Seva Mandal Education Society

Smt. Maniben M. P. Shah Women's College of Arts and Commerce (Autonomous)

338, R.A. Kidwai Road, Matunga, Mumbai 40019

Internal Quality Assurance Cell (IQAC)

Administrative Audit 2020 - 2021

(Sourced form IQAC Cluster India Format)

(With Changes Incorporated in July 2021)

Section: VII: OFFICE ASPECTS

(Restricted to 5 bullet points under each aspect) (office filing)

- **Each key-aspect carries 10 points**
- **If a key aspect is allotted extra points, it is noted in bold types.**
  (Total Points: 320 after deducting the 'Not Applicable' key aspects)

Sr. No.	Key Aspects (10 marks each)	Responses		Points for Each Sub Aspect out of 02	Total	Remarks
		Yes	No			
1.	General Administration ● Fees Collection – Computerized: ● Roll Call – Generated from Software: ● General Register: Computerised: ● L.C.: Computerized: ● Transfer process computerized: Which processes need to become paperless? List them in the remarks section.	Y Y Y Y Y		02 02 02 02 02	10	

2.	Extension and Continuation of Affiliation ***Aided** First Affiliation, Extension, Permanent Affiliation and Annual Affiliation	Y		10	10	
3.	Selection, Advertisements and Interview Procedures followed as per the Government and University norms for only aided staff selection **Aided:** - Government NOC - Advertisement draft approved by University - Advertisement in 2 News Papers [Regional & English] - Selection Committee is requested from the University -1) V C Nominee and Subject Experts and 2) Government -J D nominee - Selection / Screening Committee Report to be sent to university and J D Office after the interview ***Unaided:** - Advertisement in 2 News Papers [Regional & English] - Selection Committee is requested from the University -V C Nominee and Subject Experts - Report to be sent to university **Note: Check if the office has maintained a record of all the documents in copies. (Points 20)**				Not Applicable Not Applicable	Since 2015 no NOC has been granted; the year of the audit, 2020-21, is a pandemic year, and hence, no new aided appointment has been made.

4.	Teaching Staff Approvals ***Aided:** ● Selection is done and the report is sent for approval to university ● Management Resolution required for Jr. College ● Appointment and Confirmation letter to be kept in personal file ● Acceptance letter from the employee ● Approval copy from university ● Preparing and sending the employee file to Joint Director's office ● Pay Fixation from Joint Director's office ● Process of CAS promotion of teachers is done as per the guideline given by Govt. of Maharashtra 7th Pay commission (resolution no. Misc-2018/C.R.56/18UNI-1 date: 8 March, 2019) and UGC regulations. **Note: Check if the office has maintained a record of all the documents in copies. (Points: 20)**				Not Applicable Not Applicable	
5.	Non- Teaching Staff Appointments & Promotions ***Aided:** ● Government NOC ● Advertisement in 2 Newspapers [Regional & English] ● Interview – Interview Chart Report ● Appointment Letter ● Acceptance letter from the employee ● Preparing and sending the employee file to Joint Director's office ● Pay Fixation from Joint Director's office ● Time bound Promotion				Not Applicable	

6.	Statistical Information University MIS(DHE, Pune) AISHE(UGC) NIRF ***Aided/Unaided:** ● MIS information uploaded on site given by DHE Pune in September [online data] – Check the file ● All India Survey Higher Education [online data] file ready – check the file/data Discussion with team members of AISHE, MIS and NIRF and take feedback about the procedure to know how it can be made more efficient. Note the dates of uploading; if it was uploaded late, note down the reasons.	Y		05 NA	05	The government has not provided a format.

7.	Service Books & Leave Records (Teaching & Non – Teaching Staff) **Aided:**					The audit team checked 22 service-books of the government aided staff. They are updated.
	● Service Books maintained as per Joint Director Office	Y		10		
	● **Mention the percentage of employees whose service book is updated on the day of the audit. (20 points)**	Y		20		
	● Computerized Leave Record is maintained as per service book			00		
	● **Mention the percentage of employees whose leave record is updated on the day of the audit. (20 points)**			NA		
	* Unaided dept.: Leave Record Biometric ● **Mention the percentage of employees whose leave record is updated. (20 points)**			NA		
	Note the process of updating service books along with duplicate and leave records: whether it is done once in every semester or when the need arises .					The duplicate service books of ten employees were reported to be updated.

