

CRITERION VI: GOVERNANCE, LEADERSHIP AND MANAGEMENT

6.1 Institutional Vision and Leadership

6.1.1 State the vision and the mission of the university.

Vision

To be recognized as an exemplary leader committed to excellence in education, research and innovation that meets the needs of the global community.

Mission

- **To provide a scholarly and professional environment that enables faculty, students and staff to make lasting contributions to the advancement of knowledge**
- **To be dynamic, innovative and flexible in devising academic programmes, structures and mechanisms.**
- **To produce globally competent graduates having creative skills and ethical values**
- **To carry out cutting-edge research and development for the benefit of society**

6.1.2 Does the mission statement define the institution's distinctive characteristics in terms of addressing the needs of the society, the students it seeks to serve, the institution's tradition and value orientations, its vision for the future, etc.?

Yes, as per the Quality Policy, Thapar Institute of Engineering & Technology University is committed for creation, archiving and dissemination of knowledge in Science, Engineering and Technology for the service to the humanity. Thapar Institute of Engineering & Technology University undertake to carry out high quality research in the frontiers of technology as well as develop professionally groomed manpower with sound knowledge and skill, respect for profession, social and national values and ethics.

This commitment is translated into practice through:

- **Ensuring topical and relevant curriculum;**
- **Adept delivery mechanism;**
- **Professional and intellectual fulfillment of faculty and staff;**
- **Carrying our quality research in the frontiers of technology**
- **Involving all stake holders in growth and development of the University;**
- **Continuous augmentation and renewal of infrastructure and facilities;**
- **Creating congenial and conducive work environment.**

6.1.3 How is the leadership involved

- in ensuring the organization's management system development, implementation and continuous improvement?
- in interacting with its stakeholders?
- in reinforcing a culture of excellence?
- in identifying organizational needs and striving to fulfill them?

The University has a hierarchy of leadership to ensure organization's management system development, implementation and continuous improvement. The University has established various academic and administrative bodies which are decision making bodies for all the University activities. The leadership at the University is provided by the Director who is an eminent academician to guide the University ably assisted by Deputy Director, Deans, Registrar and Heads of academic Units.

The officials of the University interact with stakeholders through interaction with Students, Alumni, Parents, Industry, Employees, Media periodically and takes their feedback. The scope includes the following for all the programmes/services offered by the University.

- Curriculum design
- Detailed syllabi of all courses
- Logical sequence of courses including their pre-requisites
- Instructional Methodology
- Evaluation Criteria & Methodology

Planning and Monitoring Board of the University ensures that the design & development activity is carried out in a planned manner. Detailed planning for design and development of instructions is done by DOAA. Design plans include the activities & sub activities including techniques & organizational interfaces and the time frame for completion. The plans are updated, as the instructional design evolves.

Need analysis report (periodically or as per need) shall comprise of :

- Stated customer needs
- Needs which the customer has yet not realised (Implied needs).
- Overall goals of Instructions
- Relevant standards i.e. AICTE and UGC guidelines and Curricula of Entrance Tests like Indian Engineering Services (IES) and Graduate Aptitude Test for Engineers (GATE), etc.
- General characteristics of target population.

in reinforcing a culture of excellence?

The University strengthen the culture of excellence at all levels by conducting the various workshops, short term courses, faculty development programmes etc. to update employees

in the recent trends in teaching, learning and other professional needs. The faculty members are also encouraged to attend various workshops, seminars etc conducted by other institutions at national and international level.

in identifying organizational needs and striving to fulfill them?

Organizational and Technical interfaces between different faculty and external expert groups providing input to the instructional design are defined, committees are constituted and their reports are documented. Faculty members from different disciplines connected with the design & development activity are associated with the process. The updating/restructuring is carried out as the design process progresses. Clear responsibilities are assigned and effective communication is ensured.

The requirements of instructional design are determined and recorded. For instructional design, the input is taken from various sources. Input requirements are clearly understood and reconciled. The design input may come from:

- Need analysis & Reviews.
- Recommendations from alumni, senior management, industry etc.
- Success/failure reports of similar courses & programmes.
- Published literature relevant to programmes.
- Boundary condition w.r.t GATE, IES, IAS curricula etc

6.1.4 Were any of the top leadership positions of the university vacant for more than a year? If so, state the reasons.

Yes, the position of regular Director was vacant for one year and the work of the University was overseen by an Acting Director appointed by the Board of Governors.

6.1.5 Does the university ensure that all positions in its various statutory bodies are filled and meetings conducted regularly?

