

INTERNAL QUALITY ASSURANCE CELL

Report of External Administrative Audit 2020

External Administrative Audit of twenty-one (21) departments was successfully conducted from 22nd to 24th July 2020 with the help of the following external experts:

- i. Dr. Davinder Singh, Former Registrar, Punjabi University, Patiala
- ii. Dr. A S Chawla, Vice Chancellor, RIMT University, Gobindgarh
- iii. Dr. Ravinder Kumar, Registrar, SLIET, Longowal
- iv. Prof. (Dr.) Jasbir Singh Hundal Former Registrar, Maharaja Ranjit Singh Punjab Technical University, Bathinda

The recommendations of the committee conducting External Administrative Audit are given below:

1. Establishment Branch

- Duty Chart needs to be updated immediately on Joining/Transfer/Shifting etc. in the Section/Branch.
- Every employee of the University should be allotted with a Unique Employee Code.
- Service Book should be verified from Internal Audit every year.
- Attendance of all faculty and non-teaching employees should be forwarded to all HoDs/Section Heads at 10 AM on daily basis.
- Complaint Register should be maintained at Branch Level.
- Completion/Updation of service books in respect of all faculty and non-teaching staff.
- Master File Index Register and Individual File Index system should be implemented.
- Reference on the documents be entered of making entry in the service book.
- Proforma for Oath of Secrecy be developed and got signed from all employees of the University and an entry to this effect be made in the service book.
- Noting Page Number be defined as “NP-” and correspondence page be defined as “CP-” in the files where it is maintained separately.

2. Recruitment Cell

- Standard Operating Procedures (SOPs) of the Recruitment (Teaching and Non-teaching) both regular and contractual be prepared and got approved from the Authority;
- Data tabulation sheets be prepared for each and every advertisement containing the number of applications, number of shortlisted candidates called, number of candidates appeared for Written Test/Skill Test/Interview with dates, number of candidates appeared, number of candidates recommended for selection/empanelment, and joining etc.;
- Feedback received from the candidates must be analyzed and the decisions taken on the analysis must be documented in the concerned file;

- Every Statute/Ordinance/Rules prepared by the Recruitment Cell must be uploaded on the University website alongwith sharing the same through email to the employees of the university;
- File numbers should be unique and continuous, having proper indexing;
- Appointment letters be issued by the Recruitment Cell

3. Health Centre

- Entries should be made in stock register with pen.
- Complaint register should be maintained.

4. Examinations Branch

- Complaint/ Suggestion Register to be maintained in the branch.
- The faculty members should enter the result on the result software.
- Ph.D. Portal should include:
 - Letter generation for External Expert for the evaluation of the Ph.D. thesis.
 - Reminder to External Examiner monthly upto 3 months should also be generated on the Portal.
- Filing of documents in a file should be date wise.
- File Index Register for generation of new file to be properly maintained.
- Payment of honorarium to the examiner to be initiated/ followed up by the branch.
- Work related to academic section/files should handed over to Academic Branch.

5. Engineering Wing

- Helpdesk E-mail ids for registering the complaints separately for Electrical and Civil works to be maintained.
- Schedule for inspection of various services and buildings to be fixed.
- At the time of submission of final bills by the contractor, the building wise costing to be obtained from the PMC in writing for record purposes.
- Payment Register for all the payments being made to the contractors and PMC to be maintained.
- List of files should also contain the total no. of Pages pertaining to particular file.

6. Guest House Services

- Existing Registers being maintained at Guest House are to be replaced with Printed Registers.
- Photo copy of Identity Proof of Guest is to be retained at Guest House.
- Purpose of visit of the Guest staying at Guest House is to be recorded.

7. Finance Branch

- Tally Software may be customized as per the needs of University so that maximum of the working can be streamlined on Tally such as Budget Management, Bill / Receipts Printing, Pay Roll, TDS, Form 16,

Hostel Management, Student Management, Single Payment advice generation for multiple vendors/beneficiaries etc.

- For strengthening and improving the working of Tally help from private vendors is required in the process of Customization, therefore, the expenditure required for the purpose is necessary one which will give other benefits to the institution.
- To frame a suitable Investment Policy to invest the funds in the shape of FDRs. Audit suggested that funds may be invested once in a year in the month of March because during March banks are in need of funds to meet their certain targets therefore higher rates can be offered to CUPB.
- Decentralization of various processes related to Finance Branch - such as Routine expenditure and Experts' payments bill processing, fellowship bill processing.
- Chartered Accountant to be engaged for checking and verifying of Balance sheet. Vouchers' checking to be done by Chartered Accountant on regular intervals.
- To ask for budgetary requirements of departments on every appropriate occasion.
- To make stamps for payments having more details of expenditure and budget heads.
- To bind Vouchers in permanent binding.
- Project work to be separated from Finance and specific branch to be developed, separate accounting and balance sheet to be made for projects.
- Vouchers modification/cancellation, opening new ledgers in Tally should be only at Branch Head Level.

