

# **ACADEMIC ADMINISTRATIVE AUDIT (AAA) MANUAL**



**DAV UNIVERSITY JALANDHAR**

**2022**

## CONTENTS

<b>S. No.</b>	<b>Content</b>	<b>Page No.</b>
1.0	Introduction	3
2.0	Objectives	3
3.0	Academic audit will cover	4
4.0	Structure and functioning of the academic auditing system	4-13
5.0	Guidelines for internal and external auditors	5-13
6.0	Assessment of various outcomes	13-16

## **1.0 Introduction**

This document is envisioned to elaborate the process of Academic Administrative Auditing (AAA), which can evaluate the efficiency and effectiveness of an academic institution and to suggest the ways to improve it. It presents the objectives of academic auditing, the audit procedure, academic and administrative functioning of the institution, duties and responsibilities of faculty members with respect to teaching, research and consultancy.

The academic administrative auditing shall be conducted in each semester. The academic auditing shall be conducted jointly by Internal Quality Assurance Cell (IQAC) with the help of internal and external auditors appointed by the University. The Internal Quality Assurance Cell shall oversee and monitor all academic and administrative activities of the departments including assessments. This cell shall prepare academic audit reports in association with internal auditors for each semester. These reports shall be presented to the external academic auditors, who shall use it as reference for independent auditing. The external auditors shall submit the final audit report to the University in the prescribed format. For proper functioning of the academic and administrative system in an educational institution and to quantify the efforts dispensed by the faculty, some assessment components have been designed. These include the assessment of effectiveness of course delivery as per the curriculum and syllabus and the efficiency of administrative functioning of the departments.

The process of academic auditing intends to monitor and enhance the quality of education and administrative functioning of the departments. The purpose of the audit is to encourage departments and the institution to evaluate their quality processes and standards based on predetermined benchmarks and to suggest activities required to produce, assure, and regularly improve the quality of the whole system in place including curricular and co-curricular activities, the infrastructure and support services.

## **2.0 Objectives**

### **1. Assess the institution**

An AAA examines the institution's academic and administrative processes, including its systems, infrastructure, practices, HR, and facilities.

### **2. Identify strengths and weaknesses**

An AAA helps identify the institution's strengths, weaknesses, opportunities, and challenges.

### **3. Suggest improvements**

An AAA suggests ways to improve the institution, such as overcoming challenges, identifying bottlenecks, and improving the quality of teaching and learning.

### **4. Set goals**

An AAA can help set goals for academic programmes, monitor and evaluate their progress.

### **5. Ensure accountability**

An AAA can help ensure academic accountability.

### **6. Ensure effective implementation of outcome based education (OBE)**

### **3.0 Academic auditing shall cover**

- (i) Course delivery and adherence to the course plan, syllabus coverage, quality of question papers, internal evaluation, maintenance of laboratory equipment, practical assignments, research projects and conduct of practical classes and their evaluation.
- (ii) Academic functioning of the faculty and the administrative functioning of the department covering punctuality, attendance, discipline, academic environment, learning ecosystem, academic achievements, co-curricular activities and benchmarking.
- (iii) The quality criteria prescribed by NAAC.

### **4.0 Structure and functioning of the academic auditing system**

#### **a. IQAC**

As per the guidelines of National Assessment and Accreditation Council's (NAAC) every higher education institution is mandated to establish an Internal Quality Assurance Cell (IQAC). This cell is entrusted with the responsibility of evaluating institutional performance, assessing accreditation, and enhancing quality in higher education institutions. Aligned with the National Assessment and Accreditation Council's (NAAC) Action Plan, DAV University has established an Internal Quality Assurance Cell (IQAC) on June 4, 2018.

#### **Functions the IQAC**

1. Development and application of quality benchmarks for various academic and administrative activities of the institution
2. Facilitating the creation of a learner-centric environment conducive to quality education and faculty maturation to adopt the required knowledge and technology for participatory teaching and learning process
3. Collection and analysis of feedback from all stakeholders on quality-related institutional processes
4. Dissemination of information on various quality parameters to all stakeholders
5. Organization of inter and intra institutional workshops, seminars on quality related themes and promotion of quality circles.
6. Documentation of the various programmes/activities leading to quality improvement.
7. Acting as a nodal agency of the Institution for coordinating quality-related activities, including adoption and dissemination of best practices.
8. Development and maintenance of institutional database through MIS for the purpose of maintaining /enhancing the institutional quality.
9. Periodical conduct of Academic and Administrative Audit and its follow-up.
10. Preparation and submission of the Annual Quality Assurance Report (AQAR) as per guidelines and parameters of NAAC.

