



PRESIDENCY UNIVERSITY

Presidency University Act, 2013 of the Karnataka Act No. 41 of 2013 | Established under Section 2(f) of UGC Act, 1956

Approved by AICTE, New Delhi

GUIDELINES FOR ACADEMIC AND ADMINISTRATIVE AUDIT

(These Guidelines is made in accordance with section 8(v) of the Regulations for Curriculum Design, Development and Review)

Policy No. PU/AAA/R-1/G.2

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Sanne
REGISTRAR


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GUIDELINES FOR ACADEMIC AND ADMINISTRATIVE AUDIT

(Under Section 8(v) of the Presidency University Regulation on Curriculum Design, Development and Review)

PREAMBLE

- i. Further to the regulations on Curriculum Design Development and Review, these guidelines have been developed to establish a process to audit the academic delivery of the programs and the administrative system to support the quality of such a delivery. The audit process of quality of education imparted and for its sustenance is monitored through the Internal Quality Assurance Cell (IQAC).
- ii. The monitoring and evaluation of academic processes require a carefully-structured system of internal and external audits. As per the NAAC guidelines, Presidency University undertakes periodic Academic and Administrative Audits (AAA). This document outlines the processes related to such audits.

SHORT TITLE AND APPLICATION

- i. These Guidelines shall be called the “Presidency University Guidelines for Academic and Administrative Audit”
- ii. These Guidelines shall come into effect from the date of approval by the Board of Management of Presidency University with due recommendations from the Academic Council, and ratified by appropriate higher bodies.

ACADEMIC AUDIT

Academic Audit can be understood as a scientific and systematic method of reviewing the quality of academic processes of the institution. This follows a well-established tradition of taking adequate and purposeful samples to ascertain the quality of academic delivery including Teaching-learning processes, Curriculum Design and Review, Research and Outreach and other related academic processes. It correlates with the quality assurance and enhances the quality of academic activities of the University.

ADMINISTRATIVE AUDIT

Administrative Audit pertains to auditing various administrative processes that support academic endeavors. These can include student support services, academic infrastructure management, housekeeping and upkeep of the campus, IT services, student amenities, safety and security of students in particular and campus in general. This is also carried out by sampling as well as focused interviews with various stakeholders.

PURPOSE AND SCOPE

- i. The main objective of an academic 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. To define the main areas of focus, central to quality assurance and enhancement in teaching and learning.
 - b. To identify the processes and procedures used by academic Departments / Schools for quality assurance and enhancement in each of the focus areas.
 - c. To appraise the adequacy and effectiveness of the quality assurance processes and procedures.
 - d. To make appropriate recommendations for continuous improvement of the processes and procedures used for quality assurance and enhancement.
 - e. To suggest the methods for continuous improvement of quality, keeping in mind criteria of NAAC in particular and requirements of other regulatory bodies.

1.0 DEFINITIONS

- a. **Academic Audit** is a mechanism to examine and enhance the quality of academic aspects of institutes of Higher Education.
- b. **Administrative Audit** is a method to assess the effectiveness of the operating system of the administrative procedures, policies, decision-making authorities and functionaries, strategies, process, feedback, control mechanism etc.
- c. **Audit** is a process of reviewing an institution or a program and is primarily focused on the accountability of the latter, evaluating/determining if the stated aims and objectives (in terms of curriculum, staff, infrastructure, etc.) are satisfactorily and optimally met.
- d. **Internal Audit** consists of the systematic collection of administrative data, the questioning of students and graduates, and the holding of moderated interviews with academic and administrative staff, and students, resulting in a self-study report.
- e. **External Audit** means a specialized external agency collects data, information, and evidence about the institution, a particular unit of a given institution, or a core activity of an institution, in order to make a statement about its quality. External evaluation is carried out by a team of external experts, peers, or professionals.
- f. **Quality Assurance** is the activity of providing evidence needed to establish confidence among all concerned that the quality-related activities are being performed effectively.
- g. **Quality Enhancement** is an ongoing process of augmentation or improvement.

Definitions specified in the Act, the Statutes, and the Regulations shall apply unless the context requires otherwise.

