



**L** OVELY  
**P** ROFESSIONAL  
**U** NIVERSITY

Jalandhar-Delhi G.T. Road, Phagwara, Punjab

**CENTRE FOR DISTANCE & ONLINE EDUCATION**

**CENTRE FOR INTERNAL QUALITY ASSURANCE**

**INTERNAL AUDIT REPORT**

**2022-23**

### Internal Audit Report

**Overview:** To ensure the quality of programmes being offered in Open & Distance Learning and Online Learning modes, the Lovely Professional University has established the Centre for Internal Quality Assurance (CIQA) to conduct institutional compliances & quality audits and to promote best-in-class quality measures. One of the functions of the CIQA is to adopt measures to ensure the internalisation and institutionalisation of quality enhancement practices through periodic accreditation and audit. The internal audit coordinated by the CIQA is a step in this direction.

**Composition of Internal Audit Committee:** As per the initiative of the Centre for Internal Quality Assurance, the Internal Audit Committee was constituted with the following composition to audit the programmes offered by the University in Open & Distance Learning (ODL) and Online Learning (OL) modes in the session 2022-23:

Dr. Manish Gupta (Registrar Admin.) Lovely Professional University	Chairperson
Dr. Amit Dutt (Professor) Lovely Professional University	Member
Dr. Harminder Singh (Professor) Lovely Professional University	Member
Dr. Vishal Sarin (Professor) Lovely Professional University	Member
Mr. Navdeep Dhaliwal (Controller of Examination) Lovely Professional University	Member

**Report of the Internal Audit Committee****(i) Governance, Leadership and Management**

Parameter	Provision in the UGC DEB Regulations 2020	Auditors' Observations/Remarks
<b>Governance, Leadership and Management</b>	This relates to the policies and practices of Higher Educational Institution in the matter of planning, human resources, recruitment, training, performance appraisal, financial management and the overall role of leadership, with a focus on the following key aspects:	Key leadership positions filled as per norms
<b>(a) Organization Structure</b>	The Higher Educational Institution shall fill all sanctioned/required positions as prescribed by the Commission and establish a credible governance system.	Various Academic and Administrative Positions filled as per the norms e-Governance system is being followed for effective Governance.
<b>(b) Management</b>	The leadership and management of the Institution shall strive to assess and review the organisational culture to achieve its vision, mission and goals.	The Outcome-Based Planner adopted by the Management incentivizes the achievement of desired goals.
<b>(c) Strategic Planning</b>	The Higher Educational Institution shall undertake strategic planning of its activities and implement the same by aligning those with academic and administrative aspects to improve the overall quality.	Strategic planning is reflected in the formulation of the Outcome-Based Planner with sufficient weightage given to the quality parameters.
<b>(d) Operational Plans, Goals and Policies</b>	The Higher Educational Institution shall have well defined goals which are realistic and measurable, well defined policies that are in sync with its strategic plan and are realistic and achievable, clearly stated guidelines for the implementation of its policies and plans, and transparent and accountable system for its policies and planning that are well communicated to its stakeholders.	Well-structured Key Result Areas (KRA) and Key Performance Indicators (KPIs) are in place as a part of the Outcome-Based e-Governance System.

**Area of Improvement:** The Structure of the Centre can be further streamlined considering the growing student base of ODL and OL study modes.

**Overall Remarks:** Effective e-Governance System is in place.

**(ii) Articulation of Higher Educational Institution Objectives**

Parameter	Provision in the UGC DEB Regulations 2020	Auditors' Observations/Remarks
Articulation of Higher Educational Institution Objectives	The Higher Educational Institution shall articulate a clear vision, mission, ethos and broad strategy consistent with the goals for offering programmes in Open and Distance Learning mode.	The University's Vision and Mission are in sync with the goals for offering ODL and OL programmes.

Area of Improvement: None

Overall Remarks: The vision and mission are well defined.

