CRITERION VI:
GOVERNANCE, LEADERSHIP AND MANAGEMENT

Criterion VI - Governance, Leadership and Management : This criterion helps gather data on the policies and practices of an institution in the matter of planning human resources, recruitment, training, performance appraisal, financial management and the overall role of leadership in institution building. The focus of this criterion is on the following Key Aspects:

KEY ASPECTS

> **6.1 Institutional Vision and Leadership**
> **6.2 Strategy Development and Deployment**
> **6.3 Faculty Empowerment Strategies**
> **6.4 Financial Management and Resource Mobilization**
> **6.5 Internal Quality Assurance System (IQAS)**

6.1 Institutional Vision and Leadership

Effective leadership by setting values and participative decision-making process is key not only to achieve the vision, mission and goals of the institution but also in building the organizational culture. The formal and informal arrangements in the institution to co-ordinate the academic and administrative planning and implementation reflects the institutions efforts in achieving its vision.

6.2 Strategy Development and Deployment

The leadership provides clear vision and mission to the institution. The functions of the institution and its academic and administrative units are governed by the principles of participation and transparency. Formulation of development objectives, directives and guidelines with specific plans for implementation by aligning the academic and administrative aspects improves the overall quality of the Institutional provisions.

6.3 Faculty Empowerment Strategies

The process of planning human resources including recruitment, performance appraisal and planning professional development programmes and seeking appropriate feedback, analysis of responses and ensure that they form the basis for planning. Efforts are made to upgrade the professional competence of the staff. There are mechanisms evolved for regular performance appraisal of staff.

6.4 Financial Management and Resource Mobilization

Budgeting and optimum utilization of finance, including mobilization of resources are the issues considered under this key aspect. There are established procedures and processes for planning and allocation of financial resources. The institution has developed strategies for mobilizing resources and ensures transparency in financial management of the institution. The income and expenditure of the institution are subjected to regular internal and external audit.

6.5 Internal Quality Assurance System (IQAS)

The internal quality assurance systems of HEIs are Self-regulated responsibilities of the higher education institutions, aimed at continuous improvement of quality and achieving academic excellence. The institution has mechanisms for academic auditing. The institution adopts quality management strategies in all academic and administrative aspects. The institution has an IQAC and adopts a participatory approach in managing its provisions.

****

THE ASSESSMENT OUTCOME

The assessment by NAAC takes a holistic view of all the inputs, processes and outcomes of an institution and thus the HEIs are expected to demonstrate how they achieve the objectives of the core values through the data and information detailed in the self study reports (SSR). The Assessment and Accreditation outcome includes a qualitative and quantitative component. The qualitative part of the outcome is the Peer Team Report (PTR) and the quantitative part includes a Cumulative Grade Point Average (CGPA), a letter grade and a performance descriptor.

(i) Weightages

Taking cognizance of the diversity in institutional functioning, HEIs have been grouped under three major categories i.e. Universities, Autonomous colleges and Affiliated colleges and differential weightages are assigned for each of the seven criteria as detailed in the table below:

Criteria	Key Aspects	Universities	Autonomous Colleges	Affiliated Colleges
1. Curricular Aspects	1.1 *(U)Curriculum Design and Development	50	50	NA
	1.1. *(A) Curricular Planning and Implementation	NA	NA	20
	1.2 Academic Flexibility	50	50	30
	1.3 Curriculum Enrichment	30	30	30
	1.4 Feedback System -	20	20	20
	Total	**150**	**150**	**100**
2. Teaching-Learning and Evaluation	2.1 Student Enrolment and Profile	10	30	30
	2.2 Catering to Student Diversity	20	40	50
	2.3 Teaching-Learning Process	50	100	100
	2.4 Teacher Quality	50	60	80
	2.5 Evaluation Process and Reforms	40	30	50
	2.6 Student Performance and Learning Outcomes	30	40	40
	Total	**200**	**300**	**350**
3. Research, Consultancy	3.1 Promotion of Research	20	20	20

