



# Shobhit University

EDUCATION EMPOWERS

Adarsh Institutional Area, Babu  
Vijendra Marg, Gangoh, Distt. Saharanpur  
(U.P.) 247341, India  
Tel: +91 7830810052  
E-mail: [registrar@shobhit.org](mailto:registrar@shobhit.org)  
U: [www.shobhit.org](http://www.shobhit.org)

File No. B-3/ADM/RO/2024/

Dated: April 22, 2024

To,  
The Vice Chancellor  
Shobhit University Gangoh  
Adarsh Institutional Area, Babu Vijendra Marg,  
Gangoh, Distt. Saharanpur (U.P.) 247341, India


Sub: Internal audit report for the period from 1<sup>st</sup> April 2023 to 31<sup>st</sup> March 2024.

Dear Sir,

This is to inform you that we have conducted internal audit for checking the efficiency & effectiveness of the internal controls and verification of related financial records. Further we have given recommendations for rectifying / strengthening the same as follows:

1. We have checked all the bank vouchers with the bank statements and bank reconciliations and found all the entries to be proper and correct except two entries where the heads were not proper in our books and complying the suggestions, the entries were corrected. We appreciate that all the bank entries are properly reconciled.
2. We have reviewed the debtors and creditors and found that there are no outstanding payments to any creditors. All payments have been made promptly. We also checked all the cash books and cash vouchers.
3. We have checked the debtors and creditors and found that there is no pending payment of any creditors. Payments are well in time.
4. We checked all the fees received from students, found that some students have not paid the fees on time but they have taken permission from Registrar. Otherwise in respect of accounting it is properly maintained.
5. We also checked Salary and Wages account and found that the salary is paid on 07th of every month.
6. Checked all the TDS entries which we found proper and deposited the TDS well on time.

*Suggestions:* Remind to collect the fees from students on time.

  
(Internal Auditor)

  
(Internal Auditor)



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U.: [www.sug.ac.in](http://www.sug.ac.in)

Ref: SU/FO/ADM/12/2021

Dated: April 1, 2021

## Inter Office Note

To, Financial Officer

Subject: Initiation of Internal Audit

Dear Sir/Madam,

You are requested to initiate the process for conducting the internal audit of the university's financial records for the current period.

The audit will be carried out by **Mr. Somprabh Dubey** and **Mr. Adesh Kumar**. Kindly ensure that all relevant documents, records, and information are made available to the auditors to facilitate a smooth and efficient audit process.

Your cooperation in providing the necessary support and coordination is appreciated.

Regards,

  
Registrar

CC to

1. PA to VC



# CERTIFICATE OF REGISTRATION

This is to Certify that  
The Quality Management System of

## SHOBHIT UNIVERSITY

ADARSH INSTITUTIONAL AREA, BABU VIJENDRA MARG, GANGOH, DISTT  
SAHARANPUR-247341, UTTAR PRADESH, INDIA

has been assessed and found to be in accordance with the  
requirements of the system standard

### ISO 9001:2015

For the scope of activities described below

PROVIDING EDUCATION COURSES FOR UNDERGRADUATE, POSTGRADUATE, RESEARCH  
PROGRAM IN THE AREA OF ENGINEERING, MANAGEMENT, HEALTH SCIENCES, ALLIED HEALTH  
SCIENCES, LAW, PHARMACY, EDUCATION, AGRICULTURE AND CERTIFICATION IN SKILL  
DEVELOPMENT COURSES, EXTENSION ACTIVITIES, TRAINING AND ADMINISTRATIVE  
SUPPORT ACTIVITIES

Certificate No : QIBPK

Issue Date : 01/07/2024  
Valid Date : 30/06/2025

1st Surveillance Audit Date : 30/06/2025  
2nd Surveillance Audit Date : 30/06/2026

Validity of this certificate is subject to successful completion of surveillance audits as scheduled. If the  
organization fails to maintain compliance with the requirements of the standard, this certificate shall be suspended.



International Standardization Private Limited



# CERTIFICATE OF REGISTRATION

For the Management System  
of the Management System

## SHOBHIT UNIVERSITY

ADARSH INSTITUTIONAL AREA, BABU VIJENDRA MARG,  
GANGOH, DISTT. SAHARANPUR-247341,  
UTTAR PRADESH, INDIA

Management System of the Management System  
of the Management System

### ISO 14001:2015

For the Management System of the Management System

PROVIDING EDUCATION COURSES FOR UNDERGRADUATE, POSTGRADUATE, RESEARCH  
PROGRAMS IN THE AREA OF ENGINEERING, MANAGEMENT, HEALTH SCIENCES, ALLIED  
HEALTH SCIENCES, LAW, PHARMACY, EDUCATION, AGRICULTURE AND CERTIFICATION IN  
SKILL DEVELOPMENT COURSES & EXTENSION ACTIVITIES, TRAINING AND ADMINISTRATIVE  
SUPPORT ACTIVITIES

Certificate No: EIBPK1183

Shobhit University is a member of the International Business Process Consortium (IBPC) and is a member of the International Business Process Consortium (IBPC) and is a member of the International Business Process Consortium (IBPC)



International Business Process Consortium (IBPC)

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Shobhit University

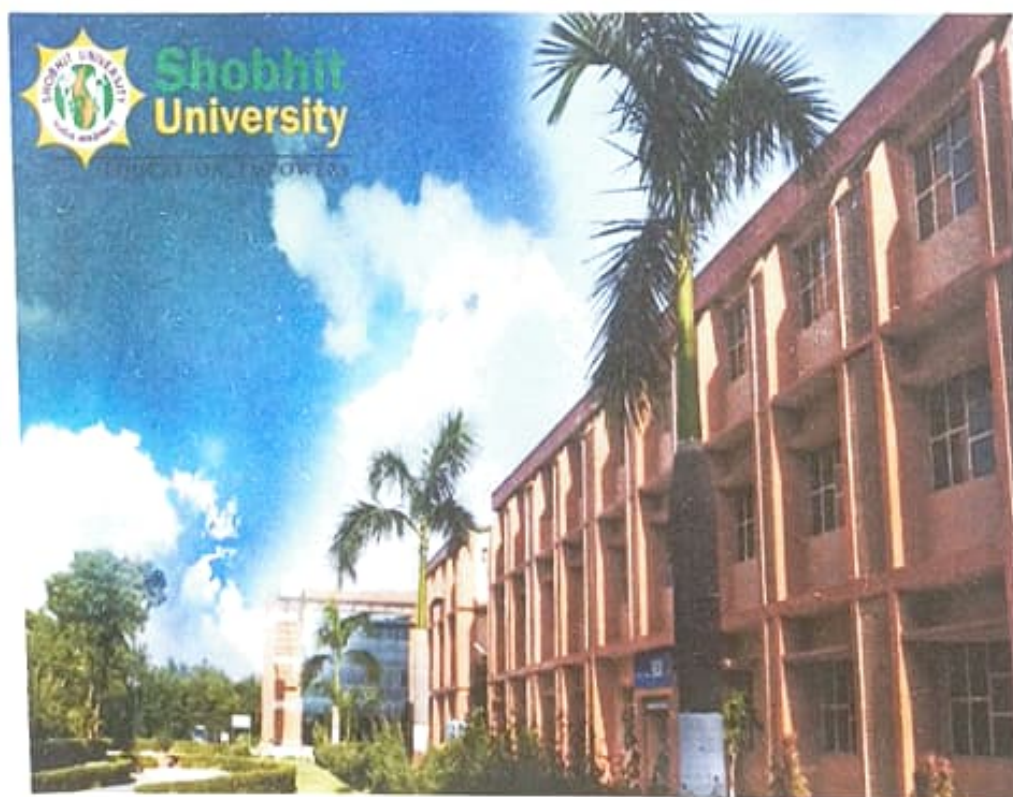


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# ACADEMIC & ADMINISTRATIVE AUDIT REPORT 2024 - 2025



**Prepared by:**

**Internal Quality Assurance Cell  
Shobhit University Gangoh**





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## About Shobhit University, Gangoh

Shobhit University, Gangoh, Saharanpur has been notified by the Government of Uttar Pradesh vide Shobhit Vishwavidhayaya, Uttar Pradesh Adhiniyam, 2011 (U.P. Act No.3 of 2012) passed by Uttar Pradesh Legislature and assented by the H.E. Governor of Uttar Pradesh. The University is established under section 2(f) of the University Grant Commission (UGC) Act, 1956. (Notification)

Shobhit University, Gangoh was established by the legislative bill of Uttar Pradesh Government vide Shobhit University Uttar Pradesh Act, 3 in 2012. It has since emerged as one of the very few universities that are rural-based in the sense they are deeply entrenched in the rural ambience of culture, environment, market and aspirations while technologically resting on the great shift on the continuum of Tradition and Modernity.

## Vision, Mission, Core Values and Strategic Initiative

### Vision

The Shobhit University will be internationally recognized as a premier Indian University with a global perspective that educates leaders who will fashion a more humane and just world.

### Mission

The core mission of the University is to promote learning in Indian tradition with international outlook. The University offers undergraduate, graduate, research scholars and professional students, the knowledge and skills needed to succeed as persons and professional in niche technical areas, and the values and sensitivity necessary to be men and women for others.

The University will distinguish itself as a diverse, socially responsible learning community of high quality scholarship and academic rigor, sustained by Indian ethics & values. The University will draw from the cultural, intellectual and economic resources of the nation to enrich and strengthen its educational programmes.

### Core Values

The University's core values include a belief in and a commitment to advancing

- The Indian tradition that views faith and reason as complementary resources in the search for truth and authentic human development, and that welcomes persons of all faiths as fully contributing partners to the University.
- The freedom and the responsibility to pursue truth and follow evidence to its conclusion.
- Learning as a humanizing, social activity rather than a competitive exercise.
- A common good that transcends the interests of particular individuals or groups; and reasoned discourse rather than coercion as the norm for decision making.
- Diversity of perspectives, experiences and traditions as essential components of a quality education in our global context.



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- Excellence as the standard for teaching, scholarship, creative expression and service to the University community.
- Social responsibility in fulfilling the University's mission to create, communicate and apply knowledge to a world shared by all people and held in trust for future generations.
- The moral dimension of every significant human choice: taking seriously how and who we choose to be in the world.
- The full, integral development of each person and all persons, with the belief that no individual or group may rightfully prosper at the expense of others.
- A culture of service that respects and promotes the dignity of every person.

### Strategic Initiative

The following initiatives are key to the University's achieving the recognition as a premier Indian University:

- Recruit and retain a diverse faculty of outstanding teacher scholars and a highly qualified, service-oriented staff, all committed to advancing the University's Vision, Mission and Values.
- Enroll, support and graduate a diverse student body, which demonstrates high academic achievement, strong leadership capability, concern for others and a sense of responsibility form the weak and the vulnerable.
- Provide an attractive campus environment and the resources to promote learning throughout the University:
- Learning resources that enhance curriculum and support scholarship
- Technology solutions to enhance learning and improve service
- Facilities to support outstanding educational programmes.

