

**UTTAR PRADESH UNIVERSITY OF MEDICAL  
SCIENCES,  
SAIFAI, ETAWAH, UTTAR PRADESH, INDIA**



**STANDARD OPERATING PROCEDURE  
FOR  
STATUTE-CUM-PROPOSAL DOCUMENT  
ROLE, POWERS AND RESPONSIBILITIES OF  
THE  
OFFICIATING ESTATE OFFICER  
AND  
ESTATE AUDIT SYSTEM**

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**ROLE, POWERS AND RESPONSIBILITIES OF THE OFFICIATING ESTATE OFFICER** 1

(A)  
**(B) STATUTE-CUM-PROPOSAL DOCUMENT  
ROLE, POWERS AND RESPONSIBILITIES OF  
THE OFFICIATING ESTATE OFFICER**

**1. Short Title, Extent and Commencement**

- 1.1 This statute shall be called **"Statute on the Role, Powers and Responsibilities of the Estate Officer, Uttar Pradesh University of Medical Sciences, Saifai."**
- 1.2 It shall extend to all land, buildings, utilities, installations and properties, movable or immovable, owned or managed by the University.
- 1.3 It shall come into force from the date of its approval by the Executive Council.

**2. Definitions**

In this statute, unless the context otherwise requires:

- 2.1 **"University"** means the Uttar Pradesh University of Medical Sciences (UPUMS), Saifai.
- 2.2 **"Estate"** includes all lands, buildings, roads, hostels, residential quarters, utilities, services, installations and allied infrastructure of the University.
- 2.3 **"Competent Authority"** means the Vice-Chancellor or any authority empowered by the Executive Council.
- 2.4 **"Estate Officer"** means an officer appointed by the University to administer and manage the estate of the University.

**3. Background and Need**

Uttar Pradesh University of Medical Sciences (UPUMS), Saifai is a rapidly expanding multi-disciplinary medical university with extensive academic, clinical, research, residential and service infrastructure. In order to ensure systematic development, optimum utilization, proper maintenance, safety and statutory compliance of university properties, it is essential to clearly define the role, powers and responsibilities of the **Estate Officer**.

**4. Objectives of the Proposal**

- 2.1 To provide statutory clarity regarding the role and functions of the Estate Officer at UPUMS.
- 2.2 To strengthen infrastructure governance, safety and maintenance systems.
- 2.3 To ensure financial discipline, audit compliance and efficient execution of estate works.
- 2.4 To align UPUMS estate management practices with premier national medical institutions.

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**5. Financial Implications**

The proposed statute does not involve any additional financial burden on the University. Instead, it aims at better utilization of existing resources, prevention of asset deterioration and improved cost control.

**6. The Estate Office**

The Estate Office is a core administrative unit responsible for custody, planning, allotment, maintenance, protection, and revenue realization of all immovable properties of UPUMS.

**7. Appointment, Status and Control**

- 7.1 The Estate Officer shall be appointed by the University.
- 7.2 The Estate Officer shall function under the overall supervision of the Vice-Chancellor and under the administrative control of the Registrar.
- 7.3 The Estate Officer shall be responsible for planning, management, maintenance and development of the University estate.

**8. Objectives of the Post**

The objectives of the Estate Officer shall be to:

- 8.1 Ensure planned development, proper maintenance and efficient utilization of University properties.
- 8.2 Provide safe, functional and compliant infrastructure in support of academic, clinical, research and residential activities.

**9. University Campus Classification**

Considering the large campus spread, residential colonies, hospital complexes, hostels, utilities, and future expansion, a properly structured University Campus is classified under following zones-

ZONE	CAMPUS AREA
Zone-1	Admin Block Campus (Admin Block, Guest House, VC Bungalow
Zone-2	Old and New Hospital, Trauma Center etc.
Zone-3	New Girls Hostel, Central Store, Auditorium, Officers Club
Zone-4	RLB Hostel, DTH, Old Residential Campus, Nursing Campus
Zone-5	SS Hospital and Residential Campus
Zone-6	Academic Block, Hostels, Library, Examination Hall, Animal House, Play Grounds, Shaded Parking and Gymnasium
Zone-7	New Residential Campus
Zone-8	Paramedical Residential Campus
Zone-9	Paramedical Hostels
Zone-10	Paramedical non Residential Campus

