

# PES Institute of Advanced Management Studies

N H -206, Sagar Road, Shivamogga

## Internal Quality Assurance Cell (IQAC)



### Format for Academic and Administrative Audit

Sl. No.	Determinant of Academic Standard	Standard Set	Actual Performance	Variance/Remarks
<b>A. Academic</b>				
<b>I. Curricular Aspects</b>				
a.	Curriculum design and periodical revision by the university	Once in three years	done	- Nil -
b.	The Institution ensures effective curriculum delivery - Add-& Certificate courses design and revision	Once in a year	done	- Nil -
c.	Preparation of Academic Calendar	Beginning of each semester	done	- Nil -
d.	Faculty participation in curriculum design -workshops/BOS/BOE attended	Min. one from each Dept.	yes	- Nil -
e.	Percentage of programs in which Choice Based Credit System (CBCS)	CBCS- M.Com- 01 Elective - BBA & B.Com - 02	yes	- Nil -
f.	Institution obtains feedback on the syllabus from all the stakeholders	Once in a year	done	- Nil -
<b>II. Teaching-Learning and Evaluation</b>				
a.	Percentage of students admitted against the sanctioned intake	100%	<del>89.73%</del> 69.47	<del>10.27%</del> 30.53
b.	Student - Full time teacher ratio	1:25 ✓	1:23 ✓	Nil ✓
c.	Punctuality: a. Preparation of Lesson plans & writing of Log Book b. Taking classes c. Student attendance d. Completion of syllabus	a. Every Semester b. As per Time-Table c. As per classes engaged d. One week before the last working day	Complied	- Nil -
d.	Conduct of IA Test	As per schedule	done	- Nil -
e.	Conduct of University Examinations	As per schedule	yes	- Nil -
f.	Overall Result for the AY a. Final Year b. Second Year c. First Year	a. 90% ✓ b. 80% c. 70%	90% yes	for 1 <sup>st</sup> year due to covid-19 lockdown 1 <sup>st</sup> & 2 <sup>nd</sup> year exams not conducted



g.	Attainment of POs & COs	100% as set in the PO / Co	done	- Nil -
h.	FDP to be attended by each teacher in a year (Workshops /Seminars etc.)	Min. one per teacher	complied	- Nil -
i.	No. of curriculum supported activities to be conducted in the Institution	Min. 4 per Dept. - 1 in subject	- u -	- Nil -
j.	Organization of Guest Lectures, Industrial Visits, Workshops, etc.,	One per Dept. per year	- u -	- Nil -
k.	Effective use ICT facilities by teachers and Students	All Teachers & All Students	- u -	- Nil -
l.	Remedial Classes for slow learners and backlog students	12 Hours per subject	done	- Nil -
m.	Teacher Mentor Ratio	1:20	yes	- Nil -
n.	No. of Students undertaking field projects / internships	All final year Students	yes	- Nil -
<b>III Innovation, Research Innovation and Extension</b>				
a.	Ph.D. Registration	Min. One per Dept. per year	Nil	Deficient
b.	Completion of Ph.D.	Min. One per year	01	Nil
c.	Recruitment of Ph.D.	Min. One per year based on requirement	Nil	NOT needed NO deficiency
d.	Publication Research Papers a. UGC Approved Journals b. Peer Reviewed Journals c. Paid Journal	Min. One per teacher per year	done	- Nil -
e.	Special Lecture, Workshops etc. attended with regard to Research and Research Methodology	Min. One per subject per year	- u -	- Nil -
f.	Participation in Extension Activities	As entrusted by the Principal	- u -	- Nil -
g.	Workshops/Seminars conducted on Intellectual Property Rights(IPR) and Industry-Academia Innovative practices	Min. one per year	- u -	- Nil -
h.	Functional MOUs	Min. one per year	done	- Nil -





