"Administrative Audit and Document Control/Record Management with NAAC PERSPECTIVE "

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Introduction

Administrative Audit: -

It is defined as a process of evaluating the efficiency and effectiveness of the administrative procedure.

It includes assessment of policies, strategies and functions of the various administrative sections, control of the overall administrative process etc.

Objective

1. To understand the strengths and weaknesses of the administrative department and to suggest the methods for better improvement and overcoming the weaknesses
2. To identify the opportunities for administrative reforms
3. To evaluate the optimum utilization of financial and other resources
4. To suggest the new methods to management for continuous improvement

Scope

- **Reliable Information to NAAC**
- **Proper Communication between staff**
- **Follow standard approach**
- **Maintaining Quality Management System**
- **Adopt Standard Operating Process**
- **Accountability and Responsibility**

Benefits

- **Provides efficient management process**
- **Sets out areas of responsibility to the staff**
- **Communicates positive message among staff**
- **Identifies and encourages more efficient and time saving processes**
- **Highlights deficiencies**
- **Reduces the institute costs**
- **Provides continuous assessment and improvement**
- **Opportunities for innovative practices**

5 Steps of Admin Audit

- **Preparing for an Admin Audit**
- **Conduct the Admin Audit**
- **Create an Audit Report and Recommended Actions**
- **Set Corrective actions Priorities**
- **Present Admin Audit Report**

Important aspects of Administrative Audit
is
Document Control Record Management

➢ DCRM is part of integrated process of File Management for the smooth execution of Institution.

Document is "a piece of written, printed, or electronic matter that provides information /evidence which serves as an official record."

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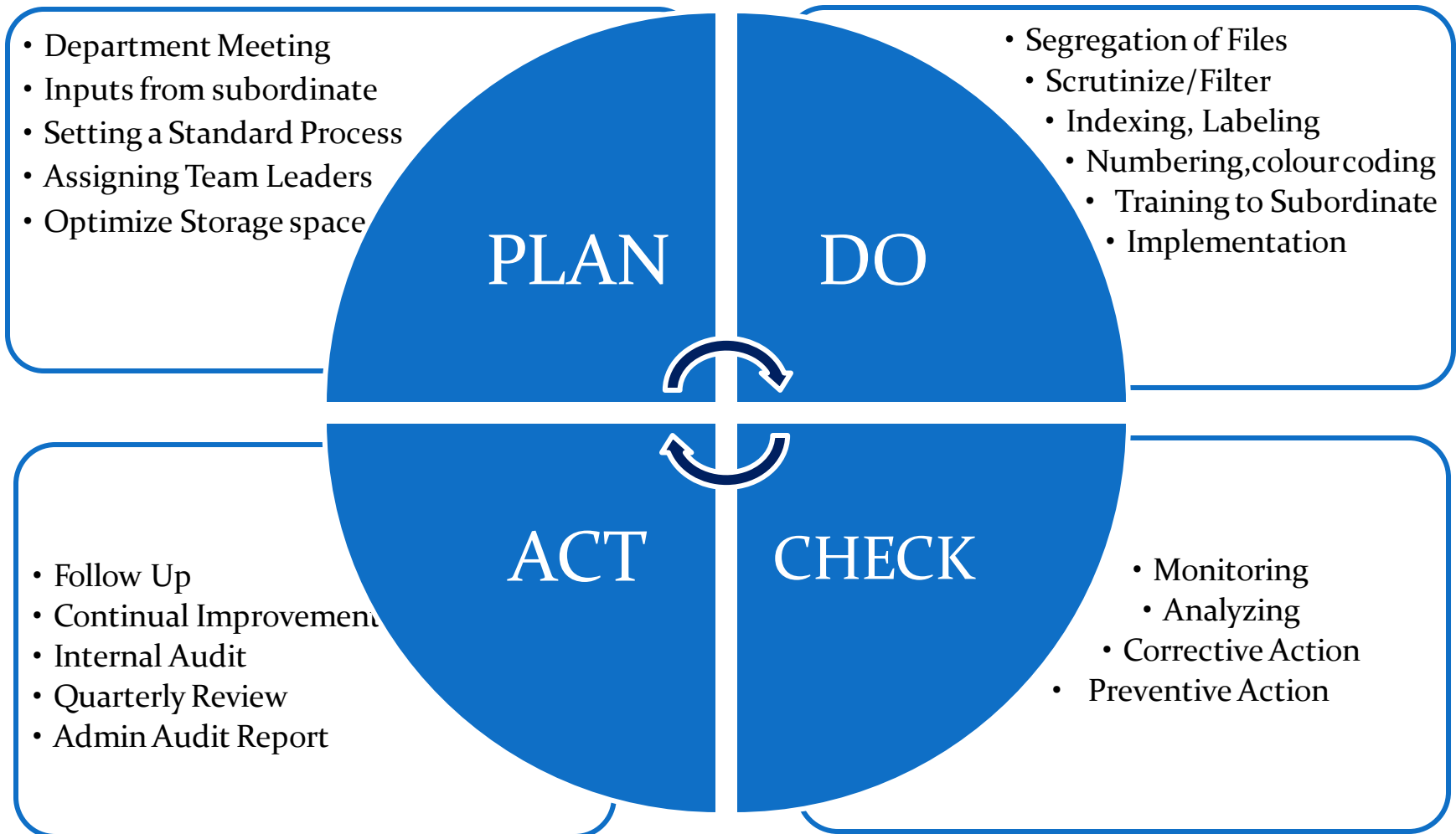
This process comprises of the following Elements:

Receive : Received information should be Indentified, Classified, Numbered and Indexed

Store : Storing considers the identification of storage location

Retrieve : Retrieval is accessing the information stored as and when required

Distribute : Controlled documents are distributed in accordance with prepared lists

Destroy : Information will be destroyed as per the Government stipulated time period in accordance with approval process

Difference between Document and Record

Document	Record
• Documents are created by Planning (what needs to be done) e.g. Policy, Standard Operating Procedure, Manual etc.	• Records are created when something is done e.g. Minutes of the Meeting , Audit Reports, General Register, etc.
• Documents need to be reviewed, approved, legible, up-to-date, communicated and readily available	• Records need to be identifiable (labeled) Stored, Protected, Retrievable and disposed of as per Government norms with stipulated period
• Documents can be revised as and when required	• Records cannot be amend

Execution of DCRM as per Quality Management System

PLAN
- Department Meeting
- Inputs from subordinate
- Setting a Standard Process
- Assigning Team Leaders
- Optimize Storage space

DO
- Segregation of Files
- Scrutinize/Filter
- Indexing, Labeling
- Numbering, colour coding
- Training to Subordinate
- Implementation

ACT
- Follow Up
- Continual Improvement
- Internal Audit
- Quarterly Review
- Admin Audit Report

CHECK
- Monitoring
- Analyzing
- Corrective Action
- Preventive Action

The Effectiveness of the Plan-Do-Check-Act

- **Plan-Do-Check-Act cycle is a popular management method to achieve continuous improvement in an organization.**

- **This method is widely implemented as a part of a tool for quality management system and strategic planning.**

- **This will certainly lead to a reduction in waste and increase productivity in the long run.**

- **It helps a process to improve its performance in a smooth manner.**

Planning and Implementation

Meetings, Analyze & Set SOPs   **Segregate, Scrutinize & Filter Files**

Labeling, Colour Coding, Numbering and Prepare List Rack Wise

Institution Work Pattern

We work at following levels and at each level documentation is created

Types of Records

Active Records, Inactive Records and Obsolete Records

⬇

College Level

⬇   ⬇

Departmental Level   **Committee Level**

⬇   ⬇   ⬇   ⬇   ⬇

Individual Level   **Personal Level**   **IQAC**   **CDC**   **OTHER**

Segregation of Record/s Section Wise

Documents & Records of Institute

Aided
- Joint Director
- A.G Office
- U.G.C
- Accounts Dept
- Employee Personal Record
- University
- Government Scholarship & Free ship
- In-house Documents

