

INSTITUTION PERFORMANCE PROFILE
AUDIT VISIT NUMBER: 1 2 3 4
(Circle number of the visit, as appropriate)

NAME OF PERFORMANCE AUDITOR:

DATES OF PERFORMANCE AUDIT: September 15-17, 2014

NAME OF INSTITUTION WITH LOCATION: Dr. Babasaheb Ambedkar Technological University, Lonere

| PIP REF | INSTITUTION PERFORMANCE PROFILE | EVALUATION GRADES |
|---|---|-------------------|
| COMPONENT 1: IMPROVING THE QUALITY OF EDUCATION IN SELECTED INSTITUTIONS | | |
| 1.1 | Strengthening institutions to improve learning outcomes and employability of graduates | NA |
| 1.2 | Scaling-up postgraduate education and demand-driven research and development and innovation | 2 |
| 1.2.1 | Establishing centers of excellence | NA |
| 1.3 | Faculty development for effective teaching (pedagogical training) | 2 |
| COMPONENT 2: IMPROVING SYSTEM MANAGEMENT | | |
| 2.1 | Capacity building to strengthen management | 1 |
| 2.1.1 | Implementation of good governance | 1 |
| 2.2 | Project management, monitoring and evaluation | 2 |

Note: Supporting evidence: The grade descriptors have two elements: one relating to the amount of the evidence (none, some or substantial); and one relating to the quality of the practice about which the evidence is gathered (is it good quality, or not?). So, for example, a grade of 1 means both that the evidence is good quality and that there is a substantial amount to demonstrate that it is of good quality (75% or more for the practices found).

PERFORMANCE AUDIT FORM (1.1)

Name of Performance Auditor: Prof. M.M.Malhotra

Dates of Performance Audit: 15-17 September, 2014

Name of Institution with Location: Dr. Babasaheb Ambedkar Technological University, Lonere

1.1: STRENGTHENING INSTITUTIONS TO IMPROVE LEARNING OUTCOMES AND EMPLOYABILITY OF GRADUATES

MONITORING AND PROJECT OUTPUT/OUTCOME PARAMETERS

SUPPORTING EVIDENCE

| (Note: Grades must be supported by sound evidence of achievement of the institutional development proposal goals and targets) | |
|--|-----------------------|
| A. Effectiveness of funds utilized for the teaching, training, learning and research equipment, library, computers, etc. by the institutions, including: <ul style="list-style-type: none"> • Increase in the satisfaction index of student and faculty | |
| B. Obtaining Academic Autonomy status, including: <ul style="list-style-type: none"> • Number of institutions that have obtained 'Autonomous Institution status' as per University Grants Commission process within 2 years of joining the Project, or | |
| <ul style="list-style-type: none"> • Effectiveness of utilization of academic autonomy possessed/obtained (See Table-26 in PIP) | |
| C. Effort made by Institutions for upgrading qualifications of faculty members, including: <ul style="list-style-type: none"> • Percentage of faculty enrolled in MTech and PhD | Not Applicable |
| D. Existing teaching and staff vacancies and effort made by Institutions for filling the vacancies, including: <ul style="list-style-type: none"> • Percentage of faculty and staff positions filled and vacant | |
| <ul style="list-style-type: none"> • Increase in faculty appointed on regular basis | |
| E. Effectiveness of equity at Institutional level, including: <ul style="list-style-type: none"> • Transition rate of students from the First to the Second year in Undergraduate programs | |
| Evaluation Grade for 1.1 Using the 3-point grading scale and grade descriptors in Annex 4(1) | |

PERFORMANCE AUDIT FORM (1.2)

Name of Performance Auditor: Prof. M.M.Malhotra

Dates of Performance Audit:15-17 September, 2014

Name of Institution with Location: Dr. Babasaheb Ambedkar Technological University, Lonere

1.2: SCALING-UP POSTGRADUATE EDUCATION AND DEMAND-DRIVEN RESEARCH & DEVELOPMENT AND INNOVATION

| MONITORING AND PROJECT OUTPUT/OUTCOME PARAMENTERS | SUPPORTING EVIDENCE (Note: Grades must be supported by sound evidence of achievement of the institutional development proposal goals and targets) |
|---|--|
| <p>A. Effectiveness of funds utilized for the teaching, training, learning and research equipment, library, computers, etc. by the institutions, including:</p> <ul style="list-style-type: none"> Increase in the satisfaction index of student and faculty | <p>Funds utilized for:</p> <ul style="list-style-type: none"> Strengthening a number of existing laboratories- Advanced Machining Lab, HVAC Lab, Thermal Engg, Analytical Chemistry, Renewable Energy, Electrical Machines, Wireless Sensor Network, High Performance Computing Laboratory. Training of Educational administrators, Faculty, technical supporting staff and students through short term training programs/workshops Faculty and students visits to industries to generate awareness and identifying problems for research in domain areas Research on live problems from industry by most of the M.Tech students Strengthening of Library by way of: <ul style="list-style-type: none"> Securing membership of INDEST-AICTE, UGC-INFONET, procurement of e-books being used by students Addition of New computers and software Training programs and workshops in Research Methodology for PG students in their respective subject domains. Research &Development projects by Final year B.Tech. students on industry live problems Faculty visits to a number of institutes of excellence such as IITs, IIMs, CPRI, ESCI to gain knowledge and experience in advanced and emerging technologies for transfer to their students. Students participating in QEEE program of MHRD GATE coaching Organization of Workshops, Seminars, Guest lectures by experts from industry and academia. Training on MATLAB and Simulink <p><i>FGD conducted with the faculty and students provided not only</i></p> |