### Academic and Administrative Audit (AAA)

Shobhit University conducts annual internal and external audits encompassing both academic and administrative aspects. The Institutional Quality Assurance Cell (IQAC) oversees these audits with its team internal auditors. External audits are conducted annually by external experts from academia and Industry. These audits are pivotal in fostering quality enhancement and continuous improvement, positioning Shobhit University among the leaders in best practices. The primary objective of these audits is to pinpoint any shortcomings or deficiencies within departments or sections as identified by the trained internal auditors. Regular review of these findings by senior management facilitates the implementation of necessary measures to enhance quality across the institution.

### Composition of AAA

1. Vice Chancellor
2. Representative from Administration
3. IQAC Coordinator

4. Criteria Coordinators
5. Internal auditors selected by IQAC

### Scope of the Internal AAA

The audit process strictly adhered to a proforma structured by the IQAC for the evaluation based on NAAC criteria's as given:

1. Curricular Aspects: Curriculum design, development, BOS, framing of COs, POs, PEOs, PSOs for each course and programs, Curriculum enrichment, feedback
2. Teaching-Learning & Evaluation: Student mentoring, student assessment, student diversity, Teaching learning process, usage of ICT enabled tools, evaluation process and reforms, Faculty profiles, Student learning outcomes
3. Research, innovation & extension: Research facilities, papers published, patents, research projects
4. Feedback system
5. Research
6. Infrastructure
7. Department Administration
8. Other academic-oriented activities

Period of Assessment: 2024-2025

Dates of Internal Audit: 21<sup>st</sup> Feb 2025 to 22<sup>nd</sup> Feb 2025

The Internal Audit Committee and School/Departments to audit by the auditors.

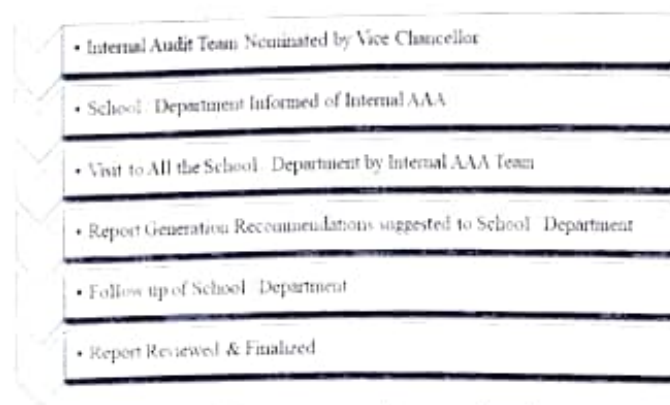


Fig. 1. Process flow of Internal Audit





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## Internal Audit Committee Members

1. Dr. Somprabh Dubey
2. Dr. Prashant Kumar

School	Courses	Name of the Internal Auditor
School of Engineering and Technology	B. Tech. (Computer Science and Engineering)	Ms. Sumika Jain Mr. Kuldeep Kumar
	Master of Technology (Computer Engineering)	
	Bachelor of Computer Applications	
	Master of Computer Applications	
School of Biological Engineering and Sciences	Bachelor of Science (Hons. Microbiology)	Dr. Vinay
	Master of Science (Microbiology)	
School of Pharmacy Adarsh Vijendra Institute of Pharmaceutical Sciences	B. Pharm.	Dr. Jai Prakash Dr. Mayank Yadav
	M. Pharm. (Pharmaceutical Chemistry)	
	M. Pharm. (Pharmaceutics)	
	M. Pharm. (Pharmacology)	
School of Education	Bachelor of Education (BEd)	Mr. Ram Janki
School of Agriculture and Environmental Sciences	Bachelor of Science (Hons. Agriculture)	Dr. Shivani
School of Business Studies and Entrepreneurship	Bachelor of Business Administration	Mr. Adesh Kumar
	Master of Business Administration	
School of Law and Constitutional Studies	BA LLB	Mr. Dharmendra Yadav
	L.L.B	
School of Ayurveda Kunwar Shekhar Vijendra Ayurved Medical College and Research Center	BAMS	Dr. Pretya Juyal Dr. Sugandha Verma Dr. Kultar Singh
	MS(Shalya Tantra)	
	MD(Kayachikitsa)	
	MD(Kriya Sharir)	
	MD(Ayurveda Samhita and Siddhant)	
	MD(Rachna Sharir)	
School of Naturopathy Kunwar Shekhar Vijendra Medical College of Naturopathy and Yogic Sciences	MS(Prasuti Tantra and Stree Rog)	Mr. Pradeep Sharma
	Bachelor of Naturopathy and Yogic Sciences (BNYS)	



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**Academic and Administrative Audit (AAA) Schedule**  
**Feb 21 – 22, 2025**  
**Day – 1**

Time	Activity
10:00 – 10:15 AM	Welcome of the Guests
10:15 – 10:45 AM	Brief overview about the University and recent developments by Director – IQAC
10:45 – 01:00 PM	Visit to the School of Engineering and Technology, School of Biological Engineering & Sciences, School of Education
01:00 – 02:00 PM	Lunch
02:00 – 04:00 PM	Visit to School of Education, School of Agriculture and Environmental Sciences, School of Business Studies and Entrepreneurship, School of Law and Constitutional Studies
04:00 – 05:00 PM	Visit to the Central facilities – Examination Cell, Placement Cell, Auditorium, Sports Facilities etc.
Day - 2	
10:00 – 10:15 AM	Welcome by the IQAC Director
10:15 – 12:00 Noon	Visit to School of Ayurveda (KSVAMC&RC), School of Naturopathy (KSVMCN&YS) and School of Pharmacy (AVIPS)
12:00 – 01:00 PM	Visit to the facilities like Compost Plant, Animal House etc.
01:00 – 02:00 PM	Lunch
Post Lunch	Report Writing and Exit Meeting with the Deans/Directors/HoD's

### External AAA

Based on the recommendations of the competent authority's distinguished academicians, industrialists are invited to serve as external experts for the academic and administrative audit. In consultation with these external auditors, a schedule is finalized, and the respective institutions are informed.

The Schools/Departments are evaluated on the following criteria:

1. Curricular Aspects
2. Teaching Learning and Evaluation
3. Research, Innovations and Extension activities
4. Infrastructure and Learning process
5. Student Support and Progression
6. Governance, Leadership and Management
7. Institutional Values and Best Practices

External Audit committee was constituted and comprise of the following members:

1. Dr. Gaurav Manik – Professor and Head of Department of Polymer and Process Engineering, IIT Roorkee
2. Dr. Praveen Bansal – Professor and Joint Director, Baba Farid University of Health Sciences, Faridkot

#### Planning of AAA

Constitution of External  
AAA Team

Schedule Circulated in all  
the School / Department

Quality Assessment  
Achieved

Report Generated

School / Department Visit  
for External AAA

(a)

(b)

Fig. 2. Process flow of External Audit

The external academic and administrative audit was conducted on Feb 21 – 22, 2025. The external auditors and members were assisted by the IQAC members in carrying out the audit. On the first day, the external members held a formal meeting with the Vice Chancellor, Registrar, Deans, Directors, and Coordinators of various Schools and departments. During the meeting, the Vice



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Chancellor provided an overview of the developments and achievements from the past year. The external auditors were also briefed on the audit's objectives and procedures.

The members visited the Schools and inspected infrastructural facilities such as smart classrooms and laboratories. They interacted with representatives, faculty members, and non-teaching staff of the respective Schools/Departments to understand the developments. The required documents were shown, and the auditors also visited central facilities like the Examination Cell, Placement Cell, Library, and Auditorium. Additionally, they inspected facilities such as the sewage treatment plant, rainwater harvesting system, biogas plant, and compost plant.

After interacting with all the Schools/Departments, a detailed report covering all the observations was prepared for each School/Department. The audit was successful in ensuring that the curriculum, teaching, learning, and evaluation methodologies practiced at the University meet the highest standards, thereby maintaining academic excellence in alignment with the University's vision and mission.

School	Courses	Name of the Internal Auditor
School of Engineering and Technology	B. Tech. (Computer Science and Engineering)	Ms. Sumika Jain Mr. Kuldeep Kumar
	Master of Technology (Computer Engineering)	
	Bachelor of Computer Applications	
	Master of Computer Applications	
School of Biological Engineering and Sciences	Bachelor of Science (Hons. Microbiology)	Dr. Vinay
	Master of Science (Microbiology)	
School of Pharmacy Adarsh Vijendra Institute of Pharmaceutical Sciences	B. Pharm.	Dr. Jai Prakash Dr. Mayank Yadav
	M. Pharm. (Pharmaceutical Chemistry)	
	M. Pharm. (Pharmaceutics)	
	M. Pharm. (Pharmacology)	
School of Education	Bachelor of Education (BEd)	Mr. Balram Tonk
School of Agriculture and Environmental Sciences	Bachelor of Science (Hons. Agriculture)	Dr. Shivani
School of Business Studies and Entrepreneurship	Bachelor of Business Administration	Mr. Adesh Kumar
	Master of Business Administration	
School of Law and Constitutional Studies	BA LLB	Mr. Dharmendra Yadav
	LLB	
School of Ayurveda Kinwar Shekhar	BAMS	Dr. Pretya Juyal Dr. Sugandha Verma
	MS(Shalya Tantra)	





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Ur: [www.sug.ac.in](http://www.sug.ac.in)

Vijendra Ayurved Medical College and Research Center	MD(Kayachikitsa)	Dr. Kultar Singh
	MD(Kriya Sharir)	
	MD(Ayurveda Samhita and Siddhant)	
	MD(Rachna Sharir)	
	MS(Prasuti Tantra and Stree Rog)	
School of Naturopathy Kunwar Shekhar Vijendra Medical College of Naturopathy and Yogic Sciences	Bachelor of Naturopathy and Yogic Sciences (BNYS)	Mr. Pradeep Sharma



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## Report of Academic and Administrative Audit Committee

