CHAPTER-II

CONCEPTUAL FRAME WORK ON NAAC

The system of higher education in India has expanded rapidly during the last fifty years. In spite of the built-in regulatory mechanisms that ensure satisfactory functioning of higher education institutions, there have been criticisms that the country has permitted the mushrooming of Institutions of Higher Education and consequent dilution of standards. To address the issues of quality, the National Policy on Education (1986) and the Programme of Action (POA-1992) had spelt out the strategic plan and policies that advocated the establishment of an independent national accreditation body. Consequently, the NAAC was established in 1994 with its headquarters at Bangalore.

THE NATIONAL ASSESSMENT AND ACCREDITATION COUNCIL (NAAC) is an autonomous institution. It was established by the University Grants Commission (UGC) of India, to assess and accredit institutions of higher education in the country. The system of higher education in India has expanded rapidly during the last sixty years. In spite of the built-in regulatory mechanisms that lead to satisfactory functioning of Higher Education Institutions, there has been a significant increase in the number of institutions of higher education, which perhaps has resulted in the dilution of standards. To address the issue of quality, the National Policy on Education (NPE, 1986) and the Programme of Action (PoA, 1992) that
spelt out strategic plans for the policies, advocated the establishment of an independent National Accreditation Body. Consequently, the NAAC was established in 1994 with its headquarters at Bangalore. At present, NAAC functions from its new building complex, with all modern facilities located at Nagarbhavi, Bangalore.

The NAAC functions through its General Council (GC) and Executive Committee (EC) where educational administrators, policy makers and senior academicians from a cross-section of the system of higher education are represented. The Chairperson of the UGC is the President of the GC of the NAAC; the Chairperson of the EC is an eminent academician nominated by the President of GC (NAAC). The Director of the NAAC is its academic and administrative head, and is the member-secretary of both the GC and the EC. The NAAC is advised by many advisory and consultative committees, in addition to the statutory bodies that steer its policies. The NAAC has a core staff and consultants to support its activities.

**VISION AND MISSION OF NAAC**

The NAAC’ activities and future plans are guided by its vision and mission that focus on making quality assurance an integral part of the functioning of higher education institutions.

The vision of NAAC is:

To make quality the defining element of higher education in India through a combination of self and external quality evaluation, promotion and sustenance initiatives.
The mission statement of NAAC aims at translating the NAAC’s vision into action plans and to define the following specific tasks of NAAC engagement and endeavour:

- To arrange for periodic assessment and accreditation of Institutions of Higher Education or units thereof, or specific academic programmes or projects;
- To stimulate the academic environment for promotion of quality in teaching-learning and research in Higher Education Institutions;
- To encourage self-evaluation, accountability, autonomy and innovations in Higher Education;
- To undertake quality-related research studies, consultancy and training programmes, and
- To collaborate with other stakeholders of Higher Education for Quality Evaluation, Promotion and Sustenance.

Striving to achieve its goals as guided by its vision and mission statements, NAAC primarily focuses on assessment of the quality of eligible higher education institutions of the country. NAAC uses an internationally accepted methodology, which consists of self-assessment and external quality assessment.
GENERAL ELIGIBILITY FOR ASSESSMENT AND ACCREDITATION

From 1\textsuperscript{st} April 2007 the National Assessment and Accreditation Council has adopted a new methodology of assessing and accrediting the institutions of higher education in India. While there are diverse types of Higher Education Institutions (HEIs) in the country, some coming under the provisions of other Regulatory Bodies, with their own Quality Assurance Agencies, NAAC’s Assessment and Accreditation shall cover the following Institutions, as per the eligibility criteria mentioned therein:

1. Universities recognized under Sections 2(f) and 12 (B) of the UGC Act, 1956 or established under Section 3, which have completed 5 years since establishment or with a record of at least 2 batches of students having completed their degree programmes, whichever is earlier (hereinafter referred to as ‘Recognized Universities’). For purposes of Assessment and Accreditation of Universities, their Schools, Departments, Centres and Units shall be taken as the components.

2. Secondly, it states that if any University under Section 2(f) or 3 of the UGC Act, 1956 has not completed 5 years of establishment, but has Affiliated/ Constituent Colleges under its jurisdiction, which on their own standing have completed 5 years since establishment, then, such Colleges shall be eligible for Assessment and Accreditation by NAAC, on their own independent standing i.e. the College alone and not the University to which it is
affiliated, shall be eligible for Assessment and Accreditation. Similarly, if a hitherto Affiliated/ Constituent/ Autonomous College of long-standing gets recognition as a ‘University’ under Section 3 of the UGC Act then, the College alone shall be eligible for assessment.

