

SEMINAR

**REPORT
ON**

**INSA CONFERENCE ON EVALUATION AND RATING OF EDUCATIONAL AND
RESEARCH INSTITUTES
IN INDIA**

5TH OCTOBER 2006

ORGANISED

BY



INSA



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THE INSA INITIATIVE: OCTOBER 5, 2006

The need for evaluation and rating of educational and research institutes need not be over-emphasized. Internationally, rating of “Educational Institutes” is a common practice to aid students in their decision making process of choosing an institute for a particular course. Further, the rating benchmarks the various institutes against the best domestic and international practices and ranks them vis-à-vis each other. This assists the institutes in adopting the best industry practices and also provides a strong impetus to further improve their educational standards. Apart from the above, rating provides an independent and unbiased third-party opinion to other stakeholders such as government bodies, regulating agencies, lending agencies etc.

However, evaluation of Educational and Research Institutes (ERI) has to be developed, and nurtured using multiple sources, as teaching and research are complex, multi-dimensional, interactive activity wherein the differences between various sciences and disciplines has to be appreciated as a fact. Therefore, effective assessment is academician's professional armamentarium that requires mastering the professional knowledge and skills involved. The field of assessment and evaluation, like all other specialized disciplines, has many important concepts, principles, and methods to guide the evaluation process. Evaluations should be based on findings that are evidence-based, generated through thorough assessment to encourage judgments and improve perception of relative value. Therefore, to develop an objective rating system for ERI, INSA shared the experience of a leading rating agency—ICRA Ltd., to bring forth the issues for consideration.

In order to explore the answers to the issues involved in rating of ERIs and to understand the opinions of the experts in the education sector a questionnaire (detailed questionnaire with results appended in Annexure I) was designed. The questionnaire was aimed to address many questions such as: What kind of evaluation system does the ERI in India need? What should be the rating process and nature of rating? How do we make our rating system robust and fool proof? What should be the role of a national bodies like INSA, UGC., etc? What should be the role of rating agencies like ICRA? What should be the role of the regulator? Who and how the standards be developed? What should be the modus operandi for rolling out the rating service? Should we reengineer or develop standards *de novo*? What should we expect from our rating system? To answer these questions, we circulated the questionnaire to nearly 500 fellows of the Academy. We received heartening response from 92 fellows of the academy from across the globe. The *survey* was conducted in two parts-



-Part I: evaluation and rating processes for the educational and research institutions in India

-Part II: development of pathway to roll out Rating system for the institutes

The *results* were analyzed as below:

- Consensus $\geq 75\%$ considered as clear response
- Consensus $< 75\%$ considered no response

The issues where consensus was achieved, were considered as accepted and noted to be adopted by INSA. The issues where no consensus could be achieved or the statements were unambiguous were deliberated in the seminar (Annexure II) to develop consensus over the contextual issues, so that suitable recommendation on the same is made to the concerned authorities.

The seminar was in fact a humble beginning to initiate a **brain storming session** with the experts and founders of the educational system to mark the development of an objective rating system for ERI at a national level. The message of President INSA, Prof. Mashelkar was conveyed to the fellows.

We hope the *report* of this **brainstorming session on evaluation of ERIs at INSA on the 5th of October 2006** will yield positive results and show path for future action. We hope to have more sessions at INSA in 2006 and 2007 and help guide the nation.

We are especially thankful to the fellows of the academy who have spared their valuable time to provide their inputs for the survey. We want to thank our colleagues from overseas to join this seminar. We also want to acknowledge the support from ICRA, specially of Dr. Shyama S Nagarajan, in preparing the questionnaire, processing the data, writing and designing of the final report that is being submitted to the concerned authorities.

Prof. S.K. Sarin, FNA
Convener

Prof. R A Mashelkar, FNA
President , INSA



EXECUTIVE SUMMARY

The opinion of the experts as gathered during the seminar, and earlier with the help of the survey has been put forth below as recommendation of the INSA fellows.

1. Experts have unanimously agreed that India needs a grading/rating system to assess the quality of PG education in India.
2. INSA should invite the experts and the rating agencies to define the role of each of the stakeholders and the rating agencies.
3. Experts opine that the rating should be carried out under the aegis of a National body like INSA, which should also take the responsibility to prepare the standards and the criteria required for the rating with sub committees under it for different disciplines along with the executing agencies like ICRA.
4. The standards and criteria should be framed under the triple framework of input-process and outcome that includes the following broad sections:
 - Access to the educational system and continuity of education and research
 - Care of students and Students' right to education and research
 - Faculty and trainers
 - Training facilities
 - Teaching/research methodology and feedback
 - Faculty resource
 - Adequate academic support
 - Generous research facilities
 - Regular updates
 - Facility management:
 - Infrastructure
 - Course equipment
 - Student quality and assessment
 - Continuous quality improvement
 - Information management
 - Management quality
 - Track record
 - Sustainability of operations



It is important to note here that the benchmarks developed should capture both adequacy (both in terms of numbers and value) and appropriateness in each of the above areas, to ensure reliability, reproducibility and validity of quality standards.

Experts were unanimously of the opinion that there is an urgent need for providing generous funds for the renovation, upgrading and addition of new facilities for the existing universities and laboratories.

1. Experts are of the opinion that the rating should include, rating of the individual courses as well as the entire educational institute
2. The benchmarks should be made available in the form of a quality manual, which would be upgraded on a regular basis. Although the experts have not decided on any fixed time period, but have opined that the benchmarks for rating may be upgraded at least once beyond three years, and before five years on a regular basis.
3. The standards and the benchmarks should be available in the public domain so that anybody can evaluate the educational institutes and arrive at a similar rating as awarded by the chosen body.
4. The ratings awarded should be monitored on a yearly basis during the 3-year validity period of the rating.
5. It was been further opined that INSA should empanel Independent Rating agencies to execute the rating process. The experts clearly felt that grant disbursing bodies should not be involved in rating, as they by virtue of their status indirectly thrust evaluation to the institutes, which defeats the very purpose of any quality initiative, that should come from within. It has been clearly spelt out that if the same organisation performs all the 3 functions of a regulator, rating/inspecting agency, disburser of govt. grants, then it may lead to some inefficiency as far as rating is concerned.
6. The rating agency should then constitute the analyst team that would be visiting the educational institute. The team should comprise of three or four experts including a core or discipline specialist, a management graduate, a generalist, a finance expert / another educationist, who would evaluate the entity on the laid down standards.



7. To ensure the independence and credibility of the rating awarded, the team conducting the evaluation should present its analysis to a Rating Committee. The *Rating Committee* that would consist of senior experts with adequate experience and similar profiles as mentioned in the above clause would then analyse and award the ratings.
8. Although rating should be voluntary in nature, it may be incentivised with monetary benefits from the grant disbursing bodies like UGC or recognition from INSA with its membership.
9. The Rating should follow a pre-rating assessment process to guide the institutes as to what is expected out of them to establish a quality delivery of education.
10. INSA along with the rating agencies should decide upon the funding mechanism for such services depending upon the ownership of the institution.
11. An award of rating should be followed by a brief report to INSA and client who has requested for a rating, discussing the SWOT (strength weakness opportunity and threat) along with recommendations to the educational institute or the hiring body. All the deliverables should be scrutinized by INSA, to harmonise the reporting mechanism.
12. All the ratings (whether high or low) that are awarded should be available on the public domain freely.
13. UGC should act only as a disbursing body, as its name stands, on the basis of rating received by the independent agency. The Councils such as AICTE, MCI, BCI, PCI, NCI.... Should function as regulators only laying down minimum entry norms to restrict non-professional institutions to enter education sector. NAAC being a government body cannot offer truly independent opinion as far as rating is concerned. In fact experts felt that INSA should follow the example set by SEBI and RBI, that regulate the listed companies and the NBFCs respectively through Ratings of independent agencies.
14. INSA along with the rating agency should decide on the definition of the ratings awarded.



15. Experts opine that INSA should look at the accreditation and rating mechanism abroad as far as the principle and guidelines of the ratings is concerned, but should develop a nationalised standard for the institutes in India, because local factors vary and therefore western standards cannot be replicated. Although India should have its own educational standards on the broad guidelines of evaluations conducted by the western world but the objectives of evaluation should remain same so that our ERI standards can also be globalised.
16. INSA along with the rating agency should define a redressal mechanism for such ratings. A citizen charter should be developed in this regard. Mechanism should be developed by INSA and the rating agencies to invite feed backs regarding the rating system.
17. All such decisions taken by the various committees should be uploaded on a regular basis by the respective authorities on their web sites for maintaining the transparency of service offered.
18. The rating offered by the different rating agencies should be discussed and harmonised by INSA to have a uniform rating system.
19. Once the standards have been laid out it is required that each rating agency conducts at least 1 pilot study under the aegis of INSA for all disciplines.
20. INSA along with the rating agencies should harmonise the certificate to be awarded to the institutes with suitable legal advice.
21. The rating agencies should roll out the rating of ERI into the market. At the end of 5 years of roll out of the rating service there would be adequate sample size to have a re-look at the rating system and develop on the same.
22. Experts opined that INSA may lay the platform for affiliation / collaboration / membership with chosen international rating agency to internationalize the Indian educational Rating System on a later date, when the system reaches its maturity in India.
23. The experts from the US, UK, Australia, Germany and China presented the evaluation and rating systems being followed in their country. They also expressed their willingness to organize seminars/workshops to help INSA



fellows found the experience very useful. Mr Rob Daniel from UK agreed to the request of INSA to hold a small *Indo-UK workshop* to prepare the guidelines.`

24. The experts agreed in principle to the *time frame* laid out for the final roll out of the Rating services of ERIs. The proposed time frame has been tabulated below:

Time Frame for the Roll Out of Rating in HE

S.no	Tentative Plan	Suggested Time frame
1.	Development of working groups for standardization of rating system , partnership, defining deliverables, defining ratings to be awarded, finalising funding mechanism	5.11.06
2.	Meeting of experts from UK/ US with INSA	Nov./Dec.
3.	Development of standards, and manual submission to INSA	5.2.07
4.	Report finalisation at INSA	5.3.07
5.	Review by Govt. and other concerned stakeholders	5.4.07
6.	Roll out of pilot ratings	30.4.07
7.	Review of rating and harmonisation	5.6.07
8.	Final roll out of rating service on a national level	5.7.07



OTHER ISSUES AS REGARDS EVALUATION AND RATING OF ERI IN INDIA

Some of the other major challenges to rating of ERI that need consideration on a later when the rating system matures, may include the following:

- 1. How can we demonstrate the actual improvement through evaluation?**
Information explosion has created a new group of well-informed users, who demand evidence for the worth the cost that taxpayers, students, and their parents are forced to bear. Unless we take the information and management revolution seriously, quickly addressing the imperatives of those responsible for reallocating taxpayer dollars, many universities will not survive, or at least their current levels of autonomy will not.
- 2. How can we systematically collect and make information available on the outcomes of education. i.e. the quality of students' learning?** It is a known fact that knowledge is a fuel to prosperity and that those who can manage knowledge can enjoy a considerable advantage over those who can not. Thus, as the primary facilitators of the process by which individuals learn to use knowledge, quality of ERI is essential for the economic success of regions, states, and nations. In the energy age, the countries that were rich in indigenous sources of energy or had resources that could make raw materials available for energy generation had competitive advantage over the countries that did not have them. Also during the energy age the "educational underclass" (made up of students who perform very poorly in the education system) could find employment in unskilled work. But this is no longer possible because jobs that require only minimal literacy skills are fast disappearing, particularly in industrial countries. Higher education and specialization in every area is increasingly becoming the necessity. This means that the monitoring system should gather information needed to describe and monitor the nature of students' achievements, the relevance of those achievements to the world of work. What counts more than anything today is the way that an economy develops and deploys its brain power?
- 3. Can outcome assessment, by itself produce enough evidence to permit thorough understanding of the behavior of an educational system?** In the case of learning and student development, a detailed understanding of the functioning of orientation, curriculum, instruction, academic advising,



and other key educational processes is necessary for maximal improvement of institutional results. In other words, the results of both outcome and process assessment are needed to improve the quality of outcomes. The findings of process assessment research are interpreted in the light of empirically based higher-education theory to determine whether the processes being used can be expected to produce the outcomes desired with any particular set of students.

