INDIA: Technical Education Quality Improvement Project (TEQIP) III
Implementation Support Review
July 18-27, 2018
Aide Memoire

I. INTRODUCTION

The World Bank and Ministry of Human Resource Development (MHRD) team carried out the second Joint Review Mission (JRM) for TEQIP III from July 18-27, 2018. The World Bank team[1] would like to extend its gratitude to Secretary R. Subrahmanyam (MHRD), Additional Secretary S.S. Sandhu (MHRD), Director Prashant Agarwal (MHRD) for their guidance and advice throughout the mission, and to Central Project Advisor, P.M. Khodke and officials at the National Project Implementation Unit (NPIU) for overall coordination of the JRM, especially in the preparation of various background materials, organization of workshops, meetings with National Board of Accreditation (NBA) and All India Council of Technical Education (AICTE), IIMs and IITs, field visits, informative presentations and participation in discussions. In addition, Secretary (MHRD) chaired a meeting to discuss project progress with representatives from the Department of Higher/Technical education of focus states.[2] The Mission also met with Department of Economic Affairs Director, Bandana Preyashi.

The objectives of the JRM were to review the overall progress of the project with MHRD and NPIU. In addition, the team visited institutions in two focus states (Bihar and Madhya Pradesh); and two non-focus states (Karnataka and Maharashtra).[3] Meetings were held with IITs and IIMs to discuss their work plans for faculty development, online courses, workshops/trainings, and twinning arrangements. The Mission also met with Member Secretary, NBA to discuss accreditation issues in TEQIP institutes; AICTE to discuss capacity building for student assessments; technical assistance to mentor institutions in the North East; and the streamlining of data management across all engineering colleges in India. The status of studies, including the AICTE-Stanford Learning Assessment, the behavioural insights study, tracking employability; and the faculty study, was discussed. A financial management and procurement workshop for State Project Implementation Unit (SPIU) officers was held on July 27, 2018. The Aide Memoire was discussed at the wrap-up meeting on July 27, 2018 with Additional Secretary, Mr S.S. Sandhu as the chair and the final version of the Aide Memoire has been endorsed by Bank management.

II. PROJECT DATA AND RATINGS

Table 1: Key Project Data and Ratings

Project Data	USD (millions)
Original Project Amount	$201.5
Total Disbursement	$15.23
Disbursement in FY 19	$0
Closing Date	Sep 30, 2020

Project Ratings:	Previous	Current
Project Development Objective	S	S
Implementation Progress	MS	MS
Component 1: Improving quality and equity in engineering institutes in focus states ($318.0m)	S	S
Component 2: System-level initiatives to strengthen sector governance and performance ($85.0m)	S	S
Project Management	S	S

Procurement	S	MS
Financial Management	MS	MS

Ratings: ***HS****=Highly Satisfactory;* ***S****=Satisfactory;* ***MS****= Moderately Satisfactory;* ***MU****= Moderately Unsatisfactory;* ***U****=Unsatisfactory;* ***HU****=Highly Unsatisfactory;* ***NA****=Not Applicable;* ***NR****=Not Rated.*

III. IMPLEMENTATION PROGRESS AND KEY FINDINGS

Table 2: Progress since 1ˢᵗ JRM (December 6-15, 2017)

TPRM Actions (Feb 15-16, 2018)	
• Submit a time-bound action plan including quarter-wise physical and financial targets to utilize the remaining credit amount	• Achieved
• Submit a restructuring proposal based on discussions between the Bank and NPIU for onward transmission to the Bank	• Achieved. Restructuring completed in June 2018
• Review and downgrade project performance ratings if warranted	• Not required
• Achieve a disbursement target of $5 million in Bank FY17-18	• Disbursement of USD 15.23 million achieved in Bank FY17-18
Issues from 1ˢᵗ JRM	Annex 8
Pending issues from 1ˢᵗ JRM • Integrated PMSS-MIS system • Performance-based management of project staff	Page 4

PDO and indicators

The progress against the Project Development Objective (PDO) is rated as **Satisfactory.** Indicators for 2017-18 have either been met or are on track to be met. In the case of the latter, the latest data on indicators pertaining to transition rate and beneficiaries will only be available on September 1, 2018 due to delays in declaration of exam results in various states. (For a full list of indicators, see Annex 3).

DLIs

The project was restructured on June 11, 2018. Two DLIs were modified, two were dropped, and three were added. After the restructuring, Year 2 targets for DLIs #2 (autonomy) and #5 (fund flow) were achieved, and verification reports received. The amount of USD $14m was disbursed in June 2018. The remaining year 2 targets for DLI #1 (accreditation) and #4 (student exit exam training) have also been achieved. Once the World Bank receives formal evidence of achievement and expenditures, there will be a disbursement of USD $15m. The year 2 target for DLI #3 (Board of Governors) has not yet been achieved, but the DLI can be carried forward.

For DLI #4, the achievement of Year 3 and 4 target requires independent verification. MHRD should complete the hiring of an Independent Verification Authority by November 1, 2018. Terms of reference were discussed during the JRM.

Progress on Components

Implementation is progressing well as outlined below. Annex 5 provides a more detailed description.

Component 1 (Improving quality and equity in engineering institutes in focus states): There are 91 institutes and 10 affiliating technical universities (ATUs) under TEQIP III that are from focus states and 78 institutes and 3 ATUs from non-focus states. Out of 91 institutes in focus states, 78 institutes have been twinned with 1.3 institutes (non-focus state) and 13 institutes have been twinned with IITs. Joint action plans have been prepared by 71 institutes. Activities are proceeding well in all project institutes. Specifically, all institutes have made significant progress on AICTE's 10-point agenda for

institutional reform. Several student-oriented activities are underway, aimed at improving performance in exit exams and employability. These include providing students help with GATE preparation, detailed feedback on tests of technical and higher order thinking skills, and introducing employability-oriented testing services such as AMCAT. The project has played an important role in alleviating faculty shortages in colleges by recruiting 1225 new faculty. All new teachers participated in an intensive induction program offered at IITs covering pedagogy, research and development.

ATU activities are also progressing well, especially in the following project activities: implementing the AICTE 10-point mandate; reaching out to private unaided colleges; initiating examination reforms; and providing Wi-Fi within the ATU campus.

Areas for improvement:
- **Twinning**: Progress on twinning arrangements between colleges and between ATUs in focus and non-focus states has picked pace, but needs to improve significantly. Delays have been a result of: i) difficulty in responsiveness from both focus and non-focus institutes; and ii) challenges with distance. A higher weightage for twinning activities has been proposed for 1.3 institutes in the performance audit.
- **ATU faculty**: ATUs also face a serious shortage of faculty, which limits their effectiveness.
- **Good governance**: While the IIMs have commenced management training in institutes, to date they have only conducted training for senior faculty members. More needs to be done soon, especially given the short duration of the project. Importantly, for good governance and management practices to prevail in institutes, Board of Governor composition must follow UGC and AICTE norms, so that approvals are made quickly and that the institution is not unnecessarily influenced by external factors.
- **Safeguards**: Institutes must put their equity action plans and environmental safeguards in place.

Component 2 (System-level initiatives to strengthen sector governance and performance): Activities are progressing well. Importantly, the AICTE-Stanford study concluded its first round successfully. In April 2018, the Stanford team shared a first-set of results in a closed-group briefing with MHRD, World Bank, key policymakers and academics. The World Bank also briefed the Minister for Education on the study and results from the baseline survey. Reports with baseline results have been shared with students and institutes showing summaries of performance compared to the national average. AICTE has also begun the process of data harmonization and integration across different data sources, such as AISHE and NBA. Significant progress has been made on MOOCs, through the swayam portal. AICTE is also developing in-house capacity to undertake studies such as the one currently led by Stanford.

Areas for improvement: An important part of Component 2 was to support the government in its plan to connect all engineering colleges to the National Knowledge Network by ensuring last mile connectivity and 24X7 broadband wifi. Progress has been slow. Given the government's emphasis on MOOCs, this delay must be addressed soon.

