

Academic & Administrative Audit Manual

Revision I Academic Year 2017-18

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ACADEMIC & ADMINISTRATIVE AUDITING

1. Introduction

The process of Academic & Administrative Auditing intends to monitor and enhance the quality of technical education through proper guidelines for both teaching faculty and students, so as to ensure qualified engineering and management graduates and researchers passing out from the Institute.

For proper functioning of the Institute, some assessment components have been designed. These include the assessment of course delivery, the co-curricular and extra-curricular activities of students, overall discipline and the academic functioning of the Institution, delivery of the duties and responsibilities of faculty members and monitoring of the class, progress of courses, internal assessment, student welfare, infrastructure, safety and grievances.

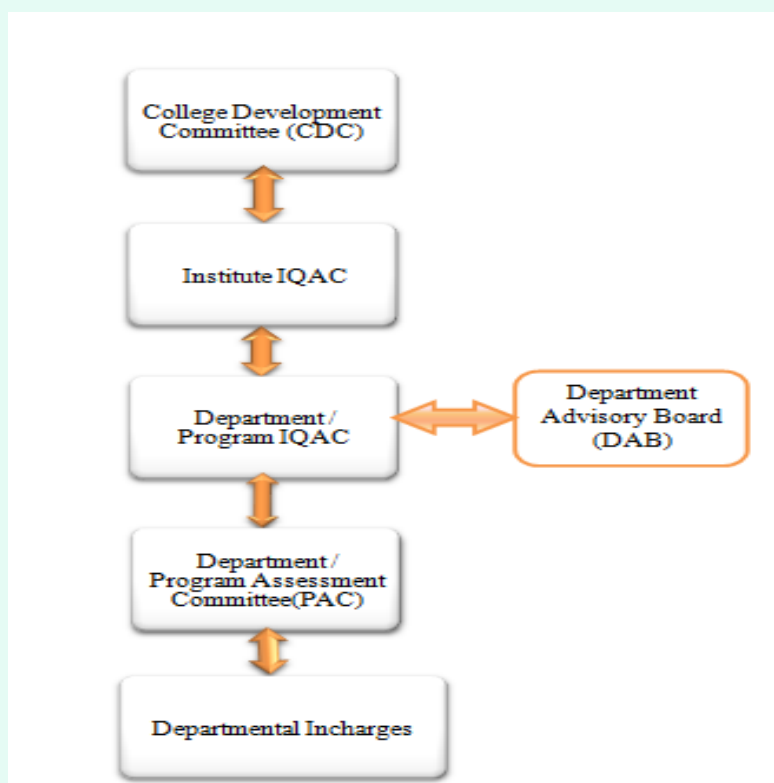
This document is envisioned to elaborate the process of auditing of the overall discipline and academic functioning of the institution.

2. Objectives of AAA

- a) To ensure academic accountability.
- b) To define quality of each component of the functional aspects and to ensure quality of technical education throughout the system.
- c) To verify the efficacy of the internal controls and to measure conformance to them.
- d) To develop strategies to improve quality.

Audits are conducted for teaching process, departmental activities, infrastructure and administrative processes. Audits related to Infrastructure and Administrative processes are conducted annually or as required. Department Audit is done to ensure quality in teaching – learning process and facilities, to assure continuous improvement in it.

3. Institute IQAC Hierarchy



3.1.1. Institute IQAC committee comprises of:

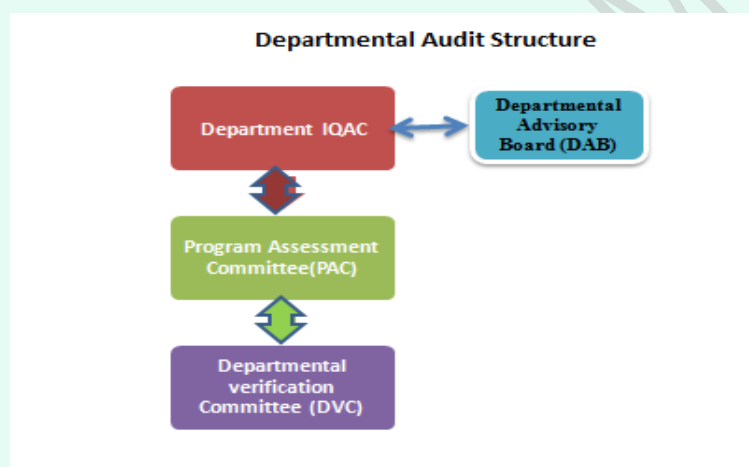
- Principal
- Institute IQAC Co-ordinator
- Department Heads (Program Co-ordinators)
- Prof. I/C (Academic Planning and Development)
- Prof. I/C (Research & Development)
- Training and Placement (T & P and Industry Institute Interaction)
- Prof. I/C (Extension Activities)
- Prof. I/C (Examination)
- Prof. I/C (Infrastructure & Central Facilities)
- Prof. I/C (Academic & Administrative Processes)

