

# **GUIDANCE HANDBOOK ON QUALITY ASSURANCE**

**(Assessment & Accreditation of  
Affiliated Colleges by NAAC)**

## Foreword

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I am honoured to present the "Guidance Handbook on Quality Assurance for the Assessment and Accreditation of Affiliated Colleges by NAAC." This handbook embodies our commitment to contribute in enhancing the standards of higher education institutions.

In today's evolving educational landscape, maintaining high standards of quality assurance is critical. NAAC's framework for continuous improvement and validation ensures that Higher Education institutions (HEIs) meet and exceed rigorous standards. The path to accreditation is a multifaceted journey that demands meticulous preparation and unwavering dedication. This handbook outlines each critical step, from the initial registration with NAAC to the final stages of accreditation and beyond. It provides detailed instructions on the submission of the Institutional Information for Quality Assessment (IIQA), the preparation of the Self-Study Report (SSR), and the crucial process of Data Validation and Verification (DVV). Each section is designed to demystify the procedures and offer practical insights into achieving excellence.

A key feature of this handbook is its focus on holistic institutional development. It highlights the importance of the Student Satisfaction Survey (SSS) and the Peer Team Visit, essential for integrating student feedback and assessing compliance with quality benchmarks. Post-accreditation, the handbook encourages institutions to sustain their commitment to excellence through the Annual Quality Assurance Report (AQAR).

This handbook is a testament to our collective dedication to enhance the quality in higher education. It reflects our mission to empower institutions to achieve academic excellence, innovation, and inclusivity.

I extend my gratitude to TSCHE and all HEIs for their partnership and passion in collectively improving quality education in the state. This handbook will serve as an invaluable resource for HEIs striving to achieve highest standards of academic quality.

  
(R. Subrahmanyam)

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## **Abbreviations**

AAA	:	Academic and Administrative Audit
AICTE	:	All India Council for Technical Education
AISHE	:	All India Survey on Higher Education
A&A	:	Assessment & Accreditation
AIU	:	Association of Indian Universities
AQAR	:	Annual Quality Assurance Report
AYUSH	:	Ayurveda, Yoga and Naturopathy, Unani, Siddha and Homeopathy
BCI	:	Bar Council of India
COA	:	Council of Architecture
COs	:	Course Outcomes
CGPA	:	Cumulative Grade Point Average
DVV	:	Data Validation & Verification
EC	:	Executive Committee
FDPs	:	Faculty Development Programs
HE	:	Higher Education
HEIs	:	Higher Educational Institutions
ICAR	:	Indian Council of Agricultural Research
IKS	:	Indian Knowledge Systems
IT	:	Information Technology
ILMS	:	Integrated Library Management System
IIQA	:	Institutional Information for Quality Assessment
IPR	:	Intellectual Property Rights
IMS	:	Issue Management System
IQAC	:	Internal Quality Assurance Cell
KIs	:	Key Indicators
MDPs	:	Management Development Programs
MOOCs	:	Massive Open Online Courses
MoU	:	Memorandum of Understanding
MHRD	:	Ministry of Human Resource Development
NAAC	:	National Assessment & Accreditation Council
NBA	:	National Board of Accreditation
NCC	:	National Cadet Corps

NCTE	:	National Council for Technical Education
NEP	:	National Education Policy
NET	:	National Eligibility Test
NIRF	:	National Institutional Ranking Framework
NPTEL	:	National Programme on Technology Enhanced Learning
NSS	:	National Service Scheme
PCI	:	Pharmacy Council of India
PG	:	Postgraduate
POs	:	Program Outcomes
PTR	:	Peer Team Report
OBCs	:	Other Backward Castes
QA	:	Quality Assurance
QIF	:	Quality Indicator Framework
QIM	:	Qualitative Metrics
QnM	:	Quantitative Metrics
RCI	:	Rehabilitation Council of India
SCs	:	Scheduled Castes
SET	:	State Eligibility Test
SLET	:	State Level Eligibility Test
SOP	:	Standard Operating Procedure
SRAs	:	Statutory Regulatory Authorities
SSR	:	Self Study Report
SSS	:	Student Satisfaction Survey
STs	:	Scheduled Tribes
SWAYAM	:	Study Webs of Active-Learning for Young Aspiring Minds
SWOC	:	Strength, Weakness, Opportunities, Challenges
UG	:	Undergraduate
UGC	:	University Grants Commission
URL	:	Uniform Resource Locator

## Introduction

India has one of the largest and most diverse education systems in the world. Privatisation, widespread expansion, increased autonomy, and the introduction of new and emerging programmes have improved access to higher education. Despite all this, there is a widespread concern for the quality and relevance of higher education. Students' experiences through curriculum and teaching-learning process are central to the quality of education delivered. Students need to be empowered to build a bright future for themselves and societies through improved learning outcomes and development of life skills and aptitude. In view of this, autonomy, and empowerment of both the teacher and the learner at the institutional level become significant. To strengthen this process of autonomy, Quality Assurance (QA) through accreditation and ranking becomes indispensable. The National Education Policy (NEP) 2020 envisages accreditation as the basic criteria for identifying institutional performance, and towards this, NEP advocates for public self-disclosure of information.

QA is a process of willing and deliberate efforts to discern, sustain, and, wherever possible, enhance quality reflections in every aspect of the institution's functioning. The process of QA embeds critical self-appraisal, capacity building, sustains motivation and supports evolving innovative practices. Accreditation is established on the principles of continuous improvement, accountability against professional standards, and external peer-quality review through public declarations that a certain level of quality has been attained or exceeded. Accreditation thus legitimises the understanding of education and academic disciplines (Romanowski, 2021) and is the face value of the quality of higher education institutions (HEIs). Given the context, accreditation may be defined as the estimation of the potential of HEIs to provide an appropriate learning environment to the students and produce graduates who meet explicit and implicit academic standards with professional competencies. The purpose of QA and Accreditation is to bring efficiency to the internal and external functioning of HEIs through continuous improvement and accountability to the stakeholders.

### **Institutional Internal Functioning: Continuous Improvement**

- Benchmarking
- Self-regulation
- Curriculum
- Teaching-Learning

- Student Support System

**Institutional External Functioning: Accountability**

- Self-disclosure of information
- Informing stakeholders on compliance to standards and the stated objectives
- Commitment to quality
- Insight into diversity
- Institutional Social Responsibility

The NEP 2020 assumes institutional quality as the key to attain institutional excellence. The interconnected world requires compatibility with standards and practices that are globally acclaimed, ergo, all the systems dealing with education must be aligned to encourage the accreditation provisions that facilitate students' mobility and help to identify and adopt good practices. Thus, the proposed accreditation framework while adopting the elements of NEP at the national level should also align with the internationally acclaimed practices of accreditation. As the vertical and horizontal growth of an institution is evaluated through accreditation, it is prominent and pertinent to understand the points of divergence and convergence in the ways the accreditation framework and its components are portrayed and linked with different higher education (HE aspects). It is equally important to distinguishably bring out the points of departure and intersection between the current practices and future development plans.

Thus, HEI quality systems should focus on five essential components viz. *Curriculum Revision, Teacher Development, Research, Innovation, and Learner Development*. To ensure and assure the quality of these five components, it is essential that HEIs undergo the process of external assessment and accreditation by a recognised national agency like National Assessment and Accreditation Council (NAAC). The manuals for Assessment and Accreditation (A&A) by NAAC are based on appropriate predetermined standards and measures for evaluating the performance of the various subsystems of HEIs and national benchmarks. Accreditation by NAAC is recognised globally and forms a prerequisite for institutions to receive/apply for various schemes and grants, credit transfer, credit recognitions etc. For students, it becomes a major criterion for progression to employment and/or higher education including foreign universities and global employment markets. For teachers and staff of the institutions, it adds value to their experience and counts for career progression.



The simplified Data Validation and Verification (DVV) process with the disclosure of the benchmarks is going to help institutions to set their targets for improvement. The new A&A process has brought in ‘ease of getting accreditation’ by simplifying the process, rationalising the parameters and disclosure of benchmarks.

The **objective** of this handbook is to enable HEIs to take up accreditation on a mission mode and provide impetus to accreditation through a combination of awareness, orientation, training, mentoring, communication campaigns on benefits and best practices in QA in HEIs, reaching out to students, teachers and institutions and making them realise their role as ‘*Ambassadors of Quality Education.*’

## **The Process**

The Process for A&A has the following 10 steps and is a combination of self-evaluation by the HEI and external evaluation by the NAAC:

- 1.** Registration with NAAC
- 2.** Institutional Information for Quality Assessment (IIQA)
- 3.** Self-Study Report (SSR)
- 4.** Data Validation and Verification (DVV)
- 5.** Student Satisfaction Survey (SSS)
- 6.** Prequalification
- 7.** Peer Team Visit
- 8.** Institutional Grading
- 9.** Appeal
- 10.** Annual Quality Assurance Report (AQAR)

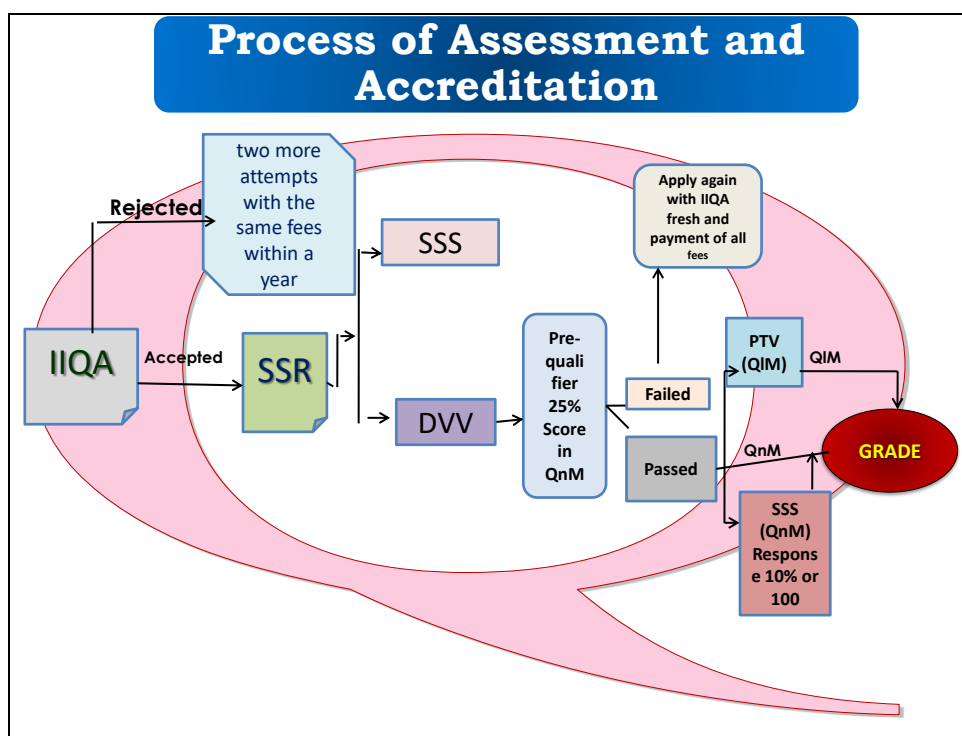


Figure 1: Process of Assessment and Accreditation

## 1. Registration with NAAC

The process of initiation for accreditation by NAAC starts with the institution registering with NAAC on its website. On successful registration, the HEI will have a user ID and password, and can log in to the HEI portal and make all applications to NAAC online through its portal and also get access to the updates/information on the NAAC processes. Thus, all HEIs intending to go for A&A by NAAC, need to register themselves on the NAAC portal.

However, before registration, it is also essential for the institution to affirm its eligibility for applying for A&A by NAAC.

### Units of Assessment

NAAC's instrument is developed to assess and grade HEIs through a three-step process and make the outcome as objective as possible. Though the methodology and the broad framework of the instrument are similar for various levels and types of institutions, there is a slight difference in the focus of the instrument depending on the unit of Accreditation, i.e., Affiliated/ Constituent colleges/ Autonomous colleges/ Universities/ Health Science/ Teacher / Physical Education colleges/Law colleges/ Sanskrit colleges/Universities etc.

