# Documentation for Assessment and Accreditation, and for other Purposes

## by

**J. Madegowda, Ph.D.,**
Dean (Acad),
Akshara Institute of Management Studies,
Shivamogga

E-mail: madegowdaj@gmail.com

# Assessment and Accreditation

- Assessment and Accreditation is a necessity at least for 3 reasons

    (1) When an external agency examines our performance, we understand where we stand – SWOT/C analysis.

    (2) Financial assistance from the governments is linked to the institutional ranking.

    (3) Eligibility of your students and teachers to apply for scholarships, fellowships, projects, etc., depend upon whether your institution is accredited or not.

- Now the MHRD of GOI is planning to recognise more assessment and accreditation agencies, in addition to NAAC, to take up and complete the accreditation of large number of institutions.

# Documentation – why?

- Documentation provides the verifiable evidence

- It is an objective verifiable evidence

- For each entry in the report, there shall be supporting documents – anybody can verify

- It carries weight for your claim

- External agencies including NAAC/Peer Team validates your claim based on the evidences shown/presented

- Remember, a few institutions fail to get higher ranking for not presenting their performance in a convincible manner

# What the Institutions are required to do?

- Each institution is required to establish a separate Documentation Centre

- Alternatively, the work of the Documentation Centre may be assigned to IQAC

- IQAC/Documentation Centre should be equipped with necessary staff and infrastructure – under the supervision of a senior faculty member; and with a fully automated office

- All information and documents should be made available in this office and it should be readily available when required

# Diverse Information and Documents

- NAAC, in its methodology, has specified the information required and also the documents in support of the information or claims made in the report

- It has also specified the format in which to present the information and documents to be uploaded and/or enclosed

- Therefore, I am not going to present the formats but only the information required to prepare all these tables and statements

- Of course, most of the institutions possess the requisite details but only thing is, they should arranged systematically

- Let me identify the criterion-wise information and documents required to be maintained by the institutions - colleges

# Criterion – I: Curricular Aspects (100)

- Number and names of academic and research programmes offered by the Institution:

  (1) UG Programmes:

    ✓ B.A (with number of combination of Specialization Streams) with the year in which introduced

    ✓ B.Com with the year in which introduced

    ✓ B.Sc (with number of combination of specializations) and with the year in which introduced

    ✓ New courses/optional introduced and the year of introduction

    ✓ Others

  (2) P.G Programmes with the year in which introduced

  (3) Research Programme – Ph.D with the year in which introduced

- **Records required**:

  (1) CDC notification (i.e., renewal of affiliation), and/or

  (2) University notification in the form of permission

- Names of permanent teachers who served/serving as the members/chairpersons academic bodies of affiliating university, other autonomous colleges and other institutions such as,

> Board of Studies,
>
> Faculty,
>
> Academic Council,
>
> Syndicate,
>
> Finance Committee,
>
> Board of Examiners,
>
> Board of Appointments, etc

- Period of membership

**Records**: Appointment/nomination letters from the university/institution concerned

# Criterion – I: Curricular Aspects (100) (conts)

- Academic programmes offered under CBCS"

  UG Programmes

  B.A

  B.Com

  B.Sc, etc

  PG Programmes

- The year in which switched over from Semester to CBCS - Programme-wise

- Whether options are given under CBCS for the students to select the courses they wish to study?

- If so, in what academic programmes?

- Are you offering Elective/Inter-disciplinary courses?

- If so, what are those courses

**Records**: Notification from the university/college to introduce the above

# Criterion – I: Curricular Aspects (100) (conts)

- Are you offering Certificate Courses and/or Diplomas?
- If yes, what are those courses/Diplomas?
- How many students enrolled for these courses – year-wise statistics
- Have you discontinued any of these courses/Diplomas?
- If yes, what were reasons?

**Records**:

(1) List of Students,

(2) Attendance,

(3) Copies of curricula of these courses/Diplomas, etc

- Have introduced any Value-adding course (with at least 30 contact hours)? e.g., for M.A (English) students, a course on translation studies from Kannada to English and vice-verse

- Are offering any Value-adding course more than once in an academic year?

