

NIAD-QE Study Seminar-2019

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Presentation
on
NAAC'S REVISED ACCREDITATION FRAMEWORK
(RAF): A PARADIGM SHIFT



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Outline

- **Context: two decades of pioneering experience**
- **Reform Process**
- **Key Features of revised accreditation framework**
- **Quality Indicator Framework**
- **Current and Revised Framework by NAAC**
- **QIF: Criteria, Key Indicators, Metrics & Weightage Chart**
- **RAF – NAAC reforms: Impact and expected outcomes**
- **RAF – Analysis of results of accreditation**
- **RAF – Challenges and Way forward**

NAAC for Quality and Excellence



- National Assessment and Accreditation Council (NAAC) is premier Quality assurance organization of India which has its genesis in recommendations of National Policy on Education (NPE), 1986 and Plan of Action 1992.
- Establishment of NAAC in 1994 by University Grants Commission (UGC) under provisions of 12 CCC of UGC Act, 1956.
- Autonomous body governed by the Executive Committee and General Council,
- Also registered as Society in Karnataka having its base in Bangalore
- Core Academic Staff and National pool of Assessors

NAAC's Vision

To make quality the defining element of higher education in India through a combination of self and external quality evaluation, promotion and sustenance initiatives.





NAAC's Mission

To arrange for periodic assessment and accreditation of institutions of higher education or units thereof, or specific academic programmes or projects;

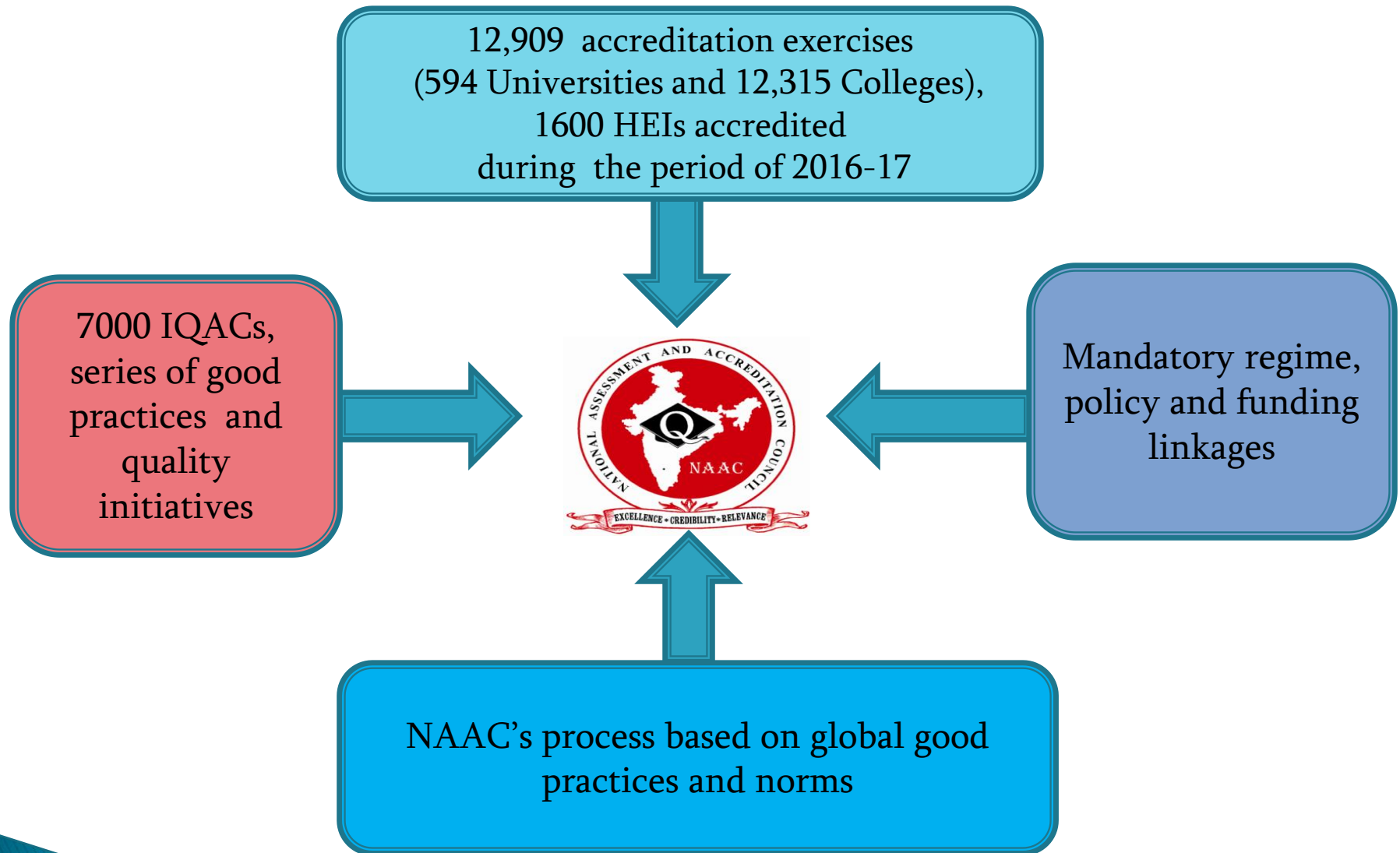
To stimulate the academic environment for promotion of quality of teaching-learning and research in higher education institutions;

To encourage self-evaluation, accountability autonomy and innovations in higher education

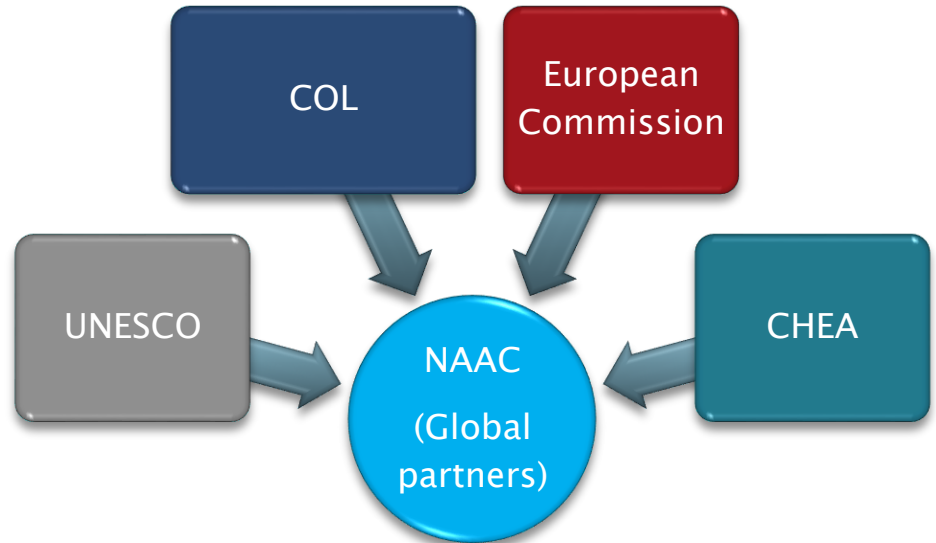
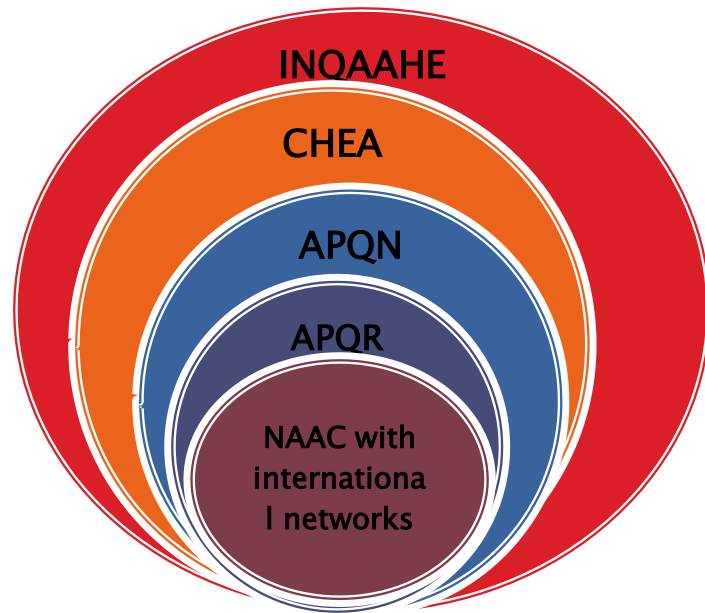
To undertake quality-related research studies, consultancy and training programmes, and

To collaborate with other stakeholders of higher education for quality evaluation, promotion and sustenance

Context: Two Decades of Pioneering Experience



NAAC - International Alignment & Recognition



NAACs Accreditation is recognised globally for admissions, placements and collaborations

“Bengaluru Statement - 2016 on Next - Generation Quality Assurance of Higher Education” has facilitated 18 Global Quality Assurance partners

Most USA universities recognise NAACs highest grade 3 year HEI degrees equal to 4 year US degree for further studies

Prestigious “APQN Quality Award 2017” for International Co-operation in Quality Assurance

Total Institutions accredited by NAAC

(As on 14th June 2019)

	1 st Cycle	2 nd Cycle	3 rd Cycle	4 th Cycle	Total
Universities	353	166	73	2	594
Colleges	7926	3448	920	21	12315
Total	8279	3614	993	23	12909

Source: NAAC Statistics Unit, 2019

The benefits of Accreditation



To know its strengths, weaknesses, and opportunities through an informed review process

Funding agencies look for accreditation data for performance funding.

Institutions to initiate innovative and modern methods of pedagogy

New sense of direction and identity.

The society look for reliable information on quality education offered.

Employers look for reliable information on the quality of education.

Opportunity to attract students from within India and abroad.

Reform Process

- ▶ Revised Accreditation Framework (July 2017) developed in consultation with statutory bodies, experts and Stakeholders.
- ▶ Existing fifty (50) Core and Desirable indicators, about Two Hundred (200) Assessment Indicators and questions in manual synthesized.
- ▶ Referencing with National Institutional Ranking Framework (NIRF) and International Practices.
- ▶ Consulted about 200 experts through national meet, workshops and Core Working Group and Sectoral Working Groups meetings.
- ▶ Conducted a pilot study across the country to test the framework and benchmarks (100 HEIs).
- ▶ Quality Indicator Framework (QIF) hosted on website and feedback sought.
- ▶ Provision of 5% optional/non applicable metrics to address diversity issue.

Key Features of revised accreditation framework

- ❖ A Paradigm shift in approach and philosophy.
- ❖ From qualitative peer judgments to data based quantitative indicator evaluation.
- ❖ System Generated scores (SGS) with combination of online evaluation (70%) and peer judgment (30%).
- ❖ Automated Evaluation Model with Increased objectivity & transparency.
- ❖ Significant difference in evaluation of Universities, Autonomous Colleges and Affiliated/Constituent Colleges.
- ❖ Introducing key indicators on Alumni engagement and Student satisfaction survey.
- ❖ Data validation by external professional agencies.
- ❖ Appropriate penalty provisions evolved for institutions submitting fraudulent data/information/supporting documents.

Key Features of RAF

Introduction of Qualitative Metric (QIM) and Quantitative Metric (QnM) as basis of assessment.

