

# **Academic & Administrative Audit Policy**

Approved by EC on 30/08/2024



**Goa University  
Taleigao Plateau  
Goa 403206**

**Brief Introduction:**

Audits, as defined, are an official examination of the present state of being of any entity, more so financially. However, every organization is amenable to such an official examination of its state of being, and a Higher Educational Institute has a moral responsibility to do so. Goa University has embarked upon this task to systematically examine its Academic and Administrative functioning through a scientific methodology to enhance its output quality in terms of Academic Programme Outcomes, Outreach Programmes, Administrative Support, and a Societal Connect for which it was brought into existence.

**Purpose:**

The Academic and Administrative Audits (AAA) are essential for achieving excellence in Higher Education by any Higher Education Institute. Academic and Administration processes are interrelated, and both audits aim to analyze the functioning of the academic and administrative units to enable them to achieve the Objectives, Goals, Mission, and Vision of Goa University. Thus, both audits are an exercise to enhance the functioning and empower the delivery mechanism to ensure the above-mentioned.

**Academic Audit:**

Academic audit can be understood as a scientific and systematic method of reviewing the quality of academic processes in the institution. It is related to quality assurance and enhancing the quality of academic activities in HEIs. An insightful look into the academic programmes will be done through this process to identify areas for improvement in the academic environment of the programmes for processing through the Statutes and Ordinances of the University.

**Administrative Audit:**

It can be defined as a process of evaluating the efficiency and effectiveness of the administrative procedures. It includes assessment of policies, strategies & functions of the various administrative sections, control of the overall administrative system, etc.

### **Major objectives of Academic and Administrative Audit (AAA):**

1. To understand the existing system, assess the strengths and weaknesses of the disciplines/schools and administrative sections, and suggest methods for improvement and overcoming the weaknesses.
2. To identify the bottlenecks in the existing administrative mechanisms and the opportunities for academic reforms, administrative reforms, examination reforms, etc.
3. To evaluate the optimum utilization of financial and other resources.
4. To suggest methods for continuous quality improvement, keeping in mind different criteria and reports by NAAC and other bodies.

### **Methodology for Academic and Administrative Audit**

#### **1. Academic Audit:**

##### **(a) Internal Academic Audit**

The internal academic audit will be carried out by the Internal Academic Audit Committee (IAAC), which will comprise four members. Vice-Dean, Academics as Coordinator of the particular School, Programme Director of particular discipline as the member, and two other members from different disciplines of the same School or of the different School, provided the number of programmes is one. The Vice-Chancellor will nominate the two other discipline members on the recommendation of the Dean, for each programme running in the Schools. DIQA/IQAC will provide the checklist of the documents required by the IAAC. IAAC shall review all documents related to the school's academic matters during the audit. IAAC shall conduct the Internal Audit of all the courses taught in a particular semester using the prescribed *Format / Template (Appendix I)* and submit the report to the Dean of the School in a sealed envelope. The Dean of the School will prepare the action plan based on the IAAC report and submit it to DIQA/IQAC, who will forward the reports to the Vice-Chancellor for approval. An Internal Audit shall be conducted every semester after the exams and before the end of the following semester.



## **(b) External Academic Audit**

The External Academic Audit of each school shall be done by the External Academic Audit Committee (*EAAC*). The *EAAC* shall consist of at least Two Faculty Experts (at the level of Senior Professor / Professors) from other Universities/HEIs and the *Dean* of the School as its Convener. The four names of External Experts will be submitted by the Dean, out of which the Vice-Chancellor will nominate Two Experts, with one of them as Chairperson of *EAAC*. DIQA/IQAC will circulate the Template/format (*Appendix II*) of the External Audit Report to the Deans of the Schools so that the respective Schools can prepare the necessary documents two weeks before the conduct of the audit by *EAAC*. The School shall also provide the *EAAC* with all supporting documents and may be asked for further documents and clarifications if necessary. The External Academic Audit will take place after Every Three Years. After the Audit, the Chairperson of the *EAAC* will present a summary of the observations and findings of the External Academic Audit committee and submit the *Audit Report* signed by all members to the Vice-Chancellor. The Vice-Chancellor will review the report and forward it to the respective Deans of the Schools through DIQA / IQAC to implement the suggestions and recommendations of *EAAC*.

## **2. Administrative Audit**

### **(a) Internal Administrative Audit.**

Internal Administrative Audit will be carried out by the Internal Administrative Audit Committee (*IDAC*), which will comprise three members: a Convener as Assistant Registrar of a Respective Administrative Section and two members at the Superintendent of different sections level. The Registrar will nominate the members for each division/section. *IDAC* will conduct the Internal Audit in the prescribed *Format / Template (Appendix III)* provided by DIQA/IQAC and submit the report to the Registrar in a sealed envelope. The Registrar's Office will prepare the Action Plan based on the *IDAC* Report and submit it to DIQA. The *IDAC* Reports of all divisions/sections with Action Plans will be compiled and submitted to the *Vice-Chancellor* for Approval by DIQA. The Internal Administrative Audit shall be conducted Every year.

**(b) External Administrative Audit**

External Administrative Audit will be conducted by the External Administrative Audit Committee (*EDAC*). It shall consist of Two Expert Administrators of the Rank of Registrar of the University or Any Member of the University who has performed the duties of the *Registrar* and has demonstrated administrative vision. The University Registrar will be the coordinator. *DIQA/IQAC* will circulate the Template/Format of the Report (*Appendix IV*) to the Registrar's Office, based on which necessary documents shall be kept ready for inspection at least Two Weeks prior to the visit of the *EAAC*. After the Audit, the Chairman of *EAAC* shall present the summary of the observations and findings of the Audit and submit the Report signed by all members to the Vice-Chancellor. The Vice-Chancellor will review the *EAAC* report and forward it to the *DIQA/IQAC* to process the implementation of the suggestions and recommendations given by *EAAC*. The External Administrative Audit shall take place Every Three years.



*[Handwritten Signature]*  
10/10/24

Registrar,

Goa University, Goa



## **Appendix I (Internal Academic Audit Committee Report Template)**

Name of the School:

Name of Programme:

Academic Year:

Semester:

Course:

Credits:

Name of Faculty Member Teaching the Course:

1. Are the Course Objectives in line with the Programme Objectives?
2. Has the syllabus been handled so that it achieves/improves on the course objectives?
3. Has the course incorporated enough practical components in terms of skill development related to the content of the course, or is it only theory-based?
4. Have the evaluation methods incorporated the evaluation of course outcomes? Have any skills or competencies related to the content in the syllabus been evaluated?
5. What percentage of the classes have used Flip Classroom pedagogy methods?
6. Has any prior reading material been given to the participants for learning engagement?
7. What has been the level of participants' (Students) engagement in the course through prior reading?
8. What has been the level of communication enhancement in the participants through the course? Do faculty members use any specific methods to improve the participants' communication?
9. Are enough books and reference materials available to the course participants?
10. Suggestions towards improvement of the course content/handling/evaluation methods by the course coordinator faculty member.
11. SWOC Analysis within the Discipline / Programme
  - A. Strength:
  - B. Weaknesses:
  - C. Opportunities:
  - D. Challenges:

**Appendix- II: Format for External Academic Audit Committee Report  
(Academic Years \_\_\_\_\_ - \_\_\_\_\_)**

1. Name of the School :
2. Year of establishment :
3. Vision of the School :
4. Mission of the School
5. Is the School /centre/Department recognized for UGC-SAP, CAS, DST-FIST, DBT, ICSSR, or other funding? :
6. Intake capacity (Programme wise) :

Name of Programme	Intake capacity

7. No. of applications received Program wise:

Name of Programme	No. of Applications received

8. Overall Demand Ratio:

9. Student Enrolment (Programme wise):

Programme	Within State	Other States	NRI Students	Foreign Students	Total

10. No. of students graduating (Programme wise):

Programme	Female	Male	Total

11. Number of classrooms and seminar halls with ICT facilities:

12. Total number of computers available for students and student-to-computer ratio:

13. Number of Research Scholars who have obtained Master's degrees from other Universities.

14. Number of PhDs awarded.

15. Number of PhD students enrolled.

16. Number of Research Scholars (PhD) receiving fellowships viz., NET-JRF, Project Fellows, UGC- Fellows, and other fellows.

Sr. No.	Name of Fellow	Fellowship Type	Funding Agency	Programme	Guide

17. Number of students qualifying in the state/ national/ international level examinations (e.g., NET/SLET/GATE/GMAT/CAT/GRE/TOEFL/ Civil services/State government examinations, etc.):

Sr. No.	Name of Student	Qualifying exam	Programme

18. Number of outgoing students placed during the year:

19. Number of awards/medals/recognitions won by the students for outstanding performance in sports/cultural activities at inter-university/state/national/international events and research/innovation.

20. Students Progression to Higher Studies (Numbers only):

21. Syllabus Revision (Major/Minor):

22. Number of new courses introduced per Programme

23. Do programs/courses that are offered focus on employability, entrepreneurship, and skill development? Elaborate.

24. Percentage of new courses introduced out of the total number of courses of the programme.

25. Does the discipline/school assess the learning levels of the students and organize a special programme to cater to the students' differential learning needs? Give details.

26. Are student-centric methods, such as experiential learning, participative learning, and problem-solving methodologies, adopted to enhance the learning experience? Give Details.

27. Do teachers use ICT-enabled tools, including online resources, for the effective teaching-learning process? Elaborate.

28. Percentage of student complaints/grievances about evaluation against the total number of students who appeared in the examinations.



29. Number of full-time teachers appointed against the number of sanctioned posts per discipline/school.

30. Faculty strength and specialization.

Sr. No.	Name	Designation	Qualifications	Specialization	No. of Ph.D supervised

31. Number of research papers published per teacher in the Journals as notified on the UGC CARE List. (Details of UGC CARE List I and UGC CARE List II to be provided)

Title of paper	Name of author(s)	Name of Journal	Year of Publication with Volume and Page numbers	ISBN/ISSN	Indicate UGC Approved Journal	National/International Journal	Impact Factor (if any)

32. Books and Chapters in Edited Volumes / Books published and papers in National/International Conference Proceedings per Teacher during the year.

Name of the teacher	Title of the book/chapters published	Title of the paper	Title of the proceedings of the conference	Name of the conference	National / international	Year of publication	ISBN/ISSN number of the proceeding	Name of the publisher

33. Teacher: Student Ratio:

34. Teacher: Research Scholar Ratio :

35. Success Rate of Students (Programme wise) :

Name of Program	Success Rate

36. Revenue generated from training by the School (if any) during the year.

Name of the Consultant(s) Discipline	Title of the programme	Agency seeking / training	Revenue generated (amount in rupees)	Number of trainees

37. Revenue generated from Consultancy by the School during the year.

Name of the Consultant(s)	Name of consultancy project	Consulting/Sponsoring Agency	Revenue generated (amount in rupees)

38. Research funding received its faculties from different funding sources (Government and non-government sources such as industry, corporate houses, international bodies for research projects, and Endowment Research Chairs).

Name of the Project/ Endowments, Chairs	Name of the Principal Investigator	School of Principal Investigator	Year of Award	Funds provided (Rs.)	Duration of the project

39. E-Contents developed by teachers in the School:

- (i) For e-PG-Pathshala
- (ii) For CEC (Under Graduate)
- (iii) For SWAYAM
- (iv) For other MOOCs platform
- (v) For NPTEL/NMEICT/any other Government Initiatives
- (vi) For Institutional LMS Mode of evaluation (class test/home assignment/student seminar/quiz etc):

Name of the teacher	Name of the module	The platform on which the module is developed	Date of launching e-content

40. Number of certificate / value-added courses / Diploma Programme/ online courses of MOOCS / SWAYAM / e-Pathshala/ NPTEL etc offered by the Schools (without repeat count).

41. Student Mentoring (mentor-wise list with mentee) to address academics and student-psychological issues and report of interactions and action taken.

Name of Mentor	No. of Mentees



42. Number of teachers who received national/ international fellowship/financial support from various agencies for advanced studies/research:

Name of the Teacher	No. of Awards	
	National	International

43. Number of Patents filed/published/awarded. Give details. Number of patents transformed into technology transfer.

44. Details of seminars/symposia/conferences/refresher courses/training programmes/ Webinars organized during the year.

Sl. No	Name of Convener/Coordinator	Title of seminar/course	Sponsoring Agency	Duration with dates	No. of internal and external participants	Proceedings published Yes/No

45. Collaborations:

(a) Number of foreign collaborations either in the form of publications/research/training, student exchange, faculty exchange, research, resource sharing, or any other:

(b) Number of collaborations with other national institutions:

(research publications, training, student exchange, faculty exchange, resource sharing, or any other)

46. Details of alumni of the School with their present employment (past three years):

Name of Student	Email	Ph.No.	Designation	Present employer	Employer address	Pay package at appointment

47. Number of Functional MoUs for academic, research, and institution collaboration: Give details.

48. A Best Practice of the School:

49. Evaluation / Assessment methods adopted by the School.

50. The status of Programme Outcomes, programme-specific outcomes, and course outcome attainment methodology.



52. The extension/outreach activities in the neighborhood community in terms of impact and sensitizing the students to social issues and holistic development. (Campus and beyond campus)
53. Research facilities, including infrastructure in the School. Give details
54. Student feedback on curriculum and action taken report.
55. Does the School ensure the implementation of its stated Code of Ethics for research? Elaborate.
56. The efforts taken to provide career counseling, including e-counseling and guidance for competitive examinations in the School.
57. Whether the School conducted Capacity development and skills enhancement activities: 1. Soft skills 2. Language and communication skills 3. Life skills (Yoga, physical fitness, health and hygiene, self-employment, and entrepreneurial skills) 4. Awareness of trends in technology)
58. Number of teachers availed financial support to attend conferences/workshops and towards membership fees of professional bodies. Give details.
59. Number of teachers undergoing online/ face-to-face Faculty Development Programmes (FDP)/ Management Development Programs (MDP)/ any other. Give in details.
60. Number of multidisciplinary courses offered by the School. These are generic / skill-based / IKS courses for other school/discipline students. Give details.
61. Any achievement of the Schools/disciplines as per IDP during the audit period (Give details).
62. SWOC Analysis of the School
  - A. Strength:
  - B. Weaknesses:
  - C. Opportunities:
  - D. Challenges:
63. Suggest a Road map keeping students' interest in the core and ensuring better visibility:
64. Any other information which is not covered above.

**Observations/suggestions of the External Academic Audit Team**

**Annexure – III Format for Internal Administrative Audit Committee**

1. Name of the Administrative Section
2. Head of the Administrative Section with designation
3. Brief Introduction of the Administrative Section:
4. Main functions of the Administrative Section:
5. Staff position of the section

Sr. No	Name	Position	Permanent/contract

6. Details of vacant posts, if any.
7. Main activities of the Administrative Section under the year of the report:
8. Details of the process are followed in the section.
9. Infrastructure within the section: Sufficient / Insufficient (Give details if Insufficient)
10. Competency within the section. (Available or not available)
11. Is there a need for regular training for the staff? Which level?
12. What mechanism is followed to maintain the records of the section? Is an appropriate pattern followed?
13. Efficiency rate of file clearance of the section.
14. Is the Charter of Section available?
15. Any other relevant information/difficulties the Administrative Section wishes to add:

Observations of the Internal Administrative Audit Team:

**Annexure – IV Format for External Administrative Audit Committee**

1. Name of the Administrative Division/Section/Directorate
2. Objectives of the Administrative Division/Section/Directorates
3. Activities undertaken in the Administrative Division/Section/Directorates
4. Sanctioned staff positions (level-wise):
5. Filled staff positions (level-wise):
6. Adequate competency existing among staff:
7. Competency training required for staff:
8. Infrastructure support available for the Administrative Division/Section/  
Directorates
9. Whether infrastructure/amenities are Divyang friendly?
10. Level of decentralization of decision-making power
11. Best practices followed by the Administrative Division/Section/Directorates
12. Innovative processes/ activities of the Administrative Division/Section  
/Directorates
13. Whether activities undertaken by the Administrative Division/Section/Directorates  
are towards achieving the objectives?
14. Whether processes and decision making is focused towards attainment of the  
objectives?
15. Is the distribution of work and responsibilities adequately balanced in the  
Administrative Division/Section/Directorate?
16. Suggestions of the Audit Committee for the improvement of the performance of  
the Administrative Division/Section/Directorates