

# Himachal Pradesh Capacity Development Strategy for Disaster Risk Reduction and Climate Change Adaptation



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# ACRONYMS

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A&A	•	Assessment and Accreditation
CCA	•	Climate Change Adaptation
DDMA	•	District Disaster Management Authority
DM	•	Disaster Management
DRR	•	Disaster Risk Reduction
HIPA	•	Himachal Pradesh Institute of Public Administration
IEC	•	Information, education and communication
NAPCC	•	National Action Plan For Climate Change
NGO	•	Non Governmental Organizations
SIRD	•	State Institute of Rural Development
SAPCC	•	State Action Plan For Climate Change
SAR	•	Self Assessment Report
SDMP	•	State Disaster Management Plan
SDMA	•	State Disaster Management Authority
SWOT	•	Strength, weakness, opportunities and threats
UNDP	•	United Nations Development Programme
QA	•	Quality Assurance
QF	•	Quality Framework
QIP	•	Quality Improvement Plan
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# 1 BACKGROUND

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Enhancing institutional and community resilience is one of the emerging priority areas of UNDP, Government of India and State Government of Himachal Pradesh. Under the ongoing GOI-UNDP project on “Enhancing Institutional and Community Resilience to Disasters and Climate Change (2013-2017)”, UNDP has already been providing technical support to the Government of Himachal Pradesh to strengthen capacities of government, communities and institutions to fast-track implementation of the planning frameworks on Disaster Risk Reduction (DRR) and Climate Change Adaptation (CCA).

Training and capacity development of various stakeholders has been considered one of the key interventions to enhance resilience to disasters and climate risks. The State Government of Himachal Pradesh has undertaken a number of initiatives in this direction like formulation of State Training Policy, (2009), development of standard training modules for various target groups, training need assessment and development of training & capacity development strategy.

A Number of training institutions both in the government and private (societies/trusts/public and private limited companies etc.) have been imparting various training courses on DRR & CCA. The duration of these training programmes vary from two days to a week. All these initiatives have been able to create a conducive environment for attaining the goal of disaster risk reduction in the state. However the state does not have any standards for the training institutions as well as for the training programmes being implemented relating to disaster management. There is no standardization in terms of content, delivery method, duration and approach for conducting these trainings .Many times these courses are imparted on an adhoc manner. Also there is no system for quality assurance.

It is this context a draft guideline on setting standards for disaster management training courses is being formulated. The state government also plans to set up a system for accreditation of disaster management training and Education Programmes in future. However to start with the state government will focus on standardization of training programmes and capacity building of the training institutions so as to ensure that quality training programmes are conducted across the state and a system is put in place to organize structured training programmes on DRR and CCA. Once the desired level of capacity building and quality is achieved state government will work towards setting up a system for accreditation and assessment. A Literature review on the Accreditation System existing in India, (NBA, NAAC, NABH) and in countries like Australia, United Kingdom, United States, China and Singapore have been provided in Annexure 3.

# Scope of the Guidelines

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This draft guideline primarily focuses on setting standards for the Disaster Management Training Institutions for conducting training programmes/courses on DM and CCA as well as criteria for assessment of disaster management training/ courses being implemented these institutions as well as by any other department , CSOS/NGOs,University/college and private firms in the state.

The guideline will be applicable for short term DM courses, DM education programmes, and research studies. The guideline will highlight certain benchmarks for the institutions imparting courses on disaster management as well provide criteria for assessment of training courses.

**This draft guideline aims to achieve the following objectives:**

- a) Introducing professionalism in training and capacity building on DM and standardization of processes.
- b) Fostering competencies by providing guidance for the improvement of the existing and future disaster management training/courses
- c) Inculcating a value system and introducing a behavioral change.
- d) Enabling an Institution to state publicly that it has voluntarily accepted independent assessment/inspection and has satisfied all the requirements for imparting quality training on disaster management.
- e) Providing confidence and assurance on good standing of an institution/ programme to government departments and other stakeholders.

The overall system of Standardisation and quality assurance should be aligned with the training needs and strategic framework for capacity building.

**The draft guideline has the following sections:**

1. Background
2. Disaster Risk Profile of Himachal Pradesh.
3. Policy Landscape, Existing infrastructure and institutional mechanism for Training and Capacity Building on Disaster Management in Himachal Pradesh- an overview.
4. Benchmarks/ Standards for disaster management training institutions and programmes in the state and defining the criteria for assessment of such training programmes and courses.

# 2 DISASTER RISK PROFILE OF HIMACHAL PRADESH

The geo-climatic conditions as well as its close proximity to the Himalayas make Himachal Pradesh highly vulnerable to natural hazards. The State is highly vulnerable to earthquakes, landslides, flash floods, cloud bursts, avalanches, forest fire etc. Unplanned and unscientific development activities in the hill areas, indiscriminate felling of trees and removal of forests, growing urbanization and increasing pressure of population are the primary causes for increasing vulnerability to disasters. Further, the climate change is expected to increase the frequency and intensity of current extreme weather events and give rise to new vulnerabilities with differential spatial and socio-economic impacts on communities. The climate change impacts are likely to have severe impacts on the hydrological cycle, water resources, forest & ecosystems, food security, health and other related areas.

District	Earth-quake	Landslide	Flood	Avalanche	Forest Fire	Drought	Cloud Burst
Kangra	VH	L	M	MH	H	H	M
Chamba	VH	VH	H	M	H	M	H
Hamirpur	H	L	L	-	VH	M	L
Mandi	VH	H	H	-	VH	M	H
Kullu	VH	VH	H	H	H	M	VH
Bilaspur	H	M	L	-	VH	M	L
Una	H	L	H	-	M	H	L
Sirmour	H	L	L	-	VH	M	M
Solan	H	M	L	-	M	M	L
Kinnaur	H	H	H	VH	M	M	VH
Lahaul & Spiti	M	M	M	VH	M	M	H
Shimla	VH	H	H	M	H	M	H

Table 1: District-wise Hazard Threat in Himachal Pradesh  
Source: State Disaster Management Plan, 2012

# 3 POLICY LANDSCAPE, INSTITUTIONAL MECHANISM AND FACILITIES FOR DISASTER MANAGEMENT TRAIN- ING AND CAPACITY BUILDING

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The state of Himachal Pradesh has put in place the institutional mechanism for disaster management as per the provision of Disaster Management Act, 2005. The state government has constituted the SDMA and the DDMA in respective districts. Both SDMA and DDMA have been mandated to organize training and capacity building programmes to build capacity for disaster risk reduction.

The Government of Himachal Pradesh has also formulated the State Training Policy in 2009 which explicitly recognizes the need for training and capacity enhancement and enjoins upon the government "a duty to ensure that it makes all efforts to improve the competence of its employees who are the principal agents of delivering all that the State strives to achieve for its people.'

The key objectives of the State Training Policy are to: (i) Promote better understanding of professional requirements in the given and emerging socio-economic and political environment. (ii) Update and enhance professional knowledge and skills needed for better performance of individuals and organizations as a whole. (iii) Bring about the right attitudinal orientation.

As per the State Training Policy, there is a State Level Empowered Committee on Training to review the implementation of the State Training Policy comprising of following members:-

1. Chief Secretary Chairman
2. Pr. Secy.(Personnel) Member
3. Pr. Secy.(ARO) Member
4. Pr. Secy.(Training) Member
5. Pr. Secy.(Finance) Member
6. Pr. Secy.(RD) Member
7. All the other Admn. Secretaries Member
8. SIO,NIC Member
9. Director HIPA Member Secretary



## The committee is proposed to undertake the following functions

- Develop Annual Action Plan for the training of employees for better delivery of public services.
- Review and monitoring of the action plan vis-à-vis target and achievements in the field of trainings imparted to the employees of each department for last one year.
- Explore and suggest the design and implementation of training courses and modules for State Government Employees.
- Assess the thrust areas in view of emerging issues on which the training is to be provided to the employees of the each department.