Quality Benchmarks

- ▶ Benchmarks for each metrics are designed taking the consideration of academic experts' views and field testing.
- ▶ The benchmarks of QIF are designed on 0-4 scale and these benchmarks are tested using pilot study.
- ▶ A series of meetings were conducted for statistical analysis of benchmark values of quality indicator framework.
- ▶ Separate benchmarks are designed for university, autonomous and affiliated colleges

Pre- qualifier for visit

- ▶ Institution has to secure at least 30% in the quantitative metrics to qualify for peer team visit (PTV) which is considered as a cut off score

Third party data validation –

- ▶ Data submitted by HEIs is being scrutinised, verified and validated by the third party evaluators commonly referred as Data Verification and Validation (DVV) partners
- ▶ Fully system orchestrated process where HEI, NAAC Co-ordinator and DVV partner exchange data and clarifications

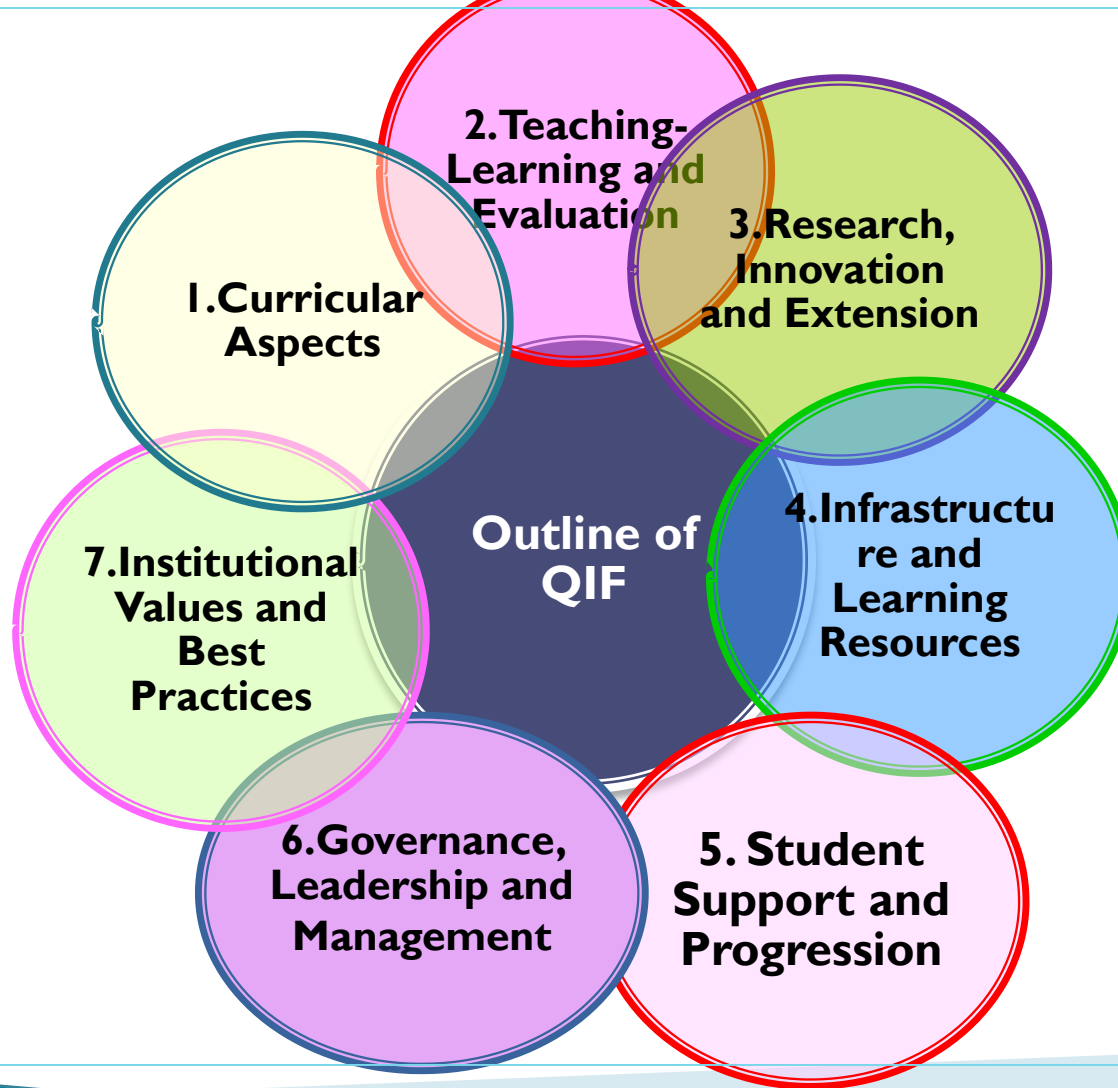
Key Features of RAF

100 % ICT based Process

- ▶ The entire process of Assessment methodology is ICT based evaluation from preliminary stage of application called IIQA till the result declaration.
- ▶ (IIQA, SSR, DVV, Pre-qualifier and PTV. The final outcome is a combination of System Generated Scores (SGS), SSS and Peer team score from peer team visit on Qualitative evaluation of the institute.

Institutional Information for Quality Assessment (IIQA)

- ▶ In order to reduce the duration of the process, Initial Application comprising Letter of Intent (LOI) and Institutional Eligibility for Quality Assessment (IEQA) involving eligibility checks document verification and indicator based screening formats were designed and deployed as a single application called as Institutional Information for Quality Assessment (IIQA) thereby reducing the cycle time for each institution.
- ▶ **Automatic selection** - The system will automatically allot the HEIs to the concerned NAAC Officers (System choosing and allocation of HEIs), DVV partners for third party evaluation and assessors selection based on the type of HEI (university/ subject specialisation/ offerings, non local etc,)



QUALITY INDICATOR FRAMEWORK (QIF)

The criteria based assessment forms the backbone of A&A process of NAAC. The seven criteria represent the core functions and activities of a HEI. In the revised framework not only the academic and administrative aspects of institutional functioning but also the emerging issues have been included. The seven Criteria to serve as basis for assessment of HEIs are:

- ▶ Curricular Aspects
- ▶ Teaching–Learning and Evaluation
- ▶ Research, Innovations and Extension
- ▶ Infrastructure and Learning Resources
- ▶ Student Support and Progression
- ▶ Governance, Leadership and Management
- ▶ Institutional Values and Best Practices

Under each Criterion a few Key Indicators are identified. These Key Indicators (KIs) are further delineated as Metrics.

