



Criterion VI

Governance, Leadership and Management

“To reach a port, we must sail—Sail, not tie at anchor—Sail, not drift”

Franklin Roosevelt



Criterion VI

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6.1 Institutional Vision and Leadership

- 6.1.1 State the vision and mission of the Institution and enumerate on how the mission statement defines the institution's distinctive characteristics in terms of addressing the needs of the society, the students it seeks to serve, institution's traditions and value orientations, vision for the future, etc.?**

Vision

The vision of our College is educating the youth. Our College campus is appropriately named "Bhavishya Bharat". As an educational institution this vision would involve contribution to the country through its role in ensuring student preparedness for future.

The dictum of this vision is:

Education for all

Education for the youth

Education for the future of our country

Mission

The mission of our College is to serve the society at large, and students belonging to linguistic minority in particular with commitment, dedication and devotion. The institution aims at providing overall education upto Ph.D.

Both the vision and mission of the institution is in tune with the objectives of the Higher Education policies of the Nation. The institution has branched out to become a place wherein education imparted is all encompassing, covering basic as well as specialized knowledge. Despite its minority status, the institution admits students from the disadvantaged sections and meritorious students from the Open Category thereby addressing inclusive education issues. Through its academic policy, extension activities and extra and co-curricular activities, it helps the students in acquiring knowledge, inculcating values, imbibing good citizenship, culture, developing life skills as well as training them for successful careers. It tries to sensitise the youth to the needs of the marginalized sections of society and constantly strives for community and social



development. With the objective of inclusive growth it tries to reach out and help socially and economically backward and differently-abled students, by constituting various measures in its operations.

Institutions Distinctive Characteristics

- ✦ Located in the main street of the city, ensuring easy accessibility to the students.
- ✦ An institute where enrolment of students is showing a steady increasing trend.
- ✦ A streamlined procedure of functioning with ISO 9001:2008 and 12 (f) recognition.
- ✦ A motivated staff
- ✦ Students from the middle-class who are self-disciplined
- ✦ As an institution, we are conscientious towards our duties to the society.

Addressing Needs of Society

- ✦ Equal treatment to all employees and students
- ✦ Education for All
- ✦ Inculcating discipline in the students
- ✦ Creating good citizens for the future.

Institution's Tradition and Values

- ✦ Traditionally we are an institution which concentrates on academic discipline
- ✦ Imparting good education to students

Future

- ✦ Education for All
- ✦ Education for the Youth
- ✦ Education for the Future of our Country

6.1.2 What is the role of top management, Principal and Faculty in design and implementation of its quality policy and plans?

Our Management is highly committed and dedicated to the service of catering to the contemporary requirements of higher education. The Management gives sufficient freedom to the Principal to function in order to fulfil the vision and mission of the college. The Management provides required infrastructure for proper functioning of the



institute. There is a Quality Policy for the college. The responsibilities of each member are communicated to the faculty through regular staff meetings. The Top Management, Principal and faculty of the college are committed to plan, implement, document and continually improve effectiveness through a Quality Management System. The Top Management is committed to ensuring conformity and compliance to international standards.

6.1.3 What is the involvement of the leadership in ensuring:

- ✦ **The policy statements and action plans for fulfilment of the stated mission**
- ✦ **Formulation of action plans for all operations and incorporation of the same into the institutional strategic plan**
- ✦ **Interaction with stakeholders**
- ✦ **Proper support for policy and planning through need analysis, research inputs and consultations with the stakeholders**
- ✦ **Reinforcing the culture of excellence**
- ✦ **Champion organizational change**

✦ The policy statements and action plans for fulfilment of the stated mission

The leader follows a democratic and participative style of leadership, soliciting the total participation and active involvement of both teaching and non-teaching staff. The head of the College has long term vision for both, academics and administration. She guides, initiates, persuades and convinces the staff to actively involve themselves in realizing the goals and objectives of the Management of the College. In addition to this, she also co-ordinates with outside agencies like University authorities, UGC, Joint Director's office and other government bodies to comply with necessary regulations. The Principal also follows an open door communication system and often allows the staff to come up with their constructive suggestions and grievances if any and goes out of the way to address them. The policy statements and action plans are formulated after careful consideration of all by the Principal.

✦ Formulation of action plans for all operations and incorporation of the same into the institutional strategic plan

The action plans for operations are prepared under the supervision and guidance of the Principal and Heads of the Departments. Teaching



Plans, time table arrangements, various committees are initiated into their defined roles in formulating and achieving the strategic plan.

■ Interaction with stakeholders

The leader ensures that all stakeholders are involved in its activities. Students, being the main stakeholders are treated as the centre of all activities and many curricular and co-curricular activities are conducted for their benefit. The College interacts with the parents of the students. The leadership places special focus on community in the vicinity of the College and maintains a cordial relationship with the local Police Station so that the safety of the College is ensured. The College maintains a continuous communication with the stakeholders.

■ Proper support for policy and planning through need analysis research inputs and consultations with the stakeholders

The College leadership undertakes to understand the needs of the society through its interactions with University, UGC and other academic authorities. It extends full support to all the new initiatives of these authorities. It also conducts regular feedback of students, parents and local authorities to frame plans. The policies are framed according to the experiences of the past years. The management fully supports any new plans for the benefits of its stakeholders.

■ Reinforcing the culture of excellence

We believe in striving for excellence. For this, we offer ourselves and our faculty to scrutiny by forwarding our applications for awards, given by authentic authorities and academic bodies. This way we ensure that we are on the right track towards achieving academic excellence.

In **2010**, the College got ISO 9001:2008 Certification without any non-conformity from TUV Nord- Germany's most reputed ISO certification body. The College underwent ISO scrutiny to ensure that all its processes are in place and can be further enhanced to improve quality of the College through better processes and procedures.

Now, we are the proud members of "The Mid-Atlantic Region Association for Asian Studies". We are the only institution in Asia to be a member of this organization. MARAAS is a non-political, non-profit scholarly organization dedicated to bringing Asia and America together.