In addition to above, the policy also recommends to set up a Training Review Committee in every department under the Chairmanship of the concerned Secretary which shall meet at least once every quarter and shall monitor and review the work of training of employees in that department.

A representative of the department of training/HIPA will invariably be associated with these committees. A Nodal Officer shall also be appointed in each department.

To understand the training needs ( with focus on DRR and CCA) existing in various departments within the government at various levels a state level training need assessment study had been conducted. The study clearly identified that all departments in the state irrespective of their roles would require to be trained in the following aspects of disaster risk reduction/DM as mentioned below. The training modules would be developed for different categories of employees depending upon their roles. The main areas where training inter alia would be provided are as under:-

- Awareness about the provisions of the Disaster Management Act, 2005 & NAPCC/SAPCC including Hyogo framework / SFDRR.
- Orientation and awareness on Disaster Management & Climate Change Adaptation and allied aspects.
- Preparation of DMPs and integration of CCA component in it.
- Preparation of Response Plans
- Training to perform the ESF assigned to the departments.
- Training on integration of DRR & CCA into development plans and policies
- Training on mitigation measures and plans
- Community awareness and IEC on DRR & CCA.
- Damage and Needs Assessment
- Conduct of mock drills.

The state government is also in the process of developing a capacity building strategy for the state.

There are seven major institutions in the state engaged in imparting training on disaster management. These institutions are as follows:

1. HIPA- Disaster Management Cell
2. Revenue Training Institute, Joginder Nagar
3. SIRD- State Institute of Rural Development
4. Government College of Teacher's Education
5. Himachal Pradesh Panchayati Raj Training Institute
6. Atal Vihari Vajpayee Institute of Mountaineering and Allied Sports, Manali
7. State Fire Training Centre ,Baldayen at a distance of 22 kms from Shimla

Additionally, training on disaster management has also been conducted by Directorate of Youth Services and Sports, PHE training cell, Town and country planning department, SJVN (Sutlej Jal Vidyut Nigam), private agencies and NGOs.

SEEDS, an NGO, in collaboration with the Department of Education have trained school teachers on School Safety. HP State Council for Science, Environment and Technology has carried out training of Masons. NIT Hamirpur has also carried out training of Engineers, Architects etc.

Whereas some information is available on the topics covered under the various training programmes conducted by different institutions and department, not much information is available on the training methods, course materials, infrastructure and learning resources made available to the trainees, overall course management structure and the quality of resource persons/trainers engaged for imparting the training.

# Brief overview of the various institutions engaged in Disaster Management Training

**HIPA:** Himachal Pradesh Institute of Public Administration has dual role as an Administrative Training Institute as well as State Institute of Rural Development (SIRD), Mashobra-Shimla.

**Disaster Management Centre, HIPA** has been imparting training to the various government functionaries on different aspects of disaster management. Till 2015, HIPA received grant from National Institute of Disaster Management, New Delhi to conduct training programmes. The funds are also being routed from the department of Revenue received in the department through NDMA as well as under the Capacity Building Fund granted under 13th Finance Commission. The centre so far has organized a total 132 training programs for the Government employees as well as representatives of Panchayati Raj Institutions, Urban Local Bodies, Government Agencies, NGOs, Mahila Yuvak Mandals and other public/private agencies in the State, Approximately 4739 participants have been trained.

**SIRD-HP** has been established under a Centrally Sponsored Scheme- "Strengthening of State Institutes of Rural Development (SIRDs)", in the year 1981-82 within the campus of HIPA at Fair lawns. SIRD, HP is the apex training institute of the state for capacity building of all the stakeholders of Rural Development and Panchayati Raj Department including functionaries and Elected Representatives of PRIs and officials of various line departments.

**The SIRD is mandated to undertake the following tasks:**

- To conduct short term and long term training programmes for the officials and non officials engaged in Rural Development and Panchayati Raj.
- To organize seminars, conferences and workshops for experts academicians, administrators, researchers and non officials on various rural development issues and concerns.
- To undertake action oriented research and documentation of activities of Rural Development agencies and to prepare case studies as inputs for the training.

**State Council of Education and Research Himachal Pradesh Panchayati Raj Training Institute:** The Panchayati Raj Training Institute, Mashobra was established as a Government Institute, under the Panchayati Raj Department in the year 1978, by the Government of Himachal Pradesh. The Himachal Pradesh Government by the notification dated 31st July, 1978 took over the Institute under its control and also shifted the campus to a place called Mashobra in District Shimla. Before 1978 it was run as an autonomous body at a place called Salogra in district Solan of Himachal Pradesh. This institute has been imparting training to the Panchayati sahayaks on disaster management.

**Atal Bihari Vajpayee Institute of Mountaineering and Allied Sports:**

The Atal Bihari Vajpayee Institute of Mountaineering and Allied Sports, Manali (ABVIMAS) conducts training programmes on search and rescue. The institute has hostel facility and can accommodate 260 people at a time. It also has an auditorium that has a seating capacity of 680 people along with a library, museum and lecture halls.

**Government College of Teacher's Education, Dharamshala:**

Government College of Teacher Education, Dharamshala, was established in September 1956 to meet the growing demand of trained teachers. Later during 1993 Ministry of Human Resource Development, Govt. of India, New Delhi, upgraded the college from Government College of Education to Govt. College of Teacher Education. The College is now considered as a centre of excellence in Teacher's Training Programme. Teachers in the state of Himachal Pradesh are being trained on school safety and other aspects of disaster management through this institution.

**State Council of Educational Research & Training,(SCERT) Solan-Himachal Pradesh**

SCERT acts as an apex body on school education in pursuance of the recommendations of National Policy on Education-1986 (NPE-1986) and is the umbrella body to implement and monitor all the National Educational Programmes. The council is mandated to undertake training programmes, evaluation and research work in the field of School Education and organize in-service programmes for teachers, teacher-educators, administrators and ministerial staff. SCERT is also engaged to train teachers in the state on the subject of disaster management and school safety.

**State Fire Training Centre, Baldayen:** This training centre is engaged in providing training on fire safety.

# 4 PROCESS FOR STANDARDISATION, MINIMUM STANDARDS & CRITERIA FOR ASSESSMENT

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At present there is no system for benchmarking of training institutions and courses/training programmes on Disaster Management in the state of Himachal Pradesh. Any benchmarking or standardisation process is guided by the principles of quality standards and provides opportunities for development, rate the effectiveness, enhance the level of satisfaction of all interested parties/stakeholders and develop quality consciousness

This draft guideline will be used by the State Government of Himachal Pradesh for standardisation of disaster management training programmes and setting benchmarks for institutions involved in imparting training on disaster management.

**The purpose of standardisation and setting benchmarks will be as following:**

- Ensuring that the institution as a whole has satisfactory infrastructure, values, management and system to implement various courses/trainings on disaster management.
- Providing assurance that the course/training programme is sufficient in terms of its content, structure, delivery methods, outreach etc.

The guideline outlines the criteria for assessment, principles for standardisation and the major steps involved in it thereby providing a framework to plan, monitor and improve necessary disaster management training courses in the state.

