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# Towards the Goal of PEHLE-UP

Project for Excellence in Higher  
Learning and Education in Uttar Pradesh

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# **Towards the Goal of PEHLE-UP**

- ▶ Project for Excellence in Higher Learning and Education in Uttar Pradesh

Centre for Research in Schemes and Policies (CRISP) is an organisation set up by a group of civil servants and those in public service with more than three decades of experience. CRISP aims to give back to society by helping governments design, redesign, and implement better schemes and policies. The organisation works with central and state governments, CSR funds, and large NGOs with sizable impact.

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I would like to express my gratitude to the Principal Secretary, officials of the UP Higher Education Department, Vice Chancellors, Registrars, and Regional Higher Education Officers for their valuable insights into the status of institutions under the UP Higher Education Department. Their assistance in facilitating connections with these institutions has been instrumental in carrying out this study.

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A special thanks to Dr. Rama Kondapalli, State Lead of Telangana and subject matter expert at NAAC, for her guidance and for helping me understand the key concepts of NAAC.

## ABOUT THE REPORT

The report consists of two sections. The first section, "National Profile for NAAC," provides a state-wise comparative analysis of NAAC-accredited institutions across the nation, with a focus on understanding the standing of Uttar Pradesh. It begins with an in-depth analysis of quantitative data, examining the percentage of accredited institutions, further analyzing the grades awarded to these accredited institutions. The study further investigates the status of institutions under the purview of the UP Higher Education Department (UP HED).

Section two delves into the criterion-wise performance of UP HED institutions. The grade sheet analysis of accredited colleges helps in the identification of critical criteria to identify issues, challenges, and harness existing potentials of these institutions. Additionally, it discusses the role of CRISP and provides suggestions and recommendations to enhance the performance of colleges, thereby improving the quality of education. It highlights the most critical areas, those requiring policy intervention, potential areas for development, and the minimum essential requirements for every institution. The study concludes with a brief guide for any institution wishing to pursue NAAC accreditation.



## PREFACE

Centre for Research in Schemes and Policies (CRISP) is working on PEHLE-UP Project under a Memorandum of Understanding with UP Higher Education Department which aims to elevate institutions in Uttar Pradesh to become centres of excellence, focusing on enhancing education quality. CRISP is working with over 500 institutions for PEHLE-UP project, handholding more than 100 institutions, having visited over 50 institutions.

Quality is paramount for institutional success, and NAAC's Assessment and Accreditation process rigorously evaluates institutions based on criteria aimed at achieving excellence in Higher Education. NAAC's grading system continually evolves to ensure robustness, with present focus on objectivity, transparency, scalability, and ICT-enablement.

This study is an endeavour to study and analyze the state-wise performance of NAAC Accredited Universities and Colleges across India, with a specific focus on Uttar Pradesh. The primary objective of this study is to comprehend the quality profile of colleges under the purview of the UP Higher Education Department. The research includes an overview of previously accredited institutions, currently accredited institutions, and aspiring institutions willing to participate in the accreditation process covering NAAC Criterion's, key Indicators. Additionally, the study employs graphical analysis and relevant statistical tools to examine criteria-wise quality parameters. This research publication will be shared with the UP HED to facilitate informed decision-making and promote quality enhancement in higher education.

This study is an effort made by CRISP to aid institutions in comprehending the overall status of Higher Education Institutions (HEIs) concerning NAAC based on data, stakeholder consultation and field observations. This may serve as guidebook for institutions to grasp probable issues, challenges, strengths, and potentials analysis will be useful in furthering the cause of quality education in the PEHLE-UP Project. It enables them to proactively address these aspects beforehand and align their institutional strategies accordingly to enhance score in NAAC Accreditation.

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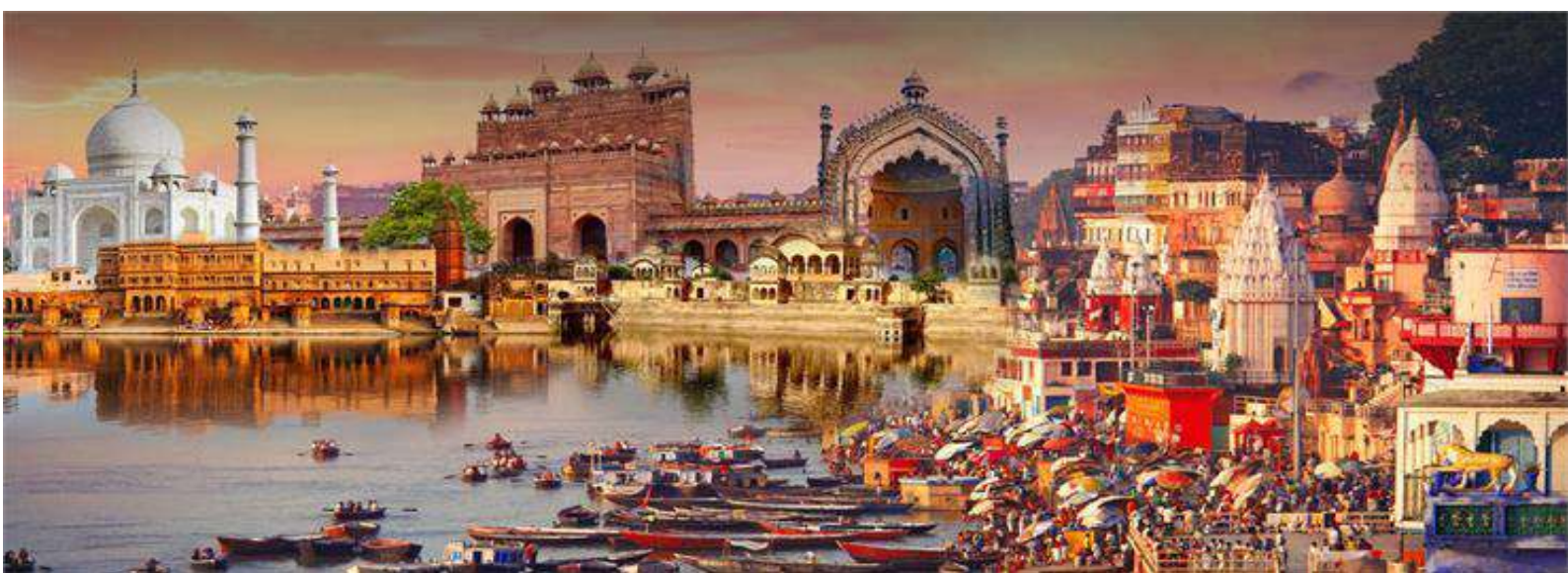
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## LIST OF ABBREVIATIONS

<i>UP HED</i>	:	<i>Uttar Pradesh Higher Education Department</i>
<i>UPSHEC</i>	:	<i>Uttar Pradesh State Higher Education Council</i>
<i>CRISP</i>	:	<i>Centre for Research in Schemes and Policies</i>
<i>PEHLE-UP</i>	:	<i>Project for Excellence in Higher Learning and Education, Uttar Pradesh</i>
<i>AISHE</i>	:	<i>All India Survey on Higher Education</i>
<i>RHEO</i>	:	<i>Regional Higher Education Officer</i>
<i>HEIs</i>	:	<i>Higher Education Institutions</i>
<i>NIRF</i>	:	<i>National Institutional. Ranking Framework</i>
<i>NAAC</i>	:	<i>National Accreditation and Assessment Council</i>
<i>IQAC</i>	:	<i>Internal Quality Assurance Report</i>
<i>SSR</i>	:	<i>Self-Study Report</i>
<i>SSS</i>	:	<i>Student Satisfaction Survey</i>
<i>IIQA</i>	:	<i>Institutional Information for Quality Assessment</i>
<i>AQAR</i>	:	<i>Annual Quality Assurance Report</i>
<i>KI</i>	:	<i>Key Indicator</i>
<i>CGPA</i>	:	<i>Cumulative Grade Point Averages</i>
<i>VAC</i>	:	<i>Value Added Courses</i>
<i>ICT</i>	:	<i>Information and Communications Technology</i>
<i>FDP</i>	:	<i>Faculty development Programmes</i>



## INTRODUCTION

Uttar Pradesh, a cradle of ancient wisdom, has shaped India's educational heritage through historic centres like Varanasi and Allahabad. Home to some of the oldest universities, including Banaras Hindu University and Aligarh Muslim University, it continues to inspire and elevate the pursuit of knowledge.

Uttar Pradesh stands as the most populous and fourth largest state in India, with the highest number of colleges (AISHE, 2021-22) in the country, spread across its 75 districts.

Given its size, location, dense population, and abundance of educational institutions, Uttar Pradesh plays a pivotal role in shaping the educational landscape of the nation.

However, amidst the abundance of institutions, the quality of education emerges as a paramount concern as only 34% of universities and less than 1% of colleges hold NAAC Accreditation, with none qualifying for NIRF Ranking. Therefore, it becomes imperative to shift the focus from mere quantity and meeting need of institutional social infrastructure to quality, aligning with the National Education Policy, 2020.

In recent years, there has been a notable emphasis on enhancing the quality of education through transparent assessments of Higher Education Institutions (HEIs), including both universities and colleges. The Government of India advocates for measures such as periodic approvals, assessments, accreditation, and ranking mechanisms like NBA, NAAC, and NIRF, in accordance with the implementation of the National Education Policy, 2020.

NAAC Accreditation standards continuously evolve to cater to the diverse needs and capabilities of various stakeholders. NAAC assess institutions rigorously for compliance with standards. NAAC emphasizes quality and regulatory adherence.

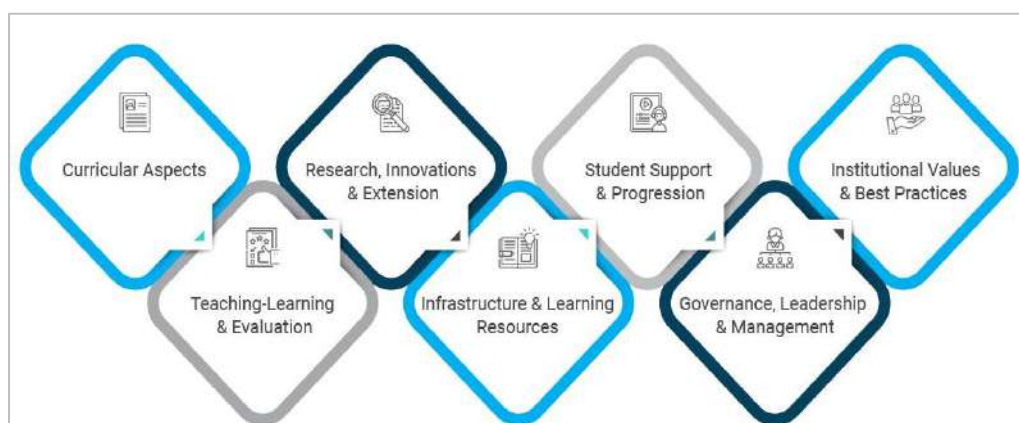
This study examines higher education institutions through the lens of NAAC accreditation through its criteria, metrics, Key indicators to emphasize on quality and excellence in higher education.



The National Assessment and Accreditation Council (NAAC) is an Inter-University Centre of University Grants Commission since 1994 that involves evaluating and accrediting higher education institutions (HEIs) across the country with its head quarter in Bengaluru. It does assessment of Higher Education Institutions at the institutional Level. To address the concern of quality and relevance of HEIs NAAC confirming with the National Education Policy, NEP, 2020. It plays a crucial role in assessing and accrediting HEIs in India, including colleges, universities, and recognized institutions. By evaluating various aspects such as educational processes, curriculum, teaching learning processes, faculty, research, infrastructure, and governance, NAAC aims to determine the 'Quality Status' of these institutions. Through a combination of self and external evaluations, NAAC strives to make quality the defining element of higher education in India. The council promotes core values among HEIs, including contributing to national development, fostering global competencies among students, inculcating a strong value system, promoting the use of technology, and encouraging a quest for excellence.

## QUALITY INDICATOR FRAMEWORK (QIF)

NAAC QUALITY INDICATOR FRAMEWORK



SOURCE: NAAC

NAAC's Assessment & Accreditation process relies on criteria-based assessment with focus on mandates of quality education such as curriculum, Teaching-Learning and Evaluation, Research, Innovations and Extension, Infrastructure and Learning Resources, Student Support and Progression, Governance, Leadership and Management, Institutional Values and Best Practices.

NAAC Provides Accreditation for a Span of five years. Accredited institutions are eligible for UGC grants, RUSA grants, financial aid, and much more. Currently NAAC follows 8-point NAAC grading system from A++ to C Grade based on cumulative grade point average (CGPA). There is a proposal to make a shift from present grading system and reforms in accreditation has been announced.



## NAAC REFORMS 2024

A series of transformative reforms are proposed to enhance NAAC accreditation, aligning with the vision of NEP 2020. These reforms aim to adopt a simplified, trust-based, and objective system for approval, accreditation, and ranking of Higher Education Institutions (HEIs). They emphasize a technology-driven approach to minimize manual intervention, ensuring transparency and integrating stakeholder inputs.

The Ministry of Education, Government of India, has approved the recommendations of the Dr. Radhakrishnan Committee on transformative reforms in accreditation. Following these recommendations, the Executive Committee of NAAC has proposed launching the reforms in two phases.

1. Binary Accreditation
2. Maturity-Based Graded Levels

## PRESENT STATUS OF NAAC ACCREDITATION OF HEIs IN INDIA

### NATIONAL PROFILE

As of May 23, 2024, a total of 6,538 higher education institutions have been accredited, including 362 universities and 6,176 colleges, according to total Number of Institutions accredited by NAAC.

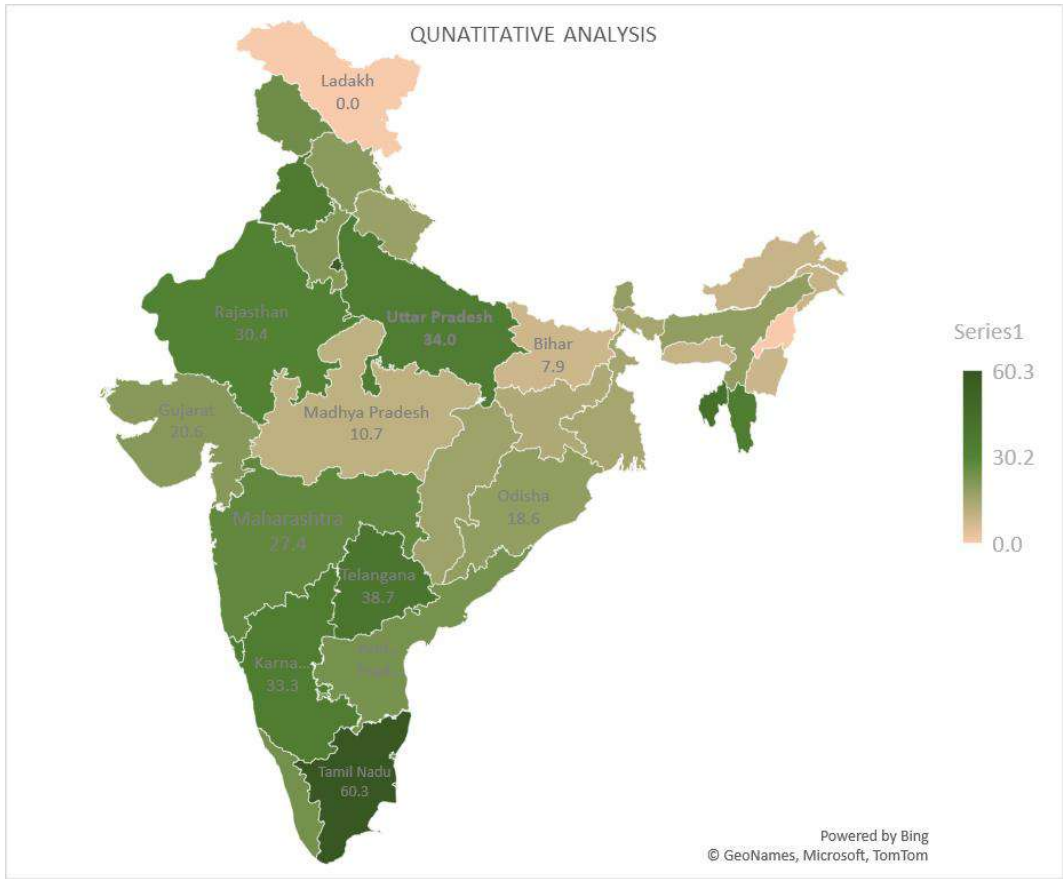
### STATE WISE COMPARATIVE ANALYSIS of ACCREDITED UNIVERSITIES

The analysis shows percentage of universities accredited, calculated on the basis of total number of universities per state as per AISHE report 2021-22 and number of NAAC Accredited Universities as per the NAAC Accreditation status and A&A dashboard till 2023.