This year we were conferred with the “**Award for Educational Excellence**” from Indus Foundation- USA. This year we are also awarded the “**Best College Award**” by the University of Mumbai. We were adjudged the third prize winner of “**Best Educational Quality Enhancement Team (BEQET) President Award 2012**” for the project “**Improving Academic Research Through Effective Training**”. We have received the award of **Best Ensemble Faculty** from the Education Expo TV’s Research Wing for Excellence in Professional Education and Industry-Academic Brilliance Awards-2013 for Best Ensemble Faculty. The Ensemble faculty (Five) selected for this award were Principal Dr (Mrs) Ancy Jose, Vice Principal Dr G. K. Kalkoti, Dr. Moushumi Datta, Dr. Kavita Kalkoti and Dr. Madhukar Dalvi.

■ Champion organizational change

The College pioneers in the field of changes in organisational set up by becoming an outward looking organisation with focus on benchmarking against the best. From being an organisation of growth and progress in the academic field, it is looking towards a more active role in the society with encouragement to deserving and special students focus on extra-curricular activity and emphasis on sharing of knowledge and learning through seminars, conferences at national and international level. We voluntarily opted for NAAC accreditation as early as 2002. The College is always open for change in policy and also helps other colleges in their quest for excellence.

6.1.4 What are the procedures adopted by the institution to monitor and evaluate policies and plans of the institution for effective implementation and improvement from time to time?

There are clear cut procedures in place in the College to monitor and evaluate policies and plans for effective implementation and improvement from time to time. Our College has a duly constituted Local Management Committee; College Committee etc. which enables the Management/ Head of the institution to get adequate information in order to review the activities of the College. Staff members have to fill in the Academic Performance Indicators (API) forms annually according to UGC regulations. The Head of the College gives them constructive feedback regarding the same. Monthly staff meetings are held to take stock of the activities undertaken by the various Committees. We are now an ISO 9001:2008 certified institute.



6.1.5 Give details of the academic leadership provided to the faculty by the top management?

The top management is always supportive towards academics and academic work in the College. The faculty members are invited for meetings and discussions about various issues. This creates a healthy working atmosphere. The staff is given the authority and responsibility to complete the desired academic task in the best possible manner within the stipulated time. The Principal is very vigilant about discipline, commitment and devotion towards the work allotted to the staff. This blend of control with active participation of the staff is the distinguishing feature of our College which has allowed the head to get the spontaneous and unrequited support from the staff. This kind of leadership has generated a sense not only of belonging but also of dedication among the staff members.

6.1.6 How does the college groom leadership at various levels?

All the staff members are involved in all the activities in the College. The senior staff members are appointed as convenors of various committees and are given full autonomy in decision making. Various co-curricular and extra-curricular activities are conducted through student committees with office-bearers. In this way the College grooms leaders at higher levels, teaching staff, non-teaching staff and students.

6.1.7 How does the college delegate authority and provide operational autonomy to the departments / units of the institution and work towards decentralized governance system?

The Management gives sufficient freedom to the Principal, who is the academic head of the institution to function in order to fulfil the vision and mission of the institution. Academic responsibilities are fairly divided among all the staff members. Committees are appointed for the various academic and co-curricular activities to be conducted in the course of the academic year. The list of committees is displayed at the beginning of the year on the staff notice-board. This ensures transparency in policy execution. The responsibilities are communicated to the faculty members through regular staff meetings. Various co-curricular and extra-curricular activities are conducted through student committees having a lecturer-in-charge. The Principal of the College holds regular meetings with the teaching and non-teaching staff. In these meetings, various issues are taken up for discussion before arriving at a final decision. The Heads of Departments monitor the functioning of the various



departments. The participative decision-making ensures total participation of all the people concerned. The office administration of the College is headed by the Registrar under whom there are Office Superintendents, Head Clerks, Senior Clerks, Junior Clerks and other Class III and Class IV Staff. The Registrar in consultation with the Principal co-ordinates the day-to-day activities. For Self-Financed Courses, there are coordinators for each section and also a separate designated Vice Principal. Thus, the decentralization of departments and personnel of the institution helps in improving the quality of its educational provisions.

6.1.8 Does the college promote a culture of participative management? If 'yes', indicate the levels of participative management.

The Management is always open to discussion with the teaching and non-teaching staff which, in turn, encourages the involvement of the staff for the improvement of effectiveness and efficiency of the institutional process. There are regular meetings of office bearers and Management representatives. There is a Local Managing Committee in the College.

The constitution of the Local Managing Committee is

- President/Chairman of Governing Body or his nominee:
Shri Shantilal Choonilal
- Secretary of the Management or his nominee:
Shri Hasmukh Rambhiya
- A Representative of Management:
Shri Gunvant Parekh
- Local Members representing different areas nominated by the Management:
Shri Hasmukhbhai Upadhyaya - Social Worker
Dr. Shailendrakumar Garg – Educationist
- Teachers elected by the staff
Mr. Suresh Shetkar
Dr. Bharat Pithadia
Ms. Nita Dhote
- Non-Teaching employee:
Mr. Manoj Nair



- Principal - as Secretary of Local Management Committee:
Dr.(Mrs) Ancy Jose
- Vice-Principal
Dr G.K.Kalkoti

The function of the Local Managing Committee is to ensure improvement and up gradation of existing curricular or co-curricular activities.

6.2 Strategy Development and Deployment

6.2.1 **Does the Institution have a formally stated quality policy? How is it developed, driven, deployed and reviewed?**

Our College is committed to impart Quality education to the youth enabling them to develop the right attitude, professional competence and inculcating the right ethical values. We have a formally stated Quality Policy.

Quality Policy

We, at Nagindas Khandwala College of Commerce, Arts and Management Studies, Shantaben Nagindas Khandwala College of Science and The Bombay Suburban Grain Dealers' Junior College are committed to impart Quality Education to youth, enabling them to develop right attitude, professional competence and inculcating right ethical values.

