

# **Guidelines for Grievance Redressal (Appeals)**

Applicable for all HEI's Assessed and Accredited under  
RAF



**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 on valid grounds with respect to Qualitative and Quantitative assessment/s raised by the institution. The EC will take decisions on the grievance of the institution based on the recommendations of the **Appeals Committee (AC)**.
- The AC will have **five members** nominated by the Chairman of EC, NAAC. One NAAC officer will be nominated by the Director of NAAC as Convener of the **Appeals Committee (AC)**. None of the members of AC will be from the decision-making bodies (Executive Committee, General Council and Standing Committee) of NAAC.

## Appeals

### Submission of Appeal Intent and Appeal Proforma:

An Appeal is a request by an institution to review its grading on valid grounds concerning Qualitative and Quantitative assessment/s, after the declaration of Assessment and Accreditation Result.

- A. Any institution can submit an **Appeal Intent Online through the HEI portal within Fifteen (15) Days from the date of declaration of the A&A result on the HEI portal.** The grade obtained by the institution will be **Kept in Abeyance** (not be published) on the NAAC website upon receiving the Appeal Intent within the stipulated period from the HEI.

- B. Once an institution has submitted Appeal Intent, the institution may **fill and submit an appeal online through the HEI portal in prescribed proforma** as given at Annexure-1 / Annexure-2 **within Forty-Five (45) days from the date of declaration of the A&A result on the HEI portal** along with a **non-refundable fee of Rs 50,000/- (Rupees Fifty Thousand Only) + GST as applicable** through online payment option available on the HEI portal. In any case date of submission of Appeal shall not be beyond 45 days from the date of declaration of results on the NAAC website
- C. After declaration of accreditation result the Institution can view the **Assessment Outcome Document (AOD)** which includes **Peer Team Report, Graphical representation based on Quantitative (QnM) & Qualitative (QIM) Metrics, Institutional Grade Sheet and Peer Team Metric wise Score Report on the HEI portal**. Also, the institution can rely on changes of values made in the Self Study Report (SSR) based on the data validation and verification process available as a part of the deviation report in the updated SSR.

### **Appeal Process: Stages of the Procedure:**

- A. All correspondence relating to Appeals if any will be done by the Convener with the HEI's. The appeal submitted to NAAC through online HEIs in the portal 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 by Convener. 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.
- B. 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.
- C. After the hearing, the Appeals Committee will make a recommendation to EC on the 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 Peer Team Re-Visit**. If the AC recommends re-visit to the institution, expenses towards the same will be borne by the NAAC.
- D. In case, if AC is satisfied that there is an error of judgement or other issues during the Data Validation and Verification (DVV) process which has influenced/impacted the scores, then revaluation of the metrics appealed by HEI may be recommended. This revaluation of Quantitative Metrics (QnM) shall be conducted by another DVV partners (other than the one who originally did the DVV process).
- E. The recommendation of either Peer Team Re-Visit and/or Re-Data Validation & Verification or No Change shall be placed before Executive Committee (EC) of NAAC.
- F. The Institution will not be allowed to re-submit SSR afresh on the portal for appeal

made. The original SSR on the portal remains unaltered and the QIM part only will be considered for the re-visit by the new peer team constituted by NAAC.

- G. The Executive Committee (EC) 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.
- H. The outcome of the Appeal process whether it may be Re-Visit and/or Re-Data Validation & Verification by DVV partner or No Grade Change 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 NAAC website.
- I. Delay in submission of Appeal Intent or appeal online after the specified 45 days, up to 15 days shall be condoned by the Director, NAAC for justifiable reasons.
- J. All appeals in RAF (received earlier and now on) shall be disposed off as per these guidelines.