- 4. How can rating be used to assess the quality of input in an ERI?** Input assessment helps us understand our students. It can describe the characteristics of entering students: their various abilities as judged by placement testing and, among other important variables, the approaches to learn, their capacity for abstract reasoning and critical thinking, and their levels of epistemological and moral judgment development.
- 5. What do we expect in principle from the rating agencies to offer us after an evaluation?** The methodology employed in assessment in ERI is diverse that differs with the appropriateness of the purposes for which the assessment is being used. The outcomes sought, are also equally multifarious and varied seeking sensitiveness, appropriateness, credibility and usefulness of assessment. Qualitative methods such as surveys, focus groups, portfolios, and direct observations are as important as the quantitative methods, those that use and produce numerical data; and multiple rather than single methods of assessment often provide a richer and mutually corroborative array of evidence. Whatever the methods used, the two important technical qualities that characterize an assessment system as useful are: Validity to assess what it claims to assess and Reliability, the capacity to assess in a consistent and stable fashion during successive uses. Reliability is a prerequisite for validity. An unreliable indicator cannot produce trustworthy results.
- 6. If we focus on learning, there are many traditions that we might question.** What is the proof that 120 credit hours makes an educated person? What does a degree certify? How did we come to believe that education parceled out in 50-minute increments, three times a week, was optimum for all of our students? What caused educators to decide that the length of the semester should be constant while student learning is allowed to vary? Why did we decide that mastery of the subject was less important than the time spent in the classroom? What fundamental changes are we making in our



educational system to handle the doubling of knowledge? Neither our courses, our curricula, our reward systems nor our funding models are changing at this rate.

- 7. How can evaluation check the mushrooming of private higher educational institutes and universities and dwindling standards?** Traditionally universities have been serving as preferred providers of ERI. But today with the entry of private players education has also become an industry like health. Higher education is no longer provided only for societal good, it has many other complex factors to address, such as rising cost of provision of ERI due to increasing labor costs.
- 8. Should the rating system be equipped to rate the progressively emerging E-HE (electronic higher education)?** Traditionally, the educational evaluation that had been primarily associated with measurement, achievement testing, pupil progress instructional methods and curriculum, which has become a questionable tool as far as evaluation of E-HE is concerned. The virtual nature of the information technology has the potential to devalue or throw the current evaluation systems and gold standards into extinction and might force the non-traditional providers to seek alternatives such as begin working with employers to define desirable skills and design educational modules to provide them. Therefore the challenge is to incorporate such non-traditional evaluating parameters as well into the rating system to increase the resilience of the rating system that is being developed for the evaluation of ERI.
- 9. Should rating be used to evaluate the emerging non-traditional research systems?** The structural changes precipitated by the information revolution are, transforming what higher education used to do traditionally. For example, the role of the research library is shifting dramatically. The need for archives that make objects such as traditional texts available to scholars and students is increasingly met through the use of digital technologies, both for storage and delivery. Libraries are becoming sites of information processing and dissemination as well as storage. Today, instead of users going to the library to access information, the libraries are delivering information to the users electronically. This shift of massive investments in technology is not only increasing the cost of ERI but has also brought in an equally great cultural change. Technology has tremendous impact on many traditional criteria for tenure and promotion, workloads, copyright



regulations, the research/teaching balance, physical/digital space, public/private partnerships, and assessment.

10. Should rating be used to evaluate objectively the virtual reality component of digital technology? The information revolution is transforming research as well. We have already seen amazing benefits in scientific research through tools such as computer modeling and virtual reality. Software that links historical/scientific data with images, sounds, and text gives students and scholars the opportunity to engage subject matter in ways heretofore unthinkable.

11. How should rating address the challenge of evaluating virtual teacher and virtual student objectively in this E-age? Just as the digital revolution is changing libraries and research, it is also changing the way instruction takes place. Historically, the dominant mode of delivery has been the talking head (i.e., the lecturer standing in front of a group of students). That mode of information delivery makes two simplifying but incorrect assumptions. The first assumption is that every student comes to class with the same level of background preparation. The second assumption is that all students have the same learning style and proceed at the same pace. In addition, we know that individual students will have varying levels of attention and different degrees of motivation from day to day. An appropriate fusion of technology and pedagogy offers us the opportunity to overcome the negative effects of both of these fallacious assumptions.

12. Should rating be also used to evaluate the meta-physical components of education? We know that one of the most important functions of education is to mold the soul as well as to inform the intellect. In focusing on the practical aspects of enabling our students to live productive lives in a knowledge-based economy, we risk paying too little attention to the challenge of enabling our students to live meaningful lives in the world of the future. The turbulence of contemporary change is best understood and dealt with against the background of history, literature, humanities, psychology, theology and those other timeless disciplines that connect us with the broader human experience. There is probably no challenge greater than this, to address these challenges through rating at some stage.

13. How can evaluation reduce cost of ERI?



14. How should rating capture the accountability, effectiveness, and intent in provision of ERI if rating has to evaluate the public-private partnership in ERI? For example in UK the private sector has provided investment funding and services in public sector schools through output-based contracts since 1996. Under these contracts private firms provide accommodation and related services, while teachers, still employed by the public sector, provide the core education services. Firms bid their lowest price, and payments to the winning bidder begin only when services become available at defined standards. The contracts have evolved from building new schools, to bundling maintenance and rehabilitation across many schools, to setting up information technology facilities under contracts incorporating learning targets for students.



ANNEXURE I: PROGRAMME SCHEDULE

INSA SEMINAR "EVALUATION AND RATING OF EDUCATIONAL AND RESEARCH INSTITUTES IN INDIA"

October 5th, 2006		
Welcome	09 00 hrs	Prof.. R. A. Mashelkar
About the Meeting	09 10 hrs	Prof. S. K. Sarin
Scientific Session 1	0915 hrs	Excellence in Education and Research: Can we define?
	<i>Chairpersons</i>	<i>Prof A Nigavekar, Prof R Gadagkar</i>
	<i>Prof. D Pental</i>	Why great institutions decay? Can evaluation be an effective tool to check!
	<i>Prof.P N Tandon</i>	Parameters to measure excellence in educational institutes
Panel Discussion I	0945 - 1040 hrs	<i>Need and Scope of Rating: Medical, Educational and Basic Science Institutes</i>
	<i>Moderators</i>	<i>Prof A Nigavekar, Prof R Gadagkar</i>
	<i>Panelists</i>	<i>Prof P N Srivastava, Prof Ranjit Roy Chowdhary, Prof Vijay Varma, Prof S. Katre, Prof D. Pental, Prof PN Tandon</i>
	<i>INSA Survey results</i>	
ISSUES--PANEL I		
		1. Is there a difference between accreditation and rating in reference to education and research institutions? Which one should we adopt and why?
		2. Should evaluation be through an official participation of institution (voluntary or mandatory) or should it be done independently by a rating agency?
		3. Heterogeneity of institutions prevents application of uniform evaluation program: How to overcome!
		4. Evaluation of basic research in universities- how and why!
Coffee time	1040 – 1100 hrs	



Scientific Session 2	1100 - 1145	<i>Broad Indicators for the Evaluation System</i>
	<i>Chairpersons</i>	<i>Dr. R A Mashelkar, Prof. P. V Indiresan</i>
	<i>Prof. S Arunachalam</i>	Science indicators-Are they universal or region specific!
	<i>Prof. K L Chopra</i>	Credible performance audit of educational institutions
	<i>Prof. S. C Lakhota</i>	Peer review vs. politeness and mutual back patting
Panel Discussion II	1145- 1245 hrs	<i>Rating process and constitution of team rating, rating outcome</i>
	<i>Moderators</i>	<i>Prof. R A Mashelkar, Dr. PV Indiresan</i>
	<i>Panelists</i>	<i>Prof. Lalji Singh, Prof. V S Chauhan, Prof. S. Arunachalam, Prof. K L Chopra, Prof. SC Lakhota, Dr. Shyama</i>
	<i>INSA Survey results</i>	
ISSUES—PANEL II		
		1. Rating parameters vary with region & discipline. What should be the core parameters ?
		2. Should our rating system be in conformity with the international benchmark?
		3. Reproducibility of parameters essential for a successful rating system?
Lunch time	1245 – 1330 hrs	

Scientific Session 3	1330 – 1415 hrs	<i>Outlay vs. Outcome in Higher Education programs in India</i>
	<i>Chairpersons</i>	<i>Deepak Nayyar, S C Lakhota</i>
	<i>PV Indiresan</i>	Institutional management in HE : The role of resource crunch on quality
	<i>Gangan Prathap</i>	Modelling Indian Science-outlay vs. outcome
	<i>T V Ramakrishnan</i>	Basic science in India: Investment, evaluation and rating
Panel Discussion III	1415- 1500 hrs	<i>Development of standards for different disciplines and resource planning</i>



	Moderators	<i>Deepak Nayyar, S C Lakhota</i>
	Panelists	<i>Prof. M C Sharma, Prof. D Pental, Prof. PV Indiresan, Prof. TV Ramakrishnan, Prof. Gangan Prathap, Mr. N Takkar</i>
	INSA Survey Results	
ISSUES --PANEL III		
1. Should fund allocation be based on rating?		
2. Resource mobilization and establishment of institutional mechanism for evaluation process - concerns and remedies		

Scientific Session 4	1500-1600 hrs	<i>Application of Evaluation and Rating programs in HE</i>
	<i>Chairpersons</i>	<i>Prof. R A Mashelkar, Prof. S K Sarin</i>
	<i>Dr. Altaf Lal</i>	US experience
	<i>Dr. Rob Daniel</i>	UK experience
	<i>Dr. Qiming Wang</i>	Chinese experience
	<i>Dr. Gad</i>	German experience
	<i>Dr. John Web</i>	Australian experience
	<i>Mr. Vikas Agarwal</i>	Indian experience-- ICRA
Panel Discussion IV	1600-1645 hrs	<i>Action Plan : Roll out of rating</i>
	<i>Moderators</i>	<i>Prof. R A Mashelkar, Prof. S K Sarin</i>
	<i>Panelists</i>	<i>Prof. A. Surolia, Dr. AV Rao, Dr. Altaf Lal, Dr. Rob Daniel, Dr. Q Wang, Prof. M C Sharma, Dr. Shyama</i>
	INSA Survey Results	
ISSUES ---PANEL IV		
1. Is independence and credibility of evaluation system a mandate for rating institution- how to define independence?		
2. How to harmonize different rating and evaluation processes?		
3. Who should monitor the quality and harmonisation of rating process and system?		
4. Modus operandi for such an evaluation: the way forward!		
Highlights and Recommendation	1645-1655 hrs	Prof. S K Sarin
Closing	1655 hrs	Prof. R A Mashelkar
Coffee	1710 hrs	



ANNEXURE I-- INSA SURVEY--PART I

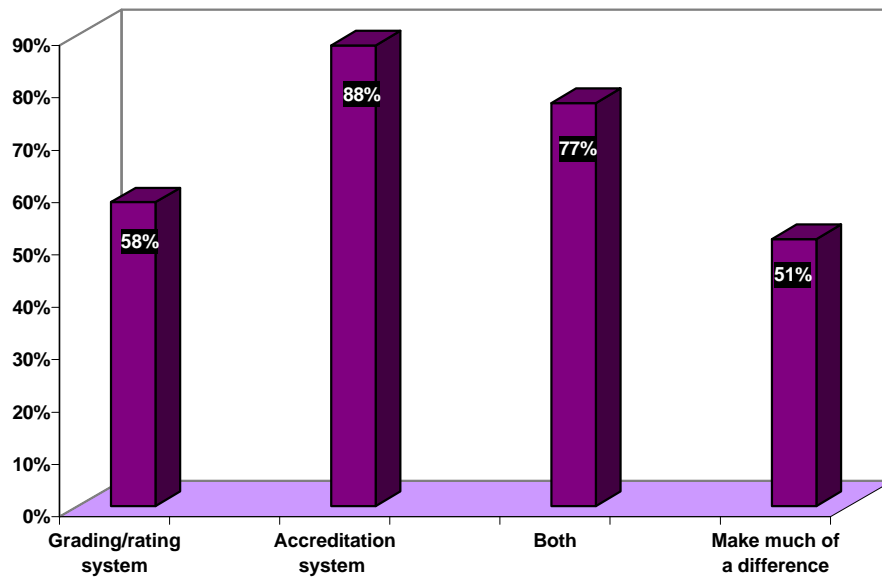
Evaluation and Rating of the Educational Institutions in India

Section A: Need for Rating

Questions			Total Response	Yes	%Yes
1.	Does India need a grading/rating system to assess the quality of PG education in India?	Y / N	84	51	58%
2.	Does India need an accreditation system to assess the quality of PG education in India? CONSENSUS ACHEIVED	Y / N	80	70	88%
3.	Does India need both accreditation and rating system? CONSENSUS ACHEIVED	Y / N	81	62	77%
4.	Whether rating/accreditation it does not make much of a difference—both are virtually same— idea is to evaluate quality. Do you agree !	Y / N	83	41	51%
5.	The rating should be aimed to benefit whom? The students / Regulators / Educational Institutes / Employers of students / All the stakeholders	Please tick individually	83	Students 37 Regulators 21 Ed Instt 31 Emp of Stud 25 Stakehold 60	47% 26% 39% 31% 71%

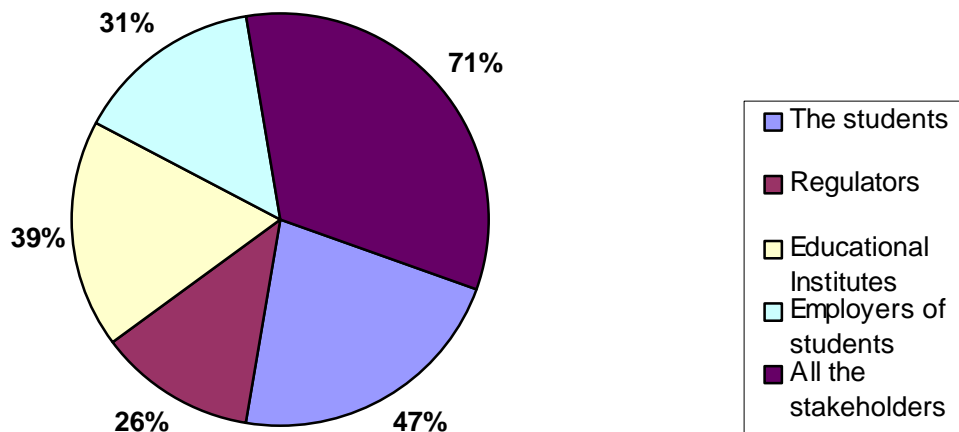


NEED FOR RATING



CONSENSUS: WE NEED BOTH ACCREDITATION AND RATING SYSTEMS IN INDIA

BENEFITS

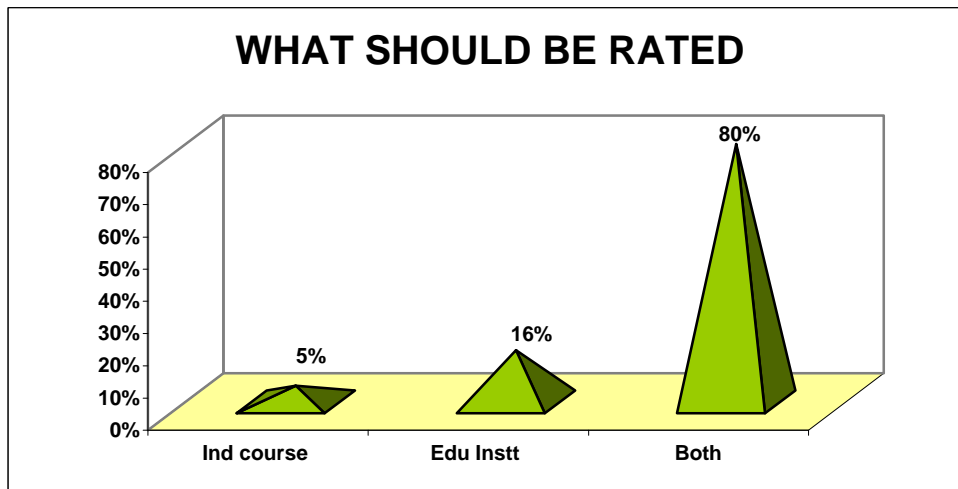


NO CONSENSUS



Section B: Scope of Rating

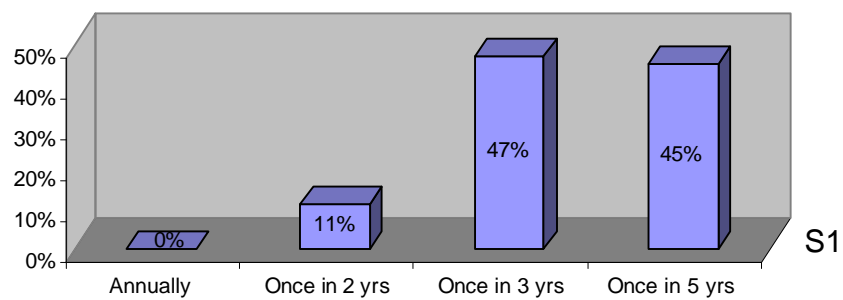
	Question		Total Response	Yes	%Yes
6.	Who should frame the standards and the criteria? Rating agencies / Accrediting bodies / National body like INSA / National body with sub committees under it for different disciplines along with executing agencies / Replicate international standards / others (pl. specify)	Please tick individually	80	Rating Agency 9 Acc Bodies 14 NB-INSA 26 NB-sub comm. 34 Rep Intl Std 26 Others 6	10% 18% 33% 44% 32% 8%
7.	What should be the broad sections under the triple framework of input-process and outcome for the development of rating criteria? <ul style="list-style-type: none"> • Infrastructure • Course equipment • Faculty and trainers • Training facilities • Teaching methodology and feedback • Student quality and assessment • Financial strength • Management quality • Track record • Sustainability of operations • All 	Please tick individually	84	Infrastructure 27 Course equip 21 Faculty & train 29 Train facilities 20 Teach method 18 Stud quality 21 Fin strength 6 Mgt quality 12 Track record 15 Sustain of oper 11 All 56	32% 25% 34% 22% 21% 25% 6% 16% 17% 12% 66%
8.	What should be rated? Individual courses / The educational institute / both CONSENSUS ACHIEVED-BOTH TO BE RATED	Please tick individually	82	Ind course 6 Edu. Instt 12 Both 65	5% 16% 80%
9.	The benchmarks used for rating should be upgraded how often? Annually / once in every 2 yrs. / once in every 3 yrs. / once in every five yrs CONSENSUS ACHIEVED-UPGRADE>/=EVERY 3 YR	Please tick individually	82	Annually 0 Once in 2 yrs 9 Once in 3 yrs 39 Once in 5 yrs 36	0% 11% 47% 45%
10.	The standards and the benchmarks should be available in the public domain so that anybody can evaluate the educational institutes and arrive at a similar rating as awarded by the chosen body. CONSENSUS ACHEIVED	Y/N	82	80	97%