### Institutional Accreditation

- A. University: University with central governance structure along with all the undergraduate (UG) and postgraduate (PG) departments.
- B. College: Any College - affiliated, constituent or autonomous with all its departments of studies.

### Eligibility Criteria for applying for A&A by NAAC

- Two batches of students graduated (from at least one program offered by the HEI) or at least 5 years of existence.
- Should have students currently enrolled on the teaching and research programmes offered on campus.
- Should be affiliated with the University or Standalone Institutions offering specialised programs having equivalence by the Association of Indian Universities (AIU) as UG or PG degrees and recognized by Statutory Regulatory Bodies like All India Council for Technical Education (AICTE) / Bar Council of India (BCI), etc.
- Should have completed the All India Survey on Higher Education (AISHE) and have the AISHE Code assigned to the institution.
- Constituent colleges of the Private and Deemed-to-be Universities are considered as the constituent units of the University and thus will not be considered for A&A independently. Such constituent colleges need to come along with the University.

### Eligibility criteria for Accredited HEIs applying for Reassessment or Subsequent Cycles of Accreditation

- **Re-assessment** institutions which would like to make an improvement in the accredited status, may apply for re-assessment, **after a minimum of one year and before three years of accreditation** subject to the fulfilment of other conditions specified by NAAC from time to time for the purpose.
- **For subsequent cycles** of A&A by NAAC can submit the IIQA, during the last six months of validity of the accreditation period subject to the fulfilment of other conditions specified by NAAC from time to time for the purpose.

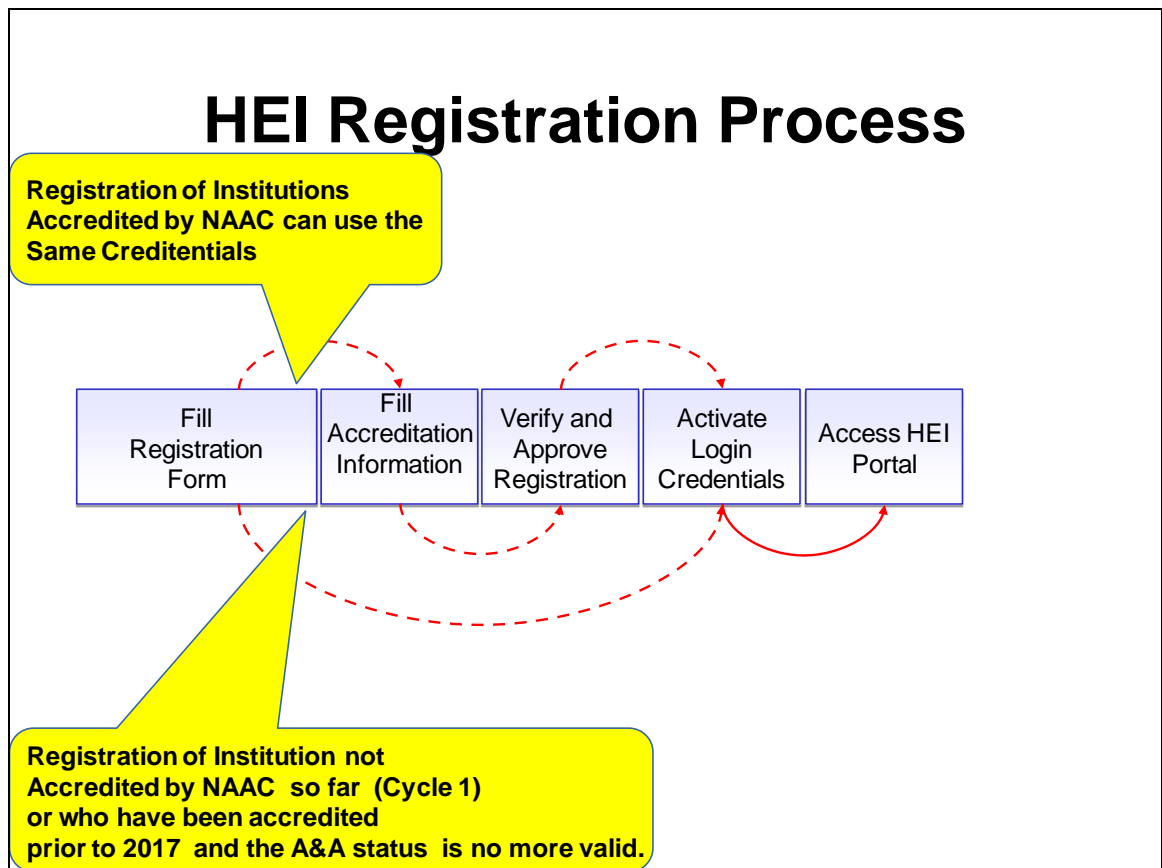


Figure 2: HEI Registration Process

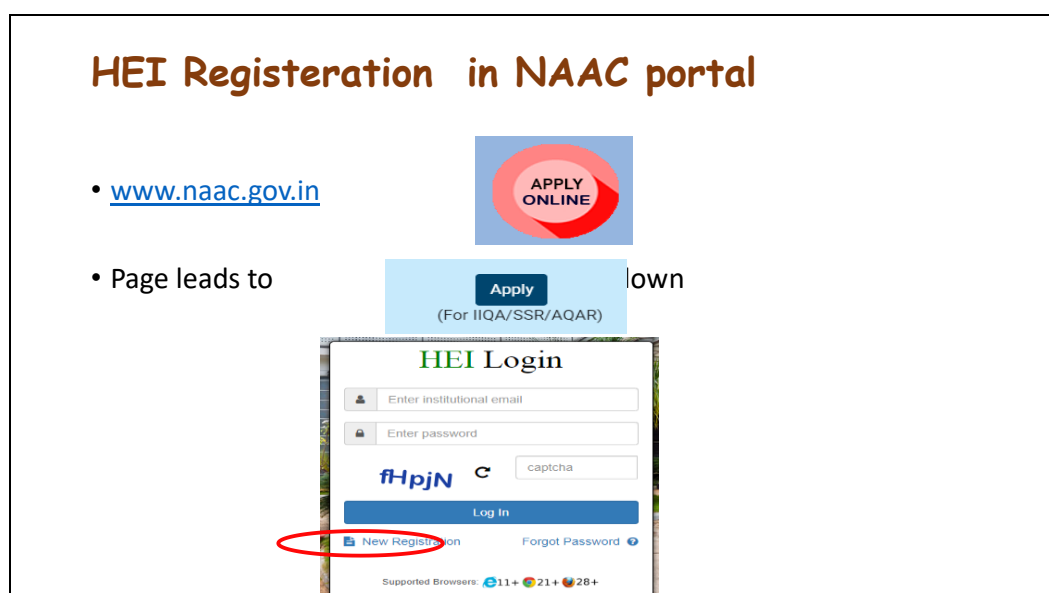


Figure 3: HEI Registration on NAAC Portal

**Process to be followed by HEIs for online registration is given below:**

- Visit [www.naac.gov.in](http://www.naac.gov.in)
- Click on Menu “Apply Online”
- Go to button “Apply (For IIQA/SSR/AQAR)”
- Click the link “New Registration”
- Receipt of auto-generated email containing
  - Activation link
  - Login credentials
- Activation of link within 7 days of receipt
- Login and reset password of your choice
- Fill the details in the registration form and upload the required documents - Exact name of the institution as mentioned in UGC records, AISHE certificate, SRA approval letters, URL of the Institutional website etc.
- Type: University / College
- AISHE Code
- Institutional email address
- URL of HEI website
- Mobile number for communication
- Are you previously accredited : Yes / No
- If yes:
  - Next Cycle of Accreditation (Accreditation / Re-assessment)
  - Previous email ID
  - Establishment date
  - State, City, Pin Code
  - Previous Accreditation details
  - Cycle no, Assessment Date, Grade Obtained, Certificate Proof
  - Click the Register button
- On successful completion of the registration, a HEI portal is created which is specific to the institution. For all future submissions HEI may login to their portal (HEI portal) with the credentials (institutional email id, password) which are received in HEI’s registered email id.
- The institution needs to submit all applications, and send communications to NAAC only through the HEI portal.

- In case the registered institution forgets the password, the “Forgot Password” option should be clicked and instructions to reset the password should be followed.
- For any queries regarding credentials the institutions may contact NAAC helpdesk [naachelpdesk@gmail.com](mailto:naachelpdesk@gmail.com) In all communications, it should be ensured that the **College Name, AISHE ID/ Track ID and Contact Number** are included.

Once the HEI portal is created, HEIs get to access all the submissions and status of processing and notifications issued by NAAC from time to time.

### **Information available through the HEI portal for future login**

- Applications statuses on Dashboard of HEI Portal.
- Online submission of all applications viz., IIQA, SSR, Uploading of SSS data, AQARs.
- Online submissions of clarifications / edit applications in IIQA, DVV, AQARs.
- Online payment of fee at various stages.
- Getting clarifications for queries through the support / help desk menu (IMS).
- Notifications and alerts.
- Any sort of communication to NAAC by HEI.
- Log on to the HEI portal and check registered email regularly for NAAC updates.

### **Data Requirements at Various Points - Assessment Period/Academic Year (IIQA/SSR)**

- For IIQA - ongoing academic year.
- For SSR - five completed years.
- Metrics related to admissions, examinations, curricular, co-curricular and extra-curricular activities shall be for the academic year i.e., 01<sup>st</sup> June to 31<sup>st</sup> May.
- Metrics related to finance/budget, it is the financial year from 01<sup>st</sup> April to 31<sup>st</sup> March.
- For publication related data, it is the calendar year i.e., 01<sup>st</sup> January to 31<sup>st</sup> December.
- Wherever the requirement mentions “current year data”, it is the data of the last completed academic year of the assessment period i.e., fifth year of assessment.
- Wherever the requirement mentions “previous completed year data”, it is the data of the fourth year of the assessment period.

## 2. Submission of Institutional Information for Quality Assessment (IIQA)


IIQA is a process which ascertains the eligibility of the institution for A&A by NAAC and its preparedness for accreditation. Prior to initiating the process, the applicant institution needs to fulfil the statutory requirements of the agencies which govern it. The IIQA process is mandatory for all institutions, and eligible HEIs seeking A&A are required to submit IIQA online only. **HEIs may submit the IIQA applications around the year.**

### Online IIQA submission process

- The institution has to submit the IIQA application through the HEI portal. Some of the fields are automatically populated to the IIQA application from the registration details provided by the institutions. The system also automatically displays the cycle number in the IIQA application based on the registration record.
- Using the tabs (basic eligibility, affiliation compliance, profile information, academic information, quality information) proceed for completing and submitting the IIQA.

The screenshot displays the 'HEI Portal' interface for submitting the IIQA application. The top navigation bar includes 'Basic Eligibility', 'Affiliation Compliance', 'Profile Information', 'Academic Information', and 'Quality Information'. The main content area is titled 'Institutional Information for Quality Assessment (IIQA) (For all Colleges including Autonomous Colleges)'. The form is for 'TEST COLLEGE, Hubli, Karnataka'. It includes fields for 'Cycle of Accreditation', 'Name of Higher Education Institution', 'City', 'State/UT', 'Date of establishment of the institution', and 'Years of graduation of the last two batches'. The form is for 'TEST COLLEGE, Hubli, Karnataka'. The 'Date of establishment of the institution' is set to '01/01/1980'. The 'Years of graduation of the last two batches' are '2018' and '2017'. A 'Save and Print' button is located at the bottom right of the form.

