

# **Guidelines for Appeals Mechanism**

**Note: This format is applicable for all HEI's which have undergone A&A process by submission of SSR w.e.f. 5<sup>th</sup> July, 2017 and prefer an appeal.**

**Date: 08/11/2017**

**Annexure -1 for Colleges**

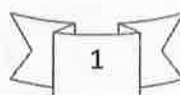
**Annexure – 2 for Universities**



**NATIONAL ASSESSMENT AND ACCREDITATION COUNCIL**

**An Autonomous Institution of the University Grants Commission  
P.O.Box No.1075, Nagarbhavi, Bangalore – 560072, India**

**NAAC**



## **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

## **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.

## **Introduction**

The National Assessment and Accreditation Council (NAAC) established as an autonomous body in 1994 with its headquarters at Bangalore, by the University Grants Commission (UGC), has the mandate to assess and accredit institutions of higher education or their units thereof. The NAAC follows an internationally accepted methodology for assessment which is a combination of self-study on seven pre-determined criteria and validation of the self-study by peer review. The guidelines provided by the NAAC on preparation of the self-study report emphasise the need to conduct the self-study as a participatory exercise ensuring the wide involvement of the campus community, with utmost honesty.

The NAAC views the process of assessment and accreditation as an exercise in partnership, done jointly by the NAAC and the institution being assessed. Every stage of the process is marked by transparency. The institution is consulted at various stages of the process – eliminating conflict of interest with the peers, planning the visit schedule, sharing the draft peer team report before the team leaves the campus etc. In spite of this participatory approach, there may be institutions that might have grievances to be addressed. Therefore, to provide a review mechanism for institutions who are aggrieved about the process or its outcome, the NAAC has evolved an Appeals Mechanism.

## **Composition of Appeals Committee**

The Executive Committee (EC) of NAAC will be the authority to redress the grievance about grading or any other related matters raised by the institution. The EC will take decisions on the grievance of the institution based on the recommendations of an **Appeals Committee (AC)**. The AC will have five members – four members to be nominated by the Chairman of EC, NAAC and one NAAC officer (who will be the Convener of the AC) to be nominated by the Director of NAAC. None of the members of AC should be from decision making bodies (Executive Committee and Standing Committee) of NAAC.

# Appeals Process

## 1. Appeal by the institution to the Director, NAAC

An Appeal is the request by an institution to review its grading on valid grounds, after the announcement of A&A result on the NAAC website

An aggrieved institution will make a written representation to the Director, NAAC within **thirty days** from the date of receipt of the accreditation certificate in the pro-forma as given at Annexure-I/II along with a non-refundable fee of Rs 1,00,000/- (+GST as applicable) through a DD drawn in favour of Director, NAAC payable at Bangalore or online.

## 2. Scrutiny by the Director, NAAC

The Director, NAAC after initial scrutiny will refer the pro-forma and other relevant documents to the **Appeals Committee** for further processing.

## 3. Appeals Committee (AC)

- The written appeal made by the institution along with the SSR and Peer Team Report will be placed before the AC. The AC at its discretion may call for additional information or seek clarification through the Chairperson, from the institution or the Peer Team members individually or collectively or from any other body or individuals who may be of help.
- If the AC decides to provide an opportunity for the institution to present their case, the Chairperson of the Peer Team who visited the institution will also be called for the hearing.
- After the hearing, the Appeals Committee will take necessary action to address the grievance. If the AC is satisfied that there is a possible error in judgment, it may constitute a review team or identify a peer or a NAAC officer to visit the institution, depending on the nature of data to be verified and validated. If the AC recommends re-visit to the institution, the expenses towards the same will be borne by the NAAC.
- The AC would consider the recommendations of the review team. The Report of the AC will be placed for consideration and approval of Executive Committee.

4. The Executive Committee of NAAC will be the final authority to decide on the recommendations of the Appeals Committee. The decision of the EC will be notified to the institution.

