



**ALLIANCE**  
**UNIVERSITY**

*Private University established in Karnataka State by Act No.34 of year 2010  
Recognized by the University Grants Commission (UGC), New Delhi*

2022-23

# Academic Audit Report



IQAC

Alliance University

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# Academic Audit

# Criterion 1: Curricular Aspects



## Curricular Aspects

Curricular Aspects including the curriculum design, development, and review are the keystone of any university. As an autonomous academic body, Alliance University (AU) has the mandate to develop appropriate curricula for specific programmes, revise or update them on a regular basis. The programme outcomes should be defined and approved by its internal academic bodies such as BOS and Academic Council.

Curricular Aspects refers to a university's ability in developing a broad portfolio of academic programmes that are in line with the emerging national and global trends.

Aside from issues of diversity and academic flexibility, aspects of career orientation, multi-skill development, feedback system, and stakeholder involvement in curriculum enhancement are also evaluated.

### Curricular Development

Curriculum Design and Development is one of the major responsibilities of universities, and as such, they are expected to have processes, systems, and structures in place to handle this responsibility. It is a complex process that necessitates need-based inputs in consultation with expert groups, based on stakeholder feedback. This process results in the development of relevant programmes with appropriate flexibility to meet the professional and personal needs of students, as well as the achievement of its core outcomes. This key criterion of accreditation process also takes into account the institution's best practises in the development and design of various curricula.

The University's curriculum should include Programme Outcomes (POs), Programme Specific Outcomes (PSOs), and Course Outcomes (COs), as well as substantive outlines of courses in each discipline (course syllabi), details of course delivery, and assessment of student performance and thus attainment of POs and COs. This criterion's quality element is reflected in universities' efforts to revise, update, and provide adequate flexibility. As a result, key factors to consider in this criterion are the implementation of Outcome Based Learning (OBL) precepts and the evolution of the Choice Based Credit System (CBCS).

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#### ASSESSMENT

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1. The office of Dean (Academics) is not established, and the position is lying vacant at Alliance University. Many of our observations and recommendations in this report refers to Dean (Academics) to own and institutionalise various processes pertaining to Curricular Aspects.

2. No policy/regulation document regarding “Curriculum Design, Development, and Review” was shown to us and we draw the inference that no such policy exists.
3. In absence of a defined policy, no market survey and/or competitor analysis seems to have been carried out while starting the various programmes of study.
4. It was observed that the Curricular Framework and Syllabi definition were devised by School Board of Studies (BoS).
5. Curricular Design/Structures were benchmarked with the model curricular frameworks of AICTE. However, most of the curriculum frameworks had only a modicum of outcome-based learning parameters. It was also found that most of the faculty members only know barely about Outcome Based Education and cannot work upon computing either attainment of COs or POs based on specified quantitative methodologies. There was no policy/regulation on “Implementation of Outcome Based Education,” therefore, applying for NBA accreditation for MBA and B. Tech programmes would be a challenge. Further, NEP 2020 also stresses on Outcome Based Education (OBE) and hence this concept needs to be mandatorily adopted by Universities.
6. Upon review of existing curricular structure, it was discovered that the CBCS framework is not followed and most of the faculty members do not understand the concept.
7. Draft curricular design is evaluated by duly constituted Boards of Studies of respective Schools and finally considered and approved by the Academic Council. We were told that perceptive of industry are provided by co-opting professional experts on the BoS and Academic Council. However, when we reviewed the Academic Council, there was no such representation of industry experts.
8. We were told that the minutes of the meetings of the Boards of Studies and Academic Council are duly recorded. However, we found that the minutes, especially of Academic Council, are very perfunctory with no evidence of any deliberations and discussions on academic matters. Moreover, the linkages of decisions of BOS to Academic Council along with compilations of various documents approved (such as course catalogues and programme superstructure were not found).
9. The concept of defining Unique Set of Courses was not found. Some of the courses with similar/same content is being offered in different schools under different course names/course code

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**PRESCRIPTION**

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1. It is of paramount importance that Alliance University addresses the issue of creating a robust Office of Dean (Academics) with well-defined charter and organisation structure. Given the importance of this office, this position can also be upgraded to that of Pro-Vice Chancellor.
2. When we looked into the existing documentation of statutes and regulations, we found them to be woefully inadequate. It is strongly recommended that a detailed regulation/policy on “Curriculum Design, Development, and Review” should be developed which should also incorporate the charter and organisation structure of the Office of Dean/PVC (Academics). There may be need of renaming and readjusting the various bodies and sub-bodies involved in this process to capture suggestions given in the points 4 and 5 below.
3. Upon development of such policy, the process steps to develop a new programme should be meticulously followed and documented, including conduct of market research and competitor analysis.
4. DACs should preferably be constituted to have an approach of “Consultative Committees,” comprising 2-3 academics from other institutions and 2-3 industry experts/alumni apart from few senior academics of the department for designing curriculum framework of a programme or detailed syllabi of a course.
5. Consultative Committees should ensure that the curricular design:
  - (i) Is contemporary and benchmarked to the national/ global standards.
  - (ii) Has relevance to local/ regional/ national/ global developmental needs.
  - (iii) Incorporates curricular enrichment by including Enrichment courses and value-added courses.
  - (iv) Is compliant with OBL system and CBCS philosophies/practices.
  - (v) Is industry aligned
6. For implementation of Outcome Based Learning, it is suggested that following measures need to be taken up on urgent basis:
  - (i) Existing curricula to be aligned with OBL frameworks which will necessitate each course plan to clearly delineates POs, PSOs, and COs. The detailed matrices for attainment of COs and CO-PO attainment should be built for each course and each programme.

- (ii) Conduct multiple 3-day OBL workshops so that the nuances of OBL philosophy/methodology are fully understood by all teaching faculty, assessment teams, and other academic administrators including Examination and Evaluation Department. This should have hands-on workbooks to work on mathematic computations for arriving at attainment numbers.
- (iii) Alternatively, to automate the computations, an LMS with in-built OBL based attainment facility can be invested into.
- (iv) Policy/Regulation for “Outcome Based Learning” needs to be created at the earliest.

7. To implement CBCS structure, the following needs to be done at the earliest:

- (i) Conduct multiple 3-day CBCS workshops so that the nuances of CBCS philosophy/methodology are fully understood by all teaching faculty, assessment teams and other academic administrators. This should have hands-on workbooks to create “CBCS superstructures” for various programmes.
- (ii) Policy/Regulation for “Choice-Based Credit System” needs to be created at the earliest.
- (iii) It is recommended that Alliance University should adopt generally accepted 4/5 basket approach to designing CBCS curriculum. The recommended framework is shown below:

S.No.	COURSE BASKET	DEFINITIONS
1	<b>School Core (SC)</b> (Humanities, Social Science & Management Courses/ Basic Science Courses/ Engineering Sciences Courses, etc.)	Generally, the school core consists of very foundational courses that are required for all programmes operated by the school. It also covers NTCC (Non-Teaching Credit Courses) such as seminars, project work, dissertation, projects, etc.
2	<b>Programme Core (PC)</b> (Humanities, Social Science & Management Courses/ Basic Science Courses/ Engineering Sciences Courses, etc.)	Generally, the programme core consists of those courses which defines the core essence of the specific programme.

3	<b>Discipline Specific Electives (DSE)</b> (Choice based discipline Electives of the programmes on offer)	The DSE consists of a set of courses to build a broad specialisation within a specific programme.
4	<b>Super-Specialization / Concentration Elective Courses (SEC)</b> (Within a programme to build specialization in a major or minor field)	The SEC consists of a set of courses to build a super-specialisation within a specific programme.
5	<b>Open Elective Courses (OEC)</b> (Such as Ability Enhancement Courses, Skill Enhancement Courses, and Life-skill Courses)	The OEC should necessarily cover the courses from other schools to create a wholistic learning opportunity from diverse disciplines leading to ability/skill enhancement in areas of interest beyond the student's normal programme.

8. Classification of various types of the Non-Taught Credit Courses (NTCC) needs to be created and a Policy/Regulation for NTCC needs to be created.
9. Records of approvals regarding course development, modifications, and other program amendments requires interlinking of program/courses developed and revised over the last 4 years with corresponding minutes of the meetings of DAC, BoS, and Academic Council needs to be meticulously created. We strongly recommend the clean-up of these documents.

## Curricular Review

Periodically, the curriculum should be reviewed to keep it in sync with needs of industry and the developments in various domains of academic disciplines. This review ideally should be done in consultation with multiple stakeholders, viz. employers, students, faculty members and alumni.

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### ASSESSMENT

1. Alliance University has revised existing courses following similar process as for development of programs/courses. However, specific records of such programs/courses were not available.
2. There has to be a proper definition of what constitutes a change in a program or in a course which does not exist as of now, due to lack of Curriculum Design, Development, and Review Policy.
3. We found no evidence of proper documentation of program change/course change with version control and course code amendments.

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### PRESCRIPTION

1. Clear definition of what constitute program change / course change to be embedded in a comprehensive policy that needs to be developed for curriculum design and review. Normally, accepted thumb-rule is that a 20% or higher content change in a course is considered as revised course. For revision of program, 20% or higher courses should change in a program to make it current and relevant.
2. Proper documentation of program change/course change with version control and course code amendments should be meticulously created/kept. The documentation should also list down the factors necessitated this change.
3. Based on the policy and definition of program change/course change, the Office of Dean (Academics) (currently this position is lying vacant at Alliance University) should prepare School-wise/year-wise list of programs/courses in which syllabi revision has been carried out during the last 3 years, as per the policy definition.
4. All course revisions should follow the pathway of being discussed at the Department level, at School level, and at Institutional level (Academic Council).

## Curricular Enrichment

The primary goal of curriculum is the holistic development of students. While this is attempted through the prescribing of dynamic and updated curricular inputs, the university is expected to have provision for additional courses beyond curriculum and other such project based or experiential learning activities that may not be directly related to one's discipline of study. Such value-added courses contribute to sensitising students to cross-cutting issues relevant to current pressing national and global concerns as well as courses that build on various life-skills and professional skills.

A progressive university would offer a diverse range of such "value-added" courses from which students could select based on their interests and inclinations. These courses are not part of curriculum and hence will not student transcript. However, these courses require at least 30 hours of instructional or project-based learning and are assessed on pass/fail basis, and a certificate is issued to this effect.

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### ASSESSMENT

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The Curriculum Enrichment basically consists of providing courses that focus on Employability/Skill Development/Entrepreneurship/Life-skills.

1. We did not find a record of conduct of value-added courses or a well-defined course portfolio. Some of the Deans' presentation had a sporadic mention of conduct of value-added courses.
2. The essential requirement of creating a value-added course brochure with content, delivery, mode, and faculty delivering the course was not observed neither we could see any samples of certificate issued upon completion of value-added courses.
3. We did not find any focus courses to promote entrepreneurship. Perhaps this is because the University does not have a Centre for Innovation and Entrepreneurship.

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### PRESCRIPTION

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1. It is recommended that the Office of Dean (Academics), in consultation with various School Deans, create the following catalogue of value-added courses:

Global Awareness and Sensitisation Courses	Environmental Sciences/ Climate Change/ Poverty Alleviation/ Circular Economy
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	Human Values and Ethics
	Gender Sensitization
Leadership Development Courses	Leadership Skills
	Conflict Management Skills
	Building Team Trust Skills
	Problem Solving Skills
Soft Skills Enhancement Courses	Communication Skills
	Public Speaking Skills
	Presentation Skills
	Interpersonal Skills
	Etiquettes and Manners
	English Language Lab
	Accent Correction Lab
Foreign Language Courses	Basic French
	Basic German
	Basic Spanish
	Basic Mandarin
Performing and Visual Arts Courses	Introduction to Dance
	Introduction to Theatre
	Introduction to Music
	Introduction to Painting/Sculpture
	Developing Excellent Photography Skills
	Art of TV Anchoring
	Art of Radio Jockeying
Life Management and Wellness Courses	Basics of Yoga/ Wellness/ Alternate Therapies

	Nutrition Management
	Diet Management
	Select topics of Alternative Medicine
	Aroma Therapy
	First Responder
	Emergency Medical Training
Technology Skill Enhancement Courses	Web Design/ App Design
	Multimedia
	Game Design
	Artificial Intelligence & Machine Learning
	Internet of Things
	Big Data Analytics
	Digital Marketing
Art Appreciation Courses	Art of Film Critiquing
	Appreciating Architecture Styles
	Modern Music Appreciation
	Introduction to Archaeology
	Introduction Museum Curation
	Design Thinking
Social Work Courses	Social Work/ Outreach Activities
	Participation in NSS
	Participation in NGO work
	Geriatric Care

2. The above table is only suggestive and can be amended as per the resources available at Alliance University. Some of the above courses can be offered through MOOCs, some can be offered as non-credited value-added courses, and some can be offered as campus wide open electives.
3. Value added courses should be of 30-hour duration, be outside the curriculum and should develop transferable skills to help the students in their employment. Some of the examples are given in the table above.
4. In addition, Dean (Research and Innovation) should prepare a list of courses that promote entrepreneurship and innovation through the proposed 'Centre for Incubation, Innovation and Entrepreneurship'.
5. Formal industry visit tours must be organised for undergraduate students (B. Tech, BBA, and others) for experiential learning and their reports should include the objective of visit and learning gained. These, if not otherwise credited courses, can also be converted into value-added courses.
6. In order to institutionalise the above, the University should develop the following Policy Guidelines:
  - Policy / Regulation on 'Curriculum Enrichment and Value-Added Courses'.

## Academic Flexibility

Academic flexibility refers to the ability given to students to select from a variety of courses spread across various baskets of courses. Curricular design should facilitate a variety of academic delivery options in accordance with the New Education Policy 2020 and can incorporate multiple entry and exit options through the form of CBCS, which allows for horizontal mobility within a school as well as inter-disciplinary options across multiple schools.

Other forms of flexibility, such as time, content, access requirement, instructional design, and place of delivery would be ideal. Supplementary enrichment courses should be made available as open electives and implemented as a university-wide initiative. The implementation of a choice-based credit system is a key indicator in this criterion.

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**ASSESSMENT**


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1. The spread of Choice Based Credit System (CBCS) is very limited and does not even conform to first level of curriculum flexibility.
2. Availability of Open Electives and Discipline Electives are also rather limited.
3. Subject to feasibility, the choice of electives under CBCS should be widened to provide more flexibility to students to develop desired competencies/ promote inter-disciplinary learning.
4. Processes and tools to enable CBCS have not been put into place such as online tools to select courses and invoicing based on the number of courses selected rather than a fixed instance of courses per semester.

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**PRESCRIPTION**


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1. The entire curriculum needs to be reworked in this regard. Also, a proper **Policy/Regulation for Choice Based Credit System** needs to be developed.
2. As recommended in point 7 (iii) above in the section "Curricular Development," Alliance University should develop the generally accepted 4/5 basket collection of CBCS courses.
3. Further, the Office of Dean (Academics) should prepare programme-wise the following structure to move towards full blown choice-based credit system.

The table below is a repetition of courses given under Prescription on Curricular Development:

S.No.	Course Basket	Definitions
1	<b>School Core (SC)</b> (Humanities, Social Science & Management Courses/ Basic Science Courses/ Engineering Sciences Courses, etc.)	Generally, the school core consists of very foundational courses that are required for all programmes operated by the school. It also covers NTCC (Non-Teaching Credit Courses) such as seminars, project work, dissertation, projects, etc.
2	<b>Programme Core (PC)</b> (Humanities, Social Science & Management Courses/ Basic Science Courses/ Engineering Sciences Courses, etc.)	Generally, the programme core consists of those courses which defines the core essence of the specific programme.

S.No.	Course Basket	Definitions
3	<b>Discipline Specific Electives (DSE)</b> (Choice based discipline Electives of the programmes on offer)	The DSE consists of a set of courses to build a broad specialisation within a specific programme.
4	<b>Super-Specialization / Concentration Elective Courses (SEC)</b> (Within a programme to build specialization in a major or minor field)	The SEC consists of a set of courses to build a super-specialisation within a specific programme.
5	<b>Open Elective Courses (OEC)</b> (Such as Ability Enhancement Courses, Skill Enhancement Courses, and Life-skill Courses)	The OEC should necessarily cover the courses from other schools to create a wholistic learning opportunity from diverse disciplines leading to ability/skill enhancement in areas of interest beyond the student's normal programme.

### Curricular Feedback Mechanism

Curriculum revision and redesign are driven by recent developments in the programme's domain as well as feedback from stakeholders. Feedback from key stakeholders on the relevance and appropriateness of a programme in meeting the needs of society, the economy, and the environment is an important input for the purpose of revising a programme or courses within a programme.

At the university, a feedback system should be in place, with an active process of not only collecting feedback from key stakeholders, but also of analysing it and developing an action agenda to improve the quality of curriculum through revision or redesign to improve the intended outcomes of the programme.

### ASSESSMENT

1. Only online student feedback on faculty is taken at mid-semester and semester-end. The questionnaire used for student feedback has redundant questions and does not offer the appropriate multiple choices to respondents.

2. Feedback on curricular aspects from the mandated stakeholders (students, faculty, employers, and alumni) is not taken.
3. Student satisfaction survey is not carried out once a year and the gap analysis is not done.
4. A definite mechanism to analyse and action taken on such feedback was not visible.
5. In absence of proper implementation of outcome-based education, the progressive improvement in attainment of programme outcomes cannot be determined.

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#### PRESCRIPTION

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1. NAAC requires that feedback on curricular design be taken from faculty, students, alumni, and employers. This process needs to be institutionalised.
2. Such feedback should be taken on structured formats designed for the specific purpose and amenable to statistical analysis. The questionnaire used should offer appropriate multiple-choice answer for each question. For example, "Are you aware of the programme outcomes of your programme?" is a "yes or no" question. It should be rewritten on a 5-point Likert scale.
3. Office of Dean (Academics) should, therefore, immediately introduce the system of obtaining structured feedback from key stakeholders on a regular basis.
4. Feedback should also be taken from employers on curriculum when they visit the University for placement purposes.
5. A mechanism should also be developed to analyse the feedback so received and manner of action to be taken on it. Feedback so received should be analysed by the CRCs and tabled before the BoS and the Academic Council after devising the remedial action which may lead to curriculum revision for approval and incorporation in the curricula.
6. Record of such feedback, its analysis and incorporation while revising curricula, together with minutes of BoS and AC meetings should be properly maintained, for reference and to be made available whenever required.
7. Office of Dean (Academics) should, therefore, immediately introduce the outcome-based learning system and monitor the attainment of programme outcomes of each graduating batch with the previous batch and look for improvement. If no improvement is found, then remedial measures need to be taken for redefining the curriculum.

## Overall Recommendations

1. Establish the Office of Dean (Academics) and recruit the key positions immediately.
2. The office of the Dean (Academics) should immediately develop comprehensive Regulations/Policies for Curriculum Design, Development and Review, CBCS Policy, NTCC Policy, OBL Policy, and Policy on Value-Added Courses.
3. Get existing curricula aligned with OBL methodology.
4. Link all programs/courses developed and revised over the last 4 years with corresponding minutes of DAC, BOS and Academic Council.
5. The office of the Dean (Academics) should prepare a list of 'Value Added Courses' and 'Enrichment Courses' to be introduced. A suggestive list is provided in our prescriptive section, and this could include life-skill courses, soft skills enhancement courses, and foreign language courses, among other options.
6. The office of the Dean (Research & Innovation) should prepare a list of courses that promote entrepreneurship and innovation and evaluate the need for incorporation of these courses into the curriculum.

# Criterion 2: Teaching, Learning and Evaluation



## Teaching, Learning and Evaluation

Teaching and learning pertain to the efforts of a University to serve students of different backgrounds and abilities, through effective teaching-learning processes. Interactive instructional techniques that engage students in higher order thinking and investigation, through the use of multi-modal pedagogy consisting of group discussions, debates, projects, presentations, experiments, practicum, internship, and application of ICT resources, are important considerations. This also challenges the adequacy, competence as well as continuous professional development of the faculty who deliver various courses.

An effective teaching-learning process is essential for academic success. Alliance University (AU) is attempting to develop a teaching-learning model to cater to the development of the knowledge, skills, and attitudes of students. The purpose of the teaching-learning process at the university is to be student-focused. Thus, the University endeavours to promote student-centric learning. An effort is also being made for students to take ownership of their learning and reflect on the learning process. Various Faculty of the University are trying to shift from merely lecture-based teaching to a paradigm of project-based experiential learning.

Continuous evaluation of learning is a practice that is followed at AU. Efforts are made to measure cognitive as well as applied learning. Project work, quizzes, problem-solving exercises, classroom assessment methods, end-semester examination, etc. constitute the different components of the overall evaluation. This criterion looks into various aspects of teaching, learning, and evaluation processes.

