

ADMINISTRATIVE AUDIT REPORT FOR THE YEAR 2018 – 2019

Sr.	Institutional Data	
1	Name of the College with address, phone number and website	Hindi Vidya Prachar Samiti's Ramniranjan Jhunjhunwala College, Ghatkopar (W), Mumbai 400 086 (R J College of Arts, Science and Commerce) . 022 25152731 www.rjcollege.edu.in
2	Name of the Principal	Dr. Mrs. Usha Mukundan
3	Name of the Registrar Head Clerk	Vacant Ms Sujata Petkar
4	Year of Establishment University of Mumbai	1963
5	Date of Visit of the Committee Names of the Auditor	20 th July, 2019 Dr Debjani Dasgupta Convenor, Director School of Biotechnology and Bioinformatics Padmashree Dr D Y Patil University, Navi Mumbai Dr Manali Londe I/C Principal S K Somaiya College, Vidyavihar Keyaa Mukherjee (Office Superintendent) MNWCollege, Parle – West
6	Number of full time Teachers (Including Principal & Librarian)	Aided- 81 Unaided – 35
7	Number of temporary contract basis teachers	10
8	Number of visiting faculty	20
9	Number of Non – Teaching staff	104
10	Number of non teaching staff appointed by the management	41
11	Name of the courses, Division and Enrolment	List Enclosed

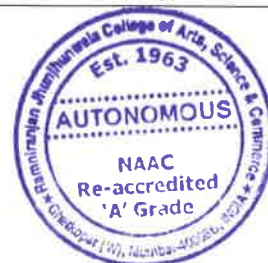


ADMINISTRATIVE OFFICE AUDIT REPORT

Sr.	Particular	Observation on Key Aspects
1.	General Administration	<ul style="list-style-type: none"> • Manual Fees collection by DD • Roll Call - Generated from College software • General Register - Generated from College software • L.C. - online • Transfer Certificate - Generated from MKCL • P.F statement maintained in excel sheet. PF slips are issued by joint director every year. • Pension cases are prepared in excel sheet with calculation report • Income Tax is calculated by software • Records since 1969 are stored with indexing in separate store room <p>Root cause analysis (what failed in the system to allow this NC to occur?) N A</p> <p>Correction (what is to be done to resolve the issue) N A</p> <p>Corrective Action (what should be done to prevent reoccurrence) N A</p>
2.	Extension and Continuation of Affiliation	<ul style="list-style-type: none"> • Aided B.A. & B. Com Permanent affiliation • Unaided Courses UG & PG <p>For Extension and Continuation, College submits proposal every year online (University of Mumbai web site).</p> <p>Root cause analysis (what failed in the system to allow this NC to occur?) N A</p> <p>Correction (what is to be done to resolve the issue) N A</p> <p>Corrective Action (what should be done to prevent reoccurrence) N A</p>



<p>3. Selection, Advertisements and Interview Procedures</p>	<p>* Aided :</p> <ul style="list-style-type: none"> • Government NOC • Advertisement draft is approved by University. • Advertisement draft in two News Papers (Regional & English) • Selection committee is appointed by University. • Government Nominee is nominated by Director of Education. • Interviews are conducted. • Interview chart is prepared. • Selection Committee Report. <p>* Unaided Section : Local Selection as per Management 's norms</p> <p>Root cause analysis (what failed in the system to allow this NC to occur?)</p> <ul style="list-style-type: none"> • The entire process is followed properly as per the University norms. <p>Correction (what is to be done to resolve the issue)</p> <ul style="list-style-type: none"> • All the staff personnel files should be numbered and indexed. • File Management System should be followed thoroughly as per the quality standards • Corrective Action (what should be done to prevent reoccurrence) • Since these documents are very important need to scanned and digitized for safety and instant records
<p>4. Teaching Staff Approvals</p>	<p>* Aided:</p> <ul style="list-style-type: none"> • Once the candidate is selected, the report is sent for approval to University. • Appointment letter. • Job acceptance letter from employee • Approved draft of advertisement • Printed Copy of Advertisement published in news papers • NOC from Joint Director. • Copy of documents of Educational Qualification • Copy of Verification reports of NET/ SET/ PhD/ M. Phil from respective University. • 3 pages and 7 pages report prescribed by University. • Joint Director Fixation. • Confirmation. • All CAS promotions to teachers are done as per University Norms. <p>* Unaided: As per Management norms.</p>