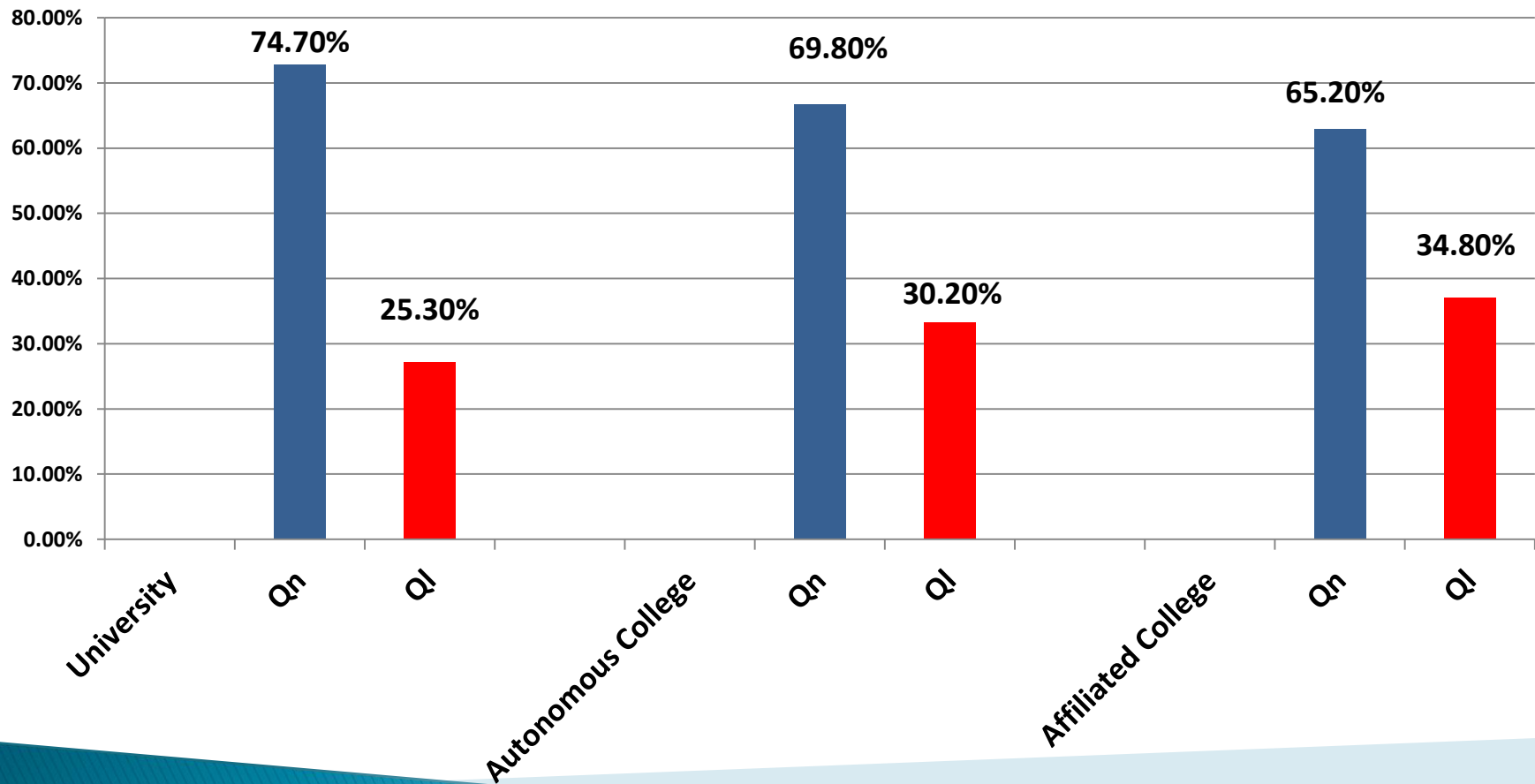
QIF Statistics

Type of HEIs	Universities	Autonomous Colleges	Affiliated Colleges
Criteria	7	7	7
Key Indicators	34	34	32
Qualitative Metrics (QIM)	38	38	41
Quantitative Metrics (QnM)	99	98	80
Total Metrics (QIM + QnM)	137	136	121

Total of QIM and QnM with its weightages of all the three institutions

	QIM	QnM	Total Metrics	QIM Weightages	QnM Weightages	Total Weightages
University	38	99	137	253 (25.3%)	747 (74.7%)	1000 (100%)
Autonomous	38	98	136	302 (30.2%)	698 (69.8%)	1000 (100%)
Affiliated	41	80	121	348 (34.8%)	652 (65.2%)	1000 (100%)

Weightage of Ql & Qn Metrics on QIF



Total Weightage - 1000

The highlights of present QIF is as follows:-

2.7 - Student satisfaction Survey	30	50	50
3.3 - Innovation Ecosystem	30	20	10
5.4 - Alumni Engagement	10	10	10
7.1 - Institutional Values and Social Responsibilities	50	50	50
7.2 - Best Practices	30	30	30
7.3 - Institutional Distinctiveness	20	20	20

Criteria and Key Indicators with its Weightages

Criteria	Key Indicators	Universities	Autonomous Colleges	Affiliated / Constituent 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	40	30
	1.3 Curriculum Enrichment	30	40	30
	1.4 Feedback System	20	20	20
	Total	150	150	100
2. Teaching-Learning and Evaluation	2.1 Student Enrolment and Profile	10	20	30
	2.2 Catering to Student Diversity	20	30	50
	2.3 Teaching-Learning Process	20	50	50
	2.4 Teacher Profile and Quality	50	60	80
	2.5 Evaluation Process and Reforms	40	40	50
	2.6 Student Performance and Learning Outcomes	30	50	40
	2.7 Student satisfaction Survey	30	50	50
	Total	200	300	350