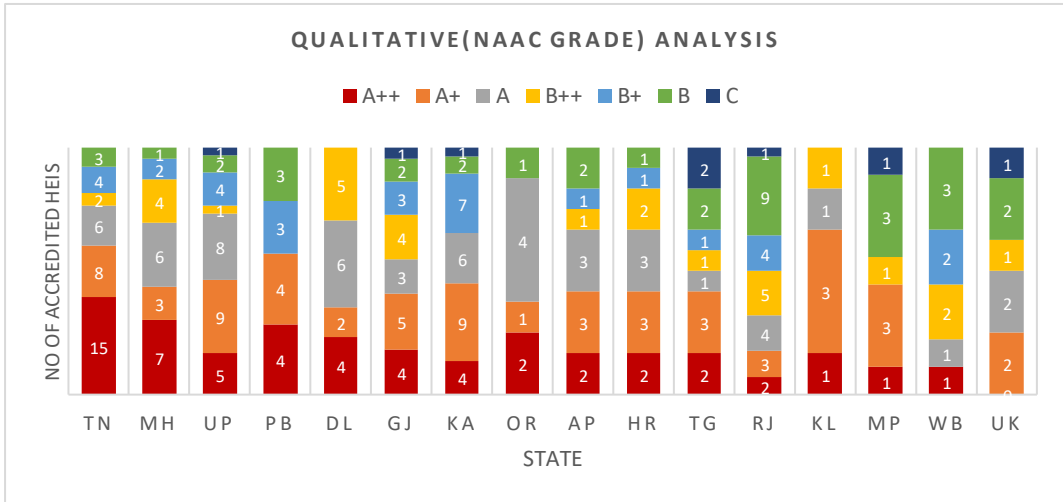
Currently, approx. 35% of universities nationwide hold NAAC accreditation. The graph and map show state wise percentage of accredited Universities.

As per the analysis Tamil Nadu, Delhi, Telangana, Punjab, Uttar Pradesh, and Karnataka lead in number of accredited universities at national level with notable contributions from Rajasthan and Maharashtra. Although Tripura, Pondicherry, and Mizoram boast high percentages, but the actual university count is below ten.

MAP 01: STATE WISE PERCENTAGE OF NAAC ACCREDITED UNIVERSITIES



GRAPH 01: STATE LEVEL GRADE WISE ANALYSIS



Source: (AISHE, 2021-22) and NAAC Accreditation Status, 2023

The figure shows the grade-wise number of accredited institutions in various states. The qualitative analysis reveals Uttar Pradesh universities arching towards excellence, with over 20 state public and private universities achieving A++, A+, and A grades.

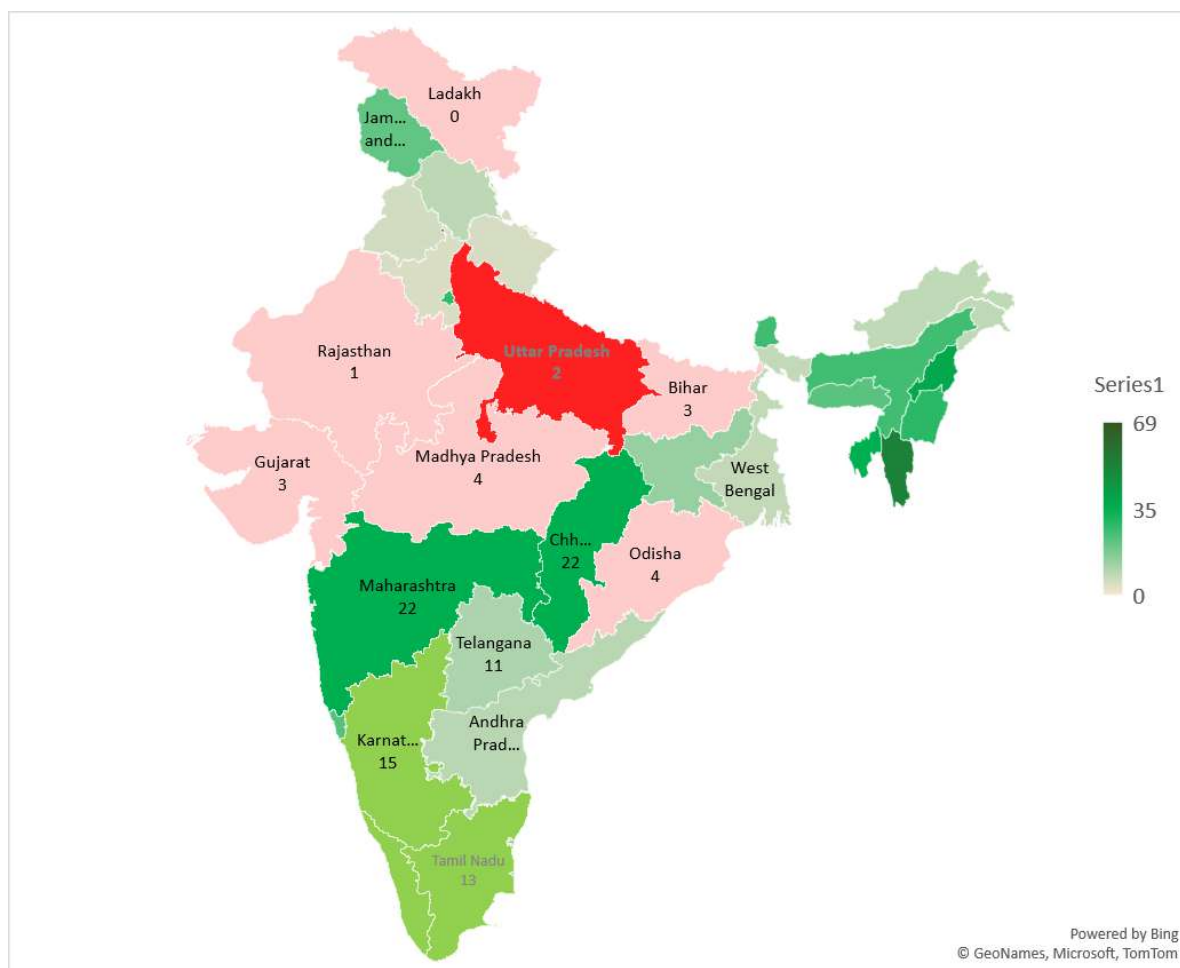
**Uttar Pradesh is among the top five states demonstrating continuous progress in university accreditation numbers. A detailed discussion on the grade-wise performance of these universities under purview of UP Higher Education Department will follow in the report.**



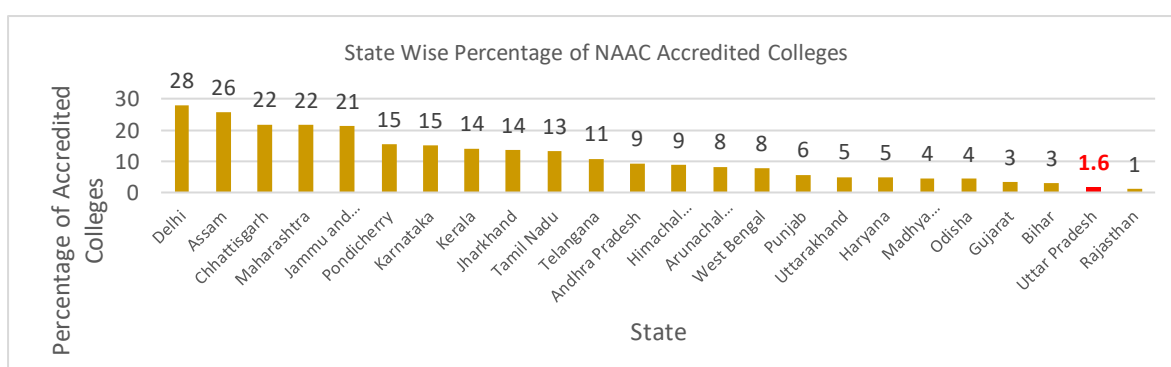
## STATE WISE COMPARATIVE ANALYSIS OF ACCREDITED COLLEGES

This analysis shows the percentage of accredited colleges calculated on the basis of total number of colleges as per AISHE, 2021-22 and number of NAAC Accredited colleges as shown illustrated in the map. Maharashtra, Delhi, Karnataka, Tamil Nadu, Kerala, and Chhattisgarh have highest number of accredited colleges.

MAP 02: STATE WISE PERCENTAGE OF NAAC ACCREDITED COLLEGES



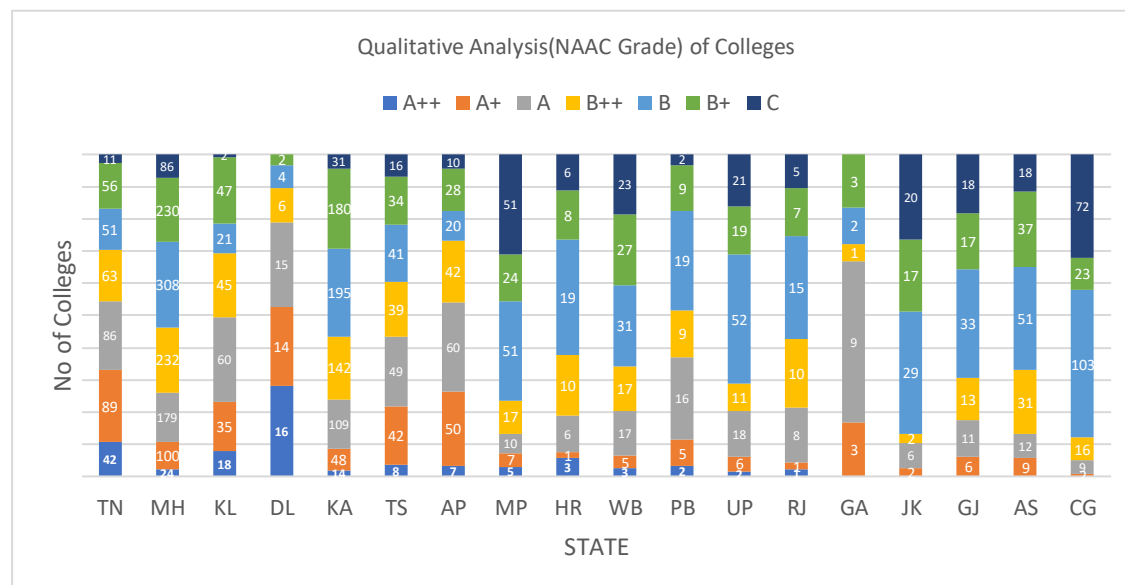
GRAPH 02: PERCENTAGE OF NAAC ACCREDITED COLLEGES



Source: (AISHE, 2021-22) and NAAC Accreditation Status, 2023

This observation takes an intriguing turn when compared to the ranking of universities, where the dynamics are notably different. On the flip side, Rajasthan, Uttar Pradesh, Bihar, and Gujarat find themselves at the lower end of the spectrum, indicating a need for improvement in accreditation standards.

GRAPH 3: STATE LEVEL GRADE WISE ANALYSIS

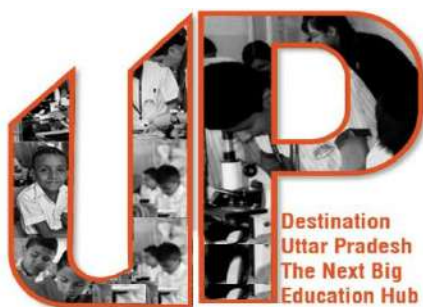


Source: (AISHE, 2021-22) and NAAC Accreditation Status, 2023

The figure shows the grade-wise number of accredited colleges in various states. As discussed above the colleges are lagging behind even in terms of quality in the state of Uttar Pradesh with less than 10 institutions with A++ and A grade leaving huge room for improvements in the HEIs of UP HED.

**Uttar Pradesh Status:** A closer examination of Uttar Pradesh reveals an interesting paradox. Though the state exhibits progressive in the realm of universities, its affiliated colleges present a contrasting scenario. With only 184 NAAC Accredited colleges affiliated with universities, there is an urgency to redirect focus and resources toward enhancing the quality standards of these affiliated institutions.





# UTTAR PRADESH: HIGHER EDUCATION PROFILE

Uttar Pradesh is most populous and fourth largest state in India. The state has 75 districts with the capital being Lucknow. The state has 9 regions subdivided into 18 divisions.

Focusing on the Higher Education, as per Governments All India Survey for Higher Education (AISHE) 2021-22 Uttar Pradesh (8375) has highest number of number of colleges in country followed by Maharashtra and Karnataka. Uttar Pradesh has the highest student enrolment followed by Maharashtra and Tamil Nadu.

*Thus, UP plays a pivotal role in shaping educational landscape. This places state in spot where its size, location, population and abundance of institutions serves as strength. However, these factors also pose significant challenges in maintaining the quality of education in the state.*

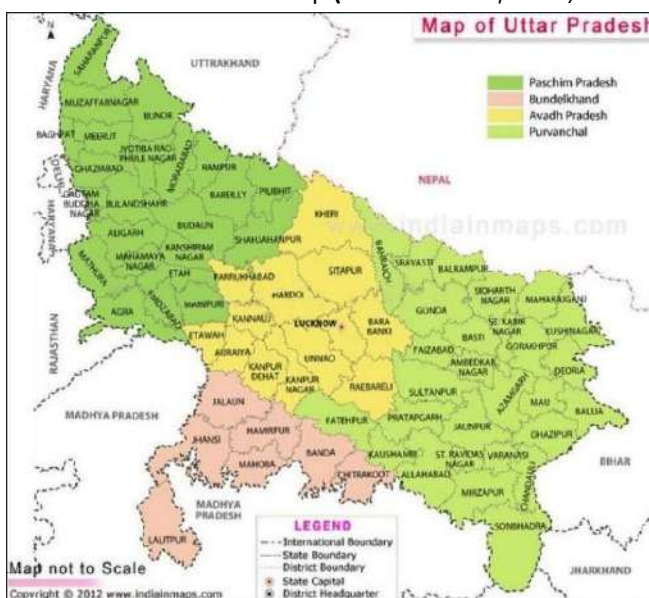
As per AISHE 2021-22, State is home more than 90 Universities with 91 universities registered on AISHE, including 6 Central, 11 institute of National Importance, 32 State Public, 31 State Private universities, 01 state open university. In Uttar Pradesh, there are 8114 Colleges and for every one lakh population there are 32 Colleges. Among this there are approximately. 5625 Self-Finance, 690 Aided and 812 Government colleges in UP.

***Though there are abundance of institutions currently 34% universities and less than 2% Colleges are NAAC Accredited, with no college qualifying for NIRF Ranking.***

This highlights an alarming disparity, indicating that while UP meets the demands for social infrastructure in education, the overarching issue remains the quality of education within the state. The Gross Enrolment Ratio (GER) of UP stands at 23.2, slightly lower than the national GER of 27.3. Specifically, the GER for SC is 20.1, lower than the national average of 23.1, while the GER for ST is remarkably high at 42.0, surpassing India's 18.9. Notably, UP's GER has shown a positive trend, increasing from 22.4 in 2016-17 to 23.2 in 2020-21. However, the pupil-teacher ratio for UP in 2020-21, at 37 for all institutions (universities and colleges in regular mode), is considerably higher than the national average of 24. Addressing both GER and pupil-teacher ratio is imperative for the state's educational improvement.

