



11th August 2025

INTERNAL QUALITY ASSURANCE CELL (IQAC)

POLICY FOR ACADEMIC AND DOCUMENT AUDIT

Course Files, Committee Files, Internal Audit and External Audit

Purpose

The purpose of this policy is to establish a systematic, transparent and documented mechanism for auditing course files, committee files and institutional academic quality processes. The policy aims to ensure timely availability, completeness, authenticity, consistency and proper maintenance of academic records, and to promote continuous improvement through audit observations, corrective actions and re-audit.

2. Objectives

- To ensure that course files are maintained in accordance with the prescribed institutional format and academic requirements.
- To conduct course file audits at defined stages of every semester.
- To communicate the audit schedule and auditor allocation formally in advance through official institutional communication.
- To ensure that audit reports are submitted to IQAC within the prescribed timeline in both electronic and signed hardcopy form.
- To identify missing/incomplete documents and ensure their correction through re-audit.
- To provide an opportunity for the concerned HoD to record remarks and departmental observations in the audit report.
- To audit committee files systematically once in every academic year.
- To conduct internal and external academic/document audits once in every academic year.
- To use audit findings as inputs for corrective action, preventive action and continuous quality improvement.

3. Scope

This policy applies to all academic departments, faculty members responsible for course files, Heads of Departments (HoDs), IQAC, internal auditors, external auditors and institutional committees maintaining committee files or quality-related records.

4. Audit Frequency and Schedule

Audit / Record	Frequency	Timing	Primary Responsibility
Course File Audit – I	Once every semester	At the beginning of the semester, after Internal Examination I	IQAC / Internal Auditors / HoD
Course File Audit – II	Once every semester	After the end of the semester	IQAC / Internal Auditors / HoD
Committee File Audit	Once in an academic year	As per annual IQAC audit schedule	IQAC / Assigned Auditors / Committee Coordinator
Internal Audit	Once in an academic year	As per annual IQAC schedule	Internal Audit Team / IQAC
External Audit	Once in an academic year	As per annual IQAC schedule	External Auditor(s) / IQAC

5. Course File Audit Procedure

5.1 Audit Planning: IQAC shall prepare the audit schedule in consultation with the academic calendar and institutional requirements. The date of each audit shall be communicated in advance through the official institutional e-mail.

5.2 Auditor Allocation: The list of designated internal auditors shall be communicated through official e-mail to the concerned auditors and the respective HoDs before the scheduled audit.

5.3 Audit – Beginning of Semester: The first course file audit shall be conducted at the beginning of the semester, after Internal Examination I. The audit shall verify the availability, completeness and proper maintenance of the prescribed course-file documents and records.

5.4 Audit – End of Semester: The second course file audit shall be conducted after the end of the semester. The audit shall verify completion of required course-file documentation, evidence of academic delivery, assessment records, attainment-related documents and other prescribed records.

5.5 Audit Evidence: Auditors shall record observations against the prescribed checklist and clearly identify missing, incomplete, inconsistent or non-compliant documents.

5.6 Audit Report Submission: The completed audit report shall be mailed to the official IQAC e-mail ID within the stipulated period. A duly signed hardcopy of the audit report shall also be submitted to IQAC for institutional record.

5.7 HoD Remarks: The concerned HoD shall review the audit report and record appropriate remarks, observations and/or directions in the designated section of the audit report.

5.8 Corrective Action: The concerned faculty/department shall complete the required corrective actions and submit the missing or corrected documents within the time specified by IQAC/HoD.

5.9 Re-audit: Missing or incomplete documents identified during the audit shall be re-audited by the concerned HoD. The re-audit shall confirm whether the deficiencies have been rectified.

5.10 Re-audit Report: The re-audit status/report shall be communicated to IQAC through the official IQAC e-mail ID. The updated status shall be retained with the original audit record.