## Key Steps for standardisation and setting benchmarks:

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- SDMA /Department of Revenue will map the institutions (including NGOs and private companies) imparting training on Disaster Management and list out the various disaster management training programmes that are being conducted in the state of Himachal Pradesh.
- SDMA/Department of Revenue based on the Training Need Assessment Report, will identify the key areas in which training is required and accordingly will develop standard training modules relevant in the context of Himachal Pradesh.

- SDMA will set up a peer review group to vet the training modules and approve them. Once approved, these training modules will get standardized and will be applicable across the state. All the institutions receiving financial assistance from Government of Himachal Pradesh on imparting training on various aspects of disaster management will follow these modules respectively.
- Once standard modules are in place, SDMA will prepare a list of available resource persons/ experts and institutions including NGOs, colleges, universities and private organizations within the state of Himachal Pradesh who can be engaged by different institutions and departments for conducting training programmes on disaster management.
- SDMA will also invite letter of interest from various local level institutions/NGOs and other organizations interested in imparting training on DM. These entities will have to submit their application to SDMA along with the filled up self assessment format as provided in Annexure 1.
- SDMA/ Department of Revenue will also conduct a training of trainer's programme by inviting officers from various departments in the state having interest in the subject of disaster management with adequate skills to impart training.
- SDMA will identify certain minimum standards and introduce a process of self evaluation and external peer evaluation to assess the various disaster management training programmes. This process will include assessment of the training institutions as well as the training programmes against the set standards.
- The institutions imparting trainings will send Self-Assessment Report (SAR) in the prescribed format. (Please find the format in Annexure 1). The self assessment report will help the institutions to highlight their strengths as well as capacity gaps. The self assessment reports submitted by the training institutions and other agencies will further help SDMA to improvise its training and capacity building strategy as well as address the gaps existing on ground with respect to delivery of trainings, outreach, infrastructure and any other issue. The institutions will submit the self assessment formats to SDMA for review.
- A third party will be engaged by the SDMA/Department of Revenue to carry out the external evaluation of the training programmes. SDMA may take support from reputed universities, technical institutions, international organizations and NIDM to carry out external evaluation.
- The final decision made by the Third Party will be communicated to the SDMA/Department together with comments which portray strengths, weaknesses and scope for improvement. In case if a programme/course is not found as per the standards, reasons for the decision will also be given.
- If necessary, SDMA will appoint a Mentoring Team to provide necessary guidance to the institutions/organizations/NGOs/private firms engaged in imparting DM trainings and education programmes. The mentoring team will work with the institutions and provide necessary feedback for improvement. SDMA will bear the expenses of the visit and pay honorarium to the mentors.

## Setting up a committee

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To implement the guideline, State Government of Himachal Pradesh needs to set up an Executive Committee within the SDMA. The structure of the Committee may be decided in consultation with Department of Revenue and Department of Training of Personnel.

## Key steps involved in Self Assessment by Training Institutions

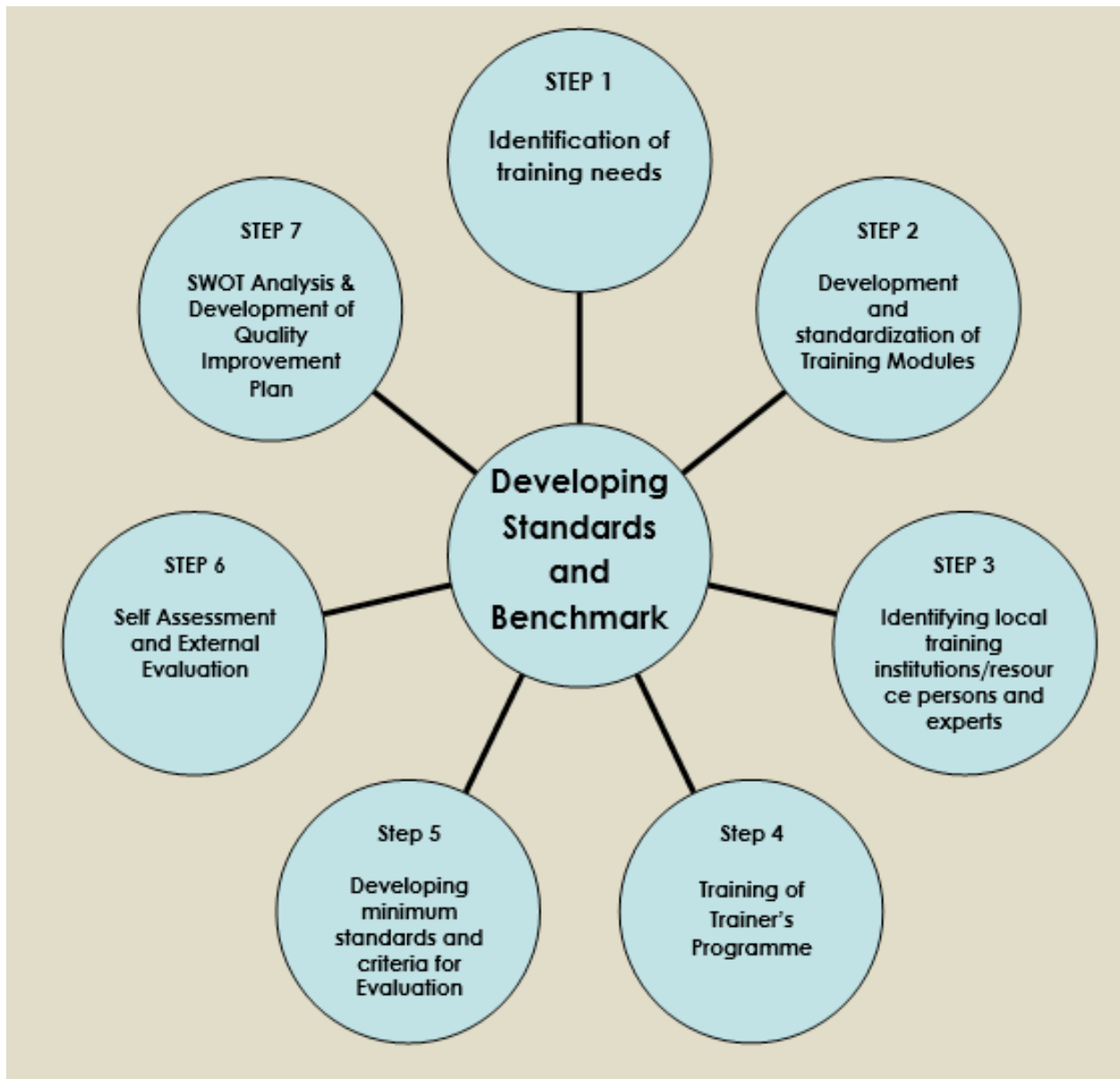
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Concerned institution/agency/organization/NGO will have to duly fill up the self assessment format. (Refer Annexure 1). The self assessment will capture the processes adopted for conducting trainings and help in identifying the strengths, weaknesses and areas for improvement. SDMA will review the self assessment formats and take up necessary corrective measures if required any from their end to address the concerns raised by the institutions. SDMA will also share the self assessment formats with the Third party engaged for doing the external evaluation.

## Key steps involved in External Assessment:

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The third party engaged by SDMA will review the self assessment formats submitted by different institutions with respect to various disaster management training programmes. Once desk review of the self assessment formats is done the team will visit the site and evaluate the training programmes through consultation meetings, review of evidences gathered from the institutions and physically attending some of the training sessions. Based on the findings a SWOT analysis will be done and a Quality Improvement Plan will be suggested along with proposed actions and timeline for implementation.



