



ACADEMIC AND ADMINISTRATIVE AUDIT FORMAT



DRIEMS
UNIVERSITY

IQAC
DRIEMS University

ANNEXURE -I
CRITERION - 1: CURRICULAR ASPECTS

Name of the School:

Name of the Dean:

Name of the CoE.:

Audit No.:

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.		<ul style="list-style-type: none"> Curricular Design Guidelines. 		
	Curricula Developed have the following: <ul style="list-style-type: none"> Learning Objectives /Program Educational Objectives. Programme Outcomes Program Specific Outcomes Course Outcomes. 		Approved Minutes of <ul style="list-style-type: none"> PEO for all the Programs PO for all the Programs PSOs for all the Programs CO for all the Courses 		
1.1.2.	Revision of the Curriculum: <ul style="list-style-type: none"> How often is it revised? Is revision based on some feedback? Is the revision Minor or Major? 		<ul style="list-style-type: none"> BOS Proceedings Academic Council Approval Reason for revision 		

1.1.3	Does Faculty have the list of Courses offered in a programme with Focus on the following? <ul style="list-style-type: none"> • Employability. • Entrepreneurship • Skill Development 		<ul style="list-style-type: none"> • Classification of the courses. 		
	Do the Faculty /faculty members have an activity list to develop the above in their respective course?		<ul style="list-style-type: none"> • Course File Documents 		
1.2.1	Do the New Courses being introduced from time to time?		<ul style="list-style-type: none"> • List of New Courses. • Justification for Introduction 		
1.2.2	Is Choice Based Credit System (CBCS) being followed in all the programmes?		<ul style="list-style-type: none"> • Copy of the Regulations. 		
	What is the percentage of Choice provided in a Programme, in selection of the Course?		<ul style="list-style-type: none"> • Scheme of the Programme. • Sample Time tables of Odd and Even Semesters. • Students' Choice List 		
CURRICULAR ASPECTS [CURRICULUM ENRICHMENT]					
1.3.1	Does the programme offered by the Faculty have the scope for integrating the following? <ul style="list-style-type: none"> • Environment • Sustainability. • Human Values. • Professional Ethics. 		<ul style="list-style-type: none"> • 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- a d d e d courses for importing transferable skills?		<ul style="list-style-type: none"> • List of the Value-added courses. • Proof of offering the course at regular intervals. • Number of students enrolled • Number of students who have completed the course • List of students who have carried out industry projects 		

1.3.3	Average percentage of students enrolled in the courses under 1.3.2 above			
1.3.4.	Is there a provision for the students to carry out project/internship with the industry during the programme period?		<ul style="list-style-type: none"> • Relevant Letters from the industry • Sample project Reports • List of students who have undergone the internship • Certificate • Industry letter 	
CURRICULAR ASPECTS [FEEDBACK MECHANISM]				
1.4.1	Does the Institution collect feedback on curriculum from the following? <ul style="list-style-type: none"> • Students • Faculty Members • Employers • Alumni • Parents 		<ul style="list-style-type: none"> • Sample copies of all the feedback forms(filled) 	
	Does the Institution have a mechanism to analyze the feedback reports?		<ul style="list-style-type: none"> • Sample copies of the analysis Report 	
	Has the Institution initiated any action on the analyzed feedback?		<ul style="list-style-type: none"> • Action Taken Report copies 	
	Does the Institution monitor the Improvement after implementing the action?		<ul style="list-style-type: none"> • Sample monitoring Reports. 	
	Auditor Signature		Date of Audit	

ANNEXURE -II
CRITERION - 2: TEACHING - LEARNING AND EVALUATION

Name of School:

Name of the Dean:

Name of CoE:

Audit No.:

Name of the HoD:

Audit Date:

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		• Govt. Approval/AICTE / any other Approval Letter/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 academic and student psychological issues of students?		<ul style="list-style-type: none"> • Policy/Guidelines on Mentoring • 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		<ul style="list-style-type: none"> • BOM approval on Faculty Requirement Sanction (Academic year-wise) • List of teachers appointed (Academic Year-wise) 		
2.4.2	How many teachers are holding PhD/D.M/M.Ch./D.N. B Superspeciality/ DSc/DLitt super specialist		<ul style="list-style-type: none"> • 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?		<ul style="list-style-type: none"> • Copy of the Regulations on for Declaring the results • 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		<ul style="list-style-type: none"> List of complaints received (Examination wise). 		
2.5.3	What is the average percentage of applications for reevaluation leading to change in marks?		<ul style="list-style-type: none"> 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?		<ul style="list-style-type: none"> List of such initiatives. Impact of such initiatives. 		
2.5.5	Status of automation of Examination Division along with approved Examination Manual		<ul style="list-style-type: none"> Copy of the manual for the process of examination and evaluation 		
Auditor Name		Auditor Signature		Date of Audit	

ANNEXURE -III
CRITERION - III: RESEARCH, INNOVATIONS AND EXTENSION

Name of the Dean (R&D):

Audit No.:

Audit Date:

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?		<ul style="list-style-type: none"> • Research Promotion Policy Document • University Website 		
3.1.2	Does the University provide seed money to its teachers for research (average per year)?		<ul style="list-style-type: none"> • Seed money allocation letters 		
3.1.3	How many teachers were awarded international fellowship for advanced studies/ research during the year?		<ul style="list-style-type: none"> • List of faculty Members. • Letters of award. 		

3.1.4	<ul style="list-style-type: none"> How many JRFs, SRFs, Post-Doctoral Fellows, Research Associates and other research fellows in the university enrolled during the year How Many departments are awarded with UGC-SAP, CAS, DST-FIST, DBT, ICSSR and other similar recognitions by government agency? 		<ul style="list-style-type: none"> List of Such Fellows. Fellowship letters. List of Departments. Letter of Recognition. 		
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)?		<ul style="list-style-type: none"> 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?		<ul style="list-style-type: none"> 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?		<ul style="list-style-type: none"> 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 in the Academic Year?		<ul style="list-style-type: none"> 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		<ul style="list-style-type: none"> Copy of the Code of Ethics 		
3.4.2	How many Patents have been published/awarded during the Academic Year.		<ul style="list-style-type: none"> List of patents Published/Awarded. Letter of award. 		
3.4.3	How many Ph.Ds were awarded per teacher during the Academic Year?		<ul style="list-style-type: none"> Number/Teacher List of the awardees. 		
3.4.4	How many research papers published per teacher in the Journals notified on UGC CARE list during the Academic Year?		<ul style="list-style-type: none"> Number of Publications. List of Publications. 		
3.4.5	Number of books and chapters inedited volumes / books published, and papers in national/international conference-proceedings per teacher the Academic Year?		<ul style="list-style-type: none"> List of Books/Chapters. Proof of providing the incentives. 		

3.4.6	E-Content developed by Teachers for <ul style="list-style-type: none"> e-PG Pathshala CEC (Undergraduate) SWAYAM MOOC Platform Any other Govt. Initiatives For Institutional LMS 				
3.4.7	Bibliometrics of the publications during the Academic Year based on average citation index in Scopus/ Web of Science		<ul style="list-style-type: none"> Number of citations (faculty members-wise/Publication- wise). 		
3.4.8	Bibliometrics of the publications during the Academic Year 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 Academic Year.		<ul style="list-style-type: none"> 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 bodies received, if any, during the Academic Year.		<ul style="list-style-type: none"> List of such activities. List of Awards. 		

