

ACADEMIC AUDIT MANUAL 2022

6.1 COLLEGE SPECIFIC ASSESSMENTS

Compliance to the Academic Calendar of KTU (A): Verify various academic activities such as commencement of the semester, dates of internal tests, dates of publishing of marks etc. by cross checking with KTU academic calendar, the college academic calendar and course diary. Excellent grade may be given if the college strictly confirm to the schedule, else rating may be varied accordingly.

Functioning of students grievances and appeal committee (A): Verify minutes and action taken reports. Rating may be given according to the details and genuineness.

Functioning of Academic Discipline & Welfare committee (A): Verify minutes and action taken reports. Rating may be given according to the details and genuineness.

Average student to faculty ratio (A): The average student to faculty ratio index is to be calculated as $\{20 \times \text{Total number of faculty}\} / \{\text{Total sanctioned strength for all programmes}\}$. The rating is to be given according to value obtained. Rating is EXCELLENT if the value is 1 or more, GOOD if it is more than 0.9, FAIR if it is between 0.75 & 0.89, POOR if it is between 0.6 & 0.74 and VERY POOR if it is less than 0.6.

Example: If a college has 5 UG programmes (B Tech) and 2 PG programmes (M Tech) with sanctioned strength as follows

UG1 – 60 (2015-16, 2016-17, 2017-18, 2018-19)

UG2 – 60 (2015-16, 2016-17, 2017-18), 45(2018-19)

UG3 – 60 (2015-16, 2016-17, 2017-18, 2018-19)

UG4 – 60 (2015-16, 2016-17, 2017-18, 2018-19)

UG5 – 60 (2015-16, 2016-17, 2017-18, 30 (2018-19)

PG1 – 24 (2017-18), 18(2018-19)

PG2 – 24 (2017-18), 0 (2018-19)

Total sanctioned strength = $60 \times 4 + 60 \times 3 + 45 \times 1 + 60 \times 4 + 60 \times 4 + 60 \times 3 + 30 \times 1 + 24 + 18 + 24 + 0 = 1221$. If the college has 47 regular faculty then average student to faculty ratio = $20 \times 47 / 1221 = 0.77$. Rating is FAIR. Give the value of student to faculty ratio index in REMARKS COLUMN. Also give the actual strength in this column for information. Sanctioned strength and actual strength are available in KTU website for all the colleges. Number of regular faculty may be verified from the attendance registers.

Faculty Retention (A): If the Average student to faculty ratio is maintained at 1 or more throughout the year rating is EXCELLENT, GOOD if it is more than 0.9, FAIR if it is between 0.75 & 0.89, POOR if it is between 0.6 & 0.74 and VERY POOR if it is less than 0.6.

Faculty Qualification Index (A): $FQ = (10 X + 4 Y)/F$ where X is number of regular faculty with Ph.D, Y is number of regular faculty with PG, F is number of regular faculty required to comply 1:20 faculty student ratio. The rating is to be given according to value obtained. Rating is EXCELLENT if the value is 7 or more, GOOD if it is more than 5.5, FAIR if it is more than 5.0, POOR if it is more than 4.5 and VERY POOR if it is less than 4.5.

Number of qualified technical staff (A): Verify the technical staff strength from the attendance register, and rate according to the strength and their qualifications.

Facility of central library with respect to volume and title of books, online & print journals (A): If the central library has books and journals as per AICTE norms, rating is EXCELLENT. Else, rating may be given accordingly.

Functioning of IQAC and Progress of IQAC report uploading (A): It can be judged from the relevant documents kept in the College. If all relevant records are maintained and uploaded (institutional website), EXCELLENT can be given; else grade according to the nature. The required documents are the records/files of Internal Academic Auditing, Accreditation Team Reports, QAR, Certificate of Accreditation Outcomes and its activities including the minutes.

Institution Budget (A): The audited budget statements along with supporting vouchers and bills shall be verified thoroughly. The budget shall contain all aspects including salary, infrastructure, maintenance etc. If the statements are well maintained, rating is EXCELLENT. Else, rating may be varied accordingly.

Details of central computing facility (A): The Institution shall have a well maintained central computing facility with sufficient number of servers, nodes, major licensed software, net connectivity, printers etc. for the purpose of doing research, thesis and project for all categories of students. The auditors may verify physically and to rate accordingly.

Principal's response on previous audit reports (A): The College may be asked to give print out of the last audit report. If the Principal has responded, rating may be given according to the genuineness; VERY POOR may be awarded if the Principal has not responded timely.

6.2 PROGRAMME SPECIFIC ASSESSMENTS

Class/course committee meetings and action taken report (B): Verify report and minutes of committee meetings. Rating may be given according to the details and genuineness.

Advisory meetings and action taken report (B): Verify report and minutes of committee meetings. Rating may be given according to the details and genuineness.

Syllabus coverage as per course plan (B): Verify course diary along with course files and check whether the syllabus is covered accordingly. Rating to be done based on syllabus coverage.

Conduct of Tutorial Classes (B): A tutorial log book shall be maintained by each department. All details regarding conduct of tutorial classes must be recorded in the log book. Rating may be given based on the mode of conduct and effectiveness of tutorial classes. The deficiency in conduct of tutorial classes may be mentioned under REMARKS column.

Evaluation of Answer Scripts (A): Do random verification of question papers and sample answer scripts. Assessment can be done based on (i) quality of question paper (ii) scheme of valuation (iii) assessment and (iv) punctuality.