| | <p><u>an evidence of significant increase in their level of satisfaction but also a high level of motivation and commitment inspite of the following grave shortcomings:</u></p> <ul style="list-style-type: none"> ○ Acute shortage of instructional space for some of the departments where the class rooms and laboratories are not only cramped but also suffer from lack of air flow. The problem is not the shortage of available built-up area but its improper planning to accommodate classrooms, laboratories, workshops and other instructional spaces required by all the departments. ○ Inadequate/improper furniture available in some class rooms and laboratories ○ There are no faculty positions sanctioned for running PG programs. The in-position faculty sanctioned for UG programs manages the implementation of UG and PG programs. ● <u>It is amazing that with no faculty positions sanctioned for running 6 PG programs, the faculty in position for UG programs is conducting both the UG and PG programs with the assistance of teaching/research assistants.</u> | | | | | | | | | | | | | | | |
|--|---|------------------|---------|---------|---------|---------|--------|-----|-----|-----|--|------|----|----|----|--|
| <p>B. Effectiveness of scaling-up Postgraduate Technical Education, including:</p> <ul style="list-style-type: none"> ● Increased enrolment for M.Tech and PhD | <ul style="list-style-type: none"> ● The enrolments of M.Tech and Ph.D students has gone up significantly as is evident from the table given below. In 2013-14, 90% of M.Tech. seats have been filled. ● Eleven full-time PhD students (with TEQIP fellowship) have enrolled till March 2013. <table border="1" data-bbox="1060 1209 1785 1307"> <thead> <tr> <th><u>Enrolment</u></th> <th></th> <th>2011-12</th> <th>2012-13</th> <th>2013-14</th> </tr> </thead> <tbody> <tr> <td>M.Tech</td> <td>107</td> <td>143</td> <td>195</td> <td></td> </tr> <tr> <td>Ph.D</td> <td>65</td> <td>76</td> <td>85</td> <td></td> </tr> </tbody> </table> | <u>Enrolment</u> | | 2011-12 | 2012-13 | 2013-14 | M.Tech | 107 | 143 | 195 | | Ph.D | 65 | 76 | 85 | |
| <u>Enrolment</u> | | 2011-12 | 2012-13 | 2013-14 | | | | | | | | | | | | |
| M.Tech | 107 | 143 | 195 | | | | | | | | | | | | | |
| Ph.D | 65 | 76 | 85 | | | | | | | | | | | | | |
| <ul style="list-style-type: none"> ● Establishment of proposed laboratories | <ul style="list-style-type: none"> ● One new 'Renewable Energy laboratory' has been set up. ● In addition, 7 existing Laboratories have been strengthened for effective implementation of the PG programs. These laboratories | | | | | | | | | | | | | | | |

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| | <p>are:</p> <ul style="list-style-type: none"> -Electrical Machines Lab. - Wireless Sensor Network Lab. -High Performance Computing Lab. - Power Electronics Lab. - Thermal Engineering Analytical Chemistry Lab. - Advanced Machining Lab. - HVAC Lab |
| <ul style="list-style-type: none"> • Cumulative number of assistantships granted | <ul style="list-style-type: none"> • Total no. of M.Tech. Fellowships granted thro' TEQIP (cumulative) till 31/3/2014 is 101. • Total no. of Ph.D. Fellowships granted thro' TEQIP (cumulative) till 31/3/2014 is 11. The total no. of full-time fellowships to be given through TEQIP is expected to rise to 20. <p><i>The teaching and research assistantships thus provided under the project has largely helped running the PG programs in the absence of no faculty positions sanctioned so far by the state.</i></p> |
| <p>C. Progress/achievement in starting new Postgraduate programs, including:</p> <ul style="list-style-type: none"> • Securing AICTE approval | <ul style="list-style-type: none"> • No new PG programs were proposed. |
| <ul style="list-style-type: none"> • Establishment of laboratories | <ul style="list-style-type: none"> • No new PG programs were proposed. |
| <ul style="list-style-type: none"> • Adequacy of student enrolments | <ul style="list-style-type: none"> • No new PG programs were proposed. |
| <p>D. Effectiveness of collaborations made with other Institutions in India and abroad, including</p> <ul style="list-style-type: none"> • Increase in number of co-authored publications in refereed journals | <ul style="list-style-type: none"> • Some of the faculty members have established linkages with institutes like IIT Bombay and Bhabha Atomic Research Centre. These institutions allowed some M.Tech and B.Tech students to use their lab facilities and faculty expertise for carrying out their projects. As a result, a few co-authored publications have come out. • The number of co-authored publications in refereed journals during the years 2011-14 are given as under: |

| | 2011-12 | 2012-13 | 2013-14 |
|--|---|---------|---------|
| | 15 | 72 | 59 |
| <ul style="list-style-type: none"> More members of the faculty are encouraged to establish linkages with Institutes of higher learning and Industry and as a result, more co-authored publications in refereed journals are expected in the coming years. | | | |
| <p>E. Increased collaboration with industry in research and development, including</p> <ul style="list-style-type: none"> Increase in number of joint and industry sponsored research and development work undertaken | <ul style="list-style-type: none"> Quite a number of M.Tech students have carried out real-life R&D projects in nearby industries. These industries include companies like Thermax (I) Ltd. Pune and Mechvac Industries Mumbai. This trend is found to be increasing with each passing year. MoU signed with Anjaneya Laboratories to promote consultancy and R&D on industrial problems- an effort to promote linkages with industry for application and utilization of research by industry. Professionals from industry are involved in BoS meetings, expert lectures and entrepreneurial training. | | |
| <ul style="list-style-type: none"> Increase in financial contribution by industry for R & D | The real life R&D projects undertaken by M.tech students mentioned above were carried out on the premises of the industry. All the expenses incurred on conducting these projects were borne by the industry. | | |
| <ul style="list-style-type: none"> Increase in industry personnel registered for Masters and Doctoral programs | <ul style="list-style-type: none"> No increase found | | |
| <ul style="list-style-type: none"> Increase in industry personnel trained by the institution in knowledge and/or skill areas | The university has conducted training programs for personnel of various industries such as L&T Baroda, JSW Ratnagiri, Excel Industries Roha, Privi Organic Mahad and Rhodia Roha. Thus, the faculty has made significant contribution in terms of continuing education programs for industry. | | |
| <ul style="list-style-type: none"> Increase in the number of consultancy assignments secured | <ul style="list-style-type: none"> Number of consultancy assignments, particularly in the area of pollution control and civil construction, has gone up steadily. | | |

