by its Statutory Authorities or Statutory Regulatory Authorities wherever required, may be started in new and innovative areas that are relevant to local, national

or international needs, with information to the UGC: Provided that for Government owned Deemed to be Universities, approval shall be taken from the Government if funding is sought from the Government for starting a new course/programme/ department/school in self-financing mode.

Under Clause 4.3 of the Gazette Notification: Universities may open constituent units/off-campus centres within its geographical jurisdiction, without the approval of the UGC, provided it is able to arrange both recurring and non-recurring revenue sources and does not need any assistance for the same from the UGC or the Government.

Under Clause 4.4 of the Gazette Notification: Universities may start skill courses, consistent with the National Skills Qualification Framework, without approval of the UGC, provided no demand for fund is made from the government on account of starting the new courses. Degree programmes shall be consistent with the approved nomenclature of UGC. Diploma and certificate courses approved by its Statutory Authorities or Statutory Regulatory Authorities wherever required, may be started in new and innovative areas that are relevant to local, national or international needs, with information to the UGC.

Under Clause 4.6 of the Gazette Notification: Universities, subject to the Rules, Regulations and Guidelines of Government of India, may hire, without approval of the Commission, foreign faculty having taught at any institution appearing in top five hundred of any of the world renowned ranking frameworks, such as the Times Higher Education World University Rankings or the QS Rankings, upto twenty percent over and above of their total sanctioned faculty strength. Universities will have the freedom to hire foreign faculty on “tenure/contract” basis as per the terms and conditions approved by their Governing Council/Statutory bodies.

Under Clause 4.7 of the Gazette Notification: Universities shall be free to admit foreign students on merit, subject to a maximum of twenty percent, over and above of the strength of their approved domestic students. Universities would be free to fix and charge fees from foreign students without any restriction.

Following points are connected to Clauses 4.2, 4.3, 4.4, 4.6 and 4.7

- i. School-wise innovative and commercially viable/Profit making regular courses/programme etc can be started.
- ii. Off-campus centres, purely as profit-making units, with courses designed for such purposes.
 - a. School-wise innovative and commercially viable regular MA/MSc courses, MTech programme etc.
 - b. Outreach (short-term) courses through Distance Education
 - c. MOOCS and online courses, again as profit-making.
 - d. Recently approved consultancy/project revenue sharing model can be used so as to enthuse faculty to participate.

NOTE:

- The University treats Graded Autonomy as an opportunity to strengthen its social agenda by helping finance students.

- Since public funding is being slashed (for eg.: no RGNF, no MANF since 2017, overall budget allocation to the University drastically cut), the only way to keep the benefits to the weaker sections, the subsidies and maintenance going is to generate revenue. So there **MUST** be a different set of high-fee courses that will help us support existing programs and the students.
- iii. Foreign faculty hiring (contractual) - conditional upon their offering profit-making courses for which we can charge higher fees. This will reduce the burden on the University to pay higher salaries for such faculty.
 - iv. Measures to be taken to attract more foreign students.