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## 10. Estate Committee

- 10.1 One representative for each residential building located within the residential campus.
- 10.2 One representative for each major official/administrative building, including the Administrative Block, Old Hospital Block, New Hospital Block, and other similar buildings, as notified by the University from time to time.
- 10.3 Wardens of the respective hostels, as members, for matters relating to hostel buildings and premises.
- 10.4 Officers-in-Charge of specified buildings and facilities, including but not limited to the Guest House, Examination Hall, Gymnasium, Library, and other such facilities.
- 10.5 One representative for each open land zone of the University campus, covering Zones 1 to 8, or as re-designated by the University from time to time.
- 10.6 The representative of the residential buildings shall be nominated by the Officer In-Charge, Accommodation.
- 10.7 The representative for the Hospital Buildings shall be nominated by the Medical Superintendent.
- 10.8 The representative for other buildings and open land zones shall be nominated by the Registrar or his/her nominee.
- 10.9 The members of the Estate Committee shall regularly inspect their respective buildings, areas, or zones and shall submit inspection reports to the Officiating Estate Officer for necessary action.
- 10.10 A **WhatsApp Group** shall be created by the Officiating Estate Officer comprising all members of the Estate Committee, the Registrar, all engineers of UPUMS, the In-Charge Accommodation, officials of the maintenance agency, and other relevant stakeholders to facilitate prompt communication and coordination.

## 11. Powers of the Estate Officer

Subject to the provisions, the Estate Officer shall have the power to execute with help of the Estate Committee:

- 11.1 To inspect, supervise, and manage all **University properties, buildings, and utilities**, including routine maintenance, preventive maintenance, and emergency repair works.
- 11.2 To ensure the **structural safety** of buildings and infrastructure and to enforce compliance with **environmental regulations, safety**

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- standards, and statutory norms within the University campus.
- 11.3 To oversee maintenance-related works and place any **deficiencies or shortfalls** before the concerned authority for remedial action and compliance.
- 11.4 To identify and report cases of **unauthorized occupation** of University premises and to place the same before the **Registrar** for appropriate action, as per the prescribed rules.
- 11.5 To assess, recommend, and monitor the **fixation and recovery of rent/licence fees** for shops, banks, and other commercial establishments operating within the University campus, in accordance with University rules.
- 11.6 To plan, propose, and oversee the **development of parks, green areas, roads and landscaping**, and to ensure optimal utilization of **vacant or unused University land**.
- 11.7 To inspect **newly constructed buildings and infrastructure** for the purpose of **taking over/handing over**, ensuring compliance with approved drawings, specifications, and contractual terms.
- 11.8 To oversee the **allotment of residential and non-residential accommodation** as per the approved rules and policies of the University.
- 11.9 To coordinate with the **House Allotment Committee**, which shall furnish updated details of **vacant and allotted accommodations** from time to time, for effective estate management.
- 11.10 To **recommend for revision** of HR, water charges and EWC of residences in accordance of the charges paid by University.
- 11.11 To vacate locked accommodation by constituting a committee for the purpose with video recording and store the belongings.
- 11.12 To submit the **inspection/Audit report** of Hospital Buildings to Hospital Board and other buildings for Executive Council
- 11.13 To provide data and documentation required for statutory bodies, **accreditation agencies and audits**.
- 11.14 Submit **periodic reports** on estate activities to the Registrar and Vice-Chancellor.
- 11.15 To instruct for providing data and documentation to the concerned office required for **statutory bodies, accreditation agencies and audits**.
- 11.16 To perform any other duties related to **estate management** as may be assigned by the **Competent Authority** from time to time.


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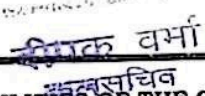
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**12. Interpretation and Amendment**

- 12.1 In case of any doubt or dispute regarding interpretation of this statute, the decision of the Vice-Chancellor shall be final.
- 12.2 This statute may be amended, modified or repealed by the Competent Authority from time to time.