#### IV Infrastructure and Learning Resources

a.	Adequate building & physical facilities - classrooms, laboratories, computing equipment etc.	As indented by the Principal / CGC	Provided	- Nil -
b.	The Institution has adequate facilities for cultural activities, sports, games (indoor, outdoor), gymnasium, yoga centre etc	As per requirement	Provided	- Nil -
c.	Library is automation - Integrated Management System (ILMS)	Annual Updating	done	- Nil -
d.	Purchase of Books & Journals	As indented by Teachers / HODs	done	- Nil -
e.	Budget for purchase of books and journals	Min. Rs. 50,000/-		
f.	Availability of digital library with a provision for remote access on intranet	As needed	done	- Nil -
g.	Per day usage of library by teachers and students	Min. 25%	Complied	- Nil -

#### V Student Support and Progression

a.	Capability enhancement activities - Skill Development & Personality Development	1. Soft Skills 2. Career Planning & Placement Training	done	- Nil -
b.	No. of programs to be conducted for competitive examinations and career counselling	Min. one each per year	—	- Nil -
c.	Students grievances including sexual harassment and ragging cases redressal	Keeping the grievances Cell active	functional	- Nil -
d.	Mechanisms for submission of online/offline students' grievances	Provision to be made	done but partial	Partially completed
e.	Organizing placement program - Campus Placement	Once in a year	Conducted	- Nil -
f.	Percentage of students progressing to higher education	Min. 25% of Outgoing students	Complied	- Nil -
g.	No. of awards/medals for outstanding performance in sports/cultural activities at university/state/national/international level	Min. two awards per year	Complied	- Nil -
h.	Number of sports and cultural events/competitions in which students of the Institution	Min. two per year	Conducted	- Nil -



	participated			
i.	Alumni Association / Chapters meetings Conducted	At least once in a year	Conducted	— Nil —
j.	Extension activities in the neighborhood community in terms of impact and sensitizing students to social issues and holistic development	Min. four in a year	Conducted	— Nil —
k.	Extension and outreach programs conducted in collaboration Government Organizations, Non-Government Organizations	Min. two in a year	Conducted	— Nil —
l.	Number of students participating in extension activities	All students ( 100%)	Conducted	— Nil —

#### VI Governance, Leadership and Management

a.	Governance of the Institution in tune with the vision and mission	To be strictly adhered	Adhered	— Nil —
b.	Decentralization and participative management	Constitution of Committees & entrusting of specific work	Complied	— Nil —
c.	Perspective/Strategic plan and deployment documents	Annual Academic Calendar	Prepared	— Nil —
d.	Implementation of e-governance in areas of operation 1. Administration 2. Finance and Accounts 3. Student Admission and Support 4. Examination	100 % in each area	done	— Nil —
e.	Welfare measures for teaching and non-teaching staff	As specified by CGC	fulfilled	— Nil —
f.	Performance Appraisal System for teaching and non-teaching staff	As specified by CGC	done	— Nil —
g.	Institutional strategies for mobilization of funds and the optimal utilization of resources	As specified by CGC	done	— Nil —
h.	Teachers provided with financial support to attend conferences / workshops and towards membership fee of professional bodies	As specified by CGC	Provided	— Nil —
i.	Institution conducts internal and external financial audits regularly	As per norms	done	— Nil —
j.	Quality assurance initiatives of the institution include:	Once in a month	done	— Nil —





I.Regular meeting of Internal Quality Assurance Cell (IQAC)			
<b>VII Institution Values and Best Practices</b>			
a.	Number of gender equity promotion programs organized by the institution	Min five per year	Conducted - Nil -
b.	Percentage of lighting power requirements met through LED bulbs	100%	50% 50% to be replaced in a phased manner.
c.	Waste Management steps Solid waste management • Liquid waste management X Biomedical waste management • E-waste Management • Waste recycling system	100%	Being managed effectively - Nil -
d.	Rain water harvesting structures and utilization in the campus	To be created	we are in the process of doing it.
e.	Green Practices	As per CGC instructions	yes - Nil -
f.	Organizes national festivals and birth / death anniversaries of the great Indian personalities	As per Annual Academic Calendar	conducted - Nil -

Suggestions for improvement:

- \* Faculty publications in UGC approved journals to improve
- \* Funded projects/minor & major projects to be undertaken by the institute.