Education is pivotal for state development, requiring a balance between quantity and quality. Given that Uttar Pradesh already excels in quantity, the pressing need of the hour is to channel efforts towards enhancing qualitative aspects.

MAP 3: UP State district map (Source: indiamaps.com)





## UP HIGHER EDUCATION DEPARTMENT (UPHED)

UP Higher Education Department (UPHED) consists of UP Higher Education Service Commission located at Prayagraj, and UP Higher Education Council located at Lucknow, UP. There are 65 total Universities of these there are 22 State Public Universities, 01 Deemed University, 01 Open University and 41 State Private Universities. There are 171 Government Colleges, 331 Government Aided and more than 7000 Self-Finance under purview of UP Higher Education Department.

This report specifically focuses on the NAAC accreditation of colleges that fall within the purview of the Uttar Pradesh Higher Education Department (UPHED). Institutions with programs in technical education, management, pure law, nursing, medical, pharmacy, dental are excluded from this study and do not fall under the purview of UP HED and PEHLE-UP project.

## NAAC ACCREDITATION STATUS OF UNIVERSITIES, UP HED

This section addresses the quantitative and qualitative status of NAAC accreditation for universities. There are 65 universities under the Uttar Pradesh Higher Education Department (UPHED). Of these, 3 State Public Universities and 4 State Private Universities became part of the UP Higher Education Department in 2024. Currently 21 Universities holds NAAC Accreditation.

**NAAC Eligibility Universities:** To meet NAAC eligibility criteria and apply for the Assessment and Accreditation (A&A) process with NAAC if they have either graduated at least two batches of students or have been in existence for a minimum of six years, whichever criterion is met first.

Table shows distribution of universities with accreditation status under purview of UP Higher education Department and their accreditation status.

TABLE 1: ACCREDITATION STATUS OF UNIVERSITIES, UP HED

S.NO	Type of Institution	Total Number Universities UP HED	Accredited Universities UP HED	Percentage
1	UP State Universities	22	7	32%
2	UP State Private Universities	41	12	29%
3	Deemed University	1	1	100%
4	Open University	1	1	100%
		65	21	32%

Source: NAAC Accreditation Status, 2024

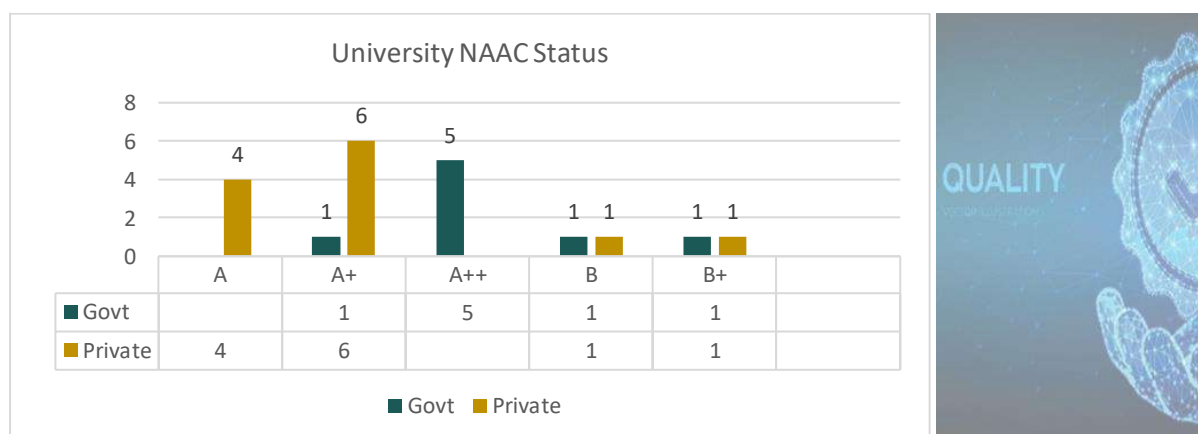
*Note: Currently, six state public universities established in 2021 or later are not eligible for NAAC accreditation. Additionally, fifteen state private universities do not meet the eligibility criteria for NAAC accreditation. This makes a total of 21 universities not eligible out of the 65 universities under UP HED.*

Uttar Pradesh has made significant strides in NAAC participation among its universities. According to UP HED, all eligible state public universities are either accredited or in the process of applying for subsequent cycles, achieving nearly hundred percentage participation among government institutions. However, the participation rate among state private universities remains low, reducing the overall participation rate. Consequently, there is a pressing need to encourage private universities to actively engage in the NAAC accreditation process to elevate overall quality standards.

## GRADE-WISE DISTRIBUTION OF ACCREDITED UNIVERSITIES UP HED

Notably, Uttar Pradesh state universities have demonstrated exceptional performance. The graph shows the NAAC Accreditation Grades of State Public and Private Universities

GRAPH 4: GRADE WISE DISTRIBUTION OF ACCREDITED UNIVERSITIES



Source: NAAC Accreditation Status, (A&A Dashboard), 2024, NAAC Website

There has been a significant improvement in NAAC accreditation grades for the state universities of Uttar Pradesh over the past two years, attributable to the sincere and dedicated efforts of key stakeholders, particularly the Hon'ble Chancellor.

The visionary leadership provided by the Hon'ble Chancellor, alongside university heads and the Institutional Quality Assurance Cell (IQAC) team, has been instrumental in driving this positive trajectory and elevating the overall educational landscape of these institutions. An IQAC team comprising 18 members has been established at each university, organized according to specific criteria. Their collaborative initiatives, strategic planning, and focused approach toward meeting accreditation standards reflect a shared commitment to continuous enhancement in the quality of education offered by these universities.

## NAAC ACCREDITATION STATUS OF COLLEGES OF UP HED

In Uttar Pradesh, out of over 8,500 colleges, only 184 are accredited, representing approximately 2% of the total. The situation is even more concerning for colleges under the jurisdiction of the UP Higher Education Department, where fewer than 100 colleges hold NAAC accreditation. Which shows limited participation by colleges in NAAC.

**Participation in subsequent NAAC cycle:** Another significant issue is the participation of colleges in subsequent NAAC accreditation cycles after completing at least one cycle, which adversely impacts the overall participation rate in the state. According to NAAC data, 574 institutions that completed at least one cycle did not proceed to subsequent cycles. Stakeholder consultations highlight several reasons for this trend:

1. **Lack of Incentives:** Both monetary and non-monetary incentives are inadequate, particularly for self-financing institutions.
2. **Management and College Willingness:** Some institutions lack the commitment and readiness of management and colleges to undergo the accreditation process.
3. **Reluctance to Pay Accreditation Fees:** There is resistance among institutions to bear the costs associated with accreditation.
4. **Complexity of Accreditation Process:** Many institutions find the accreditation process challenging and time-consuming.
5. **Limited Understanding of NAAC:** There is a significant gap in conceptual understanding of the NAAC accreditation criteria and procedures.

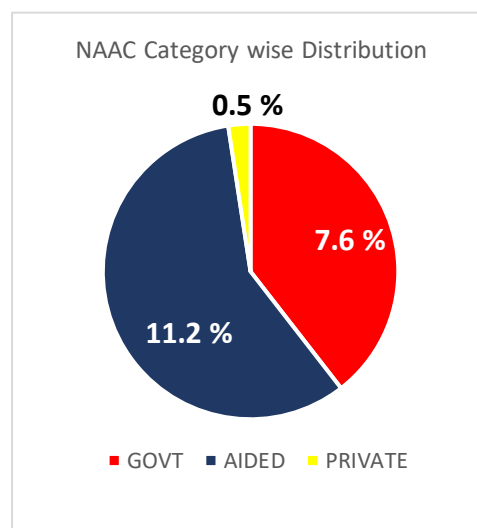
There exists a dual challenge: motivating colleges that have never participated in NAAC to engage in the process, and encouraging previously accredited institutions to participate in subsequent NAAC cycles.



Total 184 colleges are currently accredited in the state of Uttar Pradesh



Of these less than 100 colleges (Approximately 88) Colleges are accredited under purview of UP Higher Education Department



SOURCE: NAAC WEBSITE, (A&A DASHBOARD), 2024

For execution of PEHLE-UP project and as per the current road map and action plan of the project it is essential to understand the distribution of NAAC-accredited higher education institutions (HEIs) across different categories is crucial for assessing overall quality and performance. As earlier mentioned Under UP Higher Education Department there are 171 government colleges, 331 aided colleges, and approximately +7000 self-financed colleges affiliated with state public universities. However, the accreditation rates vary significantly:

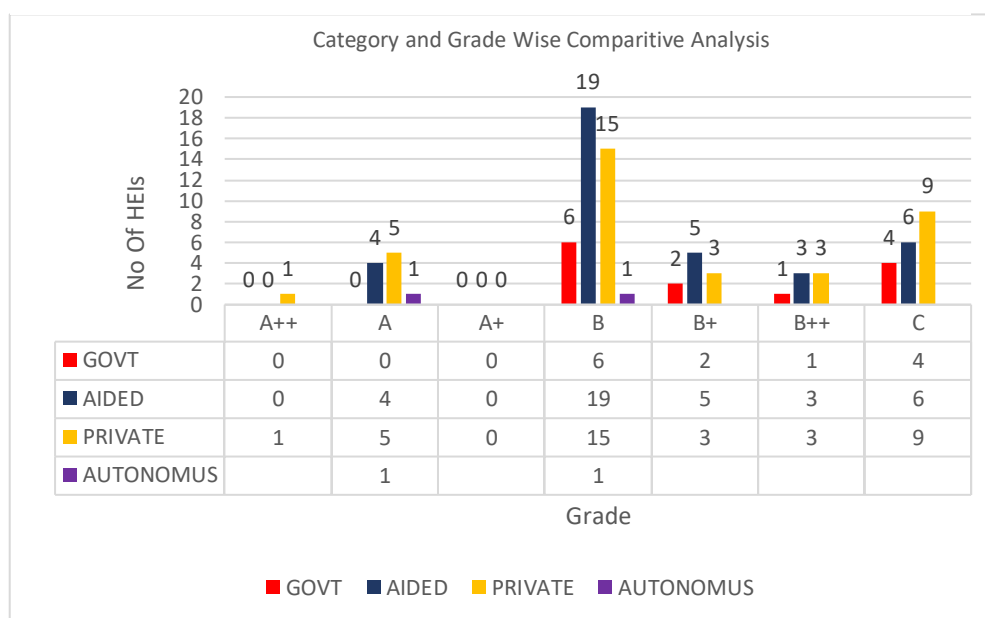
- Only around 8% of government colleges are accredited.
- Approximately 12% of aided colleges have accreditation.
- A mere 0.5% of self-financed colleges are accredited under the Uttar Pradesh Higher Education Department.

These disparities highlight the need for targeted interventions across all categories to improve accreditation rates and enhance the quality of education in the state.

## GRADE WISE DISTRIBUTION OF ACCREDITED COLLEGES UP HED

The NAAC Grade serves as a comprehensive indicator of the overall quality and performance of educational institutions, reflecting their adherence to established standards and benchmarks in higher education. The graph below shows the comparative analysis of category wise that is Government, Aided and Self-Finance colleges covering NAAC Grade from A++ to C. As we already know we have 88 NAAC Accredited and more than 500 HEIs which were previously accredited under UP HED.

GRAPH 6: QUALITATIVE ANALYSIS OF ACCREDITED HEIS

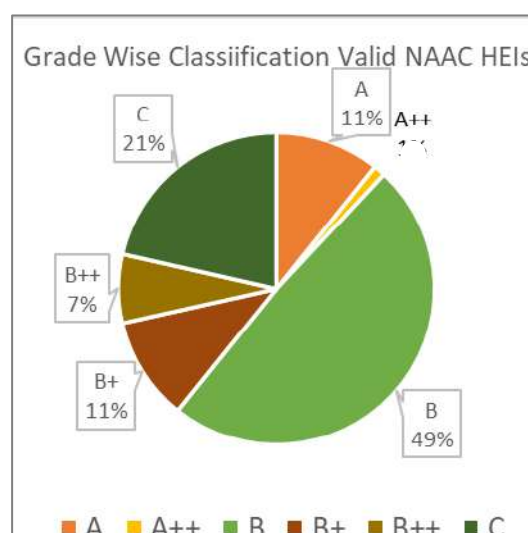


SOURCE: NAAC WEBSITE, (A&A DASHBOARD), 2024

The analysis indicates following outcomes.

- Out of 171 government colleges analyzed, only 13 are NAAC accredited. None of these currently hold an A grade, indicating a critical need for enhancing quality standards. The majority fall into the B and C categories, underscoring the urgency for substantial improvements in government institutions.
- Notably, Shri Ram College in Muzaffarnagar, Meerut, stands out as the only college achieving an A++ accreditation status, making it a potential candidate for recognition under NIRF as well.
- Aided institutions show more active participation in accreditation compared to government and private counterparts.
- Private and autonomous colleges generally exhibit better grades compared to government and aided institutions, although participation among private institutions remains low.
- As indicated in graph 49% of higher education institutions are graded as B, followed by 21% with grade C, underscoring the need for concerted efforts to elevate institutional standards and promote a culture of excellence across the board.
- Among the 88 accredited institutions, 45 participated in their first NAAC cycle, while 26 completed two cycles, 14 underwent a third cycle, and only one institution

GRAPH 9: UP HED NAAC ACCREDITED HEIS





completed four cycles, emphasizing the importance of sustained accreditation efforts and continuous quality improvement initiatives for long-term institutional development.

- Based on the analysis of previously accredited institutions, approximately 9% of HEIs have attained an A grade from NAAC, while 71% have been graded as B. Additionally, around 7% are categorized under the B+ and B++ grades, with the remaining institutions graded as C. This trend reflects a concerning lack of improvement in college performance, which persists to the present day.

## Issues and Challenges

Based on responses from stakeholders' possible reasons for lack of participation includes.

### 1. Lack of Motivation

- **Unclear Benefits:** Many institutions do not perceive clear benefits from NAAC accreditation.
- **Awareness:** There is a need for concerted efforts to raise awareness and demonstrate the advantages of accreditation.

### 2. Limited Recognition

- **Government Recognition:** Institutions, particularly colleges, feel they receive limited recognition from the government.
- **Monetary and Non-Monetary Benefits:** The perceived lack of financial and non-financial incentives or consequences diminishes motivation.

### 3. Financial Constraints

- **High Fees:** The high cost of NAAC fees poses a significant barrier for many institutions.
- **Complexity and Time-Consumption Intricate Process:** The accreditation process is complex and time-consuming, deterring participation.

### 5. Insufficient Understanding

- **Accreditation Criteria:** Many institutions lack a comprehensive understanding of the accreditation criteria and procedures.
- **Need for Guidance:** There is a pressing need for detailed guidance and training on the accreditation process.

