6.4.3 ***Institution conducts internal and external financial audits regularly.***

Response:

The University meticulously conducts both independent **External Audit** (statutory audit) as well as **Internal Audit**. The timelines for the same are stringently adhered to and executed with the necessary due diligence. Statutory audit is done once in a year, by an external auditor appointed by banks on quarterly basis while the internal audit is executed concurrently by in house team.

External Audit

Statutory auditors appointed under the regulations of the University conduct the external audit in accordance with generally accepted auditing standards prescribed by the Institute of Chartered Accountants of India.
They conduct the audit procedures to obtain reasonable assurance about-

1. Whether the financial statements are free from material misstatement and give a true and fair view of the state of affairs at the year-end.
2. The external auditors also review the status of procedural and transactional compliance in all financial transactions of the University.

They shall Assure:

- Whether expenditure has been incurred in accordance with the framed guidelines, as per established procedures/system
- Whether strong internal control/checks are in place for monitoring of expenditures Whether applicable statutory requirement have been complied with
- Whether proper records have been maintained and documents have been kept in the secured form Whether all discrepancies/suggestions made in the previous audit report has been complied with The Board of Accounts considers the audited annual financial statement and submits its recommendation to the Board of Management for approval.
- Concurrent audit is done by an external chartered accountant firm appointed by the lending bank and same is conducted in accordance with the direction/prescribed format of the respective Bank on quarterly basis. The Auditor submits its report directly to the appointing bank.

Internal Audit
The university has established in-house Internal Audit Department in the year 2014. Internal audits streamline all transactions and check the compliance level across the hierarchy. Internal audit is more focused on the authenticity of financial transactions and monitoring of tax and other regulatory compliances.

VISION AND MISSION IMPLEMENTATION POLICY

1. Purpose

This policy ensures the alignment of the university's vision and mission with its academic and administrative governance. It provides a framework for embedding the institution's core values and long-term goals into decision-making, planning, and operational processes.

2. Scope

This policy applies to all stakeholders, including the university administration, faculty, staff, students, and governing bodies, ensuring that all academic and administrative activities reflect the stated vision and mission.

3. Vision and Mission Statements

- **Vision Statement:** [Insert Vision Statement]
  E.g., "To be a global center of excellence in education, research, and innovation, fostering knowledge for a sustainable future."
- **Mission Statement:** [Insert Mission Statement]
  E.g., "To impart holistic education, create transformative research, and contribute to societal development through innovation and inclusivity."

4. Objectives

- Ensure that the institution's vision and mission guide its academic programs, research activities, and administrative decisions.
- Promote awareness of the vision and mission among stakeholders.
- Monitor the alignment of governance practices with the stated vision and mission.

5. Governance Framework

5.1 **Academic Governance:**

- Design curriculum and academic programs that align with the institution's mission to promote knowledge, research, and societal development.
- Foster interdisciplinary and innovative teaching-learning practices reflecting the vision of excellence.
- Incorporate community service and ethical values in academic programs to fulfill the mission of inclusivity and social impact.

5.2 **Administrative Governance:**

- Develop transparent and efficient administrative systems guided by the institution's core values.
- Allocate resources to ensure alignment with strategic priorities stemming from the vision and mission.
- Establish policies and practices that uphold sustainability, equity, and accountability.

5.3 **Leadership and Decision-Making:**

- Empower leadership at all levels to act in alignment with the institution's long-term goals.

- Promote participatory decision-making involving key stakeholders to reflect the institution's mission of inclusivity.

6. Integration with Activities

6.1 **Teaching and Learning:**

- Develop academic programs and courses that address contemporary challenges and contribute to societal advancement.
- Encourage faculty to innovate pedagogical methods to align with the institution's goals.

6.2 **Research and Innovation:**

- Focus on research that addresses global challenges, aligns with sustainable development goals, and enhances societal welfare.
- Establish collaborations with industries, academia, and government to reflect the vision of global impact.

6.3 **Student Development:**

- Offer programs that foster leadership, ethics, and entrepreneurial skills in students.
- Encourage student participation in activities that reflect institutional values, such as community outreach and cultural engagement.

6.4 **Community Engagement:**

- Organize outreach programs and initiatives to benefit local and global communities, reflecting the institution's commitment to societal impact.

7. Monitoring and Evaluation

7.1 **Institutional Committees:**

- Establish committees to periodically review the alignment of academic and administrative activities with the vision and mission.

7.2 **Feedback Mechanism:**

- Gather feedback from students, faculty, staff, and external stakeholders on the relevance and implementation of the vision and mission.

7.3 **Key Performance Indicators (KPIs):**

- Use measurable KPIs to assess the effectiveness of the institution's efforts in achieving its stated vision and mission.

8. Awareness and Communication

8.1 **Dissemination:**

- Publish the vision and mission on the university website, promotional materials, and policy documents.
- Display the vision and mission prominently on campus premises.

8.2 **Stakeholder Engagement:**

- Conduct orientation sessions, workshops, and meetings to familiarize stakeholders with the institution's vision and mission.

- Encourage active participation from stakeholders in achieving institutional goals.

9. Policy Compliance and Review

- Ensure that all institutional policies, practices, and initiatives are consistent with the vision and mission.

This policy will be reviewed every five years or as necessitated by strategic changes to the institution's goals.