Figure 4: IIQA Filling Screenshot - HEI Portal



**Institutional Information for Quality Assessment (IIQA)**

AISHE ID : \_\_\_\_\_

Institution Track ID : \_\_\_\_\_

1	Application For	Accreditation								
	Cycle of Accreditation	Cycle3								
		<table border="1"> <thead> <tr> <th>Cycle</th> <th>Date</th> <th>Grade</th> </tr> </thead> <tbody> <tr> <td>1</td> <td></td> <td></td> </tr> <tr> <td>2</td> <td></td> <td></td> </tr> </tbody> </table>	Cycle	Date	Grade	1			2	
Cycle	Date	Grade								
1										
2										
2	Name of the College									
3	Date of establishment of the Institution									
4	Name of the Head of the Institution									
	Designation									
5	Does the college function from Own Campus									
6	Address of the College									
	State/UT									
	City									
	Pin									
	Phone No									
	Fax No									
	Mobile No									
	Registered Email									
	Alternate Email									

**Figure 5: Draft IIQA Filling Screenshot for University**

- To ensure the correctness of the data/information, it is advisable to double-check and verify the data/information prior to submission.
- Refer NAAC website for IIQA fee details and mode of payment. NAAC accepts only online payments so you may need to make necessary arrangements accordingly.
- All documents must be uploaded in PDF format only and each upload can be only one PDF and should normally not exceed 1 MB. To comply with this, merge all the



documents to be submitted under each of the question/serial number and after proper numbering, convert them to a single PDF document for each upload.

The following data/information pertaining to on-going academic year is required to be provided under the various sections of IIQA:

- Mandatorily mention all programs offered at the HEI.
- Number of programs offered based on subject combinations / subject specialisations chosen by newly admitted students.
- Number of teachers/staffs, number of students etc.
- Details of affiliation status.
- UGC section 2 (f) / 12 (B) status.
- Recognitions/approvals of statutory regulatory bodies such as AICTE/BCI etc., if any.
- URL of HEI website.

13	Is the Institution recognized under section 2(f) of the UGC Act?						
14	Is the Institution recognized under section 12B of the UGC Act?  If yes, date of recognition by UGC under section 12B along with latest Plan General Development Grant release letter						
15	Is the institution recognised as an Autonomous College by the UGC?						
16	Is the institution recognised as a 'College with Potential for Excellence (CPE)' by the UGC?						
17	Is the institution recognised as a 'College of Excellence' by the UGC?						
18	Is the College offering any programmes recognised by any Statutory Regulatory Authority (SRA)						
	Statutory Regulatory Authorities	<table border="1"> <thead> <tr> <th>SRA program</th> <th>Document</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> </tr> </tbody> </table>		SRA program	Document		
SRA program	Document						
19	If the institution is not affiliated to a university and is offering programmes recognized by any Statutory Regulatory Authorities (SRA), are the programmes recognized by Association of Indian Universities(AIU) or other appropriate Government authorities as equivalent to UG / PG Programmes of a University						

Figure 6: Draft IIQA Filling Screenshot for University

20	Number of programmes offered			
	Programmes		Number	
21	Programme Details			
	Program	Department	University Affiliation	SRA Recognition
				Affiliation Status
	2 / 3			
22	Number of Teaching Staff by employment status (permanent / temporary) and by gender			
	Male	Female	Transgender	Total
23	Number of Non-Teaching Staff by employment status (permanent / temporary) and by gender			
	Male	Female	Transgender	Total
24	Number of Students on roll by gender			
	Male	Female	Transgender	Total
25	Does the institution have statutory cells / committees			
26	Date of establishment of IQAC			
	The minutes of IQAC meeting and Action Taken Report should be uploaded on the institutional website.			
	Date		View Document	
27	Date of submission of AQARs of last 4 years to NAAC			
	Date		View Document	

Figure 7: Draft IIQA Filling Screenshot for University

(Downloadable PDF from NAAC website for draft filling of information and draft IIQA)

### **Documents required for uploading in IIQA**

- AISHE certificate.
- Latest university affiliation letter for all the programs offered.
- University Grants Commission (UGC) recognition for autonomous status (in the case of autonomous colleges).
- Approval from Statutory Regulatory Authority (SRA) like BCI, Pharmacy Council of India (PCI), National Council for Teacher Education (NCTE), Rehabilitation Council Of India (RCI), Council of Architecture (COA), Ayurveda, Yoga and Naturopathy, Unani, Siddha and Homeopathy (AYUSH), Indian Council of Agricultural Research (ICAR), AICTE etc. (If applicable).
- UGC 2(f) and 12(B) with the latest general development grant letter by UGC (if applicable).
- Universities with Potential for Excellence (UPE) status by UGC (if applicable).
- Name change certificate from the UGC / Ministry of Human Resource and Development (MHRD) / State Government / AISHE etc. (if applicable).
- Annual Quality Assurance Report (AQAR) submission for the last five years for Cycle 2 & subsequent cycles.
- The university website should be functional.
- Upload documents in PDF format.
- File size restriction of 1 MB for each upload.
- Undertaking (see “figure 8” below) by the HEIs complying with rules and regulations of the Central Government, State Government, UGC and other applicable SRA in the format provided by NAAC. This needs to be submitted on the institutional letterhead.

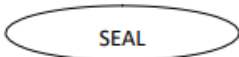
**(The following should be given on letterhead of the Institution)**  
**Undertaking**  
**(Universities / Colleges)**

**This is to declare that.....University / College**  
**Address:.....**  
..... adheres to the provisions of Statutory Regulatory Authorities (SRA- like UGC, AICTE, MCI, DCI, INC, AYUSH, PCI, RCI, BCI, and others) as applicable to the institution, and also undertakes to adhere to changes, if any, from time to time.

Further this is to declare and undertake that:

- A. The institution has valid approval / University affiliation for all the programme offered by the institution.
- B. The institution has obtained necessary approval / permission / recognition from appropriate SRA as under law and is valid / applied for renewal as applicable.
- C. The information / responses provided in IIQA online are genuine and valid.
- D. At the time of submission of IIQA, it is certified that the institution is not debarred of made ineligible for further renewal of affiliation /recognition etc., by any competent authority / court of Law.
- E. The students who have graduated from this Institution have been issued degree / PG certificate from the legally designated authorities.
- F. No Government body has declared the institution as an illegal entity.
- G. The institution undertakes to inform NAAC of any changes in the status indicated during / after submission of IIQA & thereof i.e., till the validation of the accreditation status bestowed upon them.
- H. The IIQA has been prepared & submitted online from within the institution with an IP address..... of computer belonging to the Institution.
- I. Acceptance of IIQA by NAAC is only provisional and the onus of adhering to eligibility norms lies with the Institution
- J. Institutional website is fully functional.

In case information provided is found to be contrary to the fact, it shall result in cancellation of NAAC grading, along with initiation of legal action. *It will be the total responsibility of the Institution to substantiate claims made by the Institution in its application to the satisfaction of NAAC when ever called for.*



SEAL

Date

Name and Signature with seal of the  
Head of the Institution

**Note: The above declaration will be displayed in the website of institution from the date of submission of IIQA till the accreditation by NAAC is valid.**

**Figure 8: Undertaking of compliance by the HEIs**

### Submission of IIQA

Fill all the details in the IIQA application, upload relevant documents at the appropriate places of the IIQA application, Verify and edit the data/information once again prior to submission, pay the fee online through the HEI portal only and submit the application.

### Important Points to be noted for IIQA submission

- **English translated version** of documents with self-attestation, if the documents are in regional language. E.g., State Governments' gazette notifications.
- Ensure the **name of the HEI is the same in IIQA application, SRA approval letter(s) (if applicable), UGC letter** granting autonomous status (if applicable) and AISHE certificate submitted. Otherwise, IIQA applications may not be processed further.
- Ensure that the **previous four years' AQARs are uploaded on the HEI website** (applicable for institutions applying for Cycle 2 and subsequent cycles).
- Ensure that the **HEI website is functioning**.
- **Correct cycle number** is entered during registration – accreditation / reassessment.
- Ensure the **Correct AISHE code** during the registration process.
- Details of all the **UG, PG and other higher education programs** offered at the institution including the PG diploma must be entered in **IIQA**. But in the case of **certificate/diploma programs, only numbers** need to be mentioned. Program details of certificate/diploma programs need not be entered. Please ensure that details for UG programs are to be entered by mentioning the subject combinations in the field “specialisation” for general programs whereas for honours programs, subject specialisation may be entered.
- Discrepancy in the data/information, and clarifications regarding IIQA are sent on the HEI portal. Response to **clarification should be only through the HEI portal and within the stipulated time**.
- Submit clarification and upload relevant documents within the stipulated timeline.
- **Edit option** for some columns of IIQA is also made available during the **clarification process**.
- **No timeline restriction for submission of IIQA after registration**.
- Before submission of data/information, please view the **tooltips** by moving the cursor on the **question mark symbol** at appropriate places in the IIQA application.

### Acceptance or Rejection of IIQA

Prior to taking a decision to reject or accept the IIQA, the HEI is given an opportunity to review and correct the data/discrepancies if any. If there is any discrepancy in the data/information provided or the required documents are not submitted by the HEI, a clarification will be sent on the HEI portal. The clarification should be answered only through the HEI portal. The HEI needs to provide the clarification and the required documents (if any) within the stipulated

timeline. During clarification, some of the columns will be enabled for editing so that the institution can correct and provide appropriate information in IIQA. After closing the clarification process, the IIQA is either accepted or rejected. The acceptance or rejection of IIQA will be intimated through the portal and by an auto-generated email to the registered email id.

- **IIQA accepted** – Submit SSR within 45 days from the date of acceptance of IIQA.
- **IIQA rejected** – Apply again for IIQA without paying fee within one year. HEIs may resubmit IIQA applications for a maximum of three attempts without IIQA fees, including the first rejection attempt, within the period of a year.