Unaided
- Accounts Dept
- Employee Personal Record
- University
- Government Scholarship & Free ship
- In-house Documents

Self Finance
- Accounts Dept
- Employee Personal Record
- University
- Government Scholarship & Free ship
- In-house Documents
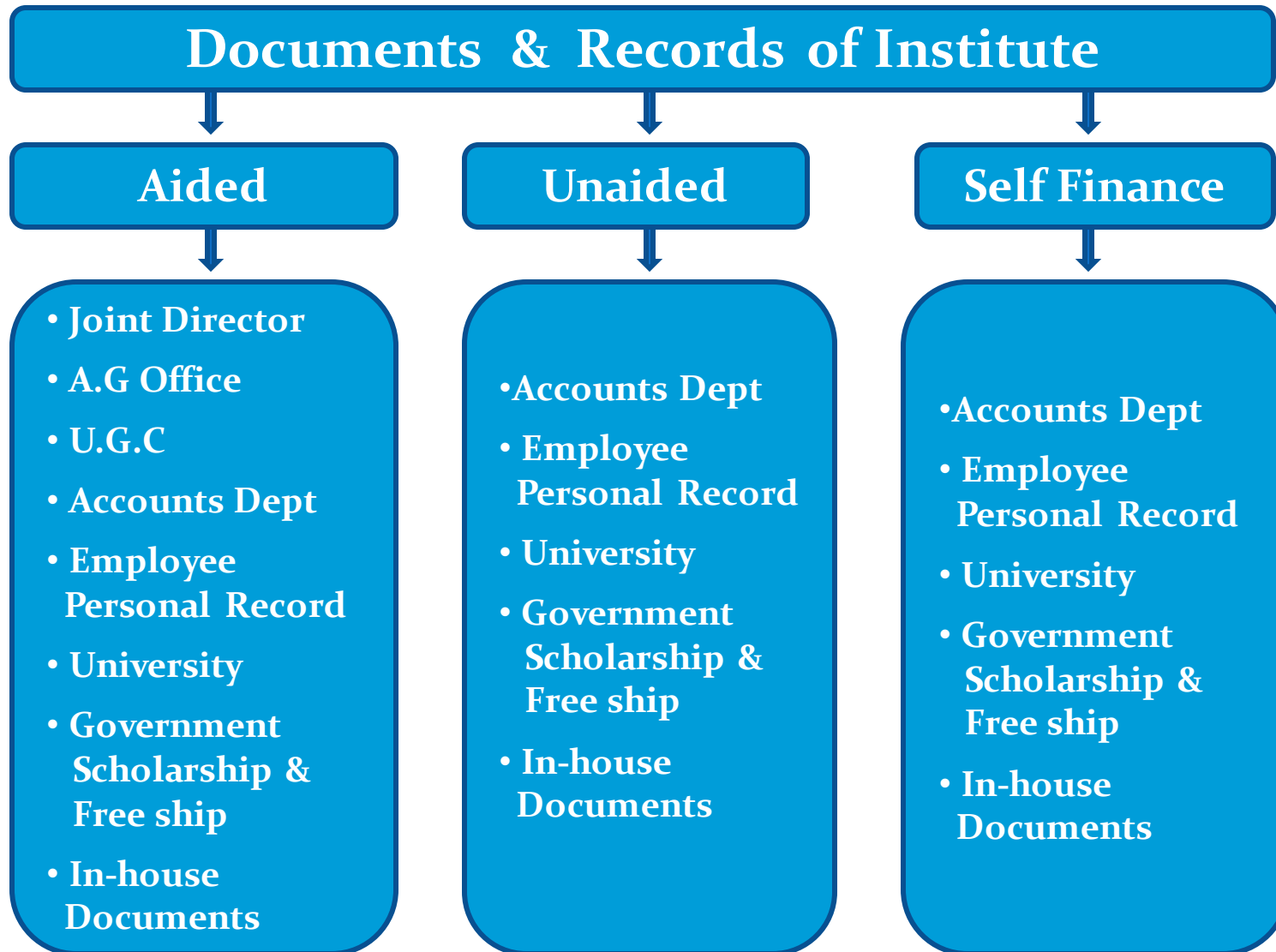
List of Permanent Records of Institute

Sr. No.	Particulars	Year	Page No
A	**Government**		
1	Order of Establishment	1972	1
2	100% Grant in Aid Letter	1980	2
3	Approval for B.A, B.Com, B.Sc	1972	3-10
4	Approval for Subjects	1972	11-20
5	Approval Division	1992	21
6	Approval for Additional Subjects	1990	22-25
B	**University**		
1	Approval for courses B.A, B.Com,B.Sc	1972	26-32
2	Approval for Subjects allocation	1972	33-40
3	Approval for Division	1980	41
4	Approval for Additional Subjects	1990	42-43
5	First Affiliation, Permanent, Continuation, Extension	1972,1980 till	44-60
C	**Other Permanent Documents**		
1	Trust Registration	1972	61
2	Branches of Trust	1972	62
3	Roaster/Minority Status Order	1980	63
4	Section 2 (f) & 12 (B) letters	1985,1989	64-65
5	NAAC Accreditation Certificate, Letter	1990,1996,2000	66-67

List of Permanent Records of Institute

Sr. No.	Particulars	Year	Page No
D	**Audit Reports**		
1	Joint Directors Assessment Report	1990-till date	68- 100
2	Senior Auditor's Report	1990-till date	100-130
3	Accountant General's Audit Report	1990-till date	131-135
4	Statutory Auditor's Report	1972-till date	136-140
E	**Important G.Rs**		
1	Joint Director's Office G.Rs	1996	1-35
2	Director's Office G.R's	1990	36-50
3	University Statutes		
4	Maharashtra Shashan Rules and Regulation		
	OTHERS as per any Office Execcution		

Aided
List of Files - Cupboard 1

Sr. No.	INDEX	Year	Volume
	SHELF - I		**No. of Files**
A	**Joint Director**		
1	NOC of Vacant Post (Teaching Staff / Non Teaching Staff)	1972 to 2018	JD/NOC – 1 to 2
2	Government Nominee for New Appointment/Promotions Sr./Selection grade, CAS	1972 to 2018	JD/G. Nominee – 1 to 3
3	Pay Fixation of Appointment/ Promotion , CAS (Teaching Non Teaching Staff)	1972 to 2018	JD/Pay.Fix – 1 to 10
4	Assessment Report	1972 to 2018	JD/Assmt.R - 1 to 2
5	Sr. Auditor Report	1972 to 2018	JD/Sr. AO.R - 1 to 2
	SHELF - II		
5	Leave Encashment, Arrears, LTA, any Recovery	1972 to 2018	JD/LTA - 1 JD/Arears - 1 to 5 JD/Recov - 1
6	Work Load Year Wise	1972 to 2018	JD/WL-1 to 15
7	Vetan Sevarth Pranali	1972 to 2018	JD/Sal - 1 to 10
8	Statistical Information	1972 to 2018	JD/S.Inf – 1 to 4
9	Budget	1972 to 2018	JD/Budg – 1 to 5
B	**Accountant General**		
1	Assessment File (year wise)	1972 to 2018	A.G/Assesst. – 1 to 20
2	A.G. Inspection File	1972 to 2018	A.G/Inspt. – 1 to 5
3	Audit Report	1972 to 2018	A.G/Aud.Rt. – 1 to 6
5	A.G. Correcspondance	1972 to 2018	A.G/Corrs – 1 to 2