CONSENSUS: BOTH NEED RATING

NO CONSENSUS

HOW OFTEN RATING SHOULD BE UPGRADED



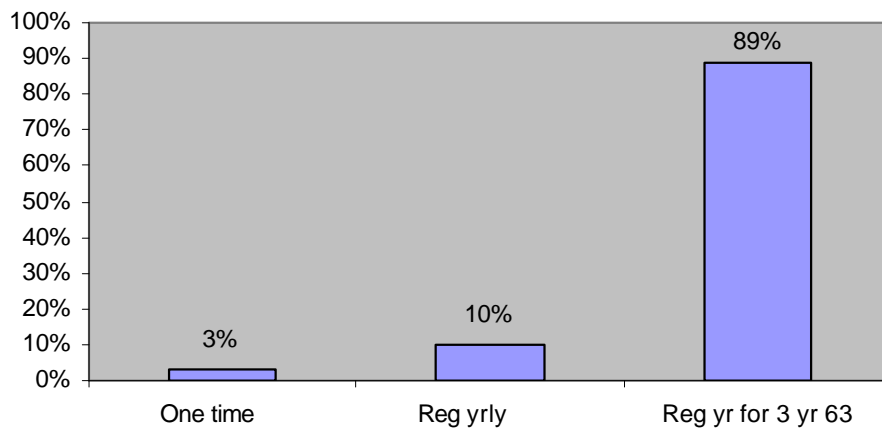


Section C: Rating process

	Questions		Total Response	Yes	%Yes
11.	<p>What should be the validity period of a rating exercise? <i>One time exercise / regular yearly monitoring / regular yearly monitoring with a validity period of 3 years.</i></p> <p>CONSENSUS ACHEIVED</p>	Please tick individually	78	One time 2 Reg yrly 8 Reg yr for 3 yr 69	3% 10% 89%
12.	<p>Under whose aegis the evaluation should be carried out? <i>National science body like INSA) Rating agencies / ISO certifying bodies / Accrediting bodies // others (pl. specify)</i></p> <p>NO CONSENSUS</p>	Please tick individually	77	NB-INSA 36 Rating Agency 17 ISO Cert Bod 6 Acc Bodies 21 Others 9	47% 20% 7% 27% 11%
13.	<p>Who should execute the rating process? <i>Individual trained assessors / National body like INSA/ Independent Rating agencies / ISO certifying bodies / Accrediting bodies / by the funding agencies like govt., quasi governmental bodies, banks, multilateral agencies / Internationally recognised or accredited body / others (pl. specify)</i></p> <p>NO CONSENSUS</p>	Please tick individually	80	Ind T Assessor 7 NB-INSA 33 Independ RA 18 ISO Cert Bod 4 Acc Bodies 18 Fund Agencies 4 Int Rec/Ac Bod 17 Others 4	8% 42% 21% 4% 22% 5% 21% 5%
14.	<p>If you have chosen individual trained assessors in the previous question, then who should train them and not train them? <i>National body like INSA/ ISO certifying bodies / Accrediting bodies // Funding agencies like govt. / Quasi governmental bodies / Multilateral agencies / Internationally recognised or accredited body / others (pl. specify) / not valid</i></p> <p>CONSENSUS ACHEIVED</p>	Please tick individually	39	NB-INSA 7 ISO Cert Bod 1 Acc Bod 5 Fund Agency 0 Quasi Gov Bod 1 Multilat Ag 3 Int Rec/Ac Bod 7 Others 3 Not Valid 15	20% 0% 14% 0% 3% 9% 17% 9% 37%

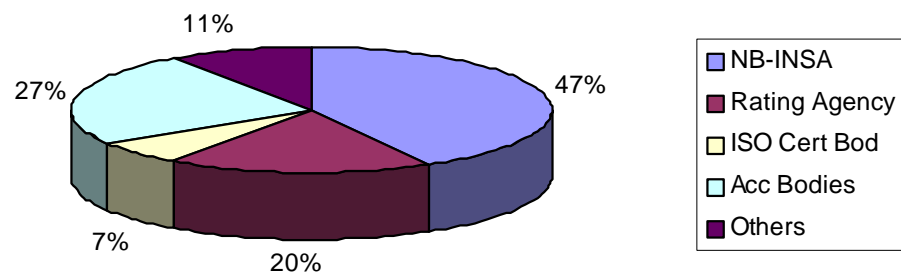


VALIDITY PERIOD OF A RATING EXERCISE



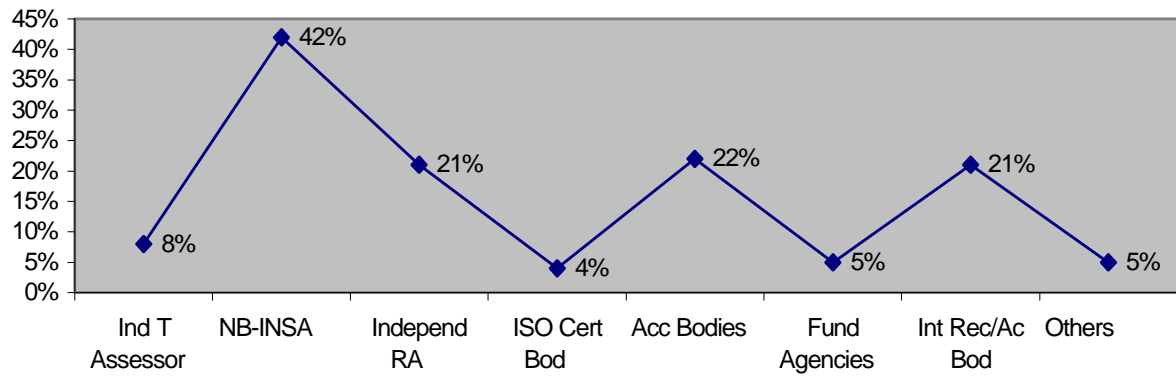
CONSENSUS –REGULAR EVALUATION EVERY 3 YRS

EVALUATION



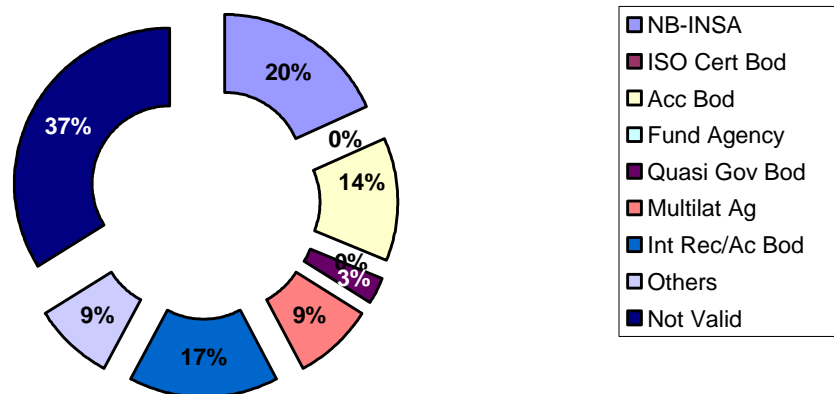


WHO SHOULD VISIT- THE RATING COMMITTEE TEAM



NO CONSENSUS ACHIEVED ON BOTH ISSUES

WHO SHOULD TRAIN THEM



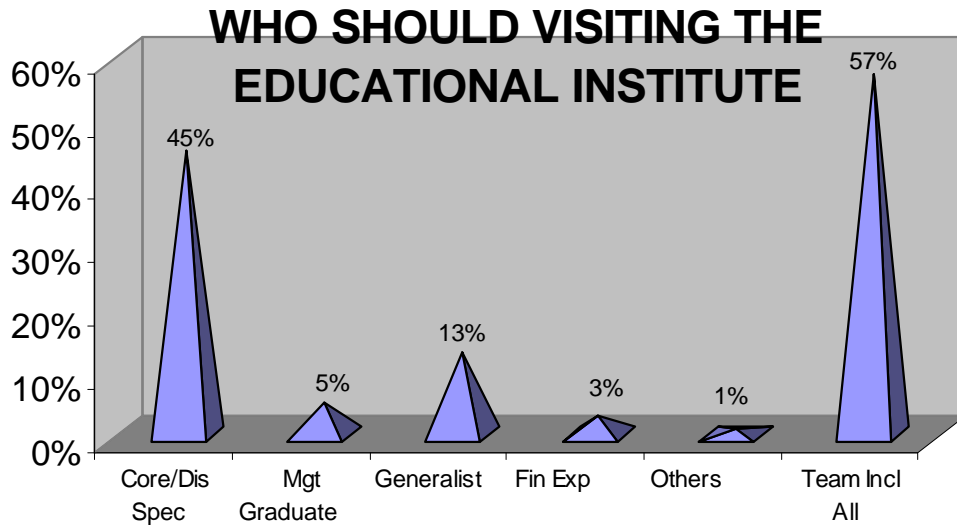


Section D: Rating team

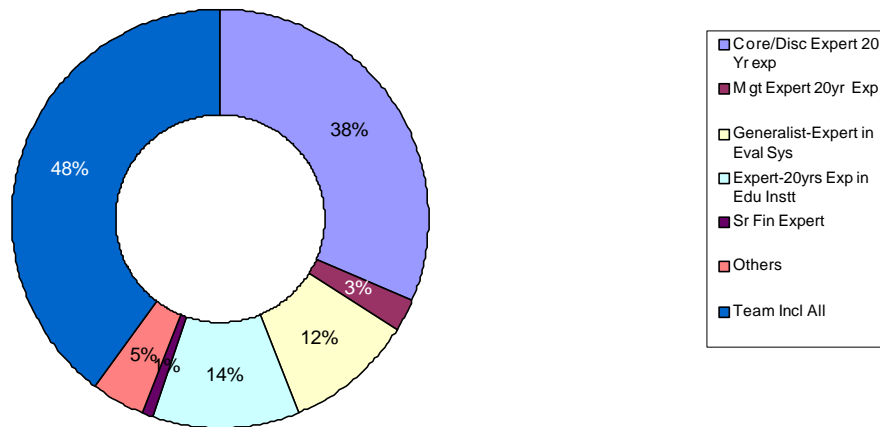
	Questions		Total Response	Yes	% Yes
15.	Who all should form the analyst team visiting the educational institute? A core or discipline specialist / a management graduate / a generalist / a finance expert / others (pl. specify) / a team including all. NO CONSENSUS ACHEIVED	Please tick individually	82	Core/Dis Spec 37 Mgt Graduate 5 Generalist 11 Fin Exp 2 Others 1 Team Incl All 48	45% 5% 13% 3% 1% 57%
16.	The team conducting the evaluation should present its analysis to another committee consisting of senior experts, who would then analyse and award the ratings. NO CONSENSUS ACHEIVED	Y / N	81	52	64%
17.	Who all should form the rating committee member's team? A core or discipline expert with at least 20 years of experience / a management expert with at least 20 years of experience / a generalist – expert probably in evaluation systems / an expert with at least 20 years of experience in various educational institutes / a senior finance expert / others (pl. specify) / a team including all. NO CONSENSUS ACHEIVED	Please tick individually	79	Core/Disc Expert 20yr exp 30 Mgt Expert 20yr Exp 3 Generalist-Expert in Eval Sys 10 Expert-20yrs Exp in Edu Instt 11 Sr Fin Expert 1 Others 4 Team Incl All 39	38% 3% 12% 14% 1% 5% 48%