### Assessment based on Institutional Information

Category	Description	Available
Approval and Accreditation documents	UGC, BCI, NCISM, PCI	Yes / <del>No</del>
Governance	Governing Body Notification	Yes / <del>No</del>
	Academic Council Notification	Yes / <del>No</del>
	Finance Committee Notification	Yes / <del>No</del>
	BoS Notification	Yes / <del>No</del>
	Proceedings of Governing Body Meetings	Yes / <del>No</del>
	Proceedings of Academic Council Meetings	Yes / <del>No</del>
	Proceedings of Finance Committee Meetings	Yes / <del>No</del>
	Proceedings of BoS Meetings	Yes / <del>No</del>
	Examination Cell	Yes / <del>No</del>
	IQAC and its Proceedings	Yes / <del>No</del>
	Anti-Ragging Committee	Yes / <del>No</del>
	Grievance Redressal Committee	Yes / <del>No</del>
	Student Council	Yes / <del>No</del>
	Alumni Council	Yes / <del>No</del>
Others	Office Automation	Yes / <del>No</del>
	Personal Files	Yes / <del>No</del>
	Finance Audit Reports	Yes / <del>No</del>
	Student Scholarship Details	Yes / <del>No</del>
	University Website	Yes / <del>No</del>
	CCTV	Yes / <del>No</del>
	ICT Enabled Class Rooms, Auditorium	Yes / <del>No</del>
	Fire Extinguishers	Yes / <del>No</del>
	Canteen, Mess	Yes / <del>No</del>
	Sports Facility	Yes / <del>No</del>
	Hostel (Boys & Girls)	Yes / <del>No</del>
	Common Room	Yes / <del>No</del>
	Bank	Yes / <del>No</del>
	Rain Water Harvesting	Yes / <del>No</del>
	Electricity Backup facility	Yes / <del>No</del>
	Alternate source of Energy/Energy Conservation/LED/Solar Panels etc.	Yes / <del>No</del>

*Partial*



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Staff Accommodation	Yes / No
Liquid Waste Management	Yes / No
Green Campus Initiative	Yes / No

1. The University is recognized by MHRD, Government of India
2. Qualified and committed faculty members with rich experience
3. School of Pharmacy (AVIPS) is ranked by NIRF in top 101 – 125 band. (2023)
4. The University is ISO 9001:2015 certified
5. Departments function in alignment with the University Quality policies
6. Total number of programs offered during 2024-2025 are 26.  
Among them UG Programmes offered are 10; PG Programmes 14, Ph.D-1  
Faculty members - 199
7. 40 faculty members are with PhD
8. A total of 2933 Students are enrolled in the campus and nearly 500 outgoing students during 2024-2025.
9. Overall the pedagogic and examinations processes are progressing smoothly.
10. It is recommended to consult industry representatives and potential employers when designing the curriculum.
11. A mechanism for collecting student feedback on courses is in place and conducted by IQAC. Overall issues identified in the feedback should be analyzed and discussed in departmental meetings. The Head of the Department/Director/Dean will communicate individual feedback to the respective faculty members.
12. Faculty members should be encouraged to engage more extensively in mentoring.
13. Apply for NIRF and other bodies for the all India rankings.

Academic Review	
Teaching and Examination Processes	The teaching and examination processes are progressing smoothly. Mechanisms for collecting student feedback on courses, managed by the IQAC, are in place. Feedback issues are analyzed and discussed in departmental meetings, and individual teacher feedback is communicated by the Head of the Department or Dean.
Curriculum Development	May start some certificate courses and students should be encouraged to enroll for Massive Open Online Courses (MOOCs) Courses







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Ref: SUG/FO/L/2024

Dated: April 12, 2024

Office of the Finance Officer

Action Taken Report (ATR)

**Subject: Internal Audit Held on April 22, 2024**

In reference to the Internal Audit conducted on April 22, 2024, the following actions have been taken in response to the observations and suggestions made by the audit team:

**1. Fee Collection Monitoring:**

As per the auditors' recommendation, greater emphasis has been placed on ensuring the **timely collection of fees** from students. Schools and departments have been advised to regularly communicate with students and parents regarding pending dues, and automated reminders through SMS and email are being implemented.

**2. Record Maintenance:**

Financial records and documentation processes have been reviewed and standardized to ensure consistency, accuracy, and compliance with internal policies.

**3. Reconciliation Procedures:**

Monthly reconciliation of fee records and accounts has been initiated to avoid discrepancies and ensure updated financial tracking.

We acknowledge the valuable suggestions provided by the audit team and remain committed to continual improvement in financial management and compliance.

Finance Officer  
Shobhit University, Gangoh





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Ref: SU/FO/ADM/11/2023

Dated: April 7, 2023

## Inter Office Note

To, Financial Officer

**Subject:** Request for Internal Audit

Dear Sir/Madam,

This is to formally request the initiation of an internal audit for the current financial period. The audit is scheduled to be conducted by **Dr. Somprabh Dubey** and **Mr. Adesh Kumar**.

Kindly extend all necessary support and provide access to the relevant financial records, documents, and systems to facilitate a smooth and comprehensive audit process.

Please coordinate with the auditors and ensure that all required arrangements are made in a timely manner.

Thank you for your cooperation.



CC to

1. PA to VC
2. Registrar Office for records





**Shobhit  
University**

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Area Gangoh, Distt Saharanpur (U.P.)

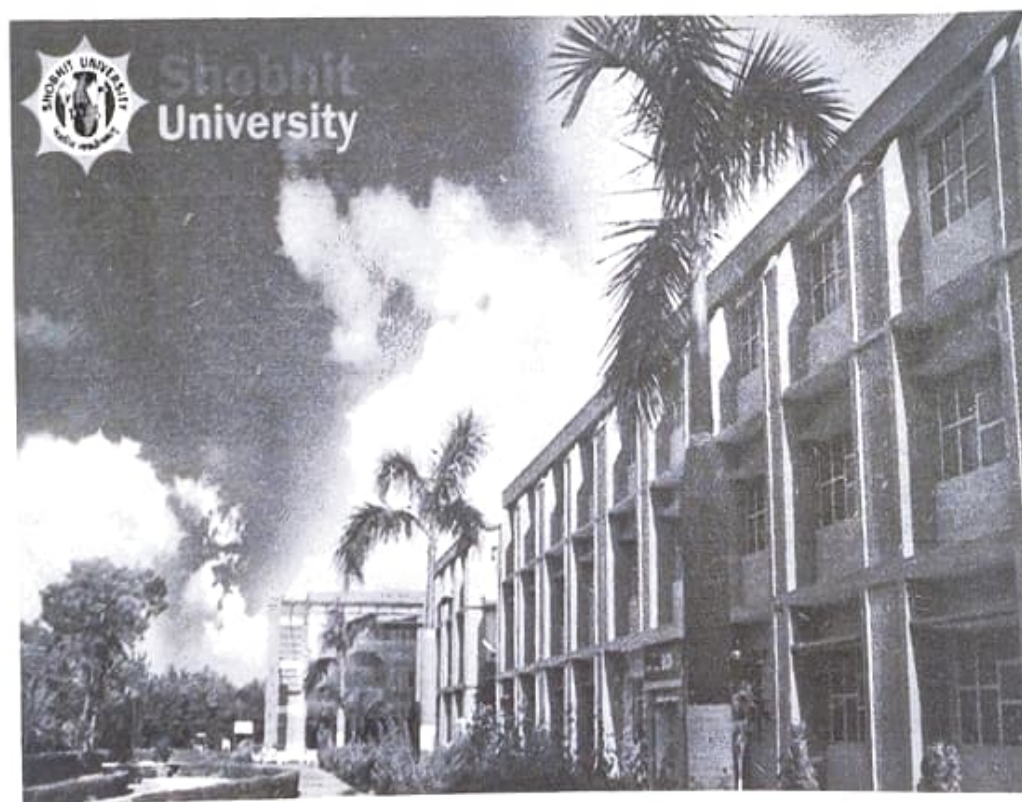
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# **ACADEMIC & ADMINISTRATIVE AUDIT REPORT 2023 – 2024**



**Prepared by:**

**Internal Quality Assurance Cell  
Shobhit University Gangoh**





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U: [www.sug.ac.in](http://www.sug.ac.in)

## About Shobhit University, Gangoh

Shobhit University, Gangoh, Saharanpur has been notified by the Government of Uttar Pradesh vide Shobhit Vishwavidyalaya, Uttar Pradesh Adhiniyam, 2011 (U.P. Act No.3 of 2012) passed by Uttar Pradesh Legislature and assented by the H.E. Governor of Uttar Pradesh. The University is established under section 2(f) of the University Grant Commission (UGC) Act, 1956. (Notification)

Shobhit University, Gangoh was established by the legislative bill of Uttar Pradesh Government vide Shobhit University Uttar Pradesh Act, 3 in 2012. It has since emerged as one of the very few universities that are rural-based in the sense they are deeply entrenched in the rural ambience of culture, environment, market and aspirations while technologically resting on the great shift on the continuum of Tradition and Modernity.

## Vision, Mission, Core Values and Strategic Initiative

### Vision

The Shobhit University will be internationally recognized as a premier Indian University with a global perspective that educates leaders who will fashion a more humane and just world.

### Mission

The core mission of the University is to promote learning in Indian tradition with international outlook. The University offers undergraduate, graduate, research scholars and professional students, the knowledge and skills needed to succeed as persons and professional in niche technical areas, and the values and sensitivity necessary to be men and women for others. The University will distinguish itself as a diverse, socially responsible learning community of high quality scholarship and academic rigor, sustained by Indian ethics & values. The University will draw from the cultural, intellectual and economic resources of the nation to enrich and strengthen its educational programmes.

### Core Values

The University's core values include a belief in and a commitment to advancing

- The Indian tradition that views faith and reason as complementary resources in the search for truth and authentic human development, and that welcomes persons of all faiths as fully contributing partners to the University.
- The freedom and the responsibility to pursue truth and follow evidence to its conclusion.
- Learning as a humanizing, social activity rather than a competitive exercise.
- A common good that transcends the interests of particular individuals or groups; and reasoned discourse rather than coercion as the norm for decision making.
- Diversity of perspectives, experiences and traditions as essential components of a quality education in our global context.



# Shobhit University

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- Excellence as the standard for teaching, scholarship, creative expression and service to the University community.
- Social responsibility in fulfilling the University's mission to create, communicate and apply knowledge to a world shared by all people and held in trust for future generations.
- The moral dimension of every significant human choice: taking seriously how and who we choose to be in the world.
- The full, integral development of each person and all persons, with the belief that no individual or group may rightfully prosper at the expense of others.
- A culture of service that respects and promotes the dignity of every person.

## Strategic Initiative

The following initiatives are key to the University's achieving the recognition as a premier Indian University:

- Recruit and retain a diverse faculty of outstanding teacher scholars and a highly qualified, service-oriented staff, all committed to advancing the University's Vision, Mission and Values.
- Enroll, support and graduate a diverse student body, which demonstrates high academic achievement, strong leadership capability, concern for others and a sense of responsibility from the weak and the vulnerable.
- Provide an attractive campus environment and the resources to promote learning throughout the University:
- Learning resources that enhance curriculum and support scholarship
- Technology solutions to enhance learning and improve service
- Facilities to support outstanding educational programmes.