Yes. All positions in the various statutory bodies are filled and meetings are held as the general rules and regulations of the University. The records and the minutes and agenda of the meetings of various bodies will be presented to the expert committee during their visit. The meetings of the Statutory Bodies are held frequently. The frequency of meetings and attendance therein of last three meetings during 2014-15 are as under :

Name of the Statutory Body	Number of Meetings	Date	Total Members	Members attended
Board of Governors	115	2.4.2015	27	17
	114	17.12.2014	26	16
	113	24.11.2014	25	13
	112	24.9.2014	25	17
	111	7.7.2014	25	19
	110	21.3.2014	27	22
Senate	86	9.3.2015	59	48
	85	10.11.2014	56	42
	84	25.6.2014	55	36
	83	3.3.2014	58	43
Finance Committee	78	16.3.2015	8	7
	77	10.12.2014	8	6
	76	15.9.2014	8	8
	75	27.6.2014	8	6
	74	12.3.2014	9	8
Staff Affairs Committee	55	16.3.2015	11	9
	54	10.12.2014	11	10
	53	15.9.2014	11	11
	52	27.6.2014	11	9
	51	12.3.2014	12	12
Building & Works Committee	56	1.9.2014	13	10
	55	11.2.2014	13	8
Planning & Monitoring Board	42	1.9.2014	36	33
	41	11.2.2014	38	32

6.1.6 Does the university promote a culture of participative management? If yes, indicate the levels of participative management.

Yes, the University promotes the culture of participative Management at all activities like Administration, Admission, Student activities, Curriculum Development, Research, Sports etc. The University has given equal representation in various committees at all levels from Professors, Associate Professor and Assistant Professors from various Schools. The leadership at the University is provided by the Director who has always been a person of excellence and eminence with proven track record and has a history of leading by example. The Director is assisted by the Deans for various key activities, Heads of Departments/ Schools and Centres besides the Registrar who looks after the administrative activities of the University. The structure is similar to what is followed at some of the best institutions in the country and abroad.

The following faculty members are administrators / decisions makers for various assigned job :

S. No.	Name	Designation
1.	Dr. Prakash Gopalan	Director
2.	Dr. Padmakumar Nair	Director, LMTSM
3.	Dr. R.S. Kaler	Deputy Director-I
4.	Dr. Susheel Mittal	Deputy Director-II
5.	Dr. S.S. Bhatia	Dean, Academic Affairs
6.	Dr. Maneek Kumar	Dean, Student Affairs
7.	Dr. R.K. Sharma	Dean, Faculty Affairs
8.	Dr. O.P. Pandey	Dean, Research & Sponsored Projects
9.	Dr. Ajay Batish	Dean, Partnership & Accreditation
10.	Dr. M.S. Reddy	Associate Dean
11.	Dr. Kulvir Singh	Associate Dean

6.1.7 Give details of the academic and administrative leadership provided by the university to its affiliated colleges and the support and encouragement given to them to become autonomous.

Not Applicable

6.1.8 Have any provisions been incorporated / introduced in the University Act and Statutes to provide for conferment of degrees by autonomous colleges?

Not Applicable as we are a deemed university

6.1.9 How does the university groom leadership at various levels? Give details.

The University groom the leadership at various levels. The faculty members holding various positions of responsibilities like Dean, Head of the Department, faculty incharge etc. are involved in decision making on rotation basis to get the experience of working in different positions. Faculty is encouraged to excel in all fields of academics and scholarship and is groomed to take leadership positions at various levels. The academic performance of the faculty is continuously monitored through the student's response survey. The research performance is measured through research funding received, research publications and number of PhDs and Masters Students supervised. The performance of the faculty is ranked through a rigorous process and incentives for superior performance is announced on an annual basis. The leadership qualities are groomed through a sequence of meetings and personal contacts with experts and top leadership of the University. This has created a positive attitude and a zeal to excel.

6.1.10 Has the university evolved a knowledge management strategy? If yes, give details.

As part of the knowledge management, all the library materials are systematically catalogued. Library operations are automated. Catalogues are accessible online within the library as well as outside the library via Internet. A number of documents of research, academic and general interest are now available online at our DSpace server

<http://dspace.thapar.edu:8080/dspace>. These include full text of theses and dissertations submitted to the University, research publications, public documents, proceedings of the conferences held at the University, convocation documents, photo albums etc. All the Ph.D. and Post Graduate theses are available on to the Library's DSpace server.

A Digital Resource Laboratory has been set up for research scholars, students and Faculty to provide access to digital-resources and conversion, storage and printing of digital documents. The Laboratory is equipped with dedicated computer terminals, scanners, colour and black & white laser printers and copiers, and related software. The Laboratory can also be used for library based learning assignments. The Library building is equipped with 200 node wireless network for internet and intranet connectivity. In addition to over 14 computers available for library users, members can use their laptops for searching the library resources and internet. University has evolved a knowledge management strategy through the following:

- Participation of faculty in various conferences, seminars, workshops and training programmes.
- Publication of research papers in various journals.
- Research projects
- University Research grants to faculty
- Providing of internet facility to all
- Availability of library database on internet

6.1.11 How are the following values reflected in the functioning of the university?

- Contributing to national development
- Fostering global competencies among students
- Inculcating a sound value system among students
- Promoting use of technology
- Quest for excellence

Over the years, engineering education in India has undergone significant changes in terms of goals, approach and contents. Today, a well-trained engineer is expected to possess knowledge of basic and applied sciences and scientific methods, an in-depth understanding of and professional competency in his/her area of specialisation, versatility to work with inter-disciplinary groups and sensitivity to the needs and aspirations of the industry in particular and the society at large. The curricula at the University have been designed to produce engineers who would be capable of meeting these goals. The curriculum is reviewed and updated periodically to ensure continued relevance and benchmarked with best institutions globally.