NO CONSENSUS ACHIEVED ON BOTH ISSUES



RATING COMMITTEE MEMBER'S TEAM





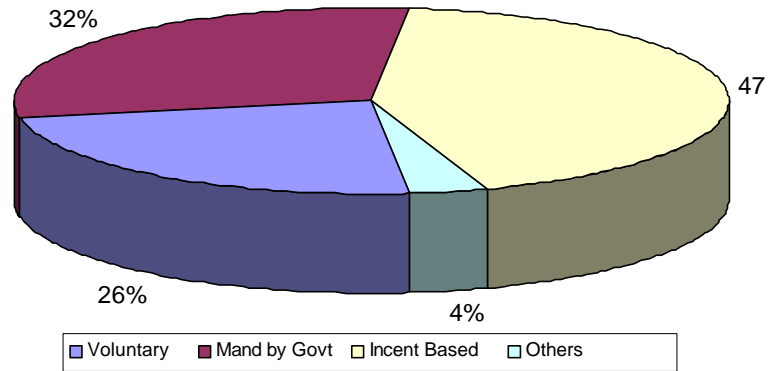
Section E: Nature of Rating

	Questions		Total Response	Yes	% Yes
18.	<p>What should be the nature of rating? <i>Voluntary / mandatory by govt / incentive based (monetary or other benefits offered by funding agencies) / others (pl. specify)</i> NO CONSENSUS ACHEIVED</p>	Please tick individually	81	Voluntary 22 Mandatory 25 Incentivised 38 Others 3	26% 32% 47% 4%
19.	<p>Should the rating follow a pre-assessment survey to prepare the institute for rating? CONSENSUS ACHEIVED</p>	Y / N	78	61	77%
20.	<p>Who should execute the pre-rating assessment process? <i>National Science body like INSA/ Individual trained assessors / Independent Rating agencies / ISO certifying bodies / Accrediting bodies / by the funding agencies like govt., quasi governmental bodies, banks, multilateral agencies / Internationally recognised or accredited body / others (pl. specify)</i> NO CONSENSUS ACHEIVED</p>	Please tick individually	60	NB-INSA 21 Inde Assessor 7 Inde RA 12 ISO certify 3 Acc Body 12 Fund Ag 7 Intl Rec/Ac Bod 3 Others 4	37% 13% 19% 4% 17% 13% 6% 7%
21.	<p>Who should pay for such ratings? <i>The training institutes / the govt. / the agency who is getting the rating done / users</i> NO CONSENSUS ACHEIVED</p>	Please tick individually	71	Training Instt 16 Govt 32 Ag Get Rating 18 Users 12	20% 48% 25% 17%

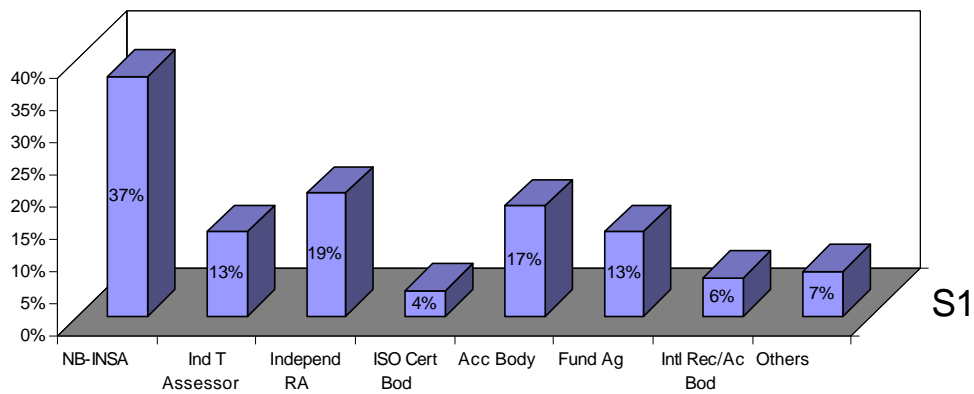


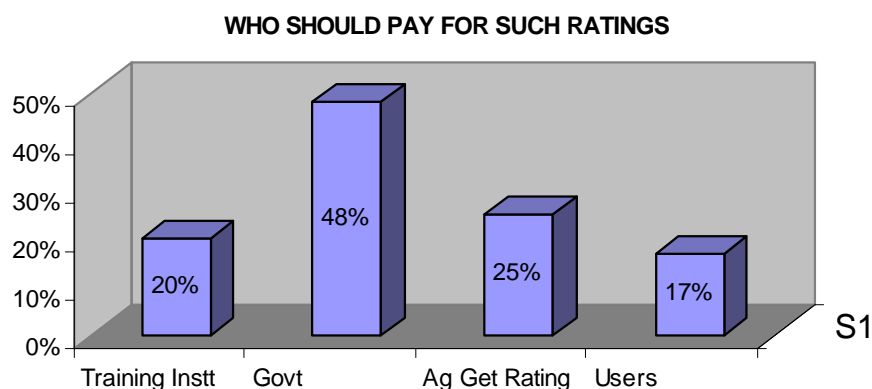
NO CONSENSUS ACHIEVED ON BOTH ISSUES

NATURE OF RATING



WHO SHOULD EXECUTE THE PRE-RATING ASSESSMENT PROCESS





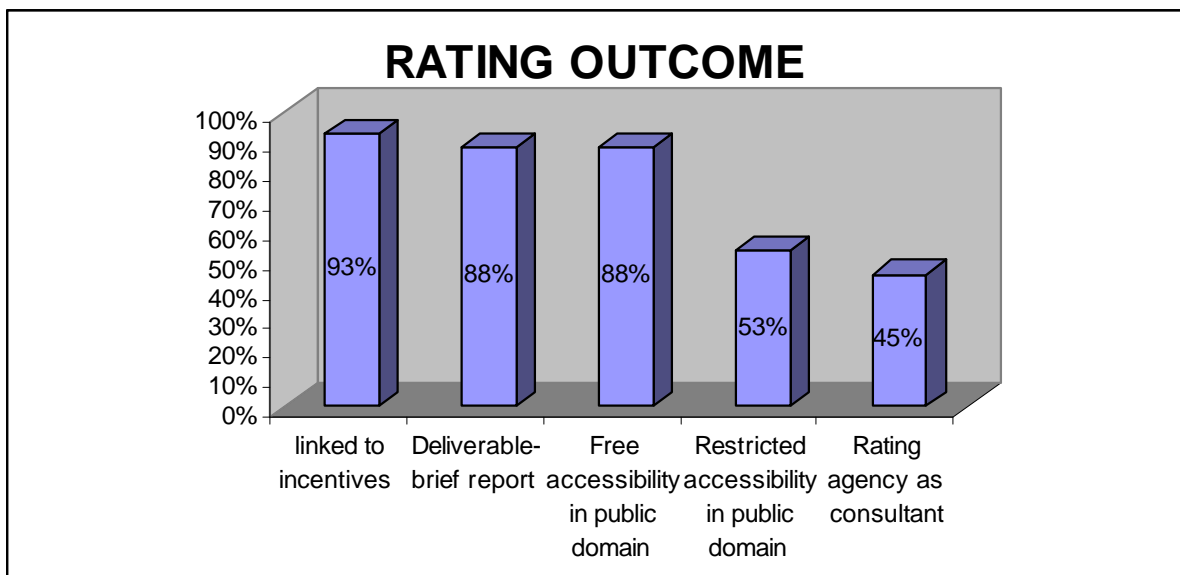
NO CONSENSUS

Section F: Rating outcome

			Total Respond	Yes	% Yes
22.	Should the ratings be linked to incentives like better funding or others (pl. specify)? CONSENSUS ACHEIVED	Y / N	81	75	93%
23.	Should the deliverable for any rating include a brief report discussing the SWOT along with recommendations to the educational institute or the hiring body? CONSENSUS ACHEIVED	Y / N	74	66	88%
24.	Should all the ratings (whether high or low) that are awarded be available in public domain freely? CONSENSUS ACHEIVED	Y / N	82	73	88%
25.	Only the accepted (accepted by the training institutes) ratings (whether high or low) be made available in public domain freely. The rest should be given an opportunity to improve their grades and later apply for a fresh rating. NO CONSENSUS ACHEIVED	Y / N	79	40	53%
26.	Should the chosen rating agency also offer consultancy to the Educational Institutes to improve their services. NO CONSENSUS ACHEIVED	Y / N	82	38	45%



CONSENSUS ACHIEVED-FREELY AVAILABLE IN PUBLIC DOMAIN, RATING TO BE LINKED TO INCENTIVES, AND BE DELIVERED TO PUBLIC AS A BRIEF REPORT





RESPONSES TO INSA QUESTIONNAIRE--PART II

Development of pathway to role out Rating Systems for Institutes of Higher Education

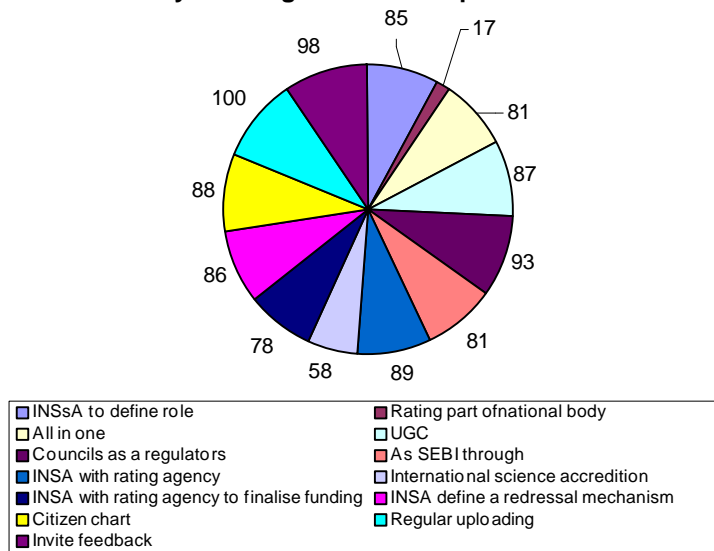
Section A: Crystallising the *Modus Operandi* –Time frame -- 3mo

	Questions		Total Response	Agree	% Agree
1.	INSA should invite the experts and the rating agencies to define the role of each of the stakeholders and the rating agencies. CONSENSUS ACHEIVED	I agree / don't agree	51	43	85%
2.	Rating should be a part of a national body like UGC, which currently acts as a regulator, rating/inspection agency, disburser of govt. grants. NO CONSENSUS ACHEIVED	I agree / don't agree	52	9	17%
3.	The same organisation performing all the 3 functions of a regulator, rating/inspection agency, disburser of govt. grants, can lead to some inefficiency as far as rating is concerned. CONSENSUS ACHEIVED	I agree / don't agree	51	42	81%
4.	UGC should act only as a disbursing body, as it name stands, on the basis of rating received by the independent agency CONSENSUS ACHEIVED	I agree / don't agree	52	46	87%
5.	The Councils such as-AICTE, MCI, BCI, PCI, NCI.... Should function as regulators only laying down minimum entry norms to restrict non-professional institutions to enter education sector. CONSENSUS ACHEIVED	I agree / don't agree	49	46	93%
6.	As SEBI and RBI regulate the listed companies and the NBFCs respectively through Ratings of independent agencies like ICRA, CRISIL and CARE, in the similar pattern UGC/INSA should regulate the rating of ERI through these bodies. CONSENSUS ACHEIVED	I agree / don't agree	47	37	81%
7.	INSA along with the rating agency should decide on the definition of the grades awarded CONSENSUS ACHEIVED	I agree / don't agree	51	46	89%
8.	INSA should invite other science accreditation groups in the world to formulate the systems for India	I agree / don't agree	50	30	58%