6.1.1 ***The Institution has clearly stated vision and mission which are reflected in its academic and administrative governance.***

Response:

Vision

- Bareilly International University will have a transformative impact on society through continual innovation in education, research, creativity, and entrepreneurship.
- To be a leading medical institution excels in providing quality education, research environment and affordable health care services.

Mission

- To impart quality higher education and to undertake research and extension with emphasis on application and innovation that cater to the emerging societal needs through all-round development of the students of all sections enabling them to be globally competitive and socially responsible citizens with intrinsic values.
- Our endeavor is to create academic and research environment by providing state of art infrastructure & facilities to impart knowledge and develop skill in its pupil and function as a center of cost effective comprehensive health care services where people are treated with dignity and respect. Ensure holistic development of its pupil to attain success in personal and professional life and handle contemporary health problem of society effectively.

Bareilly International University, Bareilly is the recognized private University in the State of Uttar Pradesh imparting medical education. The University aims to develop and administer research and educational institutions including medical, dental, nursing and pharmacy, to develop health manpower by creating training centers for medical and allied health care professionals and to promote and subsidize activities of other educational institutions which are catering and improving public health at large.

Academic and Administrative Governance

The Bareilly International University, Bareilly aims to provide training to create knowledgeable and skilled healthcare manpower. The University shall develop and administer research and educational institutions including medical, dental, nursing and pharmacy, develop health manpower by creating training centres for medical and allied health care professionals, promote and subsidize activities of other educational institutions that are catering and improving public health at large. It further aims to bring in foreign collaboration and set up a truly global standard hospitals and educational institutes like Howard University, Oxford University, AIIMS- New Delhi PGIMER Chandigarh and many more.

BAREILLY INTERNATIONAL UNIVERSITY

(Established Under Govt. of U.P. Act 26 of 2016)
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Bareilly International University, Bareilly is the epitome of quality health care through continuous research and development. The medical fraternity here seeks to improve health care by using modern medical systems. The teaching hospital institute provides outstanding and affordable medical care in a patient-friendly environment in the spirit of compassion for all, regardless of race, caste, religion or economic condition. As a result, Bareilly International University, Bareilly has bagged many awards for social and research work.

EFFECTIVE LEADERSHIP, DECENTRALIZATION AND PARTICIPATIVE MANAGEMENT POLICY

1. Purpose

This policy aims to define and ensure the effective implementation of leadership practices within the university, focusing on decentralization and participative management. The goal is to foster an inclusive leadership structure that empowers all stakeholders and enhances decision-making processes at all levels of governance.

2. Scope

This policy applies to all academic, administrative, and student leadership bodies within the university. It ensures that leadership practices are aligned with the values of transparency, inclusivity, and collective decision-making.

3. Objectives

- Promote leadership that is shared across various levels of the institution.
- Enhance the effectiveness of decision-making through decentralization and participative management practices.
- Ensure that leadership is exercised through collaboration, openness, and shared responsibility.
- Empower all stakeholders (faculty, staff, students, and administration) to actively contribute to institutional development.

4. Leadership Structure

4.1 **Institutional Leadership:**

- The leadership of the university is structured to be inclusive, with clear roles at the top executive level (Chancellor, Vice-Chancellor, Deans, Directors) as well as decentralized leadership in academic departments, research centers, student bodies, and administrative units.
- There is a strong emphasis on decentralized leadership, where decision-making authority is delegated to relevant units, departments, or committees.

4.2 **Decentralization and Decision-Making:**

- Authority is decentralized in such a way that decision-making is encouraged at all levels, from individual departments to the highest governing bodies.
- Academic, research, student welfare, and administrative areas each have their own leadership teams that have the autonomy to make decisions relevant to their functions while adhering to institutional policies.
- Decision-making processes are transparent and inclusive, allowing for input from all relevant stakeholders.

4.3 **Collaborative Leadership Teams:**

- Leadership teams are composed of members from diverse backgrounds, departments, and stakeholder groups, including faculty, administrators, and student representatives. This structure encourages dialogue and broad perspectives in the decision-making process.

5. Participative Management Practices

5.1 **Stakeholder Engagement:**

- Decisions regarding academic programs, institutional policies, and strategic planning are made through consultation with all stakeholders, including faculty, students, staff, and alumni.
- Regular meetings, feedback sessions, and surveys are conducted to understand the concerns, needs, and ideas of various stakeholders.

5.2 **Faculty Involvement:**

- Faculty members are actively involved in the decision-making process regarding curriculum design, course development, and academic planning.
- Faculty committees are empowered to make decisions that affect their departments, ensuring their expertise is central to key academic policies.

5.3 **Student Participation:**

- Students play an integral role in participative management, especially through bodies like the Student Council, which provides feedback on student welfare and academic programs.
- Students are included in discussions related to curriculum development, co-curricular activities, and campus facilities.

5.4 **Administrative Participation:**

- Administrative staff are consulted in decisions that affect their respective domains, such as human resources, operations, and finance.
- Regular training and development opportunities are provided to administrative staff, ensuring their active and informed participation in institutional management.

5.5 **Committees and Task Forces:**

- Committees and task forces are formed to handle specific aspects of university governance, such as academic affairs, student services, and infrastructure development.
- These committees include representatives from all relevant departments and provide recommendations that inform institutional decisions.