The University Senate and its associate bodies like Senate Undergraduate Committee and Senate Postgraduate Committee are the supreme academic bodies and have complete flexibility in the design of course curriculum for various programs. Board of Studies (subject committees at the departmental level and experts from prestigious academic institutions and

relevant industry) and Department Academic Affairs Committee (DAAC) assist these committees in formulating schemes and syllabi for various courses and their continued relevance. The feedback from stake holders is discussed at these committees so as to utilize the expertise and experience of the members.

The University strives to foster among its students a strong desire and capacity for continuous learning as well as self appraisal to develop sterling human & professional qualities and a strong sense of service to society through designed, curricular, co-curricular activities and congenial campus environment. Thapar Institute of Engineering & Technology University has a mechanism of periodic curriculum review at all levels after every four years. The key feature of the past reviews of undergraduate curriculum has been the introduction of a "Project Semester" in all undergraduate programmes. The students perform their Undergraduate Project in Industry, under the joint guidance of faculty from the University and a co-ordinator from the participating organisation / industry. Preceding/succeeding vacation period is appended to the "Project Semester" to ensure that a student works in the industry for a duration of six months and engages in a purposeful and meaningful interaction in professional environment. In the recent past, the Senate has also decided to have midterm review of the curriculum and incorporate new courses wherever desired considering the need of changing technological scenario globally.

Emphasis on continuous interaction with industry is further strengthened through conduct of short tours of students and faculty to work sites/ industries to enable them have a feel of field life and work places.

6.2 Strategy Development and Deployment

6.2.1 Does the university have a perspective plan for development? If yes, what aspects are considered in the development of policies and strategies?

- Vision and mission
- Teaching and learning
- Research and development
- Community engagement
- Human resource planning and development
- Industry interaction
- Internationalisation

Vision and mission

Vision

To be recognized as a leader committed to excellence in higher education, research and innovation that meets the aspirations of the global community.

Mission

- To provide a scholarly and professional environment that enables faculty, students and staff to make lasting contributions to the advancement of knowledge
- To be dynamic, innovative and flexible in devising academic programmes, structures and mechanisms.
- To produce globally competent graduates having creative skills and ethical values
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Teaching and learning

The teaching-learning and evaluation process is carried out as per the predefined academic calendar and examination procedures through continuous assessment and a letter grade system. This academic calendar is prepared well in advance and ensures compulsory class room teaching, House Test and End Semester Examination for each semester in a session.

Research and development

Research is one of the most important activities of the University next to teaching. The office of Dean RSP follows a mechanism of monitoring the research in an effective way. Research proposals are submitted by the faculty through the Dean RSP to various funding agencies every year and sponsored projects worth crores of rupees are sanctioned to our University. Students doing Ph.D. are encouraged to participate in academic programmes of the University. Teaching Assistants doing Ph.D. have to take 8-12 hours of teaching load of Tutorials and Labs. as an essential requirement.

Community engagement

New Initiative towards gaining publicity among the student community of the University: The students of Thapar Institute of Engineering & Technology University have taken initiatives for creating awareness on opportunity exploration and to shape a career smartly, ultimately aiming at development of entrepreneurs; exploring inventive dimensions and reaching new heights by organizing sessions related to career and personal positioning of an individual, through a series of interactive hours, personal discussions and individual guidance supported by experts.

Human resource planning and development

The University has set standards for imparting quality education and thus induct faculty with higher academic profiles, urge to excel in their respective fields and serve the students and the University with dedication and high quality standards. All the faculty members inducted are qualified and competent teaching in all the academic courses.

Industry interaction

The emphasis on continuous interaction with industry is further strengthened through conduct of short tours of students and faculty to work sites/ industries to enable them have a feel of field life and work places. The University has signed MoUs with industries for research, student training etc.

