



सत्यमेव जयते

REPORT OF THE COMPTROLLER AND AUDITOR GENERAL OF INDIA

on

FUNCTIONING OF THE UNIVERSITY OF KERALA



लोकहितार्थं सत्यनिष्ठा
Dedicated to Truth in Public Interest



Government of Kerala
Report No. 4 of the year 2022

Presented to the Legislature on 20 July 2022

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P R E F A C E

This Report of the Comptroller and Auditor General of India for the year ended 31 March 2021 has been prepared for submission to the Governor of the State of Kerala under Article 151(2) of the Constitution of India.

This Report contains the results of the Performance Audit of 'Functioning of the University of Kerala' covering the period 2016-21.

The audit has been conducted in conformity with the Auditing Standards issued by the Comptroller and Auditor General of India.

Audit wishes to acknowledge the cooperation received from the officials of University of Kerala and Higher Education Department at each stage of the audit process.



EXECUTIVE SUMMARY

A Performance Audit was conducted on the 'Functioning of the University of Kerala' with a view to assess the planning and execution of its academic activities, creation and development of human resources and infrastructure facilities and financial management of the University. The major findings of the Performance Audit are given below.

Planning, Academic Activities and Financial Management

The University did not have an approved Master Plan against which progress was monitored regularly, resulting in deficiencies in timely implementation of infrastructure projects, software, revision of syllabus etc.

(Paragraph 2.1)

College Development Council, a body envisaged by University Grants Commission (UGC) to ensure integrated development of affiliated colleges had only one member. Interactions with colleges as prescribed by the UGC guidelines were not carried out.

(Paragraph 2.2)

None of the 17 University Institutes of Technology (UIT) due for NAAC accreditation had started the accreditation process. In the absence of accreditation, stakeholders did not have assurance about the quality of education imparted.

52 Boards of Study did not have adequate representation of teachers/experts.

Out of 142 courses, syllabus of 28 courses were not revised during the last three years. Delay in revision of syllabus of five courses ranged between eight and 13 years and in respect of 23 other courses between one and five years.

Withdrawal of recognition of Distance Education Programme for the years 2015-16 and 2016-17 resulted from the conduct of 10 unapproved courses during 2013-15 and non-submission of affidavit by the University.

(Paragraph 2.3)

The University failed to carry out inspection of affiliated colleges from time to time. Further, no reports on affiliated colleges were being submitted to Government of Kerala (GoK) as required under Kerala University Act, 1974.

(Paragraph 2.4)

Failure of the University to take up the infrastructure development works resulted in receipt of only ₹8.70 crore against the UGC allocation of ₹15.76 crore as General Development Assistance during the XIIth Five Year Plan period (2012-17).

(Paragraph 2.5)

Against an expenditure of ₹14.14 crore for payment of pay revision arrears, only ₹4.57 crore was received from GoK. The balance amount of ₹9.57 crore was utilised from the non-plan fund of the University.

(Paragraph 2.7)

Rent arrears of ₹19.09 crore (excluding GST) from December 2014 yet to be received towards land leased in 2010 for construction of 35th National Games Stadium.

(Paragraph 2.8)

Annual Administration fee of ₹11.63 crore is pending collection from Self-financing and unaided colleges affiliated to the University.

(Paragraph 2.9)

Kerala University Colleges of Teacher Education (KUCTE) and the University College of Engineering operated by the University in self-financing mode operated continuously on a loss during 2016-20.

(Paragraph 2.10)

Demand Collection Balance statement and reconciliation statements not relied upon for monitoring revenue collection and ensuring genuineness of bank/treasury transactions.

(Paragraph 2.11)

Deficit of ₹7.23 crore in the University Provident Fund account maintained with the Treasury was continuing despite passage of over a decade.

(Paragraph 2.14)

Though, 12 years have elapsed after publication of Volume VIII of Malayalam Lexicon (2009), the next volume is yet to materialise, apart from an error-ridden Volume IX published in 2016. Sale of Volume IX was stopped by order of Vice-Chancellor in April 2017.

(Paragraph 2.15)

Human Resources

Nine academic departments were functioning without even one sanctioned Professor post. Department of Nanoscience and Nanotechnology was functioning since its establishment in 2016 without any sanctioned post of faculty.

(Paragraph 3.1.1)

Contrary to the UGC Regulation of limiting the appointment of teachers on contract basis to a maximum of 10 *per cent*, more than 23 *per cent* of the total faculty strength in the University departments were appointed on contract basis.

Further, all 335 teaching faculty in 34 UITs, 10 KUCTEs, seven UIMs and the University College of Engineering were appointed on contract basis.

Out of 174 teachers in 34 UITs, 108 teachers were appointed without NET/SET/Ph.D qualification in violation of norms prescribed by UGC.

(Paragraph 3.1.2)

Examination

Delay in conduct of End Semester Evaluation of 2016 and 2017 examinations for the UG programme in affiliated colleges when compared with the examination calendar was above 200 days in one case and between 100 and 200 days in two cases.

Delay in publication of results was above 300 days in two instances. Delay was between 200 to 300 days and between 100 and 200 days in four instances each.

(Paragraph 4.1)

System of accounting of blank answer books was deficient, with the verification of answer books completed only in six out of 297 examination centres.

(Paragraph 4.4)

Deficiencies relating to tabulation software were only partially rectified even after Expert Committee recommendations. Security audit was yet to be conducted.

(Paragraph 4.6)

Time taken for revaluation of answer scripts exceeded 120 days in over 21,800 cases as against the prescribed time of within 60 days from the last date of receipt of applications. The process took more than 240 days in over 7,700 instances.

(Paragraph 4.7)

Infrastructure

Test-check of nine UITs and two UIMs revealed inadequacies in infrastructure including shortage of restrooms, seminar halls, canteen halls besides shortage of land.

(Paragraph 5.1.1)

‘Smart Card System in Kerala University Library’ project sanctioned in August 2013 envisaged to save time, cost and labour and facilitate easy inventory control and stock verification, reducing of crowding etc., remained incomplete even after eight years.

(Paragraph 5.1.2)

While one University Health Centre in Thiruvananthapuram which could provide emergency medical treatment was non-functional, the other was functioning in a dilapidated building.

(Paragraph 5.2)

Infrastructure for differently abled including ramps, lifts and separate toilets were inadequately provided for, in University departments and other institutions of the University.

Though civil works and electrical works for setting up of 'Resource Centre for Visually Challenged Users' in University Library were completed, installation of lift had not commenced, and computers were yet to be purchased.

(Paragraph 5.3)

Out of 59 software/websites, only one website had been security audited and another was in progress. Cash counter software, Online Payment Portal etc., had not been security audited.

(Paragraph 5.4.4)

Five major infrastructure works involving ₹9.70 crore initiated during 2011-17 remained incomplete.

(Paragraph 5.5.2)



CHAPTER I INTRODUCTION

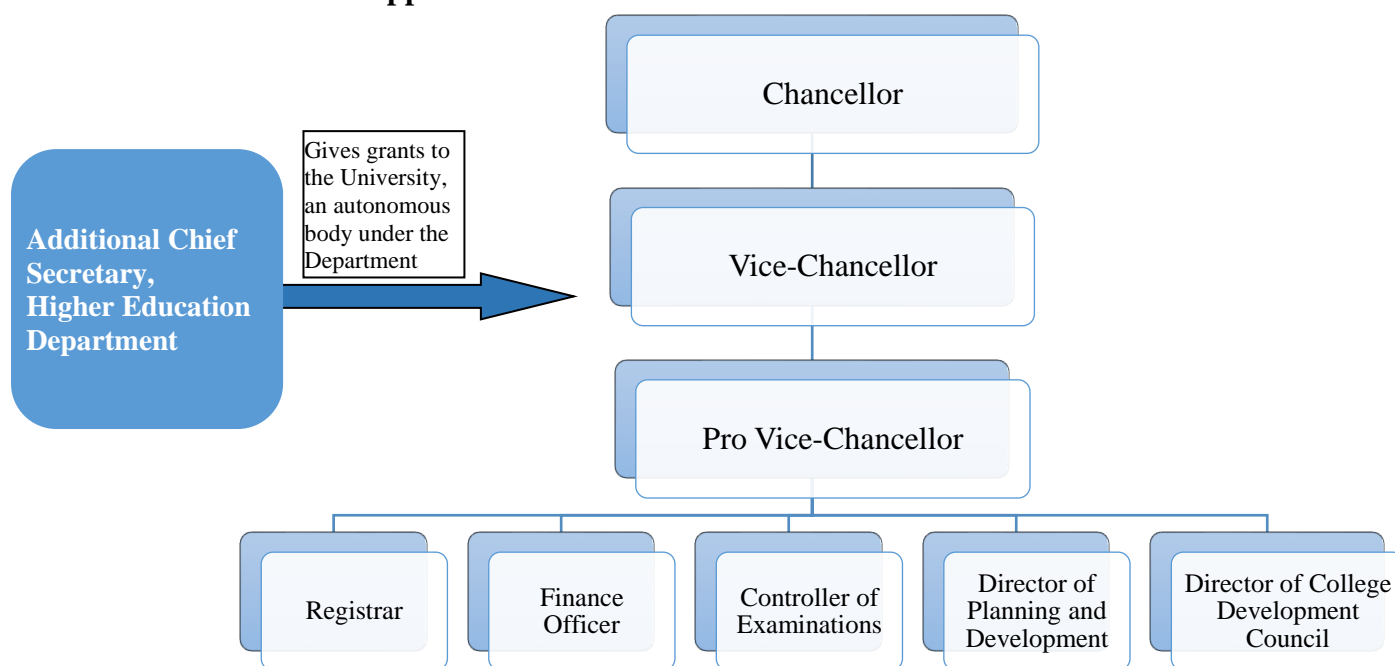
1 INTRODUCTION

The University of Kerala (University) was founded as the University of Travancore in 1937 by a promulgation of the Maharajah of Travancore. It was renamed University of Kerala subsequent to the enactment of the Kerala University Act (Act 14 of 1957)¹. Currently, the Kerala University Act of 1974 (Act 17 of 1974) along with the Kerala University First Statutes give the framework for the functioning of the University.

1.1. Organisation

The Governor of Kerala is the Chancellor of the University. The Minister of Higher Education is the Pro-Chancellor. The Vice-Chancellor, appointed by the Governor, is the Chief Executive Officer. The academic activities are governed by the Guidelines, Regulations and Circulars issued by University Grants Commission (UGC), All India Council for Technical Education (AICTE) and other regulatory bodies in the education sector.

The University has three important bodies, viz., Senate, Academic Council and Syndicate which make policy decisions and execute it. The organisational set up of the University is given below and a detailed organisational set up provided in **Appendix 1.1**.



The University of Kerala has 43 departments of teaching and research and a School of Distance Education (SDE) and most of them are housed in the Karyavattom campus. There are 381 other institutions and support centres (**Appendix 1.2**). These institutions (excluding SDE) together have student

¹ In 1956, the unified State of Kerala came into being.

strength of over 9,000. The SDE has a student strength of approximately 20,000. The University has over 187 affiliated colleges with an enrolment of over 1,30,000 students. The University ranked 23rd in 2020 in India in National Institutional Ranking Framework (NIRF) in University Category. It had National Assessment and Accreditation Council (NAAC) accreditation with A grade² upto March 2020.

The University has a three-tier academic system. Each subject of study has a Board of Study to design syllabus and propose action on all academic matters. Related subjects are grouped together and defined as a faculty. The University has 16 faculties. Academic Council is the supreme academic body. The University follows Choice Based Credit and Semester System (CBCSS) for all Postgraduate (Masters) programmes and Undergraduate (Bachelors) programmes.

1.2. Audit Objectives

Objectives of this Performance Audit were to assess whether:

- the University planned and executed its academic activities effectively
- creation and development of human resources and infrastructure facilities were adequate and as per norms, to impart quality education
- the financial management of the University was efficient and effective

1.3. Audit Criteria

Audit observations were benchmarked against the criteria derived from the following documents:

Objective	Criteria
The University planned and executed its academic activities effectively	<ul style="list-style-type: none"> • The Kerala University Act, 1974, the Statutes and Ordinances made thereunder and Examination Manual • Guidelines and Regulations issued by various regulatory authorities like UGC, NAAC etc. • National Education Policy, 2020
Creation and development of human resources and infrastructure facilities were adequate and as per norms, to impart quality education	<ul style="list-style-type: none"> • The Kerala University Act, 1974, the Statutes and Ordinances made thereunder • Guidelines and Regulations issued by various regulatory authorities like UGC, AICTE, NAAC etc. • Persons with Disabilities Act, 1995 • Orders issued by Government of Kerala • Kerala Financial Code • PWD Manual • Kerala Municipality Building Rules, 1999

² NAAC accredits institutions on Cumulative Grade Point Average (CGPA) from 4.0 to 1.51 with different grades in the descending order of A++, A+, A, B++, B+, B and C. CGPA less than or equal to 1.50 is graded as D which is not accredited. 'A' corresponds to the score of 3.01 to 3.25.

Objective	Criteria
The financial management of the University was efficient and effective	<ul style="list-style-type: none"> • The Kerala University Act, 1974, the Statutes and Ordinances made thereunder • Guidelines and Regulations issued by UGC • Orders issued by Government of Kerala • Kerala Financial Code

1.4. Audit Scope and Methodology

The Performance Audit covered the period from 2016-17 to 2020-21. The various institutions and departments covered in Audit are given in **Appendix 1.3**.

The audit involved scrutiny of relevant records of the University and joint physical verification of works. An Entry Conference was held with the Additional Chief Secretary, Higher Education Department and the Pro Vice-Chancellor and other University officials on 24 February 2021 wherein the scope, objectives, criteria and methodology of audit including selection of samples were discussed. The Exit Conference was held on 30 November 2021 through video conferencing. The replies furnished by Government of Kerala have been suitably incorporated.

A Performance Audit of 'Functioning of the University of Kerala' had earlier been printed in Report of the Comptroller and Auditor General of India (Civil) for the year ended 31 March 2010. The Public Accounts Committee (PAC) in its 43rd Report of the year 2011-14 had made 22 recommendations (**Appendix 1.4**) based on its discussions including on fund management aspects, examination process etc. Government of Kerala is in the process of furnishing Statement of Action Taken (SOAT) on these recommendations and hence the final report on the SOAT is yet to be issued by PAC (March 2022).

1.5. Acknowledgement

Audit acknowledges the cooperation extended by the Higher Education Department and the University of Kerala in the conduct of the Performance Audit.

1.6. Audit findings

The audit findings are grouped under the following chapters:

- Chapter 2: Planning, Academic Activities and Financial Management
- Chapter 3: Human Resources
- Chapter 4: Examination
- Chapter 5: Infrastructure



CHAPTER II

PLANNING, ACADEMIC ACTIVITIES AND FINANCIAL MANAGEMENT

A) PLANNING AND ACADEMIC ACTIVITIES

Planning is essential for a University to manage its financial and human resources to support the academic activities.

2.1. Absence of approved Master Plan

One key indicator in the Quality Indicator framework of National Assessment and Accreditation Council (NAAC) is the existence of an institutional Master Plan defined as a specific, action-oriented medium or long-term plan for making progress towards a set of institutional goals. However, it was found that the University did not have an approved Master Plan.

The Internal Quality Assurance Cell (IQAC) of the University identified (2015) 350 points under eight focal areas³ for improvement under a Master Plan and classified these items under short, mid and long-term Plan heads. The Master Plan was not seen to have been approved by the Syndicate or the Senate. The documented review of the progress made under the Plan was restricted to certain items.

Under the major area “Vision, Framework and Benchmarking” (subhead-Vision, Mission, Policies and Charters), despite mention of Quality Policy, Extension Policy, Library Policy, Innovation Policy, Cyber Policy, Policy for Creating and Enhancing of Infrastructure, 60+ Policy, Gender Policy etc., in the Master Plan framed in 2015, even to date (October 2021) no such Policies have been framed and approved.

The University does have short-term plans such as Academic Calendar, Annual Plan Proposals. However, since these were not reviewed/ updated on a periodic basis, these could not be correlated to the items mentioned under the short-term plan category of the Master Plan.

The National Education Policy 2020 also envisages that each institution will integrate its academic plans ranging from curricular improvement to quality of classroom transaction - into its larger Institutional Development Plan. Kerala University was yet to make such a holistic and integrated Institutional Development Plan, progress against which could be monitored.

The Director, IQAC informed Audit (October 2021) that documented activities were undertaken for certain items, the list of such activities provided by the University is given in **Appendix 2.1**.

³ 1) Vision, Framework and benchmarking 2) Research and Innovation 3) Training, Learning and Evaluation 4) Schools, Departments, Centres and Institutions 5) Student Development 6) Governance 7) Extension 8) Miscellaneous

Government replied (13 December 2021) that the Five-Year Plan Document submitted to the State Planning Board by the University and the Annual Plan Document submitted for each financial year serves as the Master Plan of the University for implementing initiatives/ schemes sanctioned under State Plan Grant. During 2020-21 a Master Plan for the infrastructure development at Palayam Campus had been prepared with the support of the Architectural wing of CET⁴. The preparation of a similar plan for Karyavattom campus was progressing.

The reply of Government does not address the audit finding that the Master Plan was just a collection of several individual proposals rather than the identification of objectives and priorities of the University which is to be implemented in a time bound manner. A Master plan for the University as a whole would have been useful for the University in systematic and timely development of infrastructure, software and timely revision of syllabus; the lacunae in respect of these aspects are depicted in paragraphs 2.3, 5.1 and 5.4 of this Report.

2.2. Functioning of College Development Council

According to the revised UGC guidelines on College Development Council 1985, the University may set up a College Development Council (CDC) as an appropriate body at the University Headquarters for ensuring proper planning and integrated development of affiliated colleges and to provide the colleges with necessary help and guidance. According to Paragraph 2 of the UGC guidelines, the CDC must consist of the Vice-Chancellor, Director of the Council⁵, Principals of some affiliated colleges and senior teachers of University Departments and a representative of the State Government. The CDC was to meet at regular intervals at least twice in an academic year to review the implementation of various programmes and activities. The Director was expected to visit the colleges at least twice a year and to hold meetings of Principals of colleges to apprise them of the ways in which CDC could function effectively for the development of colleges.

The CDC in the University of Kerala was constituted in 1978 and reconstituted in 2007. Audit observed that a full-fledged CDC was not constituted and presently the CDC is a one-member committee. There was no full-time Director for CDC and the Head of Department, Islamic Studies was entrusted with the additional charge. In the absence of a CDC as envisaged, no meeting was held during the period of audit. Thus, a forum envisaged by UGC to ensure proper and integrated development of affiliated colleges remained ineffective due to improper constitution and non-conduct of meetings.

Government replied (13 December 2021) that the CDC at University of Kerala had functioned very effectively during the previous five years in monitoring, supervising and managing the activities of the affiliated colleges. It was also

⁴ The College of Engineering, Trivandrum

⁵ The Director would be selected by a committee consisting of the VC, a nominee of the UGC and a nominee of the Syndicate of the University and the salary would be reimbursed by UGC.

stated that since there were no details in the UGC website about the exact strength and composition of CDC and that UGC was being contacted in this regard for ascertaining the exact provisions for proper reconstitution of CDC.

The reply is not acceptable as the UGC guidelines unambiguously lay down the requirement of constitution of CDC with multiple members. The failure of University to constitute a CDC with multiple members and non-conduct of meetings by the Director resulted in lack of co-ordination and interaction between the University and affiliated Colleges.

2.3. Academic Activities

The University, as part of its mission, aims to ‘emerge as a centre of academic excellence through holistic education and development of right skills’. This would involve planning for excellence, executing the academic activities in a timely manner while simultaneously ensuring the quality of education in order to support the aspirations of students and other stakeholders. Audit looked into the planning and execution of academic activities and observed the following.

- Out of 34 University Institutes of Technology (UITs) with an approximate annual intake of 3,970 students, 17 UITs⁶ were due for accreditation, but none had started the accreditation process. In the absence of accreditation, stakeholders do not have assurance about the quality of education imparted. Audit further noticed several irregularities in the functioning of these institutions, which are detailed in subsequent paragraphs of this Report.

Government replied (13 December 2021) that UITs were established and were being managed directly by the University of Kerala with a vision of providing quality education to the prospective students of rural and neglected remote areas where alternative facilities by way of Government/Aided Colleges were not available. Since University of Kerala was accredited with NAAC, separate accreditation may not be needed for UITs.

The reply is not tenable since the definition of ‘college’ under the UGC Act, 1956 does not exclude any category of higher educational institutions⁷. Further, the University could not contend that separate accreditation may not be required for the UITs on account of the University’s accreditation as details of these self-financing institutions had not been provided to NAAC at the time of the University’s accreditation. The University has also not obtained any clarification from the UGC substantiating their contention.

⁶ Remaining 17 UITs were set up after 2015 and hence not due for accreditation.

⁷ Section 12A(1) of the UGC Act, 1956 defines “college” as any institution, which provides for a course of study obtaining any qualification from a University and which is recognised as competent to provide for such course of study and present students undergoing such course of study for the examination for the award of such qualification.

- As per Chapter 11 of the Kerala University First Statutes, 1977 there should be a Boards of Study (BoS) attached to each subject of study or groups of subjects in the University, to initiate steps to revise the syllabus and restructure the courses in tune with the modern trends and developments in the respective branches of knowledge and make recommendations to the faculties concerned. There were 90 BoS⁸ in the University as of November 2020.

Audit noticed that BoS for 25 out of 27 undergraduate courses and all the 27 postgraduate courses were constituted without having adequate representation of teachers/ experts as specified in the First Statutes. Details are given in **Appendix 2.2**.

Government replied (13 December 2021) that on expiry of Board, due to urgency of the situation, a new board was constituted with minimum number of teachers and the same is reconstituted later if required.

As per the Kerala University Statutes, the BoS should be reconstituted by the Syndicate once in three years. So, the currency of the period of BoS is known to the University in advance and the claim of urgency is not tenable.

- Though UGC had recommended (January 2017) revision of curricula of all academic departments every three years, Audit noticed that syllabus of 28 out of 142 courses were not revised during the last three years (September 2021). Delay in revision of 23 courses ranged from one to five years and five courses ranged from eight to 13 years. The details are shown in **Appendix 2.3**.

The University stated (12 August 2021) that the guidelines for revision of curricula were framed (March 2019) and forwarded to various BoS. It was also stated that steps have been initiated to revise the remaining syllabi which are not yet revised into Outcome Based Education pattern.

- University Grants Commission granted recognition (19 August 2013) to the University for three years 2013-14 to 2015-16 to conduct 45 programmes (UGC approved programmes) through Open and Distance Learning mode and rejected six programmes⁹. According to the terms of recognition, the University was required to submit an affidavit within 30 days.

Audit observed that the School of Distance Education (SDE) conducted 10 programmes¹⁰ during 2013-15 which did not have the recognition of UGC.

⁸ BoS relating to Engineering, Medicine etc., were not analysed by Audit

⁹ As per notification of Ministry of Human Resource Development (June 2013), all responsibilities of Open and Distance Learning (ODL) education system were entrusted to UGC and AICTE in their respective jurisdiction.

¹⁰ besides 45 approved programmes.

Further, the University submitted (March 2014) only an undertaking instead of an affidavit as required by UGC. Since the University could not submit affidavit, despite reminders, UGC withdrew (15 July 2015) the recognition for the academic year 2015-16. Hence, the SDE was not able to conduct courses during 2015-16 and 2016-17. Recognition was reinstated from 2017-18 academic year on submission of affidavit (December 2016).

Government replied (13 December 2021) that the University had been unable to stop the unapproved programmes that had been started as students had already enrolled in these courses. The University had to take effective steps to accommodate those students in SDE and enable them to complete their programmes. These issues had caused the delay in applying for recognition again.

The fact remains that the University continued to offer the courses not approved by UGC and did not take prompt action to comply with the terms and conditions, which resulted in withdrawal of recognition for two years, thereby affecting the future of the students.

Audit observed that the University secured the 23rd rank under National Institutional Ranking Framework (NIRF) for the year 2020 on the basis of following parameters and the score obtained by the University are as given in **Table 2.1**.

Table 2.1: Parameters and score secured by Kerala University under NIRF ranking

Parameter	Weightage	Score
Teaching, Learning and Resources	0.30	73.77
Research and Professional Practice	0.30	19.03
Graduation Outcomes	0.20	86.00
Outreach and Inclusivity	0.10	51.56
Perception	0.10	21.54
Weighted overall score		52.35

(Source: Data obtained from NIRF)

Despite having relatively low interactions with industry (paragraph 3.2), 23 per cent contractual teaching staff (paragraph 3.1.2), non-compliance with UGC requirements of minimum qualification of faculty in several instances (paragraph 3.1.2) and lack of facilities for differently abled students in several Departments (paragraph 5.3), the University could score relatively well under the NIRF ranking system owing to factors such as high scores under graduation outcomes. Contract teachers who had taught in both the semesters of the previous year could be counted towards regular faculty under the NIRF scheme resulting in University getting full score under faculty-student ratio. Percentage of women students and faculty was also favourable in the University.

2.4. Affiliated colleges

The University has approximately 187 affiliated colleges. Audit observed the absence of a system to monitor the functioning of these colleges as discussed below:

2.4.1. Non-conducting of inspection of affiliated colleges

According to Statute 36 in Chapter 24 of the Kerala University First Statutes, 1977, every College shall be subject to inspection from time to time and the report shall be forwarded to the Principal of the College for obtaining explanation before any action is taken on it. It was observed that inspections were conducted only for the purpose of giving affiliation to colleges/ new courses.

University replied (13 September 2021) that the Syndicate decided (11 June 2021) to inspect all the affiliated colleges within a period of four years for ensuring the infrastructure and instructional facilities in accordance with the Statutes/Guidelines of the UGC/ Regulatory Bodies. The Convener, Standing Committee on Affiliation of Colleges was entrusted to constitute the Commission for inspection.

It was observed that the Commission for inspection of affiliated colleges is yet to be constituted and the inspection had not yet commenced.

Government replied (13 December 2021) that University decided to conduct inspections stipulated in Statute 36 in Chapter 24 of Kerala University First Statutes, 1977 within four years. The increase in number of colleges and paucity of time, the pandemic situation and the lockdown had affected the conduct of inspection adversely.