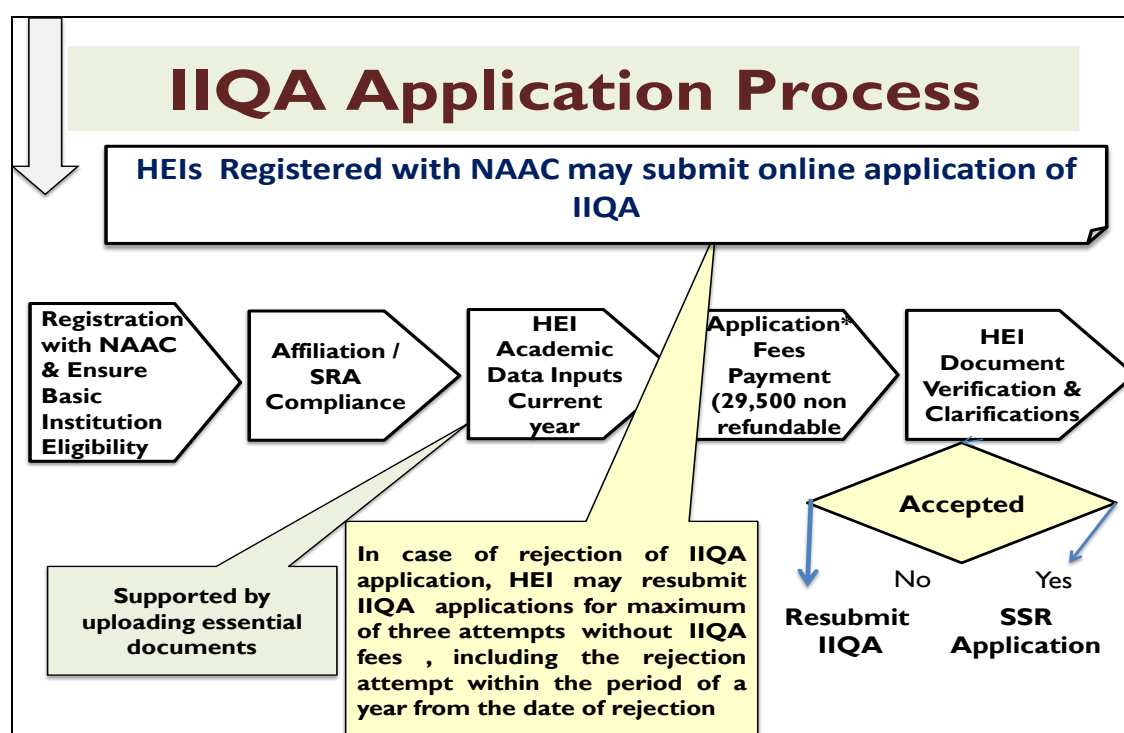


Figure 9: IIQA Application Process

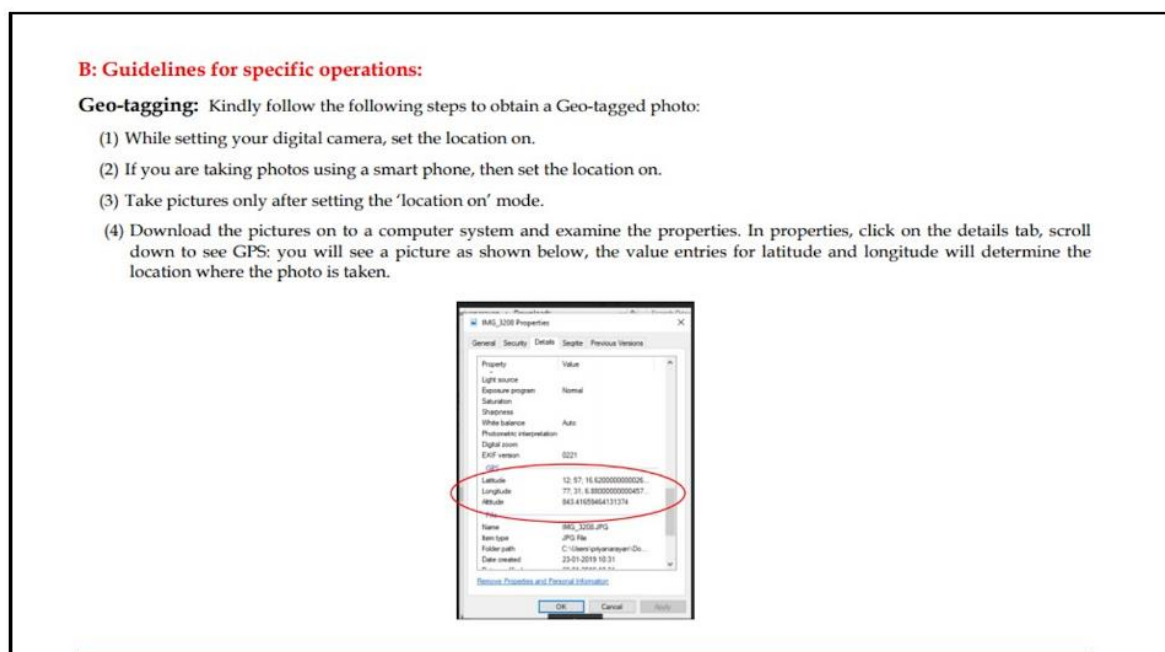
### 3. Preparation of the Self-Study Report (SSR)

The preparation of the Self-Study Report (SSR) by an institution is an intense exercise involving many stakeholders and the compilation of information from various individuals and departments. Apart from the academic and administrative aspects of institutional functioning, the framework also has components on the emerging issues both at the national and global levels.

### SSR Submission Readiness

- Understanding of metrics.
- Data and information submission of both Quantitative and Qualitative metrics.
- Data templates, supporting documents and links to supporting data or documents.
- File size of documents should not exceed 5 MB. If in case, it exceeds, upload the same on the institutional website and prepare a link which can be provided in the A&A documentation appropriately.
- Refer to standard operating procedure (SOP) helpful in SSR submission and DVV clarification.
- Refer to the glossary at the end of the manual for SSR and the tooltips at various places in online submission formats, such as metrics, sub-metrics, upload button etc., on clarity of various terms used by NAAC.
- Provide particular URL(s) instead of generic website address.
- Password protection to be avoided.
- Google drive links must be avoided.
- No other means of communication between HEI and DVV partner except the response box provided against each metric where queries are raised.
- Geotagged photographs (see figure below), complete information/properties of all geotagged photos ---- Refer to SOP.
- English translated version of all the supporting documents from regional languages.
- Extract of audited statements certified by the Chartered Accountant and head of the institution instead of the complete audit report for different metrics.





*Figure 10: Guidelines for Specific Operations*

### Details of various data required for filling up the online format of SSR

- Executive summary
- Profile of the institution
- Quality Indicator Framework (QIF)
- Evaluative report of the departments
- Data templates / documents (Quantitative metrics)
- Detailed write-up on the processes (Qualitative metrics)

### Executive Summary

Every HEI applying for the A&A process shall prepare an executive summary highlighting the main features of the Institution including:

- **Introductory note** on institution location, vision, mission, type of the institution etc.
- Brief note on **Strength, Weaknesses, Opportunities and Challenges (SWOC)** with respect to their institution.
- **Criterion-wise summary** on the institution's functioning in not more than 250 words for each criterion.

The criteria-based benchmarked assessment process forms the backbone of the A&A framework of NAAC. The seven criteria represent the core functions and activities of a HEI. The seven criteria that serve as the basis for the assessment of HEIs are:



- i. Curricular Aspects
- ii. Teaching-Learning and Evaluation
- iii. Research, Innovations and Extension
- iv. Infrastructure and Learning Resources
- v. Student Support and Progression
- vi. Governance, Leadership and Management
- vii. Institutional Values and Best Practices

Under each criterion, a few Key Indicators (KIs) are identified. These KIs are further delineated as metrics which actually elicit responses from the HEIs. These seven criteria along with their KIs are given below explaining the aspects they represent. The SSR has 56 metrics for affiliated/constituent colleges, covering the seven criteria described earlier. The SSR has two kinds of metrics: one, those requiring quantifiable facts and figures as data which have been indicated as ‘quantitative metrics’ (QnM); and two, those metrics requiring descriptive responses and are accordingly named ‘qualitative metrics’ (QIM).

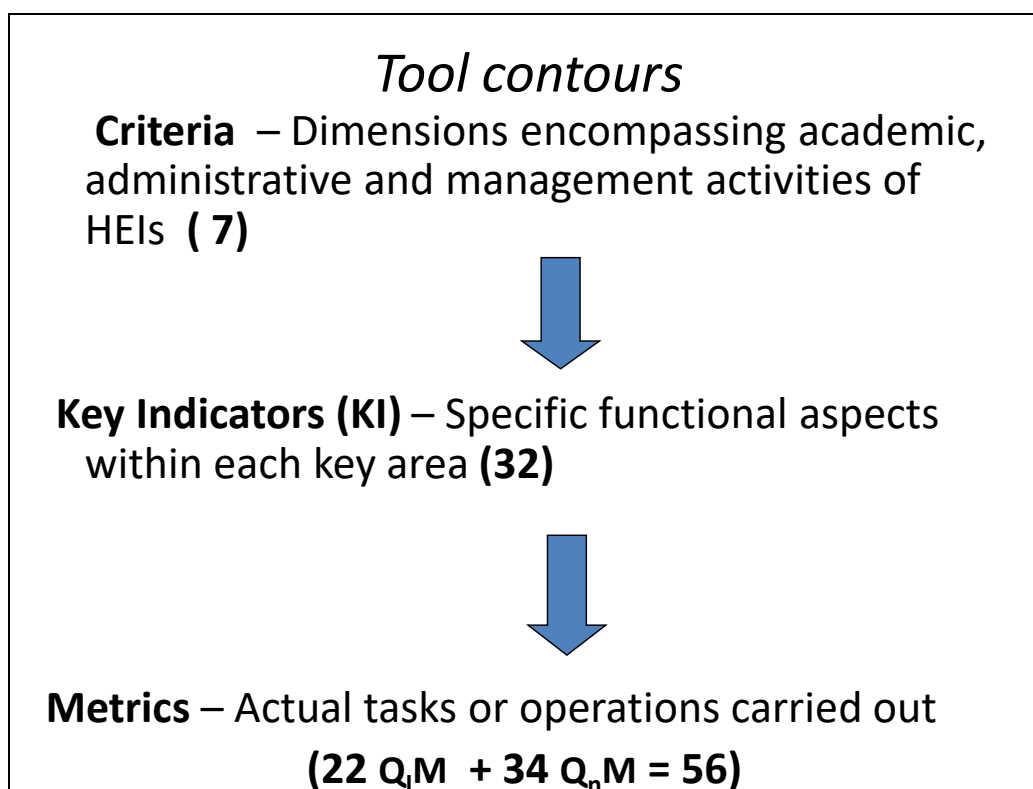


Figure 11: Tool Contours

**Quality Indicator Framework (QIF)****Metric and Weightage Details**

<b>Metric No.</b>		<b>Weightage</b>
<b>Criterion 1 – Curricular Aspects (100)</b>		
<b>Key Indicator - 1.1 Curricular Planning and Implementation (20)</b>		
1.1.1 Q <sub>I</sub> M	<i>The Institution ensures effective curriculum planning and delivery through a well-planned and documented process including Academic calendar and conduct of continuous internal Assessment</i>	20
<b>Key Indicator - 1.2 Academic Flexibility (30)</b>		
1.2.1 Q <sub>n</sub> M	<i>Number of Certificate/Value added courses offered and online courses of MOOCs, SWAYAM, NPTEL etc. where the students of the institution have enrolled and successfully completed during the last five years</i>	15
1.2.2 Q <sub>n</sub> M	<i>Percentage of students enrolled in Certificate/ Value added courses and also completed online courses of MOOCs, SWAYAM, NPTEL etc. as against the total number of students during the last five years</i>	15
<b>Key Indicator - 1.3 Curriculum Enrichment (30)</b>		
1.3.1. Q <sub>I</sub> M	<i>Institution integrates crosscutting issues relevant to Professional Ethics, Gender, Human Values, Environment and Sustainability in transacting the Curriculum</i> Write description in a maximum of 500 words	10
1.3.2. Q <sub>n</sub> M	<i>Percentage of students undertaking project work/field work/ internships (Data for the latest completed academic year)</i>	20
<b>Key Indicator - 1.4 Feedback System (20)</b>		
1.4.1. Q <sub>n</sub> M	<i>Institution obtains feedback on the academic performance and ambience of the institution from various stakeholders, such as Students, Teachers, Employers, Alumni etc. and action taken report on the feedback is made available on institutional website</i>	20
<b>Criteria 2 – Teaching-Learning and Evaluation (350)</b>		
<b>Key Indicator - 2.1. Student Enrolment and Profile (40)</b>		
2.1.1. Q <sub>n</sub> M	<i>Enrolment percentage</i>	20
2.1.2 Q <sub>n</sub> M	<i>Percentage of seats filled against reserved categories (SC, ST, OBC etc.) as per applicable reservation policy for the first-year admission during the last five years</i>	20
<b>Key Indicator - 2.2. Student Teacher Ratio (40)</b>		
2.2.1. Q <sub>n</sub> M	<i>Student – Full time Teacher Ratio</i> (Data for the latest completed academic year)	40
<b>Key Indicator - 2.3. Teaching- Learning Process (40)</b>		
2.3.1. Q <sub>I</sub> M	<i>Student centric methods, such as experiential learning, participative learning and problem-solving methodologies are used for enhancing</i>	40

	<i>learning experiences and teachers use ICT- enabled tools including online resources for effective teaching and learning process</i>	
<b>Key Indicator - 2.4 Teacher Profile and Quality (40)</b>		
2.4.1. Q <sub>n</sub> M	<i>Percentage of full-time teachers against sanctioned posts during the last five years</i>	15
2.4.2. Q <sub>n</sub> M	<i>Percentage of full-time teachers with NET/SET/SLET/ Ph. D./D.Sc. / D.Litt./L.L.D. during the last five years (consider only highest degree for count)</i>	25
<b>Key Indicator - 2.5. Evaluation Process and Reforms (40)</b>		
2.5.1. Q <sub>i</sub> M	<i>Mechanism of internal/ external assessment is transparent and the grievance redressal system is time- bound and efficient</i>	40
<b>Key Indicator - 2.6 Student Performance and Learning Outcome (90)</b>		
2.6.1. Q <sub>i</sub> M	<i>Programme Outcomes (POs) and Course Outcomes (COs) for all Programmes offered by the institution are stated and displayed on website</i>	25
2.6.2 Q <sub>i</sub> M	<i>Attainment of POs and COs are evaluated. Explain with evidence in a maximum of 500 words. File Description:</i> <ul style="list-style-type: none"> <li>• Upload Additional information</li> <li>• Provide Link for Additional information</li> </ul>	20
2.6.3 Q <sub>n</sub> M	<i>Pass percentage of Students during last five years (excluding backlog students)</i>	45
<b>Key Indicator - 2.7 Student Satisfaction Survey (60)</b>		
2.7.1. Q <sub>n</sub> M	<i>Online student satisfaction survey regarding teaching learning process.</i>	60
<b>Criteria 3 – Research, Innovations and Extension (110)</b>		
<b>Key Indicator 3.1 - Resource Mobilization for Research (10)</b>		
3.1.1. Q <sub>n</sub> M	<i>Grants received from Government and non-governmental agencies for research projects / endowments in the institution during the last five years</i>	10
<b>Key Indicator 3.2 - Innovation Ecosystem (15)</b>		
3.2.1 Q <sub>i</sub> M	<i>Institution has created an ecosystem for innovations, Indian Knowledge System (IKS), including awareness about IPR, establishment of IPR cell, Incubation centre and other initiatives for the creation and transfer of knowledge/technology and the outcomes of the same are evident</i>	10
3.2.2 Q <sub>n</sub> M	<i>Number of workshops/seminars/conferences including programs conducted on Research Methodology, Intellectual Property Rights (IPR) and entrepreneurship during the last five years</i>	5
<b>Key Indicator 3.3 - Research Publication and Awards (25)</b>		
3.3.1. Q <sub>n</sub> M	<i>Number of research papers published per teacher in the Journals as notified on UGC CARE list during the last five years</i>	10