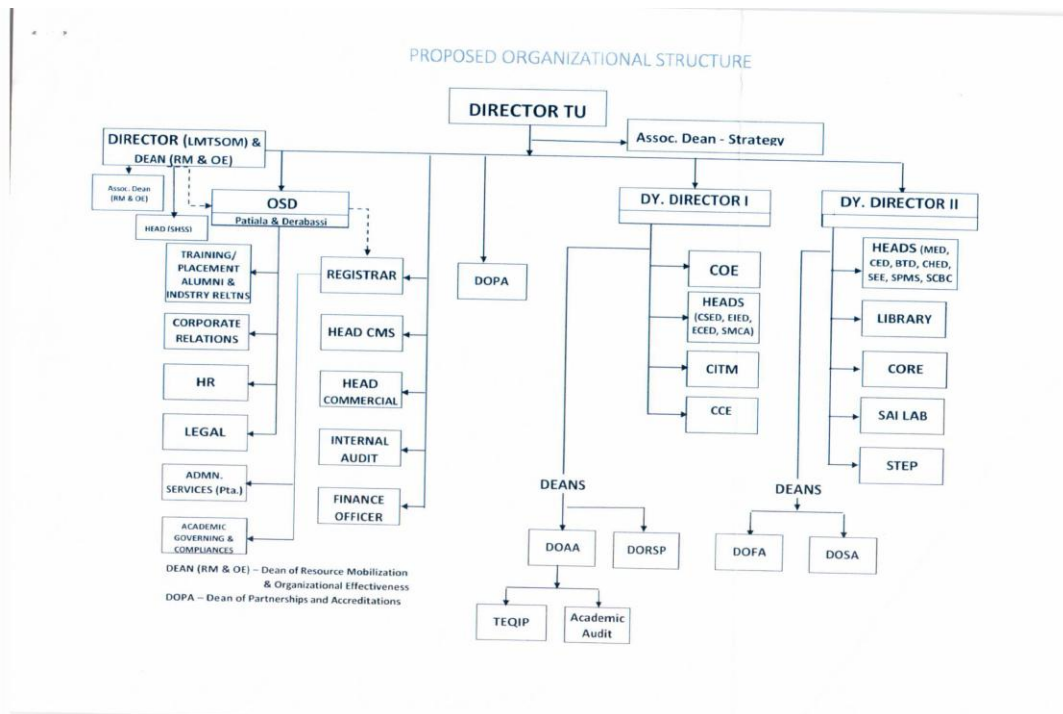
Internationalisation

The University has framed the course syllabus according to the global relevance. The University has signed MoUs with foreign universities for student exchange, twinning programmes and research etc. The University also invites experts from international university for delivering lectures and also faculty of the University has visited the foreign university for the same.

6.2.2 Describe the university's internal organizational structure and decision making processes and their effectiveness.

The internal coordination is carried out effectively through the proceedings of various bodies such as Board of Governors, the main executive body of the University, Finance Committee, Staff Affairs Committee through the progress reported by the Director on quarterly basis. Within the University the Director monitors the complete coordination through the proceedings of Planning and Monitoring Board, Senate and Building and Works committee through the meetings held on regular basis. Besides, the coordination is also monitored through the Management Review Committee/IQAC meetings held once a semester. The powers and functions of various bodies are well enunciated in the Rules which help the statutory bodies to exercise effective monitoring of the entire functioning of the University. The officers of the University have also been vested with extensive powers and functions as elaborated in the Rules of the University to closely monitor the internal coordination.

The organization chart of the University is as under :



6.2.3 Does the university have a formal policy to ensure quality? How is it designed, driven, deployed and reviewed?

Yes, the University have a Quality Policy, Thapar Institute of Engineering & Technology University is committed for creation, archiving and dissemination of knowledge in Science, Engineering and Technology for the service to the humanity. Thapar Institute of Engineering & Technology University undertake to carry out high quality research in the frontiers of technology as well as develop professionally groomed manpower with sound knowledge and skill, respect for profession, social and national values and ethics.

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- Creating congenial and conducive work environment.

6.2.4 Does the university encourage its academic departments to function independently and autonomously and how does it ensure accountability?

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6.2.5 During the last four years, have there been any instances of court cases filed by and against the institute? What were the critical issues and verdicts of the courts on these issues?

The year wise detail of court cases filed by and against the University are as under :

Year	New Cases	Against University	Filled by University	Cases Closed	Critical issues and verdicts of the courts
2011-12	8	4	4	8	Cases pertains to refund of fees, service matters, academic and administrative matters. The verdict of the courts during 2010-11, Four cases were in favour of University and four cases partly allowed. During 2011-12 five cases were in favour of University and three cases were partly allowed. During 2012-13, Fourteen cases were in favour of University and seven were partly allowed and one case is allowed. During 2013-14, Eighteen cases were in favour of University and one is partly allowed. During 2014-15 Eleven cases were in favour of University, five cases were allowed, one is partly allowed and 4 cases dismissed/disposed off.???
2012-13	25	18	7	22	
2013-14	17	16	1	19	
2014-15	24	18	6	21	

- 6.2.6 How does the university ensure that grievances / complaints are promptly attended to and resolved effectively? Is there a mechanism to analyse the nature of grievances for promoting better stakeholder-relationship?

