



IES UNIVERSITY, BHOPAL

IES Campus Kalkheda, Ratibad Main Road, Bhopal (M.P.) – 462044

Compliance and Accreditation Policy

(Aligned with UGC, AICTE, NAAC, NBA, and NEP-2020 Frameworks)

1. Preamble

IES University, Bhopal — a multidisciplinary institution of higher learning — is committed to maintaining the highest standards of quality, transparency, and accountability in academics, research, governance, and societal engagement. As a private university recognized under the Madhya Pradesh Niji Vishwavidyalaya Adhiniyam and approved by statutory regulatory bodies, the University acknowledges that quality assurance and compliance are continuous institutional responsibilities rather than episodic exercises for accreditation.

The University's flagship engineering college, the IES Institute of Technology and Management (IITM), is NBA-accredited, reflecting its proven excellence in Outcome-Based Education (OBE), infrastructure, faculty competence, and stakeholder satisfaction. This achievement serves as a benchmark for other constituent faculties of the University.

This Compliance and Accreditation Policy sets forth the philosophy, structure, and operational framework to institutionalize systematic compliance with all national and international quality standards including UGC, AICTE, NAAC, NBA, BCI, PCI, INC, CCIM, and SDG alignment. It ensures sustained readiness for quality audits, transparent governance, and continual improvement across all academic and administrative processes.

2. Vision

To establish IES University as a nationally and globally recognized centre of academic excellence where quality is an institutional culture and compliance is a shared responsibility that enhances trust, accountability, and sustainable growth.

3. Mission

1. To create robust systems for regulatory compliance and accreditation readiness.
2. To institutionalize Outcome-Based Education (OBE) and data-driven governance across all programmes.
3. To strengthen Internal Quality Assurance Cell (IQAC) and departmental quality circles for continuous improvement.
4. To integrate compliance activities with NAAC, NBA, NIRF, and SDG performance indicators.
5. To develop a quality-oriented organizational culture supported by capacity building and innovation.



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4. Objectives

- Ensure full compliance with all statutory requirements of UGC, AICTE, and State Government.
- Maintain documentation and digital records for accreditation and ranking agencies.
- Standardize academic and administrative processes through SOPs and quality manuals.
- Align the University's strategic plan with NAAC seven criteria and NBA OBE framework.
- Foster inter-faculty collaboration for best practices and benchmarking.
- Strengthen stakeholder involvement — students, faculty, industry, and alumni — in quality processes.

5. Governance Structure for Compliance and Accreditation

Level	Body / Cell	Major Responsibilities
University	Compliance and Accreditation Council (CAC) chaired by Vice Chancellor	Policy formulation, strategic monitoring, annual compliance report
Central Quality Cell	IQAC (Internal Quality Assurance Cell)	NAAC coordination, quality audits, best practices
Constituent Institution	Quality Assurance Committee of IES-ITM	NBA accreditation implementation, OBE and documentation
Departmental	Department Quality Assurance Cell (DQAC)	Course files, CO-PO mapping, survey analysis, action plans
Administrative Support	Registrar's Office and MIS Cell	Statutory approvals, records management, data submission
External	Advisory Board and Industry Partners	Feedback on curriculum relevance and graduate outcomes

6. Regulatory Compliance Framework

6.1 UGC and State Government Compliance

- Adherence to Madhya Pradesh Private University Act provisions.
- Periodic submission of statutory returns and annual reports.



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- Maintenance of mandatory disclosures on the University website (as per UGC Regulations 2018).
- Implementation of minimum qualification standards for faculty recruitment and promotion.

6.2 AICTE Compliance

- Annual approval process through AICTE portal for engineering and management programmes.
- Upload of Faculty Information, Intake, and Infrastructure Data in AICTE EoA.
- Adoption of AICTE Model Curriculum and Academic Calendar.
- Implementation of AICTE Schemes — IDEA Lab, Smart India Hackathon, and Internship Portal.

6.3 NBA Compliance (IITM)

- Adoption of Outcome-Based Education (OBE) philosophy.
- Continuous assessment of CO-PO-PSO attainment.
- Documentation as per NBA SAR (Self-Assessment Report) format.
- Periodic internal audits for sustaining accreditation status.
- Peer review and data validation by DQC and IQAC.

6.4 NAAC Accreditation Framework

- University-level assessment under NAAC Seven Criteria: Curricular Aspects, Teaching-Learning, Research, Infrastructure, Student Support, Governance, and Institutional Values.
- IQAC responsible for compiling AQAR and SSR reports.
- Each criterion headed by a faculty coordinator with support staff.
- Annual internal mock NAAC audits and data verification.