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| <ul style="list-style-type: none"> • Increase in the number of students' and faculty visits to and/or training in industry | <ul style="list-style-type: none"> • There is significant rise in number of visits of students and faculty to industries. Several visits to industries and industrial exhibitions/expositions were conducted so as to expose the students to latest technologies and industrial practices. • Industrial training during summer vacation is an integral part of the curriculum and is a mandatory course for the UG students in most of the disciplines. As a result, students get exposure to the world of work. |
| <ul style="list-style-type: none"> • Improvements in graduate placement rate | <ul style="list-style-type: none"> • The placement rate is found to decline. This could be due to recession and location disadvantage. • The university is trying to improve the situation by way of conducting finishing schools/bridge courses. • The university has initiated training of students in soft skills and aptitude testing and development from its internal resources. At the same time, outside agencies are engaged to impart training in soft skills in a phased manner. This initiative is expected to enhance placement |
| <ul style="list-style-type: none"> • Increase in involvement of industry experts in curricula & syllabi improvements, laboratory improvements, evaluation of students and delivering expert lectures | <ul style="list-style-type: none"> • Industry professionals/experts form an essential constituent of the Boards of Studies in the institute and are actively involved in all curriculum processes- design, implementation, evaluation and modification of curricula. • There has been a significant increase in the number of expert lectures delivered by industry experts during the last two years. • |
| <ul style="list-style-type: none"> • Increase in the number of sandwich programs between industries and the institution | <ul style="list-style-type: none"> • No sandwich program is offered by the Institute |
| F. Increase in percentage of revenue from externally funded research and development projects and consultancies as a percentage of the total revenue of the institution from all sources | <ul style="list-style-type: none"> • There has been a steady growth of revenue from externally funded projects and consultancy during the last 3 years |

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| G. Increase in the number of publications in refereed journals and citations | <ul style="list-style-type: none"> The number of papers published by faculty in refereed journals is on the increase and have gone up to 255 | |
| H. Increase in the number of patents obtained/filed | <ul style="list-style-type: none"> No patents have been filed in the last 3 years. However, two patents are in the pipeline. | |
| <p style="text-align: right;">Evaluation Grade for 1.2</p> <p style="text-align: center;">Using the 3-point grading scale and grade descriptors in Annex 4(1)</p> | | 2 |

PERFORMANCE AUDIT FORM (1.2.1)

Name of Performance Auditor: Prof. M.M.Malhotra

Dates of Performance Audit: 15-17 September, 2014

Name of Institution with Location: Dr. Babasaheb Ambedkar Technological University, Lonere

1.2.1 ESTABLISHING CENTRES OF EXCELLENCE

| MONITORING AND PROJECT OUTPUT/ OUTCOME PARAMENTERS | SUPPORTING EVIDENCE (Note: Grades must be supported by sound evidence of achievement of the institutional development proposal goals and targets) | |
|--|---|-------------|
| A. Establishing Centres of Excellence Improvement in Research and Development facilities through: <ul style="list-style-type: none"> Establishment of new laboratories for applicable thematic research | | |
| <ul style="list-style-type: none"> Establishment of a knowledge resource Centre (library) in the thematic area | A proposal was submitted in the year 1213.However it was not accepted because of lesser number of Ph.Ds produced by the University | |
| <ul style="list-style-type: none"> Procurement of furniture | | |
| <ul style="list-style-type: none"> Civil works | | |
| Evaluation Grade for 1.2.1 Using the 3-point grading scale and grade descriptors in Annex 4(1) | | N.A. |

PERFORMANCE AUDIT FORM (1.3)

Name of Performance Auditor: Prof. M.M.Malhotra

Dates of Performance Audit: 15-17 September, 2014

Name of Institution with Location: Dr. Babasaheb Ambedkar Technological University, Lonere

1.3: FACULTY DEVELOPMENT FOR EFFECTIVE TEACHING (PEDAGOGICAL TRAINING)

