

ACADEMIC AND ADMINISTRATIVE AUDIT PROCESS MANUAL



CMR INSTITUTE OF TECHNOLOGY

(UGC - Autonomous)

Approved by AICTE, Permanently Affiliated to JNTUH, Accredited by NBA and NAAC with A Grade

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1. Introduction

Internal Audit would help the Institute to improve economy, efficiency, effectiveness and transparency in administration in general and financial administration in particular. It will also help in maintaining a sound record keeping system with adequate checks and balances and a sound information system for decision making by the executives. Types of internal audit consist of academic audit and administrative audit.

The academic audit process emphasizes reflection and improvement rather than compliance with predetermined standards. The purpose of an academic audit is to encourage departments or programs to evaluate their “education quality processes” in terms of the key factors such as faculty competency and program activities required to produce, assure, and improve the quality of teaching and learning on regular basis. The emphasis is on the approach of the faculty members and the departments programs towards educational decision-making and how they organize their work, use the resources available to them and work collegially to provide a quality education in the best interests of the discipline and student learning.

The administrative audit is a process of evaluating the efficiency and effectiveness of the administrative policies, strategies & functions of the various administrative units.

The internal academic and administrative audit is conducted jointly by development and internal audit office and Internal Quality Assurance Centre (IQAC) within the institute twice a semester at department/units and external academic audit by the experts nominated by the principal. The audit office prepares, maintain and submit academic audit reports in prescribed formats for each semester at regular intervals.

Objectives

The objectives of Academic Audit are to

- ensure academic accountability
- understand the existing system and assess the strengths and weaknesses of the departments and administrative units and to suggest the methods for improvement and for overcoming the weaknesses
- identify the bottlenecks in the existing administrative mechanisms, opportunities for academic reforms, administrative reforms and examination reforms etc.
- suggest the methods for continuous improvement of quality

2. Audit Process

The audit process comprises of internal audits in phase 1 & 2 and external audit in phase-3.

Internal audit shall be done by the audit team under the supervision of IQAC of the institute. IQAC Coordinator should constitute suitable teams for conducting the academic audit of each department. Each team should comprise three faculty members (as far as possible, one member from IQAC shall be included in each team). The members of the audit team visit the departments, center facilities such as examination section, computer center, office of the Deans, Training and Placement Cell (TPC), library and auditorium. After completing all the stages of inspection and interactions and thorough check of department specific documents and college specific documents audit reports are generated and handed over to the IQAC by the team specified for the said purpose. The external academic auditing shall be conducted jointly by an external team appointed by the Director and IQAC team within the institute.

3. Audit Categories

The Internal Audit process is categorized into academic, faculty research and administrative audit to evaluate the outlays and utilizations for optimality, across the various focus areas.

3.1 Faculty Academic Audit

Academic audit can be understood as a scientific and systematic method of reviewing the quality of academic process in the institution. It is related with the quality assurance and enhancing the quality of academic activities at institute level.

The academic audit mainly focuses on

- a. Curriculum and Co-curriculum
- b. Teaching, Learning and Evaluation
- c. Feedback Mechanism
- d. Student Learning Assessment
- e. Digital Learning

Curriculum and Co-curriculum:

The Curriculum and Co-curriculum aspects are verified in terms of curriculum design and improvements, the content and sequencing of courses for achieving program outcomes.

Teaching, Learning and Evaluation:

The audit process will validate course delivery in accordance with the curriculum and syllabus, faculty member duties and responsibilities, class monitoring, course progress, internal assessment, student guidance and counseling, grievances, and the effective use of instructional materials and teaching tools for achieving student learning objectives. In addition, the faculty performance is evaluated through faculty academic audit report named as self-appraisal report. The execution of the examination process is to be verified in terms of examination schedules as per academic calendar, question paper setting, scheme of evaluation, awarding of marks and publishing results in time.

Feedback Mechanism:

The effectiveness of feedback mechanism includes collection, analysis and corrective measures taken are being verified thoroughly in order to strengthen the TLP.

The audit team prepares and submits the reports in accordance with program strengths and weaknesses as well as a prioritized list of initiatives to principal for further action.

Student Learning Assessment:

Audit team verifies the best practices and assessment methods adopted for measuring the degree to which students are achieving program learning outcomes.

Digital Learning:

The audit process will validate the faculty created E-Learning readiness videos and action plan to complete the digital learning videos for all the courses.

The academic audit is based on

- a. Self-evaluation reports of the departments
- b. Feedback from stakeholders
- c. Faculty academics performance
- d. Faculty research performance

3.2 Faculty Research Audit

The research and development audit concentrates on academic and sponsored research. Academic research includes faculty publications in refereed and indexed journals (SCI/ SCIE/Scopus), funded schemes, sponsored research projects, publications, collaboration activities Intellectual Property Rights (IPR) and tech transfers which are verified every quarter of an academic year through prescribed form named as Performance Appraisal Evaluation System (PAES-Research) is available in the institute website. Sponsored research audit checks the details of research projects and proposals (submitted/ongoing/completed) with respect to sanction letters and utilization certificates of all funded projects and schemes. Revenue generated and utilization records of consultancy activities are verified.

3.3 Administrative Audit

Administrative audit is a process of evaluating the efficiency and effectiveness of the administrative procedures. It includes assessment of policies, strategies & functions of the various administrative units.

The administrative audit mainly focuses on

- a. Establishment
- b. Student Services
- c. IT Infrastructure
- d. Central Library
- e. Accounts Section
- f. Central Administrative Units

Establishment:

The elements of administrative audit of the establishment section include the policies and procedures of recruitment, service and leave rules pre-defined by the institute are to be verified and also details of induction activities conducted to the teaching and non-teaching staff are verified at the time of audit.

Student Services:

Details of admissions and diversity of students, scholarships provided by Government/ Institute, minutes and action taken reports of student grievances are the items that have to be verified as a part of student affairs audit.

IT Infrastructure:

During audit, the officer of IT Infrastructure management services should provide details of computing and networking facilities, campus surveillance system, content development facilities and legal software.

Central Library:

Audit team checks the details of Library infrastructure, learning resources such as books, volumes, titles, journals and intuitional memberships.

Accounts Section:

Balance sheet and financial audit statements are prepared by registered Chartered Accountant and the same are verified at the time of administrative audit.

Audit of Administrative Units:

All Dean Offices are audited periodically with respect to various parameters given in prescribed formats available.