#### **IQAC Composition**

- Chairperson
- Administrative Officers
- Faculty Members
- Members from the Management

- External Experts
- Member from Local society, Students and Alumni
- Nominee from Industry/Employer
- Assistant Directors (IQAC)
- Deputy Director (IQAC)
- Director (IQAC)

### **b. External Auditors**

The external auditors, appointed by the University, will be a proven academician, preferably Professors or Associate Professors from universities and colleges. The external auditor shall visit once in a year. The external auditors shall prepare a report and this report will be accessible to IQAC and Vice Chancellor.

## **5.0 GUIDELINES FOR INTERNAL AND EXTERNAL AUDITORS**

The academic and administrative audit shall be performed on the basis of various evaluation parameters as mentioned below. The two different proformas for academic and administrative audits have been developed for auditors.

### **Academic audit proformas**

Knowledge & Understanding of Vision & Mission Statement

Yes / No

Knowledge & Understanding of PEOs, PSOs & POs

Yes / No

Activity	Observations w.r.t. Course File		Non Conformance (if any)	NC/ Ref	Remarks (if any)
	Available	Not available			
Vision /Mission* of the University and Department					
PEOs, PSOs & POs*					
Academic Calendar*					
Time Table*					
List of students*					
Syllabus*					
Agenda and MoM's of Course/Module Coordinator's meetings					
Course Objectives/Outcom					

es*					
Mapping of syllabus with Course Outcomes*					
Mapping of CO's with PO's*					
Mapping of CO's with PSO's*					
Course Information Sheet*					
Lecture delivery Plan*	<b>Scheduled</b>	<b>Delivered</b>			
Syllabus Coverage Report**					
Plan for Teaching/Learning Activities to strengthen Cos/POs/PSOs attainment.					
MSE Question Papers**					
Assignments*	<b>Planned</b>	<b>Given</b>	<b>Checked</b>		
Tutorial Sheets*	<b>Planned</b>	<b>Given</b>	<b>Checked</b>		
Old Question papers* (MSE's & University)					
Quiz and Activity based Learning Activities*	<b>Planned</b>	<b>Given</b>	<b>Checked</b>		
Internal Evaluation Sheet***					
List of Books Referred*					
Recommended NPTEL/MOOC's/ Swayam courses/videos*					

Expert Lectures**	<b>Planned</b>	<b>Executed</b>			
Mapping of MOOCs Courses, Expert talks, Industry Visits with Course Outcomes					
Gaps in Syllabus**					
Topics Beyond Syllabus**					
Assessment Methodologies*					
Evaluation Sheets MSE's, Assignment's, Tutorial's, Expert lectures, Industry Visits, MOOCs courses and University Results***					
Analysis of University Results for Course for last three years*.					
COs Attainment***					
PO/PSO Attainment***					
Attendance Record/ Attendance Register. ***					
Bright/Weak Students List and Plan of Activities and Impact analysis report.					
Overall statement of Observation on					

Course Conduct and Improvement Plans***					
---	--	--	--	--	--

\* To be completed before start of the semester.

\*\* To be updated regularly during the semester

\*\*\* To be completed at the end of the semester

**Additional Information**

(To be checked and verified by the concerned Auditor)

Activities	Actions		Remarks
	Available	Not available	
Student attendance record (hardcopy/ Online)			
Adjustments (Nos)	Given	Taken	
No. of Extra Classes held; if any	Scheduled	Delivered	
Minor Project(s) Allotted to Students	Allotted	Executed	
Interactive Teaching Aids/Techniques Developed/innovations made (give details) viz. Activity based learning, Case study, Role Play, Crossword, Quiz etc.			
List of students who are currently undertaking MOOCS/SWAYAM/NPTEL courses	Available	Not available	
List of Virtual Labs being recommended/ conducted	Available	Not available	
List of students who are currently enrolled/using virtual lab(s)	Available	Not available	

Activities	Observations w.r.t. Course File		Non Conformance (if any)	NC/ Ref	Remarks (if any)
	Available	Not available			
CO attainment (direct & indirect method)					
CO PO					



Mapping					
Gap Analysis					
Innovative teaching pedagogies used such as activity based learning (indoor& outdoor) LCD& PPT, chalk and talk, lecture with interaction					
Assessment of the students via MCQ's at the end of lectures/modules					
Group/individual presentation of the students and assessment thereof towards CO attainment					
Assignment (open ended)					
Development of special questions for the attainment of POs					