6. Empowerment and Accountability

6.1 **Delegation of Authority:**

- Authority and responsibility are delegated at multiple levels of governance to empower leadership within departments, units, and committees.
- Heads of departments, deans, and other leaders are encouraged to take initiative and ownership of their areas while ensuring alignment with institutional goals.

6.2 **Accountability Mechanisms:**

- Effective monitoring and accountability systems are in place to ensure that leadership actions and decisions align with the university's vision, mission, and strategic objectives.
- Leaders are held accountable for the outcomes of their decisions, with regular performance reviews, audits, and evaluations.

7. Transparent Communication and Feedback

7.1 **Regular Communication:**

- Leadership ensures transparent communication through regular meetings, announcements, and reports.
- A clear and open channel of communication is maintained between leadership and all stakeholders to address concerns and share updates on institutional development.

7.2 **Feedback Mechanisms:**

- Stakeholder feedback is gathered regularly through surveys, forums, and informal meetings to assess the effectiveness of leadership practices.
- Feedback is used to refine and improve management practices, ensuring that leadership is responsive to the needs of the university community.

8. Professional Development and Leadership Training

8.1 **Training Programs:**

- Leadership development programs are offered to faculty, staff, and students to enhance their leadership skills.
- Special training is provided for emerging leaders to prepare them for leadership roles, ensuring continuity and sustainability in leadership.

8.2 **Cross-Departmental Collaboration:**

- Encourage cross-departmental and cross-functional collaboration through leadership development workshops, mentorship programs, and team-building activities.
- Leadership is seen as a shared responsibility, with opportunities for individuals to lead various initiatives and contribute to the institution's goals.

9. Policy Review and Continuous Improvement

- This policy will be reviewed annually to ensure its alignment with the evolving needs of the institution and to incorporate best practices in leadership and participative management.
- Updates and revisions will be made based on stakeholder feedback and the university's changing strategic objectives.

6.1.2 ***Effective leadership is reflected in various Institutional practices such as decentralization and participative management etc.***

Response:

The Bareilly International University, Bareilly and the Statutes designates the following as the Authorities of the University:

1. Board of Management
2. Academic Council
3. Faculties
4. Board of Studies
5. Board of Research
6. Board of Ethics

Board of Accounts The composition of all these apex authorities is constituted by members from various segments as stakeholders clearly indicating the decentralized and participative nature of the Bareilly International University, Bareilly being enshrined in the very Acts and Statues of the University.

Admission and Examination Process

Admitting students and conducting their assessment are the two major functional responsibilities of the University. Policy formulation for the admission to various programs is undertaken through an Admission Cell. Examinations are conducted with the help of its constituent unit. Starting from the setting of the examination papers, conduct of the examination, evaluation of answer scripts and declaration of results the process is undertaken in a structured and decentralized manner.

Academic Administration

The Academic decisions pertaining to introduction, structuring, revision and reformulation of courses and syllabi are taken through Board of Studies and Committee of Courses, Board of Research, Faculty, Academic Council and Board of Management. At the faculty and department levels, there is Department Research Committee (in departments with PhD) that functions to take decisions with respect to academic and research related issues.

Office Administration

Recruitment and promotions committees are duly constituted to represent various stakeholders. The recruitment of faculty is done by the Selection Committee, H. R Department with ultimate approval of the Vice Chancellor.

Financial Administration

Budget and estimate preparation are done after obtaining inputs from all concerned end users so as to incorporate their requirements. The authorization matrix is decentralized at various levels in line with the organization hierarchy to enable proper checks and controls as well as autonomy in decision-making.

Case study on decentralization and participative management:

Decentralization at BIU

BIU empowers its individual departments with decision-making autonomy, allowing each faculty whether in Medicine, Nursing, Dentistry, or Pharma—to tailor academic and administrative functions to the specific needs of their disciplines. By delegating responsibilities like curriculum design, departmental budgeting, and faculty recruitment to specialized committees, the university accelerates decision-making processes and enhances program relevance. This approach ensures that each department operates efficiently and is able to respond dynamically to changes in healthcare education and industry demands.

Participative Management at BIU

At BIU, participative management is key to creating an inclusive governance structure. Faculty members, administrative staff, and students are encouraged to actively contribute to decision-making through committees, feedback mechanisms, and regular consultations. This collaborative environment fosters transparency and accountability, as diverse perspectives are considered in shaping academic policies, resource allocation, and student engagement initiatives.

EFFECTIVE DEPLOYMENT OF THE INSTITUTIONAL STRATEGIC PLAN POLICY

1. Purpose

This policy outlines the framework for ensuring the effective deployment of the university's strategic plan. It aims to guarantee that the strategic objectives are translated into actionable steps and are consistently monitored and evaluated to drive the university towards its long-term goals.

2. Scope

This policy applies to all departments, faculties, administrative units, and governance structures involved in implementing the institutional strategic plan. It ensures alignment of individual activities with the broader strategic objectives of the university.

3. Objectives

- Ensure that the institutional strategic plan is effectively translated into measurable actions across the university.
- Align university resources, processes, and operations with the strategic goals.
- Provide mechanisms for monitoring, reviewing, and adjusting the strategic plan as necessary.
- Foster a culture of continuous improvement and accountability in the implementation of the strategic plan.

4. Strategic Planning Framework

4.1 **Development of the Strategic Plan:**

- The university's strategic plan is developed by senior leadership with input from all key stakeholders, including faculty, staff, students, and alumni.
- The plan includes clear vision, mission, goals, objectives, timelines, and performance indicators.