At the next JRM, colleges and ATUs will be assessed based on performance benchmarks (see below) as was done in TEQIP II. If institutes achieve 3 (or more) out of 5 benchmarks, they will qualify as well-performing institutes and will receive their funding allocation:

- Twinning: Institutions must score 75% or more of the weightage for their twinning action plans when reviewed in the Performance Audit (will be verified from online system filled by Performance Auditor during audit)
- MIS: At least 90% data entry completion by each institute
- EAP: Completed EAP submitted to NPIU
- In-progress expenditure (Floating enquiries, Opening & evaluation): 50% of plan
- Actual Expenditure: 25% of plan

Implementation arrangements

There has been good progress on State Project Implementation Unit (SPIU) staffing, with a State Project Advisor in each SPIU (except Himachal Pradesh and Uttarakhand where interviews have been scheduled). Nodal officers, specializing in academics and so forth, have also been appointed in all states except Madhya Pradesh (interviews underway).

Procurement

The Mission noted that some institutions have done progress in procurement but ATUs are yet to start the procurement, therefore the procurement performance for the project is downgraded from **S** to **MS.**

Financial Management

The mission would like to complement NPIU, SPIUs and all the participating institutes for their efforts in implanting Public Financial Management System for transfer of project funds to the last utilization level. All the participating institutes are now accessing project funds through PFMS with high transaction level efficiency. However, there remain some bottlenecks, which are being addressed in mission mode. The mission discussed in detail fiduciary arrangements like staffing, accounting, internal controls, audits, etc at the SPIU and participating institutes level. The mission also observed that while substantial progress has been made since the last mission, there remain areas for strengthening like appropriate financial staffing, audit arrangements. The rating is **MS**.

Social and Environmental Safeguards

The overall social safeguards performance of the project continues to be rated as **MS**. Institutes have been conducting activities, such as holding induction and remedial classes for students. NPIU has recently finalized the baseline questionnaire on equity/ social safeguards; compiled data on SC/ST and female students for 75 colleges of 160 colleges. Appointment of Equity Action Plan (EAP) coordinators in 75 institutions is complete. Institutes now need to complete their EAPs. They must also make appropriate provision for grievance redressal. On the environmental front, considerable progress needs to be made. The rating is **MS**.

Key concerns

Systems: There are two unresolved issues from the first JRM that need immediate attention. One is the delay in the development of new procurement and academic MIS systems. The firm contracted with this, CNET, has not yet produced a viable, bug-free system. At this point, the year and a half delay is unacceptable, given that the project requires sound procurement and MIS systems to track DLIs and institutional data. The World Bank team met with EdCil, KPMG, and CNET to come up with a timeline for the launch of the new system — if CNET cannot deliver a functional system by August 31, 2018, then MHRD may want to consider closure of the contract for MIS-PMSS system between EdCil and CNET per the contract termination clause, and seek alternative arrangements. The Bank team is concerned that a delayed and malfunctioning procurement system has significant reputation risks for the project.

Performance-based management of project staff: The second concern is over the unresolved issue of setting a performance-based component to SPIU and NPIU compensation. The original proposal was for NPIU to work with a third-party to design a performance management system that outlines the work plans at the start of the performance period as well as a mechanism for assessment of performance.

Environmental management and safeguards: During the site visits, it was observed that BATU did not have a proper emergency response/disaster management system in place. This includes fire safety, which can be strengthened to go beyond the current installation of some fire extinguishers. Greater details are provided in Annex 6. NPIU and SPIUs should arrange to review the environmental safeguards in all project-funded institutes at the earliest and take proactive steps to ensure safeguards are in place.

Website and external communication: It should also be noted that NPIU is promoting the achievements of TEQIP III through newsletters and website updates. The website can be further revised and updated to be made more modern and user-friendly and to have better feedback forms/mechanisms in place. NPIU has been adhering to the best practice of keeping the World Bank team informed of all communications efforts. SPIUs should also play a similar role at state-level by encouraging knowledge sharing and collaboration among the state institutes and ATUs.

IV. NEXT STEPS AND AGREED ACTIONS

The next joint review mission will be the Mid Term Review and is currently scheduled for February 2019. Please see table below for actions to be taken.

Table 2: **Summary of Agreed Actions**

	Actions	Responsible	Due Date
DLI			
1	MHRD should complete the hiring of an IVA for verification of DLI #4 Year 3 and 4 targets	MHRD/NPIU	November 1, 2018
Promoting Research and Innovation			
2	Establish a fund devoted to support innovation in teaching and research collaboration: • Window 1: among NPIU teachers from different institutions • Window 2: among ATUs and affiliated colleges (public and private)	MHRD/NPIU	January 1, 2019
Affiliating Technical Universities (ATUs)			
3	NPIU and MHRD to consider whether faculty reforms can be spread to ATUs	MHRD/NPIU	January 1, 2019
4	Examination results at ATUs must be declared before start of the semester	ATUs	January 1, 2019
5	ATU to develop MIS for all affiliated colleges	ATUs	January 1, 2019
6	ATUs to accelerate project expenditures	ATUs	January 1, 2019
Improving faculty performance			
7	MHRD and state governments to agree on concrete steps to extend contracted TEQIP-funded teachers beyond the project timeline	MHRD	January 1, 2019
8	Develop and implement a faculty appraisal system for all faculty in TEQIP-funded institutes, including NPIU hired teachers	MHRD, state governments and NPIU	January 1, 2019
Support programs to improve institutional performance			
9	Conduct executive leadership programs with international universities and leading industrialists for principals/directors/VCs/BoG members	NPIU/IIMs	January 1, 2019
10	IIMs and IITs to jointly update activities pertaining to institutional and faculty development	NPIU/IITs/IIMs	January 1, 2019
11	MHRD to ensure all states comply with UGC and AICTE norms for BoG composition as per MOUs between MHRD and state governments	MHRD	January 1, 2019

12	AICTE to send a letter from Chairman to institutes stipulating BoG guidelines, outlining specific roles and responsibilities	AICTE	January 1, 2019
13	SPIUs to organize refresher Good Governance workshops	NPIU/SPIUs	January 1, 2019
14	Revise the performance auditor forms as per Annex 4	NPIU	Before the mentors and auditors are fully deployed

Improving institutional performance			
15	Establish a mechanism for enabling peer to peer learning and knowledge sharing between all TEQIP-funded institutes	NPIU/SPIUs	January 1, 2019
16	Twinned institutes to be more flexible when coordinating activities, taking into account academic calendars	NPIU	January 1, 2019
17	Introduce performance benchmarks (see section on *Institutional Performance*)	NPIU	January 1, 2019

Communications			
18	NPIU to establish communications strategy that includes plans for: - An up-to-date, user-friendly website with TEQIP III information and ways to contact NPIU should any issues or concerns arise about the project, including feedback from TEQIP beneficiaries - Appropriate dissemination of TEQIP-related news through the newsletter and website with emphasis on profiling new faculty members - Appropriate dissemination of TEQIP achievements to the general public	NPIU	Website: November 1, 2018 Other: ongoing

Safeguards			
19	NPIU to share guidance note on EAP with institutions prior to regional workshops	NPIU	August 10, 2018
20	Finalize action plan for EAP regional workshops and share with the Bank	NPIU	August 17, 2018
21	NPIU in consultation with SPIU to conduct social safeguards workshop for the newly recruited contractual staff/ faculty, as part of regional EAP workshops	NPIU, SPIU World Bank	November 1, 2018
22	NPIU to review the status of environmental safeguards in all participating institutes, including site visits to a 10 percent sample of institutes	NPIU	October 15, 2018
23	NPIU in consultation with SPIU to conduct regional environmental safeguards workshop for all participating institutes	NPIU, SPIU World Bank	November 1, 2018

Implementation Arrangements			
24	MHRD to ensure closure of PMSS-MIS contract between EdCil and CNET should CNET not deliver as agreed by August 31, 2018	MHRD	August 31, 2018
25	MHRD to ensure the establishment of a performance-based compensation system for NPIU and SPIU staff	MHRD	January 1, 2019

Financial Management			
26	Finalize appointment of Internal and Statutory auditor for all PIUs	NPIU	August 31, 2018
27	Prepare format for submission of FM indicators by PIUs	NPIU	August 31, 2018
28	*Develop on-line* need based refresher training	NPIU	October 31, 2018
29	Follow-up with PNB on establishing dedicated help desk for TEQIP-III	NPIU	August 15, 2018

Annexes:
Annex 1: List of officials met
Annex 2: Status of 5 largest procurement packages
Annex 3: Results Framework
Annex 4: Revisions to performance auditor form
Annex 5: Activity details
Annex 6: Environment and social safeguards
Annex 7: Financial management
Annex 8: Status of actions from 1st JRM

