Criterion VI: Governance, Leadership and Management

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Criterion VI: Overview

Weightage	Key Indicators	Total Metrix	QIM	QnM
100	05	16	10	06

6.1	Institutional Vision and Leadership	10
6.2	Strategy Development and Deployment	10
6.3	Faculty Empowerment Strategies	30
6.4	Financial Management and Resource Mobilization	20
6.5	Internal Quality Assurance System	30

6.1.1 QlM The governance of the institution is reflective of an effective leadership in tune with the vision and mission of the institution   05

College of Engineering, Pune

Vision:

- "To **achieve excellence** in Electronics and Communication engineering through **quality education, research** contributing to the emerging technologies and innovation to **serve industry and society**"

Mission:

- To enhance the teaching-learning process by implementing innovative practices to create globally competent engineers.

- To strengthen research culture providing sustainable solutions in the domain of Communication, Signal Processing and VLSI for the benefit to industry.

- To inculcate professional ethics, values and entrepreneurial attitude addressing needs of industry and society.

Documents

- Draft and revisit Vision and Mission (of college, not parent body)- Brainstorming

- Upload and provide space on college website, letter heads, magazine, college premises, etc.

- Should be reflected through perspective plan.

- Participation of teachers and other officials in decision making bodies- minute of meetings of bodies such as CDC , IQAC and the committees.

6.1.2 QlM **The effective leadership is visible in various institutional practices such as decentralization and participative management. 05**

- Describe a **case study** showing decentralization and participative management

Decentralization: Authority & autonomy to various functionaries

Participative Management: Involving staff & student, all decision governed by Management but teachers & students are allowed to express suggestions, possible implemented too.

Case Study: Examples

1. IT Infrastructural augmentation
2. Addition of Resources in library

Information:

- Meeting Minutes, Action taken reports and related documentation

  Upload aforesaid information on website & provide link.

6.2.1 QlM The institutional Strategic/ perspective plan is effectively deployed - one activity successfully implemented based on the strategic plan (documents on the website)   02

- Perspective planning/Strategic Planning/Long-term Planning

'Why strategic?'

- Strategy is designed to accomplish the vision of the institution
- Determines future course of action

S Specific
Do: Set real numbers with real deadlines.
Don't: Say, "I want more visitors."

M Measurable
Do: Make sure your goal is trackable.
Don't: Hide behind buzzwords like, "brand engagement," or, "social influence."

A Attainable
Do: Work towards a goal that is challenging, but possible.
Don't: Try to take over the world in one night.

R Realistic
Do: Be honest with yourself- you know what you and your team are capable of.
Don't: Forget any hurdles you may have to overcome.

T Time-bound
Do: Give yourself a deadline.
Don't: Keep pushing towards a goal you might hit, "some day."

Setting organisational plan objectives:
  Flexible- changeable according to the environment
  Objectives - challenging, attainable, specific, measurable, time bound and relevant.
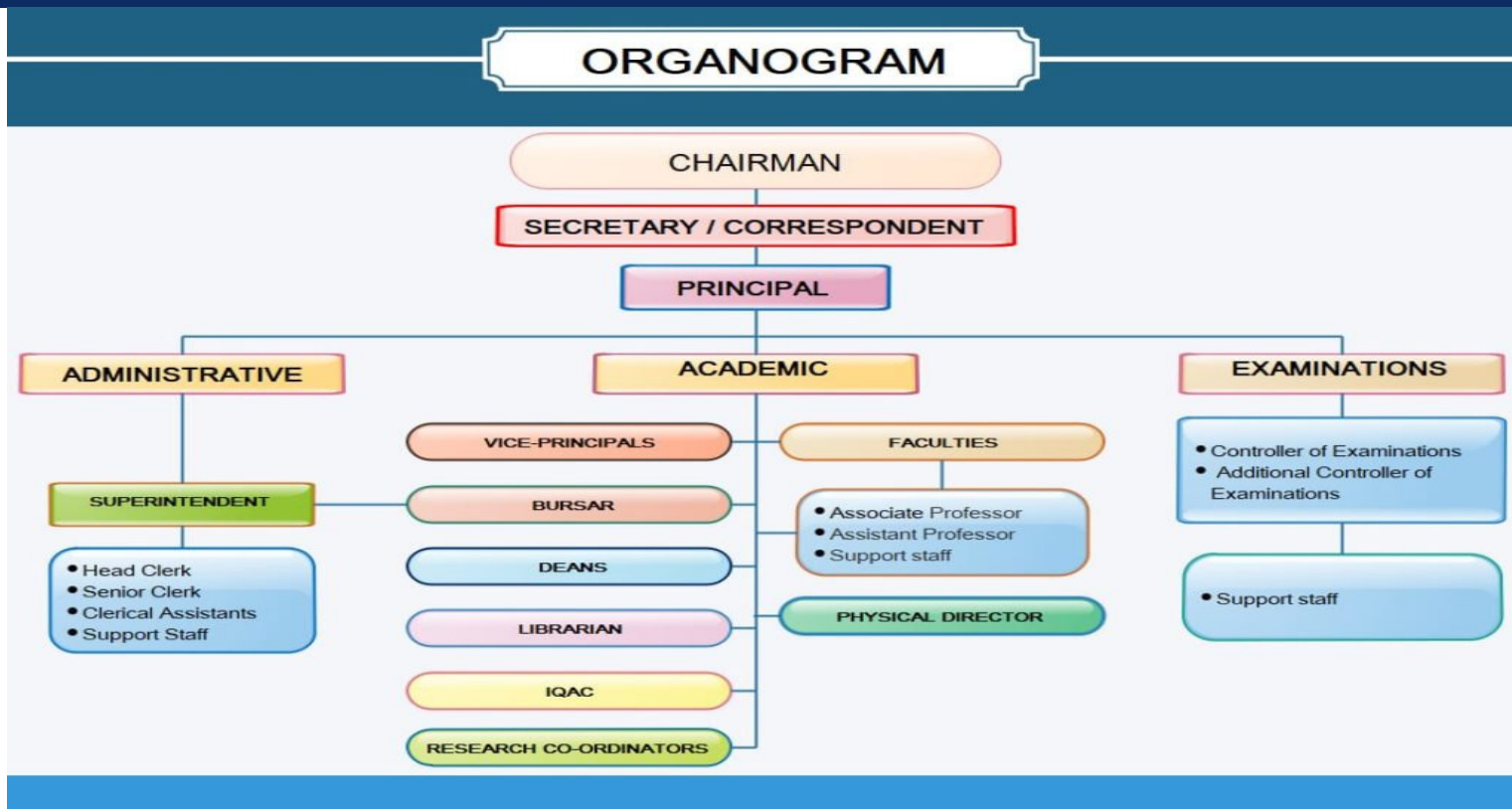
  Prepared in logical order - periodical judgement from the point of view of outcomes

Documents

- Prepare and communicate perspective plan including the assessment period and future.

- **Case study**

    Planning new programmes

    Teaching learning or resource generation

- Deployment (implementation) proofs:

    Perspective plan

    ATR and case study supporting docs.

    Website uploading

6.2.2 QlM The functioning of the institutional bodies is effective and efficient as visible from policies, administrative setup, appointment and service rules, procedures, etc.   04

ORGANOGRAM

CHAIRMAN

SECRETARY / CORRESPONDENT

PRINCIPAL

ADMINISTRATIVE

ACADEMIC

EXAMINATIONS

VICE-PRINCIPALS

FACULTIES

- Controller of Examinations
- Additional Controller of Examinations

SUPERINTENDENT

BURSAR

- Associate Professor
- Assistant Professor
- Support staff

- Head Clerk
- Senior Clerk
- Clerical Assistants
- Support Staff

DEANS

- Support staff

LIBRARIAN

PHYSICAL DIRECTOR

IQAC

RESEARCH CO-ORDINATORS

Documents

- Define Administrative & Academic setup/functioning through organogram

- Defined roles/responsibilities of various bodies like GC, CDC, IQAC, Cells and committees

- **Documented and approved policies and procedures** for:

    Appointment, Promotion, Services provided, Grievance redressal mechanism

- Communicating set up, policies and procedures

11

6.2.3 QnM Implementation of e-governance in areas of operation- 04

- **Planning and Development**
- **Administration**
- **Finance and Accounts**
- **Student Admission and Support**
- **Examination**
- Options:
- All of the above
- Any 3 of the above
- Any 2 of the above   **Opt One**
- Any 1 of the above
- None of the above

Planning and development

- Planning of admission

- Merit list

- Planning of students fee

- Yearly budget like income and expenses

- Annual planning of library

- Examination plan

- Attendance planning

Institutional MIS

Administration

- Maintaining the data of teachers, staff and students and producing it in required formats
- Registration of the students and preparation of merit lists
- Collection of fees and generating fee receipts
- Maintaining student data
- Maintaining attendance report
- Generating different certificates like bonafide/TC/NOC
- Generating all types of report related to the students

Student admission and support

- Online admission process
- Availability of prospect, online registration, merit lists for admission
- Support of android app for student for online fee payment, mailing and bulk SMS

Finance and Account

- Maintaining fee record of students
- Monitoring fees installments
- Generation of report like DCR
- Generation of Receipts for expenses and vouchers
- Producing all types of report like income, expenses and balance sheets

Institutional MIS

Examination

- Examination registration
- Room allocation
- Examination roll number allocation
- Generation of hall tickets
- Marks entry and generation of data in required formats
- Producing grade cards

Documents

- ERP Document

- Screen Shots of interface

- Bills for the expenditure on implementation of e governance in the areas of operation.

- Policy document on e governance

- Approved report of Annual e-governance by GC/CDC/Board of management

15

List of existing welfare measures for teaching and non-teaching staff within a maximum of 500 words

16

Welfare measures

Basic protective measures against COVID-19
Take care of your health and protect others by doing the following

- Promoting self development

- Group insurance

- Provision for different types of leaves

- Fees installment for wards of staff

- Provident Fund

- Loan facility through institutional cooperative bank or recommendation for loan of other Banks

- Health centre

- Tie up with nearby hospital

- College Uniform to non teaching staff

- Accommodation facilities, Transport Facilities, Tea club, Felicitation on Achievement

- Canteen facility with discount for teaching - non teaching, Bank on Campus, R.O drinking water facilities, Mediclaim facility / recommendation

17

6.3.2 QnM Average percentage of teachers provided with financial support to attend conferences/workshops and towards membership fee of professional bodies during the last five years   10

Year	Name of teacher	Name of conference/ workshop attended for which financial support provided	Name of the professional body for which membership fee is provided	Amount of support

Documents

- 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 accounts highlighting support amounts

- DVV: Specific information of a teacher

6.3.3 QnM Average number of professional development /administrative training programs organized by the institution for teaching and non teaching staff during the last five years. (05)

Year	Sr . No.	Title of the Professional Development program organized for teaching staff	Title of the administrative training program organized for non teaching staff	Date from to	No. of Participants

Why train?

Documents

- List of professional development / administrative training programs organized by the institution

- Brochures

- Year-wise reports

- List of participants in each programme

- Photographs with date and caption

6.3.4 QnM **Average percentage of teachers undergoing online/ face-to-face Faculty Development Programmes (FDP) during the last five years (Professional Development Programmes, Orientation / Induction Programmes, Refresher Course, Short** Term Course etc.) **(05)**

Name of teacher who attended	Title of the program	Duration (from – to)

Documents

- Orientation Programme/ Refresher course/Short term programme or other programmes as per UGC/AICTE stipulated period participated year wise.

- E-copy of the certificates of the program attended by teachers.

- List of participating teachers as per the prescribed format year-wise during the last five years.

- Annual reports highlighting the programs undertaken by the teaching faculties.

Special attention:

- One teacher attending one or more professional development Program in a year to be counted as one only.

- Attending seminars / invited talks not to be considered.

- Programs of duration less than one week will not be considered.

23

6.3.5 QlM Institution has Performance Appraisal System for teaching and non-teaching staff .   (5)

Documents

- Institutional performance based appraisal system policy stating scope and frequency
- Actual form

Teaching Faculty

Academic, administrative, research

& extracurricular co-curricular activities

Non-teaching

Professional Competence

Performance

Character, Outstanding contribution

Appraisal form filled

Reviewed by HOD, Faculty in charge & principal

Reviewed by HOD, Faculty in charge & principal.

Overall report reviewed by chairman of G.C & recorded in office as confidential report

6.4.1   QlM   Institution conducts internal and external financial audits regularly.   (06)
various internal and external financial audits carried out during the last five years with the mechanism for settling audit objections

Differences - Internal Audit & Statutory Audit

Internal Audit

- Appointment – Internal Auditor is appointed by the Management.
- Qualifications – Need not possess any specific expertise.
- Status – Is an employee of the company.
- Conduct of Audit – Is a kind of continuous audit.
- Scope of Work – Determined by the management.

Statutory Audit

- Appointment – Statutory Auditor is appointed by the Shareholders.
- Qualifications – Must be qualified as per Sec 226 of the Companies Act 2013.
- Status – Is an independent person.
- Conduct of Audit – After preparation of final accounts.
- Scope of Work – Determined by Law.

Documents

- Internal and external financial audits conduced by HEI
- Formal mechanism established for settling audit objections
- Internal Audit:

    The Auditor appointed by Institute annually, placed CDC & GC

- External Audit:

    CA appointed Senior Auditor of J. D. Office, higher education & Government Auditor General (AG)

- Minor quires resolved immediate after compliance
- Additional Information:

    Cover page, Extract of Audit Report (Internal & External Auditor) Yearly

27

6.4.2 QnM **Funds / Grants received from non-government bodies, individuals, philanthropist during the last five years (not covered in Criterion III) Donations etc.** **(08)**

Year	Name of the non government funding agencies/ individuals	Purpose of the Grant	Funds/ Grants received (INR in lakhs)	Link to Audited Statement of Accounts reflecting the receipts

Documents

- Copy of letter indicating the grants/funds received from respective agency or individual as stated in metric
- Annual audited statements of accounts highlighting the grants received.