This Shall Be Achieved By.....

- *Providing excellent infrastructure and conducive learning environment*
- *Building a harmonious work culture and motivating everybody to contribute the best.*
- *Proactively responding to changing needs of industry, parents and the society by embracing latest technological trends in the field of education.*
- *Complying with requirements of ISO 9001:2008 Standards and striving continually to improve the quality of operations of the Institution.*

The College has very effective internal co-ordination and monitoring mechanisms. The Principal of the College takes initiative to ensure effective co-ordination between and among the functionaries of the



College. On the basis of various policies formulated, objectives are laid down and plans made, a regular follow-up is maintained, thereby encouraging greater support and co-ordination. The Heads of Departments and teachers co-ordinate and plan their individual departmental activities and report to the Principal accordingly. The non-teaching staff also works under the instructions of the Principal and the Registrar, thereby coordinating the entire administration work. The Internal Quality Assurance Cell established in the academic year 2002-2003 on the basis of the guidelines set forth by NAAC, helps the Principal and Registrar to coordinate and monitor the various activities. The different reports such as departmental reports, performance appraisal reports, self-appraisal reports, College annual reports, directives from government etc. become the base for analysing and evaluating the overall performance of the institution. This also forms the basis for the future plan of action.

6.2.2 Does the Institute have a perspective plan for development? If so, give the aspects considered for inclusion in the plan.

The perspective institutional plan is developed by the Principal in consultation with members of the Management, Vice Principal, Heads of various Departments and the Registrar, who is the administrative head. The Academic Committee comprising the Principal, Vice Principal and Heads of Departments meets twice during each academic year. On the basis of the admission schedule, the number of teaching days and examination schedule, the professor-in-charge of the Academic Committee prepares Academic Calendar for the academic year. This calendar includes a list of the pre-planned lectures, programmes and activities to be conducted. It is prepared in consultation with teachers and administrators, and hence they are automatically involved in the planning process. These plans are improved regularly to ensure development of the College.

6.2.3 Describe the internal organizational structure and decision making processes.

✚ **MKES Management**

Our College is managed by Malad Kandivali Education Society, which has its governing body to take care of various educational institutions. However, the administration of Khandwala College is the responsibility of the Principal who is directly accountable to the parent body. The Managing Council of MKES society controls and



plans the finance and approves the schemes of development.

✦ **Principal and Vice Principals**

The Principal and Vice Principals are involved in overlooking the implementation of the plans of the College. They ensure that regular day to day operations are properly conducted, through feedback from convenors, teaching and non-teaching staff.

✦ **Local Management Committee(LMC)**

The Local Management Committee is the Statutory Body, formed as per Section 85 of the Maharashtra Universities Act, 1994. The powers and duties of LMC are stated in the same. The LMC comprises elected representatives of teaching and non-teaching staff, Chairman, Secretary and a representative of Management and experts from various fields. This Committee can make recommendations for the improvement and up gradation of existing academic and extra-curricular activities.

✦ **Heads of Departments**

The Heads of Departments ensure that the plans communicated to them by the Principal are implemented systematically.

✦ **Committees for co-curricular and extra-curricular activities**

The committees are formed at the beginning of the year and are assigned the tasks according to the institutional plans, for the co-curricular activities that enhance overall development of students.

✦ **Administrative Committees [Examinations, Unfair Means Inquiry, Scholarships, Purchase, Discipline, Gymkhana, Admissions, Attendance, Library, etc.]**

For the smooth conduct of all administrative activities according to requirements of academic bodies and government rules, there are committees headed by senior faculty to guide the function.



6.2.4 Give a broad description of the quality improvement strategies of the institution for each of the following

- ✦ **Teaching & Learning**
- ✦ **Research & Development**
- ✦ **Community engagement**
- ✦ **Human resource management**
- ✦ **Industry interaction**

✦ Teaching- Learning

Teaching plans are prepared for a semester. These get verified and checked at different stages in accordance with syllabus and scheme of examination given by University of Mumbai / UGC.

The teaching – learning process is facilitated through qualified, trained and experienced faculty. Apart from class-room teaching, students are encouraged to use library and internet facilities. The teaching staff maintains diary and record daily instruction delivered, practical conducted and other such activities performed. Any short time responsibilities (Extra lecture, duties for seminar etc.) are properly recorded and informed to concerned authority. The teaching plan is drawn up month wise by each department and it is strictly monitored by the Heads of Department with the help of Monthly Monitoring Sheets. The effectiveness of teaching – learning process is reviewed on regular basis. The inputs for such review may be from:

- *Students' feedback.*
- *Results of internal tests.*
- *Quality of assignment submitted.*
- *Final results of term / year.*

The teaching and learning process is reviewed by head of the department for the concerned teaching faculty and the feedback is communicated. The concerned faculty then plans for improvements which are monitored on a regular basis for their effectiveness

✦ Research and Development

Research has been considered as an important integral part of the academic endeavours in our College. Many Seminars and workshops are organized by the College to provide expert information on research methodology. The College promotes faculty participation in research by granting them leave, helping them in participation of faculty improvement programmes and arranging for



books required by them. The Management of the institution has a policy of felicitating the faculty members acquiring Ph.D. degree with an award of Rs. 11,000/-.