Criteria	Key Aspects	Universities	Autonomous Colleges	Affiliated Colleges
and Extension	3.2 Resource Mobilization for Research	20	20	10
	3.3 Research Facilities	30	20	10
	3.4 Research Publications and Awards	100	20	20
	3.5 Consultancy	20	10	10
	3.6 Extension Activities and Institutional Social Responsibility	40	50	60
	3.7 Collaboration	20	10	20
	Total	**250**	**150**	**150**
4.Infrastructure and Learning Resources	4.1 Physical Facilities	30	30	30
	4.2 Library as a Learning Resource	20	20	20
	4.3 IT Infrastructure	30	30	30
	4.4 Maintenance of Campus Facilities	20	20	20
	Total	**100**	**100**	**100**
5. Student Support and Progression	5.1 Student Mentoring and Support	40	40	50
	5.2 Student Progression	40	40	30
	5.3 Student Participation and Activities	20	20	20
	Total	**100**	**100**	**100**
6. Governance Leadership and Management	6.1 Institutional Vision and Leadership	10	10	10
	6.2 Strategy Development and Deployment	10	10	10
	6.3 Faculty Empowerment Strategies	30	30	30

Criteria	Key Aspects	Universities	Autonomous Colleges	Affiliated Colleges
	6.4 Financial Management and Resource Mobilization	20	20	20
	6.5 Internal Quality Assurance System	30	30	30
	Total	**100**	**100**	**100**
7. Innovations and Best Practices	7.1 Environment Consciousness	30	30	30
	7.2 Innovations	30	30	30
	7.3 Best Practices	40	40	40
	Total	**100**	**100**	**100**
	TOTAL SCORE	**1000**	**1000**	**1000**

*

(U)- *applicable only for Universities and Autonomous Colleges*

(A)- *applicable only for the Affiliated/Constituent Colleges*

(ii) Grading System

The accreditation status of the assessed HEIs is decided using the weightages detailed above. Institutions will be assessed and graded on a four point scale and qualifying institutions accredited and graded on a 3- letter grade as follows:

Range of institutional Cumulative Grade Point Average (CGPA)	Letter Grade	Performance Descriptor
3.01-4.00	A	Very Good (Accredited)
2.01-3.00	B	Good (Accredited)
1.51-2.00	C	Satisfactory

		(Accredited)
≤ 1.50	D	Unsatisfactory (Not Accredited)

Institutions which secure a CGPA equal to or less than 1.50 and graded "D" does not qualify for accreditation. Such unqualified institutions will be intimated and notified by the NAAC as "assessed and found not qualified for accreditation".

(ii) Validity Period of Accreditation

The accreditation status is valid for five years from the date of approval by the Executive Committee of the NAAC. To continue the status of accreditation the institution has to record its intent for the next cycle accreditation by submitting the LOI six months before the expiry of the accreditation status and the SSR within six months of acceptance of the LOI by NAAC. **Institutions that do not adhere to these timelines will lose the accreditation status.**

■■

6.1   Institutional Vision and Leadership

6.1.1   State the vision and mission of the College.

6.1.2   Does the mission statement define the College's distinctive characteristics in terms of addressing the needs of the society, the students it seeks to serve, College's traditions and value orientations, vision for the future, etc.?

6.1.3   How is the leadership involved in

* ensuring the organization's management system development, implementation and continuous improvement
* interaction with stakeholders
* reinforcing culture of excellence
* identifying needs and championing organizational development (OD)?

6.1.4   Were any of the senior leadership positions of the College vacant for more than a year? If so, indicate the reasons.

6.1.5   Does the College ensure that all positions in its various statutory bodies are filled and conduct of meetings at the stipulated intervals?

6.1.6   Does the College promote a culture of participative management? If yes, indicate the levels of participative management.