4.2 **Key Components of the Strategic Plan:**

- **Vision and Mission Alignment:** Ensure that the plan aligns with the university's long-term vision and mission.
- **Strategic Goals:** Define measurable goals that address key areas such as academic excellence, research, student development, community engagement, infrastructure, and financial sustainability.
- **Action Plans:** Develop specific, time-bound action plans that outline the initiatives, resources, and responsibilities needed to achieve strategic goals.

5. Deployment of the Strategic Plan

5.1 **Leadership and Responsibility:**

- The university leadership (including the Chancellor, Vice-Chancellor, Deans, Directors, and Heads of Departments) is responsible for ensuring the strategic plan is effectively implemented across all levels.
- The strategic objectives are assigned to relevant departments, with clear roles and responsibilities for each.

- The strategic deployment is communicated to all stakeholders, ensuring transparency and clarity about the plan's objectives and their contributions.

5.2 **Resource Allocation:**

- Adequate resources (financial, human, and infrastructural) are allocated to the initiatives outlined in the strategic plan.
- Budgeting and resource planning are aligned with the strategic priorities, ensuring that funding supports the university's goals.
- Departments and units are encouraged to submit funding requests aligned with strategic objectives to ensure alignment with the broader institutional goals.

5.3 **Action Plans and Milestones:**

- For each strategic goal, detailed action plans with specific milestones, deadlines, and accountability mechanisms are developed.
- These action plans are reviewed regularly to ensure progress and identify any obstacles to achieving the objectives.

6. Monitoring and Evaluation

6.1 **Key Performance Indicators (KPIs):**

- Key performance indicators (KPIs) are established for each strategic goal to track progress over time.
- KPIs will measure both qualitative and quantitative outcomes, such as academic performance, research output, student satisfaction, financial health, and operational efficiency.

6.2 **Regular Monitoring:**

- Regular progress reports will be generated and reviewed at quarterly or bi-annual intervals.
- A central committee or strategic planning office will be designated to oversee the monitoring process, compile reports, and assess if goals are being met.

6.3 **Annual Review:**

- An annual review of the strategic plan will be conducted by senior leadership, with input from various departments and stakeholders.
- This review process will include a performance assessment based on KPIs and feedback from faculty, students, and staff.
- The annual review will also involve updating and refining the strategic goals as necessary based on internal and external factors.

6.4 **Adjustments and Flexibility:**

- If there are significant challenges or changes in the university's environment (such as funding, policy changes, or market shifts), the strategic plan may be adjusted to ensure continued relevance and alignment with the university's objectives.
- Flexible strategies will be in place to adapt to unforeseen circumstances while keeping long-term goals intact.

7. Communication and Engagement

7.1 **Stakeholder Communication:**

- The strategic plan and its objectives are communicated to all university stakeholders, including faculty, staff, students, alumni, and governing bodies.
- A clear communication strategy is in place to ensure that updates on the progress of the plan are disseminated regularly.
- A dedicated website or portal may be created to provide information, updates, and opportunities for feedback.

7.2 **Engagement and Collaboration:**

- Encourage ongoing engagement and collaboration across departments and units, fostering a sense of ownership and commitment to the strategic goals.
- Regular meetings, workshops, and seminars will be held to ensure the active involvement of all stakeholders in implementing the strategic plan.

8. Accountability and Governance

8.1 **Leadership Accountability:**

- University leaders, including Deans, Department Heads, and Directors, will be held accountable for the successful deployment of the strategic plan within their areas.
- Annual performance reviews for academic and administrative leaders will assess their contributions to the implementation of the strategic plan.

8.2 **Transparency in Reporting:**

- Regular progress reports and performance reviews will be publicly shared with the university community to ensure transparency in the deployment of the strategic plan.
- Any adjustments or changes made to the plan will be communicated clearly and promptly to all stakeholders.

9. Continuous Improvement

9.1 **Feedback Mechanisms:**

- Continuous feedback will be gathered from faculty, staff, students, and external stakeholders to inform adjustments to the strategic plan.
- An open-door policy will be maintained for suggestions, concerns, and proposals for improvements related to the strategic plan.

9.2 **Innovation and Adaptability:**

- The university will actively seek innovative solutions and opportunities to improve upon its strategic goals, fostering a culture of adaptation and growth.
- Best practices in higher education and institutional governance will be incorporated into the strategic deployment process.

10. Policy Review and Updates

- This policy will be reviewed annually to ensure its continued relevance and effectiveness in supporting the strategic goals of the university.
- Updates to the policy will be made as needed to reflect changes in the institution's priorities or operational needs.

6.2.1 *The Institutional Strategic plan is effectively deployed.*

Response:

Bareilly International University, Bareilly has a strategic plan in place and it is deployed effectively to create the future of healthcare through healthcare services, education and research. It is done with the aim of bringing to life new ideas, systems, and technologies to enable the health improvement of communities near and far. The administrators involved in developing the strategic plan are the Vice Chancellor, Registrar, Deans of the faculties, Heads of the Institutes and Heads of the Departments, Finance officer, Architect and the representatives of the non-teaching staff.