The University neglected its duty to carry out its statutory function of inspecting affiliated colleges from time to time which could result in deficiencies in teaching facilities/ infrastructure remaining unreported.

2.4.2. Non-submission of Reports to Government

According to Section 78 of The Kerala University Act, 1974, at the end of every four years, the Vice-Chancellor is to submit a report to the Government on the conditions of affiliated colleges. A Commission under the chairmanship of Smt. Padma Ramachandran¹¹ also recommended for the submission of a four-year report to Government by the Vice-Chancellor, 'on the conditions of affiliated colleges' since this was a means by which the Government and the University could get first-hand information about the prevailing conditions.

¹¹ Commission set up by the Government of Kerala in March 2000 in exercise of the powers conferred by Section 71 of the Kerala University Act 1974, to enquire into the working of the University of Kerala. The report by the former Chief Secretary Smt. Padma Ramachandran was submitted to Government on 29 November 2000.

However, it was observed that no such reports on affiliated colleges were being submitted.

Government replied (13 December 2021) that University submits a report on its activities and that of the colleges affiliated to the University every year to the Government in the form of annual report, which provides most of the information pertaining to the affiliated colleges. Government colleges are under the direct control of the Director of Collegiate Education (DCE) and hence Government gets first-hand information about the said colleges. Further, the Government while sanctioning new courses in self-financing colleges obtain an assurance from the management of the colleges that they would submit documents to prove that the colleges have adequate infrastructure and human and physical resources to conduct the courses.

The reply is not tenable as the annual reports contain only a brief description of each affiliated college and are prepared based only on the information given by the Principals of colleges concerned. The facilities are not being verified once affiliation is obtained as the annual reports are not based on inspections conducted by the University. Hence, the Government is being deprived of a mechanism to obtain feedback regarding teaching and infrastructure facilities in the affiliated colleges.

B) FINANCIAL MANAGEMENT

Prudent management of finances is crucial for the functioning of any organisation. As part of the audit the finances and management thereof of the University were scrutinised.

As per Section 45(1) of the Kerala University Act, 1974, all grants and loans received from the State Government, the Government of India, the University Grants Commission and from any other source, all revenues of the University, all fees received, all incomes such as rent and profits derived from properties and funds vested in the University, all endowments and donations received from any source whatsoever, all other miscellaneous receipts of the University and all deposits, remittances and service funds, received in connection with the affairs of the University shall form one consolidated fund named “The Kerala University Fund” and shall be employed for the purposes and in the manner laid down in this Act and the Statutes, Ordinances, Rules, By-laws and Orders made thereunder.

The details of receipts and expenditure during the period 2015-16 to 2020-21 was as shown in **Table 2.2**.

Table 2.2: Details of receipts and expenditure of University of Kerala during the period 2015-16 to 2020-21*(₹ in crore)*

Year	Receipts				Expenditure			Savings (percentage of receipts)
	Non-Plan	Plan	Internal sources	Total	Non-Plan	Plan	Total	
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9) = (5) – (8)
2015-16	205.42	40.40	113.56	359.38	256.25	35.77	292.02	67.36 (18.74)
2016-17	256.77	56.54	112.02	425.33	298.92	42.11	341.03	84.30 (19.82)
2017-18	288.17	29.98	109.15	427.30	331.66	53.71	385.37	41.93 (9.81)
2018-19	310.05	41.51	127.86	479.42	333.12	57.91	391.03	88.39 (18.44)
2019-20	341.06	16.77	144.33	502.16	350.80	28.87	379.67	122.49 (24.39)
2020-21	277.24	16.88	136.85	430.97	348.65	18.16	366.81	64.16 (14.89)
TOTAL	1678.71	202.08	743.77	2624.56	1919.40	236.53	2155.93	468.63 (17.85)

(Source: Annual Accounts of the University)

Findings of Audit relating to finances of the University are detailed in the succeeding paragraphs.

2.5. Loss of General Development Assistance grant

During XIIth Five Year Plan period (2012-17), UGC provided General Development Assistance (GDA) with an objective to improve the infrastructure and basic facilities in the Universities. GDA scheme for State Universities was provided for various infrastructure activities. As per UGC guidelines, first instalment was 20 per cent of allocation and the second and subsequent instalments of grants were to be released on receipt of progress report and statement of expenditure/ Utilisation Certificate (UC) of previous grant.

The UGC had allocated an amount of ₹15.76 crore as GDA to the University of Kerala for the XIIth Five Year Plan period (2012-17). An amount of ₹2.50 crore for 2012-13 and ₹3.80 crore for 2013-14 was released by UGC on 31 August 2012 and 25 July 2013 respectively. UGC informed (25 July 2017) that utilisation period for XIIth Five Year Plan grants was extended upto 30 September 2017 and the assistance for construction activities would continue till 31 March 2020 subject to the condition that the construction works had commenced before 31 March 2017. University submitted UC for ₹4.75 crore in February 2017 and consolidated UC for ₹6.29 crore in March 2017 after a lapse of three years from the date of release of funds. In anticipation of receiving balance grant, an expenditure of ₹2.51 crore was incurred by the University till 30 September 2017 of which ₹2.40 crore was reimbursed by UGC on submission of UC. Thus, the University received an amount of ₹8.70 crore against expenditure of ₹8.81 crore. Failure of the University to take up the infrastructure development works as planned resulted in receipt of only ₹8.70 crore (55 per cent) against the allocation of ₹15.76 crore resulting in loss of GDA of ₹7.06 crore to the University. It is pertinent to note that the University

is seeking more funds from the Government¹² for infrastructure development, whereas at the same time it is unable to utilise the fund made available by UGC.

The Public Accounts Committee (PAC) in its 43rd Report for 2011-14 while discussing Performance Audit of Functioning of the University of Kerala which featured in the Report of the Comptroller and Auditor General of India (Civil) for the year ended 31 March 2010 had opined that a decisive and precise plan should be formulated by the University authorities for the complete and effective utilisation of funds allocated by UGC for the developmental purposes of the Universities in order to avoid lapse of funds in future.

Government replied (13 December 2021) that UGC had allocated ₹15.76 crore towards XIIth Five Year Plan fund. Out of this ₹6.30 crore was released in two instalments. The University had requested the UGC (20 March 2018) to release the balance grant of ₹9.45 crore including ₹2.51 crore expenditure incurred by the University in anticipation of balance grant for which ₹2.40 crore was released by UGC and UGC informed University that the accounts in respect of University of Kerala had been settled.

The University did not take any decisive action to utilise the GDA sanctioned to them notwithstanding the PAC recommendations which resulted in loss of GDA of ₹7.06 crore to the University.

2.6. Interest loss of ₹21 crore on fixed deposits

All moneys in the Kerala University Funds shall be lodged in the Government Treasury or with the approval of the Government in the State Bank of India (SBI) or its subsidiaries upto such limits as may be fixed by the Government¹³.

The University invested funds in Fixed Deposits in both the Government Treasury and with the SBI and its subsidiaries. The University was unable to provide any documents showing the approval of Government for investing funds in SBI and its subsidiaries. Further, Audit observed that during the period from 2016-17 to 2020-21 the interest rates for Fixed Deposit in SBI declined from 8.25 *per cent* to 5.70 *per cent* while the same for Treasury Fixed Deposits rates remained higher at nine *per cent* to 8.50 *per cent*¹⁴. However, the University continued to invest funds in Fixed Deposits in SBI and its subsidiaries and did not initiate any steps to transfer the funds to Treasury Fixed Deposits to take advantage of the higher interest rates.

A scrutiny of records for the period from 2016-17 to 2019-20 revealed that the continued investment of the University Funds in Fixed Deposits of SBI and its subsidiaries without the approval of Government despite declining interest rates resulted in a loss of interest of ₹21 crore as detailed in **Table 2.3**.

¹² through Annual Action Plan submitted to GoK every year

¹³ according to Chapter VII (Finance), Section 45 (2) Kerala University Act 1974

¹⁴ rates for deposit ranging not less than 1 year but below 2 years

Table 2.3: Loss of interest as a result of not investing funds in Treasury Fixed Deposits

Year	Total amount deposited by University in Fixed Deposits	Amount deposited in SBI and its subsidiaries	Interest earned from Fixed Deposits in SBI and its subsidiaries*	Interest earned if deposited in Treasury [#]	Loss of interest
2016-17	469.28	393.36	27.48	33.04	5.56
2017-18	476.67	382.61	26.52	30.66	4.14
2018-19	719.19	486.36	28.41	35.37	6.96
2019-20	945.66	509.79	28.23	32.57	4.34
Total					21.00

* Figures taken from Annual Accounts for period 2016-17 to 2019-20

[#] Interest was calculated using simple interest rate method with the interest rate for the corresponding period.

(Source: Annual Accounts of the University)

Thus, non-compliance to provisions in the Kerala University Act, 1974 and lack of proper financial planning resulted in a loss of interest amounting to ₹21 crore during the period 2016-17 to 2019-20.

Government stated (December 2021) that as per the Kerala University Act, 1974 (Section 23(iv)) and the Kerala University First Statutes, 1977 (Chapter 6, Section 3(ix) and Section 4(D)), Syndicate was empowered to invest funds belonging to the University in such manner as it may determine from time to time. It is further stated that the Syndicate meeting held on 17 February 2021, it was decided to invest funds with Treasury in a phased manner (to get higher interest rate) after maintaining sufficient funds at its disposal with SBI to meet any urgent expenditure on account of Salary, Pension, conduct of examination etc.

Had the funds been invested prudently the University would not have been deprived of the higher interest. The University needs to prioritise fund management by reviewing the investments from time to time and investing funds in such instruments that earn a better rate of interest.

2.7. Non-receipt of pay revision arrears from Government

GoI decided (31 December 2008) to provide financial assistance to the State Governments which wished to adopt and implement the Sixth UGC scheme including the revision of pay scales to College/University teachers, Physical Education teachers and Librarians in the State. GoI was to provide financial assistance to the tune of 80 per cent of the additional expenditure involved in the pay revision for the period from 01 January 2006 to 31 March 2010 and the balance 20 per cent was to be borne by the State Government. Accordingly, the Government of Kerala (GoK) decided (27 March 2010) to accept the revised UGC scheme for pay scales and stated that the arrears would be released subject to GoI agreeing to the grant of 80 per cent as financial assistance.

GoK decided (22 February 2013) to disburse the arrears of the sixth UGC pay revision in four instalments. GoK released (January 2014) an amount of ₹4.57 crore to the University of Kerala for disbursement of first instalment of arrears for the period from 01 January 2006 to 30 June 2007. GoK sanctioned (06 April 2017) an amount of ₹7.11 crore to the University being the second and third instalments of sixth UGC pay revision arrears for the period from 01 July 2007 to 30 June 2008 and from 01 July 2008 to 30 June 2009. Even though the amount was released to the University, it was resumed by GoK from the non-plan fund of the University. Further, GoK sanctioned (03 March 2019) an amount of ₹2.66 crore being the fourth instalment but the amount was not released and GoK directed (20 June 2019) the University to meet the expenses from the current year's non-plan budget provision. Thus, even though the University expended an amount of ₹14.14 crore for payment of arrears, only ₹4.57 crore was received from the GoK. The balance amount of ₹9.57 crore was utilised from the non-plan fund of the University.

As per Ministry of Human Resource Development (MHRD) guidelines (11 May 2010), it shall be necessary for the Universities and managements of colleges to make appropriate changes in their Statutes, Ordinances, Rules, Regulations etc., to incorporate the provisions of the sixth UGC scheme and a copy each of the same was also to be furnished to the UGC. The claim for Central share was to be accompanied by the copies of the amended documents. As the claims forwarded by GoK were not supported by copies of amended documents, MHRD issued reminders¹⁵ to furnish copies of the amendment made on implementation of UGC pay scales. MHRD vide letter dated 17 November 2016 stated that only those proposals which were complete in all respects and those received before 31 December 2016 would be considered for reimbursement. The University amended the Statutes only on 26 December 2019 and the same was forwarded to GoK on 25 January 2020. Since complete proposals were not furnished by GoK, MHRD vide letter dated 11 July 2018 intimated its decision to close the scheme for reimbursement of central share.

Government accepted (December 2021) the audit observations and stated that the fund of ₹7.11 crore released as second and third instalments of arrears were deducted by Government from the Non-plan grant. Thereafter, the Government had directed the University to release the fourth instalment of arrears from the Non-plan allocation of the year 2018-19 and the University had released the balance arrears accordingly. As GoK had not received the eligible assistance¹⁶ from UGC, the University was deprived of the assistance from GoK.

¹⁵ February 2016 and April 2016

¹⁶ Government of Kerala was entitled to receive an amount of ₹798.85 crore from UGC being arrears of pay revision for the Universities and teachers of colleges in the State, but received only ₹537.25 crore resulting in loss of assistance amounting to ₹261.59 crore.

2.8. Non-collection of lease rent of ₹19.09 crore from National Games Secretariat

Based on direction received from GoK, the Syndicate of the University agreed (25 February 2010) to allot approximately 37 acres of land from the University campus at Karyavattom for the construction of a stadium complex to host the 35th National Games. Sports and Youth Affairs Department accorded sanction (26 September 2011) to award the work for constructing an outdoor stadium at the land owned by the University at Karyavattom on annuity basis to M/s. IL&FS Transportation Network. A concession agreement was executed on 04 April 2012 among University, National Games Secretariat (NGS) and Karyavattom Sports Facilities Ltd¹⁷, by which University granted permission to NGS to develop Green Field Stadium at project site for use in connection with 35th National Games held in Kerala on Design, Build, Operate and Transfer (DBOT) model.

A lease deed for 37 acres of land at Karyavattom campus was executed between the University and NGS on 18 December 2012 for a period of 15 years for the construction of Green Field Stadium. As per Clause (2) of the lease deed, NGS had agreed to pay lease rental equal to 2.50 *per cent* of the market value of the 37 acres in advance on or before December every year. Lease rent was to be subjected to periodical revision every three years on the basis of increase in market value of the land.

The market value of the land as per valuation certificate was ₹2.50 lakh per Are¹⁸ and the value of total land was ₹37.43 crore. Lease rent was fixed at ₹94 lakh per annum and ₹211.24 lakh including tax due for 2012-13 and 2013-14 was paid in advance¹⁹ by NGS. Kerala hosted the 35th National Games between 31 January 2015 and 14 February 2015. Lease rent for 2014-15 due in December 2014 was partly paid to the tune of ₹82.57 lakh in June 2016 after a delay of 18 months. Out of this, an amount of ₹10.77 lakh was remitted as Service Tax. From December 2015 the University revised the lease rent to ₹3.14 crore per annum. Rent due from December 2015 to December 2020 including arrears for December 2014 was ₹19.09 crore²⁰ and GST ₹3.40 crore. However, no amount has been received (September 2021) as lease rent due from December 2015 onwards.

The University had taken up the matter with the NGS and Government several times. Audit observed that Government ordered (September 2016) the dissolution of NGS and entrusted all responsibilities thereunder to the Director, Sports and Youth Affairs. As such, the Principal Secretary, Sports and Youth Affairs Department directed (29 November 2019) the Director, Sports and Youth Affairs to remit ₹3.27 crore (lease rent for the period from December

¹⁷ A company having its registered office at IL&FS Financial Centre, Bandra, Mumbai

¹⁸ One Acre = 40.4685 Are

¹⁹ June 2012 and March 2014

²⁰ Arrear for December 2014 ₹22.20 lakh and rent from 2015 December to 2020 December (@ ₹3,14,45,190 per annum) ₹18.87 crore

2015 to November 2017). However, the amount remains unpaid (September 2021).

As per the agreement, the lease rent was to be revised every three years and it was due for revision in December 2018. However, the rent was not revised till date (September 2021).

Audit observed that in the absence of any provision in the agreement to terminate the contract/ levy penal interest for delayed payment, the University continued to suffer loss on this account.

Government replied (December 2021) that many reminders were sent to the NGS to remit the arrear lease rent of Greenfield Stadium. In the meeting (February 2021) of the Stadium Management Committee of the Greenfield Stadium it was decided to direct the Sports and Youth Affairs Department to disburse the arrear amount due to the University. Steps are being taken to revise the lease rent with effect from 2018. Though there was no clause for levying of interest in the lease deed, the Standing Counsel had opined that the lease arrangement is ultimately one of commercial nature, therefore, the commercial rates can be charged for the delayed payment and penal rates also can be charged even if such clauses were not specifically incorporated in the relevant agreements.

The University has not been able to even recover the lease rent till date (December 2021) and may do the needful within a fixed timeframe to avoid financial loss.

2.9. Non-realisation of Annual Administration fee of ₹11.63 crore

Self-financing and unaided colleges affiliated to the University are required to remit Annual Administration fees (Infrastructure Development and Maintenance fee) as advance amount into the Kerala University fund account before 31 March every year²¹. Scrutiny of the records relating to collection of Annual Administration fee revealed that an amount of ₹11.63 crore was pending collection (August 2021).

Out of the above amount, payment of ₹6.19 crore towards fees has been stayed by High Court based on appeal filed by various institutions. However, Audit observed that an amount of ₹4.83 crore pertaining to colleges offering Engineering, Master of Business Administration (MBA) etc., and ₹0.54 crore pertaining to Medical Colleges, Nursing Colleges etc., were pending collection. The amount to be collected from colleges offering Engineering, MBA etc., relates to the period 2015-19 as the affiliation of these colleges were shifted to Kerala Technological University with effect from 2015-16. Similarly, the fee pending from colleges offering medical education pertains to the period 2010-15 as the affiliation of these colleges were shifted to Kerala University of Health Sciences (KUHS) with effect from 2010-11.

²¹ According to Kerala University First Statutes, 1977

Government replied (13 December 2021) that the Government had granted concurrence to collect proportionate amount of Annual Administration fees from colleges shifted to Dr. A.P.J. Abdul Kalam Technological University in December 2020, and the proportionate amount was being arrived at. Regarding colleges shifted to KUHS, the Syndicate had resolved to proceed with revenue recovery. Regarding the Training Colleges, the Syndicate had entrusted the Standing Counsel to vacate the interim Order.

However, despite these decisions the University is yet to recover the revenue due to it.

2.10. Self-financing Institutions

The University of Kerala decided (20 January 1995) to start self-financing job-oriented courses in the University. University also started 34 University Institutes of Technology (UITs), seven University Institutes of Management (UIM), 10 Kerala University College of Teacher Education (KUCTEs) and one University College of Engineering for conducting job-oriented courses in self-financing mode. At the time of formulating self-financing courses in the University, it was envisaged that the finances of the courses were to be generated from the students. However, Audit noticed that KUCTEs and the University College of Engineering were consistently operating on a loss as shown in **Table 2.4**.

Table 2.4: Details of receipts/ expenditure of KUCTEs and University College of Engineering

(₹ in lakh)

Year	KUCTEs			University College of Engineering		
	Receipt	Expenditure	Loss	Receipt	Expenditure	Loss
2016-17	252.08	372.21	(-)120.13	203.26	234.46	(-) 31.20
2017-18	261.98	385.47	(-)123.49	261.60	227.00	34.60
2018-19	284.25	438.72	(-)154.47	212.20	252.16	(-) 39.96
2019-20	299.90	423.00	(-)123.10	198.62	271.75	(-) 73.13
Total	1098.21	1619.40	(-)521.19	875.68	985.37	(-) 109.69

(Source: Annual Accounts of University of Kerala)

Audit noticed that in the University College of Engineering, out of 990 seats available for the three courses, only 454 out of 495 seats in merit quota were filled and out of 495 seats in management quota where higher fees were charged, only 125 students were admitted during the audit period. This had adversely affected the revenue of the college. Though KUCTEs were functioning with full sanctioned strength, they too were incurring loss. Thus, KUCTEs and the University College of Engineering which were meant to sustain themselves on the basis of self-generated revenues, were in fact creating additional financial burden for the University. The inadequacies in the infrastructure of self-financing institutions are referred in paragraph 5.1 of this Report.

Government replied (December 2021) that the matter regarding the loss incurred by KUCTEs were taken up by the Syndicate and sub-committees had been constituted (29 June 2021) to study about the matter. The report from the

committee was awaited and necessary steps would be initiated on the receipt of the report.

The reply is silent about the remedial measures taken to reduce the loss of the University College of Engineering and the committee is yet to submit the report (March 2022).

2.11. Non-preparation of Demand Collection Balance Statements and non-reconciliation of Bank/Treasury transactions

- As per Article 5 (1) and (2) of Kerala Financial Code, proper records in respect of all items of revenue whether recurring or non-recurring should be maintained to show the assessments and demands made, the progress of recovery and the outstanding amounts due to the Government. The fees collected from students for various purposes is one of the main sources of own revenue to the University. The examination sections are required to maintain the Demand Collection Balance (DCB) statement of examination fees collected from colleges/ UIT/ Training Colleges/ UIMs. It was noticed that examination sections were not preparing DCB statement in respect of examination fees.

The Revenue Audit Section which is in-charge of accounting of Special fees²² was maintaining a Register with details of demand and collection of special fees. However, Audit noticed that the entries in the Register were neither signed nor authenticated by any official. Several pencil entries, which could be subsequently changed were also noticed in the Register.

Government replied (13 December 2021) that based on the observations of Audit, University had started the practice of authenticating the DCB register by the officials concerned. It has also been directed that the Register shall be verified and countersigned by the Joint Registrar (Finance) on a monthly/ bimonthly basis. In the Student Life Cycle Management System²³, proper facility would be provided to generate DCB statements.

A DCB statement is essential for monitoring revenue collection. For ensuring authenticity, it is essential that the entries in the statement are authenticated by a supervisory official.

- Periodic preparation of Bank Reconciliation Statement is a mandatory function of Finance and Accounts wing of every organisation. The purpose of preparing a bank reconciliation statement is to detect any discrepancies between the accounting records of the entity and the bank.

²² Medical inspection fee, Sports affiliation fee, University union fee, student aid fund, Student care fund, Women's study unit and University affiliation fee are termed as Special fees.

²³ A project 'Development and implementation of Student Life Cycle Management System (Examination Management Software)' was entrusted (30 October 2020) to ITI Ltd., Palakkad, a Government of India undertaking, at an agreed amount of ₹1.17 crore. The system will be ready for conduct of security checking by January 2022.

Audit noticed (24 November 2020) that the University was not preparing any reconciliation statements. Subsequently, the Finance Officer directed (11 January 2021) sections concerned to verify the bank account statements on weekly basis and prepare reconciliation statement each month. Audit observed that though Finance Officer had issued directions for preparing reconciliation statements, the same was yet to be complied with (September 2021).

Government replied (13 December 2021) that the work of preparation of Bank Reconciliation Statement was in its early stages and could not be completed fully during the year 2020-21 due to COVID-19 pandemic and related lockdown and other restrictions imposed by the Government. It was expected that the process could be fully streamlined during the financial year 2021-22. The reply is not tenable as the non-reconciliation had been an issue even before the start of the pandemic. The University may put in a suitable mechanism to ensure timely reconciliation in order to avoid exposure of the fund management to the risks of frauds and misappropriation.

2.12. Advances pending adjustment

- Time limit of three months is fixed for the presentation of final bill where provisional advance has been availed²⁴. Otherwise, interest at 18 *per cent* will be charged on the entire amount of advance from the date the amount was withdrawn to the date of recovery of the amount.

On verification of Advance Register, it was observed that advances for an amount of ₹8.81 crore (114 cases) were availed by Heads of Departments and staff of the University for various purposes such as conducting workshops, seminars, Inter Collegiate/ University tournaments etc., which were pending regularisation due to non-submission of final bills. Out of ₹8.81 crore pending, ₹1.37 crore was pending for more than 10 years and ₹0.47 crore was pending for five to 10 years. Since the advances have not been settled, it could not be ensured that the entire amount has been utilised for the purpose for which it was sanctioned and no amount was retained by the official who had availed the advance.

- The probable amount of expenses required for conduct of examinations in each centre and sub centres is calculated on the basis of strength of candidates allotted and advances are sanctioned to the centres²⁵. Before payment of advance to a college, every possible step should be taken to regularise previous advances, if any, paid to the college for examinations conducted during the previous years. It was observed that six colleges which received (2013-15) advance of ₹6.65 lakh had not settled the

²⁴ As per Government order GO (P) No. 419/11/Fin dated 04 October 2011

²⁵ As per University of Kerala, Examination Manual, Chapter V – Conduct of Examinations (Chapter VII of Kerala University First Ordinances, 1978)

amount. Out of the six colleges that received the advance, four colleges were given more than one advance. All advances given to the six colleges were pending for more than five years.

Government replied (13 December 2021) that regularisation process of pending cases was ongoing. The Syndicate had resolved to communicate the details of the defaulters to the Inspection Team constituted for conducting inspection for affiliation in the colleges and to conduct *adalath* for defaulters for one-time settlement. This may be taken up on priority due to the long period of pendency of advances, which may render them difficult to regularise due to lapse of time.

2.13. Drawal of Research fellowship and salary

Each Fellow is expected to be a full-time research worker while holding the fellowship and shall not accept any other remunerative work²⁶. For those who get Fellowship and Contingent Grant from State Government²⁷, the monthly attendance and research work done by the research scholar is verified by the respective guide/ Head of Department. If they determine that the research scholar is eligible for fellowship then online monthly claim is generated for fellowship at the institution level and forwarded to the District Development Office for Scheduled Castes²⁸ with a recommendation for payment.

A full-time Research Fellow pursuing Ph.D under Department of Linguistics since October 2016 had received ₹10.72 lakh as Fellowship and Contingent grant from GoK till September 2020. Audit noticed that while receiving Fellowship he had worked as Lecturer in Computer Science at UITs on contract basis from July 2018 to September 2019²⁹ and drawn ₹1.91 lakh as salary between July 2018 and March 2019. He also had full attendance both at Department of Linguistics and UITs for July to September 2018 period. It was also observed that he was absent from Department of Linguistics during January 2017 to August 2017 and from October 2018 onwards. His name was removed from the attendance register of Department of Linguistics from January 2019, but continued to draw grant till September 2020. He had drawn Fellowship and Contingent grant during his absence from Department of Linguistics as given in **Table 2.5**.

²⁶ Chapter 12, Sl. No. 17 of the First Ordinances of University of Kerala, 1978

²⁷ Students who qualify UGC/GATE will get Fellowship and Contingent Grant from UGC. Those students belonging to Scheduled Caste (SC)/Scheduled Tribe (ST)/Other Eligible Communities (OEC), who have not cleared UGC/GATE but get selected for Ph.D in the University receive Fellowship and Contingent Grant @ 75 per cent of prevailing UGC rates from Government of Kerala.

