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SARASWATI Education Society's
SARASWATI College of Engineering

Learn Live Achieve and Contribute

Kharghar, Navi Mumbai - 410 210.

2020-21

Academic Administrative Audit Schedule

Date: 22/01/2021

Auditor Name: Dr. Sunil M. Rangari	Auditee: Establishment section
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Note: Types as follows

OK- Conformance,

NC- Non Conformance

Sr. No	File No/Register No	Observation	Type
01.	Inward Register Doc.No. HR/RG-01-CC	maintained properly for both college & Society.	OK
02.	Outward Register Doc. No. HR/RG-02	Missing signature of receiver in some cases.	
03.	Non-Teaching Muster Doc.No. HR/RG-03	April-20 to Aug-20 July-20 - no muster available. from Aug. 2020 it is available.	OK.
04.	Automobile Exp. (Muster).	Muster is signed upto March. 2020.	OK.
05	Civil	Muster of leaves, absent, late etc properly marked.	OK.
06.	Comp	-"-	OK
07.	EXTC	-"-	OK
08.	FE	-"-	OK
09.	MECH	-"-	!
10.	IT	-"-	
11	Zerex Registry	Updated upto Jan-18. No entry after Jan-18.	

12.	Requirement Register	Not available. for material, requisition slip used to give at store.	
13.	Late Register.	Entry in the old register upto 13.2.20. New register from Jan-2021.	OK.
14.	Half day Register.	Entry in the old register upto 13.2.2020. No new registers yet prepared.	OK.
15.	OD Register	Entries upto 13.2.2020	OK.
16.	Gate Pass Register.	Not a single entry found.	
17.	Second shift Regi.	Some entries & Leave marked by pencil.	
18.	Teaching staff cl/co Reg.	Maintain entries upto 10 March-2020.	OK.
19.	Non-Teach. staff cl/co	Entries maintained maintained properly. Entries found after Aug. 2020.	OK.
20.	Key Register.	Proper entries & in & out with signature.	OK.
21.	Holiday Muster.	All entries found satisfactory.	OK.
22.	Security staff.	Leaves: marked by red pen.	OK
		<u>Files</u>	
01.	Inward file.	It containing request letter receipt from student against L.O. faculty request letter, staff visit letter.	OK.
02.	Outward file.	<u>No file maintained.</u> as request letters	—
03.	College notice.	Maintained.	OK.
04.	Dept. Notice file.	Last notice on 16.01.2018. No new notice found.	
05.	Format Kit	Self appraisal, Curriculum vitae, clearance form, Demo feedback, budget, joining form etc.	OK
06.	Summary list of faculty/qualification.	Found that updated list of 20-21. Signature of authority should exist. =	OK.
07.	List of non-teaching	updated list of 2020-21. Signature of authority should exist. =	OK.
08.	Rules & Regulation for faculty & non-teach.	College (Society) rule book not exist.	OK.
09.	UGC- Univ. file	Last UGC interview in year Aug. 2015 letter with other documents.	OK.
10.	AICTE- File	old AICTE Handbook. New has to attached	•



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SARASWATI Education Society's
SARASWATI College of Engineering

Learn Live Achieve and Contribute

Kharghar, Navi Mumbai - 410 210.

Internal Audit Observation Sheet

IQA #:		DATE:	22-1-2021
PROCESS	Exam		
AUDITOR(S):	Sagar Khatawkar <i>S.K.</i>	AUDITEE(S):	Prof. D. M. Joshi <i>D.M.J.</i> 22/1/21
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1	Register No-5 - 2020-21 entries not found	SI
2	Reg. No-8- leave & leave adjustment not updated	SI
3	Separators & tags should be used in all files	SI
4	Following files need to include in file list	O
	- Paper Solution file	
	- Correction in student data file	
	- Student application file.	
5	Following registers need to include in Reg. list	O
	- Transcript record register	
	- Deadstock register	

*Received
File
4/1/21*



SARASWATI Education Society's
SARASWATI College of Engineering

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Kharghar, Navi Mumbai - 410 210.

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2020-21

Academic Administrative Audit Schedule

Date: 22/01/2021

Auditor Name: Pooja Somani	Library	Auditee: Mrs. Seema Potdukhe
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Note: Types as follows

OK- Conformance,

NC- Non Conformance

Sr. No	File No/Register No	Observation	Type
1.	FL. 1	Updated till Feb 2020	OK
2	FL. 2	Updated.	OK.
3	FL. 3	College Notice file updated	OK
4	FL. 4	Updated	OK
5.	FL. 5	University Notice File	
6	FL. 6	Report File	OK
7.	FL. 7	N.T staff biodata File	OK
8.	FL. 8	Book order file. updated	OK
9	FL. 9	Journal File	OK
10.	FL. 10	Book Invoice file	OK.
11.	FL. 11	Book Requirement File	OK
12	FL. 12, 13, 14	Updated	OK

DOC.NO.MR/FR-06 REV-00 (01/01/15)

Pooja Somani
22/1/2021

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22-1-2021

Sukta
4-2-2021



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SARASWATI College of Engineering

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Kharghar, Navi Mumbai - 410 210.

13	FL. 15	LIC Committee Data updated.	OK
14	FL. 16	Area Details file	OK
15	FL. 19	Book & Journal file	OK
16	FL. 21	Advertisement File	OK
17	FL. 22	stock verification last done May 19 & updated,	
18	FL. 23	Recovery & lost book file	OK
19	FL. 24	Quotation file.	OK
20	FL. 25	Updated	OK
21	FL. 26	Management sanction file	OK
22	FL. 27	Pending Books file	OK
23	RG-1, 2	Updated	OK
24	RG-3, 4, 5	Updated	OK
25	RG-6	Updated	OK
26	RG-7-A&B	Updated	OK
27	RG-8	Journal Entry Register	OK
28	RG-9, 10, 11	Updated	OK
29	RG-12	Faculty Meeting (Not done as meetings not happening)	
30	RG-13	Digital Library Usage Register (not updated as till last year)	OK

Saurabh
22/01/21

Saurabh
22-1-2021



SARASWATI Education Society's
SARASWATI College of Engineering

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Kharghar, Navi Mumbai - 410 210.

2020-21

Academic Administrative Audit Schedule

Date: 22/01/2021

Auditor Name: Pooja Somani	T & P	Auditee: Mrs. Rajashree Tambe Prof. Vaishali Jadhav.
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Note: Types as follows

OK- Conformance,

NC- Non Conformance

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Sr. No	File No/Register No	Observation	Type
1	Training file.	Updated.	OK
2	College Notice file.	Updated	OK
3	Dept. Notice file	Updated	OK
4	Company Database file	Updated	OK
5	Comp. Visit file	Updated till feb 2020, after that online data.	
6	Students selected file.	Updated till 2020 file numbers to be updated as per ISO list. Again audit will be done in next week along with HR	

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22-1-21

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Pooja Somani
12/2/21

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Kharghar, Navi Mumbai - 410 210.

2020-21

Academic Administrative Audit Schedule

Date: 22/01/2021

*Appendix
21/2/21*

Auditor Name: Dr. Madan M. Jagtap (Mech. Engg. Dept.)	Auditee: Prof. Pooja Somani (Civil Engineering Department.)
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Note: Types as follows

OK- Conformance,
NC- Non Conformance

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Sr. No	File No/Register No	Observation	Type
1	File No. 37	A.Y. 2017-18 & A.Y. 2019-20 to be updated with index	
2	file NO. 38	A.Y. 2019-20 to be updated with index	
3	File No. 10	A.Y. 2020-21 (online) & Prev. offline Updated	OK
4	File NO. 12	All syllabus Available (Uni. Syllabus)	OK
5	File No. 13	A.Y. 20-21 (odd Sem) to be updated	OK
6	file No. 36	Index to be updated (Publication Record)	OK
7	File No. 20	feedback. Index to be updated A.Y. 20-21 (online)	OK
8	File No. 18	Student Attendance Record offline (online) (online) A.Y. 20-21 (odd Sem) Updated	OK
9	File No. 3	A.Y. 20-21 (online) notice available	OK
10	File No. 42	A.Y. 20-21 to be updated (Patent & minor grant)	
11	File No. 34	Project till A.Y. 2020-21 updated Mini projects Updated	OK
12	File NO. 21	PTM. A.Y. 20-21 (online) Pre. offline	OK

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22/01/21

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22/1/21



13	file No. 35	A.Y. 20-21 Students event . Updated .	ok .
14	File NO. 50	News letter News letter to be updated A.Y. 20-21 (to be updated) A.Y. 2019-20 (June-July)	
15	File NO. 11	load distribution A.Y. 20-21 Updated Time Table	ok .
16	File No. 15	Question Bank Available Online A.Y. 20-21	ok .
17	file No. 14.	U.T. Question Paper A.Y. 20-21 (online) remaining offline	ok .
18	file No. 16	Marksheet Updated A.Y. 19-20 IA/oval. , A.Y. 20-21 (yet to be Submitted)	ok .
19	file No. 19	Students data file A.Y. 15-20 Available . A.Y. 20-21 (online)	ok .
20	file NO. 32	file to be prepared (New file) MOC & (Department level now to be updated) international	
21	file NO. 33	Curricular & co-curricular achievements international Achievements (A-New file) relations .	
22	file NO. 39	file to be updated (Centralized data.)	ok .
23	file NO. 40	Sport facility & Activity A.Y. 19-20 & 20-21 to be updated	
24	file NO. 41	Social Activity A.Y. 2019-20 Updated 20-21 to be updated .	ok .
25	file NO. 42.	RSD Activities A.Y. 20-21 & 19-20 to be updated	
26	file NO. 44	Library facilities department level to be updated (Bookilovs record)	
27	file NO. 47	faculty Education to be updated . CEP	
28	file NO. 45	NBA file Co-PO mapping (online Available)	ok .
29	file NO. 46	ISO format	ok .
30	file NO. 48	Outside Conference, Brochures .	
31	file NO. 52	Advisory Board. (Centralized)	ok .
32	File NO. 55 .	Student & Staff Achievements A-Y 20-20 to be updated .	
33	Register faculty counseling	updated till - March 20	ok .
34.			

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Kharghar, Navi Mumbai - 410 210.

2020-21

Academic Administrative Audit Schedule

Date: 22/01/2021

Auditor Name:	17 Mrs. Anuradha. Dandawat 27 Mr. Madan. J.	Auditee: Mrs. Pooja. Somani Civil Engg Dept
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Note: Types as follows

OK- Conformance,
NC- Non Conformance

Sr. No	File No/Register No	Observation	Type
1	file no 17	Result Analysis of sem IV, VI & VIII for 2019-20 done (second shift) ^{swift I} _{remaining}	OK
2	file no 16	TW/OP/Prat Even sem 2019-20 for sem IV & VI done (second shift) ^{swift I} _{remaining}	OK
3	file no 31	Budget at exam fee even & odd sem <u>not updated</u> for Aey 2019-20.	OK
		Time table & duty chart is done	
4	file no 51	STTP from Dec 16 to 20 Dec 2019 updated.	OK
5	file no 49	Additional Task allotted to faculty for 2019-20 done for swift I & II done	OK
6	file no 21	PTM done online done.	OK
7	file no 22	Alumni feedback file ^{for Aey} 2019-20 maintained online	OK
8	file no 23	Industry training file maintained data maintained online 2019-20 odd sem	OK
		Internship data for 2019-20 odd sem updated in file for 2019-20 even no data	
9.	file no 24	Lab manuals.	OK
10.	file no 25	Annual Budget & Requirement for even sem 2020-21 done 2019-20 odd sem remaining	

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22/1/21

22/1/21



11	file NO 26	Invoice . till odd sem 2019 updated.	
12	file NO 27	Annual maintenance updated till 2017 2018 onwards NOT updated.	
13	file NO 28	Rules & Regulation	OK
14	file NO 29	LTC	OK
15	file NO 30	Area details.	OK
16	file NO 50	New letter.	
17	file NO 54	student higher education till NOV 2019 is updated	
18	Register NO 1	Inwards Reg till March 2020 is updated.	OK
19	Register NO 2	outward Reg till 4/1/21 is updated	OK
20	Register NO 12	Faculty meeting Reg After lockdown maintained in softcopy. online	
21	Reg NO 8	BMCT lab utilization Reg.	OK
22	Reg NO 10	Stationary received till 5/2/20 updated	OK
23	Reg NO 5	equipment dead stock till ^{Apr} 2018-19 updated.	OK
24	Reg NO 9/16	furniture stock Reg updated for HOD cabins & for lab updated for previous years. till Apr 2016-17	OK
25	Reg NO 3	Faculty leave Reg NOT getting	
26	Reg NO 13	consumables Reg. Environment engs lab till 13/9/19 updated.	OK

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22/1/21

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22/1/21



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2020-21

Academic Administrative Audit Schedule

Date: 22/01/2021

Auditor Name:	17 Mrs. Anusadha. Damolwate 27 Mr. Madan. J.	Auditee: Mrs. Pooja. Somani Civil Engg Dept
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Note: Types as follows

OK- Conformance,
NC- Non Conformance

Sr. No	File No/Register No	Observation	Type
1	file NO 17	Result Analysis of sem IV, VI & VIII for 2019-20 done (second shift) ^{swift I} _{remaining}	OK
2	file NO 16	TW/OP/Prat Even sem 2019-20 for sem IV & VI done (second shift) ^{swift I} _{remaining}	OK
3	file NO 31	Budget of exam fee even & odd sem <u>not updated</u> for Aey 2019-20.	OK
		Time table & duty chart is done	
4	file NO 51	STTP from Dec 16 to 20 Dec 2019 updated.	OK
5	file NO 49	Additional Task allotted to faculty for 2019-20 done for swift I & II done	OK
6	file NO 21	PTM done online done.	OK
7	file NO 22	Alumni feedback file ^{for Aey} 2019-20 maintained online	OK
8	file NO 23	Industry training file data maintained online 2019-20 odd sem	OK
		Internship data for 2019-20 odd sem updated in file for 2019-20 even no data	
9.	file NO 24	Lab manuals.	OK
10.	file NO 25	Annual Budget & Requirement for even sem 2020-21 done 2019-20 odd sem Remaining	

DOC.NO.MR/FR-06 REV-00 (01/01/15)

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22/1/21

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22/1/21



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11	File NO 26	Invoice . till odd sem 2019 updated.	
12	File NO 27	Annual maintenance updated till 2017 2018 onwards not updated.	
13	File NO 28	Rules Regulation	OK
14	File NO 29	LIC	OK
15	File NO 30	Area details.	OK
16	File NO 50	New letter.	
17	File NO 54	student higher education till Nov 2019 is updated	
18	Register NO 1	Inwards Reg till March 2020 is updated.	OK
19	Register NO 2	outward Reg till 4/11/21 is updated	OK
20	Register NO 12	Faculty meeting Reg After lockdown maintained in softcopy online	OK
21	Reg NO 8	BMCT lab utilization Reg.	OK
22	Reg NO 10	Stationary received till 5/2/20 updated	OK
23	Reg NO 5	equipment dead stock till ^{Apr} 2018-19 updated.	OK
24	Reg NO 9/6	furniture stock Reg updated for HOD cabins & for lab updated for previous years . till Apr 2016-17	OK
25	Reg NO 3	faculty leave Reg not getting	
26	Reg NO 13	consumables Reg. Environment engs lab till 13/9/19 updated.	OK

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22/1/21

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22/1/21



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SARASWATI Education Society's
SARASWATI College of Engineering

Learn Live Achieve and Contribute

Kharghar, Navi Mumbai - 410 210.

Internal Audit Observation Sheet

IQA #:		DATE:	22-1-2021
PROCESS	Exam		
AUDITOR(S):	Sagar Khataavkas <i>SK</i>	AUDITEE(S):	Prof. D. M. Joshi <i>[Signature]</i> 22/1/21
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1	Regista No-5 - 2020-21 entries not found	SE
2	Reg. No-8- leave & leave adjustment not updated	SI
3	Seperators & tags should be used in all files	SI
4	Following files need to include in file list	O
	- Paper Solution file	
	- Correction in student data file	
	- Students application file.	
5	Following registers need to include in Reg. list	O
	- Transcript record register	
	- Deadstock register	

*Accountant
Gopal
4/1/21*



SARASWATI Education Society's
SARASWATI College of Engineering

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Kharghar, Navi Mumbai - 410 210.

Internal Audit Observation Sheet

IQA #:	DATE:	22/01/2021
PROCESS	Mech.	
AUDITOR(S):	GUPTA T. Z Dr. Sayali Choudhary	AUDITEE(S): J.M. B. Sarte II, Bariskar Mital Mahesh (Kardirak)
OBSERVER(S):		
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance	

04/02/21
for Hodmech

Sr. No.	Observation	Type
08	Proctor System file - Report of counselling Not available (01 to 07 file)	O OK
09	Add University of Mumbai Academic Calendar	O
10-14	-	OK
15	Add latest MCQ, QB, 16, 17, 18 -	O OK
19	Update student data file 19-20,	O
	20-25	OK
26	Invoice & purchase file, No purchase after 01/08/18.	O
27	- 3 3 -	OK
34	Add mini project list & details of second year & PBL - reports	O
	35 - 3 9 -	OK
40	Add Students Achievement like Rollings trophy All sports related Achievement	OK
42	Update R&D file.	OK

43-44 to 52
 53 A Not updated after 16-17
 54 - Add faculty Achievement
 55 - Add faculty Achievement



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SARASWATI Education Society's
SARASWATI College of Engineering

Learn Live Achieve and Contribute

Kharghar, Navi Mumbai - 410 210.

Internal Audit Observation Sheet

[Signature]
04/02/21
for Hod Mech

IQA #:	DATE:	22/01/2021
PROCESS	Mech.	
AUDITOR(S):	QURZI T. Z Dr. Sayali Choudhary	AUDITEE(S): J.M.B. Sarte II, Baniskan Mital Mahesh (Kardir)
OBSERVER(S):		
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance	

Sr. No.	Observation	Type
08	Proctor System file - Report of counselling Not available (01 to 07 file)	O OK
09	Add University of Mumbai Academic Calendar	O
10-14	-	OK
15	Add latest MCQ, QB, 16, 17, 18	O OK
19	Update student data file 19-20,	O
	20-25	OK
26	Invoice & purchase file, No purchase after 01/08/18.	O
27	- 3 3 -	OK
34	Add mini project list & details of second year & PBL - reports	O
	35 - 39 -	OK
40	Add Students Achievement like Rollings trophy All sports related Achievement	OK
42	Update R&D file.	OK
43-44 to 52	-	O
53 A	Not updated after 16-17	OK
54	-	O
55	Add faculty Achievement	O

- maintenance Register not updated

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22/01/2020

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22/01/2020
Chandhavi S.D.

W/Son
22/01/2020
(M B Sath)

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SARASWATI Education Society's
SARASWATI College of Engineering

Learn Live Achieve and Contribute

Kharghar, Navi Mumbai - 410 210.

2020-21

Academic Administrative Audit Schedule

Date: 22/01/2021

Auditor Name: Prof. Sonal Gahankari <i>Gahankari</i>	Automobile	Auditee: <i>22/01/21</i> <i>Res</i>
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Note: Types as follows

OK- Conformance,

NC- Non Conformance

Sr. No	File No/Register No	Observation	Type
1	File 1-4	Updated	OK
2	File 5	To be updated -	O
3	File 6-14	Updated	OK
4	File 15	Need to attach more documents	S
5	File 16-31	Updated	OK
6	File 32	To be placed properly -	O
7	File 33-37	Updated	OK
8	File 38-55	Updated	OK

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22/01/21



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SARASWATI Education Society's
SARASWATI College of Engineering

Learn Live Achieve and Contribute

Kharghar, Navi Mumbai - 410 210.

2020-21

Academic Administrative Audit Schedule

Date: 22/01/2021

Auditor Name: Dr. Sunil M. Rangari		Auditee: Establishment section
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Note: Types as follows OK- Conformance, NC- Non Conformance
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Sr. No	File No/Register No	Observation	Type
01.	Inward Register Doc.No. HR/RG-01(CC)	maintained properly for both college & Society.	OK
02.	Outward Register Doc.No. HR/RG-02	Missing signature of receiver in some cases.	
03.	Non-Teaching Muster Doc.No. HR/RG-03	April-20 to Aug-20 July-20 - no muster available. from Aug. 2020 it is available.	OK.
04.	Automobile Enq. (Muster).	Muster is signed upto March. 2020.	OK.
05.	Civil	Marking of leaves, absent, late etc properly marked.	OK.
06.	Comp	-11-	OK
07.	ExTC	-11-	OK
08.	FE	-11-	OK
09.	MECH	-11-	
10.	IT	-11-	
11.	Zerox Register	Updated upto Jan-18. No entry after Jan-2018.	



SARASWATI Education Society's
SARASWATI College of Engineering

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Kharghar, Navi Mumbai - 410 210.

12.	Requirement Register.	Not available. for material, requisition slip used to give at store.	
13.	Lat Register.	Entry in the old register upto 13.3.20. New register from Jan-2021.	OK.
14.	Holt day Register.	Entry in the old register upto 13.3.2020. No new registered yet prepare.	OK.
15.	OD Register	Entries upto 13.3.2020	OK.
16.	Gate Pass Register.	Not a single entry found.	
17.	Second shift Regi.	Some entries @ Leave marked by pencil.	
18.	Teaching staff cl/co Reg.	Maintain entries upto 10 March-2020.	OK.
19.	Non-Teach. staff cl/co	Entries maintained maintained properly. Entries found after Aug. 2020.	OK.
20.	Key Register.	Proper entries @ in & out with signature.	OK.
21.	Holiday Muster.	All entries found satisfactory.	OK.
22.	Security staff.	Leaves marked by red pen.	OK
		<u>Files</u>	
01.	Inword file.	It containing request letter receipt from student against L.O.S. faculty request letter, s/s visit letter.	OK.
02.	Outward file.	<u>No file maintained.</u> as request letter	—
03.	College Notice.	Maintained.	OK.
04.	Dept. Notice file.	Last notice on 16.01.2018. No new notice found.	
05.	Format file	Self appraisal, Curriculum vitae, clearance form, Demo feedback, budget, joining form etc.	OK
06.	Summary list of faculty/qualification.	Found list updated list of 20-21. Signature of authority should exist. =	OK.
07.	List of non-teaching	updated list of 2020-21. Signature of authority should exist. =	OK.
08.	Rules & Regulation for faculty & non-teach.	College (Society) rule book, with exist.	OK.
09.	UGC- Univ. file	Last UGC interview in year Aug. 2015 letters with other documents.	OK.
10.	AICTE- File	Old AICTE Handbook. New has to attached	•



SARASWATI Education Society's
SARASWATI College of Engineering

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Kharghar, Navi Mumbai - 410 210.

2020-21

Academic Administrative Audit Schedule

Date: 22/01/2021

Auditor Name: Vaishali Jadhav	Auditee: EXTC	Auditee: Naresh Joshi - EXTC Dept.
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Note: Types as follows

OK- Conformance,

NC- Non Conformance

Sr. No	File No/Register No	Observation	Type
1.	01- Inward file	Documents are available. entries done in inward register	OK.
2.	02- outward file	Documents available & attached in file Note: notices during lock-down period is in slow copy.	OK
3.	03- Academic flexibility	Documents are available till M 2019-20 ; slow copy for M 2020-21.	OK.
4.	04- Dept. Notice file	Documents are attached till March 2020. Rest non-attached in slow copy form.	OK.
5.	05- Faculty contribution at university level	Documents are attached	OK.
6.	06- Faculty details	Available	OK.
7.	07- Non teaching	Available	OK
8.	08- Proctor system File.	Signature required:	OK.
9.	09- Academic calendar.	Available. Noticed: AS university has not released A.M. - So 20-21-odd sem Dept & College AY not there.	OK.
10.	10- Academic monitoring.	Till 2019- March 20 - hand copy. attached slow copy	OK.
11.	11- Load distribution	Available docs	OK.
12.	12- Syllabus copy:	Available revised syllabus	OK.

DOC.NO.MR/FR-06 REV-00 (01/01/15)

22-1-21

22/01/21

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Naresh Joshi
22/01/21



SARASWATI Education Society's
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Kharghar, Navi Mumbai - 410 210.

13	13- University Question paper	Need to attach AY 19-20 - even even sem & AY 20-21 - odd sem paper	OK
14	14. Question paper	unit test = doc. available	OK
15	15. Question Bank	Need to update the calendar Year 2020 paper	OK.
16	16. Assessment evaluation	documents available Need signature - May 20 exams	OK.
17	17. Result Analysis		OK.
18	18. Student Attendance Record.	Till Feb 2020 - documents attached. Rest onward in slw copy	OK
19	19. student data file.		OK
20	20. Student feedback.	signature required.	OK
21	21. PTM		OK
22	22. Alumni Feedback.	AY 19-20 document feedback records available.	OK.
23	23. Industry Institute Interaction.		OK
24	24. Lab Manual.	AY 2019-20 - okay. Need AY 20-21 - sem III Lab Manual	OK
25	25. Budget file.	AY 2019-20 documents available AY 2020-21 - furniture doc. need signature	OK
26	26. Invoice of purchase		OK
27	27. AMC	- Update AMC file required.	
28	28. Rules Regulation		OK.
29	29. Placement Details	pls attach record of placement other than campus placement.	OK.
30	30 - Area details of the dept.		OK.
31	31- Exam file;	documents available	OK.
32	32 - removed -		
33	33. Co-curriculum achieved.	- certificates of students Need to attach	OK
34	34. project Record.	- List es available. Progress Report slw copy available.	OK

22/07/21
 22-1-21

SARASWATI College of Engineering

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Kharghar, Navi Mumbai - 410 210.