The Strategic Plan of the University is made keeping five pillars in mind to achieve excellence -People, Discovery, Education, Health Care and Community Service:

People: To recruit, develop, and National health programs successful and support the Government in any national medical emergency

The mechanism of deployment of the Strategic Plan is through the continuous and various efforts put in by the University. Steps have been taken to organize CMEs, workshops and conferences at state, national and international level in all constituent colleges of the University. To promote interdisciplinary research, faculties are encouraged to take more research projects and publications. NABH accreditation of hospital and blood bank and NABL accreditation of the lab are being continuously upgraded. The University works towards organizing faculty development programs (FDPs), for teaching and non-teaching staff for their professional skill development. It works towards developing online academic programs, simulation lab, skill lab, e-class rooms which is the future of education.

The monitoring and evaluation of the strategic plan

1. The feedback are collected from the various Stakeholders and subsequent measures are taken. retain the best faculty, staff, and learners who work together for the greater good.
2. **Discovery:** To increase the faculty's competitiveness and their ability to pursue major scientific questions in a rich and diverse environment that leads to discoveries that inspire new preventions, treatments, and cures.
3. **Education:** To create a safe, effective, and learner-focused environment to support the growth and development of faculty, staff, trainees, and students that engage in education for the advancement of medical and allied science, health and healthcare delivery.
4. **Health Care:** To deliver outstanding patient care and improve health for local, state, national, and global populations while caring for each other. The University shall extend its full support to make the benefits for society.
5. **Community Service:** To engage and collaborate with other institutional, local, state, national and global communities for advancement in health care system.

EFFECTIVENESS AND EFFICIENCY OF INSTITUTIONAL BODIES POLICY

1. Purpose

This policy outlines the framework to ensure the effectiveness and efficiency of the university's institutional bodies. It aims to establish clear administrative structures, policies, and procedures for the functioning of these bodies, ensuring they operate in alignment with the institution's goals, maintain transparency, and meet legal and regulatory standards.

2. Scope

This policy applies to all institutional bodies within the university, including academic, administrative, and governance bodies, as well as the processes related to appointments, service rules, and operational procedures. It ensures consistent application of governance practices across the university.

3. Objectives

- To ensure the smooth and efficient functioning of institutional bodies within the university.
- To establish clear and transparent policies, service rules, and procedures that guide the activities of institutional bodies.
- To maintain a consistent framework for appointments, recruitment, and staff management, ensuring fairness and compliance with legal standards.
- To foster accountability, transparency, and collaboration in all institutional practices.

4. Institutional Bodies and Governance Structures

4.1 University Governance Structure:

- The university governance is composed of various bodies, such as the **Governing Body**, **Academic Council**, **Board of Studies**, **Executive Committee**, and **Student Council**.
- Each body has clearly defined roles, responsibilities, and reporting structures that align with the university's mission and goals.

4.2 Key Responsibilities of Institutional Bodies:

- **Governing Body:** Oversees overall policy-making, strategic direction, and governance practices.
- **Academic Council:** Responsible for setting academic standards, approving curricula, and ensuring academic quality.
- **Board of Studies:** Manages specific academic programs, ensuring alignment with educational objectives.
- **Executive Committee:** Handles operational matters, resource allocation, and administration.
- **Student Council:** Represents student interests and contributes to decision-making on student welfare and engagement.

5. Administrative Setup and Functions

5.1 Administrative Structure:

- The university has a well-defined administrative setup that includes departments, units, and committees, each responsible for specific areas (e.g., admissions, finance, student services).

- Clear job descriptions, roles, and responsibilities are established for each position within the administrative structure to ensure smooth operations.
- Key administrative functions include human resources, finance management, academic support, student services, and facilities management.

5.2 **Delegation of Authority and Decision-Making:**

- Authority is delegated to appropriate levels within the administration to ensure timely decision-making and operational efficiency.
- Decentralized decision-making is encouraged, with departments and units having autonomy in managing day-to-day functions, while remaining accountable to the higher governing bodies.

6. Policies and Procedures

6.1 **Institutional Policies:**

- The university maintains a comprehensive set of institutional policies that govern all operational aspects, including academic policies, admissions policies, grievance redressal procedures, code of conduct, and financial policies.
- These policies are regularly reviewed and updated to ensure compliance with legal and regulatory requirements.

6.2 **Administrative Procedures:**

- Clear and documented procedures are in place for all major administrative functions, such as recruitment, financial management, student admission, and examinations.
- Standard operating procedures (SOPs) are developed for all critical functions to ensure uniformity, efficiency, and compliance.
- Transparent documentation and communication channels are maintained to ensure that all procedures are easily accessible to relevant stakeholders.

7. Appointment and Service Rules

7.1 **Recruitment and Appointment Procedures:**

- The university follows a fair, transparent, and merit-based recruitment process for hiring faculty, administrative staff, and other personnel.
- Clear job descriptions, qualifications, and responsibilities are outlined for each position.
- Recruitment processes are compliant with national and regional regulations and are overseen by the **Human Resource Committee** to ensure fairness.

7.2 **Service Rules:**

- Detailed service rules are established for all employees, including faculty, administrative staff, and other university personnel. These rules outline rights, responsibilities, working conditions, compensation, and benefits.
- **Code of Conduct:** The university maintains a code of conduct for faculty and staff that governs their behavior, ethical standards, and interactions within the university community.
- **Performance Management:** Regular performance appraisals are conducted to evaluate the effectiveness of staff, encourage professional development, and ensure that the university's objectives are met.

