

HEI ID: HEI-U-0564

Name of HEI: UPES (University of Petroleum and Energy Studies)

Type of HEI: State Private University

Annual Report

OF

**CENTRE FOR INTERNAL QUALITY ASSURANCE
(CIQA)**

PROGRAMMES UNDER

OPEN AND DISTANCE LEARNING MODE

<2022-2023>

Contents

Part – I: General Information	3
Part – II: Requirements as per Centre for Internal Quality Assurance (CIQA) Functioning.....	8
Part – III: Human Resources and Infrastructural Requirements	16
Part – IV: Examinations.....	18
Part – V: Programme Project Report (PPR) and Self-Learning Material (SLM).....	27
Part – VI: Programme Delivery through Learner Support Centre (LSC)	29
Part – VII: Self Regulation through disclosures, declarations and reports	31
Part – VIII: Admission and Fees.....	35
Part – IX: Grievance Redressal Mechanism.....	41
Part – X: Innovative and Best Practices	43
DECLARATION.....	45

Part – I: General Information**1.1 Date of notification of the Centre(attach a copy of the notification):**13th JUNE 2008

(Annexure-1: Notification)

1.2 Details of Director, CIQA

- Name : Dr. Rajesh Gupta
- Qualification: Ph.D
- Appointment Letter and Joining Report: Upload (PDF)
(Annexure-1: Appointment Letter)

1.3 Details of CIQA Committee:**a. Composition as per Regulations**

S. No.	Designation	Nomination As	Name and Qualification	Specialization	Date of Nomination in CIQA Committee
a.	Vice Chancellor of the University	Chairperson	Dr. Ram K Sharma	Physics	Yr 2022-23
b.	Three Senior teachers of HEI	Member 1	Dr. Neelu Jyoti Ahuja, Professor	Strategy	Yr 2022-23
		Member 2	Dr. Rajesh Gupta, Professor	Management	Yr 2022-23
		Member 3	Dr. Sumeet Gupta, Associate Professor	Oil & Gas	Yr 2022-23
c.	Head of three Departments or School of Studies from which programme is being offered in ODL and	Member 4	Mr. Rahul Nainwal, Director	Marketing	Yr 2022-23
		Member 5	Dr. Anil Kumar, Professor	Power	Yr 2022-23

	Online mode	Member 6	Dr. Hiranmoy Roy, Professor	Economics	Yr 2022-23
d.	Two External Experts of ODL and/or Online Education	Member 7	Mr. Sumanth Palepu, Director, Edology	Marketing	Yr 2022-23
		Member 8	Dr.(Prof.) J.P Gupta	Marketing	Yr 2022-23
e.	Officials from departments of HEI <ul style="list-style-type: none"> Administration Finance 	Member 9, 10, 11, 12 Administration	Mr. Manish Madaan, Registrar	Management	Yr 2022-23
			Mr. Lokendra Sharma, Deputy Director, Admin	HR	Yr 2022-23
			Mr. Sudhanshu Sharma, Joint Registrar	Computer Science	Yr 2022-23
			Mr. Subhash Rawat, Assistant Registrar	Communication	Yr 2022-23
		Member 13 Finance	Mr. Deepak Gupta, Asst. Director, Finance	Finance	Yr 2022-23
f.	Director, CIQA	Member Secretary	Dr. Priya Mary Mathew	Management	Yr 2022-23

b. Whether members mentioned at 'b' to 'e' changed every 2 years? (Y/N)

If No, reason thereof

Yes

1.4 Number of meetings held and its approval

a. No. of meetings held every year: 3 Meetings in Yr 2021-22

b. Meeting details:

Meetings	Date-Month-Year	No. of External Expert Present	Minutes	Approval of Minutes
----------	-----------------	--------------------------------	---------	---------------------

Meeting 1	22 nd November 2022	2	Annexure-1: Minutes	Annexure-1: AC Minutes
Meeting 2	22 nd June 2023	2	Annexure-1: Minutes	Annexure-1: AC Minutes

1.5 Number of programmes started at Certificate level as per Regulation 24 of UGC(ODL Programmes and Online Programmes) Regulations, 2020:

From <Month, Year> academic session:

Sr. No.	Name of the Department	Certificate Title	Duration (months)	No. of Credits	Admission Eligibility	Fee (Rs.)	Approval of statutory Authority (s) (DD-MM-YYYY) of HEI/Regulatory authority (if required)	No. of Learner Support Centre Operationalized as per territorial jurisdiction*/Off Campus	Number of students admitted (Male/Female/Trans-gender)			
									M	F	TG	Total
1.												
N.												

***Not for Private University**

Note: Mention details separately for <Month, Year>academic session, as applicable, as above.