2.0 ACADEMIC AUDIT (AA) PROCESS

The University will conduct two types of AA:

a. Internal Academic Audit (IAA):

- i. Internal Academic Audit will be conducted by the IQAC of the University along with the team constituted by the Dean – Academics of the University.
- ii. There will be at least two internal audits per academic year. However, additional audits shall be conducted based on the need as decided by the IQAC and duly approved by the Vice Chancellor.
- iii. The internal audit will primarily focus on the parameters as defined by the seven criteria prescribed by NAAC. The University has adopted the NAAC Criteria as a basis for evaluating the academic processes and quality. The University may also include other parameters for audit as decided by the IQAC and Dean-Academics.
- iv. The internal audit report shall necessarily make recommendations for improvement in parameters as relevant. The report shall be submitted to the Vice Chancellor. The Vice Chancellor shall place the Audit Report along with the Action Taken Report (ATR) before the Academic Council for its perusal and recommendations.

b. External Academic Audit (EAA)

- i. External Academic Audit will be conducted by a team of Eminent Academicians from other institutions of repute or experts who have experience and/or training on academic quality systems, processes and strategies and audit tactics and methodologies.
- ii. There will be at least one external audit every two academic years.
- iii. The external audit may focus on parameters for audit as recommended by the Vice Chancellor. The auditors will have the liberty to include additional parameters independently, with a focus to enhance the quality of the ongoing academic processes of the University.
- iv. The external audit report shall be submitted to the Vice Chancellor. The Vice Chancellor shall place the External Audit Report along with the Action Taken Report (ATR) before the Academic Council for its perusal and recommendations.

3.0 METHODOLOGY

i. Internal Academic Audit

- a. The Dean-Academics in consultation with the Vice Chancellor and IQAC shall fix the schedules for the academic audit of the departments and schools of the University. This schedule will be circulated to all Deans / Heads of the Departments.
- b. Typically, the academic audit process must be conducted once every semester and must be completed within a week. However, additional audits shall be conducted based on the need as decided by the IQAC and duly approved by the Vice Chancellor.
- c. The specified pro-forma for the academic audit (Annexures to this policy) shall be developed by IQAC and approved by Vice-chancellor. The same shall be communicated to all Deans and Heads of the Departments at least a month before the commencement of the internal audit.
- d. The seven criteria recommended by NAAC as the Quality Indicator Framework (QIF) shall be the main focus areas of the internal audit. Annexures I –VII provide the pro forma to be used for the internal academic audit. Additionally, the IQAC in consultation with the Dean-Academics may provide other parameters and relevant pro forma for the internal audit.
- e. The internal audit team shall prepare a detailed Internal Audit Report and submit the same to the Vice Chancellor within two weeks of completion of the internal audit of the concerned department/school.

ii. EXTERNAL ACADEMIC AUDIT

- a. The Dean-Academics in consultation with the Vice Chancellor and IQAC shall recommend suitable eminent academician for the conduct of the external academic audit. The Vice chancellor shall make the final decisions on the choice of the Peer Team to conduct the academic audit.
- b. The external academic audit must be conducted at least once in two academic years.
- c. The Peer Team in consultation with the IQAC and Dean (Academics) prepare the scope of work for the academic audit. The details of the external academic audit and the corresponding schedules shall be finalized with the Vice Chancellor. The same shall be communicated to all Deans and Heads of the Departments at least two weeks before the commencement of the External Audit.
- d. The Peer Team shall prepare a detailed audit report and submit the same to the Vice Chancellor within two weeks of completion of the external audit.

e. The Peer Team would also conduct the academic & administrative audit on following parameters:

1. Curriculum

- Evaluate curriculum design and review mechanisms
- Standards of curriculum
- Conformity to National and global standards
- Synchronization with OBE and CBCS philosophies

2. Teaching

- Pedagogy of teaching – methodology
- Instructional design – methodologies
- Instruments and tools of learning
- ICT or audio-visual aids
- Usage of kits, labs, models
- Compliance to Class Schedules
- Quality of Guidance/Counseling/Supervision/Mentoring

3. Learning

- Methods for learning
- Learning resources-books, notes, kits, SLMs
- Policies & Programs for Slow, Average and Advanced Learners
- Group dynamics and Projects
- Experiential learning/field visits
- Testing for the Learning Outcomes