²⁸ SC Development Department is the implementing agency for OEC Post-matric Educational Assistance.

²⁹ From 04 July 2018 to 28 June 2019 at UIT Malayankeezhu and from 02 July 2019 to 05 September 2019 at UIT Muthukulam.

Table 2.5: Fellowship and Contingent grant drawn by Research Fellow during his absence

Attendance particulars	Period	Amount (in ₹)
Having attendance both at Department of Linguistics and UITs	July to September 2018 (three months)	57,630
During absence from Department of Linguistics	January to August 2017 (eight months) and October to December 2018 (three months)	2,16,675
After name was removed from the Department of Linguistics	January 2019 to September 2020 (21 months)	5,41,750
Total		8,16,055

(Source: Data obtained from University of Kerala and SC Development Department)

It was also noticed that the University appointed the Research Fellow as Lecturer in Computer Science in UITs on contract basis without executing a formal agreement.

It was replied by University (September 2021) that a formal agreement was not executed with the University on the basis of a number of complaints received from Principal/ students. This is not tenable as appointment should be valid only after executing a formal agreement. Hence, payment of salary of ₹1.91 lakh to a contract staff without executing a formal agreement is not in order.

Government replied (13 December 2021) that the Research Fellow was said to be in jail in connection with criminal offence. Hence the Department was not in a position to collect explanation from the Research Scholar. However, action was being taken to recover the amount claimed by the researcher towards fellowship.

Audit observed that there was no system in place to cross-check the occurrence of such instances even within institutions under the control of the University by comparing persons on rolls of the institutions with persons receiving fellowship grants. The instance of an official drawing remuneration concurrently from two institutions under the governance of the University and drawing remuneration for periods when the incumbent was not in the rolls indicates lack of adequate internal control mechanism even within the University.

2.14. University Provident Fund

The deficit in Provident Fund (PF) contribution account of the University had already featured as paragraph 1.2.7.6 of the Report of the Comptroller and Auditor General of India (Civil) for the year ended 31 March 2010. The provident fund deductions effected from the salaries of the employees during the period 1990-95 were not credited to the bank account by the University (due to acute financial stringency) and the amount was utilised for meeting establishment expenditure. Thus, there was a deficit of ₹30.03 crore (October 2010). As per the records, the closing balance of PF account as on 31 March

2021 was ₹81.02 crore while the closing balance as on date in the treasury and bank account opened for depositing the PF amount was ₹73.79 crore resulting in a deficit of ₹7.23 crore.

While discussing the findings of the Performance Audit of 'Functioning of the University of Kerala' which featured in the Report of the Comptroller and Auditor General of India (Civil) for the year ended 31 March 2010, PAC had urged the University authorities to take necessary steps to remit the arrears towards Provident Fund account at the earliest. However, a deficit of ₹7.23 crore still remains.

While accepting the Audit objection, Government replied (13 December 2021) that the University would take necessary steps to regularise the deficit of ₹7.23 crore in the University Provident Fund account maintained with Treasury.

2.15. Unfruitful expenditure on publication of Malayalam Lexicon

The work of Malayalam Lexicon was started in July 1953 under the auspices of the Government of Travancore-Cochin (which subsequently with the integration of the Malabar area became the Government of Kerala in 1956) and the University of Travancore (now the University of Kerala). The first volume was published in 1965. Later, eight more volumes³⁰ were published.

In view of the complaints regarding mistakes/ errors in the Malayalam Lexicon Volume IX published in 2016, the Vice-Chancellor ordered to stop the sale of the same on 22 April 2017. Committee constituted to verify the errors in the Lexicon found (June 2017) that the points mentioned in the complaint were correct. The reasons for the defects as per the Report submitted by the Committee were the absence of permanent editor and non-preparation of a Manual for the preparation of the lexicon.

It was noticed that no Manual for preparation of Lexicon has yet been prepared (August 2021) and the person who has been appointed (13 August 2021) as the Editor-in-Chief/ Director is specialised in a subject (Sanskrit) other than Malayalam.

Government replied (13 December 2021) that a new Advisory Committee had been constituted on 16 November 2021. Steps were also being initiated for the preparation of the Manual which would be finalised in consultation with the members of the Committee. In the meantime, for adding value to the work undertaken by the Department, the University was availing the services of a professor who had multi-lingual expertise along with experience in Linguistics and Lexicon related work.

Though 12 years have elapsed after publication of Volume VIII of Lexicon (2009), the next volume is yet to materialise. The reply of Government is silent about prescribing a time schedule for bringing out the next volume.

³⁰ Volume II in 1970, Volume III in 1976, Volume IV in 1984, Volume V in 1985, Volume VI in 1988, Volume VII in 1997, Volume VIII in 2009 and Volume IX in 2016.

2.16. Preparation of Tamil - Malayalam Dictionary

Assistant Professor and Head, Department of Tamil had forwarded a detailed project proposal (April 2015), with a financial outlay of ₹11.46 lakh, for publishing Tamil-Malayalam Dictionary, which was to be completed within a period of two years. The proposal was placed before the Standing Committee of the Syndicate on Finance at its meeting held on 18 May 2015. The Committee noted that the financial commitment for the project would be ₹10 lakh and recommended allotting ₹ four lakh. Subsequently, an additional amount of ₹ four lakh³¹ was also sanctioned.

During the year 2019-20, the Head of Department, Tamil submitted a proposal for ₹ four lakh for the completion of Tamil-Malayalam Dictionary. The Syndicate decided (25 May 2019) to authorise the Vice-Chancellor to engage two experts (one each from Tamil and Malayalam) to evaluate the project. The Committee evaluated (13 August 2020) the project and commented that the project is progressing satisfactorily and would be a great gain to the Malayalam language on completion. Audit noticed (August 2021) that no amount has since been sanctioned and the project was at a standstill.

Government replied (13 December 2021) that a proposal for ₹ four lakh for the completion of Tamil-Malayalam Dictionary had been placed before the Standing Committee of the Syndicate on Academics and Research for consideration.

The reply of the Government does not clarify on aspects such as any schedule or timeline by which the project is expected to be completed or any Plan of Action for ensuring this project gets completed at the earliest and dictionary or at least a version in soft form is made available for use of students and the common man. Thus, a project which was to be completed within a period of two years remained incomplete even after a lapse of six years.

2.17. Conclusion

The University of Kerala which came into existence in 1937 is yet have an approved Master Plan detailing areas envisaged for development - academic curriculum, research, human resources, physical infrastructure etc., against which progress could be regularly monitored. The College Development Council which was to ensure proper planning and integrated development of affiliated colleges was ineffective due to improper constitution. Curriculum revisions were pending as compared to the schedule prescribed by the University Grants Commission (UGC). Inspections of affiliated colleges as mandated could not be ensured by the University.

Despite the PAC recommending complete and effective utilisation of funds allocated by UGC for the developmental purposes in order to avoid lapse of funds in future, the University failed to optimally utilise the General

³¹ ₹ two lakh in September 2016 and ₹ one lakh each in January 2017 and September 2017.

Development Assistance fund provided by the UGC resulting in loss of assistance. The University did not review that its funds were earning the best interest revenues. The delay on the part of University to amend the statutes resulted in non-receipt of ₹9.57 crore from Government of India being pay revision arrears. Lease rent receivable on account of land provided for construction of stadium was in arrears. The self-financing Engineering College and KUCTEs of the University which were meant to sustain on self-generated revenue were consistently running on a loss. Demand, Collection and Balance Register were not maintained by the University. Advances were pending recovery from staff of the University as well as from the Principals of colleges. There was a deficit of ₹7.23 crore in the University Provident Fund account, inspite of remarks of PAC directing the University authorities to take necessary steps to remit the arrears towards Provident Fund account at the earliest.

2.18. Recommendations

- **The University should periodically monitor progress against approved Master Plan outlining the developments envisaged in key areas including academic curriculum, teaching methodologies, human resources, research and innovation, extension activities and infrastructure (physical and digital).**

(Paragraph 2.1)

- **The University needs to aim for accreditation of all educational institutions under its control within a definite timeframe and work on possible solutions for overcoming existing deficiencies in order to ensure that a certain set of standards is maintained by these institutions.**

(Paragraph 2.3)

- **In order to ensure high quality and relevance of course content, the University may ensure that syllabus of various courses is revised in accordance with the periodicity prescribed by UGC and that the constitution of the Boards of Study is as per the prescribed norms.**

(Paragraph 2.3)

- **The University may conduct periodic inspections of the affiliated colleges based on risk analysis and prepare Reports in prescribed formats covering the areas of risks that may adversely affect the quality of education being provided.**

(Paragraph 2.4)

- **The University needs to put in place an effective monitoring mechanism to ensure that the works undertaken utilising GDA grant as well as funds from other sources are completed without**

delays so that the infrastructure facilities benefit maximum number of students.

(Paragraph 2.5)

- **The University may take prudent decisions while investing the University funds so as to maximise its interest revenue.**

(Paragraph 2.6)

- **University may take steps to ensure that a) long pending advances are settled without delay and that b) advances given in the future, if any, are settled within the prescribed time.**

(Paragraph 2.12)

- **A system may be put in place to ensure that a full-time research scholar while receiving fellowship grant does not take up other remunerative works.**

(Paragraph 2.13)



CHAPTER III HUMAN RESOURCES

3.1. Human Resources

University brought to the notice of the Government (May 2019), the acute shortage of teachers in the Departments. Shortage affected the quality of teaching and resulted in denial of funds by State/ Central agencies including Rashtriya Uchcharat Siksha Abhiyan funds³² (RUSA). The University had applied (December 2017) to UGC for declaring the University as an Institution of Eminence. The award of such a status would have made the University entitled to an amount of ₹1,000 crore or 50 to 75 *per cent* of requirement projected in the detailed plan submitted by the institution whichever is less. In October 2019, UGC informed that the University was not included in the list of institutions recommended for Institution of Eminence status. The University attributed shortage of faculty as a major reason for losing the UGC Institution of Eminence status.

3.1.1. Non-sanction of posts of Professors, Associate Professors and Assistant Professors

As per the UGC Regulations on Minimum Qualification for appointment of Teachers and other Academic staff in Universities and colleges and measures for the maintenance of standards in Higher Education, 2010, the teaching posts in the Universities may be created in a pyramidal order, for instance, for one post of Professor, there should be two posts of Associate Professors and four post of Assistant Professors per Department. Details of teaching staff in the University of Kerala is given in **Table 3.1**.

Table 3.1: Year-wise details of teaching staff in the University of Kerala

Year (as on March of the respective years)	Professor		Associate Professor		Assistant Professor			Total		Shortage of teaching staff (in <i>per cent</i>)
	Sanctioned	Men in Position	Sanctioned	Men in Position	Sanctioned	Regular	Contract	Sanctioned	Men in Position	
2017	35	7	55	25	201	160	41	291	233	19.93
2018	35	10	55	20	201	158	45	291	233	19.93
2019	36	8	57	24	205	160	56	298	248	16.78
2020	36	14	57	23	205	168	65	298	270	9.40
2021	36	15	57	26	205	169	70	298	280	6.04

(Source: Data obtained from the University of Kerala)

³² The pre-requisites for getting RUSA funds include financial contribution to higher education as percentage of GSDP, State funding-commitment and timelines, filling faculty position, academic and examination reforms etc.

Audit observed that notwithstanding the Regulation, posts of Professors were not sanctioned for nine academic departments³³ of Kerala University. Further, the posts of Associate Professor were not sanctioned for seven departments³⁴ and Assistant Professors for two departments³⁵. The Department of Nanoscience and Nanotechnology has been functioning since its establishment in 2016, without any posts of faculty having been sanctioned and relying entirely on the services rendered by contract lecturers. The absence of regular teachers in the departments would adversely affect the quality of education.

The Public Accounts Committee while discussing Performance Audit of 'Functioning of the University of Kerala' which featured in the Report of the Comptroller and Auditor General of India (Civil) for the year ended 31 March 2010 had stated that compromise in sanctioning posts of faculty is not advisable and whatever be the constraints, required number of post of teachers must be sanctioned.

While accepting the audit observation (December 2021), the Government added that the teaching posts in the University departments were created several years ago and hence creation of additional posts merely to meet the proposed structure was not practical as it involved financial implications. Proposals for creation of posts of Professors, Associate Professors and Assistant Professors in certain Departments had already been taken up by the University.

3.1.2. Teachers appointed on contract basis/ without specified qualifications

- As per the UGC Regulations on Minimum Qualification for appointment of teachers and other academic staff in Universities and colleges and measures for the maintenance of standards in Higher Education, 2010, teachers should be appointed on contract basis only when it is absolutely necessary and when the student-teacher ratio does not satisfy the laid down norms and in any case the number of appointments should not exceed 10 *per cent* of the total number of faculty position of the College/University. Contrary to this condition, University had 70 teachers on contract basis in the 43 departments and School of Distance Education (SDE) which is more than 23 *per cent* of the total faculty strength. Audit also observed that the percentage of teachers appointed on contract basis had shown an increasing trend during the period of audit. Details are given in **Table 3.2**.

³³ 1. Biotechnology 2. Nanoscience and Nanotechnology 3. Philosophy 4. Russian 5. Environmental Science 6. Futures Studies 7. Geology 8. Statistics and 9. SDE

³⁴ 1. Nanoscience and Nanotechnology 2. German 3. Oriental Research Institute and Manuscript Library 4. Institute of Management in Kerala 5. Islamic History 6. Law and 7. SDE

³⁵ 1. Nanoscience and Nanotechnology and 2. Music

Table 3.2: Year-wise details of teachers appointed on contract basis

Year (as of March of the respective years)	Sanctioned	Men in position		
		Regular (percentage)	Contract (percentage)	Total
2017	291	192 (65.98)	41 (14.08)	233
2018	291	188 (64.60)	45 (15.46)	233
2019	298	192 (64.43)	56 (18.79)	248
2020	298	205 (68.79)	65 (21.81)	270
2021	298	210 (70.47)	70 (23.49)	280

(Source: Data obtained from the University of Kerala)

The University is running 34 University Institutes of Technology (UIT), 10 Kerala University Colleges of Teacher Education (KUCTE) and seven University Institutes of Management (UIM) and one University College of Engineering on self-financing mode. Audit noticed that there were 335 teaching faculties in these 52 institutions³⁶ and all of them were contract appointments. As per UGC Regulations, the fixed emolument paid to such contract teachers should not be less than the monthly gross salary of a regularly appointed Assistant Professor. Audit noticed that the monthly emoluments paid to the contract staff was less than the monthly gross salary of the regular appointed Assistant Professor. The monthly emoluments paid to the contract staff who are eligible for the pay of Assistant Professor ranged from ₹19,500 to ₹37,500. Whereas, entry pay of Assistant Professor as per Seventh Pay Commission is ₹57,700. Audit observed many of these faculties did not have the prescribed qualifications as detailed in the next bullet point. The University did not furnish any documents to show that institutions in self-financing mode do not need to comply with the UGC Regulations relating to minimum qualification for appointment of teachers and other academic staff.

- Similarly, as per Clause 3.3.0 of the UGC Regulations on Minimum Qualification for appointment of Teachers and other Academic staff in Universities and colleges and measures for the maintenance of standards in Higher Education, 2010, the minimum qualification for appointment as an Assistant Professor is Master's Degree with 55 *per cent* marks in a concerned relevant/ allied subject and the candidate must have cleared National Eligibility Test (NET) or an accredited test (State Level Eligibility Test – SLET/SET) provided however, that the candidates who are or have been awarded a Ph.D shall be exempted from the requirement of minimum eligibility condition of NET/SLET/SET. The qualification and selection procedure for appointment of teachers on contract basis should be same as those applicable to a regularly appointed teacher. The University is running 34 University Institutes of Technology (UITs) for imparting Undergraduate courses and Post-graduate courses in self-financing mode. All the Assistant Professors in

³⁶ University College of Engineering (1): 46 faculties, UITs (34): 174 faculties, KUCTE (10): 91 faculties and UIM (7): 24 faculties

the UITs were appointed on contract basis. Audit also observed that out of 174 teachers, 108 teachers were appointed without NET/SET/Ph.D qualification as of March 2021. Details are given in **Table 3.3**.

Table 3.3: Year-wise details of teachers appointed without qualification in UITs

Year (as on March of the respective years)	Total number of UITs	Total number of teachers	No. of teachers with NET/SET/Ph.D qualification	No. of teachers without NET/SET/Ph.D qualification
2017	17	177	64	113
2018	28	174	60	114
2019	34	177	70	107
2020	34	181	69	112
2021	34	174	66	108

(Source: Data obtained from the University of Kerala)

Appointment of teachers without qualification as prescribed by the UGC will adversely affect the quality of teaching and thereby affect the future of the students studying in these institutions.

Government replied (December 2021) that UITs were extension centres directly run by the University of Kerala on 'no profit no loss' basis. Since these Institutions were started to fulfil social obligation and to provide education at affordable cost in the remote and rural areas, the fees of students could not be increased. If the increase of wages of staff at UITs was implemented, it may cause additional financial liability to the University. Government also stated that the Syndicate has resolved to engage teaching staff ensuring qualification as prescribed by the UGC, henceforth.

The reply is not tenable as the UITs are institutions run by the University and are bound to comply with the UGC Regulations regarding salary to teachers appointed on contract basis.

3.1.3. Shortage of teaching staff in University Departments

As per the UGC Regulations on Minimum Qualification for appointment of Teachers and other Academic staff in universities and colleges and measures for the maintenance of standards in Higher Education, 2010 and 2018, all the sanctioned/ approved posts in the University system should be filled on an urgent basis. Peer team Report (2015) on Institutional Accreditation (Second Cycle) of the University recognised, as an institutional weakness, the large number of guest/ contract teaching and non-teaching staff. Many departments were functioning without Professors and a couple of departments were functioning with a single faculty. It recommended taking steps to fill up the vacancies. Audit examined the shortage of teaching faculties in University Departments and the results are detailed below.

- As shown in **Table 3.1**, against 298 regular teaching staff sanctioned for 43 academic departments and School of Distance Education, only 210 regular teachers (70.47 per cent) were available as of March 2021. Even after considering the 70 contract teachers, the total staff strength was 93.96 per cent of the sanctioned strength. There were vacancies in 21

posts of Professor against the 36 sanctioned posts and in the case of Associate Professors, out of 57 sanctioned posts, there were vacancies in 31 posts. Similarly, in the case of Assistant Professors, 36 posts were vacant out of 205 sanctioned posts.

- The vacancies of teachers have continued for periods ranging between four months and 37 years as of October 2021 as detailed in **Appendix 3.1**.

As persisting vacancies in faculty posts coupled with over-reliance on contract teachers adversely affects the quality of teaching and the academic output, it is essential that the Government and University work out sustainable solutions (keeping in view the financial constraints), that will ensure that academic standards do not deteriorate owing to shortage in qualified faculty in sufficient numbers.

3.1.4. Appointment of excess number of academic faculties in KUCTEs

The University started³⁷ 10 Kerala University Colleges of Teacher Education (KUCTE) under its direct control in self-financing mode. The Principal and other teaching staff of these KUCTEs were appointed on contract basis. As per National Council for Teacher Education (Recognition Norms and Procedure) Regulations, 2014, as regards Bachelor of Education programme leading to Bachelor of Education (B.Ed) Degree, if the total student strength is 200, there shall be 16 full-time faculty members and if the student strength for two years is 100 only, the number of faculty shall be reduced to eight. All these KUCTEs have one batch each with 50 students per year. Since the programme has a duration of two years, the total student strength in these KUCTEs is 100 each. Hence, the number of faculty in these KUCTEs should be only eight. Audit noticed that eight out of 10 KUCTEs had more than eight academic faculties during the period 2020-21. Against 80 faculties in these 10 institutions, there were 91 faculties resulting in excess expenditure of ₹23.64 lakh per annum.

Government replied (13 December 2021) that the academic faculty mentioned as excess in the audit report were taken by counting the language and science subjects as single units whereas KUCTEs were offering more than one language and more than one science subjects as optional. Since a specialised faculty for each subject had to be assigned for taking the classes, it may not be considered as excess academic faculty.

The KUCTE is not adhering to National Council for Teacher Education Guidelines where it was clearly stipulated that for 100 students for two years, the faculty strength shall be reduced to eight. Eight out of 10 KUCTEs have staff strength more than eight.

³⁷ During the period 1990 to 1998

3.2. Internship/Consultancy/Start-up activities in the University

Internships are designated activities that involve working in an organisation under the guidance of an identified mentor. The aim is to make the students capable of applying their knowledge and skills in different settings and inculcating professional dispositions and ethics.

This is also one of the key indicators used by NAAC during the assessment and accreditation process of Higher Education Institutions (HEI).

The details of number of students who availed internships during the period 2016-21 is stated in **Table 3.4** below:

Table 3.4: Details of number of students who availed internships during the period 2016 to 2021

Year	Students enrolled for PG in the University	No. of Departments which offered internship	Number of students taken internship	Percentage
2016-17	652	1	14	2.14
2017-18	628	1	11	1.75
2018-19	621	2	21	3.38
2019-20	733	5	41	5.59
2020-21	874	3	17	1.94
Total	3508		104	2.96

(Source: Data furnished by the University)

As seen from the table above, out of the total number of 3,508 students enrolled in the University, only 2.96 per cent undertook internships. Also, it was noticed that the students who undertook internships during 2016-21, belonged to only five departments³⁸ of the University.

A Consultancy cell was constituted in the University in 2001. Similarly, an Industry Incubation Centre i.e., Kerala University Technology and Business Start-up Centre was functioning in the University since 2006. Audit noticed that both these cells were having only Directors and were functioning without any supporting staffs. University informed (September 2021) Audit that ₹90.73 lakh was generated through consultancy works provided to 24 clients and seven Memorandum of Understandings signed between start-up companies and the University during the period of Audit.

Audit findings highlight the fact that the University had not made serious efforts to expose their students to practical learning through internships and also to strengthen consultancy and start up activities affecting the achievement of the desired outcome of employability of students.

Government stated (13 December 2021) that the University does expose their students to practical learning, field projects and summer internship. In fact, it is mandatory for all Master's programme to have them at least in one semester.

³⁸ 1. Optoelectronics, 2. Environmental Science, 3. Geology, 4. Zoology and 5. Aquatic Biology and Fisheries

Government further stated that the figures given in table appears to be not correct as almost all students take up internship/ field visit.

Since figures included in **Table 3.4** was provided by the University, Audit sought clarification (13 January 2022) from University on the reply of Government. University informed (25 January 2022) Audit that the figures given in the table pertained only to internship and did not include field projects and specific projects. It was further stated that internship was only mandatory in three departments and University was pursuing a policy on extending internship to other departments.

The clarification of University substantiates the Audit finding that the number of students exposed to internship by the University was meagre.

3.3. Functioning of Placement Cell

During accreditation of an institution, NAAC considers the average percentage of placement of outgoing students from the institution during the last five years as one of the factors while grading the HEIs.

The University approved (November 2012) to constitute 'Permanent Placement Cell' for managing and supervising the campus recruitment. It was also approved to arrange permanent placement office for Placement Cell in old building of Institute of Management in Kerala at Senate House campus and to authorise the Director, University Computer Centre, to develop software for online registration of students for campus recruitment. But this has not materialised. A placement cell is functioning in the University without any staff and an office. Associate Professor, Department of Economics was the Convener of the Placement Cell. There was no process/ calendar followed by the Cell for carrying out placement activities. During the years 2016-21, the number of Postgraduate students who attended interview and were placed in jobs through Placement Cell was as depicted in the **Table 3.5** below:

Table 3.5: Details of number of Postgraduate students who attended interview and were placed in jobs through Placement Cell

Year	No. of students admitted to PG courses in University Departments	No. of students registered for placement	No. of students placed	Remarks
2016-17	652	25	5	Placement of less than one per cent
2017-18	628	26	3	
2018-19	621	25	0	No placements
2019-20	733	0	0	
2020-21	874	0	0	

(Source: Information furnished by the Placement Cell, University of Kerala)

Thus, even after existence of a Placement Cell in University, only eight students could be placed through the Placement Cell during the last five years.

As per the National Education Policy 2020, the HEIs should take steps to increase employability potential of higher education programmes. But the University is yet to have an effective Placement Cell.

Government replied (13 December 2021) that many departments of the University had taken initiatives to place their students in private companies. The employability of the programmes offered by teaching departments in the University of Kerala was quite high and the students found jobs as soon as they completed their programmes. It was further stated that a significant number of students did not take the service of the Placement Cell as they manage to get placements even without the support of the Cell. Moreover, the Cell with a Placement Officer was not continuously active throughout the last five years. The University in its Teaching Departments offer only Master's Programme where students have a common career path of research and teaching for which they need to move in to higher studies for M.Phil and Ph.D, thus mobility to higher learning is very high when compared to placements.

The reply is silent about the non-constitution of an effective Placement Cell and the meagre track record of the existing Placement Cell in procuring placements for the students.

3.4. Research

3.4.1. Selection of candidates for Ph.D programme

University Grants Commission (UGC) introduced (amendment on 16 October 2018) weightage of 70 *per cent* to entrance test and 30 *per cent* to the performance in the interview/ viva-voce for selection of candidates for M.Phil/Ph.D in the UGC (Minimum Standards and Procedures for award of Ph.D/M.Phil) Regulations, 2016.

Audit observed that the University was yet to implement the above UGC directions (August 2021). During the period 2019-21, 1,029 scholars were selected for Ph.D and 677 students were admitted to M.Phil without observing UGC Regulation as amended in 2018. The University is still following the UGC Regulation 2016 and candidates of the Ph.D programme are granted registration through a two-stage process - an entrance test conducted by the University, followed by an interview conducted by the Departmental Doctoral Committee. The procedure does not specify the weightages attached to the two stages. The University is not preparing a rank list for the selection of candidates. In the absence of a rank list for selection, the transparency of the selection process could not be ascertained.

Government replied (13 December 2021) that selection of candidates at the time of Doctoral Committee meeting are based on the merits of the synopsis submitted by the candidates and assessment at the interview whether the candidate possess the competence for the research, research can be suitably undertaken in the research centre and the proposed research can contribute new/ additional knowledge.