- Year-wise number of students completing these courses

**Records**:

(1) Approval records of BoS, Faculty, AC and/or university communication

(2) Syllabus copies

(3) List of students admitted to these courses, their attendance register, etc

# Criterion – I: Curricular Aspects (100) (conts)

- For how many programmes, field-work and/or internship based project reports are mandatory? Specify the academic programmes

- How many students have taken up field-work and/or internship based project reports?

- What is their %age? (to total student strength of the institution)

**Records**:

(1) Regulations copy (which specify the field-work and/or internship based project report)

(2) List of students who have worked for their project reports

(3) Copies of project reports

- Have you collected the feedback from stakeholders such as students, teachers, employers, alumni and parents about the course curricula?

- If collected, have you analysed the same?

- Have you submitted results of analysis to the Boards of Studies for consideration and incorporation, if feasible, in the revised curricula?

- In the case of autonomous colleges, are you using the feedback while revising the course curricula?

- Have you uploaded the summary of feedback to your website?

**Records**:

(1)  Forms of duly filled feedback

(2)  Analysis report

(3)  Action taken based on the suggestions given by the stakeholders

# Criterion – II: Teaching and Learning (350)

- Percentage of students from other states to total student strength
- Percentage of students from other countries to total students strength
- Percentage of students enrolled to intake – programme-wise
- Percentage of students enrolled to seats reserved for SC, ST, OBC, General and Others
- Differently-abled students
  - ✓ programme-wise
  - ✓ gender-wise
  - ✓ %age of disability

**Documents**:
(1) List of students from other countries
(2) List of students from other states
(3) List of category-wise students – SC, ST, OBC, GM and others
(4) List of differently-abled students

- Number of teachers using ICT

- ICT tools available

- Number of ICT-enabled/smart classrooms

**Documents**:

(1) List of Teachers using ICT

(2) List of ICT tools available

(3) Number of ICT-enabled/smart classrooms (Lecture Hall – 1, 5, 8, etc)

# Criterion – II: Teaching and Learning (350) (conts)

- Cadre-wise sanctioned teaching posts – subject-wise

- Cadre-wise teaching posts filled – subject-wise, category – SC, ST, OBC, etc, gender, M.Phil holders, Doctorate holders (whether still serving, whether recognised as Research Guides, year of recognition), within the state and outside the state,

- Year of appointment

- Number of years of experience (in the institution and total including other institutions)

- PAN

**Documents**:

(1)     Sanction letters from the authorities

(2)     Appointment orders

(3)     Reporting letters

(4)     Category certificates

(5)     Educational qualification certificates – PG, M.Phil, Ph.D

(6)     Guide recognition letter from the university

(7)     Copies of PAN

- Number of permanent teachers from other states

- Number of permanent teachers who have received Awards, Recognition and/or Fellowship at State, National and International Level from recognised bodies

- Whether the institution is providing any incentive in recognition of the Award?

- If yes, what is the amount of incentive?

**Documents**:

(1)  List of permanent teachers from other states with appointment letters including their states and also the states from which their qualifying Degrees were obtained

(2)  List of Teachers who received Awards, etc., and copies of Awards, Recognition and/or Fellowships received

(3)  Office order of the institution sanctioning incentive to those Awardees

# Criterion – II: Teaching and Learning (350) (conts)

- Number of students who appeared for final semester/year examination

- Number of students who passed final semester/year examination

- Number of students who passed with distinction, first class, second class, pass class

**Documents**:

(1) List of students sent to university for approval – for appearing for the examination

(2) Result sheets sent by the university

# Criterion – II: Teaching and Learning (350) (conts)

- Conduct online **student satisfaction survey** of all currently enrolled students about the teaching-learning process

- Analyse the survey inputs and take action, if feasible

- Also inform the teachers concerned individually about the student opinion about their teaching, etc

**Document**: Prepare a list of all currently enrolled students with the following details:

(1)     Name of the student

(2)     Gender

(3)     Category

(4)     State of domicile

(5)     Nationality (if from other country)

(6)     E-mail id

(7)     Programme for which enrolled

(8)     Mobile number

(9)     Year of admission to the academic programme

(10)    Enrolment id

# Criterion – III: Research, Innovation and Extension (120)

- Number of Minor and Major Research Projects – Sanctioned, Completed, and On-going
- Name of Principal/Co-Investigator, Department of Investigator
- Amount of fund sanctioned and duration of the project
- Name of the Funding Agency – whether it is government agency or non-government agency

**Documents**:

(1) Copies of sanction letters
(2) Copies of submission and UC in the case of completed projects

- Number of workshops/seminars organised on IPR and Industry-Academia Innovative Practices with the following details:

  (1) Date/s of workshop/s and/or seminars

  (2) Theme/s of workshop/s and/or seminars

  (3) Date of establishment of IPR Cell

**Documents**:

(1) Invitation of workshop/s and/or seminars

(2) Sources of funding

(3) List of participants/delegates – local and outstation

(4) Outcome – in the form of recommendations

# Criterion – III: Research, Innovation and Extension (120) (conts)

- Whether the institution has plagiarism detection software

- Whether the institution has a policy pertaining to plagiarism such as maximum permissible limits or whether it has adopted UGC Regulations pertaining to research?

- Name of the plagiarism detection software

**Documents**:

(1) Policy document pertaining to code of ethics in research

(2) Copy of the letter received from the authorities for having supplied the plagiarism detection software

# Criterion – III: Research, Innovation and Extension (120) (conts)

- Number of research guides
- Number of M.Phil candidates successfully guided by the permanent teachers
- Number of Ph.D candidates successfully guided by the permanent teachers

**Documents**:

(1) Guide recognition letters from the university
(2) Copies of M.Phil/Ph.D registration
(3) Copies of M.Phil/Ph.D award notification
(4) List of M.Phil/Ph.D Scholars
(5) Copies M.Phil/Ph.D theses – if published, copies of books

# Criterion – III: Research, Innovation and Extension (120) (conts)

- Number of research papers published in:

    (1)  Journals notified by the UGC

    (2)  Scopus indexed

    (3)  Peer Reviewed

    (4)  Indian journals and foreign journals, etc

**Documents**:

(1)  Copies of research papers published by the faculty members

(2)  List of papers published with the following details – title of the paper, name of the author/s, department of the teacher, name of the journal, year of publication, ISSN number, UGC Number, Impact Factor, Citation, etc

# Criterion – III: Research, Innovation and Extension (120) (conts)

- Number of books published by the faculty members
- Number of edited volumes by the faculty members
- Number of chapters published in edited volumes (edited by others)
- Number of papers published in conference proceedings – national and international

**Documents**:

(1) Copies of books, edited volumes, chapters, and conference proceedings

(2) List of books, etc with the following details – name of the teacher, title of the book, edited volume, title of chapter, title of conference proceedings, name of the conference – national or international, year of publication, ISBN, name of the publisher, place of publisher, etc

# Criterion – III: Research, Innovation and Extension (120) (conts)

- Number of extension/outreach programmes organized in collaboration with other agencies/authorities

- Number of Awards/Recognition received for extension activities

**Documents**:

(1) Extension activities organized in collaboration with others and through the NSS/NCC, etc providing details of name of the activity, organizing unit, collaborating agency, period of the programme, list of teachers and students participated, etc.

(2) Copies of Award letters and prepare a list of such name of activity, name of the Award/Recognition, name of Awarding authority, year of Award, etc

# Criterion – III: Research, Innovation and Extension (120) <sub>(conts)</sub>

- Whether the institution organized extension activities such as Swachh Bharat, Aids Awareness, Gender Issue, etc.

- If yes, number of students participated in such extension activities

## Documents:

(1) Name of the activity

(2) Organizing unit and the collaborating agency

(3) Name of the Scheme

(4) Year and date/s of conducting such activities

(5) List of students (with their programme of study, etc)

- Number of Linkages for,
  - (1) Faculty exchange
  - (2) Student exchange
  - (3) Internship
  - (4) Field trip
  - (5) On-the job training
  - (6) Research, etc

**Documents**:

(1) List of linkages, name and contact details of partnering institution/ industry, year of commencement, validity period, nature of linkage, etc

(2) Copies of MOU signed

# Criterion – III: Research, Innovation and Extension (120) <sub>(conts)</sub>

- Number of functional MOUs with national/international institutes, other universities, industries, etc

- Details of ongoing activities under these MOUs

**Documents**:

(1) List of functional MOUs signed with details about name of external institution/industry, year of signing MOU, list of activities undertaken under each MOU, list of teachers/ students participated/benefited from each MOU, etc.