Conduct of practical courses (B): Verify course diary, sample work record, log book of equipment etc. Assessment can be done based on number of students in a batch, time given for doing the experiment, completion of calculations in the lab itself etc. Indicate average number of experiments completed in REMARKS column.

Evaluation of student's performance in practical classes (A): Verify the number of experiments and title of experiments with that of syllabus. Verify that work record is evaluated on the same day and viva is conducted on each lab class from the course diary (Lab attendance register).

Facility to do experiments in the lab (A): Verify whether all experimental set ups are available as per requirement by verifying the stock register, log register, interaction with students etc.

Conduct of remedial/minor/honours classes (B): Each department is supposed to keep a register for recording the details of conduct of remedial/minor/honours classes. Verify this register for assessing this aspect.

Maintenance of course diary (A): Course diary is a very important document. All faculty members shall maintain course diaries for all the subjects handled by him/her. All details such as syllabus, course plan, assignments, attendance, internal test marks, extra classes, course materials, ICT/Digital mode of instruction etc shall be entered in the course diary. The rating may be given based on day today update by the faculty in their respective course diary.

Assessment of Outcomes (A): Refer section 5. The following details are to be verified for assessment of outcomes:

- Whether internal and assignment question papers mention about COs and knowledge levels?
- Whether the question papers confirm to knowledge levels?
- Whether appropriate tools are used for CO/PO assessment?
- Whether targets are fixed as specified in section 5?
- Whether CO/PO attainment calculation completed?
- Whether there is continuous improvement?

The rating can be given based on the outcome of above parameters.

Faculty evaluation & remarks of the HoD (A): Can be assessed based on (i) number of feed backs taken in a semester (ii) % of students participated (iii) corrective actions taken for improving teaching effectiveness (iv) mode and criteria for evaluation etc. Rating may be given after verifying the file containing faculty evaluation and subsequent action taken. Mention the number of faculty evaluations conducted and mode & criteria in REMARKS column.

Facility in the department library for references (C): Verify the availability of books and journals in the department library and check the log register. Student's feedback may also be sought. Depending on the facility and usage by the students, rating may be done.

Conduct of Seminar, Mini project, Project & Thesis (A): Assess the conduct and evaluation of seminar/mini project for UG/PG according to curriculum/regulation. Verify whether proper references are done prior to selection of topic and sample reports. Rating to be done based on the detailed procedure followed for the conduction including selection, internal reviews, final assessment and the report.

Faculty with Ph.D for the program (A): Verify the faculty list and rate as EXCELLENT if one Ph.D faculty is there for each PG program. Else rate it as POOR.

Computing facility in the department (A): The department shall have well maintained computer labs as per the AICTE/curriculum requirements with sufficient number of servers, nodes, major licensed software, net connectivity, printers etc. It should also have all relevant licensed software for both UG/PG students for doing their project/thesis work. The auditors may verify physically and to rate accordingly.

Facility for co-curricular and extracurricular activities (B): Evaluate this aspect from interaction with students and also by verifying certificates of achievements, photographs/videos etc.

Students attending MOOC or other online courses (B): Verify the file showing the details of UG/PG students undergoing/undergone MOOC courses with relevant proof. It can be rated as EXCELLENT if at least 10% of UG students and 50% of PG students are there in the list. The rating can be varied according to the count.

6.3 INTERACTION WITH STUDENTS

The following parameters may be assessed after the interaction with students and to be rated accordingly.

Syllabus coverage (B):

Lab Facility and conduct of Labs (B):

Co-curricular facility (B):

Extra-curricular facility (B):

Transferring all intimation from University in time (B):

Approach of the management in addressing student grievance (B):

Availability of Faculty for all subjects (A):

Any other remarks (C):

Extra fees/fine imposed on students (B):

Regarding extra fees/fine, grading need not be given. Only specific remarks be given against the column.

7.0 CHECKLIST

7.1 PRINCIPAL

- Make aware all staff about audit procedure/related documents
- Inform IQAC coordinator and HoDs to prepare documents as mentioned in section 4. The files shown in section 4.2 (A1 files, A2 files, A3 files, B files, C files and D files) are essential files for NBA accreditation. These files will be verified by the external auditor for the odd semester of 2022. These documents will be audited by the University during the external academic audit from the even semester of 2022 onwards.
- Ensure that the internal audits are carried out at specified intervals and initiate corrective measures (wherever required)
- Give response in the corresponding column of external auditors report

7.2 IQAC COORDINATOR

- Carry out internal audit twice in a semester with 2 members of IQAC team
- Maintain the audit report for verification by external auditors
- Ensure that all documents as in section 4 are prepared
- Contact external auditor and arrange for the audit
- Assist the auditor throughout the audit process
- Arrange one member from IQAC (preferably from that department) to assist external auditor for the evaluation of program specific aspects

7.3 EXTERNAL AUDITORS

- Inform the Principal/IQAC coordinator of the College where auditing is assigned
- Carry out audit meticulously as mentioned in sections 5 and 6
- Verify all documents mentioned in section 4
- The files shown in section 4.2 (A1 files, A2 files, A3 files, B files, C files and D files) are essential files for NBA accreditation. Auditors are requested only to verify these files during the odd semester audit of 2022. These documents will be audited during the external academic audit from the even semester of 2022 onwards.
- Prepare the report by giving remarks against all columns
- Upload the report within one week of the audit
- Submit TA/DA/Honorarium bills within two weeks of the audit