4. Evaluation

- Good system of evaluation
- Transparency / confidentiality
- Question banks
- Surprise tests
- Evaluation of Non-Teaching Credit Courses (NTCC)
- Rubrics of Evaluation
- Automation of Examination process
- Innovative practices / reforms
- Detection and handling of malpractices
- UG/PG admission statistics
- UG/PG examination statistics

5. Research

- Provision, promotion for faculty to undertake research
- Facilities, motivation, resources
- Incentives / expenditure / encouragement
- Output quantity / quality
- Applied or Developmental Research
- Students' participation in research

6. Consultancy

- Provision, promotion for faculty to undertake Consultancy
- Facilities, motivation, resources and Coaching for Consultancy
- Incentives / expenditure / Consultancy Policy
- Output quantity / quality of Consulting Projects
- Involvement and usage of University Resources
- Brand name development of the University

7. Extension Services

- Collective activity with teachers & students
- Useful to community, industry and disadvantaged section of the society
- Awards and recognitions
- Impact on community
- Partnership with local units/industries
- Partnership with other Universities
- Joint ventures – NGOs / Govt. Bodies

8. Infrastructure

- Adequacy of classrooms, furniture, space
- Faculty seating
- Office space – structure – plan
- Director/Dean - Offices
- Office equipment, consumables
- Labs, equipment, models, kits

9. Library

- Number of books as per Regulatory norms / e-resources
- Services, awareness, tests, visibility

- Special collections, need-based collections
- Book selection process
- Library usage: Faculty and Students

10. Students' Progression

- Results and marks
- Ranks
- Dropout rates
- Progression to Higher Education/Employment
- Progression to Civil Services/Armed Forces
- Alumni Statistics

11. Governance and Leadership

- Management
- Decentralization of power
- Quality of leadership team
- Board Governance
- Grievance redressal mechanism
- Court cases (if any)

12. Administrative Processes

- Upkeep and Maintenance of Campus
- Delegation of Authority Matrix
- Financial Processes
- Human Resource Processes
- IT Processes

The AAA report of external agency shall be both diagnostic as well as prescriptive in nature.

4.0 OUTCOME

The outcome of both the internal and external audit reports, and, the Action Taken Reports shall be placed before the Academic Council and the Board of Management. The recommendations of the Academic Council and Board of Management shall be implemented and reported in the subsequent meetings of these statutory bodies.

5.0 REVIEW OF GUIDELINES

These Guidelines will be reviewed periodically to rectify anomalies, (if any), and to incorporate feedback received from the stakeholders, through impact analysis and deliberations of the Focus Group, constituted by the Vice Chancellor.

ANNEXURE -I

PROFORMA

CRITERION – 1: CURRICULAR ASPECTS

Name of the CoE.:

Audit No.:

Name of the Director:

Audit Date:

Metric No.	Description	Status of Implementation	Relevant Documents	Remarks	
				Yes	No
CURRICULAR ASPECTS [CURRICULUM DESIGN AND DEVELOPMENT]					
1.1.1.	Curricula developed are relevant to the Local/National/Regional/Global Developmental needs.		i. Curricular Design Guidelines.		
	Curricula Developed have the following: 1. Learning Objectives /Program Educational Objectives. 2. Programme Outcomes 3. Program Specific Outcomes 4. Course Outcomes.		i. PEO for all the Programs ii. PO for all the Programs iii. PSOs for all the Programs iv. CO for all the Courses		
1.1.2.	Revision of the Curriculum: i. How often is it revised? ii. Is revision based on some feedback? iii. Is the revision Minor or Major?		i. BOS Proceedings ii. Academic Council Approval iii. Reason for revision		
1.1.3	Does Faculty have the list of Courses offered in a programme with Focus on the following? i. Employability. ii. Entrepreneurship iii. Skill Development		i. Classification of the courses.		
	Do the Faculty /faculty members have an activity list to develop the above in their respective course?		i. Course File Documents		
1.2.1	Do the New Courses being introduced from time to time?		i. List of New Courses. ii Justification for Introduction		
1.2.2	Is Choice Based Credit System being followed in all the programmes?		i. Copy of the Regulations.		
	What is the percentage of Choice provided in a Programme, in selection of the Course?		i. Scheme of the Programme. ii Sample Time tables of Odd and Even Semesters. iii. Students' Choice List		

Metric No.	Description	Status of Implementation	Relevant Documents	Remarks	
				Yes	No
CURRICULAR ASPECTS [CURRICULUM ENRICHMENT]					
1.3.1	Does the programme offered by the Faculty have the scope for integrating the following? i. Environment ii. Sustainability. Iii Human Values. Iv Professional Ethics.		i. List of Courses in each of the Programmes and the detailed contents.		
1.3.2	Does the programme have the scope to offer some value added courses for importing transferable skills?		i. List of the Value-added courses. ii. Proof of offering the course at regular intervals.		
1.3.3.	Average Percentage of students enrolled in the courses under 1.3.2 above		iii. Number of students enrolled iv. Number of students who have completed the course.		
1.3.4.	Is there a provision for the students to carry out project/internship with the industry during the programme period?		v. List of students who have carried out industry projects. vi. Relevant Letters from the industry. vii. Sample project Reports viii. List of students who have undergone the internship. ix. Certificate x. Industry letter		
CURRICULAR ASPECTS [FEEDBACK MECHANISM]					
1.4.1	Does the Faculty collect feedback on curriculum from the following? I Students II Faculty Members III Employers Iv Alumni V Parents		Sample copies of all the feedback forms(filled)		
	Does the Faculty have a mechanism to analyze the feedback reports?		Sample copies of the analysis Report		
	Has the Faculty initiated any action on the analyzed feedback?		Action Taken Report copies		
	Does the Faculty monitor the Improvement after implementing the action?		Sample monitoring Reports.		
Auditor Signature			Date of Audit		

**ANNEXURE -II
PROFORMA**

CRITERION – 2: TEACHING – LEARNING AND EVALUATION

Name of the Dept.:

Audit No.:

Name of the HoD:

Audit Date:

(with Controller of Examinations)

Metric No.	Description	Status of Implementation	Relevant Documents	Remarks	
				Yes	No
Teaching -Learning and Evaluation (Student Enrolment and Profile)					
2.1.1	What is the Year-wise sanctioned number of seats and filled		i. Govt. of Karnataka Approval, ii. AICTE / BCI Approval iii. Academic Council Approval		
2.1.2	What is the percentage of seats filled against reserved categories (SC, ST, OBC, etc) as per applicable reservation policy for the first-year admission What is the total number of seats earmarked for reserved category as per State Government rule				
Teaching -Learning and Evaluation (Student Diversity)					
2.2.1	a) How does the institute assess the learning levels of the students? b) Does the institution organize special programs to cater to different learning needs of the students?				
Teaching -Learning and Evaluation (Teaching-Learning Process)					
2.3.1	a) For enhancing the learning experience of the students, does the institution adopt experiential learning, participative learning and problem-solving methodologies? b) Do the teachers use ICT enabled tools including online resources for effective teaching learning process?				
2.3.2	Does the institution have effective Mentor-Mentee scheme to address the		i. Policy/Guidelines on Mentoring		

Metric No.	Description	Status of Implementation	Relevant Documents	Remarks	
				Yes	No
	academic and student psychological issues of students?		ii. Proof of Documentation including feedback		
Teaching -Learning and Evaluation (Teacher Profile and Quality)					
2.4.1	What is the average percentage of full-time teachers appointed against the number of sanctioned posts for latest completed academic year		i. BOM approval on Faculty Requirement Sanction (Academic year-wise) ii. List of teachers appointed (Academic Year-wise)		
2.4.2	How many teachers are holding Ph.D/D.M/M.Ch./D.N.B/Superspeciality/ L.L.D/D.S.C/D.Litt superspecialist		i. HR to collate this information and readily make available for audit team verification		
2.4.3	Teaching Experience in years (of full-time teachers)				
Teaching -Learning and Evaluation (Evaluation Process and Reforms)					
2.5.1	What is the average time taken to declare the results after the last examination?		i. Copy of the Regulations on for Declaring the results ii. Sample results sheets with the declaration date and the corresponding Examination time table.		
2.5.2	What is the average percentage of student complaints/grievances about evaluation against total number appeared in the examinations during the last five years		i. List of complaints received (Examination wise).		
2.5.3	What is the average percentage of applications for revaluation leading to change in marks?		i. List of students whose marks are changed after re-evaluation.		
2.5.4	Does the Examination section initiate any reforms in examination and evaluation process?		i. List of such initiatives. ii. Impact of such initiatives.		
2.5.5	Status of automation of Examination division along with approved Examination Manual		Copy of the manual for the process of examination and evaluation		
Auditor Name		Auditor Signature		Date of Audit	