7.3 **Grievance Redressal Mechanism:**

- A robust grievance redressal mechanism is in place to address concerns from employees, students, and other stakeholders.
- This mechanism is accessible, transparent, and ensures that complaints are resolved in a timely and fair manner.

8. Monitoring and Evaluation of Institutional Bodies

8.1 **Regular Audits and Reviews:**

- The functioning of institutional bodies is regularly audited to ensure they are operating in alignment with university policies, objectives, and legal standards.
- The **Internal Audit Committee** and external auditors review financial management, resource allocation, and compliance with statutory requirements.

8.2 **Annual Reports and Performance Review:**

- Each institutional body is required to submit an annual report detailing its activities, achievements, and challenges.
- These reports are reviewed by senior leadership and the governing body to assess the overall performance and effectiveness of each body.

8.3 **Feedback and Continuous Improvement:**

- Stakeholder feedback (faculty, staff, students, alumni) is gathered to assess the effectiveness of institutional bodies in meeting the university's goals.
- Based on feedback and performance evaluations, corrective actions are taken to improve efficiency and effectiveness in the functioning of the institutional bodies.

9. Accountability and Transparency

9.1 **Accountability Mechanisms:**

- Accountability mechanisms are in place for both academic and administrative bodies to ensure that decisions are made in the best interest of the institution.
- Regular meetings with internal and external stakeholders (faculty, students, community members) provide an opportunity for accountability and feedback.

9.2 **Transparency in Operations:**

- Transparent decision-making processes are maintained at all levels, with minutes of meetings, reports, and decisions made publicly available to all relevant stakeholders.
- Information related to policies, procedures, and administrative actions is communicated clearly and promptly.

10. Review and Continuous Improvement

- This policy will be reviewed periodically to assess its effectiveness in promoting the smooth functioning of institutional bodies.
- Revisions will be made as necessary to reflect changes in governance practices, legal requirements, or institutional needs.

- The university encourages continuous improvement through regular feedback, training, and updates to operational procedures.

6.2.2 ***Effectiveness and efficiency of functioning of the Institutional bodies as evidenced by policies, administrative setup, appointment and service rules, procedures etc.***

Response:

Introduction

Bareilly International University (BIU) operates within a structured organizational framework that meets statutory requirements, ensuring effective administrative functioning. The Chairperson leads the University and presides over meetings of the Board of Management, Board of Accounts, and Convocation. The President serves as the principal executive and academic officer, while the Registrar authenticates documents and maintains records for the University, exercising additional powers as outlined by the statutes.

The Provost and Proctor are tasked with upholding discipline within the University, while the Director of Hospital Administration manages all operations related to the hospitals. The Chief Finance & Accounts Officer oversees financial records, and the Controller of Examinations is responsible for academic functions, including exam administration, evaluation, and maintaining comprehensive student records in line with regulatory standards.

BIU comprises various faculties, each led by a Dean who ensures compliance with statutes, ordinances, and regulations relevant to their respective areas. The Convener of the Board of Studies for each course advises Deans on subject-specific matters, facilitating academic coherence.

The governing bodies at BIU include:

- **Board of Management**: This is the principal executive body, responsible for controlling University operations and establishing policies.
- **Academic Council**: The main academic body supervises academic policies and practices.
- **Faculty and Board of Studies/Committee of Courses**: These groups consider matters referred by the Board of Management or Academic Council, providing recommendations to the Academic Council.
- **Board of Research**: This board ensures research standards are maintained and updates PhD/MD/MS/MDS thesis work according to statutory guidelines.
- **Board of Accounts**: Conducting audits and preparing annual financial reports, this board advises the Board of Management on financial matters.

Meetings of all administrative bodies, including the Board of Management and Academic Council, are held in accordance with established regulations.

Additionally, the University periodically forms various committees, such as the Grievance Committee, Anti-Ragging Committee, Library Committee, and International Student Cell, to facilitate the smooth functioning of different operations.

BIU has implemented a range of policies to enhance operational efficiency, including the Research Promotion Policy, Anti-Plagiarism Policy, Internal and External Audit Policy, Intellectual Property Rights (IPR) Policy, and Financial Management and Resource Mobilization Policy. These initiatives collectively support the University's mission to provide high-quality education and maintain academic integrity, ensuring a conducive environment for learning and research. Through its structured governance and comprehensive policies, BIU remains committed to fostering an enriching educational experience for its students.

6.4.1

CONDUCTING INTERNAL AND EXTERNAL FINANCIAL AUDITS REGULARLY POLICY

1. Purpose

This policy outlines the procedures for conducting regular internal and external financial audits at the university. The objective is to ensure transparency, accountability, and compliance with applicable financial regulations and standards. The policy also aims to enhance financial integrity and the effective use of resources to meet the university's strategic goals.

2. Scope

This policy applies to all financial transactions, operations, and departments of the university. It covers both the internal audit processes, which are conducted by the university's internal audit team, and the external audits, which are carried out by independent auditing firms.

3. Objectives

- To ensure financial integrity, transparency, and accuracy in the university's financial reporting.
- To evaluate the effectiveness of internal controls and financial management practices.
- To comply with regulatory requirements and industry best practices in financial management.
- To provide stakeholders with an assurance of proper financial governance and accountability.