8. Meeting Section

- One member from IQAC should be nominated as Non-Voting member/Special Invitee in the Academic Council / Executive Council, Board of Studies and School Board, for suggestions/inputs.
- Standard Operating Procedure (SoP) for Meetings Branch should be prepared. It should clearly describe the detailed step-by-step instructions regarding, procedures for the conduct of meetings, routine activities, etc.
- Register should be maintained for record of meetings held.
- Department-level Complaint Register should be maintained.
- The Meetings Branch should have separate sections to work more effectively as:
 - **Branch 1:** to deal with all work pertaining to:
Executive Council, Academic Council, Finance Committee & University Court
 - **Branch 2:** to deal with all work pertaining to:
Board of Studies and School Board and Routine Meetings.

9. Sports

- Yearly sports calendar is to be prepared

- Duties of the Sports Officer should be defined
- Preventive maintenance schedule for gym equipment's is to be prepared

10. Security Services

- Regular training of Security Guards using in-house resources or by Security Services provider for improvement of knowledge and skills for betterment of the University.
- Security Service provider is to be asked to furnish Fidelity/Indemnity Bond to compensate the University against any theft etc. A clause in this regard is to be inserted in the Tender Document.
- Standard Operating Procedure for Fire Safety is to be framed.
- Regular training of Staff, Students and Security Personnel on Fire Safety/Disaster management is to be carried out and recorded.
- Briefing of Security Guards by Security Officer / Security Inspector.
- Proper recording of all the defects / incidents reported by a Security Guard on a particular Security post in occurrence Register / General Diary.
- ERP Ticketing Based Visitor Management System to be implemented.
- ERP Ticketing Based Complaints Redressal System to be implemented.

11. Transport

- Average running cost per kilometer of the vehicles to be calculated and recorded.
- Trip based passes are to be issued in lieu of tickets for occasional commuters.
- Issuing of Bus pass is to be implemented through ERP system.
- In future procurement of buses, provisions of RFID cards based door access system be worked out to implement Bus pass system.
- Procedure to collect the Bus pass fee with the semester fees may be worked out
- ERP based vehicle requisition system to be implemented.

12. Purchase Section

- It is recommended that the Purchase section and Stores section of the University should be one, and in no case they are to function separately, if maximum efficiency is to be ensured.
- It is suggested that single administrative approval system for Department level purchases for annual requirements should be introduced to reduced time and costs.
- For transparency in file recording, order issuance, status enquiry, bill processing and reporting, the use of SMART SHEET should be introduced in the purchase section.
- For file identification, the file numbering/coding should be introduced comprising codes for Departments/Projects, nature of items, year, indent number and serial number.

- A register for recording and quick addressing of purchase related grievances should be made available in the purchase section.
- Regular meetings of staff of the section should be convened, at least once a week/fortnight for making SWOT analysis of the purchase section.
- In order to resolve the technical issues found in the process flow of purchase files, the indenter should be informed at the early stage along with the appropriate solution.

13. Housekeeping Services

- Regular training of Housekeeping Staff for improving skills.
- Monitoring/ Supervising the work assigned to Mali based on area allotted to regular check the work progress.
- Implementation of Job Card in the washrooms to crosscheck the frequency of Cleaning by the Sweeping Staff.
- The Supervisor's Comments are to be incorporated against the work assigned to each house keeping staff.

14. Library

- Increase rare book collections and encourage faculty members to purchase books and reimburse from the University;
- Complaints: After resolving the complaints from the library users, the action is taken report to be recorded in the respective file;
- AMC Agreement should be in the proper format and both the parties should sign to avoid legal issues on AMC services;
- All the research output including articles, chapter-in-book, PhD and Mphil thesis should be available in the library and Knowledge Repository;
- Explore the possibility to share the library resources with outside library users;
- Periodic communication with faculty members to update the publication in the CUPB Knowledge Repository;
- Analyse the fine collection trend over a period of three years and take necessary measures to reduce fine;

15. Store Section

- An Inventory Management Software be installed at Store Section.
- It will help to find out proper details of the incoming/outgoing material and issue of Non-availability Certificate for an item to be procured.
- The software will also help to issue NOC to an employee at the time of leaving the University.
- Rate contract for the purchase of stationery related items should be done.
- All furniture (at various class-room and offices) items should be issued in the name of Estate Officer or Head of the Department/Administrative dealing hand.

- Man-power at store section is very less, for strengthening and improving the working of the store section adequate manpower should be given at Stores Section.
- A system of control (like gate pass) on the outgoing material for repair and other purposes should be developed at the Centralized level.

16. Computer Centre

- The external experts suggested that instead of purchasing the computers systems. The university must explore taking the computers from companies on a five-year team with replacement that will help avoid obsolete computers and the problem of e waste.
- Further the committee suggested that all the network switches must have ups support to avoid problems in connectivity.
- Further the committee suggested the staff to maintain their log books of complaints handled and any additional work done to justify the work performed by them.

17. Scholarship & Fellowship Section

18. Project Section

19. Programme Development Section

20. SC/ST Cell

- The file numbering of all the Section should be as per the uniform pattern of the whole University.
- To develop a mechanism to endorse the genuine Project Proposals (which are not being forwarded by the HOD) to avoid the unnecessary delay.

21. International Student Division

- Complaint/ Suggestion Register to be maintained in the branch.
- FRRO record to be maintained in the Branch.
- Record of participation in Culture Event Programme by the International Students to be maintained in the Branch.
- Annual Report to be prepared.
- Standard Operating Procedure (SOP) to be prepared