Annex I. List of officials met in the 2nd Joint Review Mission

1. **Ministry of HRD, Government of India**
   - Mr. R. Subrahmanyam, Secretary, Higher Education
   - Dr. Sukhbir Singh Sandhu (IAS), Additional Secretary, Technical Education
   - Mr. Prashant Agarwal, Director (IITs)
   - Mr. Rajesh Solanki, Under Secretary

2. **National Project Implementation Unit**
   - Prof. P. M. Khodke, Central Project Advisor
   - Dr. Rita Goyal, Sr. Consultant
   - Dr. Yogesh Shrivastava, Consultant
   - Mr. Anup Melhotra, Consultant
   - Mr. Sachin Gupta, Associate Consultant
   - Dr. Prakash Kuniyal, Associate Consultant
   - Mr. N. S. Agnihotri, Consultant
   - Mr. R. K. Arya, Consultant
   - Mr. Bhanu Pratap Singh, Consultant
   - Ms. Rupali Jha, Associate Consultant
   - Mr. Kapil Dey, Associate Consultant
   - Mr. Prateek Kandulna, Consultant
   - Ms. Bharti Arya, Consultant
   - Mr. Prashant Luhana, Consultant
   - Mr. Ekant Kumar, Consultant
   - Mr. Onkar Khamgaonkar, Consultant
   - Mr. Ballabh Inder Kishore, Consultant

3. **State Project Implementation Unit**
   - Dr. Bushra Zaman, Consultant, Bihar
   - Dr. Seema, SPA, Madhya Pradesh
   - Dr. Ankur Pareek, Nodal Officer, Academic, Rajasthan
   - Dr. Mukul Chandra Bora, SPA, North East
   - Mr. Mintu Sinha, Nodal Office, Procurement, North East
   - Mr. Safique Kamal Ahmed, Office Assistant, North East
   - Mr. Gopi Chand Soni, Office Assistant, Chattisgarh
   - Mr. Dekeshwar Prasad Verma, Nodal Officer, Procurement, Chattisgarh
   - Mr. Diwakar Mishra, SPA, Chattisgarh
   - Mr. Ashwani Sharma, Nodal Officer, Procurement, Himachal Pradesh
   - Ms. Nirmal Sharma, SPA, J&K
   - Ms. Hena Sharma, Nodal Officer (Academics), J&K
   - Mr. Shubham Sharma, Account Assistant, J&K
   - Mr. Ujjawal Kumar, Account Assistant, Jharkhand
   - Mr. S.A. Ladhake, SPA, Jharkhand
   - Mr. Bibhuti Bhushan, Nodal Officer (Finance), Jharkhand
   - Mr. Piyush Nema, Account Assistant, Madhya Pradesh
   - Dr. Seema Saxena, SPA, Madhya Pradesh
   - Dr. A. Mishra, SPA, Odisha
   - Mr. Bibhu Prasad Bohra, Nodal Officer (Finance), Odisha
   - Mr. Manas Ranjan Patnaik, Account Assistant, Odisha

- Mr. Ashish Yadav, Nodal Officer (Procurement), Rajasthan
- Mr. D. C. Goyal, Account Assistant, Rajasthan
- Dr. Anil Kumar, SPA, Uttar Pradesh
- Mr. Vindesh Kumar Singh, Nodal Officer (Finance), Uttar Pradesh
- Mr. Pradeep Kr. Srivastav, Account Assistant, Uttar Pradesh
- Mr. Sanjeev Rathore, Nodal Officer (Finance), Uttarakhand
- Mr. Jitendra Kumar, Account Assistant, Uttarakhand

4. **State Government Department**
- Smt. Harjot Kaur, Principal Secretary, Science and Technology, Bihar
- Mr. Atul Sinha, Director, Science & Technology, Bihar
- Mr. Rajesh Kumar Sharma(IAS), Secretary, DHTE, Jharkhand
- Dr. Arun Kumar, Director, DHTE, Jharkhand
- Dr. Saroj Kumar(IAS), Special Secretary, DTE, Uttar Pradesh
- Mr. Sukhveer Singh(IAS), Secretary, Madhya Pradesh
- Mr. Vivek Acharya(IFS), DTE, Chhattisgarh
- Dr. Ajay Nayak, Joint Secretary, DTE, Odisha
- Mr. Vipin Kumar, Resident Commissioner, Delhi, Govt. of Bihar
- Dr. Subodh Agarwal(IAS), ACS, Govt. of Rajasthan
- Ms. Pushpa Satyani(RAS), JS, Govt. of Rajasthan
- Mr. Shubh Karan Singh(HAS), DTE, Himachal Pradesh
- Ms. Krishna Gohain(IAS), Secretary, TE, Assam
- Mr. Kuldeep Thankur, Resident Commissioner, Delhi, Govt. of A&N
- Dr. Amit Shukla, Director of Higher Education, Tripura

5. **State Universities/ Institutions**
- Prof. Karim Khan, Pro-Vice-Chancellor, Aryabhatt Knowledge University, Bihar
- Prof. Sharat Chaube, TEQIP Coordinator, RGPV Bhopal
- Prof. Gaikar, Vice-Chancellor, BATU, Lonere
- Prof. Deosarkar, TEQIP Coordinator, BATU, Lonere
- Prof. Sanjay Nalbalwar, Nodal Officer(Academic), BATU, Lonere
- Prof. Karisiddappa, Vice Chancellor, VTU, Belgaum, Karnataka
- Dr. H. N. Jagannath Reddy, Registrar, VTU, Belgaum, Karnataka
- Prof. Santosh Deshpande, TEQIP Coordinator, VTU, Belgaum, Karnataka
- Dr. Shankar Rao, TEQIP Coordinator, Dr B.R. Ambedkar Institute of Technology, Andaman & Nicobar

6. **Indian Institute of Management**
- Dr. Manas Parihar, IIM Indore
- Dr. Amit K. Chanpuna, IIM Kashipur
- Dr. Kunal, IIM Kashipur
- Dr. V. Venkata Rao, IIM Udaipur
- Dr. Madar Nayak, IIM Udaipur
- Dr. Tapas Kumar Giri, IIM Shillong
- Dr. Sanjeev Pradhan, IIM Raipur
- Dr. Prashant Gupta, IIM Trichy

7. **Indian Institute of Technology**
- Dr. Vikram M. Gadre, IIT Bombay

- Dr. Srinivasalu Gujjaj, IIT Bombay
- Dr. A. Goswami, IIT Kharagpur
- Dr. Suhar Ranjan Dey, IIT Hyderabad
- Dr. Sunil Khijwania, IIT Guwahati
- Dr. Pradeep Kumar, IIT Roorkee
- Dr. Sandeep Chaudhary, IIT Indore
- Dr. Amit Prashant, IIT Gandhinagar
- Dr. C.S. Upadhyay, IIT Kanpur
- Dr. D.K. Mahim, IIT Delhi
- Dr. Amit, IIT Delhi
- Dr. Amlendu, IIT Delhi
- Dr. Smita, IIT Delhi

8. **Other Attendees:**
   - Mr. Pawan Kumar, CGM, Digital Education system, EdCIL
   - Mr. Avinash Meena, Assistant Manager, EdCIL
   - Mr. Pravir Krishak, CIO, CNET
   - Mr. Suresh Munjal, Project Manager, CNET
   - Mr. Shashin Shekhar Chourasia, Manager, KPMG
   - Mr. Ramendra Verma, Partners, KPMG
   - Mr. Aurobindo Upadhyay, Assistant Program manager, KPMG
   - Mr. Saurabh, SLA co-coordinator, Stanford University

Annex 2. Status of 5 largest procurement packages

1) **Procurement in the project**. Most of the institutions and ATUs have initiated the procurement process, and to date Rs 104 crore worth of expenditure on procurement has already happened. Total procurement planned till 30th June 2019 is worth Rs 602 crore. Institutions are still using the old PMSS system. Till date new PMSS system is not rolled out though it was planned by middle of May 2018. The PMSS was designed to support a <u>decentralized</u> procurement process at the institutional level, while promoting uniformity, consistency and transparency in procurement process, conducted at multiple institutions. It is understood from EdCIL that go live of the new PMSS will happen by end of August 2018. From 13th to 17th Aug, NPIU has planned training for the institutions regarding operational nuances of new PMSS system. It is suggested that follow up training is conducted to make officials comfortable with new system. Top five high value packages for this project are as follows:

Central/ State	Institution	Package No.	Estimated Cost	Current stage	Description
NPIU	NPIU	-	2.5 Cr	Contract awarded to C-net.	Development of PMS software
Karnataka	Sri Jayachamarajendra College of Engineering (SJCE), Mysore	TEQIP-III/KA/sjce/7	17250000	Planned stage	Desktop Computers
RJ	Government Engineering College, Ajmer	TEQIP-III/RJ/geca/5	15840000	Planned stage	Desktop Computers
Uttarakhand	GBEC, Pauri Garhwal	TEQIP-III/UK/gbec/2	15249950	Planned stage	Desktop Computers
Odisha	College of Engineering And Technology Bhubaneswar	TEQIP-III/OD/cetb/1	14973758	Completed stage	Supply, Installation, Commissioning, Execution, and Testing of Networking for Extension of Wi-Fi Facility to New Boys Hostel,Ladies Hostel inside the campus

2) **Procurement Post Review (PPR) FY 1**8: PPR FY 18 of TEQIP II was conducted in the month of Apr 2018 and the PPR report was shared with NPIU in May 2018. The compliance to PPR comments have not been received yet. NPIU may follow up with the institutions and get the compliance report at the earliest and share the same with Bank.