The reply of the Government is not tenable as the UGC amendment clearly stated that the selection of candidates (M.Phil/Ph.D), a weightage of 70 *per cent* to the entrance test and 30 *per cent* to the performance in the interview/ viva-voce shall be given, which was not complied by the University.

3.4.2. Discontinuation of research work by research scholars

According to the University of Kerala First Statutes 1977, maximum time permitted to submit the thesis is five years and eight years for full-time research students and part time research students respectively. In exceptional cases, the above time limit can be extended by one year. According to the Kerala University First Ordinances, 1978, a research fellow should not resign his appointment during the tenure of his fellowship or discontinue research work without obtaining the permission of the Syndicate, or else, the holder would have to refund the whole amount of the fellowship received by him or any portion thereof or the Syndicate may waive the recovery of the amount in such cases.

On an analysis of the details of research scholars in 43 University Departments, it was observed that 110 research scholars discontinued the research work (22 research scholars) or did not submit the thesis in the prescribed time limit (88 research scholars) who had started their research during 2005 to 2014 period. Moreover, UGC Regulations, 2016 specifies the limit for research fellows that a research supervisors/co-supervisor could guide³⁹. The University had brought to notice of Government (May 2019) the issue of research output being adversely impacted due to shortage of faculty. Despite this shortage, the University failed to cancel the registration of such research scholars so that opportunity could be given to other eligible persons.

Government stated (13 December 2021) that the research scholars, who had been granted registration from 2009, faced many difficulties in their research work due to the implementation (February 2016) of UGC Regulations, 2009 with retrospective effect as the UGC directed to strictly adhere to the said Regulations. The University had granted grace time⁴⁰ for research scholars from time to time as a solution to the difficulties faced by the research scholars and considering the valuable research work done by them. It was also stated that most of the research scholars whose prescribed maximum research period had already expired, had successfully utilised the grace time granted by the University for submission of their thesis.

The reply is not tenable as the registration of 110 scholars who had discontinued their research/ not submitted the thesis within the prescribed time limit for

³⁹ A Professor, can guide upto a maximum of three M.Phil. and eight Ph.D scholars at a time, an Associate Professor can guide upto a maximum of two M.Phil. and six Ph.D scholars and an Assistant Professor as Research Supervisor can guide upto a maximum of one M.Phil. and four Ph.D scholars.

⁴⁰ Grace time from 2017 to 2019 in order to overcome the problems faced due to the re-allocation of scholars under regular research supervisors as per UGC Regulations, 2009. Extension of grace time for submission of thesis from 2020-21 was granted considering the COVID-19 pandemic.

various reasons such as getting job etc., had not been cancelled till date (December 2021).

3.5. Conclusion

Shortage of teaching staff/ faculties in the University is an institutional problem persisting over the years. Even though PAC had recommended that the required number of post of teachers must be sanctioned, several Departments continued to function without sanctioned posts of teachers. Number of faculties appointed on contract basis was higher than the prescribed limit. Peer team Report (2015) on Institutional Accreditation (Second Cycle) of the University had already recognised, as an institutional weakness, the large number of guest/ contract teaching and non-teaching staff. Many departments were functioning without Professors and a couple of departments were functioning with a single faculty. The job placement record of the Placement Cell was not very encouraging. Not many students could avail of internship opportunities through the facilitation of the University.

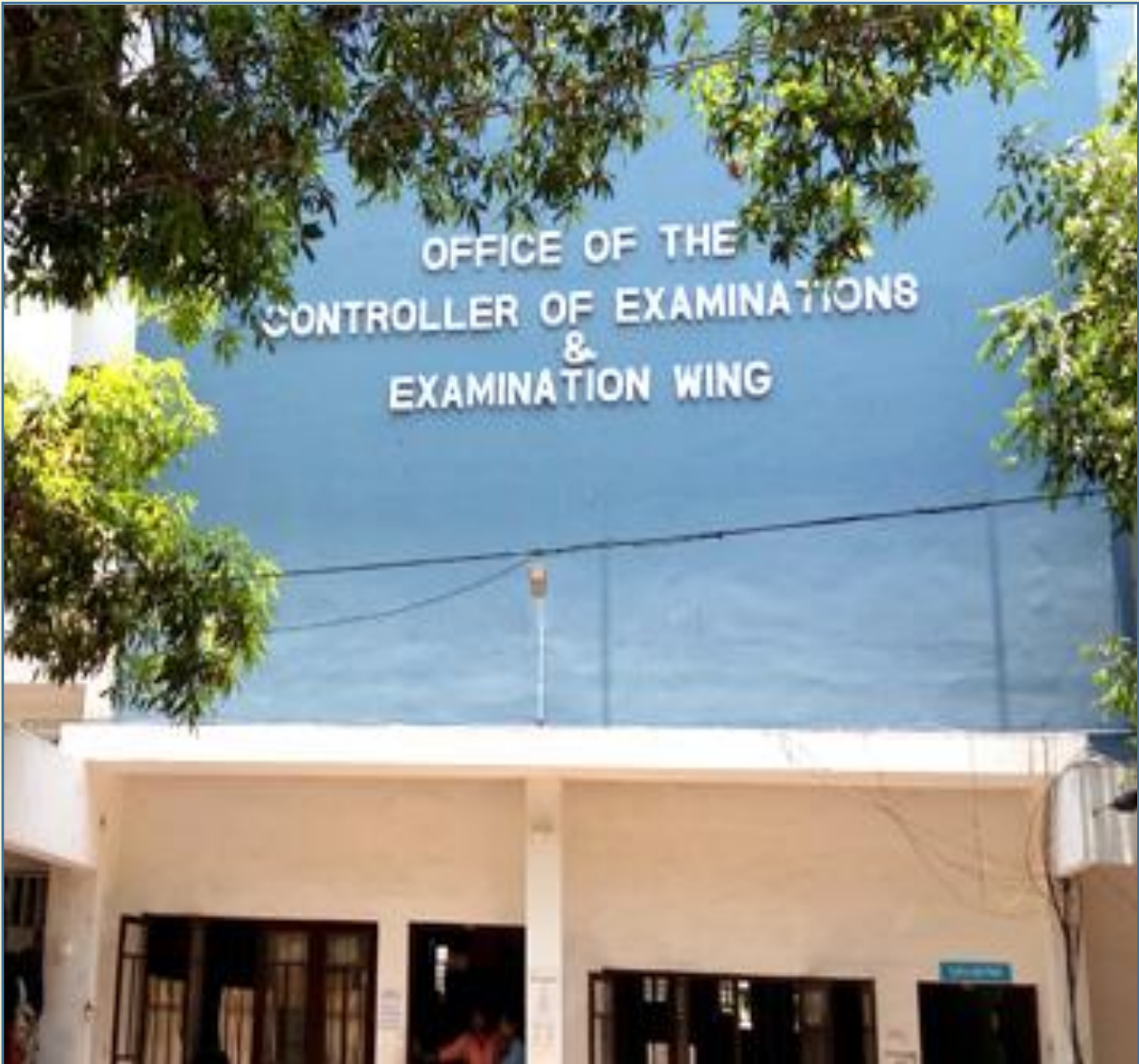
3.6. Recommendations

- **In order to provide high quality of education including higher numbers of research scholars, published papers and patents, Government may in consultation with the University ensure that services of adequate number of qualified faculties are available in its institutions.**

(Paragraph 3.1)

- **More emphasis needs to be given to improving performance of the University as regards internship opportunities for students and placements (for outgoing students).**

(Paragraphs 3.2 and 3.3)



CHAPTER IV EXAMINATION

4 EXAMINATION

The Examination wing of the University of Kerala is responsible for conducting the examinations, the timely publication of results and disbursement of certificates to successful students. The University conducts around 10,000 examinations every year. Examinations for every course have to be conducted at least twice a year. Audit observations on the examination process are as follows:

4.1. Delay in conduct of examinations and publication of results

End Semester Evaluation (ESE) of all the courses in all the semesters are to be conducted by the University⁴¹ and results are to be published (based on the Examination Calendar prescribed⁴²) within 45 days from the last day of the examination.

Audit scrutinised the records of the dates of examination and dates of publication of results of 12 ESE for the three-year UG programme in affiliated colleges for students of 2016 and 2017 admissions. It was observed that the delay in conduct of examination when compared with the examination calendar was above 200 days in one case, between 100 to 200 days in two cases and between 50 to 100 days in three cases. Delay in publication of results was above 300 days in two cases, between 200 to 300 days in four cases and between 100 to 200 days in four cases (**Appendix 4.1**).

Audit also observed that ESE were conducted while students were studying in the next higher semester. For instance, ESE for first semester 2017-18 admission which was scheduled between 08 November 2017 to 22 November 2017 was conducted in 2018 between 26 March and 09 April though classes had commenced for the next semester on 24 November 2017. Moreover, as students⁴³ who have failed/ were absent/ reappeared for betterment of marks in any of the semester papers could appear only in the next similar examination (i.e., examination conducted for the succeeding batches), undue delay in results implies that students would have to re-appear/ prepare for re-examination for improvement/ clearing the exams without being aware of their actual results, causing hardship to the students.

In its reply (13 December 2021), the Government attributed the delay in examination to the occurrence of floods and the COVID-19 pandemic. It was also stated that the University was following manual system of false numbering of answer scripts; in one semester the University had to false number more than 2.50 lakh answer scripts which takes nearly 25 days. This adds to the delay. Government also stated that University had already identified the issue and was

⁴¹ As per Clause 9.3 of the University of Kerala Regulations relating to the First-Degree Programmes under the Choice Based Credit and Semester (CBCS) system in Affiliated Colleges, 2013

⁴² by the University Level Monitoring Committee (ULMC)

⁴³ in the Choice based Credit Semester System

taking measures to conduct examination and evaluation in a time bound manner by introducing the Student Life Cycle Management System.

The reply is not tenable since there was delay in conducting examination and publication of results even before the flood and COVID-19.

4.2. Out of syllabus questions

According to Clause 9 and 10 of Chapter IV of the Examination Manual, the Controller of Examinations with the approval of the Vice-Chancellor has to constitute a Board of question paper setters every year for each subject or group of subjects to scrutinise the papers and to see whether the prescribed standards have been kept and whether the scope of the questions are within the prescribed syllabus. The Controller of Examinations should constitute a Scrutiny Board to ensure that the questions are in conformity with the prescribed syllabus and scheme of examination and maintain the required standards.

Even though such a mechanism existed, Audit found that during 2016-2021, complaints were received regarding 'out of syllabus' questions in 389 papers of different subjects. Controller of Examinations stated that this issue was solved by adopting different procedures, viz. liberalised valuation, adding grace marks and by distributing the marks in the remaining questions. It was also intimated that University had taken action against 13 personnel (Chairman/ question paper setters) for 'out of syllabus' questions included in question papers.

However, University did not provide to Audit the number of cases in which the complaints were confirmed after verification. As per the minutes of Syndicate meeting held on 30 April 2019, the number of question papers to be scrutinised varies from 20 to 40 per Scrutiny Board. Due to the large number of question papers to be scrutinised, efficient scrutiny cannot be ensured. Hence, errors are reported in the scrutinised question papers after the examinations.

The Controller of Examinations replied (November 2020) that from 04 May 2019, a Pre-valuation Board to examine the complaints regarding out of syllabus questions was constituted. The Pre-valuation board considers the complaints regarding 'out of syllabus' questions after the conclusion of examination and before the valuation of answer scripts and if there is any question from areas not included in the syllabus, the mark for the same is proportionally distributed among other questions.

The minutes of the Syndicate meeting indicates that the Scrutiny Board was not effective in eliminating 'out of syllabus' question, the inclusion of which causes avoidable hardship to students and prolongs the administrative processes unnecessarily.

Government replied (13 December 2021) that the Question Bank module in the Student Life Cycle Management System would be a panacea for the problem. It was proposed to set up a question bank by taking the questions and scheme from all the interested faculty members both in and outside the University and the

question papers as and when required would be generated from the question bank using the software avoiding duplication of questions.

However, Audit observed that issue of 'out of syllabus' questions continued to plague the examination system of the University during the period of Audit.

4.3. Deficiencies in examination procedures

- The detailed procedure for transfer of question papers to colleges and its opening are given in the Examination Manual of the University. The printed question papers received from the press are stored in a Question Paper Room in the office of the Controller of Examinations and the sealed covers containing question papers are distributed to the examination centres through the Collection and Distribution Unit (CD Unit) three days before the date of commencement of the examination. The covers containing question papers should be examined in the presence of the Additional Superintendent/ Senior Assistant Superintendent and two Assistant Superintendents. The Additional Chief Superintendent and Senior Assistant Superintendent and the Chief Superintendent must sign the covers after satisfying themselves that the covers are in good condition. Despite these safeguards prescribed, Audit noticed 10 instances of wrong opening of question paper packets in eight affiliated colleges as detailed in **Appendix 4.2**.

Audit observed that though the Vice-Chancellor cancelled the wrongly opened question papers in all the 10 cases, three colleges conducted examination with the cancelled question papers as shown in **Appendix 4.3**.

The Syndicate decided to entrust (July 2020) the Convenor and Controller of Examinations to assess the quantum of financial loss to the University and seek explanation from Principals and Chief Superintendents of the colleges concerned. University informed Audit (10 September 2021) that the process of assessing the quantum of financial loss to the University is yet to be finalised.

Besides the associated financial implications created by opening of questions papers wrongly, such instances also create logistical challenges to the University as fresh sets of new question papers have to be printed and supplied to all the examination centres at very short notice.

Government replied (13 December 2021) that the incidents happen mainly due to negligence or due to human errors.

Though the instances of wrong opening of question paper packets at examination centres were not considerable, the University still needs to ensure that the safeguards prescribed in the Examination Manual are strictly adhered to.

- According to Chapter VI of Examination Manual, false numbers are allotted to answer scripts to prevent the identity of examinees to examiners who value the answer scripts. The process of false numbering shall be done with utmost secrecy and the false number allotted to a section⁴⁴ shall not be allotted to any other section for a particular session of the examination. Similarly, the false number given to one paper in a section shall not be given to any other paper of any subject.

Audit scrutiny revealed that false numbers were allotted in duplicate to answer scripts used in examinations (of different subjects) conducted during the same month. In CBCSS courses for the period January 2016 to May 2020, 1,00,399 false numbers were allotted in duplicate in the same month out of which, 2,669 false numbers belonged to the same course were noticed during data analysis.

Government in its reply (13 December 2021) accepted that in the present tabulation system, same false numbers for two different exams for the same programme was possible and since different softwares were used for different examinations, duplication of false numbers among different examinations was also permissible. The Government also stated that with the introduction of the proposed Student Life Cycle Management System these issues would be eliminated.

4.4. Deficiencies in system of accounting of blank answer books kept in colleges/ examination centres

Chapter V of the Examination Manual describes the procedure to be followed for the conduct of examinations by the University. University informed Audit that 19 cases of malpractice/ manipulation of answer books were reported during the period 2016-21. In order to strengthen the accounting of blank answer books kept in colleges/ examination centres, the Syndicate decided (01 August 2019) to constitute a team to start verification of the answer books kept in colleges/ examination centres and to submit a verification report. It was also decided that the outdated and damaged answer books would be collected back and the remaining answer books would be the opening balance of that college/ examination centre for further accounting. Further, sanction was accorded (August 2019) to form a new section (CE-III) for supervision and monitoring of daily usage of answer books issued to colleges/ examination centres. Audit observed that verification of answer books was conducted from 06 January to 12 November 2020 and only six out of the 297 University examination centres could be covered. Since the verification process has not been completed, colleges/ examination centres recorded the opening stock as the stock in hand on date of forwarding of accounted statement to the Controller of Examinations. Chances of misuse of answer books already misplaced still exist.

The University formed CE-III section to monitor the daily usage of answer books. The colleges/ examination centres forward their answer book utilisation

⁴⁴ There are more than one section dealing with examinations

details through e-mail. Daily usage of answer books is being forwarded but details such as serial numbers of answer books issued (both main book and additional book) and number of students who attended the exam are not being collected. In the absence of these details, monitoring of unused answer books may not be effective.

Government replied (13 December 2021) that the Syndicate meeting of 23 July 2021 had decided to finish the verification in three months but it had been delayed due to COVID-19. Monitoring of the details would be done after the introduction of Student Life Cycle Management System.

Audit observed that there are still no fool-proof safeguards against misuse of the answer books, which are still not fully accounted for. Audit also observed that verification of only 48 out of 297 exam centres (16.16 per cent) have been completed so far (30 March 2022).

4.5. Missing answer scripts

Audit observed that there were cases where answer scripts of students went missing at multiple stages of the valuation procedure. However, no serious action was taken by the University in most of the cases, as detailed below.

4.5.1. Answer scripts lost from the University

As per Chapter VIII of Examination Manual, “If an answer book is missing, all the staff members employed in the respective camp shall be jointly and severally liable for the lapse. The punishment may also include imposing censure/suspension”. A fine of ₹5,000 per paper is to be levied from the staff member employed in the respective camp. Further, if an examiner fails to return the answer book to the University, he/ she shall be permanently debarred from taking up duties of University Examiner and a fine of ₹5,000 per missing / damaged paper shall be imposed on him/ her. The punishment may include withholding the placement/ promotion of teachers. If the answer script is found to be irretrievable, the candidate may be given another opportunity to reappear for the examination in accordance with the same scheme and syllabus without charging the examination fee.

During the period 2013-14 to 2020-21, answer scripts of 98 students (19 examinations) were reported as missing from the University. Answer scripts were lost from both the University and Colleges as well as from the Examiners as detailed in **Appendix 4.4** and **Appendix 4.5**. On verification, it was seen that, in none of the cases action was taken against the erring officials except in one instance, where it was decided to collect ₹10,000 from the erring official being cost for conducting re-examination. Other action against erring officials was limited to giving warning to erring official/ debarring from examination duties.

Government replied (13 December 2021) that the main reason for answer scripts going missing was non-adherence to the specifications in the Examination Manual in packing of answer scripts by the colleges. Government further stated

that steps would be taken as decided upon by the Syndicate against evaluators on account of negligence.

Even though Public Accounts Committee (PAC) in its 43rd Report for 2011-14 had directed the Higher Education Department to furnish the details of disciplinary action taken against the officers responsible for missing answer scripts in the University while discussing Performance Audit of 'Functioning of the University of Kerala' which featured in the Report of the Comptroller and Auditor General of India (Civil) for the year ended 31 March 2010, several cases of missing answer scripts are still being reported and no action has been taken against the officials concerned indicating lack of seriousness on the part of the University in addressing the issue.

4.6. Lack of adequate controls in Tabulation Software

Examination mark lists are generated by tabulation sections in the University, using in-house tabulation software developed over a period of time (commencing from 2001). Audit analysed 11 out of 18 tabulation databases of regular courses, maintained by the IT Cell of the Controller of Examinations for the period 2016 to 2021.

Audit noticed the following deficiencies during the analysis of the backup data furnished by the University.

- Workflow approval mechanism (digital equivalent of files moving from a lower authority to a higher authority) had not been integrated in any of the tabulation software test-checked. Only username and password-based control had been implemented.

In the reply (13 December 2021) Government attributed the reasons for not implementing workflow integration as large volume of data, complexity of the system, staff shortage and the software in use were based on the software developed in 2001. Government also stated that the proposed system for Student Life Cycle Management System would be based on workflow integration.

- End Semester Assessment marks (in [t_mark] table) obtained by a candidate could be modified due to addition of grace marks/ moderation or on account of revaluation/ scrutiny and the earlier marks record was transferred to logs. Since no reasons were recorded (in [t_mark] table and logs), the reason for change in marks could not be ascertained which makes the system prone to misuse. Corrections could be made to exam registration and mark details of students through backend bypassing table level locks (locked to prevent unauthorised entry in exam registration and marks details) and the transaction logs were not captured. These logs are essential to identify and prevent tampering of marks.

Government stated (13 December 2021) that mark entry lock was never released through backend. Frontend interfaces were used for this

purpose based on specific orders of Controller of Examinations received in the form of files. All changes in marks are retrievable at any point of time. Government further stated that logging had been enabled for mark unlocking interface recently for Deputy Registrar level users and the University was also planning to capture the remarks against these changes. The Government also stated that there was no online system to upload grace marks. After scrutinising the applications received directly from the students and obtaining specific orders from the Controller of Examinations, the sections concerned would enter the grace marks in the system using specific interfaces.

The reply is not tenable since the programmers, who also provide post-release support, had full access to database and had the highest privileges, therefore, marks lock and lock release was not restricted only to frontend interfaces. Even though mark changes were logged, reason for the changes were not recorded. Besides, code changes to support approval for entry of grace marks were yet to be carried out.

The different software used by the University had many deficiencies as stated above and the gravity of the deficiencies in the software can be understood from one of the incidents described below (facts below are based on the Preliminary Enquiry Committee Report and Expert Committee Report) which resulted in unauthorised changes in marks of students.

In response to the complaint (October 2019) from a candidate that he was unable to register for the supplementary examination of Financial Accounting for BBA Degree examination of November 2019 for which he had also unsuccessfully attempted in January and November 2018, the IT Cell informed the ES 1 Section that the candidate had already passed the examination in December 2016. The ES 1 Section without examining how a candidate who had passed the examination in December 2016 could attend the examination again in January and November 2018 uploaded the mark list in student profile.

Subsequently, when a few other students approached the section with similar issues, the ES 1 section verified the tabulation sheets. On verification it was noticed that the moderation of core papers of December 2016 fixed by the PASS Board had been modified (from six to 10 in the case of BBA course, from two to eight in the case of BCA course and from four to six for B.Sc Electronics).

The Vice-Chancellor ordered a three-level enquiry (13 November 2019). It was observed that the undue hike in moderation was effected for 16 papers of Career Related programmes. Based on the recommendation (21 November 2019) of the expert committee, the Syndicate decided (April 2020) to cancel the Degree awarded to 23 students. For this purpose, a special meeting of the Senate (26 August 2021) approved the amendment to the Statutes of the University and decided to forward it to Hon'ble Chancellor for approval. The expert committee pointed out a serious error in the source code in relation with the updating of the moderation marks. Owing to the above error, whenever the computer program

was executed, moderation for all semesters and all years of the course (in respect of the same subject code) was given effect to.

According to Expert Committee report (November 2019), there is no centralised administrative control of data. The security is being maintained using username and password only and the User IDs were not based on any protocol made by the University. Password log register was not being maintained and 68 passwords were in circulation for 39 staff in the ES sections as on 16 November 2019. The Expert Committee also made 11 recommendations (November 2019) and Audit observed that seven recommendations have not been implemented till date (September 2021) as detailed in **Appendix 4.6**.

Government stated (13 December 2021) that in the case of change in marks on account of moderation, the system had failed to consider the particular exam along with the updation. The error had occurred only in the edit module for granting moderation which was corrected based on the Expert Committee report.

Even though the Government stated that software error was corrected based on the Expert Committee report, the reply is silent on the implementation of seven out of the 11 recommendations of the Expert Committee including the security audit of the software in which the error occurred originally.

4.7. Delay in revaluation

According to the Examination Manual, revaluation processes are to be completed within 60 days from the last date of receipt of applications for revaluation. On test-check of 49,914 records of CBCSS courses, Audit noticed that in 44,613 cases (89 *per cent*) more than 60 days were taken to complete the processes during 2016-2021. The time taken to publish revaluation results ranged from 61 to 120 days in 22,780 cases, 121 to 240 days in 14,072 cases and 241 to 597 days in 7,761 cases.

The PAC while discussing Performance Audit of 'Functioning of the University of Kerala' which featured in the Report of the Comptroller and Auditor General of India (Civil) for the year ended 31 March 2010 had strongly opined that the revaluation of answer scripts must be completed in a time bound manner as envisaged in the examination manual of the University to avoid the inordinate delay and hardship of the students.

Delay in declaring results of revaluation would impact the future education/employment prospects of students as their final results would be delayed. Delays of such nature also reflect poorly on the quality of educational services rendered by the University.

Government in its reply (December 2021) stated that delay noted by Audit on the revaluation process was due to various reasons such as time required for collecting answer scripts from different locations, ensuring submission of answer scripts to a new valuer other than the original valuer, COVID-19 pandemic etc. Government also stated that Centralised Valuation Camps and

the use of QR coded answer books and a separate module in the Student Life Cycle Management System, would expedite the process of revaluation.

4.8. Issue of Certificates

4.8.1. Delay in issue of certificates

In compliance with the UGC directions regarding issuing of original degree certificates in time, the Vice-Chancellor had ordered (July 2016) to ensure that the Degree Certificates are despatched within 15 days from the date of receipt of application, failing which disciplinary proceedings shall be initiated against those who are responsible for the delay. Accordingly, a Circular was issued (30 July 2016) regarding the same.

As per the details furnished to Audit for courses such as BA Annual, MBA, B.Arch, MCA, M.Tech and B.Tech part-time restructured for the period 2016-17 to 2019-20, only 707 certificates (four *per cent*) out of the 16,796 applications received were issued within the prescribed time period of 15 days. 3,537 certificates (21 *per cent*) were issued within one month, 12,238 (73 *per cent*) certificates were issued within six months and 209 certificates within one year. In 105 cases, the delay exceeded one year.

Government replied (13 December 2021) that the Draft Right to Service Act has been approved by the Syndicate to shorten the time of issuing of all the certificates to the candidates from the University. Audit noticed that though orders to ensure timely issue of certificates were issued by the University, the same has not been implemented till date (December 2021).

4.8.2. Non-implementation of Fast-Track System for issuance of Degree Certificate

The delay in issue of certificates by University has been referred to in paragraph 4.8.1 of this Report. The Syndicate held on 21 October 2016 resolved to introduce a Fast-Track System for issuing of Degree Certificates for the eligible candidates within seven working days on receipt of application by levying an additional fee of ₹1,000. The decision however, has not been placed in the Senate (March 2021) and hence has still not been implemented in the University till date.

Government replied (13 December 2021) that the introduction of Fast-Track system may create discrimination between students and that it would result in damage of the ethical principle that University followed.

Audit observed that a Fast-Track system is already in place in similarly placed Universities such as the Mahatma Gandhi University, Kerala. Absence of Fast-Track System in the University of Kerala may work to the disadvantage of students graduating from the University who could otherwise have benefitted from such a facility to receive their original Degree Certificates on priority basis. Such facility may be useful particularly in cases relating to pursuance of higher studies/ formalities relating to joining a workplace etc.