✦ Community Engagement

We have adopted the policy of CSR- “College Social Responsibility”. Our N.S.S. Unit is rendering yeoman service to the community in and around Malad and also in Arnala, which is a small village near Virar. The College has started Social Cell in the year 2009. Our aim is to bring a smile on the faces of those people and children who are deprived of the basic needs in the society. The College also has a group of students formed into an association White Leaf, which is involved in social activities. The College is engaged in several community development activities. Marginalised women were provided self-employment opportunities through the “Say No to Plastic” project conducted by the UGC sponsored Gandhian Studies, Centre in September 2012. They were paid remuneration from sales proceeds for stitching cloth-bags from old bed sheets. A Save Poisor River Padyatra was organized on October 2, 2011. Our N.S.S. and N.C.C. units organise various community and national development programmes like N.S.S. Camps, Blood Donation Drives on various occasions such as Independence Day, Republic Day, and the N.C.C. Day, to name a few. Cleanliness and Social Awareness Drive in Bhadran Nagar and Daruwala Compound was conducted by the N.S.S. Unit. Paper bags with social messages were made and were distributed free of cost to the shopkeepers in the adopted area and nearby vicinities. N.S.S. volunteers visited the adopted areato conduct a cleanliness drive with an objective to develop a rapport with the local community as well as create social awareness. Awareness about issues like facing the menace of AIDS, Malaria, Hepatitis, Saving the Girl Child, was created. The Women Development Cell organized a marathon “ Save the Girl Child” in September 2012. A survey of students was conducted to understand their attitudes towards women issues. A survey was also conducted to analyse the techniques of waste management in the vicinity.

✦ Human Resource Management

The College has adopted a mandatory Self-Appraisal Method to evaluate the performance of the faculty in teaching, research and extension programmes. At the end of the academic year every teacher is given an Academic Performance Indicator (API) form on the basis of the UGC regulations. The form requires the teacher to give his/her



self-evaluation of the academic, co-curricular and extra-curricular work done during that year. It also requires the teacher to enumerate the papers presented at conferences, seminars, refresher courses and orientation programmes he/she has attended. The report to be filled in by each teacher is also evaluated and it analyses the duties performed with respect to lectures completed as per the teacher's planned lecture schedules, lectures taken. The Principal appreciates during monthly staff meetings notable performance of any faculty member and then persuades the other faculty members to follow such best practices in the interest of the College and self-development. The evaluation of teaching faculty by the student and the peers has been adopted in our college which helps in self-evaluation and development. The IQAC has taken up a Quality Objective of providing six man days training to the staff based on competency based skilled matrix.

✦ Industry Interaction

Experts are invited from various fields to deliver guest lectures and industrial visits are arranged. The Career Guidance and Placement Cell (Aided Section) organized an Educational visit for 238 students from B. Com./ B.A. and M.A. to Infosys, Pune on September 22, 2012. Students' received excellent exposure in making presentations. Many students are placed every year in different organizations through campus interviews conducted in our college, in collaboration with prominent industries. In conferences and seminars industry experts are invited to deliver lectures and interact with the teaching staff. The international seminar SOPOC 12 held on 3rd and 4th December, 2012 was partially funded by prominent industry houses.

6.2.5 How does the Head of the institution ensure that adequate information (from feedback and personal contacts etc.) is available for the top management and the stakeholders, to review the activities of the institution?

The students' feedback on various aspects of College facilities is regularly gauged and improvement plan as per the comments received are initiated. The institute collects on regular basis feedback from students on Quality of Education, Provision of resources etc. The feedback forms collected from students are analysed and improvement plan to enhance Quality of Education are initiated. The students feedback related to teaching learning process is communicated to faculty for improvement. Wherever possible, the institution plans for meeting with parents for briefing them regarding progress of students. The brief summaries of feedback received are discussed in the IQAC meetings.



6.2.6 How does the management encourage and support involvement of the staff in improving the effectiveness and efficiency of the institutional processes?

The Management through the Principal involves the staff members in various activities related to the development of the college. While introducing anything new to the teaching and non-teaching staff, the objectives of the College are communicated. A monthly appraisal of achievements in accordance with the objectives ensures that every individual employee makes constructive contribution for the development of the College.

6.2.7 Enumerate the resolutions made by the Management Council in the last year and the status of implementation of such resolutions.

The Management of our College has been indeed very active, supportive and co-operative. The office-bearers are available on the College premises every Wednesday and Saturday, where staff members can meet them and freely express their views, suggestions and grievances. The Management refers these to the appropriate committees/ office, through the Principal, for necessary action. The meeting of the Management with the Staff has always been purpose-oriented. Generally, at least twice a year, such meetings take place. Some of the resolutions that were taken to enhance institutional performance were:

- to apply for a new subject Operations Research in the University of Mumbai at TY B Com level
- to modernise and upgrade facilities in the Auditorium
- to renovate the office and painting the building
- to have an interior painting
- to have a separate exam centre in room no 37
- to apply for ISO audit and
- to apply for awards offered by various authentic academic bodies.

6.2.8 Does the affiliating university make a provision for according the status of autonomy to an affiliated institution? If 'yes', what are the efforts made by the institution in obtaining autonomy?

Yes, the College has already applied for attaining the status of autonomy last June. The College is awaiting visits from representatives from the University and the Government.



Autonomous status for College means the freedom to frame own syllabus, introduce relevant courses and adopt innovative methods of teaching and evaluation. Autonomy implies that the students, staff and management of the institute shoulder the major responsibility as co-partners in raising the quality of higher education. Participative approach needs to be adopted in curriculum development and in short term and long term institutional planning.

6.2.9 How does the Institution 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 College has a Grievance Redressal Cell.

Grievances can be communicated to teachers by the students in the mentor meetings in a prescribed format, conducted by the College. The problems reported by the students are reported to the Principal through the mentor-in-charge and suitable actions are taken.

Grievances addressed in the last four years are:

- ✦ Provision of sufficient number of computers with internet in the library.
- ✦ Provision of laptops to each department.
- ✦ Provision of mobile mike system to individual teachers.
- ✦ Housekeeping was told to clean washrooms and classrooms more frequently.
- ✦ Blackboards, benches and fans are repaired timely as per the Problem Reporting Forms.

6.2.10 During the last four years, had there been any instances of court cases filed by and against the institute? Provide details on the issues and decisions of the courts on these?

Table 6.1
Details of Court Cases

Sr. No.	Year	Case No.	Decision
1	2012	5 of 2012	Matter is subjudice



6.2.11 Does the institution have a mechanism for analyzing student feedback on institutional performance? If 'yes' what was the outcome and response of the institution to such an effort?