(2) Copies of MOUs signed

# Criterion – IV: Infrastructure and Learning Resources (100)

- Number of Lecture Halls and Seminar Halls with ICT facilities such as smart class, etc

- Percentage of budget outlay (excluding salary) earmarked for augmentation of infrastructure

- Whether the institution has the following facilities?

  (1)  e-journals

  (2)  Shodhganga membership

  (3)  E-books

  (4)  Databases

**Documentation**:

(1)  List of lecture/seminar halls with ICT facilities

(2)  Relevant portion of budget copy

(3)  Subscription receipts and/or letter from the authorities concerned to the effect that the above are provided at free of cost – providing details of membership, subscription, name of service subscribed, number of resources with full text access, validity period, usage report from service provider, etc

- Amount and %age (to total budget outlay) of annual expenditure for purchase of books, journals and e-journals

- Amount and %age of expenditure for maintenance of physical facilities and academic support (excluding salary)

- Whether the institution has facilities for development of e-content such as media centre, recording facility, lecture capturing system (LCS)

**Documents**:

(1) Relevant portion of budget copy

(2) Name of e-content development facility

# Criterion – V: Student Support and Progression (130)

- How many students received government scholarships and free-ships?

- How many students received scholarships/free-ships from other outside agencies/authorities?

- How many students were provided with scholarships and free-ships by the institution?

**Documents**:

(1) Prepare a list of students (year-wise) who received government, institutional and other agencies' scholarships and free-ships – provide the details about the name of scheme, amount of benefits, etc.

(2) Copies of sanction letters

# Criterion – V: Student Support and Progression (130)

- Are you arranging the following for the benefit of students?

  (1) Guidance for competitive examinations

  (2) Career counselling

  (3) Soft skill development

  (4) Remedial coaching

  (5) Language lab

  (6) Bridge courses

  (7) Yoga and meditation

  (8) Personal counselling

- If yes, how many programmes of each of the above programmes each year?

**Documents**:

(1) Course inputs of the programmes conducted by your institution

(2) List of students who attended and benefited from the same

(3) Name of outside agency engaged, if any for conducting any of the above

- Year-wise number of students benefited from the career counselling and guidance for competitive examinations

- Year-wise number of students benefits from Vocational Education and Training

- Whether the institution has a transparent mechanism to redress the student grievances, sexual harassment and ragging cases?

- If yes, in each case, year-wise number of grievances appealed, number of grievances redressed and number of days taken for redressal

**Documents**:

(1) Year-wise list of students who attended above training programmes.

(2) In each of the above major problems of students, list of grievances received, minutes of meeting held to redress the grievances, number of grievances redressed, number of days taken, etc

- Number of students of outgoing batch obtaining placement

- Number of students who passed out of the institution taking admission for higher studies such as PG, M.Phil, Ph.D, etc

- Number of students qualifying in competitive examinations such as KSET, UGC-NET, UGC-CSIR, GATE, Civil Service, state government civil service examination, etc.

## Documents:

(1) List of students placed, employers' details, package received, etc

(2) List of students who registered for higher education, details of academic/research programmes joined, name of the academic/research programme admitted, etc

(3) Competitive examination-wise and year-wise list of students who successfully qualified

(4) Certificates of qualifying competitive examination of all successful candidates

- Number of Awards/Medals for outstanding performance in Sports, Cultural Activities at national/international level

- Number of Sports and/or Cultural Activities organized by the Institution

- Year-wise number of alumni meetings held

- Amount contributed by the alumni

**Documents**:

(1) List of students with name of award/medal, national/international level, sports/cultural activities, student ID number, etc

(2) Name of the Activity organized – duration, number of teams participated, etc

(3) List of alumni – membership forms, year of graduation, year of contribution, and contribution of each, PAN/Aadhar No and their copies

(4) Minutes of the meetings of alumni

# Criterion – VI: Governance, Leadership and Management (100)

- Whether the institution has implemented e-governance in the area of operation of:

  (1) Planning and development

  (2) Administration

  (3) Finance and accounts

  (4) Student admission and support

  (5) Examination

**Documents**:

(1) Name of the vendor of software for each of the above area

(2) Year of implementation of e-governance in each of the above area

# Criterion – VI: Governance, Leadership and Management (100) (conts)

- Number of teachers provided with financial support towards membership of professional bodies