NO CONSENSUS ACHEIVED					
9.	INSA along with the rating agency should finalise the funding mechanism for funding the rating agencies for such exercises. CONSENSUS ACHEIVED	I agree / don't agree	50	39	78%
10.	INSA along with the rating agency should define a redressal mechanism for such ratings. CONSENSUS ACHEIVED	I agree / don't agree	49	42	86%
11.	A citizen charter will be developed in this regard. CONSENSUS ACHEIVED	I agree / don't agree	45	39	88%
12.	All such decisions taken by the various committees should be uploaded on a regular basis by the respective authorities on their web sites for maintaining the transparency of service offered. CONSENSUS ACHEIVED	I agree / don't agree	49	49	100%
13.	Mechanism should be developed by INSA and the rating agencies to invite feed backs regarding the rating system. CONSENSUS ACHEIVED	I agree / don't agree	51	50	98%

Crystallising the Modus Operandi



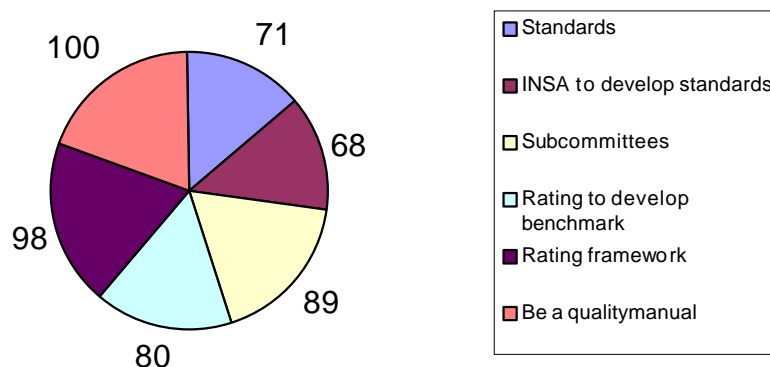


Section B: Developing standards in different disciplines—Time frame-- 6mo

	Questions		Total Response	Agree	% Agree
14.	Standards are already there. There is only need to collate them to suit the Indian requirements. NO CONSENSUS ACHEIVED		18	12	71%
15.	INSA should develop the standards? NO CONSENSUS ACHEIVED	I agree / don't agree	48	35	68%
16.	INSA should have sub-committees of different disciplines under it along with the rating agencies/executing bodies to develop the standards for Ratings? CONSENSUS ACHEIVED	I agree / don't agree	49	45	89%
17.	The rating agencies should be allowed to develop their own benchmarks that would be discussed and harmonised by the sub-committees of different disciplines and INSA to have a uniform rating system? CONSENSUS ACHEIVED	I agree / don't agree	50	41	80%
18.	While developing standards in the triple framework, it is important to keep in mind to have benchmarks for all the following areas: <ul style="list-style-type: none"> • Infrastructure • Course equipment • Faculty and trainers • Training facilities • Teaching methodology and feedback • Student quality and assessment • Financial strength • Management quality • Track record • Sustainability of operations • Outcomes It is important to develop the benchmarks to capture both adequacy (both in terms of numbers and value) and appropriateness in each of the above areas, to ensure reliability, reproducibility and validity of quality standards. CONSENSUS ACHEIVED	I agree / don't agree	50	49	98%
19.	The benchmarks will be available in the form of a quality manual, which would be upgraded on a regular basis. CONSENSUS ACHEIVED	I agree / don't agree	50	50	100%



Developing Standards

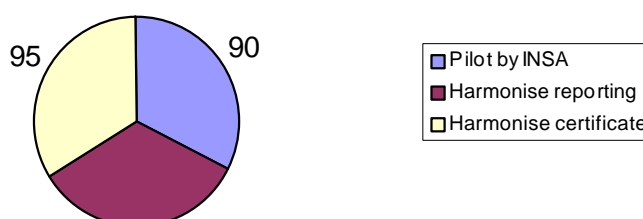


CONSENSUS ACHIEVED –SUB-COMMITTEES TO DEVELOP STANDARD, INSA TO HARMONISE EXECUTION BY RATING AGENCY WITH REGULAR UPDATES

Section C: Pilot studies—Time Frame—6 mo

	Questions		Total Response	Agree	% Agree
20.	Once the standards have been laid out it is required that each rating agency conducts at least 1 pilot study under the aegis of INSA for all disciplines. CONSENSUS ACHEIVED	I agree / don't agree	47	42	90%
21.	All the deliverables should be scrutinised by the sub-committees / INSA (pl. mention which of the two/any other) to harmonise the reporting mechanism. CONSENSUS ACHEIVED	I agree / don't agree	46	42	93%
22.	INSA along with the rating agencies should harmonise the certificate to be awarded to the institutes with suitable legal advice. CONSENSUS ACHEIVED	I agree / don't agree	48	46	95%

Pilot Studies

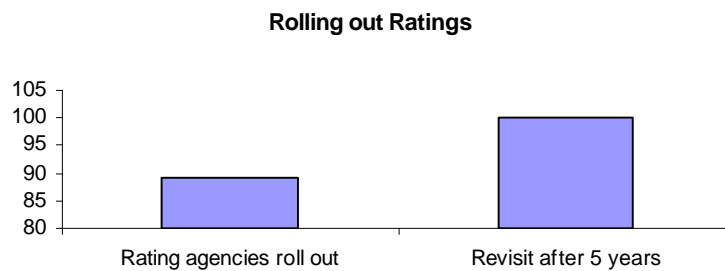




Section D: Rolling out Ratings—Time Frame—6 mo

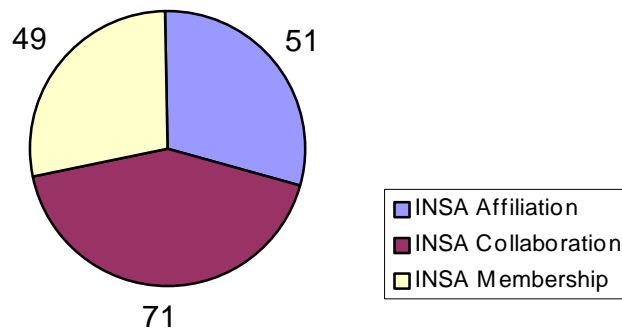
			Total Response	Agree	% Agree
23.	The rating agencies should roll out the rating of ERI into the market. CONSENSUS ACHEIVED	I agree / don't agree	41	37	89%
24.	At the end of 5 years of roll out of the rating service there would be adequate sample size to have a re-look at the rating system and develop on the same. CONSENSUS ACHEIVED	I agree / don't agree	46	46	100%
25.	INSA should lay the platform for affiliation / collaboration / membership (pl. specify which out of the 3 choices) with chosen international rating agency. NO CONSENSUS ACHEIVED	I agree / don't agree	46	A 23 C 33 M 22	51% 71% 49%
26.	The rating agencies should apply for affiliation / collaboration / membership (pl. specify which out of the 3 choices) with international rating agencies of their choice. NO CONSENSUS ACHEIVED	I agree / don't agree	44	A 21 C 24 M 22	49% 51% 51%

CONSENSUS ACHIEVED-ROLL OUT RATING AND RELOOK AFTER 5 YRS

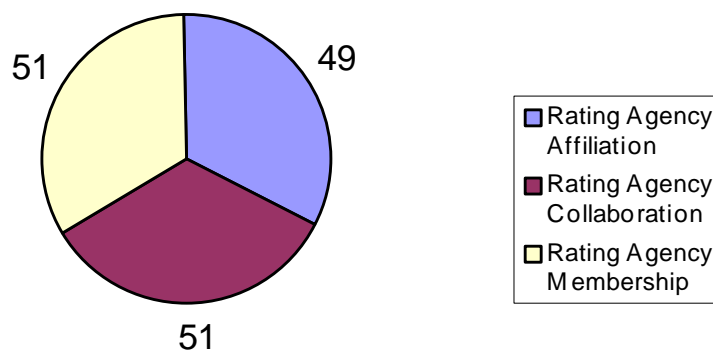




INSA International Collaboration



Rating Agency Collaboration





SURVEY PARTICIPANT'S LIST

1. I P Abrol, New Delhi
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3. S Ananthakrishnan, Pune
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5. U Aswathanarayana, Hyderabad
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56. Rajiva Raman, Varanasi
57. P Ramachandra Rao, Pune
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87. Vijaya Varma, Delhi
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89. ICMR
90. C M Gupta, Lucknow
91. Alok K Gupta, Allahabad
92. S. K Sarin, New Delhi



ABSTRACTS OF THE PAPERS PRESENTED

I. Evaluation and Rating of Educational and Research Institutes in India: Why the meeting?

Prof. Sarin

Director Prof and Head Department of Gastroenterology, G B Pant Hospital

Evaluation and Rating of
Educational and Research
Institutes in India: Why the
meeting?

Dr. S K Sarin

Assessment is the engine that drives
learning

John Cowan

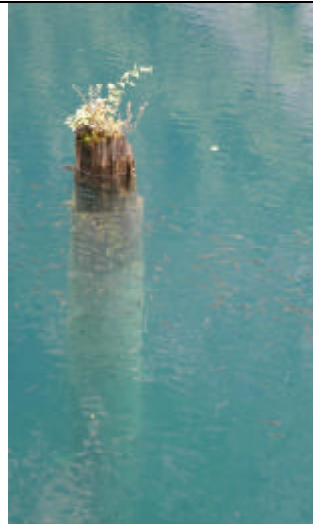


Accreditation vs. Ranking

- Accreditation – current practice
 - assessing minimum standards
 - a credential to the public
- Ranking – Define excellence ??

