

Audit Key Steps

- Review of the Previous Audit Report/s, if any
- Inspecting the Documentation as suggested by the Previous Audit
- Study the Current Process of the System
- Look for Deviation in the Process
- Audit Report with Suggestions or Recommendation

Composition of Audit and Evaluation Team

Sr No.	Audit and Evaluation Team Members
1	Ms. Remya Madan Gopal- Chairperson
2	Ms. Sweta Roy Choudhury- Secretary
3	Ms. Babitha Kurup- Member
4	Ms. Ashwini Khillari- Member

Prepared by the Audit and Evaluation Team

Acknowledgments

The team responsible for this audit, under the supervision and direction of Dr. LataMenon, Principal, Pillai HOC College of Arts, Science and Commerce, would like to thank those individuals who contributed to this project, and particularly, employees who provided insights and comments as part of this audit.

Original signed by

Remya Madan Gopal

Chief Audit Executive

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1.0 Executive Summary

In accordance with the norms of the institution, Pillai HOC College of Arts, Science and Commerce, Rasayani, Exam Cell Audit was conducted by the Internal Audit team in the academic year 2018-19.

The purpose of the audit was to ensure that the exam procedures followed in the campus are in accordance with the Academic Policy adopted by the institution. With this in mind, the specific objectives of the audit were to evaluate the adequacy of the management control framework and exam cell as well as the extent to which the Departments are in amenableness with the already adopted rules and policies.

During the initial planning of the audit, an analysis was conducted on the methodologies of the academic exam policies. The analysis was based upon overview of the policies, preservation and access of important data and its further analysis, and on the results of preliminary queries with personnel concerned with the exam cell management in the campus. The methodology used included physical inspection of the campus, review of the relevant documentation, and interviews.

2.0 Statement of Assurance

This audit has been conducted in accordance with the standards for the Professional Practice of Internal Auditing. In our professional judgement, sufficient and appropriate audit procedures were completed and evidence gathered to support the accuracy of the conclusions reached and contained in this report. The conclusions are based on a comparison of the situations as they existed at the time of the audit with the established criteria.

3.0 Summary of Findings

The main findings of the audit show that, in general, all the departments are aware about the need for Examination policies at a general level. On detailed review, it was observed that, as the college has started implementing the reforms suggested by the previous Audit Report, many of the practices followed in the institution which was earlier not in complete compliance with the Set norms of the institution, and the applicable standards. They have improved multifold in their efficiency, fairness and consistency.

4.0 Background to the Study

Examinations play an important role in imparting education and knowledge to students. Examination is an instrument to evaluate the knowledge, understanding and learning of students. For teachers, Examinations provides feedback to evolve their way of teaching.

In the last couple of decades, higher education has witnessed tremendous growth in terms of number of students enrolled, number of courses offered, reach of institutes etc. As a result of this growth, the examination system at College has become quite complex and complicated. One of the major problems faced by any college is to conduct infallible examinations and provide tamper proof certificates.

A committee of the representatives across all the courses, under the chairmanship of Principal, has been constituted. The committee has been mandated to ensure smooth and proper conduction of examination and to implement the laid down procedures end-to-end.

5.0 Members of the Committee

1. Mr. SwapnilPatil, Exam Cell Convener
2. Mr. Binit Kumar, Chief Conductor of Examinations
3. Mr. Rewati Soman, Member

4. Mr. DeepeshJagdale, Member
5. Ms. Sindhuja Joshi, Membe
6. Ms. ArushiDube, Member
7. Ms. AnuAbhilash, Member
8. Mr. DarshanPatil, Member

6.0 Duties and Responsibilities

- The Exam cell has also defined the duties and responsibilities of active branching committees and its composition like Flying Squad and Unfair Means Committee along with initiation of Internal Exam and Preliminary Exam Committee during the academic year of 2018-19.
- Examination Cell serves all Examination notices received from University to all concerned.
- Examination cell prepares Circulars for students regarding Exam Fee Collection, the last date of fee Collection, modalities of payments of fine etc.
- Examination Cell takes all precautions while preparing Examination Time table, Invigilation duty chart, seating plans for the students in the Examination halls, smooth conduct of Examinations etc.
- Examination Cell mobilizes the proper staff during the Examination time, and assigning them duty as per the duty chart already prepared.
- Examination cell takes necessary steps for distribution of Answer sheets to the concerned teachers after completion of the exam and receiving the answer sheets, award list, and preparing in the desired format to send them to University.
- Examination Cell staff collects Marks Memos of various examinations from the University and they distribute them to the corresponding students.
- Examination cell analyzes all examination results and in consultation with the Principal, prepares the report thereof for submission to appropriate authorities for follow up action.
- Examination Cell keeps all records pertaining to examinations.
- Examination Cell staff addresses grievances of administration, faculty, staff and students on all examination related issues.

- Committees under exam cell such as Unfair Means and Flying Squad helps to ensure honesty and fairness during examinations and to report in writing any malpractice or anomaly found during the examination to the Principal

7.0 Audit Details

We have audited the Examination Cell from 8 - 14 May, 2019 and put forward the following observations for further actions.

The primary responsibility of the Cell is to take all necessary steps in the conduct of examinations of the various UG programmes and to take expeditious steps to publish the result on time as per the examination manual.

Document Verification

The following documents, registers and files were verified.

1. Examination Manual
2. University Circulars
2. List of Programmes
3. Syllabi
4. Notifications File
5. Exam cells meetings & Minutes
5. Examination Time Table Records
6. In-Sem Examination Conduction Records
6. Invigilation and Paper Assessment records
6. Unfair Means & Flying Squad Records
5. Files regarding Registration of students and issue of hall tickets
6. Inward/ Outward Registers
7. Stock Register
8. Online Screen Marking Records
9. Gazette records of Results and Result Analysis

Following the audit, several observations and recommendations were made to the Exam Cell

- The Exam Cell has incorporated all the changes suggested by the previous Auditors.
- The Exam Cell Procedures, Access Rights, Security Rights and Confidentiality are well defined and are followed to the T.
- The Documentation and Data Storage is accurate.
- To reduce the number of cases reported Under Unfair Means Mechanism, Exam Cell Members can include the practice of writing their UID nos. on the Question Papers as well before the commencement of exam. This would reduce embezzlement via Question papers.
- The Online Registration Portal which has already been developed for the students and is implemented for all the courses.
- Based on all the sets of Question Papers received by the respective faculty member, Question Bank could be generated for each subject course wise
- Question Papers downloaded are filed in the exam cell, library and in the concerned department

8.0 Objectives and Scope

This audit was conducted for the Examination Cell of Pillai HOC College of Arts, Science and Commerce, Rasayani. The process was initiated to improve and make the procedures of exam conduction immaculate and for proper organisation and arrangement of the documents and secure preservation of critical and significant data.

9.0 Methodology

In order to meet its objectives, this audit combined physical inspection with a review of relevant documentation and interviews with various stakeholders.

Review of the Documentation

For the purpose of this audit the Examination Procedure of the institute was reviewed.

Interviews

Interviews were conducted with the Exam Cell Convener and interactive sessions with other faculty members concerned with the exam cell were also conducted.

Physical Inspection

The audit team has physically inspected the campus to conduct the audit.

10.0 Declaration

I agree with all the recommendation and observation mentioned in this report.

Original signed by

Principal with Seal