  
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**(B)**  
**ESTATE AUDIT SYSTEM**  
**Uttar Pradesh University of Medical Sciences (UPUMS), Saifai**

**1. PREAMBLE**

The Estate Audit System of Uttar Pradesh University of Medical Sciences (UPUMS), Saifai is hereby framed to ensure transparent, accountable, efficient and legally compliant management of all land, buildings, residential accommodations, hostels, utilities and allied infrastructure of the University. This system is aligned with the UPUMS norms and best practices adopted by premier national medical institutions.

**2. OBJECTIVES OF ESTATE AUDIT**

- 2.1 To ensure optimal utilization, safety and longevity of University estate assets.
- 2.2 To verify compliance with statutory provisions, financial rules and administrative approvals.
- 2.3 To prevent encroachment, misuse, unauthorized occupation and revenue leakage.
- 2.4 To establish a robust internal control and accountability mechanism.
- 2.5 To support informed decision-making by the Executive Council and competent authorities.

**3. SCOPE OF ESTATE AUDIT** - The Estate Audit shall cover the following domains:

**3.1 Land & Boundary Assets**

- Ownership records, land title verification
- Boundary demarcation and fencing
- Encroachment status and mitigation measures

**3.2 Buildings & Infrastructure**

- Academic buildings
- Hospital blocks
- Residential quarters
- Hostels and guest houses
- Utility services

**3.3 Residential & Hostel Management**

- Allotment procedures
- Occupancy status
- Retention beyond entitlement
- License fee recovery

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**3.4 Safety, Environment & Compliance**

- Fire safety
- Structural safety
- Electrical safety
- Green norms and waste management

**3.5 Utilities**

- Energy consumption efficiency
- Water leakage and wastage
- Preventive maintenance compliance

**4. ESTATE AUDIT AUTHORITY & COMPOSITION**

**4.1 Estate Audit Committee (EAC)**

SN	Post	Role
01	Senior Faculty Member (VC nominee)	Chairperson
02	Finance Officer Nominee	Member
03	Registrar Nominee	Member
04	Officiating Estate Officer	Member Secretary
05	Chief Wardens	Member
06	Executive Engineer	Member
07	AE/JE (Civil, Electrical, Mechanical)	Member
08	Fire Safety Officer	Member
09	House Allotment Committee (Member Secretary)	Member
10	Assistant Security Officer	Member

The Committee may co-opt subject experts as required.

**5. AUDIT FREQUENCY**

Asset Category	Audit Frequency
Land & Boundary	Annually
Buildings & Infrastructure	Annually
Residential & Hostels	Annually
Utilities & Safety Systems	Six Monthly

Special audits may be ordered by the Vice-Chancellor or Executive Council at any time.

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**6. AUDIT METHODOLOGY**

1. Preparation of Asset-wise Audit Checklist
2. Collection of records, drawings and approvals
3. Physical inspection and verification
4. Photographic and geo-tagged documentation
5. Interaction with occupants and concerned officials

**7. AUDIT REPORTING SYSTEM**

1. Draft Audit Report within 30 days of audit
2. Reply from concerned sections within 15 days
3. Final Audit Report submission to Vice-Chancellor
4. Placement before Hospital Board for Hospital related audit
5. Placement before Executive Council for review

**8. Each report shall include:**

- Executive summary
- Asset-wise findings
- Risk categorization
- Corrective action plan

**09. RECTIFICATION & FOLLOW-UP MECHANISM**

1. Time-bound Action Taken Report (ATR)
2. Regular monitoring by Estate Committee
3. Frequent Monitoring by **Estate Audit Committee**
4. Quarterly review by Registrar
5. Escalation to Vice-Chancellor for non-compliance
6. To submit the inspection/Audit report of Hospital Buildings to Hospital Board and other buildings for Executive Council

**10. ACCOUNTABILITY & PENAL PROVISIONS**

1. Fixation of responsibility for lapses
2. Recovery of losses as per rules
3. Disciplinary action under University service rules

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**11. COMMENCEMENT & AMENDMENT**

This Estate Audit System shall come into force upon approval of the Executive Council of UPUMS. Amendments may be made from time to time as per statutory provisions.