### 6. Shortage of Infrastructure Resources and Human Resource Shortages

### 7. Lack of Management Support

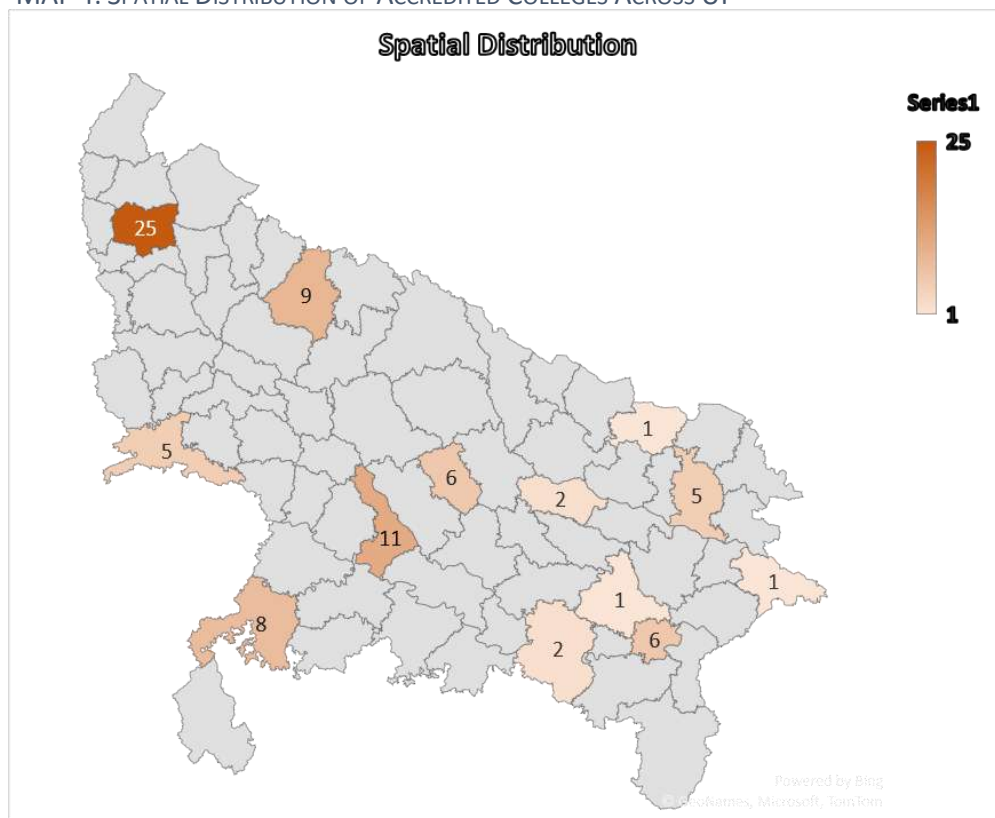
- **Support Issues:** Insufficient support from management further hinders participation.
- **Unwillingness to Participate:** There is a general unwillingness among management to engage in the accreditation process.

## Spatial Distribution of Accredited HEIs

One of the most prominent issues is the concentration of institutions in only a few locations. As shown in the map below, just 15 of the 75 districts have a significant number of higher education institutions (HEIs). These include approximately 25 HEIs in Meerut, 11 in Kanpur, 9 each in Bareilly and Jhansi, and 5-6 each in Lucknow, Gorakhpur, Agra, and Varanasi. Additionally, accredited institutions are present in Ayodhya, Prayagraj, Ballia, Saharanpur,

Siddharth Nagar, and Jaunpur. Notably, most universities are located in these areas. Beyond these locations, there is a lack of affiliated institutions.

MAP 4: SPATIAL DISTRIBUTION OF ACCREDITED COLLEGES ACROSS UP



SOURCE: NAAC WEBSITE, (A&A DASHBOARD), 2024

The similar trends can be observed in University Wise distribution of affiliated colleges.

### NAAC Colleges profile Affiliated Colleges to Universities

The university-wise affiliated colleges highlight the initiatives taken by universities to promote excellence among their affiliated institutions. The 86 NAAC accredited colleges mentioned above are affiliated with various universities and are distributed across 9 Regional Higher Education Offices (RHEOs), 18 divisions, and 75 districts. The table below shows the spatial and university-wise distribution of accredited universities.

**Lack of Accreditation of Affiliated Institution:** The table below illustrates this distribution, highlighting areas with higher activity such as Meerut, Kanpur, and Prayagraj, Jhansi. However, none of the University have even 10% affiliated colleges NAAC Accredited.

*It's noteworthy that despite being an A++ graded Universities, like the University of Lucknow, located in the capital city with a prime location, has a relatively low number of NAAC accredited institutions. Similar pattern can be observed in other A++/A Graded Universities like CCSU. This indicates a significant disparity in the quality of education between the University and its affiliated colleges.*



**TABLE 2: DETAILS OF CATEGORY WISE ACCREDITED COLLEGES, UPHEd**

	RHEO	District	University Name	University GRADE	GOVT	AIDED	PRIVATE	Total
1	Meerut	Meerut	Choudhary Charan Singh University	A++	4	13	7	24
2	Kanpur	Kanpur	Chatrapati Shahuji Maharaj Kanpur	A++	1	3	7	11
3	Bareilly	Bareilly	M.J.P. Rohilkhand University	A++	3	3	3	9
4	Jhansi	Jhansi	Bundelkhand University	NA	1	2	5	8
5	Lucknow	Lucknow	University of Lucknow	A++	0	3	3	6
6	Gorakhpur	Gorakhpur	Deen Dayal Upadhyay Gorakhpur	A++	0	4	1	5
7	Agra	Agra	Dr. B.R. Ambedkar University	NA	0	3	2	5
8	Varanasi	Varanasi	Mahatma Gandhi Kashi Vidyapeeth	C	3	1	1	5
9	Ayodhya	Ayodhya	Dr Ram Manohar Lohia Awadh	B	0	1	1	2
10	Prayagraj	Prayagraj	Prof. Rajendra Singh University,	NA	1	0	1	2
12	Gorakhpur	Ballia	Jananayak Chandrashekhar University, Ballia	NA	0	0	1	1
13	Meerut	Shararanpur	Maa Shakumbhari University, Saharanpur	NA	0	0	1	1
14	Varanasi	Varanasi	Sampurnanand Sanskrit Vishwavidyalaya	NA	0	1	0	1
15	Gorakhpur	Siddharth Nagar	Siddharth University	NA	0	1	0	1
16	Jaunpur	Jaunpur	VBS Purvanchal University	A+	1	0	0	1

SOURCE: NAAC ACCREDITATION STATUS, NAAC WEBSITE, (A&A DASHBOARD), 2024

**Previously Accredited Institution:** As earlier discussed there approximately 500 colleges who did not went for NAAC reaccreditation a brief analysis shows that highest number of previously accredited institutions are located at Meerut (35%), Agra (13%), Lucknow (12%), Varanasi (10%) and Kanpur (10%) of the previously accredited colleges. And affiliated to CCSU, Meerut, Dr. BR Ambedkar University, University of Lucknow, Chatrapati Shahuji Maharaj Kanpur University, Mahatama Jyotiba Phule Rohikhand University, Bareilly.

**There is an urgent need for universities to take initiatives to push their affiliated/autonomous/associated colleges towards excellence.**

## Inferences

**Disparity between University and Colleges:** In Uttar Pradesh, two notable trends have emerged: firstly, universities are demonstrating commendable performance in NAAC assessments, indicative of their high quality and status, while affiliated colleges are lagging behind, performing below average standards. Secondly, there is a concentration of colleges in prominent urban canners like Meerut, Kanpur, Agra, and Lucknow.



**Spatial Concentration:** This spatial disparity underscores the need for targeted interventions to enhance the quality of education, particularly in regions with limited educational infrastructure. Addressing these issues is vital for ensuring equitable access to quality education across the state. As per our visits the affiliated colleges at Faizabad and Jaunpur had conceptual clarity but action and response of HEIs from these areas is very limited.



While the above analysis provides a quantitative overview of spatial distribution based on RHEO, University, and district, it's imperative to delve deeper into the quality of both accredited and previously accredited institutions. The NAAC Grade serves as a crucial indicator in this regard, offering insights into the overall quality and institutional performance.

## CONCLUSION

The analysis conducted offers a comprehensive overview of the higher education accreditation landscape, with a particular focus on the Uttar Pradesh Higher Education Department (UP HED). While strides have been made in certain areas, the findings reveal a nuanced picture of challenges and opportunities that demand strategic attention and concerted efforts.

Primarily, while Uttar Pradesh has made commendable strides in accrediting universities, it is evident that there is still a pressing need to improve the participation rate, even among universities. However, a stark contrast emerges when examining the accreditation status of affiliated colleges. This glaring difference underscores the urgent necessity for targeted interventions aimed at uplifting the standards of these colleges. discrepancy underscores the imperative for targeted interventions aimed at elevating the standards of these institutions, ensuring equitable access to quality education across the state. Moreover, the concentration of accredited colleges in urban centers highlights the pressing need for a more inclusive distribution of educational resources, addressing regional disparities effectively.



Furthermore, the analysis uncovers various challenges impeding the accreditation process, including motivational barriers, financial constraints, and limited institutional understanding of accreditation methodology. There is an urgent need to improve entire ecosystem related to data, data collection, management and presentation. To surmount these obstacles, concerted efforts are required to raise awareness, provide necessary support, and streamline accreditation procedures, fostering greater participation and success rates among colleges.

Additionally, the qualitative examination based on NAAC grades underscores the necessity for tailored interventions in government institutions to enhance their quality standards, thereby fostering parity in educational excellence across sectors. The limited yet promising participation of private institutions underscores the potential for excellence and emphasizes the importance of adopting best practices to enhance overall standards.



In conclusion, while Uttar Pradesh has made notable advancements in higher education accreditation, there exists considerable scope for improvement. By implementing targeted strategies, targeting quality mandates of education and addressing systemic challenges, Uttar Pradesh can continue its trajectory towards excellence in higher education, contributing significantly to the broader educational landscape of the nation.



## **SECTION B**

### **NAAC CRITERION WISE ANALYSIS**

**INSTITUTIONS OF UTTAR PRADESH HIGHER EDUCATION DEPARTMENT**

**COLLEGES (GOVERNMENT/AIDED/PRIVATE)**

## INTRODUCTION

The study focuses on assessing the status of institutions under the purview of the UP Higher Education Department, particularly regarding accreditation like NAAC and rankings like NIRF. Institutions undergo rigorous evaluation to ensure adherence to guidelines and required standards through criteria and parameters outlined by NAAC. NAAC's emphasis on quality and excellence in higher education allows institutions to showcase their ability to meet regulatory requirements.

The analysis delves into the performance of higher education institutions through the NAAC Accreditation and Assessment (A&A) Process and its requirements. Assessment of institutions occurs through seven criteria and their qualitative and quantitative metrics devised by NAAC. The report specifically focuses on the *quantitative metrics* of the Self-Study Report in assessing institutions.

These quantitative metrics are designed to foster student and faculty growth, promote social welfare, encourage innovation and skill advancement, facilitate networking, support extracurricular activities, and promote institutional infrastructure development and ICT advancement. The analysis covers NAAC criteria, key indicators, and metrics to identify institutional strengths, potentials, and pressing issues and challenges.

### Basis of the study

The assessment of Higher Education Institutions (HEIs) is based on 7 key criterions: Curricular Aspects, Teaching-Learning and Evaluation, Research, Innovations, and Extension, Infrastructure and Learning Resources, Student Support and Progression, Governance, Leadership, and Management and Institutional Values and Best Practices. In the revised framework, emerging issues have been included, covering both academic and administrative aspects. Key indicators further delineated as metrics have been identified under each criterion. Details of these criteria have been discussed in section or document reference] in the document.

## METHODOLOGY

The study is based on a comprehensive approach involving CRISP Survey format, Stakeholder Consultation, Field Observations, and analysis of NAAC institutional CGPA. It includes a brief examination of Institutional Assessment and Accreditation, referencing Grade Sheets published on the NAAC website, which display Cumulative Institutional Grade Point Averages (CGPA) based on Criterion-wise Grade Point Averages.

The objective of this analysis is to assess the criteria-wise performance of currently NAAC Accredited institutions. The CGPA is categorized into NAAC grades ranging from A++ to C, covering Government, Aided, and Private institutions. The analysis is summarized in a tabular format. While this analysis helps identify critical criteria and key indicators broadly, a

response-based study conducted by CRISP delves deeper into on-ground performance of key indicators and matrices.

SURVEY FORMAT DESIGNED BY CRISP, SOURCE: CRISP



### CRISP Survey Format

Though the above analysis focuses on active NAAC accredited institutions but the know the current status of new and previously accredited institutions going for NAAC it is necessary to understand on ground status of the colleges under UPHED. With this objective a Survey format is designed by CRISP-UP team to collect baseline data to know about Quality Profile of Institutions. Survey questioners is designed to collect basic information about the institution like name AISHE ID, Location, University, Affiliation, Management Category. It is designed based on the Criteria of NAAC Accreditation, NIRF Parameters and other projects of PEHLE UP Project. It is divided into 6 sections General Information, Academic Profile, Student, Teacher Profile, Research, Extension & Outreach and Infrastructure & Learning Resources. Survey response has been collected from Government, Aided and Self Finance institutions under preview of UPHED.

**Engagement with the Colleges:** CRISP is working with over 500 institutions on the PEHLE-UP project, providing support to more than 100 institutions for accreditation. We have visited over 50 Government, Aided, and Self-Financed colleges across Uttar Pradesh. These visits have allowed us to gain a thorough understanding of the ground realities, enabling us to closely identify the issues and challenges faced by these institutions which has helped us to establish this study.

### Stakeholder Consultation

Further, the study also involves key stakeholder feedback, discussions, and responses. The stakeholders range from key decision-makers such as the Principal Secretary of the UP Higher Education Department, heads of the UP Higher Education Department in Prayag raj and Lucknow, Regional Higher Education Officers (RHEOs), NAAC Experts, Vice-Chancellors, Registrars, Principals, IQAC Coordinators, to Faculty members, among others.

## Grade Sheet Analysis of Accredited colleges

All the accredited colleges are awarded Cumulative Grade Point Averages (CGPA) for the seven-assessment criterion. For every accredited institution, on the NAAC website on A&A dashboard details are available on current assessment information such as IIQA Information, SSR information, PEER Team Report along with Grade Sheet as shown below in the snapshot from the NAAC website.

The screenshot displays the NAAC A&A Dashboard. At the top, the NAAC logo and name are visible. Below the header, the 'A&A DASHBOARD' title is centered. A 'Previous Accreditation Details' link is on the right. The 'Basic Search' section contains several filters: 'Institution Type' (dropdown), 'Select State' (dropdown), 'Select Cycle' (dropdown), 'A&A Status' (dropdown), 'Institution Sub Type' (dropdown), 'Date Range' (text input), and 'Search By Institution Name/Aishe Id/Address' (text input). A 'Show Details' button is located below the search filters. The 'Institution Details' section shows a table with columns: SI NO, HEI Name, Aishe Id, Address, State, Date, and View Details. The table contains one entry for 'SUNBEAM COLLEGE FOR WOMEN, BHAGWANPUR, LANKA, VARANASI'. A 'Show 10 entries' link is on the left, and a 'Search:' text input is on the right.

SI NO	HEI Name	Aishe Id	Address	State	Date	View Details
1	SUNBEAM COLLEGE FOR WOMEN, BHAGWANPUR, LANKA, VARANASI	C-13652	Sunbeam College for Women 205 Bhagwanpur Lanka Varanasi Varanasi 221005	Uttar pradesh	11-10-2022	<a href="#">View</a>

Source: NAAC Website ([https://assessmentonline.naac.gov.in/public/index.php/he\\_i\\_dashboard](https://assessmentonline.naac.gov.in/public/index.php/he_i_dashboard))

A sample of presently 27 NAAC Accredited institutions under preview of UP Higer Education Department has been selected following Stratified Sampling. The basis of selection is NAAC Grade ranging from grade A++ to grade C and for various categories Government, Aided, and Self-Financed Institutions.

The primary objective of this analysis is to discern the performance of institutions across various criterions, aiming to identify issues, challenges, potentials and strengths. Detailed descriptive statistics of criteria wise analysis is shown below in the table.