4. Internal Financial Audit

4.1 **Audit Committee and Internal Audit Team:**

- **Audit Committee:** The university will establish an Audit Committee, composed of senior administrative members, including the Chief Financial Officer (CFO), to oversee the internal audit process.
- **Internal Audit Function:** The university will maintain a dedicated internal audit team responsible for planning, conducting, and reporting on the internal audits. This team will report directly to the Audit Committee and the Board of Trustees.
- **Independence:** The internal audit function will operate independently, ensuring objectivity in evaluating the university's financial operations and practices.

4.2 **Audit Frequency and Scope:**

- **Annual Audits:** Internal audits will be conducted annually to assess the financial health of the university and the effectiveness of financial controls.
- **Target Areas:** The internal audit will focus on financial reporting, resource allocation, budgeting, procurement, expenditure management, compliance with policies and regulations, and any other relevant financial processes.
- **Risk-Based Audits:** The internal audit team will prioritize areas with higher financial risk, such as large capital expenditures, grants, and investments.

4.3 **Audit Process and Methodology:**

- **Audit Planning:** The internal audit team will prepare an audit plan at the beginning of each financial year, outlining the areas to be audited, the scope of the audit, and the timeline for completion.

- **Fieldwork:** The internal auditors will review relevant financial documents, perform reconciliations, conduct interviews with key personnel, and verify compliance with internal controls.
- **Reporting:** After completing the audit, the internal audit team will present a detailed report to the Audit Committee, which will include findings, recommendations for improvement, and any identified risks or weaknesses in financial processes.
- **Follow-Up:** The internal audit team will also follow up on the implementation of recommendations from previous audits, ensuring that corrective actions are taken.

4.4 **Recommendations and Corrective Actions:**

- **Action Plans:** The Audit Committee, in collaboration with relevant departments, will develop action plans to address any audit findings or weaknesses identified.
- **Monitoring:** The university will monitor the implementation of corrective actions and improvements to financial processes based on audit recommendations.

5. External Financial Audit

5.1 **Appointment of External Auditors:**

- **Independent Auditing Firm:** The university will appoint a qualified and reputable external auditing firm on an annual basis to conduct independent audits. The appointment of external auditors will be approved by the Board of Trustees, ensuring their independence and objectivity.
- **Audit Terms of Reference:** The university will define clear terms of reference for the external auditors, including the scope of the audit, key focus areas, and timelines for reporting.

5.2 **Audit Frequency and Scope:**

- **Annual External Audits:** The external audit will be conducted annually, covering all aspects of the university's financial activities, including financial statements, internal controls, compliance with laws and regulations, and adherence to accounting standards.
- **Financial Statements:** The external audit will include a review of the university's balance sheet, income statement, cash flow, and statement of changes in equity.
- **Compliance with Accounting Standards:** The external auditors will verify that the university's financial reports are prepared in accordance with generally accepted accounting principles (GAAP) or international financial reporting standards (IFRS), as applicable.

5.3 **Audit Process and Methodology:**

- **Audit Planning:** The external auditors will meet with the university's financial management team to discuss the audit scope, timeline, and any areas of concern.
- **Fieldwork:** External auditors will perform their work by reviewing financial records, interviewing key personnel, conducting analytical procedures, and verifying the accuracy and completeness of financial transactions.
- **Audit Opinion:** At the conclusion of the audit, the external auditors will issue an audit opinion on the fairness and accuracy of the financial statements, based on the evidence gathered during the audit.
- **Audit Report:** The external auditors will prepare a detailed audit report, highlighting key findings, concerns, and recommendations for improving financial practices and controls.

5 4 **Audit Findings and Recommendations:**

- **Presentation of Results:** The results of the external audit, including any issues or concerns identified, will be presented to the university's Audit Committee and the Board of Trustees.
- **Management Responses:** The university's management will provide responses to the external audit findings, including action plans for addressing identified weaknesses or deficiencies in financial processes.
- **Public Disclosure:** If required by regulatory bodies or stakeholders, the university will disclose the external audit report to the public, ensuring transparency and accountability.

5.5 **Management of Audit Recommendations:**

- **Action Plan:** The university will develop an action plan to address the recommendations made by the external auditors, with timelines and responsible parties for implementing corrective actions.
- **Follow-Up:** The university will track the progress of implementing recommendations and report back to the Audit Committee on the status of corrective actions.

6. Compliance and Legal Considerations

6.1 **Compliance with Regulatory Requirements:**

- The university will ensure that all audits (internal and external) comply with applicable laws, regulations, and accounting standards. This includes compliance with tax laws, reporting requirements, and other statutory regulations relevant to financial management and auditing.
- The university will also adhere to the guidelines set by relevant accrediting bodies and government agencies regarding financial audits.

6.2 **Data Protection and Confidentiality:**

- All audit activities will be conducted with strict adherence to data protection laws and confidentiality agreements. Financial records, audit findings, and other sensitive information will be treated with the utmost confidentiality to protect the privacy of stakeholders.

7. Accountability and Reporting

7.1 **Accountability Mechanisms:**

- The university's leadership, including the Audit Committee and senior management, will be accountable for ensuring that internal and external audits are conducted regularly and effectively.
- The Board of Trustees will receive regular reports on the findings of both internal and external audits, along with the progress on implementing any recommendations.