3.1.2. Department IQAC committee comprises of:

- Head of the Department
- Accreditation Co-ordinators

3.1.3. Department/ Program Assessment Committee comprises of:

- Faculty I/C (Academic Planning and Monitoring)
- Faculty I/C (Research and Development)
- Faculty I/C (Industry Institute Interaction)
- Faculty I/C (Training and Placement)
- Faculty I/C (Extension Activities)
- Faculty I/C (Examination)



4. Types of Audit undertaken in the Institute

A. Academic Audit

B. Administrative Audit

- a) **Asset Verification:** DSR Verification, Consumables Verification, Stationery Verification, Library Audit
- b) **Safety :** Electrical Safety, Fire Safety, Water Audit, Structural Audit
- c) **Sustainability:** Green Audit, Energy Audit
- d) **Process Audit:** Administrative Office, Departmental & Institute Committees, Departmental IQAC Performance Review

The scope of the Audits may be modified as per the decisions of the Management.

4.1. Academic Audit

An academic audit reviews the processes and procedures used by Departments to enhance the quality of their programmes. Departments are required to have processes that guarantee quality in teaching and learning they provide to students. Standards for student achievement must be set and attendant processes must be in place to implement College policies directed to these ends. There are some basic areas that will be examined in an academic audit. These areas are:

- a) Defining intended learning outcomes
- b) Delivering programme curricula
- c) Designing teaching and learning processes
- d) Developing and using student assessment
- e) Implementing quality education

The academic audit is done to check if the POs and PSOs of department are met and ensure if they are attained.

The Department Academic audit includes Academic Audit which is conducted twice a year and IQAC Performance Review done annually. A number of feedbacks are collected; records are maintained and analyzed to ensure that stakeholder inputs are integrated into the quality assurance mechanism.

4.1.1. In the Academic Audit these focal points in teaching learning process are verified:

- a) Adherence to Academic Activity Planner.
- b) Curriculum booklet.
- c) Course file.
- d) CO-PO-PSO mapping, CO-PO-PSO Attainment, Make-up classes, remedial classes
- e) Course monitoring.
- f) Assessment of assignments, online tests, subjective tests etc.
- g) Academic Record booklet (ARB).

- h) ICT in teaching learning and Online Courses completed by faculty and students.
- i) Feedback Analysis.
- j) Counselling and mentoring of students.

4.1.2. Academic Audit process flow:

Academic Audit is conducted at each department by their respective PAC members at the end of every semester. The annual performance review report is prepared at the end of the academic year.



The report is submitted by the Department PAC to Department IQAC.



The Department IQAC then submits these reports with remarks about continuous improvement to the Institute IQAC.



The points related to academic audit and performance review report are discussed at the Institute IQAC meetings.



Important points related to the above are raised by the Institute IQAC in the College Development Committee (CDC) meetings.

4.1.3. Feedback Mechanism:

- a) Feedback from Students (Mid-term and end term): The feedback is collected by Guardian faculty members of each class twice each semester. The mid-term feedback helps faculty to evaluate their teaching methodology and make changes in their method. Similarly the end term feedback helps faculty to improve their teaching methods.
- b) Course Exit Survey feedback: This serves as a feedback at end of the semester to measure the degree of attainment of COs. It is collected twice a year at the end of every semester.
- c) Graduate exit survey feedback: This feedback is taken at the end of program, every year. The feedbacks are analysed to measure the degree of attainment of POs and PSOs.
- d) Feedback from Parents: The Guardian faculty members of each class collect the feedback from parents about their experience and their wards opinion on conduction of the program. This activity is carried out once in every semester for the betterment of the program.
- e) Employer feedback: The Alumni co-ordinator of every department collect this feedback as the alumni visit the department after they are recruited in company. The feedback helps to understand competencies of alumni working with the employer and helps department understand expectations of industry from the students after completion of the program.
- f) Feedback from Alumni: This feedback is collected by the alumni co-ordinator of the department to understand Teaching learning Facilities provided by the program and suggestions for improvement.
- g) Feedback on facilities: This feedback is collected by the Guardian faculty members of each class once every semester for improvement in the infrastructure facilities provided to students.
- h) Peer feedback: This feedback is conducted once every semester. This feedback is conducted to assess teaching of faculty by their peer team base on parameters decided by HOD.

4.1.4. Grievance Redressal:

Minor grievances of students are resolved by the Guardian faculty members of each class in consultation with the HOD. Students can convey their grievances personally or via a suggestion box at each department. The college also has a grievance redressal portal and committee to ensure speedy resolution of Academic and administrative grievances.