3.3.2. Q <sub>n</sub> M	<i>Number of books and chapters in edited volumes/books published and papers published in national/ international conference proceedings per teacher during last five years</i>	15
<b>Key Indicator 3.4 - Extension Activities (40)</b>		
3.4.1. Q <sub>i</sub> M	<i>Outcomes of Extension activities in the neighbourhood community in terms of impact and sensitising the students to social issues for their holistic development during the last five years.</i>	15
3.4.2 Q <sub>i</sub> M	<i>Awards and recognitions received for extension activities from government / government recognised bodies</i>	5
3.4.3 Q <sub>n</sub> M	<i>Number of extension and outreach programs conducted by the institution through organised forums including NSS/NCC with involvement of community during the last five years</i>	20
<b>Key Indicators 3.5 - Collaboration (20)</b>		
3.5.1 Q <sub>n</sub> M	<i>Number of functional MoUs/linkages with institutions/ industries in India and abroad for internship, on-the-job training, project work, student / faculty exchange and collaborative research during the last five years</i>	20
<b>Criterion 4 – Infrastructure and Learning Resources (100)</b>		
<b>Key Indicator - 4.1 Physical Facilities (30)</b>		
4.1.1. Q <sub>i</sub> M	<i>The Institution has adequate infrastructure and other facilities for</i> <i>a. teaching – learning, viz., classrooms, laboratories, computing equipment etc.</i> <i>b. ICT – enabled facilities such as smart class, LMS etc.</i> <i>c. Facilities for Cultural and sports activities, yoga centre, games (indoor and outdoor), Gymnasium, auditorium etc.</i>	20
4.1.2. Q <sub>n</sub> M	<i>Percentage of expenditure for infrastructure development and augmentation excluding salary during the last five years</i>	10
<b>Key Indicator - 4.2 Library as a learning Resource (20)</b>		
4.2.1. Q <sub>i</sub> M	<i>Library is automated with digital facilities using Integrated Library Management System (ILMS), adequate subscriptions to e-resources and journals are made. The library is optimally used by the faculty and students</i>	20
<b>Key Indicator - 4.3 IT Infrastructure (30)</b>		
4.3.1. Q <sub>i</sub> M	<i>Institution frequently updates its IT facilities and provides sufficient bandwidth for internet connection</i>	20
4.3.2. Q <sub>i</sub> M	<i>Student – Computer ratio (Data for the latest completed academic year)</i>	10
<b>Key Indicator - 4.4 Maintenance of Campus Infrastructure (20)</b>		
4.4.1 Q <sub>n</sub> M	<i>Percentage expenditure incurred on maintenance of physical facilities and academic support facilities excluding salary component, during the last five years</i>	20
<b>Criterion 5 – Student Support and Progression (140)</b>		
<b>Key Indicator - 5.1 Student Support (50)</b>		

5.1.1 QnM	<i>Percentage of students benefited by scholarships and free-ships provided by the institution, government and non-government bodies, industries, individuals, philanthropists during the last five years</i>	20
5.1.2 QnM	<i>Following capacity development and skills enhancement activities are organised for improving students' capability</i> 1. Soft skills 2. Language and communication skills 3. Life skills (Yoga, physical fitness, health and hygiene, self-employment and entrepreneurial skills) 4. Awareness of trends in technology	10
5.1.3. QnM	<i>Percentage of students benefited by guidance for competitive examinations and career counselling offered by the Institution during the last five years</i>	10
5.1.4 QnM	<i>The institution adopts the following for redressal of student grievances including sexual harassment and ragging cases</i> 1. Implementation of guidelines of statutory/regulatory bodies 2. Organisation wide awareness and undertakings on policies with zero tolerance 3. Mechanisms for submission of online/offline students' grievances 4. Timely redressal of the grievances through appropriate committees	10
<b>Key Indicator - 5.2 Student Progression (35)</b>		
5.2.1. QnM	<i>Percentage of placement of outgoing students and students progressing to higher education during the last five years</i>	25
5.2.2. QnM	<i>Percentage of students qualifying in state/national/ international level examinations during the last five years</i>	10
<b>Key Indicator - 5.3 Student Participation and Activities (45)</b>		
5.3.1. QnM	<i>Number of awards/medals for outstanding performance in sports/ cultural activities at university / state/ national / international level during the last five years</i>	20
5.3.2. QnM	<i>Average number of sports and cultural programs in which students of the Institution participated during last five years</i>	25
<b>Key Indicator - 5.4 Alumni Engagement (10)</b>		
5.4.1. QIM	<i>There is a registered Alumni Association that contributes significantly to the development of the institution through financial and/or other support services</i>	10
<b>Criterion 6 – Governance, Leadership and Management (100)</b>		
<b>Key Indicator - 6.1 Institutional Vision and Leadership (15)</b>		
6.1.1 QIM	<i>The institutional governance and leadership are in accordance with the vision and mission of the Institution and it is visible in various institutional practices such as NEP implementation, sustained institutional growth, decentralisation, participation in the institutional</i>	15

	<i>governance and in their short term and longterm Institutional Perspective Plan.</i>	
<b>Key Indicator - 6.2 Strategy Development and Deployment (12)</b>		
6.2.1 Q <sub>1</sub> M	<i>The institutional perspective plan is effectively deployed and functioning of the institutional bodies is effective and efficient as visible from policies, administrative setup, appointment, service rules, and procedures, etc.</i>	8
6.2.2 Q <sub>n</sub> M	<i>Institution implements e-governance in its operations</i> <ol style="list-style-type: none"> <li>1. Administration including complaint management</li> <li>2. Finance and Accounts</li> <li>3. Student Admission and Support</li> <li>4. Examinations</li> </ol>	4
<b>Key Indicator - 6.3 Faculty Empowerment Strategies (33)</b>		
6.3.1 Q <sub>1</sub> M	<i>The institution has performance appraisal system, effective welfare measures for teaching and non-teaching staff and avenues for career development/progression</i>	6
6.3.2 Q <sub>n</sub> M	<i>Percentage of teachers provided with financial support to attend conferences/workshops and towards membership fee of professional bodies during the last five years</i>	12
6.3.3 Q <sub>n</sub> M	<i>Percentage of teaching and non-teaching staff participating in Faculty development Programmes (FDP), Management Development Programmes (MDPs) professional development /administrative training programs during the last five years</i>	15
<b>Key Indicator - 6.4 Financial Management and Resource Mobilization (10)</b>		
6.4.1 Q <sub>1</sub> M	<i>Institution has strategies for mobilisation and optimal utilisation of resources and funds from various sources (government/ non-government organisations) and it conducts financial audits regularly (internal and external)</i>	10
<b>Key Indicator - 6.5 Internal Quality Assurance System (30)</b>		
6.5.1 Q <sub>1</sub> M	<i>Internal Quality Assurance Cell (IQAC) has contributed significantly for institutionalising the quality assurance strategies and processes. It reviews teaching learning process, structures &amp; methodologies of operations and learning outcomes at periodic intervals and records the incremental improvement in various activities</i>	15
6.5.2 Q <sub>n</sub> M	<i>Quality assurance initiatives of the institution include:</i> <ol style="list-style-type: none"> <li>1. Regular meeting of Internal Quality Assurance Cell (IQAC); quality improvement initiatives identified and implemented</li> <li>2. Academic and Administrative Audit (AAA) and follow-up action taken</li> <li>3. Collaborative quality initiatives with other institution(s)</li> <li>4. Participation in NIRF and other recognized rankings</li> <li>5. Any other quality audit/accreditation recognized by state, national or international agencies such as NAAC, NBA etc.</li> </ol>	15
<b>Criterion 7 – Institutional Values and Best Practices (100)</b>		



<b>Key Indicator - 7.1 Institutional Values and Social Responsibilities (50)</b>		
7.1.1 Q <sub>1</sub> M	<i>Institution has initiated the Gender Audit and measures for the promotion of gender equity during the last five years.</i>	10
7.1.2 Q <sub>n</sub> M	<i>The Institution has facilities and initiatives for</i> <ol style="list-style-type: none"> <li>1. <i>Alternate sources of energy and energy conservation measures</i></li> <li>2. <i>Management of the various types of degradable and non-degradable waste</i></li> <li>3. <i>Water conservation</i></li> <li>4. <i>Green campus initiatives</i></li> <li>5. <i>Disabled-friendly, barrier free environment</i></li> </ol>	20
7.1.3 Q <sub>n</sub> M	<i>Quality audits on environment and energy regularly undertaken by the Institution. The institutional environment and energy initiatives are confirmed through the following</i> <ol style="list-style-type: none"> <li>1. <i>Green audit / Environment audit</i></li> <li>2. <i>Energy audit</i></li> <li>3. <i>Clean and green campus initiatives</i></li> <li>4. <i>Beyond the campus environmental promotion and sustainability activities</i></li> </ol>	10
7.1.4 Q <sub>1</sub> M	<i>Describe the Institutional efforts/initiatives in providing an inclusive environment i.e., tolerance and harmony towards cultural, regional, linguistic, communal socioeconomic diversity and Sensitization of students and employees to the constitutional obligations: values, rights, duties and responsibilities of citizens</i>	10
<b>Key Indicator - 7.2 Best Practices (30)</b>		
7.2.1 Q <sub>1</sub> M	<i>Describe two best practices successfully implemented by the Institution as per NAAC format provided in the Manual</i>	30
<b>Key Indicator - 7.3 Institutional Distinctiveness (20)</b>		
7.3.1 Q <sub>1</sub> M	<i>Portray the performance of the Institution in one area distinctive to its priority and thrust within 1000 words</i>	20

### Profile of the Institution (Non-Evaluative)

This section is to understand the institution prior to evaluation and also support the evaluation process in identifying any major gaps or understanding of the institution in filling the data. While the information or data provided here is used for cross verification, it does not have any marks/weightage assigned for the calculation of CGPA/Grading. The following information is sought under this section. The implementation of the recent reforms such as NEP 2020 might also need to be provided.

#### 1. Basic Information

- Name and address of the college
- Communication: Principal, Vice-Principal & IQAC Coordinator
- Status of the institution: Affiliated college, Constituent college, any other (specify).