3) **Field visit**. Visited Aryabhata Knowledge University, which has a procurement plan, but procurement per se has not started yet. Procurement coordinator has not yet been trained on the use of PMSS. The mission advised him to take the training at the earliest opportunity.

4) Also visited Indore and interacted with procurement/ TEQIP coordinators from eight institutions including officials from RGPV (ATU). Most of the institutions have made good progress on procurement except Indira Gandhi Engineering College, Sagar, where procurement is yet to start. On 23rd July 2018, the first procurement plan was approved by BOG and they submit the same shortly through STEP to NPIU for approval.

5) **Rating for Procurement**. Mission noted that some institutions have made progress in procurement but ATUs are yet to start the procurement, therefore the procurement performance for the project is downgraded from **S** to **MS.**

Annex 3. Results Framework

Sl. No.	Indicator	Sub Type	Baseline	YR1 TY2017 (Jul 16-June 17)		YR2 TY2018 (Jul 17-June 18)		End Target (September 2020)
				Target	Actual	Target	Actual	
1	Average score of students participating in tests designed to measure technical and critical thinking skills			[No target as the test will be designed and piloted during this period]		Test administered for first time and baseline established		
2	NBA-accredited programs in participating institutes (a) UG programs (DLI1) (b) PG programs	Focus States: UG (Applied and accredited)	10%	12%	8.4%	20%	23.12%	50%
		Other States: UG (Accredited)	17.8%	18.8%	18.37%	21.8%	21.34%	32.8%
		Focus States: PG (Applied and accredited)	4%	6.0%	11.82%	9%	11.88%	24%
		Other States: PG (Accredited)	8.2%	9.2%	6.29%	13.2%	10.67%	23.2%
3	Transition rate of UG engineering students from the first year to second year in participating institutes.	Focus States:All	50%	51%	61.59%	53%	55.85%	60%
		Focus States:SC/ST	40%	41%	35.95%	43%	33.78%	50%
		Focus States: Female	45%	46%	56.65%	48%	57.13%	55%
		Other States:All	67%	68%	65.71%	70%	64.78%	77%

#	Description	Category						
		Other States:SC/ST	54%	56%	49.89%	58%	46.21%	65%
		Other States: Female	64%	66%	65.84%	68%	66.41%	75%
4	Percentage of students from traditionally disadvantaged groups in total enrolment in participating institutes (a) SC/ST (b) Women	SC/ST	15%	16%	18.24%	17%	18.23%	20%
		Women	26%	26.5%	26.44%	27%	25.56%	30%
5	Direct project beneficiaries (Number)		1469441	1496759	1415550	1541801	1424340	3210204 (cumulative)
6	Female beneficiaries (Percentage)		26%	26.5%	26.47%	27%	25.61%	30%
7	Percentage of Participating Institutes in Focus States with autonomy* (DLI#2)		44%	45%	45.05%	47%	48.35%	55%
8	Percentage of PhD students in total enrolment in engineering disciplines in participating institutes	Focus States	1.6%	1.76%	0.87%	2.08%	0.97%	3.20%
		Other States	2.5%	2.75%	5.61%	3.25%	4.23%	5%
9	Percentage of sanctioned faculty positions in participating institutes filled by regular or contract faculty	Focus States	40%	42%	65.97%	50%	72.58%	85%
		Other States	65%	66%	74.97%	68%	76.32%	85%
10	Number of faculty trained in either their subject domain, pedagogy, or management in participating institutes. (Cumulative)	Focus States		500		1000	3526	5000
		Other States		1000	657	2000	1182	6000
11	Percentage of externally funded R&D projects and consultancies in total revenue in participating institutes	Focus States	2%	3%	3.65%	4%	2.96%	7%
		Other States	10%	11%	9.84%	12%	18.66%	15%
12	Participation of affiliated institutes in participating ATUs in newly designed research-hub related activities (number)	Focus States		5		10		30
		Other States		20		30		150
13	Student, Staff, and Faculty Satisfaction Survey					Report on first round published	3.7	

					and action plan prepared		
14	Employer satisfaction with engineers recruited in the past year						
15	Percentage of participating institutes in focus states that train final year engineering students to take exit examination (e.g. GATE) (DLI#4)		25%			30%	49.45% %Students = 35%	60%
16	Number of engineering education institutes in focus states that meet the enabling mechanisms for participation in the project		21	55	42			87
17	(i) Timeliness of allocations, and utilization; (ii) expenditure recognition against the utilization (DLI#5)					In the previous six (6) months: (i) MHRD provides allocation in PFMS for at least 75% of the fund requests submitted by the institutes, within ten (10) calendar days from the start of quarter; and (ii) 70% of the payments requests made by the institutes are honored within thirty (30) calendar days from the	A. Total Transactions through PFMS Jan-June 2018 : 31483 B. No. of transaction honored within 30 days: 30688 C. % age of transactions honored within 30 days: 97.47%.	

#	Description							
						date on which the participating institute requests the payment for eligible transactions.		
18	Percentage of Participating Institutes in Focus States with a BoG composed as per prescribed structure and meets at least 4 times a year with minutes of the meeting posted on their institution website (DLI#3)	Focus States	35%			60%	61.54%	95%
		Other States	60%			80%		95%
19	Number of participating ATUs with MIS capable of producing annual report against prescribed indicators	Focus States				MIS designed: At least 1 ATU	2	MIS functional: At least 5 ATUs
		Other States				MIS designed: At least 1 ATU	3	MIS functional: At least 3 ATUs
20	Percentage of participating institutes that produce and publish an annual report in the prescribed format in accordance with the requirements set out in the PIP	Focus States				20%		85%
		Other States				20%		85%
21	Number of participating ATUs in focus states that publicly declare final semester examination results before the start of the next academic year				10	1	10	6

Annex 4. Revisions to performance auditor form

1. Weightage of performance parameters needs to be revisited:
    a. B/C = 15% each
    b. E = 15%
2. Sub-parameters for Improvement in Teaching, Learning and Research competence includes employer satisfaction survey. This is hard to do and difficult to get valid data. A solid tracer study where the graduate rates him/herself might be better. This would also help institutes develop skills in tracking students (and their outcomes).
    a. Semantics – Graduate Tracking System or Tracking system for graduates/pass-outs
    b. This will be added as a sub-parameter next year
3. Sub-parameters for Implementation of AICTE mandate
    a. Need to specify % of students who undergo soft skills training
4. Sub-parameters on Equity
    a. Need to add more questions from EAPs, and consult Surbhi for inputs. Examples – time taken for SC/ST students to avail scholarships, what can institutes do to increase female beneficiaries, etc. Critical that the supporting evidence for the sub-parameters is objective and clear.
    b. Student satisfaction survey can also include questions on inclusivity.
5. Sub-parameters on Twinning activities look to be quite prescriptive and working off a check-list. Would be good to think about how to get institutes to plan activities more deliberately and meaningfully instead of being driven by the promise of additional funding for more activities accomplished.
    a. Decided to calculate average based on top 7
6. Weightage for 1.2 ATUs
    a. F = 15%
    b. A and B = 20%
7. Weightage for 1.3 ATUs
    a. E = 15%
    b. B and C reduce by 5%
8. Weightage for 1.3 institutes
    a. E = 15%
    b. F = 10%
    c. B = 10%
9. Sub-parameters for Effectiveness of funds utilization
    a. "modern" HR system
    b. Also, how to make sure that systems are used and not just developed?
10. Sub-parameters for AICTE mandate (ATUs) –
    a. Specify that trainings/reforms be carried out in private institutes as well not just "affiliated" institutes

Annex 5: Activities and Implementation Arrangements

Affiliating Technical Universities (ATUs)

A key feature of TEQIP III is explicit support to ATUs under Component 1.2, with the objective of spreading TEQIP's reforms to all the engineering colleges in a state. Through ATUs, the project could reach the remaining 90-95 percent of colleges, all operating in the private sector. While funding ATUs in all focus states, TEQIP III also funds three ATUs in well-performing states, with the objective of forging twinning relationships between both sets of ATUs.