## Academic and Administrative Audit (AAA)

Shobhit University conducts annual internal and external audits encompassing both academic and administrative aspects. The Institutional Quality Assurance Cell (IQAC) oversees these audits with its team internal auditors. External audits are conducted annually by external experts from academia and industry. These audits are pivotal in fostering quality enhancement and continuous improvement, positioning Shobhit University among the leaders in best practices. The primary objective of these audits is to pinpoint any shortcomings or deficiencies within departments or sections as identified by the trained internal auditors. Regular review of these findings by senior management facilitates the implementation of necessary measures to enhance quality across the institution.

## Composition of AAA

1. Vice Chancellor
2. Representative from Administration
3. IQAC Coordinator



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4. Criteria Coordinators

5. Internal auditors selected by IQAC

### Scope of the Internal AAA

The audit process strictly adhered to a proforma structured by the IQAC for the evaluation based on NAAC criteria's as given:

1. Curricular Aspects: Curriculum design, development, BOS, framing of COs, POs, PEOs, PSOs for each course and programs, Curriculum enrichment, feedback
2. Teaching-Learning & Evaluation: Student mentoring, student assessment, student diversity, Teaching learning process, usage of ICT enabled tools, evaluation process and reforms, Faculty profiles, Student learning outcomes
3. Research, innovation & extension: Research facilities, papers published, patents, research projects
4. Feedback system
5. Research
6. Infrastructure
7. Department Administration
8. Other academic-oriented activities

Period of Assessment: 2022-2023

Dates of Internal Audit: 15<sup>th</sup> Feb 2023 to 16<sup>th</sup> Feb 2023

The Internal Audit Committee and School/Departments to audit by the auditors.

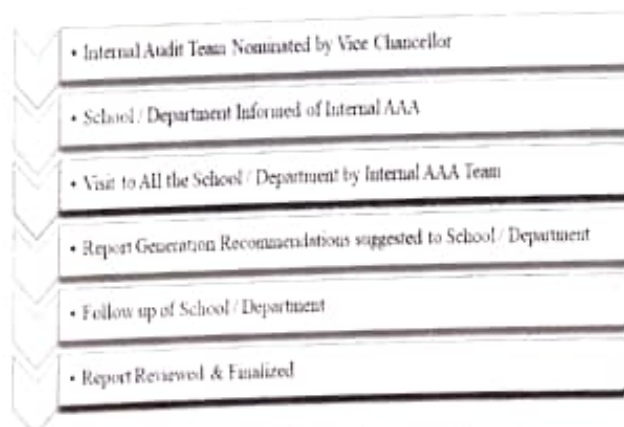


Fig. 1. Process flow of Internal Audit





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## Internal Audit Committee Members

1. Dr. Somprabh Dubey
2. Dr. Prashant Kumar

School	Courses	Name of the Internal Auditor
School of Engineering and Technology	Bachelor of Technology (Computer Science & Engineering)	Mr. Sumika
	Bachelor of Computer Applications	
	Master of Computer Applications	
School of Biological Engineering & Sciences	Bachelor of Science (Biotechnology)	Mr. Saurabh Sharma
	Bachelor of Science (Microbiology)	
	Master of Science (Chemistry)	
	Master of Science (Microbiology)	
School of Pharmacy (AVIPS)	Bachelor of Pharmacy	Mr. J. Prakash
	Master of Pharmacy (Pharmacology)	
	Master of Pharmacy (Pharmaceutics)	
	Master of Pharmacy (Pharmaceutical Chemistry)	
School of Education	Bachelor of Education	Mr. Balram Toul
School of Agriculture and Environmental Sciences	Bachelor of Science (Agriculture)	Dr. Shivani
School of Business Studies and Entrepreneurship	Bachelor of Commerce	Mr. Adesh Kumar
	Bachelor of Business Administration	
	Master of Business Administration	
School of Law and Constitutional Studies	Bachelor of Arts and Bachelor of Legislative Law	Mr. Shakti Singh
	Bachelor of Legislative Law	
School of Ayurveda (KSVAMC&RC)	Bachelor of Ayurvedic Medicine and Surgery	Dr. Ketika Juyal
	Master of Surgery (Shalya Tantra)	
	Doctor of Medicine (Kayachikitsa)	Dr. Krishanand C
	Doctor of Medicine (Kirya Sharir)	
	Doctor of Medicine (Ayurveda Samhita & Siddhant)	Mr. Salish Jain
	Doctor of Medicine (Rachna Sharir)	
	Master of Surgery (Prasuti Tantra & Stree Rog)	







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School of Naturopathy (KSVMCN&YS)	Bachelor of Naturopathy and Yogic Sciences	<i>Mr. Pradeep Sharma</i>
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**Academic and Administrative Audit (AAA) Schedule**  
**May 12 - 13, 2023**

Day - 1	
Time	Activity
10:00 - 10:15 AM	Welcome of the Guests
10:15 - 10:45 AM	Brief overview about the University and recent developments by Director - IQAC
10:45 - 01:00 PM	Visit to the School of Engineering and Technology, School of Biological Engineering & Sciences, School of Education
01:00 - 02:00 PM	Lunch
02:00 - 04:00 PM	Visit to School of Education, School of Agriculture and Environmental Sciences, School of Business Studies and Entrepreneurship, School of Law and Constitutional Studies
04:00 - 05:00 PM	Visit to the Central facilities - Examination Cell, Placement Cell, Auditorium, Sports Facilities etc.
Day - 2	
10:00 - 10:15 AM	Welcome by the IQAC Director
10:15 - 12:00 Noon	Visit to School of Ayurveda (KSVAMC&RC), School of Naturopathy (KSVMCN&YS) and School of Pharmacy (AVIPS)
12:00 - 01:00 PM	Visit to the facilities like Compost Plant, Animal House etc.
01:00 - 02:00 PM	Lunch
Post Lunch	Report Writing and Exit Meeting with the Deans/Directors/HoD's





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## External AAA

Based on the recommendations of the competent authority's distinguished academicians, industrialists are invited to serve as external experts for the academic and administrative audit. In consultation with these external auditors, a schedule is finalized, and the respective institutions are informed.

The Schools/Departments are evaluated on the following criteria:

1. Curricular Aspects
2. Teaching Learning and Evaluation
3. Research, Innovations and Extension activities
4. Infrastructure and Learning process
5. Student Support and Progression
6. Governance, Leadership and Management
7. Institutional Values and Best Practices

External Audit committee was constituted and comprise of the following members:

1. Sh. J. P. Singh – Associate Director – IRDE, DRDO and Head – AI
2. Dr. Vaibhav Gupta – Senior Scientist, IRDE, DRDO

### Planning of AAA

Constitution of External  
AAA Team

Schedule Circulated in all  
the School / Department

(a)

Quality Assessment  
Achieved

Report Generated

School / Department Visit  
for External AAA

(b)

Fig. 2. Process flow of External Audit

The external academic and administrative audit was conducted on May 12-13, 2023. The external auditors and members were assisted by the IQAC members in carrying out the audit. On the first day, the external members held a formal meeting with the Vice Chancellor, Registrar, Deans, Directors, and Coordinators of various Schools and departments. During the meeting, the Vice



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Chancellor provided an overview of the developments and achievements from the past year. The external auditors were also briefed on the audit's objectives and procedures.

The members visited the Schools and inspected infrastructural facilities such as smart classrooms and laboratories. They interacted with representatives, faculty members, and non-teaching staff of the respective Schools/Departments to understand the developments. The required documents were shown, and the auditors also visited central facilities like the Examination Cell, Placement Cell, Library, and Auditorium. Additionally, they inspected facilities such as the sewage treatment plant, rainwater harvesting system, biogas plant, and compost plant.

After interacting with all the Schools/Departments, a detailed report covering all the observations was prepared for each School/Department. The audit was successful in ensuring that the curriculum, teaching, learning, and evaluation methodologies practiced at the University meet the highest standards, thereby maintaining academic excellence in alignment with the University's vision and mission.

School	Courses	Name of the Internal Auditor
School of Engineering and Technology	Bachelor of Technology (Computer Science & Engineering)	Ms. Sumika
	Bachelor of Computer Applications	
	Master of Computer Applications	
School of Biological Engineering & Sciences	Bachelor of Science (Biotechnology)	Mr. Satish Sharma
	Bachelor of Science (Microbiology)	
	Master of Science (Chemistry)	
	Master of Science (Microbiology)	
School of Pharmacy (AVIPS)	Bachelor of Pharmacy	Mr. Jai Laksh
	Master of Pharmacy (Pharmacology)	
	Master of Pharmacy (Pharmaceutics)	
	Master of Pharmacy (Pharmaceutical Chemistry)	
School of Education	Bachelor of Education	Mr. Baham Tonk
School of Agriculture and Environmental Sciences	Bachelor of Science (Agriculture)	Dr. Shivani
School of Business Studies and Entrepreneurship	Bachelor of Commerce	Mr. Adesh Kumar
	Bachelor of Business Administration	
	Master of Business Administration	
	Bachelor of Arts and Bachelor of Legislative Law	





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School of Law and Constitutional Studies	Bachelor of Legislative Law	Mr. Shakti Singh
School of Ayurveda (KSVAMC&RC)	Bachelor of Ayurvedic Medicine and Surgery	Dr. Satish Janani
	Master of Surgery (Shalya Tantra)	Dr. Preeti Taryal
	Doctor of Medicine (Kayachikitsa)	Dr. Krishnanand C
	Doctor of Medicine (Kirya Sharir)	
	Doctor of Medicine (Ayurveda Samhita & Siddhant)	
	Doctor of Medicine (Rachna Sharir)	
School of Naturopathy (KSVMCN&YS)	Master of Surgery (Prasuti Tantra & Stree Rog)	
	Bachelor of Naturopathy and Yogic Sciences	Mr. Hardeep Sharma







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## Report of Academic and Administrative Audit Committee

### Assessment based on Institutional Information

Category	Description	Available
Approval and Accreditation documents	UGC, BCI, NCISM, PCI	Yes / No
Governance	Governing Body Notification	Yes / No
	Academic Council Notification	Yes / No
	Finance Committee Notification	Yes / No
	BoS Notification	Yes / No
	Proceedings of Governing Body Meetings	Yes / No
	Proceedings of Academic Council Meetings	Yes / No
	Proceedings of Finance Committee Meetings	Yes / No
	Proceedings of BoS Meetings	Yes / No
	Examination Cell	Yes / No
	IQAC and its Proceedings	Yes / No
	Anti-Ragging Committee	Yes / No
	Grievance Redressal Committee	Yes / No
	Student Council	Yes / No
	Alumni Council	Yes / No
Others	Office Automation	Yes / No
	Personal Files	Yes / No
	Finance Audit Reports	Yes / No
	Student Scholarship Details	Yes / No
	University Website	Yes / No
	CCTV	Yes / No
	ICT Enabled Class Rooms, Auditorium	Yes / No
	Fire Extinguishers	Yes / No
	Canteen, Mess	Yes / No
	Sports Facility	Yes / No
	Hostel (Boys & Girls)	Yes / No
	Common Room	Yes / No
	Bank	Yes / No
	Rain Water Harvesting	Yes / No
	Electricity Backup facility	Yes / No
	Alternate source of Energy/Energy Conservation/LED/Solar Panels etc.	Yes / No
	Staff Accommodation	Yes / No