### Student Enrolment and Profile

The enrolment process should be a transparent, well-administered mechanism, complying with all the norms of the concerned regulatory/governing agencies, including State and Central Governments. Apart from compliance with the various regulations, the University should put forth efforts in ensuring equity and wide access catering to diverse student communities from different geographical areas and socio-economic, cultural, and educational backgrounds. These parameters get reflected in the profile of the student body.

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## ASSESSMENT

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Over a period of years, the number of applications received for various programs has drastically reduced. For School of Business, the present demand ratio is about 1:10, for School of Engineering and Design, the demand ratio is 1:5. Most of the applications received are for Computer Science Engineering and there is no demand for core Engineering programs. For College of Law the demand ratio was 1:4.

The number of students admitted in the programs vary from 95% to 100% against the sanctioned number of seats for MBA Program and B.Tech. Computer Science Engineering Programs. In the case of core Engineering programs, the student intake is only about 15-25% of the sanctioned intake. In the case of Law Programs, the student intake was about 50-60%. It was noted that, as per the Act, 40% of the seats are reserved for the students who are domicile of the State. Admission of these students are managed through the CET Examination of the Karnataka Government. Since the Alliance University was established in 2010 and considering the reputation of Alliance University, the number of seats filled through the Government quota was almost 100%.

The Alliance team visits the coaching centres and also participates in School Contact Programs and College Contact Programs. They also participate in education fairs, both in India and abroad, and leverage the portal partners such as Careers 360, Pagalguy.com, Collegedunia.com., Shiksha.com., Collegesearch.com, Studyguideindia.com, etc. However, the international student population at the campus was found to be very low in regular programs except in Global Leaders Alliance – A Fellowship Program.

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## PRESCRIPTION

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In order to improve the demand ratio, following is being suggested:

1. The enrolment strategy should be clearly spelled out and approved by the Board of Management.
2. The brand development of the University should be utilized towards attracting more applications. As the placement track record of the University, both for School of Management and Engineering (Computer Science Engineering) is good, it should be highlighted on the website of the University by publishing the placement reports to attract prospective students.

3. Alliance could consider having admission or enrolment offices in some major cities representing all regions of India.
4. Alliance should sponsor educational events to improve its reach activities. Additionally, Alliance should actively participate in Higher Education Summits organized by ASSOCHAM, FICCI, AIU, CIE, etc. to showcase their programs and their major highlights.
5. An international students' office be established to have a well-thought-out strategy for recruiting students from neighbouring countries and an effective mechanism should be put together to take care of cross-cultural needs of such students.
6. In order to attract more international students, it is suggested that in addition to participating in the educational fairs, Alliance should enter into an MoU with Embassies and submit a proposal for admitting government sponsored candidates by offering them attractive scholarships and fee discounts.
7. To begin with, Alliance should focus on South East Asia and Asian countries. Alliance could do a tie up with agent network and other professionals who are engaged in international outreach activities to attract international students.
8. Presently, Alliance has their own Call-Centre, however, it is strongly recommended that this activity should be outsourced, and the focus should be on social media activities to promote the University.
9. The faculty members of the University should be encouraged to write blogs and articles on LinkedIn to improve the visibility of Alliance University.
10. Since there is a low footfall in core Engineering Programs, the program portfolio should be differentiated and more aligned to current industry needs so that there is greater attraction among the students.
11. Since AU has not been able to fill all seats in the Law Programs against the sanction approved intake by the Bar Council of India, it is suggested that more specialization should be offered in the law programs giving opportunities to students to specialize in contemporary areas.
12. Choice Based Credit System (CBCS) and Outcome Based Education (OBE) should be introduced to make the programs being offered by AU more attractive for students.
13. Product knowledge workshops of the various programs being offered by each College should be conducted for the enrolment department. This should be a formal, well-thought process.

The responsibility of conducting the product knowledge workshops should be with the Dean of the respective Colleges.

14. Faculty members should be actively engaged along with the admissions department to conduct webinars on contemporary topics and other activities to engage with prospective students

### Catering to Student Diversity

The University is expected to satisfy the needs of the students from diverse backgrounds including the backward community as well as from different geographies. University should reflect any special efforts made to bring in students from different categories and fulfil their special learning needs. Across time, the University should present how it tackled various variations in the learning needs of its diverse student body.

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#### ASSESSMENT

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1. As per the Alliance University Act, there is no reservation of seats for special categories except for domicile students of Karnataka State (40%). The admission of the domicile students is through the Common Entrance Test of the Karnataka State and most of the seats across all programs are filled up through this process. As per the statistics available on an average over a period of the last five academic years, about 40% of the student population is from reserved categories.
2. It is suggested that, even though the Act does not prescribe any reservation of seats for the underprivileged class of society, Alliance should develop a policy for offering Scholarships and Free ships for students of this category. Efforts should also be made to improve the gender diversity specifically in the School of Engineering and Design. It is suggested that, in order to attract girl students, a special category of scholarship can be announced.
3. Social Media impact can be leveraged to attract students from the other States. The website should be dynamic in nature highlighting the academic flexibility, green campus infrastructure details, student life at campus, placement records to attract students from other regions of India.
4. There seems to be no documented Policy for identifying advance learners and slow learners. It was informed by the Deans that some make up classes are conducted by the faculty for students with late registration or for those who have not been able to clear their courses in program in the first attempt.
5. For advanced learners, it was informed that the students are involved in projects along with faculty members.

6. It is suggested that a well thought of process, both for slow and advanced learners, be put in place through a documented policy which is approved by the Academic Council and the Board of Management.

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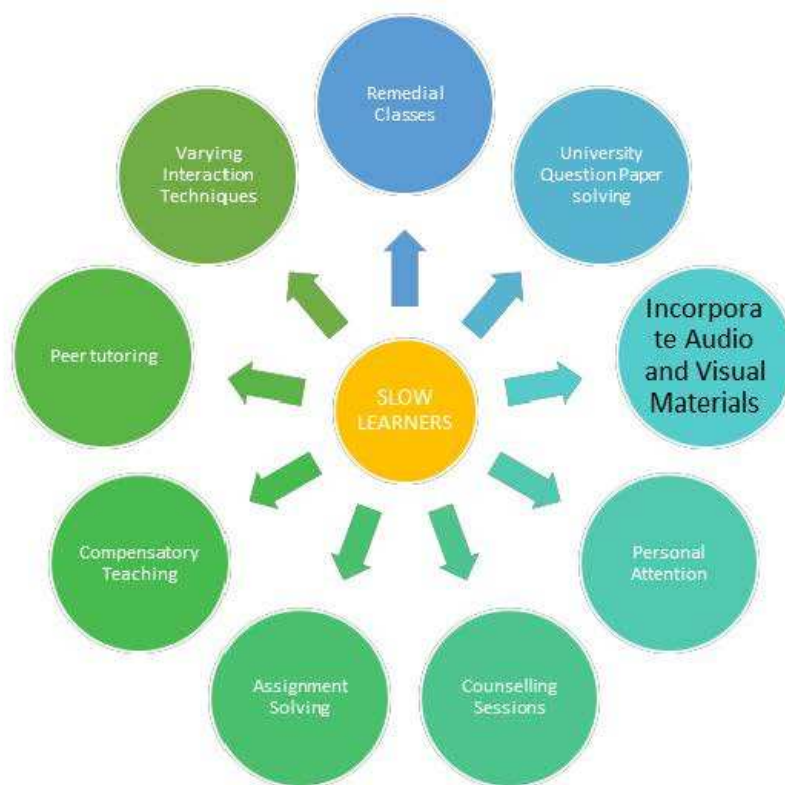
#### PRESCRIPTION

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1. It is suggested that, in addition to the already well-structured learners value program being offered by the University to keep the students engaged, post their initial acceptance of the offer of admission and orientation program, should be conducted for about one week to identify the slow learners and advanced learners.
2. The slow learners and advanced learners can also be identified by the faculty during the course of the delivery of the program and post the semester results.
3. **Special Programs for Slow Learners**

If the performance score of the student is below 40% in Internal Assessment, then the student is considered a slow learner. Faculty mentors continuously take care and monitor the performance of slow learners and do periodic interactions with parents about the performance of slow learners. They also interact frequently to understand and assist students with issues that affect their ability to learn. Further, they communicate with the parents and also inform them about the report after the completion of each assessment test.

For encouraging and motivating slow learners, special attention is paid to them and a systematic procedure as shown in the flow chart (**Figure-1**) and explained in detail below is followed:



**Figure 1 Activities for Slow Learners**

- i. Remedial Classes: conducted for both theory and practical sessions.
- ii. Compensatory Teaching: Provisions in the weekly timetable by adding an extra one hour to conduct problem-solving sessions/revision sessions/extra sessions.
- iii. Developing self-learning materials
- iv. Assignments and Solving University Question Papers: Provide solutions of questions papers from the last 2 years
- v. Counselling Sessions: Assist students in their weak areas of performance and suggest improvements
- vi. Frequently varying instruction techniques in the classroom
- vii. Providing peer tutoring by high ability classmates
- viii. Encouraging them to articulate orally in the class and providing them opportunities for classroom participation.
- ix. Personal attention: Providing special attention to non-academic parameters such as Communication skills, Public Speaking, deciding on Carrier Goals, and Managing

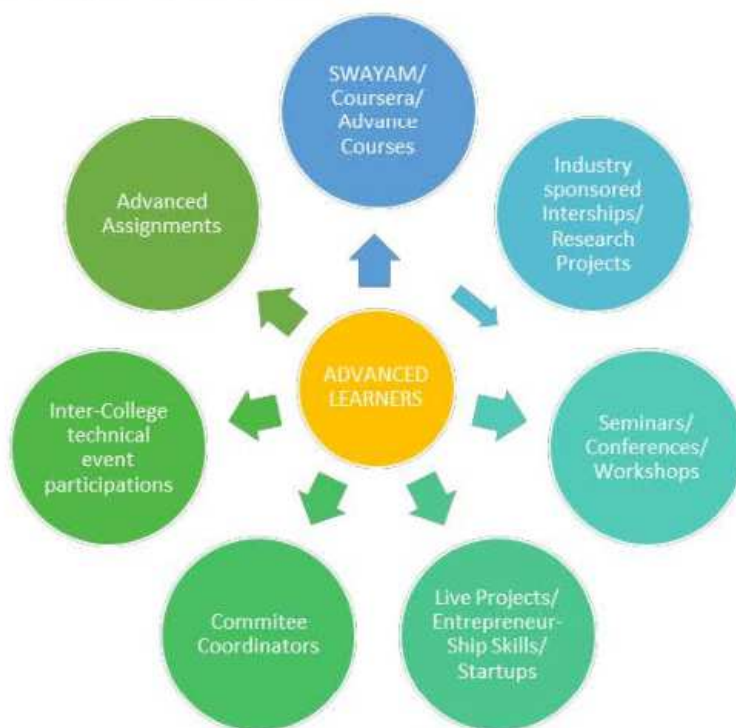
Academics & Personality, encouraging them to spend more time on reading in libraries outside the class hours.

- x. Such students are given regular class tests in order to improve their performance in the University exam. Furthermore, faculty members revise the tough topics as per the student's requirement and provide University question banks and discuss the way of presenting the answers in the exam to score marks.

All this is achieved by incorporating audio and visual materials in addition to their regular course. Special hints and techniques are provided to them. At the end of the mentoring, success stories of the mentoring process by the faculty mentors are documented.

#### 4. **Special Programs for Advanced Learners**

If the performance score of the student in Internal Assessment is above 70%, then the student is considered an advanced learner. Such students are encouraged to participate in advanced learning-related activities as shown in **Figure 2**.



*Figure 2 Activities for Advanced Learners*

For encouraging and motivating advanced learners some of the special activities, not restricted to, listed herewith are as follows:

- i. Advance learning assignments or tasks are assigned to advanced learners
- ii. Encouragement to complete NPTEL/SWAYAM/COURSERA courses
- iii. Encouragement to Participate in Seminars/Conferences/Technical Events/ Live Projects / Domain specific Entrepreneurial Skills / Start-Ups etc.
- iv. Providing a platform to become part of Industry-sponsored Internship/Research Work.
- v. Advanced learners are selected to be the committee coordinators of different technical/professional departmental and University level committees.
- vi. Encourage to participate in national-level contests and events.
- vii. Encourage to become a member of professional bodies and organize technical/professional events, and research-oriented micro projects from 2nd year onwards.

All activities are completed the faculty mentor will submit the report to the head of the department and thereafter to IQAC to show the improvement of the slow learner as well as the achievements of the advanced learners.

5. 'Students Handbook' needs to be comprehensively revamped to provide students with important information about university life and academic process and rigor. There could also be a provision of declaration/oath by students to adhere to University's defined policies and follow the honour code.
6. Sensitization programs should be held to develop awareness and sensitivity among students towards female students and differently abled students for amity and better social cohesion.
7. For soft skills, Personality Enhancement Workshops should be held to improve their communication skills and leadership qualities, especially for those students who lack these personality factors. L&D Department may be asked to look into the development of such specific programs.
8. Counselling/Mentoring activity should be intensified to resolve social, personal, or emotional problems of the students. Professional psychologists should be employed for the mental well-being of the students.
9. To find learning diversity among the incoming students, the following measures could be put in place:

- a. Conduct an Aptitude test for newly enrolled students in English (spoken and written) and Quantitative abilities just after admission to judge their proficiency levels.
- b. On joining the University, students of all programs (UG and PG) should go through an assessment program to identify the slow learners and advanced learners.
- c. Organize bridge courses to narrow down the deficiencies.

10. Students can also be organized into different sections based on their abilities and a suitably tailored level of instruction can be provided within the section.

### Teachers Profile and Quality

In essence, the faculty-student ratio is simply the total number of faculty in an institution divided by the total number of students enrolled. Most regulators in India prescribe ratios of 1:20 and, in some disciplines even higher. The Lower faculty-student ratio makes for smaller classes that are widely believed to benefit all because of individual attention from faculty members, and slow-learner students are seen to benefit more. Students in large classes tend to get distracted because of too many instructions from the teacher to the whole class instead of individual attention, and slow-learner students are most affected. Therefore, it is imperative for the high quality of instruction to have lower faculty-student ratios and thus excel in academic standards. This is an important parameter across academic regulators and accreditors.

#### ASSESSMENT

##### Faculty Student Ratio:

Sl. No.	Name of School/College	Total No. of Students	Total No. of Faculty	Faculty Student Ratio
1	School of Business	2,126	55	1:38
2	School of Law	947	30	1:31
3	School of Liberal Arts		12	

4	College of Engineering and Design	2,167	56	1:38
<b>Supporting Departments:</b>				
5	Department of Language & Literature		14	
6	Department Economics		5	
7	Department of Science		11	
8	School of Applied Mathematics		9	
<b>Total</b>			<b>192</b>	

### Faculty Cadre Ratio

Sl. No.	Name of College/School	Professor	Associate Professor	Assistant Professor	Total No. of Faculty	Faculty Cadre Ratio
1	School of Business	21	11	22	54	2:1:2
2	School of Law	5	5	19	29	1:1:4
3	School of Liberal Arts	1	0	9	12	1:0:9

4	College of Engineering and Design	10	18	38	56	1:2:4
<b>Supporting Departments:</b>					0	
5	Department of Language & Literature	2	1	13	16	
6	Department of Economics	3	1	3	7	
7	School of Applied Mathematics	3	5	4	12	
8	Department of Science	4	2	9	15	
<b>Total</b>		<b>49</b>	<b>43</b>	<b>117</b>	<b>201</b>	

**Ph.D. Ratio**

Sl. No.	Name of College/School	Total No. of Faculty	PHD Holders	PHD from Intn'l Institutes	Ph. D from Premium Institutes (IITs, IIMs, IISC & NIIT)	Ph.D. from Other Institutes
1	School of Business	54	50	3	18	29
2	School of Law	29	15	1	0	14
3	School of Liberal Arts	12	5	2	2	1
4	College of Engineering and Design	66	53	6	21	26
	<b>Supporting Departments:</b>		0	0	0	0
5	Department of Language & Literature	16	13	4	4	5
6	Department of Economics	7	6	3	1	2
7	School of Applied Mathematics	12	10	3	2	5
8	Department of Science	15	15	4	6	5
	<b>Total</b>	<b>211</b>	<b>167</b>			

### Average Experience

Sl. No.	Name of Schools/College	Teaching Experience Prior to joining Alliance University	Average Industry Experience	Average experience at Alliance University
1	School of Business	10	5	4.9
2	School of Law	9.8	1	2.9
3	School of Liberal Arts	4	2	2.7
4	College of Engineering and Design	9	1	2.7
<b>Supporting Departments:</b>				
5	Department of Language & Literature	9	2.9	2.1
6	Department Economics	7	3	1.5
7	School of Applied Mathematics	11	4	3.8
8	Department of Science	9	2	1.7

### Faculty Gender Ratio – Year 2021-22

Sl. No.	Name of College/School	Total No. of Faculty	Male	Female	Percentage of Male	Percentage of Female
1	School of Business	55	36	19	65%	35%
2	School of Law	30	18	12	60%	40%
3	School of Liberal Arts	12	7	5	58%	42%
4	College of Engineering and Design	56	37	19	66%	34%
<b>Supporting Departments:</b>						
5	Department of Language & Literature	14	10	4	71%	29%
6	Department of Economics	5	3	2	60%	40%
7	School of Applied Mathematics	9	6	3	66%	34%
8	Department of Science	11	8	3	72%	28%
<b>Total</b>		<b>192</b>	<b>125</b>	<b>67</b>	<b>65%</b>	<b>35%</b>

- i. The overall faculty-student ratio is ranging between 1:30 to 1: 38 based on the active students' strength during Academic Session 2021-22.
- ii. Out of the total of 192 faculty members in the year 2021-2022, 167 are Ph.D. holders. About 79% of the faculty are Ph.D.
- iii. The faculty cadre ratio as defined by the statutory authority is not being maintained.
- iv. The average teaching experience at Alliance University varies from 1.5 to 4.9 years.

- v. The faculty gender ratio is being maintained at 65% and 35% (male/female) respectively.
- vi. The average faculty workload at AU in School of Business is about 20 hours but in College of Engineering & Design and School of Law, the load at the Professor level is 10 hours and at Associate Professor and Assistant Professor level is 12-14 hours, which is by and large as per the provisions of the UGC norm of 16 hours/week for Asst. Professors and 14 hours for Associate Professors and 12 for Professors. The average workload of faculty is by and large same as has been mandated by UGC.
- vii. There was no data provided for full-time faculty members who have received awards from State, National or International levels from Government and Government recognized bodies.
- viii. In our interaction with the faculty members, most of the faculty members were unaware of the OBL format of teaching and learning and accordingly the CO-PO computation of their respective courses were not available.

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#### PRESCRIPTION

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1. It was noted that the faculty student ratio at the Premium Colleges i.e., School of Business, College of Engineering and Design is 1:38 and whereas in School of Law it is 1:31 which is much higher than the statutory norms. It was informed that the other Departments, i.e., Department of Language, Economics, Science and Applied Mathematics support the above Colleges/Schools. Some of the faculty members of the School of Business also provide support to the City College.
2. In order to maintain effective teaching/learning environment, it is strongly recommended that the faculty student ratio should be maintained at 1: 20
3. An exercise needs to be conducted six months prior to the commencement of the academic session for manpower planning.
4. The manpower planning should be based on the assessment of the approved student intake in the ratio of 1:20.
5. The sanctioned manpower planning approval should be done by the HR Department in consultation with the Deans of the Schools and the approval needs to be taken by the Board of Management.
6. The present faculty cadre ratio is not being maintained at the level stipulated by the statutory authorities i.e., 1:2:6

7. It is strongly recommended that the selection of the faculty members at the Professor and Associate Professor level should be done through a selection Committee in which outside experts should also be co-opted.
8. For the selection of the Assistant Professors, a demo lecture must be made mandatory.
9. The present average percentage of the Ph.D. holders is 79% which is commendable and should be maintained.
10. For the faculty members pursuing Ph.D. program some laxity should be given in the teaching load and incentives should be given to faculty members who complete their Ph.D. within three years.
11. As per the revised norms of the UGC, with effect from academic year 2023, minimum qualification required at the Assistant Professor level will also be Ph.D. Hence, efforts should be made to recruit faculty with Ph.D. qualification.
12. In case the HR Department is not able to recruit quality faculty members against the sanctioned positions, efforts should be made to hire Adjunct Faculty who will be engaged with AU for the entire academic year with teaching load of both the semesters so that the number of Adjunct Faculty members can be added to the list of faculty members at AU as per statutory norms.
13. In College of Engineering and Design and in School of Law, the average teaching load is as per the prescribed criteria of statutory authorities. There is an urgent need to improve this at the School of Business. Presently, since the School of Business faculty is also teaching at the City Campus, it is suggested that the School of Business and the City Campus should be made independent with faculty recruitment at City Campus.
14. Once the teaching load is improved, efforts should be made to ensure that the research output of the faculty is also improved.
15. The Alliance University was established in the year 2010, the average teaching experience at the Alliance University is at 2.8 years. Efforts should be made to retain faculty through long service award policy and other policies leading to congenial work environment, academic freedom and flexibility.