Signature of AAA member

Name: Dr. Nagaraja

Designation: Chief Co-ordinator, Administration

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- 577 204

Mobile No.: 94491 70795

# PES Institute of Advanced Management Studies

N H -206, Sagar Road, Shivamogga

## Internal Quality Assurance Cell (IQAC)



### Format for Academic and Administrative Audit

Sl. No.	Determinant of Academic Standard	Standard Set	Actual Performance	Variance/Remarks
<b>A. Academic</b>				
<b>I. Curricular Aspects</b>				
a.	Curriculum design and periodical revision by the university	Once in three years	done	nil.
b.	The Institution ensures effective curriculum delivery - Add-& Certificate courses design and revision	Once in a year	done	nil.
c.	Preparation of Academic Calendar	Beginning of each semester	yes	nil.
d.	Faculty participation in curriculum design -workshops/BOS/BOE attended	Min. one from each Dept.	yes	nil.
e.	Percentage of programs in which Choice Based Credit System (CBCS)	CBCS- M.Com- 01 Elective - BBA & B.Com - 02	yes	nil
f.	Institution obtains feedback on the syllabus from all the stakeholders	Once in a year	Done	nil.
<b>II. Teaching-Learning and Evaluation</b>				
a.	Percentage of students admitted against the sanctioned intake	100%	69.47%	30.53% ✓
b.	Student - Full time teacher ratio	1:25	1:23 ✓	Nil ✓
c.	Punctuality: a. Preparation of Lesson plans & writing of Work Diary / Log Bk b. Taking classes c. Student attendance d. Completion of syllabus	a. Every Semester b. As per Time-Table c. As per classes engaged d. One week before the last working day	complied	nil
d.	Conduct of IA Test	As per schedule	Done	nil
e.	Conduct of University Examinations	As per schedule	yes	nil.



	on Intellectual Property Rights(IPR) and Industry-Academia Innovative practices			
<b>h.</b>	Functional MOUs	Min. one per year	Done	Nil.

**IV Infrastructure and Learning Resources**

<b>a.</b>	Adequate building & physical facilities - classrooms, laboratories, computing equipment etc.	As indented by the Principal / CGC	Provided	Nil.
<b>b.</b>	The Institution has adequate facilities for cultural activities, sports, games (indoor, outdoor), gymnasium, yoga centre etc	As per requirement	Provided	Nil.
<b>c.</b>	Library is automation - Integrated Management System (ILMS)	Annual Updating	Done	->
<b>d.</b>	Purchase of Books & Journals	As indented by Teachers / HODs	->	->
<b>e.</b>	Budget for purchase of books and journals	Min. Rs 50,000/-	1,39,000	11,000
<b>f.</b>	Availability of digital library with a provision for remote access on intranet	As needed	Done	nil.
<b>g.</b>	Per day usage of library by teachers and students	Min. 25%	Complied	nil.

**V Student Support and Progression**

<b>a.</b>	Capability enhancement activities - Skill Development & Personality Development	1. Soft Skills 2. Career Planning & Placement Training	Done	Nil.
<b>b.</b>	No of programs to be conducted for competitive examinations and career counselling	Min. one each per year	->	->
<b>c.</b>	Students grievances including sexual harassment and ragging cases redressal	Keeping the grievances Cell active	Functional	->
<b>d.</b>	Mechanisms for submission of online/offline students' grievances	Provision to be made	Partially done	Partial deficiency
<b>e.</b>	Organizing placement program - Campus Placement	Once in a year	conducted	nil.
<b>f.</b>	Percentage of students progressing to higher education	Min. 25% of Outgoing students	complied	->
<b>g.</b>	Number of awards/medals for outstanding performance in	Min. two awards per year	Complied	nil.