4.9. Conclusion

Though, the PAC directed that revaluation of answer scripts must be completed in a time bound manner as envisaged in the examination manual there was delay in conduct of examinations, revaluation of examination papers and publication of results by the University. Despite the presence of a Scrutiny Board to ensure that the question papers were in conformity with the prescribed syllabus, the issue of 'out of syllabus' questions continue to plague the examination system. Question paper packets were opened wrongly at examination centres which led to cancellation of examinations causing hardships to students. The University did not have adequate control measures to ensure that the blank answer sheets provided to colleges/ examination centres were not being misused. Despite the PAC seeking details of disciplinary action taken against the officers responsible for missing answer scripts in the University from the Higher Education Department, several cases of missing answer scripts are still being reported and no action has been taken against the officials concerned indicating lack of seriousness on the part of the University in addressing the issue. The tabulation software used by the University had several deficiencies making it prone to data manipulation, inadvertently or otherwise. There was delay in issue of certificates by the University.

4.10. Recommendations

- **In order to reduce uncertainties from the students' perspective, the University needs to ensure that examination calendar is strictly followed and results declared in a time bound manner.**

(Paragraph 4.1)

- **The University may expedite the verification of blank answer sheets maintained by colleges and examination centres and maintain an up-to-date account of unused answer sheets. Government/ University may consider taking disciplinary action against officials responsible for misuse of blank answer sheets and loss of answer scripts.**

(Paragraphs 4.4 and 4.5)

- **In view of its crucial role in timely and accurate declaration of results of students, the tabulation programmes currently being used may be replaced by a single application software within a prescribed time. Reliance on the existing tabulation software pending such deployment should be only after ensuring compliance of the recommendations of the Expert Committee and confirmation of the same through a duly approved process.**

(Paragraph 4.6)



CHAPTER V INFRASTRUCTURE

5.1. Non-availability of Infrastructure as per norms

During audit, the following instances were noticed where infrastructure as per norms were not available.

5.1.1. Infrastructure facilities in University Institutes of Technology and University Institutes of Management

- According to UGC (Affiliation of Colleges by Universities) Regulations, 2009, undisputed ownership and possession of land measuring not less than two acres if a college is located in metropolitan city and five acres if it is located in other areas, besides building for carrying out administrative and other activities are required for colleges for affiliation to Universities.

The University runs 34 University Institutes of Technology (UITs) in self-financing mode. These UITs offer Undergraduate courses such as BBA, B.Com, B.Sc. in Computer Science and some UITs offered Postgraduate Courses also. On verification it was seen that only 19 UITs⁴⁵ were functioning in their own buildings, six UITs⁴⁶ were functioning in rented buildings, five UITs⁴⁷ in buildings of local self-governments, three UITs⁴⁸ in school buildings and one UIT⁴⁹ in a building owned by Education Department.

When even the colleges have to meet minimum standards such as availability of land of two acres in metropolitan cities and five acres in other areas, building and infrastructure as a precondition for affiliation to the University, it is only reasonable that UITs functioning under the aegis of the University of Kerala also meet minimum standards of infrastructure.

Test-check of nine out of 34 UITs revealed that there were shortage of rooms for rest rooms, seminar halls, canteen halls, library books etc., as detailed in **Appendix 5.1**.

UITs functioning in the rented buildings had limited infrastructure facilities and shortage of space which was a hindrance to the smooth functioning. Though the matter has been informed by the Principals of UITs to the University, no steps have been taken to address the issue. In

⁴⁵ UIT Thiruvananthapuram, UIT Pirappancode, UIT Vakkom, UIT Vellarada, UIT Kanjiramkulam, UIT Veli, UIT Tholicode, UIT Malayinkeezhu, UIT Kattayikonam, UIT Kollam, UIT Pathanapuram, UIT Yeroor, UIT Kottarakkara, UIT Thenmala, UIT Mukhathala, UIT Ittiva, UIT Paravur, UIT Regional Centre Karuvatta and UIT Regional Centre Muthukulam

⁴⁶ UIT Neyyattinkara, UIT Kallara, UIT Azhoor, UIT Pallickal, UIT Adoor and UIT Mannady

⁴⁷ UIT Sasthamcotta (Rented), UIT Alappuzha, UIT Mannancherry, UIT Chengannur and UIT Charamangalam

⁴⁸ UIT Bharanickavu, UIT Aroor and UIT Pathiyoor

⁴⁹ UIT Mannar

the case of UIT, Veli it was noticed that the students admitted during the academic year 2018-19 discontinued their courses within one-week due to lack of sufficient infrastructure facilities. No student was admitted during 2019-20. Adequate infrastructure is a pre-requisite for providing quality education.

- As per AICTE Approval Process Handbook 2019-20, the institutions conducting management courses should follow the norms for land, built-up requirements, computer, software, internet, printers and laboratory equipment for the technical institutions. Norms for essential and desirable requirements of the Technical Institutions are as provided in the Appendix 4, 5 and 6 of Approval Process Handbook. Test-check of two (out of seven) UIMs⁵⁰ by Audit for availability of mandated infrastructure revealed shortage of land, tutorial rooms, strong rooms for storing question/ answer papers, computers etc., as detailed in **Appendix 5.2**.

Functioning of UIMs without mandatory facilities will adversely affect the quality of education and thereby affect the future of the students studying in these institutions. Given the fact that UIMs are self-financing institutions and are running at a profit, all steps must be taken to improve the facilities in these institutions so that more students are encouraged to take admission in these institutions.

Government replied (13 December 2021) that steps had been initiated to acquire own buildings and develop the infrastructure facilities for UITs and UIMs. A provision of ₹ one crore was allocated in the budget speech 2021-22 for providing infrastructure facilities to self-financing institutions directly run by the University.

5.1.2. Non-implementation of Smart card system in the Kerala University Library

The Government of Kerala accorded (August 2013) administrative sanction for an amount of ₹50 lakh for the implementation of the project “Smart Card System in the Kerala University Library”. The project envisaged saving of time, cost, labour besides easy inventory control and stock verification, reducing of crowding at circulation tables etc. As per the agreement, the project has four phases i.e., implementation of Library management software (KOHA), supply and tagging of Radio Frequency Identification (RFID) tags and issue of membership cards, installation of staff station and RFID integration with KOHA.

The work was entrusted (March 2017) to Kerala State Electronics Development Corporation Limited (Keltron) for ₹49.70 lakh. As per the agreement, Keltron was to supply, install and commission the system in all respects in the University library within 120 working days of the work order (14 March 2017).

⁵⁰ University Institutes of Management at Alappuzha and Adoor

Audit observed that the system can be implemented only after completion of tagging and supply of smart cards to members. Out of 2,80,000 books identified for RFID tagging, 48,696 books remain to be RFID tagged (September 2021). Keltron could complete the work of installation of drop box, kiosk and staff station only by September 2021. Audit noticed that an amount of ₹37.47 lakh was paid to Keltron.

Thus, even though an amount of ₹50 lakh was allocated (August 2013) for the implementation of Smart Card System, the work was entrusted only after three and a half years (March 2017). It was also noticed that the work which had to be completed and commissioned in July 2017 has not been completed even after four years (August 2021). Thus, the benefits of smart card system are yet to materialise.

Government replied (13 December 2021) that steps were being initiated for inviting quotations for the supply of smart cards.

As the supply of smart cards to users is still pending, the project remains incomplete even after eight years of obtaining Administrative Sanction.

5.2. Health care facility

According to Chapter XI of Kerala University First Ordinances, 1978, every student shall present a medical inspection report or health card⁵¹ from the school or college he last attended. Every student shall be required to undergo medical inspection on admission to a course of study under the University and in every alternate year, thereafter. Audit observed that University collects fees from every student as “Medical Inspection Fee” and during 2016-2021 it ranged from ₹10 to ₹50 and the total amount collected by the University was ₹16.30 lakh⁵². However, Audit observed that funds so collected were being credited to the own account of the University and were not being utilised for medical inspection of students. Audit observed that during the period covered in audit, no medical inspection had been conducted for the students.

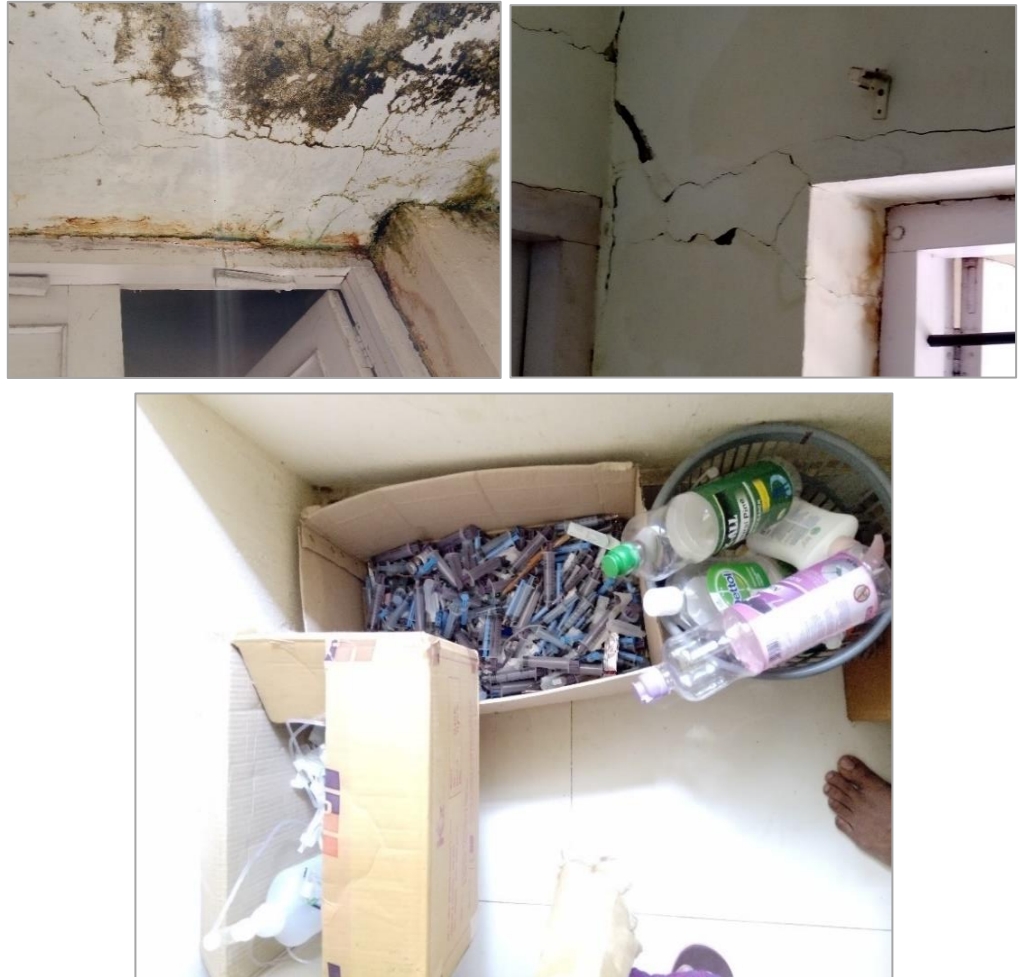
University operates two University Health Centres (UHC) at Karyavattom campus and Senate Hall (SH) Campus, Palayam, in Thiruvananthapuram to provide emergency care for staff and students of University. Out of two Health Centres, the service of the doctor was available only at UHC at Karyavattom. The service of the doctors was available at UHC at SH Campus, Palayam till 31 March 2017 and thereafter service of one nurse was available. After the retirement of the nurse, the centre is non-functional since March 2020. The UHC at Karyavattom⁵³ was functioning in a dilapidated building with leaking roof. The X-ray and ECG machines are dysfunctional since 2005 and 2019

⁵¹ It will have complete health records of students including immunisation records, biennial examinations, health issues since birth, diseases and issues related to their development along with a list of current disorders among students and their initial diagnostics.

⁵² 2016-17 - ₹2.25 lakh, 2017-18 - ₹4.30 lakh, 2018-19 - ₹1.79 lakh, 2019-20 - ₹4.16 lakh and 2020-21 - ₹3.80 lakh

⁵³ Employee details - Resident Medical Officer, Nurse, Medical Attender, Radiographer, Lab Technician, Clinical Psychologist (one each)

respectively. There were no wheelchairs or stretchers or oxygen cylinders in the UHC. Used syringes were accumulated in the UHC.



*Figure 5.1: Dilapidated building with leaking roof and used syringes accumulated at the University Health Centre, Karyavattom.
Photograph taken by Audit party on 06.09.2021.*

University replied that no such medical certificate/ health card as envisaged in the Kerala University First Ordinances, 1978 is collected from students. Government replied (13 December 2021) that the formalities for the purchase of ECG machine, Centrifuge⁵⁴ and a semi auto-analyser⁵⁵ were under process. Proposals for purchase of trolley and oxygen cylinder had been submitted to the authorities concerned. The process of providing health card to all students admitted to departments of the University was going on. The appointment of Honorary Director at University Health Centre, Palayam was under consideration.

Non-conducting of medical inspection of students despite collecting fee for that purpose was not in order. The two UHCs in Thiruvananthapuram which could

⁵⁴ Equipment used to separate blood cells from serum/ plasma

⁵⁵ Equipment used to test blood, serum, plasma and urine samples

provide emergency medical treatment to the students of the University were either non-functional or in very dilapidated condition.

5.2.1. Improper implementation of Medical cum Accidental Insurance Policy for Students (MAIPS)

The Syndicate decided (12 May 2017) to introduce a new insurance scheme 'Medical cum Accidental Insurance Policy for Students' (MAIPS) from 2017-18 through a public sector company M/s. New India Assurance Co. Ltd replacing Student Group Personal Accident Insurance Scheme (SGPAIS) already being implemented by the University⁵⁶. The company offered accidental death coverage for ₹ three lakh, medical coverage upto ₹20,000 for illness and ₹50,000 for accidents at the rate of ₹240 per student per year. An amount of ₹86.79 lakh collected during 2017-18 from 36,163 students was released⁵⁷ to the insurance company without executing legal documents/MoU. Later, the Syndicate decided (31 August 2018) to discontinue MAIPS and continue with SGPAIS. Subsequently, in its meeting held on 16 November 2018, the Syndicate resolved to entrust the legal advisor to initiate legal steps to recover the amount paid to the insurance company and to issue show-cause notice to the persons responsible for handing over the premium amount to the insurance company without MoU. Even though a case was filed (August 2019) before the Kerala State Consumer Dispute Redressal Commission, Thiruvananthapuram against the insurance company, no action has been taken against the official responsible.

Government replied (13 December 2021) that it was advised not to initiate any action against the officials responsible till the final verdict, as any action against the staff of the University in this regard will adversely affect the claim of the University in the Court.

The handing over of a substantial amount to the insurer by a University official without any agreement/MoU points to inadequacy of control mechanism in the University.

5.3. Facilities for differently abled students

The Persons with Disabilities Act, 1995 envisages that differently abled persons should have access to education at all levels. The Report on 'Inclusive and Qualitative Expansion in Higher Education' issued under 12th Five-year Plan by UGC envisages improvement in basic infrastructure facilities to enable differently abled students to access all institutions of higher education. Further, during accreditation of an institution, NAAC considers availability of physical facilities such as lifts, ramps/ rails, assistive technologies and facilities, disabled

⁵⁶ To cover the medical expenses and deaths due to accidents to regular students, University of Kerala implemented (25 October 2008) from the academic year 2008-09 with a premium of ₹25 per student per year.

⁵⁷ ₹75,62,160 on 28 September 2017, ₹1,50,240 on 29 December 2017 and ₹9,66,720 on 12 January 2018

friendly washrooms, scribes for examinations, skill development etc., in an institution.

Out of the 14 departments and 15 institutions test-checked ramps were not available in four departments and nine institutions; lifts were not available in 11 departments and six institutions functioning in multi-storeyed buildings; braille software was not available in any of the institutions or departments; disabled friendly toilets were not available in six departments and 11 institutions. Details are given in **Appendix 5.3**.

Differently abled friendly facilities are essential for making educational institutions more inclusive. Lack of facilities in these institutions would be an impediment in accessing higher education for students with disabilities.

Government replied (13 December 2021) that the University had already adopted barrier free access to the University building and all the new projects were planned with barrier free environment for persons with disabilities such as lift/ ramp, separate toilet for differently abled persons. Braille software was made available in the Kerala University Library, from 29 October 2021 onwards.

The reply is not tenable as out of 29 institutions test-checked, most of them did not have differently abled friendly facilities as detailed in the Appendix.

5.3.1. Non-implementation of Library services for the Differently Abled in the University Library

Government of Kerala accorded Administrative Sanction (June 2015) for an amount of ₹50 lakh for the project 'Implementation of Library Services for Differently Abled in the Kerala University Library'⁵⁸.

For setting up of 'Resource Centre for Visually Challenged Users' in University Library, a space in the ground floor adjacent to University Librarian's room with some alterations and maintenance was identified. An estimate was prepared by the University Engineer (October 2018) for civil and electrical works of the resource centre for ₹4.18 lakh and construction of lift in the stack room for ₹25 lakh. University Engineer reported in the Monitoring Committee (11 March 2019) that the setting up of resource centre in the library and construction of lift in stack room would be completed within three months. However, it was noticed that only the civil and electrical works for ₹2.05 lakh were completed in March 2020 and November 2019 respectively. Installation of lift had not commenced and computers were not purchased (September 2021). Thus, the library services for the differently abled envisaged in 2015 is yet to be implemented (September 2021).

⁵⁸ The project involved setting up of Resource Centre for Visually Challenged Users, construction of lift, purchase and installation of computer/ hardware components and installing special equipment and software for visually challenged users.

In order to ensure the availability of a more inclusive and accessible environment and equal opportunities to quality education for the differently abled students, facilities required for them need to be arranged on priority basis.

Government replied (13 December 2021) that steps had been taken for the installation of lift. Resource centre for visually challenged had been inaugurated recently by the Hon'ble Minister of Higher Education and University had thus stepped into the process.

The reply is not tenable as the project remains incomplete as the important component of project "installation of lift" which would have made access to facilities easier for the differently abled have not been completed. The reply is silent about the supply of computers and the integration of hardware and software.

5.4. Inadequacies in University software

Software developed in-house by Kerala University Computer Centre (KUCC) is being used since 2001. Audit examined the adequacy of selected software being utilised by the University. The findings of Audit are detailed below.

5.4.1. Inadequate documentation for in-house developed software

The University informed Audit that out of 52⁵⁹ in-house software applications, only three had User Requirement Specifications (URS)/ System Design Documentation (SDD). Audit further observed that extensive software modification (at least 15-20 changes per month) is carried out in the software managed at Examination IT Cell and KUCC, based on change requests or to rectify deficiencies in the applications. These software modifications are not certified except for the preliminary testing done by the developer and a user acceptance test, which, however, is not documented. Absence of URS/SDD and non-documentation of the software modifications is a matter of serious concern in a University catering to educational needs of thousands of students.

Government acknowledged (December 2021) the audit observation stating that lack of adequate number of staff and mounting pressure to deliver software within the stipulated timeframe resulted in the KUCC not being able to adhere to the software development life cycle principles.

The impact of not adhering to the software development life cycle principles is also brought out in paragraph 5.4.2.

5.4.2. Direct access to database

University intimated (16 January 2021) that frontend interfaces were available in software for normal corrections related to mark entry, changes after result

⁵⁹ Out of the 59 Software applications (including websites and portals) developed in-house by the Computer Centre of the University, 52 software applications are currently in use. Main software applications are Cash Counter Software, UG Admissions Software, PG Admissions Software, Online Payment Portal, Online Examination Portal for regular courses, Online Examination Software for B.Ed Tabulation software for CBCS 2013 courses, Tabulation software for B.Arch course, etc.

publication etc. This was very essential because the security/ validation measures are installed in the frontend and changes made here would create a log.

The academic sections in the University issues orders for making corrections in the database and those corrections which cannot be done through the various interfaces were done directly through backend (through database) and such changes do not create a log. The KUCC had not kept any records/ documents regarding these specific orders. Access to backend can result in unauthorised change in marks awarded to candidates and non-encryption⁶⁰ of sensitive data such as marks further aggravates the risk. With no maintenance of logs, this poses a serious control deficiency as the (un)authorised changes effected from backend cannot be identified and errors managed in time. It was also informed to Audit that in the existing scenario, there was no means to trace the user ID from which update was made directly in the database. This makes the system inherently amenable to misuse.

Audit noticed that the necessity to change data through backend has arisen due to lack of documentation of user level requirements at the planning stage. Due to the lack of development of SRS/URS, the requirements of the users were not accurately brought out and the software was not prepared in accordance with the functional requirements.

Once software is made functional, the access of live data should be entrusted to the functional Departments in accordance with the Departmental hierarchy and functional requirements. The functional Departments should have the responsibility and authority to change the data. However, Audit noticed that all developers concerned had full access to the database.

In reply, Government stated (13 December 2021) that access to live database had been given to programmers as there were no separate teams for managing the release and post release support and it had been decided to make it a practice to insert logs wherever a correction was directly made in the database so that it could be traced at a later stage. It was also stated that only those corrections that could not be managed through the available interfaces were done directly through the database and this included changes in elective paper after examination registration, changes in subject type, continuous assessment mark details, etc. and that corrections in marks were always done through interface alone.

The reply is not tenable as direct access to the database through the backend in respect of areas critical to students' performance such as continuous assessment mark details is highly risk prone and makes the data vulnerable to unauthorised modifications.

⁶⁰ Data encryption is a method of protecting data confidentiality by converting it to encoded information. The purpose of data encryption is to protect confidentiality of digital data as it is stored on computer systems and transmitted using the internet or other computer networks.

5.4.3. Inadequacies in audit trail

Audit trail is the evidence that demonstrates how a specific transaction was initiated, processed, and summarised. Log files provide the system administrators and management with a form of accountability. Unauthorised changes can be detected with audit trail. Logs should be periodically reviewed by the Management to detect unauthorised changes.

Audit noticed that, the changes in software were carried out by the programmers and the records/ statistics, test results regarding these changes were not maintained by the computer centre. Separate testing team was not constituted, and only user level acceptance was taken. Users were not completely aware of the system technicalities and effects at the backend. As system processes identical transactions consistently, any misstatements arising from erroneous computer programming will occur consistently in similar transactions and will affect large number of records.

Government stated (December 2021) that majority of the examination related software already in use were based on the old systems developed during 2001 where logging feature was absent in many interfaces which were recently included. It was also stated that basic level of approval mechanism in software for activities like grace mark entry, paper cancellation, End Semester Assessment mark edit after result publication was being incorporated. Development activities are carried out in separate database alone and not in live database. It was also stated that only those corrections which could not be managed through interfaces in software were done directly through database since all these types of requests happen at high priority often at the time of result publication and it has been made a practice to insert logs whenever a correction is done directly through the database for future reference.

The unfettered access the developers have to a critical database and the absence of details even in the log files are issues of serious concern. The Tabulation software needs to be replaced by a module that is more robust.

5.4.4. Security audit of websites and software

According to Government of Kerala order (G.O (Ms) No. 8/2019/ITD dated 22 April 2019), any e-Governance application to be hosted at the State Data Centre or elsewhere shall be security audited before launching in production and mandates to obtain “Safe to host Certification” from a CERT-In empanelled security auditing agency before opening the application to the public. All websites/ application hosted at the State Data Centre have to go through a complete security audit process before they can be hosted or whenever an alteration/ addition is made to the application. Security audits and penetration testing are required to be performed followed by subsequent hardening aimed to mitigate the vulnerabilities and strengthening the security of the applications and their environment. Periodic application security audits shall be done, at least once every two years.

Websites and Applications are hosted by the University in State Data Centre and University Data centre. It was noticed that out of 59 software/ websites, only one⁶¹ website hosted at State Data Centre was under the process of getting security audited and one⁶² website hosted at University Data Centre had been security audited. The details relating to audit of software/ websites, as per replies provided by the University, is given in **Appendix 5.4**.

Government stated (December 2021) that steps for initiating security auditing were ongoing, Security auditing of Examination Portal was complete and auditing of Kerala University main website was under progress and it had been decided by the Syndicate to entrust CDAC with the responsibility of auditing the CBCSS tabulation software. The process had reached MoU preparation phase.

Audit noticed that main software applications - Cash counter software and Online Payment Portal which deals with remittances and tabulation software had not been security audited.

5.4.5. Deficiencies in Cash Counter Software

Input validation controls have to be strong in order to ensure effective monitoring and security. While remitting the fees through cash counter, name of remitter, purpose of remittance, fee amount, type of receipt (exam/ departmental/ general) are entered in the cash counter software. The candidate code/ registration number of student remitting the fee is not captured at the payment counter. Fee amounts are manually keyed in by the cash counter staff since the remittance amounts are not populated automatically on selection of purpose of remittance. While registering for the examination, payment receipt number and candidate code/ registration number (unique code allotted to each University student) are mandatory fields. The lacunae noticed by Audit in the software are detailed below;

- Since candidate code/ registration number of students are not captured at the cash counter, the system cannot verify whether the candidate quoting a receipt number during online exam registration is the one who had actually paid the fees. Thus, there is a risk of undue benefit being availed by another candidate (who is able to access a payment receipt number of another student) to successfully register for the exam, without making payment.

Government stated (December 2021) that even though the provision to enter candidate code/ registration number in the Cash Counter software was implemented, the same was kept disabled citing possible mistakes which may arise while typing in the 10-digit candidate codes for every examination receipt by the counter staff members. The time available to service a student is only one to three minutes and around 1000 students had to be entertained per day.

⁶¹ Official website of University

⁶² Online examination portal

The reply is not tenable since the University had allowed the risk of mistakes/malpractice by disabling the provision in the software to enter candidate code/registration number. The reasons for disabling the provision due to larger number of students is also not acceptable since the University could have managed larger number of students by opening more counters for receipt of fee.

- Many of the receipt cancellations occurred due to incorrect entry of fee amount⁶³. This happened owing to the non-limiting of the possible data entry values to fee amounts prescribed by the University/ non-implementation of dropdown menu for possible remittances.

Government stated (December 2021) that the master data related to fees prescribed for various remittances had not yet been prepared and shared with the Computer Centre for incorporation in the software.