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

**Proforma for Appeals (College)**

(Review of Assessment and Accreditation)

**SECTION-1: Institutional Profile**

1. Name of the Institution :
  - a. Address :
  - b. Tel :
  - c. Email :
  - d. Location :
  - e. Current Cycle :
  
2. Details of the Head of the Institution:
  - a. Present:  
Name of the Principal:  
Email :  
Mobile :
  - b. At the time of Peer Team Visit:  
Name of the Principal:  
Email :  
Mobile :
  
3. Details of the Coordinators  
IQAC Coordinator  
Name of the Coordinator  
Email  
Mobile  
Steering Committee Coordinator (at the time of the visit)  
Name of the Coordinator  
Email  
Mobile
  
4. University affiliated to:
  - a. Name of the University
  - b. Name of the Vice Chancellor:
  - c. e-mail:
  - d. Phone:
  
5. Details of the Director CDC/BCUD
  - a. Name of the Director CDC/BCUD:
  - b. e-mail:
  - c. Phone:
  
6. Details of UGC Center attached to in case of Recognition under 2f and 12b:

## SECTION – 2: PT Visit Details

- a) Dates of the peer team visit:
- b) Name of the Coordinating officer from NAAC (on site/operating from NAAC office):
- c) Date of declaration of Grade
- d) Institutional Grade and CGPA:
- e) Cycle Details
- f) Names and Designation of the peer Team Members who visited the institution:

S. No.	Name	Member Type	Designation	Subject Specialization

## SECTION – 3: Grievance Details

### A. General

1. On Grading and CGPA:

2. On other Issues: (other than grading)

Select Criterion to Appeal on

(Select the criteria to get details of metrics to register appeal complaints)

### B. By Criteria on Qualitative Metrics (Q<sub>i</sub>M)

Select Criteria:

- a. Description:
- b. Expected GPA”
- c. Upload Evidence document

### C. By DVV Recommendation

- i. Extended Profile data recommendations
  - Select Extended Profile Variations:
  - Appeal Complaints: Enter Comments for that question
  - Document : (to be uploaded)
  - Add and continue to next question
- ii. Metric level data recommendations
  - Select Metric Level Deviation
  - Appeal Complaints: Enter Comments for that question
  - Document : (to be uploaded)
  - Add and continue to next question

## SECTION 4: Appeal Payment

Appeal fee to be paid online.

## **SECTION 5: DECLARATION**

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.

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.

I agree to abide by the decision of the EC of NAAC.

I agree that the Review fee of Rs 50,000/- (+GST as Applicable) paid online through HEI portal is Non-refundable. =

DATE:

PLACE:

SIGNATURE  
of Head of the Institution  
with Seal



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

**SECTION-1: Institutional Profile**

1. Name of the Institution :
  - a. Address :
  - b. Tel :
  - c. Email :
  - d. Location :
  - e. Current Cycle :
  
2. Details of the Head of the Institution:
  - a. Present:
    - Name of the Vice Chancellor :
    - Email :
    - Mobile :
  - b. At the time of Peer Team Visit:
    - Name of the Vice Chancellor :
    - Email :
    - Mobile :
  
3. Details of the Coordinators
  - IQAC Coordinator
    - Name of the Coordinator
    - Email
    - Mobile
  - Steering Committee Coordinator (at the time of the visit)
    - Name of the Coordinator
    - Email
    - Mobile
  
4. Details of the Director CDC/BCUD
  - a. Name of the Director CDC/BCUD:
  - b. e-mail:
  - c. Phone:
  
5. Details of UGC Center attached to in case of Recognition under 2f and 12b:

**SECTION – 2: PT Visit Details**

- a) Dates of the peer team visit:
- b) Name of the Coordinating officer from NAAC  
(on site/operating from NAAC office):
- c) Date of declaration of Grade

- d) Institutional Grade and CGPA:  
 e) Cycle Details  
 f) Names and Designation of the peer Team Members who visited the institution:

S. No.	Name	Member Type	Designation	Subject Specialization

### SECTION – 3: Grievance Details

#### A. General

- a. On Grading and CGPA:  
 b. On other Issues: (other than grading)

Select Criterion to Appeal on

(Select the criteria to get details of metrics to register appeal complaints)

#### B. By Criteria on Qualitative Metrics (QIM)

Select Criteria:

- a. Description:  
 b. Expected GPA”  
 c. Upload Evidence document

#### C. By DVV Recommendation

- iii. Extended Profile data recommendations
- Select Extended Profile Variations:
  - Appeal Complaints: Enter Comments for that question
  - Document : (to be uploaded)
  - Add and continue to next question
- iv. Metric level data recommendations
- Select Metric Level Deviation
  - Appeal Complaints: Enter Comments for that question
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DATE:

PLACE:

SIGNATURE  
of Head of the Institution with Seal