

# Guidelines to the Institutions

(Effective from 1<sup>st</sup> April 2007)



**राष्ट्रीय मूल्यांकन एवं प्रत्यायन परिषद**

**विश्वविद्यालय अनुदान आयोग का स्वायत्त संस्थान**

**NATIONAL ASSESSMENT AND ACCREDITATION COUNCIL**

An Autonomous Institution of the University Grants Commission  
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2. Declaration : Adherence to the Code of Conduct and Ethical Standards.

## **GUIDELINES TO THE INSTITUTIONS**

Assessment and Accreditation by NAAC is to facilitate quality improvement through partnership. Therefore, the smooth conduct of a Peer Team Visit requires close coordination between the NAAC, the Peer Team and the Assessee Institution.

### **I. Coordination of the Visit:**

1. The Assessment visit will be coordinated by the Chairperson of the peer team or the NAAC Officer or by any one member of the Peer Team, designated as the ‘Member Coordinator’, supported by the concerned NAAC Regional Coordinator, operating from the Headquarters.

### **II. Before the Visit :**

1. The institution is required to submit the “No conflict of interest” document (regarding the proposed Peer Team members), to the NAAC, at least one week prior to the visit.
2. The institution should nominate a person, preferably the Coordinator of the Steering Committee, which prepared the institutional Self-Study Report (SSR), as a representative of the institution, to interact with the NAAC Officer and the Peer Team members. The person so nominated should have:
  - sufficient knowledge of the institution
  - access to institutional data
  - good will on the campus
  - adequate knowledge of the NAAC Assessment and Accreditation process

### *Guidelines to the Institutions*

3. The nominated person should be in touch with NAAC, the Peer Team Members (on receipt of information from NAAC) and make necessary arrangements in advance, for accommodation, local travel and logistics of the visit. The addresses, phone/fax numbers, at the place of stay of the Peer Team may be intimated to the designated NAAC Officer, Member Coordinator and the Peer Team Members, about 3 to 4 days in advance.

*The place of stay may be selected with the following criteria in mind:*

- \* *Proximity to the Institution.*
- \* *Hygienic accommodation with necessary basic amenities.*
- \* *Economical to the extent possible.*

*(Expensive accommodation in star hotels should be avoided)*

4. Make arrangements to provide a room at the institution, with a computer, printer, necessary stationery, additional cartridge for printer, two high density re-writable CDs and a Secretarial Assistant who is well-versed in stenography and use of computers. As the team discussions are sometimes scheduled for late evenings, secretarial assistance may be required till late hours, as per the requirement of the peer team. One set of the institutional Self Study Report (SSR) may be made available to the Peer Team during its discussion sessions at the place of stay, for reference.
5. Generally, a tentative visit schedule is sent to the institution by NAAC in advance. It may be modified by the institution and sent to the concerned NAAC Officer, for finalization. Plan the Peer Team visit schedule in consultation with the NAAC Coordinator, avoiding disruption of classroom activities so that most of the members of the faculty would be available for interactions by the peer team. The sequence of visits to the departments and to the other facilities like Library, Gymkhana, Auditorium etc., may be planned well, to minimize the time for the visits.
6. Place all the relevant documents (*refer the inset Box*) in the Peer Team meeting room and provide a list of the same. The Preparation of documents for peer team perusal is a part of the institutional preparation and the peer team may validate the SSR by verifying the documents.

### **Documents for the Perusal of the Peer Team**

- Act and Statutes of the Affiliating University.
- Rules, regulations, and/or guidelines relating to the composition, powers and functions of the various Academic and Administrative authorities and committees. These may include the details of the Governing Body, Board of Management, admissions, Academic Calendar, rules of recruitment of faculty and staff, academic linkages, consultancy, extension, library committee, research committee, purchase procedures and other financial norms, etc. (These are only indicative and not exhaustive).
- Guidelines for the Grievance Redressal Cell and the Complaints Cell for addressing issues of sexual harassment of women at workplace.
- Guidelines for the publication units (if any)
- Criteria for facilitating professional development programmes for the faculty.
- Documents containing the current list of academic programmes, duration, fee structure etc.
- Institutional annual Calendar.
- Annual Reports of the past two years.
- Master plan of the institution.
- Records of student feedback.
- Annual Budget.
- MoU with collaborating agencies
- Special recognition, grants, awards, etc.
- Audited accounts of the institution and the auditor's reports for the past two years.
- Research projects sanctioned by external funding agencies.
- Government regulations regarding policies and sanctions.
- Approvals of regulatory bodies for the programmes run by the institution.
- Any other documents as deemed necessary by the institution / Peer Team.

