National Assessment and Accreditation Council (NAAC), Bengaluru

Manual of Health Sciences for Universities
(Revised Accreditation Framework - Applicable for all cycles and for Re-Assessment)

Standard Operating Procedure for Data Verification and Validation (SOP for Health Sciences Universities only)

While preparing SSRs, Health Sciences Universities have to refer both manual and SOP for DVV

- Prepared by expert committee (CWG) on 07/03/2019
- Revised internally on 22/04/2019 by DVV team
- Revised internally on 27/06/2019 by DVV team
- Revised after Orientation cum Training Programme for DVV partners held at NAAC on 18th – 19th July 2019
- Revised on 23/09/2019

The Director,
National Assessment and Accreditation Council (NAAC), Bengaluru

The list of the documents is only suggestive. If the Institution has any other relevant documents besides those mentioned by NAAC, the same may be uploaded
Standard Operating Procedure for Data Verification and Validation (Health Sciences Universities)

General Guidelines: It is essential that the DVV Partners ensure the following:

- Along with the data to be provided by the HEI in the SSR, those in the template as well as the supporting documents are seen in consonance during the process of Verification and Validation.
- If, for any Metric, documents provided by the HEI are insufficient, insist on and procure appropriate documents during Clarification.
- Ensure that the relevant data from “third party sources” such as NIRF, AISHE, are also utilized to cross check wherever relevant data are available.
- Seek details on random sample basis from the HEI wherever the dataset is large in respect of metrics for which SOP specifies to do so. Selection of sample to be done by DVV partner and sample to be done by DVV partner and not by HEI.
- Ensure the SOP is followed wherever strictly for each Metric.
- In case the ‘recommended’ input is different from the HEI claim, provide ‘remarks’ with justification.
- Cross check related data given in difference metrics.
- In case the HEIs provide documents in a regional language, English translation of the same should be sought.

Meaning and need of SOP in the NAAC context:

NAAC as a quality organisation must first create a culture where quality objectives are transparent and well understood. Undoubtedly these goals can be achieved by following certain sets of procedures called as “Standard Operating Procedures” (SOP). A Standard Operating Procedure (SOP) is a set of written instructions that document a routine or repetitive activity which is followed by employees in an organization. The development and use of SOPs are an integral part of a successful quality system. Procedures are essential for effectiveness and efficiency in work and they are regulatory requirement in the NAAC processes. It provides information to perform a job properly, and consistently in order to achieve pre-determined specification and quality end-result.

SOPs detail the regularly recurring work processes that are to be conducted or followed within an organization. They document the way activities are to be performed to facilitate consistent conformance to quality system requirements and to support data quality. Sops are intended to be specific to the organization or facility whose activities are described and assist that organization to maintain their quality control and quality assurance processes and ensure compliance with governmental regulations. SOP contains step by step instructions that employee must refer in daily work to complete various tasks more reliably and consistently. SOP makes clear about followings -

‘What is the objective of SOP (Purpose) ?
‘What are its applicability and use of SOP (Scope)?
‘Who will perform tasks (Responsibility) ?

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Who will ensure implementation of procedure (Accountability) ?

How tasks will be performed (Procedure) ?

Procedures are not an end in themselves but support process/people. They do not guarantee good performance or results. More important are well-designed systems and processes, qualified employees, and a motivating work culture that guarantee good performance.

SOP is a dynamic process and hence it is decided not to print the material. We will provide only soft copy. It is because NAAC rules/norms/standards keep on changing from time to time. Accordingly changes will be incorporated in SOP periodically.

Further this SOP material is prepared based on existing practices/rules/norms/standards and is for internal use in NAAC. Any changes may be incorporated later on.

Many activities use checklists to ensure that steps are followed in order. Checklists are also used to document completed actions. Any checklists or forms included as part of an activity should be referenced at the points in the procedure where they are to be used and then attached to the SOP. In some cases, detailed checklists are prepared specifically for a given activity. In those cases, the SOP should describe, at least generally, how the checklist is to be prepared, or on what it is to be based. Copies of specific checklists should be then maintained in the file with the activity results and/or with the SOP. Remember that the checklist is not the SOP, but a part of the SOP.

It shall be noted that the Best written SOPs will fail if they are not followed.

Note

Date: 16/01/2019

Modification of Time Line for Submission of Self Study Report (SSR) Time line for online submission of Self Study Report for Higher Education Institutions (HEIs) shall be 45 days from the date of acceptance of Institutional Information for Quality Assessment (IIQA). This is applicable to all the Higher Education Institutions (HEIs) whose Institutional Information for Quality Assessment (IIQA) is accepted.

Sd/-
Director, NAAC

The list of the documents is only suggestive. If the Institution has any other relevant documents besides those mentioned by NAAC, the same may be uploaded.
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<table>
<thead>
<tr>
<th>Metric No.</th>
<th>Metric Details</th>
<th>Documents requirements</th>
<th>Specific Instructions to HEIs</th>
<th>Not to be considered</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1.2</td>
<td>Percentage of Programmes where syllabus revision was carried out during the last five years</td>
<td>• Approved Minutes of relevant Academic Council/BOS meetings highlighting the specific agenda item regarding the metric from the competent authority: (university/autonomous bodies) • Details of the revised Curricula/Syllabi of the programmes during the last five years • Syllabus prior and post revision of the courses.</td>
<td>• Change of scheme is considered as “change of syllabus”. Content change / introduction of electives or renaming the course cannot be considered as “change of syllabus” • If the number of courses in a given programme changed greater than or equal to 20 % then it can be considered as the “change in syllabus” • If a programme is revised three times during last five years, it should be counted only once. • The programs mentioned in the IIQA and SSR and the SRA should match. • Kindly read the definition of programs in the manual • Programs which are revised more than once in five years should be counted only once.</td>
<td>• Renaming / minor changes in the course content cannot be considered</td>
</tr>
<tr>
<td>1.2.1</td>
<td>Percentage of Programmes in which Choice-Based Credit System (CBCS)/Elective course system has been implemented, wherever provision was made by the Regulatory Bodies (Data for the preceding academic year).</td>
<td>• Minutes of relevant Academic Council/BOS meetings highlighting the relevant. • University letter stating implementation of CBCS by the institution • Structure of the program clearly indicating courses, credits/Electives as approved by the competent board.</td>
<td>Either CBCS or Elective or both can be considered • If CBCS, course structure along with credit details to be given. • If elective, list of elective offered for the program to be given • If both, CBCS details alone is sufficient.</td>
<td></td>
</tr>
<tr>
<td>1.2.2</td>
<td>Percentage of new Degree Programmes, Fellowships and Diplomas introduced</td>
<td>• Minutes of relevant Academic Council/BoS meetings Clearing approving the introduction</td>
<td>The introduction of the program should be with-in the assessment period.</td>
<td></td>
</tr>
</tbody>
</table>

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**by the University across all Faculties during the last five years (certificate programmes are not to be included)**
of new Degree Programmes, Fellowships and Diplomas claimed in the SSR