		<p>Root cause analysis (what failed in the system to allow this NC to occur?)</p> <ul style="list-style-type: none"> The process is followed properly as per the University norms <p>Correction (what is to be done to resolve the issue)</p> <ul style="list-style-type: none"> NA <p>Corrective Action (what should be done to prevent reoccurrence)</p> <p>From the perspective of Quality Management System need to do Indexing and Coding of files.</p>
5.	Non - Teaching Staff Appointments and Promotions	<p>* Aided :</p> <ul style="list-style-type: none"> Government NOC Advertisement in two News Papers (Regional & English) Interviews are conducted. Interview chart is prepared. Selection report is prepared Management Resolution Appointment letter. Job acceptance letter from the employee Joint Director approval. Joint Director Fixation. Confirmation. Time Bound Promotions after 12 years & 24 Years. Category & Seniority wise promotions. <p>* Unaided: As per management norms. All Appointments and Promotions of Non-Teaching Staff are made as per the Management Guidelines.</p> <p>Appointments and Promotions of Non-Teaching Staff have done by Management of Unaided section</p> <p>Root cause analysis (what failed in the system to allow this NC to occur?)</p> <ul style="list-style-type: none"> The process is followed properly as per the Government /HR policies <p>Correction (what is to be done to resolve the issue)</p> <ul style="list-style-type: none"> NA <p>Corrective Action (what should be done to prevent reoccurrence)</p> <ul style="list-style-type: none"> NA



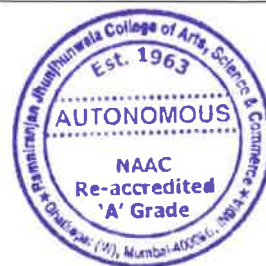
6.	Statistical Information University of Mumbai MIS(DHE, Pune) AISHE(UGC)	<p>* Aided / Unaided :</p> <ul style="list-style-type: none"> • Statistical information is filled on University web site student on roll in Sept/Oct (online data) every year • MIS information uploaded to DHE Pune in September/ October (Online data). • AISHE (online data). <p>This information has been filled online on respective web sites. Reports are submitted to University of Mumbai every year.</p> <p>Root cause analysis (what failed in the system to allow this NC to occur?)</p> <ul style="list-style-type: none"> • It was observed that the process is followed properly as the UGC/ University norms. <p>Correction (what is to be done to resolve the issue)</p> <ul style="list-style-type: none"> • N A <p>Corrective Action (what should be done to prevent reoccurrence)</p> <ul style="list-style-type: none"> • N A
7.	Service Books and Leave Records (Teaching and Non – Teaching Staff)	<p>* Aided/ Unaided :</p> <ul style="list-style-type: none"> • Service Books are maintained as per directives from Joint Director Office. • Service books scanned and maintained in addition to manual • Leave Records are maintained manually. <p>Root cause analysis (what failed in the system to allow this NC to occur?)</p> <ul style="list-style-type: none"> • It was observed that the process is followed properly as the Jt.Director's Office/UGC/ University norms. <p>Correction (what is to be done to resolve the issue)</p> <ul style="list-style-type: none"> • NA <p>Corrective Action (what should be done to prevent reoccurrence)</p> <ul style="list-style-type: none"> • NA
8.	Admissions Procedures	<p>* Aided/ Unaided :</p> <ul style="list-style-type: none"> • Students fill forms procured from college • Online Admission forms are filled on digital portal. • Both forms are submitted with documents to College in person. • Confirmation of admission on College student database software and fee collection is done



		<p>manually.</p> <ul style="list-style-type: none"> • Submission of registration of the confirmed student. • Generation of PRN Number from College software & MKCL portal. <p>Root cause analysis (what failed in the system to allow this NC to occur?)</p> <ul style="list-style-type: none"> • NA <p>Correction (what is to be done to resolve the issue)</p> <ul style="list-style-type: none"> • NA <p>Corrective Action (what should be done to prevent reoccurrence)</p> <ul style="list-style-type: none"> • NA
9.	Enrolment, E- Suvidha, Eligibility and Migration	<p>* Aided/ Unaided :</p> <ul style="list-style-type: none"> • Provisional Eligibility is applied by students from other state • Generation of E-Suvidha Ticket on applying on digital portal. • Provisional admission is provided on producing Provisional eligibility certificate. • Migration certificates are required for confirmed admission. • PRN numbers are generated after scrutinized eligibility of University. <p>Root cause analysis (what failed in the system to allow this NC to occur?)</p> <ul style="list-style-type: none"> • NA <p>Correction (what is to be done to resolve the issue)</p> <ul style="list-style-type: none"> • NA <p>Corrective Action (what should be done to prevent reoccurrence)</p> <ul style="list-style-type: none"> • NA