Preparation and transfer of master data relating to fees to the Computer Centre would have assisted the Universities in reducing incorrect data entry.

- The Section Officer marks the cancellation in the particular receipt form itself and new receipt is issued in lieu of it by the cash counter. The details of new receipt generated in lieu of cancelled receipt are not linked in the database which would have ensured a check on whether new receipt has been issued in lieu of the old receipt. It was noticed that transactions amounting to ₹5.99 crore have been deleted during the period 2016-17 to 2020-21.

Government stated (December 2021) that even though there was a separate column for specifying remarks for the users while cancelling receipts, the column or field in the user interface was mostly kept blank, and was not being updated with appropriate comments by the users concerned.

The reply is not tenable as to eliminate/reduce the risk associated with cancelled receipts, the same needs to be linked with new receipts issued and/or the reason for cancellation of the receipt needs to be incorporated in remarks column.

5.4.6. Periodic Stock Verification of IT Assets

According to the provisions of Rule 158 of Kerala Financial Code, all stores should be verified periodically in the manner prescribed for each Department and at least once a year. Stock including furniture, computer and its peripherals should be verified. The Head of the Office should sign a certificate of check after each verification and submit it to the controlling authority.

It was noticed by Audit that periodic stock verification of IT assets was not conducted during the period 2016-17 to 2020-21.

⁶³ typing error ₹50,000 when the original fee amount was ₹50

Given the fact that IT assets are critical to the functioning of the University, the stock verification should have been carried out periodically.

Government replied (13 December 2021) that University had directed all the sections to forward the details of computers, printers and scanners used in the sections, for consolidating the details for effecting purchase and the sections had been directed to furnish the total number of computers, printers and scanners in their stock.

From the above reply it is evident that the University is still in the process of collecting information regarding the physical IT Assets to consolidate a stock register.

5.5. Deficiencies in execution of works by Engineering Wing of Kerala University

The Engineering Unit of the University of Kerala headed by University Engineer was established with the primary objective of providing infrastructure facilities to the University of Kerala. The deficiencies noticed in execution of works by the engineering wing are given below.

5.5.1. Construction of buildings without permission from local authorities

As per Rule 4 of Kerala Municipality Building Rules, 1999, no person shall construct/ reconstruct/ make addition/ extension/ alteration to any building without first obtaining a separate building permit from the Secretary.

A building permit is a permission or authorisation in writing by the Secretary of the local authority to carry out a work for construction or reconstruction or make alteration or addition or extension of a building. However, if any person fails to procure the permit or to regularise the unlawfully commenced, carried on or completed construction work, the Secretary shall himself cause the building or part thereof to be demolished.

The construction work of the University under plan funds (both central and state funds) are carried out by the University Engineering unit. Audit observed that during the period of audit, construction of 16 buildings (**Appendix 5.5**) were taken up by the University, however the buildings were constructed without obtaining building permits. The University had applied for permits for four buildings, but the same was not issued by the Local Self-Government Institutions. In the absence of building permit, occupancy certificate was not issued.

Government replied (13 December 2021) that University of Kerala buildings constructed, were intended for public purpose. A request was made by the Registrar to the Principal Secretary, Local Self-Government Department for granting exemption to the University from obtaining approval from the Local Bodies for the construction work. Reply was awaited.

The building permits and occupancy certificates are measures to ensure, *inter alia*, the safety of the buildings. Given the large number of users who use the University buildings, non-obtaining of the permits/ certificates is a lapse which needs to be rectified on priority.

5.5.2. Delayed/ incomplete works

Audit noticed that five major infrastructure works involving ₹9.70 crore for which Administrative Sanction was provided during the period 2011 to 2017 remained incomplete due to reasons such as failure of the University to provide unhindered land, delay in revision of estimate, delay in providing drawing by the consultants, non-invoking of risk and cost clause etc. The details of the five works are given in **Appendix 5.6**. In most of these cases, though there was time and cost overrun, the University has not taken any action to fix the responsibility on its officials or the consultants or the contractors concerned.

5.6. Conclusion

Infrastructure in some of the institutions under the control of the University was lacking on several fronts. The University did not adhere to provisions relating to health care facilities. Two health centres associated with the University were not functioning effectively. Inadequate provision was made for differently abled students. Majority of the Software used by the University and websites hosted by the University in State Data Centre and University Data Centre had not been security audited. Physical infrastructure works undertaken by the University remained largely incomplete depriving the students of the facilities of a world class University.

5.7. Recommendations

- **University may ensure that the institutions under its control meet at least a basic set of infrastructure requirements which need to be listed by the University based on prevailing UGC norms etc. Time bound action to eliminate the deficiencies in existing infrastructure should be initiated.**

(Paragraph 5.1.1)

- **University should make all efforts to make higher education more inclusive by creating differently abled friendly infrastructure in all departments and other institutions under its control.**

(Paragraph 5.3)

- **Prerequisites such as acceptance testing by users, external certification, security audit etc., as may be determined in consultation with the Government's IT department need to be**

mandatorily complied with before deploying the same for use in the University.

(Paragraph 5.4)

- Approval for new projects should be given only after ensuring satisfaction of conditions such as availability of encumbrance-free land suitable for taking up the projects.

(Paragraph 5.5.2)



(ANIM CHERIAN)
Principal Accountant General
(Audit I), Kerala

Thiruvananthapuram,
The 01 July 2022

Countersigned



(GIRISH CHANDRA MURMU)
Comptroller and Auditor General of India

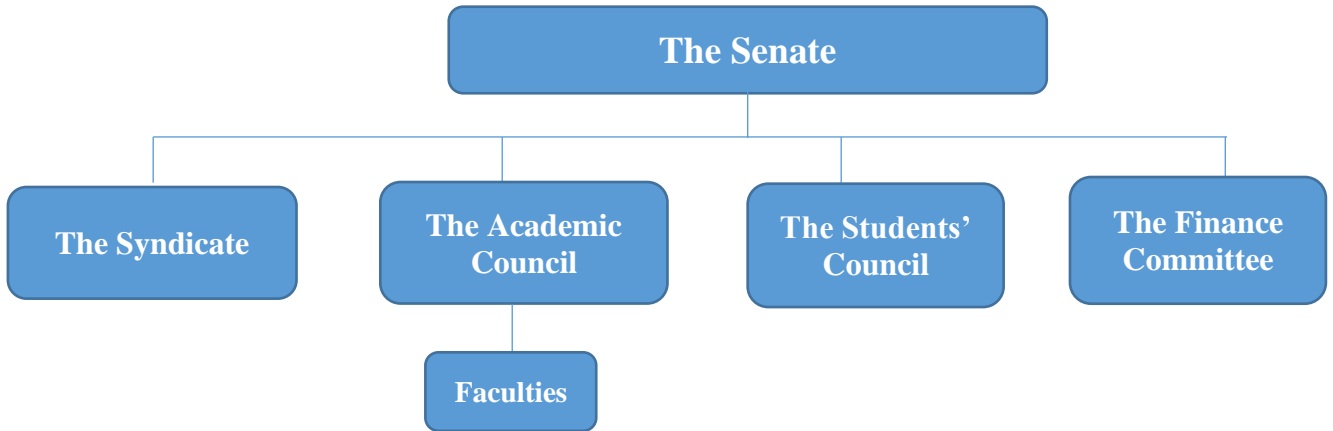
New Delhi,
The 04 July 2022



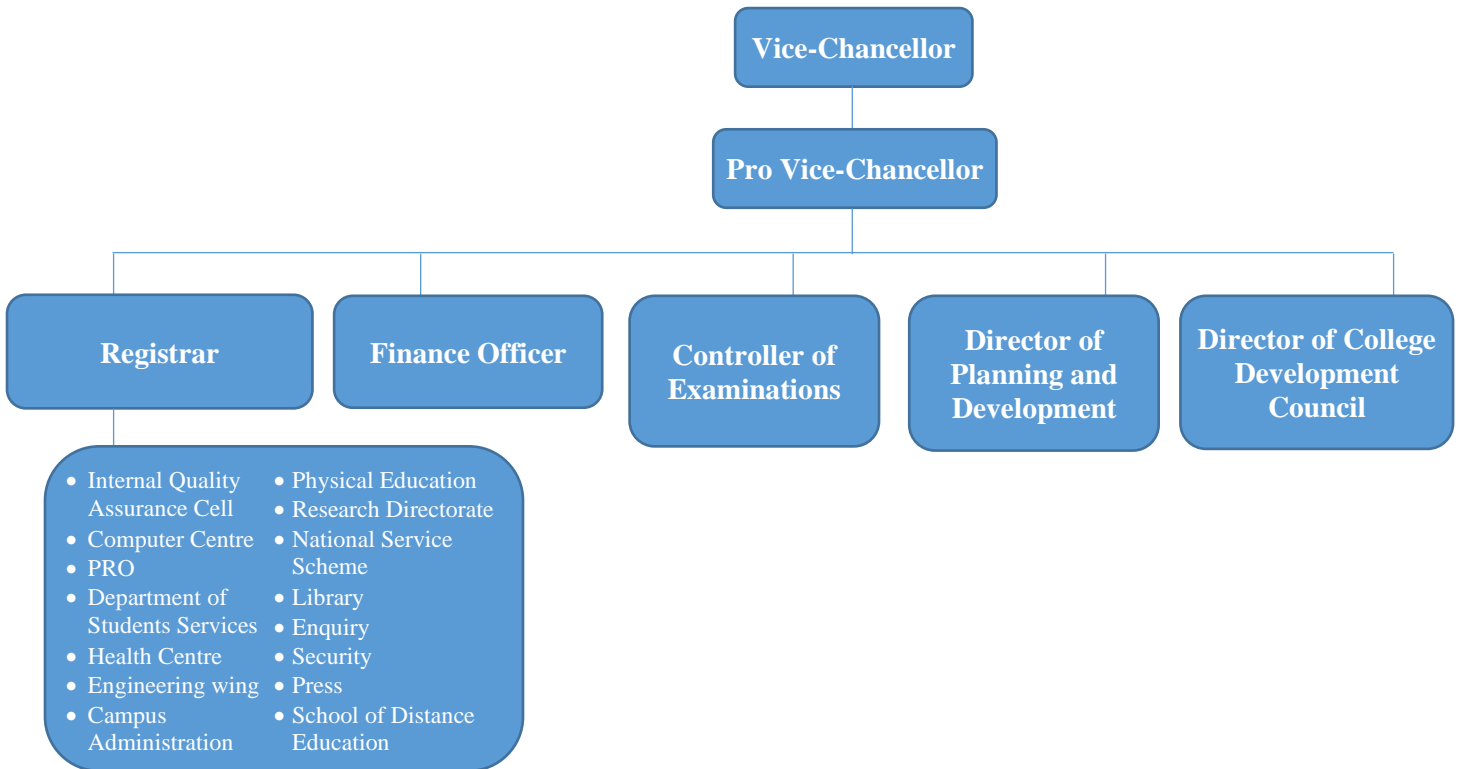
APPENDICES

Appendix 1.1
Organisational Chart
(Reference: Paragraph 1.1)

a) Authorities of the University



b) Officers of the University



Appendix 1.2

List of institutions and support centres in the University of Kerala

(Reference: Paragraph 1.1)

Centres and Other Institutions of University	Centres - 60; Lexicon Department; UITs - 34; UIMs - 7; KUCTEs - 10; University College of Engineering; UGC Human Resource Development Centre (Academic Staff College); Centre for Adult Continuing Education and Extension (CACEE)
Support Service Centres and Other Departments	Kerala University Computer Centre, Central Laboratory for Instrumentation facilitation; Kerala University Library; University Press; Engineering Unit; Health Centre - 2; Department of Student Services; Department of Physical Education; Department of Publication; Employment Information and Guidance Bureau; Placement Cell; Finishing School.
Affiliated Institutions	Arts and Science Colleges - 111; Hotel Management - 3; Special Education - 1; Physical Education - 1; Music and Fine Arts - 3; Teacher Education - 48; MCA/MBA - 13; Law - 7; Fashion Technology - 1; Engineering - 1.
Research Centres (in addition to Departments and Centres of the University)	66 (R&D institutions and PG Departments of affiliated colleges)

Appendix 1.3

List of institutions covered in audit

(Reference: Paragraph 1.4)

1. The University administrative branch and support service centres *viz.* Computer Centre, Library, Engineering wing for construction and maintenance, Printing Press, Publication Division, Health Centre, Hostels and Guest Houses.
2. Department of Physical Education
3. School of Distance Education
4. University College of Engineering
5. Human Resource Development Centre (Academic Staff College)
6. Centre for Adult Continuing Education and Extension (CACEE)
7. Lexicon Department
8. 14 out of 43 Teaching and Research Departments
 1. Institute of Management in Kerala
 2. Department of Library and Information Science
 3. Department of Malayalam
 4. Department of Linguistics
 5. Department of Tamil
 6. Department of Botany
 7. Department of Bio-Technology
 8. Department of Aquatic Biology and Fisheries
 9. Department of Physics
 10. Department of Statistics
 11. Department of Political Science
 12. Department of Psychology
 13. Department of Computer Science
 14. Department of Future Studies
9. Nine out of 34 University Institutes of Technology
 1. UIT Regional Centre, Azhoor
 2. UIT Mannancherry
 3. UIT Regional Centre, Kollam
 4. UIT Regional Centre, Veli
 5. UIT Regional Centre, Sasthamcotta
 6. UIT Regional Centre, Yeroor
 7. UIT Adoor
 8. UIT Regional Centre, Karuvatta
 9. UIT Mannady
10. 16 out of 64 Academic Study Centres
 1. Mahatma Ayyankali Chair
 2. International Centre for Kerala Studies
 3. V.K. Sukumaran Nayar Chair for Parliamentary Affairs
 4. Centre for Systems and Synthetic Biology
 5. Centre for Renewable Energy and Materials
 6. Christian Study Centre for Cultural and Social Change
 7. Centre for Australian Studies
 8. Entrepreneurship Development Cell
 9. Manonmaniam Sundaranar Centre for Dravidian Studies
 10. University Health Centre

11. Centre for Latin American Studies
 12. Centre for Artificial Intelligence and Research
 13. Dr.Ramakumar Memorial Centre for Population, Ageing and Health
 14. Centre for West Asian Studies
 15. Technology and Resource Centre for Malayalam
 16. Centre for Performing and Visual Arts.
11. Three out of 10 Kerala University College of Teacher Education
 1. Kerala University College of Teacher Education, Karyavattom,
 2. Kerala University College of Teacher Education, Anchal
 3. Kerala University College of Teacher Education, Aryad, Alappuzha
 12. Two out of seven University Institutes of Managements
 1. UIM Alappuzha
 2. UIM Adoor

Appendix 1.4

Conclusions/ Recommendations made by Public Accounts Committee after discussion of Performance Audit of 'Functioning of the University of Kerala' included in Report of the Comptroller and Auditor General of India (Civil) for the year ended 31 March 2010

(Reference: Paragraph 1.4)

1. The Committee was informed that even though there was substantial increase in the UGC's assistance, Universities were not much interested in utilising project-oriented funds effectively and administrative expenditure is much higher than faculty expenditure. The Committee suggests that Higher Education Department should monitor the fund allocation from various agencies like UGC, Government of India etc., and to take necessary steps to ensure that allotted fund would not lapse in future.
2. The Committee condemns the administrative apathy on the part of University authorities in the preparation of unrealistic Annual Budget of the University and opines that the Annual Budget of the University should be significant and realistic in nature.
3. The Committee directs the Higher Education Department to furnish the updated estimates of receipts and actual expenditure under the Non-plan head up to the year 2010-11 incorporating the details like internal receipts, receipts from Government of India and University Grants Commission etc. It also urges the Higher Education Department to furnish a report on the number of vacancies in the University of Kerala and present position of vacancy to it at the earliest.
4. The Committee urges the Higher Education Department that the report of the Raveendran Nair Committee appointed to study the financial status of Universities should be considered and the recommendation contained therein be implemented.
5. The Committee noticed that eligibility criteria for Scholarship/Fellowship under different schemes are one and the same. Hence scholarship are left undisbursed as the same students are selected for more than one scholarship schemes.
6. The Committee strongly recommends that the criteria for the state scholarship should be relaxed to cover its benefits to those students who would not come under the purview of any other Scholarship/Fellowship. It also directs the Higher Education Department that necessary steps should be taken to ensure that the fund provided for scholarship is not getting lapsed.
7. The Committee recommends the Higher Education Department to conduct feasibility study regarding the constitution of separate pension fund for University employees as recommended by Raveendarn Nair Committee, while continuing with the statutory pension scheme.
8. The Committee suggests that Universities should take earnest effort to finalise their annual accounts at the earliest and intimate the Committee the latest position in this regard.
9. The Committee emphasises the need for formulating a Finance Accounts Manual for Universities so that a common procedure could be adopted for all financial transactions and accounting.

10. The Committee strongly criticises the University authorities for not crediting the Provident Fund deductions effected from the salaries of the employees to the Treasury accounts of the Universities and utilising the same for meeting establishment expenditure of the University.
11. It also remarks that diversion of money deducted towards Provident Fund defeat the very purpose of the fund and directs that Higher Education Department should be vigilant in avoiding such diversion in future. The Committee recommends that disciplinary action should be initiated against the person responsible in case of such misappropriation, if any, found in future.
12. It urges the University authorities to take necessary steps to remit the arrears towards Provident Fund Account at the earliest.
13. The Committee was at a loss to note that the University authorities had failed to submit the RMT statements in time and reminds that non-submission of the same is a disrespect to the Committee.
14. The Committee opines that a decisive and precise planning should be formulated by the University authorities for the complete and effective utilisation of funds allocated by University Grants Commission for the developmental purposes of the Universities in order to avoid lapse of funds in future.
15. The Committee reminds that the guidelines stipulated in Chapter XI of the First Statutes of Kerala University, 1977 should scrupulously be adhered while constituting Board of Studies for undergraduate and postgraduate courses and recommends that Higher Education Department should take necessary steps to eliminate unqualified person, if any, as a member in the Board of Studies. It also directs that strict measures should be taken to avoid nomination of ineligible personnel as a member of the Board of Studies.
16. The Committee doubts whether the Manuscript Library complied with the guidelines issued by the Indian National Trust for Art and Cultural Heritage (INTACH) for the preservation of manuscripts. It emphasises the need for the proper maintenance of those invaluable assets and recommends that a team comprising the Principal Secretary, Higher Education Department and one or two experts in the field should check the maintenance of the documents in the Manuscript Library and report the Committee at the earliest.
17. The Committee strongly recommends the Higher Education Department that periodical inspection should be completed as envisaged in the University Statutes before giving permanent affiliation to self-financing colleges in future.
18. The Committee also remarks that priority should be given for academic aspects rather than infrastructure facility. It recommends that the affiliation of the institutions which failed to comply with all the relevant norms should seriously be reviewed and should not to be entertained. It also directs the Higher Education Department to take necessary steps to ensure and maintain quantitative professional education system in the State and reminds that measures taken in this regard should be furnished to the Committee.
19. The Committee emphasises the need for the formulation of a proper system in the University to ensure that qualified students are admitted in affiliated professional colleges. It urges the Higher Education Department to submit a report in detail before the Committee regarding the preventive measures supposed to be taken by

- the Department, to avoid the admission of unqualified students in professional courses.
20. The Committee expresses its grave concern over the tendency of enhancement of seats by the self-financing colleges at their own interest without the consent and approval of the Government and directs that such practice should be curtailed.
 21. The Committee suggests that strict measures should be taken to dispense with the delay in valuation of answer scripts. It also directs the Higher Education Department to furnish the details of disciplinary action taken against the officers responsible for the missing of answer books. The Committee strongly opines that the revaluation of answer scripts must be completed in a time bound manner as envisaged in the examination manual of the University to avoid the inordinate delay and hardship of the students. The Committee also urges the University authorities that abnormal delay in preparation of rank lists should be avoided as it will adversely affect the students for pursuance of their higher studies and job opportunities.
 22. Regarding research activities, the Committee was informed that there is inordinate delay in settling accounts even after completing the project works and directs that University authorities must be vigilant in settling accounts to the research scholars in a time bound manner. The Committee suggests that compromise in sanctioning posts of faculty is not advisable and whatever be the constraints, required number of post of teachers must be sanctioned.

Appendix 2.1

List of activities under the Master Plan carried out by the University

(Reference: Paragraph 2.1)

The Master Plan prepared by IQAC for University of Kerala in 2015 is being worked out strategically over the last six years under the following heads:

Focal Area	Action taken
1. Vision, framework and benchmarking	<p>University is continuously striving to achieve its mission of social commitments. This is evident from several strategic plans which includes:</p> <ul style="list-style-type: none"> • Enhancement of research fellowships • Digitising student services • Low cost, subsidise student services • Publication grants • Student's fellowships under Earn while you learn etc. <p>University is also working on differently abled student services in the library corner for visually challenged, book share etc.</p> <p>University has taken up new infrastructure projects, starting of innovative academic programmes and new departments during this period as part of attaining the vision statement.</p>
2. Research and innovation	<p>As part of the Master Plan the following steps have been initiated:</p> <ul style="list-style-type: none"> • Reformulation of research policy • Renovated research portal • Financial support for creation of IPR • Addition of new software i-Thenticate for plagiarism check along with Urkund. • Renovated Startup eco system Kerala University Business Innovation and Incubation Centre (KUBIIC) • Starting of new inter-university research centres and external research centres. • Massive expansion of centralised laboratory
3. Teaching, learning and evaluation	<p>The following steps have been initiated:</p> <ul style="list-style-type: none"> • Revision of curriculum for all programmes under OBE mode • Launch of Learning Management System (LMS) for online learning • Introduction of new inter-disciplinary add on courses under CSS • Extensive training for teachers on curriculum design and delivery and holistic approach to learning • Internship for certain Masters programmes • Introduction of electives under SWAYAM
4. Schools, Departments and Centres	<ul style="list-style-type: none"> • A new department on Kerala Studies was initiated and a separate department for Nanoscience • Separate centres were created for industrial collaboration centre for Academic and Industrial Collaboration and for attracting foreign students - Centre for Global Academics • Creation of centres for Marxian Studies, Inter-University Centre for Advanced Material Research and Advanced Centre for Regenerative Medicine and Stem Cells Research in Cutaneous Biology
5. Student development	<ul style="list-style-type: none"> • Expansion of services through placement support. Centre for Career Guidance and Employment, Finishing School and the Centre for Adult Continuing Education and Extension • Creation of a Student Amenity Centre • Digitising all student services from admission to final issue of mark lists and certificates under Student Lifecycle Management System • RFID Support for Library services • Skilling framework under ASAP under Government of Kerala • Three-tier Induction Programme • Basket of credit under CSS

Focal Area	Action taken
6. Governance	<p>The following steps have been initiated:</p> <ul style="list-style-type: none"> • Strengthening governance through Digital Document Filing System (DDFS) • University has adopted policies for Intellectual Property, Plagiarism, Research and has undertaken audit in the following forms in addition to the statutory audits - Gender Audit, Energy Audit, Accessibility Audit, Library Audit, Environment Audit, Academic Audit and inputs from the same have supported policy formulation
7. Extension	<p>Under the head extension, University has carried out Village Adoption, School Adoption in addition to linking with local self-government. University of Kerala has adopted the Scientific Social Responsibility (SSR) of DST⁶⁴, Government of India.</p>

⁶⁴ Department of Science and Technology

Appendix 2.2

Deficiencies in constitution of Boards of Study

(Reference: Paragraph 2.3)

a. Deficiencies in constitution of Boards of Study - Undergraduate

Sl. No.	Name of BoS	Total number	UoK	GoK	Private	External expert
Required number of representatives		10	1	3	5	1
1	Home Science (PASS)	10	1	3	5	1
2	Arabic (PASS)	7	1	3	3	0
3	Computer Science (PASS)	10	1	3	5	1
4	Music (PASS)	7	1	3	2	1
5	Sanskrit (PASS)	8	1	3	4	0
6	Tamil (PASS)	6	2	2	2	0
7	Law (PASS)	7	2	5	0	0
8	Zoology (PASS)	5	1	1	3	0
9	Biotechnology (PASS)	9	1	3	5	0
10	Education (PASS)	5	1	1	3	0
11	Business Management (PASS)	5	1	0	4	0
12	English (PASS)	5	1	1	3	0
13	Philosophy (PASS)	5	0	2	2	1
14	Economics (PASS)	5	1	2	1	1
15	History (PASS)	5	1	1	2	1
16	Political Science (PASS)	5	1	1	2	1
17	Botany (PASS)	5	1	2	1	1
18	Geology (PASS)	5	1	2	1	1
19	Mathematics (PASS)	5	1	2	2	0
20	Commerce (PASS)	5	1	1	3	0
21	Physics (PASS)	5	1	1	3	0
22	Statistics (PASS)	5	1	2	1	1
23	Sociology (PASS)	5	1	2	2	0
24	Hindi (PASS)	5	1	1	2	1
25	Malayalam (PASS)	5	1	1	3	0
26	Chemistry (PASS)	5	1	2	2	0
27	Psychology (PASS)	5	1	2	1	1

b. Deficiencies in constitution of Boards of Study - Postgraduate

Sl. No.	Name of BoS	Total number	UoK	GoK	Private	External expert
Required number of representatives		10	3	2	3	2
1	Biotechnology PG	9	3	2	3	1
2	Home Science PG	9	3	2	4	0
3	Arabic PG	8	2	2	3	1
4	Sanskrit PG	8	2	3	2	1
5	Tamil PG	7	3	2	2	0
6	Law PG	5	2	2	0	1
7	Computer Science PG	10	4	1	4	1
8	Education PG	5	3	0	2	0

Sl. No.	Name of BoS	Total number	UoK	GoK	Private	External expert
9	Business Management PG	6	4	0	2	0
10	English PG	5	3	1	1	0
11	Philosophy PG	6	1	1	2	2
12	Music PG	5	1	2	2	0
13	Economics PG	7	3	1	2	1
14	History PG	5	2	1	1	1
15	Political Science PG	6	3	1	1	1
16	Botany PG	6	3	1	1	1
17	Geology PG	5	3	0	0	2
18	Mathematics PG	5	2	1	1	1
19	Physics PG	5	2	1	1	1
20	Statistics PG	6	2	1	2	1
21	Sociology PG	5	3	0	1	1
22	Hindi PG	5	2	0	2	1
23	Malayalam PG	5	3	0	1	1
24	Chemistry PG	5	2	0	2	1
25	Psychology PG	5	2	1	0	2
26	Commerce PG	5	2	1	1	1
27	Zoology PG	5	2	1	1	1