Process of Standardisation and Benchmarking



# Minimum Standards and Criteria for External Evaluation:

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The minimum standards to be followed by any training institution/organization/NGOs/Private Firm for conducting training programmes/Education Programmes on Disaster Management are as follows:

## **1. Availability of well trained human resources:**

The institution/organization/agency should have adequate training staff and support staff with appropriate qualifications and competencies to carry out the training courses/programmes. There should be regular reviews for identifying competency, of the staff, addressing their professional development needs as well as for introducing innovative approaches in training delivery methods. The appraisal procedures for trainers incorporate regular classroom observation.

For conducting training programmes throughout the year (approx duration of 52 weeks) in a year, the institution should have the following human resources:

- 2 subject matter expert (one from the field of disaster management other with special expertise in training delivery) on permanent pay roll.
- 2 support staff /training assistants on permanent pay roll.
- There should be a designated course coordinator for each of the courses within the institution/ agency

In addition to this the institution/agency should have a list of resource persons/experts available preferably within the state who can be engaged as per the need of the training courses. The institution/agency can also enter to agreement to engineering colleges, NGOs and civil society networks based in the state of Himachal Pradesh to organize field visits for technology demonstration, community interactions and showcasing of innovative DRR measures.

## **2. Following Standardized Training Modules and Contents:**

Standard training modules developed in context of Himachal Pradesh should be used for conducting the trainings. Content of the various courses should be designed to meet the course objectives. The academic backgrounds and particular needs of participants are taken into account in the delivery of the course. It should be ensured that the training module and the course content meets the needs of the participants and is also relevant in the context of Himachal Pradesh as well as the current thinking and development in the field of disaster management.

Disaster Management as a subject is multi disciplinary in nature with cross sectoral engagements. The course content should be developed in such a way that it should adequately address the requirements of participants coming from different backgrounds, sectors and professions.

Every training module designed, should be further divided into sub modules and each sub module should highlight the rationale, content, duration, methodology and outcomes to be achieved. A note should also be developed in each of the sub module to be used by the trainer.

### **3. Effective, Interactive and Need based Training Process and Methods:**

Training methods should involve and engage the participants throughout the duration of the course/program ensuring a high degree of interaction between trainees and faculty members/ resource persons. Trainers must employ effective strategies to involve all participants in active participation and check their understanding of concepts and course content.

The training methods may comprise of combination of classroom based lectures, field visits and group exercises. The Trainers should respond to different learning needs of participants where appropriate, taking various learning styles into account in their planning and delivery of lessons. Training aids such as audio-visual clips that are directly relevant may be used to supplement the training by the Faculty members/ Resource Persons.

### **4. Mandatory Attendance:**

It should be made mandatory for the participants to attend all the sessions in the course/program to make them eligible to get the certificates. Each trainee should be provided with course materials as learning aids.

### **5. Documentation of training programmes, database of trainees and Feedback mechanism:**

Institutions/agencies should develop a robust documentation system capturing details of the various training programmes, field visits and any other collaborative efforts taken up for the purpose of conducting disaster management courses. Records of the stage wise course delivery and participant's evaluation shall be maintained. The evaluation and feedback mechanism will be used for undertaking corrective measures if any required as well as for overall improvement of the course. Detailed database of the trainees should also be maintained.

### **6. Provision of basic physical Infrastructure and other facilities:**

Adequate infrastructure and facilities are key for effective and efficient conduct of training programmes/ courses. The institutions/ organizations conducting the training programmes should ensure availability of basic infrastructure for training like training halls and equipments (LCD projector, white boards, flash cards, audio visual training aids, round tables, printers, computers, etc), canteen/refreshment arrangements and supportive services. In case of weeklong programmes of residential category, adequate arrangements for boarding and lodging should be available. The trainees should have access to learning materials, knowledge products and basic ICT facilities particularly in case of residential training programmes where trainees will have to submit course work.

### **7. Management Structure:**

The institutions imparting training programmes on disaster management should have a well defined management structure responsible for ensuring delivery of quality training programmes. The institutions should have proper organograms defining roles and responsibilities of each member. There should be an effective mechanism to ensure communication and coordination among the staff. There should be a Course Administrator and Course Coordinators who are qualified, experienced and understand their responsibilities. There should be guidelines available to the course administrator and Course Coordinators on how to conduct the course and reach out effectively to the targeted participants.

## 8. Inclination for Research:

The institutions/agencies should have orientation, interest and experience to conduct action oriented as well as policy level research in the field of disaster management.

## 9. Transparent Financial Management

The institution/agency/organization should have the capacity to ensure transparency in financial management and income and expenditure of the institution/agency should be subjected to regular internal and external audit.

## 10. Evaluation :

Evaluation of the Training Programmes at regular intervals through a Third Party for quality assurance

# Minimum Standards for conducting online Disaster Management Courses if any:

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Any independent education or training institution in Himachal Pradesh can become eligible as a provider of online, distance courses on Disaster management provided that the following requirements as mentioned below are fulfilled:

- The provider is established as a deliverer of online and distance learning programmes.
- The services provided must be managed and administered from within Himachal Pradesh.
- The online course is led by a course director who is a legal resident in India.

## Criteria for External Evaluation:

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The above mentioned minimum standards will form the basis for external evaluation. The purpose of the evaluation will be to understand how far the minimum standards were fulfilled while delivering a training programme. Certain key questions as listed below can be used for doing the external evaluation. In addition an Evaluation Matrix has been developed and attached as Annexure 2.

### Key Questions for Evaluation

- 1) What are the efforts made to enrich the training courses/programmes in terms of its content and delivery methods?
- 2) Does the institution/agency use blended learning methods or follow the traditional class room lecture method only?
- 3) Enumerate the efforts made to integrate the cross cutting issues such as Use of ICT Gender, Climate Change, human rights, social inclusion ,social justice and equity within the training modules of disaster management?

- 4) What are the various value-added measures undertaken to make the training courses innovative and interesting?
- 5) Citing a few examples and enumerate on the extent of use of the feedback from stakeholders in enriching the design and delivery of the courses?
- 6) How does the institution monitor and evaluate the quality of its Training Courses?
- 7) Is there a formal mechanism to obtain feedback from various stakeholders on the module of the courses?
- 8) Does the institution/agency assess the needs of the trainees in terms of knowledge and skills before the commencement of the programme? If 'yes', give details on the process.
- 9) What are the strategies adopted by the institution to bridge the knowledge gap of the participants to enable them to cope with course?
- 10) What are the technologies and facilities available and used by the faculty for effective training?
- 11) Is field visits part of the training courses? If so give details of field visits.
- 12) How are the trainees and faculty exposed to interactive learning?
- 13) How does the institution/agency collaborate and interact with universities, engineering colleges, community networks, industries, research institutions and any institution of national importance for sharing of knowledge, expertise, staff and facilities? Provide details on the MoUs/collaborative arrangements (if any)
- 14) Give details on the computing facility available (hardware and software) at the institution/agency
  - Number of computers with Configuration (provide actual number with exact configuration of each available system)
  - Computer-student ratio
  - Stand alone facility
  - LAN facility
  - Wifi facility
  - Licensed software
  - Number of nodes/ computers with Internet facility
  - Any other
- 15) Is there any plan to upgrade the IT infrastructure and associated facilities?
- 16) What is the arrangement and budget available for maintenance of IT facilities annually?
- 17) What are the major steps taken for location, upkeep and maintenance of sensitive equipment (voltage fluctuations, constant supply of water etc.)?
- 18) Does the organization/institution/agency has its own disaster preparedness plan in place?
- 19) How does the organization/agency maintain and upgrade its library/resource repository?
- 20) How does the institution/agency ensure professional development of its training and non training staff?