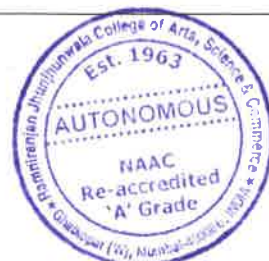


10.	Examinations (F.Y., S.Y. & T.Y.)	<p>* Aided/ Unaided :</p> <ul style="list-style-type: none"> • Sem-I to IV are College level examination for UG Courses (Sem. V & VI are conducted by University). • Question papers for all semesters since 2016 are received from university • All examinations are conducted by University for PG Courses. • Generation of Exam forms for University Exam through MKCL portal. • Exam form inward process followed by generation of Hall Ticket, Attendance sheet, Supervisor Report, Printing of Blank Mark-Sheet, Uploading Internal Marks on portal. • Uploading of status of Result First Year & Second Year students on digital portal for re-registration of Second & Third year admission. • Mark sheets and Ledger is prepared by college through Result Software. <p>College has Result Generation Programme for FY/SY exam since 1992-93</p> <p>Root cause analysis (what failed in the system to allow this NC to occur?)</p> <ul style="list-style-type: none"> • NA <p>Correction (what is to be done to resolve the issue)</p> <ul style="list-style-type: none"> • NA <p>Corrective Action (what should be done to prevent reoccurrence)</p>
11.	Transcripts, Bonafide cert. Recommendations and etc.	<p>* Aided/ Unaided :</p> <ul style="list-style-type: none"> • College provides 5 copies of Transcript as per University format with fees of Rs. 1000/-when demanded by students • Bonafide certificate is issued when demanded by the students with fees of Rs. 20/- . • College provides recommendation letter without any fees when demanded by students in required format.



		<p>Root cause analysis (what failed in the system to allow this NC to occur?)</p> <ul style="list-style-type: none"> • Transcripts, Recommendations and Bonafide certificates is done manually <p>Correction (what is to be done to resolve the issue)</p> <ul style="list-style-type: none"> • Transcripts, Recommendations and Bonafide certificates should be system generated <p>Corrective Action (what should be done to prevent reoccurrence)</p> <ul style="list-style-type: none"> • The report should be generated from the Admission CORE system to save time and maintain accuracy.
12.	Railway Concessions	<p>* Aided/ Unaided :</p> <ul style="list-style-type: none"> • Railway concessions is issued everyday • Monthly statement is prepared on Excel sheet. • Submitting the same at Railway Office. <p>College is in process of generating Software for the Railway Concession.</p> <p>Root cause analysis (what failed in the system to allow this NC to occur?)</p> <ul style="list-style-type: none"> • NA <p>Correction (what is to be done to resolve the issue)</p> <ul style="list-style-type: none"> • NA <p>Corrective Action (what should be done to prevent reoccurrence)</p> <ul style="list-style-type: none"> • NA
13.	Government Scholarships and Free Ships	<p>* Aided/ Unaided :</p> <ul style="list-style-type: none"> • Students are orientated with the processes and norms. • Notice is displayed on Notice board and is also circulated on what's app group by Vice-Principal and Co-coordinator. • Collection of forms filled by students on the Mahadbt site. • Verification of forms and documents on Tuesday