16. School/College Wise Faculty-Student Ratio & Status of Faculty Standard Requirement / Actual / Recommended

SL.NO.	DETAILS	SCHOOL OF BUSINESS	SCHOOL OF LAW	COLLEGE OF ENGINEERING & DESIGN
<b>1.</b>	<b>STANDARD REQUIREMENTS</b>			
A	Faculty-Student Ratio	1:20	1:20	1:20
B	Cadre Ratio	1:2:6	1:2:6	1:2:6
<b>2</b>	<b>ACTUAL</b>			
A	Faculty-Student Ratio	1:38	1:31	1:38
<b>3</b>	<b>ACTUAL NUMBER OF FACULTY</b>			
A	Professor	21	5	10
B	Associate Professor	11	5	18
C	Assistant Professor	22	19	38
	TOTAL	54	29	66
<b>4</b>	<b>RECOMMENDED FACULTY REQUIRTEMENTS AS PER CADRE RATIO</b>			
A	Professor	12	6	12
B	Associate Professor	24	12	24
C	Assistant Professor	70	29	72
	<b>Total</b>	<b>106</b>	<b>47</b>	<b>108</b>

17. In order to maintain the faculty student ratio of 1:20 for effective teaching and learning and to maintain the faculty-cadre ratio, the recruitment plan should be as mentioned above. During the recruitment drive, the HR Department should consider the teaching load taken by other Departments namely, Department of Language and Literature, Department of Economics, Department of Applied Mathematics and Department of Science and arrive at the actual number of faculty and at which level need to be recruited.
18. Faculty members need to be encouraged to present papers in conferences and workshops where they can win awards at State, National and International levels.
19. Faculty should also be encouraged for best faculty award, best teaching methodology award, award for contribution to society, best researcher awards, fellowship awards, etc. The Deans and the HR Department should facilitate this process and create an incentive scheme in terms of promotions, special increments, etc. to encourage faculty to participate and win such awards.
20. Workshops on OBL should be regularly conducted to ensure every faculty member is imbibes the concept of OBL and is able to compute the CO-PO attainments for their respective courses.

## Teaching-Learning Process

### ASSESSMENT

1. Teaching and learning pertain to the efforts of a University to serve students of different backgrounds and abilities, through effective teaching-learning processes. Interactive instructional techniques that engage students in higher-order thinking and investigation, through the use of multi-modal pedagogy consisting of group discussions, debates, projects, presentations, experiments, practicum, internship, and application of ICT resources, are important considerations. This also challenges the adequacy, competence as well as continuous professional development of the faculty who deliver various courses.
2. An effective teaching-learning process is essential for academic success. Alliance University (AU) is attempting to develop a teaching-learning model to cater to the development of the knowledge, skills, and attitudes of students. The purpose of the teaching-learning process at the university is to be student-focused. Thus, the University endeavours to promote student-centric learning. An effort is also being made for students to take ownership of their learning and reflect on the learning process. Various Faculty of the University are trying to shift from merely lecture-based teaching to a paradigm of project-based experiential learning. In all the three Schools student centric methods such as experiential learning, participative learning

and problem-solving methodologies are used for enhancing their learning experiences to some extent.

3. Continuous evaluation of learning is a practice that is followed at AU. Efforts are made to measure cognitive as well as applied learning. Project work, quizzes, problem-solving exercises, classroom assessment methods, end-semester examination, etc. constitute the different components of the overall evaluation.

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#### PRESCRIPTION

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1. Most of the faculty at the AU are using student centric methods for enhancing their learning experience.
2. Efforts should be made for extensive use of ICT tools and Game based learning techniques.
3. Slow Learners and Advanced Learners should be differentiated and students coming from diverse backgrounds should also be differentiated and specific teaching methodologies could be adopted for such category of students.
4. Teaching learning can also be enhanced through the usage of flipped classroom model.
5. Cooperative learning environment should be created including self-learning techniques.
6. Faculty should continuously seek feedback from students and on their methodologies to improve the learning environment.
7. Faculty should have a dialogue with other peers to reflect and improve their teaching skills.
8. HR Department should organize faculty development programs on instruction methodology, specifically when hybrid blended online teaching methodology is the norm of the day.
9. More emphasis should be on project based learning and experiential learning.
10. Subject matter experts and industry experts to be invited for delivering contemporary topics.
11. Technology has brought a wide range of learning opportunities to the education sector. Faculty should be encouraged to implement different learning styles for the students through ICT Tools such as visual learning, oral physical and social learning.
12. Faculty should provide abundant information to the students in the form of videos, images, graphics, documentaries, animations, graphs, infographics etc. for enhancing the teaching learning experience.
13. Students should be encouraged to refer to e-books, journals, articles, and blogs for enhancing the teaching learning experience.
14. ICT Tools should also be used in every class for assessing students with automated questions, quizzes etc. and provide immediate feedback on the performance of the student. This feedback will provide information to the faculty on the effectiveness of their teaching methodology.

## Students Mentoring

Mentorship is considered to be a very important component of Higher Education. Mentorship promotes excellence in education by explanation and transformation of the mentee through teaching, learning, research, and scholarly activities. The objective of the Mentorship program is to support the professional advancement of the mentees in the key performance areas of teaching, research, and support services. Mentorship also helps to address psycho-social issues of the mentee. It also helps to improve the academic environment by improving relationship between faculty and the students thereby making the teaching-learning environment more effective.

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### ASSESSMENT

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1. It was informed by all the Deans that all the students are mentored for academics and other related issues. In Schools of Business, a good practice is being followed where the students are being mentored by the faculty as well as by the corporate leaders. This is a mandatory requirement, and each student has to undergo eight sessions of corporate mentorship.
2. Mentor-Mentee system was also mentioned by the Dean of the College of Engineering and Design.
3. There was no defined policy of the mentorship program. However, some mentorship discussion recording formats were shown.
4. This initiative is running well in the case of the corporate mentorship program offered to MBA students.

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### PRESCRIPTION

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1. Policy on Counselling and Mentoring of Students should be framed, approved and adopted by all students.
2. In order to make the mentor-mentee system more effective, the faculty should be appointed as a mentor for a group of not more than 20 students. The mentor role will be to continuously monitor, counsel, guide and motivate the students in all academic matters. Additionally, the mentor will also be responsible for the emotional wellbeing of the student and also advise them on their career development and professional guidance.

3. It is expected that the mentor will maintain a detailed progressive record of the students and will maintain contact with the parents or guardians if the situation demands, e.g., academic irregularities, negative behavioural changes, interpersonal relations and other detrimental activities. It will be the responsibility of the Dean (Student Affairs) to monitor the mentor-mentee program which will help the students to overcome difficulties that they may face with due to academic and other challenges during their registration with AU.
4. The practice of having corporate mentors in addition to faculty members, that is a practice in the School of Business, should be adopted both in College of Engineering and Design and School of Law. This will ensure quality performance of students not only in academics but will also lead to holistic development of the students and they will be ready to face the corporate world.

### Evaluation Process and Reforms

The evaluation process and reforms pertain to the evaluation of teaching, learning, and evaluative processes and reforms which leads to an increase in the efficiency and effectiveness of the system. An important aspect of evaluation is to provide development-inducing feedback. The qualitative dimension of evaluation is useful for enhancing the competence of students. The innovative evaluation process needs to gauge the knowledge and skills acquired at various stages of the programmes. In an outcome-based model, these are embodied as POs, PSOs, and COs. The quality of the assessment process in a university depends on how well the examination system actually looks into the attainment level of POs and COs, quality of questions, the extent of transparency in the system, the extent of development-inducing feedback system, regularity in the conduct of examinations and declaration of results as well as the regulatory mechanisms for prompt action on possible errors.

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#### ASSESSMENT

1. AU follows the continuous evaluation in the semester system. 5% marks are earmarked for attendance, 45% for continuous internal assessment and 50% marks are for end-semester examinations.
2. AU follows a grading system of 4-point scale at the UG level and a 4.3 point scale for PG and Doctoral Programs.
3. The SGPA and CGPA are calculated at the end of each semester.
4. AU is presently declaring the results spanning between 32 days to 42 days.
5. Partial automated systems have been adopted by the Examination and Evaluation Department.

6. Following Committees are existing:

- i. Board of Examination
- ii. Examination Grievance Committee
- iii. Equivalence Committee; and
- iv. Results Committee

7. Following is the pass percentage of students who graduated in the year 2021-22:

Program Name	Number of students appeared in the final year examination	Number of students passed in final year examination	Pass Percentage
MBA (AAC)	24	21	87.5%
MBA Spring 2020-22	34	25	73.5%
MBA Fall 2020-22	136	74	54.4%
BBA July 2019-22	164	124	75.6%
B. Com (Hons.) AAC	18	14	77.8%
EPGDM	326	290	89%
B.Tech.	135	114	83.8%
B.A. LL. B. (Hons.)	35	25	71.4%
B.B.A. LL. B. (Hons.)	57	48	84.2%
Master of Law	36	25	69.4%
Ph.D. (Law)	5	5	100%
Ph.D. (Mgmt.)	5	5	100%

8. AU has an ERP which is presently utilized for assessing eligibility, generating hall ticket, coding and decoding, result analysis and results declaration and transcripts printing. An integrated ERP system for the implementation of the examination management system was found to be lacking.

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#### PRESCRIPTION

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Evaluation plays an enormous role in the teaching learning process. It helps informing the values of judgement, educational status, and the achievement of the student outcomes. It serves as an inbuilt monitor within the program to review the progress in learning from time to time. It provides valuable feedback on the design and the implementation of the program. Since evaluation plays a significant role in any educational program, following is being recommended:

1. Implementation of a robust automated examination system to manage all the activities of the evaluation from registration of students in the program, course, mapping of faculty to the course etc.
2. Registration of the students for examination, generating hall tickets, assessments, result processing, moderation both for question paper and results, declaration of results, issuance of transcripts, etc.
3. The IT integrated system should also cater to receiving question papers from faculty, moderation of question papers.
4. This system should also provide for a tool for assessment of not only the choice based and objective questions, but also the assessment of subjective questions, case analysis, project evaluation etc.
5. In order to make the evaluation system more transparent, policy should be developed to show the answer scripts of the end-semester examinations, in addition to the continuous assessment to the students for which a window should be announced to the students by the faculty.
6. As stipulated by the UGC, a 10-Point grading system should be adopted and replaced with the existing system of 4.0 for UG and 4.3 for PG.
7. In place of grading based on absolute marks, relative grading should be adopted for all courses where the number of students registered for a course are more than 30.
8. As per good practice, results should be declared within a span of 15 days from the last date of examination and the integrated IT system should support this process.
9. In addition to the already existing system of generating two sets of question papers for a particular course, faculty members should also be requested to submit their model answers along with the question paper.

10. While preparing the question papers, the Bloom Taxonomy Index should be followed.
11. For students who are not performing well in their examinations, policy should be developed to mentor them and provide them with additional support so that their performance can improve consistently.

## Student Performance and Learning Outcomes

### ASSESSMENT

1. AU is attempting to implement OBE System. However, the present system does not measure the learning outcomes. The learning outcomes, both generic and program specific and the graduate attributes are presently not integrated into the assessment process. Due to this the attainment of program outcomes, program specific outcomes and course outcomes are not being evaluated presently by AU.

### PRESCRIPTION

It is suggested that the Learning Outcome based education and assessment policy is developed to cater to defining exit outcomes of the graduates.

1. These outcomes should be based on what every student is expected to gain at the end of the completion of each course.
2. It will reflect the level of the knowledge gained by the students, skills required, and attributes developed upon successful completion of the course.
3. It will lead to developing an assessment management plan which will help identify the type of assessment for each course and timelines.
4. Further the question papers should be so developed that the questions are matched to the Bloom Taxonomy and assessment rubrics which should give a clear picture of the right assessment mix for a particular course.
5. This assessment rubrics will be a tool to interpret and grade students.
6. The assessment rubrics will prove the means to increase objectivity in assessment and reduce subjectivity, presenting a clear expectation on the assessment and relating it to the learning outcomes and ensuring consistency, transparency, and fairness in the marking process.
7. It is strongly recommended that the culture of CBCS and Outcome Based Education (OBE) is imbibed by all the Schools/Colleges.
8. Faculty workshops should be conducted by experts to handhold the faculty members to understand the process of OBE.

9. Once the process has been implemented, the attainment of program outcomes, program specific outcomes, and course outcomes can be evaluated by AU through various assessment tools which will lead to choosing the right assessment type for a particular course leading to a better teaching and learning environment and thereby improving the quality of education being imparted to the students.
10. The attainment computations and records need to be properly documented as evidence for various accreditation and ranking efforts.
11. This is in line with the NEP 2020.

### Student Satisfaction Survey

AAA team interacted with students representing all the Schools/Colleges, City Campus, both at UG and PG levels including representation from the Ph.D. Programs.

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#### POSITIVES:

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1. Amazing Faculty
2. Good in-house facilities and location
3. Clean hostels
4. Good Ph.D. Guidance – option to choose Ph.D. Supervisor.
5. Good internet and Wi-Fi connectivity. All library resources accessible online.

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#### NEGATIVES

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1. Not well defined and devised Research facilities. No proper CNC programming update affecting practical.
2. Limited access to library (until 11.00 PM). Residential students cannot access at night.
3. No social life: However, this is debatable.
4. Schedules are too tight at times; not enough breaks; no gaps between exams.
5. Orthodox and Conservative – PDA very harsh rules; Not well-defined Code of Ethics; Lack of sensibility.
6. Ascent College: Do not get to participate in events.
7. Examinations and Evaluations: Most strict; 50% pass marks; 70/280 MBA students debarred for various reasons. Scoring marks depend on who evaluate answer sheets. Answer sheets not shown to students. Results announced 30-45 days after semester starts. In between

semesters, students come to know of any backlogs.

8. Students not having any knowledge of CO-PO; Workshops need to be conducted.
9. Exam pattern: Policy change applied retrospectively without knowledge of students. No referendum conducted.
10. Hostels: Problems not addressed properly. No feedback system. Issues closed without being resolved.
11. Food: Quality of food not up to the mark; No student representative in food management.
12. Teaching: 1 ½ hour classes too exhaustive; No inputs from students on any decisions; No grievance redressal mechanism
13. Extra Curriculum: Restricted to campus boundaries; No/very few outdoor events.

### Overall Recommendations

1. Goal setting to achieve the application-to-admission ratio of at least 1:15 from the current 1:5 in the next cycle. There should be strong accent to improve the quality of students.
2. Enlarge the student catchment area to other major cities by establishing Enrolment Offices in all regions of India.
3. Need to work on the brand image of the University. AU should actively participate in Higher Education summits organized by ASSOCHAM, FICCI, AIU, CIE etc., to improve their brand image.
4. Develop a clear strategy to improve the brand image through social media.
5. There is an urgent need to relook at the program portfolio being offered to revise it to offer more industry-edge courses with contemporary specialisations.
6. Develop a clear strategy for recruiting students from neighbouring countries and a mechanism to take care of the cross-cultural needs of such students. Networking with embassies will bear fruits.
7. Introduce a differentiated program portfolio more aligned with current industry needs.
8. Establish an international students' admission office to take care of the cross-cultural needs of foreign students.
9. A special orientation for foreign students to familiarize them with the university and country.

10. Revisit the 'Students Handbook' with important information about University life and academic process and rigor. There could also be a provision of declaration/oath by students to adhere to the University's defined policies and follow the honour code.
11. Sensitization programs to develop awareness and sensitivity towards female students and differently able students for amity and better social cohesion.
12. Initiate several workshops on Personality Enhancement including communication skills and leadership qualities
13. Aptitude test for new students in English & Quantitative abilities. Organize bridge courses to narrow down the deficiencies.
14. Policy / Regulations need to be evolved to address diversity issues and their resolution:
15. Policy/Guideline on "Interventions for slow and advanced learners"
16. The examination Policy needs to be revised as per the guidelines of UGC by adopting a 10-Point grading system.
17. The examination department needs to be automated for all the processes right from student registration to the declaration of results.
18. To bring in more transparency, the answer sheets should be shown to the students.
19. Relative grading should be introduced in all courses where student enrolment is more than 30.
20. The OBE concept in the evaluation process should be adopted.
21. The student-Faculty ratio needs to be improved to atleast 1:20.
22. Manpower Planning needs to be done based on the faculty cadre ratio with the recruitment of faculty at the Associate Professor and Professor levels.
23. Faculty Development Program Policy needs to be adopted.
24. The mentor-mentee system should be adopted across all Schools. If possible, the College of Engineering and Design and School of Law should also adopt the mentoring process by corporate as has been presently practised at the School of Business. Policy guidelines for mentor-mentee relationships need to be developed.
25. Incentive schemes to be introduced for faculty who receive awards at State, National, and International levels.

# Criterion 3: Research, Innovations and Extension



## Research, Innovations and Extension

Universities have long been a traditional source of research and are a vital link in the chain of research and education. Ideally, the generation of new knowledge should be accompanied by the dissemination of research-generated ideas and their application to the betterment of society. The University must encourage faculty to conduct interdisciplinary research, as well as research in collaboration within the university and with other prestigious institutions.

The Research, Innovations, and Extension criterion examines the existence and depth of the institution's research policies, practices, and outcomes. Furthermore, it reviews the innovation process, which includes, among other things, the existence of an innovation centre and university's focus on innovation led start-ups.

This criterion also looks into adequacy of research facilities provided and efforts made by the University to promote research culture. The university should create an enabling environment for faculty to conduct research projects. Serving the community through extension services is a social responsibility and core value that the university must demonstrate, and it is an important component of this accreditation criterion.

### Promotion of Research and Facilities

The promotion of research is a significant responsibility of universities without which a 'research culture' on campus cannot be established. The university has to be actively engaged in this through evolution of appropriate policies and practices, making adequate resources available, encouraging active involvement of teachers and scholars in research. A proper research ecosystem implies responsiveness and administrative supportiveness of the university in provision of seed funding support and other resources mobilised from external funding agencies. Further, it also implies creation of adequate research infrastructure in terms of space and equipment. The university should collaborate with other agencies, institutions, and research bodies for sharing research facilities and undertaking collaborative research.

### Research Policies

#### ASSESSMENT

1. Section 26 of the Alliance University Act, 2010 provides for 'The Research Council' ("RC") to coordinate and exercise general supervision over the innovation and research policies of the University.

2. In order to promote research endeavours, the Alliance University Act provides for a Research Council ("RC") which has been constituted and a few meetings have been held. The meetings of these meetings were rather perfunctory in nature. So far, the RC has only carried out discussions on the draft of "Alliance University Research Policy" and "Alliance University Doctoral Degree Programme." Both of these documents have not been approved and notified.
3. The Regulations for PhD Programs have been drafted.
4. There is no separate 'Research Promotion Policy.' However, some elements of this are incorporated into general research policy.
5. University has an incentive scheme to publish research papers (although not notified) and some faculty members have got some lumpsum incentives as part of their annual appraisal. However, in our evaluation, we were not able to find clear regulations around these incentives and faculty members were themselves clueless about how the incentives are calculated/paid.
6. The University has not sanctioned any amount as seed money for starting research projects.
7. The University has also not created any Centre of Excellence to carry out focused research through its own resources.

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#### PRESCRIPTION

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1. The objectives, role, and functioning of RC should be clearly defined and acted upon to make it fully operational.
2. Suggested objectives of RC, as under, should be incorporated and vigorously pursued:
  - i. Establishment and promotion of research culture
  - ii. Monitoring the quality of research of doctoral programmes
  - iii. Development of research infrastructure at the University
  - iv. Support in development of research proposals for external/internal grants and liaising support with the funding bodies
  - v. Monitoring of ongoing research projects
  - vi. Promotion of consulting activities
  - vii. Development of extension programmes
  - viii. Conduct of Patent/IPR Workshops

- ix. Support in Patent filing
  - x. Fellowships and research awards
  - xi. Research collaborations (national/international)
  - xii. Monitoring of research publications in indexed journals and enhancement of h-factor of the University.
3. RC should frame a detailed ‘Research Promotion Policy’ apart from the Overarching Research Policy which should focus on creating an incentive driven research environment, enabling measures to promote research by the:
    - i. Faculty
    - ii. Research Scholars
    - iii. Research Associates
    - iv. Undergraduate Students
  4. The Agenda of RC should focus on substantive issues for deliberation and recording of minutes should be more in-depth.
  5. RC should also devise a suitable ‘Organisational Structure for Research Division’ with provision of Associate Deans of Research for each school, Research Officers, Heads of Centres of Excellence, Grant Writers, and other technical staff to support its activities and record keeping.