**Proforma for Appeals  
(Review of Assessment and Accreditation)**

**SECTION-1: Institutional Profile**

1. Name of the Institution:
  - a. Address:
  - b. Tel:
  - c. Fax:
  - d. email:
  
2. Location: Urban/Semi-urban/Rural:
  
  
3. Name of the Principal:
  - a. Present:
  - b. At the time of Peer Team Visit:
  
  
4. Name of the Steering Committee Coordinator at the time of the visit:
  
  
5. University affiliated to:
  - a. Name of the Vice Chancellor:
  - b. Tel:
  - c. Fax:
  - d. email:
  
6. Name of the Director CDC/BCUD:
  - a. Tel:
  - b. Fax:
  - c. email:

## **SECTION – 2: Peer Team Visit, Assessment and Accreditation**

1. Dates of the Peer Team visit:
2. Names of the Peer Team Members with designation at the time of the visit:

<b>Name</b>	<b>Designation</b>	<b>Subject Specialization</b>
Chairperson:		
Member:		
Member:		
Member Co-ordinator (if any)		

3. Name of the Coordinating officer from NAAC (on site/operating from NAAC office):
4. Date of receipt of Accreditation Certificate:
5. Grade awarded:

## **SECTION – 3: Nature of Grievance**

1. On Grading:
2. On other Issues: (other than grading)
3. Grounds for Reconsideration/Appeal: (Reconsideration / Appeal will be granted where the Appellant demonstrates by clear and convincing evidences that the Peer Team erred in making its recommendations.)
  - Please specify the criteria on which you submit your appeals  
Example like Criterion I, .....
  - Please specify the criteria on which you are satisfied and do not wish to submit your appeal  
Example like Criterion II, .....

4. **Criterion-wise reasons as per the Revised Accreditation Framework (RAF). The reasons given should be conclusive and supported by evidence and not mere statements:**

**Score given: -----Score expected: -----**

**Criterion .....: Criterion Name.....**

**Note: The appeals should be for the criteria on which the College disagreed.**

**Example like Criterion 1: Curricular Aspects**

**Use additional sheets if required**


## DECLARATION

1. All information / data provided in the above sections were mentioned in the SSR submitted online (or) supplementary Report submitted to the Peer Team at the site and mailed to NAAC immediately after.
2. In case of request by the Appeals Committee to physically present our case we will undertake to appear before the Committee at our own cost.
3. I agree to abide by the decision of the EC of NAAC.
4. Non-refundable Review fee is enclosed vide draft No..... payable to the Director, NAAC at Bangalore for an amount of Rs. 1,00,000/- (+ GST as applicable).

Date:

Place:

Signature  
of Head of the Institution  
with Seal

### List of Documents submitted as evidence:

Sl. No.	Details
1.	
2.	
3.	
4.	
5.	
6.	
7.	
8.	



**For reference only:**

**Criterion 1: Curricular Aspects**

**Criterion 2: Teaching, Learning and Evaluation**

**Criterion 3: Research, Innovations and Extension**

**Criterion 4 : Infrastructure and Learning Resources**

**Criterion 5 : Student Support and Progression**

**Criterion 6 : Governance Leadership & Management.**

**Criterion 7 : Institutional Values and Best Practices**

## **Proforma for Appeals** **(Review of Assessment and Accreditation)**

### **SECTION-1: Institutional Profile**

1. Name of the University:
  - a. Address:
  - b. Tel:
  - c. Fax:
  - d. e-mail:
  
2. Location: Urban/Semi-urban/Rural:
  
  
3. Name of the Vice Chancellor:
  - a. Present:
  - b. At the time of Peer Team Visit:
  
  
4. Name of the Steering Committee Coordinator at the time of the visit:

### **SECTION – 2: Peer Team Visit, Assessment and Accreditation**

1. Dates of the Peer Team visit:
  
2. Names of the Peer Team Members with designation at the time of the visit:

Name	Designation	Subject Specialization
Chairperson:		
Member:		
Member:		
Member Co-ordinator (if any)		

3. Name of the Coordinating officer from NAAC (on site/operating from NAAC office):
4. Date of receipt of Accreditation Certificate:
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Place:

Signature  
of Head of the Institution  
with Seal

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