The team made field visits to understand whether ATUs were meeting project objectives and to identify areas where more attention was needed.[4] ATUs are doing well in terms of the following project activities: implementing the AICTE 10-point mandate; reaching out to private unaided colleges; initiating examination reforms; and providing Wi-Fi within the ATU campus. They are not doing well in terms of making the most of twinning arrangements; procurement; research hub activities; MIS; and having equity action plans and environmental safeguards in place. Furthermore, ATUs face a serious shortage of faculty, which limits their effectiveness.

Institutional performance

There are 91 institutes and 10 ATUs under TEQIP III that are from focus states. Out of 91 institutes in focus states, 78 institutes have been twinned with 1.3 institutes and 13 institutes have been twinned with IITs. Joint action plans have been prepared by 71 institutes.

In general, twinning arrangements at these institutes have made satisfactory progress, however, there was concern regarding mismatch of academic calendars which institutes said were hindering scheduling some activities among the institutes. It was agreed that peer to peer learning and sharing of resources should be encouraged. Twinning arrangements were still at the nascent stage for some ATUs. This was due to a few reasons, i) difficulty in responsiveness from focus state ATUs; ii) challenges with distance; iii) lack of prioritization of twinning activities from both institutes. A higher weightage for twinning activities has been proposed for 1.3 institutes in the performance audit.

NPIU has conducted several workshops on the AICTE mandate at the institutes and ATUs. In addition, trainings were offered on FM, PFMS, and PMSS at five different locations. Similar trainings have also been offered by the SPIUs. Four service providers for GATE training have been empaneled by NPIU. Similarly, service providers have also been empaneled for skills training, employability test and Wi-Fi.

It was agreed that Performance Benchmarking of institutes and ATUs will commence after this JRM.

At the next JRM, institutions and ATUs will be assessed based on benchmarks (see main text)

Improving student outcomes

The JRM reviewed progress on four studies supported under TEQIP III:

- *Stanford-led Student Learning Assessment of Technical and Higher-Order Thinking Skills*
  In April 2018 the Stanford team shared a first-set of results in a closed-group briefing with MHRD, key policymakers and academics, and also briefed the Minister for Education on the study and results from the baseline survey. Reports with baseline results have been shared with students and institutes showing summaries of performance compared to the national average. The endline survey is planned for February through April 2019. Alongside this study, Stanford

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[4] The team visited four ATUs, with two in focus states and two in well-performing states: Arya Bhatta Knowledge University (Bihar); Dr Babasaheb Ambedkar Technical University (Maharashtra); Rajiv Gandhi Proudyogiki Vishwavidyalaya (Madhya Pradesh); and Vishvesvaraya Technological University (Karnataka). In MP and Karnataka, the team also visited private colleges to gauge whether ATUs were reaching these colleges effectively.

will also help build capacity at AICTE for similar work. Trainings with AICTE are scheduled for Sept-Oct 2018.

- *Behavioral Interventions*
  A small-scale experimental study is being carried out in 2 TEQIP institutions (ICT Mumbai and BVB Hubli) to identify behavioral barriers that impede successful transition among engineering students. Results from the study are expected by October 2018.

- *Tracking employability*
  A random sample of TEQIP III institutes will be selected for the study. Employers recruiting recent graduates from these institutes will be surveyed using the satisfaction instrument developed and utilized during TEQIP II.

- *Faculty Study*
  A study to better understand reasons for high levels of faculty vacancies and turnover in engineering colleges will be undertaken as part of the project. This is a serious challenge faced by engineering institutions across the country and the study will help identify possible solutions and action plans for filling vacancies. The ToRs for the study have been issued and consultants shortlisted. The study is scheduled to be completed by February 2019.

Improving faculty performance
From the NPIU-organized centralized recruitment of faculty, a total of 1,225 new faculty members were hired in 33 disciplines from a pool of more than 13,437 applications. These applicants were properly vetted by independent selection panels across 20 NITs. Within the new cadre of faculty members 24% hold a PhD degree, 16% are female, and 30% are OCB/SC/ST. States with the greatest numbers of contract faculty are: Rajasthan (24.5%), Bihar (17%), Madhya Pradesh (15.8%) and Jharkhand (15.5%).

All new teachers participated in an intensive induction program offered at IITs covering pedagogy, research and development, and information about TEQIP III. An online survey to track contract faculty performance is conducted on a quarterly basis. The most recent survey shows that 62% of students are either very satisfied or satisfied with the new teachers. Feedback is also collected from faculty on a limited basis, which includes some grievances around the lack of adequate facilities, limited cooperation from institutional authorities, no awarding of leave for attending training programs, and limited support for research activities. NPIU has taken some action in direct response to feedback from faculty members, but a more formalized mechanism is still needed.

Thus far, many focus states have expressed appreciation for the central recruitment mechanism, and colleges that previously had almost no faculty now have some in place. However, there is still no formal commitment to extend their contracts beyond the TEQIP III project timeline and no concerted effort to promote teaching and learning innovations and research collaboration.

Good governance
IIMs have been incorporating the Good Governance tenets into their training programs and have established trainings for specific audiences as indicated in the last Aide Memoire. To date they have only conducted training for senior faculty members. Some of the issues raised were around low attendance, age/seniority of participants, and how to attract leaders such as principals/directors/BoG members. It is important to continue the momentum of the Good Governance program, and encourage leaders of these institutes to take governance seriously. One lingering concern is that in some focus states, the BoG chair is a Minister. The WBG team encourages MHRD to push for BoG composition to follow UGC and AICTE norms, so that approvals are made quickly and that the institution is not unnecessarily influenced by external factors.

The World Bank team also reviewed the performance auditing metrics, and proposed some revisions. Namely, there seems to be some overlap between the performance parameters (for example,

improvement in teaching, learning, improving faculty productivity, AICTE mandate) and more thinking is required to see how this can be resolved. It is also important to not use the forms as a checklist but rather a way to ensure that institutions take on reforms that promote genuine quality improvements.

Implementation arrangements

There has been good progress made on SPIU staffing, with a SPA in each SPIU (except Himachal Pradesh and Uttarakhand where interviews have been scheduled). Nodal officers have also been appointed in all states except Madhya Pradesh (interviews underway).

Annex 6: Environmental Management and Social Safeguards

Environmental Management and Safeguards

The mission visited Dr. Babasaheb Ambedkar Technical University (BATU) at Lonere, Maharashtra on July 20, 2018. Discussions were held with the Vice Chancellor (VC) - Prof. Vilas Gaikar, TEQIP Coordinator and other faculty members associated with the project. This annex provides a summary of key observations made during the visit and recommendations based on it.

Background: BATU was established as an ATU in 2014 but a VC was not assigned until 2016 which is when ATU activities formally began. To begin with, about 69 private technical colleges were affiliated to BATU. This number has now gone up to 100 colleges. All colleges currently affiliated are private, unaided. In this academic year, 6 new government colleges are likely to apply for affiliation to BATU. The university has 8 teaching departments in engineering and technology with about 2500 (UG, PG and PhD) students and is spread over a campus of 500 acres. The student strength across the affiliated colleges (engineering and technology only) is about 10,650.