Appendix 2.3

List of courses for which syllabus were not revised over three years

(Reference: Paragraph 2.3)

Sl. No.	Departments	Courses	Last syllabus revision	No. of years
1.	English (PASS)	English and Communicative English	2015	6
2.	Philosophy (PASS)	Philosophy	2017	4
3.	French and Latin	Latin	2014	7
4.	History (PASS)	History	2014	7
5.	Political Science (PASS)	Political Science	2017	4
6.	Arabic (PASS)	Communicative Arabic	2015	6
7.	Linguistics	Linguistics	2010	11
8.	Chemistry (PASS)	Chemistry and Industrial Chemistry	2015	6
9.	Microbiology	Microbiology	2014	7
10.	Sanskrit (PASS)	Sanskrit special Vyakarana	2014	7
11.	Sanskrit (PASS)	Sanskrit special Vedanta	2010	11
12.	Sanskrit (PASS)	Sanskrit special Nyaya	2014	7
13.	Sanskrit (PASS)	Sanskrit special Jyothisha	2017	4
14.	Sanskrit (PASS)	Sanskrit special Sahithya	2014	7
15.	Business Management (PASS)	Bachelor of Business Administration (BBA)	2017	4
16.	Business Management (PASS)	Bachelor of Management Studies (Hotel Management)	2017	4
17.	Computer Science (PASS)	B.Voc Software Development (w.e.f. 2014)	2014	7
18.	Business Management (PASS)	B.Voc Tourism and Hospitality Management	2014	7
19.	Applied Arts	BFA	2006	15
20.	Applied Arts	MFA	2005	16
21.	Applied Arts	B.Des Fashion Design	2014	7
22.	Applied Arts	BFA (HI)	2013	8
23.	Education (PASS)	B.Ed. (Special)	2015	6
24.	Law (PG)	MBL (2 year)	2009	12
25.	English (PG)	MA English	2017	4
26.	Chemistry (PG)	M Sc Biochemistry	2013	8
27.	Psychology (PG)	Counselling Psychology	2013	8
28.	Microbiology	M Sc Microbiology	2013	8

Appendix 3.1

List of vacancies of Teaching Staff in the University Departments as of
October 2021

(Reference: Paragraph 3.1.3)

Sl. No.	Department	Designation	Date from which the post is vacant	Period of vacancy as on 01/10/2021
1	Biotechnology	Associate Professor	01-04-2012	9 Y 6 M
2	Biotechnology	Assistant Professor	01-05-2021	0 Y 5 M
3	Botany	Associate Professor	14-11-2019	1 Y 10 M
4	Botany	Assistant Professor	01-06-2019	2 Y 4 M
5	Communication and Journalism	Professor	01-09-1995	26 Y 1 M
6	Communication and Journalism	Associate Professor	01-04-2017	4 Y 6 M
7	Demography	Professor	01-06-2005	16 Y 4 M
8	Demography	Associate Professor	01-04-2005	16 Y 6 M
9	Demography	Assistant Professor	01-06-2021	0 Y 4 M
10	Mathematics	Professor	01-07-1994	27 Y 3 M
11	Mathematics	Associate Professor	01-08-2008	13 Y 2 M
12	Physics	Associate Professor	01-04-2007	14 Y 6 M
13	Physics	Assistant Professor	13-03-2020	1 Y 6 M
14	Biochemistry	Professor	01-04-2015	6 Y 6 M
15	Biochemistry	Associate Professor	01-04-2020	1 Y 6 M
16	Sociology	Assistant Professor	01-05-2019	2 Y 5 M
17	Aquatic Biology and Fisheries	Professor	01-10-2003	18 Y 0 M
18	Aquatic Biology and Fisheries	Associate Professor	01-05-2008	13 Y 5 M
19	Aquatic Biology and Fisheries	Associate Professor	01-04-2013	8 Y 6 M
20	Aquatic Biology and Fisheries	Assistant Professor	01-05-2019	2 Y 5 M
21	Aquatic Biology and Fisheries	Assistant Professor	01-04-2015	6 Y 6 M
22	German	Professor	01-04-1990	31 Y 6 M
23	German	Assistant Professor	01-04-2014	7 Y 6 M
24	Music	Professor	01-06-2003	18 Y 4 M
25	Music	Associate Professor	01-04-2013	8 Y 6 M
26	Library and Information Science	Professor	01-04-2007	14 Y 6 M
27	Library and Information Science	Associate Professor	01-06-2017	4 Y 4 M
28	Library and Information Science	Assistant Professor	01-04-2016	5 Y 6 M
29	Economics	Professor	01-05-1991	30 Y 5 M
30	Economics	Associate Professor	01-05-2021	0 Y 5 M
31	Chemistry	Professor	01-04-1998	23 Y 6 M
32	Chemistry	Associate Professor	01-04-2008	13 Y 6 M
33	Chemistry	Associate Professor	01-06-2012	9 Y 4 M
34	Chemistry	Assistant Professor	01-04-2019	2 Y 6 M
35	Institute of English	Professor	01-04-2005	16 Y 6 M
36	Institute of English	Assistant Professor	01-05-2019	2 Y 5 M
37	Institute of English	Assistant Professor	01-07-2020	1 Y 3 M
38	Sanskrit	Professor	01-06-2011	10 Y 4 M
39	Optoelectronics	Assistant Professor	28-12-2017	3 Y 9 M
40	Optoelectronics	Assistant Professor	01-06-2019	2 Y 4 M
41	School of Distance Education	Assistant Professor	01-07-2006	15 Y 3 M
42	School of Distance Education	Assistant Professor	01-06-2014	7 Y 4 M
43	School of Distance Education	Assistant Professor	01-04-2014	7 Y 6 M
44	School of Distance Education	Assistant Professor	01-04-2016	5 Y 6 M
45	School of Distance Education	Assistant Professor	01-04-2016	5 Y 6 M
46	School of Distance Education	Assistant Professor	14-03-2020	1 Y 6 M

Sl. No.	Department	Designation	Date from which the post is vacant	Period of vacancy as on 01/10/2021
47	School of Distance Education	Assistant Professor	01-06-2020	1 Y 4 M
48	School of Distance Education	Assistant Professor	01-06-2021	0 Y 4 M
49	Institute of Management in Kerala	Assistant Professor	01-04-2016	5 Y 6 M
50	Education	Professor	01-02-2000	21 Y 8 M
51	Education	Associate Professor	01-04-2004	17 Y 6 M
52	Education	Assistant Professor	01-04-2019	2 Y 6 M
53	History	Professor	01-11-1992	28 Y 11 M
54	History	Associate Professor	01-04-2017	4 Y 6 M
55	Archaeology	Professor	20-02-2004	17 Y 7 M
56	Archaeology	Assistant Professor	01-04-2020	1 Y 6 M
57	Islamic Studies	Professor	01-04-2003	18 Y 6 M
58	Malayalam	Professor	01-05-2019	2 Y 5 M
59	Malayalam	Associate Professor	01-06-2019	2 Y 4 M
60	Philosophy	Assistant Professor	01-06-2020	1 Y 4 M
61	Political Science	Associate Professor	01-06-2019	2 Y 4 M
62	Psychology	Associate Professor	01-04-1993	28 Y 6 M
63	Psychology	Associate Professor	01-02-2002	19 Y 8 M
64	Psychology	Assistant Professor	01-04-2018	3 Y 6 M
65	Russian	Associate Professor	01-02-1997	24 Y 8 M
66	Law	Professor	01-11-2008	12 Y 11 M
67	Law	Assistant Professor	03-05-2018	3 Y 4 M
68	Arabic	Professor	01-06-2012	9 Y 4 M
69	Arabic	Associate Professor	01-06-2012	9 Y 4 M
70	Environmental Science	Associate Professor	01-04-2010	11 Y 6 M
71	Commerce	Assistant Professor	01-04-2020	1 Y 6 M
72	Computer Science	Associate Professor	01-04-2009	12 Y 6 M
73	Computer Science	Assistant Professor	03-05-2018	3 Y 4 M
74	Futures Studies	Associate Professor	01-04-2010	11 Y 6 M
75	Futures Studies	Assistant Professor	14-03-2020	1 Y 6 M
76	Geology	Assistant Professor	14-03-2020	1 Y 6 M
77	Geology	Assistant Professor	01-05-2020	1 Y 5 M
78	Linguistics	Professor	19-02-1986	35 Y 7 M
79	Linguistics	Associate Professor	01-04-1997	24 Y 6 M
80	Linguistics	Associate Professor	01-09-1998	23 Y 1 M
81	Linguistics	Assistant Professor	01-06-2018	3 Y 4 M
82	Statistics	Associate Professor	01-07-2006	15 Y 3 M
83	Statistics	Associate Professor	01-05-1993	28 Y 5 M
84	Statistics	Associate Professor	01-06-2012	9 Y 4 M
85	Statistics	Assistant Professor	22-10-2020	0 Y 11 M
86	Tamil	Professor	01-03-1984	37 Y 7 M
87	Tamil	Associate Professor	01-01-1995	26 Y 9 M
88	Zoology	Professor	01-04-1994	27 Y 6 M
89	Zoology	Associate Professor	01-04-2011	10 Y 6 M
90	Zoology	Associate Professor	01-06-2021	0 Y 4 M
91	Computational Biology and Bioinformatics	Professor	28-03-2019	2 Y 6 M
92	Computational Biology and Bioinformatics	Associate Professor	28-03-2019	2 Y 6 M
93	Computational Biology and Bioinformatics	Associate Professor	28-03-2019	2 Y 6 M
94	Computational Biology and Bioinformatics	Assistant Professor	28-03-2019	2 Y 6 M
95	Computational Biology and Bioinformatics	Assistant Professor	28-03-2019	2 Y 6 M
96	Computational Biology and Bioinformatics	Assistant Professor	28-03-2019	2 Y 6 M
97	Computational Biology and Bioinformatics	Assistant Professor	28-03-2019	2 Y 6 M

Appendix 4.1

Delay in conduct of examinations and publication of results

(Reference: Paragraph 4.1)

Dates of conduct of examination and publication of results under CBCS Undergraduate programmes						
(2016-17 admissions)						
Name of the Exam	Exam date		Delay (in days)	Publication of result		Delay (in days)
	As per exam calendar	Conducted on		As per exam calendar	Result published on	
Sem I	09.11.2016-23.11.2016	10.01.2017-30.01.2017	62	31.01.2017	22.02.2018	386
Sem II	03.07.2017-14.07.2017	20.07.2017-11.08.2017	17	31.08.2017	04.06.2018	277
Sem III	19.10.2017-30.10.2017	14.12.2017-12.01.2018	55	15.12.2017	30.07.2018	227
Sem IV	12.03.2018-28.03.2018	11.07.2018-30.07.2018	121	15.05.2018	19.12.2018	216
Sem V	04.12.2018-14.12.2018	14.12.2018-10.01.2019	10	30.01.2019	24.05.2019	113
Sem VI	01.04.2019-12.04.2019	08.04.2019-29.04.2019	7	27.05.2019	25.05.2019	-
(2017-18 admissions)						
Sem I	08.11.2017 - 22.11.2017	26.03.2018 - 09.04.2018	135	08.01.2018	11.10.2018	276
Sem II	19.03.2018 - 28.03.2018	12.10.2018 - 31.10.2018	206	15.05.2018	08.05.2019	359
Sem III	08.01.2019 - 18.01.2019	28.01.2019 - 26.02.2019	20	05.03.2019	04.07.2019	121
Sem IV	09.07.2019 - 19.07.2019	26.07.2019 - 16.08.2019	17	04.09.2019	20.02.2020	169
Sem V	04.12.2019 - 18.12.2019	05.12.2019 - 06.01.2020	-	05.02.2020	23.06.2020	138
Sem VI	23.03.2020 - 03.04.2020	02.06.2020 - 10.06.2020	71*	30.04.2020	27.08.2020	119*

*Lockdown declared with effect from 24 March 2020

Appendix 4.2

Wrong opening of question paper packets by Colleges

(Reference: Paragraph 4.3)

Sl. No.	Name of College	Name of Examination	Subject	Date of Exam	Date of opening of Question Paper	Revised date of examination	Reason for wrong opening
1.	Sree Ayyappa College, Eramallikkara	S5 CBCSS B.Sc. Mathematics	MM 1545 – Abstract Algebra – 2014 Admission MM 1545 – Computer Programming – I – 2013 Admission	03.01.2017	23.12.2016	03.01.2017	College authorities reported that question papers were wrongly opened on 23.12.2016
2.	M.G College, Thiruvananthapuram	S6 CBCSS BA/B.Sc /B.Com	B.A. English – Core Course XIV – Women's Writing EN 1644 B.A. Economics – Core Course XIV – EC 1644 International Economics (2013 and 2014 Admission) B.A. Economics – Core Course XIV – EC 1644 International Economics (2015 Admission) History Core Course XIV HY 1644 – Twentieth Century Revolutions Sociology Core Course XIV – SG 1644.2 Sociology of Education Hindi Core Course XIV – HN 1644 Film: History and Production (2013 to 2016 Admission) Hindi Core Course XIV – HN 1644 Film: History and Production (2017 Admission) Malayalam Core Course XIV – Vivarthanam (2014 Admission onwards)	08.06.2020	06.06.2020	15.06.2020	College authorities reported that question papers were accidentally opened on 06.06.2020
		S5 B.Sc CBCSS	CH1542 – Inorganic Chemistry III (2017 Admission)	11.12.2019	09.12.2019	19.12.2019	College authorities reported that question papers were opened by mistake
		S5 B.Sc CBCSS	CH1542 – Inorganic Chemistry III (2014 to 2016 Admission)	11.12.2019	09.12.2019	19.12.2019	College authorities reported that question papers were opened by mistake
3.	Valia Koonambayikulam College of Engineering and Technology	S1S2 B.Tech	Engineering Chemistry	Rescheduled on 20.05.2019 from 10.04.2019	10.04.2019	12.06.2019	College authorities reported that they were unaware of rescheduling of the examinations

Sl. No.	Name of College	Name of Examination	Subject	Date of Exam	Date of opening of Question Paper	Revised date of examination	Reason for wrong opening
4.	Muslim Association College of Engineering, Venjaramoodu	S1S2 B.Tech	Engineering Chemistry	Rescheduled on 20.05.2019 from 10.04.2019	10.04.2019	12.06.2019	College authorities reported that question papers were opened by mistake
5.	BJMGC	B.Com Annual Part III March /April 2020	B.Com – Paper XIV – Management Accounting	09.06.2020	08.06.2020	26.08.2020	The e-mail regarding the rescheduling of examination was sent from the University on 03.06.2020. Also press release was issued. As per the email received from the Principal, due to non-availability of internet, the reschedule of said paper was brought to their notice on 09.06.2020.
6.	SN College Cherthala	S4 BA/B.Sc/ B.Com CBCSS	PS – 1431 – International Politics (2017 Admission)	20.03.2020	20.03.2020	11.09.2020	College authorities informed that due to lockdown imposed in the wake of COVID-19 pandemic, the college was unaware of postponing of the examinations on 20.03.2020
7.	SN College for Women, Kollam	S6 CBCSS BA/B.Sc/B.Com	ST 1431.3 (2013-2016 Admission)	20.03.2020	20.03.2020	11.09.2020	College authorities informed that due to lockdown imposed in the wake of COVID-19 pandemic, the college was unaware of postponing of the examinations on 20.03.2020
			ST 1431.3 (2013-2017 Admission)				
			ML 1431.3 (2014-2017 Admission)				
			ML 1431.1 (2018 Admission)				
			CH 1431.7 (2016 Admission)				
			PS 1431 (2014-2016 Admission)				
			PS 1431 (2014-2017 Admission)				
			CO 1431 (2018 Admission)				
			CO 1431 (2014-2017 Admission)				
			BO 1431 (2013 Admission)				
			BO 1431 (2014 Admission)				
			SK 1431.3 (2013 Admission)				
CG 1472 (2013 Admission)							
CO 1431 (2013 Admission)							
8.	S.G College, Kottarakkara	Fourth Semester CBCSS BA/B.Sc/B.Com	BO 1431	20.03.2020	20.03.2020	11.09.2020	College authorities informed that due to lockdown imposed in the wake of COVID-19 pandemic, the college was unaware of postponing of the examinations on 20.03.2020
			CO 1431				
			BO 1431				

Appendix 4.3

Conduct of examination with cancelled question papers

(Reference: Paragraph 4.3)

Sl. No.	Name of College	Name of Examination	Subjects	Date of Examination	Reason for conduct as per college authority
1.	NSS College, Nilamel	S6 CBCSS BA/B.Sc/B.Com	English 1644/CG 1642 Women's Writing QP Code J - 1661 EC 1644 International Economics QP Code J 1795 HY 1644 Twentieth Century Revolutions QP Code J - 1679 ML 1644 Vivarthanam QP Code J-1765	15.06.2020	The college authorities distributed the cancelled question paper (Wrongly opened by MG College on 06.06.2020 instead of the correct question paper)
2.	SN College, Chengannur	S5 B.Sc Mathematics CBCS 2013 and 2014 Degree Examinations	Abstract Algebra (MM1545 for 2014 Admission) and Computer Programming-1 (MM1545 for 2013 Admission)	03.01.2017	The college authorities conducted the examination with cancelled question paper which was wrongly opened by Sree Ayyappa College, Eramallikara on 23.12.2016 though it was ordered by Vice-Chancellor (29 December 2016) to recall the question papers distributed and conduct the examination with new set of question paper as per the scheduled date (03.01.2017)
3.	NSS College, Pandalam	S5 B.Sc Mathematics CBCS 2013 and 2014 Degree Examinations	Abstract Algebra (MM1545 for 2014 Admission) and Computer Programming-1 (MM1545 for 2013 Admission)	03.01.2017	The college authorities conducted the examination with cancelled question paper which was wrongly opened by Sree Ayyappa College, Eramallikara on 23.12.2016 though it was ordered by Vice-Chancellor (29 December 2016) to recall the question papers distributed and conduct the examination with new set of question paper as per the scheduled date (03.01.2017)

Appendix 4.4

Answer scripts lost from the University

(Reference: Paragraph 4.5.1)

Year	Examination	No. of answer scripts missing	Remedial action taken	Whether responsibility was fixed
2013-14	Final Year BA Arabic Degree Examination April / May 2014 (Paper II), MSM College, Kayamkulam	1	Special Examination was conducted on 16.03.2017 and result was published on 29.03.2017	No, The Section Officer and the then Assistant Registrar had not even reported to higher officials to intervene in this matter.
2015-16	BA CBCSS, S1 Dec 2016 – Hindi KNM College of Arts and Science, Kanjiramkulam	10	The students appeared for Supplementary Examination conducted in January and November 2018 and also in subsequent chances. The candidates were not permitted to appear in exams without remitting fees Crime Branch Enquiry in progress.	No
2016-17	BA English and Communicative English, S3 Dec 2017, National College, Ambalathara	2	Though it was informed that special examination would be conducted, the candidates did not respond to the matter	No
2016-17	B.Sc CBCS, S5 Dec 2017, MM1541 Real Analysis I, Mathematics, SD College, Alappuzha	5	No special examination was conducted	No
2017-18	M.Sc Physics, S1, Government College, Karyavattom	1	Special Examination was conducted on 23.07.2019 and the result was published on 28.11.2019 Case registered in Crime Branch. Case is under Investigation (08.01.2021)	No
2017-18	BA Annual Part II, April / May 2018, Hindi	15	Candidates were permitted to write supplementary examination (September 2018) held on 07.03.2019 out of which only seven candidates passed that year. Case reported to State Police Chief	No (Only a hearing was conducted)

Year	Examination	No. of answer scripts missing	Remedial action taken	Whether responsibility was fixed
2017-18	S1 and S2 B.Tech Degree Paper III – Engineering Chemistry (2013 Scheme), April 2018, Rajadhani Institute of Engineering and Technology, Attingal	5	Candidates appeared for both supplementary and special examination Supplementary examination (February 2019) was conducted on 12.06.2019 and the special examination was conducted on 05.08.2019. The result of the special examination was uploaded on 05.09.2019	No
2017-18	B.Com Computer Application, S2 Financial Accounting, August 2018	2	Special Examination was conducted on 10.06.2020 and result was published on 13.08.2020	Awaiting hearing of officials concerned of Central Valuation Camp II (CVC II Section)
2018-19	MASLP, S4 July 2018, Fluency Disorders, NISH	9	Re-examination conducted for candidates on 23.03.2019 and result was published on 27.03.2019	No, it was replied that no legal action could be taken against the courier company since the contract was between the Examiner and the Courier Company.
2019-20	CBCSS BA Economics, S3 October 2019, SD College, Alappuzha	1	No action taken for conduct of special examination. File under process	No
2019-20	B.Com - Commerce and Hotel Management and Catering Degree – S2 Examination, May 2019, SN College, Sivagiri	1	Re-examination conducted for the candidate on 21.10.2020 and marklist uploaded on 23.10.2020	As per Syndicate minutes dated 05.03.2021, it was decided to recover an amount of ₹10,000 as calculated expense for the conduct of examination from the Assistant Registrar, Office Superintendent and staff of PCVC Section
2019-20	CBCSS BA English, S2 May 2019, SD College, Alappuzha	3	No action taken. File under process	No
2019-20	M.Com (Finance) Degree Private Registration Examination January/ February 2019	1	No mention about any examination conducted	No mention about any responsibility fixed against the official concerned
Total Papers Missing		56		

Appendix 4.5

Answer scripts lost from the college / teachers assigned with evaluation

(Reference: Paragraph 4.5.1)

Year	Examination	No. of answer scripts missing	Remedial action taken	Whether responsibility was fixed
2015-16 (College)	S1 BA Malayalam Improvement Examination 2016, NSS College, Nilamel	1	No mention about the conduct of examination	Responsibility was not fixed. Only a warning was given to Additional Superintendent and Invigilator not to repeat such incidents in future.
2015-16 (Additional Examiner)	B.Com Degree Examination, Paper IV – Financial Accounting	4	No special examination was conducted for them	The Standing Committee held on 11.01.2017 heard the additional examiner and recommended to give strict warning and to debar the person responsible permanently from all examination duties. Whether penalty was imposed could not be traced.
2017-18 (Faculty)	B.Des S5 Jan 2018 – History of Design and Fashion	1	Special examination was conducted on 14.01.2019 and result was published on 24.01.2019	Only a decision taken on 19.02.2019 to hear the teacher. Responsibility was not fixed against anyone.
2018-19 (College)	S4 BA CBCS Examination (Subject EN 1411.1 – Readings in Literature) July 2018	1	Special Examination was conducted on 06.06.2019 and the result was published on 07.06.2019	Responsibility was not fixed on the person concerned. Hearing Procedure pending against Principal and Chief Superintendent, SN College Chempazhanthy.
2018-19 (Chief Examiner)	S2 M.Sc Computer Science (SDE) Examination November 2018 - Graphics and Multimedia Systems	3	The examination of Paper - Graphics and Multimedia Systems was held on 12.12.2018 and the result was published on 21.08.2019. The candidates have applied for revaluation. The last date for applying for revaluation was on 12.09.2019 and revaluation result was scheduled to be published on 02.10.2019. Result not published for three candidates as the paper was irrecoverably lost	The hearing process is pending against the Chief Examiner.