Activities	Actions		Remarks
	Yes	No	
Is the auditee a mentor	Yes	No	
Mentor Forms filled	Yes	No	
Resolution of student's concern/ complaint	Executed	Not Executed	

## Administrative audit proforma

S. No	Criterion	Yes/No	1	2	3
<b>Curricular Aspects</b>					
1	Curricula developed and implemented have relevance to the local, regional, national, and global developmental needs, which is reflected in the Programme outcomes (POs), and Course Outcomes(COs) of the Programmes				
2	Programmes offered by the department focus on employability/ entrepreneurship/ skill development and their course syllabi are adequately revised to incorporate contemporary requirements				
3	New programmes introduced in the department.				
4	New courses introduced in the department for all programmes with reference to NEP-2020.				
5	The curricula developed is in line with the National Education Policy – 2020				
6	Design and development of the curriculum according to the guidelines of UGC, AICTE and other regulatory bodies				
7	Provision of academic flexibility in the curriculum				
8	Offering value-added/MOOCs/Skill Courses/NPTEL courses				
9	Stakeholders and experts feedback on the curriculum				
10	Programmes have the components of field projects / research projects / internships /experiential learning unit				
<b>Teaching-Learning and Evaluation</b>					
11	Conduct of orientation/ induction program for freshets				
12	Conduct of bridge/remedial/ pre-requisite courses				
13	Arrangements made to cater to the learning needs of advanced and slow learners				
14	Adherence of academic calendar				
15	Use of student centric methods (activity based learning/ experiential learning)and ICT-enabled tools for effective teaching				
16	Motivation of students to solve innovative assignments and to take up mini projects relevant to curricular subjects (project based learning)				
17	Inviting experts/ people of eminence to give lectures / seminars and conduct workshops for students				
18	Effective Mentor-Mentee Schemes to address student issues				



39	Participations of students and faculty in extension activities such as NSS and other Professional bodies				
40	Faculty/ student Memberships in professional bodies like IEL, ISTE, CSI, IEEE, ACM etc.				
<b>Infrastructure and Learning Resources</b>					
41	Availability of the laboratory facilities and class rooms for delivering the curriculum and strengthening teaching-learning process				
42	Availability of the ICT enabled classrooms/ learning spaces within the department				
43	Installation of fire and Electrical safety devices per standard at all strategic locations				
44	Adequacy of facilities/ support systems provided for differently abled students and staff				
45	Computing facilities in the department				
46	Internet bandwidth and Wi-Fi facilities				
47	Electronic Surveillance system				
48	Purchase of new books on latest areas and addition of required number of volumes every year				
49	Number of e-books and e-learning material in the digital library				
50	Maintenance of infrastructural facilities and safeguarded by the maintenance personnel				
<b>Student Support and Progression</b>					
51	Student support mentoring system and career counseling				
52	Encouragement in the form of incentives/appreciation to academic toppers				
53	Mechanisms to motivate students for participation in co-curricular and extracurricular activities				
54	Guidance/ coaching classes for GATE/GRE/NET/UPSC				
55	Industrial / Field visits/Exhibitions for the students				
56	Contribution to training and placement cell for stipend based internship, training and placements in industry.				
57	Conduct of pre-placement training for students placements				
58	Designation industry coordinators from the departments and maintenance of the record related to students internships/placements.				
59	Alumni involvement in the development of the University				
60	Mechanism for redressal of the grievances of the student/staff				
61	Ensuring participation of women in different academic, extension and extracurricular activities				
62	Mechanism to take feedback from its alumni/employers				
63	Motivating students for research activities				

64	student clubs and societies activities				
<b>Governance, Leadership and Management</b>					
65	Faculty participation in Academic council meetings/BOS				
66	Conduct of academic and administrative audit				
67	Maintenance of records of all academic/administrative activities of the departments in the files (year wise)				
<b>Institutional Values and Best Practices</b>					
68	Two best practices followed by the Department				
1					
2					
69	Distinctive Practice of the department				

## 6.0 Assessment of Various Outcomes

### Guidelines for Calculating Course Outcomes (CO) and Programme Outcomes (PO) Attainment

#### CO Attainment:

CO attainment is calculated through

Direct attainment - Weightage 80 %

Indirect attainment - Weightage 20 %

- **Direct Attainment:** Direct attainment of Course Outcomes is measured through Internal Assessment (i.e. MSEs, Written Quiz Assignment/Project Work/Seminar etc.) and End Semester Examination.