IIQA Submitted Date	28/09/2023
IIQA Status	Approved
SSR Submitted Date	02/01/2024
SSR Status	Final Grade Declared

Current Assessment Information

IIQA Information:	<a href="#">Click Here</a>
SSR Information:	<a href="#">Click Here</a>
Peer Team Report:	<a href="#">Click Here</a>
Grade Sheet:	<a href="#">Click Here</a>



TABLE 3; CATEGORY WISE CGPA WISE ANALYSIS

Category	Grade	CGPA	Criterion 01	Criterion 02	Criterion 03	Criterion 04	Criterion 05	Criterion 06	Criterion 07
PRIVATE	A++	3.56	3	3.65	3.09	3.91	3.79	3.34	3.86
AUTONOMOUS	A	3.17	3.67	3.31	2.46	3.49	2.44	2.89	3.62
AIDED	A	3.07	2.5	3.12	3.12	3.58	3.19	2.72	3.09
AIDED	A	3.09	3.4	2.93	3.08	3.51	2.83	2.92	3.37
AUTONOMUS	A	3.2	3.35	3.4	2	3.61	3.11	2.93	3.58
PRIVATE	A	3.14	3.1	3.27	2.01	3.43	2.93	3.43	3.48
PRIVATE	A	3.04	3.45	2.86	3.1	3.61	3.31	2.37	2.92
PRIVATE	A	3.02	2.5	2.78	3.33	3.73	2.73	3.03	3.77
PRIVATE	B++	2.97	3.2	2.92	1.95	3.46	2.96	3.21	3.27
AIDED	B++	2.96	3.3	2.79	2.99	3.08	2.69	2.5	3.76
GOVT	B++	2.91	2.6	3.35	3.53	2.97	1.5	2.67	2.85
AIDED	B++	2.76	2	3.04	2.48	2.64	2.68	2.86	2.92
GOVT	B+	2.71	3.25	3.02	2.32	1.5	2.43	3.27	2.6
GOVT	B+	2.67	1.85	3.16	2.14	3	1.75	2.78	3.2
PRIVATE	B+	2.58	3.55	2.49	2.9	3.33	2.31	2.05	1.79
AIDED	B+	2.53	1.95	2.74	2.5	2.63	3.24	1.84	2.02
GOVT	B	2.07	1.56	2.61	1.47	2.26	1.21	2.05	2.07
GOVT	B	2.45	1.8	2.85	2	2.1	2.14	2.23	3.2
GOVT	B	2.44	2.05	2.66	2.05	2.58	2.25	2.68	2.38
GOVT	B	2.2	2.65	2.72	2.47	1.94	0.85	1.8	2.08
GOVT	B	2.19	1.85	2.9	1.68	1.6	0.89	2.19	3
AIDED	C	1.99	2.44	2.33	1.49	2.39	0.83	1.7	2.25
GOVT	C	1.58	1.13	2.34	0.38	1.66	1.17	1.52	1.03
GOVT	C	1.8	0.8	2.63	1.41	1.5	0.64	1.48	2.5
GOVT	C	1.76	1.5	2.56	0.84	1.53	1.09	1.53	1.53
GOVT	C	1.67	1.5	1.92	1.1	1.44	2.03	1.3	1.68
GOVT	C	1.64	1.61	2.16	0.85	1.8	0.39	1.76	1.7
			66	76.51	58.74	72.28	57.38	65.05	73.52

Source: NAAC Website (NAAC A&amp;A Dashboard, Current Assessment Information, 2024)



## KEY OBSERVATIONS

Special measures are needed for Criteria 3 and 5, followed by Criteria 1 and 6. Although Criteria 2 and 7 are performing well, a detailed key indicator and metric-wise study is required to understand their intricacies.

TABLE 4: SUMMARY OF CGPA

Grade	Average	Mean	Minimum	Maximum
Criteria 01	65.56	2.44	0.80	3.67
Criteria 02	76.51	2.79	1.92	3.65
Criteria 03	58.74	2.05	0.38	3.53
Criteria 04	72.28	2.63	1.44	3.91
Criteria 05	57.38	2.25	0.39	3.79
Criteria 06	65.05	2.37	1.30	3.43
Criteria 07	73.52	2.85	1.53	3.86



Source: NAAC Website (NAAC A&A Dashboard, Current Assessment Information, 2024)

## NAAC CRITERION WISE ANALYSIS

As already discussed, this analysis is based on survey format response by affiliated colleges, field observations and stakeholder consultation.

## CURRICULAR ASPECTS

Curricular aspects form the foundation of educational institutions, with responsibilities differing based on administrative standing. It evaluates an institution's practices in offering diverse, trend-aligned programs, addressing local needs, and emphasizing career orientation, multi-skill development, feedback systems, and stakeholder involvement in curriculum.

### Key Indicator Performance

The Average of Key Indicator Wise Weighted Grade Points of current NAAC Accredited institutions indicates. Low performance in academic flexibility and Feedback system which indicates we need to draw our focus on value added courses, online MOOCs. There is a need to prepare a robust feedback system specifically for curriculum by engaging all the stakeholders. Further there is an average performance in curriculum enrichment.

TABLE 5: PERFORMANCE OF ACCREDITED COLLEGES UNDER UP HED ON CURRICULAR ASPECTS

Key Indicator Title	Brief Description	Performance
Curricular Planning and Implementation	Academic Calendar and continuous internal assessment	Average
Academic Flexibility	Add on/Certificate/Value Added Courses and Online MOOCs, SWAYAM, NPTEL	Low
Curriculum Enrichment	Project/Field/Internship by Students	Average
Feedback System	Stakeholder Feedback on Curriculum (Student, Teacher, Employer, Alumni)	Low

Source: NAAC Website (NAAC A&A Dashboard, Current Assessment Information, 2024) & Baseline Survey Data

Affiliated Colleges can only focus on implementing curricula, while Universities shape and update them, defining program outcomes. So affiliated colleges can work make it effective by following Universities Academic calendar and conduction of continuous internal assessment. Autonomous Colleges share curricular responsibilities.

#### Academic Flexibility

#### MOOC/SWAYAM/Value Added Courses

Students' exposure to online MOOCs provides opportunities for academic flexibility and multidisciplinary knowledge. Technology-driven education (Ed-tech) is a prominent aspect of the PEHLE-UP Project, including online MOOC courses like Swayam and NPTEL, promoting tech-driven education.

- Colleges face challenges in comprehending the concept of value-added courses, and despite conducting such courses, many fail to document the records, creating a critical issue of data deficiency.
- Overall student participation in online tech-driven education, including platforms like NPTEL, SWAYAM, and other MOOCs, is hindered by low awareness and motivation.
- Course fees may pose a barrier, especially in government and aided colleges.

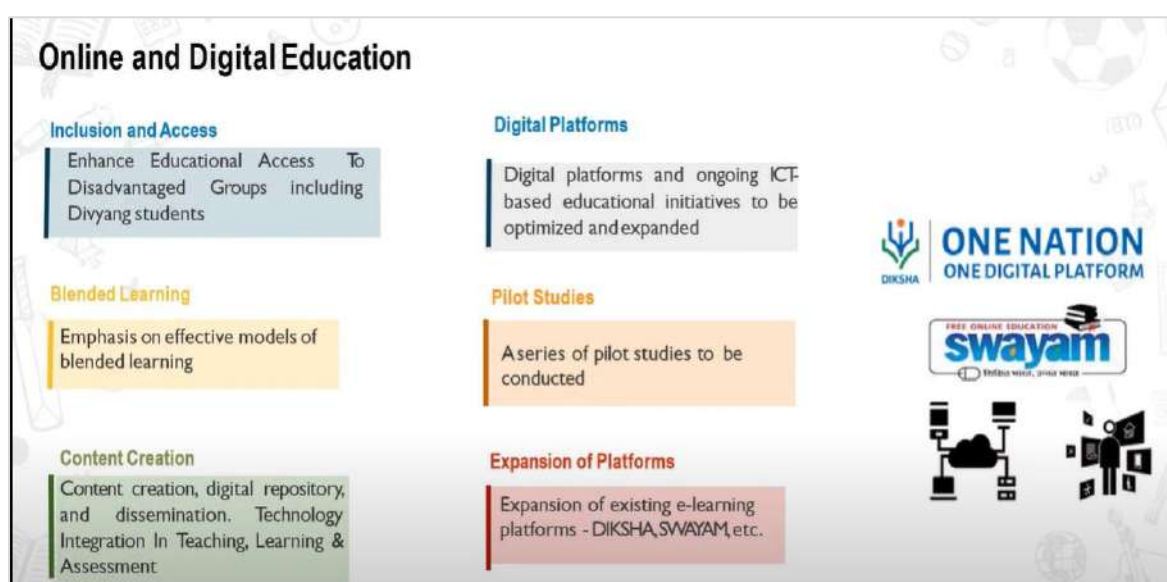
Students' exposure to online MOOC provides them opportunity to academic flexibility and Graph shows performance of colleges in MOOC, SWAYAM, NPTEL and value-added courses of 25 colleges under UP HED.

As per the data response from 30 baseline survey data submitted by institutions approximately hardly 10 institutions have conducted more than 05 courses and as per NAAC benchmarks at least 1 course is required to score 25% weightage, maximum 15 courses to get 50% weightage and clearly maximum institutions are unable to fulfil these benchmarks hence needs critical interventions.



Understanding Concept of Value-Added Courses: *As per standard operating procedure by NAAC any non-credit course with minimum 30 hours duration which either add on/certificate/value added programs shall be considered.*

Value Added Courses shall also be considered equally important along with Swayam and NPTEL, while online MOOC involves registration fee for exam, Value added courses can be solely run and monitored at institutional level. It will provide students multidisciplinary exposure and make them market ready.



Curriculum Enrichment: Students undertaking project work/field work/ internships

- College projects and internships are crucial for students' practical learning and real-world exposure, fostering critical thinking. These experiences significantly contribute to graduates' professional development and employability.
- The college performance in terms of project work, fieldwork, and internships is once again subpar. Students tend to engage in these activities only when mandated by the curriculum.
- Furthermore, colleges offer exposure through internships, there is a lack of proper data and record-keeping. This gap in documenting student participation in practical experiences raises concerns about the overall effectiveness of the programs in fostering hands-on skills and real-world application of knowledge.



## Suggestions

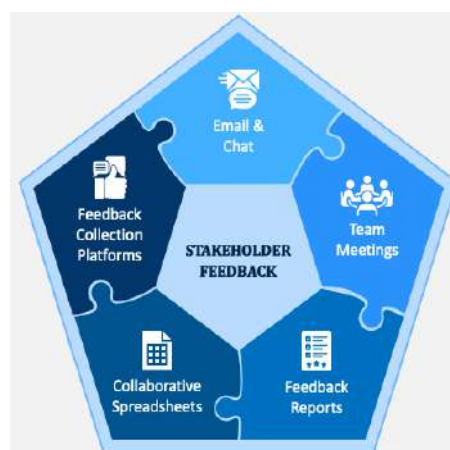
- **Institutional Framework:** Implement a policy to streamline project and fieldwork processes, ensuring proper data documentation and management for all activities.
- **Internship Encouragement:** Encourage students to pursue internships during semester breaks, beyond curriculum requirements, and maintain comprehensive records of their experiences.
- **Student Committee:** Establish a committee to enhance industry networking and promote innovation, while systematically tracking and analyzing student involvement and outcomes.
- **Data management, documentation and networking**



## Feedback System

Feedback and action taken report based on feedback is required along with curriculum from various stakeholders such as Students, Teachers, Employers, Alumni etc. and action taken report on the feedback.

- A persistent lack of clarity regarding the importance of precise feedback for curriculum development leads to confusion about essential contributors.
- This ambiguity often results in misconstrued input, with feedback solely from students and faculty being considered, neglecting a broader perspective on the curriculum.
- Moreover, inactive **alumni networks** impede comprehensive feedback collection, affecting diverse perspectives, including that of employers.
- The struggle to obtain employer feedback is compounded by an absence of access to employer details. Additionally, the current students' insufficient understanding of the curriculum hampers feedback practices.
- Many colleges further neglect the systematic gathering and documentation of feedback, and even when collected, fail to produce mandated action-taken reports on their websites.



## Suggestions

**Design of Survey Formats:** Feedback forms shall be designed for all the stakeholders (Students, Teachers, Employers, Alumni) as required.

**Stakeholder Feedback** shall be collected, analysed and its action taken report shall be uploaded on the website.

**Alumni Network:** It is must to have an active registered alumni network to get feedback from Alumni, Employers.

## TEACHING, LEARNING AND EVALUATION

It evaluates an institution's commitment to diverse student engagement through effective teaching methods, emphasizing interactive instructional techniques like interviews, group discussions, debates, projects, and the use of ICT resources. Additionally, it assesses faculty adequacy, competence, and ongoing professional development, alongside the efficiency of methods employed for continuous evaluation of both teachers and students' performance. As already discussed, this is highest scoring criterion for colleges with high performing metrics.

**TABLE 6:** PERFORMANCE OF ACCREDITED COLLEGES UNDER UP HED ON TEACHING, LEARNING AND EVALUATION

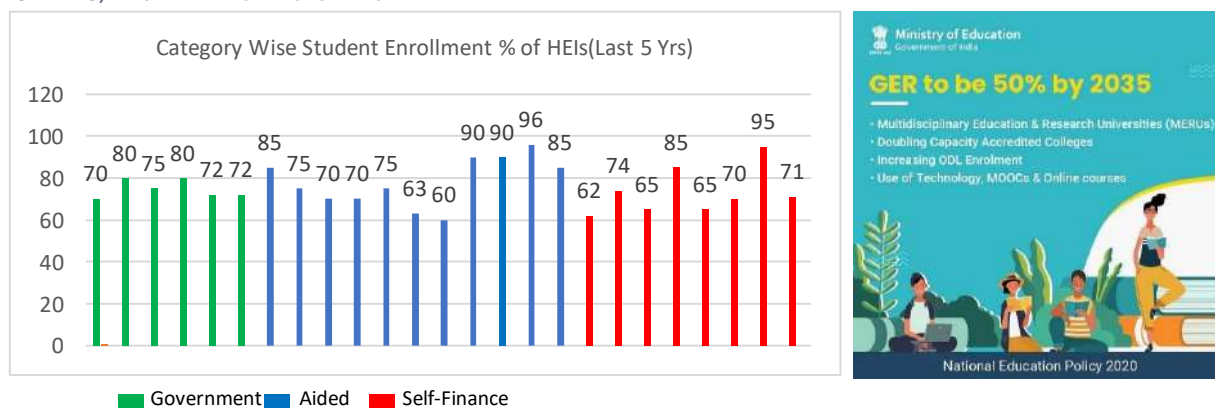
KEY INDICATOR	BRIEF DESCRIPTION	PERFORMANCE
Student Enrolment and Profile	Enrolment Percentage and Seats filled against reserved Categories	High
Student Teacher Ratio	Student-Full Time Teacher Ratio	Low
Teacher Profile and Quality	1. Percentage of Full-Time teachers against Sanctioned Seats 2. Highest Qualification of Faculties	Average
Student Performance, Learning Outcome	Pass Percentage of Students	Average
Student Satisfaction Survey	Online Student feedback by NAAC	High

Source: Institutional Baseline Survey Data Analysis and NAAC Grade Sheet Analysis

## Student Enrolment Percentage

Student Enrolment is dependent on various factors like Institution Category (Govt/Aided/Self Finance), Location, Fees, Programs, Courses, institutions ethos, reputation and perception. The graph shows the student enrolment percentage of government colleges located across districts. Followed by another analysis of category wise analysis of enrolment percentage. Though no clear inferences can be drawn through the analysis due to diverse range.

GRAPH 8; ENROLMENT PERCENTAGE OF HEIs



Source: Institutional Baseline Survey Response

**Note:** The names of the institutions are not mentioned to maintain the confidentiality of the data submitted by them.



Of the colleges who submitted base line data majorly located in Lucknow, Meerut, Ghaziabad, Jaunpur and Ayodhya HEIs have at least 60% enrolment percentage as shown in graph below which makes institutions eligible to score at least 75% of the weightage of the matrices as per benchmarks, even with a 60% enrolment percentage.

### Issues Impacting Admissions in Government, Private, and Aided Colleges of Uttar Pradesh

As per stakeholder consultation and field observations these are the issues related to enrolment

- **Abundance of Colleges:** The large number of colleges leads to intense competition for student admissions, diluting the applicant pool for each institution.
- **Declining Popularity of Traditional Degree Courses:** The decreasing demand for traditional degree courses like BA, BSc, and BCom affects overall enrolment, as students increasingly prefer specialized or vocational programs.
- **Employability and Job Opportunities:** Limited job opportunities post-completion of courses discourage students from enrolling in colleges with poor placement records.
- **Infrastructure Deficiencies:** Many colleges, particularly government and aided ones, suffer from inadequate infrastructure, such as outdated classrooms, insufficient laboratories, sports etc.
- **Location and Accessibility:** Colleges in remote or less accessible areas struggle to attract students due to transportation and accommodation challenges.