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 Academic Year.		<ul style="list-style-type: none"> 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-the-job training, project work, student/faculty exchange and collaborative research (only functional MoUs with ongoing activities to be considered)		<ul style="list-style-type: none"> 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 - IV

CRITERION - IV: INFRASTRUCTURE AND LEARNING RESOURCES

Name of the School:

Audit No.:

Name of the Dean:

Audit Date:

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	Director (Academics) Report Director (Sports) Report	<ul style="list-style-type: none"> • 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.	Finance Officer's. Report	<ul style="list-style-type: none"> 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	Chief Librarian's Report	<ul style="list-style-type: none"> 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.		<ul style="list-style-type: none"> 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	<p>Institution has the following facilities for e-content development and other resource development</p> <ul style="list-style-type: none"> • Audio-visual centre, mixing equipment, editing facilities and media studio • Lecture capturing system (LCS) • Central Instrumentation Centre • Animal House • Museum • Business Lab • Research / Statistical database • Moot Court • Theatre • Art Gallery • 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.		<ul style="list-style-type: none"> • 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		<ul style="list-style-type: none"> • Standard Operating Procedures 		
Auditor Name		Auditor Signature		Date of Audit	

ANNEXURE - V

CRITERION - V: STUDENT SUPPORT AND PROGRESSION

Name of the School:

Audit No.:

Name of the Dean:

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 academic year.		<ul style="list-style-type: none"> 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.		<ul style="list-style-type: none"> 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		<ul style="list-style-type: none"> 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).		<ul style="list-style-type: none"> Report of the Students' redressal cell. 		
Student Support and Progression (Student Progression)					
5.2.1	Average percentage of placement of outgoing students.		<ul style="list-style-type: none"> Placement details. 		
5.2.2	Percentage of graduated students to higher education		<ul style="list-style-type: none"> List of Students selected for higher studies. 		
5.2.3	Average percentage of students qualifying in state/ national/ international level examinations during the academic year (e.g: NET/SLET/GATE/GMAT/CAT/GRE/TOEFL/ Civil Services/State government examinations etc.)		<ul style="list-style-type: none"> 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).		<ul style="list-style-type: none"> 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.		<ul style="list-style-type: none"> 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.		<ul style="list-style-type: none"> List of activities. 		
Student Support and Progression (Alumni Engagement)					
5.4.1	Alumni contribution through registered Alumni Association.		<ul style="list-style-type: none"> Alumni Cell Details 		
5.4.2	The Alumni has contributed significantly to the development of the institution through academic and other support system		<ul style="list-style-type: none"> Alumni Cell Details. 		
Auditor Name		Auditor Signature		Date of Audit	

ANNEXURE - VI

CRITERION - VI: GOVERNANCE, LEADERSHIP AND MANAGEMENT

Office of the Registrar:

Audit No.:

Audit Date:

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, de- centralization, 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 towards membership fee for professional bodies.			<ul style="list-style-type: none"> List of students availing Financial Support 	
6.3.3	Teachers who have undergone online/face to face FDP / MDP			<ul style="list-style-type: none"> 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 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	<p>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</p> <p>A) Incremental improvement made during the preceding years with regard to quality</p> <p>B) Incremental improvement made for the preceding years with regard to quality and post accreditation quality initiatives</p>				
6.5.2	<p>Institution has adopted the following for Quality Assurance:</p> <ol style="list-style-type: none"> 1. AAA and Follow up action taken Conferences, Seminars, 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 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 - VII

CRITERION - VII: INSTITUTIONAL VALUES AND BEST PRACTICES

Office of the Registrar:

Audit No.:

Audit Date:

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		<ul style="list-style-type: none"> 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 a) Rainwater Harvesting b) Borewell/Open well recharge c) Construction of tanks & bunds d) Wastewater recycling 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 undertaking 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 (Divyangjan) Friendly, Barrier Free environment		<ul style="list-style-type: none"> 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	<p>The Institution has a prescribed code of conduct for students, teachers, administrators and other staff and conducts periodic programs in this regard</p> <ul style="list-style-type: none"> The Institution Code of Conduct principle are displayed on the website There is a committee to monitor adherence to the institutional code of conduct principles Institution organizes professional ethics programs for students, teachers, administrations and other Staff Annual awareness programs on Code of Conduct are organized 		<ul style="list-style-type: none"> Code of Conduct Policy 		

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	
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	

Sd/-
 Director
 Internal Quality Assurance Cell (IQAC)
 DRIEMS University