Criteria	Key Indicators	Universities	Autonomous Colleges	Affiliated / Constituent Colleges
3. Research, Innovations and Extension	3.1 Promotion of Research and Facilities	20	20	NA
	3.2 Resource Mobilization for Research	20	10	10
	3.3 Innovation Ecosystem	30	20	10
	3.4 Research Publications and Awards	100	20	20
	3.5 Consultancy	20	10	NA
	3.6 Extension Activities	40	50	60
	3.7 Collaboration	20	20	20
	Total	250	150	120
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 Infrastructure	20	20	20
	Total	100	100	100
5. Student Support and Progression	5.1 Student Support	30	30	50
	5.2 Student Progression	40	30	45
	5.3 Student Participation and Activities	20	30	25
	5.4 Alumni Engagement	10	10	10
	Total	100	100	130

Criteria	Key Indicators	Universities	Autonomous Colleges	Affiliated / Constituent Colleges
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
	6.4 Financial Management and Resource Mobilization	20	20	20
	6.5 Internal Quality Assurance System	30	30	30
	Total	100	100	100
7. Institutional Values and Best Practices	7.1 Institutional Values and Social Responsibilities	50	50	50
	7.2 Best Practices	30	30	30
	7.3 Institutional Distinctiveness	20	20	20
	Total	100	100	100

Example: Qualitative Metric (Q_lM) and Quantitative Metric (Q_nM)

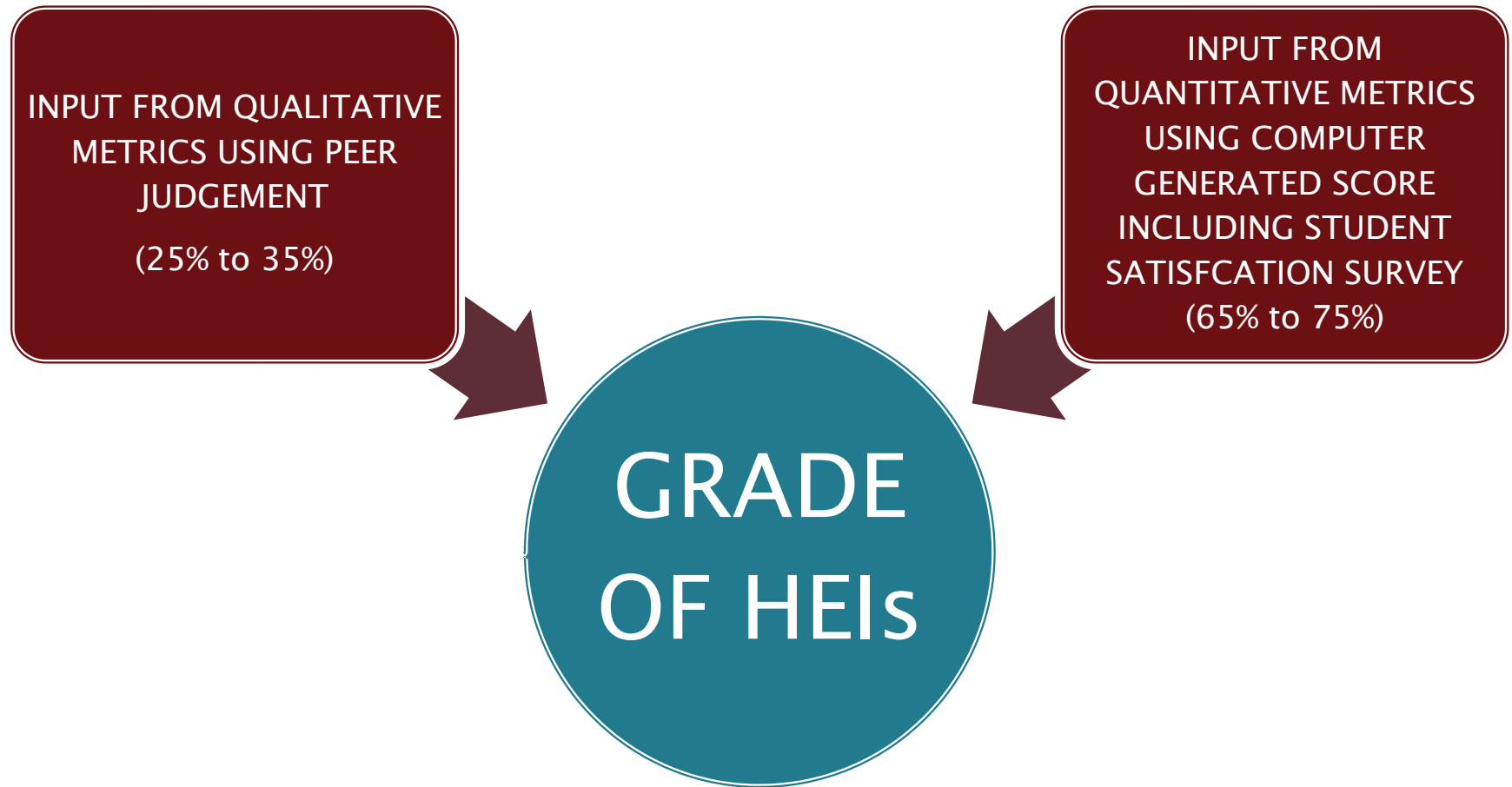
Key Indicator - 1.3 Curriculum Enrichment (30)