Note:

- Funds from own institutions/own trust and sister institutions not to be considered.
- Contribution in the form of equipment / software etc not be counted.

29

6.4.3 QlM **Institutional strategies for mobilization of funds and the optimal utilization of resources.** **(06)**
Describe the resource mobilization policy and procedures of the Institution

Identify → Engage → Negotiate → Manage & Report → Communicate Results

Documents

- Designing resource mobilization strategy/policy

- Consideration and identification of priority areas, concern and capability

- Organizational cause

- Monitoring and evaluation of resource mobilization

- Source of Income: Government bodies, NGO, Fees of students, Grants of UGC, Donations, consultancies

- Mechanism of Financial management for optional utilization of resources: - kept for discussion & formal approval before CDC; forwarded to GC; where in approval

- Approval/sanction, purchase letter quotations

- Accounts section maintain documentation & financial record- entered in stock register- Internal Audit, External Audit.

6.5.1 QlM Internal Quality Assurance Cell (IQAC) has contributed significantly for institutionalizing the quality assurance strategies and processes.   **(10)**
Describe two practices institutionalized as a result of IQAC initiatives
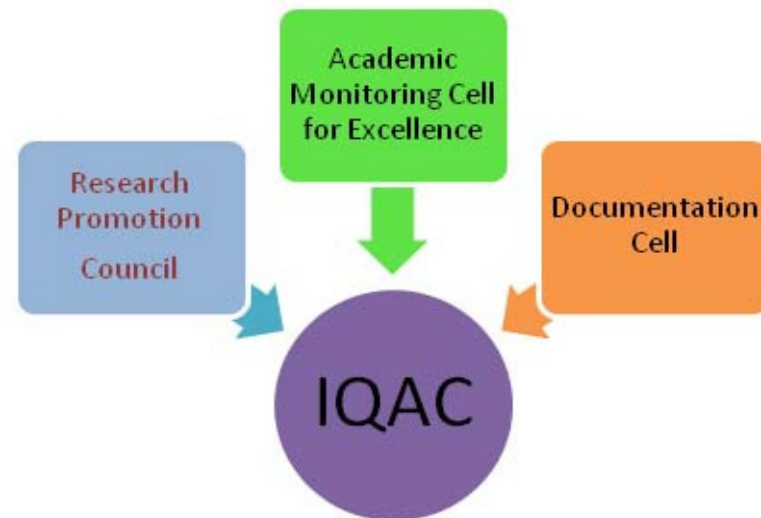
Documents

- Institutionalization of IQAC in HEI

- Describe practices suggested by IQAC with reference to quality improvement & successfully implemented

Examples

- Introducing Skill Development Course

- ICT Supportive teaching learning.

- Collaborative activities in the field of academic.

- Alumni involvement in quality improvement.

- Expanding Research activities

Mapped Outcomes: Mention outcomes of aforesaid

33

6.5.2 QlM **The institution reviews its teaching learning process, structures & methodologies of operations and learning outcomes at periodic intervals through IQAC set up as per norms and recorded the incremental improvement in various activities**

(10)

Describe any **two examples of institutional reviews and implementation** of teaching learning reforms facilitated by the IQAC

- Incremental improvements made for the preceding five years with regard to quality
- Post accreditation quality initiatives

Documents

- IQAC Meeting records, ATRs and proposals forwarded

- Methodologies suggested, augmented and deployed

- Outcome writing and mapping

- ICT and trainings

- Feedback collection from respective stakeholder related to academic, co-curricular & extracurricular activities, Analysis of Feed back & fulfillment / action taken

- Operational methodology for post accreditation quality initiatives

35

6.5.3 QnM Quality assurance initiatives of the institution include: (10)

1. Regular meeting of Internal Quality Assurance Cell (IQAC); timely submission of Annual Quality Assurance Report (AQAR) to NAAC; Feedback collected, analysed and used for improvements

2. Collaborative quality initiatives with other institution(s)

3. Participation in NIRF

4. Any other quality audit recognized by state, national or international agencies (ISO Certification, NBA)

Options: All of the above

Any 3 of the above

Any 2 of the above   **Opt one**

Any 1 of the above None of the above

Documents

- Proceedings of meetings of IQAC, Feedback analysis and action taken report.

- Activities conducted under Collaborative quality initiatives with other institutions.

- Supporting documents pertaining to NIRF (along with link to the HEI's ranking in the NIRF portal).

- ISO certificate / NBA certificate or quality certificate from any recognized state/national /

- Quality initiatives

37

THANKS!

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38