35.	35- Student Association file	1. Indexing of AY 2019-20 required. 2. AY 2019-20 - student council Record need to update	OK
36.	36 - publication.	Faculty paper available need to attach student record papers.	OK.
37.	37- Expert lect etc. for faculty		OK.
38	38 - Expert lect etc. for students.	- pls attach Notices, attendance, Feedback, if any Test applicable need to attach or principal's permission.	OK.
39.	39 - EDC	need to update Record.	
40	40 - sports		ok.
41	41 - Social Activity.	pls attach permission letter, participants signature also AY 2019-20 connect	OK.
42	42 - R & D.		—
43	43 - —	Removed —	—
44.	44 - Librery		ok.
45.	45 - NBA		—
46	46 - ISO format		ok.
47	47 - Higher education of faculty details.		ok.
48.	48 - Outreach Conference Notice, banner.		ok.
49	49 - Additional Tasks allocated to faculty	→. sls copy available for AY 20-21	ok
50	50 - News letter:		okay.
51	51 - Addon courses	pls attach — permission letter, syllabus, feedback, Test Record	—
52	52 - Advisory board file	— centralized	—
53	53 - Academic performance	→. Slows Adv. learner. file need to prepare for AY 19-20 & 20-21.	
54	54 - Student Progression		ok.
55-A55	55-A55 - Students achievement →.		okay.
	55-B faculty Achievement →		okay.

22/11/21

22/01/21

22/01/21



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SARASWATI Education Society's
SARASWATI College of Engineering

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Kharghar, Navi Mumbai - 410 210.

Internal Audit Observation Sheet

my
04/02/21
for Hod mech

IQA #:		DATE:	22/01/2021
PROCESS	Mech.		
AUDITOR(S):	QUIZZI T-Z Dr. Sayali Choudhary	AUDITEE(S):	M. B. Sarte (HOD) Baniskan Mital Mahajan (Coordinator)
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
08	proctor system file. Report of counselling Not available (01 to 07 file)	O OK
09	Add University of Mumbai Academic Calendar	O
10-14	-	OK
15	Add latest MCQ, QB, 16, 17, 18	O OK
19	Update student data file 19-20,	O
	20-25	OK
26	Invoice & purchase file, No purchase after 01/08/18.	O
27	- 33 -	OK
34	Add mini project list & details of second year & PBL - reports	O
	35 - 39 -	OK
40	Add Students Achievement like Rollingsophy All sports related Achievement	OK
42	Update R&D file.	OK
43-44 to 52	-	OK
53 A	Not updated after 16-17	O OK
54	-	O
55	Add faculty Achievement	O

- maintenance Register not updated

0.

~~9/1/20~~
22/01/2020

~~22/01/2020~~
Chenelhari S.D.

MB SM
22/01/2020
(MB SM)

MB SM

received
~~10/2/21~~



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SARASWATI Education Society's
SARASWATI College of Engineering

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Kharghar, Navi Mumbai - 410 210.

2020-21

Academic Administrative Audit Schedule

Date: 22/01/2021

Auditor Name: Dr. Sunil M. Rangari		Auditee: Establishment section.
--	--	---

Note: Types as follows

OK- Conformance,

NC- Non Conformance

Sr. No	File No/Register No	Observation	Type
01.	Inward Register Doc.No. HR/RG-01.CC	maintained properly for both college & Society.	OK
02.	Outward Register Doc. No. HR/RG-02	Missing signature of receiver in some cases.	
03.	Non-Teaching Muster Doc.No. HR/RG-03	April-20 to Aug-20 July-20 - no muster available. from Aug. 2020 it is available.	OK.
04.	Automobile Exp. (Muster).	Muster is signed upto March. 2020.	OK.
05	Civil	Muster of leaves, absent, late etc properly marked.	OK.
06.	Comp	-"-	OK
07.	ExTC	-"-	OK
08.	FE	-"-	OK
09.	MECH	-"-	-
10.	IT	-"-	
11	Zerox Register	Updated upto Jan-18. No entry after Jan-2018.	



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Kharghar, Navi Mumbai - 410 210.

12.	Requirement Register	Not available. for material, requisition slip used to give at store.	
13.	Late Register.	Entry in the old register upto 13.3.20. New register from Jan-2021.	OK.
14.	Half day Register.	Entry in the old register upto 13.3.2020. No new registers yet prepared.	OK.
15.	OD Register	Entries upto 13.3.2020	OK.
16.	Gate Pass Register.	Not a single entry found.	
17.	Second Shift Regi.	Some entries @ Leave marked by pencil.	
18.	Teaching staff cl/co Reg.	Maintain entries upto 10 March-2020.	OK.
19.	Non-Teach. staff cl/co	Entries maintained properly. Entries found after Aug. 2020.	OK.
20.	Key Register.	Proper entries @ in & out with signature.	OK.
21.	Holiday Muster.	All entries found satisfactory.	OK.
22.	Security staff.	Leaves marked by red pen.	OK
		<u>Files</u>	
01.	Inward file.	It containing request letter receipt from student against L.O.R. faculty request letter, visit letter.	OK.
02.	Outward file.	No file maintained. request letter	—
03.	College Notice.	Maintained.	OK.
04.	Dept. Notice file.	Last notice on 16.01.2018. No new notice found.	
05.	Format file	Self appraisal, Curriculum vitae, clearance form, Demo feedback, budget joining form etc.	OK
06.	Summary list of faculty/qualification.	Found that updated list of 20-21. Signature of authority should exist. =	OK.
07.	List of non-teaching	updated list of 2020-21. Signature of authority should exist. =	OK.
08.	Rules & Regulation for faculty & non-teach.	College (Society) rule book exist.	OK.
09.	UGC- Univ. file	Last UGC interview in Aug. 2015 letters with other documents.	OK.
10.	AICTE- File	old AICTE Handbook. New has to attached	•



SARASWATI Education Society's
SARASWATI College of Engineering

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Kharghar, Navi Mumbai - 410 210.

2020-21

Academic Administrative Audit Schedule

Date: 22/1/2021

Auditor Name: Prof. Sheetal Bukkavar		Auditee: Student Section
Note: Types as follows OK- Conformance, NC- Non Conformance		

Sr. No	File No./ Register No	Observation	Type
1	1	Inward file: Updated	
2	2	Outward file: Notices given to another academic department by student section are not included in this file. Instructed to update it.	
3	3	College Notice file: Inward notice are mixed with college notices, advised to separate it out. Also need to use separators for every year notices.	
4	4	Department File: Not required as notices from student section are going to another department are already included in outward file.	
5	5	AICTE notice file: Updated up to 16-17 only. It was told that after that all notices are coming online to the registrar mail Id.	
6	6	DTE notice file: Updated up to 16-17 only. It was told that after that all notices are coming online to the registrar mail Id. (DTE and AICTE file is combined)	
7	7	MU notice file: Updated up to 16-17 only. It was told that after that all notices are coming online to the registrar mail Id.	
8	8	Eligibility and Enrolment File: Updated. year wise separate files are maintained.	
9	9		

Received
Sheetal Bukkavar
21/2/2021

DOC.NO.MR/FR-06 REV-00 (01/01/15)

Received
Sheetal Bukkavar
21/2/21



10	10	EBC File: updated.	
11	11	Social Welfare Office File: Updated up to 2017-18, from 18-19 onwards all process is online hence no documents. List of students who filled the form for it is attached but in heading, year is missing.	
12	12	Minority File: Updated	
13	13	Adivasi Vikas Office File: Updated	
14	14	Admission Process File: Only year wise list of allotted students (FE and DSE) are attached.	
15	15	Document Verification file: Updated	
16	16	Original Document Return File: Updated. Signatures of the students to whom original documents were given is taken in the list of students. One column in the list for signatures for issued leaving certificate (LC) is added as per last year's suggestion.	
17	17	Roll List file: Roll lists for year 20-21 are missing.	
18	18	Admission Cancellation File: Pending.	
19	19	Pass out student document file: Updated	
20	20	Student Application File: Updated	
21	21	ISO format File: Updated	
22	22	Leaving Certificate Issue File: Updated	
23	23	Merit List File: Updated.	
24	1	Inward Register: Entries of year 2020 are missing.	
25	2	Outward Register: Entries of complete 1 year is missing.	
26	3	Deadstock and furniture Register: Updated.	
27	4	Private Scholarship details Register: Updated	



SARASWATI EDUCATION SOCIETY'S

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- Statistical data of year wise admitted students e.g. total students cast wise and gender wise bifurcation is updated
- As per students' section, they are mailing all students details (Name, category, number, mail id, address etc.) to respective departments every year.
- As per student section, status of scholarship deposited to students account is with accounts department only.
- No minutes of meeting register is maintained.

Auditee

Aswinds
22/11/2021

Amas shinde

S. Bukkawat
22/11/21

Dr. Sheetal Bukkawat

(Auditor)



SARASWATI Education Society's
SARASWATI College of Engineering

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Kharghar, Navi Mumbai - 410 210.

2020-21

Academic Administrative Audit Schedule

Date: 22/01/2021

Auditor Name: Roshmi John	IT DEPT.	Auditee: Diksha Kumar Vanshali Thakur
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Note: Types as follows

OK- Conformance,

NC- Non Conformance

Sr. No	File No/Register No	Observation	Type
1	DOCNO DEPT/FL-01, 02, 03-	Updated documents till Jan 2020-	OK.
2.	DOCNO. DEPT/FL-04	Updated	OK
3	DOCNO DEPT/FL-05	Last semester data available.	OK.
4.	DOCNO DEPT/FL-06 07, 08	Updated	OK.
5.	DOCNO DEPT/FL-09	Updated	OK
6.	DOCNO DEPT/FL-10	Soft copy prepared. properly maintained	OK.
7.	DOCNO DEPT/FL-11, 12, 13, 14, 15.		OK.
8.	DOCNO DEPT/FL-16.	Updated till May 2020, exams.	OK.
9.	DOCNO DEPT/FL-17	Result Analysis	OK.
10.	DOCNO DEPT/FL-18	Attendance records	OK.
11.	DOCNO DEPT/FL-19	Students data updated	OK.
12	DOCNO DEPT/FL-20		OK.



SARASWATI Education Society's
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13	DOCNO-DEPT 21-		OK
14	DOCNO DEPT FL-22	Ahemmi -	OK.
15	DOCNO DEPT FL-23	III interstipio Student certificates of interstipio to be collected	OK.
16	DOCNO-DEPT FL-24	Lab Manual soft copy available	
17	DOCNO-DEPT FL-25 26, 27	Annual Maintenance - No updation	OK.
18	DOCNO DEPT FL-29	Offline placement data not available to be updated	OK.
19	DOCNO DEPT FL-31,	IA1, IA2 marks to be included	
20	DOCNO DEPT 32, 33, 34		OK.
21	DOCNO DEPT FL-35	SAIT committee AY-20-21 not yet formed.	
22	DOCNO-DEPT FL- 36, 37, 38, 39	To be updated.	OK.
23	DOCNO DEPT FL-40 41, 42, 44	Updated	OK.
24	DOCNO-DEPT FL-45, 46, 47,		OK.
25	DOCNO-DEPT FL-48 49,	Updated.	OK
26	DOCNO-DEPT FL-50	News letter - Print to be taken soft copy ready	OK.
27	DOCNO-DEPT FL-51	Updated - Add on courses	OK
28	DOCNO-DEPT FL- 52, 53, 54		OK.
29	DOCNO-DEPT FL-55	Faculty certificates - attached	OK
		Registers	
		All registers checked	OK.
		3	

Roshni John
 Roshni John, HOD, Civil Engg.



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SARASWATI Education Society's
SARASWATI College of Engineering

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Kharghar, Navi Mumbai - 410 210.

2020-21

Academic Administrative Audit Schedule

Date: 22/01/2021

Approved
21/2/21

Auditor Name: Dr. Madan M. Jagtap (Mech. Engg. Dept)	Auditee: Prof. Pooja Somani (Civil Engineering Department)
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Note: Types as follows

OK- Conformance,
NC- Non Conformance

Sr. No	File No/Register No	Observation	Type
1	File No. 37	A.Y. 2017-18 & A.Y. 2019-20 to be updated with index	
2	File No. 38	A.Y. 2019-20 to be updated with index	
3	File No. 10	A.Y. 2020-21 (online) & Prev. offline Updated	OK
4	File No. 12	All syllabus Available (Uni. Syllabus)	OK
5	File No. 13	A.Y. 20-21 (odd Sem) to be updated	OK
6	File No. 36	Index to be updated (Publication Record)	OK
7	File No. 20	Feedback. Index to be updated A.Y. 20-21 (online)	OK
8	File No. 18	Student Attendance Record offline (online) (online) A.Y. 20-21 (odd Sem) Updated	OK
9	File No. 3	A.Y. 20-21 (online) notice available	OK
10	File No. 42	A.Y. 20-21 to be updated (Patent & minor grant)	
11	File No. 34	Project till A.Y. 2020-21 updated Mini Projects Updated	OK
12	File No. 21	PTM. A.Y. 20-21 (online) Pre. offline	OK

DOC.NO.MR/FR-06 REV-00 (01/01/15)

Dr. Madan M. Jagtap
22/01/21

Pooja Somani
22/1/21



SARASWATI Education Society's
SARASWATI College of Engineering

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13	file No. 35	A.Y. 20-21 Students event. Updated.	OK.
14	File NO. 50	News letter News letter to be updated A.Y. 20-21 (to be updated) A.Y. 2019-20 (June-July)	
15	File NO. 11	load distribution A.Y. 20-21 Updated Time Table	OK.
16	file No. 15	Question Bank Available online A.Y. 20-21	OK.
17	file No. 14.	U.T. Question Paper A.Y. 20-21 (online) remaining offline	OK.
18	file NO. 16	Marksheet Updated A.Y. 19-20 2A/oval., A.Y. 20-21 (yet to be Submitted)	OK.
19	file No. 19	Students data file A.Y. 15-20 Available. A.Y. 20-21 (online)	OK.
20	file NO. 32	file to be prepared (New file) MOC & (Department level now) international	
21	file NO. 33	Curricular & Co-curricular achievements ^{to be updated} relations. Achievements (New file)	
22	file NO. 39	file to be updated (Centralized data.)	OK.
23	file NO. 40	Sport facility & Activity A.Y. 19-20 & 20-21 to be updated	
24	file NO. 41	Social Activity A.Y. 2019-20 Updated 20-21 to be updated.	OK.
25	file NO. 42.	R&D Activities A.Y. 20-21 & 19-20 to be updated	
26	file NO. 44	Library facilities department level to be updated (Bookings record)	
27	file NO. 47	faculty Education to be updated. CEP	
28	file NO. 45	NBA file Co-PO mapping (online Available)	OK.
29	file NO. 46	ISO formate	OK.
30	file NO. 48	Outside Conference, Brochures.	
31	file NO. 52	Advisory Board. (Centralized)	OK.
32	file NO. 53.	Student & Staff Achievements A.Y. 20-21 to be updated.	
33	Register faculty counseling	updated till - March 20	OK.
34.			

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22/01/21

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22/1/21



SARASWATI Education Society's
SARASWATI College of Engineering

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Kharghar, Navi Mumbai - 410 210.

2020-21

Academic Administrative Audit Schedule

Date: 22/01/2021

Auditor Name:	17 Mrs. Anusadha. Damalwate 27 Mr. Madan. J.	Auditee: Mrs. Pooja. Somani Civil Engg Dept
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Note: Types as follows

OK- Conformance,

NC- Non Conformance

Sr. No	File No/Register No	Observation	Type
1	file NO 17	Result Analysis of sem IV, VI & VIII for 2019-20 done (second shift) ^{swift 1}	OK
2	file NO 16	TW/O R I P R of Even sem 2019-20 for sem IV & VI done (second shift) ^{swift 1}	OK
3	file NO 31	Budget of Exam fee even & odd sem <u>not updated</u> for Aey 2019-20. Time Table & duty chart is done	OK
4	file NO 51	STTP from Dec 16 to 20 Dec 2019 updated.	OK
5	file NO 49	Additional Task allotted to faculty for 2019-20 done for swift I & II done	OK
6	file NO 21	PTM done online done.	OK
7	file NO 22	Alumni feedback file ^{Pa Ach} 2019-20 maintained	OK
8	file NO 23	Industry training file Pa Ach data maintained online 2019-20 odd sem	OK
		Internship data for 2019-20 odd sem updated in file for 2019-20 even No data	
9.	file NO 24	Lab manuals.	OK
10.	file NO 25	Annual Budget & Requirement for even sem 2020-21 done 2019-20 odd sem Remaining	

DOC.NO.MR/FR-06 REV-00 (01/01/15)

22/1/21

22/1/21



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13	file No. 35	A.Y. 20-21 Students event. Updated.	OK.
14	File NO. 50	News letter News letter to be updated A.Y. 20-21 (to be updated) A.Y. 2019-20 (June-July)	
15	File No. 11	load distribution A.Y. 20-21 Updated Time Table	OK.
16	file No. 15	Question Bank Available online A.Y. 20-21	OK.
17	file No. 14.	U.T. Question Paper A.Y. 20-21 (online) remaining offline	OK.
18	file NO. 16	Marksheet Updated A.Y. 19-20 2A/oval, A.Y. 20-21 (yet to be Submitted)	OK.
19	file No. 19	Students data file A.Y. 19-20 Available A.Y. 20-21 (online)	OK.
20	file NO. 32	file to be prepared (New file) MOC & (Department level new) international	
21	file NO. 33	Curricular & Co-curricular achievements ^{to be updated} international Achievements (New file) relations.	
22	file NO. 39	file to be updated (Centralized data.)	OK.
23	file NO. 40	Sport facility & Activity A.Y. 19-20 & 20-21 to be updated	
24	file NO. 41	Social Activity A.Y. 2019-20 Updated 20-21 to be updated.	OK.
25	file NO. 42.	R&D Activities A.Y. 20-21 & 19-20 to be updated	
26	file NO. 44	Library facilities department level to be updated (Bookish record)	
27	file NO. 47	faculty Education to be updated. CEP	
28	file NO. 45	NBA file Co-PO mapping (online Available)	OK.
29	file NO. 46	ISO format	OK.
30	file NO. 48	Outside Conference, Brochures.	
31	file NO. 52	Advisory Board (Centralized)	OK.
32	file NO. 53.	Student & Staff Achievements A.Y. 20-21 to be updated.	
33	Register faculty counseling	updated till - March 20	OK.
34.			

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22/01/21

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22/1/21



SARASWATI Education Society's
SARASWATI College of Engineering

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Kharghar, Navi Mumbai - 410 210.

2020-21

Academic Administrative Audit Schedule

Date: 22/01/2021

Auditor Name:	17 Mrs. Anusudha. Dandekar 27 Mr. Madan. J.	Auditee: Mrs. Pooja. Somani Civil Engg Dept
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Note: Types as follows

OK- Conformance,
 NC- Non Conformance

Sr. No	File No/Register No	Observation	Type
1	file no 17	Result Analysis of sem IV, VI & VII for 2019-20 done (second shift) ^{swift} _{remaining}	OK
2	file no 16	TWIORIPRat Even sem 2019-20 for sem IV & VI done (second shift) ^{swift} _{remaining}	OK
3	file no 31	Budget of exam fee even & odd sem <u>not updated</u> for Aey 2019-20. Time table & duty chart is done	OK
4	file no 51	STTP from Dec 16 to 20 Dec 2019 updated.	OK
5	file no 49	Additional Task allotted to faculty for 2019-20 done for swift I & II done	OK
6	file no 21	PTM done online done.	OK
7	file no 22	Alumni feedback file ^{for Aey} 2019-20 maintained online	OK
8	file no 23	Industry training file maintained data maintained online 2019-20 odd sem	OK
		Internship data for 2019-20 odd sem updated in file for 2019-20 even no data	
9.	file no 24	Lab manuals.	OK
10.	file no 25	Annual Budget & Requirement for even sem 2020-21 done 2019-20 odd sem remaining	

DOC.NO.MR/FR-06 REV-00 (01/01/15)

22/1/21

22/1/21



SARASWATI Education Society's
SARASWATI College of Engineering

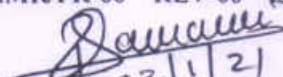
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Kharghar, Navi Mumbai - 410 210.

11	file NO 26	Invoice . till odd sem 2019 updated.	
12	file NO 27	Annual maintenance updated till 2017 2018 onwards not updated.	
13	file NO 28	Rules & Regulation	OK
14	file NO 29	LFC	OK
15	file NO 30	Area details.	OK
16	file NO 50	New letter.	
17	file NO 54	student higher education till NOV 2019 is updated	
18	Register NO 1	In words Reg till March 2020 is updated.	OK
19	Register NO 2	outward Reg till 4/11/21 is updated	OK
20	Register NO 12	Faculty meeting Reg After lockdown maintained in softcopy online	OK
21	Reg NO 8	BMCT Lab utilization Reg.	OK
22	Reg NO 10	Stationary Received till 5/2/20 updated	OK
23	Reg NO 5	equipment dead stock till ^{Acy} 2018-19 updated.	OK
24	Reg NO 9/6	Furniture stock Reg updated for HOD cabins & for lab updated for previous years. till Acy 2016-17	OK
25	Reg NO 3	faculty leave Reg NOT getting	
26	Reg NO 13	consumables Reg. Environment engg lab till 13/9/19 updated.	OK


22/1/21

DOC.NO.MR/FR-06 REV-00 (01/01/15)


22/1/21



SARASWATI Education Society's
SARASWATI College of Engineering

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Kharghar, Navi Mumbai - 410 210.

2020-21

Academic Administrative Audit Schedule

Date: 22/01/2021

Auditor Name: Prof. Sonal Bhankari Bhankari	Automobile	Auditee: 22/01/21 Yes
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Note: Types as follows

OK- Conformance,

NC- Non Conformance

Sr. No	File No/Register No	Observation	Type
1	File 1-4	Updated	OK
2.	File 5	To be updated -	O
3	File 6-14	Updated	OK
4	File 15	Need to attach more documents	S
5	File 16-31	Updated	OK
6	File 32	To be placed properly -	O
7	File 33-37	Updated	OK
8	File 38-55	Updated	OK

Prerna
Upadhyay



SARASWATI Education Society's
SARASWATI College of Engineering

Learn Live Achieve and Contribute

Kharghar, Navi Mumbai - 410 210.

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2020-21

Academic Administrative Audit Schedule

Date: 22/01/2021

Auditor Name: Pooja Somani	Auditee: Library	Auditee: Mrs. Seema Potdukhe
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Note: Types as follows

OK- Conformance,

NC- Non Conformance

Sr. No	File No/Register No	Observation	Type
1.	FL. 1	Updated till Feb 2020	OK
2	FL. 2	Updated.	OK.
3	FL. 3	College Notice file updated	OK
4	FL. 4	Updated	OK
5.	FL. 5	University Notice File	
6	FL. 6	Report File	OK
7.	FL. 7	N.T staff biodata file	OK.
8.	FL. 8	Book order file. updated	OK
9	FL. 9	Journal file	OK
10.	FL. 10	Book Invoice file	OK.
11.	FL. 11	Book Requirement File	OK
12	FL. 12, 13, 14	Updated	OK

DOC.NO.MR/FR-06 REV-00 (01/01/15)

Somani
22/1/2021

Sultana
22-1-2021

Sultana
21-2-2021



SARASWATI Education Society's
SARASWATI College of Engineering

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Kharghar, Navi Mumbai - 410 210.

13	FL. 15	LIC Committee Data updated.	OK
14	FL. 16	Area Details file	OK
15	FL. 19	Book & Journal file	OK
16	FL. 21	Advertisement file	OK
17	FL. 22	stock verification last done May 19 & updated,	
18	FL. 23	Recovery & lost book file	OK
19	FL. 24	Quotation file	OK
20	FL. 25	Updated	OK
21	FL. 26	Management sanction file	OK
22	FL. 27	Pending Books file	OK
23	RG-1, 2	Updated	OK
24	RG-3, 4, 5	Updated	OK
25	RG-6	Updated	OK.
26	RG-7-A&B	Updated	OK
27	RG-8	Journal Entry Register	OK
28	RG-9, 10, 11	Updated	OK
29	RG-12	Faculty Meeting (Not done as meetings not happening)	
30	RG-13	Digital Library Usage Register (not updated as till last year)	OK

S. Anand
22/01/21

DOC.NO.MR/FR-06 REV-00 (01/01/15)

Sulth
22-1-2021



SARASWATI Education Society's SARASWATI College of Engineering

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Kharghar, Navi Mumbai - 410 210.