#### Calculation Method:

- 45% weightage considered for internal assessment (MSE, Written Quiz and Assignment)
- Attendance: 5%
- 50% weightage considered for End Semester Examination

#### Target:

**Minimum 50% marks**

#### Attainment levels:

Attainment level 0	50% students scoring less than the target
Attainment level 1	50% students scoring more than the target
Attainment level 2	60% students scoring more than the target
Attainment level 3	70% students scoring more than the target

### Steps for calculating CO Attainment with example

Step 1: Fill the marks of students in MSE, Written Quiz, Assignment, Attendance and ESE.

Step 2: Calculate the number of students who attempted MSE, Written Quiz, Assignment and ESE.

Step 3: Calculate the number of students who scored  $\geq 50\%$  of maximum marks in each Question.

Step 4: Calculate % of students who scored  $\geq 50\%$

Step 5: Evaluate the attainment level by using the criteria.

a) If % of students who scored  $< 50$ : Attainment Level will be “0”

b) If % of students who scored  $\geq 50$  and  $< 60$ : Attainment Level will be “1”

c) If % of students who scored  $\geq 60$  and  $< 70$ : Attainment Level will be “2”

d) If % of students who scored  $\geq 70$ : Attainment Level will be “3”

Step 6: Repeat the steps 3 to 5, and calculate the attainment of ESE, Quiz and Assignments.

Step 7: Calculate the Net Attainment of each CO which may include MSE, ESE, Quiz and Assignments.

- **Indirect Attainment:**

Course exit survey is considered for CO indirect attainment

**Course Exit Survey:** Course exit survey is considered for CO indirect attainment

**Example for the purpose of understanding:**

S.NO.	Registration No.	Student Name	CO1	CO2	CO3	CO4	CO5	CO6
1			3	3	3	3	3	3
2			2	2	2	2	2	2
3			3	3	3	3	3	3
4			2	2	2	2	2	2
5			3	2	2	2	3	3
Average of each CO			2.5	2.5	2.44	2.44	2.5	2.5
Indirect Attainment			2.47					

- Calculate CO Attainment from direct attainment and indirect attainment by taking the Weightage of 80% and 20% respectively:

**Example for the purpose of understanding:**

CO Attainment						
Particular	Direct Attainment					Indirect Attainment
	MSE	Quiz	Assignment	Attendance	ESE	
CO1	1		3	3	3	
CO2	2		2		2	
CO3		1			3	
CO4			2		2	
AVERAGE	1.5	1	2.333333		2.5	
Weightage(%)	25	10	10	5	50	
Attainment	0.375	0.1	0.233333	3(attendance more than 70%)	1.25	2.47
Total Attainment	1.958333333					2.47
Weightage	80%					20%
Final Attainment	2.060666667					

The value 2.47 written in the indirect attainment column is taken from Course exit survey.

**PO Attainment:**

**CO-PO-PSO MAPPING**

CO NO.	PO 1	PO 2	PO 3	PO 4	PO 5	PO 6	PO 7	PO 8	PO 9	PO 10	PO 11	PO1 2	PSO 1	PSO 2
CO1	1	1	2	-	-	-	-	-	2	-	-	-	1	3
CO2	2	1	1	-	-	-	-	-	1	-	-	-	1	2
CO3	3	3	2	-	-	-	-	-	3	-	-	-	3	3
CO4	1	2	2	-	-	-	-	-	2	-	-	-	2	2
CO5	2	2	3	-	-	-	-	-	1	-	-	-	2	2
	1.8	1.8	2	-	-	-	-	-	1.8	-	-	-	1.8	2.4

**PO/PSO ATTAINMENT=(CO-PO-PSO AVERAGE/3)\* FINAL ATTAINMENT**

	PO 1	PO 2	PO 3	PO 4	PO 5	PO 6	PO 7	PO 8	PO 9	PO 10	PO 11	PO1 2	PSO 1	PSO 2	
Direct	1	2	3	4	5	6	7	8	9	10	11	2	1	2	
PO/PSO	1.2	4	1.2	1.4	0	0	0	0	0	1.2	0	0	0	1.24	1.65

- **Direct Attainment:** For each PO and PSO, the attainment value of a course that contributes to the PO/PSO is Computed as follows:

Course PO Attainment = (Average CO to PO Relevance/ 3(Maximum Value)) \* Final Attainment

**Example for the purpose of understanding**

**In the table given below the numbers (1, 2 & 3)**

- 1 Corresponds to Low mapped
- 2 Corresponds to Moderately mapped
- 3 Corresponds to Highly mapped

**Note:** Efforts should be made that all the CO's are equally assessed in all the components viz. MSE, ESE, Assignments, and Quiz.

---