3. Thirdly, Colleges/ Institutions/ Autonomous Colleges, affiliated to a ‘Recognized University’, and Constituent Colleges coming under the jurisdiction of ‘Recognized Universities’ and which have completed 5 years since their establishment or from which at least 2 batches of students having completed their degree programmes, whichever is earlier.

4. Fourthly, the institutions coming under the jurisdiction of professional regulatory Councils and their accreditation Bodies can be considered for Assessment and Accreditation by NAAC, if such Councils desire to enter into appropriate MoUs with NAAC for their Assessment and Accreditation requirements. At present, NAAC has an MoU with the National Council for Teacher Education (NCTE) for purposes of Assessment and Accreditation of Teacher Education Institutions (TEIs). TEIs which have completed 3 years since establishment or with a record of at least 2 batches of students having completed their degree programmes from the institution are eligible for Assessment and Accreditation by NAAC;
5. Fifthly, any other Institutions/ Units (including cross-border and trans-national Indian/ Foreign Institutions) may also be taken up for Assessment and Accreditation by NAAC, if directed by the UGC and/ or the Ministry of Human Resources Development, Government of India.

**CORE VALUES OF NAAC**

In the recent past there has been significant changes in the institutions of higher education. The need to expand the system of higher education, the impact of technology on the educational delivery, the increasing private participation in higher education and the impact of globalization (including liberal cross-border and trans-border educational imperatives), have necessitated such marked changes in the Indian Higher Education scenario. These changes and the shift in values have been taken into consideration by NAAC while formulating the core values for its accreditation framework.

(i) **Contributing to National Development**

The Higher Educational Institutions play a significant role in human resource development of a country and capacity building of individuals, to cater to the needs of the economy, society and the country as a whole, thereby contributing to the development of the Nation. Serving the cause of social justice, ensuring equity, and increasing access to higher education are a few ways by which Higher Educational Institutions can contribute to the National Development.
(ii) **Fostering Global Competencies among Students**

With liberalization and globalization of economic activities, the need to develop skilled man-power resources is the utmost need of the hour. Therefore, an internationally acceptable standard in higher education is very essential. So, NAAC accreditation needs to examine the role of higher educational institutions in preparing the students to achieve global competencies, to face the global requirements successfully. In order to foster global competencies among the students, the Higher Educational Institutions should be innovative, creative and entrepreneurial in their approach, to ensure skill development amongst the students.

(iii) **Inculcating a Value System Among Students**

India is a country with people of diverse caste, creed, race, religion, language etc. It is therefore essential that the Higher Educational Institutions should develop desirable values in the students so that they commensurate with the social, cultural, economic and environmental realities at the local, national and universal levels. The NAAC assessment therefore examines how these essential and desirable values are being inculcated in the students, by the Higher Educational Institutions.

(iv) **Promoting the Use of Technology**

In order to keep pace with the modern technological advancement of the developed nations of the world, significant technological innovations have to be adopted in the educational institutions by the Higher Educational Institutions. Traditional methods of delivering higher education by the
lecture method have become less motivating to the large number of students. To keep pace with the developments in other spheres of human endeavour, HEIs have to enrich the learning experiences of their students by providing them technologies based education. The campus community must be adequately prepared to make use of Information and Communication Technology (ICT) optimally. Conscious effort is also needed to invest in hardware, and to orient the faculty suitably.

Managing the activities of the institution in a technology-enabled way will ensure effective institutional functioning. For example, documentation and data management in the HEIs are areas where the process of assessment by NAAC has made a significant impact. NAAC accreditation would also look at how the HEIs have put in place their electronic data management systems and electronic resources for the use of the students and the campus community in general.

(v) **Quest for Excellence**

The Higher Educational Institutions should develop themselves into centers of excellence. Excellence in all the activities that they do will contribute to the overall development of the system of higher education of the country as a whole. This ‘Quest for Excellence’ starts with the assessment or even earlier, by the establishment of the Steering Committee for the preparation of the SSR of an institution. Another step in this direction could be the identification of the strengths and weaknesses in the teaching and learning processes as carried out by the institution.
CRITERIA FOR NAAC’s ASSESSMENT

The NAAC has identified the following seven criteria to serve as the basis for assessment of Higher Educational Institutions:

1. Curricular Aspects
2. Teaching-Learning and Evaluation
3. Research, Consultancy and Extension
4. Infrastructure and Learning Resources
5. Student Support and Progression
6. Governance and Leadership and
7. Innovative Practices

The Self-Study Report of the institutions are expected to highlight the functioning of an institution with reference to these seven criteria.