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ANNEXURE - I

STANDARD AUDIT FORMATS & TEMPLATES  
(ESTATE AUDIT - UPUMS)

1. Cover Page (Estate Audit File)

Name of Audit: Estate Audit - UPUMS

Audit Period: \_\_\_\_\_

Department/Unit: \_\_\_\_\_

Audit Type:  Annual  Special  Compliance  Physical Verification

Audit Team: \_\_\_\_\_

Date of Commencement: \_\_\_\_\_

Date of Completion: \_\_\_\_\_

2. Index & Document Control Sheet

Sl. No.	Document Title	Version	Date	Remarks
1	Audit Plan			
2	Checklists			
3	Asset Registers			
4	Observations			
5	Compliance Report			

3. Estate Audit Plan (Template)

Objectives:

- To ensure proper management, utilization, and safeguarding of university estate
- To verify compliance with UPUMS Act, Statutes, Ordinances, and Government norms

Scope of Audit:

- Land & Boundary
- Buildings & Structures
- Residential Quarters
- Hostels
- Roads, Drainage & Utilities
- Leased / Encroached Property
- Maintenance Contracts
- Estate Records & Registers

Methodology:

- Physical verification
- Record scrutiny
- Compliance verification
- Interaction with concerned officials

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**1. Land & Boundary Verification Format**

SN	Land Parcel ID	Area (as per record)	Area (actual)	Boundary Status	Encroachment (Yes/No)	Remarks
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**Documents Verified:**

- Title Deed  Revenue Records  Site Map  Demarcation Report

**2. Building & Infrastructure Audit Checklist**

S N	Buildin g Name	Year of Constructio n	Approve d Use	Curren t Use	Structura l Condition	Safety Complianc e	Remark s
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**Safety Compliance:**

- Fire NOC  Electrical Safety  Lift Safety  Disaster Preparedness

**3. Residential Quarters / Hostel Audit Format**

Quarter/Ho stel No.	Catego ry	Occupa nt Name	Designati on	Allotme nt Authority	Licen se Fee	Unauthori zed Occupatio n	Remar ks
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**4. Utilities & Services Audit Format**

Utility	Installed Capacity	Actual Load	Meter Available	Maintenance Agency	Annual Cost	Efficiency Issues
Electricity						
Water Supply						
Sewage						
HVAC						

**5. Maintenance & AMC Audit Format**

Contract Name	Agency	Contract Period	Tender Ref	Contract Value	Performance Status	Penalty Clause Invoked	Remarks
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**6. Estate Records Verification Checklist**

- Land Register
- Building Register
- Quarter Allotment Register
- Maintenance Log Books
- AMC Files
- Complaint Register
- Fire & Safety Records

Remarks on Record Maintenance:

**7. Encroachment & Legal Case Register**

Case No.	Location	Nature of Encroachment	Date Noticed	Action Taken	Court Case (Yes/No)	Present Status
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## ANNEXURE - II

## AUDIT OBSERVATION / PARA FORMAT

Audit Para No.: \_\_\_\_\_

Area Audited: \_\_\_\_\_

Observation:

Rule / Provision Violated (if any):

Risk &amp; Impact:

Recommendation:

## 12. Compliance &amp; Action Taken Report (ATR) Format

Audit Para No.	Observation Summary	Responsibility	Action Proposed	Timeline	Compliance Status
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## 13. Estate Audit Summary Report

- Total Assets Verified: \_\_\_\_\_
- Major Irregularities Observed: \_\_\_\_\_
- Financial Impact (if any): \_\_\_\_\_
- Systemic Gaps Identified: \_\_\_\_\_
- Good Practices Noted: \_\_\_\_\_

## 14. Certification &amp; Signatures

Certified that the Estate Audit has been conducted as per approved guidelines and records produced.

Estate Officer : \_\_\_\_\_ Date: \_\_\_\_\_

Executive Engineer : \_\_\_\_\_ Date: \_\_\_\_\_

Finance Representative: \_\_\_\_\_ Date: \_\_\_\_\_

Registrar Representative: \_\_\_\_\_ Date: \_\_\_\_\_

Chairperson (EAC): \_\_\_\_\_ Date: \_\_\_\_\_

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