### Research output by Faculty

#### ASSESSMENT

1. Currently 50 faculty members are pursuing Ph. D program of the University as part-time scholars:
 

i. Alliance School of Liberal Arts	8
ii. Alliance College of Engineering	12
iii. Alliance School of Business/ Ascent College	6
iv. College of Law	14
2. 59 faculty members have been approved as Research Guides for guiding doctoral research:
 

i. Alliance School of Liberal Arts	
Research guides:	12

	PhD scholars:	8
ii.	Alliance College of Engineering	
	Research guides:	12
	PhD scholars:	27
iii.	Alliance School of Business / Ascent College	
	Research guides:	22
	PhD scholars:	80
iv.	College of Law	
	Research guides:	13
	PhD scholars:	62

3. In all 177 Faculty/Research Scholars have been registered for Ph.D. program and 37 PhD have been granted. Given the fact that University has been in existence since 2010, this is rather a low number of PhD graduates.

4. In all, Faculty publications over last 5 years were:

	AIP	Books	Book chapters	Conference paper	Conference proceedings	Articles
Alliance School of Liberal Arts			5			3
Alliance College of Engineering		80	117			159
Alliance School of Business/Ascent College		18	24		191	129
Alliance School of Law	1	4	36	4	4	92
<b>Total articles</b>						<b>383</b>

5. This figure is very low given that Alliance University has about 192 faculty members (as per data shared). It comes to about 0.40 publications per faculty member per year over the last 5 years. The number of high-quality indexed publications would be a subset of this which will further reduce the quality of research output.

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#### PRESCRIPTION

1. Given that 12 years have gone by since the passing of the Alliance University Act, 2010, and teaching learning processes are by and large stabilized, it is now time to give an impetus to research activities. There are 177 Research Scholars (including full-time, internal part-time, and external part-time) registered for the Ph.D. programme and 37 PhD candidates have already graduated. Therefore, with the creation of Research Centres and reasonable seed funding, the faculty research output should increase manifold.
2. The University should immediately create a proper establishment of the Research Division with its organisational structure under the provisions of RC.
3. This Research Division along with various Schools should facilitate faculty members from constituent departments to bid for research funding from UGC-SAP, CAS, DST-FIST, DBT, ICSSR and other similar funding bodies.
4. Alliance University seriously needs to improve research eco-system and motivate the faculty to engage actively in research for improving their publication record and standards.
5. AU should develop a culture of capacity building of faculty to focus on research.
6. AU should encourage collaborative research across Schools and with other academic institutions.
7. AU should promote MoUs with leading Industries, Research Institutions and Universities, which will help to enhance the consultancy and research activities.
8. AU should draft an Incentive Policy for outstanding research articles, projects, research proposals and patents.

#### Awards & Recognitions

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#### ASSESSMENT

1. It was found that there are hardly any awards, recognitions, fellowships, etc. received by the Alliance faculty during last 4-5 years. There are some awards from commercial agencies which will not count towards the accreditation process.

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#### PRESCRIPTION

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1. Faculty should be encouraged and incentivised to strive for awards/recognitions.
2. There should be an internal policy for Awards and Recognition given to faculty members to acknowledge their outstanding contributions.
3. Brief write-up on research and other recognition accomplishments of faculty should be maintained by the RC and IQAC for record.
4. University could also collaborate with leading professional institutions to create awards for research, which could be open to all institutions but hosted by Alliance University.

#### No. of JRFs, SRFs, Post-Doc Fellowships, Research Associates Enrolled

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#### ASSESSMENT

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1. Externally funded - None so far.
2. However, for promotion of research, the University has taken the following initiatives:
  - i. Recently, the University has started a Fellowship scheme for full-time doctoral students with a fellowship amount of Rs. 35,000 per month. These doctoral students also assist the faculty in teaching activities up to 12 hours per week. However, so far, only a handful of full-time doctoral students have been enrolled.
  - ii. Regular faculty enrolling for PhD programmes also receive partial fee waiver from payment of programme fees.
  - iii. In all 177 Faculty/Research Scholars (including full-time, internal part-time, and external part-time) have enrolled for PhD programme.

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#### PRESCRIPTION

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1. The Research Division should actively make efforts to attract externally funded fellowships for furtherance of University's research initiatives. This could be done if the University gets larger size of grants which incorporates the provision of hiring JRF/SRF under the grant funding.
2. Develop a 'Research Promotion Policy' to institutionalize research initiatives.
3. With the Masters' programme in the Alliance College of Engineering and Design, AU can think of providing Research Assistantship to some of the brighter Masters' students.

4. The University should also think of starting post-doctoral fellowship initiatives to hire outstanding Ph. D graduates to participate in research activities of the University.
5. The AU can endeavour to recruit research faculty who will be assigned teaching load of not more than one course in the semester. They will devote most of their time on conducting high end research.
6. Apply for 12B status under UGC act to get government funding JRFs, SRFs and post doc fellowship.

### Resource Mobilisation for Research

The University must provide proper support mechanism in terms of financial, academic, and human resources required to give an impetus to research. This means, timely administrative decisions to enable faculty to submit project proposals and approach funding agencies for mobilising resources for research. The faculty are empowered to take up research activities utilising the existing facilities. The university should encourage its academic staff and students to engage in interdisciplinary and interdepartmental research activities and resource sharing.

### Externally Funded Research Projects/Grants

#### ASSESSMENT

1. It was observed that very few research grants have been received from external agencies in the last 5 years which would contribute towards the research criteria for NAAC:
  - i. Alliance College of Engineering  
12 projects for INR approx. 75 lakhs
  - ii. Alliance School of Liberal Arts  
2 projects for INR 65 thousand
2. We were not informed of any proposals that the faculty body has submitted for externally funded research projects to various funding agencies.
3. AU at its own initiative has not funded any research projects with seed money grants.

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## PRESCRIPTION

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1. Research Division is advised to vigorously support in preparation of research proposals by the faculty through proper grant writing mechanism. It should also support in submission of properly vetted proposals to the external research funding agencies. After submission of proposals, proper liaising should also be done with the agencies. Development of a large number of proposals would lead to a better probability of getting sanction of externally funded projects. Such funding will not only enhance University's research endeavours but will demonstrate its research capability and standing among various research agencies.
2. Under guidance of Dean (Research), University should also scout for grants for research projects from the non-government sources such as industry, corporate houses, international bodies, endowments, chair professors, etc. for the institution.
3. The quality of research, relevance of the findings, timely completion of the projects and checking cost overruns determine research credibility of an institution. Hence, Research Division is advised to closely monitor each and every research project from this perspective.

## Availability of Research Facilities

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### ASSESSMENT

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1. During the process of our audit, we were informed that the University has established the following Labs/Centres for promotion of research:

i.	Alliance School of Law	8
ii.	Alliance College of Engineering	5
iii.	Alliance School of Liberal Arts	Nil
iv.	Alliance School of Business/ Ascent	5

These centres are largely in Schools of Business and Law, which are more like think-tanks in nature and not really organised as proper research centres with research goals, focused conduct of research and manned by adequate numbers of professors and full-time Ph. D scholars in the domain of the research centres.

The centres for research promotion in ACED are not equipped with any sophisticated equipment and/or cutting-edge hardware software to carry out any meaningful research.

2. Furthermore, we were informed that the number of teaching labs and advanced labs with high-end equipment are as follows:

i.	Alliance School of Liberal Arts	NA
ii.	Alliance College of Engineering	29
iii.	Alliance School of Business / Ascent College	4
iv.	Alliance School of Law	NA

While carrying out a detailed round of lab facilities of ACED, we found that they are primarily teaching labs and there is hardly any equipment of advanced type on which any meaningful research can be carried out.

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#### PRESCRIPTION

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- Existing research infrastructure needs to be augmented substantially by creating the following facilities:
  - Augmentation of some of the teaching labs by adding high-end equipment to enable them to serve as Research Lab as well. A calibrated approach needs to be taken in line with research competencies of faculty of ACED. An investment of up to Rs. 2 crores should immediately be earmarked for such augmentation.
  - Creation of the Sophisticated Instrumentation Centre. The current instrumentation centre is only in name sophisticated but does not have any substantial research related equipment. Again, in line with research vectors to be pursued an investment of about Rs. 3 crores would be required.
- The recently created Research Centres for promoting inter-disciplinary advanced research and innovations in key areas is a step in the right direction. However, these Centres need to be better equipped and developed to serve the requirements of advanced research.
- Specialised research labs should also be built by winning grants through funding mechanisms of UGC-SAP, CAS, DST-FIST, DBT, ICSSR, etc.
- The Research Division should get itself certified as approved Research Centre from Department of Science and Technology, so that it can use this certification for duty free import of research equipment.

## Innovation Ecosystem

The university should create an ecosystem for innovation including incubation centre and other initiatives for creation and transfer of knowledge. The University should also conduct workshop/seminars on Intellectual Property Rights (IPR) and Industry-Academia Innovative practices. Awards for innovation won by university/teachers/research scholars/students, start-ups incubated on-campus must be showcased by the University. The University should also participate in ARIIA rankings to establish a name in innovation and technology development.

### Innovations introduced by the university

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#### ASSESSMENT

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1. It was observed that the innovation and related creative component is yet to get into full swing at the University and must be hastened to enable a creative and innovation culture across the university.
2. The creation of “Centre for Innovation, Incubation and Entrepreneurship” is still in the thinking stage and not yet incorporated as per the rules defined by DST.
3. There seems to be hardly any Seminar/Workshops conducted by the University on Intellectual Property Rights (IPR) and on innovation processes.
4. The University has not registered itself with the MoE Innovation Cell (MIC) within the folds of the Ministry of Education, which is now a mandatory requirement.
5. The University has also not, therefore, created Institutional Innovation Council (IIC) and not conducted any activities under this banner, either by itself or though suggested by MIC.
6. There are no evidence of any awards won by teachers or students in area of Innovation and Creativity.
7. In the absence of any incubation centre, there have been no start-ups incubated at Alliance University.

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#### PRESCRIPTION

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1. The University should immediately incorporate the Centre for Innovation, Incubation and Entrepreneurship as per rules of DST/MSME for future funding support to boost innovations, incubations, and start-ups in areas of:
  - i. Power Sector  
(Focus areas: Material research to enhance conductivity in electrical cables; Innovative coating for turbine blades, electric vehicles, battery development, creation of energy storage devices, etc.)

- ii. Automobile/Aerospace Sector  
Focus areas: Lightweight materials; Additive manufacturing; Welding; Automotive electronics; Biofuels; Battery materials; Innovative glasses, Tribology, etc.)
  - iii. Internet Economy  
(Focus areas: E-Commerce, Analytics, Machine Learning, etc.)
2. The Centre for Innovation, Incubation and Entrepreneurship should also concentrate on:
  - i. Entrepreneurship and Innovative activities to promote incubation, innovation, creativity, design thinking and prototype fabrication.
  - ii. Incubation activities to incubate start-ups.
  - iii. Maker Space – to promote innovation among students by way of making innovative models/exhibits, etc. for competitions.
3. There should be proper space for Centre for Innovation, Incubation and Entrepreneurship with dedicated cabins, cubicles for start-up and proper “makerspace” for developing prototype.
4. The innovation and entrepreneurial activities should also be coupled with the Research Centres being created.
5. The Institutional Innovation Council should be immediately established and registered with the MIC under the aegis of Ministry of Education.
6. The IIC should lay an emphasis on creating innovation activities which may include, inter alia, conducting workshops and seminars on Design Thinking, Creativity, and IPR.
7. The Centre should collaborate with the upcoming School of Liberal Arts and the School of Law in conduct of some of the above.
8. Participate in ARIIA Ranking

## Research Publications and Award

For any faculty member to be effective in research output, research exploration and dissemination of results are essential. Quality research outputs are beneficial to the field of study and their application to society, industry, region, and nation.

Sharing knowledge, particularly theoretical and practical research findings, through various research journals improves the quality of teaching and learning. In a university, research acumen is an evolving feature that reflects several research outputs with clear records such as doctoral, post-doctoral, projects, inventions and discoveries, number of patents obtained, and number of research publications.

### No. of patents published / awarded

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#### ASSESSMENT

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1. As of now, 70 patents have been filed/published by AU in last five years:
  - i. Alliance College of Engineering/ Dept of Science/ School of Applied Mathematics 57
  - ii. Alliance School of Business/ Ascent College/ Dept of Economics 13

However, none of the patents have so far been granted.
2. No policy exists to guide, encourage, and incentivise patent filing.

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#### PRESCRIPTION

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1. There should be a proper policy which encourages and incentivises faculty for writing patent applications and filing of the same.
2. Conduct several comprehensive workshops to groom the faculty in patent writings, along with seminars on IPR protection.
3. A mini patent office within the Research Division to scrutinize and further refine the patent applications as well as ensure proper record and part-ownership on patent by Alliance University should be instituted.

## Consultancy

Consultancy activities in a university framework imply consultation and guidance provided by its faculty members to an external agency, with the faculty's expertise and specific knowledge base serving as the primary input.

The consultancy fee generated by consulting assignments is used fairly by the institution and the faculty members. Consultancy output demonstrates the university's knowledge acumen to the outside world. For this, the university must have a formalised policy on consulting with clear revenue sharing guidelines between the faculty member and the institution.

### Consultancies Projects Rendered

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#### ASSESSMENT

1. A total 15 consulting projects have been delivered by faculty members at AU in last five years:
  - i. Alliance College of Engineering: 1 project for INR 1 lakh
  - ii. Alliance School of Business/Ascent: 14 projects for INR 12 lakhs
2. 'Policy on Consulting' with industry and other corporate bodies does not exist.

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#### PRESCRIPTION

1. The University should develop a comprehensive '**Policy on Consulting**' document to guide consultancy assignments including the sharing of surplus amount generated through this activity.
2. Since consultancies are applied research work, the faculty should be encouraged and suitably incentivised to take up this work.
3. The University should tie up with neighbouring MSME clusters as well as with various industry associations, which can open up avenues for Consulting.
4. A proper framework to generate consulting assignments by Research Division should be created. This should be manned by appropriate faculty members or specialised business development managers.
5. Given the faculty base of 192 members, AU should have a run-rate of Rs. 50 lakhs in consulting revenues per year.

## Corporate Trainings Conducted

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### ASSESSMENT

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1. What we understood was that a few faculty members have conducted some sporadic training programmes with a few companies but of low value.
2. We could not observe any evidence of any organised corporate training been conducted by the University/Alliance Business School.

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### PRESCRIPTION

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1. Creation of Management Development Program Division (MDPD) is recommended which should take on the task after assessing the capability of faculty members of AU to conduct training and actively market the training programs. Also, given the Career Advancement and Networking Department (CAN) office has good linkages with corporate world, they could assist this proposed centre in conduct of such MDPs. Good business schools run up to multiple crores of revenues in corporate trainings.
2. The University should tie up with neighbouring MSME clusters as well as with various industry associations to explore avenues of corporate trainings of technical nature that can be led by faculty members of ACED.
3. Going forward, the proposed MDPD should have a physical building within the campus with about 20 rooms for participants to stay and 4 fairly large conference rooms and other conference and allied facilities.

## Extension Activities

Universities usually conduct extension activities to connect with the society and community where they are located at. These include developing sensitivities towards community issues, gender disparities, social inequity etc. The processes and strategies inherent in such activities are meant to sensitize students to the social issues and contexts.

Extension work is also an aspect of education which emphasizes community services. These are often integrated with curricula as extended opportunities, intended to help, serve, reflect, and learn. The curriculum-extension interface activities have an educational value.

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### ASSESSMENT

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1. University conducts many types of outreach activities but the organisation of such activities in a properly planned schedule and classification of activities is not done.
2. As per stated guidelines of NAAC, every student must undergo one public service-oriented outreach activity every year. Our rough estimate is that only 40-50% students are covered.
3. University has also established an NSS wing to promote social work in the community by the students. This is in its initial stage and will pick up momentum in next few years. Currently, about 420 students are enrolled in the NSS wing.
4. There is no 'Centre for Extension or Outreach Services' to manage this activity, neither any formal policy exists.
5. Since these activities are in nascent stage, no awards and recognition have been received for extension activities from Government /recognized bodies till date.

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### PRESCRIPTION

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1. It is recommended that on a priority basis, the 'Centre for Extension or Outreach Services' should be established to provide a focus to such activities. This would lead to manifold engagement within the student body and faculty to engage in extension activities in not only socially relevant areas, but also in terms of supporting farmer and rural community in technology and other advice to enhance their productivity.
2. University must invest in and promote NSS activities to increase the level of social work and community service by the students.
3. University should collaborate with local communities and local Panchayats to develop programs which will benefit the surrounding areas of the University.
4. The University can adopt a village for extension activities with emphasis on school education, literacy for women, vocational training for women, etc.
5. A Policy / Regulation on "Extension and Outreach Services" needs to be created.
6. Steps should be taken to actively seek awards and recognition for extension activities from government / recognised bodies.
7. Steps should also be taken to enlarge the coverage to cover 100% of students.

## Collaboration

The University can stay more in touch with its peers for a variety of activities by working with other universities. In general, inter-institutional memorandums of understanding encompass things like joint research, academic exchanges, and student exchanges. As a result, the university's teachers, students, and research facilities are exposed to a wider audience. Additionally, cooperation may be sought with businesses or other relevant organisations on the professional and social fronts. A written agreement or understanding between the University and other institution is required for such operations in order to increase the impact of collaborative endeavours.

Collaborations for research/ faculty exchange/ student exchange, etc.

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### ASSESSMENT

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1. The University has signed 64 collaborative MOUs with institutions in 16 countries. However, most of these cater to semester exchange program, study abroad program, twinning program, and dual degree program. These collaborations are skewed more towards the Business School than other schools.
2. There have been a no instances of joint collaborative research being part of these collaborate MOUs.
3. There are several student exchange programs with partner universities which is a good initiative. The student mobility vector is going well. However, inbound students from partner institutions need to be increased.
4. Due to recent regulations, the dual-degree and twinning programmes have been restricted by UGC to only NAAC "A" accredited or NIRF top 100 rank institutions. Alliance University needs to be careful in propagating these arrangements.
5. There are very few formalised linkages (through MoUs) with industries. However, collaborative agreements with research institutions such as CSIR, DRDO labs, and other premier institutions for project work, joint-research, and sharing office facilities do not exist.

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### PRESCRIPTION

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1. The University must enhance existing collaborative agreements with international universities of repute across several geographies to include joint research and faculty exchange.
2. The University must also enter into agreements with national research institutions including CSIR, DRDO, and those established by various industry for sharing of research facilities and joint research.

3. Collaborative agreements should also be entered with selected group of industries for internships, on-the-job-training, project work, field trip and preferred recruitment of the students.

### Memberships of Professional Bodies

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#### ASSESSMENT

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1. Currently, the University has established a chapter of IEEE and CSI
2. University has obtained memberships of the following bodies:
  - Confederation of Indian Industry (CII)
  - Information & Communication Technology (ICT) Academy
  - National HRD Network (NHRD)
  - National Institute of Personnel Management (NIPM)
  - Association of Indian Universities (AIU)
  - The Association to Advance Collegiate Schools of Business (AACSB)
  - The Association of Commonwealth University (ACU)
  - The Associated Chambers of Commerce & Industry of India (ASSOCHAM)

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#### PRESCRIPTION

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1. AU should make vigorous efforts to establish Chapters of other professional bodies on campus such as SPE, SAE, ACM, ASME, IEEE, Institution of Engineers, ISTE, SAE, AIMA, Local Chapters of AIMA, ISTD, etc. and encourage active student participation.
2. While the University has memberships of several professional bodies, it should now aim to improve active participation with these bodies.
3. A few professional bodies that AU could also endeavour to get memberships of such as EPSI, CIMA, CIM, PMI, SHRM, etc.

#### Overall Recommendation

1. The objectives, role and functioning of Research Council (RC) should be clearly defined and acted upon to ensure its role as the statutory body which drives research and innovation on the campus.
2. The RC should create a formal structure for the Research Division, Centre for Innovation, Incubation, and Entrepreneurship with an organisation chart, and staffing of members to promote research and innovation culture at the University.
3. Strengthen the Office of Dean (Research and Innovation) and recruit the key positions immediately.

4. The office of the Dean (Research and Innovation) should immediately develop comprehensive Regulations/Policies for the overarching research and innovation ecosystem, the development of a centre for innovation and incubation, and the Centre for Extension and Outreach.
5. The subsidiary policies on research promotion, doctoral programme administration, consulting, and management/executive development programmes should also be created on priority.
6. The Agenda of RC should focus on substantive issues for deliberation and the recording of minutes should be more in-depth. This agenda of RC should be vigorously pursued and implemented to drive research and innovation agenda on campus.
7. Faculty should be encouraged and incentivised to strive for awards and recognition.
8. A brief write-up on faculty accomplishments in research and innovation should be documented by Research Division and maintained by IQAC for the record.
9. Research Division should make greater efforts to attract externally funded fellowships for the furtherance of university research initiatives.
10. The University should drive the creation of research infrastructure and ecosystem by providing seed fund grants of substantial nature. We feel such budget allocations should range between five to eight crores over the next 2 years.
11. All out efforts to get sanction for a greater number of externally funded projects are required to not only enhance University's research endeavours but also to demonstrate its research capability and standing among various research agencies.
12. The quality of research, the relevance of the findings, the timely completion of the projects and checking cost overruns determine the research credibility of an institution. Hence, RC through Research Division should be advised to closely monitor every research project from this perspective.
13. At least 15 cutting-edge research-focused Centres of Excellence should be established by AU in the next two years to promote both research and innovation.
14. To boost innovations, AU should establish:
  - Institutional Innovation Council under the umbrella of MIC of the Ministry of Education.

- Entrepreneurship and Innovation Centre – to promote incubation, innovation, creativity, design thinking and fabrication through:
  - § Establish Incubation Centre – for incubating start-ups
  - § Maker Space - to promote innovation among students by way of making innovative models/exhibits, etc. for competitions.
- 15. The above initiatives will help to develop:
  - Creativity – Incubating ideas
  - Design thinking (creativity/ entrepreneurship/ Innovation)
  - Fabrication Lab (Prototyping)
- 16. A structured process for supporting the filing of patents by faculty and researchers of the University establishment of many mini patent offices at the university to assist in proper document creation and filing of patents.
- 17. A structured approach to generate consultancy should be thought through with appropriate staffing to develop such business from corporate and industry with which Alliance University is associated.
- 18. Creation of a Management Development Centre to facilitate the conduct of corporate training and executive development programmes needs to be done on priority.
- 19. A Centre of Extension Services shall be developed to channelise the outreach and extension services cohesively.
- 20. The University should enter into collaborative activities with industry and institutions of repute for joint research, project assignments, and sharing of research facilities. The international MOUs should be enlarged to include joint research and faculty exchange components.
- 21. At least 10 student chapters of professional bodies shall be created on campus across several schools to give a fillip to professional activities on campus. University should also take institutional memberships of at least half a dozen leading professional bodies.

# Criterion 4: Infrastructure and Learning Resources



## Infrastructure & Learning Resources

### Physical Facilities for Teaching Learning

It is imperative for the university to have adequate facilities available on campus to maintain the quality of academic programmes and other student-related amenities. These facilities should also be optimally maintained so that stakeholders like students, teachers, and staff benefit from such facilities. Expansion of facilities to meet future demand also needs to be planned well. The key indicators under this section are Physical Facilities, Library as a Learning Resource, IT Infrastructure, and Maintenance of Campus Infrastructure.

#### Physical Facilities

Good infrastructure facilities are important for the effective and efficient conduct of academic programmes. The other supportive facilities on the campus are developed to contribute to the effective ambience for curricular, extra-curricular, and administrative activities. These facilities once built should be well maintained through budgetary provisions for maintenance and replenishment of physical facilities to ensure their availability continually.

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#### ASSESSMENT

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1. The institution has a 75-acre Campus and has presently about 6,500 students. The institution has adequate number of classrooms, laboratories, and computing equipment.
2. The classrooms are equipped with audio visual aids and there are adequate number of seminar rooms. There is also availability of auditoriums and department libraries.
3. The University has in-house food mess, food court and open cafeterias catering to multiple cuisines spread across the campus.
4. The University also have boarding facilities within and outside the campus for students and faculty.
5. The University also have adequate facilities for cultural activities, yoga, indoor and outdoor games, and recreational activities. There is a student activity centre with in-house gymnasium, dance floor, music room, mini-theatre, yoga, and indoor games facilities.
6. Additionally, they have adequate open space for basketball, football, cricket, and other outdoor games.
7. Open spaces for informal discussions, both for employees and students have been aesthetically designed to promote learning environment.
8. The overall ambience of the campus was found to be satisfactory as there are ample open spaces.

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**PRESCRIPTION**


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1. The movie hall can be more aesthetically designed and better equipped with state-of-the-art screening and audio-visual facilities.
2. The existing infrastructure can be more optimally utilized and can accommodate over 10,000 students and 1,000 staff members.
3. Likewise, the laboratories, library and research areas can be equipped with more modular furniture and state of the art equipment to address new age programs and cater to a larger population of students.
4. With better planning of infrastructure, short-term courses/EDPs can be introduced in the existing infrastructure.

## Library as a Learning Resource

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**ASSESSMENT**


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1. AU's average annual expenditure for purchase of books/e-books and subscriptions to journals/e-journals during the last five years is as below (INR in lakhs):

YEAR	2018	2019	2020	2021	2022
INR (in Lakhs)	52.34	94.50	130.26	101.14	99.34

2. AU has been incurring an annual expenditure of approximately Rs. 1 crore on purchase of books/e-books and subscriptions to journals/e-journals.
3. AU Central Library is in operation since 2008 within an independent building having 55,000 sq. ft. carpet area spread over four floors.
4. It has capacity to accommodate more than 1,000 users.
5. The AU Library is partially automated.
6. Software and applications in use KOHA integrated Library Management software, D-Space, Drupal, Bartender and JAWS (for visually impaired users).

## Library Resources (As On 30.11.2022)

<b>Total No. of Volumes (Books)</b>	<b>79556</b>
<b>Total No. of Titles (Books)</b>	<b>36633</b>
<b>Periodicals (Print) (Magazines/Journals)</b>	<b>213</b>
<b>Online databases</b>	<b>26</b>
<b>Institutional Membership</b>	<b>7</b>
<b>Case Studies</b>	<b>300</b>
<b>CD/DVD's</b>	<b>2093</b>
<b>Thesis</b>	<b>37</b>
<b>Number of Newspapers</b>	<b>22</b>
<b>Online/E- Journals (Through database)</b>	<b>40000+</b>

Subscribed Periodicals for the year 2022					
School / College	Journal		Magazine		Total
	National	International	National	International	
Alliance School of Business	59	11	56	9	135
Alliance College of Engineering & Design	32	1	4	0	37
Alliance School of Law	37	0	4	0	41
			<b>Total</b>		<b>213</b>

7. AU has taken institutional membership of the following libraries and institutes: DELNET, IIM, Bengaluru, CSIR-National Aerospace Laboratory, Case Centre, Central Manufacturing Technology Institute, Computer Society of India, ISTE, etc.
8. It also subscribes to a large number of English and vernacular language newspapers.
9. It also provides remote access services and has membership of Swayam Prabha: an MHRD Project.
10. The Library is also equipped with plagiarism detection software; URKUND and TURNITIN.

11. The Library provides assistance for research and other facilities such as on-line quiz, video screening, database training and database trials, etc.
12. The library is usually open from 8.30 a.m. to 10.00 p.m. from Monday to Saturdays and 9.00 a.m. to 5.00 p.m. on general holidays.

### Subscription to E-Library Resources

AU has subscriptions for E-Resources with: CAPITALINE PLUS, SOUTH ASIA ARCHIVE, GALE, J-STOR, INDIASTAT.COM, EBSCOHOST, J-GATE, SCOPUS, TURNITIN, INDIAN JOURNALS.COM, PROQUEST ONE, WORLD LIBRARY, URKUND, McGraw HILL – ACCESS-ENGINEERING, NPTEL, IEEE XPLORE, PHI LEARNING, ASME, ASCE (AMERICAN SOCIETY OF CIVIL ENGINEERS), ALL INDIA REPORTER, LEXIS NEXIS, SCC ONLINE, TAXMANN – TAX & CORPORATE LAWS OF INDIA, CORPORATE LAW ADVISER, HEIN ONLINE, MANUPATRA, ETC.

### Usage of Library

1. Since the AU Library provides remote access, data is collected to KOHA LMS software both for physical and on-line usage.
2. The physical usage from July 21 to June 22 varied from 481 to 2,052 users per month.
3. The online usage is comparatively more with 21,703 usages in July 2021 and 14,877 usages in June 2022. Highest being 31,324 usages in a month.
4. Cumulatively the usage ranges from 21,703 to 47,268

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### PRESCRIPTION

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1. Library can be furnished with modular furniture to accommodate a larger section of students.
2. Research cubicles should be established for serious reading by faculty and research scholars.
3. Stacking of books in the racks can be remodelled.
4. Library should conduct annual books exhibition which will enable the staff, research scholars, and the students to go through the titles of areas of interest which can then be scrutinized by the Purchase Committee of the Library and can be a good reference.
5. Library should conduct orientation program regularly on library systems and services, e-resources, remote access, etc. for effective utilization.

6. Library reference section should be equipped with books on preparation of competitive examinations like GATE, Civil Services Exams, Judicial Services Exams, Defence Services Exams, TOEFL, GRE, G-MAT, etc.
7. On an average, as best practice, institution should spend about 2-3% of their annual expenditure on augmenting library resources.
8. The library should maintain a section on rare books in Engineering, Law, Science and Humanities.
9. The new age libraries also cater to social space for interaction and knowledge exchange. AU could consider creating social space, if possible.
10. AU could consider seeking membership of libraries of the Institutes of Excellence, which have adequate library facilities for the benefit of faculty and research scholars.
11. AU can enter into an MoU with other institutions for inter-loan book facility.

## IT Infrastructure

### ASSESSMENT

1. AU has good IT facilities and students can access the LMS and the Library beyond the classrooms whether in the hostel or at their residences.
2. A web-based ERP system has been implemented covering all academic and non-academic functions.
3. All the classrooms are equipped with LCD facilities, Wi-Fi, LAN and Touch Panel screens.
4. Seminar Halls are also equipped with all IT facilities.
5. AU has a customised ERP but no change management has been put into place.
6. The institution has an IT policy which is not very robust
7. No automatic attendance recording system is in place for students.
8. AU has computer labs in each academic block.
9. The total internet bandwidth of 2.1 GBPS from multiple internet service providers has been enabled for uninterrupted internet connectivity.
10. Presently the University ERP Portal caters to: Admission Process, Office of the Registrar, Academic Administration, Student Modules for attendance, examination results, and

grievance handling, fees and hostel, faculty module to cater for attendance, time tabling and employee profile activities, fee module, examination module to some extent, HR activities, and limited Library activities.

11. The AU has the Moodle LMS system, but it is limited to Executive and a few other programs at the campus.

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#### PRESCRIPTION

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1. It is strongly recommended that an integrated ERP system be implemented covering student life-cycle management, employee life-cycle management, finance module, contract management, and asset management.
2. Students should be provided a laptop at the time of registration which will be counted towards the assets of the University and will become property of the students on graduation.
3. A robust IT Policy approved by the Board of Management to be developed and adopted.
4. The IT storage and archival Policy which is presently not defined be put into place.
5. A better system for recording student and employee attendance be adopted.
6. Data analytics, which is presently missing, should be implemented for improvement in academic and non-academic activities.
7. As per the NEP Policy emphasis has been given to HBO practices and it is expected that the faculty members will contribute to MOOC through SWAYAM and other platforms. Hence it is recommended that a Media Centre should be established at the Campus with facilities for mixing equipment and software for editing.

## Maintenance of Campus Infrastructure

### ASSESSMENT

1. Average percentage of expenditure excluding salary, for infrastructure augmentation during the last five years (INR in lakhs):

YEAR	2018	2019	2020	2021	2022
INR (in Lakhs)					

(DATA NOT PROVIDED)

2. Average percentage of expenditure incurred on maintenance of physical facilities and academic support facilities excluding salary component during the last five years:

YEAR	2018	2019	2020	2021	2022
INR (in Lakhs)					

(DATA NOT PROVIDED)

3. The upkeep of the campus was found to be satisfactory. However, no policies or SoPs were available for the maintenance and utilization of physical, academic and support facilities.

### PRESCRIPTION

1. Though the following activities have been undertaken by AU, it should be streamlined as a process, hence, it is strongly recommended that SoPs should be developed for the maintenance of the following:
  - i. Painting and maintenance of the buildings
  - ii. Sewage Treatment Plant including changing of Chemicals to derive maximum results.

- iii. Maintenance of Electric Sub-Stations
  - iv. Maintenance of HVAC
  - v. Maintenance and utilization of classrooms including ICT facilities
  - vi. Mechanical Maintenance
  - vii. Following audit reports should be maintained:
    - a. Structure Stability Certificate
    - b. Occupancy Certificate
    - c. Disaster Responses and Fire Services Department Inspection Report
    - d. Sanitary Certificates
    - e. Pollution Certificates
2. Since construction activity is being carried out at AU, the following should be adhered to:
- i. Sustainable site planning
  - ii. Construction management
  - iii. Energy efficiency
  - iv. Use of environment friendly building material
  - v. Socio-economic parameters
  - vi. Performance monitoring including smart metering
  - vii. Micro climatic impact
  - viii. Water footprint
  - ix. Maintaining good IAQ

## Overall Recommendations

1. Automate the Library for checkout and return facilities through embedded RFID stickers.
2. Enhance the digital resources for engineering students and provide online access to 'Science Direct.'
3. Provide online access terminals at multiple places other than in the library.
4. Create Carrells (cubicles) Library with a high-end reference portal and high-speed connectivity for research scholars/faculty.
5. Encourage faculty to create assignments that would need consultation of reference materials in the library and there is the augmentation of research work by teachers.
6. Introduce Summer School and Special Summer research-oriented projects to enhance library usage during the summer months.
7. Increase the number of training programs by the library team for promotion of reading habits and these could be promoted through contests which can be combined with L&D activities.
8. Bring in an automated mechanism to record the number of library users when they access the resources through an online mechanism.
9. Encourage/ incentivize the faculty to develop e-content for various open-access platforms which will lead to their professional development and thought leadership.
10. Make the Library a nodal centre in curating faculty-generated e-content and also look into the quality aspects before such content is uploaded on public platforms.
11. Participate in the annual contest "Cleanest Campus in the Country" conducted by the Ministry of Education.
12. An integrated ERP system to be implemented covering both student and employee life cycle management, finance module, contract management, and asset management.
13. A robust IT Policy needs to be formulated and implemented.
14. Analytics should be carried out on various student centered data.
15. Media Centre should be created for developing e-content.
16. SoPs to be created and implemented for maintenance of infrastructure.

# Criterion 5: Student Support and Progression



## Student Support and Progression

The University must support students in their academic and career progression. An organized system of Student Support and Progression must exist in an institution to provide necessary assistance to students, to enable them to acquire meaningful experiences for learning at the campus and facilitate their holistic development and progression. This criterion also looks into student performance and alumni profiles and the progression of students to higher education and gainful employment.

### Student Support

Student facilitation mechanisms like guidance cell, placement cell, grievance redressal cell, and other welfare measures are essential to support students. Specific pedagogy must be devised to support students with learning difficulties. There should be provisions for bridge courses and other value-added courses in relevant areas for the students. University is expected to have a well-structured, organized guidance and counselling system in place.

#### Office of the Pro-Vice Chancellor (Student Support Services)

The Office of the Pro-Vice Chancellor (Student Support Services) functions as a Nodal Centre to promote cooperation and fellowship among students on the campus. It coordinates activities for the welfare of students. The office also provides students avenues to articulate their creativity and aspirations as well as aims at social harmony and campus peace.

1. AU has an active and well-organized Department of Student Support Services (DoSSS) headed by a Senior Official at the level of Pro-Vice Chancellor. The Department is responsible for Hostel Administration, Student Event Activities, Sports & Wellness, Academic Co-Curricular and Extra Curricular activities.
2. The Code of Conduct for students is well documented including conduct at Campus and Hostels.
3. Grievance handling Committee for handling academic and non-academic issues have also been constituted with escalation measures.
4. It was observed that there is also a presence of Anti-Ragging Committee and Anti-Ragging Squad.
5. Anti-Drugs Committee has also been constituted.
6. The DoSSS Department is also responsible for CSR activities where students are actively involved.

7. NSS Unit was also established in the year 2021.
8. NCC Unit is also proposed for which a proposal has been submitted.
9. Psychological guidance is also available both for students and faculty for which the records have been maintained.
10. Mental health workshops are also being organized.
11. The records of Scholarships are being maintained by the Registrar's Office.

### Scholarships and Freeships

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#### ASSESSMENT

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1. In the year 2021-22 about 1,380 students received Scholarships amounting approximately Rs.6,87,39,781. Fee concession is available for students with Karnataka domicile as per the Act. Scholarships are already being disbursed for meritorious students, alumni planning to pursue PG courses. Siblings of students. AU staff members wanting to pursue Ph.D. programs are also offered fee concessions.

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#### PRESCRIPTION

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1. Presently these scholarships are being provided by AU. The Registrar office maintain the data of the students benefitted by Scholarships and Freeships from Government and non-governmental organizations. Presently, no system is being maintained for this purpose except that bona fide certificate is being issued to them.
2. AU should approach industries and philanthropists to institute scholarships for students on merit and means basis.
3. Further scholarships can be instituted by AU for Girls students which would also help in improving the gender diversity ratio.
4. Scholarships can also be instituted for Sports Persons, Wards of Martyrs etc.
5. AU should develop a well-defined Policy on Scholarships duly approved by the Board of Management.
6. It is suggested that about 25% of the students should avail scholarships instituted by the institute and other government and non-government bodies.
7. The Scholarship Committee should also have access to a disaster fund to meet the financial needs of the students who may be requiring funds on an emergent basis such as death of the earning member of the family, natural disasters like floods, earthquakes, cyclones etc., impacting their financial status.

## Career Counselling and Guidance for Competitive Examinations

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### ASSESSMENT

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1. Career Advancement and Networking Department is responsible for career counselling and placement of students.
2. The MBA students go through a mentoring program by industry experts. The industry mentee is assigned a few students under his charge and this program covers the aspects from campus to corporate, for which records are available.
3. It is mandatory for the MBA students to attend at least 8 of these sessions to become eligible for placement activities.
4. The AU has recently tied up with Texas Review for supporting students to appear in competitive examinations.
5. In addition to the corporate mentoring program, for MBA students and Career Advancement and Networking Department (CAN) provide career mentoring services to the College of Engineering and Design and School of Law students. But this program is being managed internally and the mentoring is provided by the faculty and the members of the Career Advancement and Networking Department. This program is informal and not structured.

### PRESCRIPTION

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1. The objective of the career advancement program should be to elevate the capabilities of the student in the high demand market relevant skills.
2. The career advancement program should focus on the growth and development of the students through a structured continuous learning process.
3. In addition to the Personality Enhancement Program, which is being organized by the DoSSS Department, the Career Counselling Program can be conducted jointly by the internal faculty and the members of the corporate houses from the second year onwards for College of Engineering & Design and School of Law to make the students industry ready by the time of graduation. The program should be structured around industry focused updates, contemporary topics, corporate etiquettes, academic and co-curricular and extracurricular profiling, program on mastering skills for Group Discussions and Personal Interviews etc.
4. Simulation games, case analysis, usage of software like Microsoft Excel, etc. should be in-built in the career counselling programs.

5. At the end of the academic year, the learning outcomes of the program need to be analysed and feedback should be taken from all the stakeholders to understand the impact and improvement required for the next program.
6. The relationship with Texas Review should be analysed regularly and its beneficiaries should be properly documented.
7. In addition to Texas Review, AU should sign a MoU with coaching centers and infrastructure facility should be provided to them so that they can conduct the classes after college hours or on weekends to help students clear their competitive exams for higher studies. The DoSSS should keep a track through an ERP system to maintain the documentation of the same in the form of score cards and the name of the students who have been able to clear the competitive examinations and the institute where they are going to pursue their higher studies.

## Capacity Development and Skill Enhancement Initiatives Undertaken

### ASSESSMENT

1. The Department of Student Support Services (DoSSS) is undertaking the following activities for capacity development and skill enhancement:
  - i. Communication & Soft skills training
  - ii. Practice of Aptitude Tests comprising of Logical and critical reasoning, Problem solving, technical capstone, etc.
  - iii. Guidance for Paper presentations, Project competitions, and Technical writing
  - iv. Facilities are also available for Yoga and Physical fitness in the student activity centre
  - v. The psychologist conducts mental health awareness campaigns
  - vi. All the above activities are being offered under the aegis of Finishing School which are optional and 30 sessions in a semester are conducted for students. E-certificates are awarded to the students on the completion of the spoken English and enhancement of Communication program.

### PRESCRIPTION

1. It is suggested that the Finishing School, to improve communication and presentation skills, should be made mandatory for all students at the UG level.
2. It should be in-built into the curriculum and weekly classes should be conducted right from year 1 to the previous graduating year.

3. Workbooks should be maintained to record the improvement in the communication and presentation skills of the students.
4. Regular workshops should be conducted to manage the life management skills namely:
  - i. Managing Time
  - ii. Managing Money
  - iii. Communicating with others
  - iv. Maintaining their environment (Personal and surrounding)
  - v. Healthcare and selfcare
  - vi. Stress Management
  - vii. Building personal relationships
  - viii. Citizenship awareness (rights and responsibilities of the citizen)
  - ix. Corporate etiquettes including email writing and other forms of professional communication
5. The DoSSS, in collaboration with the Deans of the Schools, should offer programs on latest trends of technology such as Microsoft Excel, AI, IOT, Robotics, Machine Learning, 3D, Business Simulation Games, Project Management, Gaming Software, Usage of LMS, Block Chain, Augmented and Virtual Reality, etc. These can be offered as value added courses across all the streams of specialization being offered by School of Business, College of Engineering and Design, and School of Law. The value-added courses are optional. However, the DoSSS should counsel the students and motivate them to take up these courses for career enhancement for which certification will be issued to them upon successful completion of the course.

## Student Grievances

### ASSESSMENT

1. AU has a constituted the following Committees for dealing with student grievances:
  - i. Disciplinary Committees (Academic & Non-Academic)
  - ii. Anti-Ragging Committee
  - iii. Anti-Ragging Squad
  - iv. Anti-Drugs Committee
  - v. Hostel Committee
2. AU implements the guidelines of the statutory and regulatory bodies.

3. During the induction program, the students are made aware of the different guidelines and are also made aware of the Student's Code of Conduct.
4. In case of any grievance, the report is submitted to the Dean of Student Affairs and escalation matrix has been developed.
5. It was observed that no major incidents of sexual harassment or ragging has been reported in recent times.

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#### PRESCRIPTION

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1. These activities are being handled by Dean (Student Affairs) and annual report of the same should be published.
2. The list of all the committees along with their functions and single contact point should be posted on AU's website.
3. A Student helpdesk/Facilitation centre should be established as a single point of contact for students whom they can approach for any support, guidance, grievance, etc.
4. Monthly meeting should be held with the Class Representatives or Cross section of students to seek feedback from them.

### Student Progression

The University must strive for their students' progress to higher studies or to employment. The process must exist to measure attainment levels and to identify the reasons for poor attainment, and to plan and implement remedial measures. Sustainable good practices which effectively support the students and facilitate optimal progression should be introduced. The institutional provisions should facilitate the vertical movement of students from one level of education to the next higher level or towards gainful employment.

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#### ASSESSMENT

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1. AU is not maintaining any records of the students appearing and qualifying in the State/National/International level examinations who pursue higher studies. (Records of students qualifying in competitive examinations were not available).

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#### PRESCRIPTION

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1. The Career Advancement and Networking Department (CAN), which is also responsible for Alumni relations, should maintain a record of the students pursuing higher studies based on State/National or International examinations.

2. At the time of graduation, the students should be asked to fill up an exit form updating their personal details including employment details either through campus, self-generated, joining family business, or pursuing higher studies.
3. Though all the students will be issued a migration certificate at the time of graduation, the Career Advancement and Networking Department, in association with the Registrar's Office, responsible for maintaining students' records, should request the students to submit their score cards and the admission letter of the institute where they will be pursuing their higher studies.
4. Since the data to be submitted is for the past five years, the Alumni Department should connect with the students through Google form to collect the data. Specifically for students who completed their UG degree from Alliance.

## Placement Record

### ASSESSMENT

1. The Career Advancement and Networking Department (CAN) is responsible for placements, internships, and student mentorship programs.
2. The internship for the MBA students is through the CAN Department and it is ensured that all the internships are paid internships and a progressive data in terms of stipend received by the students was communicated by AU team. The internship period for AU students is 2 ½ to 3 months.
3. The internships for the Engineering students are managed by the Academic Department.
4. During the final semester of the Engineering programs, the students undertake industry-based research projects for which some of them receive a PPO.
5. The Law students undergo at least 7-8 internships. These internships are either self-managed or are being organised with the support of the Academic Department.
6. The CAN Department is responsible for the placement of all the eligible students.
7. The Placement policy is in place defining all the rules and regulations.
8. The placement is managed through an ERP System, Superset. Based on the demonstration of the superset, it was observed that the following features were available on this software:
  - i. Database of companies visiting the Campus for placement
  - ii. Profile of companies
  - iii. Job Descriptions including CTC offered.
  - iv. List of students applying for the process
  - v. List of students shortlisted by the companies

- vi. Update of the placement process and the students selected at each stage, appointment letter, etc.
  - vii. Number of students accepting the offer
9. The records of the previous three years are being maintained by the Superset.
  10. The placement policy is progressive in nature and provides students with ten opportunities to seek employment in dream companies.
  11. The CAN Department also conducts counselling sessions of students who have not been placed despite appearing in interviews.
  12. The appointment letter record is also maintained on the Superset.
  13. As per data received from AU, for Engineering Department, there has been an upward trend of placement of eligible students ranging from 42.2% in 2014-2018 batch to 90.2% for 2018-2022 batch. The highest package for 2018-2022 is Rs.16 lacs and average CTC was Rs.5.29 lacs.
  14. For MBA students the placement has been above 80-90% for the last 5 years with a highest package of Rs.26.40 lacs for 2020-2022 batch. The average is about Rs.7 to 8 lacs.
  15. For School of Law, the placement record is about 50-60 percent of eligible students.
  16. No system existed for taking feedback from industry professionals visiting the campus for placement either on students' skill sets or on curriculum revision to include contemporary issues.
  17. The CAN Department had no policy or review mechanism to seek feedback from corporates/organizations on the students placed both for final placements and for internships.
  18. The CAN Department was also not keeping track of the students pursuing higher studies or who have become entrepreneurs, so these students are kept on the list not seeking placements.

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#### PRESCRIPTIONS

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1. The internships which are presently being supported by the Academic Departments, in College of Engineering and Design and School of Law should be done in association with the CAN Department.
2. The best practice of paid internships for MBA students should, as far as possible, be replicated for Engineering and Law students also.
3. The best practice of corporate mentorship program should as far as possible be introduced for Engineering and Law students in addition to the faculty-student mentorship program.

4. Placement Committee needs to be constituted with members of the CAN Department, representation of teaching faculty, and student representatives from each Faculty.
5. Product knowledge workshops should be regularly organized for the members of the CAN Department by the faculty under the supervision of the Deans of each Faculty.
6. It should be made mandatory for the students to read economic news and specific paper presentations, seminars, and sharing of information should be conducted by the CAN Department for the graduating batch.
7. The CAN Department should ensure that the academic team of the respective Faculty meets the interview panel during their visit to AU to seek their feedback on the students and the curriculum.
8. The CAN Department should seek feedback from the HR Department of Organizations post the recruitment of students (three months).
9. The CAN should also seek feedback from the functional head of the organization where the students have gone for their internships.
10. The Placement policy should be placed before the IQAC and approved by the Board of Management.
11. Whenever there is a change in the policy, the same should be done with inputs from stakeholders, with specific reference to the objective of the change and the outcome that needs to be achieved through this change.
12. The placement reports should be published on the website. Since the placement of the eligible students is good, the same should be highlighted which will encourage meritorious students to join Alliance University.
13. In addition to the average salary, the median salary of the graduating batches should be calculated, which is the data required for NIRF ranking.

## Student Participation and Activities

### ASSESSMENT

The Department of Student Support Services (DoSSS) is very active. It is mandatory for the students to seek membership in one of the clubs. Sports, Cultural and Co-Curricular activities are being organized through various clubs at the campus. The data was also provided for students who have won awards and accolades both in sports and cultural competitions. AU is also planning to organize a Youth Festival under an MoU with the Association of Indian Universities (AIU). The effort of the Alliance University on student engagement activities is commendable.

## Co-Curricular Activities/Clubs

AEROBICS	BADMINTON	YOGA	LEADERSHIP CLUB	CULTURAL (MUSIC, ARTS)
ZUMBA	BASKETBALL	ADVENTURE CLUB	ELECTRICAL, ELECTRONICS, COMPUTER SCIENCE, INFORMATION TECHNOLOGY (ECSIT)	PAINTING CLUB
DANCE	CRICKET	ART, CULTURE & HERITAGE CLUB		QUANTIX - MATHS CLUB
GYM	FOOTBALL		PROMETHEUS CLUB (FINANCE)	ASTRONOMY CLUB
CYCLING	HANDBALL	DEBATE CLUB	FINISHING SCHOOL	PHOTOGRAPHY
MARTIAL ARTS	HOCKEY	DAZZLE – FASHION CLUB	MODEL UNITED NATIONS (MUN)	ROTARACT CLUB
CARROM	KABADDI	LITERARY CLUB	MARKETRIX	FILM CLUB
CHESS	KHO-KHO	NATIONAL SERVICE SCHEME (NSS)	HRAISE (NOVUS)	AERO – MECH CLUB
TABLE TENNIS	THROWBALL	PRAXEIS - OPERATIONS	STARTUP CLUB	TRAVEL CLUB
ATHLETICS	VOLLEYBALL			

The activities of the clubs and their reports along with geotag photographs were also available on records.

### Sports Activities

Following are the Sports activities conducted by the Clubs:

EVENT	COMPETITION	DATE
Alliance Football League	Intra-University	Nov-22
Alliance Premier League	Intra-University	Oct-22
BLAZE Annual Fest 2K22 - Basketball	Inter-University	02-Aug-22
FISA-B	Inter-University	16th - 17th July 2022
ATHLOS	Inter-University	26th - 29th April, 2022
ZEST	Annual Sports Meet	25th - 26th March, 2022
Rastriya Ekta Diwas	Intra-University	31st October 2021
International Day of YOGA	Intra-University	21st June, 2020
National Sports Day	Intra-University	29th August, 2019
SAMHITA 2019	Faculty & Staff	18th - 25th June, 2019
Alliance - Puma Event	Corporate Event	12th April, 2019
Alliance Premier League	Intra-University	12th March, 2018
Alliance Masters - Snooker and Pool Tournament	Intra-University	15th - 26th October, 2018

### Cultural Activities

Following are the Cultural activities conducted by the Clubs:

EVENT	DATE
International Day of The Girl Child - Movie Night	11-Oct-22
Hindi Diwas - NSS	14-Sep-22
Women's Equality Day	26-Aug-22
International Food Festival	16th to 17th July 2022
Cleanliness Drive - World Environment Day	05 <sup>th</sup> June 2022
Mental Health Camp - Anti Tobacco Day	31 <sup>st</sup> May 2022
Plantation Drive and Poster Making - World Earth Day	22 <sup>nd</sup> April 2022

Sanitation and Wellness Camp (Rotaract) Sanitation Drive & Awareness	04 <sup>th</sup> March 2022
Workshop on Intellectual Property Rights (IPR)	27 <sup>th</sup> January 2022
Blood Donation Drive	7 <sup>th</sup> December 2021
National Safety Day	04 <sup>th</sup> March 2021
Swachhata Pakhwada	16 <sup>th</sup> -31 <sup>st</sup> January
Pledge for Organ Donation	4 <sup>th</sup> -5 <sup>th</sup> April, 2019

### Sports Awards/Accolades

Following is the list of Awards/Accolades won by the students of AU in Sports activities:

EVENT	COMPETITION	DATE	AWARD	ORGANIZED BY
BLAZE Annual Fest 2K22 - Basketball	Inter-College	2.08. 2022	II	T John College
Strangle - Grappling Championship, Jiyu - Jitsu	National	15.08.2022	II	Rebel MWA
International Rugby Camp Australia	International Camp	17-21.09.2022	Participation	Rugby Australia
All India Karate Championship	National	31.08.2022	I	Karate Association of India
Snooker - Riviera	National	10-13.02.2020	I	VIT Vellore
Table Tennis - Sarambh	National	16-19.01.2020	I	MNLU - Nagpur
Chess & Table Tennis - URJA 4.0	State	15-18.02.2019	I	IBS Bangalore
Chess & Table Tennis - URJA 4.0	State	15-18.02.2019	I	IBS Bangalore

- AU is also planning to organize a national Kho-Kho Tournament with the Association of Indian Universities (AIU).

### Cultural Awards/Accolades

Following is the list of Awards/Accolades won by the students of AU in Cultural activities:

ESPERANZA 2K22	Inter College Fashion Show	8/26/2022	1st Place	T.John College
Aura 2022 - Metaverse Best manager Title, By IFIM	Inter College	09-Oct Sep-22	1st Place	IFIM College
INFINITO 2K22 Grand Championship award	Inter University	7/30/2022	1st Place	Presidency College
Online International conference ICAMIE-2020	International Camp	11th - 13th December 2020	Best Paper Award	KIT College
Cricket - URJA 4.0	State	15th - 18th August, 2019	1st Place	IBS Bangalore
Sarambh	National	16th-19th Jan, 2020	1st Place	MNLU - Nagpur

### PRESCRIPTION

1. To commence intra-faculty competitions, competitions of students with staff, etc. This will serve the dual purpose of creating a congenial environment amongst faculty and students and will instil a competitive spirit.
2. Going forward, there should be an impetus for students to raise funds through sponsorship and other mechanisms to further help increase the scale of such events.
3. Each club should have a Faculty Mentor, but it should be driven largely by the student community.
4. The number of activities being organized by AU needs to be enhanced to at least 10 activities per year.

5. Students who excel in sports should be awarded scholarships and be given non-financial incentives to motivate them.
6. Students are active in Clubs and are members of the organizing committee, but the Student's Council at the University level does not exist as on date. It is recommended that AU should establish a Student Council which can be a co-opted body whereby membership is by virtue of holding positions like Class Representative and Coordinators of various Cultural & Sports Clubs, Placement Committee, Hostel Committee, Mess Committee, Canteen Committee, Library Committee, etc.
7. AU is also planning to organize a national Kho-Kho Tournament with the Association of Indian Universities (AIU).

## Alumni Engagement

### ASSESSMENT

The Alumni has been registered under the Societies Registration Act in the year 2021-22. Currently, there are five active chapters namely, Bengaluru, Delhi, Kolkata, Mumbai, and Dubai. Activities have also been organized under all chapters during the year 2022. Alumni duly invited to interact with the students. However, it was noticed that Alumni has not contributed any financial aid to the University. The active number of Alumni are much less than the students who have graduated since 2012.

### PRESCRIPTION

1. Efforts should be made to register as many alumni as possible as members of the Alumni Association.
2. Alumni engagement with AU should be enhanced by co-opting them on Committees like IQAC, which is mandated by NAAC.
3. A chapter-wise calendar of Alumni events should be prepared and made available to the members.
4. Placement activities could be extended to Alumni amongst corporates which requires experienced candidates.
5. Attempts should be made to collect lifelong membership fees from the graduating batch.
6. The fee collected should be deposited in the Alumni Association's account and this account should be audited by a Chartered Accountant.

7. The charter of activities of the Alumni Association should be clearly spelt, e.g., Institutionalizing Medals and Scholarships by Alumni Association, contribution to the library by donating books, journals, subscriptions to e-journals, etc.

## Overall Recommendations

1. Documentation of the Scholarships received from Governmental and Non-Governmental organizations needs to be maintained.
2. Efforts should be made to connect with Industry to institute scholarships.
3. Create a 'Distress Fund' for Students to meet the contingencies requiring funds.
4. Develop suitable guidelines for the Distress Fund.
5. Establish a Student Council which can be a co-opted body whereby membership is by virtue of holding positions like Class Representative and Coordinators of various Cultural & Sports Clubs, Placement Committee, Hostel Committee, Mess Committee, Canteen Committee, Library Committee, etc.
6. CAN in association with DoSSS should support students who wish to prepare/write competitive exams such as CAT/MAT/GRE/GMAT/GATE/UPSC.
7. Outsource TEST PREP to professional agencies at campus and partly charge fees to students. Create a section in the library with study materials on competitive examinations for the reference of students.
8. Establish a formal system of Career Counselling and mentoring for the College of Engineering & Design and School of Law matching with the student's aptitude and expectations.
9. Extend the focus of L&D in developing an employability quotient.
10. Enhance the Language Lab to cover foreign languages such as French and Spanish.
11. Provide 'accent correction' through language training labs.
12. Provide Foundation or Bridge courses to bring incoming students to the same level.
13. Draft a clear cut-policy that defines 'when the boundary between camaraderie and harassment is crossed.'
14. Reorganize the entire student placement strategy and organization, and bring Placements, L&D and Professional Practice/Internship under one common umbrella with a common focus

on the employment success of students, specifically in the case of the College of Engineering & Design and School of Law. The emphasis should be the same as being given to the School of Business.

15. The Alumni Association Department needs to be strengthened and given more focus.
16. Presently, the activities of the Alumni under various Chapters are informal. A calendar of events should be drawn up to have focused academic discussions in each of the Chapters.
17. Alumni are major stakeholders, hence their participation in IQAC, the Board of Studies, should be introduced.
18. The charter of activities for the contribution to be made by the Alumni needs to be drafted.
19. Policy to be developed for appreciating alumni contribution to the institutional development activities.
20. The alumni fund should be maintained separately and should be audited.

# Criterion 6: Governance, Leadership & Management



## Governance, Leadership & Management

Effective functioning of a University can be gauged by the policies and practices it has evolved over the time. The main emphasis is as to how the university's leadership team evolves the Institutional Vision, Strategic Development and Deployment aspects. This criterion also covers framework around financial management and resource mobilisation. Faculty empowerment Strategies together with establishment and operations of Internal Quality Assurance System (IQAS) also forms an important component of this criteria.

### Institutional Vision and Leadership

Effective leadership is demonstrated by developing institutional values and a participative decision-making environment. This is the key not only to achieve the vision, mission, and goals of the institution but also in building the organisational culture. The formal and informal arrangements in the institution to co-ordinate the academic and administrative planning and implementation reflects the institutions efforts in achieving its mission.

### Governance & Leadership Attributes of Alliance University

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#### ASSESSMENT

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1. Now that the University is ~12-year-old, it should have proper process to collaboratively develop its mission and vision through participation of key stakeholders. We did not find any evidence of such process being followed.
2. The core vision of the university is structured around the precepts of 'world-class,' 'catalytic transformation,' and 'excellence in teaching-learning.' However, the mission statements that follow do not lay out the major steps leading to attainment of vision.
3. We feel that the vision and mission need to be rearticulated to be in sync with changing times and new emerging socio-economic structures.
4. We found that the university has set in motion some good practices of academic freedom and creation of good quality infrastructure. However, various other dimensions of world-class teachers in terms of research, innovation in teaching and learning, curriculum innovation and flexibility, and interdisciplinary aspects of curriculum seems to be work in progress.
5. The potential for quality research is terms of academic strength of the faculty if there, but it is not actualised due to want of proper research promotion facilities, research incentives, and provision of seed monies to kick-start various areas of research that the university desires to focus on. It also needs to establish linkages with several foreign universities to build

collaborative research framework. At this moment, these collaborations are largely for student mobility.

6. The university has to cover quite a bit of ground to consolidate its academic systems and practices (Regulations/Policies) for systemic improvement. We found that many policies need to be developed and several need to be revised.
7. NAAC Accreditation is now mandatory for universities. Alliance University should have, by now, got one cycle of NAAC accreditation. This is a cause of concern as many elements of graded autonomy of universities are linked with NAAC accreditation. Similarly, no technical programme and MBA programme are accredited by NBA.

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### PRESCRIPTION

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- 1 The University needs to revisit its vision statement. We strongly recommend that a proper visioning exercise needs to be carried out at the earliest.
- 2 Once a new vision is co-created and accepted across the stakeholders of the university, a new set of mission statements need to be developed to lead to this vision over a specified period of time.
- 3 To achieve the broad vision of “world-class” university, the University should benchmark itself with some major brands in India/abroad against the generally accepted criteria:
  - i. Qualified faculty
  - ii. Academically gifted and successful students
  - iii. Excellence in research
  - iv. Quality teaching at an international standard
  - v. High levels of funding
  - vi. Well-equipped infrastructure and facilities
  - vii. Functional collaborations with leading academic and corporate institutions
  - viii. Accreditations and rankings, both national and international

Upon such benchmarking, the university can find the gap areas and resolve to bridge this towards the path of being world-class.

- 4 The research effort should be strengthened by creating Research Division. This should be strengthened by appropriate funding mechanism and creation of cutting-edge research facilities.
- 5 The policy framework is not robust, and many new Policies need to be defined and put in place. This work should be taken on war footing.
- 6 Under the Office Dean (Academics), a core group for achieving various accreditations and rankings needs to be created. NAAC and NBA Accreditation and should be planned on mission

mode manner. Adequate resources, both financial and human, need to be assigned to achieve these accreditations.

- 7 Investments need to be made in supporting the transformation of teaching-learning practices by going through a process of full stack digital transformation.

## Overview of Constitutions & Functioning of Statutory Bodies

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### ASSESSMENT

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#### 1. Statutory Bodies:

- i. All Statutory Bodies such as, Board of Governors, Board of Management, Academic Council, Finance Committee, and Research Council have been constituted in accordance with the provisions of Alliance University Act, 2010 and are functional, at least on paper. We could not see any good examples of corporate governance driven through boards. Also, most of the board minutes are very sketchy and do not reflect any deliberations, reflections, or any board level strategic presentations.
- ii. Further, the membership of most statutory bodies consists of internal people only. There is not much sign of eminent academicians from premier institutions and representation from good corporates.