The information gathered from the above aspects help in assurance of the quality of education provided.

4.2. Administrative Audit

The main objective of an administrative audit is to ascertain the presence and adequacy of quality assurance procedures, their applicability and effectiveness in guaranteeing quality of inputs, processes and outputs. Specific objectives are:

- a) Define the main areas of focus central to quality assurance and enhancement in teaching and learning, student development and progression, infrastructure and administration.
- b) Identify the processes and procedures used by departments for quality assurance and enhancement in each of the focus areas
- c) Appraise the adequacy and effectiveness of the quality assurance processes and procedures
- d) Make appropriate recommendations for continuous improvement of the processes and procedures used for quality assurance and enhancement

The internal administrative audit is mainly divided in the three main parts department, supporting department such as library, T&P and extracurricular activities. The procedure followed is as given below:

- The audit team is formed consisting of in-charge , supervisor and team members
- The internal administrative audit is conducted once at the end of the academic year.

- Detailed schedule of the audit is declared
- Briefing of all points related to the audit is conveyed in Principal's meeting with all HOD's, section in-charges.
- The questionnaires are administered as per the audit areas by the audit team.
- The remarks of the audit observations are conveyed to each in-charge.
- Corrective actions on the audit observations are taken
- The closure report of the entire process audit is submitted to the Principal by the audit in-charge.

4.2.1. The Administrative Audit is classified in the following sections:

- **Asset Verification:** DSR Verification, Consumables Verification, Stationery Verification, Library Audit
- **Safety :** Electrical Safety, Fire Safety, Water Audit, Structural Audit
- **Sustainability:** Green Audit, Energy Audit
- **Process Audit:** Administrative Office, Departmental & Institute Committees, Departmental IQAC Performance Review

4.2.1.1. ASSET VERIFICATION:

4.2.1.1.1. DSR Verification

Annually the College and Departmental DSRs are verified to check if all equipment and software is recorded and maintained at various locations in the Institute. A report is given by the HoD regarding the departmental DSR at year end. The physical stock verification of assets is completed and observations shared with HoD. The procedure followed is:

- DSR verification committee is constituted with initial discussions with the Principal
- Circular for verification is sent to each department signed by the Principal.
- Schedule of verification is prepared and sent to the HOD each department.

- Stock verification is done as per schedule.
- Closure report is prepared by member secretary and submitted to the audit in-charge

4.2.1.1.2. Consumables Verification

- The Consumables in-charge in the department physically verifies the stock of consumables received and issued in the current academic year and prepares a status report.
- The consumables issue record is also verified.
- The central consumables in-charge inspects both the report and the records. Observations if any are noted.
- The report is submitted with the signature of the departmental consumables in-charge and HOD.

4.2.1.1.3. Stationery Verification

- The stationery in-charge in the department physically verifies the stock of stationery received and issued in the current academic year and prepares a status report.
- The stationery issue record is also verified.
- The central stationery in-charge inspects both the report and the records. Observations if any are noted.
- The report is submitted with the signature of the departmental stationery in-charge and HOD.

4.2.1.1.4. Library Audit

Library committee comprises of the Librarian, library staff, Staff Library coordinator and departmental Library coordinators.

- Library stock audit is done by taking randomly selecting number from the library accession list and asking the library staff to physically verify them in the library.
- Verification of proper stacking of books is done. Process of weeding out books is verified.

- Book requirement for new purchase in every semester is checked and verified. Accession register for book issue is checked.
- The working of SLIM software to check the books availability and updating from time to time is verified.
- Issuing of books under the Book bank scheme is validated.
- Feedbacks taken from the students for the library are confirmed.
- Usage of E resource membership and activities related to it, are maintained in the card system is also verified.
- Library cards issue to first year students of all fields and direct second year students is checked.
- Passed out students are required to get NOC form duly signed by the concerned library staff coordinator of the department and Librarian for issue of leaving certificate is practiced.

4.2.1.2. SAFETY AUDITS :

4.2.1.2.1. Electrical Safety Audit

Electrical safety Audit is carried out in the Institute. This is mainly done to ensure that there is safety in handling of Electrical equipment as well as other electricity usages. This Audit shall be done through an external agency and the frequency of the Electrical Safety Audit will be **once in every three years.**

4.2.1.2.2. Fire Safety Audit

- Provision of requisite resources for combating fire in the campus arising out of unforeseen circumstance i.e. short circuiting in electrical wire, fire due to failure of machineries due to friction, failure of components, fire in the oil/lubricants and fuels, fire in organic compounds like paper, wood etc shall be identified with locations, nature of likelihood of fire and type of fire extinguishers needed to be deployed.