<table>
<thead>
<tr>
<th>1.2.3</th>
<th><strong>Percentage of interdisciplinary courses offered by the University during the last five years</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Minutes of relevant Academic Council/BoS meetings Clearly approving the interdisciplinary Courses with specifications of departments involved</td>
</tr>
<tr>
<td></td>
<td>• Certificate from the Head of the Department regarding Interdisciplinary courses</td>
</tr>
<tr>
<td></td>
<td>• The introduction of the course should be with-in the assessment period</td>
</tr>
<tr>
<td></td>
<td>• The courses should be interdisciplinary in nature</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>1.3.2</th>
<th><strong>Number of value-added courses offered during the last five years that impart transferable and life skills</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Brochure or /Course content of Value added courses</td>
</tr>
<tr>
<td></td>
<td>• Courses of varying durations (of at least 16 contact hours), that are optional, and offered outside the curriculum that add value and helping them students in getting placed</td>
</tr>
<tr>
<td></td>
<td>• No repeat count of courses offered each year</td>
</tr>
<tr>
<td></td>
<td>• Avoid courses opted by student/students not offered by the institution</td>
</tr>
<tr>
<td></td>
<td>• Courses, that are optional, and offered outside the curriculum are considered</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>1.3.3</th>
<th><strong>Percentage of students who successfully completed the value-added courses during the last five years</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• List of enrolled students in such courses</td>
</tr>
<tr>
<td></td>
<td>• Course Completion Certificate of 5 % of random selected specific student list will be sought by DVV during DVV clarification process.</td>
</tr>
<tr>
<td></td>
<td>• If the institutions do not comply with the DVV’s clarification, the claim of the institution will reduced pro rata.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>1.4.1</th>
<th><strong>Mechanism is in place for obtaining structured feedback on curricula/syllabi from various stakeholders</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Stakeholder feedback analysis report.</td>
</tr>
<tr>
<td></td>
<td>• Sample filled in Structured Feedback to be provided by the institution for each category claimed in SSR</td>
</tr>
<tr>
<td></td>
<td>• The feedback concerned with curriculum development only can be considered</td>
</tr>
<tr>
<td></td>
<td>• Only filled –in feedback report will be considered</td>
</tr>
<tr>
<td></td>
<td>• In case of selecting C, B, or A provide three filled forms from each criteria</td>
</tr>
<tr>
<td></td>
<td>• Feedback not related to design and review of syllabus will not be considered</td>
</tr>
</tbody>
</table>

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### 1.4.2 Feedback process of the Institution may be classified as:

**Options (Opt any one that is applicable):**

- **A.** Feedback collected, analysed and action taken on feedback and such documents are made available on the institutional website
- **B.** Feedback collected, analysed and action has been taken
- **C.** Feedback collected and analysed
- **D.** Feedback collected
- **E.** Feedback not obtained/collected

- Stakeholder feedback report.
- Action taken report of the Institution on feedback report as minuted by the Governing Council, Syndicate, Board of Management.
- In case of option A, only those links which leads directly to the concerned web page hosting action taken report will be considered
- Un available websites will not be considered.
- In case of option B, C and D reports of the same shall be provided
- Hosting the report on 3rd party website will not be considered
- General web-link to homepage of the HEI shall not be considered
- Feedback not related to design and review of syllabus will not be considered

### 2.1.1 Due consideration is given to equity and inclusiveness by providing reservation of seats to all categories during the admission process

- Copy of letter issued by state govt. or and Central Government indicating the reserved categories to be considered as per the state rule (in English)
- Final admission list published by the HEI
- Admission extract submitted to the state OBC, SC and ST cell every year.
- Initial reservation of seats for admission.
- Include only those reserved categories as specified by State/central Government orders for admission.
- Only those seats filled against the quota should be counted here.
- Number of admitted cannot go more than the number allocated.
- For minority institutions and other private institutions where reservations are not applicable, consider the total admitted students as reserved.

### 2.1.2 Student Demand Ratio, applicable to programmes where State / Central Common Entrance Tests are not conducted (NEET for UG)

Note: on 18/07/2019 the

- Document relating to Sanction of intake
- Extract of No. of application received in each program
- The details certified by the Controller of Examination or Registrar evaluation
- Sanctioned admission strength in each program Vs No. of Application received for each program

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union cabinet approves the bill to replace MCI with NMC (National Medical Commission) bill 2019.
Instead of NEET, National Exit Test (NEXT) will coming to effect for PG Programmes.

<table>
<thead>
<tr>
<th>2.1.3</th>
<th><strong>Student enrolment pattern and student profile demonstrate national/international spread of enrolled students from other states and countries</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>• Copy of the domicile certificate/passport from respective states / countries</td>
<td></td>
</tr>
<tr>
<td>• Previous degree/ Matriculation / HSC certificate from other state or country</td>
<td></td>
</tr>
<tr>
<td>• In case of large data, the DVV will seek for the above mentioned documents for specific list of students during DVV clarification.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>2.2.1</th>
<th><strong>The Institution assesses the learning levels of the students after admission and organises special programmes for advanced learners and slow performers</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Adopts measurable criteria to identify slow performers.</td>
<td></td>
</tr>
<tr>
<td>2. Adopts measurable criteria to identify advanced learners</td>
<td></td>
</tr>
<tr>
<td>3. Organizes special programmes for slow performers and advanced learners</td>
<td></td>
</tr>
<tr>
<td>4. Follows protocols to measure students’ achievement</td>
<td></td>
</tr>
<tr>
<td>• Methodology and Criteria for the assessment of Learning levels Details of special programmes</td>
<td></td>
</tr>
<tr>
<td>• Details of outcome measures</td>
<td></td>
</tr>
<tr>
<td>• Proforma created to identify slow performers/advanced learners</td>
<td></td>
</tr>
<tr>
<td>• Consolidated report to Dean academics /Dean student’s welfare on special programs for advanced learners and slow learners</td>
<td></td>
</tr>
<tr>
<td>The supporting document should clearly elicit the following:</td>
<td></td>
</tr>
<tr>
<td>• Methodology and Criteria for the assessment of Learning levels</td>
<td></td>
</tr>
<tr>
<td>• Details of special programmes</td>
<td></td>
</tr>
<tr>
<td>• Details of outcome measures</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>2.2.2</th>
<th><strong>Student - Fulltime teacher ratio (data for the preceding academic year)</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>• This is an automatic metric. Both values used in the formula is obtained from extended profile</td>
<td></td>
</tr>
<tr>
<td>• A teacher employed for at least 90 per cent of the normal or statutory number of hours of work for a full-time teacher over a complete academic year is classified as a full-time teacher.</td>
<td></td>
</tr>
<tr>
<td>Avoid inclusion of part-time / Ad-hoc /visiting faculty</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>2.3.2</th>
<th><strong>Has provision for the use of Clinical Skills Laboratory and Simulation Based Learning</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Has Basic Clinical Skills Training Models and Trainers for clinical skills in the relevant disciplines.</td>
<td></td>
</tr>
<tr>
<td>2. Has advanced patient simulators for</td>
<td></td>
</tr>
<tr>
<td>• Proof of Establishment of Clinical Skill Laboratories</td>
<td></td>
</tr>
<tr>
<td>• Proof of patient simulators for simulation-based training</td>
<td></td>
</tr>
<tr>
<td>• Report on training programmes in Clinical skill lab/simulator Centre</td>
<td></td>
</tr>
<tr>
<td>• Details of training programs conducted and details of participants.</td>
<td></td>
</tr>
<tr>
<td>• Geotagged Photos of the</td>
<td></td>
</tr>
<tr>
<td>Provide supporting documents mentioned as according to the choice of the institution among A,B,C,D</td>
<td></td>
</tr>
</tbody>
</table>

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### Simulation-based Training

3. Has structured programs for training and assessment of students in Clinical Skills Lab / Simulation centre.

4. Conducts training programs for the faculty in the use of clinical skills lab and simulation methods of teaching-learning.