FOCUS OF ASSESSMENT

NAAC assesses institutional functioning with reference to the contributions made by Higher Educational Institutions towards the five core values. It is expected that the Higher Educational Institutions will demonstrate how they achieve the objectives of the core values through the data and information provide in the Self-Study Report. In essence, the NAAC assessment lays focus on the institutional developments with reference to three aspects: Quality initiatives, Quality sustenance and Quality enhancement.

The preparation of the SSR is expected to serve as a catalyst for institutional self-improvement. The participation of the faculty members,
administrative staff, students, parents and alumni in the quality assurance activities in higher education could lead to newer initiatives.

The seven criteria identified by NAAC are in fact the seven main processes of developing the capabilities of an institution. The Internal Quality Assurance Cell (IQAC) is expected to activate the system and raise the institutional capabilities to higher levels so that the institution makes continuous improvement in Quality.

**CRITERIA AND KEY ASPECTS**

**Criterion I—Curricular Aspects**

This criterion mainly deals with how the curriculum - either assigned by a University or marginally supplemented or enriched by an institution, or totally remade, depending on the freedom allowed in curricular design, aligns with the mission statement of the institution.

**Key Aspects**
The Key Aspects under this criterion are-

- Curriculum design and development
- Academic flexibility
- Feedback on curriculum
- Curriculum update
- Best practices in curricular aspects
**Criterion II—Teaching-Learning and Evaluation**

This criterion deals with how an institution deals with students of different capabilities through effective teaching-learning experiences. Interactive instructional techniques employed by the institutions engage students in higher order ‘thinking’ and investigation, through the use of interviews, focused group discussions, debates, projects, presentations, experiments, internship and application of ICT resources, are important considerations. Another major criterion of this technique is that it continuously evaluate the performance of teachers and students.

**Key Aspects**
The Key Aspects under this criterion are-

- Admission Process and Student Profile
- Catering to diverse needs
- Teaching-Learning process
- Teacher quality
- Evaluation process and reforms
- Best practices in teaching-learning and evaluation

**Criterion III—Research, Consultancy and Extension**

This criterion seeks information on the policies, practices and outcomes of the institution, with reference to research, consultancy and extension. It deals with the facilities provided and efforts made by the institution to promote a ‘research culture’. The institution should enable the faculty to undertake research projects.
Key Aspects
The Key Aspects under this criterion are-

- Promotion of research
- Research and publication output
- Consultancy
- Extension activities
- Collaborations
- Best practices in research, consultancy and extension

Criterion IV—Infrastructure and Learning Resources
This criterion seeks to seek information and data on the adequacy and optimal use of the facilities available in an institution to maintain the quality of academic and other programmes on the campus.

Key Aspects:
The Key Aspects under this criterion are-

- Physical facilities
- Maintenance of infrastructure
- Library as a learning resource
- ICT as learning resources
- Other facilities
Best practices in the development of infrastructure and learning resources

**Criterion V—Student Support and Progression**
This criterion stresses on the efforts of an institution to provide necessary assistance to students, to acquire meaningful experiences for learning at the campus and to facilitate progress. It also seeks information on student and alumni profiles.

**Key Aspects:**
The Key Aspects under this criterion are-

- Student progression
- Student support
- Student activities
- Best practices in student support and progression

**Criterion VI—Governance and Leadership**
This criterion helps gather data on the policies and practices of an institution in the matter of planning human power requirement, recruitment, training, performance appraisal, finance management and the role of leadership in institution building.

**Key Aspects:**
The Key Aspects under this criterion are-
• Institutional vision and leadership
• Organizational arrangements
• Strategy development and deployment
• Human resource management
• Finance management and resource mobilization
• Best practices in governance and leadership

**Criterion VII—Innovative Practices**

This criterion focuses on the innovative efforts of an institution that help in its academic excellence. An innovative practice would further progress the interest of the students and the institution that would in turn help in bringing about internal quality assurance, inclusive practices and stakeholder relationships.