As per the recommendations of the NAAC Peer Team, the College has introduced a system of feedback from the students. A Committee has been formed for this purpose. It includes the Principal, and Senior teachers from the Commerce and Arts faculty. We calculate the satisfaction index of students twice a year. Under ISO we have a quality objective to improve the satisfaction index, which is carried on through feedback forms.

6.3 Faculty Empowerment Strategies

6.3.1 What are the efforts made by the institution to enhance the professional development of its teaching and non-teaching staff?

The College makes sincere efforts to enhance and enrich the professional development of its teaching and non-teaching staff. Some of them are as follows:

- ✦ Staff members are deputed for Orientation and refresher courses as when they become due for it.
- ✦ Faculty development programs in various areas and subjects are regularly conducted in the college.
- ✦ The College regularly conducts seminars and conferences at the state/national/international level. At these seminars and conferences, the faculty gets an opportunity to interact with experts from different fields.
- ✦ Regular workshops are conducted to familiarise the staff members with any changes in syllabus or new developments in the field, through workshops conducted by the University.
- ✦ Faculty members are encouraged to attend seminar and conferences.
- ✦ Experts from the industry and academia are called to address the staff.
- ✦ Monetary incentives to staff members who complete their Ph.D.
- ✦ Faculty members are encouraged to take up Minor and Major research projects.

6.3.2 What are the strategies adopted by the institution for faculty empowerment through training, retraining and motivating the employees for the roles and responsibility they perform?

The College maintains the record of the faculty in Faculty Profile detailing education, experience and training. The institution also works out Competency Based Skill Matrix for different levels vis-à-vis area



of operation. Training needs based on these competency needs and gaps observed are identified by the Department Heads. These training attended are then entered in Individual Training Record. The Management Representative of ISO 9001:2008 consolidates training needs and arranges for its completion either through in-house or external resources as considered appropriate. In addition to the above, teaching staff also has to undergo training as stipulated by University / Board at regular time intervals and also if new courses are introduced. The effectiveness of training is evaluated by the Department Heads after a gap of six months. This may be in the form of observing performance/output.

Staff members also work as members of committees under a senior staff member. In due course of time the staff member may be made in charge of the given committee. Once a staff member is made in charge of a committee, complete freedom is given to him/her to plan and execute programs. Reasonable financial freedom is also given. The Principal holds regular meetings with faculty to get feedback on the progress made on the planned programs. Monthly reviews of activities planned and executed by the committees are regularly conducted. Internal auditors training is given to selected staff members.

6.3.3 Provide details on the performance appraisal system of the staff to evaluate and ensure that information on multiple activities is appropriately captured and considered for better appraisal.

Performance appraisal system is implemented as per the guidelines from UGC. The appraisal report of the faculty is submitted to the Principal through the respective heads of the departments. API forms are given to faculty every year.

Student feedback is taken on an annual basis and staff members are given a summarized report of the feedback. Staff members meet the Principal along with the HOD and necessary corrective measures are discussed.

6.3.4 What is the outcome of the review of the performance appraisal reports by the management and the major decisions taken? How are they communicated to the appropriate stakeholders?

The management plays an active role in the performance appraisal of the faculty. Student's feedback is taken and analysed every year and the necessary steps initiated. The parents are also involved in the feedback



system. During mentor meetings a problem reporting form is circulated and action is initiated on the basis of their feedback. Feedback is taken from the parents during the tutor-mentor meetings through Parents Feedback Form. The feedback is examined and a report is compiled there from. On the basis of the report suitable changes are made in the College.

6. 3.5 What are the welfare schemes available for teaching and non teaching staff? What percentage of staff have availed the benefit of such schemes in the last four years?

Employees Co-operative Credit Society was formed in the year 1996 to provide financial assistance to the Teaching and Non-Teaching staff in their need. Details of the loans provided by the MKES Employees Co-operative Credit Society are as follows.

**Table 6.2
Loans Provided by MKES Employees Co-operative Credit Society**

Year	Teaching Member	Amount	Non-Teaching Member	Amount
2009-10	02	Rs 250000	10	Rs 885000
2010-11	02	Rs 250000	04	Rs 400000
2011-12	02	Rs 250000	12	Rs 1370000
2012-13	02	Rs 250000	04	Rs 500000

MKES Parivar Education Fund is set up to provide financial assistance to the children of the non-teaching staff to pursue higher education. This year four non-teaching staff members have availed of this benefit.

6.3.6 What are the measures taken by the Institution for attracting and retaining eminent faculty?

Various measures are taken by the College for attracting and retaining eminent faculty. Faculty are encouraged to take both Minor and Major Research projects and full support is extended by the College. Faculty are encouraged to attend seminars and conferences. The institutional work is divided into various committees and autonomous headship is given to the faculty.

- Principal Dr. (Mrs) Ancy Jose, Vice Principal Dr G.K.Kalkoti and Dr. Moushumi Datta visited USA in October, 2011 to participate in the



40th Annual Mid-Atlantic Regional Association for Asian Studies (MARAAS) Conference held at Princeton University in New Jersey, USA. The theme of the conference was “Human Rights and Social Justice in Asia”. The visit was totally sponsored by the management. The team visited Kings’ College in New York City, Elizabethtown College in Pennsylvania, and George Washington University in Washington D.C. It was an enriching experience with a realization that the world is truly a global village.

- ✚ Principal Dr. (Mrs.) Ancy Jose, Vice-Principal (Self – Finance) Ms. Mona Bhatia, the faculty Dr. (Mrs.) Varsha Ainapure, Dr. Bharat Pithadia and Mr. C.M. Amin visited three autonomous colleges in Coimbatore to understand the benefits of Autonomy and to decide whether to implement Autonomy in our College. The visit helped the team to learn that autonomy enhances the quality of teaching and learning and offers a better placement opportunity to students. It also made them realize that the institution should have the potential for offering programmes of higher standards. This visit too was sponsored by the management.