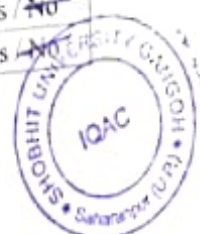
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Liquid Waste Management  
Green Campus Initiative

Yes/No  
Yes/No



## General Observations:

- The University is recognized by MHRD, Government of India
- Qualified and committed faculty members with rich experience
- School of Pharmacy (AVIPS) is ranked by NIRF in top 101 – 125 band.
- The University is ISO ..... certified
- Departments function in alignment with the University Quality policies
- Total number of programs offered during 2022-2023 are 26.  
Among them UG Programmes offered are 11....; PG Programmes 13.... Ph.D-01....  
Faculty members - 194....
- 92.... faculty members are with PhD (including BAMS, MD/MS) (40-Ph.D.)  
8. A total of 2678.... Students are enrolled in the campus and nearly 579.... outgoing  
students during 2023-2024. 613....
- Overall the pedagogic and examinations processes are progressing smoothly.
- It is recommended to consult industry representatives and potential employers who are designing the curriculum.
- A mechanism for collecting student feedback on courses is in place and conducted by IQAC.
- Overall issues identified in the feedback should be analyzed and discussed in departmental meetings. The Head of the Department/Director/Dean will communicate individual feedback to the respective faculty members.
- Faculty members should be encouraged to engage more extensively in mentoring.
- Faculty members without a Ph.D. should be encouraged and supported to enroll in doctoral programs and pursue their research. Faculty members who already hold a Ph.D. should be motivated to undertake research projects and secure research grants from various government agencies and industries.
- A structured mechanism for consultancy and collaboration needs to be developed across all departments.
- Overall, the number of publications from the University across various departments has been commendable. Faculty members should be encouraged to publish in Scopus or UGC-CARE listed journals to enhance citations and visibility. Additionally, all departments should clearly highlight the Program Outcomes (PO), Program Specific Outcomes (PSO), and Learning Outcomes (LO) of their programs.
- The Finance and Examination sections need to be digitized.
- Feedback from other stakeholders should be collected and analyzed. Whenever possible, the actions taken based on this feedback should be communicated to the relevant stakeholders.





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## Academic Review

Teaching and Examination Processes	The teaching and examination processes are progressing smoothly. Mechanisms for collecting student feedback on courses, managed by the IQAC, are in place. Feedback issues are analyzed and discussed in departmental meetings, and individual teacher feedback is communicated by the Head of the Department or Dean.
Curriculum Development	It is recommended that industry representatives and potential employers be consulted during the curriculum design process to ensure relevance and alignment with industry needs.
Faculty Development	Faculty members should be encouraged to engage more extensively in mentoring. Non-Ph.D. teachers should be supported and encouraged to enroll in doctoral programs, while those with Ph.D.s should be motivated to undertake research projects and secure grants from government agencies and industries.
Research and Publications	The University has shown commendable publication output across various departments. Faculty members should be encouraged to publish in Scopus or UGC-CARE listed journals to enhance citations and visibility. Departments should clearly highlight the Program Outcomes (PO), Program Specific Outcomes (PSO), and Learning Outcomes (LO) of their programs.

## Administrative Review

Digitization	The Finance and Examination sections need to be digitized to improve efficiency and reduce manual errors.
Consultancy and Collaboration	A structured mechanism for consultancy and collaboration should be developed across all departments to foster partnerships and enhance practical learning opportunities.
Stakeholder(s) Feedback	Feedback from stakeholders should be collected and analyzed regularly. Actions taken based on this feedback should be communicated to the relevant stakeholders whenever possible.

The audit findings indicate that the institution is performing well in many areas but requires improvements in certain aspects to enhance overall efficiency and effectiveness. The recommendations provided aim to guide the institution towards achieving higher standards in academic and administrative domains.

## Recommendations:

1. Consult industry representatives in curriculum design.
2. Encourage faculty involvement in mentoring and research.
3. Digitize Finance and Examination sections.



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4. Develop structured consultancy and collaboration mechanisms.
5. Regularly collect and act on stakeholder feedback.


  
External AAA Member

  
External AAA Member

  
IQAC – Director/Coordinator

  
Vice Chancellor



  
Vice Chancellor  
Shobhit University, Gangoh  
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Ref: SUG/FO/16/2023

Dated: April 25, 2023

**Office of the Finance Officer**

**Action Taken Report (ATR)**

**Subject: Internal Audit Conducted on April 12, 2023**

This is to submit the Action Taken Report in response to the Internal Audit conducted on **April 12, 2023**.

**Audit Observation:**

It was observed that there is a need to strengthen the process of **timely collection of student fees** to maintain financial discipline and smooth functioning of the institution.

**Action Taken:**

1. All departments have been reminded to ensure **timely communication with students regarding fee dues**.
2. Regular updates are being sent to students through class mentors or any nominated by the Director/HoD/Principal.
3. Departments have been advised to follow up systematically and escalate cases of prolonged non-payment to the Finance Office.
4. A monthly review mechanism has been initiated to track outstanding dues and take corrective measures promptly.

Further improvements are being implemented to ensure better compliance and efficiency in fee collection. The Finance Office remains committed to maintaining transparency and fiscal responsibility.

Finance Officer  
Shobhit University, Gangoh





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Ref: SU/FO/ADM/17/2022

Dated: April 2, 2022

**Inter Office Note**

To, Financial Officer

Subject: Initiation of Internal Audit

Dear Sir/Madam,

You are requested to initiate the process for conducting the internal audit of the university's financial records for the current period.

The audit will be carried out by **Dr. Somprabh Dubey** and **Mr. Adesh Kumar**. Kindly ensure that all relevant documents, records, and information are made available to the auditors to facilitate a smooth and efficient audit process.

Your cooperation in providing the necessary support and coordination is appreciated.

Regards,



CC to

1. PA to VC



**Shobhit  
University**

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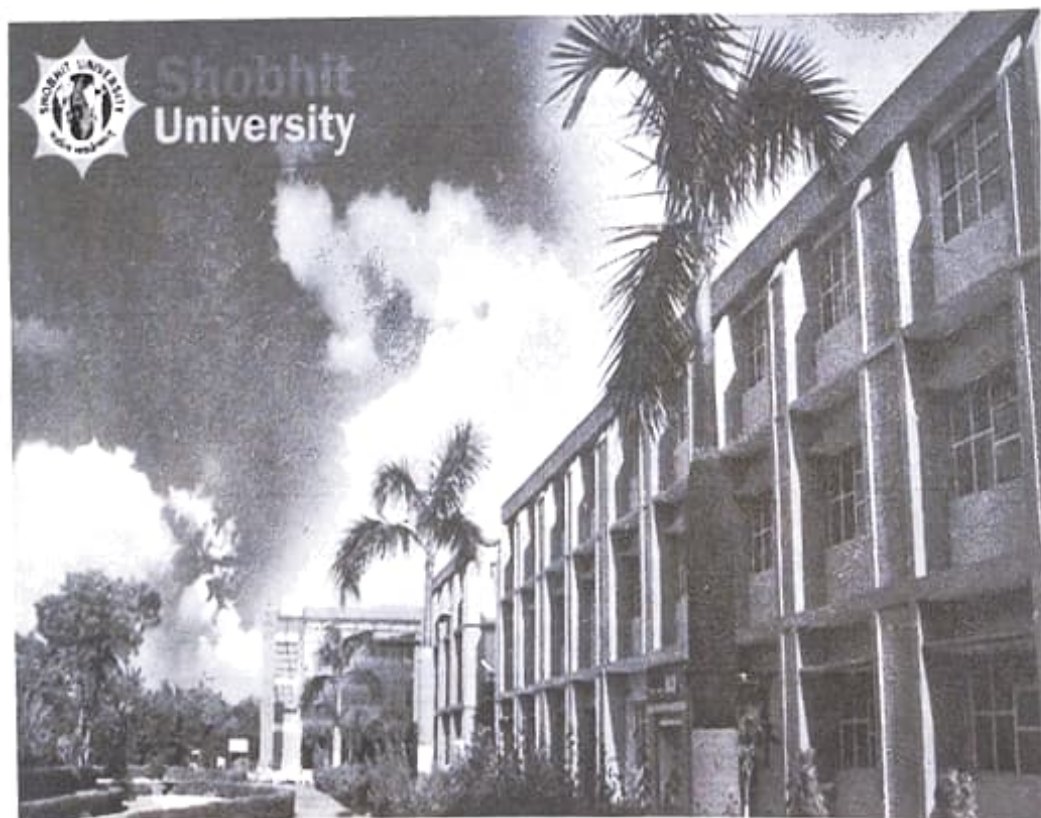
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# **ACADEMIC & ADMINISTRATIVE AUDIT REPORT 2022 – 2023**



**Prepared by:**

**Internal Quality Assurance Cell  
Shobhit University Gangoh**



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## Vision, Mission, Core Values and Strategic Initiative

### Vision

The Shobhit University will be internationally recognized as a premier Indian University with a global perspective that educates leaders who will fashion a more humane and just world.

### Mission

The core mission of the University is to promote learning in Indian tradition with international outlook. The University offers undergraduate, graduate, research scholars and professional students, the knowledge and skills needed to succeed as persons and professional in niche technical areas, and the values and sensitivity necessary to be men and women for others.

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- Excellence as the standard for teaching, scholarship, creative expression and service to the University community.
- Social responsibility in fulfilling the University's mission to create, communicate and apply knowledge to a world shared by all people and held in trust for future generations.
- The moral dimension of every significant human choice: taking seriously how and who we choose to be in the world.
- The full, integral development of each person and all persons, with the belief that no individual or group may rightfully prosper at the expense of others.
- A culture of service that respects and promotes the dignity of every person.

### Strategic Initiative

The following initiatives are key to the University's achieving the recognition as a premier Indian University:

- Recruit and retain a diverse faculty of outstanding teacher scholars and a highly qualified, service-oriented staff, all committed to advancing the University's Vision, Mission and Values.
- Enroll, support and graduate a diverse student body, which demonstrates high academic achievement, strong leadership capability, concern for others and a sense of responsibility for the weak and the vulnerable.
- Provide an attractive campus environment and the resources to promote learning throughout the University:
- Learning resources that enhance curriculum and support scholarship
- Technology solutions to enhance learning and improve service
- Facilities to support outstanding educational programmes.

### Academic and Administrative Audit (AAA)

Shobhit University conducts annual internal and external audits encompassing both academic and administrative aspects. The Institutional Quality Assurance Cell (IQAC) oversees these audits with its team internal auditors. External audits are conducted annually by external experts from academia and industry. These audits are pivotal in fostering quality enhancement and continuous improvement, positioning Shobhit University among the leaders in best practices. The primary objective of these audits is to pinpoint any shortcomings or deficiencies within departments or sections as identified by the trained internal auditors. Regular review of these findings by senior management facilitates the implementation of necessary measures to enhance quality across the institution.

### Composition of AAA

6. Vice Chancellor
7. Representative from Administration
8. IQAC Coordinator



# Shobhit University

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U: [www.sug.ac.in](http://www.sug.ac.in)

9. Criteria Coordinators
10. Internal auditors selected by IQAC

### Scope of the Internal AAA

The audit process strictly adhered to a proforma structured by the IQAC for the evaluation based on NAAC criteria's as given:

9. Curricular Aspects: Curriculum design, development, BOS, framing of COs, POs, PEOs, PSOs for each course and programs, Curriculum enrichment, feedback
10. Teaching-Learning & Evaluation: Student mentoring, student assessment, student diversity, Teaching learning process, usage of ICT enabled tools, evaluation process and reforms, Faculty profiles, Student learning outcomes
11. Research, innovation & extension: Research facilities, papers published, patents, research projects
12. Feedback system
13. Research
14. Infrastructure
15. Department Administration
16. Other academic-oriented activities

Period of Assessment: 2022-2023

Dates of Internal Audit: 15<sup>th</sup> Feb 2023 to 16<sup>th</sup> Feb 2023

Sc The Internal Audit Committee and School/Departments to audit by the auditors.

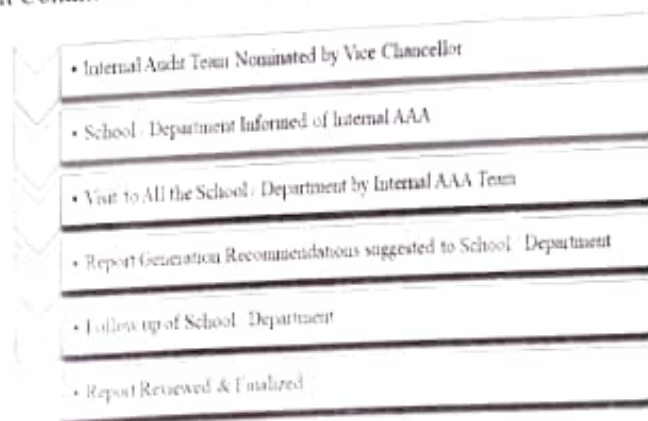


Fig. 1 Process flow of Internal Audit



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## Internal Audit Committee Members

3. Dr. Somprabh Dubey

4. Dr. Prashant Kumar



School	Courses	Name of the Internal Auditor
School of Engineering and Technology	Bachelor of Technology (Computer Science & Engineering)	Ms. Sumika Jain Mr. Nitin Kumar
	Bachelor of Computer Applications	
	Master of Computer Applications	
School of Biological Engineering & Sciences	Bachelor of Science (Biotechnology)	Mr. Santosh Sharma Mr. Parul Saini
	Bachelor of Science (Microbiology)	
	Master of Science (Chemistry)	
	Master of Science (Microbiology)	
School of Pharmacy (AVIPS)	Bachelor of Pharmacy	Mr. Jai Prakash Dr. Mayank Yadav
	Master of Pharmacy (Pharmacology)	
	Master of Pharmacy (Pharmaceutics)	
	Master of Pharmacy (Pharmaceutical Chemistry)	
School of Education	Bachelor of Education	Mr. Balaram Tonk
School of Agriculture and Environmental Sciences	Bachelor of Science (Agriculture)	Dr. Shivani
School of Business Studies and Entrepreneurship	Bachelor of Commerce	Mr. Adesh Kumar
	Bachelor of Business Administration	
	Master of Business Administration	
School of Law and Constitutional Studies	Bachelor of Arts and Bachelor of Legislative Law	Mr. Shakti Singh
	Bachelor of Legislative Law	
School of Ayurveda (KSVAMC&RC)	Bachelor of Ayurvedic Medicine and Surgery	Dr. Preeti Jyoti Dr. Sugandha Verma
	Master of Surgery (Shalya Tantra)	
	Doctor of Medicine (Kayachikitsa)	
	Doctor of Medicine (Kiryā Sharir)	Dr. Kuldeep Singh
	Doctor of Medicine (Ayurveda Samhita & Siddhant)	
	Doctor of Medicine (Rachna Sharir)	
	Master of Surgery (Prasuti Tantra & Stree Rog)	







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School of  
Naturopathy  
(KSVMCN&YS)

Bachelor of Naturopathy and Yogic  
Sciences

Mr. Pradeep Sharma

## Academic and Administrative Audit (AAA) Schedule March 2 – 3, 2022

Day – 1	
Time	Activity
10:00 – 10:15 AM	Welcome of the Guests
10:15 – 10:45 AM	Brief overview about the University and recent developments by Director – IQAC
10:45 – 01:00 PM	Visit to the School of Engineering and Technology, School of Biological Engineering & Sciences, School of Education
01:00 – 02:00 PM	Lunch
02:00 – 04:00 PM	Visit to School of Education, School of Agriculture and Environmental Sciences, School of Business Studies and Entrepreneurship, School of Law and Constitutional Studies
04:00 – 05:00 PM	Visit to the Central facilities – Examination Cell, Placement Cell, Auditorium, Sports Facilities etc.
Day – 2	
10:00 – 10:15 AM	Welcome by the IQAC Director
10:15 – 12:00 Noon	Visit to School of Ayurveda (KSVAMC&RC), School of Naturopathy (KSVMCN&YS) and School of Pharmacy (AVIPS)
12:00 – 01:00 PM	Visit to the facilities like Compost Plant, Animal House etc.
01:00 – 02:00 PM	Lunch
Post Lunch	Report Writing and Exit Meeting with the Deans/Directors/HoD's







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## External AAA

Based on the recommendations of the competent authority's distinguished academicians, industrialists are invited to serve as external experts for the academic and administrative audit. In consultation with these external auditors, a schedule is finalized, and the respective institutions are informed.

The Schools/Departments are evaluated on the following criteria:

1. Curricular Aspects
2. Teaching Learning and Evaluation
3. Research, Innovations and Extension activities
4. Infrastructure and Learning process
5. Student Support and Progression
6. Governance, Leadership and Management
7. Institutional Values and Best Practices

External Audit committee was constituted and comprise of the following members:

1. Sh. Tushar Srivastva –

### Planning of AAA

Constitution of External  
AAA Team

Schedule Circulated in all  
the School / Department

Quality Assessment  
Achieved

Report Generated

School / Department Visit  
for External AAA

(a)

(b)

Fig. 2. Process flow of External Audit

The external academic and administrative audit was conducted on May 12-13, 2023. The external auditors and members were assisted by the IQAC members in carrying out the audit. On the first day, the external members held a formal meeting with the Vice Chancellor, Registrar, Deans, Directors, and Coordinators of various Schools and departments. During the meeting, the Vice Chancellor provided an overview of the developments and achievements from the past year. The external auditors were also briefed on the audit's objectives and procedures.



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The members visited the Schools and inspected infrastructural facilities such as smart classrooms and laboratories. They interacted with representatives, faculty members, and non-teaching staff of the respective Schools/Departments to understand the developments. The required documents were shown, and the auditors also visited central facilities like the Examination Cell, Placement Cell, Library, and Auditorium. Additionally, they inspected facilities such as the sewage treatment plant, rainwater harvesting system, biogas plant, and compost plant.

After interacting with all the Schools/Departments, a detailed report covering all the observations was prepared for each School/Department. The audit was successful in ensuring that the curriculum, teaching, learning, and evaluation methodologies practiced at the University meet the highest standards, thereby maintaining academic excellence in alignment with the University's vision and mission.

School	Courses	Name of the Internal Auditor
School of Engineering and Technology	Bachelor of Technology (Computer Science & Engineering)	Ms. Sumit Jais
	Bachelor of Computer Applications	Mr. Nishu Kumar
	Master of Computer Applications	
School of Biological Engineering & Sciences	Bachelor of Science (Biotechnology)	Mrs. Sunita Sharma
	Bachelor of Science (Microbiology)	Ms. Parul Saini
	Master of Science (Chemistry)	
	Master of Science (Microbiology)	
School of Pharmacy (AVIPS)	Bachelor of Pharmacy	Mr. Jai Kishore
	Master of Pharmacy (Pharmacology)	Mr. Mayank Yadav
	Master of Pharmacy (Pharmaceutics)	
	Master of Pharmacy (Pharmaceutical Chemistry)	
School of Education	Bachelor of Education	Mr. Baham Tork
School of Agriculture and Environmental Sciences	Bachelor of Science (Agriculture)	Dr. Shivani
School of Business Studies and Entrepreneurship	Bachelor of Commerce	
	Bachelor of Business Administration	Mr. Adesh Kumar
	Master of Business Administration	
School of Law and Constitutional Studies	Bachelor of Arts and Bachelor of Legislative Law	
	Bachelor of Legislative Law	Mr. Shakti Singh
School of Ayurveda (KSVAMC&RC)	Bachelor of Ayurvedic Medicine and Surgery	Dr. Rishi Singh





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	Master of Surgery (Shalya Tantra)	Dr. Sugandha Verma
	Doctor of Medicine (Kayachikitsa)	
	Doctor of Medicine (Kiryā Sharir)	
	Doctor of Medicine (Ayurveda Samhita & Siddhant)	Dr. Kullai Singh
	Doctor of Medicine (Rachna Sharir)	
	Master of Surgery (Prasuti Tantra & Stree Rog)	
School of Naturopathy (KSVMCN&YS)	Bachelor of Naturopathy and Yogic Sciences	Mr. Pradeep Sharma





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## Report of Academic and Administrative Audit Committee Assessment based on Institutional Information