#### 2. Lack of approval thread between various statutory bodies:

There is a formal mechanism as per charter of bodies to review and create processes and take decisions on the matters under their purview. Some of these matters and processes needs to be reported to and/or ratified by higher bodies. This threaded chain is not well-defined and is one of the key areas of review for NAAC accreditation.

#### 3. Powers of Board of Governors (BOG) not exercised:

The powers of Board of Governors (BOG) include the appointment of statutory auditors and the approval of annual budget, annual accounts, and annual report. But it is not clear that these matters have been referred to for approval/ratification. This is because of poor recording of minutes. Therefore, the key power of BOG seems to not have been properly exercised.

#### 4. Inadequate role of Finance Committee (FC):

- i. As per the Act, Finance Committee is the principal financial body of the University to take care of financial matters.

- ii. We did not find any good practices of budget formulation and infrastructure development planning by the FC and thereby monitoring of proper ROI on the investments carried out.
- iii. No evidence was provided to support whether Capital Investment Plans (CIP) were prepared for each investment in growth/maintenance infrastructure, whether monthly Operational and Financial Review (OFR) were conducted to analyse the variance between budgeted and actual activities/spends.
- iv. The minutes of the meetings of the Fee Fixation Committee, which is a subcommittee of Finance Committee, did not show any computations of input costs, competitor analysis, development cost, etc. to arrive at the proposed fee in a rational market driven manner.

#### **5. Anomalies in the appointment of Pro-Chancellor:**

- i. Pro-Chancellor's position is neither provided in the Alliance University Act, 2010 nor in the Statutes, therefore the appointment of incumbent Pro-Chancellor is not in order/is questionable.
- ii. The correct procedure would have been for the BoM to create or revise statutes whereby the position of Pro-Chancellor (suggesting the role, responsibilities and mode of appointment) was created. Currently, there is only a passing remark in the minutes that statutes can be modified, and Pro-Chancellor is Suo-moto appointed.

#### **6. Interplay of role between Academic Council (AC) and Research Council (RC)**

In some matters, there is no clarity whether a specific matter comes under the purview of the AC or the RC. Case-in-point is the Ph. D programme which is an academic programme and leads to a degree from the University (a matter that comes under AC) but it also has significant research component with quality and other parameters (a matter that comes under RC). Such anomalies need to be detailed out and resolved through a proper process.

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#### **PRESCRIPTION**

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- 1 The powers, scope, and jurisdictions of various Statutory Bodies needs to be reviewed. There should not be any ambiguity about the same. Due care needs to be taken in defining the Agenda Items and recording of the Minutes. The cascading nature of these Bodies in terms of decision-making hierarchies needs to be followed.

- 2 The statutes may be reworked to provide for better clarity regarding scope and jurisdiction of these bodies as also to redefine the membership of these bodies to include external members of eminence.
- 3 The tenure of the board members (other than ex-officio members) should be properly defined and in case the defined tenure is over, a proper process of reappointment of members or change of members should be redefined and documented.
- 4 Immediate steps should be taken to create the position of 'Pro-Chancellor' by modifying the statutes and, subsequent to which, the current incumbent needs to be reappoint as per the process defined in the statutes.
- 5 The working of Finance Committee needs to be strengthened by ensuring proper budget formulation and carrying out of variance analysis of the budget on monthly/quarterly basis. The computation of fee structure should be done in a scientific manner.
- 6 For new capital expenditures, proper business case in the form of CIP should be prepared and duly approved by the BOG.

### Evaluation of Minutes of the Meeting of Statutory Boards

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#### ASSESSMENT

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1. Notwithstanding the discrepancies noted in the previous section, the meetings of the statutory bodies are being held and minutes recorded. However, the quality of minutes is of rather perfunctory nature with no evidence of discussions and deliberations on major agenda points.
2. There is no action taken reports on actionable items which are reported back to the respective boards.

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#### PRESCRIPTION

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- 1 The agenda of various Board Meetings should be strictly defined as per the power and authority of that Board, so that, going forward no discrepancies of such nature does not occur.
- 2 In the subsequent Board Meetings, an 'Action-Taken-Report' on deliberations of the previous meeting must be recorded and discussed.
- 3 The minutes should be properly documented with deliberations, discussions, and action to be taken clearly defined.
- 4 Since some of the agenda items needs to be reported to and/or ratified by higher bodies. This threaded chain should be well-defined as it is one of the key areas of review for NAAC accreditation.

- 5 A summary of the major decisions of the statutory body should be prepared and reported in the annual report.

## Strategic Development and Deployment

It is the responsibility of the leadership team to build strategic long-term plan for development of the university. This plan should be developed on a 5-year horizon and should include the aspects of future development in terms of programme portfolio, projected student strength, development of physical facilities and the focus on research, outreach, and innovation aspects. There should also be a phased execution framework for the strategic plan thus developed.

### Existence of a Perspective/ Strategic plan of the University

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#### ASSESSMENT

1. We saw no evidence of any 5-year strategic plan that the university has developed so far. What we saw was the mere statements of short-term and long-term goals with no roadmap as to how these will be achieved, what kind of resources need to be deployed, and within what time spans.

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#### PRESCRIPTION

- 1 Now, the university is entering into the 13<sup>th</sup> Academic Year, it is high time to prepare a Strategic Plan for the next 5 years.
- 2 Under the New Education Policy 2020, a new construct of strategic/perspective plan termed as Institutional Development Plan (IDP) is defined in terms of structure and components. We strongly recommend that Alliance University becomes one of the first universities to develop its IDP for 2023-28. In the future, the development of the IDP would be a mandatory requirement for Universities.
- 3 To develop the IDP, a proper process and constitution of high-ranking taskforce needs to be constituted.
- 4 The plan thus developed should be presented to various boards and finally approved by BOG for implementation.

## Evaluation of University's Management Style

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### ASSESSMENT

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#### 1 Decentralisation

- i. We did not find any matrix of financial or authority decentralisation in a formal manner.
- ii. Role and responsibilities of the 'officers of University' and various other functionaries as defined in the Act and Statutes are not properly practiced.
- iii. Further decentralised decision making at operational level is done by duly notified but not implemented.
- iv. Even the delegation of financial powers to the officers of the university are not well-defined.

#### 2 Participative Management

- i. Major policy decisions are supposedly taken after due deliberation by the statutory boards which have membership from the sponsoring body, officers of the University, and faculty (in some cases). However, as previously mentioned, no minutes contain the deliberations reflecting participation of members.
- ii. No evidence was presented that collective decision making is done by various internal committees with representation from faculty, staff and students.
- iii. Students' interest is safeguarded by their representation on many Internal Committees such as: Anti-Ragging Committee, Anti-Sexual Harassment Committee, Class Committees, Hostel Committees, etc. However, during interaction with the students, they clearly voiced their concerns that major policy changes are executed without their representation or discussions with them.
- iv. Students Council has not yet been formed.

#### 3 Implementation of e-governance in areas of:

- i. Planning and development
  - a) Budgeting exercise partially computerized (by using Tally software)
  - b) No evidence of e-initiatives for institutional planning process.
- ii. Administration
  - a) There is campus wide Wi-Fi, but outdoor coverage is not comprehensive.
  - b) We did not see any evidence of workflow automation.
  - c) Library is partly automated, however more can be done.
  - d) All employees are either provided with Desktops or Laptops to facilitate their work.

- e) Some of the student communications / interactions are through LMS. All students are assigned identification numbers and student grievances are received/ processed through emails.
- f) Main administrative functions are yet to be fully computerised/automated.
- g) Digitisation of important documents is not comprehensive.

#### 4 Student Admission & Support

- i. Yet to be fully automated

#### 5 Examination system

- i. The examination process is partially automated. The time taken to declare the examination results averages between 6-8 weeks, which is rather too long.

### PRESCRIPTION

#### 1 Decentralisation:

- i. There should be an overall delegation of power matrix which not only defines management and administrative powers, but also has financial delegation.

#### 2 Participative Management

- i. For participative management, it is recommended that following committees could be created:
  - a) Management Committee comprising of Chancellor, Pro-Chancellor, Vice-Chancellor, CFO and Registrar. This Committee could meet once in a month to take stock of strategic decisions as well as those which have financial implications.
  - b) Operating Committee comprising of All Deans, Director HR, Director Admin, Finance Officer, etc., which could take action on operational decisions.
- ii. Formation of Student Council should be allowed for greater participation of students in managing their affairs. However, it could be calibrated in terms of how it is formed and what is its role.

#### 3 Implementation of e-governance in areas of:

- i. E-governance policy should be developed along with its scope extending to areas of general administration, student admission, examination, library, finance and accounts, ICT infrastructure and e-waste management.
- ii. University should strive paperless operations in most of the administrative work. This could be done through a 'workflow automation'.

- iii. Initially the university should invest into a world-class ERP so that most of the workflow related to HR, Administration, Finance, Procurement, and Contracts is automated or develop its in-house ERP to have the above elements.
- iv. Digitisation of all important documents should be done for safety/ security of documents. This would also provide electronic document storage and management system.
- v. The University should publish an e-governance report on an annual basis and submit to the BoM.
- vi. The e-governance report should also be published in the annual report.

#### 4 Student Admission & Support:

- i. With implementation of world-class ERP, the student life cycle management (SLCM) module should assist students during their entire life cycle at the campus from admission to graduation or such features be created in the in-house ERP.

#### 5 Examination system:

- i. With implementation of ERP, examination system should be fully automated leading to reduction in time taken to declare examination results. Further, transcript and degree generation could be fully automated.

### Faculty Empowerment Strategies

The faculty must be empowered in terms of their teaching and research capabilities and delivery. There should be a proper mechanising of recruiting faculty and their performance appraisal and looking after their professional development needs. There should also be guided with appropriate feedback and counselling on the teaching competencies and research aptitude. University should make efforts to upgrade the professional competence of the staff.

Effective welfare measures for teaching & non-teaching staff

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#### ASSESSMENT

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1. Following Employees welfare measures are in place at the university:
  - i. Employees Health Insurance
  - ii. Provident Fund for permanent employees
  - iii. On campus medical facility
  - iv. Maternity leave

- v. Free local transport
  - vi. Mobile phone charge reimbursement (selectively)
2. Professional development of staff/ faculty
- i. Induction Program is conducted for newly joined faculty. However, the current induction program is not adequate and is rather brief.
  - ii. Academic leave / travel cost to faculty for attending seminars/conference.
  - iii. Study leave (selectively) to faculty for finishing PhD thesis.
  - iv. We did not find very many FDPs that have been conducted for development of faculty or staff.
  - v. Data of the average percentage of professional development/administrative training programs for academic and non-academic staff during the past five years was also not available.
3. Performance Appraisal system for teaching & non-teaching staff.
- i. Performance Appraisal system is in place. Appraisal cycle is August to July.
  - ii. Systems, processes and records for the same are in order.
  - iii. However, upon discussion with various staff and faculty, it came to our notice that this exercise is not fully 'objective'. At least that is the staff and faculty perception.

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#### PRESCRIPTION

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1. AU may consider following additional benefits for staff and faculty members:
- i. Relocation benefit
  - ii. Employee Referral Scheme
  - iii. Employee Wedding Gift Policy
  - iv. Leave Policy needs revision
2. Professional development of staff/ faculty
- i. Induction Programme should be made a 2-days program to make it effective and meaningful. Besides, induction program is equally important for staff and should be extended to them as well.
  - ii. In addition to the university level induction plan, a School level/Department level induction plan should also be organized.
  - iii. AU may consider conducting following additional Professional Development activities:
    - a) Periodically organise workshops/Training programs for competency enhancement of faculty and staff.

- b) Faculty Development programs on pedagogical tools on lines of NITTR to be developed.
  - c) Faculty should be encouraged to develop MOOC courses.
  - d) Annual calendar should be prepared for professional development and administrative training activities.
  - e) Annual calendar should be prepared for FDPs for professional development and refresher courses.
  - f) Leadership development program, both for academic and non-academic staff should be organised on a regular basis to build an internal pipeline of leaders.
  - g) HR should identify bright individuals both from the faculty and non-faculty and sponsor them for long term professional development programs.
  - h) Policy needs to be created for sponsorship of faculty for internships at industries
  - i) Sabbatical leave should be encouraged for faculty who wish to join the industry and return back to the University.
  - j) Specialized programs for women (both for faculty and administrative staff) coined as Shakti needs to be developed for their professional development.
  - k) Incentive Policy to be developed for faculty using innovative pedagogical tools to enhance the learning environment.
  - l) Faculty Retreats should be organized, at least once a year. This will improve cohesiveness amongst faculty of different Schools and will provide them a forum to discuss any issues and also provide them a platform to give suggestions for improving the quality of education being imparted at the University.
3. There should be a standard practice of documenting, with brief write up on each, competency enhancement program inter alia, program schedule, date/time, list of participants/ resource persons, attendance record, photographs/video of events (for NAAC and regulatory bodies purposes).
  4. Performance Appraisal system for teaching & non-teaching staff should be made more objective and all degrees of 'subjectivity' should be removed.
  5. The Performance Appraisal form needs to be revised with inputs from all stakeholders.

## Financial Management and Resource Mobilization

Budgeting and optimum utilisation of finance as well as mobilisation of resources are key issues that every university faces. There should be established procedures and processes for planning and allocation of financial resources. The university must develop strategies for mobilising resources and ensures transparency in financial management of the institution. The income and expenditure of the institution are subjected to regular internal and external audit.

### Financial Audit Process

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#### ASSESSMENT

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- 1 University has appointed statutory auditors for auditing the annual accounts.
  - i. The Audit Reports form part of the Annual Reports of the University
  - ii. Internal audit is conducted by a separate set of auditors.
  - iii. Budgets have not been shown to us and therefore we cannot comment on the quality of budget making and its process through Finance Committee
  - iv. No consolidated Financial Rules have been made.
  
- 2 Other funding sources:
  - i. Other than research funding, AU, being a private university, is not entitled to receive any grant/financial assistance from the government.
  - ii. Besides the funding provided by the sponsoring body, the only revenue source is by way of fee charged from students.
  
- 3 Some other points:
  - i. There is a Fee Fixation Committee. Fee fixation in an ad-hoc manner is not benchmarked with fee structure of other universities.
  - ii. 7<sup>th</sup> Pay Commission recommendations have not been fully implemented. There is a hybrid pay structure in place at AU.

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#### PRESCRIPTION

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1. A 5-year Financial Plan should be formally prepared and approved by the Governing Body.
2. Consolidated Financial Rules should be made.
3. Suggested fund raising activities:

- i. Pursuing various industries to mobilise their CSR funding for asset creation in terms of building corpus, plants and machinery, computing equipment, office equipment, etc. for the University.
  - ii. Approach individual donors/industries for instituting scholarships for meritorious/needy students or for establishing chair professorships.
4. University may also consider getting 12B status under UGC Act to get funding from Government for development activities.
5. The University is advised to develop a 'Policy Document on Resource Mobilisation and Procedures.'

### Internal Quality Assurance Centre (IQAC)

The Internal Quality Assurance Centre (IQAC) of universities is self-regulating mechanism of the higher education institutions and is aimed at continuous improvement of quality and achieving academic excellence. An institution should have mechanisms for academic and administrative auditing. It needs to adopt quality management strategies in all academic and administrative aspects. The institution should have a functional IQAC and adopts a participatory approach in managing its quality standards.

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#### ASSESSMENT

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1. We found that IQAC has not been constituted in line with the recommendations of NAAC regarding constitution and members and is not functional at all.
2. There is no formal Office of Director – IQAC, which is a statutory requirement, and reports into Dean (Academics), which is also a vacant office/position.
3. We looked into a presentation on preparation for NAAC which we found, at the current juncture, that the University is not at all prepared to file for at least the next 2 years.

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#### PRESCRIPTION

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1. IQAC plays a crucial role for quality assurance of an institution and, therefore, Alliance University should ensure that the IQAC is constituted as per the suggested composition by NAAC
2. Appoint a competent person as Director – IQAC so its functioning is enabled in true sense.
3. Additionally, another office of accreditations, ranking, and rating should be created to look after multiple accreditations (both national and international), rankings, and ratings.
4. A NAAC taskforce should be created with full empowerment, adequate resources, and software tools to manage the data.

## Overall Recommendations

1. A Task Force is to be constituted to formulate the revised Vision and Mission Statements of the University.
2. This Task Force should seek suggestions from all stakeholders while redefining the Vision and Mission Statements.
3. The Vision and Mission Statements should be discussed in the IQAC meeting and approved by the Board of Governors.
4. For AU to be considered a globally driven University it is necessary to undertake the following steps:
  - a. Enter into collaboration with global universities to have joint research and faculty/student exchange mechanisms.
  - b. Send a few faculty members to a few of the partner universities and also invite some good faculty from partner universities for one or two weeks to participate in joint teaching of the courses.
  - c. Exchange group of students (at least 10 -15) for a semester abroad. This would help students learn at different universities and get an appreciation of cross-cultural ideas.
  - d. Accelerate the recruitment of international students so that there is global diversity on the campus.
5. Create a Core Group under the office Dean-Academics to achieve various accreditations.
6. Plan NAAC, NBA Accreditation and NIRF Rankings in a mission-mode manner and allocate due resources.
7. Review the Power, Scope, and Jurisdictions of various Statutory Body.
8. Define the agenda of various Board Meetings strictly as per the power and authority of that Board to avoid discrepancies.
9. Discuss an 'Action-Taken-Report' on deliberations of the previous meeting in the subsequent Board Meetings.
10. Define the Agenda Items and the Minutes and consider the cascading nature of these Bodies in terms of decision-making hierarchies.

11. Create a position of 'Pro Chancellor' to reaffirm the incumbent to this position and confirm this position to be an Officer of the University.
12. Prepare a Strategic Plan/IDP Plan for the next 5 years as the University.
13. Decentralization: There should be an overall delegation of power matrix which not only defines the management and administrative powers but also has financial delegation.
14. Participative Management: For participative management, it is recommended that the following committees could be created:
  - a. Management Committee comprising of Chancellor, Pro-Chancellor, Vice-Chancellor, CFO and Registrar. This Committee could meet once a month to take stock of strategic decisions as well as those which have financial implications.
  - b. Operating Committee comprising of All Deans, Director HR, Director Admin, Finance Officer etc., which could take action on operational decisions.
  - c. The formation of the Student Council should be allowed for greater participation of students in managing their affairs. However, it could be calibrated in terms of how it is formed and what is its role.
15. Implement e-governance in areas of 'workflow automation' and world-class ERP systems. It will not only automate the workflow related to HR, Administration, and Finance but also provide electronic document storage and management system.
16. Student Admission & Support: The ERP should have a proper module to manage the Student Life Cycle from Admission to Graduation.
17. Examination system: With the implementation of ERP and the examination system, the transcript and degree generation could be fully automated using the examination module.
18. 'Induction Program should be made a 2-day program to make it effective and meaningful. Besides, an induction program is equally important for staff and should be extended to them as well.
19. Conduct additional Professional Development activities such as periodic workshops/Training programs for competency enhancement of faculty and staff as well as Faculty Retreats annually.

20. Document with a brief write-up on each competency enhancement program inter alia, program schedule, date/time, list of participants/ resource persons, attendance record, photographs/ video of events (for NAAC and regulatory bodies purposes).
21. Make the Performance Appraisal system for teaching & non-teaching staff more objective and Remove all degrees of 'subjectivity' in appraisal and other employee benefits processes.
22. BOG should approve the 5-year Financial Plan formally.
23. Ideas on fundraising activities:
  - a. Pursue various industries to mobilize their CSR funding for asset creation in terms of building a corpus, plants and machinery, computing equipment, office equipment, etc. for the University.
  - b. Approach individual donors/industries for instituting scholarships for meritorious/needful students.
  - c. Develop a 'Policy document on Resource Mobilization and Procedures' for the purpose.
24. Since IQAC plays a crucial role in the quality assurance of an institution and, therefore, AU should ensure that the composition and functioning of IQAC are fully enabled/ strengthened.
25. Director IQAC should be appointed immediately to oversee the activities of the IQAC Department.

# Criterion 7: Institutional Values and Best Practices



## Institutional Values and Best Practices

### Institutional Values and Social Responsibilities

An educational institution operates in the context of the larger education system in the country. In order to be relevant in changing national and global contexts, an educational institution has to be responsive to the emerging challenges and pressing issues. The Institution also has a social responsibility to be proactive in the efforts towards development in the larger contexts. This role of the institution is reflected in terms of the kinds of programs, activities and preferences (values) that it incorporates within its regular functioning. The extent to which an institution is impactful in this is a sure reflection of its quality.