1.6 Number of programmes started at Diploma level as per Regulation 24 of UGC(ODL Programmes and Online Programmes) Regulations, 2020:

From <Month, Year> academic session:

Sr. No.	Name of the Department	Diploma Title	Duration (months)	No. of Credits	Admission Eligibility	Fee (Rs.)	Approval of statutory Authority (s) (DD-MM-YYYY) of HEI/Regulatory authority(if required)	No. of Learner Support Centre Operationalized as per territorial jurisdiction*/Off Campus	Number of students admitted (Male/Female/Trans-gender)			
									M	F	TG	Total
1.												
N.												

***Not for Private University**

Note: Mention details separately for <Month, Year>academic session, as applicable, as above.

1.7 Number of programmes started at Post Graduate Diploma level as per Commission Order:

From <Month, Year>academic session: TO BE EXTRACTED FROM WEBPORTAL

Sr. No.	Post Graduate Diploma Title	Duration (years)	No. of Credits	Admission Eligibility	Fee (Rs.)	UGC Recognition Letter No. and date	No. of Learner Support Centre Operationalized as per territorial jurisdiction*/ Off Campus	Number of students admitted (Male/Female/Trans-gender)			
								M	F	TG	Total
1.											
N.											

***Not for Private University**

Note: Mention details separately for <Month, Year>academic session, as applicable, as above.

**1.8 Number of programmes started at Undergraduate Degree Programmes as per Commission Order:
UGC Recognition letter Annexure V**

From 2021-22 academic session: July 2021 and January 2022

Sr. No.	Under - Graduate Degree Title	Duration (years)	No. of Credits	Admission Eligibility	Fee (Rs.)	UGC Recognition Letter No. and date	No. of Learner Support Centre Operationalized as per territorial	Number of students Admitted (Male/Female/Trans-gender)		
								Male	Female	Total

- Approval Attached

HEI ID: HEI-U-0564**Name of HEI: UPES****Type of HEI: Pvt. University**

						date	jurisdiction*/Off Campus	M	F	TG	Total
1.											
N.											

Not for Private University*Note: Mention details separately for <Month, Year>academic session, as applicable, as above.****1.9 Number of programmes started at Post-graduate Degree Programmes as per Commission Order:****UGC Recognition letter Annexure V**

Sr. No.	Post-graduate Degree Title	Duration (years)	No. of Credits	Admission Eligibility	Fee (Rs.)	UGC Recognition Letter No. and date	No. of Learner Support Centre Operationalized as per territorial jurisdiction*/Off Campus	Number of students admitted (Male/Female/Trans-gender)			
								M	F	TG	Total
1	MBA (Power Management)	2	72	50% in Graduation, 2yr Exp with 5% relaxation in Marks incase experience is more than 2 yrs	87500/- (per year)	F.No. 40-2/2022(DEB-II) (ODL) Dated: 03/11/2022	Nil	305	13		318
2	MBA (International Business)	2	72	50% in Graduation, 2yr Exp with 5% relaxation in Marks incase experience is more than 2 yrs	75000/- (per year)	F.No. 40-2/2022(DEB-II) (ODL) Dated: 03/11/2022	Nil	18	0		18
3	MBA (Infrastrucutre Management)	2	75	50% in Graduation, 2yr Exp with 5% relaxation in Marks incase experience is more than 2 yrs	72500/- (per year)	F.No. 40-2/2022(DEB-II) (ODL) Dated: 03/11/2022	Nil	29	14		43

- **Approval Attached**

Not for Private University*Note: Mention details separately for <Month, Year>academic session, as applicable, as above.**

Part – II: Requirements as per Centre for Internal Quality Assurance (CIQA) Functioning

2.1 Action taken on the functions of CIQA:-

S.No.	Provisions in Regulations	Details of Action taken by CIQA and Outcome thereof (Not more than 500 words)	Upload Relevant Document
1.	Quality maintained in the services provided to the learners	Periodic internal audits are carried out to identify the areas of improvement. Immediate action is taken on the inputs to maintain the quality of services.	Internal Audit Report
2.	Self-evaluative and reflective exercises undertaken for continual quality improvement in all the systems and processes of the Higher Educational Institution	<ul style="list-style-type: none"> - The quality of ODL program has been aligned with the quality of relevant programs in conventional mode. - The course content is subjected to vetting by the faculty teaching in conventional mode. - The course is delivered by faculty who are also involved in teaching in conventional mode. - The question paper is created to assess the understanding, analytical ability and application ability of students. - The program structure is approved by the academic council before launch. 	<ul style="list-style-type: none"> - Mechanism for curriculum development mentioning the faculty teaching in conventional - Internal Audit Report - CIQA meeting minutes mode
3.	Contribution in the identification of the key areas in which Higher Educational Institution should maintain quality	Quality needs to be maintained in course content provided, contact classes, resolving the grievances and timely information.	- Maintenance of Quality document