Aided
List of Files - Cupboard 2

Sr.No.	INDEX	Year	Volume
	SHELF - I		**No. of Files**
C	**University Grants Commission**		
1	XI Plan Grants File	2010 - 2015	UGC/XI.Plan – 1 to 2
2	XII Plan Grants File	2013 - 2017	UGC/XII.Plan – 1 to 3
3	Additional Scheme Grants File	2013 - 2017	UGC/Addl – 1 to 4
4	Major / Minor Research Grants File	2013 - 2017	UGC/M.R– 1 to 4
5	Seminar / Conference Grants File	2013 - 2017	UGC/Sem. Conf – 1 to 4
6	MIS Information to DHE	2000 - 2018	UGC/MIS. - 1 to 2
7	All India Survey Higher Education	2000 – 2018	UGC/AISHE - 1 to 2
	SHELF - II		
D	**Accounts Department**		
1	Monthly / Annual Salary Register	2000 - 2017	Acc/Sal.Reg – 1 to 17
2	Fees Collection Register	2013 - 2017	Acc/Fee.Reg – 1 to 20
3	Cash Books Year wise	2000 to 2017	Acc/C.B – 1 to 20
4	Voucher Files	2000 to 2017	Acc/Vou – 1 to 20
5	Petty Books Year wise	2000 to 2017	Acc/P.B - 1 to 20
6	Ledger Register	2000 to 2017	Acc/Leg.R – 1 to 20
7	Assessment File Year wise	2000 to 2017	Acc/Access – 1 to 20

Aided
List of Files   - Cupboard   3

Sr.No.	INDEX	Year	Volume
	SHELF - I		
8	**Balance Sheets**	**1972 - 2018**	**Acc./Bal. St. 1 to 5**
9	**Budget Files**	**2000 - 2018**	**Acc./Budt. 1 to 5**
10	**AMC , Quotations Files**	**2000 - 2018**	**Acc./AMC/Qut. 1 to 5**
11	**Dead Stock Register**	**2000 - 2018**	**Acc./D.St.R - 1 to 5**
	SHELF - II		
E	**Employee personal Record**		
1	**Government NOC for the Post, University Approval, Advertisement, Selection Committee Report, Appointment Letter, Acceptance Letter, Pay Fixation copy, Service Book, Leave Record, Other Documents, Provident Fund Ledger, Pension, Gratuity, Commutation**	Date of Appointment till date	EPR – 1 to 60
	SHELF - II		
F	**University**		
I	**Employee personal Record**		
1	**University Approval**	**1972 – 2017**	**Uni./Appvl – 1 to 5**
2	**Affiliation Files**	**1972 - 2017**	**Uni./Appvl – 1 to 3**
3	**Selection committee Report**	**1972 - 2017**	**Uni./Sel.C.R – 1 to 5**
4	**Interview Files Postwise**	**1972 - 2017**	**Uni./Int.F – 1 to 15**

Standard Operating Procedure for Data Validation & Verification (Affiliated UG/PG)

Sr.	Metric	Documents	Specific
1.	**1.1.2** Number of certificate/diploma program introduced during the last five years	• Syllabus copy of certificate/Diploma Program & ➢ **Details of each program such as** ➢ **Name of the program, duration, list of students enrolled, curriculum, assessment procedures year-wise** ➢ **Summary report of each program year-wise**	**Minutes of meeting specifying the introduction of the Certificate of Diploma program from the Competent authority**
2.	**1.1.3** Percentage of participation of full time teachers in various bodies of the Universities/ Autonomous Colleges/ Other Colleges, such as BoS and Academic Council during the last five years	• Nomination letter such BoS and Academic Council From University/ Autonomous college	• One Full-time teacher will be counted once irrespective of number of participation in different bodies in last five years. • Period of one tenure of membership on any Body to be considered as one count. • Eg. If one teacher is a member of BOS for tenure of two years, the count should be considered as one.

Sr.	Metric	Documents	Specific
3.	**1.2.1** Percentage of new courses introduced of the total number of courses across all programs offered during the last five years	• **Minutes of relevant Academic Council/BOS meetings.** ➢**List of new courses introduced by the affiliating University highlighting the courses introduced in the Institution year-wise**	• Refer the Glossary in the manual to understand the terminologies: COURSE, PROGRAM e g. MBA program has some number of paper/courses completing which the candidates attain the degree. • The newly introduced courses will be verified with the approved BOS / Academic Council minutes or relevant bodies
4.	**1.2.2** Percentage of programs in which Choice Based Credit System (CBCS)/elective course system has been implemented	Minutes of relevant Academic Council/BOS meetings. • **University letter stating implementation of CBCS by the institution** • Structure of the program clearly indicating courses, credits/Electives as approved by the competent board.	• Either CBCS or Elective or both would be considered • If the claim is CBCS, course structure along with credit details to be given. • If the claim is elective, list of elective offered for the program to be given If both, the CBCS detail alone is sufficient.

Sr.	Metric	Documents	Specific
5.	**1.2.3** Average percentage of students enrolled in subject related Certificate/ Diploma programs/Add-on programs as against the total number of students during the last five years	• **Year Wise List of the students enrolled in the Program as defined in 1.1.2**	• If list not provided, the list of students enrolled in different relevant programs along with sample certificate will be sought. • It list being provided initially during SSR submission, certificates of random selected students will be sought during clarification process if the data being large • A student can enroll in multiple Certificate/ Diploma programs/Add-on programs
6.	**1.3.2** Number of value added courses imparting transferable and life skills offered during the last five years	• Courses content or syllabus specifying such courses and the program in which it is being offered. **Brochure or /Course content of Value added courses**	• Will be Cross checked and validated with the documents mentioned in column II. • Value added course: Courses of varying durations which are optional, and offered outside the curriculum that add value and helping them students in getting placed.

Sr.	Metric	Documents	Specific
7.	**1.3.3** Percentage of students undertaking field projects / internships	Internship completion certificate from the organization where internship was completed. • In case field visit, course content mentioning in favour of field visit, along with field visit report of selected students.	• Only current year (Recently completed Academic Year) data to be considered • One student involved in multiple Field works and/or internship should be counted as one. • In case field visit, course content mentioning in favour of field visit, along with field visit report. • It is envisaged that the institutions shall provide the list of students undertaking field work and/ field work during submission of SSR from which certificate of randomly selected students will be sought
8.	**1.4.1** Structured feedback received from 1) Students, 2) Teachers, 3) Employers, 4) Alumni 5) Parents for design and review of syllabus Semester wise /year wise Options: A. Any 4 of above B. Any 3 of above C. Any 2 of above D. Any 1 of above E. None of the above	• 3 sample filled in forms in each category.	The feedback concerned with syllabus only will be considered • Only filled –in feedback reports will b e considered • Three filled forms in each category in case of option A, B and C has to be provided

Sr.	Metric	Documents	Specific
9.	**1.4.2** Feedback processes of the institution may be classified as follows: A. Feedback collected, analysed and action taken and feedback available on website B. Feedback collected, analysed and action has been taken C. Feedback collected and analysed D. Feedback collected E. Feedback not collected	• Stakeholder feedback report. • Action taken report of the Institution on feedback report as minuted by the Governing Council, Syndicate, Board of Management.	• In case of option A, only those links which leads directly to the concerned web page hosting action taken report will be considered • Unavailable websites not to be considered. • In case of option B,C and D reports of the same shall be provided.
10.	**2.1.1** Average percentage of students from other states and countries during the last five years	• **Copy of the domicile certificate as part of the from other states and countries and/or** • **Previous degree/ Matriculation / HSC certificate from other state or country**	• It is envisaged that the institution will provide the list of students from other states and countries in the prescribed format during SSR submission from which relevant document of selected students will be sought during DVV clarification.