**(iii) Programme Development and Approval Processes**

Parameter	Provision in the UGC DEB Regulations 2020	Auditors' Observations/Remarks
Programme Development and Approval Processes	This area of concern relates to programme development and approval mechanism for the programme(s) to be launched, covering the following key aspects, namely:-	Due processes followed for the Development and approval of the Diploma in Business Administration (DBA) Programme being launched in ODL mode for session 2023-24.
(a) Curriculum Planning, Design and Development	The curriculum planning, design and development of academic programmes is a major academic activity of the Higher Educational Institution. Therefore, it shall have processes, systems and structures in place to carry out these responsibilities.	A well-articulated process is in place for the Curriculum Design, Development and Review in line with the procedures being followed for conventional mode programmes ensuring parity of all modes of programmes.
(b) Curriculum Implementation	The Higher Educational Institution shall have specific implementation plans for identifying the time to be spent on specific components of the implementation phase. It is the basis for the effectiveness of the programme(s) and their usefulness as a whole.	Checked and verified the adherence to the due dates for various academic activities as per the academic calendar for ODL mode programmes.
(c) Academic Flexibility	The Higher Educational Institution shall adopt proper strategies for imparting academic flexibility, which refers to freedom in the use of the time-frame of courses, vertical mobility, and inter-disciplinary options facilitated by curricular transactions for learners	Five new specializations introduced in OL mode MBA Programme providing more flexibility of choice to the learners.
(d) Learning Resource	The Higher Educational Institution shall ensure quality learning resources in the form of Self Learning Materials (SLMs) for Open and Distance Learning mode of education as	Self-Learning/ e-Learning Material are supplemented with the provision of e-Library facility integrated with LMS of ODL and Online Learners

	defined in these regulations. While deciding on the instructional packages, the Higher Educational Institution shall take into consideration various factors – the media and technology utilised matches the course content in order to enhance and expand learning, and to match to the learners' needs; that these are accessible, practical and equitable, and cost effective to the learners.	providing access to thousands of additional resources.
<b>(e) Feedback System:</b>	The process of revision and re-design of curricula shall be based on feedback from all stakeholders in terms of its relevance and appropriateness in catering to the needs of the society, economy and environment	Verified the availability and functioning of feedback form available on the OL mode website.

**Area of Improvement:** Schemes and Syllabi of Library & Information Sciences Programmes being offered in ODL mode can be evaluated for revision.

**Overall Remarks:** Due statutory process being followed for Programme Development and Approval.

#### (iv) Programme Monitoring and Review.

Parameter	Provision in the UGC DEB Regulations 2020	Auditors' Observations/ Remarks
Programme Monitoring and Review	The Higher Educational Institution shall plan and execute programme monitoring and review system to conduct periodic internal reviews and maintain the quality of academic programmes. For such reviews, the Institution shall also consider the attainments of learning outcomes that are assessed through the various tools for direct and indirect assessment.	Programme Monitoring and Review Process is in line with the process being followed for conventional mode programmes.

**Area of Improvement:** Mid-session reviews can also be planned as per feasibility.

**Overall Remarks:** A well-defined Programme Monitoring and Review process is in place for ODL and OL programmes.

#### (v) Infrastructure Resources

Parameter	Provision in the UGC DEB Regulations 2020	Auditors' Observations/ Remarks
Infrastructure Resources	The Higher Educational Institution shall have a system to elicit data on the adequacy and optimal use of the facilities - physical facilities, library (or e-library), Information and	Physical infrastructure, more than that is specified in the norms, available for the smooth offering of ODL and OL Programmes. Sufficient IT infrastructure available which is scalable as per the requirements of the

	Communication Technology infrastructure, etc. - available in a Higher Educational Institution to maintain the quality of academic programmes and ensure qualitative support to each of the stakeholders.	expanding student data base.
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**Area of Improvement:** None.

**Overall Remarks:** Optimum utilization of Physical and ICT facilities of the University for offering ODL and OL mode Programmes.

**(vi) Learning Environment and Learner Support**

Parameter	Provision in the UGC DEB Regulations 2020	Auditors' Observations/ Remarks
Learning Environment and Learner Support	The learner support services including academic counselling and library services shall be a major pre-occupation of Higher Educational Institution for its Open and Distance Learning mode mode learners. Additionally, Higher Educational Institution shall establish Information and Communication Technology facilities as component of the learning environment which is focused around the pedagogical use of modern educational practices to support blended learning. Learner Support Services shall be provided through the campus-wide portal and e-Learning platform. The Higher Educational Institution shall take a more sophisticated approach to the use of Information and Communication Technology and expertise in e-learning. The approach shall provide a seamless learner-centred environment.	<p>Personal Contact Programme (PCP) and LIVE virtual classes are conducted for the academic counselling of the ODL and OL programmes respectively as per the specified norms. Additional academic support is provided through Master Classes and Guest Lectures.</p> <p>New features and automations introduced in the LMS for ODL and OL mode students checked and found effective in enhancing learners' experience.</p>

**Area of Improvement:** Students can be further encouraged to make use of massive infrastructure available in the campus for enhancing their learning experience.