### Teacher Profile and Quality

This aspect deals with full time teachers present against sanctioned seats, teachers' profile such as faculties with NET/SET/SLET/Ph. D./ D.Sc. / D.Litt./L.L.D. According to the available data, nearly all colleges, excluding two, meet the NAAC benchmarks for teacher profile and quality, with a minimum of 85% full-time faculty against sanctioned seats. The appointment of faculty members aligns with UGC norms, particularly in government and aided colleges, ensuring that at least 70% of faculty members meet the specified criteria based on the survey responses.

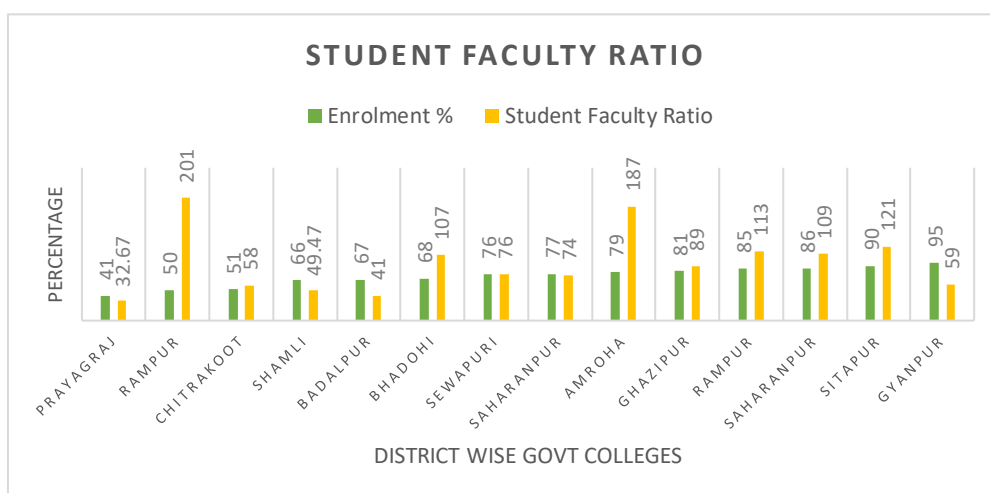
However, the critical question arises: *Is achieving these metric benchmarks sufficient to enhance the overall quality of education within an institution?* Our analysis highlights a prominent challenge in colleges across Uttar Pradesh, whether government or aided, which pertains to the discrepancy.

### Student Faculty Ratio

Most alarming issue is Student Teacher Ratio, the student-teacher ratio has been found to be one of the strongest indicators of student success and engagement. Study of baseline data indicates high student faculty ratio with institutions having SFR more than 45:1 is such case they can just qualify the NAAC benchmarks and 20:1 is prescribed ratio for NIRF.



GRAPH 9: STUDENT FACULTY RATIO & ENROLMENT PERCENTAGE GOVT COLLEGES



Source: NAAC Website (NAAC A&A Dashboard, Current Assessment Information, 2024)

The study reveals that NAAC-accredited government institutions have faculty ratios compared to enrolment percentages that prevent any college from qualifying for NIRF and make few eligible for NAAC. Some colleges exhibit student-faculty ratios as high as 1:201 and 1:187, even with enrolment percentages of at least 65%, underscoring the need for policy-level decisions.

This trend persists in aided colleges, where the allocation of sanctioned faculty positions is determined by government/university regulations, exacerbating the challenge. barely meets the minimum benchmarks set by NAAC at 1:40 or UGC norms. For projects like rankings with a stricter criterion of 1:20, numerous colleges fail to qualify due to excessively elevated student-faculty ratios. So far, we have observed FSR nearby 20:1 only at self-Finance Institutions and teacher training institutions. However, our on-site visits reveal an even higher overall ratio. Other than this institutions with single faculty departments are one of the major issues.

### Student Diversity

It includes actively enrolling students from different states and international backgrounds. Notably, none of the colleges CRISP interacted so far currently enrol international students and similar condition persists with negligible international students in other institutions as well as per officials of UP HED. Enrolment of students from other states is also limited. However, HEIs located in prime locations like Meerut, Noida, and Ghaziabad attract interstate students.



## Suggestions

- **Targeted Advertising Campaigns:** Launch focused promotional campaigns in neighbouring states to highlight college admissions in UP.
- **Information Sessions:** Conduct informative events in neighbouring states to educate students about opportunities in UP colleges.
- **Scholarships and Financial Aid:** Provide tailored scholarships and financial aid packages for students from neighbouring states.
- **Mentorship Programs:** Establish support programs to guide students from neighbouring states through the application process.
- **Alumni Networks:** Create networks connecting prospective students with alumni from UP colleges in neighbouring states for advice and support.

## Gross Enrolment Ratio

### The Gross Enrolment Ratio (GER)

To elevate Uttar Pradesh's GER from 23.2 to meet the national average of 27.3, initiatives should focus on expanding educational access, enhancing infrastructure, providing financial aid, and promoting awareness campaigns to encourage enrolment across diverse communities. Additionally, streamlining admission processes, improving the quality of education, offering career counselling, and fostering industry connections are essential steps to bridge the gap and ensure equitable access to higher education.

## Student Pass Percentage

Based on the analysis of institutional baseline data from 30 HEIs, the average student pass percentage exceeds 65% and reaches above 90%, demonstrating excellent academic results. According to NAAC benchmarks for affiliated colleges, institutions need a minimum of 60% student pass percentage to score 25% of the metric weightage, with 100% weightage attainable at a 90% student pass percentage.



## RESEARCH, INNOVATIONS AND EXTENSION

It evaluates an institution's commitment to research, innovations, and extension activities, emphasizing the promotion of a research culture, support for faculty research projects, and community service through extension a core institutional value.

The table shows overall performance of institutions on areas of quality education within this criterion. This is the most critical criteria for colleges, and as shown in table as all the areas especially research and collaboration have low performance.

**TABLE 7: PERFORMANCE OF ACCREDITED COLLEGES UNDER UP HED ON RESEARCH, INNOVATIONS AND EXTENSION**

Key Indicator	Brief Information	Performance
Resource Mobilization for Research	Grants from Govt/Non Govt Agencies	Low
Innovation Ecosystem	Workshop/Seminar/Conferences Research/IPR/Entrepreneurship	Average
Research Publication and Awards	Papers published in UGC Care Listed Journals and No of books/chapters edited	Low
Extension Activities	Extension and outreach programs	Improving
Collaboration	MoUs, Exchange Programs collaborations/linkages	Low

Source: Institutional Baseline Survey Data Analysis and NAAC Grade Sheet Analysis

### Research

Research holds paramount importance for NAAC accreditation as it not only reflects an institution's dedication to knowledge creation and academic excellence but is also a mandatory criterion, underscoring the institution's commitment to maintaining and advancing high-quality standards in education.

**Research Grants:** Research grant is awarded to Government colleges under UP Higher Education Department. During our visit to UP Higher education Directorate, we enquired about the grant's allocation to government colleges. According to them they receive insufficient number of applications as most of them gets rejected as applications are not submitted in required format. Currently department also lacks any platform for circulation of information on research. The performance of colleges in securing research grants from both government and non-government agencies is notably deficient.



Among 200 institutions CRISP has interacted so far, only approximately 30% have received research grants from government agencies, while a mere 5% have accessed grants from non-governmental sources. This deficiency underscores a critical absence of a culture geared towards obtaining research funding from industry, markets, and other non-government entities. Consequently, this lack of diversified funding streams adversely affects the performance of both aided and self-financed institutions.

**Government Colleges** should prioritize enhancing faculty training in grant writing for government funding to improve success rates and meet rigorous application criteria effectively.

**Grants from non-Government Agencies:** fostering interdisciplinary collaborations to broaden their appeal to potential funders.

**Collaboration:** robust industry partnerships and investing in research infrastructure can significantly bolster grant acquisition efforts. Furthermore, colleges must actively promote the societal impact of their research endeavours to attract funding from a wider array of sources.

## Research Publications and Award

**Emphasis on Quality over Quantity in Publications:** While meeting quantitative requirements is crucial, prioritizing publication quality is essential. Substandard papers may fail to meet UGC Care list or Scopus journal standards for NIRF.

**Inclusion in UGC Care List and Scopus Journals:** Papers must meet stringent standard for inclusion in prestigious lists like UGC Care and reputable journals like Scopus, web of science.



**Diverse Scholarly Contributions Beyond Papers:** Besides papers, factors such as books, book chapters, and conference presentations are pivotal for institutional evaluation.

Under the **PEHLE UP project**, a dedicated research initiative is underway with CRISP taking an active role in bolstering research efforts and nurturing a research-centric environment within institutions. Efforts are focused on increasing awareness about key quality indicators such as the UGC Care List and Scopus to motivate faculty members to publish their research in esteemed and recognized journals.

**Referencing:** Institutions faces challenges in accurately counting faculty publications due to inconsistencies in titling, like variations in institution names or faculty transfers. To address this, CRISP advocates for standardized referencing patterns among colleges to ensure all high-quality publications are properly accounted for, resolving confusion over scholarly contributions' attribution to specific institutions.

**Research Grant:** CRISP is raising awareness about research grant applications and advocating for an information system by UP Higher Education Department related to the grant they (UPHED) issue to Government colleges, providing access to application forms and timelines. Post-application, institutions should receive prompt notification of deficiencies, enabling them to rectify any shortcomings before final submission.

**Non-Government Agency:** Faculty members are encouraged to actively seek support from non-governmental agencies and explore consultancy opportunities to augment grants.

## Extension Activities

Extension activities is equally crucial for scoring in both qualitative and quantitative metrics. Colleges' performance in extension activities focuses on outreach programs, community engagement, sustainable development, welfare, and social initiatives integration into the academic curriculum, which are student centric including programs like NSS/NCC, missions like Swachh Bharat, AIDS awareness, Gender issues etc. and/or those organised in collaboration with industry, community and NGOs. The significance lies not only in meeting benchmarks but also in fostering the holistic development of students, making extension activities advantageous for overall student growth.



Based on our field observations, the challenge does not lie in conducting activities; Government and Aided colleges actively participate in all mentioned activities. However, the issue lies in accurately recording and documenting these activities. There is often confusion about defining extension activities and understanding the process for documentation. Many institutions are unaware of updates in manuals and new additions, which complicates their compliance efforts as per NAAC.

**Status:** Institutions conduct various types of activities, and with proper documentation, they can easily achieve at least 20 activities within a span of 5 years. This level of engagement would enable institutions to score at least 50% weightage as per NAAC benchmarks.

### Suggestions Extension Activities

Following measures shall be considered to improve performance in extension activities.

- Focus on **community-driven impactful projects** with clear goals and measurable outcomes and partner with stakeholders.
- **Student-Centric Learning:** Design activities that develop leadership, teamwork, and problem-solving skills.
- Empower students to lead and participate meaningfully.
- **Collaboration & Visibility:** Partner with community organizations, NGOs, and government agencies. Share outcomes through reports, media, and award applications.
- **Assessment & Improvement:** Regularly measure progress, gather feedback, and adjust activities based on data in right format.
- **Sustainable Partnerships:** Develop strong, long-term partnerships with community stakeholders for lasting impact.

Planning for student centric extension activities and participation in community welfare, sustainable activities. Efficient documentation, adept data management, and presenting information in the required format are critical factors for achieving higher scores in the SSR. CRISP has played a pivotal role in not only advocating for extension activities in Criterion 3 but also providing valuable insights for documentation. We have actively addressed queries, clarifying what activities can be considered and offering guidance on how to record them effectively. Refer to best practises of extension activities of other institutions.

### Collaboration

Collaborations here encompass operational MoUs and linkages with institutions and industries in India and abroad over the past five years, facilitating internship, on-the-job training, project work, and collaborative research for student and faculty exchange.

Collaboration between Higher Education Institutions (HEIs) and the work field enriches academic realism and broadens student learning experiences, encompassing activities like training, exchanges, research, and resource sharing, necessitating formal agreements for impactful collaboration.

NAAC benchmarks mandate at least one active collaboration for qualification and at least 10 MoUs to achieve 50% weightage. However, currently, except NAAC accredited colleges, others, especially Government and Aided HEIs, have a maximum of 10 MoUs, with a dearth of functional collaborations and inadequate recording of activities.

There's a prevailing absence of exchange culture, coupled with a lack of understanding regarding the scope of collaboration and its constituents. Even if they exist, they are least functional and the activities are not recorded as per requirement.

## INFRASTRUCTURE AND LEARNING RESOURCES

This aspect deals with maintaining quality academic programs necessitates optimal use of institutional facilities and understanding how students, teachers, and staff benefit from them. Future development concerns, including facility expansion, are also addressed. ICT is prime focus in revised accreditation framework covered under this criterion.

**TABLE 8:** PERFORMANCE OF ACCREDITED COLLEGES UNDER UP HED ON INFRASTRUCTURE AND LEARNING RESOURCES

Key Indicator	Brief Description	Performance
Physical Facilities	Expenditure for Infrastructure augmentation excluding salary	Average
Library	Footfall, Expenditure, E resources	Low
IT Infrastructure	Student Computer Ratio	Low
Maintenance of Campus Infrastructure	Physical and academic support facilities except salary	Average

Source: Institutional Baseline Survey Data Analysis and NAAC Grade Sheet Analysis

### Physical Facilities and Maintenance of Campus Infrastructure

The analysis involves looking at expenditure on infrastructure augmentation, maintenance of campus infrastructure excluding salary. This study further requires primary study interaction with institutions to on ground status. Maintaining and improving campus infrastructure goes beyond physical upkeep. It's an investment in student success, well-being, and the overall positive image and success of the institution.

**Role of UP HED for Government Institutions:** In government colleges, the performance of this area is contingent on government interest and the grants allocated by the UP Higher Education Department for infrastructure development. The extent of government support plays a pivotal role in determining the adequacy and enhancement of institutional facilities. While Aided and Self Finance institutions are solely responsible to improve infrastructure.

Maintain thorough documentation of all bills and financial expenses to ensure transparency and accountability.

Ensure meticulous documentation of all expenditures, including miscellaneous expenses like those incurred during meetings, to facilitate comprehensive financial reporting.

Categorize all expenses into subheads for systematic documentation and accountability.

### IT Infrastructure

#### Student Computer Ratio

The student-computer ratio refers to the number of computers available for student use for NAAC it is computed for the latest completed academic year.

As per our observations institutions struggle to maintain an optimal student-to-computer ratio, hindering equitable access to technology for academic success. NAAC prescribe at least one computer for every 40 students. We have observed overall high Student Computer Ratio ranging from 70:1 to 200:1. Though government colleges are issued grants for ICT by UP Higher Education Department, but still there is huge scope of improvement in this area which should be considered top priority as per current market demand.

### Suggestions

**Enhancement of ICT Focus and Student-Computer Ratio:** Institutions should prioritize atleast ratio of at least 50:1 as its difficult to meet highest benchmark of 5:1.

**Understanding components of ICT: Smart Classrooms, Projectors, Computing Equipment:** ICT encompasses essential tools like smart classrooms, projectors, computing equipment.

**Leveraging Government and Non-Government Support:** Government and aided institutions should intensify efforts to secure support from both govt and non-govt agencies.

**Exploring Alternative Solutions: Thin Clients, Cloud Computing, Refurbished Computers:** Aided and self-financed institutions can consider alternative solutions such as thin clients, cloud computing, and refurbished computers to optimize computing resources and minimize costs through partnerships with the IT industry.

**Adherence to Standard Operating Procedures for Expenditure Documentation:** Strict adherence to standard operating procedures is essential for documenting expenditures accurately, meeting the stringent proof and audit requirements of accreditation metrics.