ANNEXURE -3

PROFORMA

CRITERION - 3: RESEARCH, INNOVATIONS AND EXTENSION

Name of the CoE.:

Audit No.:

Name of the Director:

Audit Date:

(with Dean-R&I)

Metric No.	Description	Status of Implementation	Relevant Documents	Remarks	
				Yes	No
Research, Innovations and Extension (Promotion of Research and Facilities)					
3.1.1	Does the University have a well-defined policy for promotion of research? Is the same uploaded on the institutional website?		Research Promotion Policy Document		
3.1.2	Does the University provide seed money to its teachers for research (average per year)?		Seed money allocation letters		
3.1.3	How many teachers were awarded international fellowship for advanced studies/ research during the year?		List of faculty Members. Letters of award.		
3.1.4	a) How many JRFs, SRFs, Post-Doctoral Fellows, Research Associates and other research fellows in the university enrolled during the year b) How Many departments are awarded with UGC-SAP, CAS, DST-FIST, DBT, ICSSR and other similar recognitions by government agency?		List of Such Fellows. Fellowship letters. List of Departments. Letter of Recognition.		

Metric No.	Description	Status of Implementation	Relevant Documents	Remarks	
				Yes	No
Research, Innovations and Extension (Resource Mobilization for Research)					
3.2.1	How many research projects sponsored by the Government and non-government sources such as industry, corporate houses, international bodies, endowments, Research Chairs in the institution during the year (Amount in Rupees)?		List of such projects. Letter of allotment of funds. Progress of the research.		
3.2.2	How many research projects per teacher funded by government, non-government, industry, corporate houses, international bodies during the year?		List of such projects. Letter of allotment of funds. Progress of the research		
Research, Innovations and Extension (Innovation Ecosystem)					
3.3.1	Has the University created an eco-system, Indian Knowledge System including awareness about IPR, establishment of IPR Cell, Incubation Centre and other initiatives for creation and transfer of knowledge and outcome of the same?		List of facilities and initiatives. List of activities Report on activities. List of start up Details of startup companies.		
3.3.2	How many awards for innovation have been won by institution/ teachers/research scholars/ students during the last five years?		List of Awardees Letter of award.		
Research, Innovations and Extension (Research Publications and Awards)					
3.4.1	Does the University have stated Code of Ethics to check malpractices and plagiarism in Research		Copy of the Code of Ethics		
3.4.2	How many Patents have been published/awarded during the last five years.		List of patents Published/Awarded. Letter of award.		
3.4.3	How many Ph.Ds were awarded per teacher during the last five years?		Number/Teacher List of the awardees.		
3.4.4	How many research papers published per teacher in the		Number of Publications. List of Publications.		

Metric No.	Description	Status of Implementation	Relevant Documents	Remarks	
				Yes	No
	Journals notified on UGC CARE list during the last five years?				
3.4.5	Number of books and chapters in edited volumes / books published, and papers in national/international conference-proceedings per teacher during the last five years?		List of Books/Chapters. Proof of providing the incentives.		
3.4.6	E-Content developed by Teachers for i. e-PG Pathshala ii. CEC (Undergraduate) iii. SWAYAM iv. MOOC Platform v. Any other Govt. Initiatives vi. For Institutional LMS				
3.4.7	Bibliometrics of the publications during the last five years based on average citation index in Scopus/ Web of Science		Number of citations (faculty members-wise/Publication-wise).		
3.4.8	Bibliometrics of the publications during the last five years based on average citation index in Scopus/ Web of Science - h-index of the university.				
Research, Innovations and Extension (Consultancy)					
3.5.1	Revenue generated from consultancy and Corporate Training during the last five years.		Consultancy Policy Document List of consultancies offered, and the amount generated. List of trainings conducted, and the revenue generated.		
Research, Innovations and Extension (Extension Activities)					
3.6.1	Extension activities in the neighborhood community in terms of impact and sensitizing students to social issues & holistic development & awards from Government / recognized		List of such activities. List of Awards.		