					30	
8.	Admissions Procedures **Across all the U G and P G programme offered by the college**					

		Y/N		Marks		Remarks
	● Admission policy declared on the college website	Y		02		
	● Filling up of Online Admission Form on the Institutional digital portal	Y		02	10	
	● Confirmation of Admission on portal	Y		02		
	● Fees collection through customized software	Y		02		
	● Registration of the confirmed student on institutional and university portal	Y		02		
9.	Enrolment, Eligibility & Migration ***Aided/Unaided:**					
	● Provisional Eligibility for students outside the state	Y		03		
	● Provisional Admission to be provided for students without eligibility for temporary period	Y		03	10	
	● Migration Certificate required for students other than SNDTWU	Y		04		
10.	**Examination** ***Aided/Unaided:**					
	● College level examination for U.G. Courses Sem I to IV conducted by college for the autonomous sections, and V and VI are conducted by the university	Y				Question papers not uploaded on the college website after the exams.
	● All P.G. courses exams conducted by college (self-financing courses)	Y				
	● Uploading Question papers for college exams on college portal after the exams are over	Y				
	● Generation of Exam Forms for University exam from University Portal	Y				
	● Exam form Inward Process followed by Generation of Hall Ticket, Attendance Sheet,	Y		10		

	Supervisor Report, Printing of Blank Mark-list, Uploading Internal Marks on Portal ● Uploading of Result Status of First Year students on college portal for re-registration of Second Year Admissions ● 1st Year stamping of Mark sheets & Ledgers from University ● 1st Year Ledger submission in binding format at University	Y				
	About Online College Exams: ● Usernames and passwords announced on time for the online exams? ● College follows a uniform format for setting MCQs for exams? ● College committee helps students in log-in and attempting exams? ● Steps taken to redress the problems of students unable to attempt exams due to technical difficulties? (**20 points for the 'About Online College Exams' questions**) Note down aspects where college can improve the entire online examination system. (Consult the IT dept that conducts the exams.)	Y Y Y Y		20 30		
11.	**Issuing of College certificates:**					

	● Transcript Certificates are issued as per the demand from students providing them 2 copies of transcript as per University Format ● Mention the amount collected towards fees for the same. ● Bona fide Certificate is issued as and when demanded by students	Y Y Y		10	10	
12.	Railway/ Bus Concessions ● Railway/ Bus Concession is issued from1ˢᵗ to 10ᵗʰdate of every month/ Everyday ● Monthly statement is prepared on excel sheets Submitting the same at Railway/ Bus to the Office				Not Applicable	Students are not allowed to attend college due to pandemic.
13.A	Government Scholarships & Free Ships *Aided/Unaided: ● Students and Parents are orientated with procedure and norms. ● Display of Notice on Digital Signage and WhatsApp group ● Collection of forms filled by students on the scholarship site ● Verification of forms & documents ● The form is collected and approved by the authorities of Social Welfare Department ● Generation of Statement B and submitting the same at social welfare department ● Received Scholarship amount from Department ● Order Collected from dept. ● Payment is disbursed in students personal A/c Utilization Certificate submitted to department	Y Y Y Y Y Y Y Y Y		05	05	
13.B	Non-Government scholarships, free ships, concessions. **Organizational effort to provide help to needy:**					

	Concession in fees list Other supporting documents.	Y Y		05	05	
14.	Inward & Outward Registers whether digitized		N	00	00	
15.	Dead Stock Registers: Register is maintained in excel format The dead Stock Register completely updated on the day of the audit **(Allot points out of 20 on the bases of the updated record.)**	Y	N N	05 00 00	05	Not in MS Excel Not completely updated.
16.	Availability and accessibility of records of Minutes of CDC, Quality Assurance Cells, Governing Body, **Do various department of the office staff conduct meetings once a semester?** **If yes, check minutes and attendance record (10 points)** **Is a meeting held with the principal/vice principal of the entire office staff once a semester?** **If yes, check minutes and attendance record (10 Points)**	Y	N N		10 00 00	Meetings take place informally; records not maintained.
17.	Records of Computers, Printers, Laptops, Scanners, Projectors & Licensed Software's ● Purchase of new equipment is recorded in the Dead Stock Register ● New purchases are numbered ● List Attached ● Scrap is also donated and recorded		Y Y Y Y	10	10	

18.	**Accounts & Finance Section:** Cashbook, Ledger, Salary Registers, Salary Bills, Vouchers, Receipt Books, Fee Registers, etc. are available and accessible whenever required ● Accounts are maintained in Tally ERP9 ● Vouchers are printed from the Tally Software, Reconciliation is maintained in Tally ERP9 ● Salary Register of the Full Time Teaching & Non-Teaching Staff are maintained ● Fees Receipts are printed from the customized software **Fees record is maintained in the Software**	Y Y Y	N	2.5 1.5 2.5 2.9	09	Vouchers not printed
19.	College Budgets & Audited Balance Sheet ***Aided/Unaided Course dept.:** ● Budget is prepared programme (Arts/Commerce) wise every year ● Audited Balance Sheet is also prepared and submitted to the trust	Y	N	Not applicable	05	Partially NA due to pandemic Audited balance sheets are awaited
20.	Teachers Workload & Class Time Tables ***Aided/Unaided:** ● Workload is planned as per university norms & approved form Joint Director Office ● Class Time Table are prepared as per workload, space and staff availability	Y Y		05 05	10	Records are with the JD office for approval
21.	**Annual Maintenance Contract** is available for the following: ● Pest Control ● Air Conditions ● Water Coolers	Y Y Y	Y	02 02 02		

