

ACADEMIC & ADMINISTRATIVE AUDIT (AAA) MANUAL



DRIEMS
UNIVERSITY

IQAC
DRIEMS UNIVERSITY

INTRODUCTION

The Academic and Administrative Audit (AAA) is a comprehensive evaluation process designed to assess the efficiency, effectiveness, and overall performance of educational institutions. This essential tool helps enhance institutional excellence by identifying strengths, weaknesses, opportunities, and Challenges in both academic and administrative areas.

In the academic sphere, the audit evaluates teaching methodologies, curriculum relevance, student performance, faculty competence, and research contributions. It ensures adherence to quality standards and alignment with educational objectives. Additionally, administrative audit focuses on evaluating administrative processes, resource management, infrastructure, financial management, and compliance with regulatory guidelines. The internal audit is conducted by the internal AAA committee, established by the IQAC of the University, based on the criteria of NAAC within a structured AAA format.

AIM

The aim of the audit is to review and appraise the documents of academic and administrative processes pertaining to teaching-learning-evaluation, research, consultancy, infrastructure, students' support system etc. of various Schools and sections of the University to maintain high standards in field of education and research.

OBJECTIVES OF AAA

The major objectives of AAA are:

- To analyze the current system, recognize its strengths and weaknesses, and recommend enhancements to achieve the institution's development goals.
- To encourage the evidence-based decision-making in all the academic and administrative processes.
- To evaluate the optimum utilization of all available academic and administrative resources along with financial aspects.
- To set the benchmarking by identifying the best practices properly aligned with seven criteria of NAAC.

AAA COMMITTEE

Internal AAA committee will be composed with a group of 3-4 faculty members of all cadres having representation from each School of the University. The members of the Internal AAA shall be nominated by the Vice Chancellor. Typically, the academic audit process must be conducted once every semester and must be completed within a week.

External AAA committee will be constituted with 2-3 external experts of different University and have the vast knowledge of academic and administrative processes of Higher Education and 2-3 internal senior faculty members (Professor) including Director IQAC. The external academic audit must be conducted once in every Academic year. Internal members of the committee will submit the compiled report of AAA incorporating the recommendation of experts for the further action IQAC.

AAA PHASEWISE PROCESS

The AAA conduct at two levels i.e. Internal AAA (Every Year) and External AAA (once in 3 Years). AAA will be completed in 4 phases:

1. Preparation Phase:

a. Constitution of Internal/External Audit Committee: The University appoints a dedicated Internal/External Audit committee comprising qualified and experienced members to oversee the whole AAA process effectively.

b. Designing Audit Format: An audit format prepared by IQAC which covers all the Criteria of NAAC is filled by the AAA committee members based on their observations.

c. Develop Audit Initiation Plan: A comprehensive audit conduction plan prepares including audit scope, methodologies, timelines, and responsibilities of the audit team prepared before initiation of audit.

d. Resource Allocation: All the necessary resources allocation to the audit team members required for the audit.

2. Execution Phase:

a. Data Collection: All the relevant data and documents related to academic programs, administrative processes, financial records, human resources, infrastructure, and other areas are collected.

b. Conduct face to face interaction: Interaction with the stakeholders i.e. faculty, staff, alumni, parents and students to gather insights and feedback regarding academic and administrative operations.

c. Review of Policies and Procedures: Evaluation of the existing policies and procedures to ensure their proper implementation with regulations and standards.

d. Assessment of Academic Programs: Evaluate the curriculum, teaching methods, assessment processes, library resources and student outcomes to ensure alignment with stated learning objectives and quality standards.

e. Assessment of Administrative Processes: Appraise the administrative processes, including admissions, student support services, human resources, finance, and facility management, to identify areas for improvement and ensure efficiency and effectiveness.

3. Analysis and Reporting Phase:

a. Data Analysis: IQAC analyzes the collected data, identify trends of improvements and gaps, weaknesses, and strengths by comparing with the benchmarks and best practices.

b. Prepare Audit Report: IQAC prepares a detailed audit report highlighting findings, observations, and incorporating the recommendations of experts on various academic and administrative aspects.

c. Recommendations and Corrective Actions: IQAC suggests the possible action plan on the basis of expert's recommendations on identified deficiencies.

d. Present Audit Report: IQAC presents the compiled AAA report to the Academic Council highlighting critical areas of concern, proposed improvements, and necessary corrective actions for further approval.



4. Follow-up Phase:

a. Monitoring Implementation: IQAC monitor the implementation of recommendations and corrective actions as per the defined timelines through quarterly performance analysis process.

b. Periodic Reviews: Conduct Six months audit to assess the progress of implementation and provide further guidance and adjustments if needed.

Note: The scope of the Audits may be modified as per the decisions of the Competent Authorities.