### ICT enabled tools

The institution has adequate ICT-enabled facilities, encompassing smart classrooms, Learning Management Systems (LMS), and related technologies.

Status: IT facilities and ICT-enabled tools are vital both in terms of quantity and quality.

**Government Colleges:** RUSA funds smart class setups in government colleges, where at least one smart class is observed in each institution, though it still falls short of NAAC benchmarks. Additionally, there is a crucial need for a monitoring system to track the grants allocated by the government to educational institutions for ICT purposes, ensuring effective utilization.

Self-financed institutions fare better in this regard. However, a notable challenge exists in aided colleges, where the percentage of smart classes is less than 5-6%.

Additionally, despite claims of open Wi-Fi availability, more than 15 institutions visited lacked functional Wi-Fi for students which is essential and basic requirement and shall be available for the students.





## STUDENT SUPPORT AND PROGRESSION

Institution's initiatives to support students in acquiring meaningful learning experiences on campus, fostering holistic development, and facilitating their progression. It delves into aspects such as student performance, alumni profiles, and the trajectory of students into higher education and gainful employment.

**Grade Sheet Analysis of Accredited HEIs:** In the criteria-based analysis of valid NAAC-accredited institutions under the purview of Uttar Pradesh Higher Education Department's Higher Education based on average scores indicates it is one of the second lowest scoring indicator for colleges.

**TABLE 9:** PERFORMANCE OF ACCREDITED COLLEGES UNDER UP HED ON STUDENT SUPPORT AND PROGRESSION

Key Indicator	Brief Description	Performance
Student Support	Students benefited by scholarships and free ships by govt/Non Govt agencies Capacity building and skills enhancement initiatives Guidance for competition exam/Career & Student grievance Cells	Average
Student Progression	Student Placement and Progression to Higher Education Students Performance in Competition exams	Very Low
Student Participation and Activities	Awards/medals in sports/ cultural activities at University/state/national/international level Students' participation in sports and cultural programs	Average
Alumni Engagement	Registered alumni Association	Low

Source: Institutional Baseline Survey Data Analysis and NAAC Grade Sheet Analysis

**ISSUES:** Data availability and collection is one of the most prominent issues of this criterion. There is hardly any formal provision of data collection by institution on important aspects like Students progression to Higher Studies and Placement. 80% Govt/Aided institutions do not have data on student progression and 50% institutions do not have data on student participation and activities.



## Student Support

**Scholarships and Free ships:** Eligible students avail state online scholarship systems, while some minority and girls' colleges receive sponsorships from non-government agencies.

NAAC benchmarks mandate that at least 40% of students must benefit from scholarships and free ships. Our observations indicate that students under reserved categories (SC/ST/OBC) avail scholarships particularly Government and Aided ones, however actual percentage of students benefited is related to enrolment percentage. However, trends for Self-Financed institutions are inconclusive.

Poor record-keeping of student lists benefiting from scholarships and their sources highlights a significant data management deficiency in this area. It's worth noting that institutions often include support beyond tuition fees, like free uniforms and books, leading to data discrepancies.



- **Tab for Information on Schemes/Policies for Students:** HEIs may add a tab with information of schemes/policies available for the students with regular upgradation.
- Additional aids and support like distribution of uniform, books shall not be considered while submitting data for this criterion.
- Institutions shall prepare policy document of the HEI for the award of Non-Government Scholarship/Free ships
- **Maintenance of Scholarship Records:** HEIs shall maintain proper list of students with scholarships like scholarship sanction letter, year wise list of students.

## Suggestions

### Capacity building and skills enhancement initiatives

It includes any seminar, workshop, short term course or similar initiatives conducted in institutions related to soft skills, communication and language skills, life skills and ICT/Computing skills. It plays a crucial role in preparing students for academic success, holistic development, and employability.

Colleges organize skill development programs, but there's inconsistency in their focus areas with respect to NAAC. Many institutions lack specific skill and personality development initiatives, and even when conducted, they struggle to categorize them according to NAAC requirements and maintain data for the same.

To perform better in NAAC, they shall focus on the areas specified by NAAC along with other areas, along with its data management in the required format.

## Guidance for competitive examinations and career counselling

Based on our field visits, institutions are currently offering guidance for competitive exams, but the process lacks formal organization. To enhance efficiency, productivity, and outcomes, data organization can be structured with reference to NAAC benchmarks.

Important metric to target not only for NAAC but for students for preparation of important exams such as JAM/CLAT/GATE/ GMAT/CAT/GRE/ TOEFL/ Civil Services/State government examinations.

Student grievance cells for ragging, sexual harassment exists in almost all the institutions. Colleges claims such cases are decreasing and if any such issues persist, they are timely addresses following a proper channel.

CRISP is motivating institutions to start these classes immediately for students' progress and then preparing its data base as per NAAC requirements for accreditation. There is high potential of improvement in these matrices and benchmarks can be achieved by achievable intervention like data collection, presentation. Organization of capacity building and skill-based initiatives aligned with NAAC requirements. Starting guidance for competition exams. Along with documentation as prescribed. And delineation of zero tolerance policy and its awareness.

## Suggestions

In preparing the Self-Study Report (SSR), Higher Education Institutions (HEIs) should prioritize student support, including capacity building, skill enhancement programs, guidance for competitive exams, and mechanisms for addressing student grievances. These metrics are relatively achievable through existing institutional resources are non-monitory, providing valuable and opportunities exposure to students. Documenting these initiatives in the required format can significantly enhance the SSR score.

## Student Progression

Student progression serves as a crucial indicator of an institution's performance and effectiveness in facilitating academic growth and success. Presently most of the institutions do not have complete information about passed out students, especially rarely any Government Aided colleges especially with high enrolment percentage have accurate data. Colleges may perform poorly in student progression due to inadequate student support services, weak alumni engagement, and limited job opportunities through placement cells.

Insufficient tracking mechanisms and a mismatch between curriculum and industry needs further contribute to the challenge of ensuring student progression.

Outgoing student placement and progression to higher education are critical, with most of the institutions lacking accurate data records. Even those colleges that submitted data admit to its inaccuracy, as confirmed by the institutions themselves.

### Suggestions

- This criterion holds substantial weight in the assessment criteria, crucial not just for NAAC but also for NIRF rankings.
- Institutions should begin systematically maintaining data on student progression to higher education and placement.
- Organizing college-level competitions can engage students in the collection of data related to student progression.
- Active alumni platforms play a vital role in addressing areas such as feedback and student progression.
- The placement cell activities are indispensable in supporting students in securing jobs and fulfilling requirements for the SSR.

### Students Performance in Competition Exams

Institutions can boost student performance in competitive exams by fostering a culture of academic excellence, providing targeted preparation resources, and building partnerships with coaching institutions and exam authorities. Data collection for student progression poses a challenge, but tapping into students' performance in state/national/international level examinations is easier. If properly documented, even if 10% of students participate in such exams, this metric is 100% achievable. The need of the hour is to provide guidance to students by assigning mentors and raising awareness through institute-level activities regarding such exams.



### Student Participation and Activities

While institutions conduct numerous curricular and co-curricular activities, encouraging student participation is crucial for improved performance. Our analysis of SSRs submitted to NAAC reveals that colleges score very low, or even zero, in this aspect. However, it's worth noting that they excel in extension activities, where student participation exists. The issue lies not in actual participation or documentation, but rather in the format of data collection and student participation certificates. Our goal extends beyond NAAC compliance; it's about nurturing a dynamic environment within colleges.

Emphasize increasing student participation at the institutional level, aiming to enhance overall student achievement.

**Alumni Network:** It is one of the most critical parameters which is directly and indirectly connected with various matrices like Alumni Feedback, Student Progression, Grants, Collaborations etc. Currently the registered alumni network is subpar and activities are insufficient which shall be activated on priority basis.

## GOVERNANCE, LEADERSHIP AND MANAGEMENT

Effective functioning of an institution by evaluating its policies and practices in human resources planning, recruitment, training, performance appraisal, financial management, and leadership roles. Key indicators include institutional vision and leadership, strategy development and deployment, faculty empowerment strategies, financial management and resource mobilization, and the establishment of an Internal Quality Assurance System (IQAS).

**TABLE 10:** PERFORMANCE OF ACCREDITED COLLEGES UNDER UP HED ON GOVERNANCE, LEADERSHIP ,MANAGEMENT

Key Indicator	Brief Description	Performance
Strategy Development and Deployment	e-governance in areas of operation like administration, Exam etc.	Good
Faculty Empowerment Strategies	Financial support to teachers for conferences/workshops/professional memberships. FDP for teaching and non-teaching staff. Professional development and administrative training	Average
Internal Quality Assurance System	IQAC Activities, NIRF Participation, another audit/accreditation	Good

Source: Institutional Baseline Survey Data Analysis and NAAC Grade Sheet Analysis

### Institutional perspective plan

The Institutional Development Plan (IDP) serves as a comprehensive roadmap, aligning an institution's vision, mission, and goals with the core values of the National Education Policy (NEP) 2020: flexibility, multidisciplinary, student-centricity, and global competitiveness. By embracing the spirit of the NEP, institutions prioritize and allocate resources strategically, fostering innovation and excellence in education. According to the revised NAAC manual, there is an increased emphasis on strategic development and deployment. Hence, it is crucial for all institutions to concentrate on crafting an institutional perspective plan. Currently, this is absent in all institutions except for those with valid NAAC accreditation.

CRISP is committed to support institutions in crafting Annual Activity Plan and Institutional Perspective Plans, prioritizing educational quality and alignment with evolving frameworks. CRISP aims to empower institutions in formulating effective and coherent strategic plans.

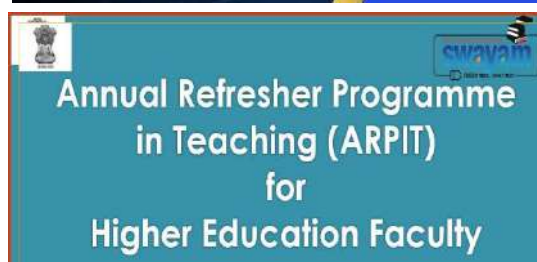
### Faculty Empowerment Strategies

Currently financial support to faculties to attend conferences/workshops is limited. NAAC prescribes a minimum expenditure of Rs. 5000 per faculty per year. Our field observations reveal that Aided and Self-financed institutions consider the prescribed amount by NAAC as excessively high. Meanwhile, government institutions rely entirely on UPHEd for faculty empowerment.



### Faculty Development Programmes

It focuses on Faculty development Programmes (FDP), Management Development Programmes (MDPs) undertaken by teaching and non-teaching staff. Participation in FDPs is mandatory for faculties promotion and appraisals for their Career Advancement Scheme (CAS) requirements, though not all the faculties of an institutions are engaged in FDPs at once. The challenge lies in enhancing overall quality rather than quantity and fulfilling requirements for NAAC SSR. More interested faculties participate in PMMMNMTT but no estimate on participation rate.



According to NAAC benchmarks, institutions must ensure that at least 10% of their teaching and non-teaching staff participate in faculty development programs (FDPs) and other professional/administrative training programs. To achieve a score of 100% in these benchmarks, a minimum of 50% of the staff should attend such programs. These initiatives are critical for enhancing skills and contributing to overall institutional quality and accreditation standards.

Meeting benchmarks is one aspect, but the effectiveness of FDPs is essential for enhancing the overall quality of education. Moreover, the issue extends to the inability to assess the number of faculties registered on the ARPIT Portal, further complicating the evaluation of FDP outcomes. This raises a critical question: *Is merely fulfilling NAAC benchmarks sufficient, or does it necessitate a deeper examination of the qualitative impact of initiatives such as FDPs for meaningful educational enhancement? Institutions shall also extend focus on Management Development Programmes (MDPs).*

The Faculty Development and Leadership Program is a vital component of the PEHLE UP Project. It is essential to conduct a study to gauge faculty participation rates, evaluate learning outcomes from FDPs, and establish a monitoring mechanism to ensure its success. These steps are imperative for assessing the program's impact and ensuring continuous improvement in faculty development initiatives.



### Internal Quality Assurance Cell

The IQAC's role is crucial for improving both the quality and quantity of institutions. However, as per our field observations colleges, often face challenges such as having a single staff member managing IQAC responsibilities, limiting team work, disorganized and undocumented IQAC operations and meetings resulting in no action reports, and delays in submitting the Annual Quality Assurance Report (AQAR). Strengthening the IQAC is essential to enhance participation and ensure timely completion of the NAAC accreditation process. The table shows some of the activities required for IQAC functioning for NAAC.

Internal Quality Assurance System	
1	Regular IQAC meetings, improvement initiatives identified implemented
2	Submission of Annual Quality Assurance Report on time
3	Academic and Administrative Audit (AAA), follow-up , action taken
4	Collaborative quality initiatives with other institution(s)
5	Participation in NIRF rankings
6	Other recognized quality audit/accreditation (NBA/ISO)
7	Updated IQAC Tab on Website

## INSTITUTIONAL VALUES AND BEST PRACTICES

The vital role of an educational institution in the broader education system. It emphasizes the institution's proactive response to emerging challenges, reflecting a commitment to social responsibility through programs, activities, and values. The institution's effectiveness in fulfilling these responsibilities is a key indicator of quality, covering Institutional Values, Social Responsibilities, Best Practices, and Institutional Distinctiveness.

**TABLE 11:** PERFORMANCE OF ACCREDITED COLLEGES UNDER UP HED ON INSTITUTIONAL VALUES AND BEST PRACTICES

Key Indicator	Brief Description	Performance
Institutional Values and Social Responsibilities	Sustainable Environmental Campus Practices (Environmental/Green Audit), Universal Design	Average
Best Practices	Best Practices by Institutions	Good

Source: Institutional Baseline Survey Data Analysis and NAAC Grade Sheet Analysis

### Institutional Values and Social Responsibilities

Institutions here prioritize environment-related facilities such as energy conservation, waste management, water conservation, green campus initiatives, and universal design, along with green/environmental audits. Government institutions with older establishments tend to have better performance in this area, although no specific trend has been observed as each institution differs in this aspect.

Clean and Green campus Sustainability initiatives	
1	Management of degradable/ non- degradable waste with coloured dustbins
2	Water conservation (Rain Water Harvesting)
3	Alternate sources of energy and energy conservation
4	Green Transportation Practises (Pedstrization/Vehicle free)
5	Clean and green campus initiatives
6	Universal Design: Disabled-friendly, barrier free environment
7	Green audit / Environment audit / Energy audit
8	Landscape Campus Management
9	Signages (Indoor / Outdoor Spaces)
10	Beyond the campus environmental promotion and sustainability activities

Conducting Green Audits or energy audits can significantly contribute in implementing sustainable campus practices. While there are monetary requirements for audits, Government colleges rely on government funding, and Aided institutions may show limited interest due to financial constraints.

However, if unable to conduct audits, institutions can implement a series of small campus interventions. These include initiatives such as making the campus plastic-free, establishing predestined and no-vehicle zones, installing coloured dustbins, displaying proper signage for waste segregation (reduce, reuse, recycle), managing waste effectively, providing walking aids, implementing rainwater harvesting measures, installing solar panels, and formulating institutional policies for energy conservation.

### Best practices

It is the highest weighted individual qualitative metric, emphasizing the importance of internally developed methodologies known as "Best Practices." These practices, evolving from innovations or changes in academic, administrative, or organizational aspects, positively impact the institution's functioning, resolving challenges, and enhancing efficiency.

Post NAAC Accreditation, institutions are required to submit AQAR for the next cycle, specifying best practices. However, a common observation is that colleges often repeat the same best practices, avoiding upgradation and innovation, which undermines the exercise's goal of making an institution distinctive. To address this issue, CRISP suggests implementing new best practices for every AQAR submission.

### NAAC Quality Assurance Resource Centre

NAAC has developed a comprehensive library and maintains an active publication unit. Colleges are encouraged to utilize case studies of best practices available on the NAAC website, which are specific to various areas such as student admissions and alumni engagement. Institutions may follow the processes show below.