2020-21

Academic Administrative Audit Schedule

Date: 22/01/2021

Auditor Name: Pooja Somani	T & P	Auditee: Mrs. Rajashree Tambe
--------------------------------------	-------	---

Prof. Vaishali Jadhav.

Note: Types as follows

OK- Conformance,
NC- Non Conformance

Sr. No	File No/Register No	Observation	Type
1	Training file.	Updated.	OK.
2	College Notice file.	Updated	OK
3	Dept. Notice file	Updated	OK
4	Company Database file	Updated	OK
5	Comp. Visit file	Updated till feb 2020, after that online data.	
6	Students selected file.	Updated till AN 2020 file numbers to be updated as per ISO list. Again audit will be done in next week along with HR	

Handwritten initials/signature

Received
Pooja Somani
04/02/21

Handwritten signature: Somani

Handwritten signature: Jadhav



SARASWATI Education Society's
SARASWATI College of Engineering

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Kharghar, Navi Mumbai - 410 210.

2020-21

Academic Administrative Audit Schedule

Date: ~~22/01/2021~~

03/02/2021

Auditor Name: Pooja Somani	HR	Auditee: Rajashree Tambe. <i>(Signature)</i>
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Note: Types as follows

OK- Conformance,

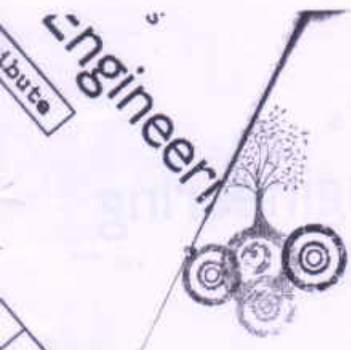
NC- Non Conformance

Sr. No	File No/Register No	Observation	Type
1		Register for staff coming for interview - not numbered.	
2.		Files of candidates not selected/ not joined are maintained separately for Comp/IT/FE & Civil, Mech/Auto	

(Signature)

DOC.NO.MR/FR-06 REV-00 (01/01/15)

(Signature)
03/02/21



SARASWATI Education Society's
SARASWATI College of Engineering

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Kharghar, Navi Mumbai - 410 210.

2020-21

Academic Administrative Audit Schedule

Date: ~~22/01/2021~~
 03/02/2021

Auditor Name: Pooja Somani	Training & Placement	Auditee: Mrs. Rajashree Tambe
--------------------------------------	---------------------------------	---

[Handwritten signature]

Note: Types as follows
 OK- Conformance,
 NC- Non Conformance

Sr. No	File No/Register No	Observation	Type
1	DOC NO. TP/FL-01	Updated till Feb 2020.	NC
2	02	Updated till feb 2020	
3	03	Updated	OK
4	04	Notice to be prepared.	
5	05	Students database to be updated (List of students,	
6	06	details of placed students)	
7	06	Updated till feb 2020	
8	07	Updated till Jan 2020	
9	08	Student feedback file.	OK
	09	HR Feedback file	
		[HR Feedback not available]	

[Handwritten signature: Somani]

[Handwritten signature]
 03/02/21



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SARASWATI College of Engineering

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2020-21

Academic Administrative Audit Schedule

Date: ~~22/01/2021~~
03/02/2021

Auditor Name: Pooja Somani	HR	Auditee: Rajashree Tambe. <i>(Signature)</i>
--------------------------------------	----	---

Note: Types as follows

OK- Conformance,
NC- Non Conformance

Sr. No	File No/Register No	Observation	Type
1		Register for staff coming for interview - not numbered.	
2.		Files of candidates not selected/ not joined are maintained separately for compl IIT FE & Civil, Mech/Auto	

(Signature)

(Signature)
03/02/21

2020-21

Academic Administrative Audit Schedule

Date: 22/01/2021

03/02/2021

Auditor Name: Pooja Somani	Training & Placement	Auditee: Mrs. Rajashree Tambe
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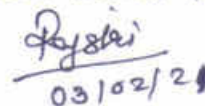

Note: Types as follows

OK- Conformance,
NC- Non Conformance

Sr. No	File No/Register No	Observation	Type
1	DOC NO. TP/FL-01	Updated till Feb 2020.	NC
2	02	Updated till Feb 2020	
3	03	Updated	OK
4	04	Notice to be prepared.	
5	05	Students database to be	
		updated (List of students,	
		details of placed students)	
6	06	Updated till Feb 2020	
7	07	Updated till Jan 2020	
8	08	Student feedback file.	OK
9	09	HR Feedback File	
		[HR Feedback not available]	



DOC.NO.MR/FR-06 REV-00 (01/01/15)



03/02/21

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SARASWATI College of Engineering

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2019-20

Academic Administrative Audit Schedule

Date: 16/12/2019

Auditor Name: Pooja Somani Anvasha. Dandwale	Auditee: Prof. Madhukar Soste Prof. Baviskar Prof. Mitali
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Note: Types as follows
 OK- Conformance,
 NC- Non Conformance

Sr. No	File No/Register No	Observation	Type
1	FL No. 1	Documents Notices to be segregated	
2	FL. NO. 2	as inward/outward	
3	FL. NO 3	document or notices	
4	FL. NO. 4	Hard copy of Department notices to be placed in this file	
5	FL. No. 5		OK
6	FL. NO. 6	Available	OK
7	FL. NO. 7	Available	OK
8	FL. NO. 8	Not updated after 2018	
9	FL. No. 9	Updated	OK
10	FL. NO 10	Updated	OK
11	FL. NO. 11	Load distribution & IT	OK

Sr. No	File No/Register No	Observation	Type
12	FL. NO. 12	Updated BE & TE syllabus to be added	
13	FL. NO. 13	Question paper (univ) to not arranged in sequence	
14	FL. NO. 14	Question paper (UT)	OK
15	FL. NO. 15	Question bank to be updated for new subjects.	
16	FL. NO. 16	Assessment / Evaluation	OK
17	FL. NO. 17	Result analysis	OK
18	FL. NO. 18	Attendance Record	OK
19	FL. NO. 19	Students data File	OK
20	FL. NO. 20	Date to be mentioned on feedback	
22	FL. NO. 22	Index to be prepared for Alumni file	
37	FL. NO. 37	Updated	OK
38	FL. NO. 38	More data of students activity to be added.	
39	FL. NO. 39	EDC activity to be updated	
42	FL. NO. 42	File to be updated. Approval letters or signed documents to be added in file.	
47	FL. NO. 47	Data of faculty going for higher education is not added.	

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2019-20

Academic Administrative Audit Schedule

Date: 16/12/2019

Auditor Name:		Auditee:
---------------	--	----------

Note: Types as follows

OK- Conformance,

NC- Non Conformance

Sr. No	File No/Register No	Observation	Type
1	Reg - 01	Updated	OK
2	Reg - 02	Updated	OK
3	Reg - 03	Online leave application so not updated	
4	Reg - 04	Updated	OK
5	Reg - 05	Updated	OK
6	Reg - 06	Updated	OK
12	Reg - 12	Updated	OK

2019-20

Academic Administrative Audit Schedule

Date: 02/01/2020

Auditor Name: Anuradha Dandekar Pooja Somani	<u>02/01/2020</u> <u>Sawani</u>	Auditee: Prof. Madhukar Sate Prof. Bo Viskar Prof. Mitali
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BB
Mah

Note: Types as follows
OK- Conformance,
NC- Non Conformance

Sr. No	File No/Register No	Observation	Type
1	File NO - 2 Outward file	Outward file & Key is not updated. & entries are not matching.	
2		Many documents don't have outward Number. Need to arrange date wise.	
3	File NO - 7 Non teaching personal file	updated	OK
4	File NO - 9 Academic calendar file	updated	OK
5	File NO - 11 load distribution & timetable file	file is not updated. Load distribution of Aoy 2018-19 is missing.	
6		Need to arrange fee file Academic Year & even / odd sem wise. Separables are needed.	
7			
8	File NO - 14 Unit Test paper file Question Paper file.	format of UT I & UT - II is not uniformed. No date is mention on any unit test paper.	
9			
10	File NO - 18 Student attendance records file	Few documents in this file need to update the column name	
11		Both columns is named as (student above 1.75) as well as	
12		Aoy need to update.	
13	File NO - 21 PTM file.	PTM analysis Report of Aoy 2016-17 is Pending, std deviation is not calculated	
14			

Sawani
11/1/2020

15	file NO-24 lab manual file.	<u>Not updated</u> Lab manuals Need to prepare according to New syllabus. If some subject are same but still need updation. All Lab manual was not available	
16	file NO-26 Invoice & Purchase	<u>Not updated</u> Invoice of odd sem 2019	
17	file.	1. is not added, Need separate to identify Acy & sem	
18	file NO-34 Project file	<u>Not updated.</u> Seqn of document is not proper.	
19		Project calendar is there but circulate / Notices Regarding project are missing for some Acy.	
20		BE Progressive Report need to maintain sem wise. sem VIII odd sem & sem VIII even sem with hod, & project guide dated sign.	
21		Mini Project Progressive Report need to add.	
22		current odd sem 2019 Sem VIII Progressive Report is not added in the file.	
23		<u>Not updated.</u>	
24	file NO-40 sports	1) The circulates regarding sports activity are without college Logo & without Hod & coordinator sign.	
25		2) Need to add sports activity circulate form university.	
26		3) Need to add Team Names & sport Name in the list.	
27		4) Add achievement certificates in sports either Indoor/outdoor/ collegiate / university level.	
28		5) Achievement If achievement certificate is not available add participation certificate for that achievement	
29			
30			
31			
32			
33			
34			
35		1.	

Shank
11/1/2020

36	file NO - 44	NOT updated	
37	library details	Add List of library book	
38	file.	requirement sem wise & Acy wise 1.	
39	file NO - 49	updated.	OK
40	Additional Task		
41	allocated		
42			
43	file NO - 51	on few documents sign of hod &	
44	Add on course	coordinator is missing.	
45		Acy is also not mentioned.	
46			
47			
48			
49			
50			
51			
52			
53		1.	
54			
55			

Abir
11/12/20

Sr. No	File No/Register No	Observation	Type
1	Inward	1.	
2	Outward	Need lots of updation	-
3	Leave and Leave adjustment		
4	PTM		
5	Dead-stock		
6	Furniture stock		
7	Lab Maintenance		
8	Lab Utilization		
9	Furniture Register of office		
10	Stationary Record		
11	Xerox		
12	Faculty meeting register	updated	OK
13	Consumables of Laboratory		
14	Faculty Counseling register		
15	Central Facility Computing		

Shree
1/11/2020

SARASWATI College of Engineering

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2019-20

Academic Administrative Audit Schedule

Date: 16/12/2019

Auditor Name: Prof. T.A. Quazi Dr. S.D. Chondhani	Civil dept.	Auditee: Prof. Rashmi Jahn Prof. Puj a Somani Prof. Sanjay Singh
---	-------------	---

Note: Types as follows

OK- Conformance,

NC- Non Conformance

Sr. No	File No/Register No	Observation	Type
1	Inward file	updated till 2 nd Dec. 19	ok
2.	Outward file	updated till Sept. 19	ok
3.	College notice file	updated	ok
4.	Dept. notice file	update.	ok
5.	Univ. notice file	last document - 3 rd Mar. 19	ok.
6.	Faculty details	} Personal files maintained Box file not prepared with all biodata till	ok
7.	Non teaching details		ok
8.	Proctor file	June 18 - updated. Not done for current year	ok
9.	Acad. Cal.	College & Univ. Acad. Calendar not attached.	ok
10	Monitoring.	updated	ok
11.	Timetable	current sem- in process	ok
12.	Syll. copies	updated	ok



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25	Budget & file Requirement		ok.
26	Invoice & purchase file		ok.
27	Annual maintenance Contract	Annual maintenance & calibration properly certified should be done. (Test & calibration report only) need to change name.	
28.	Rules & Regulation	} To be Scoped	
29.	LIC Committee data		
30	As per details of dept		
31	LMC Committee data		
32	Circular of DTE/AICTE?	- NA	
33	Circular of DTE	- NA	
I) -34	project records of study	weekly report & marks sheet should be added in shift	
II) -34	Student association details	weekly report & marksheet in shift	
35	Student Association	Audit report of Account to be included if available	ok.
36.	publication record file	- Citation & h-Index can be added Consultancy file can be added	
37	Expert lectures	-	ok
38	Expert lecture	-	ok
39	EDC activity	- centralization	ok
40	Sport facility & activity	- Reprint, Certificates	ok
41	Social activity		ok
42	R&D activity		ok
43	W D C.	not maintained in dept	

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2019-20

Academic Administrative Audit Schedule

Date: 16/12/2019

Auditor Name: <i>Sheetal Bhujade</i> <i>Sheetal</i> <i>01/01/2020</i>	Auditee: <i>FE Department</i> <i>Sheetal</i> <i>11/12/2020</i> <i>Chandhanis</i>
--	--

Note: Types as follows

OK- Conformance,

NC- Non Conformance

Sr. No	File No/Register No	Observation	Type
1	1 Inward file	OK, updated till 26/11/2019.	OK
2	2, Outward file	OK, updated till 15/11/2019	OK
3	3, College Notice file	OK, updated.	OK
4	4. Department Notice file	OK, updated.	OK
5	5 University Notice file	OK, updated	OK
6	6 Faculty details	OK, updated with latest joined faculty.	OK
7	7. Non-teaching Staff	OK " "	OK
8	8. Proctor system file	updated till last year 2019-20 - proctor not done.	2019-20 not done
9	9 Academic calendar	OK updated 2019-20 (add sem)	OK
10	10 Academic monitoring	OK, updated till last test 13/11/19	OK
11	11 load distribution	OK - load distribution done OK - time table in process	OK
12	12 Syllabus copy	OK, updated with latest syllabus	good

Sr. No	File No/Register No	Observation	
13	Question paper University	OK - updated	OK
14	Question paper Unit Test	OK - updated	OK
15	Question Bank	OK - updated	good
16	Assessment & Evaluation	OK - updated	OK
17	Result analysis	OK - updated	OK
18	Student attendance Record	OK - updated	OK
19	Student data file	OK - phone, number, branch - hardcopy detail Address - softcopy maintained	OK
20	Student feedback	OK - updated 2019-20 Faculty Counselling maintained in Registered	OK
21	PTM Record and Parent feedback	OK - but action taken is to be mentioned in report + to be done	OK
22		- not applicable	—
23		- " "	—
24	Lab Manuals	OK updated till sem I Sem-II in printing process	good
25	Budget and Requirement	OK - updated	OK
26	Invoices & Purchase file	OK	OK
27	Ann	not applicable	—
28	Rules Regulation	OK	OK
29	LIC committee data	OK	OK
30	Area details of department	OK	OK
31	LMC committee data	not applicable	—
32	Circular file	OK	OK
33	Circular file DTE	OK	OK
34	Project records of students	physics project given	OK
35	Student association file	no association CR and representative names updated	OK
36	Publication record	OK - updated	OK

No	File No/Register No	Observation	Type
37	Expert lectures Almanac	updated November 2018. no latest updation	OK
38	Expert lectures	OK - 3 files, deparately maintained expert lecture technical event and	OK
39	EDC activity file	updated till 2016, no latest activity	OK
40	Expert faculty	OK	OK
41	Social activity	OK - updated with event in 2018	OK
42	R & D activities	OK - minor research - 02	OK
43	Womens development	OK / no grievance	OK
44	Library statistics	OK	OK
45	NBA file	formats old available	OK
46	ISO format file	OK	OK
47	CEP program	higher education - PhD document available	OK
48	Outside conference	OK	OK
49	Additional task alloted to faculty	OK	OK
50	News letter	OK - 2019-20 softy copy	OK
51	Add on courses	OK -	good
52	Advisory Board	—	—
53	Academic Performance updates	2018 - Quality Circle updated	OK
54	Student Progression report	—	—
55	Student activity	OK - few university level disiplate level	OK
56			
Register			
1	Inward register	updated - OK	OK
2	Outward register	updated - OK	OK
3	leave	cl not maintained - online long leave adjusted - maintained	OK
4	PTM	maintained in file - OK	OK
5	Equipment Stock register	measurement wire maintained	OK
6	Furniture	2017 received updated - OK	OK
7	Calibration	2017 not updated - OK	OK
8	Utilization of lab	2019 utilization updated - OK	OK
9	Furniture	no latest updation 2017-18 received furniture updated	OK
10	Stationary	OK	OK
11	Xerox	2018 - till updated	OK
12	faculty meeting	now store department OK - Nov 2019 last meeting	OK
13	Consumables	latest maintained alphabetically	format to be changed
14	Faculty Counselling	OK	date sign to be maintained properly
15	Computing facility	till 2017 updated; no latest updation	

Repetative files to be merged.

2019-20

Academic Administrative Audit Schedule

Date: 16/12/2019

Auditor Name: Dr. Sunil M. Rangari		Auditee: Establishment section
--	--	---------------------------------------

Note: Types as follows

OK- Conformance,

NC- Non Conformance

Sr. No	File No/Register No	Observation	Type
01	01 -	IN - Collage - ✓ IN - Society - ✓ Entries are up ok with signature of receipts.	OK.
02	02	Outward → college - Appr/thanking letter, internship call documents of staff (stud.)	
03		Received from staff (attached to personal file), Zero of student document (letter for startsch)	OK.
0403	03	Non-teaching signature - Marked with appropriate remark eg. L, EL, M etc.	OK.
04	04	AUTO - Muster → marked the leave, and other late marks etc.	OK.
05	05	Civil -	OK
06	06	COMP -	OK
07	07	EXTC -	OK
	8	FE -	OK
	9	MECH -	OK
	10	IT -	OK
	17	Second shift -	OK.



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Reg. no.

↓ Zrox register

11	Entries up to 28/06/16. → Now Zrox done from store. Requisition filed by Dept. then sanctioned by store & given for Zrox.	OK
12.	Requirement Register - not no register. For any materials like g register requisition will be given to store.	OK
13	Late Register - maintain properly with all entries.	OK
14	Half day Register - ✓	OK
15.	OD. Register - ✓	OK
16	Gate pass Regis. - Register available but entries are done at security cabin.	OK
18	CL/CO - Bal. register - Teaching ✓	OK
18 19.	- " - " - Non Teaching ✓	OK
20	Key register - with security -	OK
21	Holiday sign register - with security -	OK
22.	Security staff. meter. -	OK.



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2019-20

Academic Administrative Audit Schedule

Date: 16/12/2019

Auditor Name: Dr. Sunil M. Rangari		Auditee: Establishment Section.
--	--	--

Note: Types as follows

OK- Conformance,

NC- Non Conformance

Sr. No	File No/Register No	Observation	Type
01.	01- Inward file	Files with HR-	OK
	02- outward file	— " —	OK
	3. college notice file.	All notices maintained in the file.	OK
	4. Dept. notice file	Notices belongs to Establishment.	OK
	05. Format file.	Format like - tendemo lect, joining, etc - leave, clearance form for faculty.	OK
	06 - summary of faculty.	Dept. wise (year wise) list of faculty. (No sign of authority on all lists).	NC
	07. Non teaching.	— " —	NC
	08 - Rules & regulation.	Regulation file by SCOE (skiral kind)	OK
	09. UGC-UNI- file	Maintain for - Advt. 7 page, 3 page, - (Roaster calculation in approved).	OK
	10. AICTE.	Rules of AICTE - was updated pages	OK
	11. Monthly Salary	Day of presence, Arrest of faculty for previous month at for every month.	OK
	12. faculty training file	Not attendance of faculty, roles & responsibility, training notice attached	OK.

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to notice file.

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2019-20

Academic Administrative Audit Schedule

Date: 16/12/2019

Auditor Name:	Prof. Mitali Mhate	Auditee: Prof. Dinesh Joshi Prof. Sheetal Bhujade Sheetal
---------------	--------------------	---

Note: Types as follows

OK- Conformance,

NC- Non Conformance

Sr. No	File No/Register No	Observation	Type
01	FL-01	file is maintained	OK
02	FL-02	file is maintained	OK
03	FL-03	file is maintained	OK
04	FL-04	file is maintained	OK
05	FL-05	file is maintained	OK
06	FL-06	file is maintained	OK
07	FL-07	file is maintained	OK
8	FL-08	file is maintained	OK
9	FL-09	file is maintained	OK
10	FL-10	file is maintained	OK

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2019-20

Academic Administrative Audit Schedule

01/01/2020
Date: 16/12/2019

Auditor Name: Dr. Madan M. Jagtap <i>[Signature]</i>		Auditee: Rajeshai Torbe <i>[Signature]</i>
---	--	---

Note: Types as follows

OK- Conformance,

NC- Non Conformance

Sr. No	File No/Register No	Observation	Type
1	Inward file FL-01	* year wise partition	ok
2	Outward file FL-02	Δ year wise partition	ok
3	FL-03	* college Notice file.	ok
4.	FL-04.	Δ Department Notice	ok
5.	FL-05	Data available Online	ok
6.	FL-06	Company Database file	ok
7.	Campus FL-07	Campus drive Attendance file. (yearwise)	
8.	FL-08.	Student feedback file (Training ^{feedback} Data)	
9.	FL-09.	HR feedback file (yearwise) end of ^{year}	
10.	FL-10 } .	○ Training - Attendance file (yet to be completed)	
11	FL-11 } .	○ Aptitude Attendance file (yet to be completed)	
12.	FL-12.	placed student data file (yearwise - new file)	

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SARASWATI College of Engineering

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2019-20

Academic Administrative Audit Schedule

01/01/2020
 Date: ~~04/12/2019~~

Auditor Name: Dr. Madan M. Jagtap		Auditee: Mrs. Rajshri Tambe <u>Rajshri</u>
---	--	---

Note: Types as follows

OK- Conformance,
 NC- Non Conformance

Sr. No	File No/Register No	Observation	Type
1	Inward & outward register		ok
2.	Attendance of interview	Attendance	ok
file			
1	Adhoc interview	(Departmentwise)	ok
		(Selected, Not selected, joined)	
2.			



2019-20

Symbols to merge
files
* merge 1+1.
□ merge 1+1.

Academic Administrative Audit Schedule

Date: 01/01/20
~~10/10/2019~~

Auditor Name: Dr. Madan M. Jaytap <i>myyfy</i>	Auditee: Seema U. Potdukhe <i>Sethu</i>
--	--

Note: Types as follows

OK- Conformance,

NC- Non Conformance

Sr. No	File No/Register No	Observation	Type
1	Inward file FL-01	* Inward ^{file} ok Year wise arranged ✓	OK
2	FL-02	□ Outward file ✓	OK
3	FL-03	* College notice file	OK
4	FL-04	□ Department Notice file	OK
5	FL-05	University Notice file X	OK
6	FL-06	° Report file ✓	OK
7	FL-07	All biadata Available ✓	OK
8	FL-08	△ Book Order ✓	OK
09	FL-09	Journal Subscription with ^{available} index ✓	OK
10	FL-10	Book Invoice available with index ✓	OK
11	FL-11	Requirements of New books from department Not received frequently ✓	OK
12	FL-12 FL-13	Syllabus & Question papers file available ✓	OK

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Library formats - feedback formats for staffs to be removed - OK



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14	FL-14	o Rules & Regulations	ok
15	FL-15	o LIC Committee Data file	ok
16	FL-16	MAP (Area details) ?	ok
17	FL-17	NBA file = Not Required X	ok
18	FL-18	ISO FILE - format ✓	ok
19	FL-19	Book & Journal binding file X	ok
20	FL-20	Additional Task allotted to faculty X	ok
21	FL-21	Advertisement - ✓	ok
22	FL-22	Stock Verification ✓	ok
23	FL-23	Recovery lost book ✓	ok
24	FL-24	△ Supplier Quotation	ok
25	FL-25	CD & Index ✓	ok
26	FL-26	Management Sanction file X	ok
27	FL-27	Pending Book file ✓	ok
1, 2	Regi. 1, 2	All entries are proper	ok
3	Regi.	leave adjustment ⇒ Not required as we are using orange X	ok
4	Regi. -4	Accession register ✓	ok
5	Regi. 5	Staff book issue register	ok
6, 7	Regi 6-A, B	stu VG & PGr B.T. & fine register	ok
7	Regi -7-A, B	Visit register, staff & students	ok
8	Regi -8	Journal entry register	ok
9	Regi -9	News paper record	ok
10	Regi -10	Dead Stock register	ok
11	Regi -11	Library usage register	ok
12	Regi -12	faculty meeting register X X	ok

Registers



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2019-20

Academic Administrative Audit Schedule

Date: 1/1/2020

Auditor Name: Prof. Sheetal Bukkavar		Auditee: Student Section
Note: Types as follows OK- Conformance, NC- Non Conformance		

Sr. No	File No./ Register No	Observation	Type
1	1	Inward file: Updated up to 22 nd March 2019 only.	
2	2	Outward file: Notices given to another academic department by student section are not included in this file. Instructed to update it.	
3	3	College Notice file: Inward notice are mixed with college notices, advised to separate it out. Also need to use separators for every year notices.	
4	4	Department File: Not required as notices from student section are going to other department are already included in outward file.	
5	5	AICTE notice file: Updated up to 16-17 only. It was told that after that all notices are coming online to the registrar mail Id.	
6	6	DTE notice file: Updated up to 16-17 only. It was told that after that all notices are coming online to the registrar mail Id.	
7	7	MU notice file: Updated up to 16-17 only. It was told that after that all notices are coming online to the registrar mail Id.	
8	8	Eligibility and Enrolment File: Updated. year wise separators required.	
9	9		



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10	10	EBC File: Updated up to 2017-18, from 18-19 onwards all process is online hence no documents. List of students who filled the form for EBC is missing.	
11	11	Social Welfare Office File: Updated up to 2017-18, from 18-19 onwards all process is online hence no documents. List of total students who are eligible, who filled the form and who got the scholarship, who didn't got it is missing.	
12	12	Minority File: Updated	OK
13	13	Adivasi Vikas Office File: Updated	OK
14	14	Admission Process File: Only year wise list of allotted students (FE and DSE) are attached. Attach process for 20% students admission of management quota.	
15	15	Document Verification file: Updated	OK
16	16	Original Document Return File: Updated. Signatures of the students to whom original documents were given is taken in the list of students. Suggestion given to add one column in the list for signatures for issued leaving certificate (LC).	
17	17	Roll List file: Updated	OK
18	18	Admission Cancellation File: need to be updated for current year	
19	19	Pass out student document file: Updated	OK
20	20	Student Application File: Updated	OK
21	21	ISO format File: Updated (new format of bonafide application is needed to attach)	
22	22	Leaving Certificate Issue File: need to be updated for current year.	
23	23	Merit List File: Updated.	OK
24	1	Inward Register: Entries of complete 1 year is missing.	
25	2	Outward Register: Entries of complete 1 year is missing.	
26	3	Deadstock and furniture Register: Updated.	OK
27	4	Private Scholarship details Register: Updated	OK



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- Statistical data of year wise admitted students i.e. total no. of students, cast wise and gender wise bifurcation of admitted students needs to be updated from 17-18 onwards.
- As per students' section, they are mailing all students details (Name, category, number, mail id, address etc.) to respective departments every year.
- As per student section, status of scholarship deposited to students account is with accounts department only.
- **No minutes of meeting register is maintained.**

SB
6/11/2020
Prof. Sheetal Bukkavar

(Auditor)

Arinds

SARASWATI College of Engineering

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Kharghar, Navi Mumbai - 410 210.