6.1.7 Give details of the academic and administrative leadership provided by the University to the College?

6.1.8 How does the College groom the leadership at various levels?

6.1.9 Has the College evolved any strategy for knowledge management? If yes, give details.

6.1.10 How are the following values reflected in various functions of the College?

* Contributing to national development
* Fostering global competencies among students
* Inculcating a value system among students
* Promoting use of technology
* Quest for excellence

6.1.11 Give details of the UGC autonomous review committee's recommendations and its compliance.

6.2   Strategy Development and Deployment

6.2.1 Does the College have a Perspective Plan for development? If so, give the aspects considered in development of policy and strategy.

* Teaching and learning
* Research and development
* Community engagement
* Human resource planning and development
* Industry interaction
* Internationalisation

6.2.2 Enunciate the internal organizational structure of the College for decision making processes and their effectiveness.

6.2.3 Specify how many planned proposals were initiated/implemented, during the last four years. Give details.

6.2.4 Does the College have a formally stated quality policy? How is it designed, driven, deployed and reviewed?

6.2.5 How does the College ensure that grievances / complaints are promptly attended to and resolved effectively? Is there a mechanism to analyse the nature of grievances for promoting better stakeholder-relationship?

6.2.6 Does the College have a mechanism for analyzing student feedback on institutional performance? If yes, what was the institutional response?

6.2.7 In what way the affiliating University helped the College to identify the developmental needs of the College?

6.2.8   Does the affiliating university have a functional College Development Council (CDC) or Board of College and University Development (BCUD)? If yes, In what way College is benefitted.

6.2.9   How does the College get feedback from non-teaching, teaching, parents and alumni on its functioning and how it is utilized.

6.2.10   Does the College encourage autonomy to its academic departments and how does it ensure accountability?

6.2.11   Does the College conduct performance auditing of its various departments?

6.3   Faculty Empowerment Strategies

6.3.1   What efforts are made by the College to enhance the professional development of teaching and non teaching staff?

6.3.2   What is the outcome of the review of the Performance Appraisal Reports? List the major decisions.

6.3.3   What are the welfare schemes available for teaching and non teaching staff? What percentage of staff have availed the benefit of such schemes in the last four years?

6.3.4   What are the measures taken by the College for attracting and retaining eminent faculty?

6.3.5   Has the College conducted a gender audit during the last four years? If yes, mention a few salient findings.

6.3.6   Does the College conduct any gender sensitization programs for its staff?

6.3.7   What is the impact of the University's UGC-Academic Staff College Programmes in enhancing competencies of the College faculty?

6.4   Financial Management and Resource Mobilization

6.4.1   What is the institutional mechanism to monitor effective and efficient use of financial resources?

6.4.2   Does the College have a mechanism for internal and external audit? Give details.

6.4.3   Provide audited income and expenditure statement of academic and administrative activities of the previous four years.

6.4.4   Have the accounts been audited regularly? What are the major audit objections and how are they complied with?

6.4.5   Narrate the efforts taken by the College for resource mobilization.

6.4.6   Is there any provision for the College to maintain the 'corpus fund'? If yes, give details.

6.5   Internal Quality Assurance System

6.5.1   Does the College conduct an academic audit of its departments? If yes, give details.

6.5.2   Based on the recommendations of academic audit what specific measures have been taken by the College to improve teaching, learning and evaluation?

6.5.3   Is there a central body within the College to continuously review the teaching learning process? Give details of its structure, methodologies of operations and outcome?

6.5.4   How has IQAC contributed to institutionalizing quality assurance strategies and processes?

6.5.5   Does the IQAC have external members on its committees? If so, mention any significant contribution made by such members.

6.5.6   Has the IQAC conducted any study on the incremental academic growth of students from disadvantaged sections of society?

6.5.7   What policies are in place for the periodic review of administrative and academic departments, subject areas, research centres, etc.?

Any additional information regarding Governance, Leadership and Management, which the institution would like to include.