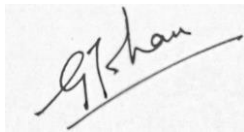|						
	● CC TV	Y		02		
	● Fire Extinguishers	Y		02	10	
	● Computers & Printers	Y		02		
	Note: Check each AMC document. Mention reasons in the Remarks if any AMC is not updated.					
22.	Non- Teaching Staff Welfare					
	● Medical Assistance on request	Y		1.5		
	● Fees / Financial Assistance on request	Y		1.5		
	● College/ Family Picnic by college		NA			
	● Festival Celebration		NA			
	● Birthday Celebration		NA			
	● Retirement Programme		NA			
	● Indoor and Outdoor Activity		NA			
	● Participation in intercollegiate events		NA	1.5	05	
	● Library facility	Y				
	How many cultural festivals or gatherings are sponsored by the college? Mention this and check if this is properly budgeted and an account of the expenditure is maintained. (10 Points)		NA			
23.	Workshops attended by non-teaching staff (provide documentation)	Y		02		
	Check if one person is assigned to maintain a record of these activities and if the record is updated on the day of the audit. (10 Points)		N	00	02	
24.	● A suggestion box is available at the office (for feedback from all stake holders)	Y			05	
	● Number of staff members who possess computer skills (MH-CIT, Ms- Office, Tally, E-mail operation, printing data etc.)	Y			03	The data should be available in the MS Excel sheet.
	● **Check if the process of tackling the suggestions/complaints found in the suggestion**					

	box are in place, and if an action taken report is formally maintained. (20 points)	N		00	
25.	• Overall neatness, presentation & non-teaching staff cooperation. • **If a code of conduct is drafted for the office and if employees are familiar with it. (10 Points)**	N		06 00	

Note: kindly provide all related documents for the audit to the committee.

The received score out of 320: 205 (64%)

Panel Members:
1. Ms. Renuka Prajapati (In-Charge, Arts Faculty); Dr. Avaneesh Bhatt (In-Charge, Commerce Faculty); Mr. Vasant Pansare (Emeritus Faculty, Marathi Department); Mr. Shahid Ansari (Lecturer, Accountancy, BCom AFI)

IQAC Coordinator   **Principal**
2.   Dr. Gouri Mohan   Dr. Leena Raje

Administrative Audit Report 2020-21

Context

Utthaan, the IQAC of Smt. MMP Shah Women's College of Arts and Commerce, conducted an Administrative Audit of the college for 2019-20. Conducting various audits in an autonomous college is strongly recommended by NAAC. Considering the valuable outcome of the exercise, the IQAC decided to conduct the audit for 2020-21. The audit format used last year was retained after making minor changes. The committee for the audit was constituted as follows:

- **Chairperson: Mrs Renuka Prajapati**, Arts Faculty In-Charge, Associate Professor and Head, Economics Department
- **Member: Mr. Vasant Pansare,** Emeritus faculty, Department of Marathi
- **Member: Avaneesh Bhatt,** Assistant Professor, English Department
- **Member: Mr. Shahid Ansari,** Full Time Lecturer of Accountancy, BCom AFI

Process

- Changes were made in the audit format by the Principal, especially to include questions about online examinations, service book update and leave records.
- The altered questionnaire was given to Mr Manohar Yadav, the Office Superintendent, on July 14, 2021. He was informed about the date for the audit.
- On the day of the audit, July 20, 2021, all the above mentioned members were present to conduct the audit.
- From the office staff, Mr Manohar Yadav, Mr Rameshwar Fuke, Junior Clerk, Mrs Sushma Talavadekar, Junior Clerk and Mr Ravindra Warik and Mr. Ravi More, Junior Clerk interacted with the audit committee.
- The committee granted points in the questionnaire format, which could be referred to below, page 03 onwards. The points for the 'Not Applicable' key aspects were not considered in the total.

Observations

- Key Aspect 01: Roll call not generated through a special software but Excel format is used.
- Key Aspect 07: All 22 service books are updated; however, only 10 faculty members have approached the office to update their duplicate service book.
- Key Aspect 10: Question papers of the college exams should be uploaded on the college website after the exams. This year being the pandemic year exams were conducted online in MCQ format, hence uploading of papers was not done.
- Key Aspect 15: A Dead Stock Register has been made but it was not available for checking.
- Key Aspect 17: The office staff could not present the updated record of the computer peripherals on the day of the audit due to lack of available documents.
- Key Aspect 18: Vouchers not printed by the accountant; they are still written in longhand.
- Key Aspect 15 and 24: The format expects the data in MS Excel; our office does not maintain records for these Key Aspects in MS Excel.

Recommendations

- The aided staff should get their duplicate service books updated every year.
- The college website should have a repository of question paper pdf files.
- The DeadStock register should be available to the committee, in proper updated format.
- Vouchers should be printed and Dead Stock Register should be maintained through MS Excel.
- Procedure should be devised to tackle complaints or suggestions regarding office administrative processes.
- A Code of Conduct should be drafted for the office and put up at three - four different locations in the office.
- A record of the meetings of the Principal or Vice Principal with the office staff should be formally maintained. Similarly, meetings within the admin staff should also be held regularly and a record of the same should be maintained.

Conclusion

- The College office has commendably performed in this year of pandemic; yet, it needs to focus on certain aspects to enhance its functioning.
- The audit was a fruitful exercise and has certainly prepared the office staff for an external audit.