7.2 **Transparency and Reporting to Stakeholders:**

- The university will ensure transparency in its financial management practices by making audit reports available to relevant stakeholders, including faculty, staff, students, alumni, and regulatory bodies.
- The university will foster a culture of accountability by openly addressing audit findings and making improvements where necessary.

8. Policy Review and Updates

- This policy will be reviewed annually by the university's Board of Trustees to ensure its relevance and effectiveness.
- Any changes in regulatory requirements, accounting standards, or auditing practices will be incorporated into this policy to maintain compliance and ensure continuous improvement.

6.5.3

IMPACT ANALYSIS OF INITIATIVES FOR QUALITY IMPROVEMENT POLICY

1. Purpose

This policy establishes a systematic framework for conducting impact analysis of initiatives undertaken by the university to improve quality across academic, administrative, and operational functions. The aim is to measure effectiveness, identify areas for enhancement, and align initiatives with the university's strategic objectives.

2. Scope

This policy applies to all quality improvement initiatives across the university, including but not limited to:

- Academic programs and teaching-learning processes.
- Research and innovation activities.
- Infrastructure and resource enhancements.
- Student support and development programs.
- Administrative and operational improvements.

3. Objectives

- To evaluate the outcomes of quality improvement initiatives against defined goals and objectives.
- To measure the short-term and long-term impacts of these initiatives on stakeholders.
- To ensure continuous improvement by identifying successes, challenges, and areas needing refinement.
- To use evidence-based insights for strategic decision-making and resource allocation.

4. Principles of Impact Analysis

4.1 **Data-Driven Approach:**

- Rely on quantitative and qualitative data to evaluate the impact of initiatives.

4.2 **Stakeholder-Centric:**

- Engage students, faculty, staff, alumni, and external stakeholders in the evaluation process to gather comprehensive insights.

4.3 **Alignment with Vision and Mission:**

- Ensure that the outcomes of initiatives align with the university's vision, mission, and strategic objectives.

4.4 **Sustainability and Scalability:**

- Assess the sustainability and scalability of initiatives for long-term benefit.

5. Methodology for Impact Analysis

5.1 **Planning the Analysis:**

- **Define Objectives:** Clearly outline the goals of the initiative and the desired outcomes.
- **Identify Metrics:** Develop key performance indicators (KPIs) to measure success.

- **Set Timeframes:** Determine the appropriate timelines for data collection and analysis.

5.2 **Data Collection:**

- **Quantitative Data:** Use surveys, performance metrics, usage statistics, and financial data.
- **Qualitative Data:** Gather insights through focus groups, interviews, and stakeholder feedback.
- **Baseline Data:** Collect baseline data before implementing initiatives for comparison with post-implementation outcomes.

5.3 **Evaluation Process:**

- **Comparative Analysis:** Compare pre- and post-initiative data to assess progress and improvement.
- **Trend Analysis:** Evaluate trends over time to understand the consistency of outcomes.
- **Stakeholder Feedback:** Incorporate feedback from key stakeholders to validate findings and provide additional context.

5.4 **Impact Measurement Areas:**

- **Academic Impact:** Improvements in student learning outcomes, faculty performance, and program effectiveness.
- **Research Impact:** Growth in research output, collaborations, and innovation.
- **Operational Impact:** Enhanced efficiency, resource optimization, and service delivery.
- **Stakeholder Satisfaction:** Increased satisfaction levels among students, staff, and external partners.

5.5 **Reporting and Documentation:**

- Prepare detailed reports summarizing findings, highlighting successes, challenges, and lessons learned.
- Include data visualizations, such as charts and graphs, to support findings.

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6. Feedback and Continuous Improvement

6.1 **Actionable Recommendations:**

- Use findings from the impact analysis to create action plans for further quality improvement.
- Share actionable recommendations with relevant departments for implementation.

6.2 **Follow-Up Mechanism:**

- Regularly monitor the implementation of recommended actions to ensure they achieve the desired outcomes.
- Conduct follow-up analyses to evaluate the effectiveness of changes made.

6.3 **Integration into Strategic Planning:**

- Incorporate insights from impact analyses into the university's strategic planning and decision-making processes.

7. Accountability and Roles

7.1 **Institutional Leadership:**

- Provide oversight for impact analysis and ensure that resources are allocated effectively for quality improvement initiatives.

7.2 **Internal Quality Assurance Cell (IQAC):**

- Coordinate and lead the impact analysis process.
- Develop tools and templates for data collection and evaluation.
- Consolidate findings into comprehensive reports and present them to leadership.

7.3 **Departments and Units:**

- Implement recommendations from impact analyses and report on progress.
- Participate actively in data collection and provide necessary documentation.

8. Reporting and Communication

8.1 **Transparency:**

- Share findings from impact analyses with stakeholders through reports, presentations, and university publications.
- Ensure accessibility of reports to relevant internal and external bodies.

8.2 **Regulatory Compliance:**

- Align reporting practices with requirements from accrediting and regulatory bodies.

8.3 **Recognition of Success:**

- Highlight successful initiatives and their outcomes to motivate stakeholders and build a culture of quality.

9. Policy Review and Updates

This policy will be reviewed every three years or as required to incorporate changes based on institutional needs, regulatory requirements, and advancements in quality assurance practices.

10. Conclusion

This policy ensures a systematic approach to evaluating and enhancing the effectiveness of quality improvement initiatives. Through rigorous impact analysis, the university reaffirms its commitment to excellence and continuous development across all domains.