Site Observations: From the perspective of environment, health and safety (EHS) aspects, the following key observations were made:

1. The building and other infrastructure in the institute was found to be in poor condition as maintenance could not be taken up for the past several years because of paucity of funds.
2. Housekeeping of the hostel was over-all satisfactory but for some pending issues of repair/ maintenance. The toilets and sanitary facilities were found to be clean. The coolers were cleaned by the staff of the hostel on a regular basis and an AMC is in place for the filters. However, the cleaning of the overhead tank was still to be undertaken.
3. While no major littering was observed in the campus, the over-all waste management system in the campus can be improved significantly. This includes dealing with e-waste, waste from laboratories and that from hostels/mess.
4. The built infrastructure currently doesn't cater to the needs of physically challenged faculty/ students.
5. Recently, maintenance works have been initiated. The hostels are being repaired on a priority basis because of leaking roof/ceiling. Mangalore tiles are being replaced with permanent ceiling but inclined roof is being maintained considering high rainfall in Western Ghats region.
6. Testing of drinking water is carried out every year by the Chemical Engineering Department.
7. The university wants to install solar panels but currently doesn't have funds to do so.
8. The university has a library spread over approx. 5000 sq.ft. The lighting, ventilation and the seating arrangements have been properly planned. There is also additional space for expansion of the library.
9. The individual departments have laboratories. The team visited the Mechanical Engineering laboratory which had purchased CNC machine during an earlier phase of the program. Availability of some additional space in the laboratory would have made the demonstration to the students effective. Stains of past spills were observed in front of some of these machines.
10. During the discussion, the mission was informed that some of the machines procured under TEQIP I and II had gone out of order due to fluctuation in voltage from the electrical supply mains. It was also mentioned that the university is facing shortage of funds for repair of the machines.
11. Wifi is currently available but not campus-wide. Jio has been contracted for this and some delays are faced due to concerns raised by Forest Department on laying down fiber cables.
12. To encourage research activities at BATU and affiliated colleges, the university proposes to invite research proposals that will be competitively selected and partially funded by the university.
13. Regarding the innovation hubs, the VC informed that the university has decided that it would fund projects which has appeal to the industry or have a larger appeal to the society or the causes of environment, are bankable and scalable. The students in the final year have been asked to take up such projects. He also informed that the same instructions have been passed on to the colleges

affiliated with the technical university. However, as of now no such projects have been proposed/submitted by students.

14. The university also informed that it has entered into a partnership with Centre for Chemical Process Safety (CCPS) of the American Institute of Chemical Engineers and all their online courses are available to the students free of cost. However, the students of Chemical Engineering were only interested to undertake a few modules (3 out of the 16 modules) of the course. The main reason cited for not undertaking the full course is the lack of motivation in students and that the training was being suggested as an additional/optional course.

15. During the site visit, it was observed that the construction and demolition debris have been left behind by the contractor and have not been disposed of. Though no civil works were in progress at the time of this visit, material and equipment staking/storage and debris were lying scattered. Construction management, including health and safety aspects requires attention.

16. The university doesn't have a proper emergency response/disaster management system in place. This includes fire safety, which can be strengthened to go beyond current installation of some fire extinguishers.

17. It was good to note that the university has created check dams for water recharge with help from Rotary Club, a practice that can be replicated in other institutes.

Recommendations: Based on assessment made during the site visit and subsequent discussion with NPIU at Delhi, the mission recommends the following:

1. The institute needs to designate an Environmental Coordinator to carry forward monitoring, coordination and follow-up on issues pertaining to environment, health and safety. The name and contact details should be formally communicated to NPIU.

2. A regime/plan for annual maintenance of buildings and associated infrastructure needs to be formulated and implemented. This requires regular ear-marking/allocation of funds for repair/ maintenance. Without this, the quality of learning and teaching environment is affected adversely.

3. Protection equipment such as surge protectors, machine guards, occupational health safety equipment, spill control and waste disposal mechanism (as relevant) should mandatorily be in-built or purchased with the equipment. Without these, either the equipment gets damaged or issues of health and safety crop-up.

4. In the absence of AMC, the functionality of the equipment/machine (often costly and necessary for learning) is hampered. Therefore, all equipment procured under the project should have an Annual Maintenance Contract beyond the warranty period.

5. Waste management system needs to be streamlined – this should include proper collection and disposal of e-waste, laboratory waste and battery waste.

6. Construction management, including proper storage of materials, worksite safety practices (for students/faculty and workers), labour related aspects, proper disposal of debris/wastes and site clean-up needs to be enforced. (for details refer Civil Works-EMF checklist)

7. Even though guidelines for developing innovative projects have been formulated, little progress has been made towards development of such proposals – this activity needs to be followed-up through various means.

Social Safeguards

The overall social safeguards performance of the project continues to be rated as **Moderately Satisfactory**. On the positive side, NPIU has recently finalized baseline questionnaire on equity/ social safeguards; compiled data on SC/ST and female students for 75 colleges of 160 colleges. Data for the remaining institutions is being collected. The baseline will be shared with all the institutions in the focus as well as non-focus states by August 3, 2018 and subsequently, data will be compiled and analyzed by NPIU by September 30, 2018. In addition, appointment of EAP coordinators in 75 institutions is complete.

The area that require close attention and action concerns: (i) the timely preparation of Equity Action Plans (EAPs) by the participating institutions, (ii) furnishing the EAPs to the NPIU and Bank for review and comments, (iii) their adoption/disclosure, and (iv) taking necessary measures to ensure compliance with the requirements of EAPs. The Bank team and the MHRD/ NPIU discussed this concern and agreed to organizing regional workshops to support institutions in finalizing institution specific EAPs. The focus of EAPs is to improve inclusion outcomes through increased retention, and employability through ensuring quality education and improved graduation rate for students from SC/ST categories disaggregated by gender. These broadly include conducting diagnostic tests, improving non-cognitive and soft skills including communication and presentation skills, bridge courses to improve technical and spoken English and various other context-specific initiatives.

The project is expected to support construction work, if any, only on government owned land which is free of squatters, encroachers, and any disputes. Consequently, the certificate to confirm that land being free of squatters will be filled out and attached with site specific plans for all construction work under TEQIP. For all the planned new construction/ refurbishment activities, NPIU was advised to include labor management plans in the bidding documents, and share with the bank prior to approval.

Citizen Engagement
Several initiatives are planned under TEQIP to better engage with students and faculty members. These include: (i) detailed student, faculty, and non-teaching staff satisfaction survey to measure the level of satisfaction about the teaching and learning environment in colleges, including gender aspects; (ii) employer's feedback to gauge effectiveness and efficiency of the project interventions; and improving meetings of the Governing Bodies (which is also a DLI). These satisfaction surveys are to be conducted at the start, mid and end of the project; NPIU has already collected information from student and faculty and analysis is underway and will be shared with the Bank once complete.

Grievance Redressal Mechanism (GRM)
Another area for improvement is appropriate provisions for GR. The project is expected to set-up a fair and transparent grievance redress mechanism (GRM) to redress the grievances of the affected people (students, faculty, non-teaching staff etc.) associated with TEQIP. The GRM is to be open to all project beneficiary, regardless of the nature of their complaint and needs to be gender responsive, culturally appropriate, and readily accessible to the concerned people at no costs and without retribution. Following structure is proposed under the project: At the top, there is to be an Independent Grievance Redress Panel comprising representatives from Ministry of HRD, representatives of NPIU and SPIU. At the national level, the NPIU will be responsible for redressing grievances in the context of overall project. NPIU will depute a Grievance Redress Officer (GRO) to monitor and document the GRM process. At the state level and institution levels, the EAP coordinator will be responsible for redressing people's grievances in the context of IDP. Once established, the NPIU is to publicize the Grievance Mechanism to Stakeholders.

Annex 7: Financial Management

The mission would like to compliment NPIU, SPIUs and all the participating institutes for their efforts in implementing Public Financial Management System (PFMS) for transfer of project funds to the last utilization level. All the participating institutes are now accessing project funds through PFMS with higher transaction level efficiency. There is also real-time support extended by NPIU and PFMS team along with multiple trainings for smooth operations. However, there remain some bottlenecks which are being addressed in mission mode. Key focus areas are: (i) dedicated real-time help desk to be established by Punjab National Bank (PNB); (ii) application of digital signature only by signature holder; (iii) analysis of persisting challenges of repetitive nature; (iv) streamlining system of payment alert messages; etc.

On other fiduciary arrangements like staffing, accounting, internal controls, audits, etc at the SPIU and participating institutes level, the mission observed considerable progress since last mission. The Finance and Procurement manual has been duly finalized and disseminated to all PIUs. However, considering the multiplicity of spending/executing agencies, and diverse capacities across these agencies, there is a persistent need for observing standardized financial and accounting procedures and controls to maintain integrity of the financial information generated under the project. For specific attention are: (i) Nodal Accounts & Finance officer should have relevant domain knowledge and participating institute should have at least one dedicated accounts and finance officer; (ii) Un-committed balance in institute's TEQIP III bank account should be transferred to four fund accounts at the end of each fiscal year; (iii) computerized proper books of accounts should be maintained by all participating institutes; (iv) Internal and statutory auditors needs to be engaged on priority basis; and (v) establish training hubs and develop need based training plans giving regard to the PIUs specific training request and the observations highlighted by the auditors.