### *Guidelines to the Institutions*

7. Give adequate publicity about the visit of the Peer Team to the teachers, students and administrative staff. The circular may clearly indicate that NAAC is an autonomous organisation established in 1994 by the University Grants Commission (UGC) with headquarters at Bangalore; that the XYZ institution (name of the institution) has volunteered for Assessment and Accreditation by NAAC, and a Peer Team comprising of eminent academic experts will be visiting the institution to acquaint themselves with the strengths and weaknesses of the institution with reference to quality assurance. The visit is neither an inspection nor an attempt to solve any grievances. The whole process is to validate the Self-Study Report and help the institution in quality assurance.
8. It is preferable to have the Peer Team visit the institution on regular working days (or at least one day of the visit must be a working day), to understand the academic and administrative activities, processes and the academic ambience created by the institution for student learning.
9. Provide all the departments/ faculties with the time-schedule of the visits. During the visit, each Head of the Department/ or the Dean of a faculty shall present in brief, the highlights/ achievements of the concerned department/s during the general meeting of all the academic heads. The Peer Team in its wisdom may visit only select departments, based on their study of the departmental profiles.
10. Orient the departments on the purpose of the Peer Team visit. The team would be visiting the institution after a thorough study and analysis of the SSR provided by the institution. The purpose of the visit is to validate the claims of the institution as detailed in its Self-Study Report, through interactions, inferences and checking relevant documents. Further, the Peer Team will look for evidences, to understand the “collective impact” of the faculty and the institutional ambience, on the educational experience and outcome of the students.

### **III. During the Visit :**

1. The Institutional Coordinator is responsible for the coordination of the on-campus visit. Changes in the schedule, if any, are to be made in consultation with the NAAC Officer /Member Coordinator/ Chairman of the Peer team.
2. To facilitate free communication, it is requested, to avoid the presence of the Head of the Institution/ faculty members/ management representatives, during the Peer Team interactions with students, parents, alumni, and other stakeholders. However, should any of these representatives be alumni of the institution, they may participate as members of the alumni.
3. It is requested that only the designated Institutional Coordinator guides the team during the visit to the departments/ facilities.
4. Avoid elaborate 'Welcome' ceremonies for the teams.
5. The institution may arrange a short Cultural Programme by the students, to demonstrate their co-curricular/extra-curricular talents.
6. All the heads of departments/ units may be directed to cooperate with the visiting team, to adhere to the time-schedule. Faculty interactions in the departments may be participatory in nature.
7. The departments may submit additional documents (if any) to the Peer Team.
8. For interactions with students, about 30-40 students may be randomly drawn, to have representatives from urban and rural areas, different socio-economic strata, disciplines and levels of study. It must also include representatives of NCC, NSS and various Co-curricular Clubs and Associations of the institution. All arrangements may be made for facilitating quick interactions.
9. The institution may arrange working lunch for the Peer Team at the institution itself. It is requested to avoid garlanding, serving of refreshments and snacks in all the departments.



### *Guidelines to the Institutions*

10. Limit the number of photographs of the team's visit to various locations.  
Video shooting of the visit shall be avoided.

#### **IV. On the last day of the Visit :**

1. Organization of a the Exit meeting (Maximum time 30 Minutes)
  - Welcome by the Head of the Institution
  - Remarks by the Chairperson of the Peer Team
  - Handing over of the Peer Team Report (PTR) to The Head of the Institution
  - Vote of Thanks.
2. Arrange for the schedule of the exit meeting in consultation with the Chairperson of The Peer Team /Member Coordinator, after the completion of the Peer Team Report (PTR). This meeting shall be addressed only by the Chairperson of the Peer Team. The purpose of the 'Exit meet' is to share the Peer Team's perceptions and general observations about the institution, without disclosing the institutional grade/CGPA. This is not an interactive session. A representative group of management, faculty, (Steering Committee members, Heads of Departments and others), students, parents and alumni may be invited. **Press coverage of the Exit Meeting is to be strictly avoided.**
3. TA / DA of the Peer Team members and the NAAC Official are to be settled by the institution. Please consult the NAAC Officer/ Member Coordinator for any clarification. The filling up of TA/ DA forms, receipt of support documents viz. invoice, photocopy of tickets etc. may be initiated on the penultimate day of the visit, so as to provide adequate time for the finance department of the Institution, to process the claims. DA is to be paid only as per Institution/University/State Government rules. **(Kindly refer to the UGC guidelines on Financial assistance to Institutions, for Assessment and Accreditation by NAAC)**

