

# **Guidelines for Grievance Redressal**

These guidelines are 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.

**(Revised on: 17/12/2018)**

**Annexure -1 for College**

**Annexure – 2 for University**

**Annexure -3 Format of Appeal on Data  
Validation & Verification (for Colleges &  
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 Bengaluru, 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 – **five members** to be nominated by the Chairman of EC, NAAC

One NAAC officer to be nominated by the Director of NAAC as Convener of the AC.

**Addition made: None of the members of AC should be from the 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.

- A. An aggrieved institution will submit an Intent For Appeal (IFA) in the prescribed format (uploaded on the NAAC website) by E-mail/letter to Director, NAAC within fifteen (15) days from the date of declaration of the result on the NAAC Website and HEI portal. On receipt of IFA, NAAC will provide Qualitative Metrics (QIM) document (if, not provided earlier) to HEI within one week. After receiving the document (soft copy) from NAAC by email, HEI must submit appeal online in prescribed pro-forma as given at Annexure – 1 / 2 within 30 days (from the date of receipt of email).
- B. An aggrieved institution must submit appeal online through the HEI portal in prescribed pro-forma as given at Annexure – 1 / 2 within 30 days from the receipt of documents from NAAC along with a non-refundable fee of Rs 1,00,000/- (+GST as applicable) using the online payment option available on the HEI portal. In any case date of submission of Appeal shall not be beyond 45 days (including IFA) from the date of declaration of results on the NAAC website

## 2. Scrutiny by the Director, NAAC

The Director, NAAC after initial scrutiny will refer the pro-forma and other relevant documents to the Convener for further processing to the **Appeals Committee**. All correspondence relating to Appeals shall be done by the convener with the HEI's.

## 3. Appeals Committee (AC)

- After Assessment & Accreditation Process Institution can view the Assessment Outcome Document (AOD) which includes analysis of the Quantitative metrics, the Peer Team Report and an overall Grade sheet on the HEI portal. For the purpose of appeal HEI on request can be given details of Qualitative Metrics (QIM). In addition they can rely on changes of values made in Self Study Report (SSR) based on data verification process available as a part of the deviation report in the revised SSR.

- The appeal made online by the institution **on the holistic Assessment and Accreditation of NAAC** will be sent to the chairperson and/or the peer team members seeking comments individually or collectively. The Appeal along with the comments of the chairperson and/or the peer team members will be placed before the AC. The AC at its discretion may call for additional information or seek clarification from the institution or from any other body or individuals who can be of help.
- If the AC decides to provide an opportunity for the institution to present their case, the Chairperson of the peer team that visited the institution will also be called for the hearing.
- After the hearing, the Appeals Committee will make a recommendation to EC on necessary action to address the grievance. If the AC is satisfied that there is a possible error in judgment/perception of the peer team which visited the institution, **it may recommend a re-visit. Panel for revisit will be approved by Director, NAAC as per routine process.** If the AC recommends re-visit to the institution, expenses towards the same will be borne by the NAAC.
- In case if AC is satisfied that there is error of judgement or other technical issues during Data Validation and Verification (DVV) process which has influenced/impacted the scores then revaluation of the metrics appealed by HEI can be ordered as per the format provided in Annexure 3. This revaluation of Quantitative Metrics (QnM) shall be conducted by DVV experts committee with the help of other DVV partners (other than one who originally did DVV process). This verification will be strictly based on the documents already submitted by HEI in the NAAC's Portal during DVV process.
- The recommendation of either re-visiting peer team and or data re-validation team shall be placed before Standing Committee (SC).

Note: The Institution shall not be allowed to re-submit SSR on the portal. The original SSR on the portal remains unaltered. The QIM part only will be considered for the re-visit.

The outcome the revisit / revalidation by DVV partner shall be final; there will be no further appeal on the appeal preferred. However the HEI's are at liberty to apply for Re-Assessment as per NAAC norms and Guidelines displayed on the website.

4. The Executive Committee of NAAC (through Standing Committee) will be the final authority to decide on the recommendations of the Appeals Committee. The decision of the AC will be notified to the institution.

**5. REPEAL**

If any further question arises in the interpretation of guidelines, decision of Director, NAAC in consultation with Chairman, Executive Committee (EC) of NAAC shall be final.

- A. Delay in submission of IFA or appeal online up to 15 days shall be condoned by the Director, NAAC for justifiable reasons.*
- B. All appeals in RAF (received earlier and now on) shall be disposed as per these guidelines.*

**Proforma for Appeals (College)**  
(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. e-mail:
  
  
6. Name of the Director CDC/BCUD:
  - a. Tel:
  - b. Fax:
  - c. e-mail:

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

1. Dates of the peer team visit:
2. Names and Designation of the peer Team Members who visited the institution:

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):

Date of declaration of the result on the NAAC website & HEI's portal

5. Grade and CGPA given:

## SECTION – 3: Nature of Grievance

1. On Grading and CGPA:
2. On other Issues: (other than grading)

1. Grounds for Reconsideration/Appeal:  
**Appeal shall be holistic taking in to consideration both QnM and QIM.**

(If grievance is about QIM, provide metric wise justification here. If grievance is about QnM, please use Proforma at annexure-3)

- Please specify the criteria on which you submit your appeals  
Example like Criteria I, .....



- Please specify the criteria on which you are satisfied and do not wish to submit your appeal  
Example like Criteria II, .....

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

Score given: -----

**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 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. I agree that the Review fee of Rs.1,00,000/-(+GST as Applicable) paid online through HEI portal is Non-refundable.

DATE:

PLACE:

SIGNATURE  
of Head of the Institution  
with Seal

**List of Documents Submitted as evidence:**

<b>Sl. No.</b>	<b>Details</b>
<b>1.</b>	
<b>2.</b>	
<b>3.</b>	
<b>4.</b>	
<b>5.</b>	
<b>6.</b>	
<b>7.</b>	
<b>8.</b>	

**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 (University)** **(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 and Designation of the Peer Team Members who visited the Institution:

<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 declaration of the result on the NAAC website & HEI's portal

5. Grade and CGPA given:

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

1. **On Grading** and CGPA:

2. **On other Issues:** (other than grading)

3. **Grounds for Reconsideration/Appeal:**

**Appeal shall be holistic taking in to consideration both QnM and QIM.**

(If grievance is about QIM, provide metric wise justification here. If grievance is about QnM, please use Proforma at annexure-3)

- Please specify the criteria on which you submit your appeals  
Example like Criteria I, ....
- Please specify the criteria on which you are satisfied and do not wish to submit your appeal  
Example like Criteria II, .....

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

Score given: -----

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

**Note: The appeals should be for the criteria on which the University 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 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 of Rs.1,00,000/-(+GST as Applicable) through the online payment option available in the portal.

DATE:

PLACE:

**SIGNATURE**  
of Vice - Chancellor  
with Seal

**List of Documents Submitted as evidence:**

<b>Sl. No.</b>	<b>Details</b>
<i>1.</i>	
<i>2.</i>	
<i>3.</i>	
<i>4.</i>	
<i>5.</i>	
<i>6.</i>	
<i>7.</i>	
<i>8.</i>	

**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**

Annexure -3

## Format of Appeal on Data Validation & Verification (for Colleges & Universities)

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Sl. No	Metric No.	Value claimed by the HIE in SSR	Value Changed by HEI during Clarification Process (if any)	Value confirmed by DVV after Clarification	Justification (Please enclose document)
1.					
2.					
3.					
4.					
5.					
6.					
7.					
8.					
9.					
10.					