- 21) What is the institutional mechanism for monitoring the effective utilization of the available financial resources?
- 22) What are the institutional mechanisms for internal and external audit? When was the last audit done? What were the major objections? Provide details of the compliance.
- 23) Does the institution have capacity to mobilize additional resources for disaster management courses from other sources apart from government? If so mention the names of the sources?

# ANNEXURE I

## Form for self-assessment report

Name of the organisation/institution/agency	
Address ( locational details along with landmark)	
Communication details:	
Telephone	
Fax	
E-mail	
Website	
Name and contact details of the Course Coordinators/Course Administrators	
Type of Organisation	
Govt. Training Institutions	
Private Institution	
Private Company	
NGOs	
Public Sector Units	
Private College	
Govt. College	
Source of Funding	
Grant in aid	
Government	
Self financing	
Others	
Facilities available in the Campus	
No. of hostels	
Canteen/Pantry/Refreshment arrangements during training	
Generator or other facilities for management/regulation of electricity and voltage	
No. Of Training Halls	
Projectors	
Computers	
Library/Resource Repository	

Details of Courses offered during last Five Years	
Name of the Course	
Duration	
No. Of trainees who attended	
No. Of Resourcce persons engaged for training delivery	
Types of training aids used	
Did the training involved in field visit (provide details ifYES)	
Detail of target group (govt. Employees,Teachers, panchayat sahayaks, SHGs, CBOs, NGOs,etc)	
Number of Training and Non Training Staff	
Training faculty	
Non Training Staff	
Number of Visiting faculty	
Trainers-Trainee Ratio	
Highest Qualification acquired by the Training Staff	
Training faculty	
Qualification	
Years of Experience	
Areas of Specialisation	
Non Training Staff	
Qualification	
Years of experience	
Areas of Sepcialisation	
Number of Visiting faculty	
Trainers-Trainee Ratio	
Qualification details of the Training Staff	
Special Remarks If any (highlighting gaps and challenges):	

# ANNEXURE II

## Evaluation Matrix

S.No.	Criteria	Assessment indicators	Yes	No	Means of Verification	Plan for improvement exist
1.	Availability of Well Trained Faculties / Resource Persons/Experts	The institution has adequate & well trained faculty			CVs	
		Faculties are encouraged to apply innovative training methods.			Course plans (schemes of work) Feedback forms submitted by the trainees at the end of the training programme	
		The institution organises capacity development programmes for faculties			--	
		There is an effective system for reviewing the performance of the staff			Minutes of the staff meeting and review of the staff appraisal reports	
		Effective coordination and communication take place among the staff			Reviewing of such documents like Meeting Notices, information bulletin, circulars	
2.	Standardised Training content and Modules	The course content and the training module developed/ adopted have relevance to the local and national needs. meets the objectives of the training course			Course plan and Course modules	
		Training modules address the various cross cutting issues like gender equality, social inclusion, social justice and equity, environment protection ,climate change etc.			Training modules	



S.No.	Criteria	Assessment indicators	Yes	No	Means of Verification	Plan for improvement exist
3	Training Process and Methods	Comprehensive course materials provided to the participants			Review of training materials	
		Blended training methods are used			Onsite visit	
		Need and knowledge gap assessment done at the beginning of the training			--	
		Field visits are organized for making the learning method interactive and practical			Photographs and field reports	
		Collaborative efforts are being made with other organizations for sharing of knowledge, facilities and learnings			Meetings ( telephonic) or face to face)	
		Feedback system is in place and the inputs are used for corrective measures.			Feedback forms	
4	Documentation and Feed Back Mechanism in Place	Detailed documentation of various training courses available in the institution/ agency.			Training reports	
		Database of trainees maintained			Telephonic meetings with the participants	
5	Financial Management	Feedback forms are also archived for analysis in future.				
		The institution/agency maintains a corpus fund.				
		The institution /agency has conducted internal external audit on a regular basis				
		The institution/agency and its leaders take initiatives for mobilization of resources.				
6	Research	Orientation ,capacity and interest for policy level as well as action oriented research exists			Evidences of research work carried out in past and publications if available any	

S.No.	Criteria	Assessment indicators	Yes	No	Means of Verification	Plan for improvement exist
7	Physical Infrastructure and facilities	Institution/agency ensures availability of adequate training infrastructure like training halls, training aids, projectors and other facilities ( like hostels, internet, refreshment facilities) to conduct disaster management training/courses successfully.				
8	Management Structure	Institution has well qualified course coordinators/ Administrator				
		There is an effective system for reviewing the performance of the staff.				
		Effective coordination and communication take place among the staff .				

# ANNEXURE III

## Literature Review

### Reviewing few of the existing system for accreditation of Academic Programmes in India and other selected countries:

While formulating this guideline an attempt has been made to critically review the existing accreditation system for higher education in India and few other selected countries. The purpose of this in-depth literature review was to understand the accreditation processes and criteria used for assessment to ensure quality education.

In India some of the major bodies for accreditation are NAAC, NBA and NABH. Each of these bodies is responsible for accreditation of various institutions and /or programmes involved in higher education.

**NAAC:** The National Assessment and Accreditation Council (NAAC) is an autonomous body established by University Grants Commission (UGC) of India in 1994. It is primarily responsible to assess and accredit institutions of higher education in the country. It is an outcome of the recommendations of the National Policy in Education (1986) which laid special emphasis on upholding the quality of higher education in India. NAAC's working is governed by the General Council (GC) and the Executive Committee (EC) in which University Grants Commission (UGC), All India Council for Technical Education (AICTE), Ministry of Human Resource Development (MHRD), Association of Indian Universities (AIU), Universities, Colleges and other professional institutions are represented. Senior academics and educational administrators are nominated as members in these two bodies.

The process for assessment and accreditation followed by NAAC broadly consists of:

- Preparation of Self-Study Report (SSR), and uploading it on the institution's website prior to submission of Letter of Intent (LOI).
- On-line submission of the Letter of Intent (LOI).
- LOI will be processed by NAAC and the decision in this regard shall be communicated within 15 days. The institutions will submit the registration fee (demand draft) so as to reach NAAC within 10 days of submission of LOI.
- On-line submission of Institutional Eligibility for Quality Assessment (IEQA) for applicable institutions within one week of acceptance of LOI.
- Submission of Hard Copies of SSR within two weeks of acceptance of LOI/IEQA
- Peer team visit to the institution. (NAAC decides on the dates of visit and constitute the teams to visit the institutions within three weeks of receipt of SSR.)
- Final decision by NAAC.

Following seven criteria serve as the basis for assessment procedures in NAAC.

- Curricular Aspects
- Teaching-Learning and Evaluation
- Research, Consultancy and Extension
- Infrastructure and Learning Resources

- Student Support and Progression
- Governance, Leadership and Management
- Innovations and Best Practices

**NBA:** The National Board of Accreditation (NBA), India was initially established by AICTE (All India Council of Technical Education) under section 10(u) of AICTE Act, in the year 1994, for periodic evaluations of technical institutions & programmes based on specified norms and standards as recommended by AICTE council. NBA in its present form came into existence as an autonomous body with effect from 7th January 2010, with the objective of Assurance of Quality and Relevance of Education, especially of the programmes in professional and technical disciplines, i.e., Engineering and Technology, Management, Architecture, Pharmacy and Hospitality, through the mechanism of accreditation of programs offered by technical institutions. The process, parameters and criteria for accreditation followed by NBA are in line with the best international practices and oriented to assess the outcomes of the programme.