End-Points Unclear

Village doctor
Secondary care
Tertiary care
Academic clinicians
Hybrids



Research output of Medical colleges of India (1990-94)

Papers in Indexed Journals	No of Medical colleges(%)
Nil	27(17%)
1-5	36(23%)
6-10	20(13%)
11-50	43(28%)
51-100	14(9%)
101-200	7(4%)
>201	89(5%)



Approach

- Short-term
- Medium term
- Long-term

National Accreditation Council (NAAC) of India: Weighted Point System

Criterion	University	Autonomous Colleges	Affiliated Colleges
Curricular activities	150	150	100
Teaching-Learning and Evaluation	250	300	400
Research, Consultancy and Extension	150	100	50
Infrastructure and Learning Resources	150	150	150
Student Support and Progression	100	100	100
Organization & Management	100	100	100
Healthy Practices	100	100	100
Total	1000	1000	1000

Global Standards for Assessment: Upload

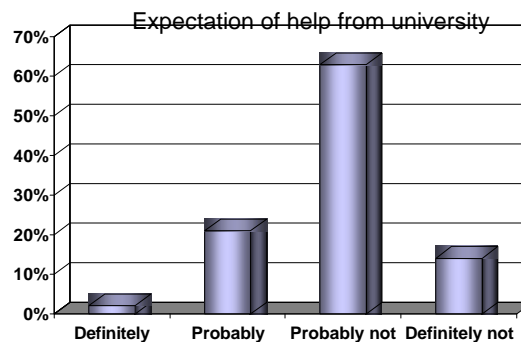
- Objectives of the degree course
 - Study load, content, relevance, Assessment by students, employers, others
- Program
 - Coherence, compatibility, versatility
- Staff – quality, quantity
 - HR and exam committee, feedback from teachers, alumni, professionals in market
- Facilities and provisions
- Internal quality assurance
- External audit



Report for the Enterprise Centre
 - *Sheffield Hallam University - 2003*
 Intention to be self employed by gender

Intended to be self employed	Gender	
	Male(%)	Female (%)
Definitely	16	7
Probably	36	26
Probably not	42	53
Definitely not	6	14
Base	203	294

Report for the Enterprise Centre
 - *Sheffield Hallam University*



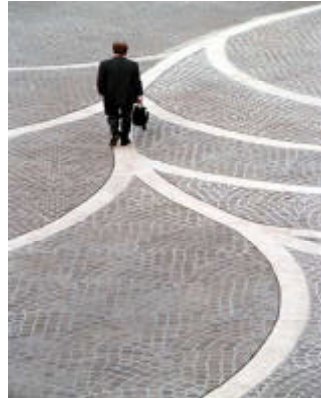
Report for the Enterprise Centre
 - *Sheffield Hallam University*

Attitudinal statements - results
 Statement Very accurate (%)

<i>I want to make money</i>	51
<i>I like to try new things</i>	47
<i>I have taken a risk in the last six months</i>	32
<i>I have to be my own boss</i>	23
<i>I would struggle to raise the capital necessary to start a business</i>	21
<i>I want the freedom to express myself in my own business</i>	20

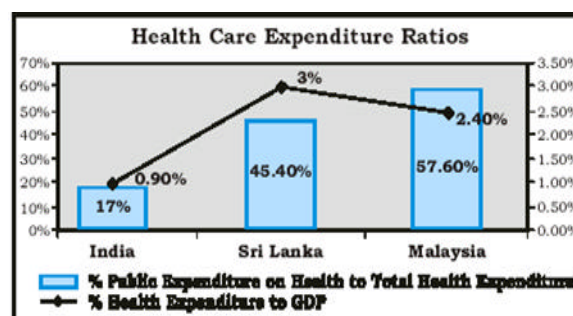


India needs to Tread its own path



Why this meeting !

Cross Fertilization



Increase Allocation to health and medical education to save lives.



CACREP – 2008 Standards Revision Committee

- Proposed timeline
 - 3/2005 – Public bulletin board for SRC open on the CACREP website
 - 9/2005 – First draft of the 2008 CACREP Standards for public comment
 - 6/2006 – Second draft of the 2008 CACREP Standards for public comment
 - 3/2007 – Final draft of the 2008 CACREP Standards to the CACREP board

Meeting Initiative and Plans: INSA

- Brain-storming –
 - Lead lectures, panels, INSA survey, consensus 5.10.06
- Working groups and pilot studies –
 - Sessions/partners – FUNDS 05.2.07
- Report submission – 5.2.07
- Report finalization - INSA – 5.3.07
- Review Govt./others – 5.4.07
- Roll-out pilot 30.4.07
- Re-review - 5.6.07
- Final roll out of rating 5.7.07



II. Peer review versus politeness and mutual back-patting

Prof. S. C. Lakhota

Department of Zoology and Molecular & Human Genetics, Banaras Hindu University, Varanasi

A basic tenet of any scientific enquiry is that one must question the apparently established beliefs/concepts to advance new paradigms. Likewise, progress of research requires serious peer review where knowledgeable peers can, without hesitation or constraints, question the interpretations and claims. While most of the research and other establishments in India have “officially” put peer review systems in place, most of it remains only on paper and thus hardly effective. A majority of our establishments are caught in vicious circle of mediocrity breeding mediocrity. This is further aggravated by our general “politeness” (read “lack of self-confidence”) which prevents most of us from calling spade-a-spade. Consequently, almost all forms of reviews/accreditation systems do more harm than good. Our so-called “respect” for “elders” (read “those in power”) prevents the peers from asking “uncomfortable” questions resulting in most of the “review reports” being no more than eyewashes. Such unwarranted respect also has “created” so-called “eminent scientists” who may have contributed something significant at some time in past but who, in the absence of honest and effective peer review, continue, even decades later, to be “leading” scientists and thus remain in command. Obviously an honest assessment is not possible under such hypocritical social milieu.

On the other hand, even if the peers can genuinely identify someone with good potential or someone who has actually achieved something, our “democratic” dispensation does not generally allow a timely and encouraging support/recognition. This can really be demoralizing, especially if someone else gets recognized because of other considerations.

With a view to improve the quality of research, many of our research institutions insist on publication of research in journals of high “impact factors”. While this does put the desired pressure on members to “perform”, it can also backfire in several ways, including adoption of unhealthy practices. In addition, this practice has other undesirable consequences: journals published from within the country are looked down upon and thus continue to have “low impact” and we begin to “recognize” our scientists by the journals where they publish rather than by what they publish!

In the absence of robust peer review, our scientific establishments very easily fall prey to the habit of jumping on the band wagon and thus get recognized as “modern” – we have many examples like super-conductivity, nano-technology, biotechnology, genomics, stem cells, proteomics and so on, where barring very few individual efforts, most of the investments (manpower as well as material) have been inconsequential.

Unless, the scientific establishments and the community become honest with their purpose, the lack-luster performance of our science research will continue, irrespective of any number of brainstorming sessions/reports. It is essential that younger scientists with commitment and potential are identified and given the task of peer-review as well as leadership. Then only we can get out of the vicious circle of mediocrity. Quality research demands passion rather than fashion.



III. Chinese Experience

Mr. Wang Qiming

Science Counselor- Chinese Embassy

Chinese universities and research institutes are classified into 3 categories: research type, industry-oriented and teaching only, each having different evaluation and rating methodology in assessment of performance.

Universities and research institutes if in category of research type are evaluated for their performance using indicators that are more or less compatible with international standards, such like their reputation (number of Nobel laureates, Nature and Science (N&S) publications, SCI publications and citations), funding (mostly from public and overseas funding resources), and teaching qualities (doctoral and master graduates, employment).

Shanghai Jiaotong University, one of the top universities in China, has developed a comparison model using as less as possible indicators – 9 indicators to evaluate performance of research type of universities. These 9 indicators are: number of Nobel laurets 20% in weight, N&S publications 20%, SCI and IEE publications 15%, funding availability 15%, teachers with PhD degrees 6%, percentage of overseas students 6%, postdocs per faculty staff 6%, ratio of postgraduates and undergraduates 6%, and finally, ratio of teachers and tertiary students 6%.

In this model, the difference lies in the selection of suitable percentage of weight if not the same with others over the world rating the quality. The good is the data collected in quantity using real terms, so still comparable with any others if they use different weight percentage model.

Among 1,000 universities in China, such standards only apply for about 100 top universities that are so called comprehensive universities, receiving funding mostly from public sources and being judged by publications and citations.

However, publications are not the only way in judging the quality of performance. Many universities and research institutes in China are industrial oriented ones with their funding resources mostly from industries and engineering projects. Patents, prototype of products, share holdings in marketplace, name just a few, are the indicators for evaluating their performance.

To the kind of research universities, central government provides about 70% for maintenance cost. Other cost must be balanced by competition in bidding for basic research grants, national S&T programmes and overseas funds. The universities in the category of teaching only receive no funds from central government, but they may receive some funds from governments as most students are from locals. Other expenditures largely rely on tuition fees. Industry oriented universities obtain less support from government, often less than 30% from various levels of government for maintenance cost. Much of funds are from their capability in attracting industry input or from large national engineering projects, such as Tibetan railway cross over permanent frozen area, rocket launch, high-yield hybrid rice, etc. These institutions are much less relied upon public funding, more in a way for survival via their strength in processing innovation, and therefore not interested in rating to increase their reputation by publications and citations.



IV. Institutional management in HE : The role of resource crunch on quality

Professor Indiresan

For centuries, universities were expected to impart liberal education where knowledge was pursued for the sake of knowledge. They catered to the rich or the extremely committed. At the end of World War II, the US democratized higher education and in the process made higher education more utilitarian than liberal. Professional education in India has reached the extreme - it is all utilitarian.

*As In Gresham's Law of Economics (*Bad coin drives away the good)*, professional education has been driving away liberal education. There are over 1600 engineering colleges in the country. Most of them are teaching shops set up to make money in return for a paper degree. The best of them suffer in a different way: they have no academic autonomy; they are controlled by reactionary university bureaucracies that operate under the influence of the much larger commercially oriented colleges.*

The purpose of the current debate is how to evaluate these institutions. In turn, evaluation should distinguish between the goats and the sheep. Such an exercise faces two problems: One sheer numbers; two, political resistance from several quarters against enforcing quality in education.

The accreditation system adopted by the UGC and by the AICTE is centralized and monopolistic. If we had an accreditation of the accreditation system, the result would not be flattering. We need a competitive system of evaluation and a transparent one too.

I suggest that universities be debarred from determining syllabi, and conducting examinations for college students. Both these tasks should be decentralized and managed internally by each college. Then, the university will have the freedom to evaluate and grade every college affiliated to it without inhibition. In addition, let universities have the freedom to accept or reject any college. In a complementary fashion, let colleges too have the freedom to choose to which university they wish to be affiliated.

Such a system will set up a competition among universities to attract the best colleges and among colleges to get affiliated to the best universities. Such a dual competition will automatically set up colleges for every kind of demand and ensure the best for each kind of demand.



V. Indian Experience

Mr. Vikas Agarwal, General Manager, ICRA Ltd

Framework for Grading Maritime Education & Training Institutes

ICRA Limited

Science Counselor- Chinese Embassy

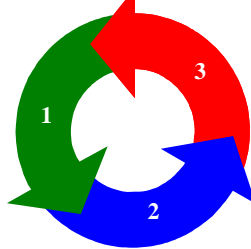
The Background

- STCW '95 led to huge demand for revalidation related training
- Entry of private training institutes permitted in 1997
- Impact:
 - Players sighted short-term opportunity in the unmet demand
 - Significant enhancement in training capacity. Helped meet the demand.
 - Revalidation related training demand has been met. Volumes, and therefore course fees have dropped.
 - Despite clear DGS entry conditions and Academic Council inspections, quality situation is indifferent

Indian Seafarers Face Reputation Risk



The Requirement



The Requirement (contd.)