FM Performance Rating: The mission observes substantial progress since the last mission however, there remain desired action for streaming fiduciary arrangements under the project. Hence, the performance rating continues to be Moderately Satisfactory.

Annex 8: Status of Agreements from the 1st JRM

No.	Action Proposed in 1st JRM	Action Taken
1.	Meeting performance benchmarks for 1st JRM	- As DLIs were under restructuring, Performance benchmark as such were not decided. - However, the funds were provided to the institutions based on extent of compliance to the instructions by NPIU/MHRD
2.	UGC should issue letters to confirm renewal of autonomy where applicable, at the earliest.	- NPIU has requested UGC through a letter to confirm renewal of Autonomy. - UGC is conducting regular visits to the institutions who have applied for renewal for Autonomy.
3.	In states with statutes that do not support UGC autonomy for colleges that had performed well under TEQIP I and II, NPIU should prepare a plan of action to identify mechanisms to incorporate these colleges as they could serve as good add-on 1.3 colleges.	Considering non-autonomous institutes as a mentor institute has already been denied by MHRD.
4.	NPIU should prepare a plan of action to address recognition for TEQIP coordinators, such as credits.	- NPIU has issued Certificate of Appreciation to all TEQIP coordinators for their contribution during 2017-2018. - Heads of Institutions informed to consider their contribution in TEQIP while writing Annual Performance Appraisal.
5.	EdCIL to complete hiring for NPIU	NPIU itself has hired the space and signed lease agreement and also shifted to new location on 1st April 2018. Address for new location is : Copia Corporate Suites 301-302, 3rd Floor, Jasola Vihar, New Delhi – 25
6.	Complete process of recruitment for SPIUs	- The concerned State Government requested to issue the advertisement for SPA and also vacant post of Consultants (finance & academic). 8 SPAs have been recruited and process for recruitment of 3 SPAs(HP, UK, RJ) and 5 Consultants (BI, CHH, HP, J&K, MP) is in progress.
7	New consultants at SPIU to start as soon as possible	All SPIUs have become functional except Madhya Pradesh.
8	Speed up the process of procuring the project management software. Ensure that all data are migrated smoothly from old/interim systems to the new system	EdCIL has committed to deliver new PMS to GO-live by 20th July 2018. The data migration shall be ensured before accepting the delivery
9	MHRD to resolve issue of annual increments and finalize salary increments as per norm for NPIU staff	As EdCIL is reluctant to adopt the same policy of fixation which was used in TEQIP-II, Secretary (HE) has decided to intervene.
10	In non-focus states, a basic version of the SPIUs should operate with the primary objective of ensuring that activities, outputs, and outcomes in the Twinning Agreement are met, and all related supporting activities are undertaken.	MHRD has agreed to establish a basic version (compress mode) of SPIU in the non-focus States.
11.	SPIUs: SPIU appointments to be done such as to ensure consultants can join at the latest by April 20, 2018, with interviews conducted in the week of Jan 8, 2018, and SPAs to be identified by Dec 31, 2017 for each state and should take office by Jan 31, 2018. In addition, SPIU	Please refer Action Taken point no.7. The Consultant (Academic) is looking after M& E and IT.

	should have a separate person for M&E and IT, with no other additional responsibilities. A person should be identified for ensuring safeguards are in place.	
12.	A performance-based component, such as a bonus, should be included in the pay of NPIU and SPIU staff. The band should be sufficient to motivate and reward significant contributions of staff. For this to take effect, NPIU with assistance from a third-party should design a performance management system for staff of NPIU and SPIU, which outlines work plans at the start of the performance period as well as the mechanism for assessment of performance.	As fixation of NPIU staff is pending, the proposal for performance based component is not submitted to MHRD for approval.
13.	MHRD should ensure continuity of well-performing staff associated with project implementation. This is essential given the short duration of the project as well as its focus on results.	Well performing staff has been continued.
14.	Twinned institutes must develop and share long-term twinning plans that articulate their vision for the project period. Shorter-term plans can be developed based on long-term objectives. These plans should be submitted to NPIU.	A review of all partner institutes was taken during Jan-Feb 2018. 71 out of 87 institutes have submitted Joint action plan for twinning arrangements from Jan-June 2018. The Performance Audit having maximum weightage on twinning effectiveness of 1.1 & 1.3 institutions is underway.
15.	ATUs in focus and non-focus states should agree on a detailed Action Plan with quantifiable targets for their agreed upon twinning activities which would include both short and long-term activities and aiming at significant reforms at the ATUs in the focus states.	The performance audit format for 1.1 & 1.3 ATUs have been designed having quantifiable targets for each twinning activity.
16.	NPIU and AICTE should continue to monitor TEQIP institutions on how they are implementing the AICTE mandate, and provide technical support as needed.	NPIU has conducted following activities to ensure proper implementation of AICTE mandate: 1. AICTE mandate has been properly explained in sensitization workshop for Principals and TEQIP Coordinators on 21-22 July 2017. 2. Sensitization Workshops on each of the mandates (induction programmes, accreditation and Start-up) have been conducted individually in Aug – Dec 2017 for respective coordinators. 3. The format for Action Plan has been revised incorporating each of the AICTE mandate in appropriate sub-components in Sept 2017. 1. The Mentor Consultants from NPIU have visited each of the focus state's institutions to ensure that the appropriate activity have been included in Action Plan for Oct-Dec 2017. 2. The data has been collected through Google drive to monitor the quantifiable targets achieved by institutions by the end of financial year. 3. Each of the Focus States institutions have presented their Action Plan and budget requirement for implementation of AICTE mandate for 2018-19 in regional meetings in April 2018.

		4. Awareness Workshop for Principals and NBA Coordinators on outcome based education conducted in Feb 2018. 5. NBA Experts were deputed to each of the focus states institutions for conducting 2 days OBE workshop and trained 5700 faculty in 15 Feb – 30 Mar 2018. 6. ATUs have been mandatory conduct OBE workshop for the faculty of affiliated unaided institutions. 7. AS (TE) and NPD conducted a VC meeting with all VCs of focus states ATUs for implementation of AICTE mandate on 5th June 2018. 8. NPIU has empaneled Service Providers for Industry readiness programme and employability tests. 9. NPIU has deputed subject-wise experts to each of the targets institutions for preparation and uploading of SAR. 10. . AS (TE) and NPD conducted a VC meeting with all VCs of focus states ATUs for implementation of AICTE mandate on 5th June 2018. 11. 11. NPIU has empaneled Service Providers for Industry readiness programme and employability tests 12. NPIU has deputed subject-wise experts to each of the targets institutions for preparation and uploading of SAR. 13. All ATUs and autonomous institutions have been instructed to implement the Model Curriculum from 2018-19 along with examination reforms including internship assessment. 14. Focus States institutions have been instructed to conduct 3 weeks induction training workshop for faculty mentors. 15. All ATUs have been instructed to make provision in academic calendar for 3 weeks induction programme. 16. Implementation of AICTE mandate is being monitored continuously by mentor consultants. Appropriate weightage is given for AICTE mandate in Performance Audit Reports. 17. Appropriate weightage is given for AICTE mandate in Performance Audit Reports 18.
17.	Evaluation should be incorporated into this process, both from faculty and students. For example, the effects of teacher training through the SWAYAM portal should be captured, whether through direct student feedback to the principal or by a student coordinator who compiles student feedback and submits it to the principal on a regular basis.	The progress on AICTE mandate shall be captured through newly developed MIS (PMS). Till then the feedback of faculty and students is obtained through Google form from time to time.
18.	In the design of TEQIP III there is a provision to conduct a feasibility study in year one and two that (i) examine the causes of high rates of faculty vacancies, (ii) identify solutions across states, and (iii) propose the establishment of an	Four agencies viz. TISS, ASCI, Creative Training & IIT Delhi have shown interest to conduct the study. The clarifications sought by the agencies are being provided by the NPIU.