6. Committee File Audit

- All institutional/departmental committee files identified for quality and academic administration shall be audited once in every academic year.
- The audit shall verify the availability and proper maintenance of committee constitution/orders, meeting notices, agenda, minutes, attendance, action-taken reports, photographs/evidence where applicable, correspondence and other prescribed supporting documents.
- The audit schedule, auditor allocation, reporting, HoD/committee coordinator remarks, corrective action and re-audit provisions shall follow the institutional IQAC audit mechanism.
- The completed audit report shall be submitted to IQAC through the official e-mail ID, with the signed hardcopy maintained as an institutional record.

7. Internal Audit

- An internal audit shall be conducted once in every academic year as part of the institutional quality assurance mechanism.
- The scope, checklist, auditor allocation and schedule shall be determined by IQAC based on institutional requirements.
- The audit shall examine compliance with approved academic and quality processes and the availability of supporting evidence.
- The audit report shall be submitted to IQAC through the official e-mail ID and the signed hardcopy shall be maintained for institutional reference.
- Corrective actions and re-audit, wherever required, shall be monitored by IQAC and/or the concerned HoD.

8. External Audit

- An external audit shall be conducted once in every academic year by an appropriately identified external auditor/expert as decided by the institution/IQAC.
- The audit schedule and required scope/documents shall be communicated to the concerned stakeholders in advance.
- The external audit report and recommendations shall be documented and submitted/forwarded to IQAC for institutional record and follow-up.
- Departments/committees concerned shall undertake corrective actions on applicable observations, and the status of action taken shall be monitored by IQAC.

9. Roles and Responsibilities

Stakeholder	Key Responsibilities	Records / Outputs
IQAC	Prepare audit schedule; communicate dates; allocate auditors; issue/maintain checklists; receive reports; maintain records; monitor corrective action and re-audit.	Schedule, auditor list, audit reports, re-audit records, consolidated observations
Auditor	Conduct audit objectively using approved checklist; record evidence and deficiencies; submit report within the stipulated time.	Completed audit checklist/report
HoD	Facilitate audit; review report; record remarks; ensure corrective action; conduct re-audit of missing/incomplete documents.	HoD remarks, corrective-action status, re-audit report
Faculty / Course In-charge	Maintain course file as prescribed; provide records/evidence during audit; rectify deficiencies within the specified period.	Updated course file and supporting evidence
Committee Coordinator	Maintain committee file; provide records during annual audit; address observations.	Updated committee file and action taken
External Auditor	Conduct annual external audit as per approved scope and submit observations/recommendations.	External audit report

10. Audit Reporting and Record Management

- All audit reports shall carry the audit date, department/committee, class/course or file identified, auditor details, observations, compliance status, HoD remarks and follow-up status, as applicable.

- The official IQAC e-mail ID shall be the designated electronic repository for audit-report submission.
- Signed hardcopies shall be submitted to IQAC and preserved according to the institution's document-retention practice.
- IQAC shall maintain an annual audit tracker indicating audit status, reports received, deficiencies identified, corrective action and re-audit status.
- Recurring or significant deficiencies may be consolidated by IQAC and placed before the appropriate institutional authority for quality improvement.

11. Re-audit and Closure of Observations

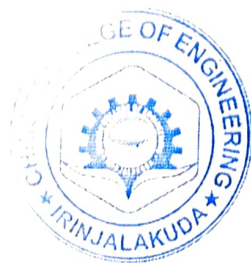
- A re-audit is mandatory for missing, incomplete or deficient documents specifically identified in the audit report.
- The concerned HoD shall conduct the re-audit after the corrective action period, record the status and remarks in the prescribed section.
- The re-audit report shall be mailed to the official IQAC e-mail ID for closure and record.

12. Compliance and Continuous Improvement

Audit findings shall be used as a quality-improvement mechanism rather than merely as a compliance exercise. IQAC shall review common deficiencies, identify areas requiring standardization or capacity building, and recommend suitable corrective or preventive measures. The effectiveness of corrective actions may be reviewed in subsequent audits.

13. Review of Policy

This policy shall be reviewed periodically by IQAC, preferably once in an academic year or whenever there is a significant change in institutional academic processes, accreditation requirements or quality-assurance practices. Amendments shall be placed before the competent authority for approval.



[Handwritten Signature]

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