	on Intellectual Property Rights(IPR) and Industry-Academia Innovative practices			
<b>h.</b>	Functional MOUs	Min. one per year	Done	Nil-

#### IV Infrastructure and Learning Resources

<b>a.</b>	Adequate building & physical facilities - classrooms, laboratories, computing equipment etc.	As indented by the Principal / CGC	Provided	Nil.
<b>b.</b>	The Institution has adequate facilities for cultural activities, sports, games (indoor, outdoor), gymnasium, yoga centre etc	As per requirement	Provided	Nil.
<b>c.</b>	Library is automation - Integrated Management System (ILMS)	Annual Updating	Done	->
<b>d.</b>	Purchase of Books & Journals	As indented by Teachers / HODs	->	->
<b>e.</b>	Budget for purchase of books and journals	Min. Rs. 50,000/-		
<b>f.</b>	Availability of digital library with a provision for remote access on intranet	As needed	Done	nil-
<b>g.</b>	Per day usage of library by teachers and students	Min. 25%	Complied	- nil -

#### V Student Support and Progression

<b>a.</b>	Capability enhancement activities - Skill Development & Personality Development	1. Soft Skills 2. Career Planning & Placement Training	Done	Nil.
<b>b.</b>	No of programs to be conducted for competitive examinations and career counselling	Min. one each per year	->	->
<b>c.</b>	Students grievances including sexual harassment and ragging cases redressal	Keeping the grievances Cell active	Functional	->
<b>d.</b>	Mechanisms for submission of online/offline students' grievances	Provision to be made	Partially done	Partial debriefing
<b>e.</b>	Organizing placement program - Campus Placement	Once in a year	conducted	- nil -
<b>f.</b>	Percentage of students progressing to higher education	Min. 25% of Outgoing students	complied	- nil -
<b>g.</b>	Number of awards/medals for outstanding performance in	Min. two awards per year	Complied	- nil -





	sports/cultural activities at university/state/national/ international level			
h.	Number of sports and cultural events/competitions in which students of the Institution participated	Min. two per year	Conducted	Nil-
i.	Alumni Association / Chapters meetings Conducted	At least once in a year	-ll-	-ll-
j.	Extension activities in the neighborhood community in terms of impact and sensitizing students to social issues and holistic development	Min. four in a year	-ll-	-ll-
k.	Extension and outreach programs conducted in collaboration Government Organizations, Non- Government Organizations	Min. two in a year	-ll-	-ll-
l.	Number of students participating in extension activities	All students ( 100%)	-ll-	-ll-

#### VI Governance, Leadership and Management

a.	Governance of the Institution in tune with the vision and mission	To be strictly adhered	Adhered	Nil.
b.	Decentralization and participative management	Constitution of Committees & entrusting of specific work	complied	-ll-
c.	Perspective/Strategic plan and deployment documents	Annual Academic Calendar	Prepared	-ll-
d.	Implementation of e-governance in areas of operation 1. Administration 2. Finance and Accounts 3. Student Admission and Support 4. Examination	100 % in each area	Done	-ll-
e.	Welfare measures for teaching and non-teaching staff	As specified by CGC	Fulfilled	-ll-
f.	Performance Appraisal System for teaching and non-teaching staff	As specified by CGC	Done	-ll-
g.	Institutional strategies for mobilization of funds and the optimal utilization of resources	As specified by CGC	-ll-	-ll-
h.	Teachers provided with financial support	As specified by CGC		

	to attend conferences / workshops and towards membership fee of professional bodies		Provided.	Nil.
i.	Institution conducts internal and external financial audits regularly	As per norms	Done	-  -
j.	Quality assurance initiatives of the institution include: 1. Regular meeting of Internal Quality Assurance Cell (IQAC)	Once in a month	Done	-  -