2019-20

Academic Administrative Audit Schedule

01/01/2020

Date: ~~01/12/2019~~

Auditor Name: Prof. Megha Ponde MP 01/12/19	Auditee: Rina Barea Rina
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Note: Types as follows OK- Conformance, NC- Non Conformance
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Sr. No	File No/Register No	Observation	Type
01	01	Updated	OK
2	02	Updated	OK
3	03	Updated	OK
4	04, 05, 6, 7	Updated	OK
5	08	previous proctor record is updated for recent sem. not complete	OK
6	9 & 10	Updated	OK
7	11	Authorized signatures not done on sub. choice by students	OK
8	12, 10, 23	Updated files	OK
9	24	Latest only softcopy maintained	OK
10	25	Updated	OK
11	26	Invoice is not received from store, Rest is updated	OK
12	27, 28, 29	College level data	—

Sr. No	File No/Register No	Observation	Type
13	30	updated	ok
14	31-33, 43, 45	LMC, AICTE, college level	-
15	34, 35	updated	ok
16	36	File is to be updated	Rest ok
17	37-40	updated	ok
18	41	Updated data added in	ok
19	42, 44, 46	Updated & maintained	ok
20	47	No remuneration received for only upgradation program like stp.	ok
21	48, 50, 53	Updated	ok
22	49	Even sem. updation incomplete	ok
23	51	-	ok
24	52	Advisory Board not mentioned	-
25	55	data repetition extra & cocurricular activity	ok
26	Registers		
27	01	Inward Register	ok
28	02	Outward reg.	ok
29	03	Leave adj reg.	ok
30	04	PTM reg.	ok
31	05	Updated & not maintained	ok
32	06	updated	ok
33	07	updated	ok
34	08	updated	ok
35	09	maintained	ok
36	11, 12, 10, 13, 14, 15	all are maintained & updated	ok



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2019-20

Academic Administrative Audit Schedule

01/01/2020
Date: ~~16/12/2019~~

Auditor Name: Sonal Gabankari Gabankari 01/01/2020	Auditee: QUART T-2 Sagar Khatawari 01/01/2020 1-1-2020
--	---

Note: Types as follows

OK- Conformance,

NC- Non Conformance

Sr. No	File No/Register No	Observation	Type
1	01	updated	OK
2	02	updated	OK
3	03	Not complete due to repetition	
4	04	updated	OK
5	05	Not updated due to online notices after 2017	
6	06	updated	OK
7	07	updated	OK
8	08 *	proctor.	OK
9	09	updated	OK
10	10	write remarks.	OK
11	11	Updated	OK
12	12	updated	OK



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13	13	updated	OK
14	14	updated	OK
15	15	Not updated recently	OK
16	16	updated	OK
17	17	updated	OK
18	18	updated	OK
19	19		OK
20	20	updated	OK
21	21	updated	OK
22	22	updated	OK
23	23	updated	OK
24	24	Arrange semesterwise according to new syllabus	
25	25	updated	OK
26	26	updated	OK
27	27	updated	OK
28	28		OK
29	29		OK
30	30		OK
31	31		OK
32	32		OK
33	33		OK
34	34	updated	OK



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Sr.No.	Registree No.	Observation	Type
1	01	All registers are complete.	OK
2	02		OK
3	03		OK
4	04		OK
5	05		OK
6	06		OK
7	07		OK
8	08		OK
9	09		OK
10	10		OK
11	11		OK
12	12		OK
13	13		OK
14	14		OK
15	15		OK
<u>Suggestions:</u> —		File no. 29 to 33 can be combined in one file or can be kept centralized.	
		Registers No.06 and 09 can be combined.	



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SARASWATI College of Engineering

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2019-20

Academic Administrative Audit Schedule

Date: 02/01/2020

Auditor Name: Prof Vaishali Jadhav Prof. Sagar Khatawkar	<i>Prof Vaishali Jadhav</i> 4/21/20 <i>Prof. Sagar Khatawkar</i> 2-1-20	EXTC DEPT <i>Mela</i> 2/1/2020	Auditee: Prof. Neha Mahajan Prof. Megha Pande	<i>Prof. Megha Pande</i> 02/01/2020
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Note: Types as follows

OK- Conformance,

NC- Non Conformance

Sr. No	File No/Register No	Observation	Type
1	Inward File	Notices are maintained in separate files like TPO, Exam etc...	ok
2	Outward File	Documents are available	ok
3	College Notice File	Documents are available	ok
4	Department Notice File	Documents are available	ok
5	University Notice File	Few Notices are available	ok
6	Faculty Detail File	Resumes are available	ok
7	Non Teaching Staff	Resumes are available	ok
8	Proctor System File	Proctor record file till Dec 2017 is available	NC
9	Academic Calendar and Schedules	Records available(College and Dept level)	ok



10	Academic Monitoring	Records available	ok
11	Load Distribution and Time table	Records available	ok
12	Syllabus Copies	Suggestion: FE latest syllabus make it available	ok
13	University Question paper file	Year-wise segregation not done	ok
14	Unit Test File	Exam dates not mentioned on question paper	ok
15	Question Bank	1. Few subject question banks are missing in previous academic years. 2. AY 2018-19 and 2019-20 (odd sem) subject question banks are not found.	ok
16	Assessment Evaluation File	Few mark sheets are not signed by internal faculties	ok
17	Result Analysis and Remedial Measures	1. Result analysis records are available 2. Remedial measures need to be update	ok
18	Student attendance record	1. Corrective actions of defaulters need to be updated	
19	Student data file	1. AY 2019-20 students' data is not available. Suggestion;- maintain following documents 1. Eligible list from student section with seal. 2. Students details with GR no	
20	Feedback and Faculty Counseling	Faculty Counseling records of Ay 2019-20 (odd sem) not available.	
21	PTM Record	AY 2019-20 (odd sem) feedback report ,parent feedback sheet and standard deviation is not available	
22	Alumina feedback	Feedback analysis and corrective action documents need to	



		be update	
23	Industry interaction institute	Records available	ok
24	Lab Manuals	Available lab manuals	ok
25	Budget and requirement file	Required documents are available	ok
26	Invoice and purchase	Required documents are available	ok
27	AMC	Not updated	
28	Rules and Regulations	File available	ok
29	LIC Committee		ok
30	Area Details	1. Area document not available	
31	LMC Committee		ok
32	AICTE Circular file		ok
33	DTE Circular file		ok
34	Project Record file	Records available	ok
35	Student association	1. Student committee list not available	
36	Publication record file	Records available	ok
37	Expert Lectures, Seminar...for faultiest	Event reports available	ok
38	Expert Lectures, Seminar...for students	Suggestion:- maintain flow of activity. 1. Principal permission letter 2. Guest invitation letter. 3. Guest Bio-data 4. Course content	ok



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		5. Report 6. Signature sheets 7. Feedback 8. Evaluation exam 9. Thanking letter	
39	EDC Activity File	Reports available	ok
40	Sports facility	Reports available	ok
41	Social Activity	Reports available	ok
42	R&D	Reports available	ok
43	Women development	Reports available	ok
44	Library statistics	Reports available	ok
45	NBA	Reports available	ok
46	ISO format	Reports available	ok
47	CEP program file	Reports available	ok
48	Outside conference	Reports available	ok
49	Additional Tasks allotted for faculty	Reports available	ok
50	News Letter	Reports available	ok
51	Add-on Course	Reports available	ok
52	Advisory Board	Reports available	ok
53	Academic Up gradation	1. Not updated last 2 years data	
54	Student Progression	Reports available	ok
55	Student Activity Achievements	Reports available	ok



Sr. No	File No/Register No	Observation	Type
1	Inward	1. Few records receivers sign are not available	ok
2	Outward		ok
3	Leave and Leave adjustment	OD ,Medical and vacations data available	ok
4	PTM		ok
5	Dead-stock		ok
6	Furniture stock		ok
7	Lab Maintenance		ok
8	Lab Utilization		ok
9	Furniture Register of office	No data after 2011	
10	Stationary Record	Need records from Ay 18-19	
11	Xerox		ok
12	Faculty meeting register	Last two years action taken data need to be update	
13	Consumables of Laboratory		ok
14	Faculty Counseling register	Ay 2019-20 (odd sem) counseling records are needed	
15	Central Computing Facility		ok



Suggestions

1. College notice file records are duplicate.
2. University notice file, AICTE circular file, DTE circular file, LIC committee, LMC data, EDC, Women's development cell files need to be maintain centrally only.
3. Students' association file, student's activity file, and social activity files need to be combined.
4. Files and **Register can maintain in softcopy are:-**
 1. Syllabus copies
 2. University Question Paper
 3. Unit Test Question Paper
 4. Question Bank
 5. Student Data File
 6. News Letter
 7. Rules and Regulations
 8. Publication File
 9. R&D activities
 10. Library Statistics
 11. ISO Format File
 12. Leave and Leave adjustment register

mtl
2-1-20

[Signature]
2-1-20

*Noted
to be discussed in
detail*
[Signature]

Education Society's
SARASWATI College of Engineering

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Kharghar, Navi Mumbai - 410 210.

2019-20

Academic Administrative Audit Schedule

03/01/2020
 Date: ~~16/12/2019~~

Auditor Name: Rashmi John. <i>Rashmi</i>	Auditee: Prof. Diksha Kumar <i>Diksha</i> Prof. Urushali Thakur. <i>Urushali</i>
--	---

Note: Types as follows
 OK- Conformance,
 NC- Non Conformance

Sr. No	File No/Register No	Observation	Type
1,2	Inward, Outward	Separators, tag reqd.	OK.
3	College notice		OK.
4	Dept notice file	Segregation required. some documents to be filed in college notice file	
5,6	University notice file		OK.
6	Faculty Details	Personal files to be updated	
7	Non teaching staff details		OK.
8,9	Academic calendar		OK.
10	Academic monitoring	Details of training programmes not included. like NPTEL Lectures	
11	Load Distribution & Time table		OK
12	Syllabus copies		OK
13	Question papers.		OK.

②

Sr. No	File No/Register No	Observation	Type
14	Unit test Question paper	Not updated	SI
15	Question bank		OK
16	Assessment, Evaluation	Separators reqd. Not arranged properly in semester in work	OK
17	Result Analysis & Remedial means		OK
18	Students attendance records	Separators ready	OK
19	Students data file		OK
20	Students' feedback & faculty couns	File to be arranged No data for faculty counselling	
21	PTM records Parents feedback	File to be updated Feedback analysis not done	SI
22	Alumni file	File to be updated after 17-18	SI
23	Industry Institute Interaction	to be updated No details of technical training	SI
24	Lab Manuals	Soft copy only	OK
25	Budget & Requirements		OK
26	Invoice & purchase		OK
27	Annual maintenance contract	Proper data not available	
30	Area details of dept		OK
34	Project records of student	Well arranged	OK
35	Student association details	Not updated	SI
36	Publication records		OK
37	Expert lectures for faculty	Not updated	SI
38	Expert lectures for students		OK
39	EDC activity file	recent data available Data from 2016-17 to 2018-19 not available	
40	Sport Sailability & activity	Not updated	SI
41	Social activity conducted	Not updated	SI
42	R & D activities	No data of M.U research proposals	SI

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Kharghar, Navi Mumbai - 410 210.

2019-20

Academic Administrative Audit Schedule

03/01/2020
 Date: ~~16/12/2019~~

Auditor Name: Roshni John	<i>Roshni</i>	Auditee:
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Note: Types as follows
 OK- Conformance,
 NC- Non Conformance

Sr. No	File No/Register No	Observation	Type
44	Library statistics		OK
45	NBA file	Not available	
47	CEP program file	Not updated	SI
48	Outside conference Seminars & workshops		OK
49	Additional task allotted		OK
50	Newsletter		OK
51	Add on courses	Data for two semesters to be updated	SI
53	Academic performance update	Not updated after 2017	SI
54	Students Higher education	No data	SI
55	Staff & Student achievements	Not updated for last 2 semesters	SI



SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210

Internal Audit Observation Sheet




IQA #:		DATE:	07/01/2019
PROCESS	Training & Placement		
AUDITOR(S):	1) Megha Ponde mp	AUDITEE(S):	1) Jayashree Hamde 2) Prof. Umesh Purjekar
OBSERVER(S):	—		
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1.	DOC NO TP/FL-01, FL-02	OK
2.	DOC NO TP/FL-08	OK
3.	DOC NO TP/FL-06 (students offer letter are to be attached)	SI
4.	DOC NO TP/FL-06 Rest OK.	OK



SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210

Internal Audit Observation Sheet

IQA #:		DATE:	31/03/2015 07/01/2019
PROCESS	Academic Audit		
AUDITOR(S):	Deepa Parasara 	AUDITEE(S):	T-2 QUARTY  Sagar Khatawica 
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1.	Syllabus Compliance and Academic Monitoring	SI ^P
2.	Academic Calendar	OK
3.	Students Attendance Record	OK
4.	PTM records, Parents feedback, Analysis report	SI
5.	Load distribution and Time table	OK
6.	Student Projects	OK
7.	Students Feedback	OK
8.	Result Analysis	OK
9.	Assessment / Evaluation (Termtest)	OK
10.	Question Papers (IA + Univ.)	OK
11.	Workshop (Expert Lecture of students)	OK SI
12.	Registers (PTM, Inward, Outward, Dept. Meeting)	OK



Internal Audit Observation Sheet

IQA #:		DATE:	7/11/19
PROCESS			
AUDITOR(S):	Prof Anuradha Dandusate <i>[Signature]</i> 7/11/19	AUDITEE(S):	Dr. sayali chaudhari <i>[Signature]</i> 7/11/19
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
10	load distribution &	OK
11	Academic monitoring	OK
13	Question Paper university	OK
14	Question paper Test	OK
08	Proctorial file	OK
09	Academic calendar	OK
17	Result Analysis	O
37	student soucshop/seminar	OK
51	Add on courses	OK
21	PTM file	OK
20	feedback file	OK

[Signature]
7/11/19



SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210

Internal Audit Observation Sheet

IQA #:		DATE:	7/1/19
PROCESS			
AUDITOR(S):	Prof. Sheetal R. Bhuyade Sheetal	AUDITEE(S):	MH 7.1.19
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
	Inward file / FL-01	OK but filing to be done.
	Outward file / FL-02	0 Data in sept copy LOR in file
	Notice file / FL-03	OK
	Department notice file / FL-04	OK
	Format File / FL-05	OK
	Faculty / qualification / FL-06	OK
	non teaching / qualification / FL-07	OK
	Rules and regulation / FL-08	OK
	UGC / university record / FL-09	OK
	AICTE / FL-10	0 - Current year to be done in register office.
	Monthly salary report / FL-11	OK
	Faculty & Staff Training / FL-12	OK



SARASWATI Education Society's
SARASWATI College of Engineering

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Kharghar, Navi Mumbai - 410 210.

Internal Audit Observation Sheet

IQA #:		DATE:	07/01/19
PROCESS			
AUDITOR(S): Prof. S. Burekwar		AUDITEE(S): 	Prof. M. Sorte, Prof. M. Jagtap HOD, Mech.-I & II
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1.	File 20 (Average feedback calculation missing)	SI
2.	File 22. (May 2018 Alumnie flb remaining)	SI
3.	File 37 (workshop details for year 2017-18 & 18-19 is pending)	SI
4.	File 55 (students achievement records)	SI.
5.	File 53 (Add elective choice forms)	SI.
	Rest all files are ok.	OK.
6.	File 34	PA.
7.	All registers. - Faculty meeting, stationary, PTM, Furniture deadstock, lab utilization etc.	OK



SARASWATI Education Society's
SARASWATI College of Engineering

Learn Live Achieve and Contribute

Kharghar, Navi Mumbai - 410 210.

Internal Audit Observation Sheet

IQA #:		DATE:	07/01/2019
PROCESS			
AUDITOR(S): Prof. M.B. Sorte	<i>[Signature]</i> 7.1.19.	AUDITEE(S): <i>[Signature]</i> 7/1/19.	Prof. Sheetal Bukkawar HOD, EXTC.
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1	File nos 1, 2, 3, 4, 5, 6, 7	OK
2	File nos 8 (Proctor) last sem not available	SI
3	Files no 9 to 26	OK
4	Files 27 to 33 Common files.	-
5	File no. 34 to 38	OK
6	File no 39 EDC, File 45 (NBA)	-
7	file no. 40 to 42	OK
8	File no. 43 WDC, File no. 46 (ISU format)	-
9	File no. 44 - car Library, File 47 CEO	OK
10.	File 48-55 & STB	OK
11	Faculty meeting register, lab utilization register	-
	furniture/deadstock register, STB, Inward/outward register	OK.



SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210

Internal Audit Observation Sheet

IQA #:		DATE:	31/03/2015 07/01/2019
PROCESS			
AUDITOR(S):	QUAZI T-Z 	AUDITEE(S):	Dr. Smil Rangari
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
	Academic diary	OK
	Course file	OK
	Academic monitoring	OK
	PTM	SI
	Result analysis	SI
	faculty counselling	SI
	Term Test Result	SI



SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210

Internal Audit Observation Sheet

IQA #:		DATE:	30/03/2015 07/01/2019
PROCESS			
AUDITOR(S):	QUARTZ FZ <i>[Signature]</i>	AUDITEE(S):	Roshni John <i>[Signature]</i> Pooja Samani <i>[Signature]</i>
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
	Faculty Bio-data file,	^P S.I
	Academic monitoring.	OK
	Team Test - file	S.I.
	project records?	OK
	Expert lectures	OK
	PTM record.	S.I.
	Entership file	P-A
	faculty counselling	S-I.
	Academic diary.	OK
	Course file.	S.I.



SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210

Internal Audit Observation Sheet

IQA #:		DATE:	31/03/2015 07/01/2019.
PROCESS	Computer Engg Dept		
AUDITOR(S):	Roshni John. <i>Roshni John</i>	AUDITEE(S):	Dr. Deepa Parashar <i>Dr. Deepa Parashar</i>
OBSERVER(S):	Prof. Rina, Prof. Subasini, Prof. Monali		
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1)	Academic Monitoring	OK.
2)	Academic calendar & Schedules	OK.
3)	Students' attendance records	OK
4)	PTM record, Parents' feedback, Analysis reports	OK.
5)	Load distribution and timetable.	OK.
6)	Student Projects	OK
7)	Students feedback	OK.
8)	Result Analysis	OK
9)	Assessment / Evaluation (Teamentest)	PA
10)	Internship Records	SI
11)	Question bank	OK
12)	Question papers (University & term test)	OK.



SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210

Internal Audit Observation Sheet

IQA #:		DATE:	31/03/2015- 07/01/2019
PROCESS	Computer Engg Dept		
AUDITOR(S):	Roshni John. <i>Roshni John</i>	AUDITEE(S):	Dr. Deepa Parashar <i>Dr. Deepa Parashar</i>
OBSERVER(S):	Prof. Rina, Prof. Subhasini, Prof. Monali		
Notes:	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
13)	Workshop / Expert lecture for students	OK.
14)	Academic diary	OK.
15)	Newsletters	OK
16)	Course file	OK.
17)	FDP	OK.
18)	Registers	
	Inward, Outward, PTM, Dept meeting	OK.



SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210

Internal Audit Observation Sheet

IQA #:		DATE:	31/03/2015 07/01/19
PROCESS	Library		
AUDITOR(S):	Pooja Somani <i>Pooja Somani</i> 7/1/19	AUDITEE(S):	Seema Potdukhe <i>Seema Potdukhe</i> 7-1-19
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1)	Inward file & Outward file (2)	^P OK
2)	College Notice file, Department Noticefile	OK
3)	University file @ (5)	OK
4)	Report file (6)	OK
5)	Biodata file (7)	OK
6)	Book order file (8)	OK
7)	Journal subscription file (9)	OK
8)	Budget & Requirement (10)	OK
9)	Advertisement file (21)	OK
10)	Recovery lost Book file (23)	OK
11)	Pending Books file (24)	OK
	Outward Register (2)	OK



SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210

Internal Audit Observation Sheet

IQA #:	ti	DATE:	31/03/2015 07/01/19
PROCESS	Library		
AUDITOR(S):	Pooja Semani <i>[Signature]</i> 7/1/19	AUDITEE(S):	Seema Potdukhe <i>[Signature]</i> 7-1-19
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
13	Leave Register (3)	P OK
14	Inward Register (1)	OK
15	Accession Register (4)	OK
16	User Register - staff & student (7A&B)	OK
17	BT & Fine Register (6)	OK
18	Staff ^{Book} Issue (5)	OK
19	Journal Entry Register (8)	OK
20	News paper Register (9)	OK
21	Dead stock Register (10)	OK
22	Library Usage Register (11)	OK



SARASWATI Education Society's
SARASWATI College of Engineering

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Summary Sheet

Internal Audit

Date: - 5th January 2018

Sr. No.	Name of Department	Name of Auditor	Observations	NC's if any	Remarks
1	Management Representative (M.R.)	Dr. Fauzia Siddiqui	1. Process manual- I	NA	OK
			2. Process manual- II		OK
			3. Quality objective System Manual		PA
			4. Electrical Document List file		OK
			5. MRM file -FL-04		OK
			6. Quotation & work Order File		OK
			7. Verification & internal audit record file		OK
			8. Training file -FL-08		OK
			9. ISO Format File		OK
			10. Control of doc -FL-10		OK
			11. Calibration & maintenance file -FL-12		OK
			12. Obsolete file -FL-06		OK
			13. Faculty Meeting register		OK
2	Electronics and telecommunication Engineering	Dr. Prakash Bhadane	1. Inward/ Outward files Course file –	NA	OK
			2. College Notice file, Department Notice file, University Notice file		OK
			3. Faculty details		OK
			4. Proctor System file		OK
			5. Academic Calendar & Schedule, Academic Monitoring		OK
			6. Load distribution & Time Table		OK
			7. Syllabus		OK
			8. Question papers & University Test papers		OK
			9. Question Bank assessment evaluation		OK
			10. Result analysis & Remedial		OK
			11. Students Attendance record		OK
			12. Student Data File		OK
			13. PTM Record & parents Feedback		OK
			14. Internal Exams		OK
			15. Alumni Feedback		OK
			16. Industrial Institute Interaction		OK

			6. Proctor file		OK
			7. PTM Record & Registration		OK
			8. Quality circle		OK
			9. Student Diary Proctor Register(student meeting)		OK
			10. FL-17 Result analysis		OK
			11. Academic lecture Monitoring record		OK
			12. Student Feedback		OK
5	Automobile Engineering	Dr. Bharati Joshi	1. All Files from 1 to 55, seen and all are properly updated	NA	OK
			2. All Register also seen and are updated		OK
	Information Technology	Prof. Sayali Choudhari	1. Slow learner & advance learner file	NA	OK
			2. Time table		OK
			3. PTM		O
			4. Expert Lectures & Seminars		O
			5. Proctor File		OK
			6. Proctor Register , Academic Diary		O
			7. Student Activity		OK
			8. Slow learner register		O
			9. Student diary		OK
			10. Remedial lectures		OK
			11. NAAC Manual		O
7	Computer Engineering	Prof. Megha N. Pande	1. Department Notice file & Meeting register	NA	OK
			2. Seminar for faculty & Students		OK
			3. Alumni Feedback		OK
			4. Academic Diary & Student Diary		OK
			5. Academic Monitoring & compliance		OK
			6. Project file		OK
			7. Proctor Register		SI
8	Engineering Sciences & Humanities	Dr. Sanjay Jadhav	1. Proctor file	NA	OK
			2. Academic Calendar		OK
			3. Seminar work shop file		OK
			4. Time-table load distribution		OK
			5. Inward out ward register		OK
			6. Student F/B & faculty counseling		OK
			7. Faculty meeting register, PTM register		OK
			8. Result analysis		OK
			9. Remedial lectures & result analysis		OK
			10. Technical Activities		OK
			11. Defaulter Action taken		OK
			12. R&D Activities, Academic calendar		OK
9	Exam Section	Prof. Pooja Somani	1. Inward File Outward File updated	NA	SI
			2. Circular file		O
			3. Exam cell notice fle		OK

			4. College notice file		O
			5. University Account file		OK
			6. College account file		OK
			7. Store file		OK
			8. PG clearance file		OK
			9. FL 9 RLE		OK
			10. Gazette May-June 2017(Rev) binded from Mark sheets – presented for 2years		OK
10	Training & Placement Cell	Prof. Roshani John	1. Inward File Outward File, & Registers	NA	OK
			2. Company Data file		SI
			3. Campus drive, attendance file		OK
			4. Student feedback file, HR feedback file		OK
			5. Training attendance file, Format File		OK
			6. Placed student data file		SI
			7. Aptitude test attendance file		OK
			8. Higher Student data file		OK
			9. Off campus placement, trainers file		OK
			10. Photography evidence file		OK
11	Human Resource Section	Prof. Shilpa Kewate	1. Inward File & Registers		OK
			2. Outward File & registers		OK
			3. College notice file		OK
			4. Department notice file		OK
			5. Summery list of faculty /qualification		OK
			6. List of non teaching /qualification		OK
			7. Rules & regulations for faculty & non teaching		O
			8. University file		OK
			9. AICTE File		OK
			10. Monthly Salary report		O
			11. Faculty & staff training report		O
			12. Xerox register		OK
12	Student Section	Prof. Mandeep Kundhal	1. Eligibility Doc.no.SS/FL-8 maintained	NA	OK
			2. Fl. 15 Document verification		O
			3. Fl. 16 original document return File		O
			4. Student Personal File – exam section sign pending 2016-17		O
			5. Fl. 18 Admission Cancellation 2015-16, 2016-17 in process		O
			6. Fl. 19 Pass out student 2015-16, 2016-17 in process		JO
			7. Fl. 23 Merit list		O
			8. Register Inward & Outward Register Maintained		OK

13	Library	Prof. Mitali Mhatre	1. FL-01- Inward file	NA	OK
			2. FL-02- Outward file		OK
			3. FL-03- College Notice file, FL-03- Department Notice file		OK
			4. FL-06- Report file, FL-07- Non teaching Staff file		OK
			5. FL-08- Order file, FL-09- Format file		OK
			6. FL-10- Invoice file		OK
			7. FL-2B- Lost book file		OK
			8. RG-01, RG-02-Outward rg.		OK
			9. RG-04- Accession Register		OK
			10. RG – 7A Staff utilization register, RG – 7B – Student utilization register		OK

Signature of Management Representative

Signature of Principal



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Internal Audit Observation Sheet

IQA #:		DATE:	05/01/18
PROCESS	Student Section		
AUDITOR(S):	Prof. Mandeep Kundhal	AUDITEE(S):	Mr. Student Section
OBSERVER(S):	Mr. Rahul Desai		
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1	Eligibility DOC No SS/FL-8 maintained	OK
2	Document Verification DOC No SS/FL-15 maintained till 2016-17, verification document not reviewed	O
3	Original Document Return File File No 16 Maintained till 2014-15 of 2015-16 & 2016-17 verification pending	O
4	Student personal file → exam section Sign pending for 2016-17	O
5	Admission cancellation file-18 maintained till 2015-16, 2016-17 in process	O
6	Passout Student Document File 19 Full 2015-16, 2016-17 in process	O
7	Merit List File FL23 maintained till 2016-17 2017-18 - in process as sign of DTE director	O
8	Register inward & out ward register maintained	OK



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Internal Audit Non-Conformance Report

Auditor:	Date of Audit:	Audit Area:
Person responsible for process under review:		NCR No.:
NON CONFORMANCE:		
Auditor:		
ROOT CAUSES FOR NON CONFORMANCE:		
CORRECTIVE ACTIONS TO BE COMPLETED:		
NAME OF PERSON(S) RESPONSIBLE		
DATE TO BE COMPLETED:		
VERIFICATION OF CORRECTIVE ACTIONS COMPLETION:		
Has CA been completed? Yes / No? / Matters outstanding		
Details:		
Date:	Signature of Auditee	Signature Auditor



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Internal Audit Observation Sheet

IQA #:		DATE:	
PROCESS			
AUDITOR(S):	Mitali. Whabre	AUDITEE(S):	Mrs. Seema Potdukhe
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1	FL-01 - Inward file	OK
2	FL-02 - outward file	ok.
3	FL-03 - College notice , FL-04 - department ntc file	OK
4	FL-06 - Report file , FL-07 - non teaching staff file	ok.
5	FL-08 - order file , FL-09 - Journal file -	OK.
6	FL-10 - Invoice file	ok.
7	FL-2B - lost book file.	OK.
8	RG-01 - RG-02 - Outward registers	OK.
9	Accession Register - RG-04	OK.
10	RG-08. Journal Register	OK.
11	RG-7A staff utilisation register RG-7B - student register	ok.

Mitali Whabre
5/1/18

Seema
5-1-18



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Internal Audit Non-Conformance Report

Auditor:	Date of Audit: 5/1/2018	Audit Area:
Person responsible for process under review:		NCR No.:
NON CONFORMANCE:		
Auditor:		
ROOT CAUSES FOR NON CONFORMANCE:		
CORRECTIVE ACTIONS TO BE COMPLETED:		
NAME OF PERSON(S) RESPONSIBLE		
DATE TO BE COMPLETED:		
VERIFICATION OF CORRECTIVE ACTIONS COMPLETION:		
Has CA been completed? Yes / No? / Matters outstanding		
Details:		
Date:	Signature of Auditee S-1-18	Signature Auditor 5/1/18



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Internal Audit Observation Sheet

IQA #:		DATE:	05/01/18
PROCESS	Training & Placement		
AUDITOR(S):	Roshni John	AUDITEE(S):	Asmita Pawar
OBSERVER(S):	Amol Jadhav		
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1	Inward/outward file, Inward/outward registers	OK.
2	Company data base file (Keep index page or consolidated data)	SI
3	Campus drive, attendance file (Sign of HOD, coordinators pending)	OK
4	Student feedback file, HR feedback file	OK.
5	Training attendance file, format file	OK.
6	Placed student data file (only offer letters, Keep consolidated data)	SI
7	Aptitude test attendance file (signs pending)	OK
8	Higher studies data (only transcripts, there M.A/M-Tech data not included)	O O
9	Off campus placements, Trainers file	OK.
10	Photography Evidence file. (Latest photos, has to be updated).	OK.

Roshni John
05/01/18 Roshni John.



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Internal Audit Non-Conformance Report

Auditor: <i>Roshni John</i>	Date of Audit: <i>05/01/2018</i>	Audit Area: <i>TPO</i>
Person responsible for process under review:		NCR No.:
NON CONFORMANCE: <i>Nil.</i>		
Auditor: <i>Roshni John.</i>		
ROOT CAUSES FOR NON CONFORMANCE: <i>Nil -</i>		
CORRECTIVE ACTIONS TO BE COMPLETED: <i>Nil -</i>		
NAME OF PERSON(S) RESPONSIBLE		
DATE TO BE COMPLETED:		
VERIFICATION OF CORRECTIVE ACTIONS COMPLETION:		
Has CA been completed? Yes / No? / Matters outstanding		
Details:		
Date: <i>05/01/2018</i>	Signature of Auditee <i>Aswathi</i>	Signature Auditor <i>Roshni John</i> <i>05/01/18</i>



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Internal Audit Observation Sheet

IQA #:		DATE:	5/01/2018
PROCESS	HR		
AUDITOR(S):	Mrs. Shilpa Kewate	AUDITEE(S):	Mr. Manik Pol Mrs. Savitri Yadav Mrs. Vaishali Desai
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
01	Inward Register / file	OK
02	Outward file / Register	OK
03	College notice file	OK
04	Department file notice	OK
05	Summary list of faculty / qualification.	OK
06	List of non teaching / qualifications	OK
07	Rules & Regulation for Faculty & non teaching latest information dated Aug 2016	O
08	Ute-University file	OK
09	AICTE file file current format - affiliation (modified document need to be attached - student ratio)	OK
10	Monthly salary report	OK
11	Faculty & staff training file (Latest training report need to be added)	O
12	Zero Register (last entry on 28/6/2016)	O

5.1.18



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Internal Audit Non-Conformance Report

Auditor: MS SHILPA KEWATE	Date of Audit: 5/01/2017	Audit Area: HR
Person responsible for process under review:	NCR No.:	
NON CONFORMANCE: Nil		
Auditor:		
ROOT CAUSES FOR NON CONFORMANCE: Nil		
CORRECTIVE ACTIONS TO BE COMPLETED: Nil		
NAME OF PERSON(S) RESPONSIBLE		
DATE TO BE COMPLETED:		
VERIFICATION OF CORRECTIVE ACTIONS COMPLETION:		
Has CA been completed? Yes / No? / Matters outstanding		
Details:		
Date: 5/01/2017	Signature of Auditee A	Signature Auditor Shilpa



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Internal Audit Observation Sheet

IQA #:		DATE:	5/1/18
PROCESS	Examination		
AUDITOR(S):	Pooja Somani	AUDITEE(S):	Prof. D.M. Joshi Ms. Sunita Vadex Mr. Jitu Moxe
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1.	Inward file / Outward file - Title to be updated.	SI.
2.	Circular file - Exam/FL-3 same No. may appear on in & out doc.	O
3.	Exam Cell Notices - Exam/FL-4	OK
4.	College Notices - Exam/FL-5 Notice segregation needed	O.
5.	University Account file - Exam/FL-6	OK
6.	College Account file - Exam/FL-7	OK
7.	Store file - Exam/FL-8	OK
8.	PG clearance file - Exam/FL-10	OK
9.	RLE file - Exam/FL-9	OK

10. Gazette - May - June 2017 (Rev) OK

Binded form.

Marksheet - presented for 2 years.

DOC. NO. MR/FR-06 REV-00 (01/01/15)

65-01-18/11

Somani
5/1/2018



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Internal Audit Non-Conformance Report

Auditor:	Date of Audit:	Audit Area:
Person responsible for process under review:		NCR No.:
NON CONFORMANCE:		
Auditor:		
ROOT CAUSES FOR NON CONFORMANCE:		
CORRECTIVE ACTIONS TO BE COMPLETED:		
NAME OF PERSON(S) RESPONSIBLE		
DATE TO BE COMPLETED:		
VERIFICATION OF CORRECTIVE ACTIONS COMPLETION:		
Has CA been completed? Yes / No? / Matters outstanding		
Details:		
Date:	Signature of Auditee	Signature Auditor



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Internal Audit Observation Sheet

COMP.

IQA #		DATE:	5/01/2018
PROCESS	ISO Audit (Internal) - Computer Dept.		
AUDITOR(S):	Megha N. Ponde (E & TC)	AUDITEE(S):	Prof. Madhuri Dalal
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
01	Departmental notice file & meeting register DOC. NO. COMP/FL-04	OK
02	Seminars for faculty & students DOC. NO. COMP/FL-37 DOC. NO. COMP/FL-38	OK OK
03	Alumni DOC. NO. COMP/FL-22	OK
04	Academic diary, student diary	OK
05	Academic monitoring & compliance	OK
06	Project file DOC. NO. COMP/FL-34	OK
07	Proctor register (Ameeta Upadhyay)	SI
	Suggest to describe counselling report properly.	
	Rest is OK.	

M. Ponde
5/01/2018

Prof. Megha N. Ponde

DOC. NO. MR/FR-06 REV-00 (01/01/15)



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Internal Audit Observation Sheet

COMP.

IQA #:		DATE:	5/01/2018
PROCESS:	ISO Audit (Internal) - Computer Dept.		
AUDITOR(S):	Megha N. Ponde (E & TC)	AUDITEE(S):	Prof. Madhuri Datal
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
01	Departmental notice file & meeting register DOC. NO. COMP/FL-04	OK
02	Seminar for faculty & students DOC. NO. COMP/FL-37 DOC. NO. COMP/FL-38	OK OK
03	Alumini DOC NO. COMP/FL-22	OK
04	Academic diary, student diary	OK
05	Academic monitoring & compliance	OK
06	Project file Doc No COMP/FL-34	OK
07	Proctor register (Ameeta Upadhyay)	SI
	Suggest to describe counselling report properly.	
	Rest is OK.	

M. Ponde
5/01/2018
Prof. Megha N. Ponde



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Internal Audit Observation Sheet

FE

IQA #		DATE	05/01/2018
PROCESS			
AUDITOR(S):	Dr. Sanjay S. Jadhav	AUDITEE(S):	Dr. Sanjay S. Jadhav Dr. Prakash Bedhane Dr. Saylee Choudhary
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1	Proctor file	OK
2	Academic calendar	OK
3	Seminar workshop file	PA
4	Time-Table Load Distribution	OK
5	Inward - outward Register	OK
6	Student F/B & Faculty counselling.	OK
7	Faculty meeting Register, PTM register	OK
8	Result Analysis	OK
9	Remedial lectures & Result Analysis	OK
10	Technical Activities	OK
11	Defuncter Action Taken	OK
12	R & D Activities, Academic calendar	OK

Jadhav





SARASWATI Education Society's
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Internal Audit Non-Conformance Report

Auditor: Sanjay S. Jadhav	Date of Audit: 05/04/2018	Audit Area:
Person responsible for process under review:	NCR No.:	
NON CONFORMANCE: —		
Auditor:		
ROOT CAUSES FOR NON CONFORMANCE: —		
CORRECTIVE ACTIONS TO BE COMPLETED: —		
NAME OF PERSON(S) RESPONSIBLE	—	
DATE TO BE COMPLETED:	—	
VERIFICATION OF CORRECTIVE ACTIONS COMPLETION:		
Has CA been completed? Yes / No? / Matters outstanding		
Details: —		
Date: 05/1/18	Signature of Auditee 	Signature Auditor 



SARASWATI Education Society's
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Kharghar, Navi Mumbai - 410 210.

Internal Audit Observation Sheet

IT

IQA #:		DATE:	5/01/2018
PROCESS			
AUDITOR(S):	Sayali Chaudhari	AUDITEE(S):	Prof. Vaishali Tadhar Prof. Anuradha Sandhate
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1.	Slow learner & Advance learner data	ok
2.	Time table	ok
3.	P.T.M	O
4.	Expert lectures & Seminars (File 37)	O
5.	Proctor	Ok
6.	Proctor registers, Acad. diary	O
7.	File-38 (Student's activity)	Ok
8.	slow learner register	O
9.	Student diary	Ok
10.	Remedial lectures	Ok
11.	NAAAC Manual (update)	O

Sayali
5/1/18
Chaudhari S.P.



SARASWATI Education Society's
SARASWATI College of Engineering

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Kharghar, Navi Mumbai - 410 210.

Internal Audit Non-Conformance Report

Auditor: <i>Sayali Chondhori</i>	Date of Audit: <i>5/1/18</i>	Audit Area:
Person responsible for process under review:		NCR No.:
NON CONFORMANCE: <i>Nil</i>		
Auditor:		
ROOT CAUSES FOR NON CONFORMANCE: <i>Nil</i>		
CORRECTIVE ACTIONS TO BE COMPLETED: <i>Nil</i>		
NAME OF PERSON(S) RESPONSIBLE	—	
DATE TO BE COMPLETED:	—	
VERIFICATION OF CORRECTIVE ACTIONS COMPLETION:		
Has CA been completed? Yes / No? / Matters outstanding		
Details:		
Date: <i>5/1/18</i>	Signature of Auditee <i>[Signature]</i> <i>5-1-18</i>	Signature Auditor <i>[Signature]</i> <i>5/1/18</i>



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Kharghar, Navi Mumbai - 410 210.

Internal Audit Observation Sheet

IQA #:		DATE:	5.1.18
PROCESS:			
AUDITOR(S):	Dr Fawna Siddiqi	AUDITEE(S):	Dr S. V. Dattar
OBSERVER(S):	OK.		
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1.	ISO 9001-2008 - Process Manual - I	OK
2.	ISO 9001-2008 - Process Manual II	OK
3.	Quality Mgmt - System Manual.	PA
4.	External document - dist - file	OK
5.	MRM file	OK
6.	Quotation & work order file.	OK
7.	Verification of Internal Audit Records	OK
8.	Internal Std 9001-2008	OK
9.	Training Record file.	OK
10.	ISO Form file	OK
11.	Control of document file, MR Audit Mgmt	OK
12.	Calibration & Maintenance file.	OK
13.	Obsolete file	OK
14.	Facilities meeting register	OK



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Internal Audit Non-Conformance Report

Auditor:	Date of Audit: 5.1.18	Audit Area:
Person responsible for process under review:		NCR No.:
NON CONFORMANCE:		
Auditor:		
ROOT CAUSES FOR NON CONFORMANCE:		
CORRECTIVE ACTIONS TO BE COMPLETED:		
NAME OF PERSON(S) RESPONSIBLE		
DATE TO BE COMPLETED:		
VERIFICATION OF CORRECTIVE ACTIONS COMPLETION:		
Has CA been completed? Yes / No? / Matters outstanding		
Details:		
Date:	Signature of Auditee	Signature Auditor



SARASWATI Education Society's
SARASWATI College of Engineering

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Kharghar, Navi Mumbai - 410 210.

Internal Audit Observation Sheet

EXTC

IQA #:		DATE:	5/1/2018
PROCESS			
AUDITOR(S):	Prof. Prakash Bhadane	AUDITEE(S):	Prof. Shital Bhatkwar Prof. Megha Pande
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1)	Inward file & outward file	OK
2)	college notice file, Departmental notice file & University notice file	OK
3)	Faculty details (Brodata - Teaching & non-teaching)	OK
4)	Proctor system file	OK
5)	Academic calendar & schedule, Academic / monitoring	OK
6)	Load Distribution and Time Table,	OK
7)	Syllabus compliance, & syllabus copies	OK
8)	Question papers & sol ⁿ - University & rest	OK
9)	Question Bank, Assessment evaluation (T _u & practical project)	OK
10)	Result analysis & remedial	OK
11)	student attendance Records (Default & punishment)	OK
12)	Student data file.	OK
13)	PTM Record & Parents feedback	OK

1)

05/01/18



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Internal Audit Observation Sheet

IQA #:		DATE:	
PROCESS			
AUDITOR(S):		AUDITEE(S):	
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
11)	Alumni feedback	OK
12)	Industrial Institutes Interaction	OK
13)	Lab manuals, Budget requirement	OK
14)	Invoice & Purchase file	OK
15)	Project records of students & Calendars for the same	OK
16)	R & D activities	OK
17)	Academic Performance Upgradation.	OK
18)	Student association Details	OK
19)	Expert lectures, seminars, workshop.	OK
20)	Registers: - Inward, outward	OK

PR
55/01/18



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Internal Audit Non-Conformance Report

Auditor:	Date of Audit:	Audit Area:
Person responsible for process under review:		NCR No.:
NON CONFORMANCE: Nil		
Auditor:		
ROOT CAUSES FOR NON CONFORMANCE: Nil		
CORRECTIVE ACTIONS TO BE COMPLETED: Nil		
NAME OF PERSON(S) RESPONSIBLE		
DATE TO BE COMPLETED:		
VERIFICATION OF CORRECTIVE ACTIONS COMPLETION:		
Has CA been completed? Yes / No? / Matters outstanding		
Details:		
Date: 05/12/19	Signature of Auditee <i>Amponde</i>	Signature Auditor <i>APC</i> 05/01/19



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Internal Audit Observation Sheet **CIVIL - II shift**

IQA #:		DATE:	05/01/2018
PROCESS			
AUDITOR(S):	 05/01/2018 QUART T-2	AUDITEE(S):	 S.M. Rangon
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
01.	Re medial coaching & slow learners, Advance team	SI
02.	Staff feedback, PTM	OK
03.	Proctor	SI
04	RnD, FDP & SDC, library, Newsletter, All faculty Academic calendar, faculty file	Common to shift I.
05	Time table, Academic diary, Exam paper, Team Work OP file	SI
06	Result Analysis, LAB Documents, syllabus, outward	OK
07	Lecture monitor, result analysis, course file, internal assessment	SI
08	project file, Responsibility	OK
09	Defaulter file.	OK.
10	All Register.	Common to shift I
11	NAAC Manual. to be updated	Common to shift I
12	Course Recknar, Faculty Counseling	Not available Not available.
		Not prepared Not prepared



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Internal Audit Non-Conformance Report

Auditor:	Date of Audit:	Audit Area:
Person responsible for process under review:		NCR No.:
NON CONFORMANCE:		
Auditor:		
ROOT CAUSES FOR NON CONFORMANCE:		
CORRECTIVE ACTIONS TO BE COMPLETED:		
NAME OF PERSON(S) RESPONSIBLE		
DATE TO BE COMPLETED:		
VERIFICATION OF CORRECTIVE ACTIONS COMPLETION:		
Has CA been completed? Yes / No? / Matters outstanding		
Details:		
Date:	Signature of Auditee	Signature Auditor



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Internal Audit Observation Sheet **CIVIL - II shift**

IQA #		DATE:	05/01/2018
PROCESS			
AUDITOR(S):	<i>GAN</i> 05/01/2018 QUART T-2	AUDITEE(S):	<i>S.S.</i> S.M. Rangan
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
01.	Re medial coaching & slow learners, Advance team	SI
02.	Staff feedback, PTM	OK
03.	Proctor	SI
04	RnD, FDP & SDC, library, Newsletter, All faculty Academic calendar, faculty file	Comments Shift I
05	Time table, Academic diary, Exam paper, Team Work QP file, file	SI
06	Result Analysis, LAB Documents, syllabus, outward	OK
07	Lecture monitor, result analysis, course file, internal assessed	SI
08	project file, Responsibility	OK
09	Defaulter file.	OK
10	All Register.	Comments Shift I
11	NAAC Manual. to be updated	Comments Shift I
12	Course Recknas. Faculty Counseling	Not available Not available Not prepared Not prepared



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Internal Audit Observation Sheet

IQA #:		DATE:	05/01/18
PROCESS			
AUDITOR(S):	Dr. S. M. Subramanian	AUDITEE(S):	Prof. Roshni John Prof. Shilpa Kewate Prof. Pooja Somani
OBSERVER(S):	Prof. U. W. Male		
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1)	Remedial coaching registers verified. & OK.	PA
2)	Slow learner registers verified & OK	SI
3)	Feedback & smtex, and Faculty counselling Reg. verified & OK	OK
4)	PTM Feedback verified & OK.	OK
5)	Alumni Feedback verified & OK. (Cumulative & studentwise)	OK
6)	Defaulters list list, avg defaulters, % defaulters verified.	
7)	Teachers diary verified & OK	OK
8)	Storage (cupboard) required for proper maintenance of records →	SI
9)	Syllabus compliance reports verified. & OK.	
10)	NEWS Letter (June 17) verified. & OK	PA
11)	Submission files verified. & OK.	OK
12)	ITW, outward files, notice files verified.	OK

- 13) Quality circle file (2016) verified, 2017 (work in progress)
- 14) student higher education file verified & ok.
- 15) Lecture monitoring file (Aug - Nov 17) verified & ok.
- 16) CEBA file, student activity file verified & ok
- 17) Lab. dead stock verified & ok
- 18) STTP records (latest 4th ~~Dec~~ Dec to 8th Dec)
verified & ok.
- 20) Lab utility register (Applied Hydraulics I & II)
verified & ok
- 21) subject choice & subject distribution
verified & ok, faculty requirement- verified & ok.