### Clinical Skills Laboratory

**2.3.4 Student : Mentor Ratio (preceding academic year)**

- Copy of circular pertaining the details of mentor and their allotted mentees
- Approved Mentor list as announced by the HEI
- Allotment order of mentor to mentee
- In addition, issues raised and resolved in the mentor system has to be attached mentor-wise
- Approved Mentor list as announced by the HEI
- Allotment order of mentor to mentee
- Log Book of mentor

- Only full-time teachers can be considered as mentors.
- Mentors in preceding year alone to be considered and this metric is for preceding year only.

**2.4.1 Average percentage of fulltime teachers against sanctioned posts during the last five years**

- Sanction letters indicating number of posts (including Management sanctioned posts) by competent authority (in English/translated in English)
- This is automatic metric and the values are derived from the extended profile
- Appointment letter of selected faculty will be asked during DVV clarification stage
- All full-time teachers with at least 90% prescribed workload should be counted as full-time teachers

**2.4.2 Average percentage of fulltime teachers with Ph.D./D.Sc./D.Lit./DM/M Ch/DNB in super specialities /other PG degrees (like MD/ MS/MDS etc.,) in Health Sciences for recognition as Ph.D guides as per the eligibility criteria stipulated by the Regulatory Councils / Universities. Last five years data to be entered**

- Copies of Guide-ship letters or authorization of research guide provide by the Regulatory Councils / Universities
- These guide-ship awarded before the assessment period can be considered here
- Repeat count of the guides in each year is allowed
- If the data is large, details selected (about 5% )faculty will be asked during DVV clarification stage if the data is large

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<table>
<thead>
<tr>
<th>Section</th>
<th>Description</th>
<th>Documentation Required</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.4.3</td>
<td>Average Teaching experience of fulltime teachers in number of years (preceding academic year)</td>
<td>• Experience certificate of full time teacher</td>
<td>• Experience certificate/ appointment order of selected faculty will be asked during DVV clarification stage if the data is large • Cumulative teaching experience is considered (Past and Present)</td>
</tr>
<tr>
<td>2.4.4</td>
<td>Average percentage of teachers trained for development and delivery of e-contents / e-courses / video lectures / demonstrations during the last 5 years</td>
<td>• Certificate of completion of training for development of and delivery of e-contents / e-courses / video lectures / demonstrations • Web-link to the contents delivered by the faculty hosted in the HEI’s website • List of e-contents / e courses / video lectures / demonstrations developed</td>
<td>• Training completion certificate of selected faculty (about 5%) will be asked during DVV clarification stage</td>
</tr>
<tr>
<td>2.4.5</td>
<td>Average Percentage of fulltime teachers who received awards and recognitions for excellence in teaching, student mentoring, scholarships, professional achievements and academic leadership at State, National, International levels from Government / Government-recognized agencies / registered professional associations / academies during the last five years</td>
<td>• e-Copies of award /Recognitions letters (scanned or soft copy) for achievements • Awards /Recognitions claimed without certificates will not be considered</td>
<td>• Only State, National and International level from Government, recognised bodies only should be considered • The date of award /Recognitions should fall with-in the assessment period • One Full-time teacher to be counted once for a year irrespective of number of awards or recognition in the same year. • Award that are local in nature need to be avoided. • Intra and inter university / institution awards /Recognitions to be avoided • Participation / presentation certificates – during paper presentation etc needs to be avoided</td>
</tr>
<tr>
<td>2.5.1</td>
<td>Average number of days from the date of last semester-end/ year-end examination to the date of declaration of results during the last five years</td>
<td>• Reports from Controller of Exam (COE) office/ Annual reports mentioning the relevant details. • Notified exam date and result declaration date year – wise / semester wise</td>
<td>In case of semester system, take the average days of two semesters in a year</td>
</tr>
</tbody>
</table>
| 2.5.2   | Average percentage of student complaints / grievances about including evaluation against the total number of students appeared in the examinations during the last five years | • Certificate from Registrar / Controller of examination / Data on student grievances from the office of the Registrar (Evaluation) • Minutes of the grievance cell / relevant body • List of students applied for revaluation certified by Registrar / Controller | • Grievance is based on number of students and not number of subjects. One student to be counted once only in a year • Grievances including re-

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<table>
<thead>
<tr>
<th>2.5.3</th>
<th><strong>Evaluation-related Grievance Redressal mechanism followed by the Institution:</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>The University adopts the following for the redressal of evaluation-related grievances.</td>
</tr>
<tr>
<td></td>
<td><strong>Options (Opt one which is applicable to you):</strong></td>
</tr>
<tr>
<td></td>
<td>1. Double valuation/Multiple valuation with appeal process for retotalling/revision and access to answer script</td>
</tr>
<tr>
<td></td>
<td>2. Double Valuation/Multiple valuation with appeal process for revaluation only</td>
</tr>
<tr>
<td></td>
<td>3. Double Valuation/Multiple valuation with appeal process for retotalling only</td>
</tr>
<tr>
<td></td>
<td>4. Single valuation and appeal process for revaluation</td>
</tr>
<tr>
<td></td>
<td>5. <strong>Grievance Redressal mechanism does not exist</strong></td>
</tr>
<tr>
<td></td>
<td>• Provide links to the examination procedure and re-evaluation procedure developed by the institution and duly hosted in the institution’s website</td>
</tr>
<tr>
<td></td>
<td>• Report of the Controller of Examination/registrar evaluation regarding the Grievance Redressal mechanism followed by the Institution</td>
</tr>
<tr>
<td></td>
<td>• The examination procedure and re-evaluation procedures are expected to be hosted in the institution’s website.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>2.5.5</th>
<th><strong>Status of automation of Examination division using Examination Management System (EMS) along with approved online Examination Manual</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Snap shot of EMS used by the institution</td>
</tr>
<tr>
<td></td>
<td>• Copies of the purchase order of the software/AMC of the software</td>
</tr>
<tr>
<td></td>
<td>• The present status of automation., Invoice of the software, &amp; screenshots of software</td>
</tr>
<tr>
<td></td>
<td>• Annual report of examination including present status of automation as approved by BOM / Syndicate / Governing Council</td>
</tr>
</tbody>
</table>

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### 2.6.2 Incremental performance in Pass percentage of final year students in the last five years

- Reports from Controller of Exam (COE) office/Registrar evaluation mentioning the relevant details.
- Consider only pass of final year examination thus qualifying the degree program
- Refer Annexure number 02 for detail

### 2.7.1 Online student satisfaction survey regarding teaching learning process.

Details to be provided during SSR submission only

### 3.1.2 The Institution provides seed money to its teachers for research

- Sanction letter of seed money to the faculty is mandatory
- Budget and expenditure statements signed by the Finance Officer indicating seed money provided and utilized. (Refer annexure number -01 as per SOP)
- In case of large data, the DVV will ask for valid document for specific list of teachers
- Only formal research project seed money will be considered
- Grants for other than research projects need to be avoided
- Sponsorship to conferences / seminars etc to be avoided