Sr.	Metric	Documents	Specific
11.	**2.1.2** Average Enrolment percentage	• **Document relating to Sanction of intake** • **Extract of No. of application received in each program**	• Sanctioned admission strength in each program vs No. of Applications received for each program
12.	**2.1.3** Average percentage of seats filled against seats reserved for various categories as per applicable reservation policy during the last five years	**Copy of letter issued by state govt. or and Central Government Indicating the policy of seat allocation for reserved categories** • **Final admission list published by the HEI or** • **Admission extract submitted to the state OBC, SC and ST cell every year.**	• Only those reserved categories as specified by State/central Government orders for admission will be considered. • For institutions where reservations would not apply, like minority institutions, or institutions located in J& K region, please provide the data as 100% and also provide the applicable orders for the same. • Students from Reserved Categories admitted under General Category shall not be Considered in this metrics.

Sr.	Metric	Documents	Specific
13.	**2.2.2** Student - Full time teacher ratio (current year)	Will be verified in the extended profiled	• **A teacher employed for at least 90 per cent of the normal or statutory number of hours of work for a full-time teacher over a complete academic year is classified as a full-time teacher.** • The tool will calculate this metric automatically. The input of both denominator and numerator comes from the extended profile.
14.	**2.2.3** Percentage of differently abled students (Divyangjan) on rolls (current year)	**Copy of disability certificate indicating the differently-abled status/Unique Disability Identification card scan copy**	• **Differently abled students (Divyangjan) on rolls in the current year (recently completed academic year) only to be considered** Please cross check with NIRF data for relevant year wherever available

Sr.	Metric	Documents	Specific
15.	**2.3.2** Average percentage of teachers using ICT for effective teaching with Learning Management Systems (LMS), e-learning resources etc.	• **List of teachers using ICT enabled learning facility.** • LMS website/ Academic management system. • Link of LMS, moodles etc, link of resources created and/or • Geotagged Photos	• Will be Cross checked and validate with the documents mentioned in column II
16.	**2.3.3** Ratio of mentor to students for academic and stress related issues (current year)	• Copy of circular pertaining the details of mentor and their allotted mentees • Approved Mentor list as announced by the HEI or • Allotment order of mentor to mentee	• Only full-time teachers can be considered as mentors.

Sr.	Metric	Documents	Specific
17.	**2.4.1** Average percentage of full time teachers against sanctioned posts during the last five years	• **Position sanction letters (including Management sanctioned posts) by competent authority (in English/translated in English)**	• The appointment letter of selected faculty will be sought during clarification stage, if the data is large ➢**Appointment letter of selected faculty will be asked during DVV clarification stage** ➢**All full-time teachers with at least 90% prescribed workload should be counted as full-time teachers**
18.	**2.4.2** Average percentage of full time teachers with Ph.D. during the last five years	• **Copies of Ph.D. certificate** •**Copies of Ph.D. Degree Certificate**	• **Mention number of full-time teachers with PhD year wise irrespective year of award of Ph.D.** • **The PhD certificates of selected faculty will be sought during clarification stage if the data is large**

Sr.	Metric	Documents	Specific
19.	**2.4.3** Average teaching experience of full time teachers in number of years	• **Experience certificate/ appointment order of full time teachers**	• The experience certificate/ appointment order of selected faculty will be sought during clarification stage, if the data is large
20.	**2.4.4** Average percentage of full time teachers who received awards, recognition, fellowships at State, National, International level from Government, recognized bodies during the last five years	• e-Copies of award letters (scanned or soft copy) for achievements	• Award that are local in nature need to be avoided. • Only State, National and International level from Government, recognised bodies only should be considered • The date of award should be with-in the assessment period • One Full-time teacher to be counted once for a year irrespective of number of awards or recognition in the same year.

Sr.	Metric	Documents	Specific
21.	**2.4.5** Average percentage of **full time teachers from other states against sanctioned posts** during the last five years	• **Documentary evidence in support of teachers from other states**	• Domicile certificate/previous degree certificate or relevant documentary proof of selected faculty will be sought during clarification stage, if the data is large
22.	**2.6.3** Average pass percentage of students	• **Certified report from the Head of the Institution indicating pass percentage of students program-wise** • **Reports from Controller of Exam (COE) office/ Annual reports mentioning the relevant details.**	Will be Cross- checked and validate with the documents mentioned in column II
23.	**3.1.1.** Grants for research projects sponsored by the government and non-government sources such as industry, corporate houses, international bodies, endowments, Chairs in the institution during the last five years	• **e-copies of the grant award letters for research projects sponsored by government and non-government sources** • **Grant award letter must include the year of award and amount**	• Include the research projects sponsored by government and non government sources • Sanction letter of grants by the funding agency is mandatory to support the claim, and the source of funding can be from non-government or Government organisations. • Consider the research project grant which is valid for the assessment period.

Sr.	Metric	Documents	Specific
24.	**3.1.2** Percentage of teachers recognized as research guides at present (Not Applicable to UG College)	• E-copy of letter of recognition of teachers as research guide by affiliating university	• The recognised guides should be authenticated with guide ship letters awarded by the University. • Letter of recognition of teachers as research guide would be sought for selected faculty during clarification process, if the data is large
25.	**3.1.3** Number of research projects per teacher funded by government and non-government agencies during the last five years (For UG College weight	**• Refer 3.1.1 List of research projects and funding details (Data Template) Copy of the letter indicating sanction of research project funded by govt./non-govt agency including details of name of teacher and amount in INR**	• Reconcile the data counts of 3.1.1 • Hence the number of projects in 3.1.1 should result in 3.1.3
26.	3.2.2 Number of workshops/seminars conducted on Intellectual Property Rights (IPR) and Industry-Academia Innovative practices during the last five years	• Brochure/Detailed program report for each program	• Only activities with a bearing on Intellectual Proper Rights, Innovation practices, and Industry-academia initiatives should be considered here.

Sr.	Metric	Documents	Specific
27.	**3.3.1** The institution has a stated Code of Ethics to check malpractices and plagiarism in Research	• Code of ethics documents as approved by the appropriate board of the university or web-link of the same	Provide the copy/weblink directing to the code of ethics for research, preferably hosted in the web. If the link leads to the home page, the claim would not be considered.
28.	**3.3.2** The institution provides incentives to teachers who receive state, national and international recognition/awards	• e- copies of the letters of incentives granted to the awardees	• Incentives Range from Study leave to monetary and promotion benefits • Seek e- copies of the letters of incentives granted to the awardees for selected faculty during the clarification process, If the data is large

Sr.	Metric	Documents	Specific
29.	**3.3.3** Number of Ph.D.s awarded per teacher during the last five years (Not applicable to UG college)	• PhD Award letters/provisional certificate of students and Guide ship letters of research supervisor.	• Number of Phd awarded (not-ongoing) under every eligible research guide working as faculty in the institution should be considered. • The recognised guides should be authenticated with guide ship letters awarded by the University. • PhD Award letters of students and Guide ship letters of research supervisor for selected faculty during the clarification process would be sought, if the data is large
30.	**3.3.4** Number of research papers per teacher in the Journals notified on UGC website during the last five years	• Web-link of the research paper, which redirects to the UGC notified listed journal webpage published in UGC website	• Consider only UGC approved Journals • Refer UGC deleted journal list also to cross validate the publications in deleted list of UGC which were valid by UGC for that period until 2nd may 2018.
31.	**3.3.5** Number of books and chapters in edited volumes / books published, and papers in national/international conference-proceedings per teacher during the last five years	• Cover page, content page and first page of the selected publications	• Books with ISBN number only would be considered • the details of selected publications would be sought during the clarification process, if the data is large