**VII Institution Values and Best Practices**

a.	Number of gender equity promotion programs organized by the institution	Min five per year	conducted	Nil.
b.	Percentage of lighting power requirements met through LED bulbs	100%	50%	50 to be replaced.
c.	Waste Management steps Solid waste management • Liquid waste management • Biomedical waste management • E-waste Management • Waste recycling system	100%	Arranged	Nil.
d.	Rain water harvesting structures and utilization in the campus	To be created	yet to be Done	-  -
e.	Green Practices	As per CGC instructions	-  -	-  -
f.	Organizes national festivals and birth / death anniversaries of the great Indian personalities	As per Annual Academic Calendar	conducted	-  -

Suggestions for improvement:



Signature of AAA member 1



Signature of AAA member 2

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 Mobile No.: 94491 70795

Name: Dr. GN MALLIKARJUNAPPA  
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 Mobile No.: 94491 70795



# **PES Institute of Advanced Management Studies**

**N H -206, Sagar Road, Shivamogga**

**Internal Quality Assurance Cell (IQAC)**



## **Academic and Administrative Audit Report – 2019-20**

**Submitted to the PES Trust, Shivamogga**

**By**

**The Principal, Chair person, Academic & Administrative Audit Committee  
PES Institute of Advanced Management Studies, Shivamogga**

**Preamble:** Quality excellence is the buzz word in the academic circles of Higher Education Institutions (HEIs) in the country and on the globe. Employability is most needed quality to be developed in students to prepare them for their future life. Every HEI is vested with the responsibility of imbining the required knowledge and skill needed by the students to undertake the desired employment, self employment or profession for their quality life. As vision and missions of empowering the students with these needed qualities based on the values found indispensable for happy and prosperous life, every HEI needs to undertake the Academic & Administrative Audit (AAA) to self introspect, self motivate and self empower to translate the vision, missions and aims & objectives into reality.

As a part of executing this responsibility, as mentioned in the IQAC norms under NAAC guidelines, the PESIAMS decided to undertake the initiative of implementing the AAA with effect from the academic year 2019-20. The subject was discussed at length at the CGC meeting dated 01.05.2019 and constituted the following committee for this purpose under the chair person of Dr. K Sailatha, principal.



Sl. No.	Name and Designation	Role in the committee
01	Dr. R Nagaraja, CCA PES Trust (R),	Management Representative
02	Dr. G N Mallikarjunappa	External Experts
03	Dr. K Sailatha,	Chairperson
04	Dr. Nagaraja S R	Member
05	Dr. Sudharshan G M	Member
06	Mrs. Roopa D S	Member
07	Mr. Mohan D	Member
08	Mr. Ashwini E M	Member
09	Dr. Praveen Chandra	Member
10	Mr. Prasad Kulkarni, Office Accountant	Member

**Basis for opinion:**

The committee initiated the process of AAA based on the Standard Assessment Format (SAF) specially designed by the committee for this Institution. The Format was got approved by the CGC after specifying the standard performance set for the academic year 2019-20. The Format was designed taking into account the points and factors mentioned in the NAAC guidelines issued in this regard. The committee members distributed the SAF to all the heads of the dept. to make them acquaint with this special audit system and briefed them about their role and responsibility in providing the information the explanation needed for the audit. The same was done with the ministerial staff of the office.

The committee wishes to submit its report as under, based on the information collected through SAF, the explanations provided by the faculty, HODs, office Staff and the principal. The committee members wherever necessitated visited the infrastructure, Physical facilities, play grounds, library, laboratories' in team or in person. Referred to the documents and papers maintained in the office to verify the information furnished in the SFA submitted by HODs and the individual faculty members. The report is on criterion wise as suggested in the NAAC guidelines.





### **I. Curricular Aspects:**

The Institution strictly followed the curriculum as designed and delivered by the Kuvempu University. Besides, it has set its own standards of introducing Add on / Certificate courses, preparation of academic calendar every year, deputing faculty to participating in BOS & BOE workshops / meetings conducted by Kuvempu University. The Choice Based Credit System and Electives are implemented in three out of four programs. The attainment success is 75%. The feedback system is carried out as for the set norms. No deviations are identified.