### 3.1.3 Average Percentage of teachers awarded national / international fellowship / Financial support for advanced studies/collaborative research / conference participation in Indian and Overseas Institutions during the last five years

- E-copies of the award letters of the teachers.
- Fellowship award letter from the funding agency
- Documents for all awards are compulsory
- The fellowship is for advanced studies only
- Financial grants to attend conference and short-term visits will be considered here

### 3.1.4 Number of JRFs, SRFs, Post Doctoral Fellows, Research Associates and other research fellows in the university enrolled during the last five years

- E copies of fellowship award letters
- Registration and guide / mentor allocation by the institution
- E copies of fellowship award letters is mandatory

### 3.1.5 University has the following facilities*

1. Central Research Laboratory / Central Research Facility
2. Animal House/Medicinal plant garden / Museum
3. Media laboratory/Business Lab/e-resource Studios
4. Research/Statistical Databases/Health Informatics
5. Clinical Trial Centre

- videos and geo-tagged photographs

Photos/videos shall be hosted in the institution’s website and links may be shared in the SSR

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### 3.1.6 Percentage of departments with recognition by ICMR-CAR, DST-FIST, DBT, MCI, DCI, PCI, AICTE, AYUSH, NACO, WHO, NIH etc. and other similar recognitions by national and international agencies, (excluding mandatory recognitions by Regulatory Councils for UG / PG programmes) (Examples: WHO collaborating Centre, AYUSH & AICTE Centre for Excellence, MCI Regional / Nodal Centre for Medical Education etc.,) *(Data for the last 5 years)*

- e-copies of departmental recognition award letters
- Details of the departments offering academic programmes certified by the head of the Institution /University
- The running grant should be valid for the assessment period
- Data will not be considered without documentations prescribed

### 3.2.1 Grants for research projects / clinical trials sponsored by non-government sources such as industry, corporate houses, international bodies, endowments, professional associations, endowment-Chairs etc., in the Institution during the last five years

- E-copies of the grant award letters for research projects sponsored by non-government sources
- Funds received from Mother Trust and Sister Institutions will not be considered.
- Sanction letter of grants by the funding agency is mandatory to support the claim, and the source of funding should be from non-government organisations. The duration of the grant period should align with the assessment period.
- Funding grants for projects from the management etc. will not be admitted here
- Research endowment funds can be considered here.
- Data will not be considered without documentations prescribed

### 3.2.2 Grants for research projects/clinical research project sponsored by the government funding agencies during the last five years

- E-copies of the grant award letters for research projects sponsored by government sources.
- Sanction letter of grants by the funding agency is mandatory to support the claim, and the source of funding should be from government organisations. The duration of the grant period should align with the assessment period.
- Grants for Equipments / softwares / skill development centres will not be

The list of the documents is only suggestive. If the Institution has any other relevant documents besides those mentioned by NAAC, the same may be uploaded.
## Ratio of research projects/clinical trials per teacher funded by government/industries and non-government agencies during the last five years

- Supporting document/s from Funding Agencies
- List of research projects and funding details (Data Template)
- Copy of the letter indicating sanction of research project funded by govt./non-govt agency and industry including details of name of teacher and amount in INR
- Consultancy from Hospital will not be considered

**This metric is about the number of projects, hence the number of projects in 3.2.1, 3.2.2 and 3.5.2 put together should result in 3.2.3**

**Non-government agency does not include own institution/trust/sister institutions**

### Number of awards / recognitions received for innovation / discoveries by the Institution/teachers/research scholars/students from recognized bodies during the last five years

- E-Copies of award letters (scanned or soft copy) for innovations with details of awardee and awarding agency
- This metric specifically emphasise awards for innovations
- Patents are not considered here.

**Awards for innovation only to be considered here.**

- This should not include patents
- The claims without certificate or award letter will not be considered

**Participation / presentation certificate in workshop / conferences etc to be avoided**

### Number of start-ups incubated on campus during the last five years

- E copy of sanction order of the University for the Start Ups on campus.
- Registration letter and contact details of the promoters

**Supporting document in favour of start-ups with company registration details, and incubation details mentioning the facilities extended by the institution to the company should be provided.**

### The Institution has a stated Code of Ethics for research, the implementation of which is ensured by the following:

**Option**

1. Research methodology with course on research ethics
2. Ethics committee
3. Plagiarism check
4. Committee on Publication guideline

- Institutional code of Ethics document
- Course content of research ethics and details of members of ethical committee
- Copy of software procurement for plagiarism check
- Details of committee on publication guidelines
- Proceedings of the meeting on relevant committees

**These information are expected to be hosted in the HEI's website vide public access and the link to be shared during Submission of SSR**

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The list of the documents is only suggestive. If the Institution has any other relevant documents besides those mentioned by NAAC, the same may be uploaded.
### 3.4.2 The Institution provides incentives for teachers who receive state, national or international recognitions/awards

**Option**
1. Career Advancement
2. Salary increment
3. Recognition by Institutional website notification
4. Commendation certificate with cash award

- Policy on Career advancement for the awardees
- Policy on salary increment for the awardees
- Snapshots of recognition of notification in the HEI's website
- Copy of commendation certificate and receipt of cash award
- Incentive details (link to the appropriate details on the Institutional website)

The institution to provide documents as per the choice of A/B/C/D in the SSR

### 3.4.3 Number of Patents/ Copyrights published/awarded/technology-transferred during the last five years

- E-copies of the letters of award/patent/copyright/technology-transferred
  - Certified e-copies of the letters of awards/publications (Consolidated statement by the head of the Institution).
  - Technology transfer document

- Only awarded/published patents should be considered.
- Patents/copyright/technology-transferred awarded should be supported with a letter of award and the unique patent number which can be cross-verified.
- The award/publication of patent/copyright/technology-transferred should be with-in the assessment period

### 3.4.4 Average number of Ph.D/ DM/ M Ch/ PG Degree in the respective disciplines awarded per recognized PG teacher* of the Institution during the last five years

- PhD/ DM/ M Ch/ PG Degree Award letters of students
- Web page for research in the Institutional website.

- Number of PhD/ DM/ M Ch/ PG awarded (not-ongoing) under every eligible research guide working as faculty in the institution should be considered.
- The recognised guides should be authenticated with guide-ship letters awarded by the University.
- If the data is large, details of guide-ship letter/award details for selected faculty will be asked during DVV clarification process

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The list of the documents is only suggestive. If the Institution has any other relevant documents besides those mentioned by NAAC, the same may be uploaded.
### 3.4.5 Average Number of research papers per teacher in the approved list of Journals in Scopus / Web of Science/ PubMed during the last five calendar years

- This metric inputs will be verified by Inflibnet
- Web-link provided by institution in the template which redirects to the journal webpage published in UGC notified list
- Only journals notified on UGC website / PubMed / Scopus / Web of Science approved Journals will be considered.
- In the template paste the link of UGC approved list of journals available in this link: https://www.ugc.ac.in/journallist like https://www.ugc.ac.in/journallist/ugc_admin_journal_report.aspx?eid=Mjc2MDk= for each publication
- In case of research papers published in deleted list of UGC until 2nd May 2018, the details in the link column may please mentioned as: the Sl.No. of the journal – Deleted list
- In case of publications in journals indexed in PubMed / Scopus / Web of Science please provide the links

### 3.4.6 Average Number of research papers per teacher in the approved list of Journals notified in UGC-CARE list during the last five calendar years