Sd/-

Director
Internal Quality Assurance Cell (IQAC)
DRIEMS University

Academic Audit Report (2024-25)

Item No	Checklist	Observations																					
1	Name of the Department/ School:																						
2	Year of Establishment																						
3	Name of the Program (s) offered																						
4	Academic Calendar																						
5	Student sanctioned strength (as on 2024-25)																						
6	Total No of staff members (Including Non-Teaching Staffs)	<table border="1"> <thead> <tr> <th colspan="2">Professor</th> <th colspan="2">Associate Professor</th> <th colspan="2">Assistant Professor</th> <th>Others</th> </tr> <tr> <th>Sanctioned</th> <th>Existing</th> <th>Sanctioned</th> <th>Existing</th> <th>Sanctioned</th> <th>Existing</th> <th></th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Professor		Associate Professor		Assistant Professor		Others	Sanctioned	Existing	Sanctioned	Existing	Sanctioned	Existing								
		Professor		Associate Professor		Assistant Professor		Others															
		Sanctioned	Existing	Sanctioned	Existing	Sanctioned	Existing																
7	No of Faculty having PhDs																						
8	No of Faculty registered for PhDs																						
9	SFR (Student Faculty Ratio)																						

Signature
(Auditor-1)

Signature
(Auditor-2)

Signature
(Auditor-3)

Academic Audit Report (2024-25)

Item No	Checklist	Observations
10	Vision and Mission of the Department/School	
11	PO for all the Programs	Nos: Places of disseminations:
12	PEO for all the Programs	Nos: Places of disseminations:
13	PSOs for all the Programs	Nos: Places of disseminations:
14	Total no of Courses (Theory + Practical)	
15	BOS Proceedings (Date of last BoS)	

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(Auditor-2)

Signature
(Auditor-3)

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16	Course File Documents (Maximum 3 faculty Members-random selection)	Annexure-1
17	Laboratories (if applicable)	Annexure-2
18	SWOC Analysis of the Department /School. (please prepare 1 page about the strength, Weakness, Opportunities and the Challenges and hand over to the respective Auditors during time of audit)	Annexure-3

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(Auditor-2)

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Academic Audit Report (2024-25)

RESEARCH PROFILE

Sl. no	Name of the Faculty	Research Papers	Books/book chapters	Conferences/seminars/Webinars attended	Conferences/seminars/Webinars Organised	Patents	Research Funding's	Consultancy	Master Scholars	PhD scholars (supervise)
1										
2										
3										
4										
5										
6										
7										
8										
9										
10										

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Academic Audit Report (2024-25)

Annexure - 1

SL NO	CHECK LIST	Observations		
1	Name of the Faculty and Course Data (Course Name, semester, Course code)	Name: Course (Semester):	Name: Course (Semester):	Name: Course (Semester):
2	Time table of current semester (Faculty)			
3	Work load (In Hr.)			
4	Syllabus of the course with name of Text book, Reference book.			
5	Course Outcomes (COs)			
6	Lesson plan			
7	Mapping of CO with PO and PSO matrix. (Articulation Matrix)			

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8	Course coverage.			
9	Lecture notes/handouts (Digital Notes)			
10	NPTEL video /You Tube video lectures of concerned Course (Provide the links).			
11	Previous year question papers (Final Exam).			
12	Internal questions with Bloom's Taxonomy.			
13	Model questions for Final Examination.			
14	Evaluation process (i.e. mark awarding procedure or Rubrics).			
15	Continuous Assessment Details (Assignment/ Surprise test/ Quiz test etc.)			
16	Student Attendance register (or in ERP)			
17	Proctorial file (if any)			
18	Result analysis for internal and external exams			
19	Course Exit Feedback Report (Indirect Assessment)			
20	Attainment of CO for the course			

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Academic Audit Report (2024-25)

Annexure-2

Total number of Laboratories in the Department/School	
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SL NO	LAB CHECK LIST	Observations
1	Lab Utilization /Occupancy Chart	
2	Lab Manual	
3	Machine/Device Working/breakdown Condition (if required)	
4	Machine Specification Chart(if required)	
5	Lab Records	
6	Lab Attendances	
7	Lab Marking /Grade Awarded to Students	
8	Machine Naming (as per ISO Standard)	
9	First Aid Boxes Register	
10	Fire Extinguisher, Register	
11	Safety Rules Chart (if required)	
12	Maintenance Register	
13	Stock Register	

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Annexure-3

SWOC Analysis

(Must be prepared by Heads of the Department /School)

Strength	
Weakness	
Opportunities	
Challenges	

(Seal and Signature of the Head)

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(Auditor-1)

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(Auditor-2)

Signature
(Auditor-3)

Academic Audit Report (2024-25)

Any other Observations/Comments:

Auditor-1	Auditor-2	Auditor-3
Name and signature :	Name and signature :	Name and signature :
Designation:	Designation:	Designation: