

# Annexure - 8

  
Registrar 11/02/24  
Mangalayata University  
Beswan, Aligarh

**Standard Operating Procedure (SOP)**  
**for**  
**Academic Audit**



  
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Mangalayatan University  
Beswan, Aligarh  
14/03/24

**MANGALAYATAN UNIVERSITY**

Extended NCR, 33<sup>rd</sup> Milestone, Aligarh - Mathura Highway

Beswan, Aligarh - 202146 (India)

Website: [www.mangalayatan.in](http://www.mangalayatan.in)

## ACADEMIC AUDIT

### **Introduction**

Academic audit is an important strategy of the University to ascertain the degree of quality teaching-learning process practiced at Department/Institute level based on the teaching-learning dimensions like curriculum development, its planning and transactional strategies, and accountability and overall quality of various programmes organized by the University.

### **Aim**

To lay down a SoP for conduct of Academic Audit

### **Procedure of Academic Audit**

Dean of Academics in consultation with the VC will list the approved auditors and Academic Audit Coordinator of the University. He will also prepare academic audit schedule and issue the same to all institutes and departments.

Academic Audit Co-ordinator in consultation with Dean, Academics devises the methodology to carry out the academic audit.

A meeting will be conducted with auditors in the presence of the Dean, Academics. The guidelines for carrying out audit and past experience of auditors will be discussed and methodology devised.

Audit Co-ordinator after audit will prepare a brief report which will comprise of the following aspects:

1. Identifying the processes used by the Departments for quality teaching-learning
2. Appraisal of the adequacy and effectiveness of the process
3. Recommendations for continual improvement of the processes for quality assurance and enhancement

After approval of the academic audit by the competent authority, Dean, Academics will send it to the respective HoDs/Principals who will initiate the implementation perspectives of the recommendations set forth in the report.

### **Guidelines for Auditors**

Dean Academics, Academic Audit Coordinator and team members should audit the concerned department in the presence of the HoD/Principal/Director or his/her designated faculty members using a participatory approach for finding the facts pertaining to the aspects of the academic audit.

The academic audit ambit includes not only the teaching-learning processes but also other significant areas and activities including research, documentations and adherence to the University Vision and Mission as well as Departmental Goals and Objectives. All the participatory stakeholders including students need to be involved in the audit process through interactions; discussions and interviews based on pre-determined schedules, questionnaire and checklists prepared for the academic audit.

The academic audit should normally be concluded prior to the commencement of terminal end examinations, however in exceptional cases, the same may be scheduled on the date/s as suitable to this cause of action.

### **Skill Sets Required for Auditors**

1. conduct meetings and interviews with staff
2. conduct meetings with students
3. write succinctly and coherently
4. meet timescales and deadlines
5. interpret statistical data
6. work effectively as a member of a team
7. work courteously and professionally
8. maintain confidentiality
9. communicate electronically

### **Format of Audit Report**

Audit reports have a standard format comprising:

1. Title of the audit.
2. Members of the audit team.
3. Terms of Reference for the particular audit.
4. The methodology of the particular audit.
5. A description of the current policies, procedures and arrangements for the topic audited. This should preferably be a brief factual synopsis including summary of the observational remarks. The report should also include the following integral components -
  - a) purpose of the topic audited
  - b) policies, procedures and arrangements in operation
  - c) background documentation or records

Exemplary Practices:

- (1)
- (2)
- (3)
- (4)
6. Areas identified for improvement:
  - (1)
  - (2)
  - (3)
  - (4)
7. Summary of Observational Remarks:
8. Recommendations:

  
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- (1)
- (2)
- (3)
- (4)

Signature of HoD/Principal/Director

Signature of Academic Audit Coordinator

Date:

### CHECKLIST FOR ACADEMIC AUDIT

S.No	Item	E/G/A/B	Observational Remarks
1	Curriculum is in line with MU guidelines and with guidelines of accreditation bodies		
2	The syllabus/Evaluation scheme is passed in BoS and AC		
3	Curriculum revision is done periodically		
4	Feedback from students on curriculum		
5	Feedback from Faculty on curriculum		
6	Feedback from Industry on curriculum		
7	Feedback from Alumni on curriculum		
8	Academic calendar of the Institute is in line with the academic calendar of MU		
9	Timetable of the Institute is displayed		
10	Faculty meeting records are available		
11	Course Files of faculty members including – timetable, syllabus, teaching plan and its objectives are available.		
12	ICT including ppt and technology modes are used by the Department		
13	Research projects are undertaken by the faculty		
14	Students Projects are duly signed		
15	Assignments are duly assessed		

  
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16	MPhil / Doctoral Research Dissertations/Thesis are available		
17	Research papers/articles/ published by the faculty members during the session are adequate		
18	Formative and summative evaluation are organized through minor and major examinations		
19	Minor examinations are based on units of teaching as prescribed		
20	Evaluated answer sheets of minors are shown to the students		
21	Co-curricular Activities are routinely conducted		

Excellent – E Good – G Average- A Below-average – B

### Academic Audit Report

Session: xx – xxxx

1. Name of Department:.....
2. No. of Staff members:.....
3. No. of hired services: .....
4. Revisions as per earlier audit recommendations: last revised on.....
5. Participation of faculty: .....
6. Participation of Non-teaching staff.....
7. Number of orientation programs organised by the Department:.....
8. Number of capacity building programs organized.....; staff sponsored.....
9. University Services awareness test attended.....
10. New Technological Equipment and Infrastructure Added: .....

Exemplary Practices:

- (1)
- (2)
- (3)
- (4)

Areas identified for improvement:

- (1)
- (2)
- (3)
- (4)

Summary of Observational Remarks:

  
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Recommendations:

- (1)
- (2)
- (3)
- (4)

Signature of Departmental/Unit Head

Signature of Audit Coordinator

Date:

  
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14/03/24



# MANGALAYATAN UNIVERSITY, ALIGARH

MU/IQAC/ Audit /2022-23/21

Dated: 10 Dec 2022

## Notice

### Subject: Academic and Administrative Audit

The Functioning of academic, administrative, financial and central facilities is required to be governed in accordance with prescribed standards and norms of the University. In order to ensure the strict functioning, the following Committees are constituted. These Committees will inspect and provide their valuable inputs which assist the concerned departments to overcome their short comings.

S. No.	Departments	Committees
1	<ul style="list-style-type: none"><li>➤ Department of Agriculture</li><li>➤ Department of Arts</li><li>➤ Department of Biotechnology and Life Sciences</li><li>➤ Department of Civil Engineering</li><li>➤ Department of Computer Engineering &amp; Application</li><li>➤ Department of Electrical and Electronics Engineering</li><li>➤ Department of Journalism and Mass Communication</li><li>➤ Department of Mechanical Engineering</li><li>➤ Department of Pharmacy</li><li>➤ Department of Visual and Performing Arts</li><li>➤ Institute of Applied Sciences</li><li>➤ Institute of Business Management and Commerce</li><li>➤ Institute of Education and Research</li><li>➤ Institute of Legal Studies and Research</li><li>➤ Library and Information Science</li><li>➤ School of Pharmacy</li><li>➤ Department of Research</li></ul>	<ul style="list-style-type: none"><li>➤ Prof. Ullas Gurudas</li><li>➤ Prof. Kamran Javed Naquvi</li><li>➤ Dr. Harish Sarswat</li></ul>
2	<ul style="list-style-type: none"><li>➤ Registrar Office</li><li>➤ Finance Office</li><li>➤ Examination Cell</li><li>➤ Central Library</li><li>➤ Admission Cell</li><li>➤ Training &amp; Placement</li><li>➤ CSD &amp; ERP Services</li><li>➤ Dean Student Welfare</li><li>➤ Central Store</li><li>➤ Document Section</li><li>➤ Administration Office (Electrical &amp; Maintenance work)</li></ul>	<ul style="list-style-type: none"><li>➤ Prof. Jayanti Lal Jain</li><li>➤ Prof. Ashok Purohit</li><li>➤ Mr. Mayank Kumar Singh</li></ul>

Director, IQAC

C.C.:-  
P.S. to Vice Chancellor for kind information of the Hon'ble Vice Chancellor  
Registrar Office  
COE/FO/Deputy Registrar (HR)  
All Deans/Directors/Heads/HoDs/Faculty/Staff  
All Concerned

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Mangalayatan University  
Standard Operating Procedure (SoP)

Audit Report

1. **Title of the audit:** Academic Audit of Institute of Business Management and Commerce.
2. **Members of the audit team:** (1) Prof. Ullas Gurudas  
(2) Prof. Kamran Javed Naquvi  
(3) Dr. Harish Saraswat
3. **Terms of reference for the particular audit:**
4. **The methodology of the particular audit:** Comprise the following aspects:
  1. Identifying the process used by the Departments for quality teaching – learning
  2. Appraisal of the adequacy and effectiveness of the process
  3. Recommendations for continual improvement of the process for quality assurance and enhancement
5. **A description of the current policies, procedures and arrangements for the topic audited.**

This should preferably be a factual synopsis including summary of the observational remarks. The report should also include the following integral components-

  - a) **Purpose of the topic audited:** To ascertain the degree of quality teaching – learning process practiced at Department/Institute level based on the teaching – learning dimensions like curriculum development, its planning and transactional strategies, and accountability and overall quality of various programmes organized by the University.
  - b) **Policies, procedures and arrangements in operation:** As stipulated by the University
  - c) **Background documentation or records:** Course files prepared by the faculty members, Minutes of the BoS and syllabus
6. **Exemplary Practices:**
  - (1) Course file maintained properly
  - (2) Board of studies were conducted properly and files maintained
  - (3) Students were given internship
  - (4) Encourage students to take SWAYAM courses
7. **Areas identified for improvement:**

  
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- (1) Lecture delivery plan should have one more column indicating Reference books and page numbers for teaching each topic
- (2) Students can give projects that can be undertaken individually or by group
- (3) Encourage student to take courses ~~through~~ through MOOCs Platform

**8. Summary of Observational Remarks:**

Overall the files were maintained properly

**9. Recommendations:**

- (1) Teaching delivery plan should be modified
- (2) Students can undertake student projects
- (3) Question paper should be ~~problem oriented~~ contain some challenging questions
- (4) Students can give weekly seminars, conduct group discussions and have sessions for improving communication skills.

Signature of HoD/Principal/Director

Signature of Academic Audit Coordinator

Date: 12/12/22

  
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**CHECKLIST FOR ACADEMIC AUDIT**

S.No	Item	E/G/A/B	Observational Remarks
1	Curriculum is in line with MU guidelines and with guidelines of accreditation bodies	E	
2	The syllabus/Evaluation scheme is passed in BoS and AC	E	
3	Curriculum revision is done periodically	E	
4	Feedback from students on curriculum	G	
5	Feedback from Faculty on curriculum	E	
6	Feedback from Industry on curriculum	E	
7	Feedback from Alumni on curriculum	E	
8	Academic calendar of the Institute is in line with the academic calendar of MU	E	
9	Timetable of the Institute is displayed	E	
10	Faculty meeting records are available	E	
11	Course Files of faculty members including - timetable, syllabus, teaching plan and its objectives are available.	E	
12	ICT including ppt and technology modes are used by the Department	E	
13	Research projects are undertaken by the faculty	E	
14	Students Projects are duly signed	E	
15	Assignments are duly assessed	E	
16	MPhil / Doctoral Research Dissertations/Thesis are available	G	
17	Research papers/articles/ published by the faculty members during the session are adequate	G	
18	Formative and summative evaluation are organized through minor and major examinations	E	
19	Minor examinations are based on units of teaching as prescribed	E	
20	Evaluated answer sheets of minors are shown to the students	E	
21	Co-curricular Activities are routinely conducted	E	

Excellent - E    Good - G    Average - A    Below-average - B

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*HAF*

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**Mangalayatan University**  
**Standard Operating Procedure (SoP)**

**Audit Report**

1. **Title of the audit:** Academic Audit *of Institute of Education and Research*
2. **Members of the audit team:** (1) Prof. Ullas Gurudas  
(2) Prof. Kamran Javed Naquvi  
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  - b) **Policies, procedures and arrangements in operation:** As stipulated by the University
  - c) **Background documentation or records:** Course files prepared by the faculty members, Minutes of the BoS and syllabus
6. **Exemplary Practices:**
  - (1) *Teaching pedagogy*
  - (2) *Faculty member involving in various research activities*
  - (3) *Students were given proper internship and training.*
  - (4)
7. **Areas identified for improvement:**

  
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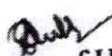
- (1) Lecture delivery plan should be improved by adding one more column indicating reference books and page numbers used
- (2) Teaching the topics
- (3) Question papers should include challenging questions
- (4) as per Blooms taxonomy.



8. Summary of Observational Remarks:

Overall files were maintained properly.

9. Recommendations:

- (1) Challenging questions included in the question papers as per Blooms taxonomy.
- (2) Student projects should be given.
- (3) Students should encourage to participate in faculty members research areas.
- (4) Encourage students to participate in courses through MOOCs platform.

  
Signature of HoD/Principal/Director

   
Signature of Academic Audit Coordinator

Date: 14-12-2022

  
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14	Students Projects are duly signed	G	
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Excellent - E    Good - G    Average - A    Below-average - B

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# MANGALAYATAN UNIVERSITY, ALIGARH

MU/IQAC/ Audit /2022-23/21

Dated: 10 Dec 2022

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All Concerned

  
Director, IQAC

  
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Academic Audit Report

Session: xx - xxxx

2022-23

1. Name of Department: Finance Department.
2. No. of Staff members: 7
3. No. of hired services: 1 consultant for PF and ECI compliances.
4. Revisions as per earlier audit recommendations: last revised on.....NO.....
5. Participation of faculty: ...NO
6. Participation of Non-teaching staff.....7
7. Number of orientation programs organised by the Department.....NO
8. Number of capacity building programs organized.....; staff sponsored....No
9. University Services awareness test attended.....NR.
10. New Technological Equipment and Infrastructure Added: Accounting software updated.

Exemplary Practices:

- (1) Complete student record on ERP.
- (2) Daily Cash summary record start maintaining since last April 22.
- (3)
- (4)

Areas identified for improvement:

- (1) Staff training from outsider financial Expert on statutory compliances.
- (2) Senior account officer required
- (3)
- (4)

Summary of Observational Remarks:

- Regular financial audit from July, Aug and September.
- 2 member accounting committee reviewed the bills before payment.
- some vouchers found pending to file and payment.
- Checked the cash and found it on tally.
- Sub profile in place. Statutory audit for year 21-22 done.

Recommendations:

- (1) Training & capacity building program should be organized.
- (2) A senior account officer need to hire or some existing employee can be promote
- (3)
- (4)

Signature of Departmental/Unit Head

Date:

Signature of Administrative Audit Coordinator

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Beswan, Aligarh

14/02/24



Academic Audit Report

Session: XX - XXXX

2022-23

1. Name of Department: Library
2. No. of Staff members: 12
3. No. of hired services: 1. Attendant. Dip Librarian / Mult Purpose
4. Revisions as per earlier audit recommendations: last revised on
5. Participation of faculty: 3 (Dr. Doomal, Mr. Raveen Singh, Dr. Ashok Upadhyay)
6. Participation of Non-teaching staff: Asst Librarian / Part Prof.
7. Number of orientation programs organised by the Department: Yes
8. Number of capacity building programs organized: Staff sponsored... 1. Short training by University
9. University Services awareness test attended: Yes
10. New Technological Equipment and Infrastructure Added: Koisk purchase (online catalogue, Biometric attendance system.)

Exemplary Practices:

- (1) Online public access catalogue MU E-Library added / Remote access.
- (2) 20 new systems added in DRCC (Digital Resource Centre)
- (3) CCTC coverage upgradation.
- (4) 5 members of Delhi Delnet for book loan facility and access of various E-resources.

Areas identified for improvement:

- (1) Expansion of Library building and Infra.
- (2) Implementation of RFID (Radio frequency Identification)
- (3) Centralized AC

Summary of Observational Remarks:

- Student and staff register presented.
- Faculty Visiting is very low.
- 6 Fine Antiquities presented.
- Reminders for due date available via student portal.

Recommendations:

- (1) Faculty football need to increase.
- (2) Voice Command operated LED required.
- (3)
- (4)

Signature of Departmental/Unit Head

Date:

Signature of Administrative Audit Coordinator

Registrar 14/02/24

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