## 2. Academic Information

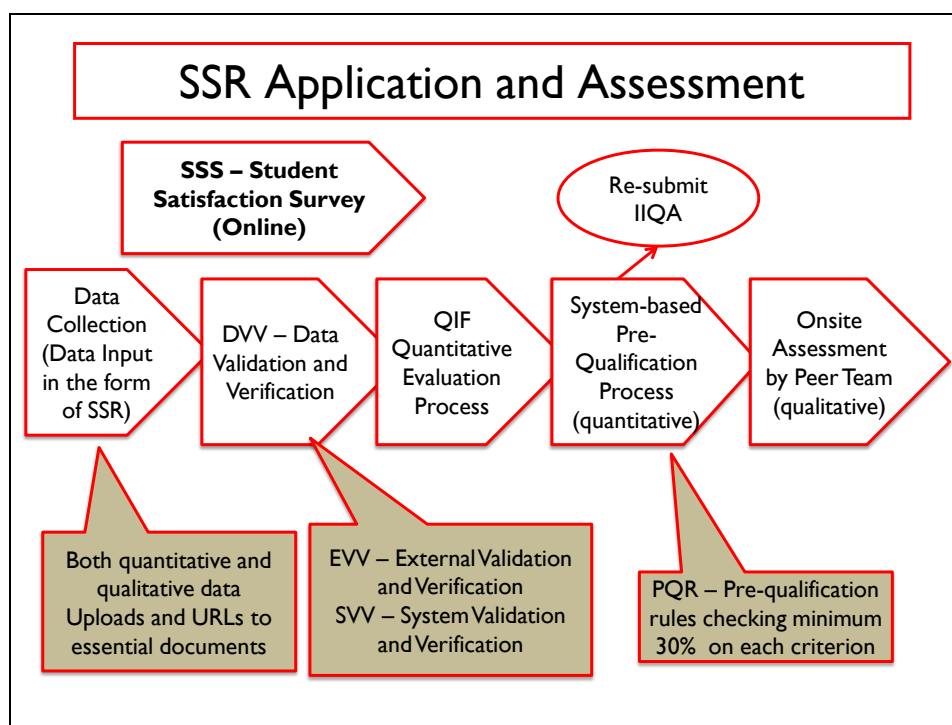
- Details of programmes offered by the college
- Position details of faculty & staff in the college, non-teaching staff, technical staff
- Qualification details of the teaching staff
- Details of students enrolled in the college during the current academic year
- Students admitted to the college during the last five academic years

Figure 12: Details of the Programs offered by the Institution

Ext. Pf. No.		Used in calculation of metric												
1.1	<p>Number of students on rolls year-wise during the last five years</p> <p>(all students in camps needs to be considered here)</p> <table><tr><td>Year</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>Number</td><td></td><td></td><td></td><td></td><td></td></tr></table> <p><u>Upload the specific document as per description given below</u></p> <ul style="list-style-type: none"><li>• Institutional data in the prescribed format (data template)<ul style="list-style-type: none"><li>• Provide the relevant information in institutional website as part of public disclosure</li></ul></li></ul> <p>Apart from the above: Provide Links for any other relevant document to support the claim (if any)</p>	Year						Number						2.2.2 4.3.2 5.1.1
Year														
Number														
1.2	<p>Number of final year-outgoing students year wise during last five years</p> <table><tr><td>Year</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>Number</td><td></td><td></td><td></td><td></td><td></td></tr></table> <p><u>Upload the specific document as per description given below</u></p> <ul style="list-style-type: none"><li>• Institutional data in the prescribed format (data template)<ul style="list-style-type: none"><li>• Provide the relevant information in institutional website as part of public disclosure</li></ul></li></ul> <p>Apart from the above:</p>	Year						Number						2.6.2 5.2.1 5.2.2 5.2.3
Year														
Number														

Figure 13: Extended Profile of the Institution





**Figure 14: SSR Application and Assessment**

#### 4. Data Validation & Verification (DVV) Process

Data Validation & Verification (DVV) has been introduced as an important step in the entire A&A process to ensure reliability and enhanced accuracy of the overall grading by NAAC. It is aimed at ensuring correctness of data submitted by institutions in the SSR.

- The **Quantitative Metrics (QnM)** of SSR will be sent for the DVV process.
- DVV partners verifies the data of all QnM provided in SSR application, data templates, supporting documents and other external sources. DVV partners may raise queries for those metrics where deviations are found in the data.
- Institutions found to be providing **incorrect information/data during validation and verification stage will be asked for clarifications.**
- The queries are available in the HEI portal against each metric. The institution is requested to submit clarification/edit data/ provide supporting documents which are appropriate.
- On the basis of clarifications submitted by the HEIs, the data will be sent again for the DVV process.
- The detailed information about the supporting documents during the DVV process are available on SOP.

- If the data is large, the document(s) may be provided for a small random selection of data asked by DVV partners.
- On the basis of SOP, HEI needs to upload supporting documents and respond to DVV clarification within the stipulated timeline.
- There will be only one chance to edit the data from the HEI end. HEIs should take care while editing the data. HEIs timely response to clarification within the stipulated time will avoid delay in processing the SSR.
- There is a fixed timeline for the entire DVV process. Institutions are supposed to respond within stipulated time given by DVV partner during DVV clarification stage.

### SOP for DVV

- HEI provides the supporting documents during the SSR submission to facilitate speedy DVV clarification process.
- It is mandatory to respond to all the **DVV clarifications raised in extended profile and metrics within stipulated time.**
- The NAAC portal supports only 5 MB data. If the HEI's data exceed, the HEI will host the supporting documents in the HEI's website and provide the link of the same in the template and/or in the HEI-DVV clarification space.
- Metric wise documents/specific instructions to HEI are available on SOP for all QnM.
- For documents in regional language, kindly provide an attested translated version in English.
- Though the data is large, the HEI has to fill the data template. During DVV clarification, the DVV will seek for sample selective documents for validation.

### Non-compliance of DVV Process

- Institutions are **given 15 days' time** to complete the DVV process and are supposed to respond within stipulated time during the DVV clarification stage. In **unforeseen situations (such as natural calamities, political disturbances and alike)** when institutions fail to comply with the DVV process, a **further extension of 7 days** shall be granted based on a decision from the competent authority.
- If even beyond the extension, the institution does not comply with the DVV clarification process, the A&A of such HEIs can be terminated at the level of DVV clarification. Also, the first instalment fee paid for IIQA and SSR will be forfeited.

Such institutions shall reapply for accreditation after one year of cooling period by submission of IIQA and filling SSR afresh.

Figure 15: DVV Support/Helpdesk

## 5. Student Satisfaction Survey (SSS)

- SSS will be conducted simultaneously with the DVV process.
- Institutions will have to submit the entire database of students with e-mail/mobile numbers, at the time of filling in the online SSR itself.
- The SSS questionnaire consisting of 20 objective and 01 subjective questions will be e-mailed to all students and the following rule will be applied for processing the responses:
  - i. For Colleges – (UG/PG and Autonomous) responses should be received from at least 10% of the student population or 100 whichever is lesser.
  - ii. For Universities - 10% of the student population or 500, whichever is lesser.
- If the response rate is lower than the limits mentioned by NAAC, the metric will not be taken up for evaluation.
- SSS will be completed within one month after its initiation.

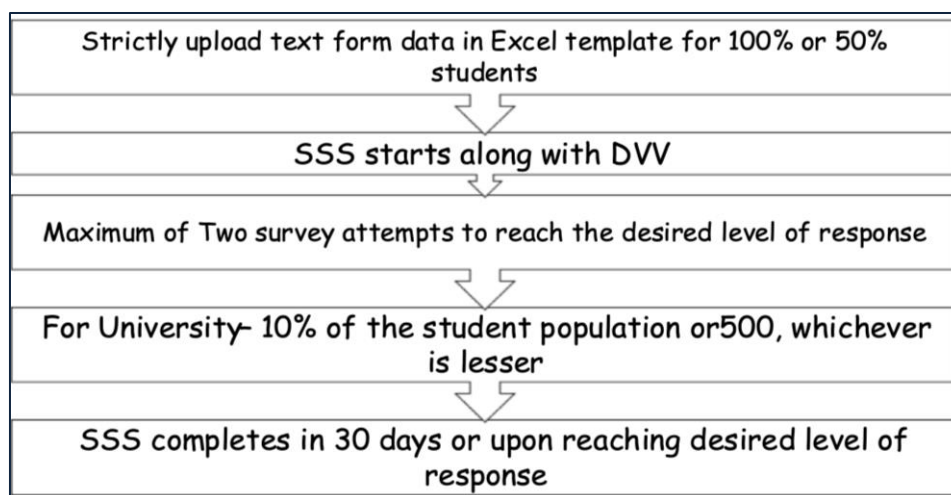


Figure 16: Guidelines for HEIs on SSS

Details of Students have to be mentioned in prescribed format- Data template for metric 2.7.1.									
2.7 Student Satisfaction Survey (60)									
2.7.1 Online student satisfaction survey regard to teaching learning process (all currently enrolled students).									
(Online survey to be conducted and details of the students in the format mentioned below should be uploaded)									
Name of the student	Gender	Category	State of Domicile	Nationality of other than Indian	Email ID	Program name	Unique Enrolment ID	Mobile Number	Year of joining

Figure 17: Requirement of students details while submitting the SSS online

Currently students on roll is 4000 students mentioned in IIQA	50% Currently students on roll details to submitted (2000) students
30% of 2000 i.e., 600 students will be receiving the link for SSS	10% of total 4000 students i.e., 400 or 500 should complete the survey.
If only 399 students answer the survey:- Zero will be the score	HEIs should encourage the students but not influence the students.

Figure 18: Some examples of Random Sampling

Metric No.		Weightage
<b>2.7.1</b> <b>QaM</b>	<p><b>Online Student Satisfaction Survey regarding the teaching-learning process.</b> <b>( Online survey to be conducted)</b></p> <p>Data Requirements: (As per Data Template)</p> <ul style="list-style-type: none"> <li>• Name/ Class/ Gender</li> <li>• Student Id number/ Aadhar number</li> <li>• Mobile number</li> <li>• Email id</li> <li>• Degree Programme</li> </ul> <p>(Database of all currently enrolled students need to be prepared and shared with NAAC along with the online submission of QIF)</p> <p><b>File Description</b></p> <ul style="list-style-type: none"> <li>• Upload any additional information</li> <li>• Upload database of all currently enrolled students (Data Template)</li> </ul>	<b>30</b>

**Figure 19: Online SSS regarding the teaching-learning process**

The metrics and questions in the framework are nothing but data and information on the inputs, processes, output and outcomes of the HEI. The quantitative questions or QnM consists of the information mainly in the form of data pertaining to the input and output/outcomes and either direct or indirect derived through defined variables (formula-based block questions or direct values). The qualitative questions or the Qualitative Metrics (QIM) are those which seek information on the processes of the institution. They are essentially:

- 5-year 2 stage (formula based)
- 5-year block question (formula based)
- Quantitative questions asking number (without formula year wise or block period)
- Current year data

Key Indicator – 1.4 Feedback System (20)		
Metric No.		Weightage
1.4.1	Structured feedback for curriculum and its transactions is regularly obtained from stakeholders like Students, Teachers, Employers, Alumni, Academic peers etc., and Feedback processes of the institution may be classified as follows:	20
Q <sub>n</sub> M	<p>A. Feedback collected, analysed, action taken &amp; communicated to relevant body and feedback hosted on the institutional website</p> <p>B. Feedback collected, analysed, action has been taken and communicated to the relevant body</p> <p>C. Feedback collected and analysed</p> <p>D. Feedback collected</p> <p>E. Feedback not collected</p> <p style="text-align: right;">Opt anyone</p> <p><u>Upload the specific document as per description given below</u></p> <ul style="list-style-type: none"> <li>• Institutional data in the prescribed format (data template)</li> <li>• At least 4 filled-in feedback form from different stake holders like Students, Teachers, Employers, Alumni etc.</li> <li>• Feedback analysis report submitted to appropriate committee/bodies</li> <li>• Action taken report on the feedback analysis and its report to appropriate committee/bodies</li> <li>• Link of institution's website where comprehensive feedback, its analytics and action taken report are hosted</li> </ul>	

Figure 20: Feedback System

2.1.1		Enrollment Percentage					5																	
Q <sub>n</sub> M	2.1.1.1: Number of Sanctioned seats year-wise during the last five years																							
	2.1.1.2: Number of seats filled year-wise during the last five years, (only first-year admissions to be considered)																							
	<table border="1"><tr><td>Year</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>Number of sanctioned seats</td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>Number of seats filled</td><td></td><td></td><td></td><td></td><td></td></tr></table>		Year						Number of sanctioned seats						Number of seats filled									
Year																								
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Formula:																								
$\frac{\text{Total number of seats filled yearwise}}{\text{Total number of sanctioned seats yearwise}} \times 100$																								
<u>Upload the specific document as per description given below</u>																								
<ul style="list-style-type: none"><li>• Institutional data in the prescribed format (data template)</li><li>• Document relating to sanction of intake as approved by competent authority</li><li>• Admission extract signed by the competent authority (only fresh admissions to be considered)</li></ul>																								
Apart from the above:																								
Provide Links for any other relevant document to support the claim (if any)																								