6.5 Other Statutory Bodies

Faculty / School	Regulatory Body	Compliance Focus
Pharmacy	PCI (Pharmacy Council of India)	Faculty ratios, lab standards, student intake



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Faculty / School	Regulatory Body	Compliance Focus
Ayurveda	NCISM / CCIM	Herbal garden, hospital linkages, curriculum
Nursing & Paramedical	INC / MPNC	Clinical training and patient records
Law	BCI	Moot court, legal aid clinics
Education	NCTE	B.Ed. curriculum and teaching practice
Management	AICTE	Internship and industry projects

7. Quality Assurance Mechanism

7.1 Internal Quality Assurance Cell (IQAC)

- Chaired by the Vice Chancellor and coordinated by a senior faculty member.
- Functions as the central hub for quality planning, monitoring, and documentation.
- Prepares Annual Quality Assurance Report (AQAR).
- Conducts orientation on OBE, NEP-2020, and digital education.
- Ensures alignment between University's strategic plan and NAAC criteria.

7.2 Department Quality Assurance Cells (DQACs)

- Headed by HOD with faculty representatives and student members.
- Responsible for course files, CO-PO attainment, feedback analysis, and action plans.
- Conduct monthly quality meetings and submit reports to IQAC.

7.3 Quality Audits

- **Internal Audit:** conducted each semester by IQAC team.
- **External Audit:** conducted annually by peer experts from accredited institutions.
- Audit findings used for Corrective and Preventive Actions (CAPA).



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8. Documentation and Data Management

- University shall maintain a **Digital Quality Repository** using ERP and cloud storage.
- Records include Minutes of Meetings, Syllabi, Research Publications, CO-PO data, MoUs, Feedback Analysis, and Photographic Evidence.
- IQAC to upload verified documents to NAAC DVV portal and NBA SAR formats.
- Data retention period: minimum 10 years for academic records and 5 years for administrative records.

9. Outcome-Based Education (OBE) Implementation

- Each program will define Program Educational Objectives (PEOs), Program Outcomes (POs), and Course Outcomes (COs).
- Mapping of COs to POs and PSOs with clearly defined rubrics.
- Continuous assessment tools — assignments, quizzes, lab work, projects.
- Attainment calculated and improvement plans documented annually.
- Peer review of course outcomes for inter-departmental benchmarking.

10. Academic and Administrative Audit (AAA)

- Annual AAA conducted under IQAC with external experts.
- Focus on curriculum delivery, research output, faculty development, and infrastructure utilization.
- Each department prepares Self-Evaluation Report (SER).
- Audit scores used for internal ranking and improvement plans.

11. Institutional Benchmarking

- Benchmark performance with top private universities such as LPU, SRM, and VIT on key indicators: digital infrastructure, research output, SDG integration, and industry collaboration.
- Use NBA's PEO/PO attainment levels as quantitative benchmarks.
- Participate in national frameworks — NIRF, ARIIA, and Institutional Innovation Council (IIC).

12. Faculty and Staff Capacity Building

- Mandatory orientation for new faculty on OBE and accreditation processes.



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- Regular FDPs on pedagogical innovation, AICTE IDEAL and NEP 2020 implementation.
- Training on data documentation and use of ERP modules.
- Recognition and awards for faculty who contribute significantly to accreditation initiatives.

13. Student Participation in Quality Processes

- Student representatives in IQAC and DQAC.
- Feedback surveys on curriculum, faculty, and support services conducted each semester.
- Student research and innovation projects documented as NBA outcomes.
- IES-ITM's NBA practice of including student mentoring and career counseling in OBE loop replicated University-wide.

14. Industry and Alumni Engagement

- Formal MoUs with industries for curriculum review and internship support.
- Alumni chapters as advisory partners for outcome feedback.
- IES Innovation and Incubation Centre maintains industry mentor database.
- Documented evidence of advisory board meetings for accreditation submissions.

15. Compliance with SDGs and Sustainability

IES University integrates UN Sustainable Development Goals (SDG 1-17) within quality and compliance frameworks:

SDG	Compliance Focus
SDG 4 (Quality Education)	Curriculum reforms, digital inclusion
SDG 8 (Decent Work)	Skill development and placements
SDG 9 (Innovation)	Research labs and start-ups
SDG 13 (Climate Action)	Green campus and energy audit
SDG 17 (Partnerships)	MoUs and collaborative research

The IQAC maintains an annual SDG Compliance Matrix as evidence for NAAC Criterion 7.