- This metric inputs will be verified by Inflibnet
- Publications without ISBN number will not be considered
- If the data is large, specific sample publications will be sought by DVV (about 5%) during DVV clarification

### 3.4.7 Total Number of books/chapters in edited volumes and papers in National/International conference-proceedings published per teacher and indexed in Scopus/ Web of Science / PubMed UGC-CARE list during the last five calendar years

- This metric inputs will be verified by Inflibnet
- Publications not included in UGC-CARE list will not be considered. If the data is large, specific sample publications will be sought by DVV (about 5%) during DVV clarification

### 3.4.8 Bibliometrics of the publications during the last five calendar years

- This metric inputs will be verified by Inflibnet

The list of the documents is only suggestive. If the Institution has any other relevant documents besides those mentioned by NAAC, the same may be uploaded.
<table>
<thead>
<tr>
<th>Section</th>
<th>Description</th>
<th>Verification Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.4.9</td>
<td><strong>Provide Scopus/ Web of Science – h-index of the Institution for the last 5 calendar years.</strong></td>
<td>• This metric inputs will be verified by Inflibnet</td>
</tr>
</tbody>
</table>
| 3.5.2   | **Revenue generated from advisory / R&D consultancy and service consultancy projects (exclude Patients consultancy) including Clinical trials Industries during the last five years** | • Audited statements of accounts indicating the revenue generated through consultancy.  
• CA certified copy/Finance Officer Certified copy attested by head of the institute (Refer annexure number -01 as per SOP).  
• Amount generated through R&D projects, advisory and service consultancy work alone has to be considered here.  
• R & D projects and Instrumentation service projects executed by the faculty and technical staff are allowable for consideration  
• Refer annexure number -01 for details |
| 3.6.1   | **Extension* and outreach activities* such as community Health Education, Community health camps, Tele-conferences, Tele-Medicine consultancy etc., are conducted in collaboration with industry, Government and non-Government Organisations engaging NSS/NCC/Red cross/YRC, Institutional clubs etc., during the last five years**  
*check glossary for definition | • Photographs / preferably geo tagged photographs or any supporting document in relevance  
• Detailed program report for each extension and outreach program should be made available, with specific mention of number of students and collaborating agency participated  
• Can be supplemented with Newspaper reports of events. |
| 3.6.2   | **Average percentage of students participating in extension and outreach activities beyond the curricular requirement as stated at 3.6.1** | • Detailed program report for each extension and outreach program should be made available, with specific mention of number of students and collaborating agency participated and |
| 3.7.1 | **Average Number of Collaborative activities for research, faculty exchange, student exchange/ Industry-internship etc., per year** | • Copies of collaboration /related documents with details of nature of collaboration and activities year-wise | • The Collaboration should be valid for the assessment period. • The collaboration activities of research/faculty exchange or/and student exchange should be facilitated through the mentioned collaboration only. |
| 3.7.2 | **Presence of functional MoUs with Institutions/industries in India and abroad for academic, clinical training / internship, on-the-job training, project work, student / faculty exchange, collaborative research programmes etc., during the last five years** | • E-copies of the functional MoU’s with institution/industry/corporate house, Indicating the start date and completion date | • The MoU should be functional during the assessment period • If the MoU is for three years viz 2011-2013, it shall be counted only once. |
| 4.1.4 | **Average percentage of expenditure incurred, excluding salary, for infrastructure development and augmentation during the last five years** | • Provide the consolidated fund allocation towards infrastructure development and augmentation facilities duly certified by Finance Officer ([Refer annexe number -01 as per SOP](#)). • Highlight the relevant items in the balance sheet | • This metric is supposed to be looked at with the perspective of [infrastructure development and augmentation](#). • In case of privately funded University the document should be certified by Chartered Accountant also. • Avoid recurring expenditure on laboratory and acquisition of books and journals |
| 4.2.3 | **Availability of infrastructure for community based learning** | • Geotagged photos of health centres • Government Order on allotment/assignment of PHC to the institution • Documents of resident facility | • Supporting document to be provided as per the claim of the institution amongst 1/2/3/4 |

The list of the documents is only suggestive. If the Institution has any other relevant documents besides those mentioned by NAAC, the same may be uploaded.
### Standard Operating Procedure for Data Verification and Validation - 23/09/2019

| 4.2.4 | **Is the Teaching Hospital / Clinical Laboratory accredited by any National Accrediting Agency?**
|       | Provide certificates of accreditation
|       | As per the claim of the institution in SSR, appropriate certificate from the National Accrediting Agency to be provide failing which the claim will not be accepted.

| 4.3.3 | **Does the Institution have an e-Library with membership/subscription for the following:**
|       | E-copy of subscription letter/member ship letter or related document with the mention of year to be submitted
|       | Scan copy of books claimed as e-books cannot be accepted.
|       | In the absence of appropriate subscription letter, the claims will not be considered

| 4.3.4 | **Average annual expenditure for purchase of books and journals (including e-resources) during the last five years**
|       | Provide consolidated extract of expenditure for purchase of books and journals during the last five years duly attested by Finance Officer
|       | Audited Statement highlighting the expenditure for purchase of books and journal library resources (*Refer annexure number -01 as per SOP)*
|       | Proceedings of Library Committee meetings for allocation of fund and utilization of fund
|       | In case of privately funded University the document should be certified by Chartered Accountant also.
|       | Give links or upload document of e-content developed

| 4.3.5 | **E-content resources used by teachers /Students :**
|       | Give links or upload document of e-content both used and developed.
|       | Supporting documents from the hosting agency for the e-content developed by the teachers need to be given
|       | Both the content used / developed by the teachers of the institution need be considered
|       | Informal e-content will not be accepted

The list of the documents is only suggestive. If the Institution has any other relevant documents besides those mentioned by NAAC, the same may be uploaded.
<table>
<thead>
<tr>
<th>Section</th>
<th>Description</th>
<th>Comments</th>
</tr>
</thead>
</table>
| 4.4.1  | Percentage of classrooms, seminar halls and demonstration rooms linked with internet/Wi-Fi enabled ICT facilities (data for the preceding academic year) | • Give links to content repository used by the teachers/Students  
• Geo-tagged photos  
• Consolidated list duly certified by the Head of the institution. |
| 4.4.3  | Available bandwidth of internet connection in the Institution (Leased line) | • Bills for any one month of the last completed academic year indicating internet connection plan, speed and bandwidth  
• Annual subscription bill  
• If donated, letter from the donor  
• Snap shot of speed test for wifi/internet facility will not be considered |
| 4.5.1  | Average percentage of expenditure incurred on maintenance of physical facilities and academic support facilities excluding salary component during the last five years | • Provide balance sheet highlighting the items of expenditure incurred on maintenance of physical facilities and academic support facilities duly certified by Finance Officer.  
• Provide budget extract incurred on maintenance of physical facilities and academic support facilities duly certified by Finance Officer. (Refer annexure number -01 as per SOP)  
• The emphasis of this metric is in the maintenance of physical and academic support facilities  
• In case of privately funded University the document should be certified by Chartered Accountant also. |
| 5.1.1  | Average percentage of students benefited by scholarships/free-ships/fee-waivers by Government/Non-Governmental agencies/Institution during the last five years | • Upload sanction letter of scholarship.  
• Consolidated document in favour of freeships and number of beneficiaries duly signed by the Head of the institution  
• Both Government/non government Scholarships are considered here  
• For large data, the DVV will ask documents for specific list of students in specific schemes during DVV clarification. Hence please ensure to provide the list of students in the template. |
| 5.1.2  | Institution implements a variety of capability | • Detailed report of the Capacity enhancement programs and other skill |