| MONITORING AND PROJECT OUTPUT/OUTCOME PARAMENTERS | SUPPORTING EVIDENCE (Note: Grades must be supported by sound evidence of achievement of the institutional development proposal goals and targets) | | | | | | | | | | | | | | | | |
|---|--|------------|------------|------------|-------|--------------|----|----|----|-----------------|----|----|----|--------------|----|----|----|
| <p>A. Effort made by Institutions providing Pedagogy Training to faculty, including:</p> <ul style="list-style-type: none"> Percentage of faculty who have benefitted from the core and advanced modules of pedagogy training | <ul style="list-style-type: none"> All junior faculty members have undergone pedagogical training under Mission 10X of Wipro. All senior faculty members got exposed to a module in pedagogy in a continuing education program conducted by IIT Bombay. Majority of the faculty members have attended training programs in Research Methodology. <p>The total number of faculty who benefitted from training in pedagogy year wise are given as under:</p> <table border="1" data-bbox="1060 771 1911 998"> <thead> <tr> <th></th> <th>2012-2013.</th> <th>2013-2014.</th> <th>Total</th> </tr> </thead> <tbody> <tr> <td>Core.</td> <td>26</td> <td>21</td> <td>47</td> </tr> <tr> <td>Advanced</td> <td>24</td> <td>28</td> <td>52</td> </tr> <tr> <td>Total</td> <td>50</td> <td>49</td> <td>99</td> </tr> </tbody> </table> | | 2012-2013. | 2013-2014. | Total | Core. | 26 | 21 | 47 | Advanced | 24 | 28 | 52 | Total | 50 | 49 | 99 |
| | 2012-2013. | 2013-2014. | Total | | | | | | | | | | | | | | |
| Core. | 26 | 21 | 47 | | | | | | | | | | | | | | |
| Advanced | 24 | 28 | 52 | | | | | | | | | | | | | | |
| Total | 50 | 49 | 99 | | | | | | | | | | | | | | |
| <ul style="list-style-type: none"> Improvements in (and/or updating, and more relevant) curricula and/or syllabi | <ul style="list-style-type: none"> A significant improvement has been made in the design of curriculum of programs, taking into consideration the market needs and changes in technology. Independent study assignments, R&D projects on live industry problems, seminars and presentations form essential components of the curricula of programs. | | | | | | | | | | | | | | | | |
| <ul style="list-style-type: none"> Improvements in (and/or updating, more relevant) course assessment methods | <ul style="list-style-type: none"> Presently no change is witnessed in the tools and techniques adopted for course assessment. An effort is being made to train faculty in the comprehensive evaluation of students' performance through workshops conducted by experts in the field of student evaluation. | | | | | | | | | | | | | | | | |

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| | <ul style="list-style-type: none"> • However, more such workshops need to be conducted to train faculty in the area of student evaluation. |
| <ul style="list-style-type: none"> • Improvements in teaching and learning methods, including provision for students needing extra/remedial support | <ul style="list-style-type: none"> • A definite improvement in the Tt/L process has been noted which is evidenced by: <ul style="list-style-type: none"> - Use of PP presentations, AV aids - Self-learning by students by way of Independent studies and individual/group projects - Research on Live problems - Contributing research articles in journals by students - Remedial coaching classes for weak students on regular basis. |
| <ul style="list-style-type: none"> • Percentage of faculty with UG qualification registered/deputed for improving their qualification (see Section-3, 4(b) on page 20 of PIP) | <ul style="list-style-type: none"> • All the faculty members with B.Tech qualification in computer and IT departments have been given an opportunity to upgrade their qualification last year. As a result, all the faculty members in the university will have a minimum qualification of M.Tech by the end of next year. |
| <ul style="list-style-type: none"> • Percentage of faculty deputed for subject domain training, seminars, etc. (faculty are required to share their gains with peers and put reports on training on institution's web site) | <ul style="list-style-type: none"> • The university is quite liberal in deputing faculty members for subject domain training programs, seminars, conferences. Almost all the faculty members have taken advantage of this facility. • However, the practice of faculty members sharing their gains from attending training programs/seminars/conferences/workshops with their peers is absent. They also do not put up report of their attending the STC/workshop/conference on the institute website. |
| <ul style="list-style-type: none"> • Progress in securing accreditation of eligible UG & PG programs (institutions to achieve target of 60% of eligible UG & PG programs accredited - applied for within 2 years of joining the Project) | <ul style="list-style-type: none"> • The university has submitted applications for accreditation of all the eligible UG (6) and PG (4) programs to NBA. |
| <p>B. Effectiveness of Pedagogy Training, including</p> <ul style="list-style-type: none"> • Percentage of students satisfied with the quality of teachers and changes/ developments specifically undertaken as a result of student evaluations | <ul style="list-style-type: none"> • A significant increase in the percentage of M.Tech students satisfied with the quality of their teachers is noted during FGD with students. • A large number of papers published by students in International/National Conferences (ICACCT, ICCPCT, ICIET, IETE, EECE, ICRES, EERA, ICLTEEE, IEEE, EPCECE, CIGRE, IRCRAET, |

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| | <p>ICACCT, ICBDM is an evidence of the effectiveness of T/L activities being carried out at the institute.</p> <ul style="list-style-type: none"> • Feedback provided to the teachers as a result of Student evaluations has resulted in the improvement of teaching effectiveness in class rooms, laboratories and research activities | |
| <p style="text-align: right;">Evaluation Grade for 1.3 Using The 3-Point Grading Scale and Grade Descriptors in Annex 4(1)</p> | | <p>2</p> |

PERFORMANCE AUDIT FORM (2.1)

COMPONENT 2: IMPROVING SYSTEM MANAGEMENT

Name of Performance Auditor: Prof. M.M.Malhotra

Dates of Performance Audit: 15-17 September, 2014

Name of Institution with Location: Dr. Babasaheb Ambedkar Technological University, Lonere

2.1: CAPACITY BUILDING TO STRENGTHEN MANAGEMENT

| MONITORING AND PROJECT OUTPUT/ OUTCOME PARAMETERS | SUPPORTING EVIDENCE (Note: Grades must be supported by sound evidence of achievement of the institutional development proposal goals and targets) |
|---|---|
| <p>A. Implementation of academic and nonacademic reforms, including:</p> <ul style="list-style-type: none"> Improved understanding of the need and ways for increased autonomy, and new instruments for accountability | <p>Academic Reforms:</p> <ul style="list-style-type: none"> The 'Choice based Credit System' and 'Relative Grading system implemented successfully. On-line system developed to monitor academic activities: Teachers upload student attendance on-line, monitored by the HODs and VC. Teachers upload the marks obtained by the students in the mid-semester and end-semester examination on-line. The Board of Studies enjoy full autonomy to frame and revise Curricula <p>Non-academic reforms:</p> <ul style="list-style-type: none"> Biometric attendance system implemented to ensure presence of faculty and staff in the campus during the working hours. Financial accounting system improved by using Tally software. Purchase procedures well defined with the publication of manual of "Purchase Procedures". Imprest amount of Rs. 5000/- per month allocated to each Department to purchase items required in emergency. |
| <ul style="list-style-type: none"> Modernization and decentralization of administration and financial management | <ul style="list-style-type: none"> Administration of the University decentralized as per the provisions of DBATU Act of 1989. Financial management is the responsibility of the Finance Officer, whose powers and duties are mentioned in the Act. The Finance Officer reports to the VC and the Finance Committee. Decisions taken in the Finance Committee finally approved by the Governing Body (The Executive Council of the University). Senior faculty and officers of the University attend training programs from time to time for capacity enhancement |
| <ul style="list-style-type: none"> Extent of delegation of administrative and financial decision making powers to senior | <ul style="list-style-type: none"> VC enjoys unlimited powers to grant administrative approval for purchases. HODs delegated financial power of upto Rs. 20,000/- |