Qualitative/ Quantitative Metrics	1.3. Curriculum Enrichment (30)	Benchmark Values				
		4	3	2	1	0
1.3.1 Q_lM	Institution integrates cross cutting issues relevant to Gender, Environment and Sustainability, Human Values and Professional Ethics into the Curriculum (10)					
1.3.2 Q_nM	Number of value-added courses imparting transferable and life skills offered during the last five years (10)	≥AA	AA-BB	BB-CC	DD-CC	<DD
1.3.3 Q_nM	Percentage of students enrolled in the courses under 1.3.2 above (5)	≥AA	AA--BB	BB-CC	DD-CC	<DD
1.3.4 Q_nM	Percentage of students undertaking field projects / internships (5)	≥AA	AA-BB	BB-CC	DD-CC	<DD

Benchmark Driven Assessment

- ❖ Qualitative Metrics (Q_1M) are benchmark statements evaluated by peers based on description, data and site visits (peer judgement on scale of 0 to 4).
- ❖ Quantitative Metrics (Q_nM) are numbers of specific activities/output/achievement supported with documentary evidences. This is evaluated by Data Validation & Verification (DVV) through ICT interface, anonymously.
- ❖ Based on series of Expert Committee Meetings and Pilot studies benchmark values for Q_nM are decided by NAAC and integrated into a software.
- ❖ Software based on predetermined benchmark values gives score on 0 to 4.

System Generated Grade of HEIs:



Revised Grading System of NAAC w.e.f. October 2017

Range of Institutional Cumulative Grade Point Average (CGPA)	Letter Grade	Status
3.51-4.00	A++	Accredited
3.26-3.50	A+	Accredited
3.01-3.25	A	Accredited
2.76-3.00	B++	Accredited
2.51-2.75	B+	Accredited
2.01-2.50	B	Accredited
1.51-2.00	C	Accredited
<= 1.50	D	Not Accredited

NAAC Accreditation Outcome Document

1	Peer Team Report
2	Statistical Analysis of Quantitative Metrics (Q _n M)
3	Institutional Grade Sheet

Above three (3) parts would be combined together to form “**NAAC Accreditation Outcome**” document. It would be made mandatory for HEIs to display it on Institutional website apart from hosting it on NAAC website.

Assessment and Accreditation Outcome

- ▶ **Outcome documents:** RAF of NAAC has introduced many new concepts in its process. The final outcome of Assessment and Accreditation exercise brings an outcome document which is based on ICT score (combination of evaluation of qualitative and quantitative metrics). This document comprises of 3 parts
- ▶ **Peer Team Report:** This report provides general information for the institution and its context along with criterion wise analysis based on peer evaluation of qualitative indicators, overall analysis on Institutional Strengths, Weaknesses, Opportunities and Challenges and also recommendations for Quality enhancement of the Institution.
- ▶ **Quality Profile of the Institution:** This is a graphical representation report based on Quantitative Metrics (Q_nM) which is a System Generated Quality Profile of the HEI based on statistical analysis of quantitative indicators in the NAAC's QIF (Quality Indicator Framework). This graphical presentation of institutional features were reflected through synthesis of quantifiable indicators.
- ▶ **Institutional Grade sheet:** This contains the Institutional Grade Sheet which is based on qualitative indicators, quantitative indicators and student satisfaction survey using existing calculation methods but generated through the software.

Pre-qualifiers for HEIs

The Quantitative Metrics (Q_nM) of SSR will be sent for Data Validation and Verification (DVV) Process. After DVV process, a DVV Deviation report will be generated. On the basis of the Deviation report, the A&A process will proceed further as per the following conditions:

- ▶ Institutions whose metrics have deviated by $\leq 10\%$ will proceed for Peer Team Visit with a condition of a Pre-qualifier, that the institution should score at least 30% in Quantitative Metrics (Q_nM) as per the final score after the DVV Process. If the HEI does not clear the Pre-qualifier score then they may apply in any of the subsequent Windows by submitting the IIQA afresh and with payment of fees.

Student Satisfaction Survey (SSS) :

- ✓ Institutions will have to submit the entire database. (At least 50% Student population)
- ✓ The SSS questionnaire will be mailed to all students.
- ✓ Responses should be received from at least 10% of the student population or 100 in case of Colleges. (10% or 500 whichever is less in case of Universities)
- ✓ If the response rate is lower than the limits, the metric will not be taken up for evaluation.

QIF for Specialised HEIs

NAAC has embarked on mission to address different categories of institutions by designing separate methodology to special category of HEIs through developing separate quantitative and qualitative metrics for variety of specialised HEIs such as Yoga, Sanskrit, Open and Distance Learning (ODL), Health Sciences, Teacher Education, etc.