Sr.	Metric	Documents	Specific
32.	**3.4.2** Number of awards and recognition received for extension activities from Government recognized bodies during the last five years	• e-copy of the award letters • Any supporting document in relevance to the metric	• These awards are to the institution and not to the individual and for extension activities only.
33.	**3.4.3** Number of extension and outreach programs conducted in collaboration with industry, community and Non-Government Organizations through NSS/NCC/Red cross/YRC etc., during the last five years	Photographs/Newspaper report or any supporting document in relevance of the metrics and or • Detailed program report for each extension and outreach program should be made available, with specific mention of number of students and collaborating agency participated	• Will be Cross checked and validate with the documents mentioned in column II
34.	**3.4.4** Average percentage of students participating in extension activities with Government Organizations, Non-Government Organisations and programs such as Swachh Bharat, Aids Awareness, Gender Issue, etc. during the last five years	• Detailed program report for each extension and outreach program should be made available, with specific mention of number of students and collaborating agency participated and amount generated and or • Photographs or any supporting document in relevance of the metrics	• Will be Cross checked and validate with the documents mentioned in column II

Sr.	Metric	Documents	Specific
35.	**3.5.1** Number of linkages for faculty exchange, student exchange, internship, field trip, on-the-job training, research, etc during the last five years	• E-copies of linkage related documents. indicating the start date and completion date	• These linkages is exclusively for internship, on-the job training, project work, sharing of research facilities etc only
36.	**3.5.2** Number of functional MoU's with institutions of national, international importance, other universities, industries, corporate houses etc. during the last five years (only functional MoU's with ongoing activities to be considered)	• E-copies of the MoU's with institution/ industry/ corporate house, Indicating the start date and completion date	• The MoU should be functional during the assessment period • If the MoU is for three years viz 2011-2013, it shall be counted for every year to a total period of 3 years.
37.	**4.1.3** Percentage of classrooms and seminar halls with ICT - enabled facilities such as smart class, LMS, etc.	**Hyper linked video of ICT enabled facilities and or** • **Geotagged Photos of class rooms /seminar halls with ICT**	• Specific number of classrooms and/or seminar halls with facilities for teaching-learning through ICT for the current year to be considered here.
38.	**4.1.4** Average percentage of budget allocation, excluding salary for infrastructure augmentation during the last five years	• **Consolidated of budget fund allocation towards infrastructure augmentation facilities only duly certified by chartered accountant/Finance related** concerned authority	• This metric is supposed to be looked with the perspective of infrastructure augmentation only • Maintenance

Sr.	Metric	Documents	Specific
39.	**4.2.3** Does the institution have the following: 1. e – journals 2. e-ShodhSindhu 3. Shodhganga membership 4. e-books 5. Databases Options: A. Any 4 of the above B. Any 3 of the above C. Any 2 of the above D. Any 1 of the above E. None of the above	• E-copy of subscription letter/member ship letter or related document with the mention of year	• Scan copy of books claimed as e-books cannot be accepted. • In the absence of appropriate subscription letter the claims not to be considered
40.	**4.2.4** Average annual expenditure for purchase of books and journals during the last five years	• Abstract of budget highlighting annual expenditure towards purchase of books and journals during the last five years duly attested by Chartered Accountant / Finance related concerned authority and • Audited statement highlighting the expenditure for purchase of books and journal library resources and/or • Proceedings of Library Committee meeting for allocation of fund and utilization of funds	• Will be Cross checked and validate with the documents

Sr.	Metric	Documents	Specific
41.	**4.2.5** Availability of remote access to e-resources of the library	• Gateway used for remote access • Snap shot of landing page of remote access after log in to remote access	• The landing page of the link leading to the login page of remote access only will be considered
42.	**4.2.6** Percentage per day usage of library by teachers and students	• E-copy/scan copy of log book for random check (any 5 working days)	• During DVV clarification process, the log book entries of Library users for any five working days of the accreditation period will be sought.
43.	**4.3.2** Student - Computer ratio	• Invoice / vouchers for the purchase of computers for student use only and/or • Annual Stock entry of computers	• The computers for office and faculty use should not be considered
44.	**4.3.3** Available bandwidth of internet connection in the Institution (Leased line) Options: A. ≥50 MBPS B. 35 MBPS - 50 GBPS C. 20 MBPS - 35 MBPS D. 5 MBPS - 20 MBPS E. <5 MBPS	• Latest bills for leased line connection indicating plan and internet speed	• Snap shot of speed test for wifi/internet facility cannot to be considered

Sr.	Metric	Documents	Specific
45.	**4.3.4** Facilities for e-content development such as Media centre, Recording facility, Lecture Capturing System(LCS)	• Geotagged photograph.	• Refer to https://www.ugc.ac.in/oldpdf/xiplanpdf/EContentxiplan.pdf
46.	**4.4.1** Average expenditure incurred on maintenance of physical facilities and academic support facilities excluding salary component, as a percentage during the last five years	• **Provide Balance Sheet & Budget Highlighting the items of ependiture incurred on maintenance of physical facilities and academic support facilities duly certified by Charted accountant/ Finance related concerned authority**	• The **emphasis** of this metric is in **the maintenance of physical and academic** support facilities
47.	**5.1.1** Average percentage of students benefited by scholarships and freeships provided by the Government during the last five years	• **Upload Sanction letter of scholarship.** • **Consolidated document in favour of freeships and number of beneficiaries in each** **Year-wise list and number of beneficiaries**	• Only Government Scholarships to be considered here. • sanction letters from concerned department with detailed list of the students benefitted through scholarships and free ships provided by the Government in specific selected scheme will be sought
48.	**5.1.2** Average percentage of students benefited by scholarships, free ships, etc. provided by the institution during the last five years	• **Sanction letter year wise of scholarship or freeship provided by the institution from various agencies** **besides Government schemes**	• The sanction letters from granting institution with detailed list of the students benefitted through scholarships and free ships provided by the institution will be sought during clarification.

Sr.	Metric	Documents	Specific
49.	**5.1.3** Number of capability enhancement and development schemes for last five years– 1. Guidance for competitive examinations, 2. Career Counseling, 3. Soft skill development, 4. Remedial coaching, 5. Language lab, 6. Bridge courses 7. Yoga and Meditation 8. Personal Counseling Options: A. 7 or more of the above B. Any 6 of the above C. Any 5 of the above D. Any 4 of the above E. Any 3 of the above	• Institutional website. • Web-link to particular program/scheme mentioned in the metric • Copy of circular/brochure/report of the event / activity report	• Will be Cross verified with the documents provided in column 2
50.	**5.1.4** Average percentage of students benefited by for competitive examinations and career counseling offered by the institution during the last five years	• Copy of circular/brochure of such programs	• Students attending the said programs to be considered as benefitted
51.	**5.1.5** Average percentage of students benefitted by Vocational Education and Training (VET) during the last five years	• Copy of circular/brochure of such programs • List of students enrolled in such programs	• The list of enrolled students in specific VET during DVV clarification will be sought during DVV clarification if the data is large

Sr.	Metric	Documents	Specific
52.	**5.1.6** The institution has a transparent mechanism for timely redressal of student grievances including sexual harassment and ragging cases	• Minutes of the meetings of student redressal committee, Anti Ragging committee etc. and/or • Circular/web-link/ committee report justifying the objective of the metric • Report of incident management of grievances from the concerned cell is essential.	• The mechanism of reddressal should be available as document and preferably hosted in the HEI's Website.
53.	**5.2.1** Average percentage of placement of outgoing students during the last five years	• Annual reports of Placement Cell. List of students placed along with placement details	• The placements through HEI placement drive only to be considered here.
54.	**5.2.2** Percentage of student progression to higher education (previous graduating batch)	• Supporting document for student/alumni in the relevance of the metric	• The details of selected students progressing to higher education along with validating document will be sought during DVV clarification if the data is large
55.	**5.2.3** Average percentage of students qualifying in state/ national/ international level examinations during the last five years (eg:NET/SLET/GATE/GMAT/CAT, GRE/TOFEL/Civil Services/State government examinations)	• Pass Certificates of the examination	• In absence of certificate, the claim not to be considered. • If the data is large, specific certification for selected list of students will be sought during clarification process.