Every university has the mandate to be responsive to at least a few pressing issues such as gender equity, environmental consciousness and sustainability, inclusiveness and professional ethics. It is also important how it addresses these and evolves practices that are unique to the institution. Some meaningful practices pertinent to such situations are evolved within the institution and these help smooth functioning and also lead to enhanced impact. Such practices which are evolved internally by the institution leading to improvements in any one aspect of its functioning – academic, administrative or organizational, - are recognized as a “best practice”. Over a period of time, due to such unique ways of functioning, each institution develops distinct characteristic which becomes its recognizable attribute. Key indicators in this criterion are Institutional Values and Social Responsibilities, Best Practices and Institutional Distinctiveness.

### Gender Equity and Promotion

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#### ASSESSMENT

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1. As on date, AU has an employee strength of 490 (excluding support staff on outsourced rolls). Out of this, 68% of employees are male and 32% are female. Out of a total faculty strength of 192, 65% are male and 35% female. Out of a total student strength of 5284 students, 66 % are male and 34 % are female.
2. AU provides equal opportunities of employment to both male and female. AU has initiated various measures for promotion of gender equity such as safety, counselling, common rooms, ICC Committee, etc. Policy documents for promoting gender equity are also available.

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**PRESCRIPTION**


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1. HR should publish a calendar for the activities related to women safety and equality.
2. Regular gender sensitization workshops should be conducted for both employees and students.
3. Policy needs to be developed for attracting female students in the form of scholarships, reservation of seats for girls in all courses, relaxation in admission criteria, etc.
4. Seminars and workshops should be conducted on a regular basis on gender bias and stereotypic, gender equality, and women rights.
5. Culture and theatre clubs should be encouraged to hold Nukkad Nataks, mime shows on women issues.
6. Women leaders should be invited to interact with faculty and students as a source of motivation.
7. Flexible work hours policy may be developed to promote gender diversity.
8. Provide equal training and learning opportunities to employees irrespective of gender.
9. Addition of childcare leave in the leave policy.
10. Creche facility to be provided at the campus.

### Alternate Energy Initiatives

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**ASSESSMENT**


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AU has solar energy plant which is presently being utilized for heating water in the hostel. The biogas plant has not been installed as they do not have adequate waste which can be used as the input fuel. They have outsourced the collection of bio-waste to a third party on monthly per kg basis. The wheeling to the grid facility is not techno-economically feasible for which they also have a document from the relevant Government authority certifying the same. Sensor based energy conservation is only limited to solar street lighting. LED bulbs are installed at all relevant locations.

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**PRESCRIPTION**


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1. Sensor-based energy conservation facility can be adopted wherever possible. This will lead to energy conservation.
2. Conduct an audit of their electrical equipment across the University to be BEE compliant (4-5 Star rating).
3. Check the validity and currency of all the MoUs/Contracts.

## Waste Management

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### ASSESSMENT

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All facilities with respect to solid waste management, liquid waste management, bio-medical waste management, e-waste management, water re-cycling system and hazardous chemicals and radioactive waste management are all available and management through a government approved third-party under one single MoU.

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### PRERSCRIPTION

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1. Regular audits of all the above facilities and a compliance to latest Government norms should be adhered to.
2. Appropriate black colored e-waste bins should be deployed to collect e-waste.
3. Fire Drills, Workshops on categorization of Fire Extinguishers should be done on a bi-monthly basis for students and faculty.

## Water Conservation Facilities

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### ASSESSMENT

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1. AU has well-defined facilities within their campus for:
  - i. Rainwater Harvesting
  - ii. Borewell /Open Well Recharge
  - iii. Construction of Tanks and Bunds
  - iv. Wastewater Recycling
  - v. Maintenance of water bodies and distribution system

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### PRESCRIPTION

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1. Regular audits of all the above-mentioned facilities and compliance to latest Government norms should be adhered to.

## Green Practices

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### ASSESSMENT

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The institutional initiatives for greening the campus are as follows:

1. Restricted entry of automobiles: Ear-marked parking facility available at campus entry point beyond which entry of vehicles are prohibited. The University has also provided transport facility both to students and staff to-and-fro from the campus to control vehicular traffic.
2. Use of Bicycles/ Battery powered vehicles: Bicycles and battery power vehicles are available for usage by students and employees.
3. Pedestrian Friendly pathways: Abundant pedestrian friendly pathways have been constructed with the campus.
4. Ban on use of Plastic: Notification from Registrar's Office is circulated to concerned officials and vendors. Any Government updates on regulations are also conveyed and displayed across the campus.
5. Landscaping with trees and plants: AU has a lush green campus and above 75% green cover with over 1200 varieties of flora and trees.

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### PRESCRIPTION:

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1. Green campus initiatives are very good and should be maintained.

## Quality Audits

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### ASSESSMENT

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The institutional environment and energy initiatives are confirmed through the following:

1. Green Audit
2. Energy Audit
3. Environmental Audit

All the above audits are being conducted by recognized bodies on a regular basis. AU has also conducted activities for environmental protection beyond the campus in the form of river cleaning, village sanitation, and similar schemes under Swatch Bharath Abhiyan.

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**PRESCRIPTION**


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1. Since AU has a green campus which can be show-cased, AU should apply for Green Campus recognition awards, both at State and National levels.
2. Beyond the campus, environmental promotional activities undertaken by AU, should be show-cased through newsletters, blogs, posting on website and other social media platforms projecting the active participation of students and faculty.

### Differently abled (Divyangjan) Friendliness

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**ASSESSMENT**


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1. The AU Campus is equipped with ramps, lifts, Divyangjan friendly washrooms.
2. The library is also equipped with braille software and Human assistance, reader, scribe, soft copies of reading material, screen reading, font enlargement etc., facilities are also available.

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**PRESCRIPTION**


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1. AU is well equipped to cater to the diverse needs of physically challenged staff and students, a Policy Document approved by the Board of Management should be put in place.
2. Braille signages and tactile sensors should be put on pathways.

### Institutional efforts/initiatives in providing an inclusive environment

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**ASSESSMENT**


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1. The student affairs department conducts activities through various student clubs to provide an inclusive environment
2. Festivals are celebrated representing different regions of India
3. Festivals are also celebrated for international student community at the Campus
4. The hostel mess and food cafeteria cater to the different food habits of students.
5. AU conducts Orientation programs and Icebreaking sessions for students to help them understand the importance of diversity. Following is the list of events conducted by AU:
  - i. Introduction of multi-cultural clubs on campus.
  - ii. Celebrating festivals such Holi, Ganesh Puja, Holi and Christmas among others to help students understand diversity.

- iii. Room Allotment in hostels done with an emphasis to maintain diversity
- iv. Keeping hostels open during long University breaks to enable students to stay.
- v. Offering of multi cuisine food and beverage for students.
- vi. Conducting hostel activities such as hostel nights to enhance participation and promote team building.
- vii. Encourage students to participate in activities pertaining to community outreach and contribute to society.

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#### PRESCRIPTION

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1. HR should ensure that it creates an environment which build empathy
2. Open House workshops should be conducted to create an inclusive environment where employees can be encouraged to raise questions freely and the leaders are expected to listen to them with empathy and share their thoughts and feelings to build trust.
3. Such inclusive meetings to project an environment which caters to diversity should also be conducted for students through open house meetings.
4. HR should develop a coaching program for inclusivity.

#### Human Values and Professional Ethics

1. Regular workshops are being conducted by AU for students to sensitize the students and employees of the University to the constitutional obligations, values, rights, duties and responsibilities.
2. The Student Affairs Department also ensures the conduct of all activities as stipulated by the UGC and a report of these activities is also posted on the Activity Monitoring Portal of UGC.
3. The Institution has a prescribed Code of Conduct for Students, Teachers, Administrators and other staff and conducts periodic programs in this regard.

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#### ASSESSMENT

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1. The institutional Code of Conduct principles are displayed on the website.
2. Annual awareness programs on Code of Conduct are organized.
3. There is no committee in placed to monitor adherence to the institutional Code of Conduct principles.
4. Some professional ethics programs on plagiarism are being conducted for students and faculty.

5. We do not find any professional ethics program being conducted for administrators and other staff.

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#### PRESCRIPTION

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1. DoSSS and HR to monitor adherence to the institutional code of conduct principles.
2. A Committee should be constituted both for employees and students to ensure compliance.
3. Regular awareness workshops on professional ethics for students, teachers, administrators should be conducted.
4. The Psychologist should counsel the employees on appropriate behaviour and the same should be conducted for the students by their mentors.
5. Plagiarism workshops should be conducted regularly for faculty and Ph. D Scholars and the same also be conducted for the students for dissertation project/thesis submission.

Celebration of national and international commemorative days, events and festivals

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#### ASSESSMENT

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AU is already celebrating the following days in its efforts to celebrate national and international commemorative days, events and festivals. It was also observed that a report of these activities was available on record and the activities are also mentioned in the Annual Report.

1. Rastriya Ekta Diwas Intra-University 31st October 2021
2. International Day of YOGA Intra-University 21st June 2020
3. National Sports Day, 29<sup>th</sup> August 2019
4. International Day of The Girl Child – Movie Night 11 October 2022
5. Hindi Diwas – NSS 14 September 2022
6. Women’s Equality Day 26 August 2022
7. International Food Festival 16th to 17th July 2022
8. Cleanliness Drive - World Environment Day 05th June 2022
9. Mental Health Camp – Anti Tobacco Day 31st May 2022
10. Plantation Drive and Poster Making – World Earth Day 22nd April 2022
11. Sanitation and Wellness Camp (Rotaract) Sanitation Drive & Awareness 04th March 2022
12. Workshop on Intellectual Property Rights (IPR) 27th January 2022
13. Blood Donation Drive 7th December 2021
14. National Safety Day 04th March 2021
15. Swachhata Pakhwada 16th-31st January
16. Pledge for Organ Donation 4th-5th April 2019

## PRESCRIPTION

The AU attempt towards this activity is satisfactory. It is suggested that the number of activities should be increased to at least one per month. The list of activities as published by Directorate of Advertising and Visual Publicity, Government of India, is given below as a reference for preparing the annual calendar for such activities:

### CALENDAR OF EVENTS

#### NATIONAL & INTERNATIONAL DAYS

ANNOUNCED BY THE DIRECTORATE OF ADVERTISING AND VISUAL PUBLICITY,

#### GOVERNMENT OF INDIA

SL. NO.	MONTH	DATES	OCCASION
1	JANUARY	4th -10th	OIL CONSERVATION WEEK
2		10th -16th	ROAD SAFETY WEEK
3		12th	NATIONAL YOUTH DAY
4		15th	ARMY DAY
5		15th -21st	PIN CODE WEEK
6		23rd	NETAJI SUBHAS CHANDRA'S BIRTHDAY ANN./ NATIONAL DAY OF PATRIOTISM / DESH PREM DIVAS
7		25th	INDIA TOURISM DAY
8		26th	REPUBLIC DAY
9		26th	INTERNATIONAL CUSTOMS DAY
10		30th	MARTYRS DAY
11		30th	NATIONAL CLEANLINESS DAY
12	FEBRUARY	24th	EXCISE DAY
13	MARCH	4th -10th	NATIONAL SAFETY WEEK
14		8th	INTERNATIONAL WOMEN'S DAY
15		12th	DANDI MARCH DAY
16		15th	CONSUMERS DAY
17		16th	IMMUNIZATION DAY

18		21st	WORLD FORESTRY DAY
19		21st	INTERNATIONAL DAY FOR THE ELIMINATION OF RACIAL DISCRIMINATION
20		22nd	WORLD DAY FOR WATER
21		23rd	MARTYRDOM DAY OF BHAGAT SINGH
22		23rd	WORLD METEOROLOGICAL DAY
23		24th	WORLD TB DAY
24	APRIL	1st –7th	PREVENTION OF BLINDNESS WEEK
25		7th	WORLD HEALTH DAY
26		7th –14th	HANDLOOM WEEK
27		13th	JALLIANWALA BAGH MASSACRE / BAISAKHI
28		14th	BIRTH ANNIVERSARY OF DR. AMBEDKAR
29		14th	CUSTOMS DAY
30		14th –20th	FIRE SERVICE WEEK
31		22nd	WORLD EARTH DAY
32		23rd	WORLD BOOK DAY
33	MAY	1st	INTERNATIONAL LABOUR DAY / MAY DAY
34		3rd	WORLD PRESS FREEDOM DAY
35		5th	NATIONAL LABOUR DAY
36		8th	WORLD RED CROSS DAY
37		11th	TECHNOLOGY DAY
38		15th	INTERNATIONAL DAY OF THE FAMILY
39		17th	WORLD TELECOMMUNICATIONS DAY
40		24th	COMMON-WEALTH DAY
41		31st	NO TOBACCO DAY
42	JUNE	4th	INTERNATIONAL DAY OF INNOCENT CHILDREN VICTIMS OF AGGRESSION
43		5th	WORLD ENVIRONMENT DAY
44		26th	INTERNATIONAL DAY AGAINST DRUG ABUSE & ILLICIT TRAFFICKING
45	JULY	11th	WORLD POPULATION DAY
46	AUGUST	1st -7th	WORLD BREAST-FEEDING WEEK
47		9th	QUIT INDIA MOVEMENT
48		15th	INDEPENDENCE DAY
49		20th	RAJIV GANDHI'S BIRTH ANNIVERSARY (SADBHAVANA DIWAS)
50		23rd Aug.- 6th Sept	NATIONAL FORTNIGHT ON EYE DONATION
51	SEPTEMBER	1st -7th	NATIONAL NUTRITION WEEK
52		5th	TEACHER'S DAY

53		8th	INTERNATIONAL LITERACY DAY
54		14th	SANCHAYIKA DAY
55		14th	HINDI DIVAS
56		23rd	WORLD DEAF DAY
57		27th	WORLD TOURISM DAY
58	OCTOBER	1st	NATIONAL VOLUNTARY BLOOD DONATION DAY
59		1st	INTERNATIONAL DAY FOR ELDERLY PEOPLE
60		1st - 7th	WILD LIFE WEEK
61		1st - 10th	INTERNATIONAL FILM FESTIVAL OF INDIA
62		2nd	MAHATMA GANDHI'S BIRTHDAY
63		2nd	ANTI-LEPROSY DAY
64		2nd - 8th	PREVENTION OF BLINDNESS WEEK
65		2nd - 8th	ANTI-UN-TOUCHABILITY WEEK
66		6th	WORLD HABITAT DAY (HOUSING)
67		8th	AIR FORCE DAY
68		9th	WORLD POST DAY
69		10th	NATIONAL POST DAY
70		11th - 25th	FAMILY WELFARE FORTNIGHT
71		13th	INTERNATIONAL DAY FOR NATURAL DISASTER REDUCTION (IDNDR)
72		14th	WORLD STANDARDS DAY
73		16th	WORLD FOOD DAY
74		21st	AZAD HIND DAY
75		21st	GLOBAL IODINE DEFICIENCY DISORDER (IDD) DAY
76		24th	UN DAY
77		24th	WORLD DEVELOPMENT INFORMATION DAY
78		24th - 30th	DISARMAMENT AND DEVELOPMENT WEEK
79		28th	WORLD THRIFT DAY
80		31st	INDIRA GANDHI'S DEATH ANNIVERSARY (ANTI -TERRORISM DAY)
81	NOVEMBER	2nd	ALL SAINTS DAY
82		9th	LEGAL SERVICES DAY
83		9th - 14th	INTERNATIONAL WEEK OF SCIENCE
84		14th	NEHRU'S BIRTHDAY-CHILDREN'S DAY
85		14th - 20th	WORLD HERITAGE WEEK
86		15th - 21st	NATIONAL COOPERATIVE WEEK

87		16th	INTERNATIONAL DAY FOR TOLERANCE AND PEACE
88		19th	NATIONAL INTEGRATION DAY (INDIRA GANDHI'S BIRTHDAY)
89		19th Nov. -18th Dec	ENVIRONMENT MONTH
90		19th -26th	QUAMI EKTA WEEK
91		20th	CHILD RIGHTS DAY
92		26th	CONSTITUTION DAY
93	DECEMBER	1st	WORLD AIDS DAY
94		2nd	NATIONAL POLLUTION CONTROL DAY
95		3rd	INTERNATIONAL DAY OF DISABLED PERSONS
96		3rd	NATIONAL CONSERVATION DAY
97		3rd	BHOPAL GAS TRAGEDY DAY
98		4th	NAVAL DAY
99		5th	INTERNATIONAL VOLUNTEER DAY FOR ECONOMIC AND SOCIAL DEVELOPMENT
100		6th	DR. AMBEDKAR'S MAHAPARINIRVAN DIVAS
101		7th	FLAG DAY
102		8th	GIRL CHILD DAY -DECADE (1990 - 2000)
103		8th	SAARC DAY
104		8th -14th	ALL INDIA HANDICRAFTS WEEK
105		10th	HUMAN RIGHTS DAY
106		14th	NATIONAL ENERGY CONSERVATION DAY

## Best Practices

Any practice or practices that the institution has internally evolved and put into practice and leads to positive impact on the regular functioning of the institution can be identified as “best practices”. These are specific to an institution and not prescribed by any authority. Many of these practices can be relevant for an institution at a given point in time and could be in respect of teaching learning, office practices and maintenance and upkeep of things or dealing with human values or money matters. In brief, these ‘best practices’ are relevant within the institutional context and may pertain to either academic or administrative or organizational aspects of institutional functioning.

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### ASSESSMENT

1. As per NAAC requirement, two best practices are to be listed. AU has described internationalization with a global outlook as one of their best practices. However, in our opinion, the dual degree/joint degree program that are presently being offered by AU do not prescribe to the norms of the statutory authorities. Also, the number of international students on Campus are only in the global program and hence internationalization cannot be listed as one of the best practices.
2. The second-best practice identified by AU is Experiential Learning. AU students are provided with ample opportunities to put theory into practice – be it through laboratories, moot court, academic clubs, seminars, workshops, or internships – each one of these activities has shaped students into learn hands-on, what they have developed as a theoretical base.

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### PRESCRIPTION

1. Based on our interaction with the officials of AU, we feel that the corporate mentorship program for MBA students can be listed as one of the best practices as documentary proof and the outcome of this practice is available with the CAN Department.
2. Additionally, we advise that this practice should also be replicated for the College of Engineering and Design and School of Law to make this practice as an institutional best practice.
3. AU should focus on Experiential Learning as one of their best practices. However, COs and POs integration with experiential learning, which presently is far-fetched, needs to be worked upon.

## Institutional Distinctiveness

A university is recognized for its vision and attributes that make it 'distinct', or, one of its kinds in the academic circles. Such attributes characterize the university and are reflected in all its activities and functioning.

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### ASSESSMENT

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1. AU has portrayed that they have the best-in-class faculty as their distinctive priority. They have also mentioned that the faculty members go through a stringent recruitment process and they are engaged in cutting edge research in their chosen areas. Further it is also mentioned that the faculty members are being awarded for their contribution at national and international forums and the faculty community comprises of Indian nationals and a wide array of international faculty.
2. In our audit process we did not find any documentary evidence of stringent selection process
3. Apart from publications, there was no evidence of research being conducted in cutting edge areas neither the AU received any grants from Government organizations to pursue research.
4. Distinctiveness refers to those activities, qualities and accomplishments that enable an institution to enjoy a unique identity or academic reputation for which a University is known, admired and valued. In our opinion, faculty quality and inputs presently do not qualify as an institutional distinctive practice.

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### PRESCRIPTION

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1. AU should adopt NEP guidelines with the following parameters and be amongst one of the few Private Universities to focus and implement NEP which will then be considered as one of the distinctiveness of the Institution.
  - a. Shift towards holistic and multi-disciplinary education
  - b. Providing optimal learning environment and support for students
  - c. Adoption of Choice Based Credit System (CBCS)
  - d. Adoption of academic bank of credit
  - e. Internationalization
  - f. Shift towards OBL
  - g. Focus on vocational education
  - h. Emphasis on academic flexibility
  - i. Promoting online and digital education

1.

### Overall Recommendations

1. Student Welfare Department should promote national integration and love for the nation by organizing activities and talks on:
  - a. Develop consciousness about national identities/symbols/national anthem/Indian constitution etc.
  - b. Introduce activities for the promotion of universal values (truth, non-violence and peace, national values, human values, national integration, communal harmony, social cohesion, and observance of fundamental rights).
2. Enhance the NSS Scheme and its community development activities.
3. Organize activities on:
  - a. Swatch Bharat Abhiyan in adjoining areas
  - b. Donate clothes, books, toys, stationery, etc., to the needy.
  - c. Sustainable social enterprises bring about a positive measurable impact in terms of increasing awareness of personal hygiene, sanitation, drinking water, skill development etc., in the neighbouring community.
4. AU may consider composing a University Song with lyrics highlighting the core values that have been adopted by the university.
5. As NEP 2020 encourages Entrepreneurship and Innovation, AU should initiate such activities on Campus.
6. AU should consider adopting NEP guidelines on CBCS to create a distinctive mark for itself.