Conf/mt
Dr. S. M. Sabnis
05/01/18

Rohini
Rohini John
05/01/18



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Internal Audit Non-Conformance Report

Auditor:	Date of Audit: 05/01/18	Audit Area: civil Engg
Person responsible for process under review: Dr. S. M. Sahas	NCR No.:	
NON CONFORMANCE: — Nil —		
Auditor:		
ROOT CAUSES FOR NON CONFORMANCE: — Nil —		
CORRECTIVE ACTIONS TO BE COMPLETED: — Nil —		
NAME OF PERSON(S) RESPONSIBLE	Dr. S. M. Sahas	
DATE TO BE COMPLETED:	—	
VERIFICATION OF CORRECTIVE ACTIONS COMPLETION:		
Has CA been completed? Yes / No? / Matters outstanding		
Details:		
Date:	Signature of Auditee: <u>Rohini</u>	Signature Auditor: <u>G. R. 05/01/18</u>



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Summary Sheet

Internal Audit

Date: - 3rd July 2017

Sr. No.	Name of Department	Name of Auditor	Observations	NC's if any	Remarks
1	Electronics and telecommunication Engineering	Dr. Fauzia Siddiqui & Prof. Mitali Mhatre	1. FL-1,2,3,4 ,5 All notice file, Inward outward File	NA	OK
			2. Academic monitoring (signed and completed)		OK
			3. Load distribution (completed)		OK
			4. Proctor File/Diary (completed with the counseling form)		OK
			5. Expert lecture for students		OK
			6. Slow learner documents		OK
			7. Parent feedback (completed with all documents)		OK
			8. Alumni feedback (completed with all documents)		OK
			9. ETSA file (recent documents to be attached)		PA
			10. Defaulter file (completed)		OK
			11. Internship records and quality circle file		OK
			12. Academic Diary		SI
			13. All registers, Faculty meeting register with action taken report		OK
			14. Lab manuals		O
			15. Result Analysis		OK
			16. Advisory board file		OK
2	Civil Engineering	Dr. Prakash Bhadane & Prof. Sayali Choudhari	1. Time table & load distribution	NA	OK
			2. Defaulter list & attendance record		OK
			3. Result analysis		OK
			4. Lecture Monitoring file		OK
			5. Feed back (Students)		OK
			6. Quality circle		OK
			7. Budget requirement file		OK
			8. Academic diary		OK
			9. Proctor file		O
			10. Inward & outward file		OK
			11. News letter		OK
			12. Inward & outward register		OK

			13. Faculty meeting register		OK
			14. PTM File		OK
3	Mechanical Engineering	Prof. Roshani John & Dr. Sanjay Jadhav	1. B.E. projects, internship, Industrial Visits	NA	OK
			2. Lab Maintenance , Lab registers, Dead stock registers		OK
			3. Guest lecturers/Seminars, Advisory Board, News letter		OK
			4. Alumni Meets, PTM, MESA		OK
			5. Feedback (No dates entered, Semester, odd/even) feedback faculty received copy missing		SI
			6. Out ward register, Inward register (no updates after 4/5/17)		O
			7. Load distribution/Inward file/Out ward file		OK
			8. Time table (individual faculty time table – no copy in dept.)		SI
			9. Department minutes of meeting, department library register/FDP file		OK
			10. Proctor file/Result Analysis/Academic diary		OK
			11. Budget file (lab requirement of AY2016-17 missing)		O
			12. Daily lecture monitoring		OK
			13. Syllabus compliance		SI
			14. Course file		OK
			15. Lab Manual(HOD sign, lab Incharge sign not done)		O
4	Automobile Engineering	Prof. Anuradha Dandwate	1. FL 16 Assessment evaluation	NA	OK
			2. FL 34 Project evaluation		OK
			3. FL 37 Work shop STTP (faculty)		OK
			4. FL 22 Alumni		OK
			5. FL 51 Add on course		OK
			6. Inward/Outward register		OK
			7. Academic dairy , (CAD/CAM)		OK
			8. FL 14 (Unit Test/question paper)		OK
5	Information Technology	Prof. Shilpa Kewate	1. Academic monitoring FL 10	NA	OK
			2. Expert Lecture Fl 37		OK
			3. Load distribution FL 11		OK
			4. Syllabus Compliance report		OK
			5. Academic diary		OK
			6. Inward register entry till 30/05/17		PA
			7. Out register		OK
			8. Advisory board FL 52		OK
			9. Course file of Mr. Pravin Shinde		OK
6	Computer Engineering	Prof. Pooja Somani	1.FL – 1 Proctor file	NA	OK
			2.FL – 11 Load distribution & Time table		OK
			3.FL – 10 Academic Monitoring file		OK

			4.FL – 20 Feedback		OK
			5.FL – 38 Expert Lecture, seminars etc. (for students)		OK
			6.FL – 37 Expert Lecture, seminars etc.(for faculty)		SI
			7. FL – 18 Defaulter & attendance record		OK
			8. FL – 51 Add on course		OK
			9. FL – 4 Department notice file		SI
7	Engineering Sciences & Humanities	Prof. Sagar Khatavkar	1. Student defaulter file checked	NA	OK
			2. Quality circle and QIP activity		OK
			3. Academic diaries		OK
			4. PTM record & MOM checked		OK
			5. Slow learner data		OK
			6. Daily monitoring file with sign checked		OK
			7. Internal assessment of last SEM checked		OK
8	Exam Section	Prof. T.Z. Quazi	1. FL 01,02,03,05	NA	OK
			2. FL 04 – Exam cell Notice		O
			3. FL 06,07 University Account College Account file		SI
			4. FL 08,09,10,11		OK
			5. Inward Register 01,02,03,04		OK
			6. Movement register RG-05		SI
			7. RG 06,07,08,09		OK
			8. Overall safety related issues software updated		SI
9	Training & Placement Cell	Prof. Vaishali Jadhav	1. Campus drive attendance file (signs of are needed on few documents)	NA	OK
			2. HR feedback		OK
			3. Placement student data format		OK
			4. Training Detail file		OK
			5. Student Feesback		OK
			6. Aptitude test details		OK
			7. Trainers company chart details		OK
			8. Out ward register receivers sign is remaining		OK
			9. Dead stock suggestion – do stamping and take principal signature		OK
			10. Inward		OK
			11. College notice file		OK
			12. Department notice file		OK
			13. Work -shops & seminars company detail file		OK
			14. Off campus placement file.		OK
10	Human Resource Section	Prof. Pooja Somani & Prof. Madan Jagtap	1. FR-12 competence form for faculty maintained till 2015-16		O
			2. FR-5 CV fill to be updated		O
			3. FL- 10, AICTE maintained		O
			4. Faculty list & Non-teaching List		OK
			5. FL – 11 Monthly salary report maintained		OK

			6. CL/CO muster maintained		OK
			7. FL – 6 Summary list of faculty qualification maintained till 2016-17		OK
			8. Interview norms well maintained		PA
			9. OD register maintained		OK
11	Student Section	Dr. Suhas Sabnis	1. Admission file Suggestion for documentwise	NA	OK
			2. UG, PG student admission statistics		OK
			3. FE cut off data ok		OK
			4. Bill file for scholarship & free ship		OK
			5. Bank statement file for scholarship & free ship		OK
			6. Inward/Outward		OK
			7. Notice file		OK
			8. AICTE notice file/DTE notice file		OK
			9. Eligibility file		OK
			10. Original document return file		OK
			11. Original merit list file		OK
			12. Considering vastness of data online		SI
			13. Software for student section is very much required		SI
			14. Documentation is fine & OK		OK
12	Library	Prof. Megha Pande	1. Budget file FL 07	NA	OK
			2. Report file -06		OK
			3. Requirement form complete for last year		OK
			4. Library stock verification		OK
			5. Quotation file FL 24, 3 quotation		OK
			6. Recovery of lost book FL 23		OK
			7. Journal subscription FL 09		OK
			8. Rest all file are checked & all are ok		OK

Signature of Management Representative

Signature of Principal



SARASWATI Education Society's
SARASWATI College of Engineering

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Kharghar, Navi Mumbai - 410 210.

Internal Audit Observation Sheet

IQA #		DATE:	05-01-17
PROCESS	ISO - Audit - Mechanical Dept.		
AUDITOR(S):	Ms. Vaishali Jadhav Mrs. Anuradha Dumbare	AUDITEE(S):	Mrs. Mittal
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1.	Load Distribution	OK
2.	project file	OK
3.	Inward, outward Registers	OK.
4.	File 37- faculty prgs organized by the dept.	OK
5.	File 38 - Student Activities - Signatures are remaining on few documents	O
6.	Proctoral file	O
7.	PTM PTM record Registration	OK OK.
8.	Quality Circle	OK.
9.	student diary / Proctoral reg (student meetings)	SI
10.	17- Result Analysis	OK.
11.	Lecture Monitoring Records	OK
12.	Student Feedback	OK.

[Signature]
5-1-18.

[Signature]
5/1/18

[Signature]



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Kharghar, Navi Mumbai - 410 210.

Internal Audit Non-Conformance Report (N/A)

Auditor:	Date of Audit:	Audit Area:
Person responsible for process under review:		NCR No.:
NON CONFORMANCE:		
Auditor:		
ROOT CAUSES FOR NON CONFORMANCE:		
CORRECTIVE ACTIONS TO BE COMPLETED:		
NAME OF PERSON(S) RESPONSIBLE		
DATE TO BE COMPLETED:		
VERIFICATION OF CORRECTIVE ACTIONS COMPLETION:		
Has CA been completed? Yes / No? / Matters outstanding		
Details:		
Date;	Signature of Auditee	Signature Auditor

[Handwritten Signature]

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5/11/18



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Internal Audit Observation Sheet

IQA #:		DATE:	3/07/17
PROCESS	HR		
AUDITOR(S):	Mrs Mandeep Kundhal	AUDITEE(S):	Mr Manish Sol
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1	FR-12 Competence form for faculty maintained till 2015-16	O
2	FR-12 Faculty & staff Training file maintained till 2015-16	O
3	FR-05- CV file to be updated.	O
4	FL-10 AICTE maintained	OK
5	FL-11 Monthly Salary Report Maintained	OK
6	CL/CO muster maintained	OK
7	FL-06 Summary list of faculty / qualifications maintained till 2016-17	OK
8	Interview process well maintained	PA
9	OO Register Maintained	OK

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Internal Audit Non-Conformance Report

Auditor:	Date of Audit:	Audit Area:
Person responsible for process under review:		NCR No.:
NON CONFORMANCE:		
Auditor:		
ROOT CAUSES FOR NON CONFORMANCE:		
CORRECTIVE ACTIONS TO BE COMPLETED:		
NAME OF PERSON(S) RESPONSIBLE		
DATE TO BE COMPLETED:		
VERIFICATION OF CORRECTIVE ACTIONS COMPLETION:		
Has CA been completed? Yes / No? / Matters outstanding		
Details:		
Date:	Signature of Auditee	Signature Auditor



SARASWATI College of Engineering

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Internal Audit Observation Sheet

IQA #:		DATE:	03/07/2017
PROCESS			
AUDITOR(S):	Dr. Fauzia Siddiqui Prof. Mitzi Mhatre	AUDITEE(S):	Prof. Megha Fande
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
FL-01,02,03,04,05	All notice file Inward Outward	-OK.
FL-10	Academic monitoring (signed and completed)	OK
FL-11	Load distribution (completed)	OK.
FL-08	Proctor file (completed with the counselling forms)	OK.
FL-37	Expert lecture for students	OK.
FL-21	Parent feedback - (completed with all documents)	OK.
FL-22	Alumni feedback (file is complete)	OK.
FL-35	ETSA file (recent documents to be attached)	PA
FL-18	defaulter file (completed)	OK
FL-	Internship ^{file} and quality circle file	OK.
FL-	Academic diary of prof (some diaries yet to be signed)	SI.
	All registers (OK), faculty meeting register with action taken report	OK.

Lab Manuals. (Subject Incharge sign missing)

FL-17 Result analysis file
FL-52 Advisory Board file

Dr. Fauzia S.

Mitzi Mhatre

Observation
OK.
OK.



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Internal Audit Non-Conformance Report

Auditor:	Date of Audit:	Audit Area:
Person responsible for process under review:		NCR No.:
NON CONFORMANCE:		
Auditor:		
ROOT CAUSES FOR NON CONFORMANCE:		
CORRECTIVE ACTIONS TO BE COMPLETED:		
NAME OF PERSON(S) RESPONSIBLE		
DATE TO BE COMPLETED:		
VERIFICATION OF CORRECTIVE ACTIONS COMPLETION:		
Has CA been completed? Yes / No? / Matters outstanding		
Details:		
Date:	Signature of Auditee	Signature Auditor

[Handwritten Signature]
Muzeli Nhatk



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Internal Audit Observation Sheet

IQA #.		DATE:	3/7/17
PROCESS	Academic Process "Civil Engg"		
AUDITOR(S):	Prof. Dr. Prakash Bhadane Prof. Gayatri Choudhari	AUDITEE(S):	Prof. R. John Prof. Shilpakewate Prof. Pooja Somani
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
	F-11 Time table & load distribution.	ok
	Defaulter's list & attendance record	ok
	Result analysis	ok
	Monitoring file	ok
	Feedback (students)	ok
	Quality Circle	ok
	Budget file	ok
	Acad. diary	ok
	Proctor file	ok
	Inward & Outward file	ok
	Newsletter	ok
	Proctor file	O

Sheet
3/7/17
Choudhari S.D.



SARASWATI Education Society's
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Kharghar, Navi Mumbai - 410 210.

Internal Audit Non-Conformance Report

Auditor:	Date of Audit:	Audit Area:
Person responsible for process under review:		NCR No.:
NON CONFORMANCE: — Nil —		
Auditor:		
ROOT CAUSES FOR NON CONFORMANCE:		
CORRECTIVE ACTIONS TO BE COMPLETED:		
NAME OF PERSON(S) RESPONSIBLE		
DATE TO BE COMPLETED:		
VERIFICATION OF CORRECTIVE ACTIONS COMPLETION:		
Has CA been completed? Yes / No? / Matters outstanding		
Details:		
Date:	Signature of Auditee	Signature Auditor

Souk
3/7/17

Rohini
3/7/17
Souk
3/7/17

Souk
3/7/17



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Internal Audit Observation Sheet

IQA #:		DATE:	03/07/17
PROCESS	Academic process - Civil Engg		
AUDITOR(S):	Prof. Sayali chandhasi Dr. Prakash Bhadane	AUDITEE(S):	Prof. R. John Prof. shilpa kewate Prof. Roja Somant
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1)	Load distribution & Time table file	OK
2)	Defaulters & students attendance file,	OK
3)	Result analysis file.	OK
4)	Inward register & outward register	OK
5)	Faculty meeting register	OK
6)	Lecture monitoring	OK
7)	Quality circle file.	OK
8)	Inward file	OK
9)	Academic Drashy	OK
10)	outward file	OK
11)	Budget requirement file	OK
12)	Proctor's file.	O
13)	PTM file	OK

Prof. R. John
03/07/17



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Internal Audit Non-Conformance Report

Auditor:	Date of Audit:	Audit Area:
Person responsible for process under review:		NCR No.:
NON CONFORMANCE: Nil		
Auditor:		
ROOT CAUSES FOR NON CONFORMANCE:		
CORRECTIVE ACTIONS TO BE COMPLETED:		
NAME OF PERSON(S) RESPONSIBLE		
DATE TO BE COMPLETED:		
VERIFICATION OF CORRECTIVE ACTIONS COMPLETION:		
Has CA been completed? Yes / No? / Matters outstanding		
Details:		
Date:	Signature of Auditee	Signature Auditor

Roby
8/7/17
Samar
31/7/17

P
8/8/17



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Internal Audit Observation Sheet

IQA #:		DATE:	03/07/2017
PROCESS	ISO Audit Mechanical Engg. Dept		
AUDITOR(S):	Rohini John Dr. Sanjay Jadhav	AUDITEE(S):	Dr. Fauzia Siddiqui Mitali Mhatre
OBSERVER(S):	Prof. M. B. Sorte		
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1.	B.E Projects, Internship, Industrial Visits	O.K.
2.	Lab Maintenance, Lab registers, Dead Stock Registers	O.K.
3.	Guest lectures/Seminars, Advisory Board, News letter	O.K.
4.	Alumni Meets, PTM, Faculty MESA	OK
5.	Feed back (No dates entered, semesters, odd/even) anywhere Feedback - faculty required copy missing	SI
6.	Outward register (O.K), Inward (no updates after 4/5/17) register	O
7.	Load distribution / Inward file / Outward file	O.K.
8.	Time table (individual faculty time table - no copy in dept)	SI
9.	Dept. Minutes of Meeting, Dept Library register / FDP file	OK.
10.	Proctor file / Result Analysis / Academic diary	OK.
11.	Budget File (Lab requirements of AY 2016-17 missing)	NO
12.	Daily lecture monitoring	OK.
13.	Syllabus compliance report (Missing)	SI
14.	Course File	OK
15.	Lab Manual (HOD sign, Lab recharge sign not done)	O



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Internal Audit Non-Conformance Report

Auditor: <i>Roshni John</i> <i>Dr. Sanjay Jadhav</i>	Date of Audit: <i>03/07/17</i>	Audit Area: <i>Mechanical Engg Dept.</i>
Person responsible for process under review: <i>DI</i>	NCR No.:	
NON CONFORMANCE:		
Auditor:		
ROOT CAUSES FOR NON CONFORMANCE:		
CORRECTIVE ACTIONS TO BE COMPLETED:		
NAME OF PERSON(S) RESPONSIBLE		
DATE TO BE COMPLETED:		
VERIFICATION OF CORRECTIVE ACTIONS COMPLETION:		
Has CA been completed? Yes / No? / Matters outstanding		
Details:		
Date:	Signature of Auditee <i>[Signature]</i>	Signature Auditor <i>Roshni John</i> <i>3/7/17</i>



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Internal Audit Observation Sheet

IQA #:		DATE:	31/7/17
PROCESS	Academic Process "Automobile dept"		
AUDITOR(S):	Mrs. Anusheelka. Dandhwal	AUDITEE(S):	Prof. T. Z. Quazi Prof. Sagar Khatakekar
OBSERVER(S):			
note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1	file NO 16. Assesment evaluation.	ok
2	file NO 34. Project evaluation.	ok
3	file NO 37 workshop/STTP (faculty)	ok
4	file NO 22 Alumni	ok
5	file NO 51 Add on course	ok
6	Inward/outward register	ok
7	Academic dairy (prof Borge) (CAD/CAM)	ok
8	file NO 14 (unit Test/question paper)	ok

~~Atul~~
31/7/17



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Internal Audit Non-Conformance Report

Auditor:	Date of Audit:	Audit Area:
Person responsible for process under review:		NCR No.:
NON CONFORMANCE: — Nil —		
Auditor:		
ROOT CAUSES FOR NON CONFORMANCE:		
CORRECTIVE ACTIONS TO BE COMPLETED:		
NAME OF PERSON(S) RESPONSIBLE		
DATE TO BE COMPLETED:		
VERIFICATION OF CORRECTIVE ACTIONS COMPLETION:		
Has CA been completed? Yes / No? / Matters outstanding		
Details:		
Date:	Signature of Auditee	Signature Auditor



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Internal Audit Observation Sheet

IQA #:		DATE:	3/07/17
PROCESS	Academic Process (IT Dept)		
AUDITOR(S):	ms shilpa kewate	AUDITEE(S):	Prof. Vaishali Jadhav Prof. Anuradha Dandekar
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
01	Academic monitoring file No. 20	OK
02	Export lecture file No 37	OK
03	Load distribution file No. 11	OK
04	Syllabus compliance Report dated 12/4/17	OK
05	Academic diary of Prof Pravatish was checked.	OK
06	Inward Register RG-1 - entry till 30/5/17	PA
07	Outward Register RG-2	OK
08	file No. 52 Advisory board	OK
09	course file of Mr. Pravin Shinde was checked.	OK

1) ~~Shilpa Kewate~~ 3/7/17
2) Shilpa Kewate 3/7/17

Shilpa Kewate 3/7/17



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Internal Audit Non-Conformance Report

Auditor:	Date of Audit:	Audit Area:
Person responsible for process under review:		NCR No.:
NON CONFORMANCE: Auditor:		
ROOT CAUSES FOR NON CONFORMANCE:		
CORRECTIVE ACTIONS TO BE COMPLETED:		
NAME OF PERSON(S) RESPONSIBLE		
DATE TO BE COMPLETED:		
VERIFICATION OF CORRECTIVE ACTIONS COMPLETION:		
Has CA been completed? Yes / No? / Matters outstanding		
Details:		
Date:	Signature of Auditee	Signature Auditor

Handwritten signatures and dates:
Auditee: [Signature] 23/7/17
Auditor: [Signature] 31/7/17



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Internal Audit Observation Sheet

IQA #:		DATE:	03/07/2017
PROCESS	Academic Process [Computer Engg.]		
AUDITOR(S):	Pooja Somani	AUDITEE(S):	Madhavi Datar
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1.	Doc. No. comp/FL - 08 At Proctor File	OK
2.	Doc. No. comp/FL - 11 At Load Dist & Time Table	OK
3.	Doc. No. comp/FL - 10 At Academic Monit.	OK
4.	Doc. No. Comp/FL - 20 Feedback	OK
5.	Doc. No. comp/FL - 38 expert lect, seminar etc. org. for students	OK
6.	Doc. No. comp/FL - 37 expert lect, seminar etc org for faculty	SI
7.	Doc. No. comp/FL - 18 Defaulter & Attend.	OK
8.	Doc. No. comp/FL - 51 Add on course	OK
9.	Doc. No. comp/FL - 04 Dept. Notice file	SI

[Signature]
03/07/2017

[Signature]
03/07/17



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Internal Audit Non-Conformance Report

Auditor:	Date of Audit:	Audit Area:
Person responsible for process under review:		NCR No.:
NON CONFORMANCE:		
Auditor:		
ROOT CAUSES FOR NON CONFORMANCE:		
CORRECTIVE ACTIONS TO BE COMPLETED:		
NAME OF PERSON(S) RESPONSIBLE		
DATE TO BE COMPLETED:		
VERIFICATION OF CORRECTIVE ACTIONS COMPLETION:		
Has CA been completed? Yes / No? / Matters outstanding		
Details:		
Date:	Signature of Auditee	Signature Auditor



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KHARGHAR, NAVI MUMBAI- 410210

Internal Audit Observation Sheet

IQA #:		DATE:	3-7-17
PROCESS	Academic Process "FE" Engg. sciences of Department		
AUDITOR(S):	Sagar S. Khatawkar	AUDITEE(S):	1) Seema Patkar 2) Sayali Chaudhari
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1	Student defaulter file checked	OK
2	Quality Circle and QIP activity	OK
3	Academic diaries	OK
4	PTM Record and MOM checked	OK
5	Slow learner data	OK
6	Daily monitoring file with sign checked	OK
7	Internal assessment of last sem checked	OK



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Internal Audit Non-Conformance Report

Auditor: Sagar Khatavkar	Date of Audit: 3-7-17	Audit Area: First Year Engg
NON CONFORMANCE: — Nil —		
ROOT CAUSES FOR NON CONFORMANCE: —		
CORRECTIVE ACTIONS TO BE COMPLETED: —		
NAME OF PERSON(S) RESPONSIBLE		
DATE TO BE COMPLETED:		
VERIFICATION OF CORRECTIVE ACTIONS COMPLETION:		
Has CA been completed? Yes / No? / Matters outstanding		
Details:		
Date: 3-7-17	Signature of Auditee	Signature Auditor [Signature]



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Internal Audit Observation Sheet

IQA #:		DATE:	03/07/2013
PROCESS	Exam cell "Exam Process"		
AUDITOR(S):	T. Z. QUAZI	AUDITEE(S):	Deepa Prashar
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
01	DOC. NO. EXAM/FL 01, 02, 03, 05	OK
02	DOC. NO EXAM/FA-04. Exam cell Notice	O
03	DOC. NO EXAM/FL, 06, 07, University Account College Account-	SI
04	DOC NO. EXAM/FL, 08, 09, 10, 11,	OK
05	Inward DOC. NO. EXAM/RG 01, 02, 03, 04	OK
06	Movement Register DOC. NO EXAM/RG-05	SI
07	DOC. NO. EXAM/RG, 06, 07, 08, 09	OK
	Overall safety related issues	SI
	software updation.	SI

Checked by
 2/7/13

Checked by
 3/7/13



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Internal Audit Non-Conformance Report

Auditor: <i>Deepa Bhatnagar</i>	Date of Audit: <i>03/07/16</i>	Audit Area: <i>T.S. QMS</i>
Person responsible for process under review:		NCR No.:
NON CONFORMANCE:		
Auditor:		
ROOT CAUSES FOR NON CONFORMANCE:		
CORRECTIVE ACTIONS TO BE COMPLETED:		
NAME OF PERSON(S) RESPONSIBLE	<i>N/A</i>	
DATE TO BE COMPLETED:	<i>Overall safety certificate</i>	
VERIFICATION OF CORRECTIVE ACTIONS COMPLETION:		
Has CA been completed? Yes / No? / Matters outstanding		
Details:		
Date:	Signature of Auditee <i>[Signature]</i> <i>03/07/16</i>	Signature Auditor <i>[Signature]</i> <i>03/07/2016</i>



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Internal Audit Observation Sheet

IQA #:		DATE:	03/07/2017
PROCESS	Training & Placement process.		
AUDITOR(S):	Y.P. Jadhav	AUDITEE(S):	1. 2.
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1.	Campus drive attendance file.	ok
2.	HR Feedback	ok
3.	Placement student check format	ok
4.	Training Detail file.	} separate one file for all. } ok.
5.	student feedback.	
6.	Aptitude test details.	
7.	Trainers Competency check details. (Training file)	ok
8.	outcome register	ok
9.	Deadstock suggestion:- do stamping of TPO and take sig. of principal	ok
10.	Inward	ok
11.	College notice file	ok
12.	Department notice file	ok
13.	Workshop & seminars conducter details file	ok
14.	off campus placement file	ok

[Signature]
 03/07/17



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Internal Audit Non-Conformance Report

Auditor: Ms. V. P. Jadhav	Date of Audit:	Audit Area: T & P. cell
Person responsible for process under review: Dr. Sanjay Jadhav	NCR No.:	
NON CONFORMANCE:		
Auditor:		
ROOT CAUSES FOR NON CONFORMANCE:		
CORRECTIVE ACTIONS TO BE COMPLETED:		
NAME OF PERSON(S) RESPONSIBLE		
DATE TO BE COMPLETED:		
VERIFICATION OF CORRECTIVE ACTIONS COMPLETION:		
Has CA been completed? Yes / No? / Matters outstanding		
Details:		
Date:	Signature of Auditee <i>Jadhav</i>	Signature Auditor <i>Jh</i> 31/1/17



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Internal Audit Observation Sheet

IQA #:		DATE:	03/07/2017
PROCESS	Student section, Audit. "SS Process Admission"		
AUDITOR(S):	Dr. S. M. Subram	AUDITEE(S):	Student section.
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1)	Admission file ok. Suggestion for documentwise separation.	ok
2)	UG, PG Student Admission statistics ok.	ok
3)	FE cut & data ok.	ok
4)	Bill file for scholarship & freship ok.	ok
5)	Bank statement file for scholarship & freship ok.	ok
6)	inward/outward ok	ok
7)	notice file ok	ok
8)	ACTE notice/DSE notice file	ok
9)	Eligibility file (BE & ME) ok	ok
10)	original doc. return file ok.	ok
11)	Original Merit list file ok	ok

Suggestion: Considering vastness of data online software for student section is very much required.