- Calls for a new quality monitoring system
- Essential characteristics:
 - **Simple:** Easy for stakeholders to understand
 - **Robust:** Thorough and current
 - **Transparent:** Not a black-box, essential to foster improvement
 - **Credible:** Executed by an independent third-party which is reliable, capable and consistent
 - **Self-supporting:** Paid for by the industry

Introduction to the Grading Concept

- ☒ Grade is a composite measure of the institute on the basis of relevant parameters.
- ☒ These parameters relate to components essential to deliver quality maritime education and training.



Grading captures the quality of maritime education and training delivered



Introduction to the Grading Concept

- Grading is a step beyond certification
- Grades recognise excellence beyond optimality
- Grades benchmark capability to delivery quality of education
- The scalability of Grading concept makes it a LT quality monitoring solution

Excellence

Optimal

Minimal

Grading

Certification

Licensure/ Approval

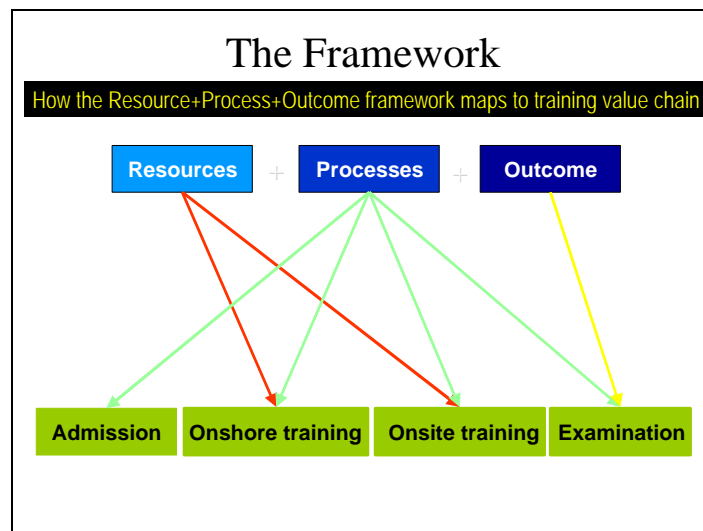
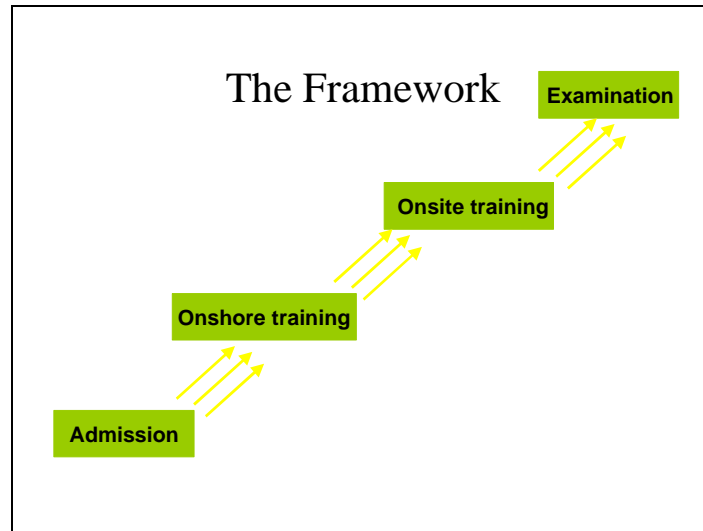
Introduction to the Grading Concept

- Grading, which is an opinion on the quality of maritime education & training
- The Deliverable is with specific reference to:
 - Institutes
 - Programmes offered
 - Others

The Framework

The Structure, Process and Outcome Framework

- Structure: all resources available for imparting education and training
- Processes: the series of activities through which the resources are put to use to impart training
- Outcome: Academic and behavioural results



The Framework (contd.)

- Key Guiding Documents
 - STCW (95)
 - IMO Model Courses
 - Guidance on the implementation of IMO courses
 - Merchant Shipping (STCW), Rules 1998
 - META Manual
 - DGS Order No. 1 of 2003
 - Balridge National Quality Program - Education Criteria for Performance Excellence 2003



The Framework (contd.)

Elements of the Framework

Resources

- Physical resources
 - Classrooms
 - Other support infrastructure
 - Audio-visual materials
 - Training and instruction aids
 - Facilities for extra-curricular activities
- Faculty and support staff

Processes

- Organisational processes
- Admission process
- Course content, design and implementation
- Assessment

Outcome

The Framework (contd.)

- Resources: Evaluation of availability and adequacy of the following:
 - Land
 - Building
 - Utilities
 - Class-rooms
 - Library
 - Audio-visual equipment
 - Computer & projection facility
 - Maps and models
 - Other training and communication facilities

The Framework (contd.)

- Faculty & staff
 - Faculty strength
 - Documentation and compliance with the same for the following:
 - Faculty selection
 - DGS approval of appointment of faculty
 - Minimum eligibility conditions
 - Record of provisional appointments
 - Visiting faculty and guest lecturers selection
 - Ratio of permanent faculty to visiting faculty
 - Training schedule for faculty

contd.



The Framework (contd.)

- Faculty & staff (contd.)
 - Teacher competence
 - language skills
 - pedagogic knowledge
 - information technology skills
 - subject knowledge
 - ethical & legal knowledge in education
 - Teacher performance
 - Teaching style, attitude and strategy
 - Behavior
 - Use of facilities and teaching materials
 - Classroom management pattern
 - Leadership to students

The Framework

- Organisational processes
 - How does senior management guide the organisation
 - setting and deployment of organisational values
 - setting of short-and-long term directions and performance expectations
 - How are the interests of students and other stakeholders balanced
 - How does the management communicate Organisational values, directions and expectations

The Framework (contd.)

- Organisational processes (contd.)
 - What is the organisation's governance system and is it effective?
 - Management accountability for the organisation's actions
 - fiscal accountability
 - independence in internal audit, as appropriate
 - What is the process of reviewing organisation's performance and is it effective?



The Framework (contd.)

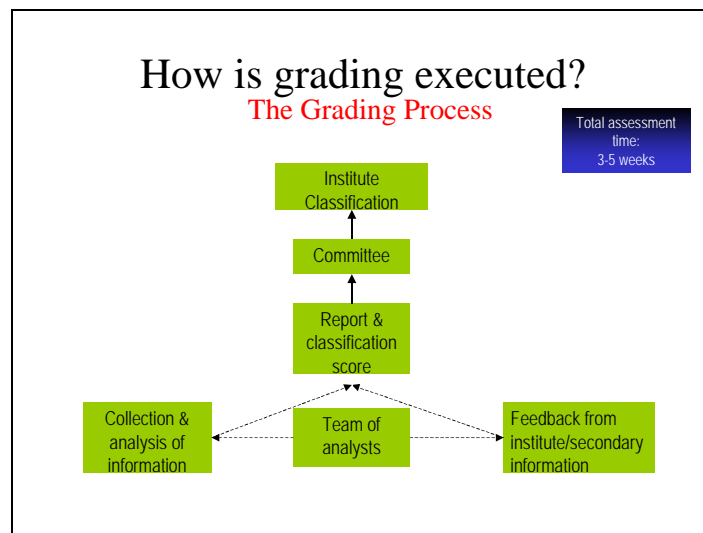
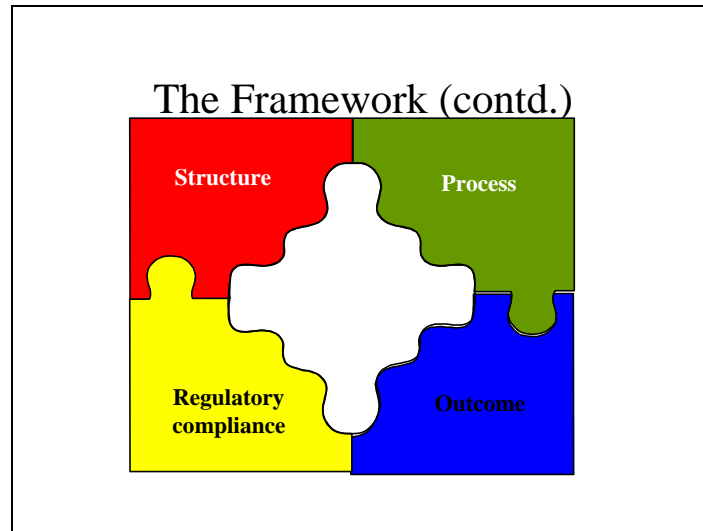
- Admission process
 - Compliance with minimum eligibility standards
 - Verification of documents
 - Compliance with course strength limits

The Framework (contd.)

- Course implementation
 - Development of an instructional strategy
 - Instruction aids
 - Instructional methods
 - Instructional strategy
- Preparation for lecture
 - Deciding upon the mix of communication skills
 - Use of instructional aids
- Delivery of lecture
 - Observation by experts

The Framework (contd.)

- Outcome
 - Supervision
 - Classroom observation
 - Student achievement assessment
 - Teacher self-evaluation
 - Exam results



- ### How is grading executed?
- Grading team composition
 - Sector specialists
 - Business analysts
 - Grading committee composition
 - ICRA senior staff members
 - Independent experts



How is grading executed?

<i>Symbol</i>	<i>Definition</i>
ME1	The institution has resources and processes consistent with those required for delivering the highest quality of maritime education and training.
ME2	The institution has resources and processes consistent with those required for delivering quality of maritime education and training that is high but not high as ME1.
ME3	The institution has resources and processes consistent with those required for delivering moderate quality of maritime education and training.
ME4	The institution has resources and processes that can deliver low quality of maritime education and training.

How is grading executed?

Additional details:

Grading acceptance: Once the grade is awarded by the Committee, the same is communicated to the institute. The institute is free to accept or not accept or request for a review. The last option allows the institute management to table additional information which may be material to the award of grading.

Grading communication: Subsequent to acceptance of the grade, ICRA will publish a rationale which will give the logic of why that particular grade has been assigned to an institution

How is grading executed?

Popularising the grading system: ICRA, by itself and in collaboration with DGS, will make efforts to popularise the grading system by using the press and other relevant forums.



Time-table

Timeframe	Phase
Day 0	ICRA & DGS arrive at an understanding on the principal features of grading service
Day 1-60	<ul style="list-style-type: none">Grading benchmarks finalisedPilot project identified
Day 61-90	Pilot project undertaken
Day 91-100	Methodology fine-tuned on the basis of results of Pilot project
Day 101	Grading service commercially launched

Why ICRA?

- Credibility, Independence, Objectiveness
- Strong analytical techniques
- In-house research base and qualified human resources

Grading Experience

Grading of Construction entities	In Collaboration with CIDC	25
Grading of Real Estate entities	In Collaboration with NAREDCO	11
Grading of Healthcare entities	In Collaboration with HSCC	2
Grading of Mutual Fund Schemes	Independent	5