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| <p>functionaries</p> | <ul style="list-style-type: none"> • VC has financial powers upto Rs. 1 lac. • Purchase Committee enjoys unlimited financial powers. • For purchases made under TEQIP, the University follows TEQIP norms, rules and regulations. All the procurement is done through PMSS. • University follows procedures as per Account Code of Government of Maharashtra for purchase from funds other than TEQIP funds.. |
| <ul style="list-style-type: none"> • Responsiveness to stakeholders (students, faculty, staff, industry, local communities) | <ul style="list-style-type: none"> • University is highly responsive to students' academic and non-academic requirements. The VC and HOD's entertain student problems which could be academic or non-academic as and when they arise. • University is also very responsive to faculty's requirements of job-embedded, professional and career development. • University lacks in framing a sound policy to take care of the non-academic needs of the faculty and staff in respect of schooling of children, healthcare, recreation facilities for the staff and their families. This is one of the major factors in the way of attraction and retention of quality faculty and staff. • University has no policy for the up gradation of qualification of technical supporting staff, especially those who hold a diploma in engineering and are eligible for a lateral entry to the UG program at the University. |
| <ul style="list-style-type: none"> • Institutional quality assurance and enhancement strategies, including student feedback mechanisms | <ul style="list-style-type: none"> • The university has put in place a special committee called "Institutional Quality Assurance Cell (IQAC)." It is the prime responsibility of this cell to look after quality issues and strategies. This cell takes periodic review of quality issues and identifies shortcomings and problems related to quality. It also suggests remedial measures. In addition, it ensures that proactive steps are taken to achieve quality. • IQAC has brought in many reforms in the last four years. These include online attendance system, online admissions, stake-holders' feedback and choice-based credit system, to name a few. • As mentioned above, stake-holders' feedback is being taken. This includes students' feedback on teachers. The feedback from students is shared with the faculty. |
| <ul style="list-style-type: none"> • Maintenance of academic and non-academic infrastructure and facilities, including sufficiency and quality of academic buildings | <ul style="list-style-type: none"> • Taking note of the comments given in the last performance audit report, the University has made an effort to utilize the unused space available in the library by furnishing it and planning to shift two departments, viz. Computer Engineering Department and IT Department. There is also a plan to relocate Mechanical and civil labs on similar lines. |

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| | <ul style="list-style-type: none"> The University has not still addressed the following comment made in the last Performance audit report which is reproduced below: <i>“There is a lot of scope for improving the maintenance of academic and non-academic facilities. A very sound management structure needs to be established in the university for both preventive and regular maintenance of all the assets and infrastructure facilities”</i>. <p>The university needs to address the issue raised as above.</p> | |
| <ul style="list-style-type: none"> Development, maintain and utilization of institutional resources | <ul style="list-style-type: none"> The University has taken some steps towards utilization of the unused space. However, much needs to be done to systematically plan for the optimal utilization of the available built-in instructional space. In addition, a separate 20,000 sq. ft. shed is proposed for housing labs with heavy-duty machines, such as engines, turbines, pumps, machine tools, etc. The shed is expected to become available by February, 2015 and make free the instructional space required for class rooms, studios and R&D project work. | |
| <ul style="list-style-type: none"> Generation, retention and utilization of Income Revenue Generation. | <ul style="list-style-type: none"> The revenue generated is deposited in the consultancy account of the University. The distribution of the revenue generated is done as per the rules of Government of Maharashtra. The share of the University is retained by the University in the separate account and is utilized by the approval of the Vice Chancellor as per the need. | |
| <p style="text-align: right;">Evaluation Grade for 2.1</p> <p style="text-align: center;">Using the 3-point grading scale and grade descriptors in Annex 4(1)</p> | | <p>1</p> |

PERFORMANCE AUDIT FORM (2.1.1)

2.1.1: IMPLEMENTATION OF GOOD GOVERNANCE IMPLEMENTATION OF GOOD GOVERNANCE

(See Also Annex 4 of the Good Governance Guide for Governing Bodies for examples of supporting evidence)

Name of Performance Auditor: Prof. M.M.Malhotra

Dates of Performance Audit: 15-17 September, 2014

Name of Institution with Location: Dr. Babasaheb Ambedkar Technological University, Lonere