Category	Description	Available
Approval and Accreditation documents	UGC, BCI, NCISM, PCI <b>NCTE</b>	Yes / <del>No</del>
Governance	Governing Body Notification	Yes / <del>No</del>
	Academic Council Notification	<del>Yes</del> / <del>No</del>
	Finance Committee Notification	<del>Yes</del> / <del>No</del>
	BoS Notification	<del>Yes</del> / <del>No</del>
	Proceedings of Governing Body Meetings	<del>Yes</del> / <del>No</del>
	Proceedings of Academic Council Meetings	<del>Yes</del> / <del>No</del>
	Proceedings of Finance Committee Meetings	<del>Yes</del> / <del>No</del>
	Proceedings of BoS Meetings	<del>Yes</del> / <del>No</del>
	Examination Cell	<del>Yes</del> / <del>No</del>
	IQAC and its Proceedings	<del>Yes</del> / <del>No</del>
	Anti-Ragging Committee	<del>Yes</del> / <del>No</del>
	Grievance Redressal Committee	<del>Yes</del> / <del>No</del>
	Student Council	<del>Yes</del> / <del>No</del>
	Alumni Council	<del>Yes</del> / <del>No</del>
Others	Office Automation	<del>Yes</del> / <del>No</del>
	Personal Files	<del>Yes</del> / <del>No</del>
	Finance Audit Reports	<del>Yes</del> / <del>No</del>
	Student Scholarship Details	<del>Yes</del> / <del>No</del>
	University Website	<del>Yes</del> / <del>No</del>
	CCTV	<del>Yes</del> / <del>No</del>
	ICT Enabled Class Rooms, Auditorium	<del>Yes</del> / <del>No</del>
	Fire Extinguishers	<del>Yes</del> / <del>No</del>
	Canteen, Mess	<del>Yes</del> / <del>No</del>
	Sports Facility	<del>Yes</del> / <del>No</del>
	Hostel (Boys & Girls)	<del>Yes</del> / <del>No</del>
	Common Room	<del>Yes</del> / <del>No</del>
	Bank	<del>Yes</del> / <del>No</del>
	Rain Water Harvesting	<del>Yes</del> / <del>No</del>
	Electricity Backup facility	<del>Yes</del> / <del>No</del>
	Alternate source of Energy/Energy Conservation/LED/Solar Panels etc.	<del>Yes</del> / <del>No</del>
	Staff Accommodation	<del>Yes</del> / <del>No</del>
	Liquid Waste Management	<del>Yes</del> / <del>No</del>
	Green Campus Initiative	<del>Yes</del> / <del>No</del>





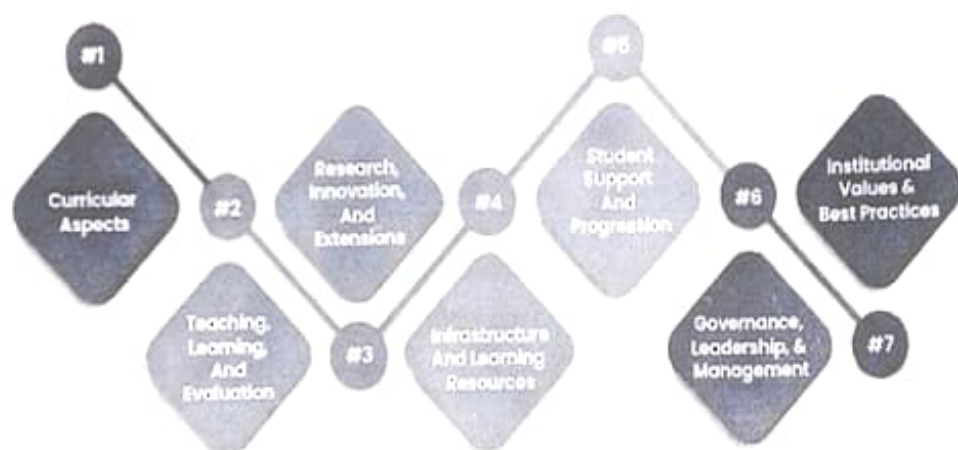


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## Scores for AAA



Criteria	Key Indicators	Maximum Marks	Marks Awarded
Curricular Aspects	Curriculum Design and Development	50	48
	Academic Flexibility	50	46
	Curriculum Enrichment	30	26
	Feedback System	20	18
	<b>Total</b>	<b>150</b>	<b>138</b>
Teaching, Learning, And Evaluation	Student Enrolment and Profile	10	10
	Catering to Student Diversity	20	18
	Teaching-Learning Process	20	18
	Teacher Profile and Quality	50	45
	Evaluation Process and Reforms	40	37
	Student Performance and Learning Outcomes	30	28
	Student Satisfaction Survey	30	28
	<b>Total</b>	<b>200</b>	<b>174</b>
Research, Innovation, And Extensions	Promotion of Research and Facilities	20	18
	Resource Mobilization for Research	20	18
	Innovation Ecosystem	10	27





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Ref: SUG/FO/16/2022

Dated: 22/5/2022

## Office of the Finance Officer

### Action Taken Report

**Subject: Internal Audit Conducted on 22/05/2022**

This is to present the Action Taken Report in reference to the internal audit conducted on **May 22, 2022**.

#### Audit Observation:

The audit team observed inconsistencies in the **posting of expenditure entries**, noting that certain transactions were not recorded under the appropriate budget heads.

#### Action Taken:

1. All finance and accounts personnel have been **sensitized and instructed** to ensure that every expenditure entry is **posted under the correct account head** as per the approved chart of accounts.
2. A **review mechanism** has been established to cross-verify entries before final posting.
3. Regular training sessions are being conducted to familiarize staff with correct accounting procedures and coding practices.
4. The accounting software is being reviewed to introduce validation checks that will minimize errors in posting under incorrect heads.

These measures are aimed at strengthening financial reporting accuracy and aligning with audit recommendations. The Finance Office remains committed to maintaining financial discipline and transparency.

Finance Officer

Shobhit University, Gangoh





# Shobhit University

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Ref: SU/AAA/ADM/15/2023

Dated: Feb 21, 2025

## NOTICE

### Academic and Administrative Audit of All Schools/Departments

This is to inform all Deans/Heads of Schools and Departments that an **Academic and Administrative Audit (AAA)** is scheduled to be conducted for all Schools/Departments of the University.

The audit will be carried out on the **21<sup>st</sup> and 22<sup>nd</sup> of February, 2025** by the following **External Auditors**:

- **Dr. Gaurav Manik**, Professor and Head, Department of Polymer and Process Engineering, IIT Roorkee
- **Dr. Praveen Bansal**, Professor and Joint Director, Baba Farid University of Health Sciences, Faridkot

To facilitate this process, **Dr. Somprabh Dubey** and **Dr. Prashant Kumar** are deputed to coordinate and execute the audit procedures on behalf of the university.

All Schools/Departments are requested to:

1. Ensure that all necessary academic and administrative records are up to date and readily available for review.
2. **Nominate one or two faculty members** from your School/Department to assist in the audit process and coordinate with the internal and external auditors.
3. Extend full cooperation to the audit team during their visit.

The audit aims to evaluate the effectiveness of academic and administrative practices and promote quality enhancement across all units.

Your support and timely action in this matter are highly appreciated.

Registrar





# Shobhit University

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Ref: SU/AAA/ADM/18/2024

Dated: Feb 10, 2024

## NOTICE

### Academic and Administrative Audit of All Schools/Departments

This is to inform all Deans/Heads of Schools and Departments that an **Academic and Administrative Audit (AAA)** is scheduled to be conducted for all Schools/Departments of the University.

The audit will be carried out on the **15<sup>th</sup> and 16<sup>th</sup> of February, 2024** by the following **External Auditors**:

- **Mr. J. P. Singh**, Associate Director, HoD – AI, IRDE, DRDO, Raipur, Dehradun
- **Dr. Vaibhav Gupta**, Sr. Technical Officer, O/C IRDE, DRDO, Raipur, Dehradun

To facilitate this process, **Dr. Somprabh Dubey** and **Dr. Prashant Kumar** are deputed to coordinate and execute the audit procedures on behalf of the university.

All Schools/Departments are requested to:

4. Ensure that all necessary academic and administrative records are up to date and readily available for review.
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Registrar  






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U: [www.sug.ac.in](http://www.sug.ac.in)

Ref: SU/AAA/ADM/3/2023

Dated: Feb 12, 2023

## NOTICE

### Academic and Administrative Audit of All Schools/Departments

This is to inform all Deans/Heads of Schools and Departments that an **Academic and Administrative Audit (AAA)** is scheduled to be conducted for all Schools/Departments of the University.

The audit will be carried out on the **15<sup>th</sup> and 16<sup>th</sup> of February, 2023** by the following **External Auditors**:

- **Mr. Tushar Srivastava**, Essar Noida
- **Dr. Sanjay Sharma**, Himachal Pradesh University Shimla

To facilitate this process, **Dr. Somprabh Dubey** and **Dr. Prashant Kumar** are deputed to coordinate and execute the audit procedures on behalf of the university.

All Schools/Departments are requested to:

7. Ensure that all necessary academic and administrative records are up to date and readily available for review.
8. **Nominate one or two faculty members** from your School/Department to assist in the audit process and coordinate with the internal and external auditors.
9. Extend full cooperation to the audit team during their visit.

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Ref: SUG/FO/16/2022

Dated: 22/5/2022

## Office of the Finance Officer

### Action Taken Report

**Subject: Internal Audit Conducted on 22/05/2022**

This is to present the Action Taken Report in reference to the internal audit conducted on May 22, 2022.

#### Audit Observation:

The audit team observed inconsistencies in the **posting of expenditure entries**, noting that certain transactions were not recorded under the appropriate budget heads.

#### Action Taken:

1. All finance and accounts personnel have been **sensitized and instructed** to ensure that every expenditure entry is **posted under the correct account head** as per the approved chart of accounts.
2. A **review mechanism** has been established to cross-verify entries before final posting.
3. Regular training sessions are being conducted to familiarize staff with correct accounting procedures and coding practices.
4. The accounting software is being reviewed to introduce validation checks that will minimize errors in posting under incorrect heads.

These measures are aimed at strengthening financial reporting accuracy and aligning with audit recommendations. The Finance Office remains committed to maintaining financial discipline and transparency.

Finance Officer  
Shobhit University, Gangoh





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Ref: SUG/FO/1/2024

Dated: April 12, 2024

**Office of the Finance Officer**

**Action Taken Report (ATR)**

**Subject: Internal Audit Held on April 22, 2024**

In reference to the Internal Audit conducted on **April 22, 2024**, the following actions have been taken in response to the observations and suggestions made by the audit team:

**1. Fee Collection Monitoring:**

As per the auditors' recommendation, greater emphasis has been placed on ensuring the **timely collection of fees** from students. Schools and departments have been advised to regularly communicate with students and parents regarding pending dues, and automated reminders through SMS and email are being implemented.

**2. Record Maintenance:**

Financial records and documentation processes have been reviewed and standardized to ensure consistency, accuracy, and compliance with internal policies.

**3. Reconciliation Procedures:**

Monthly reconciliation of fee records and accounts has been initiated to avoid discrepancies and ensure updated financial tracking.

We acknowledge the valuable suggestions provided by the audit team and remain committed to continual improvement in financial management and compliance.

Finance Officer  
Shobhit University, Gangoh





# Shobhit University

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Ref: SU/FO/ADM/6/2024

Dated: 18 April, 2024

**Inter Office Note**

To, Financial Officer

**Subject:** Request for Internal Audit

Dear Sir/Madam,

This is to formally request the initiation of an internal audit for the current financial period. The audit is scheduled to be conducted by **Dr. Somprabh Dubey** and **Mr. Adesh Kumar**.