Sr.	Metric	Documents	Specific
56.	**5.3.1** Number of awards/medals for outstanding performance in sports/cultural activities at national/international level (award for a team event should be counted as one) during the last five years	• e-copies of award letters and certificates.	• Only national or international achievements to be considered.
57.	**5.3.3** Average number of sports and cultural activities / competitions organised at the institution level per year	• Report of the event. or • Copy of circular / brochure indicating such kind of activities	• Events cannot be split into activities
58.	**5.4.2** Alumni contribution during the last five years Options: A. ≥ 5 Lakhs B. 4 Lakhs - 5 Lakhs C. 3 Lakhs - 4 Lakhs D. 1 Lakhs - 3 Lakhs E. <1 Lakhs	• Extract of Audited statements of highlighting Alumni Association contribution duly certified by Chartered Accountant/Finance related concerned authority.	• Will be Cross checked and validated with the documents mentioned in column II
59.	**5.4.3** Number of Alumni Association /Chapters meetings held during the last five years	• Report of the event/ Copy of circular/brochure of such meetings/chapters • Proceedings of the alumni chapters duly sighed by the office bearers.	• Will be Cross checked and validated with the documents mentioned in column II

Sr.	Metric	Documents	Specific
60.	**6.2.3** Implementation of e-governance in areas of operation 1. Planning and Development 2. Administration 3. Finance and Accounts 4. Student Admission and Support 5. Examination Options: A. All 5 of the above B. Any 4 of the above C. Any 3 of the above D. Any 2 of the above E. Any 1 of the above	• **Institutional budget statements allocated for the heads of E-governance implementation** • **ERP Document** • **Screen shots of user interfaces of each module** • **Annual e-governance report approved by Governing Council/ Board of Management/ Syndicate** • **Policy document**	Will be Cross checked and validated with the documents mentioned in column II
61.	**6.3.2** Average percentage of teachers provided with financial support to attend conferences / workshops and towards membership fee of professional bodies during the last five years	• **Policy document from institutions providing financial support to teachers, if applicable** • **E-copy of letter indicating financial assistance to teachers** • **Relevant Budget extract/ expenditure statement** • **Office order of financial support**	Complimentary benefits incorporated in the policy of promotion of quality through financial support to attend conferences/ workshops and towards membership fee of professional bodies in institutions may be considered. • If the data is large, the DVV will seek for document of specific list of teachers during DVV clarification

Sr.	Metric	Documents	Specific
62.	**6.3.3** Average number of professional development / **administrative training programs** organized by the Institution for teaching and non teaching staff during the last five years	**Detailed program report for each program should be made available** • **Copy of circular/brochure/report of training program**	• Will be Cross checked and validated with the documents mentioned in column II
63.	**6.3.4** Average percentage of teachers attending professional development programs, viz., Orientation Program, Refresher Course, Short Term Course, Faculty Development Programs during the last five years	• **E-copy of the certificate of the program attended by teacher**	• One teacher attending one or more professional development Program in a year to be counted as one only. • certificates of specific faculty during DVV process will be sought during DVV clarification, if the data is large • Days limits of program/course as prescribed by UGC/AICTE or Preferably Minimum two days programme conducted by recognised body/academic institution

Sr.	Metric	Documents	Specific
64.	**6.4.2** Funds / Grants received from non-government bodies, individuals, philanthropists during the last five years (not covered in Criterion III)	**• Annual statements of accounts.** **• Copy of letter indicating the grants/funds received by respective agency as stated in metric and** **• Provide the budget extract of audited statement towards Grants received from non-government bodies, individuals, philanthropists duly certified by chartered accountant and/or Finance related concerned authority**	• Will be Cross checked and validated with the documents mentioned in column II
65.	**6.5.3** Average number of quality initiatives by IQAC for promoting quality culture per year	IQAC link verification for upload of data/information • Copy of circular/reports/newsletter/invitation letter/brochure per event	• The initiatives should be through IQAC and should have special focus on promoting quality culture in the institution.

Sr.	Metric	Documents	Specific
66.	**6.5.4** Quality assurance initiatives of the institution include: 1. Regular meeting of Internal Quality Assurance Cell (IQAC); timely submission of Annual Quality Assurance Report (AQAR) to NAAC; Feedback collected, analysed and used for improvements 2. Academic Administrative Audit (AAA) and initiation of follow up action 3. Participation in NIRF 4. ISO Certification 5. NBA or any other quality audit Options: A. Any 4 of the above B. Any 3 of the above C. Any 2 of the above D. Any 1 of the above E. None of the above	• **Annual reports of IQAC** • **AQARs of IQAC** • **e-Copies of the accreditations and certifications** • **Consolidated report of Academic Administrative Audit (AAA)** • **Supporting document in favour of participation in NIRF/link of NIRF submitted** • **ISO certificate (valid period)** • **Certificate of NBA or any other quality audit whichever claimed** • **Feedback analysis report**	• AQAR not applicable for cycle I institutions • Will be Cross checked and validated with the documents mentioned in column II
67.	**7.1.1** Number of gender equity promotion programs organized by the institution during the last five years	• Detailed program report for each program should be made available • Copy of circular/brochure/ Report of the program	• The focus of the program should be on gender equity/promotion

Sr.	Metric	Documents	Specific
68.	**7.1.3** Environmental Consciousness and Sustainability Alternate Energy initiatives such as: Percentage of annual power requirement of the Institution met by the renewable energy sources	Geotagged photos of energy sources • Proof in support of energy sources (Invoice etc.) or • Green audit report or • **Renewable energy installation bills or maintenance bills can also be provided**	• Will be Cross checked and validated with the documents mentioned in column II
69.	**7.1.4** Percentage of annual lighting power require	• **Any supporting document in proof of same**	• Will be Cross checked and validated with the documents mentioned in column II
70.	**7.1.8** Average percentage expenditure on green initiatives and waste management excluding salary component during the last five years	• **The budget extract of audited statement specifically towards expenditure on green initiatives and waste management duly certified by chartered accountant/Finance related concerned authority**	• The extract of expenditure should focus only on green initiatives and waste management.