**Overall Remarks:** Well-equipped LMS available for ODL and Online Learners.

## (vii) Assessment and Evaluation

Parameter	Provision in the UGC DEB Regulations 2020	Auditors' Observations/ Remarks
Assessment and Evaluation	All the stated Learning Outcomes of a Programme must be part of its evaluation protocol. The Higher Educational Institution shall execute the evaluation through varied assessment tools including multiple choice questions, projects, reports, case-studies, presentations, and term-end examinations, to suit the different learning outcomes expected of the course elements. The Higher Educational Institution shall have proper assessment and moderation system for assessing the learning outcomes of learners.	Assessment for each course is done as per the stipulated course outcomes. Weightage to the Continuous Assessment and End-Term Exam is as per norms. OL mode students have the provision to draw their own Exam Date sheet.

**Area of Improvement:** Remedial measures can be figured out for courses having a higher failure ratio.

**Overall Remarks:** Enhanced credibility of Examination with the provision of Biometric attendance.

## (viii) Teaching Quality and Staff Development

Parameter	Provision in the UGC DEB Regulations 2020	Auditors' Observations/ Remarks
Teaching Quality and Staff Development	The Higher Educational Institutions shall have a well-established structure for promoting quality counselling, capacity building workshops, programmes, interactive teaching-learning and provide staff development programmes and activities to encourage academic staff to improve teaching and learning on continuous basis	Some good Faculty/ Staff Development workshops conducted on ODL/OL-related themes.

**Area of Improvement:** Involvement of External Experts can be enhanced for Faculty/ Staff development initiatives.

**Overall Remarks:** Qualified and experienced faculty/ staff available

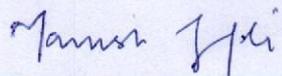
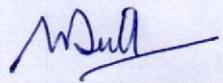
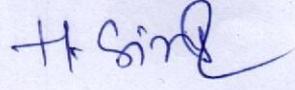
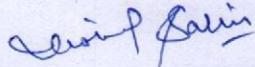
## Process of Quality Audit

Parameter	Provision in the UGC DEB Regulations 2020	Auditors' Observations/Remarks
Academic Planning	The Higher Educational Institutions shall have robust and appropriate academic planning procedures to ensure that the programmes offered by it are relevant to national economy, reflects the Institution's strategic direction and offers a high quality 'value-added' learner experience. The Institution shall have adequate and appropriate teaching and other support staff along with infrastructure and technology support to ensure that the curriculum remains up to date and the institutional goals are achieved.	The academic planning process ensures regular review and revision of the curriculum to make it relevant to contemporary requirements.
Validation	The Higher Educational Institution shall have a mechanism in place for validation to ensure that its programmes are academically viable, that academic standards have been appropriately defined and that these offer learners the best opportunity to learn.	Involvement of external experts from academia and industry in the Board of Studies and CIQAC ensures validation of ODL and OL programmes for their viability and academic standards.
Monitoring, Evaluation and Enhancement Plans	Quality deliverance of the Open and Distance Learning programmes and Online programmes and the outcomes attainment and continual quality improvements shall be ensured by the Higher Educational Institution, shall be broadly as follows, namely:- a. Reports from Learner Support Centres (for Open and Distance Learning programmes) b. Reports from Examination Centres c. External Auditor or other External Agencies report d. Systematic Consideration of Performance Data at Programme, Faculty and Higher Educational Institution levels e. Reporting and Analytics by the Higher Educational Institution f. Periodic Review	The following reports checked and found satisfactory: <ul style="list-style-type: none"> <li>• PCP Feedback Analysis Reports</li> <li>• Examination Observers' Report</li> </ul>

**Area of Improvement:** The feasibility of offering new programmes in ODL and OL mode can be explored further based on the feedback of the stakeholders.

**Overall Remarks:** The ODL and OL programmes of the University are proving to be a boon to many individuals who are not able to join the conventional mode of programmes due to their other engagements. The credibility of these programmes is further reflected in the placement, promotion and higher education pursuits of these students, who are wonders in all walks of life.

Signature

Dr. Manish Gupta (Registrar Admin.)	Chairperson	
Dr. Amit Dutt (Professor)	Member	
Dr. Harminder Singh (Professor)	Member	
Dr. Vishal Sarin (Professor)	Member	
Mr. Navdeep Dhaliwal (Controller of Examination)	Member	

Date: 09-08-2023

Place: Lovely Professional University, Phagwara