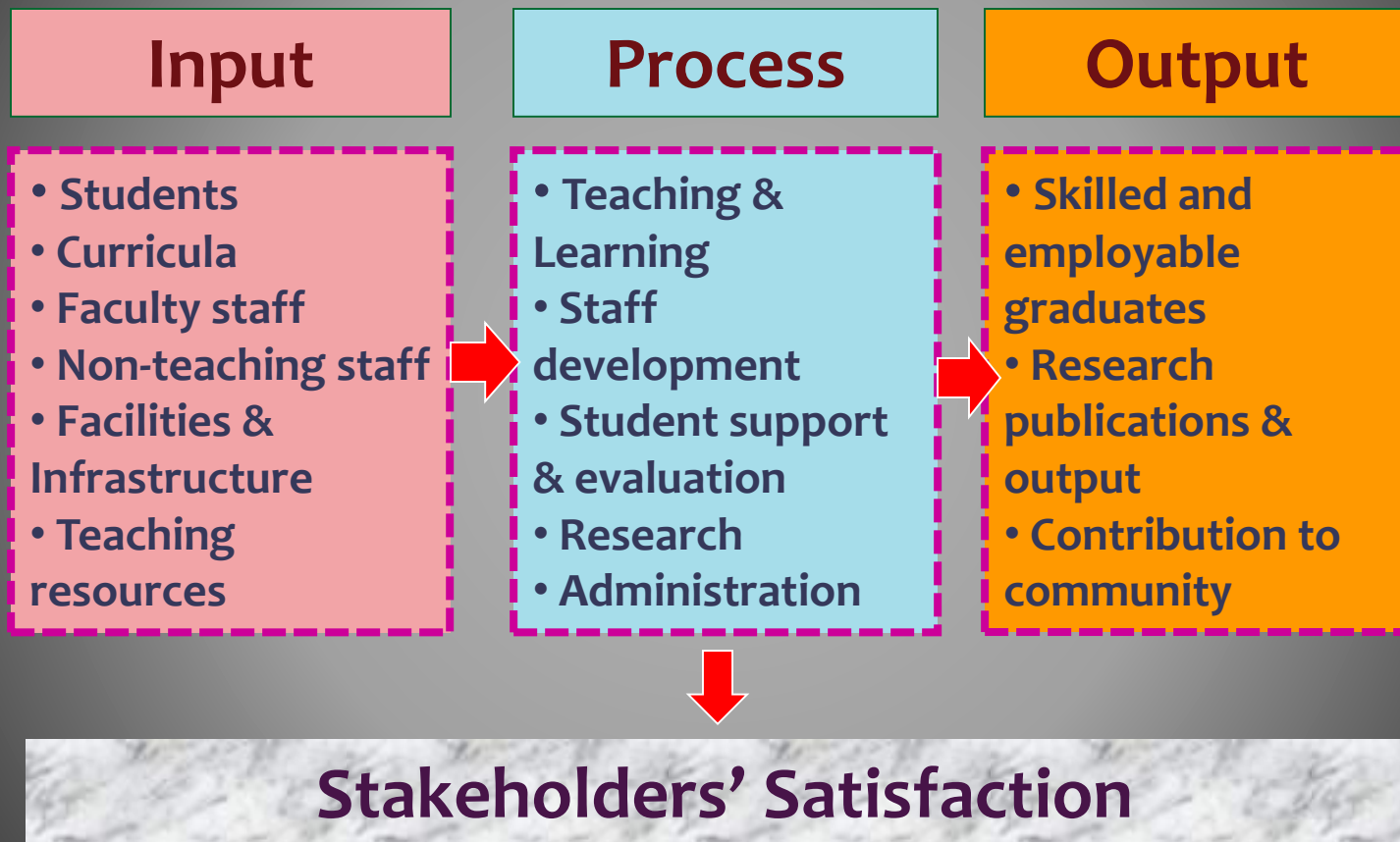
Optional Metrics

Besides this, NAAC also introduced optional metrics - the provision to opt out some of the metrics which may not be applicable to institutes for various reasons and essential metrics, provision to HEIs i.e., mandatory and necessary to attend the essential metrics.

Current and Revised Framework by NAAC

S.No	Current Process	Revised Process
1	Accreditation Process - outcome based on Peer judgment	Data based quantitative indicator evaluation with combination of peer judgment
2	Elaborate process of self and external evaluation covering 7 criteria, 36 key aspect, 200 indicators and about 300 questions	Significant reduction in self/external evaluation covering 7 criteria, 34 key indicators and about 130 metrics
3	No pre-qualifier for Peer Team Visit: Visit takes place for all HEIs after SSR submission	Pre-qualifier for Peer Team Visit : Institution needs to score at least 30% of the quantitative (system generated) score.
4	Interaction with students - onsite	Online student satisfaction survey
5	Onsite data verification by academic peers	Data verification and validation by External Agency
6	Manual Selection of peer team	System enabled selection of peer teams for onsite visit
7	Logistics arrangement done by Institutions themselves (Team constitution known quite earlier)	Integration of logistics through External Agency. Total confidentiality till visit date.

Stakeholder Focus



QIF Metrics Bifurcation

Out of total 121 Metrics

- ▶ 30 – Input based Metrics
- ▶ 53 – Process based Metrics
- ▶ 38 – Output based Metrics

NAAC Reforms: Impact and expected outcomes

- ▶ Reducing the subjectivity due to variance in peer team assessment.
- ▶ Inculcation of competitive spirit by providing Quantitative benchmarks as basis of assessment.
- ▶ Improvement of data management practices in HEIs.
- ▶ Increased use of ICT in Teaching, Learning and Governance for quality improvement.
- ▶ Integrating the stakeholders involvement and feed back in quality improvement. (Key Indicators like Feedback System, Student Satisfaction Survey, Alumni Engagement)

NAAC Reforms: Impact and expected outcomes

- ▶ Introduction and acceleration of Outcome Based Education (OBE).
- ▶ Encouraging the culture of innovation and start-up on campuses.
- ▶ Reinforcement of value and ethics (Criteria VII on Institutional Values and Best practices).
- ▶ Institutionalisation of quality culture (IQAC, etc)
- ▶ Promoting gender sensitivity on the campus.
- ▶ Incentivising the inclusive practices such as reservation policy, differently abled (Divyangjan) friendly campus, etc)

NAAC Reforms: Impact and expected outcomes

- ▶ Encouraging students to participate in extension activities such as Swatch Bharat, Aids Awareness, Gender Issues, etc.,
- ▶ Promoting e-resources of library for easy access to students.
- ▶ Focus on research in Universities (metrics on Patents, Citations, h-index, etc.,)
- ▶ Emphasis on skills and co-relation of academics with word of work.
- ▶ Attempt to reach golden mean of advantages of Rankings and Quality assurance process.
- ▶ Introducing new concept of Third party validation of Data by external agencies.

NAAC Reforms: Impact and expected outcomes

- ▶ Encouraging mobility of students and teachers.
- ▶ Recognising diversity (Optional Metrics).
- ▶ Relevance of curriculum with societal needs and global trends.
- ▶ Faculty empowerment (FDP, seed money, awards, etc.,)
- ▶ Encouraging eco-friendly practices on campus.

RAF - Analysis of Results of Accreditation

Analysis of Results of Accreditation declared as on 14th June 2019.

The results of **1056** HEIs have been declared under the Revised Accreditation Framework (RAF). The Grade wise break up is presented in **Table 1**.