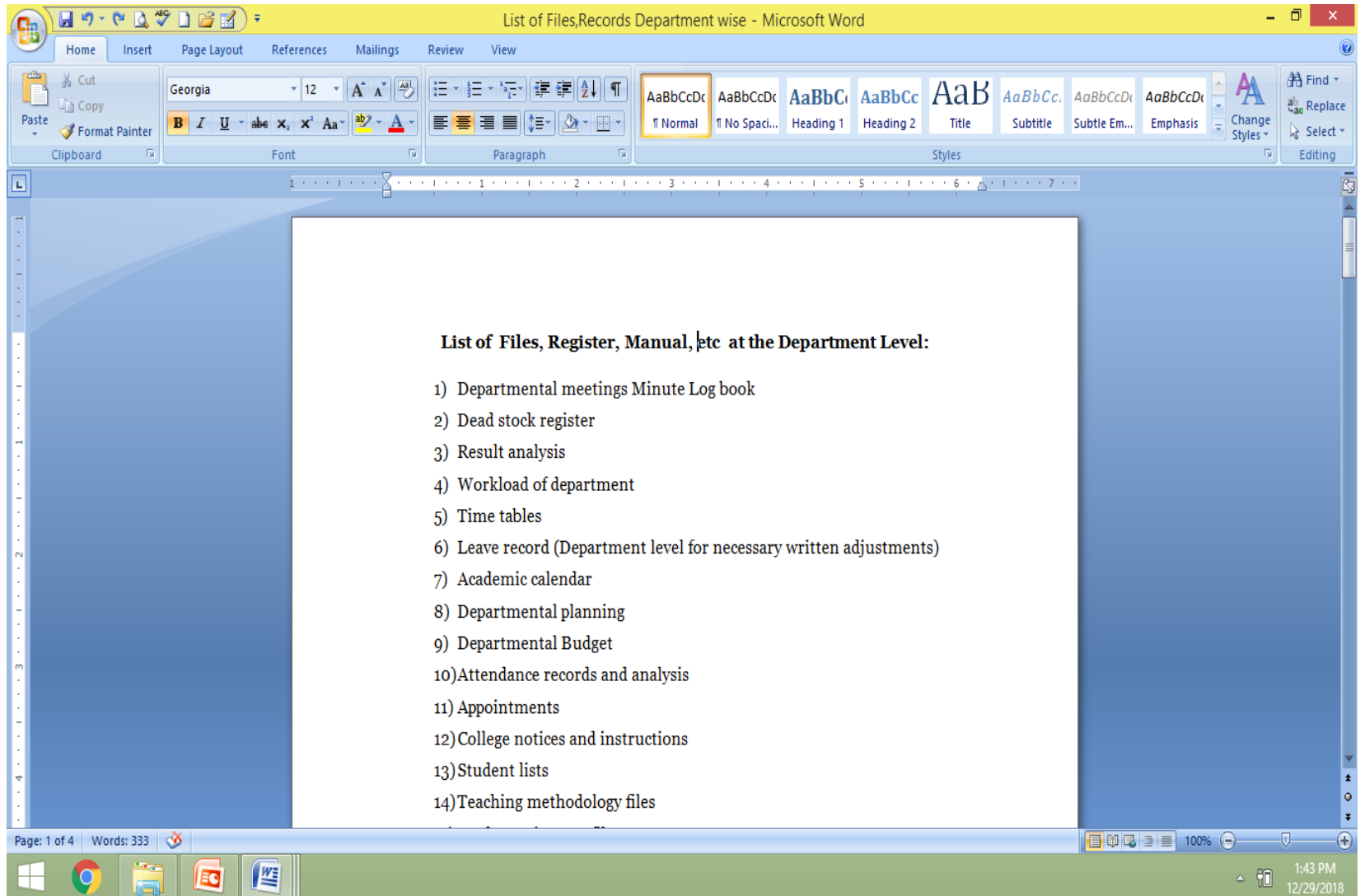| Sr.	Metric	Documents	Specific
71.	**7.1.9** Differently abled (Divyangjan) friendliness Resources available in the institution 1) Physical facilities 2) Provision for lift 3) Ramp / Rails 4) Braille Software/facilities 5) Rest Rooms 6) Scribes for examination 7) Special skill development for differently abled students 8) Any other similar facility (Specify) Options: A. 7 and more of the above B. At least 6 of the above C. At least 4 of the above D. At least 2 of the above E. None of the above	• **Photos and videos** • **Link to geotagged photos and videos** • **Bills and invoice/purchase order/Annual** **Maintenance Cost in support of facility**	• Will be Cross checked and validated with the documents mentioned in column II
72.	**7.1.10** Inclusion and Situatedness Number of specific initiatives to address locational advantages and disadvantages during the last five years	• Detailed program report for each program should be made available • Copy of circular/brochure/ report of the initiative/photos of the initiatives/news report published	• NSS and NCC activities not to be considered here • The focus of the program should be on specific initiatives to address locational advantages and disadvantages only

Sr.	Metric	Documents	Specific
73.	**7.1.11** Number of initiatives taken to engage with and contribute to local community during the last five years (Not addressed elsewhere)	• Copy of circular/brochure/ report of the initiative/ photos of the initiatives/ news report published	• NSS and NCC activities not to be considered here • The focus of the program should be on specific initiatives taken to engage with and contribute to local community • Detailed program report for each program is essential, in the absence of which the claim will be accepted.
74.	**7.1.12** Human Values and Professional Ethics **Code of conduct** handbook exists for students, teachers, governing body, administration including Vice Chancellor / Director / Principal /Officials and **support staff**	• University Code of Conduct for students and • University Code of Conduct for teachers and • Handbooks, manuals and brochures on human values and professional ethics • Report on the student attributes facilitated by the Institution • Web-Link to the relevant documents at Institution website	• Will be Cross checked and validated with the documents mentioned in column II • Web-Link to the relevant documents at Institution website directing to home page not to be considered
75.	**7.1.13** Display of core values in the institution and on its website	• Link of the same in the website of HEI	• The weblink should direct to the Core values of the HEI specifically

Sr.	Metric	Documents	Specific
76.	**7.1.14** The institution plans and organizes appropriate activities to increase consciousness about national identities and symbols; Fundamental Duties and Rights of Indian citizens and other constitutional obligations	Copy of circular/brochure/ report of such activity	• Will be Cross checked and validated with the documents mentioned in column II
77.	**7.1.15** The institution offers a course on Human Values and professional ethics	Course content along with structure of the program	• Will be Cross checked and validated with the documents mentioned in column II
78.	**7.1.16** The institutional functioning is as per professional code of prescribed / suggested by statutory bodies / regulatory authorities for different professions	**Professional code prescribed by statutory body available in Web link of the HEI website**	• Will be Cross checked and validated with the documents mentioned in column II
79.	**7.1.17** Number of activities conducted for promotion of universal values (Truth, Righteous conduct, Love, Non-Violence and peace); national values, human values, national integration, communal harmony and social cohesion as well as for observance of fundamental duties during the last five years	Activity celebrations and its reports • Link to photos and videos of activities/events	• Detailed program report for each program is essential, in the absence of which the claim not to be accepted.

NAAC Perspective Documentation

Files, Registers, Manuals required at Department Level

List of Files, Register, Manual, etc at the Department Level:

1) Departmental meetings Minute Log book
2) Dead stock register
3) Result analysis
4) Workload of department
5) Time tables
6) Leave record (Department level for necessary written adjustments)
7) Academic calendar
8) Departmental planning
9) Departmental Budget
10) Attendance records and analysis
11) Appointments
12) College notices and instructions
13) Student lists
14) Teaching methodology files

NAAC Perspective Documentation

Documents required at Department Level

1. Degree certificates and marksheets of all department members
2. NET/SET certificates
3. PhD degree and synopsis of doctoral thesis
4. UGC Refresher/ orientation/ Short Term Courses attended
5. Certificate of any other training undertaken
6. Letter of appointment on University bodies
7. University letter as paper-setter, examiner, moderator
8. Letter as Guide for PhD/ Master students
9. Letter for consultancy