The list of the documents is only suggestive. If the Institution has any other relevant documents besides those mentioned by NAAC, the same may be uploaded.
### enhancement and other skill development schemes
1. Soft skills development
2. Language and communication skill development
3. Yoga and wellness
4. Analytical skill development
5. Human value development
6. Personality and professional development
7. Employability skill development

### 5.1.3 Average percentage of students undergone guidance for competitive examinations and career advancement offered by the Institution during the last five years
- Copy of circular/brochure of such programs
- Year-wise list of students attending each of these schemes signed by competent authority
- Institutional website. Web-link to particular program/scheme mentioned in the metric
- List of students (Certified by the Head of the Institution) benefited by guidance for competitive examinations and career advancement offered by the Institution during the last five years

- “Students benefited” refers to students enrolled / attending the said programs

### 5.1.5 The Institution has a transparent mechanism for timely redressal of student grievances / prevention of sexual harassment and prevention of ragging
a. Adoption of guidelines of Regulatory bodies
b. Presence of the committee and mechanism of receiving student grievances (online/offline)
c. Periodic meetings of the committee with minutes
- Minutes of the meetings of student redressal committee, prevention of sexual harassment committee and Anti Ragging committee. (the names of the complainant shall be masked)
- Circular/web-link/committee report justifying the objective of the metric

- Report of incident management of grievances from the concerned cell is essential.
- The mechanism of redressal should be available as document and preferably hosted in the HEI’s Website. The link of the same shall be provided to validate the same.
### Standard Operating Procedure for Data Verification and Validation - 23/09/2019

<table>
<thead>
<tr>
<th>b) d. Record of action taken</th>
<th>5.2.1 Average percentage of students qualifying in state/national/international level examinations during the last five years (eg: NET/SLET/GATE/GMAT/GPAT/CAT/GRE/TOEFL/PLAB/USMLE/AYUSH/Civil Services/Defense/UPSC/State government examinations/PG-NEET/AIIMS PGGET/JIPMER Entrance Test, PGIMER Entrance Test etc.)</th>
<th>5.2.2 Average percentage of placement/self-employed professional services of outgoing students during the last five years</th>
<th>5.2.3 Percentage of the graduates in the preceding academic year, who have had progression to higher education.</th>
<th>5.3.1 Number of awards/medals for outstanding performance in sports/cultural activities at state/regional/national/international events (award for a team event should be counted as one) during the last five years</th>
<th>5.3.3 Average Number of sports and cultural activities/events/competitions organised</th>
</tr>
</thead>
</table>
|  | • Pass Certificates of the examination | • Annual reports of Placement Cell.  
• Self-attested list of students placed / self-employed | • Upload supporting data for student/alumni in prescribed format.  
• Any proof of admission to higher education | • e-copies of award letters and certificates.  
• Only State/nation or international achievements will be considered.  
• Inter collegiate competitions will not be considered here.  
*Refer annexure for details* | • Report of the events/along with photographs appropriately dated and | • In absence of certificate, the claim will not be considered.  
• In case of large data, certificates of specific list of students will be sought during DVV clarification | • In case of large data, documents of specific list of students will be sought during DVV clarification  
• In case of self-employed professional services registration with MCI / any other Professional Bodies and documents for randomly selected students should be provided as sought by DVV. | • Participati on/appreciation certificate s at the regional/local/institutional levels should be avoided |

The list of the documents is only suggestive. If the Institution has any other relevant documents besides those mentioned by NAAC, the same may be uploaded.
### 5.4.2 Provide the areas of contribution by the Alumni Association / chapters during the last five years

- Financial / kind
- Donation of books / Journals/ volumes
- Students placement
- Student exchanges
- Institutional endowments

- Annual audited statements of accounts. Extract of Audited statements of highlighting Alumni Association contribution duly certified by the Finance Officer and Head of the Institutions (Refer annexure number -01 as per SOP)
- For 2/3/4 Certification by the head of the institution

### 6.2.3 The University has implemented e-governance in the following areas of operation

1. Planning and Development
2. Administration (including Hospital Administration & Medical Records)
3. Finance and Accounts
4. Student Admission and Support
5. Examination

- Institutional budget statements allocated for the heads of E-governance implementation ERP Document
- Screen shots of user interfaces of each module Annual e-governance report approved by Governing Council/ Board of Management/ Syndicate Policy document
- e-Governance related document

### 6.3.2 Average percentage of teachers provided with financial support to attend conferences / workshops and towards membership fee of professional bodies during the last five years

- Policy document on providing financial support to teachers
- E-copy of letter/s indicating financial assistance to teachers and list of teachers receiving financial support year-wise under each head.
- Audited statement of account highlighting the financial support to teachers to attend conferences/workshops and towards membership fee for professional bodies.
- List of teachers provided membership fee for professional bodies during the last five years

- If the data is large, the DVV will seek for document of specific list of teachers during DVV clarification

The list of the documents is only suggestive. If the Institution has any other relevant documents besides those mentioned by NAAC, the same may be uploaded.
6.3.3 **Average number of professional development / administrative training programmes organized by the University for teaching and non-teaching/technical staff during the last five years**

- Detailed program report for each program should be made available. Reports of the Human Resource Development Centres (UGC ASC or other relevant centres).
- Reports of Academic Staff College or similar centres.
- Verification of schedules of training programs.
- Copy of circular/brochure/report of training program self-conducted program may also be considered.
- Consolidated lists of participants who attended the above programmes year-wise during the last 5 years (Data template).
- The program should be minimum of one day duration.

6.3.4 **Average percentage of teachers undergoing Faculty Development Programmes (FDP) including online programmes (Orientation / Induction Programmes, Refresher Course, Short Term Course etc.) during the last five years**

- Annual reports of the AQAR submitted to NAAC.
- E-copy of the certificate of the program attended by teacher.
- Days limits of program/course as prescribed by UGC/AICTE or Preferably Minimum one day programme conducted by recognised body/academic institution.
- Courses with 30 or more contact hours are considered.
- One teacher attending one or more professional development Program in a year to be counted as one only.
- The DVV will ask for certificates of specific faculty during DVV process as a part of validation.

6.4.2 **Funds / Grants received from government / non-government bodies / philanthropists during the last five years (excluding scholarships and research grants covered under Criterion III)**

- Annual audited statements of accounts (Refer annexure number -01 as per SOP).
- Copy of letter indicating the grants/funds received by respective agency as stated in metric.
- Provide the budget extract of audited statement towards Grants received from non-government bodies, individuals, philanthropist duly certified by chartered accountant and/or Finance Officer.
- Avoid duplication.
- Funds from own institution/s/own trust and sister institution/s not to be considered.

6.5.2 **Quality assurance initiatives of the Institution include:**

- Report of AAA.
- Details of Conferences Workshops with thrust on quality education.
- These documents are expected to be hosted in the website of the HEI for public.