Figure 21: Enrolment percentage of students



<b>1.3.3</b>  <b>Q<sub>n</sub>M</b>	<p><b>Percentage of Programmes that have components of field projects / research projects / internships during last five years</b></p> <p>1.3.3.1: Number of programmes that have components of field projects/research projects/internships (without repeat count) during last five years <input type="text"/></p> <p>1.3.3.2: Number of programmes offered (without repeat count) during last five years <input type="text"/></p> $\frac{\text{Total Number of Programs that have components of field projects / research projects internships during the last five years}}{\text{Total Number of Programs offered during the last five years}} \times 100$ <p><u>Upload the specific document as per description given below</u></p> <ul style="list-style-type: none"> <li>• Institutional data in the prescribed format (data template)</li> <li>• Program and course contents having element of field projects / research projects / internships as approved by BOS</li> <li>• Sample Internship completion letter provided by host institutions</li> <li>• Sample Evaluated project report/field work report submitted by the students</li> </ul>	<p><b>5</b></p>
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Figure 22: Percentage of programs with field projects/research projects/internships

<b>2.3.1</b>  <b>Q<sub>i</sub>M</b>	<p><i>Student centric methods, such as experiential learning, participative learning and problem solving methodologies are used for enhancing learning experience and teachers use ICT-enabled tools including online resources for effective teaching learning process</i></p> <p>Write a description in maximum of 500 words</p> <p><b>File Description</b></p> <ul style="list-style-type: none"> <li>• Upload any additional information</li> <li>• Provide Link for Additional Information</li> </ul>	<p><b>10</b></p>
<b>2.3.2</b>  <b>Q<sub>i</sub>M</b>	<p><i>The institution adopts effective Mentor-Mentee Schemes to address academics and student-psychological issues</i></p> <p>Write a description in maximum of 500 words</p> <p><b>File Description</b></p> <ul style="list-style-type: none"> <li>• Upload any additional information</li> <li>• List of Active mentors</li> <li>• Provide Link for Additional Information</li> <li>•</li> </ul>	<p><b>10</b></p>

Figure 23: Qualitative question on Student Performance and Learning Outcomes

**Best Practices:** In simple terms, the practices which add commendable value to an institution and its various stakeholders are the **best practices!**

Metric No.		Weightage
7.2.1 QnM	<p><b>Describe two Best practices successfully implemented by the Institution as per the NAAC format provided in the Manual.</b></p> <p><b>Provide web link to:</b></p> <ul style="list-style-type: none"> <li>• Best practices as hosted on the Institutional website</li> <li>• Any other relevant information</li> </ul>	30

**Note:**

**Format for the Presentation of Institutional Best Practices**

- 1. Title of the Practice**  
The title/s should capture the keywords that describe the practice.
- 2. Objectives of the Practice**  
What are the objectives/intended outcomes of this “best practice” and what are the underlying principles or concepts of this practice? (in about 100 words)
- 3. The Context**  
What were the contextual features or challenging issues that needed to be addressed in designing and implementing this practice? (in about 150 words)
- 4. The Practice**  
Describe the practice and its uniqueness in the context of Indian higher education. What were the constraints/limitations, if any, faced? (in about 400 words)
- 5. Evidence of Success**  
Provide evidence of success such as performance against targets and benchmarks, review/results. What do these results indicate? Describe in about 200 words.
- 6. Problems Encountered and Resources Required**  
Please identify the problems encountered and resources required to implement the practice (in about 150 words).
- 7. Notes (Optional)**  
Please add any other information that may be relevant for

**Figure 24: Qualitative question (500 words) on Best Practices**

**Institutional Distinctiveness:** How has the HEI transformed the lives of generations of students who pursued their education on the campus? In other words, how did the campus experiences mould the students for a better living?

### Data Templates / Documents

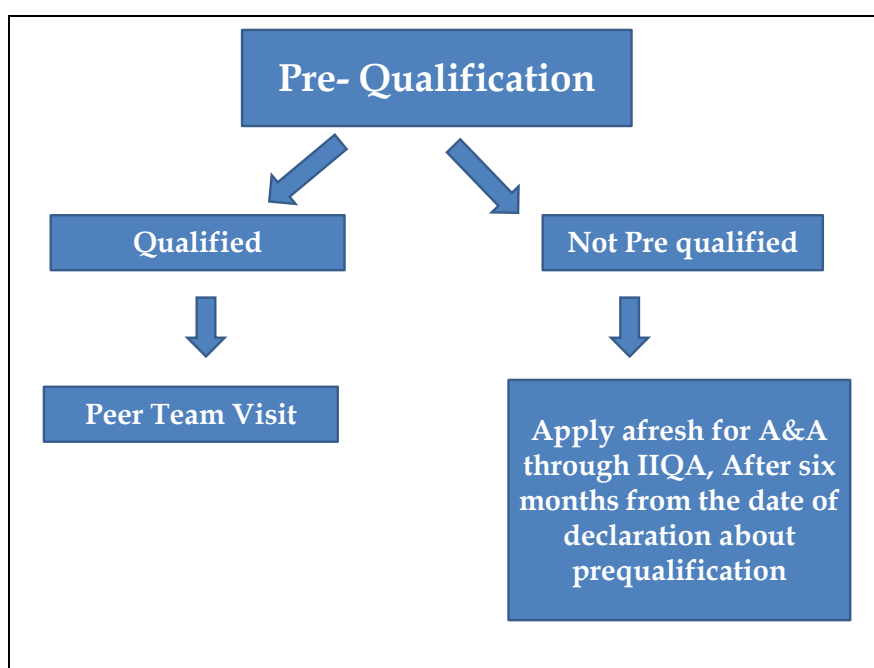
- The online formats (templates) for submitting data with respect to QnM are given in consecutive pages. Kindly note that for each QnM, the kind of data to be uploaded are indicated in tabular form and/ or documents required are listed.
- Documents such as minutes of meeting, decisions, statements of accounts, award letters, letters of appointments, etc., need to be uploaded as required; wherever these are in bulk, hyperlinks to the appropriate website be given.
- There could be some variation in the metrics from the QIF; this is due to rendering it to the IT format for online submission.



SOP for universities/autonomous & affiliated colleges are available on NAAC websites for clear understanding on what kind of supporting document(s) to be uploaded for each QnM. These documents are only suggestive.

## 6. Pre-Qualification

- After completion of the DVV process, the scores will be generated to all QnM based on the benchmarks. As of now, benchmarks are confidential with NAAC and will not be disclosed to the public. If an institution scores at least 30% in overall QnM, then the institution will be declared as Pre-qualified for the Peer Team Visit.
- Non Pre-qualified institutions may reapply for the A&A process after six months from the date of declaration about Pre-qualification.



*Figure 25: Flowchart of Pre-Qualification*

## 7. Peer Team Visit

- The PTR is an authentic document regarding the quality profile of the institution, consisting of the criterion-wise quality assessment, resulting in a Peer Team Report (PTR) which determines the final institutional Cumulative Grade Point Average (CGPA).
- The report after approval by the Executive Committee (EC) of NAAC is posted on the NAAC website for information and perusal of all stakeholders.
- PTR is divided into four sections:

1. Section–I: General profile of the institution
  2. Section-II: Criterion-wise analysis
  3. Section III: Overall analysis
  4. Section IV: Recommendations for quality enhancement of the institution
- As per the guidelines of the NAAC, the PTR is to be shared with the head of the institution. The Steering Committee Coordinator or a senior staff of the institution may also be allowed to go through the report along with the head of the institution.
  - The head of the institution may suggest any factual corrections, which may be incorporated by the Chairperson of the Peer Team, after consultation with other members of the team.
  - After the completion of the actual schedule of the visit, as certified by the head of the institution as well as the chairperson of the peer team, it should be annexed to PTR.
  - Visit schedule mentions the name of Chairperson, Member, Coordinating Member of the team signature with date, and head of the institution's seal and signature.
  - At the exit meeting, the chairperson of the peer team should formally hand over a copy of the signed report to the head of the institution. Photo of the exit meeting may be sent to the NAAC coordinating officer.
  - All the peer team members and the head of the institution must sign a declaration for having followed the code of conduct and maintenance of ethical standards, as set by NAAC and enclose it along with the PTR.

## **8. Institutional Grading (Declaration of Result and Accreditation)**

- The results of institutions will be declared by taking into consideration the system generated scores on all QIM, scores on the SSS and scores given by Peer Team.
- The accreditation is valid for a period of five years. If an institution secures Grade 'A' and above for two consecutive cycles, then the validity of the next cycle of accreditation will be for seven years instead of five years.
- HEIs may opt for re-assessment only after one year and before three years from the date of declaration of result.

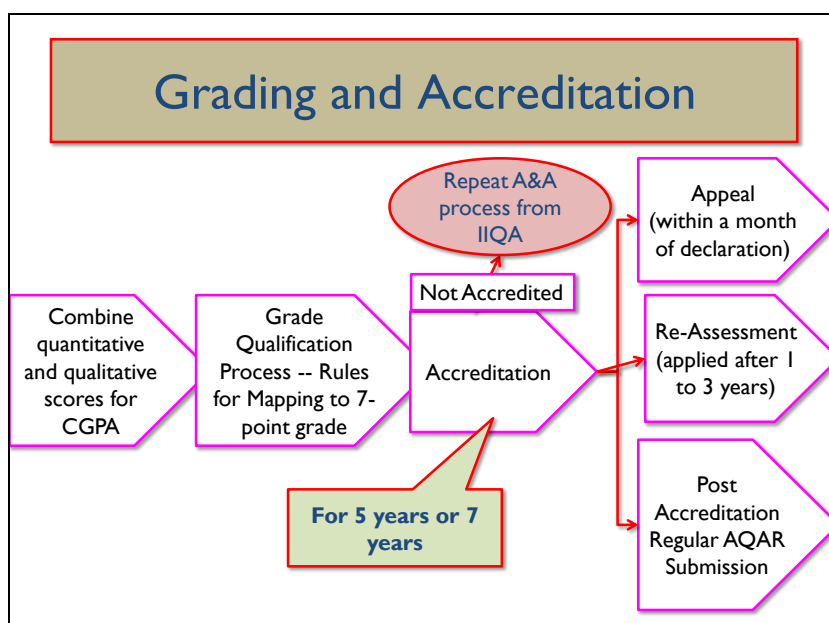


Figure 26: Institutional Grading and Accreditation

## 9. Appeal

Appeal is a post accreditation grievance redressal mechanism and submission of the AQAR to NAAC online annually is a requirement for ensuring the quality sustenance and enhancement of the accredited institutions and used for data verification (secondary data verification) by various agencies.

## 10. Post Accreditation Initiatives

The quality assurance process should not stop with accreditation and getting a grade, instead it needs to be a continuous process not only to sustain quality but also to move towards excellence. Institutions aiming at excellence tend to change and reform with accreditation.

### Establishing an Internal Quality Assurance Cell (IQAC)

Following the principle of “What gets measured gets improved” the institutions need to develop an Internal Quality Assurance System, which will work towards continuous improvement, by constantly measuring the effectiveness and moving from conformance to excellence. For this the measurement system should use a self-assessment tool, plan to go beyond minimum requirements and work towards benchmarking and total quality management. Institutions ultimate aim should be stakeholder satisfaction through continuous quality improvement and building a quality culture within the institutions. Through the assessment of the various quality

assurance practices, the institution can assess the critical gaps between the desired levels of quality and the existing levels. A good and effective internal quality management system is the base for excellence and good performance. Institutions with a proactive internal quality assurance system will stand apart with consistent good academic performance, student quality, stakeholder satisfaction, high demand and satisfaction of one and all involved with institution.