- Safety needs against fire hazards for installations such as transformers, DG sets, fuel storage, etc. shall be identified. Similarly sensitive stations like library, canteen, battery charging and storage facilities identified.
- Annual maintenance contract for replacement of the refills of the existing fire extinguishers shall be planned and executed. Maintenance liability will include visit to the installations, checking of pressure in the extinguishers and undertaking corrective actions where required.
- Annual fire practice event shall be organized to enhance the awareness and teaching the skills to combat fire from the professionals from the fire Brigade stations in Pune.
- The department of Mechanical Engineering, and the sensitive installations like transformer DG set shall also have the provisions of fire bucket, fire beater, sand pits etc. for appropriate response.
- Annual fire audit shall be carried out and the recommendations perused for corrective actions.
- Availability of captive water storage for the fire fighting vehicles requisitioned from external agency to combat fire shall be reviewed annually in the fire audit and augmented when considered necessary.

4.2.1.2.3. Water Audit

- There will be an annual audit to review the current resources available to supply water to all the department, administrative departments, activity clubs, gardens, fire and security in terms of adequacy, quality and appropriateness.
- The committee's review will consider the student intake, commitment for the laboratories, cafeteria, clubs, activity room, garden and fire services etc considering the planning data of 45 litres /student /day as per AICTE norms.
- The committee will review the replacement of the water filters at the desired periodicity and check if annual contract for maintenance is in place and in compliance.

- The committee will check if the water storage tanks have been annually cleaned by a professionally competent contractor.
- The committee will check if efforts are undertaken to enhance the efficiency of water supply system in terms of replacement of existing taps with more efficient one, prompt rectification of leakages and even replacement/renewal of the system where found necessary.
- The committee will review the supply adequacy to the fluid mechanics labs in Mechanical Engineering Department.
- The committee will review the performance of the Ground Water Supply through 2” bores available in the campus. If the depletion of the water available underground warrants re-boring and exploring other options, it must be reflected in audit report.
- Quality of bore water also must be reflected in the audit.
- Review of any centralized water treatment system like RO is considered more appropriate than the distributed treatment system in case of serious breakdown in Municipal water supply system and the circumstances arising, therefore when bore water is necessarily used for augmenting with the Municipal water.

4.2.1.2.4. Structural Audit

Structural Audit is carried out in the Institute to ensure that there is safety in the built up structure of the Institute. This Audit shall be done through an external agency and the frequency of Audit will be **once every five years.**

4.2.1.3. SUSTAINABILITY AUDITS:

4.2.1.3.1. Green Audit

The objective of carrying out Green Audit is securing the environment and cut down the threats posed to human health, make sure that rules and regulations are taken care of, avoid the interruptions in environment that are more difficult to handle and their correction requires high cost.

The purpose is also to recognize, diagnose and resolve the environmental problems and suggest the best protocols for adding to sustainable development. It shall be done through external agency. The objective of this audit is to ensure carbon accounting is done in the Institute. The frequency of this Audit will be **once in every three years** and the task assigned to an independent auditor.

4.2.1.3.2. Energy Audit

It deals with energy conservation and methods to reduce its consumption so as to ensure proper utilization of the sanctioned load. The auditor targets the energy consuming methods adopted and finds whether these methods are optimal or not. The calculations are done on the basis of readings obtained for the entire Institute and then the recommendations are given which if implemented will result in Energy conservation. The frequency of this Audit will be **once in every three years** and the task assigned to an independent auditor.

4.2.1.4. PROCESS AUDIT:

4.2.1.4.1. Administrative Office

The processes at the administrative office related to the Personnel Records, Students Section, Finance and Accounts and Regulatory Compliances are verified at the end of every year.

4.2.1.4.2. Departmental & Institute Committees

All committees constituted at the Institute and Departmental level for decentralization of work are audited for their effective functioning based on their plans, execution and efficacy in attainment of Institute Vision and Mission.

4.2.1.4.3. Departmental IQAC Performance Review

The department level IQAC Performance Review is done to review

- a) Research and Development which includes Project and relevant activities.
- b) Industry Institute Interaction which includes Industrial Visit for students
- c) Extension Activities include value added and enrichment programs conducted by the Department. It also includes Curricular, Co-curricular and Extra-curricular activities such as Seminar/Conference/Workshop/Guest Lecture and other student activities conducted and attended by students.
- d) Examination which includes Result Analysis and Evaluation.
- e) Training and Placement
- f) Infrastructure and facilities

5. Functioning of the Academic & Administrative Auditing System

The IQAC oversees the Auditing process. The reports are submitted to the Management for review and recommendations.

5.1. Audit procedures

The AAA coordinator shall ensure that the records/documents listed are maintained and accessible for both internal and external auditors.