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16. Risk Management and Legal Compliance

- Compliance register maintained by Registrar listing statutory deadlines (AICTE, PCI, INC etc.).
- Risk matrix identifying non-compliance areas with mitigation strategies.
- Legal vetting of MoUs, contracts, and affiliations.
- Data protection in accordance with IT Act 2000 and University Digital Policy.

17. Communication and Transparency

- Mandatory publication of annual accreditation status, audit reports, and compliance statements on website.
- Quarterly Compliance Bulletin circulated to all faculties.
- Stakeholder meetings to discuss NAAC/NBA progress.
- Suggestion portal for faculty and students on quality enhancement.

18. Integration with Digital Infrastructure

- All quality processes digitized through ERP and MIS modules.
- Dashboard for real-time monitoring of key performance indicators.
- Data backup and version control managed by IT Cell.
- Online repository of Accreditation Documents accessible to authorized users.

19. Key Performance Indicators (KPIs)

1. Timely submission of all regulatory returns (100% compliance).
2. Maintenance of valid accreditation status for NBA programmes.
3. $\geq 90\%$ faculty trained in OBE and accreditation process.
4. 100% digital documentation through ERP.
5. Annual increase in research and extension outputs by $\geq 10\%$.

20. Incentives and Recognition

- Departments achieving or renewing accreditation receive special grants for infrastructure upgrade.



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- Faculty contributing to accreditation documentation get API points and awards.
- “Quality Champion of the Year” award institutionalized under IQAC.

21. External Linkages and Collaborations

- Membership in quality networks: Association of Indian Universities (AIU), NAAC-Accredited Institutions Forum, and NBA Quality Circles.
- Joint FDPs and workshops with NBA and NAAC experts.

22. Role of IES Institute of Technology & Management (IITM)

As the NBA-accredited institution, IITM will:

- Act as the Centre of Excellence for Quality Practices.
- Provide training and mentoring to other faculties in preparing accreditation documentation.
- Maintain repository of NBA templates, rubrics, and SAR exemplars.
- Facilitate engineering research collaboration aligned with SDGs.
- Showcase its OBE best practices — CO-PO mapping, alumni surveys, and continuous improvement — for replication across the University.

23. Internal Communication and Reporting

- Monthly compliance review meeting chaired by Registrar.
- Quarterly Quality Review by Vice Chancellor with Deans and Coordinators.
- Annual Quality Conference presenting achievements, audit findings, and future roadmap.
- IQAC newsletter highlighting success stories, new initiatives, and accreditation progress.

24. Capacity Building and Cultural Integration

- Quality orientation programs for administrative staff.
- Student awareness workshops on NAAC and NBA processes.
- Cross-departmental mentoring between NBA and NAAC teams.
- Quality embedded as a value in all University ceremonies, handbooks, and codes of conduct.



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25. Data Validation and Verification (DVV)

- Dedicated DVV Team under IQAC for validating numerical data (research, faculty, placement, etc.).
- Cross-check with supporting documents and audit trails before submission.
- Periodic re-verification to prevent discrepancies.

26. Review and Continuous Improvement

- Annual review of policy effectiveness by Compliance and Accreditation Council.
- Stakeholder feedback integrated into revisions.
- Incorporation of new UGC, AICTE, and NBA guidelines.
- Publication of “Quality Improvement Roadmap” every three years.

27. Funding and Resource Allocation

- Dedicated Quality Assurance Budget under IQAC for:
 - Accreditation fees (NAAC/NBA/PCI/BCI).
 - Training, consultancy, and digital infrastructure.
 - Quality promotion workshops and publications.
- Departments to allocate 2–3% of annual budget for quality enhancement activities.

28. Expected Outcomes

1. NAAC Accreditation with a strong institutional grade.
2. Sustained NBA accreditation for all eligible engineering programs.
3. Recognition of IES University as a quality-driven, compliant, and transparent institution.
4. Improved ranking in NIRF and THE Impact Ranking.
5. Enhanced employability and academic excellence through continuous OBE improvement.
6. Established culture of documentation, evidence-based planning, and self-assessment.

29. Conclusion

The Compliance and Accreditation Policy of IES University embodies the University’s unwavering commitment to academic quality, institutional accountability, and stakeholder satisfaction. It



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ensures that compliance is not a formality but an integral part of everyday functioning — linking governance, pedagogy, research, and community service.

Through the synergy between the NAAC-driven institutional framework and the NBA-accredited excellence model of IES Institute of Technology & Management, the University will build a comprehensive quality ecosystem aligned with NEP 2020, Digital India Mission, and Sustainable Development Goals.

IES University, through this policy, affirms its mission to uphold academic integrity, innovation, and inclusiveness — making compliance a culture and accreditation a continuous journey toward excellence.