6.4 Financial Management and Resource Mobilization

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

The College has very effective mechanism to monitor effective use of financial resources.

Expenses are first sanctioned by the Principal. The Principal of the College ensures that expenses are incurred for the purpose of implementing institutional plans.

For any requirement for equipment or other major items, requisition is submitted to purchase committee which is headed by the Principal. Purchase committee invites tenders from various suppliers. Their quotations are evaluated, comparative statement is prepared, suppliers are called for personal discussion and after comparing all aspects from various suppliers, orders are placed. This ensures that right equipment is purchased at most competitive price.

Further accounts of the institution are subject to audit-internal and external. Internal audit is conducted every quarter and any discrepancy noticed is brought to the notice of Principal.



Further budget is prepared at the beginning of the year and actual expenses incurred during the year are compared with budget and any major variation is discussed by the principal with concerned person.

6.4.2 What are the institutional mechanisms for internal and external audit? When was the last audit done and what are the major audit objections? Provide the details on compliance.

The accounts of the College are audited regularly as per the Government rules. An internal auditor audits our accounts every quarter. The internal auditor checks receipts with fee receipts and payments with vouchers and necessary supporting. He also ensures that all payments are duly authorized. The external auditor conducts statutory audit at the end of financial year. The report of external auditor for last two years along with audited Balance Sheet and Income & Expenditure account is enclosed. The last audit for the year 2011-12 was completed in September, 2012 and there were no major audit objections in the same.

6.4.3 What are the major sources of institutional receipts/funding and how is the deficit managed? Provide audited income and expenditure statement of academic and administrative activities of the previous four years and reserve fund/corpus available with institutions if any.

The College gets financial support from Government. Salary Grant is received from the Government for aided courses only (Commerce & Arts). The details of Grant received in last four years are as follows:

Table 6.3

Details of Grants

Sr. No.	Academic year	Amount Received
1	2008-09	1,99,02,845
2	2009-10	1,93,30,369
3	2010-11	3,36,86,010
4	2011-12	3,74,67,827



The College also runs some courses on self financed basis. For Self Financed courses we do not receive grant from the Government. It is managed from the fees collected from the students. The details of fees and other revenue for last four years are as follow:

Table 6.4
Details of Fees from Self-Financed Section

Sr. No.	Academic year	Amount Received
1	2008-09	2,48,07,368
2	2009-10	2,84,71,020
3	2010-11	2,81,02,019
4	2011-12	2,93,37,258

Further Malad Kandivali Education Society (MKES) who is managing the College also earns income from various other sources. The society is earning income by way of rent from auditorium, rent for allowing use of premises to ITM, Bank, advertisement agency and also rent for allowing to install cell tower on the terrace. The details of other income received during last four years areas follow:

Table 6.5
Income Received From Other Sources

Sr. No.	Academic year	Amount Received
1	2008-09	1,19,15,522
2	2009-10	1,05,43,477
3	2010-11	1,01,48,360
4	2011-12	1,21,09,703

6.4.4 Give details on the efforts made by the institution in securing additional funding and the utilization of the same (if any).

The College is making various efforts in securing additional funding.



The College has applied for grants to UGC under College Development Grant, Minor Research Project Grant, Seminar Grant and teachers' Fellowship Grant and to ICSSR for Major Research Grant. In the academic year 2011-12 we have received grants from UGC under College Development grant (Rs. 3,20,000) , Minor Research Project Grant(Rs. 55,000), Seminar (Rs. 20,0000), Travel Grant (Rs. 1,53,000) and Teachers' Fellowship Grant (Rs. 4,76,400) The UGC has also allocated funds for several schemes like rejuvenation of infrastructure, catch-up grants (building, books & journals and equipments), establishment of network resource centre (computer, printer, UPS, software, fax machine, modem up gradation and internet connectivity), equal opportunity centre , HEPSN (Higher Education For persons With Special needs) and for improvement of career and counseling Cell. We have also received funds from UGC under Additional Assistance Scheme XI Plan. ICSSR grant received in the academic year 2011-12 was Rs. 5,60,030. The Principal is encouraging staff members to carry out research in their field so that institution can avail research grant from UGC. For this various seminars are organized on how to conduct research. The institution has planned to get autonomous status from University of Mumbai so that special grant can be availed every year. The application for autonomy is already submitted and it is expected that autonomous status will be granted from academic year 2014-15.

6.5 Internal Quality Assurance System (IQAS)

6.5.1 Internal Quality Assurance Cell (IQAC)

a. Has the institution established an Internal Quality Assurance Cell (IQAC)? If 'yes', what is the institutional policy with regard to quality assurance and how has it contributed in institutionalizing the quality assurance processes?

Yes, the College is having its IQA Cell. This Cell was established in the academic year 2002-2003 and functions on the basis of the guidelines set forth by NAAC. It works towards improving and maintaining the quality of education, identifying and suggestive new ways of using teaching aids, developing suitable infrastructure and offering suggestions for the new self-finance courses.

IQAC is an effective and efficient internal coordinating and monitoring mechanism.



The IQAC plays a vital role in maintaining and enhancing the quality of the institution and suggests quality enhancement measures to be adopted. The IQAC meets every quarterly to plan, direct, implement and evaluate the teaching, research and publication activities in the College. The sub-committees dealing with various activities and departments implement the IQAC guidelines and report the feedback.