Source: NAAC Website (<http://naac.gov.in/index.php/en/resources#practices>)



## CRISP ACHIEVEMENT AND SCOPE OF WORK



CRISP is actively engaged with over 500 institutions under the PEHLE-UP project, supporting them through various stages of NAAC Accreditation. We have interacted with more than 200 institutions and conducted field visits to around 50 institutions. We support colleges in motivating HEIs to apply for subsequent NAAC cycle, assisting with the submission of Annual Quality Assurance Reports (AQAR), preparing for Initial Institutional Quality Assessment (IIQA), Self-Study Reports, and peer team visits for NAAC assessments.

Our ultimate agenda is to work with institutions to enhance their teaching and learning processes for students, thereby improving the quality of education.

## STRATEGIES FOR ENHANCING INSTITUTIONAL PERFORMANCE

### Minimum Essential Requirements for Institutions

#### 1. Institutional Website

- The institutional website serves as a crucial platform for showcasing the institution's identity and offerings.
- A well-designed and user-friendly website enhances transparency and accessibility, providing stakeholders such as students, parents, faculty, and alumni with easy access to essential information.
- To optimize the institutional website for NAAC performance, the following measures should be adopted.



**Data Management:** Every institution shall maintain a data bank with institutional information parameters for data can be referred via NAAC SSR or NIRF or similar platforms.

Data serves as the backbone of any institution committed to quality enhancement. Effective collection, management, and presentation of data are vital for self-assessment, informed decision-making, and demonstrating the institution's commitment to transparency and accountability.



**Alumni Connect:** As already discussed, an active alumni connect can directly, indirectly address many areas like student support, alumni grants, networking, perception. The picture shows the probable ways to improve alumni engagement.



Source: CRISP

## Functioning of Inter Quality Assurance Cell, IQAC

A well-functioning IQAC is not just about preparing for NAAC accreditation; it's about embedding a culture of continuous improvement within your institution. Focusing on following key aspects may serve as powerful driver for IQAC.

- **Engage Stakeholders:** IQAC shall not be limited to IQAC coordinator/director, all the members, faculty staff, non-teaching staff even Students shall be involved in the process.
- IQAC shall be connected with SLQAC (State Level Quality Assurance Cell) to be part of state level initiative at state level.
- **Submission of AQAR:** For NAAC it should be duty of team to submit annual quality assurance report (AQAR) annually.
- **Regular IQAC Meetings:** Regular meeting shall be held.
- **Reporting and Documentation:** Minutes of the meetings shall be recorded to tract activities under IQA.

## SUGGESTIONS AND RECOMMENDATIONS

### KEY CHALLENGES AND CRITICAL AREAS NEEDING IMMEDIATE ATTENTION

Based on the analysis provided, the following parameters require immediate action and intervention to enhance the quality of education, teaching in the classroom, ensuring the holistic development of students that aligns not only with the curriculum but also with the evolving market demands.



#### Online MOOC & Value Added Courses

- HEIs shall start any Certificate/ VAC, Any non-credit course with minimum 30 hrs
- Motivate & Aware students about Swayam/MOOCs for NAAC, both Offline (VAC) and Online MOOC shall be counted



#### Alumni Engagement

- Register alumni forum on website
- Organize Alumni Meet, Networking,
- Engage social media platforms to connect
- Engage students to collect data on alumni progression and employer details



#### Stakeholder Feedback

- Design of Feedback form specifically for all stakeholders and respective data collection
- Teachers, Students, Employer, Alumni
- Website upgradation with feedback analysis
- Action Taken Report



#### Quality Research

- Foster a research culture in colleges.
- Produce high-quality papers eligible for UGC Care List/Scopus
- Emphasize book/ chapter editing ,publication in conferences



#### Research Grant

- Govt colleges should apply for research grants in the required format to ensure eligibility and avoid disqualification.
- Private HEIs should seek grants from non-govt agencies





### Collaboration

- Focus on Student/teacher exchange
- Collaborate with partners such as industry, market, NGOs, other HEIs, Schools etc.
- Functional MoU with at least one activity under assessment to qualify



### Innovation

- Create Ecosystem for innovation
- Setup of Institutional Innovation Cells, IICs



### Internship and Skill Development

- Encourage students & dedicate time for project work/field
- Enhancement of Capacity building and skills enhancement initiatives aligned with as prescribed by NAAC & its documentation



### IT Infrastructure and ICT Tools

- Focus to improve Student-computer Ratio
- Alternative tech methods to improve SCR
- ICT enabled class rooms
- Focus on Automation & digitization of library



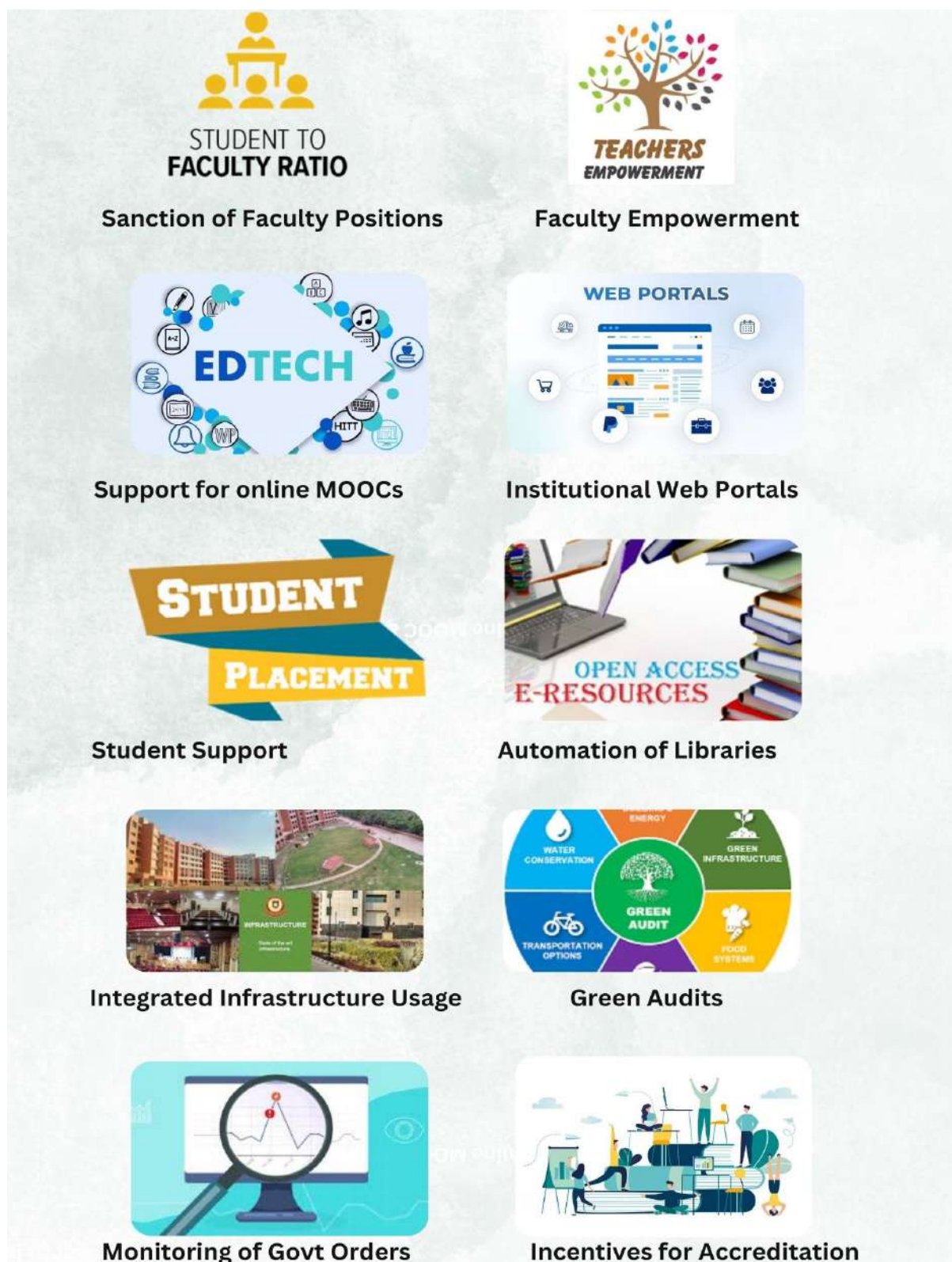
### Faculty Financial Support and Training

- Focus on Empowering Teachers
- Financial support to teachers attends conferences/workshops
- Faculty Development Programmes, FDP
- Management Development Programmes (MDPs)

Institutions should prioritize these areas and related matrices, taking immediate actions and preparing a strategic action plan to enhance performance in these aspects. By strategizing actions to improve these areas, institutions can elevate the quality of education, enhance the overall classroom experience, and excel in the Self Study Report (SSR).

## AREAS REQUIRING GOVERNMENT SUPPORT AND POLICY INTERVENTIONS

While institutions are primarily responsible for the NAAC process and the submission of Self Study Reports, there are crucial aspects where HEIs, particularly government and aided ones, rely on government support and actions. These critical areas necessitate government policy interventions, schemes, budgetary allocations to enable institutions to perform optimally.





## POTENTIAL AREAS OF INSTITUTIONAL STRENGTH

These are specific areas where focused efforts, utilizing institutional resources, can serve as remedial measures to enhance institutional performance in the Self-Study Report (SSR). Immediate and sustained efforts in these areas, along with thorough documentation, can enable institutions to achieve a minimum benchmark of 25% in their Self-Study Report.



**Extension Activities**



**Extra Co Curricular Activities**



**Skill Development**



**Practically Oriented Teaching**



**Student Mentorship**



**Internal Assessment**



**Best Practices**



**Institutional Values**

## Suggestions for NAAC application process

Institutions preparing to apply for NAAC Accreditation should take the following essential steps as part to start preparation for the accreditation process.

# 5 STEPS FOR NAAC ACCREDITATION

## 1 Manual for Institutional Accreditation

Know your Institution Type  
Identify Manual as per Institutional Type  
Study Criterions, Key Indicators, Metrices  
Separate manual are provided on NAAC website as per institution type like University, Affiliated/Autonomous Institution, Law, Sanskrit, Teacher education institutions.



## 2 BENCHMARKS

Refer benchmarks for the quantitative metrices of the NAAC Accreditation  
Divided into 4 level (4-0)

Benchmarks provide insight, allowing HEIs to understand the requirements to score between a minimum of 25% and a maximum of 100% of the metric weightage.

## 3 STANDARD OPERATING PROCEDURE

Refer SOP provided along with manual and benchmark on the NAAC Website for completing Data Validation and Verification and prepare for Self Study Report (SSR).



## 4 REFER NAAC WEBSITE

1.Refer Manual, Benchmarks, SOP  
<http://naac.gov.in/index.php/en/apply-now>

2.NAAC Process Video Tutorials  
<http://naac.gov.in/index.php/en/2-uncategorised/80-naac-process-video-tutorials>

Video Tutorials available for DVV, IIQA, SSR and SSS

## 5 TOOLKITS AND GUIDES by CRISP

- Refer “Institutional Baseline Analysis Toolkit” designed by CRISP available in Excel format with Step by Step Guide.
- Refer to Section 2 of this report to conduct a SWOT analysis and enhance institutional performance in NAAC.



As given in annexure



## CONCLUSION

NAAC Accreditation encourages institutions to enhance the quality of education and push them to meet essential standards and norms.

This study investigated the impact of NAAC Accreditation on educational quality in Uttar Pradesh. While universities are progressing towards excellence, affiliated, autonomous, and associated colleges require prioritized actions to elevate their quality profiles.

The analysis revealed a need for improvement in specific areas, such as completion of post accreditation process (AQAR), research, innovation, collaboration, educational technology (EdTech), and student support services. By delving into parameter-wise performance, prevailing issues, challenges, strengths, and potentials, the report provides valuable insights for colleges.

Following the suggestions and recommendations tailored as per institutional need will empower institutions to proactively address potential roadblocks and capitalize on their strengths. This, in turn, will lead to improved educational quality and enhanced performance in NAAC Accreditation.

Key takeaways from the study include essential mandates for institutions, priority areas requiring immediate action, areas for policy intervention, and opportunities to leverage strategic minimum interventions for improved performance.

By implementing these suggestions, colleges can significantly enhance their NAAC Accreditation outcomes, ultimately leading to a higher quality of education that benefits all stakeholders.

As part of PEHLE-UP Project, CRISP is committed to support institutions in all stages of NAAC accreditation, from the Initial Quality Assurance Report (IIQA) and Self-Study Report (SSR) to the Annual Quality Assurance Report (AQAR) and further work with institutions on navigating the recommended binary accreditation system post its official launch.

## Annexure

**CRISP Toolkit:** CRISP designed a NAAC Worksheet in excel format for quantitative metrics of NAAC accreditation as shown below.

BASELINE DATA ANALYSIS WORKSHEET

3 STEP FORMULA TO REFER ANALYSIS WORKSHEET

STEP 01

Understanding the Parameter Description

STEP 02

Mention actual college status as per metric requirement

STEP 03

Refer Benchmarks as per NAAC

STEP 04

Write Benchmark score with reference to step 1 and 2

S NO	Parameter	Description	NAAC Weightage	HEI Status (No / % /Ratio)	Matric Benchmark	Benchmark Score NAAC (4/3/2/1/0)	% Score	Final Score										
1	2	3	4	5	6	7	8	9										
1	Ed-Tech Academic Flexibility	Number of Add on /Certificate/Value added programs offered and online MOOC programs like SWAYAM, NPTEL etc. where the students of the institution have benefitted during the last five years)	15	2 No	<table> <tr> <td>4</td> <td>3</td> <td>2</td> <td>1</td> <td>0</td> </tr> <tr> <td>&gt;=25</td> <td>15-25</td> <td>5-15</td> <td>1-5</td> <td>0</td> </tr> </table>	4	3	2	1	0	>=25	15-25	5-15	1-5	0	1	25%	3.75
4	3	2	1	0														
>=25	15-25	5-15	1-5	0														

Metric Weightage as per NAAC/NIRF Benchmarks

Final % and Score will be calculated automatically

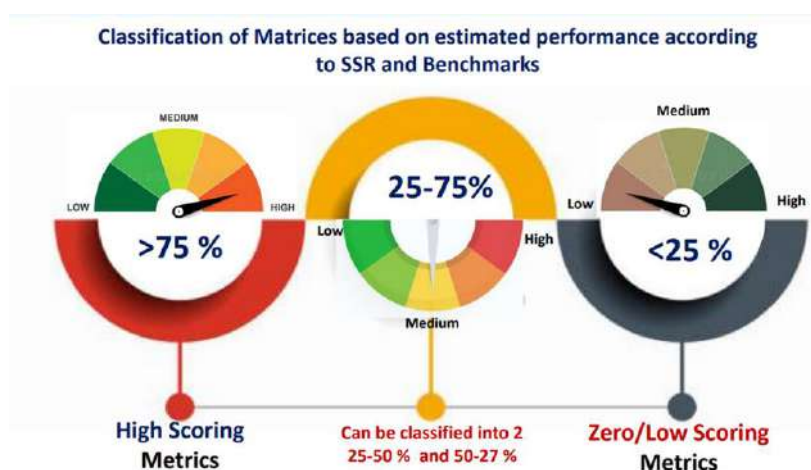
Source: NAAC Analysis Worksheet Format designed by CRISP

### STEP BY STEP GUIDE TO READ ANALYSIS TABLE

Refer to the steps below to read and understand the quantitative baseline data analysis conducted by CRISP.

- Read the parameter description to understand the quality mandate metrics or the problem statement. (Column 3)
- Column 4 indicates metric weightage as prescribed by NAAC Accreditation or NIRF Ranking
- Step 01: Mention the value of institutional performance in the required format, as shown in example below in column 05.
- Step 02: Refer the benchmarks as prescribed by NAAC / NIRF as shown, in tabular form and identify your score from Column 6
- Step 03: and as per institutional performance mention benchmark score in column 07
- Final Score will be automatically calculated.

Based on above analysis Institution can categorize metrics, as indicted below



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