Year	Examination	No. of answer scripts missing	Remedial action taken	Whether responsibility was fixed
2019-20 (UIM)	S3 MBA Degree Examination, May 2019 – Integrated Marketing Communication (IMC) – UIM Vadakkal	32	Special Re-examination was conducted on 07.01.2020 and result published on 17.01.2020. Out of the 32 students, only four appeared for the examination. Supplementary examination for the same paper was held on 24.01.2020. 28 candidates appeared out of 32. All 32 candidates remitted supplementary examination fee online through their candidate profile.	The Principal-in-charge, UIM Vadakkal, Alappuzha was debarred from exam duty for a period of one year till March 2021.
Total papers missing		42		

Appendix 4.6

Recommendations of the Expert Committee which were not implemented by the University

(Reference: Paragraph 4.6)

Sl. No.	Recommendations	Whether implemented
1	The structure of SQL database needs to be modified for effective implementation of the moderation system	Yes
2	Examine other modules of the software for making the system perfect by using an external agency	No
3	All examination software should be externally audited periodically	No
4	Security auditing to be implemented with an external agency like STQC, CERT etc.	No
5	Biometric additional layer security to the existing user ID and password for making the system more secure	No
6	Entrust an external agency to study the entire work flow system including all software and security system for the effective operations of the exam system	No
7	Power delegation and control mechanism should be derived for maintaining coordination between Computer Centre and IT Cell	Yes
8	Special attention be given to the examination wing for maintaining the clarity of moderation. Moderation should be effected by a three-tier system under the control of Deputy Registrar	No
9	IT Training should be given to all personnel and should include the details of accessibility at each level of the software system.	Yes
10	After the moderation is affected and result sheet is generated, the database should be locked and more changes should be possible only with the appropriate orders of Controller of Examinations which should be recorded properly	Yes
11	The remaining part of the investigation should be left to Cyber Cell experts for final conclusion	No

Appendix 5.1

Shortage of Infrastructure Facilities in UITs

(Reference: Paragraph 5.1.1)

Name of the UIT	Requirements as per UGC	UIT Adoor	UIT Kollam	UIT Yeroor	UIT Karuvatta	UIT Sasthamcotta	UIT Mannady	UIT Veli	UIT Azhoor	UIT Mannancherry
Year of Functioning	NA	1995	1996	2006	2012	2012	2015	2017	2017	2017
Whether any land earmarked	Undisputed ownership and possession of land measuring not less than two acres if it is located in metropolitan city and five acres if it is located in other areas	Own 50 cents	Owned by Kollam Corporation 50 cents	Land of Government School Whether land earmarked - Not specified	Land under Lease - 62 cents	Own 60 cents	Own 20 cents	Owned by General Education Department – 1.50 acres	Not specified	On lease – 40 cents
Functioning of UIT	Academic building sufficient to accommodate the faculties, lecture / seminar rooms, library and laboratories with a minimum of 15 sq.ft per student in lecture / seminar rooms / library and 20 sq.ft per student in each of the laboratories.	Rented Building	Own building	Own building	Own Building	Building owned by Panchayat Rented Building	Rented Building	Own building	Rented Building	Building owned by Panchayat
Class Rooms	15 sq.ft per student in lecture rooms	6	13	8	10	8	5	2	6	6
Computer Lab	20 sq.ft per student in each of the laboratories.	Yes	Yes	Yes	Yes	Yes	Yes	No	Yes	No
Seminar Hall	Minimum 15 sq.ft per student in lecture / seminar rooms / library	No	Yes	No	No	Yes	No	No	No	Yes

Name of the UIT	Requirements as per UGC	UIT Adoor	UIT Kollam	UIT Yeroor	UIT Karuvatta	UIT Sasthamcotta	UIT Mannady	UIT Veli	UIT Azhoor	UIT Mannancherry
Library	Academic building sufficient to accommodate the seminar rooms, library and laboratories with a minimum of 15 sq.ft per student in lecture / seminar rooms / library	Yes	Yes	Yes	Yes	Yes	No	No	Yes	No
Principals Room		Yes	Yes	No	Yes	Yes	Yes	Yes	Yes	Yes
Staff Room	Academic building sufficient to accommodate the faculties, etc	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
Office		Yes	Yes	Yes	Yes	Yes	Yes	No	Yes	Yes
Strong Room with CCTV for storing Question Papers and Answer sheets	No Specific Norms	In Principal's Room But no CCTV	2 (One Room and Principal's Room) with no CCTV	No	No	No	No	Yes (No CCTV)	No	Yes (no CCTV)
Smart Classrooms	No Specific Norms	No	No	No	No	No	Yes	No	No	No
Canteen	Local requirements as decided by the University	No	No	No	Not as a canteen but a small facility for providing light refreshment to Students	No	No	No	No	No
Security		No	No	Yes	Yes	Yes	Yes	Yes	Yes	No
Stationery Stores and Reprographics	No specific Norms	No	Yes	No	No	No	No	No	No	No
Auditorium	Local requirements as decided by the University	No	No, one stage only	No	No	No	No	No	No	No, work not completed
First Aid cum Sick Room	Local requirements as decided by the University	Yes	No	No	Yes	Yes	No	No	Yes	Yes

Name of the UIT	Requirements as per UGC	UIT Adoor	UIT Kollam	UIT Yeroor	UIT Karuvatta	UIT Sasthamcotta	UIT Mannady	UIT Veli	UIT Azhoor	UIT Mannancherry
Toilets (Ladies and Gents)	Adequate civil facilities for essentials like water, electricity, ventilation, toilets, sewerage etc., in conformity with the norms laid down by the Central / State PWD.	4	9	2	3	5	3	3	4	6
Boys Common Room	Local requirements as decided by the University	No	No	No	No	No	No	No	No	No
Girls Common Room		Yes	No	No	No	No	No	No	No	No
Playground / Sports facilities		No	No	No	No	Yes	No	Yes	No	Yes
Hostel Facilities for Boys and Girls		No	No	No	No	No	No	No	No	No
Parking Facilities for vehicles		No	Yes	No	Yes	Yes	No	Yes	Yes	Yes
No. of Computers with Internet Facilities	No specific Norms	21 computers with net connectivity in all of them	19 computers, three with net facility	Seven working out of 19 computers; internet connection - four nos.	17 computers, one with net connection	14 computers two with net connections	20 computers with Wi-Fi	3 computers, one with net connections	28 computers, three with internet connections	One computer with net connection
Reasons		Lack of space – Functioning in rented building	Only requirement appointment of clerical staff	No reply	PTA Fund does not suffice	Rented building with limited facility	Lack of Space	Inadequacy reported to University. Facilities will be provided once construction of new building and renovation of existing building is completed	Measures taken to shift to a permanent setup and more funds required for smooth functioning of UIT	Constantly approaching the University for infrastructural improvements and initiated steps to generate funds from MLA/MP funds.

Appendix 5.2

Shortage of Infrastructure Facilities in UIMs

(Reference: Paragraph 5.1.1)

Infrastructure Facilities	Requirements as per AICTE Handbook 2019-20	UIM Adoor	UIM Alappuzha
Year of Functioning		2005	2003
Functioning of UIM	Appendix 4.1 – Land Requirement for Technical Institutions – Management - Requirement of one acre of land in Rural Areas and 0.5 acres of land in Urban Areas for Institutions offering only Post Graduate Programmes (MCA/ Post Graduate Diploma/ MBA)	In rented building	Own Building in 27 cents of land owned by University of Kerala
Tutorial Rooms	Requirement of 25 per cent of total class room as per Appendix 4.2.1 (I) Instructional Area	Yes, four	No
Computer Centre	Requirement of one Computer Centre as per Appendix 4.2.1 (I) – Instructional Area	Yes, one	No
Strong Room for storing Question Papers and Answer sheets	No specific norms for storing question papers and answer sheets. Chapter VI – Norms and Requirements – 6.6 (c) – Safety and security measures in the campus - CCTV shall be installed in the campus at appropriate locations within the premises of an Institution	Yes, one, but without CCTV Cameras	No
Canteen	Requirement of one Cafeteria as per Appendix 4.2.3 Amenities Area – AICTE Hand book 2019-20	No	No
Security	Requirement of one room as per Appendix 4.2.2 – Administrative Area	No	No
Stationery Stores and Reprographics	Requirement of one room as per Appendix 4.2.3 – Amenities Area – AICTE Hand book 2019-20	No	No
First Aid cum Sick Room	Essential requirement of Technical Institutions (Item No.26) as per Appendix 6 and Appendix 4.2.3 – Amenities Area – AICTE Hand book 2019-20 – one number	No	Yes
Boys Common Room	One number as per Appendix 4.2.3 – Amenities Area – AICTE Hand book 2019-20	Yes, one	No
Girls Common Room	One number as per Appendix 4.2.3 – Amenities Area – AICTE Hand book 2019-20	Yes, one	No
Parking Facilities for vehicles	Essential requirement as per Appendix 6 of Norms for Essential requirements (Item No.37) of the Technical Institutions	No	No
Exam Halls with CCTV	Chapter VI – Norms and Requirements – 6.6 (c) – Safety and security measures in the campus - CCTV shall be installed in the campus at appropriate locations within the premises of an Institution.	No Halls with CCTV	No Halls with CCTV
Smart Class Rooms	Requirement of one class room per division per year as per (Appendix 4.2.1 (I) – Instructional Area - Management (PGDM/ MBA) Institution) Each class room shall be equipped with LCD projector, Smart Board, Internet Connection, etc.	Yes	No
Massive Open Online Courses (MOOC) Facility Centre and Innovation Laboratory	Appendix 4.2.1 (I) - Institutions shall have MOOCs Facility Centre and Innovation Laboratory	No	No

Infrastructure Facilities	Requirements as per AICTE Handbook 2019-20	UIM Adoor	UIM Alappuzha
No. of Computers with Internet Facilities	Appendix 5 – Norms for Computers / Software / Internet / Printer Number of PCs/ Laptop to student ratio (Minimum 20 PCs) 1:6 For approved intake of Students up to 300 - Internet speed 32 mbps is required	One PC with high-speed net connection	One PC with 12 mbps net connection
Reasons for shortage of facilities		Constraints due to rented facilities	No reply received

Appendix 5.3

Details of availability of facilities for the differently abled students

(Reference: Paragraph 5.3)

Sl. No.	Name of institution	Ramps	Institutions functioning in multi-storey building - Lifts	Disabled friendly toilets	Braille Software/ Facilities
1.	Aquatic Biology and Fisheries	Yes	No Lift – Multi-storey Building	Yes	No
2.	Physics	Yes	No Lift – Multi-storey Building	Yes	No
3.	Psychology	No	No Lift – Multi-storey Building	No	No
4.	Botany	Yes	No Lift – Multi-storey Building	Yes	No
5.	Institute of Management in Kerala	Yes	No Lift – Multi-storey Building	Yes	No
6.	Biotechnology	Yes	No Lift – Multi-storey Building	No	No
7.	Statistics	No	No Lift – Multi-storey Building	No	No
8.	Computer Science	Yes	No Lift – Multi-storey Building	No	No
9.	Tamil	Yes	Yes – Multi-storey Building	Yes	No
10.	Malayalam	Yes	Yes – Multi-storey Building	Yes	No
11.	Linguistics	Yes	Yes – Multi-storey Building	Yes	No
12.	Future Studies	No	No Lift – Multi-storey Building	No	No
13.	Political Science	Yes	No Lift – Multi-storey Building	Yes	No
14.	Library and Information Science	No	No Lift – Multi-storey Building	No	No
15.	UIT Veli	No	Single-storey Building	No	No
16.	UIT Azhoor	No	Single-storey Building	No	No
17.	UIT Adoor	No	Single-storey Building	Yes	No
18.	UIT Mannady	No	Single-storey Building	No	No
19.	UIT Mannancherry	Yes	Single-storey Building	No	No
20.	UIT Kollam	Yes	No Lift - Multi-storey Building	No	No
21.	UIT Sasthamcotta	No	Single-storey Building	Yes	No
22.	UIT Karuvatta	Yes	Single-storey Building	Yes	No
23.	UIT Yeroor	Yes	Single-storey Building	No	No
24.	UIM Adoor	No	No Lift - Multi-storey Building	No	No
25.	UIM Alappuzha	No	No Lift - Multi-storey Building	No	No
26.	KUCTE Karyavattom	No	No Lift - Multi-storey Building	No	No
27.	KUCTE Anchal	No	No Lift - Multi-storey Building	No	No
28.	KUCTE Aryad	Yes	Single-storey Building	Yes	No
29.	University College of Engineering, Karyavattom	Yes	No Lift - Multi-storey Building	No	No

Appendix 5.4

Details relating to security audit of software/ websites

(Reference: Paragraph 5.4.4)

Sl. No.	Name of the software used	Year of development of software	Whether developed in-house/ outsourced	Whether financial reports generated through the software	Whether Security auditing has been done (Yes/No)	Name of the agency for security audit	Progress of security audit of software entrusted
1.	Official website of University of Kerala	2016	in-house	No	Yes	CDAC	In progress. First level reported.
2.	Admission Software (UG, PG, CSS PG, M.Phil, B.Ed, MBA, IMK, UIM, Evening, M.Tech)	PG - 2011, UG - 2012, CSS PG - 2016, MBA - 2017, M.Tech - 2018, B.Ed - 2020	in-house	No	No		
3.	Online Payment Portal	2017	in-house	Yes	No		
4.	IQAC Website	2016	in-house	No	No		
5.	Recruitment software for regular teaching posts	2017	in-house	No	No		
6.	KUCC Website	2018	in-house	No	No		
7.	Feedback collection for IQAC	2019	in-house	No	No		
8.	Recruitment software for contract teaching posts	2019	in-house	No	No		
9.	Digital Garden	2020	in-house	No	No		
10.	UKAA Website	2020	in-house	No	No		
11.	Recruitment software for non-teaching contract posts	2020	in-house	No	No		
12.	Recruitment software for casual labourers (daily wages)	2020	in-house	No	No		
13.	Cash counter software	2015	in-house	Yes	No		
14.	Admission portal for Annual Scheme students	2015	in-house	No	No		
15.	Exam registration portal for Annual Scheme students	2015	in-house	No	No		
16.	Exam registration portal for SDE Semester students	2017	in-house	No	No		
17.	Research Entrance	2014	in-house	No	No		
18.	Research Portal	2010	in-house	No	No		
19.	DDFS		Outsourced		No		
20.	CV Camp	2014	in-house	No	No		

Sl. No.	Name of the software used	Year of development of software	Whether developed in-house/ outsourced	Whether financial reports generated through the software	Whether Security auditing has been done (Yes/No)	Name of the agency for security audit	Progress of security audit of software entrusted
21.	Examination Portal	2018	in-house	No	Yes	IT Mission	
22.	Hostel Portal	2017	in-house	No	No		
23.	Hostel Portal New	2020	in-house	No	No		
24.	Index card	2012	in-house	No	No		
25.	Migrating Jobs (Staging Server)	2013	in-house	No	No		
26.	Online Examination	2017	in-house	No	No		
27.	Physical Education Portal	2017	in-house	No	No		
28.	SDE Administration		in-house	No	No		
29.	SDE Admission		in-house	No	No		
30.	SDE Student Portal semester registration CA Mark publishing fee registration		in-house	No	No		
31.	Private Registration Admission and Exam Registration Portal Private Registration admission staff	2015	in-house		No		
32.	Campus Library Staff Admin Page	2019	in-house		No		
33.	Campus Library OPAC	2019	in-house		No		
34.	University of Kerala Learning Management System (Moodle)	2019	in-house		No		
35.	OPAC of University of Kerala - Library	2017	in-house		No		
36.	Bibliographic details of articles published in Journals and newspapers	2020	in-house		No		
37.	Official mail management portal	2016	in-house		No		
38.	Details of Journals and Publications of Faculty of University of Kerala	2019	in-house		No		
39.	Tabulation software for B.Tech and B.Tech part-time courses	2002	in-house		No		
40.	Tabulation software for B.Tech restructured courses	2012	in-house		No		
41.	Tabulation software for B.Arch course	2011	in-house		No		
42.	Tabulation software for B.Ed course	2008	in-house		No		
43.	Tabulation software for B.Ed Special Education course	2015	in-house		No		
44.	Tabulation software for B.P.Ed Special Education course	2013	in-house		No		
45.	Tabulation software for PG Special Education course	2001	in-house		No		

Sl. No.	Name of the software used	Year of development of software	Whether developed in-house/ outsourced	Whether financial reports generated through the software	Whether Security auditing has been done (Yes/No)	Name of the agency for security audit	Progress of security audit of software entrusted
46.	Tabulation software for M.Tech Special Education course	2011	in-house		No		
47.	Tabulation software for MBA Special Education course	2011	in-house		No		
48.	Tabulation software for MCA Special Education course	2011	in-house		No		
49.	Tabulation software for LLB Special Education course	2011	in-house		No		
50.	Tabulation software for BMMAM Special Education course	2015	in-house		No		
51.	Tabulation software for CBCS Prior to 2013 course	2010	in-house		No		
52.	Tabulation software for CBCS 2013 course	2013	in-house		No		
53.	Tabulation software for B.Sc Electronics/Computer Science/ BBA (2008)	2008	in-house		No		
54.	Tabulation software for B.Sc Electronics/Computer Science/BBA (2005)	2005	in-house		No		
55.	Tabulation software for B.Voc Course	2014	in-house		No		
56.	Tabulation software for BHM Course	2014	in-house		No		
57.	Tabulation software for Hearing Impaired courses	2013	in-house		No		
58.	Annual Scheme Tabulation software	2014	in-house		No		
59.	Official Website of CSS, University of Kerala	2020	in-house		No		

Appendix 5.5

List of buildings constructed without permission from local bodies

(Reference: Paragraph 5.5.1)

Sl. No.	Name of the work	Building permit No.	Date of completion	Occupancy certificate (Sanction No.)
1	Construction of geological museum and rock garden in Department of Geology (civil and electrical works)	Not applied	17.03.2020	Not applied
2	Platinum jubilee Academic complex for schools (civil and electrical works)	Not applied	31.12.2018	Not applied
3	Multi-purpose conference hall, Karyavattom campus	Not applied	Not completed	Not applied
4	Construction of Multi-purpose indoor court at Senate House campus	Applied for building permit file No. E11/BA/0237/2014	18.05.2016	Not applied
5	Vertical Extension of University Library at Palayam	Applied for building permit file No. E10/BA/0251/2015	18.06.2018	Not applied
6	Vertical Extension of Women's hostel building at Karyavattom campus	Not applied	23.03.2017	Not applied
7	Construction of New building for Department of Computer Science	Not applied	15.11.2016	Not applied
8	Construction of students Amenity centre at Senate House Campus	Applied for building permit file No. E11/BA/0274/2014	26.11.2016	Not applied
9	Construction of SICC building at Karyavattom using RUSA fund	Not applied	24.12.2018	Not applied
10	Computer science building first floor extension	Not applied	16.01.2018	Not applied
11	Vertical Extension of IMK-IDE building	Applied for building permit file No. E11/BA/0237/2014	Not completed	Not applied
12	Construction of new building for Centre for Nanoscience and Nanotechnology	Not applied	02.05.2019	Not applied
13	Vertical Extension of new block of Dept of Environmental Science (Two floors)	Not applied	08.06.2019	Not applied
14	Construction of new canteen building at Senate House campus	Not applied	06.11.2015	Not applied
15	Extension to CE building at Senate House campus	Not applied	31.01.2019	Not applied
16	Construction of biodiversity building	Not applied	18.07.2019	Not applied

Appendix 5.6

Delayed/ incomplete works

(Reference: Paragraph 5.5.2)

Sl. No.	Name of work	Date of sanction and amount of AS	Current Status	Reason for delay
1.	Geological Museum and Rock Garden	July 2012 and August 2013 AS: ₹ two crore	Civil and electrical works were completed (March 2020) at a cost of ₹1.39 crore. The remaining works including interior works, landscaping and procurement of equipment are yet to be arranged.	<p>Though, the Architectural Consultant submitted detailed estimates and drawings in June 2014, several discrepancies were noticed and the estimates were not complete. The consultant submitted the final estimates and drawings only in February 2015 and the civil work was tendered and awarded to lowest bidder in June 2015. Due to protests by students against cutting of trees, the site for the project had to be shifted to another place. The new site was handed over to the contractor only in January 2016.</p> <p>The due date for completion of civil works was October 2016 (270 days from date of handing over of site). However, the civil works were seen completed only in March 2020.</p> <p>Meanwhile, the change in project site necessitated a revision of the estimates which were submitted by the consultant only in November 2017. Even though University had a full-fledged Engineering Department, the University decided (February 2018) to seek expert opinion regarding whether the revised estimate is genuine. Subsequent to getting expert opinion the revised estimate was approved by the University in February 2019.</p> <p>Thus, the delay on the part of the University in providing unhindered land and approving revised estimates coupled with delay on the part of the consultant and contractor resulted in non-materialising of the project.</p> <p>It was seen that a fine of ₹14.90 lakh was collected from the contractor for delay in execution of the work.</p>
<p>Government replied (13 December 2021) that Geological Museum and Rock Garden -the work had been completed in all respects on 17 March 2020. A fine of ₹14.90 lakh was recovered from the contractor concerned.</p> <p>The reply is not tenable as it is silent about the delay of University in approving the revised estimates. Further, the University had failed to penalise the consultant for delay in providing the estimates and drawing and for non-production of drawings for the interior works and landscaping. Even though the civil work was completed in March 2020, the work of landscaping and interior works had not commenced and hence the Project was still incomplete (August 2021).</p>				
2.	Vertical extension of Kerala University Library, Palayam	March 2011 AS: ₹ three crore	Civil works were completed in June 2018 and the electrical work was awarded to a contractor in October 2020. The work on supply, installation and testing of lift and air-conditioner were pending (August 2021). An expenditure of ₹1.15 crore has so far been incurred.	<p>The University entered into contract with architectural consultant in January 2014 requiring that the drawing and estimates be submitted within 12 weeks. However, the consultant submitted the same only in July 2015. The University Engineer reported that there were discrepancies in the estimates submitted and that the Bill of Quantities were not produced. Accordingly, the final copy of estimates and Bill of Quantities were submitted by the consultant in December 2015.</p> <p>Accordingly, the work was tendered and awarded to a contractor in February 2016. The site was handed over in February 2016 with due date for completion as December 2016 (300 days from date of handing over of site).</p> <p>During progress of the work, it was seen that revisions were required to the drawings submitted by the consultant. Accordingly, the consultant revised the drawings and submitted the same in February 2017. This resulted in delay in completion of civil works.</p> <p>Due to delay in completion of civil works, the contractor to whom electric work was awarded (December 2016), requested to cancel the tender. The electric work was</p>

Sl. No.	Name of work	Date of sanction and amount of AS	Current Status	Reason for delay
				retendered (October 2019) and awarded to a contractor in October 2020. Thus, delay on the part of the consultant in submitting estimates and drawings, delay on the part of contractor in completing civil works and lack of proper scrutiny on the part of University Engineering Department resulted in the work remaining incomplete. It was seen that a fine ₹50,000 and ₹1.50 lakh was imposed on the consultant and contractor respectively for delay. However, no fine was imposed on the consultant for delay of 20 months in submission of drawing which resulted in delay in tendering of the work.
<p>Government replied (13 December 2021) that Vertical Extension of Kerala University Library, Palayam – the Civil work was completed on 18.06.2018 and electrical work was completed on 16.04.2021.</p> <p>The reply is not tenable. There was no proper co-ordination in carrying the work by the consultant, Engineers of the University and the contractor, which had resulted in inordinate delay in the execution of civil work and electrical work, and non-completion of other minor works (installation of lift, air conditioner) which led to non-achievement of the intended objective. The building had still not been put to use (August 2021). Further, it was also observed that although the agreement was executed with the consultant on 01.01.2014, final Bill of Quantity for e-tendering was submitted only on 03.12.2015 which led to delay in e-tendering (08.01.2016). No fine was imposed for the same.</p>				
3.	Renovation of old guest house building at Senate House Campus	December 2016 AS amount: ₹55 lakh	Owing to slow progress of work the contract was terminated (October 2019) at the risk and cost of the contractor. University informed that the work could not be rearranged due to non-availability of funds as the work was excluded from RUSA fund.	The work was awarded (November 2017) to a contractor with a period of completion of 180 days from the handing over of the site. Site was handed over to the contractor in December 2017. Contractor was able to complete only six <i>per cent</i> of work as of December 2018 despite direction from the Syndicate to the contractor to complete the work. RUSA inspection team after assessing the progress of work decided to exclude it from the assistance of RUSA fund. Owing to slow progress of work the contract was terminated (October 2019) at the risk and cost of the contractor. Audit observed that University is yet to recover the risk and cost amount from the contractor as prescribed under the PWD Manual. Further, no civil suit was filed against the contractor. Audit also observed that no action was taken by the University to rearrange the balance work. As a result, the guest house which houses several sections, SBI branch, etc., remains in a dilapidated condition.
<p>Government replied (13 December 2021) that Renovation of old guest house building at Senate House Campus - the initial contract of the work was terminated at the risk and cost of contractor and the work was retendered and opened on 05.09.2021. Actual liability over the former contractor can be fixed only after finalising the tender, steps for recovering the amount will be taken after the completion of the work.</p> <p>The reply is silent about not invoking risk and cost clause as stipulated in the section 2116.2 of the PWD Manual⁶⁵ and non-arrangement of balance work within the time as prescribed under section 2117⁶⁶ of the PWD Manual. As per the provisions of PWD manual (2116.2.1), the University is empowered to recover an amount of 30 <i>per cent</i> of the cost of the remaining works at agreed rates, even without arranging the work through another contractor. Hence the reply of the University that it is waiting for the work to be completed is not tenable.</p>				
4.	Establishment of Marine Museum	July 2012 and August 2013 AS: ₹ two crore	Work is yet to be completed. University informed (September 2021) that due to state-wide lockdown as a result of the COVID-19 pandemic, extension was granted up to August 2021. Now the contractor	The project was proposed to be implemented in the land handed over to the University by District Panchayat at Akkulam. However, the work could not progress at the proposed site due to dispute over ownership of land. Subsequently, in March 2017, a revised proposal was submitted proposing the establishment of the museum at University Campus, Karyavattom. Accordingly, the Syndicate approved the estimate for civil works of Marine Museum in December 2019 and the work was awarded (September 2020) to a contractor. The new site was handed

⁶⁵ Concerning termination of contract if the contractor does not take over the site in time

⁶⁶ As expeditiously as possible (within 90 days of the termination of the contract)

Sl. No.	Name of work	Date of sanction and amount of AS	Current Status	Reason for delay
			has requested additional 75 days of extension and the work is in progress.	over to the contractor in December 2020 with time of completion of 180 days (Due date 14 June 2021). Thus, the project sanctioned in 2013 is yet to materialise due to the failure of the University in identifying unhindered land.
<p>Government replied (13 December 2021) that Establishment of Marine Museum – the work was awarded to a contractor in September 2020. The work had been completed. Tenders had been invited for electrical work with opening date as 23.11.2021. The reply is not tenable as ₹ one crore each had been released towards the project during 2012-13 and 2013-14. It was only civil work that had commenced at an estimated cost of ₹69 lakh; other items of work required for a museum, like collection of specimens, facilities for its display etc., were yet to commence. Thus, the objectives of establishing a Marine Museum as an educational tool for understanding the relevance of oceans and its biodiversity and to provide source material for the Taxonomists and Biotechnologists to pursue their research could not be achieved even though ₹two crore was released by the Government seven years ago.</p>				
5.	Vertical extension of IMK-IDE building	March 2017 AS: ₹2.15 crore	35 per cent of the work completed as of January 2021. The contractor requested (July 2021) to grant five months' time for completion of work without imposing any penalty.	<p>The civil work was tendered and awarded to a contractor in June 2017. The work was to be completed in 240 days from the date of handing over of the site. However, Audit observed that the site could be handed over by the University to the contractor only in March 2019 as the proposed site was dumped with old damaged furniture and scrap material. Subsequently, though the contractor started the work, the progress of the work was slow and only 35 per cent of the work was completed as of January 2021. Further, it was also observed that the ground floor of the building continued to be used for keeping University exam papers which posed as a hindrance to execution of the work and the same was intimated by the contractor to the University. However, the University is yet to take a decision on the matter. Thus, delay in handing over of hindrance free site by the University resulted in delay in completion of the project.</p>
<p>Government replied (13 December 2021) that Vertical Extension IMK- IDE building Senate House building - the major delay of this work was due to the reasons on the part of the contractor. As per the agreement, the work had to be completed on 22.11.2019. The contractor failed to execute supplementary agreement for the extension of time of completion. Hence show cause notice had been issued to him. In response the contractor forwarded a legal notice. The reply is not tenable as the site was handed over after a delay of 18 months from the date of execution of agreement. Further, even though the contractor had not applied for any extension of the time of completion (TOC) of the work even after the expiry of original TOC, the University had taken no action to terminate the contract. Thus, the project intended for strengthening the University infrastructure facilities, started in September 2013 could not be completed till date (August 2021) due to delay in handing over of hinderance free site and lack of monitoring and follow-up by the University authorities.</p>				



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