Rest. Documentation is fine

Dr. S. M. Subram
03/07/2017

3/7/17



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Internal Audit Non-Conformance Report

Auditor:	Date of Audit:	Audit Area:
Person responsible for process under review:		NCR No.:
NON CONFORMANCE:		
Auditor:		
ROOT CAUSES FOR NON CONFORMANCE:		
CORRECTIVE ACTIONS TO BE COMPLETED:		
NAME OF PERSON(S) RESPONSIBLE		
DATE TO BE COMPLETED:		
VERIFICATION OF CORRECTIVE ACTIONS COMPLETION:		
Has CA been completed? Yes / No? / Matters outstanding		
Details:		
Date:	Signature of Auditee	Signature Auditor



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Internal Audit Observation Sheet

IQA #:		DATE:	03/07/2017
PROCESS	Library "Library Process"		
AUDITOR(S):	Megha Pande	AUDITEE(S):	Mrs. Seema Potdubhe
OBSERVER(S):	A		
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1)	Budget file FR-07	ok
2)	Report file - 06	ok
3)	Requirement form - complete for last year.	ok
4)	Library stock verification - FL-22.	ok
5)	Quotation file - FL-24. - 3 quotation	ok
6)	Recovery of lost book FL-23	ok
7)	Journal subscription FL-09.	ok
	Rest all files are checked &	
	all are ok.	

Mmp
13/7/17
Mrs. Megha Pande



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Internal Audit Non-Conformance Report

Auditor:	Date of Audit:	Audit Area:
Person responsible for process under review:		NCR No.:
NON CONFORMANCE:		
Auditor:		
ROOT CAUSES FOR NON CONFORMANCE:		
CORRECTIVE ACTIONS TO BE COMPLETED:		
NIL		
NAME OF PERSON(S) RESPONSIBLE		
DATE TO BE COMPLETED:		
VERIFICATION OF CORRECTIVE ACTIONS COMPLETION:		
Has CA been completed? Yes / No? / Matters outstanding		
Details:		
Date:	Signature of Auditee	Signature Auditor

Mmp
31/7/17
megha Pamde -



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Internal Audit Observation Sheet

IQA #:		DATE:	17.11.17
PROCESS			
AUDITOR(S):	Dr. Bharti Tashe	AUDITEE(S):	T.Z. QUARZE - Sagar Khataekar -
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1.	All files from 1 to 55, I have seen and all are properly updated & arranged.	OK
2.	All registers also seen and they are updated.	OK

17/11/17




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Internal Audit Non-Conformance Report

Auditor:	Date of Audit:	Audit Area:
Person responsible for process under review:		NCR No.:
NON CONFORMANCE:		
Auditor:		
ROOT CAUSES FOR NON CONFORMANCE:		
CORRECTIVE ACTIONS TO BE COMPLETED:		
NAME OF PERSON(S) RESPONSIBLE		
DATE TO BE COMPLETED:		
VERIFICATION OF CORRECTIVE ACTIONS COMPLETION:		
Has CA been completed? Yes / No? / Matters outstanding		
Details:		
Date;	Signature of Auditee	Signature Auditor 

All departments & sections to sending
herewith Internal Audit observation
sheets. please ~~send~~ send me action taken
Report for the same. (only SI Remarks).

C.C.:

- ① Exam cell 20/5/16
- ② Library Sakshi
- ③ T & P Sanjay J.
- ④ Student section Madan Yadav
- ⑤ HR Madan Yadav
- ⑥ ~~MECH~~ MECH - Received Shab
mitali m.
- ⑦ AUTO - Received Amit
Amit Patel
- ⑧ COMP - Received Vijaya w.
- ⑨ FE
- ⑩ Civil Received ganag Mrinmayee ganag.
- ⑪ EXTC - Received Shab
- ⑫ IT Shab received Anuradha D.

Internal Audit Observation Sheet

IQA #:		DATE:	18/05/16
PROCESS			
AUDITOR(S):	Dr. S. M. Submis	AUDITEE(S):	Prof. Deepa. Panasar. COE. (EXAM)
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1)	Inward/outward Registers (signatures of Receives with name & date expected)	SL
2)	outward register (mention room no) date / Name of persons and signature with date)	SL
3)	Exam dept meeting Register (monthly one / two meeting records expected)	SL
4)	Masking Register (signatures of COE & Hon. Principal & COE expected)	SL
5)	Scrap Register / leave Register / Tea & Snack Register / moment Register	PA
6)	Inward/outward files - Exam timetable	PA
7)	Duty chart of Principal & authenticated by COE & Hon. Principal (suggestion in previous audit)	correction done OK
8)	All Formats	OK

9) All outward notices / ~~note~~ letters maintained in one outward file. To be segregated after audit. OK

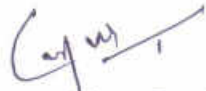
10) All inward notices / letters maintained in one ~~outward file~~ inward file. To be segregated after audit. OK


11) University / College Account maintained in outward Register. To be segregated later. OK

12) Maintenance Record can be done separately as per file names. To much addition in inward / outward file can be avoided. However xerox of doc in In / outward can also be parallelly maintained if felt required. SL

13) Store file / PC check file / circular file / format file OK

14) separate square size In / outward stamp suggested.


Dr. S. M. Sabnis
Auditor
Head RND
18/05/16


Prj Deepa Param
COB



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SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210


Internal Audit Non-Conformance Report

Auditor: D.Y.S.M Sutmis	Date of Audit: 18/05/16	Audit Area: Exam section
Person responsible for process under review: Prof. Deepa. Patil	NCR No.:	
NON CONFORMANCE: NA		
Auditor:		
ROOT CAUSES FOR NON CONFORMANCE: NA		
CORRECTIVE ACTIONS TO BE COMPLETED: NA		
NAME OF PERSON(S) RESPONSIBLE	—	
DATE TO BE COMPLETED:	—	
VERIFICATION OF CORRECTIVE ACTIONS COMPLETION:	—	
Has CA been completed? Yes / No? / Matters outstanding		
Details:		
Date: 18/05/16	Signature of Auditor Compt 18/05/16	Signature of Auditee 18/05/16



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SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210

Internal Audit Non-Conformance Report

Auditor:	Date of Audit:	Audit Area:
Person responsible for process under review:		NCR No.:
NON CONFORMANCE: Nil		
Auditor:		
ROOT CAUSES FOR NON CONFORMANCE: Nil		
CORRECTIVE ACTIONS TO BE COMPLETED: - Nil		
NAME OF PERSON(S) RESPONSIBLE		
DATE TO BE COMPLETED:		
VERIFICATION OF CORRECTIVE ACTIONS COMPLETION:		
Has CA been completed? Yes / No? / Matters outstanding		
Details:		
Date:	Signature of Auditee	Signature Auditor
		 18/5/16



COMB

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SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210

Internal Audit Observation Sheet

IQA #:		DATE:	18/05/16
PROCESS			
AUDITOR(S):	Prof. Sonal Gahankare	AUDITEE(S):	Prof. Vijaya Waghmare (COMP)
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1	All academic process FL-20, FL-18B, FL-10B, FL-11, FL-09	OK
2,3,4	Course Files, PO's & PEO's mapping (old format) →	OK
5,6,7,8	Student, Parent, Industry, Alumni feedback analysis - Index	OK
9,10	Final Result analysis (FL-17A1) IA analysis (FL-16A2)	OK OK
11	No remedial lectures (No detention in current semester)	O
12	slow learners	OK
13,14	Add on courses seminars / guest lectures	OK
15,16	Social activities / moral value education Higher education data	OK OK
17,18	Quality & circle QIP (soft copy of presentation seen)	OK OK
19,20	Internship data BE students projects data	OK OK
22,23	All files All registers	OK OK
24	All NAAC tables	seen

<u>Sr. No.</u>	<u>Observation</u>	<u>Type</u>
25.	Previous students punched old files	OK
26.	Existing submissions	OK
27.	Training need identification (Seen document sent to establishment section)	OK
28.	Budget	OK
29.	Topper list EBC student data to library	OK.

Course files seen

1) Prof. Arati Gore — OK

⇒ Academic diaries seen

1) Prof. Deepa Parasar — OK

2) Prof. Parineta Suman — OK

Gahankar
18/05/16
(Auditor)



**SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210**

Internal Audit Non-Conformance Report

Auditor:	Date of Audit:	Audit Area:
Person responsible for process under review:		NCR No.:
NON CONFORMANCE: Nil		
Auditor:		
ROOT CAUSES FOR NON CONFORMANCE: /		
CORRECTIVE ACTIONS TO BE COMPLETED: /		
NAME OF PERSON(S) RESPONSIBLE	/	
DATE TO BE COMPLETED:	/	
VERIFICATION OF CORRECTIVE ACTIONS COMPLETION: /		
Has CA been completed? Yes / No? / Matters outstanding		
Details: /		
Date;	Signature of Auditee	Signature Auditor



IT

SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210

Internal Audit Observation Sheet

IQA #:		DATE:	18/05/2016
PROCESS			
AUDITOR(S):	Miss. Mitali Mhabe Mr. Sagar Khatavkar	AUDITEE(S):	Mrs. Nandhali Jadhav Mrs. Anandha Dandwalte
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1.	file No 14 (Question paper unit test semester wise 4 year wise)	OK
2.	file No 17- (Result analysis and remedial measures file)	OK
3.	file No 34 (Project record of students and calendar for same)	OK
4.	file No. 37 (Expert lectures, seminars for the students)	OK
5.	Inward file (FL-01) inward no. missing in some pages notices	SI.
6.	Slow learners data	OK
7.	Higher education data to be maintained properly	SI
8.	All registers	OK
9.	file No -25 (Budget and registers) requirements	OK

Mit
Mit Mitali Mhabe



SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210

Internal Audit Non-Conformance Report

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NAME OF PERSON(S) RESPONSIBLE		
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Date:	Signature of Auditee	Signature Auditor

[Handwritten Signature]
(M. S. Mital / Mhate)



**SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210**

AUTO

Internal Audit Observation Sheet

IQA #:		DATE:	18/05/16
PROCESS	Academics		
AUDITOR(S):	Dr. Prateesh Bhadani Prof. Megha Pandey	AUDITEE(S):	Prof. T. Z. Quazi Mr. Sagar Khataulkar
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1)	All Academic process, course file student feedback analysis & index, PTM index	OK
2)	Industrial feedback (students are placed but yet ^{not} joined)	O
3)	previous alumnae & present alumnae feedback	OK
4)	To make Result of even sem & odd sem Pie chart & Internal assessment (IA-I & IA-II) CAPA require	O SI
5)	slow learners attendance register not proper, Remarks in the form of slow learners not given	SI
6)	Quality circles not as per subjectwise	O
7)	Somehow In some document with proper sign of Authority but without dated.	O
8)	student Records of their attendance	PA
9)	Properly assigned files.	PA.

PA
18/05/16



**SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210**

Internal Audit Non-Conformance Report

Auditor:	Date of Audit:	Audit Area:
Person responsible for process under review:		NCR No.:
NON CONFORMANCE:		
Auditor:		
ROOT CAUSES FOR NON CONFORMANCE:		
CORRECTIVE ACTIONS TO BE COMPLETED:		
NAME OF PERSON(S) RESPONSIBLE		
DATE TO BE COMPLETED:		
VERIFICATION OF CORRECTIVE ACTIONS COMPLETION:		
Has CA been completed? Yes / No? / Matters outstanding		
Details:		
Date;	Signature of Auditee	Signature Auditor



**SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210**

Auto

Internal Audit Observation Sheet

IQA #:		DATE:	18/5/2016
PROCESS	Academic Process		
AUDITOR(S):	1) Prof Bactome 2) Prof Megha Ponde	AUDITEE(S):	Prof T.Z Borzi Prof Sagar Khataokar
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1	All academic process, course file, student f/b analysis	OK
2	PTM index, previous alumni ^{index} ok,	OK
3	Students are placed, yet not joined industrial f/b index	O
4	Pi chart result onq, Internal assessment comparison	SI
5	Slow learner remark to be added & improvement in slow learner register	SI
6	Quality circle meeting should be subwise	O
7	Some documents are signed but date not mentioned	O
8	Student see attendance record	PA
9	Properly arranged files	PA

Mmpande
18/5/16



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SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210**

Internal Audit Non-Conformance Report

Auditor:	Date of Audit:	Audit Area:
Person responsible for process under review:		NCR No.:
NON CONFORMANCE:		
Auditor:		
ROOT CAUSES FOR NON CONFORMANCE:		
CORRECTIVE ACTIONS TO BE COMPLETED:		
NAME OF PERSON(S) RESPONSIBLE		
DATE TO BE COMPLETED:		
VERIFICATION OF CORRECTIVE ACTIONS COMPLETION:		
Has CA been completed? Yes / No? / Matters outstanding		
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Date;	Signature of Auditee	Signature Auditor



Internal Audit Observation Sheet

IQA #:		DATE:	18-5-16
PROCESS			
AUDITOR(S):	Prof V P Jadhav Prof Shilpa Kulkarni	AUDITEE(S):	Mitali Mhatre Dr. Fauzia Siddiqui G. R. Karmarkar
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

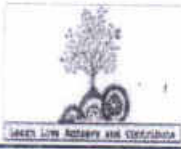
Sr. No.	Observation	Type
1.	Academic Diary	OK: - SI
2.	Internal Assessment Report	OK.
3.	Load distribution.	} OK.
4.	Time Table file	
5.	Subject choice.	} OK.
6.	Syllabus Copy.	
7.	Lecture Mentoring	OK.
8.	Syllabus Compliance	OK.
9.	University Question paper file.	OK.
10.	Unit test question paper file	OK.
11.	Lab Manual - 2 samples checked	Ready.
12.	Question Bank	SI suggestion - file treated.
13.	BE project file	OK.
14.	Course file sample	OK.
15.	Remedial lectures for failure	OK.
16.	Slow learner	OK.
17.	Quality Circle	Mentoring Record is available.
18.	QIP	Register is maintained
19.	students project SF TE BE	Slow learner is available
20.	Internship data file	OK.
21.	Budget	OK.
22.	Topper list For data to library	OK.
23.	Registers	OK.
24.	Registers	OK.
25.		



**SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210**

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Auditor:		
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civil

SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210

Internal Audit Observation Sheet

IQA #:		DATE:	18/05/2016
PROCESS	Academic		
AUDITOR(S):	Vijaya Waghmare (Computer engineering Department)	AUDITEE(S):	Roshni John Pooja Somani (Civil Department)
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1	Result Analysis (DOC.NO.CIVIL/FL-17)	OK
2	Assessment/Evaluation (Term work/Practical/test/project Mark) (DOC.NO.CIVIL/FL-16)	OK
3	Academic Diary (Faculty : Asmita Lakhote ; Sub: Transportation Engg) Academic Calendar was not written.	SI
4	Student Diary : Prashant Sonawane, Pradeep Singh	OK
5	Load distribution & time table file. (DOC.NO.CIVIL/FL-11)	OK
6	Academic Monitoring (DOC.NO.CIVIL/FL-10)	OK
7	Students feedback & Faculty Counseling (DOC.NO.CIVIL/FL-20)	OK
8	Course file: Supriya Khedkar, Siddharth Ray	OK
9	PTM Record and Parents feedback & action taken report file (DOC.NO.CIVIL/FL-21)	OK
10	Alumni Feed Back File (DOC.NO.CIVIL/FL-22)	OK



**SARASWATI EDUCATION SOCIETY'S
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Sr. No.	Observation	Type
11	Industry institute interaction file and Industry / outside experts feedback & Implementation File. (DOC.NO.CIVIL/FL-23) Year-wise Summary of industrial visits is missing.	SI
12	Budget & Requirements. (DOC.NO.CIVIL/FL-25)	OK
13	Result analysis & Remedial Measures File. (DOC.NO.CIVIL/FL-17)	OK
14	Proctor system File.(allocation of students to faculty, and documented problems with solutions , Student Counseling file) (DOC.NO.CIVIL/FL-08)	OK
15	Expert lectures, seminars, workshops organized by the department for faculty and details of the same with reports. (DOC.NO.CIVIL/FL-37)	OK
16	Expert lectures, seminars, workshops organized by the department for students and details of the same with reports. (DOC.NO.CIVIL/FL-38)	OK
17	Social activity (DOC.NO.CIVIL/FL-41)	OK
18	Add On Couses. (DOC.NO.CIVIL/FL-51)	OK
19	Academic Performance Up gradation(DOC.NO.CIVIL/FL-53)	OK
20	Student Progression Report. (DOC.NO.CIVIL/FL-54)	OK
21	Budget & Requirements. (DOC.NO.CIVIL/FL-25)	OK
22	Training Need Identification : Teaching and Non Teaching	OK
23	Topper List data to library	OK

Sijaya
19/05/16
Sign of Auditor



EXTC

SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210

Internal Audit Observation Sheet

IQA #:		DATE:	18/05/2016
PROCESS	Academic Process		
AUDITOR(S):	Dr. S.V. Lathkar	AUDITEE(S):	Mrs. Shetal Bukkwar, Mrs. Sonal Gahankari, Mrs. Megha Pande
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1	Student Roll lists- Roll list signed not found	
2	Load choice – Found	OK
3	Load Distribution – Found	OK
4	Time Table - Found	OK
5	Monitoring Record – Found	OK
6	Academic Diary (Yashika)- date conducted observation	OK
7	Syllabus Compliance	OK
8	Signing sheet – blanks to be filled in sign sheet	
9	Defaulters lists	OK
10	Student diary – SEM – I,II, KT record to be completed	
11	Student Cancelling Record – good work	OK
12	proctor record – suggestions for words	OK



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SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210

Sr. No.	Observation	Type
13.	Course files – (Sonal Gahankari) SI Beyond syllabus Sheeta Bukkawar	OK
14	Analysis	
	1. Parent feedback – good	OK
	2. Faculty feedback	OK
	3. Teachings student feedback- good	OK
	4. Alumni feedback – previously verified	
	5. Result analysis – to be completed	
	6. 48 lectures completed – analysis	
	7. IA analysis -	OK
	8. Remedial lectures – Mathematics – OK other Subject- ?	OK
	9. Slow learners -	OK
	10. Add on Course – segregation required	OK
	11. Seminar guest lectures	OK
	12. Social activity	OK
	13. Higher education (CEP – Suggestions)	OK
	14. Quality circle	OK
	15. QIP	OK
	16. Internship data (suggested for report)	OK

SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210

Internal Audit Observation Sheet

IQA #:		DATE:	01/12/2016
PROCESS			
AUDITOR(S):	QUAZI T-2	AUDITEE(S):	Sayali choudhary Bachhav Peekarsh
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
01	PTM-	O
02	proctoral diary not provided by store so not available.	O
03	Lab manual - marks should given out of 10, instead of grade or should convert accordis	SI
04	Inward file 1-	SI
05	Daily monitoring - Some staff signs are missing	O
06	Dead Stock Register 2016-17 new purchased item not entered	O
07	Result Analysis	OK
08	leave Register-3	OK
09	Library-44- Record of book issued return not available	SI
10	Expert lecture (37) Remuneration voucher given to expert must include	SI
11	student Attendance Record 18	OK

- 12 - IA Record - Div-D BEE Jo Supervisor Sign missing - 0
- 13 - student feedback OK
- 14 - slow learners - some sign missing 0
- 15 - Lab utilization Register - 8 OK
- 16 - Total computing register - 14, OK
- 17 - Budget & requirement OK - OK
- 18 - course file OK
- 19 - social activity file - OK 4) OK



SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210

Internal Audit Non-Conformance Report

Auditor:	Date of Audit:	Audit Area:
Person responsible for process under review:		NCR No.:
NON CONFORMANCE:		
Auditor:		
ROOT CAUSES FOR NON CONFORMANCE:		
CORRECTIVE ACTIONS TO BE COMPLETED:		
NAME OF PERSON(S) RESPONSIBLE		
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SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210

Internal Audit Observation Sheet

IQA #:		DATE:	1/12/2016
PROCESS	Academic process Civil Eng dept		
AUDITOR(S):	Ms. V. P. Jadhav Mrs Sheetal Bhujade	AUDITEE(S):	Ms. Shilpa Keate Ms. Pujasomani
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1.	Expert Lecturers file	OK
2.	Add on course	OK
3.	Project based learning - 53 file	OK
4.	Parents - Teacher Feedback - 21 file	OK.
5.	Advance learner, slow learner File No - 53 file (upgradation link)	OK OK
6.	Quality circle	OK
7.	Internship Records	OK.
8.	Academic diary - few updations required.	
9.	R & D	OK
10.	Permedical	OK

Jadhav
1-2-16 Sheetal
1/2/2016



SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210

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Auditor:	Date of Audit:	Audit Area:
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Auditor:		
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SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210

Internal Audit Observation Sheet

IGA #:		DATE:	1/12/16
PROCESS	Academic		
AUDITOR(S):	Prof Shilpa Kewate Prof U. Mule	AUDITEE(S):	Prof Fauziya S. Prof Mitali M. (Mechanical Dept)
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
01	FL-52 Advisory board - Meeting conducted on 3rd August for 2016-17	OK
02	Final Year elective course - OFFERED	OK.
03	FL-11 - load distribution	OK
04	Project based learning -	PA
05	Academic diary of Mr. Pravinrao Patil was checked for BE CAD/CAM/CAE - Academic Calendar not written	O
06	Add on courses - FL-51 - Feeed back of add on course not taken & also fest not conducted.	O
07	FL-37 - Guest lectures for Faculty	OK
08	FL-38 Expert lectures for students Index sheet not prepared.	O
09	FL-08 - Proctor file	OK
10	FL-10 - Academic monitoring	OK.
11	FL-21 - PTM	OK
12	FL-17 Result	OK.

Shilpa Kewate
Shilpa Kewate

U. W. Mule
01/12/2016 DOC. NO. MR/FR-06 REV-00 (01/01/15)



SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210

Internal Audit Observation Sheet

IQA #:		DATE:	01/12/2016
PROCESS	Academic		
AUDITOR(S):	Mr. Upendra W. Mate Ms. Shilpa Kewale	AUDITEE(S):	Dr. Fouziya S. Ms. Nitali M. (Mechanical Dept)
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1. 52	Completed latest meeting on Aug. 2016.	O.K.
2	Elective choice - completed	O.K.
3	Eng F.N. 11 - load dist - completed	O.K.
4	F.N. 34 - completed	O.K.
5	MOU - Index	O.K.
6	Patent - cover page required	O.K.
7	Publication records - 16-17 - under process	O.K.
8	F.N. 52 - project based learning - mini project allotted Remarks missing	O.K.
9	course file - not in latest format	O.
10	Academic diary -	O.K.
11	FL-51 - Add on course - feedback of add on course not taken and also test not conducted	O.
12	FL-37 - completed	O.K.
13	FL-38 - Index should be placed in file	O.
14	FL-19 students data file - completed	O.K.
15	Academic monitoring - reports should be against each time slot.	O.
15	FL-8 - Proctor - completed	O.K.
16	FL - Quality circle - program - output - objectives not given in file	O.
17	PTM - file no. 21 - completed	O.K.
18	F.N. 17 - completed	O.K.