The University has the following committees for the grievance of students and staff of the University :

FOR STUDENTS

(i) Students Consultative Committee

To obtain the students feedback, TU has a Students Consultative Committee (SCC) comprising of ex-officio faculty representatives and over 100 student representatives from across the various disciplines. SCC's objective is to assist the administration in preparing and implementing students' welfare plans. SCC meets at least twice a semester.

(ii) Student Counseling Cell

Student counseling helps the students in solving their specific problems related to academics, personal, psychological etc. so that they are able to achieve academic excellence, develop an integrated personality during their stay on the campus. The Counseling services cover all undergraduate and postgraduate students, with particular emphasis on improving academic performance of academically deficient students. Counselling cell is headed by Chief Student Counselor who is assisted by one student counselor from each department/school. For general counseling, students can approach Chief Student Counsellor or any member of counselling team with their problems. Professional Counselors are also engaged from time to time on need basis.

FOR FACULTY AND STAFF

(i) Through Staff Affairs Committee

Staff Affairs Committee has been constituted by the Board of Governors to review the staff structure, suggestions regarding revision of cadre, creation of new posts, minimum qualification and experience of staff including promotion cases, recruitment policies, procedure for recruitment and all other matters related to the staff of the University. There are three faculty representatives are the member of the SAC to directly discuss the "Staff Feelings" with the Chairman, Board of Governors.

(ii) Policy to prevent Sexual Harassment

Thapar Institute of Engineering & Technology University is committed to creating and maintaining a community in which students, teachers and non-teaching staff can work together in an environment free of violence, harassment, exploitation, intimidation and stress. This includes all forms of gender violence, sexual harassment and discrimination on the basis of sex/gender or amongst the same sex members.

Every member of the University should be aware that while the University is committed to the right to freedom of expression and association, it strongly support gender equality and opposes any form of gender discrimination and violence.

All the complaints in this regard shall be made to the committee duly constituted by the Thapar Institute of Engineering & Technology University, Patiala.

(iii) Through Grievance Redressal Committee

A Grievance Redressal Committee has been constituted by the Board of Governors to address grievances of the faculty and staff of the University. Any employee of the University could address his grievance in writing to the Chairman of the Committee. The composition of Grievance Redressal Committee is as under :

- (a) One Professor of the University in rotation for a period of two years - Chairman
- (b) One Assistant Professor of the University in rotation for a period of two years - Member
- (c) Registrar - Convener

6.2.7 Does the university have a mechanism for analyzing student feedback on institutional performance? If yes, what was the institutional response?

Yes, the University has a formal mechanism to collect and analyze student feedback on institutional performance through a student response survey (SRS). The SRS is completed for every course TWICE (from 2104) in each semester to get a formal feedback from students for the courses offered in a semester and provide objective information to the faculty for self-appraisal, self-improvement & development. Formal student feedback is obtained online through semester-by-semester mandatory course evaluation using course reaction survey form and also through discussions with individual students as well as student representatives on the Student Consultative Committee (SCC) and also through meetings with student societies (SOMIE, REC etc). The student reaction survey results are made available to the individual faculty member for his feedback.

The results of the survey are analyzed by Dean Academic Affairs through an online system who forwards the information to the heads of the academic units and individual faculty members. The Dean and Director counsels the faculty members wherever necessary and the departments use the feedback to make improvements wherever necessary.

6.2.8 Does the university conduct performance audit of the various departments?

Yes, the University has established, documented and implemented a Quality Management System. Continuous improvement in the implementation and effectiveness of the quality management system is ensured through continuous reviews and internal audits. The University has identified the processes needed for the quality management system and their

application throughout the University. Documented procedures have been developed for the management activities, provision of resources, instructional design, delivery and control and measurement.

The University continuity improves the effectiveness of the quality management system through the use of quality policy, quality objectives, audit results, analysis of data, corrective and preventive actions and management review. At the time of every management of review, through the measure of each objective and its comparison with earlier level of that objective, the trends are ascertained. Action points are then listed to continually improve the system. The status is reviewed in the subsequent management review meetings.

The University conducts internal audits every six months to verify whether quality managements system conform to the quality plan and to determine that it is effectively implemented and maintained.

The review of the quality system is carried out once every six months to ensure continuing suitability, adequacy and effectiveness in satisfying the requirements of the standard and the quality policy of the University. The review includes assessing opportunities for improvement and the need for change to the quality management system.

The University ensures that each department and school set up its yearly target at the beginning of each academic year and the performance of the departments is then monitored periodically and corrective action plans are put in place wherever necessary.

6.2.9 What mechanisms have been evolved by the university to identify the developmental needs of its affiliated institutions?

Not Applicable

6.2.10 Does the university have a vibrant College Development Council (CDC) / Board of College and University Development (BCUD)? If yes, detail its structure, functions and achievements.