| MONITORING AND PROJECT OUTPUT/ OUTCOME PARAMENTERS | SUPPORTING EVIDENCE (Note: Grades must be supported by sound evidence) | GRADE |
|---|--|----------|
| Section A: Primary accountabilities | | |
| <ul style="list-style-type: none"> Has the Governing Body approved the institutional strategic vision, mission and plan –identifying a clear development path for the institution through its long-term business plans and annual budgets? <i>(Give dates of governing body meetings where the minutes record these matters having been discussed, approved and/or followed up.)</i> | <p>Yes. The Governing Body has approved the Institutional Development Proposal (IDP) in its meeting held on 9th October, 2010. The IDP contains strategic vision, mission and long-term objectives of the university.</p> | 1 |
| <ul style="list-style-type: none"> Has the Governing Body ensured the establishment and monitoring of proper, effective and efficient systems of control and accountability to ensure financial sustainability? <i>(Give dates of governing body meetings where the minutes record these matters having been discussed, approved and/or followed up at the systems level.)</i> | <ul style="list-style-type: none"> The annual budgets are prepared by the Finance Section in consultation with the Vice-Chancellor and Finance Committee and, then finally approved by the Governing Body in the beginning of the financial year. The Governing Body Sub-committees meet regularly and report to the main Governing Body –including financial and procurement risks assessed and discussed in these meetings. This University has statutory committees such as Finance Committee, Building and Works Committee and Purchase Committee. These committees report to the Governing Body and minutes of their meetings are placed in the regular meeting of the Governing Body for its consideration and necessary approvals. The Governing Body has approved the mechanism in the form of Institutional Project Management Unit (IPMU) for execution, monitoring and control of TEQIP II project in its meeting held on 9th October, 2010. | 1 |
| <ul style="list-style-type: none"> Is the Governing Body monitoring institutional performance and quality assurance arrangements? <i>(Give dates of governing body meetings where the minutes record these matters having been discussed, approved and/or followed up at the systems level.)</i> | <ul style="list-style-type: none"> Such review is taken on regular basis in the meetings of the Academic Council and the Governing Body which are recorded in the respective minutes. Action Taken Reports are placed in the immediate next meeting which takes care of monitoring aspects. The register of the minutes of these meetings signed by the Chairman | |

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| | <p>is available in the Registrar's office for reference to the stake holders.</p> <ul style="list-style-type: none"> • The University is also initiating the monitoring activity through external Academic Audit. The Governing Body is forming a committee of external experts which will conduct Academic Audit of all the Departments at the end of every semester. • With reference to the BOG discussion on benchmarking, the University has revised its syllabi / curriculum in July 2010, adopted Choice Based Credit System and Relative Grading System and done this exercise on the lines of the systems followed in IITs. The University is trying to improve its systems taking IIT systems as benchmark. Acute shortage of faculty comes in the way of achieving the planned goals. • As per the guidelines of University Grants Commission (UGC), the University has put in place 'Internal Quality Assurance Cell (IQAC), which meets at regular intervals and reports to the Academic Council and the Governing Body. • The Annual Quality Assurance Report (AQAR) is prepared yearly. • Agenda of each Governing Body meeting contains an item related to TEQIP in which the progress of TEQIP activities is reviewed and approval is accorded to important proposals. Following are the dates of meetings: 9/10/2010, 6/10/2012, 6/4/2013, 2/6/2013, 19/10/2013 and 1/2/2014. | 1 |
| <ul style="list-style-type: none"> • Has the Governing Body put in place suitable arrangements for monitoring the head of the institution's performance? <i>(Give dates of governing body meetings where the minutes record these matters having been discussed, approved and/or followed up.)</i> | <ul style="list-style-type: none"> • DBATU, being a state University, the performance of the Vice-Chancellor (Head of the Institution) is monitored by the office of the Hon'ble Chancellor and Governor of Maharashtra. • Hon'ble Chancellor asks for reports from the Vice-Chancellor and also takes periodic review. | 1 |
| Section B: Openness & transparency in the operation of governing bodies | | |
| <ul style="list-style-type: none"> • Does the Governing Body publish an annual report on institutional performance? <i>(Give the publication date and type of publication of the most recent annual report, if there is one)</i> | <ul style="list-style-type: none"> • The Annual Reports of the University are prepared every year and submitted to the Government of Maharashtra. • These reports are placed before the Legislative Council and Legislative Assembly of Government of Maharashtra. The responsibilities and | |

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| | <p>accountabilities of the Governing Body are well defined in the DBATU Act of 1989</p> <ul style="list-style-type: none"> The Annual report is published every year in the month of March. The last Annual report has been published in March 2014. | 1 |
| <ul style="list-style-type: none"> Does the Governing Body maintain, and publicly disclose, a register of interests of members of its governing body? <i>(Given that a formal register is not yet normal practice in colleges, provide evidence of any published information on governing body members' financial and commercial interests)</i> | <ul style="list-style-type: none"> The arrangement for maintenance of formal register is not in place at present. As far as the conflict of interest as part of recruitment process is concerned, the question does not arise as the constitution of the selection committees for the recruitment are well defined in DBATU Act of 1989. | 3 |
| <ul style="list-style-type: none"> Is the Governing Body conducted in an open a manner, and does it provide as much information as possible to students, faculty, the general public and potential employers on all aspects of institutional activity related to academic performance, finance and management? <i>(Say whether the governing minutes are published on the institution website, and note any other steps that the governing body takes to communicate with its stakeholders on its work as a Board)</i> | <ul style="list-style-type: none"> The meetings of the Governing Body are conducted regularly and the minutes are recorded by the Registrar. The minutes are sent to all the members and the comments are invited. The minutes are placed for confirmation in the next meeting. Action Taken Reports are also placed in the immediate next meeting which takes care of monitoring and implementation aspects. The register of the minutes of these meetings signed by the Chairman is available in the Registrar's office for reference to the stake holders. The stakeholders are free to refer the minutes in the Registrar's office. | 1 |
| Section C: Key attributes of governing bodies | | |
| <ul style="list-style-type: none"> Are the size, skills, competences and experiences of the Governing Body, such that it is able to carry out its primary accountabilities effectively and efficiently, and ensure the confidence of its stakeholders and constituents? <i>(Specify the range of skills and experience that the members of the governing body, and especially the external members, have)</i> | <ul style="list-style-type: none"> BOG is constituted as per the provisions of DBATU Act of 1989. The internal members are nominated by the Chairman of the Governing Body (Vice-Chancellor) strictly as per the provisions of the Act. Independent members are external nominees, and independent of the institution. One member is nominated by the Hon'ble Chancellor and the Governor of Maharashtra. Dr. O. G. Kakde, Director of VJTI Mumbai is the present nominee. Four eminent persons from academia and industry are nominated by the Government of Maharashtra as per the provisions of the DBATU Act of 1989. The present nominees are: | 1 |