## **V. Press Release / Press Conference :**

1. The institution may at its own discretion issue a press release about the Peer Team Visit to the institution and any reference to NAAC should be of a general nature only. The PTR should not be shared with the press till the results are officially announced by NAAC.

## **VI. Other Matters :**

1. A copy of any additional document/s provided to the Peer team, during the course of the visit, may be mailed to the concerned NAAC Regional Coordinator, under a covering letter from the Head of the institution.
2. Send a few photographs and media coverage (press clippings) of the Peer Team Visit, for NAAC records. Kindly indicate the name of the institution and the visit dates on the reverse of the photographs.
3. The Head of the institution is required to submit a brief report to NAAC, on the institution's experience and feedback on the process and procedures adopted during the Peer Team visit. **This Report should reach the NAAC Office, not later than ten days after the completion of the 'on site' visit. (See Annexure-1)**
4. Institutions are required to have initiated Internal Quality Assurance mechanism/s, even before the Peer Team visit. The establishment of a formal Internal Quality Assurance Cell (IQAC) is encouraged by NAAC, as a post-accreditation strategy. For details, see guidelines for IQAC.
5. If you have not been receiving the NAAC newsletter regularly, you may request the Facilitation & Liaison Officer (FLO) of NAAC, by mail/ e-mail, giving complete postal address of your institution and e-mail, for inclusion of your institution in the mailing list of NAAC.
6. NAAC has a provision for Appeals, should institutions be aggrieved regarding the assessment process or its outcome or any other related issue. (For details visit the website [www.naacindia.org](http://www.naacindia.org))

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7. NAAC encourages the assessee institution/s to use the electronic mode more extensively, to interact with the Director/Academic staff, on any issue related to the Peer Team visit.
8. NAAC invites institution/s to visit its website ([www.naacindia.org](http://www.naacindia.org)), for updates on its quality initiatives.

### **VII. Code of Conduct and Ethical Standards :**

1. The institution shall refrain from presenting gifts (in kind or in any other form), to the peer team members or extend overt hospitality, other than what is permissible as per NAAC norms. It shall also refrain from offering any kind of hospitality for the family of the Peer Team members.
2. Once the visit is over, the institution shall not encourage subsequent contacts with the peer team members regarding the Assessment and Accreditation process and outcome. Any related queries should be directed only to the NAAC Office.
3. The institution shall also refrain from offering any kind of consultancy services and/ or jobs to the peer team members for at least one year after the declaration of the Accreditation results by NAAC.
4. The institutional authority, is required to submit a duly signed certification for having adhered to the Code of Conduct and Maintenance of Ethical Standards (*See Annexure-2*)

\* **Annexures 1 and 2 shall be submitted to NAAC not later than ten days of the Peer Team Visit to the Institution.**

**Format for the Feedback on the Peer Team from  
the Head of the Institution**

**Name of the Institution:**

**Address:**

- 1. About the Peer Team:**
  
- 2. About the organization of Peer Team Visit:**
  
- 3. About the Process of Assessment:**
  
- 4. Any other:**

**Date:**

**Signature of the Head of the Institution with seal**

## **DECLARATION**

### **Adherence to the Code of Conduct and Ethical Standards**

**Name of the Institution:**

**Declaration by the Head of the Institution:**

- ☞ Certified that the institution or its management has not offered any gifts (in kind or in any other form), to any of the Peer Team members or their representatives, before, during or soon after the Assessment and Accreditation visit to the institution.
- ☞ Certified that no hospitality was provided to the family members of any of the Peer Team members.
- ☞ Certified that the TA/DA/Honorarium disbursed and the hospitality extended to the Peer Team Members is strictly in accordance with the State Government/UGC/NAAC norms.
- ☞ Certified that no paid consultancy/job/assignment shall be offered to any peer team member for a period of one year after the declaration of the accreditation status of the institution, by the NAAC.

**Place:**

**Date:**

**Signature of the Head of the Institution with office seal**