



**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**

**2020-21**

### Internal Audit Report

**Overview:** To ensure the quality of programmes being offered in Open & Distance Learning mode, 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 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) mode in the session 2020-21:

Dr. Rajesh Verma (Professor) Lovely Professional University	Chairperson
Dr. Manish Gupta (Additional Registrar) Lovely Professional University	Member
Dr. Vishal Sarin (Professor) Lovely Professional University	Member
Dr. Harminder Singh (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' Remarks	Observations/
<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:	Appointment of Director as per UGC norms:  Appointment letter checked  Full-time Director at the Professor level has been appointed at CDOE	
<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.	A full-fledged Organization structure with a clear division into departments and cells exists.  All posts are suitably filled.  A fully automated system with e-Governance is being implemented for staff and students.	
<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.	Leadership, Vision, Mission:  Clearly defined Vision, Mission and Objectives for the functioning of CDOE.  The activities of the CDOE reflect the implementation of the vision and mission.	
<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.	A full-fledged Planner of the CDOE has been developed as part of the e-Governance system. This covers both academic and administrative aspects.	
<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.	Planning and Goals already covered above. Policies, including SOPs exist for all the functions of the CDOE.	

**Area of Improvement:** Further automation of processes can be done for a fully automated system which can help do the analytics for further enhancing quality.

**Overall Remarks:** Governance, Leadership and Management is satisfactory and as per regulatory norms specified by the Commission.

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

Parameter	Provision in the UGC DEB Regulations 2020	Auditors' Remarks	Observations/
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.	Vision, Mission, Ethics: Clearly defined Consistent with Goals for offering ODL programmes: Yes	

**Area of Improvement:** None

**Overall Remarks:** Institutional objectives are well articulated.

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

Parameter	Provision in the UGC DEB Regulations 2020	Auditors' Remarks	Observations/
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:-		
(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-defined curriculum development process in place. The curriculum is regularly updated and is at par with conventional mode 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.	The curriculum is taught as per Instruction Plans, which are shared with the students before the start of the Personal Contact Programme. Quality checks like snooping and reporting system in place for its implementation Proper implementation of makeup and substitute classes done in case of absence of faculty	
(c) Academic Flexibility	The Higher Educational Institution shall adopt proper strategies for imparting academic flexibility, which refers to freedom in the use of the	CBCS is followed The university allows flexible entry-exit options	

	time-frame of courses, vertical mobility, and inter-disciplinary options facilitated by curricular transactions for learners	The maximum duration of programme is double the minimum duration, as per regulatory norms
<b>(d) Learning Resource</b>	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 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.	Sufficient learning resources available SLM available for all courses Recordings of LIVE lectures available for later reference The facility of e-Library and also access of the University Library to ODL learners Learners are provided with additional reading material and PPTs
<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	Feedback from students, faculty members and industry is taken to keep the curriculum updated and to improve its design and delivery.

**Area of Improvement:** Classes may be taken on weekends for the benefit of working professionals

**Overall Remarks:** The University has a full-fledged process and mechanisms to keep the curriculum updated and suitable for placement purposes. Sufficient steps are taken to ensure the quality of design and delivery.

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

Parameter	Provision in the UGC DEB Regulations 2020	Auditors' Observations/Remarks
<b>Programme Monitoring and Review</b>	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.	The system is in place for Programme Monitoring and Review with the involvement of CIQAC and BOS.

**Area of Improvement:** More tools can be specified to assess the attainment of learning outcomes.

**Overall Remarks:** Proper process of Programme Monitoring and Review is being followed for ODL programmes as being followed for conventional 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 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.	<p>The University has adequate and scalable physical facilities and ICT infrastructure for the delivery of ODL programmes.</p> <p>Smooth transitioning to online delivery and support during the COVID scenario is appreciable.</p> <p>IT infrastructure was suitably scaled for the Online conduct of classes, workshops and Examinations for thousands of ODL students.</p>

**Area of Improvement:** Usage of the e-Library facility available through LMS can be further promoted.

**Overall Remarks:** Optimum utilization of ICT facilities during the COVID period is appreciable.

## (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>The online Learning Management System 'LPU e-Connect' and Mobile App 'LPU Touch' are equipped with various student-friendly features providing convenience of anytime anywhere learning.</p> <p>Personal Contact Programme Classes and Professional Enhancement Workshops were smoothly conducted online during COVID period for the benefit of students.</p> <p>Relationship Management System is available on LPU e-Connect for students to lodge their requests and issues.</p> <p>The web-chat facility is available to provide information to the users.</p> <p>Call Centre and other learner support services were kept intact during COVID period with support staff handling learners' queries working from home.</p>

**Area of Improvement:** LMS Dashboard can be further organized highlighting key features.

**Overall Remarks:** Most of the learner support services were kept intact during the COVID period.

**(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.	<p>A proper assessment and evaluation system is in place for the evaluation of ODL learners.</p> <p>Assessment is being done through CA and End Term Exams.</p> <p>Provision is there on LPU e-Connect for students to submit their handwritten assignments to the University.</p> <p>Online Exams held during COVID period with proper proctoring mechanism.</p>

**Area of Improvement:** Proctoring staff can be further sensitized about dealing with Unfair Means Cases properly.

**Overall Remarks:** Online Exams were smoothly conducted for ODL learners during COVID period.

**(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	<p>Qualified Teaching/ Staff available as per norms</p> <p>13 Faculty/ Staff Development Programmes conducted in 2020-21</p> <p>Record of Faculty/ Staff Development Programmes maintained</p>

**Area of Improvement:** More Training programs as per feedback of staff and faculty to be conducted.

**Overall Remarks:** Teachers and staff are encouraged for their pursuing Professional Development Programmes.

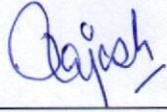
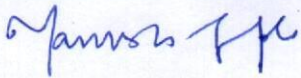
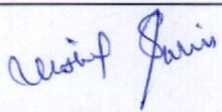
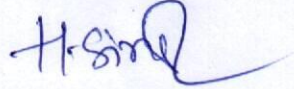
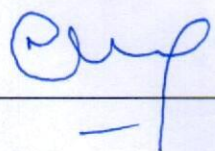
## Process of Quality Audit

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.	Appropriate academic planning procedures are in place.  The curriculum is contemporary meeting the university's objectives.
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.	Validation of ODL programmes is ensured by involving external experts in the Board of Studies and CIQAC.
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 attendance and feedback reports</li> <li>• Examination Proctors' Report</li> <li>• e-Connect Feedback Report</li> </ul>

**Area of Improvement:** Planning for offering Online mode programmes to be done following all due processes.

**Overall Remarks:** The ODL programmes being offered by the University are meeting various regulatory norms and catering to the higher educational aspirations of the masses as evident from a large number of enrollments in various ODL programmes.



		Signature
Dr. Rajesh Verma (Professor)	Chairperson	
Dr. Manish Gupta (Additional Registrar)	Member	
Dr. Vishal Sarin (Professor)	Member	
Dr. Harminder Singh (Professor)	Member	
Mr. Navdeep Dhaliwal (Controller of Examination)	Member	

Date: 08-06-2021

Place: Lovely Professional University, Phagwara