		<p>& Thursday of every week.</p> <ul style="list-style-type: none"> • The forms are collected and approved by the authorities of Social Welfare and Tribe department & Joint Director. • Generation of statement B and submitting the same at respective departments. • Order collected from department's govt. • Payment is disbursed in student's personal account. • Utilization Certificate is submitted to govt. departments. <p>Root cause analysis (what failed in the system to allow this NC to occur?)</p> <ul style="list-style-type: none"> • NA <p>Correction (what is to be done to resolve the issue)</p> <ul style="list-style-type: none"> • NA <p>Corrective Action (what should be done to prevent reoccurrence)</p> <ul style="list-style-type: none"> • NA
14.	Inward and Outward Registers	<p>* Aided/ Unaided :</p> <ul style="list-style-type: none"> • College maintains Inward and Outward Registers online from 2019 <p>Root cause analysis (what failed in the system to allow this NC to occur?)</p> <ul style="list-style-type: none"> • It is was observed that Inward Outward Register are maintained manually <p>Correction (what is to be done to resolve the issue)</p> <ul style="list-style-type: none"> • Inward and Outward should be digitized an digital archive need to be initiated and implemented. <p>Corrective Action (what should be done to prevent reoccurrence)</p> <ul style="list-style-type: none"> • For the inward and outward register the digitalization system should be introduce and implemented for quick reference, for acknowledgment and easy access able.



15.	Dead Stock Registers	<p>* Aided/ Unaided :</p> <ul style="list-style-type: none"> • College prepares Dead Stock Register manually. <p>Root cause analysis (what failed in the system to allow this NC to occur?)</p> <ul style="list-style-type: none"> • NA <p>Correction (what is to be done to resolve the issue)</p> <ul style="list-style-type: none"> • NA <p>Corrective Action (what should be done to prevent reoccurrence)</p> <ul style="list-style-type: none"> • NA
16.	Records of Minutes Local Managing Committee, Quality Assurance Cells, Governing Body, School Committee and TA	<p>* Aided/ Unaided :</p> <ul style="list-style-type: none"> • Record of minutes is maintained manually. • BOS every subject: twice a year • Academic council: Twice a year • Governing council: twice a year • CDC – four to five times in a year. • IQAC – monthly (11 times a year) • College Committee – four to five times a year • Purchase committee – Once a year • Office conducts meeting when required (General Accounts & Budget Meeting) <p>Root cause analysis (what failed in the system to allow this NC to occur?)</p> <ul style="list-style-type: none"> • NA <p>Correction (what is to be done to resolve the issue)</p> <ul style="list-style-type: none"> • NA <p>Corrective Action (what should be done to prevent reoccurrence)</p> <ul style="list-style-type: none"> • NA
17.	Records of Computers, Printers, Lap Tops, Scanners, Projectors and Licensed Software's	<p>* Aided/ Unaided :</p> <ul style="list-style-type: none"> • Purchase of new equipments is recorded in the dead stock register. • New purchases are numbered. • List of all equipments are attached. <p>Root cause analysis (what failed in the system to allow this NC to occur?)</p> <ul style="list-style-type: none"> • NA



		<p>Correction (what is to be done to resolve the issue)</p> <ul style="list-style-type: none"> • NA <p>Corrective Action (what should be done to prevent reoccurrence)</p> <ul style="list-style-type: none"> • NA
18.	Accounts and Finance Section: Cashbook, Ledger, Salary Registers, Salary Bills, Vouchers, Receipt Books, Fee Registers, etc.	<p>* Aided/ Unaided :</p> <ul style="list-style-type: none"> • An account is maintained in FA software. • Vouchers & Reconciliation are made using software • Salary Registers of Full-Time faculty and Non-teaching staff are computerized in Payroll Software & Excel-Sheet • Sevarth Web site for Degree College salary generation programme is prepared by government. • Fee Register & Daily Fee collection Register is maintained through software <p>Root cause analysis (what failed in the system to allow this NC to occur?)</p> <ul style="list-style-type: none"> • NA <p>Correction (what is to be done to resolve the issue)</p> <ul style="list-style-type: none"> • All the relevant reports should computer generated and should sign by the authorities <p>Corrective Action (what should be done to prevent reoccurrence)</p> <ul style="list-style-type: none"> • There should be a CORE system for the entire Accounts department with appropriate program
19.	College Budgets and Audited Balance Sheet	<p>* Aided/ Unaided :</p> <ul style="list-style-type: none"> • Audited and balance sheet is computerised from FA programme. • College has prepared budget program wise for every year. <p>Root cause analysis (what failed in the system to allow this NC to occur?)</p>



