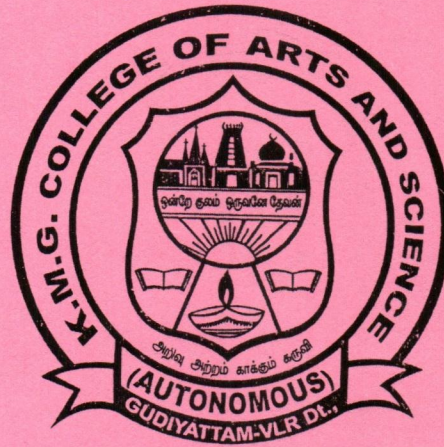# K.M.G. COLLEGE OF ARTS AND SCIENCE

(AUTONOMOUS)

Approved by the Government of TamilNadu

Permanently Affiliated to Thiruvalluvar University, Vellore.
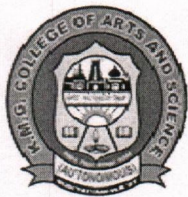
Recognized under Section 2(f) and 12(B) of the UGC Act 1956

Accredited by NAAC (2nd Cycle) with (CGPA of 3.24/4) 'A' Grade

POLICY DOCUMENT

Academic and Administrative Audit

K.M.G. COLLEGE OF ARTS AND SCIENCE
(AUTONOMOUS)
R.S.ROAD, AMMANANGKUPPAM, GUDIYATTAM – 635 803.
Approved by Govt.of Tamilnadu & Permanently Affiliated to Thiruvalluvar University
Recognized under section 2(f) and 12(B) of the UGC Act 1956
Accredited By NAAC with 'A' GRADE (CGPA of 3.24/4 - IInd Cycle)

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Policy Document: Academic and Administrative Audit

GUIDELINES FOR ACADEMIC AND ADMINISTRATIVE AUDIT

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).

The monitoring and evaluation of academic processes require a carefully-structured system of internal and external audits. As per the NAAC guidelines, KMG College of Arts and Science undertake periodic Academic and Administrative Audits (AAA). This document outlines the processes related to such audits.

SHORT TITLE AND APPLICATION

These Guidelines shall be called the "KMG College of Arts and Science for Academic and Administrative Audit"

These Guidelines shall come into effect from the date of approval by the College Development Council 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.

PURPOSE AND SCOPE

➢ 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:

➢ To define the main areas of focus, central to quality assurance and enhancement in teaching and learning.

➢ To identify the processes and procedures used by Academic Departments for quality assurance and enhancement in each of the focus areas.

➢ To appraise the adequacy and effectiveness of the quality assurance processes and procedures.

- To make appropriate recommendations for continuous improvement of the processes and procedures used for quality assurance and enhancement.
- To suggest the methods for continuous improvement of quality, keeping in mind criteria of NAAC in particular and requirements of other regulatory bodies.

DEFINITIONS

- Academic Audit is a mechanism to examine and enhance the quality of academic aspects of institutes of Higher Education.

- 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.

- 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.

- 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.

- 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.

- Quality Assurance is the activity of providing evidence needed to establish confidence among all concerned that the quality-related activities are being performed effectively.

- Quality Enhancement is an ongoing process of augmentation or improvement.

ACADEMIC AUDIT (AA) PROCESS

The college will conduct two types of AA:

a. Internal Academic Audit (IAA):

> ➤ Internal Academic Audit will be conducted by the IQAC of the college along with the team constituted by IQAC of the college.

> ➤ 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 Principal.

> ➤ The internal audit will primarily focus on the parameters as defined by the criterias prescribed by NAAC. The college has adopted the NAAC Criteria as a basis for evaluating the academic processes and quality. The college may also include other parameters for audit as decided by the IQAC and the Principal.

> ➤ The internal audit report shall necessarily make recommendations for improvement in parameters as relevant. The report shall be submitted to the Principal. The Principal 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)

> ➤ 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.

> ➤ There will be at least one external audit every academic year.

> ➤ The external audit may focus on parameters for audit as recommended by the Principal. 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 college.

➢ The external audit report shall be submitted to the Principal. The Principal shall place the External Audit Report along with the Action Taken Report (ATR) before the Academic Council for its perusal and recommendations.

METHODOLOGY

i. **Internal Academic Audit**

➢ IQAC shall fix the schedules for the academic audit of the departments and administration. This schedule will be circulated to Heads of the Departments.

➢ Typically, the academic audit process must be conducted once in a year 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 Principal.

➢ The specified pro-forma for the academic audit (Annexures to this policy) shall be developed by IQAC and approved by Principal. The same shall be communicated to Heads of the Departments and Administrative Officer at least a month before the commencement of the internal audit.

➢ The criterias 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 Heads of Department may provide other parameters and relevant pro forma for the internal audit.

➢ The internal audit team shall prepare a detailed Internal Audit Report and submit the same to the Principal within two weeks of completion of the internal audit of the concerned department.

ii.   **EXTERNAL ACADEMIC AUDIT**

➢ IQAC shall recommend suitable eminent academician for the conduct of the external academic audit. The Principal shall make the final decisions on the choice of the Peer Team to conduct the academic audit.

➢ The external academic audit must be conducted at least once in a academic years.

➢ The Peer Team in consultation with the IQAC 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 Principal. The same shall be communicated to all Heads of the Departments at least two weeks before the commencement of the External Audit.

➢ The Peer Team shall prepare a detailed audit report and submit the same to the Principal within two weeks of completion of the external audit.

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 philosophies

2.   Teaching

- Pedagogy of teaching – methodology

- Instructional design – methodologies

- Instruments and tools of learning

- ICT or audio-visual aids

- Usage of labs

- Compliance to Class time tables

- Quality of Guidance/Counseling/Supervision/Mentoring

3. Learning

- Methods for learning

- Learning resources-books, notes.

- Policies & Programs for Slow, Average and Advanced Learners

- Group dynamics and Projects

- Experiential learning/field visits

- Testing for the Learning Outcomes

4. Evaluation

- System of evaluation

- Transparency / confidentiality

- Question banks

- Weekend tests

- Rubrics of Evaluation

- Automation of Examination process

- Innovative practices / reforms

- Detection and handling of malpractices

- UG/PG admission statistics

- UG/PG examination statistics

- UG/PG result 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.   Extension Services

- Collective activity with teachers & students

- Useful to community, industry and disadvantaged section of the society

- Awards and recognitions

- Impact on community

- Collaboration with local units/industries

- Collaboration with University

- Joint ventures – NGOs / Govt. Bodies

8.   Infrastructure

- Adequacy of classrooms, furniture, space

- Faculty seating

- Office space – structure – plan

- K.M.G Management - 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 of Governance

- Grievance redressal mechanism

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.
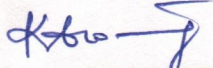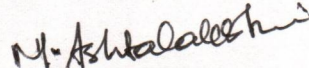
OUTCOME

The outcome of both the internal and external audit reports and, the Action Taken Reports shall be placed before the College 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.

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 Principal.

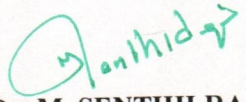| Prepared by	Reviewed by		Approved by
Dr. K. GOMATHY Co-ordinator	**Dr. D. MANIKANDAN** Dean – Academic	**Mr. B. BALAJI** IQAC Co-ordinator	**Dr. M. SENTHILRAJ** Principal **PRINCIPAL,** **K.M.G. COLLEGE OF ARTS AND SCIENCE** **(AUTONOMOUS),** **GUDIYATTAM, VELLORE DISTRICT - 635 803.**
Dr. M. ASHTALAKSHMI Co-ordinator			