The following bodies are constituted under the Rules of Thapar Institute of Engineering & Technology University for governing the University and are involved in the activities enunciated :

BOARD OF GOVERNORS

The BOG is the highest body of the University. The BOG broad policies and programmes in respect of Academic, Administrative, Developmental, Financial and all the affairs of the University and suggests measures for the improvement and development of the University.

The BOG is responsible for direction, control the affairs of the University, exercise the powers of the University not otherwise provided in the MOA, Rules and Regulations.

FINANCE COMMITTEE

The Finance Committee has been constituted for preparing the Budget estimates, annual accounts and discuss all the matters related to finance and accounts of the University.

STAFF AFFAIRS COMMITTEE

The Staff Affairs Committee has been constituted by the Board of Governors to discuss all the matter related to the faculty and staff of the University.

SENATE

The Senate is the principal academic body of the University and exercise general supervision over the academic work, promote research work, maintain proper standards of examination and all the academic matters of the University.

PLANNING & MONITORING BOARD

The Planning & Monitoring Board has been constituted for preparing the development plans of the University, monitor the implementations of approved plans and schemes.

BUILDING & WORKS COMMITTEE

The Building & Works Committee looks after the construction of all major and minor works under the direction of the Board.

6.3 Faculty Empowerment Strategies

6.3.1 What efforts have been made to enhance the professional development of teaching and non-teaching staff?

The University has set high standards for imparting quality education and thus induct faculty with higher academic profiles, urge to excel in their respective fields and serve the students and the University with dedication and high quality standards. All the faculty members inducted are qualified and competent teaching in all the academic courses. The University does not recruit any faculty without PhD since 2010. Some of the faculty members recruited prior to this have been encouraged to register for PhD program at the University or other institutions of high repute. Most of these faculty members are at an advanced stage of completing their research work. The University has facilitated their work by giving them one to two semesters off on their request.

The University has established a Professional Development Allowance for a variety of academic activities for all levels and has encouraged faculty to participate in conferences, symposiums, workshops, training programs etc. The University provides seed money for

organizing conferences and other faculty development programs to all academic units from time to time.

For the non teaching staff, the University has organized Computer proficiency upgradation programmes for to achieve the desired standards and all the ministerial staff has been trained to handle computers for the routine jobs. The non teaching staff has been motivated and the self development achieved can be gauged from the higher qualifications attained by its staff during the last five years.

6.3.2 What is the outcome of the review of various appraisal methods used by the university? List the important decisions

For Thapar Institute of Engineering & Technology University, the processes used to evaluate and provide feedback about the performance of the faculty working with us is extremely important. If these evaluation processes are properly designed, these can help the University thrive by providing appropriate rewards and encouragement for good performers, and guidance about how to improve their performance to others. The existing evaluation processes for faculty did not appropriately make the distinction based on performance and may result in lower morale, engagement and productivity. The University recognizes the importance of a faculty performance evaluation process that is fair and that provides productive and appropriate incentives to faculty. As a result, a new performance incentive scheme was designed to reward performers and encourage all others to improve their performance. No faculty performance review process can be free of issues or problems. Bearing this in mind, a committee was constituted to review the existing performance review system and recommend changes and policies to improve the process. The committee formulated a new Scheme for awards for excellence that is more transparent and better understood, more equitable, and provide more useful feedback to faculty members. The implementation of this new scheme since last 5 years has enhanced morale, rewarded good performers, motivated and reinforced productive activity of faculty at Thapar Institute of Engineering & Technology University. The aim of the new evaluation process is to appropriately quantify the academic and research performance of all faculty members at Thapar Institute of Engineering & Technology University through a self appraisal system wherein marks are awarded for pre-defined activities of a faculty during an academic year (July 1 to June 30 next year). The marks are awarded for all activities of faculty which directly contribute to attaining the documented quality policy and objectives of the University. The method is devised in a way so as to eliminate/reduce subjectivity of measuring performance of a faculty. The goal is create a measure by which faculty can self assess its performance. The good performers are rewarded with incentive for that year.

The faculty is requested to fill up an online form wherein he reports his academic (teaching) and research performance besides other services or co-curricular activities he/she had undertaken during the previous year. The teaching performance is judged on the basis of

results of a Student Response Survey (SRS) form for each faculty and each subject. The students are required to fill up this form online. The results of the survey are used as a measure of teaching potential and quality of a faculty. The scores are compiled using a customized software. Based on the SRS score obtained (given by students) a teaching score for all the subjects taught by the faculty during the two semesters is generated. The research scores are awarded by considering publications, research projects, and student guidance during the year. For all other activities undertaken by the faculty during the year, perception score is given by the reporting officers. The criteria of selection of faculty for various awards

6.3.3 What are the welfare schemes available for teaching and non-teaching staff? What percentage of staff have benefitted from these schemes in the last four years? Give details.