The NBA functions through its General Council and Executive Committee. The affairs of NBA is managed, administered, directed and controlled as per the rules and bye laws approved by the Executive Committee and ratified by the General Council.

The general council of NBA has 21 members headed by a chairperson. Member Secretary of the NBA is the ex-officio Member Secretary of the General Council. The Secretary of the Department dealing with Higher and/or Technical Education, Govt. of India or his/her nominee is an ex-officio member of the council.

The other members are as follows:

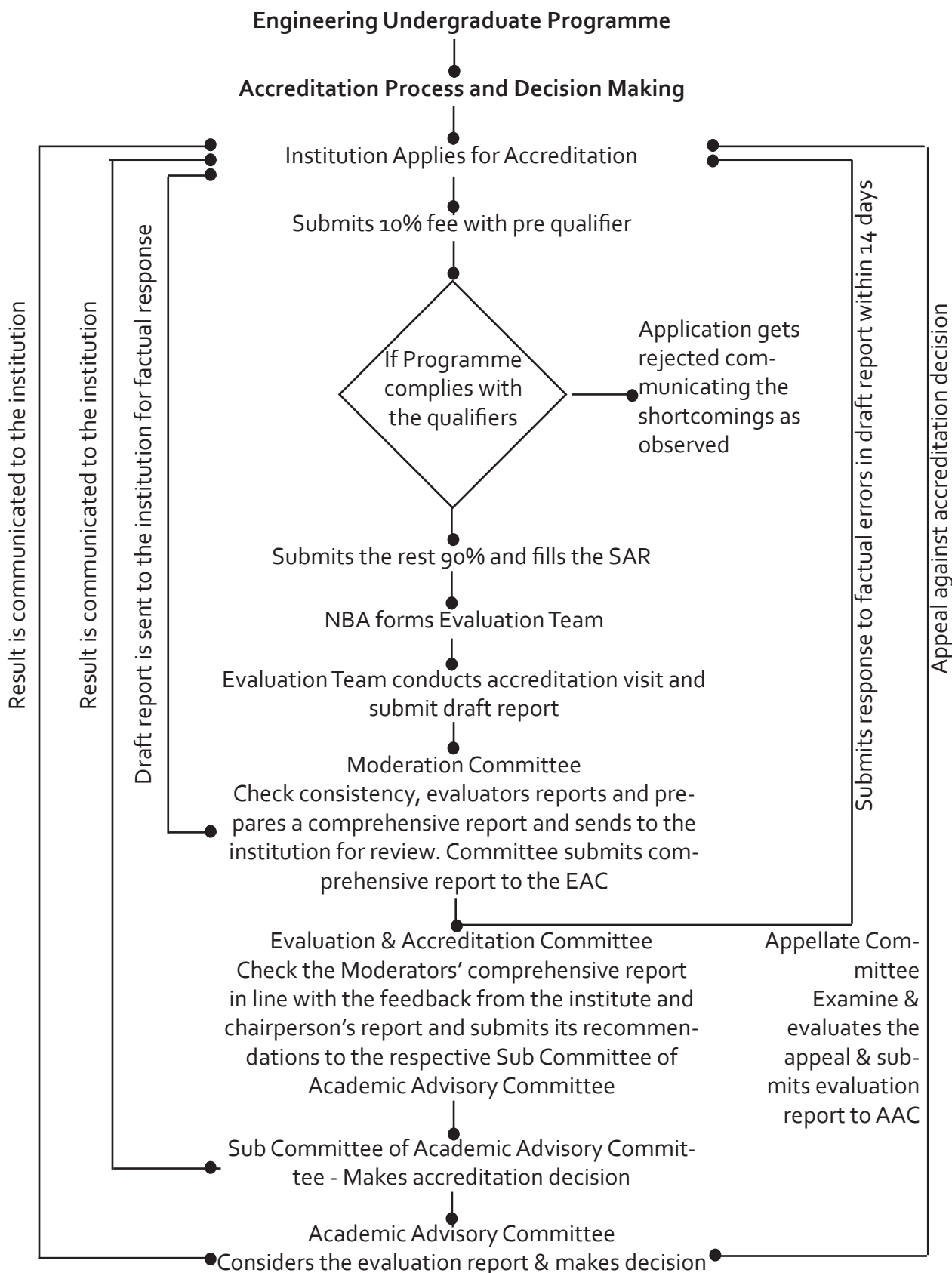
- Two chairpersons of Statutory Authorities established by law for coordination, determination and regulation of standards of higher and/or technical and professional education in their respective fields or his/her nominee by rotation are ex officio members.
- Two representatives from industry/professionals to be nominated by the Central Government
- Three Principals of affiliated/ autonomous colleges, including polytechnics, one each from discipline of Engineering or Technology, Pharmacy and Applied Arts and Crafts, to be nominated by Chairperson, NBA.
- Director of a School of Planning and Architecture to be nominated by Chairperson, NBA
- Director of an Indian Institution of Management to be nominated by Chairperson, NBA
- Vice-Chancellors of two universities which are established and maintained by State Governments, to be nominated by Chairperson.
- Vice-Chancellor of a Central University offering programmes in technical or professional education, to be nominated by Chairman, NBA
- Director of an institution of national importance in the field of technical education, to be nominated by the Chairperson of NBA.
- The President of the Association of Indian Universities (A.I.U) or his/her nominee.
- Four members of the Executive Committee nominated by the Executive Committee.

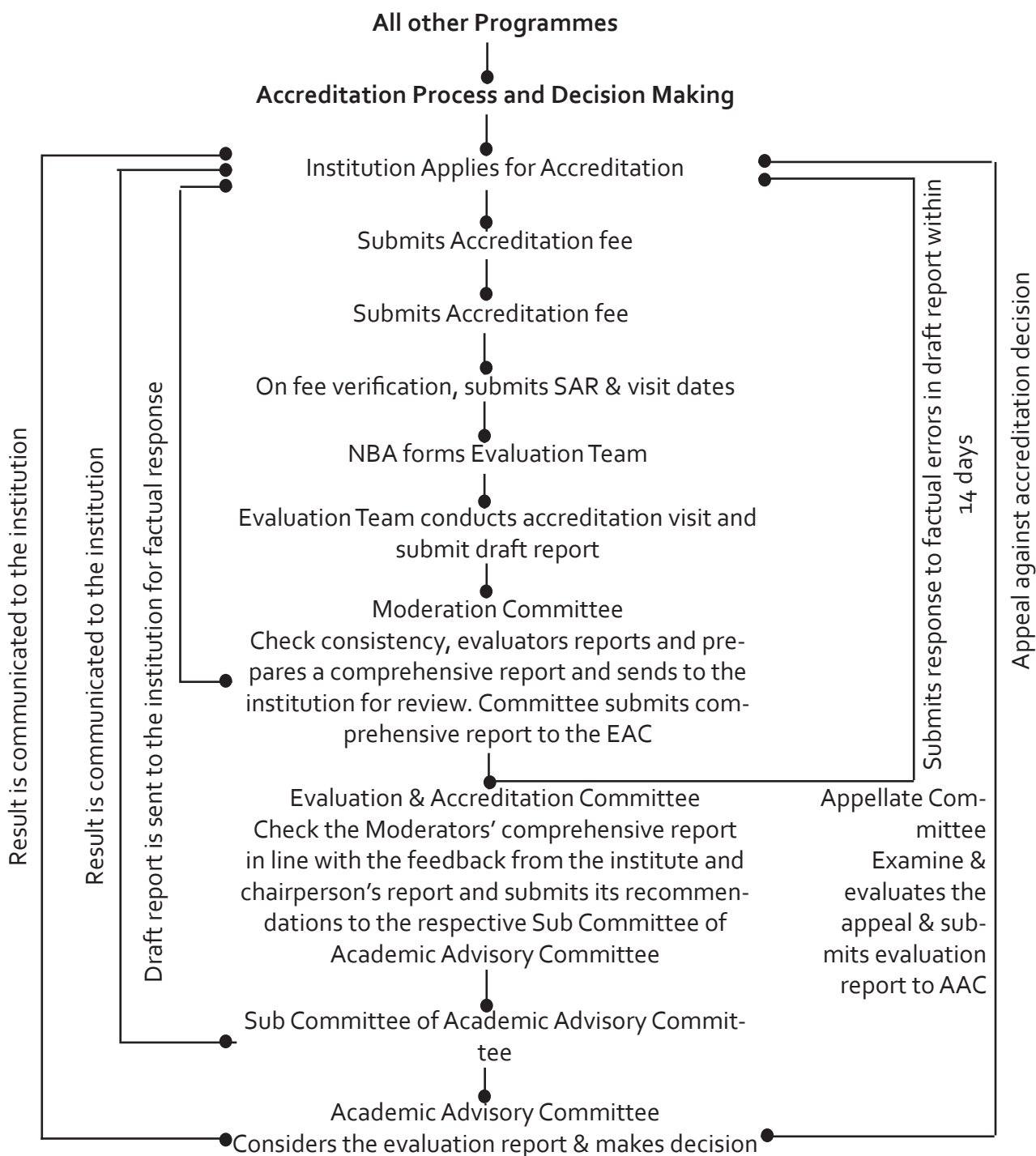
The Executive Committee of NBA comprises of 21 members headed by a chairperson. Member Secretary of the NBA is the Member Secretary of the General Council and Executive Committee. The Secretary of the Department dealing with Higher and/or Technical Education, Govt. of India or his/her nominee is an ex-officio member of the council. Chairperson of the All India Council for Technical Education is also the ex-officio member of the Executive Committee