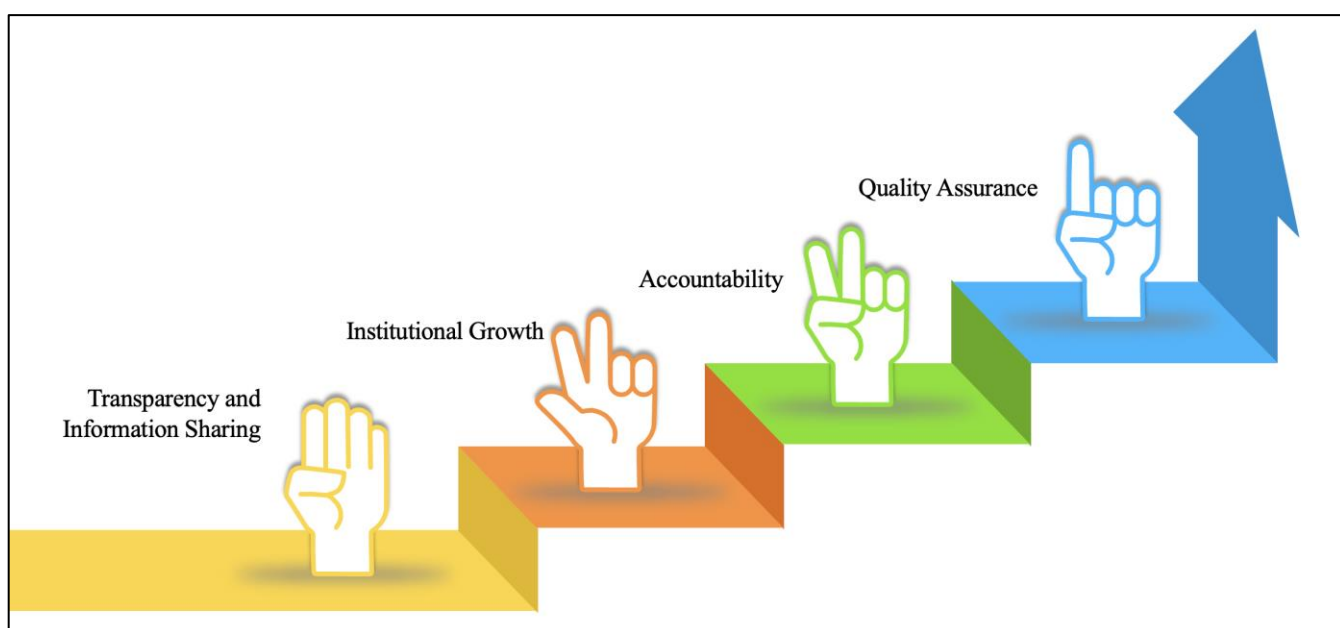
Thus, it is required for the institutions to realize that the NAAC's grade and score assigned to the institution and valid for five years is not an effective indicator of the level of quality and excellence. The institutions need to develop a system of evaluating and gauging the maturity of its quality systems, which could reflect on the level where they stand and processes, which need improvements. The Annual Quality Assurance Report (AQAR) mandated to be submitted to NAAC is a reflection of the institutions progressive performance and thus can be considered as a "Performance Scorecard for Quality". The IQACs are expected to be the monitoring and planning units of the institutions responsible for preparing the Institutional Development Plans and monitoring the progress and implementation of the several initiatives of the institution. The IQACs can evolve appropriate methodology for measuring the progress of the activities through periodical internal quality audits and preparing annual self-assessment reports. For further details you may refer NAAC and UGC guidelines for establishment and functioning of IQACs in Higher Educational Institutions.

## **11. Submission of Annual Quality Assurance Report (AQAR)**

Institutions accredited by NAAC need to submit an Annual self-reviewed progress report i.e., Annual Quality Assurance Report (AQAR) to NAAC, through its IQAC. The report is to detail the tangible results achieved in key areas, specifically identified by the IQAC at the beginning of the Academic Year. The AQAR period would be the Academic Year (For example: 01 June 2022 to 31 May 2023) for an accreditation acquired in 2021. AQARs are to be submitted through the HEI Portal online only.

The submission of AQAR (Annual Quality Assurance Report) is made mandatory for all accredited institutions for several reasons. Some of them are:

1. **Quality Assurance:** AQAR helps in assessing and ensuring the quality of education and overall institutional performance. It provides a comprehensive report on the institution's progress and improvements in various criteria identified by NAAC.
2. **Accountability:** By submitting AQAR, institutions demonstrate their commitment to quality assurance and accountability. It allows them to showcase their efforts in enhancing the quality of education and meeting the standards set by NAAC.
3. **Institutional Growth:** AQAR provides valuable insights into the institution's growth and development over time.
4. **Transparency and Information Sharing:** AQAR promotes transparency in the assessment and accreditation process. It allows stakeholders, including students, parents, faculty, and the public, to access information about the institution's performance and quality initiatives.



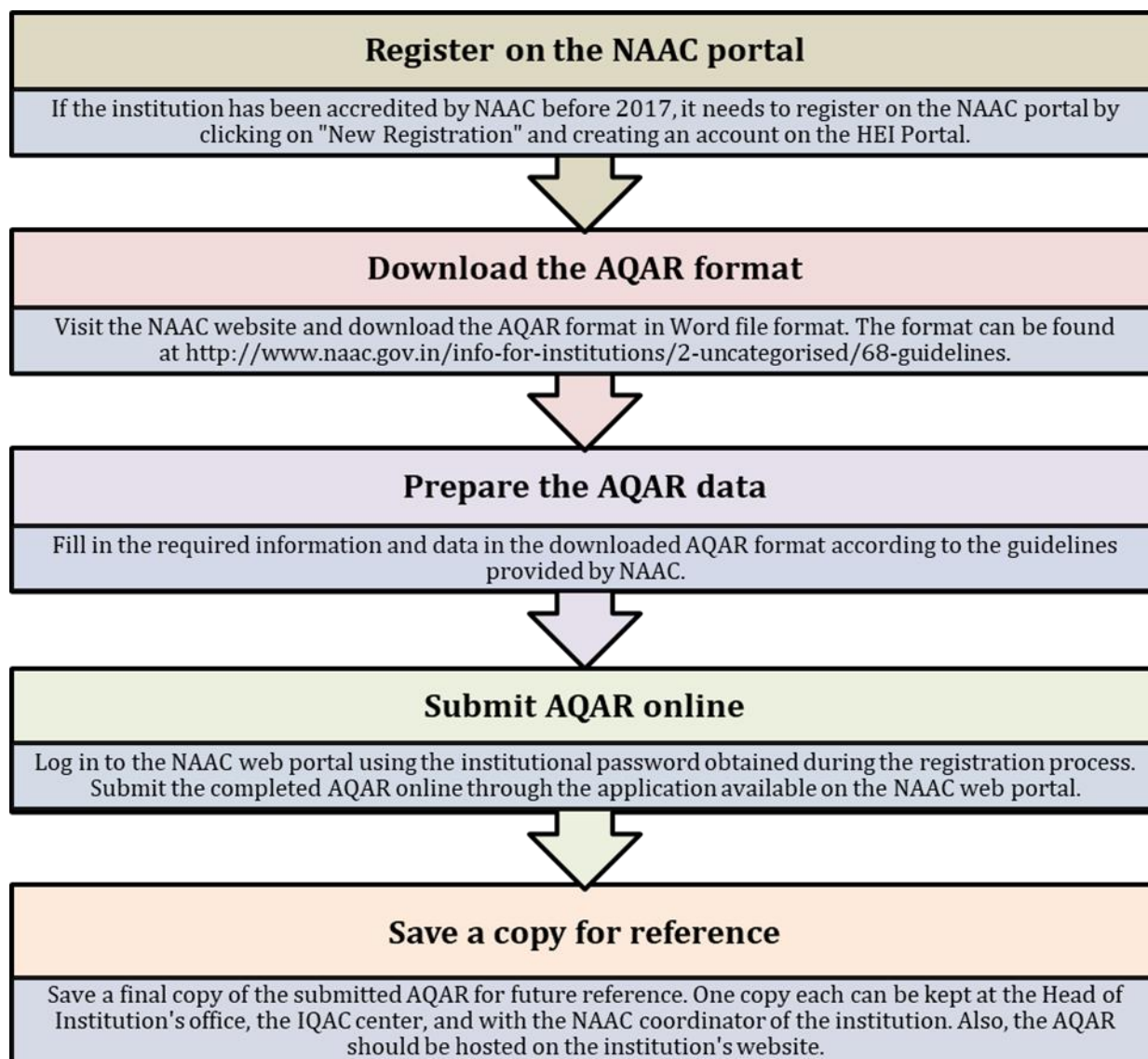
**Figure 27: Reasons for mandatory AQAR submission**

**Figure 27: Reasons for mandatory AQAR submission**

Overall, the mandatory submission of AQAR ensures continuous quality enhancement, accountability, and transparency in the higher education system.

### **Process for submission of AQAR**

To submit an Annual Quality Assurance Report (AQAR), an institution needs to follow the online submission process provided by the National Assessment and Accreditation Council (NAAC). Here are the steps to submit an AQAR online:



**Figure 28: Process of AQAR submission**

Please note that once the AQAR is submitted to NAAC and accepted, changes cannot be made to the data. Therefore, it is important to review and verify the information before initial submission/at the clarification stage.

Also, if an institution wants to go for a second cycle of accreditation but has not been regular in submitting the Annual Quality Assurance Reports (AQARs) yearly, they should first ensure that they have submitted at least the previous four years AQARs, failing which the institutions will not be eligible for applying for the next cycle of Accreditation. The institution needs to submit the AQARs for each academic year, starting from the year of preceding accreditation. It is important to note that AQAR submission is mandatory for the subsequent cycle of accreditation. Therefore, the

institution should prioritize submitting all the pending AQARs before applying for the next cycle of accreditation.



Figure 29: Strategies for Promotion of Quality Higher Education

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## Reformation of the NAAC Framework

Dr. Radhakrishnan committee, constituted by the Ministry of Education in November 2022 studied the issues within the existing accreditation framework; and deliberated on it over six sittings in tandem with a sub-committee of specialists as well as consulted senior functionaries of the Ministry of Education, UGC, AICTE, NAAC, NBA, NIRF and Council of IITs.

A resultant set of transformative reforms was proposed to strengthen the periodic approval, assessment & accreditation, and ranking of ‘All HEIs’ of India. These reforms will soon be integrated within the accreditation framework.

The following are the salient features of the recommendations:

- **Binary Accreditation (Either accredited or not accredited) rather than grades to encourage all the institutions to get on-boarded in the accreditation process thereby creating a quality culture in the higher education system.** The binary accreditation is also in line with the best practices followed by many leading countries in the world.
- **Maturity-Based Graded Accreditation (Level 1 to 5)** to encourage accredited Institutions to raise their bar, continuously improve, evolve in-depth or in-breadth in disciplines from ‘Level 1’ to ‘Level 4’ as **Institutions of National Excellence, and then to ‘Level-5’ i.e. Institutions of Global Excellence for Multi-Disciplinary Research and Education.** The levelled accreditation shall enable Indian institutions to significantly improve their quality and position themselves among global top institutions.
- **One Nation One Data Platform** has been proposed as part of the reform to ensure integrity and transparency in handling institutional data. The new platform shall **capture a superset of data from HEIs for varied purposes** (of approval, accreditation, ranking) with an in-built design for collateral cross-checking to check the authenticity of data. In addition, to improve the validity and reliability of the data “**Stakeholder validation**” has been proposed to effectively integrate stakeholders as part of the accreditation and ranking process. **The system shall be based on Trust and**



**Data-Driven with minimal visits to an institution for verification; however, carrying heavy penalties for giving wrong submissions. In addition, there will be provision for customized ranking based on stakeholders such as industry, funding agencies, students, etc.**

*The metrics for both Binary and Maturity-Based Graded Accreditation shall focus on Processes, Outcomes, and Impact across different attributes of HEIs (instead of mere input-centric). The new process shall consider the heterogeneity of HEIs in the country, categorize them based on their orientation/vision and heritage/legacy, and then seek information from the HEIs that are appropriate for their category rather than a one-size-fits-all model. There will be a special focus on rural and remote location institutions through mentoring and handholding.*



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