The University has organized Computer proficiency upgradation programmes for the ministerial staff to achieve the desired standards and all the ministerial staff has been trained to handle computers for the routine jobs. The non-teaching staff has been motivated and the self-development achieved can be gauged from the higher qualifications attained by its staff during the last five years.

6.3.4 What are the measures taken by the University for attracting and retaining eminent faculty?

- i) Thapar Institute of Engineering & Technology University has implemented enhanced pay structure for its employees. The pay structure at Thapar Institute of Engineering & Technology University includes Basic Pay, Dearness Allowance, PF Management Share, Transportation Allowance, Medical Allowance, Communication Allowance, Academic Allowance, HRA, and Professional Development Allowance (PDA).
- ii) Thapar Institute of Engineering & Technology University provides an additional incentive to its faculty members every year based on performance parameters.
- iii) Thapar Institute of Engineering & Technology University also offers other benefits to its faculty members. These are Gratuity, Leave Encashment, LTC, Group Medical Insurance and Children Education Allowance.
- iv) Thapar Institute of Engineering & Technology University offers 1% quota to the wards of its employees on merit basis.
- v) Thapar Institute of Engineering & Technology University offers full fee waiver for one child for education in TU and full fee waiver for second child on merit basis.
- vi) Thapar Institute of Engineering & Technology University offers an initial research grant up to Rs. 5.0 lacs to the faculty members.

- vii) **Thapar Institute of Engineering & Technology University has a flexible cadre structure and pays all the allowances as per government of India allowance structure.**

6.3.5 Has the university conducted a gender audit during the last four years? If yes, mention a few salient findings.

There is no formal gender audit conducted by the university however the university keeps the record of male and female students and staff every year. The current percentage of female students is 22% approx.

6.3.6 Does the university conduct any gender sensitization programmes for its faculty?

The University organizes special programmes for gender sensitization. The University is following an open and transparent system of selection purely based on merit for inducting whether male or female. The cases the selection is carried out through an open advertisement followed by presentation interview / test respectively.

6.3.7 What is the impact of the University's Academic Staff College Programmes in enhancing the competencies of the university faculty?

As part of its contemporisation programme, Thapar is establishing a Centre for Academic Practice and Student Learning (an equivalent of Academic Staff College) to expose the entire faculty to in-house modules during the next 3-5 years including e-Learning. The CAPSL unit at Thapar will draw from academic staff across different disciplines with specific interest in and knowledge of different aspects of higher education pedagogy. The success of the unit lies in both the professionalism of the teachers and a university culture that promotes and supports teaching and learning development. CAPSL will have one senior academic developer and two e-Learning technologists: continuous professional development (CPD) modules and certified programmes will be delivered by CAPSL staff, which will be supported by Thapar and Trinity academics and external staff.

A number of specific needs have been identified, as follows:

- i. **Training of all Thapar academic staff**
- ii. **Awareness training of senior staff**
- iii. **Training of trainers to enable self-sufficiency**

6.4 Financial Management and Resource Mobilization

6.4.1 What is the institutional mechanism available to monitor the effective and efficient use of financial resources?

The university has the Budgetary control system to monitor the effective and efficient use of financial resources. The Finance Committee has been constituted for preparing the Budget

estimates and Annual Accounts of the University. The Finance Committee has fixed the limits of total recurring and non-recurring expenditures based on the income and resources of the University.

6.4.2 Does the university have a mechanism for internal and external audit? Give details.

Yes, the university have both internal and external Audit system. All voucher are internally audited before it is produced to Statutory Auditor. In addition, the university also has pre-audit system in all its payment exceeding Rs 1,00,000/-.

6.4.3 Are the institution's accounts audited regularly? Have there been any major audit objections, if so, how were they addressed?

The accounts of the university are audited by an independent Chartered Accountant Firm. No major audit objections were raised so far while audit.

6.4.4 Provide the audited income and expenditure statement of academic and administrative activities of the last four years.

Enclosed at Annexure-XII.

6.4.5 Narrate the efforts taken by the University for Resource Mobilization.

As explained in point 6.4.1 the university has taken the following efforts for its resource mobilization:

- **Following Budgetary control system and periodic comparison with actual and find the variances and control accordingly.**
- **Preparing periodic cash flow analysis.**
- **Comparing pay-back period with actual in case of capital expenditure.**

The University has created new position at Dean level for Resource Mobilization.

6.4.6 Is there any provision for the university to create a corpus fund? If yes, give details.

Yes, the details of Corpus Fund duly audited by Chartered Accountant are enclosed herewith.

6.5 Internal Quality Assurance System

6.5.1 Does the university conduct an academic audit of its departments? If yes, give details.

Yes. An internal audit of each department is scheduled during each semester in which faculty members from outside that department review the performance of the department

during the last semester. The course files of all courses are scrutinized to verify all activities related to teaching learning and evaluation processes have been completed as per norms of the University. Discrepancies, if any, are reported in the form of non conformance report for which the department must submit a corrective action.