Kindly extend all necessary support and provide access to the relevant financial records, documents, and systems to facilitate a smooth and comprehensive audit process.

Please coordinate with the auditors and ensure that all required arrangements are made in a timely manner.

Thank you for your cooperation.

  
Director - IQAC

CC to

1. PA to VC
2. Registrar Office for records





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Ref: SU/FO/ADM/11/2023

Dated: April 7, 2023

## Inter Office Note

To, Financial Officer

**Subject:** Request for Internal Audit

Dear Sir/Madam,

This is to formally request the initiation of an internal audit for the current financial period. The audit is scheduled to be conducted by **Dr. Somprabh Dubey** and **Mr. Adesh Kumar**.

Kindly extend all necessary support and provide access to the relevant financial records, documents, and systems to facilitate a smooth and comprehensive audit process.

Please coordinate with the auditors and ensure that all required arrangements are made in a timely manner.

Thank you for your cooperation.



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1. PA to VC
2. Registrar Office for records



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U.: [www.sug.ac.in](http://www.sug.ac.in)

Ref: SU/FO/ADM/17/2022

Dated: April 2, 2022

Inter Office Note

To, Financial Officer

Subject: Initiation of Internal Audit

Dear Sir/Madam,

You are requested to initiate the process for conducting the internal audit of the university's financial records for the current period.

The audit will be carried out by **Dr. Somprabh Dubey** and **Mr. Adesh Kumar**. Kindly ensure that all relevant documents, records, and information are made available to the auditors to facilitate a smooth and efficient audit process.

Your cooperation in providing the necessary support and coordination is appreciated.

Regards,



CC to

1. PA to VC



# Shobhit University

EDUCATION EMPOWERS

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Ref: SU/FO/ADM/12/2021

Dated: April 1, 2021

## Inter Office Note

To, Financial Officer

**Subject:** Initiation of Internal Audit



Dear Sir/Madam,

You are requested to initiate the process for conducting the internal audit of the university's financial records for the current period.

The audit will be carried out by **Mr. Somprabh Dubey** and **Mr. Adesh Kumar**. Kindly ensure that all relevant documents, records, and information are made available to the auditors to facilitate a smooth and efficient audit process.

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Regards,

  
Registrar  


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Ref: SU/FO/ADM/14/2020

Dated: April 30, 2020

## Inter Office Note

To, Financial Officer

Subject: Initiation of Internal Audit

Dear Sir/Madam,

You are requested to initiate the process for conducting the internal audit of the university's financial records for the current period.

The audit will be carried out by **Mr. Somprabh Dubey** and **Mr. Adesh Kumar**. Kindly ensure that all relevant documents, records, and information are made available to the auditors to facilitate a smooth and efficient audit process.

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Ref: SU/AAA/ADM/15/2023

Dated: Feb 21, 2025

## NOTICE

### Academic and Administrative Audit of All Schools/Departments

This is to inform all Deans/Heads of Schools and Departments that an **Academic and Administrative Audit (AAA)** is scheduled to be conducted for all Schools/Departments of the University.

The audit will be carried out on the **21<sup>st</sup> and 22<sup>nd</sup> of February, 2025** by the following **External Auditors**:

- **Dr. Gaurav Manik**, Professor and Head, Department of Polymer and Process Engineering, IIT Roorkee
- **Dr. Praveen Bansal**, Professor and Joint Director, Baba Farid University of Health Sciences, Faridkot

To facilitate this process, **Dr. Somprabh Dubey** and **Dr. Prashant Kumar** are deputed to coordinate and execute the audit procedures on behalf of the university.

All Schools/Departments are requested to:

1. Ensure that all necessary academic and administrative records are up to date and readily available for review.
2. **Nominate one or two faculty members** from your School/Department to assist in the audit process and coordinate with the internal and external auditors.
3. Extend full cooperation to the audit team during their visit.

The audit aims to evaluate the effectiveness of academic and administrative practices and promote quality enhancement across all units.

Your support and timely action in this matter are highly appreciated.

  
Registrar



# Shobhit University

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Ref: SU/AAA/ADM/18/2024

Dated: Feb 10, 2024

## NOTICE

### Academic and Administrative Audit of All Schools/Departments

This is to inform all Deans/Heads of Schools and Departments that an **Academic and Administrative Audit (AAA)** is scheduled to be conducted for all Schools/Departments of the University.

The audit will be carried out on the **15<sup>th</sup> and 16<sup>th</sup> of February, 2024** by the following **External Auditors**:

- **Mr. J. P. Singh**, Associate Director, HoD – AI, IRDE, DRDO, Raipur, Dehradun
- **Dr. Vaibhav Gupta**, Sr. Technical Officer, O/C IRDE, DRDO, Raipur, Dehradun

To facilitate this process, **Dr. Somprabh Dubey** and **Dr. Prashant Kumar** are deputed to coordinate and execute the audit procedures on behalf of the university.

All Schools/Departments are requested to:

4. Ensure that all necessary academic and administrative records are up to date and readily available for review.
5. **Nominate one or two faculty members** from your School/Department to assist in the audit process and coordinate with the internal and external auditors.
6. Extend full cooperation to the audit team during their visit.

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Ref: SU/AAA/ADM/3/2023

Dated: Feb 12, 2023

## NOTICE

### Academic and Administrative Audit of All Schools/Departments

This is to inform all Deans/Heads of Schools and Departments that an **Academic and Administrative Audit (AAA)** is scheduled to be conducted for all Schools/Departments of the University.

The audit will be carried out on the **15<sup>th</sup> and 16<sup>th</sup> of February, 2023** by the following **External Auditors**:

- **Mr. Tushar Srivastava**, Essar Noida
- **Dr. Sanjay Sharma**, Himachal Pradesh University Shimla

To facilitate this process, **Dr. Somprabh Dubey** and **Dr. Prashant Kumar** are deputed to coordinate and execute the audit procedures on behalf of the university.

All Schools/Departments are requested to:

7. Ensure that all necessary academic and administrative records are up to date and readily available for review.
8. **Nominate one or two faculty members** from your School/Department to assist in the audit process and coordinate with the internal and external auditors.
9. Extend full cooperation to the audit team during their visit.

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Ref: SU/AAA/ADM/3/2023

Dated: Feb 12, 2023

## NOTICE

### Academic and Administrative Audit of All Schools/Departments

This is to inform all Deans/Heads of Schools and Departments that an **Academic and Administrative Audit (AAA)** is scheduled to be conducted for all Schools/Departments of the University.

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Ref: SUG/FO/19/2021

Dated: 4<sup>th</sup> April 2021

## Office of the Finance Officer

### Action Taken Report

**Subject: Internal Audit Conducted on 4<sup>th</sup> April 2021**

This is to submit the Action Taken Report in response to the internal audit conducted on **April 4, 2021**. The following actions have been taken based on the observations and suggestions made by the audit team:

**1. Observation:**

A significant number of **cash transactions** were noted during the audit, which is not in line with standard accounting and audit practices.

**Action Taken:**

- All departments have been **strictly advised to avoid cash dealings** and route all payments through approved digital or banking channels.
- Where unavoidable, a **limit has been set for petty cash expenses**, and all such transactions must be supported with proper documentation and pre-approval.
- A circular has been issued to reinforce the policy, and periodic checks will be conducted to ensure compliance.

**2. Observation:**

**Copies purchased for examinations** were wrongly posted under the **Examinations head** instead of the **Stationery head**.

**Action Taken:**

- The concerned entries have been **rectified** and reposted under the correct budget head, i.e., **Stationery**.
- Staff involved in accounting entries have been **instructed and trained** to ensure accurate posting of expenses under the designated heads as per the university's accounting structure.
- A verification step has been introduced in the posting process to avoid such misclassifications in the future.

The Finance Office remains committed to adhering to sound financial practices and implementing audit recommendations for greater transparency and accuracy.





# Shobhit University

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Ref: SUG/FO/1/2020

Dated: 5/5/2020

## Office of the Finance Officer

### Action Taken Report

**Subject: Internal Audit Conducted on 5/5/2020**

This is to submit the Action Taken Report based on the observations and suggestions provided during the internal audit conducted on **May 5, 2020**. The following actions have been initiated:

#### 1. Observation:

**Receipt book should be different for different courses.**

#### Action Taken:

- The Finance Office has implemented a system wherein **separate receipt books are now maintained for each course/program** to ensure better tracking, accountability, and transparency in fee collection.
- This will also assist in more accurate reconciliation and reporting of course-wise financial records.

#### 2. Observation:

**It is advised to clear the outstanding fees of students before the final year examinations, as some fees are still pending.**

#### Action Taken:

- A directive has been issued to all departments to **ensure clearance of pending fees by students prior to final year examinations**.
- Students and parents are being regularly notified through SMS, emails, and personal communication regarding their dues.
- Coordination with the Examination Cell has been strengthened to ensure fee clearance is verified before the issuance of admit cards.

The Finance Office remains committed to following best financial practices and acting promptly on audit recommendations to ensure smooth and efficient operations.





**Shobhit**  
**University**

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Ref: SUG/FO/16/2023

Dated: April 25, 2023

**Office of the Finance Officer**

**Action Taken Report (ATR)**

**Subject: Internal Audit Conducted on April 12, 2023**

This is to submit the Action Taken Report in response to the Internal Audit conducted on April 12, 2023.

**Audit Observation:**

It was observed that there is a need to strengthen the process of **timely collection of student fees** to maintain financial discipline and smooth functioning of the institution.

**Action Taken:**

1. All departments have been reminded to ensure **timely communication with students regarding fee dues.**
2. Regular updates are being sent to students through class mentors or any nominated by the Director/HoD/Principal.
3. Departments have been advised to follow up systematically and escalate cases of prolonged non-payment to the Finance Office.
4. A monthly review mechanism has been initiated to track outstanding dues and take corrective measures promptly.

Further improvements are being implemented to ensure better compliance and efficiency in fee collection. The Finance Office remains committed to maintaining transparency and fiscal responsibility.

**Finance Officer,**  
Shobhit University, Gangoh





**Shobhit  
University**

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Ref: SU/FO/ADM/14/2020

Dated: April 30, 2020

Inter Office Note

To, Financial Officer

**Subject:** Initiation of Internal Audit

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The audit will be carried out by **Mr. Somprabh Dubey** and **Mr. Adesh Kumar**. Kindly ensure that all relevant documents, records, and information are made available to the auditors to facilitate a smooth and efficient audit process.

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Regards,

  
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1. PA to VC





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Ref: SUG/FO/1/2020

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**Office of the Finance Officer**

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Ref: SU/FO/ADM/12/2021

Dated: April 1, 2021

**Inter Office Note**

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**Subject:** Initiation of Internal Audit


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Dated: 4<sup>th</sup> April 2021

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