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| | Dr. P. D. Porey, Director SVNIT Surat, Dr. U. N. Gaitonde, Professor IIT Bombay, Dr. Mrs. A. S. Kunte, Professor TSCE Mumbai and Dr. R. N. Mohanty, President Pidilite Industries Ltd. Mumbai | |
| <ul style="list-style-type: none"> Are the recruitment processes and procedures for governing body members rigorous and transparent? <i>(Specify how governing body members are selected, and whether that process is transparent)</i> | <ul style="list-style-type: none"> The Governing Body is formed strictly as per the provisions of DBATU Act of 1989. The constitution of the Governing Body, its powers and duties are well defined in the Act. | 1 |
| <ul style="list-style-type: none"> Does the Governing Body have actively involved independent members and is the institution free from direct political interference to ensure academic freedom and focus on long term educational objectives? <i>(Give examples, where possible, of the role of external members in improving the performance of the institution)</i> | <ul style="list-style-type: none"> All independent members of the Governing Body are actively involved and contribute to the development of the University. The University is totally free from direct political interference | 1 |
| <ul style="list-style-type: none"> Are the role and responsibilities of the Chair of the institution and the Member Secretary serving the governing body clearly stated? <i>(If yes, specify the document where these roles are defined)</i> | The role and responsibilities of the Chair of the Governing Body, the Head of the Institution and the Member Secretary serving the governing body are clearly stated in the Act. | 1 |
| <ul style="list-style-type: none"> Does the Governing Body meet regularly? Is there clear evidence that members of the governing body attend regularly and participate actively? <i>(State the number of meetings in the last year, and the average number of those Board members present and those members absent at those meetings)</i> | <ul style="list-style-type: none"> Governing Body members allocated to serve on sub-committees attend most meetings and are actively involved in the work of these committees - reporting back regularly to the main Governing Body. The meetings of the Governing Body are held regularly in a year. The members mostly attend these meetings (on an average 4 meetings in a year). As per the provisions of the Act, the members of the Governing Body have been nominated on different sub-committees such as Building and Works Committee, Finance Committee, Purchase Committee and Library Committee. In addition to this, the University takes services of Governing Body members on other committees such as scrutiny committee of applications received for the recruitment, | 1 |

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| | disciplinary committee, committee constituted by the Vice-Chancellor for implementing scheme of promotions of the employees etc. | |
| Section D: Effectiveness and performance review of governing bodies | | |
| <ul style="list-style-type: none"> Does the Governing Body keep their effectiveness under regular review and in reviewing its performance, reflect on the performance of the institution as a whole in meeting its long-term strategic objectives and its short-term indicators of performance/success? <i>(If yes, give the date(s) of governing body meetings where the minutes show that such a review has been discussed)</i> | <ul style="list-style-type: none"> Record of the activities undertaken by the individual member of the Governing Body is kept. The BOG reviews the performance of the University in the Board meetings in line with the yearly plan of action drawn by the University. | 2 |
| <ul style="list-style-type: none"> Does the Governing Body ensure that new members are properly inducted, and existing members receive opportunities for further development as deemed necessary? <i>(If yes, give examples of how these two tasks are carried out)</i> | <ul style="list-style-type: none"> Yes, the new members are oriented in respect of their roles and functions in the effective and efficient functioning of the Institute as well its growth and development. The existing members, however receive no opportunities for further development deemed necessary | 2 |
| Section E: Regulatory compliance | | |
| <ul style="list-style-type: none"> Does the Governing ensure regulatory compliance* and, subject to this, take all final decisions on fundamental matters of the institution. <i>(If yes, give the date(s) of governing body meetings where the minutes show that regulatory compliance has been discussed)</i> | <ul style="list-style-type: none"> The University ensures regulatory compliance with the statutes, ordinances and provisions regulating the institution, including compliance with the regulations by statutory bodies, such as the AICTE and UGC, as well as regulations laid out by the State government. <i>So far, AICTE has not passed any negative strictures on this University.</i> <i>There are no faculty positions sanctioned for running PG programs. The in-position faculty sanctioned for UG programs manage the implementation of UG and PG programs. It is amazing that with <u>no faculty positions sanctioned for running 6 PG programs</u>, the faculty in position for UG programs is conducting both the UG and PG programs with the assistance of teaching/research assistants.</i> | |

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| | <ul style="list-style-type: none"> <i>This discrepancy in the number of teaching positions is always mentioned in the letter of extension of approval issued every year. The University is constantly following up this matter of sanction of additional teaching positions with the Government of Maharashtra, but with no result.</i> | 2 |
| <ul style="list-style-type: none"> Does the regulatory compliance include demonstrating compliance with the 'not-for-profit' purpose of education institutions? <i>(If yes, give evidence that the governing body has been directly involved)</i> | Not Applicable | NA |
| <ul style="list-style-type: none"> Have there been accreditation and/or external quality assurance by a national or professional body? If so, give name, current status of accreditation etc. <i>(Provide lists of all courses which have already been accredited, all courses where an application has been made, and all courses where no such application has yet been made)</i> | <p>Yes. The academic programs have been accredited twice so far. The accreditation proposals for all eligible UG/PG programs have been submitted for the third time. The Accreditation Team is expected to visit in January 2015. Accreditation application has been submitted for following programs:</p> <p>UG programs: Chemical Engg, Petrochemical Engg, Mechanical Engg, Electrical Engg, Electronics & Telecommunication Engg, Computer Engg, IT</p> <p>PG Programs: Chemical Engg, Manufacturing Engg, Thermal & Fluids Engg, Electrical Engg, Electronics & Telecommunication Engg, Computer Engg</p> | 1 |
| <p style="text-align: center;">Overall Evaluation Grade for Governance 2.1.1 A-E Using the 3-point grading scale and grade descriptors in Annex 4(1)</p> | | 1 |