		<ul style="list-style-type: none"> • NA <p>Correction (what is to be done to resolve the issue)</p> <ul style="list-style-type: none"> • NA <p>Corrective Action (what should be done to prevent reoccurrence)</p> <ul style="list-style-type: none"> • NA
20.	Teachers Workload and Class Time Tables	<p>* Aided/ Unaided :</p> <ul style="list-style-type: none"> • As per University norms and approved from University / Joint Director Office.
21.	Annual Maintenance Contract: Pest Control Air Conditions, Water Coolers, CC TV, Fire Extinguishers, Computers and Printers	<p>* Aided/ Unaided :</p> <ul style="list-style-type: none"> • The Principal and her team takes care of all types of maintenance contract.
22.	Non- Teaching Staff Welfare	<p>* Aided/ Unaided :</p> <p>For the benefit of Teaching and Non-Teaching Staff, college has credit society. College gives festival advance for Diwali.</p>
23.	Workshops attended by non-teaching staff	<p>* Aided/ Unaided :</p> <p>The staff has attained workshops and seminars.</p>
24.	Training attended by non-teaching staff	<p>It was observed in the audit that the staff are sincere and dedicated towards their work, if more training and work exposure is given will enhance their productivity more.</p>
25.	Knowledge of Typing / Computers – non teaching staff	<p>* Aided/ Unaided :</p> <p>All staff is well acquainted with computer knowledge and software in the office.</p>



Areas for better improvement to avoid the Major Non Conformity:-

- It was found that the physical files/documentations were well organized as per the standards; as a result the easy accessibility is available when the relevant document/s is required. To more organize there should be naming / coding physically and electronically in a consistent, logical and predictable way means that information may be located, identified and retrieved by the concerned person, as quickly and easily as possible.

All the documents and data should be reviewed and approved by the authorized personnel prior to use. Current revisions of appropriate documents should be available at locations where they are used. Obsolete documents should be removed from points of use. Obsolete documents that are retained for reference or legal obligations are marked OBSOLETE and are kept separate from active documents. Obsolete electronic documents are removed from the network and are stored in the system that is only accessible to authorized personnel. Any obsolete documents that need to be reactivated must be reviewed, approved and released in the same manner as newly established documents. At least one copy of all obsolete documents must be archived. Electronic documents are writing protected and controlled by the concern person. By choosing a logical and consistent way to name and organise the files allows to easily locate and use them. This will help the concern person to save the time and will help to find what is needed and when it needed.

- The records which are very important it should be accurately documented and maintained digitally.
- For inward and outward register the digitization system should be introduce and implemented for quick reference, acknowledgment, cost control and easy accessible.
- Maximum use of computerization for information and data should be done as per today's need and should be online accessible for prompt and accurate information at one click. The other benefits of computerized office are paperless office at a work environment in which the use of paper is eliminated or greatly reduced. This is done by Converting documents and other papers into digital form, which can save money, time, boost productivity, save space, make documentation and information sharing easier and keep personal information more secure.



- There should be a Standard Operating Procedures lay down and implement for all the respective department/s for their significant procedures and process with step-by-step instructions that will act as guidelines for staff work processes. Whether written up in numbered steps or formatted as flow charts, effective SOPs should be complete, clearly written, and based on inputs given from the staffs who execute the work. When the staff follows the SOP for a particular job, they produce a work in consistently, understandingly and also help them to plan their work schedules to meet their goals with efficiently. Standardized procedures will guide the staff and reduce the possibility of missed steps or other errors that impact the quality of the completed work. Well-written SOP's will make it easier for qualified staff to do their jobs continuously.
- It was observed that the staff are sincere and dedicated towards their work, if more training is given will enhance their productivity more.

Name and Signature of External Auditor with Date:

i Debjani Dasgupta
(Dr Debjani Dasgupta - External Auditor)

Date: 20/07/19

ii Manali Londhe
(Dr Manali Londhe - External Auditor)

Date: 20/07/19

iii Keya Mukherjee
(Ms.Keyaa Mukherjee - External Auditor)

Date: 20-07-19

Usha
(Dr. Usha Mukherjee, Principal)
RAMNIRANJAN JHUNJHUNWALA COLLEGE
OF ARTS, SCIENCE & COMMERCE (AUTONOMOUS)
Ghatkopar (W), Mumbai-400 086, Maharashtra, INDIA