- ▶ **150** HEIs have scored **A** and above
- ▶ **716** have scored between **B** and **B++**
- ▶ **175** have scored **C** grade
- ▶ **15** have scored **D** grade – means not accredited

RAF - Analysis of Results of Accreditation

Table 1: Grade wise break up

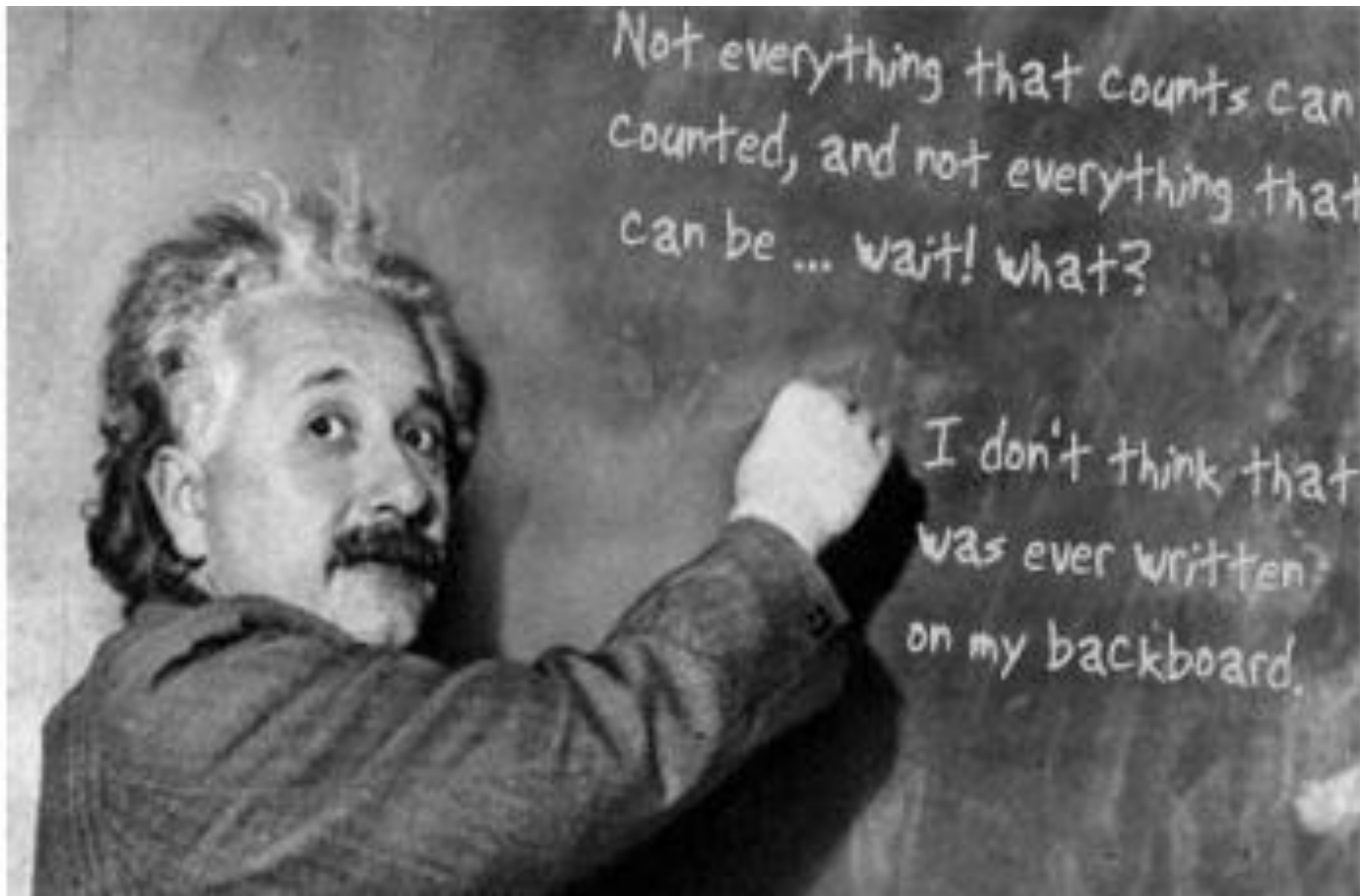
Grade	Number of Universities	Number of Colleges	Total
A++	4	5	9
A+	8	36	44
A	8	89	97
B++	6	156	162
B+	12	189	201
B	13	340	353
C	8	167	175
D	0	15	15
Total	59	997	1056

Cycle wise details of Institutions accredited under Revised Accreditation Framework (RAF) by NAAC (As on 14th June 2019)

	Cycle1	Cycle 2	Cycle 3	Cycle 4	Total
Universities	36	10	11	2	59
Colleges	544	174	266	13	997
Total	580	184	277	15	1056

Impact and Way forward

- ▶ Right step in the new era of technology driven mode of assessment.
- ▶ Possibilities of Integrating RAF work with India-Europe Benchmarking Project on selected European and Indian Universities on **“Enhancing Quality Assurance Management and Benchmarking strategies in Indian Universities”** (EQUAM-BI).
- ▶ Novel experiment of integration of Student Satisfaction Survey (SSS) into formal A&A process can be emulated by other agencies.
- ▶ Raising bar of Indian HEIs through competitive benchmarks using quantitative metrics.
- ▶ Experience by NAAC in use of ICT based data driven assessment and accreditation and combination of Qualitative Metric (Q₁M) & Quantitative Metric (Q_nM) for assessment: A good practices worth adoption.



*It would be nice if all of the data which sociologists require could be enumerated because then we could run them through IBM machines and draw charts as the economists do. However, **not everything that can be counted counts, and not everything that counts can be counted.***

-William Bruce Cameron



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**This RAF is outcome of collective efforts of Core Working Group (CWG), Sectoral Working Groups [SWGs], NAAC Colleagues and authorities. Author was convener of CWG.*