The list of the documents is only suggestive. If the Institution has any other relevant documents besides those mentioned by NAAC, the same may be uploaded.
The list of the documents is only suggestive. If the Institution has any other relevant documents besides those mentioned by NAAC, the same may be uploaded.

| Standard Operating Procedure for Data Verification and Validation- 23/09/2019 |
|---|---|---|
| 1. Academic and Administrative Audit (AAA) and initiation of follow-up action | • Details of the Collaborative initiations (with or without MOU) | access |
| 2. Conferences, Seminars, Workshops on quality | • Report of orientation programs for teachers and students |  |
| 3. Collaborative quality initiatives with other Institution(s) | • NIRF details |  |
| 4. Orientation programmes on quality issues for teachers and students | • Any other relevant document |  |
| 5. Participation in NIRF process | • Certificate of the quality audit |  |
| 6. Any other quality audit by recognized State, National or International agencies (ISO, NABH, NABL Certification, NBA, any other) |  |  |

7.1.2 The Institution has facilities for alternate sources of energy and energy conservation measures

| 1. Solar energy | • Geo tagged photos |  |
| 2. Biogas plant | • Installation receipts |  |
| 3. Wheeling to the Grid |  |  |
| 4. Sensor-based energy conservation |  |  |
| 5. Use of LED bulbs/power efficient equipment |  |  |

7.1.4 Water conservation facilities available in the Institution:

| 1. Rain water harvesting | • Geo tagged photos |  |
| 2. Borewell/Open well recharge | • Installation or maintenance reports |  |
| 3. Construction of tanks and bunds |  |  |
| 4. Waste water recycling |  |  |
| 5. Maintenance of water bodies and distribution system in the campus |  |  |

7.1.5 Green campus initiatives include:

| 1. Restricted entry of automobiles | • Geotagged photo Code of conduct or visitor instruction displayed in the institution |  |
### Standard Operating Procedure for Data Verification and Validation - 23/09/2019

<table>
<thead>
<tr>
<th>2. Battery-powered vehicles</th>
<th>• Geo tagged photos of the facilities as the claim of the institution</th>
</tr>
</thead>
<tbody>
<tr>
<td>3. Pedestrian-friendly pathways</td>
<td></td>
</tr>
<tr>
<td>4. Ban on the use of Plastics</td>
<td></td>
</tr>
<tr>
<td>5. Landscaping with trees and plants</td>
<td></td>
</tr>
</tbody>
</table>

#### 7.1.6 Quality audits on environment and energy regularly undertaken by the Institution and any awards received for such green campus initiatives:
- Green audit
- Energy audit
- Environment audit
- Clean and green campus recognitions / awards
- Beyond the campus environmental promotion activities

<table>
<thead>
<tr>
<th>• Audit reports of the institution related to the metric (as per Annexure-1)</th>
<th>• The audit has to be performed by recognised agencies</th>
</tr>
</thead>
</table>

#### 7.1.7 The Institution has disabled-friendly, barrier free environment
- Built environment with ramps/lifts for easy access to classrooms.
- Disabled-friendly washrooms
- Signage including tactile path, lights, display boards and signposts
- Assistive technology and facilities for persons with disabilities (Divyangjan) accessible website, screen-reading software, mechanized equipment
- Provision for enquiry and information: Human assistance, reader, scribe, soft copies of reading material, screen reading

<table>
<thead>
<tr>
<th>• Geo tagged photos of the facilities as per the claim of the institution</th>
<th></th>
</tr>
</thead>
</table>

#### 7.1.10 The Institution has a prescribed code of conduct for students,
- Weblink of the code of conduct
- Details of the monitoring

<table>
<thead>
<tr>
<th>These documents are expected to be hosted in the website of the HEI for</th>
<th></th>
</tr>
</thead>
</table>

The list of the documents is only suggestive. If the Institution has any other relevant documents besides those mentioned by NAAC, the same may be uploaded.
<table>
<thead>
<tr>
<th>teachers, administrators and other staff and conducts periodic programmes in this regard.</th>
<th>committee of the code of conduct</th>
<th>public access</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. The Code of Conduct is displayed on the website</td>
<td>• Details of Programs on professional ethics and awareness programs</td>
<td></td>
</tr>
<tr>
<td>2. There is a committee to monitor adherence to the Code of Conduct</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Institution organizes professional ethics programmes for students,</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. teachers, administrators and other staff</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. Annual awareness programmes on Code of Conduct are organized</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**General Guidelines:**

- The NAAC Portal supports only 5MB data for each metric. If the HEI's data exceeds 5MB, please host the supporting documents in the HEI’s website and provide the link of the same in the template and/or in the HEI-DVV clarification Space.
- Please provide the supporting documents during the SSR submission to facilitate speedy DVV clarification process.
- It is mandatory to respond to all the DVV clarification raised in extended profile and metrics with in stipulated time. If the data is large, ensure to fill the data template. During DVV clarification, the DVV will seek for sample selective documents for validation.
- Data should not be hosted in google drive and third party websites. The data should be either in the NAACs portal or in the HEI website.
- The data that are hosted in the HEI’s website should not be changed after the submission of link to the NAAC. Such incidences will be viewed seriously as misappropriation of data and may lead to actions against the HEI.
- The instruction while providing links should ensure that the links work properly and are operational. The institution also should give the links as appropriate to the metric and not general links whose landing page is the HEI’s home page.
- Content of the Supporting documents in regional languages should be translated in English and should be duly signed by the head of the institution. The translated copy should be uploaded along with the regional language document.
- Geotagging: Kindly follow the steps to obtain a Geo-tagged photo.

The list of the documents is only suggestive. If the Institution has any other relevant documents besides those mentioned by NAAC, the same may be uploaded.
(1) In setting of your digital camera, set the location on
(2) If you are taking photos in a smart phone, then set the location on
(3) Take pictures after setting the location on.
(4) Download the pictures in a computer system and examine the properties. In properties, click on the details tab, scroll down to see GPS: you will see something like the picture provided below, the value entries in Latitude and longitude will determine the location in which the photo was taken.
Annexure - 1

Data Verification and Validation for Health Sciences Universities

SUB: AUDITED REPORTS OF ACCOUNTS YEAR WISE as upload in SSR/Annexure in SOP-DVV

This is a bulk data. The HEI have to keep ready audited report in the prescribed manner before the submission of the SSR online. In the following 8 General Metrics annexures to main audit report for 5 years data has to be prepared by

a. For Private Institutions (Deemed Universities and State Private Universities) : by the concerned Chartered Accountant and countersigned by Head of the Institution
b. For Public funded Universities : By State Audit Cell/ Local Audit Cell and countersigned by Head of the Institution or by Finance Officer of the University and countersigned by Head of the Institution

HEIs have to give breakup of expenditure and upload as annexures to main audited report along with SSR in the following metrics in Health Sciences Universities:

<table>
<thead>
<tr>
<th>Metric no</th>
<th>Details</th>
<th>Annexure no.</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.1.2</td>
<td><strong>The Institution provides seed money to its teachers for research</strong></td>
<td>1a</td>
</tr>
<tr>
<td>3.52</td>
<td>Revenue generated from advisory / R&amp;D consultancy projects(exclude Patients consultancy) including Clinical trials during the last five years</td>
<td>1b</td>
</tr>
<tr>
<td>4.1.4</td>
<td>Average percentage of expenditure incurred, excluding salary, for infrastructure development and augmentation during the last five years</td>
<td>1c</td>
</tr>
<tr>
<td>4.3.4</td>
<td>Average annual expenditure for purchase of books and journals (including e-resources) during the last five years</td>
<td>1d</td>
</tr>
<tr>
<td>4.5.1</td>
<td>Average percentage of expenditure incurred on maintenance of physical facilities and academic support facilities excluding salary component during the last five years</td>
<td>1e</td>
</tr>
<tr>
<td>5.4.1</td>
<td>The Alumni Association/Chapter (registered and functional) has contributed significantly to the development of the Institution through financial and other support services during the last five years</td>
<td>1f</td>
</tr>
<tr>
<td>6.4.2</td>
<td>Funds / Grants received from government / non-government bodies / philanthropists during the last five years (excluding scholarships and research grants covered under Criterion III)</td>
<td>1g</td>
</tr>
<tr>
<td>6.4.3</td>
<td><strong>Institution conducts internal and external financial audits</strong></td>
<td>1h</td>
</tr>
</tbody>
</table>

The list of the documents is only suggestive. If the Institution has any other relevant documents besides those mentioned by NAAC, the same may be uploaded
3.6.4 Qlm

| Institutional social responsibility activities in the neighborhood community in terms of education, environmental issues like Swachh Bharath, health and hygiene awareness, delivery of free/subsidized health care and socio economic development issues carried out by the students and staff, including the amount of expenditure incurred during the last five years |

### Annexure - 2 for SSR and SOP, DVV for Colleges and Universities in Health Sciences

2.6.2 QnM

**Incremental performance in Pass percentage of final year students in the last five years**

2.6.2.1: Number of final year students of all the programmes, who qualified in the university examinations in each of the last five years.

2.6.2.2: Number of final year students of all the programmes, who appeared for the examinations in each of the last five years.

<table>
<thead>
<tr>
<th>Year</th>
<th>Number of final year students</th>
<th>UG</th>
<th>PG</th>
<th>Total</th>
</tr>
</thead>
</table>

**Formula only for ICT:**

Re Quality Indicator 2.6 (Performance of students in final examination)

Whenever the data obtained for a metric is for five years and the intent is to assess on the basis of the progression, the following procedure may be adopted to capture the trend over the entire 5-year period in a nutshell. However, the question of setting benchmarks is to be reviewed if this procedure is accepted (this measure adds a correction component which can be negative/positive depending on the trend in performance to the 5-year average value to account for the variations during the 5-year period)

\[
y_1 = \text{Pass percentage of year 1 of the 5-yr period} \\
y_2 = \text{Pass percentage of year 2 of the 5-yr period} \\
y_3 = \text{Pass percentage of year 3 of the 5-yr period} \\
y_4 = \text{Pass percentage of year 4 of the 5-yr period} \\
y_5 = \text{Pass percentage of year 5 of the 5-yr period}
\]

Average pass percentage:

\[
\bar{y} = \frac{1}{5} \left[ y_1 + y_2 + y_3 + y_4 + y_5 \right]
\]

Correction component (positive or negative) to account for the trend in results:

The list of the documents is only suggestive. If the Institution has any other relevant documents besides those mentioned by NAAC, the same may be uploaded.
The list of the documents is only suggestive. If the Institution has any other relevant documents besides those mentioned by NAAC, the same may be uploaded.

### A measure of success-cum-progression at final examination over five years

\[ D = \frac{1}{4} \left[ (y_2 - y_1) + (y_3 - y_2) + (y_4 - y_3) + (y_5 - y_4) \right] \]

A measure of success-cum-progression at final examination over five years

\[ \bar{y} + \frac{D}{\bar{y}} \times 100 \]

Ex.1: 90, 92, 94, 96, 98  \[ \bar{y} = 94; \quad D = 2; \quad \bar{y} + \frac{D}{\bar{y}} \times 100 = 94 + 2.13 \]

= 96.13

Ex 2: 80, 78, 84, 80, 88  \[ \bar{y} = 82; \quad D = 2; \quad \bar{y} + \frac{D}{\bar{y}} \times 100 = 82 + 2.44 = 84.44 \]

Ex 3: 80, 78, 76, 74, 72  \[ \bar{y} = 76; \quad D = -2; \quad \bar{y} + \frac{D}{\bar{y}} \times 100 = 76 - 2.63 = 73.37 \]

Note: This approach can also be followed for the General and other QAFs

### Upload:

- List of Programmes and the number of students passed and appeared in the final year examination each year for the last five years.
- Data Template
- Link for the annual report of examination results as placed before BoM/ Syndicate/ Governing Council for the last five years.
- Any other relevant information

### Annexure – 3

In metric numbers 3.4.3, 3.4.4, 5.3.3, 5.4.3, 6.3.3, 7.1.1, 7.1.8, 7.1.10 and 7.1.17 – several institutions have uploaded photos of events as proof but the bottom note in the photo do not contain details of event and is not attested by the principal of the college. As a result the DVV partner has not considered the inputs and has not accepted mere photos as proof. Further the DVV partner has given zero in these metrics. This is going to affect the institutions. The Committee considered the issue and addressed in SOP for DVV.

### Annexure – 4

Policy document about of performance of students

**Metric 2.2.1 (HSM Universities)**

The Institution organizes some programmes for the newly admitted students to make students familiar with Institution culture and to boost stage daring, confidence, bonding among students and reviews the profiles of admitted students to assess the learning levels of the students. The Institute has a mechanism in place for the continuous monitoring of progress of the students. Various attributes such as performance in class room discussion, performance in the assessment tests, and participation in class room activities are monitored. Based on such assessment, slow learners and advanced
learners are distinguished. Remedial /bridge courses and Tutorial classes are conducted to help slow learners. Fast learners are encouraged to participate in various co-curricular and extra-curricular activities and to show case their leadership and ability to work in groups. Workshop, symposium and industrial visits are some of the student centric approaches adopted for the advanced learners by the Institution. Advanced research and practical applications of the subjects also to be offered to advanced learners to train them beyond the syllabus.

<table>
<thead>
<tr>
<th>QnM</th>
<th>The Institution assesses the learning levels of the students after admission and organises special programmes for advanced learners and slow performers</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>The Institution:</td>
</tr>
<tr>
<td></td>
<td>1. Adopts measurable criteria to identify slow performers.</td>
</tr>
<tr>
<td></td>
<td>2. Adopts measurable criteria to identify advanced learners</td>
</tr>
<tr>
<td></td>
<td>3. Organizes special programmes for slow performers and advanced learners</td>
</tr>
<tr>
<td></td>
<td>4. Follows protocols to measure students’ achievement</td>
</tr>
<tr>
<td></td>
<td>5. Reviews profile of admitted students</td>
</tr>
<tr>
<td></td>
<td>6. Monitors performance of students in class room discussion, internal assessment test and participation in class room activities.</td>
</tr>
<tr>
<td></td>
<td>7. Uses question bank / special assignments / industry based projects</td>
</tr>
</tbody>
</table>

Upload

- Methodology and Criteria for the assessment of Learning levels
- Details of special programmes
- Details of outcome measures
  - Proforma created to identify slow performers/advanced learners
  - Consolidated report from Dean academics/Dean student’s welfare on special programs for advanced learners and slow learners
- Any other relevant information

The list of the documents is only suggestive. If the Institution has any other relevant documents besides those mentioned by NAAC, the same may be uploaded.