U. W. Mate
01/12/2016

Shilpa Kewale
Mrs. Shilpa Kewale
DOC. NO. MR/FR-06 REV-00 (01/01/15)



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SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210

Internal Audit Observation Sheet

IGA #:		DATE:	1/12/16
PROCESS	ISO Audit		
AUDITOR(S):	Sheetal Bukkawas.	AUDITEE(S):	IT Dept. Prof. Vaishali Tadhav Prof. A. Dandwate
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1.	File-20, PIB	O
2.	Course file - Vaishali Thakur.	OK
3.	File no. - 53	O.
4.	Academic diary - OOPM, III rd sem.	O
5.	Proctor diaries → 1 each for SE, TE & BE	O.
6.	@ IP - OK, Faculty file - Ragini Sharma, Nonteaching - Pradnya Shinde	O.
7.	File-22, Alumni file,	O
8.	Academic monitoring → Academic co-ordinator's sign missing at	
9.	File - 38 - OK. NPTEL regr - OK.	-SI ^{some places}
10.	Slow learner - only 03 meetings. - SI. Register - 1, 2, 14 - OK taken.	
11.	File 42 - R & D - OK.	
12.	File 51 - OK. Signing sheet - OK.	

13. Student Journal - grades mentioned on - SI
15. Register - 12 - faculty meeting - ok (cloud computing).
14. File 11 - OK.
(Time table & load distribution)

SB
1/12/16



SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING
 KHARGHAR, NAVI MUMBAI- 410210

11

Internal Audit Observation Sheet

IQA #:		DATE:	01/12/2016
PROCESS	Academic process		
AUDITOR(S):	prof. Shital Bhusare prof. Dhanraj W.	AUDITEE(S):	prof. Vaishali Jadhav prof. Anuradha D.
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
01	20 Student feedback	ok
02	- Course file & Academic diary - cooem (III sem)	ok
03	53. slow learner & advanced learner file	ok
04	- QIP file	ok
05	- Proctorer diary	ok
06	22 Alumni feedback	ok
07	10 Academic monitoring - some stem missing	ok
08	37 Expert lectures / seminar / workshop - in progress	ok
09	- NPTEL register - in progress	ok
10	- slow learner register - only 3 meeting in sem	SI
11	51 - Add-on courses - in progress	ok
12	42 - R&D Activities - in progress	ok
13	43 - Remedial lecture - pending (02/12/2016 Sharm)	NOk
14	11 - intensive lecture file	ok
15	- Time table	ok
16	Register Inward / outward register	ok
17	14 - faculty counselling register	ok
18	- Student file and Staff course file (sign with date required)	ok
19	12 - faculty meeting register	ok


 01/12/2016 Dhanraj Walekar
 DOC. NO. MR/FR-06 REV-00 (01/01/15)



**SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210**

Internal Audit Observation Sheet

IQA #:		DATE:	1/12/2016
PROCESS			
AUDITOR(S):	<p>GP Dr. S. M. S. Chaudhary 01/12/16</p>	AUDITEE(S):	T-2-QUARTZ @b
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1.	Mention Authority name in department notice where signatures are taken	
2)	Add on Course - no file and report	
3)	List of IV (12) - no list, file present	
4)	Batch reports by proctors need to be added (3 per sem)	
5)	Index, Apparatus in Feedback, parents file	
6)	Alumni meet reports, photographs missing	
7)	Blank lectures in lecture monitoring reports (FR1-30/09/16) and likewise need to be justified	
8)	Admission to photographs and proper file maintained	
9)	Internship - 2014 certificate missing (present in other file)	
10)	SE, TE - must available with concern faculty - could not verify	
11)	Student council - IPO - company merged and student placed - verify	
12)	Industry - substitute interaction file	OK
13)	SE TE project list to be maintained in BPH file properly	
14)	TPO - company merged and student placed - verify	

- 13) Chodankar Vishnudas, Moh. Azar - Academia diary incomplete.
- 14) Lab Utilization incomplete
- 15) add the data of research workshops & seminars in RSD file.
- 16) Feedback file - OK
- 17) Internship - OK



SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210

Internal Audit Non-Conformance Report

Auditor:	Date of Audit:	Audit Area:
Person responsible for process under review:		NCR No.:
NON CONFORMANCE:		
Auditor:		
ROOT CAUSES FOR NON CONFORMANCE:		
CORRECTIVE ACTIONS TO BE COMPLETED:		
NAME OF PERSON(S) RESPONSIBLE		
DATE TO BE COMPLETED:		
VERIFICATION OF CORRECTIVE ACTIONS COMPLETION:		
Has CA been completed? Yes / No? / Matters outstanding		
Details:		
Date:	Signature of Auditee	Signature Auditor



SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING

KHARGHAR, NAVI MUMBAI- 410210

Internal Audit Observation Sheet

IGA #:		DATE:	01/12/2016
PROCESS	Academic (Computer Dept)		
AUDITOR(S):	Upendra W. Mate Anuradha Dandwate	AUDITEE(S):	Dr. Bhakti Joshi Prof. Madhuci. Dalal
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1	37 - File completed upto 15-16, FDP's not conducted in 16/17	O.K.
2	38 - Data updated.	O.K.
3	34 - Data updated.	O.K.
4	16-B - Result Analysis Term work	O.K.
5	16A3 properly maintained, OPFM - T/W, BCCF	O.K.
6	22 - complete NA remainy shall put	O.K.
7	10-C - sign of Academic coordinator in remainy column is not done.	O.K.
8	57 - Ad-on course - completed.	O.K.
9	11 - load distribution - completed	O.K.
10	53-B - Quality circle -	O.K.
11	53-A complete - Index required.	O.K.
12	36 - publications - 16-17 under process	O.K.
13	42 - Research - properly maintained	O.K.
14	39 - EN cell	O.K.
15	50 - current news letter under process.	O.K.
16	47 - C&P programme - complete	O.K.
	<i>Upendra W. Mate</i> 01/12/2016 (U.W. Mate)	<i>Anuradha Dandwate</i> 11/12/16 (Anuradha Dandwate)

SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING
 KHARGHAR, NAVI MUMBAI- 410210

Internal Audit Observation Sheet

IQA #:		DATE:	11/2/16
PROCESS	Examination dept.		
AUDITOR(S):	① Prof. Shilpa Kewate ② Prof. Sayali Chaudhari	AUDITEE(S):	← 01-12-16 COE
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
01	FL-1 inward file	OK
02	Result time linesheet	OK
03	FL-2 outward file	OK
04	FL-3 circular	OK
05	Exam cell Notice FL-4	OK
06	FL-7 college account file	O
07	FL-8 - store file	OK
08	FL-9 RLE	OK
09	FL-10 PG clearance file	OK
10	RG-4 Tea snack → entry till Jan 16	O
11	RG-9 Meeting Register - Entry till Feb 2016	O
12	RG-10 Scrap Register → No entry in register	O

13 Photocopy file check

Shilpa Kewate

OK


Shilpa Kewate
11/2/16
Shilpa Kewate



**SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING**

KHARGHAR, NAVI MUMBAI- 410210

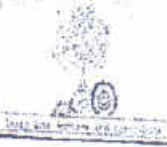
Internal Audit Observation Sheet

IGA #:		DATE:	1/12/16
PROCESS	Student section		
AUDITOR(S):	Sayali Chaudhari	AUDITEE(S):	 01-12-16 CWE
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1.	Inward file	ok
2.	Result time line sheet (within time sent)	ok
3.	Outward file (arranged properly)	ok
4.	Circulars	PA
5.	File - 07 - College Account file (Bill's sent to classmate section improper time)	SI
6.	store file (8)	ok
7.	FI-9 RLE	O
8.	A-10 PG clearance file	ok
9.	Rg. 4 Tea snacks (entry till Jan 16.)	SI
10.	Rg-9 - Meeting mg. (last meeting was on Feb 16)	O
11.	Rg. 10 - Scrap mg. (blank)	SI
12.	File 7 photocopy	ok


1/12/16





**SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210**

Internal Audit Observation Sheet

IGA #:		DATE:	1-12-16
PROCESS			
AUDITOR(S):	Dr. Bhanu Ti. Toshi Prof. P. D. Ingle	AUDITEE(S):	Bhaskar Ingle
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1. ⁰⁵ 06	Summary sheet - incorporated	OK
2. 07	Summary sheet	OK
3. 09	—	OK
4. 11	— Excellent (Outstanding)	
5. 12	— Excellent (Outstanding)	
6. 15	—	OK
7. 16	—	OK



SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210

Internal Audit Observation Sheet

IQA #:		DATE:	01/12/2016
PROCESS	Establishment (HR) Process		
AUDITOR(S):	① Prof. Pooja Somani ② Prof. Madan M. Jagtap	AUDITEE(S):	① Mr. Manik Pol ② Mrs. Savita Yadav <i>12.16</i> <i>Yadav</i>
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1.	All musters are available & update d	OK
	① F.E. Department ② Attendent muster ③ Late muster	OK
2.	Inward & Outward registers are updated	OK
3.	Do. No. HR/FL-10 - AICTE, (Booklet & Nitices)	OK
4.	Faculty list & Non Teaching list (file no. 6 & 7)	OK
5.	file: 8 Rules and Regulations	OK
6.	file: 12 Faculty & Staff Training	OK
7.	file: 12 Competency reports for last semester not found	(SI) O
8.	Register: 19, 18	OK
9.	Personal files ① Vishal Bhise & ② Priyanka Jadhav	OK

Pooja Somani
01/12/16
Pooja Somani

Madan Jagtap
01/12/16
Madan Jagtap



SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210

Internal Audit Non-Conformance Report

Auditor: Dr. Prakash Bhandare	Date of Audit: 01/12/2016	Audit Area: Student section
Person responsible for process under review:	NCR No.:	
NON CONFORMANCE: —		
Auditor:		
ROOT CAUSES FOR NON CONFORMANCE: —		
CORRECTIVE ACTIONS TO BE COMPLETED: —		
NAME OF PERSON(S) RESPONSIBLE		
DATE TO BE COMPLETED:		
VERIFICATION OF CORRECTIVE ACTIONS COMPLETION:		
Has CA been completed? Yes / No? / Matters outstanding		
Details:		
Date: 01/12/2016	Signature of Auditee 	Signature Auditor

Prakash
01/12/16



Student
section

Internal Audit Observation Sheet

IGA #:		DATE:	01/12/2016
PROCESS	student section		
AUDITOR(S):	Dr. Prakash Bhadane	AUDITEE(S):	Mr. Rahul Desai Ms. Madan Yadav
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1.	Last Audit report seen	Yes.
2.	Inward Notice file & outward notice file with register. Doc No. SS/FL/03 & 04 (It was suggested by last auditor.)	OK
3.	student eligibility list & enrolment file. file no-8, 09	OK
4.	DTE Notice file (FL-06), M.V. file FL-07	OK
5.	Affiliation letters file (FL-05)	OK
6.	EBC file (FL No-10) current year 2016-17 in process.	OK
7.	file no-11 social welfare office	OK
8.	file no-13 Adivasi welfare office	OK
9.	file no-12 minority	OK
10.	file no-14 admission process	OK
11.	file no-15 Document verification	OK
12.	file no.16 original document return	OK
13.	file-17 Roll list (Except 1st year, all list etc)	OK
14.	file-18 Admission cancellation	OK
15.	file AG-19 - Passport student	OK
16.	file no 20 - student application	OK
17.	file no 21 - Iso format file	OK
18.	file no 22 leaving certificate	OK
19.	file no 23 - merit list	OK

Registers: -01, 02, 03, 04, 05, 06. OK.

Approved:
01/12/16.



**SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210**

Internal Audit Observation Sheet

IQA #:		DATE:	1/12/16
PROCESS	Student section		
AUDITOR(S):	Mrs. Anuskaeta, Doralewate	AUDITEE(S):	Mr. Madan yadav
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1	student statistics file (2011-12 to 2016-17)	OK
2	Pq student (2011-12 to 2016-17)	OK
3	OMS student details (2016-17)	OK
4	DROP out (Admission cancel)	OK
5	PE Enrgg Percentage	OK
6	Direct Direct Diploma details	OK
7	EBCL minority /ST /Aruship scholarship. (2010 - 2015-16)	OK

Anuskaeta
1/12/16

SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210

Internal Audit Non-Conformance Report

Auditor: <i>Anusadha Damolwate</i>	Date of Audit:	Audit Area:
Person responsible for process under review:		NCR No.:
NON CONFORMANCE: <p style="text-align: center;"><i>← Nil →</i></p>		
Auditor:		
ROOT CAUSES FOR NON CONFORMANCE: 		
CORRECTIVE ACTIONS TO BE COMPLETED: 		
NAME OF PERSON(S) RESPONSIBLE		
DATE TO BE COMPLETED:		
VERIFICATION OF CORRECTIVE ACTIONS COMPLETION: Has CA been completed? Yes / No? / Matters outstanding Details:		
Date:	Signature of Auditee <i>Pravin</i> <i>01/12/16</i>	Signature Auditor <i>Anusadha</i> <i>11/2/16</i>



SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210

Internal Audit Non-Conformance Report

Auditor:	Date of Audit:	Audit Area:
Person responsible for process under review:		NCR No.:
NON CONFORMANCE:		
Auditor:		
ROOT CAUSES FOR NON CONFORMANCE:		
CORRECTIVE ACTIONS TO BE COMPLETED:		
NAME OF PERSON(S) RESPONSIBLE		
DATE TO BE COMPLETED:		
VERIFICATION OF CORRECTIVE ACTIONS COMPLETION:		
Has CA been completed? Yes / No? / Matters outstanding		
Details:		
Date:	Signature of Auditee	Signature Auditor



SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210

Internal Audit Observation Sheet

IQA #:		DATE:	18/5/16
PROCESS	Library		
AUDITOR(S):	Sayali Chondhari	AUDITEE(S):	Mrs. Seema Patdukhe
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1	Issue & return procedure updated.	Ok
2	Stock verification updated	Ok
3	Feedback format & book bank form (new) added.	Ok.
4	Total no. Files are 27 & registers (13) updated.	Ok.
5	Dead stock register	O
6	Digital library data (E-journal)	Ok
7	NPTEL lectures (Harddisc available all lectures)	O
8	IIT library membership valid up to June-16	O
9	Magazines (journals available) - 98)	O
10	Library book bank scheme for economically weak students. 3 extra books assigned	PA

Sayali Chondhari
18/5/16
S.P.



SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210

Internal Audit Non-Conformance Report

Auditor:	Date of Audit:	Audit Area:
Person responsible for process under review:		NCR No.:
NON CONFORMANCE:		
Nil		
Auditor:		
ROOT CAUSES FOR NON CONFORMANCE:		
CORRECTIVE ACTIONS TO BE COMPLETED:		
NAME OF PERSON(S) RESPONSIBLE		
DATE TO BE COMPLETED:		
VERIFICATION OF CORRECTIVE ACTIONS COMPLETION:		
Has CA been completed? Yes / No? / Matters outstanding		
Details:		
Date;	Signature of Auditee	Signature Auditor

Beeth
18/5/16

SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210

Internal Audit Observation Sheet

IQA #:		DATE:	18/05/16 Time 10:00am
PROCESS	students section.		
AUDITOR(S):	Mrs. Pooja Somani	AUDITEE(S):	Mr. Madan. Yadav Mr. Desai
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1.	Last Audit report seen	OK
2.	student eligibility list [Doc. No. SS/FL-17] [BE Mech. elig. 15-16 (sec. sheet)]	OK
3.	Inward, outward file is not maintained separately, added to rep. uni, college -- file	O
4.	Doc. No. SS/FL/03 & 04 - Some documents are not placed in relevant file	SI
5.	Doc No. SS/FL/05 - Affil. letter (15-16) was not placed in file given to Amey Sir for ST sch. audit.	O
6.	Doc. No. SS/FL/06, 07, 08 DTG file, Univ. file	OK
7.	Doc Eligibility & Enrollement file are clubbed and maintained as - Doc. No. SS/FL-08	O
8.	Doc. No. SS/FL-10 - EBC file	OK
9.	————— 11 - Social Welfare office 13 - Adivasi vikas office 14 - Admission	OK OK OK
10.	————— 12 - Minority verification 15 - Document verification 16 - Original document return Passout student 18 - Admission cancellation doc Auto - 19	OK OK OK OK OK
	20 - 23 - Merit list 22 - Leaving cert	OK OK OK

Registers - 1, 2, 3, 4, 5, 6 - checked.
suggestion register

Sawani
18/05/16



SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210

Internal Audit Non-Conformance Report

Auditor:	Date of Audit:	Audit Area:
Person responsible for process under review:		NCR No.:
NON CONFORMANCE:		
Auditor:		
ROOT CAUSES FOR NON CONFORMANCE:		
CORRECTIVE ACTIONS TO BE COMPLETED:		
NAME OF PERSON(S) RESPONSIBLE		
DATE TO BE COMPLETED:		
VERIFICATION OF CORRECTIVE ACTIONS COMPLETION:		
Has CA been completed? Yes / No? / Matters outstanding		
Details:		
Date:	Signature of Auditee	Signature Auditor

[Handwritten Signature]
18/07/15



Internal Audit Observation Sheet

IQA #:		DATE:	18.05.16
PROCESS	MR Process		
AUDITOR(S):	Dr. Bhanu Joshi	AUDITEE(S):	Dr. S.V. Lathkar
OBSERVER(S):	Ms. Shalun Suryavanshi		
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1.	Register Meeting	PA
2.	MR Process - (two revised)	PA
3.	Quality Manual.	PA
4.	File - 11	PA
5.	Obsolete copy	PA
6.	Control of Document	PA
7.	ISO Format File	PA
8.	External Document file	PA
9.	MRM file	PA
10.	Correspondance File	PA
11.	Internal Audit file	PA
12.	ISO. Manual. & Training Record file	PA

Bhanu
18/5/16

Auditee
18/5/16



SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210

Internal Audit Non-Conformance Report

Auditor:	Date of Audit:	Audit Area:
Person responsible for process under review:		NCR No.:
NON CONFORMANCE:		
Auditor:		
ROOT CAUSES FOR NON CONFORMANCE:		
CORRECTIVE ACTIONS TO BE COMPLETED:		
NAME OF PERSON(S) RESPONSIBLE		
DATE TO BE COMPLETED:		
VERIFICATION OF CORRECTIVE ACTIONS COMPLETION:		
Has CA been completed? Yes / No? / Matters outstanding		
Details:		
Date:	Signature of Auditee	Signature Auditor



SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING
 KHARGHAR, NAVI MUMBAI- 410210

Internal Audit Observation Sheet

IQA #:		DATE:	18/5/2016
PROCESS	HR		
AUDITOR(S):	Mrs. Shilpa Kewade	AUDITEE(S):	Mrs. Savita Yadav
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1	Inward ^{advance} Register HR/RG-01, RG-02	OK
2	Training time table <u>not prepared</u> but conducted two ^{Doc No. HR/PL-12} training programme on 13/5/2016 & 4/3/2016	PA
3	service book checked ① Anuradha Dandawate - updated, ② Dattatray Yadav - updated	OK
4	Faculty personal file → checked - Mr. Suhas Jadhav (Mech Dept) Demo feedback form of 3 members & HOD principal was attached.	OK
5	Teaching signature Register of EXTC dept checked. HR/LL-07	OK
6	Zoox Register - HR/RT/-11 → entry till 21/1/2016 Requirement Register HR/RG/12 →	O OK
7	Inward file HR/PL-02 - only Register is maintained Outward file HR/P-01 - Applications are attached.	O O
8	College Notice File HR/PL-03	OK
9	→ Summary list of faculty / qualification → Monthly Salary Report HR/PL-11 Teaching & Non Teaching	OK OK
10	→ Rules & Regulation for faculty & Non Teaching - latest Report on 2/3/15 → UEC - Univ file H/PL-10	O OK
11	→ ASCTE HR/PL-10	OK

Shilpa Kewade
Auditor

S. Yadav
18/5/16
Mrs Savita Yadav
Auditee

SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210

Internal Audit Observation Sheet

IOA #.	—	DATE:	18/05/2016
PROCESS			
AUDITOR(S):	T. Z. QAZI	AUDITEE(S):	MR. JAYSHREE HANDE (TP)
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
①	All files.	
	(i) student database file Doc.No TP/FL-05	OK
	(ii) Campus drive Attendance file Doc.No TP/FL-07	SI
	(iii) HR. feed back file Doc.No TP/FL-09	OK
	(iv) placed student data file Doc.No TP/FL-12	SI
	(v) photography Evidence file Doc.No TP/FL-17	SI
	(vi) Trained file. Doc.No TP/FL-17 (10+11+17) files club.	SI
	(vii) Higher studies file Doc.No TP/FL-14	OK
②	All Register	
	(i) Inward Register Doc.No TP/RG-01	OK
	(ii) Outward Register Doc.No TP/RG-02	SI
	(iii) Leave Register (Application) Doc.No TP/RG-03	OK
③	NAAC Tables	OK
④	Trainny data	SI
⑤	off campus placement	OK
⑥	DSR - No signatures of Authorises	SI
⑩	Budget file Not prepared - Not available.	

- ① No. sign on Conduction & Analysis report.
- ② Summary report for Campus drive file expected such as:
 - (i) # Data of How many student eligible
 - (ii) How many student Appeared.
 - (iii) How many student Selected.
 - (iv) How many student joined etc.
- ③ Training certificates should be issued among students for various training & courses organized by TP.
- ④ Based on Employer feedback recommendations for improvement, must be generated & executed accordingly.
- ⑤ Budget Allocation expenses incurred records of all should be maintained.

28/05/2016

Internal Audit Observation Sheet

IQA #:		DATE:	01/12/16.
PROCESS			
AUDITOR(S):	Mrs. Roshni John Madan Jagtap.	AUDITEE(S):	Mrs. Sheetal Bukkawas.
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1.	Course file	OK
2.	Academic Diary	OK
3.	Proctor Register	PA.
4.	Proctor file/Diary	PA
5.	Feed back.	OK.
6.	Slow learner documents	PA
7.	Inward Register	PA.
8.	Outward Register	OK.
9.	Inward/Outward files.	PA
10.	Higher Studies Record	PA
11.	Internship records	SI.
12.	Internal Exams	OK.

Roshni
1/12/16.



Internal Audit Observation Sheet

IQA #:		DATE:	01/12/16.
PROCESS			
AUDITOR(S):	Roshni John Madan Jagtap.	AUDITEE(S):	Miss. Sheetal Bukkawan
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
13	Assessment / Evaluation	OK
14	Result Analysis	PA
15	Project	OK.
16	Academic Monitoring	OK.
17	Signing sheet attendance.	OK
18	Project Based Learning	SI.
19	Project evaluation	OK.
20	Budget & Requirements	OK.
21	Quality Circle	Ok.
22	Electric & Choice.	SI.

Roshni John
Roshni John, Civil Engg.



**SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210**

Internal Audit Observation Sheet

IQA #:		DATE:	01/12/16
PROCESS	M.R.		
AUDITOR(S):	Pooja somani	AUDITEE(S):	Miss. Dr. S.V. Latkar Mrs. Suryawanshi <u>Syanshi</u>
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type
1.	Quality manual - 2	OK
2.	External Doc. file - FL-03	OK
3.	MRM file - FL-04	OK
4.	Coveresp. file - FL-05	OK
5.	Training file - FL-08	OK
6.	Control of doc. FL-10	OK
7.	MR Appointment - FL-11	OK
8.	Calibration & Maintenance file FL-12	OK
9.	Obsolete file FL-13	OK
10.	Audit Report FL-06	OK
11.	Analysis Report file.	OK

Somani
01/12/16

S.V. Latkar
01/12/16



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SARASWATI EDUCATION SOCIETY'S
SARASWATI COLLEGE OF ENGINEERING
KHARGHAR, NAVI MUMBAI- 410210

Internal Audit Observation Sheet

IQA #:		DATE:	17/11/2015
PROCESS	ISO Audit		
AUDITOR(S):	Prof. U. W. Mate Prof. Sonal Gahankari	AUDITEE(S):	Prof. T.Z. Quazi Prof. Sagar Khatavkar
OBSERVER(S):			
Note:-	Types are as follows: 'PA' for Positive Aspect, 'SI' for Suggestion for Improvement, 'OK' for Conformance, 'O' for Observation, 'NC' for Non Conformance		

Sr. No.	Observation	Type	Remarks
	Academic Departments		
01	Course File- Content needs improvements	SI	Improvements are done
02	Mapping- Not done	SI	Completed
03	Student Feedback Inbox not done, Industry Feedback file not prepared	SI	Completed
04	Records for remedial lectures not maintained properly	SI	Records are maintained
05	Documentation of Seminars and Guest lectures is not prepared	SI	Documents are completed
06	For Quality Circle work done is not up to the grade	SI	completed
07	NAAC Tables- Partially Completed	SI	All tables Completed