The College has prepared a Perspective Plan for the period of five years-commencing from the academic year 2008-2009 to the academic year 2013-2014 by taking into consideration the quality indicators of Seven Criteria determined by NAAC. In the preparation of the Perspective Plan, the Internal Quality Assurance Cell (IQAC) of the College has taken initiatives. Inputs from all stakeholders, their expectations, management policies and goals and objectives of the College are considered as a base for formulation of the perspective plan. The draft of Perspective Plan is discussed, reviewed and approved in the Local Managing Committee of the College. Every year IQAC devises a yearly Perspective Plan in the beginning of the academic year and also gives an account of the outcome achieved at the end of the academic year. Feedback from all the stakeholders and the recommendations of the IQAC are taken into consideration and innovations are incorporated in further perspective plans. Student feedback mechanism, self-appraisal by teachers, introduction of teachers training programmes, faculty improvement programmes, establishment of staff academy, encouragement to teachers for research are some of the measures taken for quality sustenance and enhancement as a strategy.

b. How many decisions of the IQAC have been approved by the management/ authorities for implementation and how many of them were actually implemented?

Most of the decisions of the IQAC have been approved by the Management. . Our College has become fully aware of the need for quality and keeping in line with this it was decided by the IQAC to *obtain certification under ISO 9001:2008 during the academic year 2010-2011.* To sustain and grow in this competitive world, it is of utmost necessity to have uniform standards and compliance to the same in order to facilitate our efforts to provide the best possible education to our students. With this in mind our College went for ISO certification in September, 2010. The **Quality Manual** was released on 31st May, 2010. The Internal Auditors training was held in June, 2010. It was a training of two days and twelve faculty members successfully completed the training. Our College chose **TUV Nord-**



Germany's most reputed ISO certification body. All the required stages of the internal and external audits were implemented in a time bound manner. We got the certification without any non-conformity. This in itself was an achievement with everyone in the College contributing to this effort and the resultant success. In the same year IQAC planned to conduct the first International Conference in the college. Our Management sponsored the first International Conference "INCOSHE-2011" which was held on 28 and 29 January, 2011. The plans for implementing ISO and conferences were therefore actually implemented.

c. Does the IQAC have external members on its committee? If so, mention any significant contribution made by them.

Yes, we have Mr. Yogesh Sagar, the Member of Legislative Assembly (Maharashtra) and Mr Hemant Mehta as one of the nominees from local society as members in the IQA Cell. They suggest few ideas to streamline the approach of the college for the benefit of students.

Mr Yogesh Sagar suggested that the IQAC team must meet every quarterly and this is meticulously followed in our college. Mr Hemant Mehta suggested that the students should be encouraged to be involved in social activities by incorporating innovative initiatives. Students are encouraged to take up social causes and create awareness through NSS, NCC, Social cell and individual departments. The IQAC sees that all committees inspire the students towards social activities and it is noteworthy to mention here that the students' involvement is remarkable. They suggested that the senior students should be a guiding force for the juniors. Senior students guide the junior students during department festivals, and the alumni association is also active in the College.

d. How do students and alumni contribute to the effective functioning of the IQAC?

Students contribute to the efficient functioning of IQAC by the following:

- ✚ Providing feedback on the teaching learning process regularly.
- ✚ The students organise various departmental festivals that inculcate in them the College quality policy-Building a harmonious work culture and motivating everybody to contribute the best.
- ✚ A help desk was manned by students of the BMM department in the month of May 2012 to help parents visiting campus for admissions in



the degree and Junior College. The students helped with explaining admission procedure and about various courses available. The feedback from parents was excellent for this student initiative

- ✦ The alumni association organises get together for students and teachers.
- ✦ Alumni were also involved in arranging and getting sponsorship for Springz (Intercollegiate Cultural Festival).
- ✦ Alumni also contribute as faculty when needed. They bring industry experience into their teaching. Mr. Vishal Parekh who studied in the B.Com department between the years 1996-2001 and working in Yahoo is teaching in the BMM department as a visiting faculty.

e. How does the IQAC communicate and engage staff from different constituents of the institution?

- ✦ There are regular department and staff meetings under the chairmanship of Principal and Vice Principals where suggestions and feedback of quality policy are received
- ✦ Staff members are nominated into internal quality policy monitoring committees.
- ✦ Non- teaching staffs are given training programme.
- ✦ The administrative staffs are involved in the implementation of conference plans and execution.

6.5.2 Does the institution have an integrated framework for Quality assurance of the academic and administrative activities? If 'yes', give details on its operationalisation.

The University of Mumbai / UGC provides guidelines for the course syllabi, pattern of examination and passing criteria. As per the course design, College arranges term wise / year wise activities and plan for classes. The faculty ensure syllabus completion in particular academic year as per plan.

The college authority with the help of different committees plan for the activities as listed below:

- ✦ Term/ Annual academic calendar
- ✦ Term wise teaching plan
- ✦ Workload plan and allocation of resources
- ✦ Class wise time table.
- ✦ Examination schedule including tutorials.
- ✦ Annual seminar / workshop schedule
- ✦ Annual plan for sports and extracurricular activities.



The College authority evaluates delivery effectiveness of teaching methods. The knowledge absorption / assimilation by students is also gauged suitably.

✦ Teaching Plan and Learning Process (TLP):

- Teaching plans are prepared for a term. These get verified / checked at different stages in accordance with syllabus and scheme of examination given by University of Mumbai/ UGC.
- The teaching – learning process is facilitated through qualified, trained and experienced faculty with support from office staff. Apart from class-room teaching, students are encouraged to use library and internet facilities.
- The teaching staff maintains diaries and records their daily instructions delivered, practical conducted and other such activities performed.
- Any short term responsibilities (Extra lecture, duties for seminar etc.) are properly recorded and informed to concerned authorities.

The effectiveness of teaching – learning process is reviewed on a regular basis. The inputs for such review may be from:

- ✦ Students feedback
- ✦ Results of internal tests
- ✦ Quality of assignment submitted.
- ✦ Final results of term / year.

The T.L. process is reviewed by HOD for the concerned teaching faculty and feedback communicated. The concerned faculty then plans for improvements which are monitored on a regular basis for their effectiveness.