Metric No.	Description	Status of Implementation	Relevant Documents	Remarks	
				Yes	No
	bodies received, if any, during the last five years.				
3.6.2	Number of extension and outreach programs conducted in collaboration with industry, community and Non – Government Organizations through NSS/NCC/Red cross/YRC etc., during the last five years.		List of such activities. Number of students who have participated for each of the activity.		
Research, Innovations and Extension (Collaboration)					
3.7.1	Number of functional MoUs with institutions/ Industries in national, international for internship, on-th-job training, project work, student/faculty exchange and collaborative research during the last five years (only functional MoUs with ongoing activities to be considered)		List of MOUs. List of activities organized based on MOU. List of industries. Copies of the internship letters. List of such collaborative work.		
Auditor Name		Auditor Signature		Date of Audit	

**ANNEXURE – 4
PROFORMA**

CRITERION – IV: INFRASTRUCTURE AND LEARNING RESOURCES

Name of the CoE.:

Audit No.:

Name of the Director:

Audit Date:

Along with Dean (Academic)

Metric No.	Description	Status of Implementation	Relevant Documents	Remarks	
				Yes	No
Infrastructure and Learning Resources (Physical Facilities)					
4.1.1	Institution has adequate facilities for teaching - learning. viz., classrooms, laboratories, ICT enabled facilities such as smart classes, LMS, facilities for cultural and sports activities, yoga centre, games (Indoor and Outdoor) gymnasium, auditorium, etc	Faculty Director's Report Sports Directors Report	List of classrooms. List of laboratories List of Digital Classrooms List of Indoor Sports facilities. List of Outdoor Facilities. List of Coaches. ICT facilities. Status of LMS Implementation.		
4.1.2	Average percentage of budget allocation, excluding salary for infrastructure development & augmentation during the last five years	Finance Officer's Report	Budget Estimates. Audited Utilization Statement.		
Infrastructure and Learning Resources (Library as a Learning Resource)					
4.2.1	Library is automated with digital facilities using Integrated Library Management System (ILMS), adequate subscription to e-resources and journals are made	Librarian's Report	Details of ILMS software. Proof of Automation of Library. Subscription list for e-resources and Journals		
4.2.2	Annual Expenditure for Purchase of Books/e-books and subscription to journals/e-journals year-wise during last five years		Library Budget		

Infrastructure and Learning Resources (IT Infrastructure)				
4.3.1	Describe IT facilities including Wi-Fi with date and nature of updation, available internet band width			
4.3.2	What is the student to Computer ratio (previous Academic Year data to be provided)			
4.3.3	Institution has the following facilities for e-content development and other resource development i. Audio-visual centre, mixing equipment, editing facilities and media studio ii. Lecture capturing system (LCS) iii. Central Instrumentation Centre iv. Animal House v. Museum vi. Business Lab vii. Research / Statistical database viii. Moot Court ix. Theatre x. Art Gallery xi. Any other facility to support Research			
Infrastructure and Learning Resources (Maintenance of Campus Infrastructure)				
4.4.1	Expenditure incurred on maintenance of physical facilities and academic support facilities excluding salary component during the last five years		Budget Allocation	
4.4.2	Are there established systems and processes available for a) Maintaining & Utilizing Physical, Academic and Support Facilities, b) Laboratory, c) Library, d) Sports Complex, e) Computers, f) Classrooms, etc		Standard Operating Procedures	
Auditor Name		Auditor Signature		Date of Audit

**ANNEXURE – 5
PROFORMA**

CRITERION – V: STUDENT SUPPORT AND PROGRESSION

Name of the CoE.:

Audit No.:

Name of the Director:

Audit Date:

Metric No.	Description	Status of Implementation	Presence of relevant Documents	Remarks	
				Yes	No
Student Support and Progression (Student Support)					
5.1.1	Average percentage of students benefited by scholarships and free ships provided by the Institution, Government, NGO, Industries, Philanthropists during the last five years		Percentage of students List of such students.		
5.1.2	Efforts taken by the Institution to provide Career Counseling including e-counseling and guidance for competitive examinations during the last five years		Number of students benefited. List of activities conducted.		
5.1.3	Number of capacity development and skill enhancement initiatives undertaken by the Institute for Soft Skills, Language and Communication Skills, Life Skills (Yoga, Physical Fitness, Health & Hygiene, Self-Employment & Entrepreneur skills, Awareness of trends in technology		List of such initiatives.		
5.1.4	The institution has a transparent mechanism for timely redressal of student grievances including sexual harassment and ragging case (if any).		Report of the Students' redressal cell.		
Student Support and Progression (Student Progression)					
5.2.1	Average percentage of placement of outgoing students during the last five years.		Placement details.		
5.2.2	Percentage of graduated students to higher education (year-wise during last 5 years)		List of Students selected for higher studies.		

Metric No.	Description	Status of Implementation	Presence of relevant Documents	Remarks	
				Yes	No
5.2.3	Average percentage of students qualifying in state/ national/ international level examinations during the last five years (eg: NET/SLET/GATE/GMAT/CAT/ GRE/TOEFL/Civil Services/State government examinations)		List of qualified students in each of the competitive examinations.		
Student Support and Progression (Student Participation and Activities)					
5.3.1	Number of awards/medals won by students for outstanding performance in sports/cultural activities at inter-university/national/ international events (award for a team event should be counted as one) during the last five years		List of students winning medals/awards.		
5.3.2	Presence of an active Student Council & representation of students on academic & administrative bodies/committees of the institution.		Details of the students' Council activities.		
5.3.3	Average number of sports and cultural activities / competitions, tech fest/academic fest, any other events through active clubs and forums organized at the institution level per year.		List of activities.		
Student Support and Progression (Alumni Engagement)					
5.4.1	Alumni contribution during the last five years through registered Alumni Association.		Alumni Cell Details		
5.4.2	The Alumni has contributed significantly to the development of the institution through academic and other support system (financial and non-financial means during the last five years)		Alumni Cell Details.		
Auditor Name		Auditor Signature		Date of Audit	

**ANNEXURE – 6
PROFORMA**

CRITERION – V: GOVERNANCE, LEADERSHIP AND MANAGEMENT

Name of the CoE.:

Audit No.:

Name of the Director:

Audit Date:

Along with the **Vice Chancellor**

Metric No.	Description	Status of Implementation	Relevant Documents	Remarks	
				Yes	No
Governance, Leadership and Management (Institutional Vision and Leadership)					
6.1.1	The institution has clearly stated vision and mission which is visible in various institutional practices such as NEP Implementation, sustained institutional growth, decentralization, participatory institutional governance and in their Institutional Perspective Strategic Plan (IPSP)				
Governance, Leadership and Management (Strategy Development and Deployment)					
6.2.1	The Institutional Perspective Plan is effectively deployed and functioning of the institutional bodies is effective & efficient as visible from policies, administrative setup, appointment and service rules, procedures, etc.				
Governance, Leadership and Management (Faculty Empowerment Strategies)					
6.3.1	The institution has a performance appraisal system, effective welfare measures for teaching and non-teaching staff and avenues for career development/progression				
6.3.2	Percentage of teachers provided with financial support to attend conferences/workshops and		List of students availing Financial Support		

Metric No.	Description	Status of Implementation	Relevant Documents	Remarks	
				Yes	No
	towards membership fee for professional bodies during the last five years				
6.3.3	Teachers who have undergone online/face to face FDP / MDP during last five years		List of such MDP and FDP with details		
Governance, Leadership and Management (Financial Management and Resource Mobilization)					
6.4.1	Institutional strategies for mobilization of funds other than salary and fees and the optimal utilization of resources				
6.4.2	Funds/Grants received from Government Bodies/NGO during last five years for development & maintenance of infrastructure				
6.4.3	Institution conducts internal and external financial audits regularly				
Governance, Leadership and Management (Internal Quality Assurance System)					
6.5.1	Internal Quality Assurance Cell (IQAC) has contributed significantly for institutionalizing the quality assurance strategies and processes by constantly reviewing the teaching learning process, structures & methodologies of operations and learning outcomes at periodic intervals in terms of A) Incremental improvement made during the preceding five years with regard to quality B) Incremental improvement made for the preceding five years with regard to quality and post accreditation quality initiatives				
6.5.2	Institution has adopted the following for Quality Assurance: 1. AAA and Follow up action taken 2. Conferences, Seminars,				