### **II. Teaching-Learning and Evaluation**

With regard to the Teaching-Learning and Evaluation against the 100% admission excepted as per the intake 380, the total admission for the academic year was 341. the achievement rate is 89.73%. The teachers were found punctual in writing work diary / log book, taking classes, maintaining attendance, complication of syllabus, conduction of IA test and participating in the examination process of the university. The overall result for the final year BBA, B.Com, BCA and M.Com students in the University Examinations is 60.86%, 84.9%, 84.95 and 96.55% respectively as against the set standard of 90%. For the second year and first year the University Examination were not conducted due to Covid-19 as per the direction of apex authorities. The FDP programs attended by teachers; conduct of curriculum supported activities; organization of guest lecturers, industrial visits and workshops, teacher mentor ratio; project works and internships undertaken by students are all as per the standard set.

### **III. Research Innovation and Extension**

The teachers have published research papers; conducted and attendant research methodology; participated in extension activities, Institutional MOUs were entered into as per the targets fixed. There is a total deficiency with regard to registration for the PhD program, completion of PhD during the year.

### **IV. Infrastructure and Learning Resources**

The institution is successful in complying with the target fixed with regard to creation and maintenance of class rooms, laboratories and other physical facilities needed for the proper conduct of teaching-learning evaluation research, extension and students support



programs. The actual amount invested for the purchase of books and journals is Rs. 1.39 lakhs against the budget earmarked Rs. 1.5 lakhs

#### **V. Student Support and Progression**

On physical verification of records and being satisfied with the explanation received, the committee is of the opinion that the Institution has successfully complied with the set standards with regard to the conduct of skill development and personality development activities; conducting programs for empowering students to face competitive examination; fully participating in extension activities and ensuring the students admission to higher education programs.

#### **VI. Governance, Leadership and Management**

With regard to Governance, Leadership and Management, the Institution has fully complied with the set guidelines of the CGC. The decentralization and participative management; preparation annual strategic plan in the area of administration, finance and accounts and examination the Institution has fully achieved the target except with regard to student admission. Welfare measures for the faculty and staff implementation of performance Appraisal System (PAS). Mobilization of funds and their optimum applications; proper maintenance of Books of accounts and their financial audit are as per accounting and audit practices. Meeting of IQAC have been periodically conducted. So no deficiencies were found.

#### **VII. Institution Values and Best Practices**

The Institution has endeared to achieve the success with regard to the standard set relating to the number of programs to be conducted on gender equity, use of LED bulbs, implementation of waste management steps, rain water harvesting, green practices and organization of national festivals and celebration of dedicated days.





## Conclusion & Suggestions


In all, the committee is of the opinion that the Institution has tried to implement all the standards and targets determined in their strategic plan that is largely the events and programs scheduled in the Academic Calendar. The Institution has successfully completed the events planned and mentioned in the academic calendar barring few deviations. The professionalism is maintained in almost all academic and administrative aspects throughout the year.

However from the point view of maintaining harmony and consistency with the contemporary quality expectations in academic scenario and administrative efficiency the committee wishes to suggest the following measures to be implemented in the successive years.

1. That the efforts are needed in achieving 100% admission in all programs
2. Encouraging student's admission on residential mode.
3. Reaching community with new initiatives of public communication channels – print and electronic media
4. Training and motivation faculty to undertake research and publication as part of their profession.
5. Establishing central incubation and research centre
6. Improvements in the overall results in University examination in all programs
7. Further enhancing the efforts with regards to training and placements
8. With the existing infrastructure support the Institution can start new programs and courses which are more relevant to the job market.

  
Signature of AAA member 1

Name: Dr. Nagaraja R  
Designation: CCA, PES Trust  
Address: Shivamogga  
Mobile No.: 94491 70795

  
Signature of AAA member 2

Name: Dr. G.N. Mallikarjunappa  
Designation: Retd. Principal  
Address: 'Syeha', 2nd main  
3rd cross Vidyamangala  
CHITRA DURG  
Mobile No.: 94490 77003