6.5.2 Based on the recommendations of the academic audit, what specific measures have been taken by the university to improve teaching, learning and evaluation?

The non conformance reports raised by the internal auditors are reviewed during the management review (MR) meetings and if some of these have institutional impact, these are made known to all functional heads of the department. The procedures for teachers learning and evaluation are periodically reviewed to ensure strict compliance.

6.5.3 Does the university conduct an academic audit of its departments? If yes, give details.

The University conducts internal audits every six months to verify whether quality managements system conform to the quality plan and to determine that it is effectively implemented and maintained. The scope covers all activities of the quality system affecting quality of instruction. This also includes the IMPACT activities and their effective implementation. The responsibility of scheduling internal quality audits lies with the M.R. The arrangements made for conducting internal audits are:

- Documented procedure for planning and implementing internal quality audits has been established and maintained.
- The frequency of the internal quality audits has been decided based on the status and importance of the activity but in no case the frequency shall be less than once in six months.
- The audit of an area/activity would be carried out by trained personnel other than those directly responsible for the said activity.
- The results of the internal quality audits are recorded and report is given to concerned functional Head.
- Timely action on the reported non-conformities is planned and taken by concerned functional Head.
- Follow-up audit is conducted in-order to verify and record the implementation and effectiveness of the corrective action(s) taken.
- The results of the internal quality audits are sent to M.R. for management review and record.

MANAGEMENT REVIEW

The review of the quality system shall be carried out once every six months to ensure continuing suitability, adequacy and effectiveness in satisfying the requirements of the standard and the quality policy of the University. The review includes assessing

opportunities for improvement and the need for change to the quality management system. Various leadership programmes have been conducted by the University from time to time to review the strategy of the University. Renowned experts have been invited to provide guidance and mentorship during these programmes.

6.5.4 Based on the recommendations of the academic audit, what specific measures have been taken by the university to improve teaching, learning and evaluation?

The University has formulated a risk management strategy to identify and improve the teaching, learning and evaluation processes for each department, school and centre. This plan of action is reviewed every quarter and responsibilities for initiating actions have been clearly identified. The University Management Review meetings are held periodically. The University Risk Management (URM) sheets have been prepared by Heads and Deans.

6.5.5 Is there a central body within the university to continuously review the teaching learning process? Give details of its structure, methodologies of operations and outcome?

The University has a Heads committee that continuously reviews the teaching learning processes along with the statutory bodies like senate and planning and monitoring board. The URM sheets explained in Section 6.5.4 covers the structure, methodology and outcome for all aspects of teaching learning processes.

6.5.6 How has IQAC contributed to institutionalizing quality assurance strategies and processes?

The University has established, documented and implemented a Quality Management System. Continuous improvement in the implementation and effectiveness of the quality management system is ensured through continuous reviews and internal audits. The University has identified the processes needed for the quality management system and their application throughout the organization process are being carried out in the University. Documented procedures have been developed for the management activities, provision of resources, instructional design, delivery and control and measurement.

The University continually improves the effectiveness of the quality management system through the use of quality policy, quality objectives, audit results, analysis of data, corrective and preventive actions and management review. At the time of every management of review, through the measure of each objective and its comparison with earlier level of that objective, the trends are ascertained. Action points are then listed to continually improve the system. The status is reviewed in the subsequent management review meetings. The University conducts internal audits every six months to verify whether quality managements system conform to the quality plan and to determine that it is effectively implemented and maintained. The review of the quality system is carried out once every six months to ensure continuing suitability, adequacy and effectiveness in satisfying the requirements of the

standard and the quality policy of the University. The review includes assessing opportunities for improvement and the need for change to the quality management system.

6.5.7 How many decisions of the IQAC have been placed before the statutory authorities of the University for Implementation?

All major decisions of IQAC are routed through the senate committees for implementation.

6.5.8 Does the IQAC have external members on its committees? If so, mention any significant contribution made by such members.

Yes. The members contribute significantly to all discussions discussed during the meetings. They share their experiences in improving various work situations and offer valuable suggestions in improving the teaching and learning processes.

6.5.9 Has the IQAC conducted any study on the incremental academic growth of students from disadvantaged sections of society?

No

6.5.10 What policies are in place for the periodic review of administrative and academic departments, subject areas, research centres, etc.?

An internal audit of each department is scheduled during each semester in which faculty members from outside that department review the performance of the department during the last semester. The course files of all courses are scrutinized to verify all activities related to teaching learning and evaluation processes have been completed as per norms of the University. Discrepancies, if any, are reported in the form of non conformance report for which the department must submit a corrective action.

Any other information regarding Governance, Leadership and Management which the university would like to include.