Metric No.	Description	Status of Implementation	Relevant Documents	Remarks	
				Yes	No
	Workshops on quality conducted 3. Collaborative quality initiatives with other institution(s) 4. Orientation program on quality issues for teachers and students 5. Participation in NIRF and other recognized rankings like Shanghai Ranking, QS Ranking, Times Ranking, etc 6. Participation in any other quality audit as recognized by State, National or International Agencies				
6.5.3	Incremental improvements made for the preceding five years with regard to quality				
Auditor Name		Auditor Signature		Date of Audit	

ANNEXURE - 7

PRO FORMA

CRITERION - VII: INSTITUTIONAL VALUES AND BEST PRACTICES

Name of the CoE.:

Audit No.:

Name of the Director:

Audit Date:

Along with the **Vice Chancellor**

Metric No.	Description	Status of Implementation	Relevant Documents	Remarks	
				Yes	No
Institutional Values and Best Practices (Institutional Values and Social Responsibilities)					
7.1.1	Gender Equity: Institution has initiated Gender Audit and measure for promotion of gender equity				
7.1.2	Environmental Consciousness & Sustainability Institution has facilities for alternate sources of energy and energy conservation measures a) Solar Energy, b) Biogas Plant, c) Wheeling to the Grid, d) Sensor based Energy Conservation, e) Use of LED Bulbs/power efficient equipment, f) Wind Mill or any other clean green energy		List of documents for effective implementation.		
7.1.3	Describe the facilities in the Institution for the management of the following types of degradable and non-degradable waste a) Solid Waste Management, b) Liquid Waste Management, c) Biomedical Waste Management, d) E-Waste Management, e) Water recycling system, f) Hazardous chemicals and radioactive waste management				
7.1.4	Water conservation facilities available in the institution				

Metric No.	Description	Status of Implementation	Relevant Documents	Remarks	
				Yes	No
	a) Rainwater Harvesting b) Borewell/Open well recharge c) Construction of tanks & bunds d) Wastewater recycling e) Maintenance of water bodies and distribution system in the campus				
7.1.5	Green Campus Initiatives of the Institution including restricted entry of automobiles, use of bicycles/ battery powered vehicles, pedestrian friendly pathways, ban on use of plastic, landscaping with trees and plants				
7.1.6	Quality Audits on Environment and Energy are regularly undertaken by the Institution for a) Green Audit / Environment Audit, b) Energy Audit, c) Clean and Green Campus initiatives, d) Beyond the campus environmental promotion and sustainability activities				
7.1.7	Differently-abled (<i>Divyangjan</i>) Friendly, Barrier Free environment		List of measures taken for assisting the Differently-abled student.		
7.1.8	Institutional efforts in providing an inclusive environment i.e. tolerance and harmony towards cultural, regional, linguistic, communal, socio-economic and such other diversities				
7.1.9	Sensitization of students and employees of the Institution to the constitutional obligations: values, rights, duties and responsibilities of citizens/Electoral norms				
7.1.10	The Institution has a prescribed code of conduct for students, teachers, administrators and other staff and conducts periodic programs in this regard A) The Institution Code of Conduct principle are displayed on the website B) There is a committee to monitor adherence to the institutional code of		Code of Conduct Policy		

Metric No.	Description	Status of Implementation	Relevant Documents	Remarks	
				Yes	No
	conduct principles C) Institution organizes professional ethics programs for students, teachers, administrations and other Staff D) Annual awareness programs on Code of Conduct are organized				
Institutional Values and Best Practices (Best Practices)					
7.2.1	State at least two institutional best practices successfully implemented by the Institution		Best practice document as per NAAC Manual		
Institutional Values and Best Practices (Institutional Distinctiveness)					
7.3.1	Describe/Explain the performance of the institution in one area distinctive to its priority and thrust.				
Auditor Name		Auditor Signature		Date of Audit	