- Number of teachers provided with financial support for attending conferences, seminars, etc

- Number of professional development programmes such as orientation programmes, refresher courses, etc., administrative training programmes organized by the institution for teaching and non-teaching staff

**Documents**:

(1) List of teachers who attended conferences, seminars, etc with details such as theme of the conference, seminar, etc., amount of support, copies of certificates, etc

(2) List of teachers who are the members of professional bodies for which Institution provided the membership fee, and amount of support, copies of receipt, etc

(3) Theme of professional development/training programme organised, date/s, list of participants, copies of invitation/s, certificates, etc

# Criterion – VI: Governance, Leadership and Management (100) (conts)

- Number of teachers attending professional development programmes such as Orientation Programmes, Refresher Courses, Shor-term Courses, Faculty Development Programmes, etc

- Amount of fund/grants received from NGOs, individuals, philanthropers, etc

**Documents**:

(1) List of teachers who attended the professional development programmes with copies of certificates, title of the programme, dates/duration, etc

(2) Name of donor, amount received, purpose for which it was given and utilized, etc

# Criterion – VI: Governance, Leadership and Management (100) <sub>(conts)</sub>

- Number of quality enhancement programmes organised by IQAC
- Whether the institution arranges for,

  (1) Regular meeting of IQAC, timely submission of AQAR to NAAC, collection of feedback from stakeholders, their analysis and use for improvements

  (2) AAA and follow-up action based on the recommendations of AAAC

  (3) Participation in NIRF

  (4) ISO certification

  (5) NBA or any other quality audit

**Documents**:

(1) List of quality enhancement programmes with details of name of the programme, date/s, copies of invitation, number of participants, etc

(2) Copies of AQARs, dates on which submitted

(3) AAAC report – its constitution order, dates of visit, members, follow-up action, etc., uploading to website

(4) If participated in NIRF, Rank number

(5) If applied for ISO certification, copies of certification

(6) NBA, if applicable (applicable only for engineering colleges)

# Criterion – VII: Institutional Values and Best Practices(100)

- Number of Gender Equity Promotion programmes organised

- What portion of your annual power requirement is met by the renewable energy sources?

- What portion of lighting power requirements met through LED bulbs?

**Documents**:

(1) Title of the programme, date/s, list of participants, copies of invitation, etc

(2) Statement showing total power requirement of the institution, renewable energy generated and used, energy supplied to Grid, if any, etc

(3) Total lighting requirements, %age of lighting through LED bulbs and other sources

- Amount spent (excluding salary) out ot total budget outlay on green initiatives and waste management

- Whether the following facilities/resources are available for the differently abled persons/ students?

  (1) Provisioning of lift

  (2) Ramp

  (3) Braille Software

  (4) Rest room

  (5) Scribes for examination

  (6) Special skill development for differently abled students, etc

**Documents**:

(1) Copy of relevant portion of budget copy

(2) Proof for each of the above facilities, if available, for differently-abled students

- Whether the code of conduct handbook exists for teachers, students, non-teaching staff, administration including head of the institution?

- Have displayed your institutional vision, mission and core values in the institution and in the website?

- Number of awareness programmes organised to increase consciousness about national symbols, fundamental duties, rights of citizens, etc

**Documents**:

(1) If handbook/s is/are available, copies of the same

(2) Copies of vision, mission and core values and also link for the same in the website

(3) List of programmes organised with details such as the name of the programme, date/s, number of participants, copies of invitations of programmes organized, etc

- Are you offering a course on Human Values and Professional Ethics? If yes, details

- Whether the functioning of your institution is governed by professional code prescribed by statutory bodies for different institutions

**Documents**:

(1) Course inputs, duration, date/s, number of participants/ students, etc

(2) Copy of professional code and a statement to the effect the institution adheres to this code

- Are you conducting programmes for the promotion of,

  (1) Universal values – truth, righteous conduct, love, non-violence and peace

  (2) National values

  (3) Human values

  (4) National integration, communal harmony

  (5) Social cohesion

  (6) Fundamental duties

**Documents**: Provide a list of programmes organized – name of the programme, date/s, number of participants, etc

# Thank you