The students' educational needs and college administrative needs are managed through various operational committees. These committees have representation from faculty, staff and students. Each committee frames plans for its activities, schedules and monitors these activities to meet stipulated requirements. The committee seeks approval from Principal and briefs her on the status of its activities regularly. The convener of the committee is authorized to release final outcome / document of work in consultation with Principal. In this way the College has an integrated framework for quality assurance of the academic and administrative activities.



6.5.3 Does the institution provide training to its staff for effective implementation of the Quality assurance procedures? If ‘yes’, give details enumerating its impact.

Training is given to staff according to the requirements of UGC and University. Training is also given as per the feedback taken from the faculty. The faculty are trained under ISO to perform internal audits. These training programmes are evaluated for effectiveness at regular intervals. The ISO Committee of our College conducts lot of quality oriented activities. Several training sessions such as ‘Maximizing Productivity with Office 2010’ and Credit Based Grading System were held in June 2011. The impact of the training was evident in the performance of the staff that underwent the training. For the training conducted in the College, the feedback has shown that the trainees were satisfied with the training imparted. The head of the institution will be able to analyze the impact of these training sessions after lapse of a certain period so that the trainees can put their acquired skills to use

6.5.4 Does the institution undertake Academic Audit or other external review of the academic provisions? If ‘yes’, how are the outcomes used to improve the institutional activities?

Academic audit is carried out by the Principal. This audit is done in three stages.

- ✚ All the teaching staff members submit semester plan for conduct of theory and practical classes to their respective Head of Departments.
- ✚ Monthly reports are collected from the teaching staff where in teachers gave information regarding coverage of syllabus during that particular month. In cases where syllabus is not covered as per schedule, the teachers are accordingly advised.
- ✚ At the end of the semester (during the internal audit) the teaching staff submits the portion covered sheets to the ISO MR and which is submitted to the Principal. It is checked whether the entire portion has been completed as per the initial planning and appropriate steps initiated. The teaching staff was happy with the feedback received and took corrective action.

For purpose of audit Teaching Learning Plans are prepared that gives a road-map towards planning lecture and fulfilling the requirements. The measures followed to review the academic provisions are:



- ✦ If a gap is found in the teaching learning, extra lectures are planned clearly.
- ✦ Monitoring sheets helped the HODs monitor the lecture delivery.
- ✦ Since students are the important stakeholders have a copy of the Teaching Learning Plan, the entire procedure becomes transparent.
- ✦ Feedback of students has helped teachers modify teaching techniques to suit student's requirements.
- ✦ Latest technology is used in the classroom to keep abreast with global requirement.
- ✦ People from the industry are invited to address students on the latest industry trends.
- ✦ Examination results are audited and based on result analysis; course teachers take remedial actions such as one-to-one tutorials or extra remedial classes. Revision classes are taken before exams where doubts of students are solved.

6.5.5 How are the internal quality assurance mechanisms aligned with the requirements of the relevant external quality assurance agencies/regulatory authorities?

ISO audits are done internally as per norms. External audits are conducted for College processes. Internal audits are intermittently conducted to ensure that the direction is uniform and in keeping with ISO requirements.

6.5.6 What institutional mechanisms are in place to continuously review the teaching learning process? Give details of its structure, methodologies of operations and outcome?

The mechanisms to continuously review the teaching learning process are:

- ✦ The College authority evaluates delivery effectiveness of teaching methods. The knowledge absorption / assimilation by students is also gauged suitable.
- ✦ Teaching Plan and Learning Process (TLP):
- ✦ Teaching plans are prepared for a term. These get verified / checked at different stages in accordance with syllabus and scheme of examination given by Mumbai University / UGC.
- ✦ The teaching – learning process is facilitated through qualified, trained and experienced faculty with support from office staff. Apart from class-room teaching, students are encouraged to use library and internet facilities.
- ✦ The teaching staff maintains diary and record daily instruction delivered, practical conducted and other such activities performed.



- ✦ Any short term responsibilities (Extra lecture, duties for seminar etc.) are properly recorded and informed to concerned authority.
- ✦ The effectiveness of teaching – learning process is reviewed on regular basis. The inputs for such review may be from
 - Students feedback
 - Results of internal tests
 - Quality of assignment submitted.
 - Final results of term / year.
- ✦ The T.L. process is reviewed by HOD for the concerned teaching faculty and feedback communicated. The concerned faculty then plans for improvements which are monitored on a regular basis for their effectiveness.

Student feedback is taken for all the courses B.Com, B.A. and all Self-financing. The questionnaires are distributed to all sections and students are chosen on a random basis. Feedback forms are scrutinized and a report is compiled there from. These reports are confidential. The faculty is made aware about the feedback.

6.5.7 How does the institution communicate its quality assurance policies, mechanisms and outcomes to the various internal and external stakeholders? Any other relevant information regarding Governance Leadership and Management which the college would like to include.

The College communicates its quality assurance policies mechanisms by placing quality policy board at various places in the college premises for internal stakeholders (i.e. students and staff) and also through the College Website quality policies and outcomes are published for external stakeholders.

The institution constantly looks for opportunities leading to improvement in Quality Management System. Data from various sources are collected, analysed and actions initiated. The following are reviewed after collecting data:

- ✦ Quality Policy, Quality Objectives and its monitoring.
- ✦ Audit findings (External and Internal).
- ✦ Management review meetings.
- ✦ Action through PRF.
- ✦ Corrective and Preventive action.
- ✦ Students' feedback.



Based on above data action plans are initiated and their status is monitored.

Other Relevant Information

The College initiated the process of ISO audit so that all the processes (academic, exam related, unfair means inquiry, scholarships, gymkhana, admissions, attendance, library, training of teacher, teaching learning process etc.) are systematised and streamlined for effective implementation.

Under ISO compliance the College had planned on two quality objectives to be met within one academic year. They are:

- To reduce the number of students in “Very Miserable Category” (having attendance 40% and less) from existing level of 8% to 5% by end of academic year 2010-11.
- To attain Training level of 6 man days per year (excluding mandatory training by University) for each individual teaching faculty.