Other members of the committee are as follows:

- Chairperson/President of one of the Statutory Authorities established by law for coordination, de termination and regulation of standards of higher and/or technical and professional education in their respective fields or his/her nominee by rotation are ex officio members.
- Four Secretaries of Higher & Technical Education of State Governments to be nominated by the Chairperson
- Four academicians to be nominated by the Chairperson, from a panel of names approved by the General Council.
- Four experts from industry to be nominated by the Chairperson, from a panel of names approved by the General Council.
- Two experts from professional bodies or industry to be nominated by the Central Government
- The Executive Committee may co-opt maximum two experts in the field of Accreditation from India

The Accreditation process followed by NBA is rigorous. The following flow charts below show the accreditation system for under graduate engineering and all other programmes.





**National Quality Assurance Framework (NQAF):** India also has the National Quality Assurance Framework (NQAF) which aims to improve the quality of all education and training/skills programmes in India. The NQAF provides the benchmarks or quality criteria which the different organisations involved in education and training must meet in order to be accredited by Competent Bodies to provide government-funded education and training/skills activities. This is applicable to all organizations offering NSQF-compliant qualifications.

The NQAF Manuals provide guidance for different groups of organizations, describing what each needs to do to meet the quality criteria. There are 7 Manuals in total which are as follows:

- Manual 1: Registration of NSQF Qualifications and Supporting Materials
- Manual 2: Accreditation of Training/Education Institutions
- Manual 3: Accreditation of Assessment Bodies
- Manual 4: NQAF Auditor’s Manual
- Manual 5: NQAF Risk Assessment Framework Manual
- Manual 6: Quality Assurance of Industry Bodies
- Manual 7: Quality Assurance for National and State-Level Bodies.

The major criteria used for Assessment by NQAF for training and education institute are as follows:

Main Groups	This group contains criteria in the following categories:
A. Legal Status	This is a single category. It describes the criteria relating to the legal status of the Training Education Institution.
B. Management of Learning Services	Criteria relating to: 1. Governance & Management 2. Stakeholder Engagement 3. Customer Service 4. Access & Equity 5. Sub contracting & Additional Training Sites 6. Managing Quality
C. Management of Facilities & Resources	Criteria relating to: 1. Facilities Management 2. Using & Maintaining Essential Equipment 3. Learning Resources
D. Capacity of Teaching & Support Staff	Criteria relating to: 1. Quality in Teaching & Learning 2. Management of Teaching & Learning 3. Professional Development
E. Student Services & Amenities	Criteria relating to: 1. Student Administration 2. Career guidance & Support Services 3. Data Collection



The accreditation process comprises of six steps which are as follows:

- STEP 1 - Preparing for application
- STEP 2- Completing the Self Evaluation
- STEP 3- Submitting the application for review
- STEP 4- The auditor's site visit
- STEP 5- The mutually agreed Quality Improvement Plan
- STEP 6- Accreditation Decision

### **BAC (British Accreditation Council):**

(BAC) was established in 1984 to be the national accrediting authority for independent further and higher education in the United Kingdom (UK). It is an independent, well-established and globally recognized national accreditation body and is a member of the European Association for Quality Assurance in Higher Education (ENQA) and is also listed in the European Quality Assurance Register for Higher Education (EQAR).

BAC is governed by its Council along with two committees which are Executive Committee and the Accreditation Committee. The Council comprises individuals and nominees of stakeholder organizations which are closely involved in maintaining educational standards. The Council meets twice a year, normally in April and November. Any significant changes to BAC's conditions, standards and criteria implemented by the Executive Committee must be ratified by the Council. The Council delegates responsibility for BAC's strategic direction to the Executive Committee, which acts as a board of directors for the company. The Chair of Council also chairs meetings of the Executive Committee. The Council's membership is drawn from a wide range of official UK regulatory bodies in further and higher education. It maintains an oversight of BAC, ensuring that its work is aligned with UK education policy and the highest standards of accreditation practice. The Executive Committee and Accreditation Committee oversee the regular work of BAC. The Executive Committee membership is drawn from the Council. Both committees periodically review the effectiveness of their own work. The Accreditation Committee makes all decisions with regard to accreditation status and oversees and reviews the design and implementation of the accreditation procedures. The Accreditation Committee's minutes are received by the Executive Committee.

The executive committee comprises of eight members and is responsible for providing strategic direction and manages day to day operation. There is a Chairman, deputy Chairman, honorary treasurer and five other members. The chairman of the Accreditation Committee is also a member of the Executive Committee.

The Accreditation Committee of BAC has full delegated authority from the Council to award, refuse, defer, suspend or withdraw accreditation. It discharges its duties keeping in mind the accreditation criteria set out by BAC in its Accreditation Handbook. The Accreditation Committee also has responsibility for keeping BAC's accreditation conditions, standards and criteria under review. Any changes considered appropriate are recommended to the Executive Committee which may then decide to implement them, subject to ratification by the Council at its next meeting.

**Structure of the Accreditation Committee:** The accreditation Committee of BAC comprises of 10 members headed by a chairman. There is a honorary treasurer as well. The committee is represented by members from Universities, colleges and students.

Accreditation process followed by BAC involves on site inspection focusing on quality assurance parameters like management, staffing and administration; teaching, learning and assessment; student welfare and premises; facilities etc.