**Key Aspects**

The Key Aspects under this criterion are-

• Internal quality assurance system
• Inclusive practices
• Stakeholder relationships

**WEIGHTAGES**

Taking into consideration the functioning of the major categories of institutions: universities, autonomous colleges and affiliated colleges,
differential weightages for each of the seven criteria are included as detailed in the table below:
(The numbers in the parentheses indicate the weightages as percentages of the total score)

**TABLE NO.II**

<table>
<thead>
<tr>
<th>Criteria</th>
<th>University</th>
<th>Autonomous College</th>
<th>Affiliated/ Constituent College</th>
</tr>
</thead>
<tbody>
<tr>
<td>I Curricular Aspects</td>
<td>150 (15)</td>
<td>100 (10)</td>
<td>50 (5)</td>
</tr>
<tr>
<td>II Teaching-Learning and Evaluation</td>
<td>250 (25)</td>
<td>350 (35)</td>
<td>450 (45)</td>
</tr>
<tr>
<td>III Research, Consultancy and Extension</td>
<td>200 (20)</td>
<td>150 (15)</td>
<td>100 (10)</td>
</tr>
<tr>
<td>IV Infrastructure and Learning Resources</td>
<td>100 (10)</td>
<td>100 (10)</td>
<td>100 (10)</td>
</tr>
<tr>
<td>V Student Support and Progression</td>
<td>100 (10)</td>
<td>100 (10)</td>
<td>100 (10)</td>
</tr>
<tr>
<td>VI Governance and Leadership</td>
<td>150 (15)</td>
<td>150 (15)</td>
<td>150 (15)</td>
</tr>
<tr>
<td>VI I Innovative practices</td>
<td>50 (5)</td>
<td>50 (5)</td>
<td>50 (5)</td>
</tr>
<tr>
<td>Total Score</td>
<td>1000</td>
<td>1000</td>
<td>1000</td>
</tr>
</tbody>
</table>
GRADING SYSTEM
After Assessment, the Cumulative Grade Point Average (CGPA) of an Institution is computed. If the overall CGPA is more than 1.50, the institution will get the “Accredited” status and a CGPA equal to or less than 1.50, will lead to the “Not Accredited” status.

The accredited institutions will be graded on a 3-letter grade as follows:

**TABLE NO.III**
**GRADING SYSTEM**

<table>
<thead>
<tr>
<th>Range of institutional Cumulative Grade Point Average (CGPA)</th>
<th>Letter Grade</th>
<th>Performance Descriptor</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.01-4.00</td>
<td>A</td>
<td>Very Good (Accredited)</td>
</tr>
<tr>
<td>2.01-3.00</td>
<td>B</td>
<td>Good (Accredited)</td>
</tr>
<tr>
<td>1.51-2.00</td>
<td>C</td>
<td>Satisfactory (Accredited)</td>
</tr>
</tbody>
</table>

Institutions which obtain a Cumulative Grade Point Average equal to or less than 1.50, are categorized under the letter grade “D” (Performance Descriptor: Unsatisfactory; Status: Not Accredited). Such institutions will also be intimated and notified by NAAC as “Assessed and Found not Qualified for Accreditation.”
METHODOLOGY

For the assessment of a University/Autonomous College/ College with Potential for Excellence /Affiliated College /Constituent College as a unit that is eligible to be assessed, the NAAC follows a four-stage process, which is a combination of self-study and peer review. The four stages are:

I. On-line submission of a Letter of Intent (LoI for all institutions and Institutional Eligibility for Quality Assessment (IEQA) format for Affiliated/ Constituent colleges that are seeking Assessment and Accreditation for the first time.

II. Preparation and submission of a Self-Study Report (SSR) by the institution;

III. Peer Team visit to the institution.

IV. Final decision by NAAC.

INSTITUTIONAL PREPARATION

The institutions that would like to get themselves accredited shall have to fulfill certain requirements and submit the Self Study Report to NAAC. The institutional efforts to prepare the Self Study Report will be an intensive but self-rewarding exercise for institutions.

While preparing the Self Study Report, the Head of the Institution - has to play a positive and creative role. To assist him/her a Steering Committee consisting of 4 to 6 members is to be constituted which will co-ordinate the compilation and analysis of data related to the various aspects of the institution and its functions. This committee will be responsible for organizing the information and data, to prepare the comprehensive report.
The coordinator of this committee will function as the institutional facilitator during the on-site visit of the peer team.