- Attendance book of every department member
- Academic Plan Book of every department member
- Letters/ photographs of Guest speaker/ workshops arranged for students
- Letters for visits/ field trips/ industrial visits arranged for students
- Letters for any collaboration/ linkages or MoUs of Dept.
- Photographs or related documents of extension activities of the dept
- List of students getting freeships/ scholarships
- Certificates of students' participation
- Certificates of students' achievements
- Samples of students' projects or assignment. If online assignments, a soft copy can be shown on laptop or mobile
- Progression of students
- Certificates of Paper presentation by department members with a copy of the paper presented
- For publications, the cover of journal/book, index page and copy of the article or paper published
- Kindly note that this list is extensive but not exhaustive. The department can present any other relevant document as part of the academic audit.
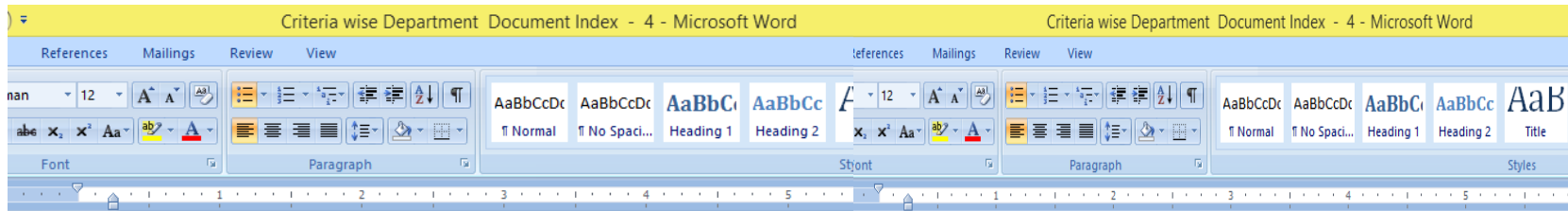
The photographs can be shown as a soft copy on laptop or on mobile. The photo should be clear and visible

NAAC Perspective Documentation
CRITERIA WISE DEPARTMENTAL DOCUMENTS
INDEX

CRITERIA WISE DEPARTMENTAL DOCUMENTS
INDEX

Criteria I – Curriculum Aspect
1.1
❖ **Documents to support –Vision-Mission of Institution and Department**
➢ Invitation Letter &Report
➢ Reports of Visits
➢ NSS Reports & Attendance
➢ Letter & Photographs
➢ Campus Breeze
➢ Blog Link Access
➢ Letters a, Reports, Attendance & Photographs:
   ▪ Ms. RST
➢ International Conference – Poetry Session
   Seminar
➢ Inaugural Programme
➢ M.A. Internship
❖ **Completion of plan Book** – Productivity Log
❖ **Curriculum Development**
➢ Dr. ABC
➢ Dr. Rajesh

1.2 Academic Flexibility – Fee receipts etc. of students enrolled in Add –on courses

1.3 Curriculum Enrichment- Remedial Workbooks Links

1.4 BOS Letters

1.5 Feedback from Alumni

Criteria II- Teaching Learning Process
2.2 Teaching Methods
➢ Essays
➢ Projects
➢ PPTs
➢ Campus Breeze
➢ Blog
➢ DC Reader
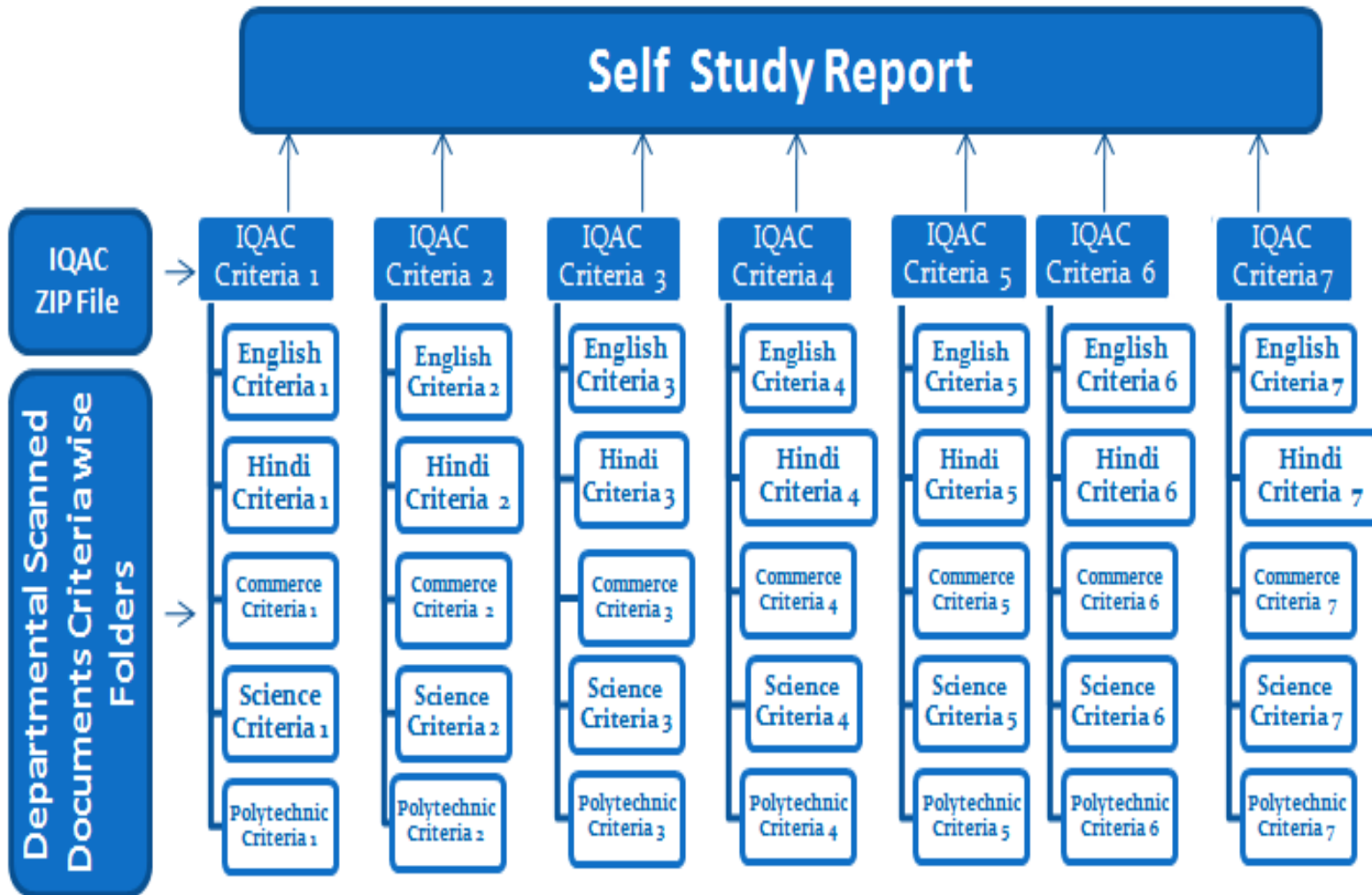➢ Study Guidelines DC Paper (Paper VII SYBA DC)
2.3
➢ NET/SET Certificates

➢ Paper Presentation
➢ Publications

NAAC Perspective Documentation

Unorganized difficult to search

Organized

Easy to search

Scanned documents create Digital Archive

Create sub folders

Conference/Seminar

Attendance

Time Table Workload

Teaching Methodology

Students feedback analysis

Research Papers

Create Dept/Criteria wise ZIP Folder

Easy to Upload online

Online access of all Documents/Records

Benefits of Document Control & Record Management

➤ **STORE** — **Documents from various sources and formats (Internet, Word, Excel, Scan, Pictures, etc can be stored)**

➤ **EASY** — **Users friendly, seamless integration into current office environment**

➤ **FAST** — **Retrieval of documents at same time**

➤ **TAGGING** — **All documents can be tagged**

➤ **DOCUMENTS** — **Can be easily retrieved viewable on your mobile phone**

➤ **PRINT or EMAIL** — **Retrieved documents as required**

➤ **LOW COST** — **A low cost pricing strategy**

SIMPLE Eco Friendly green solution which SAVES MONEY and TIME!

Thank You All