	action plan per state for filling sanctioned positions. NPIU should commission this study by the next JRM. It is recommended that the study also include an analysis of the financial and political implications of adding assistant professors under TEQIP III.	
19.	Performance management system for faculty: IITs have developed a system dedicated to measure the performance of teachers using weighted input from students and peers. NPIU should conduct a review of the various IIT performance systems and find ways to adapt them to work with TEQIP institutions, as applicable.	IITs appraisal formats have been comprehensively has been presented before the committee. The format is finalized.
20.	NPIU should prepare a plan to address potential litigious activity that may come as a result of the centralized recruitment process.	• NPIU took services of Sr. Advocate from Mumbai having experience in service matters along with local advocate for litigations at the commencement of process. • The same process shall be adopted for future litigations. Due care is already taken by instructing institutions through Do's & Don'ts for avoiding/ minimizing litigations. • A draft report in the matter has been prepared (Enclosed).
21	NPIU should also monitor the induction for new faculty and help conduct proper awareness and training to principals in assisting with the transition.	Orientation program for more than 1200 new faculty was conducted during 15th Jan to 20th February at 7 IITs in 26 batches. The sessions included topics like pedagogy, research and TEQIP awareness.
22.	ATUs should be held accountable for their activities for all colleges under TEQIP III with clear quantitative targets and those activities should be monitored closely. Based on the ATUs Action Plans NPIU is requested to develop monitoring and evaluation indicators for each of the 10 ATUs in the focus states and share them with the World Bank.	• The ATUs have been given clear quantitative targets for conducting activities for all affiliated institutions through Performance Monitoring and Evaluation formats. The format includes effective utilization of funds, improvement in teaching and learning competence in affiliated institutions, implementation of AICTE mandates, effectiveness of equity and twinning activities with appropriate weightages. The format was shared with the World Bank and was approved. • AS (TE) along with AICTE Chairman conducted a VC meeting through conference on 5th June 2018 for sharing expectations of MHRD from ATUs. CPA deliberated on AICTE mandate and explained how it could be implemented in affiliated colleges.
23.	Establish a Coordination and Advisory Committee with representatives from each of the ATUs and selected affiliated colleges to propose, develop, and coordinate the activities to support the implementation of the AICTE mandate as well as the ATU teaching and research hub activities.	The letters have been issued to ATUs and the status shall be presented during 2nd JRM.
24.	Vice Chancellors have only one charge, to ensure a focus on institutional quality.	The letters are issued to state government.
25.	NPIU should host a Good Governance summit for principals and directors.	Good governance workshop for Principals/ Directors was held on 23rd January 2018.

26.	NPIU should enforce the deadline for submission of the Good Governance Development plans.	NPIU has received Good Governance Development Plans from BoG/ Principals.
27.	NPIU should host a Good Governance summit specifically designed for ATUs under TEQIP III, with inputs from AICTE and ATUs from TEQIP II.	Good governance workshop for Principals/ Directors/ATUs was held on 23rd January 2018.
28.	Mentors should be sensitized to the Good Governance materials during their induction training.	The sensitization workshop for mentors and auditors was conducted on 2nd June 2018; 110 experts attended the workshop.
29.	New Good Governance materials should be distributed to all TEQIP institutes through SPIUs, who should also be responsible for conducting "refresher" workshops.	Material distributed to all SPIUs.
30.	The proposed timeline for activities related to mentorship and performance auditing is: December 2017 – list of experts approved by MHRD; January 2018 – mentors assigned by NPIU; February 2018 – induction training in batches; March/April 2018 – mentors and performance auditors perform institutional visits; June 2018 – reports submitted to institution and NPIU.	Mentors and Performance Auditors assigned Performance Auditors visit institutions : July – Aug 2018. Mentors visit to 1.1 institutions : Aug-Sept 2018 Mentors visit to 1.3 institutions : Sept-Oct 2018 Performance Auditors report public: Oct 2018. System for online submission of report designed.
31.	NPIU should discuss an acceptable format with IITs for planning their annual TEQIP activities, which includes identifying goals, the needs of TEQIP institutes, timetable, and collecting regular feedback from end users.	The format has been finalized in Nov. 2017. They have submitted their action plan till June 2018 in that format.
32.	A review of successful initiatives, such as QEEE and Quality Circles, under TEQIP II should be conducted, to explore the feasibility of continuing them and making them available to new institutions.	Quality circles have been formed in January by assigning fixed 1.1 institutions along with their 1.3 partners for 9 IITs.
33.	IITs should design a system to measure the effectiveness and impact of their interventions.	Online feedbacks of the participants are being collected by each of the IITs.
34.	IIMs should provide quantitative and qualitative targets for their work plan on a semester basis.	The same method which was followed in TEQIP II i.e. work plan with quantity & quality targets is being continued. All IIMs submitted their training calendar.
35.	NPIU to inform: The varying contexts of centrally-funded institutes, state institutes, autonomous and non-autonomous colleges necessitate different approaches to training. In addition, focus and non-focus institutions demand a great flexibility in how the modules are developed and taught. The IIMs are requested to take this into consideration while delivering the PDTs.	Informed to institutions and IIMs to deliver the PDT modules in 1st lot for focus states institutions. 5 days training is being imparted to the senior faculty having administrative responsibilities. While 3 days training is being imparted to Principal/Directors and TEQIP coordinators.

36.	Good coordination between the PDTs and the Good Governance activities is essential. The IIMs should have a leading role in facilitating understanding and training of good governance. IIMs should design trainings for groups at different levels; e.g. BoG chairs who are new to their roles and have little knowledge vs. those who have already gone through the training multiple times.	IIMs were invited during Good Governance workshop. The information manual on good governance has been shared with IIMs.
37.	NPIU should determine criteria for selecting participants to attend IIM trainings, taking into consideration the aforementioned: position/role in the institution; level of knowledge; and location.	Participant are selected on the type of PDT module announced by IIMs. Criteria for selecting participants in the training are: • 5 days for Senior faculty • 3 days for Principal/TEQIP Coordinators • 2 days for Directors or Vice Chancellors • 1 or 2 days for BoG members
38.	NPIU/SPIUs should facilitate IIMs in creating online knowledge repositories which can make MCEP resources available to all TEQIP institutes. A greater focus on dissemination of learning by the participants is also required.	Online knowledge repositories have been created and available on NPIU website.
39.	IIMs should design a system to measure the effectiveness and impact of their interventions.	• Online feedbacks of the participants are being collected by each of the IIMs. • To measure the effectiveness of the PDTs, the case studies shall be conducted by IIMs.
40.	Existing MIS to be modified to include TEQIP III indicators and DLIs.	MIS has been modified to include TEQIP-III indicators and DLIs. The system is now Live and institutions have started data entry in the MIS.
41.	Collate for all PIUs key FM information: (i) finance staff; (ii) project separate bank account; (iii) Accounting software; (iv) project separate book of accounts; etc.	The information has been collated and submitted to the World Bank on 25th May 2018.
42.	Updated project FM Manual and share with the Bank for inputs.	FM Manual is finalized by the World Bank.
43.	Prepare 'Procedure Note' on preparation of Action Plans and share with the Bank for inputs.	The Procedure Note has been shared the World Bank on 10th May 2018.
44.	Prepare 'Procedure Note' on management of Advances and share with the Bank for inputs.	The Procedure Note has been shared the World Bank on 20th April 2018.
45.	Prepare format for submission of FM indicators by PIUs.	The proforma has been prepared and shared with the World Bank on 20th April, 2018
46.	Organize FM training for PIUs to Roll-out finalized FM manual.	FM training are schedule in June – July 2018.
47.	Prepare annual FM training plan.	Annual FM Training plan : 1. June/July, 2018 All institute 2. Nov./Dec., 2018 All institute 3. March/April 2019 All institute
48.	PFMS: (a) FAQs on NPIU website; and (b) need based refresher training.	FAQs and PFMS video are made available on website www.teqip.in.
49.	Finalize appointment procedure to be adopted for Statutory Auditors and Internal Auditors for all implementing agencies (IAs).	Included in FM manual.
50.	NPIU to compile student and faculty data (beneficiary) based on SC, ST and gender	The data has been compiled and shared with the World Bank.

	and share with the Bank NPIU to compile list of EAP coordinators at the institution level. NPIU to have a point person mandated with ensuring safeguards are in place.	EAP coordinators appointed in 1.1 institutions and list shared with the World Bank. Mr. Ballabh is a point person in NPIU.
51.	NPIU to organise/facilitate regional workshops (one in each region) on EAP plan and implementation in consultation with Bank (to be further discussed with SPIU social safeguards focal point, NPIU, and World Bank).	Questionnaire for baseline data developed in consultation with the Bank and shall be shared with the institute for collecting the data. Suitable dates are being decided in consultation with SPIU/ institutions regional workshops wherein institutions will be trained to develop Equity Action Plan.