**SELF-STUDY REPORT (SSR)**

While preparing the Self Study Report, institutions may bear in mind that the report should provide information on the following:

- Evidence of contributing to the core values
- Evidence of building on the strengths identified by the institutions
- Action taken to rectify the deficiencies noted by the institutions
- Substantive efforts made by the institution over a period of time, towards quality enhancement
- Specific future plans of the institution for quality enhancement

**PEER ASSESSMENT AND FINAL OUTCOME**

After receiving the Self-Study Report, the NAAC would perform an in-house analysis of the report for its completeness. For eligible institutions, peer team visits will be organized. The draft report of the peer team will be shared with the Head of the Institution for ensuring accuracy of institutional data / information and then submitted to the NAAC for further processing. The Executive Committee of the NAAC will take the final decision about the accreditation status and declaration of the institutional grade. The peer team report and the institutional grade will be made public by posting them
on the website of the NAAC. Institutions which do not attain the accreditation status will be notified accordingly. The assessment outcome is valid for a period of five years. Institutions that complete the five-year accredited period may volunteer for re-accreditation.

**RE-ASSESSMENT**

Institutions, which would like to make an improvement in the accredited status, may volunteer for Re-assessment, after completing at least one year but not after the completion of three years. The manual to be followed for re-assessment is the same as that for the Assessment and Accreditation.

**RE-ACCREDITATION**

The methodology for re-accreditation has been modified by incorporating post-accreditation reviews, feedback from the accredited institutions and the outcome of national consultations. Accordingly, after the completion of five years of accreditation, the next two years will be the period of institutional preparations and implementation of assessment processes for Higher Education Institutions that volunteer for re-accreditation. The institutions should record their intent to volunteer for re-accreditation by the end of the fifth year of accreditation and begin institutional preparations.

A functional Internal Quality Assurance Cell (IQAC) and institutional website are the Minimum Institutional Requirements (MIR) to volunteer for re-accreditation. But if the institution fails to express intent
for Re-accreditation within the stipulated time, it will lose its accreditation status.

**Focus of Re-accreditation**

The same 4-stage process of accreditation is followed for Re-accreditation. The specific focus of the Re-accreditation framework will be on the impact of first accreditation, especially on:

- The compliance of the suggestions and recommendations made in the Peer Team Report of the institutions during the first assessment and accreditation
- Quality sustenance and quality enhancement efforts of the institution during the post-accreditation tenure

**METHODOLOGY FOR RE-ACCREDITATION**

The same four-stage process—evolving pre-determined criteria for assessment, submission itself—study report by an institution, peer validation and final decision by the NAAC—are followed for re-accreditation. In other words, the framework for re-accreditation is built on two major considerations—core values in the changing context and impact of the first assessment.

**Focus of Re-assessment**

Re-accreditation will assess institutional functioning with reference to the contributions HEIs make towards the five core values mentioned above. The re-assessment by the NAAC will take a holistic view
of all the inputs, processes and outputs of an institution towards the core values and assess how the Higher Educational Institutions have progressed during the accredited period. In particular, the re-assessment gives importance to three aspects Quality Sustenance, Quality Enhancement and acting on the Assessment Report.

(i) **Quality Sustenance**

During the first assessment the NAAC’s process has triggered quality initiatives in many aspects of functioning of HEIs. It has made a significant change in the pedagogical, managerial, administrative and related aspects of functioning of most of the accredited institutions. The preparation of the self-study report has served as a catalyst for institutional self-improvement. The participation of the faculty members, interaction with the peers, administrative staff, students, parents and alumni has led to new initiatives. These changes have a direct bearing on the quality of education and re-accreditation will consider how these initiatives have been sustained during the accredited period.

(ii) **Quality Enhancement**

The process of re-assessment gives due place to the quality initiatives promoted by the first assessment and the consequent quality enhancement that has taken place.

(iii) **Acting on the Assessment Report**

Much of the quality enhancement has been a result of institutional efforts to act on the assessment report and the re-assessment will take note
of that too. The post-accreditation reviews, feedback from accredited institutions and the outcome of national consultations indicate that the first assessment report has been a useful document to identify the areas of concern that might affect the quality of an institution. Re-accreditation will address how HEIs have taken steps to overcome the deficiencies mentioned in the first assessment report and also build on the strengths noted in the report.

The next chapter (Chapter-III) is on Review of Related Literature.