The key steps involved in the accreditation process are:

- To start with research and preparation is carried out by the institution and application submitted to BAC for accreditation.
- BAC reviews the application form and supporting documentation.
- BAC arranges an inspection in consultation with the institution.
- The institution submits its self-evaluation documentation against defined criteria.
- The inspection is conducted by a specialist inspection team.
- The inspection report is submitted to BAC.
- The inspection report is considered by the Accreditation Committee.
- BAC notifies the institution of the Accreditation Committee's decision.

### **System for Accreditation and Quality Assurance in China:**

Quality assurance in the field of education in China is carried out by the Chinese Ministry of Education and several accrediting agencies at the national level. The major Accreditation agencies in China include the Heilongjiang Educational Assessment Network and the Hong Kong Council for Accreditation of Academic and Vocational Qualifications (HKCAAVQ). HKCAAVQ conducts accreditation activities for higher education and vocational education institutes. Jiangsu Educational Assessment Network also accredits education in the country.

HKCAAVQ follows four guiding principles for accreditation which are as follows:

**Threshold standard :** The accreditation is conducted based on a 'threshold standard', means that an Operator must demonstrate that it can operate programmes that meet the QF standards, and that a learning programme must meet a particular QF standard for entry onto the QR.

**Peer review:** The principle of 'peer review' is followed through the engagement of sector / industry experts who have the expertise and experience in the discipline / industry / quality assurance to form the Accreditation Panel.

**Fitness for purpose:** means that the accreditation is based on the Operators' stated objectives and the scope and level of the learning programmes they offer.

**Evidence based :** Evidence based' means the Accreditation Panel conducts the review and forms a judgment by referring to the evidence provided by Operators to support their claim that they meet the threshold accreditation standards and their own objectives.

Hongkong Council for Accreditation and Assessment of Academic and Vocational Qualifications follows a four stage quality assurance process. These four stages are

- Stage 1: Initial Evaluation (IE),
- Stage 2: Learning Programme Accreditation (LPA),
- Stage 3: Programme Area Accreditation (PAA)
- Stage 4: Periodic Review (PR).

The four stages are designed to develop Operators' competency in self-review, self-monitoring and enhancement of their internal quality assurance capacity. The external accreditation exercises help Operators develop internal mechanisms to improve the quality of their institutional operations and learning programmes.

**Stage 1** and **Stage 2** can be identified as facilitating Phase which help operators to become well aware of the accreditation requirements and collect information.

**Stage 3** helps the Operator to play a more matured role in developing and operating accredited programmes over time and to construct a track record of successful accreditation.

**Stage 4** enable a successfully accredited Operator to independently operate its learning programme(s) and enter these qualification(s) into the QR within the approved programme area(s) at the approved QF level or below during the validity period.

#### **Key responsibilities of the Operators in the accreditation exercise:**

- (a) To submit an accreditation document of a self-evaluative nature
- (b) To attach to the accreditation document (or application form, as appropriate) supporting documentation as evidence in respect of its application.
- (c) To provide additional information / documentation at the Accreditation Panel's request, including information requested before and during any site visit.
- (d) To prepare for the site visit, in line with the requirements stipulated in the relevant set of guidance notes as well as on further advice by HKCAAVQ Secretariat.
- (e) To participate in the interview sessions and engage in the discussions with the Accreditation Panel during the site visit.
- (f) To ensure that there are suitable facilities available to the Accreditation Panel during the site visit, including availability of a private meeting room with sufficient space for the Accreditation Panel and the interviewees, access to documentation, provision of reasonable refreshments in accordance with the administrative guidance notes for site visits.
- (g) To provide feedback on the factual accuracy of the draft accreditation report.

#### **Accreditation system in Singapore:**

To accredit a course or an educational institution, the Singapore government has formed various accreditation agencies which are mostly administered by the Ministry of education (MoE) or Standards Productivity and Innovation Board (SPRING) Singapore.

The Singapore Quality Class (SQC) is for accreditation of Private Education Organizations (PEO): SQC-PEO is a scheme to recognize PEOs that have attained a commendable level of performance in their journey to business excellence and to assist them to reach world-class standards of business excellence. It is based on the Singapore Quality Award Business Excellence Framework and requirements in the private education sector. Administered by SPRING Singapore, the SQC-PEO scheme serves as the industry standard for organization excellence in the private education sector.

#### **Council for Private education (CPE)**

Council for Private education (CPE) was established under the Private Education Act, the Council for Private Education (CPE) is a statutory board empowered with the legislative power to regulate the private education sector. In addition to its role as the sectoral regulator of Private Education Institutions (PEIs), the Council facilitates capability development efforts to uplift standards in the local private education industry. The Council is governed by a Board, helmed by Mr. Lin Cheng Ton, Chief Executive Officer of Nanyang Polytechnic International, and comprises experienced individuals from the fields of education, quality assurance and business, as well as economic agencies involved in the promotion of the private education sector.

## **Accreditation System in Australia:**

The Tertiary Education Quality Standards Agency (TEQSA) regulates and assures the quality of higher education sector in Australia. It is an independent statutory authority established in 2011. TEQSA registers and evaluates the performance of higher education providers against the Higher Education Standards Framework specifically, the Threshold Standards, which all providers must meet in order to enter and remain within Australia's higher education system.

In order to provide a higher education course, a regulated entity that does not have self-accrediting authority must have the course accredited under the Tertiary Education Quality and Standards Agency Act 2011 (TEQSA Act).

Accreditation may be granted for up to seven years. Prior to expiry of the accreditation period, the regulated entity can apply to TEQSA for renewal of accreditation. Initial accreditation and renewal of accreditation is granted if TEQSA is satisfied that the course of study meets the Provider Course Accreditation Standards.

### **The accreditation standards prescribed by TEQSA are as follows:**

**Reputation of the provider:** The higher education provider is reputable and accountable for the higher education it offers.

**Financial viability and sustainability:** Sound financial resources and financial management capacity to sustain the programme.

**Corporate and academic governance:** sound corporate and academic governance of its higher education operations.

**Primacy of academic quality and integrity:** Academic quality and integrity.

**Management and human resources-** The higher education operations are well-managed and human resources are appropriate.

**Responsibilities to students:** The higher education provider defines and meets its responsibilities to students, including the provision of information, support and equitable treatment.

**Physical and electronic resources and infrastructure:** It is to be ensured that there are well-maintained physical and electronic resources and infrastructure sufficient to enable the achievement of its higher education objectives, across all its locations in Australia and overseas.

<p>Stage 1</p>	<p><b>Clarify application requirement with your case manager</b></p> <p>Renewal of Course Accreditation (6 months prior to application due date) or Course Accreditation (upon notification by provider of intention to submit application)</p> <p><b>Core Requirements if:</b> No significant provider or course related risks; no recent or outstanding compliance issues; history of successful course application to TEQSA in relevant field at relevant AQF level;</p> <p><b>Extra Requirements if:</b> Identified provider or course related risks; recent or outstanding compliance issues; history of limited or poor history of course application to TEQSA in relevant field at relevant AQF level; course in new field, higher level;</p>
<p>Stage 2</p>	<p><b>Letter of Confirmation from TEQSA</b></p> <p>Within 2 weeks of Stage 1, TEQSA writes to the provider notifying the provider of the scope of assessment and evidence requirement for the planned application.</p>
<p>Stage 3</p>	<p><b>Provider submits application to TEQSA</b></p> <p>The application is submitted via the TEQSA Provider Portal by the due date</p>
<p>Stage 4</p>	<p><b>Application Assessment by TEQSA</b></p> <p>TEQSA assesses the application and then notifies the provider of the outcome of the assessment.</p>
<p>Stage 5</p>	<p>TEQSA updates the National Register</p>



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