PERFORMANCE AUDIT FORM (2.2)

Name of Performance Auditor: Prof. M.M.Malhotra

Dates of Performance Audit: 15-17 September, 2014

Name of Institution with Location: Dr. Babasaheb Ambedkar Technological University, Lonere

TABLE 2.2: PROJECT MANAGEMENT, MONITORING AND EVALUATION

| MONITORING AND PROJECT OUTPUT/ OUTCOME PARAMETERS | SUPPORTING EVIDENCE (Note: Grades must be supported by sound evidence of achievement of the institutional development proposal goals and targets) | GRADE |
|---|---|----------|
| <p>A. Effectiveness of mentoring, reviews, surveys and audits conducted, including:</p> <ul style="list-style-type: none"> Increase in the achievement of the institutions goals and targets set out in the Institutional Development Proposal | <ul style="list-style-type: none"> The performance audit and mentoring are proving to be quite useful in keeping the project on track. The university has addressed some of the shortcomings and weaknesses pointed out by the performance auditor and mentor. As a result, the university has made satisfactory progress as envisaged in the IDP. | 1 |
| <p>B. Effective project management and monitoring, including:</p> <ul style="list-style-type: none"> Precise and reliable information/data through web based MIS available to stakeholders at all time | <ul style="list-style-type: none"> The university updates project related data in the MIS almost on day-to-day basis. A full-time person is exclusively appointed under the project for this job. | 1 |
| <p>C. Effectiveness of faculty evaluation by students, including:</p> <ul style="list-style-type: none"> Percentage/increase in percentage of faculty evaluated by students in one or more subjects Are results of evaluation properly used for teacher improvement? <i>If yes, is the procedure adopted for teacher improvement including counseling appropriate and effective?</i> | <ul style="list-style-type: none"> The students' feedback on teachers is taken regularly in each semester for each teacher. Each and every teacher is covered under this. Thus, the percentage is 100%. The results of evaluation are shared separately with each individual teacher in a confidential manner by the head of the department concerned. The teacher is told that this is not a 'fault-finding' exercise. But it is an exercise to identify areas where improvement is required. In this way, there is no adverse effect on the morale of the teacher. This procedure is found to be quite effective and is yielding good results. | 1 |
| Overall Evaluation Grade for 2.2 Using the 3-point grading scale and grade descriptors in Annex 4(1) | | 2 |

PERFORMANCE AND DATA AUDIT FEEDBACK
(FEEDBACK TO THE INSTITUTION, STATE PROJECT FACILITATION UNITS,
THE NATIONAL PROJECT IMPLEMENTATION UNIT/AND RELEVANT MENTOR)

Name of Performance Auditor: Prof. M.M.Malhotra

Dates of Performance Audit: 15-17 September, 2014

Name of Institution with Location: Dr. Babasaheb Ambedkar Technological University, Lonere

Key points feedback by the Performance Auditor to the institution at the end of the visit - against the seven aspects of evaluation

1. Need for systematic planning of the unused space in the library to accommodate classrooms, laboratories and R&D activities of other departments which are facing a severe instructional space crunch.
2. Appreciate the plan of constructing a shed in the available open space with a floor area of 20,000 sft. For accommodating labs with heavy-duty machines, such as engines, turbines, pumps, machine tools.
3. Need to provide opportunities for upgrading qualification of diploma holding technical supporting staff to B.Tech degree through specially designed 'Evening Part-Time B.Tech Courses' for them.
4. Need for more faculty members of various departments to establish linkages with institutes of higher learning such as IITs and Industry for collaborative R&D projects and Consultancy.
5. Need to conduct more in-house workshops on Systematic Curriculum Development, Instructional Design & Delivery, and Comprehensive Student Evaluation with outside expertise available on the respective areas.
6. Need for establishing sound management system for maintenance of all the buildings, furniture, equipment and other assets of the University.
7. Need to for the faculty members attending Short term training programs/workshops/conferences to share their gains/experiences with peers and also put up a report of their gains on the Institute website.
8. Need to frame a sound policy and create infrastructure and facilities to take care of the non-academic needs of the faculty and staff in respect of schooling of children, healthcare, recreation facilities for the staff and their families. This is a **MUST** for attracting and retaining quality faculty and staff in the University.
9. Make rigorous efforts in obtaining Govt. sanctions for faculty & Staff required for running PG programs of the University

Key improvements noticed on shortcomings reported during earlier Performance Audits

1. Efforts being made to relocate laboratories of some departments in the unused space available in the Library.
2. A definite improvement in the curriculum design and T/L processes of PG Courses.

3. An improvement on the selection of problems for R&D projects undertaken by students

Brief statements on continuing shortcomings, and reasons

1. Need to frame a sound policy and create infrastructure and facilities to take care of the non-academic needs of the faculty and staff in respect of schooling of children, healthcare, recreation facilities for the staff and their families. This is a **MUST** for attracting and retaining quality faculty and staff in the University.
2. Need for systematic planning of the unused space in the library to accommodate classrooms, laboratories and R&D activities of other departments which are facing a severe instructional space crunch.
3. Need for setting a Curriculum Development Cell for Systematic design of Curriculum- An on going activity.

Recommendations for Mentors

Provide guidance on the items listed under Feedback to the Institute