4.	Mechanism devised to ensure that the quality of Open and Distance Learning programs matches with the quality of relevant programs in conventional mode (For Dual Mode HEIs)	The Discussion related to the quality of the ODL programs in accordance with conventional mode, usually discussed in CIQA and CCM meetings	- Mechanism for curriculum development mentioning the faculty teaching in conventional - CIQA meeting minutes - CCM Meeting minutes
5.	Mechanisms devised for interaction with and obtaining feedback from all stakeholders namely, learners, teachers, staff, parents, society, employers, and Government for quality improvement.	Feedback is taken at the time of Contact Classes when students interact with the faculty formal feedback on different criteria is taken at the end of each session. Help desk and Live chats are also available to the learners	Student Feedback Mechanism
6.	Measures suggested to the authorities of Higher Educational Institution for qualitative improvement	Periodic internal audits are carried out to identify the areas improvement. The feedback of the students also highlights quality issues, if any. Immediate action is taken on the inputs to maintain quality of services.	- Internal Audit Report - CIQA Meeting minutes
7.	Implementation of its recommendations through periodic reviews	Periodic meetings are conducted with the faculty to convey and assess the status of implementation of the recommendations.	- CCM and CIQA meeting minutes - Internal Audit Report
8.	Workshops/ seminars/ symposium organized on quality related themes, ensure participation of all stakeholders, and disseminate the reports of such activities among all the stakeholders in Higher Educational Institution.	Regular Workshops for the improving the quality of content and session delivery to increase student engagement were conducted. Also, seminar / FDP held related to effective Online Teaching – Learning.	- Sample FDP and Workshop Report

9.	Developed and collated best practices in all areas leading to quality enhancement in services to the learners and disseminate the same all concerned in Higher Educational Institution	The Best Practices include: Teaching methodology that suits working professionals Technology for 24x7 support and mentoring Feedback mechanism system Contemporary teaching methods	- Best Practice - Feedback Mechanism
10.	Collected, collated and disseminated accurate, complete and reliable statistics about the quality of the programme(s).	The necessary statistics is collected, collated, and analyzed.	- Feedback Mechanism
11.	Measures taken to ensure that Program Project Report for each program is according to thenorms and guidelines prescribed by the Commission and wherever necessary by the appropriate regulatory authority having control over the program	PPR is prepared for each program and is duly approved and communicated	- Monitoring Mechanism - PPR's of all the approved programs - Academic Council approval
12.	Mechanism to ensure the proper implementation of Program Project Reports	PPR is prepared for each program and is duly approved and communicated	- Monitoring Mechanism - PPR's of all the approved programs
13.	Maintenance of record of Annual Plans and Annual Reports of Higher Educational Institution, review them periodically and generate actionable reports.	Annual reports are prepared for each academic year	Annual Report of CCE

14.	Inputs provided to the Higher Educational Institution for restructuring of programs in order to make them relevant to the job market.	Involvement of Industry experts in CCM meetings. Experts recommended to increase sessions by Industry Experts to bring Practical experience in the sessions	CCM minutes
15.	Facilitated system based research on ways of creating learner centric environment and to bring about qualitative change in the entire system.	Student feedback was compiled and analyzed. On the basis of feedback analysis, below actions were taken. Remedial classes were started to enhance learning. Sessions on dissertations and synopsis were initiated.	Feedback Mechanism
16.	Steps taken as a nodal coordinating unit for seeking assessment and accreditation from a designated body for accreditation such as NAAC etc.	Currently UPES is NAAC Accredited. In continuation, regular update is given to CIQA, IQAC and Academic Council for the steps taken related to accreditation.	NAAC Certificate
17.	Measures adopted to ensure internalization and institutionalization of quality enhancement practices through periodic accreditation and audit	CIQA meeting held, and the point was brought in consideration to revision and updating of content and inclusion of relevant cases in the content	CIQA Minutes
18.	Steps taken to coordinate between Higher Educational Institution and the Commission for various quality related initiatives or guidelines	Follow and implement all the guidelines, regulations, and notifications given by the UGC, DEB, AICTE and other regulatory bodies.	Academic Council Minutes
19.	Information obtained from other Higher Educational Institutions on various quality benchmarks or parameters and best practices.	FDP, Workshops, Seminar was conducted time to time.	Sample FDP and Workshop Report
20.	Recorded activities undertaken on quality assurance in the form of an annual report of Centre for Internal Quality Assurance.	Workshops conducted on various aspects to enhance quality.	Annual Report of CCE

21.	Submitted Annual Reports to the Statutory Authorities or Bodies of the Higher Educational Institution about its activities at the end of each academic session.	Yes, Annual Report is been prepared and presented to Academic Council	Annual Report of CCE
	(a) Submitted a copy of report in the format as specified by the Commission, duly approved by the statutory authorities of the Higher Educational Institution annually to the Commission.	We are in process of submitting the same	Annual Report of CCE
22.	Overseen the functioning of Centre for Internal Quality Assurance and approve the reports generated by Centre for Internal Quality Assurance on the effectiveness of quality assurance systems and processes	The CIQA minutes are presented to Academic Council and duly approved.	Academic Council Minutes
23.	Facilitated adoption of instructional design requirements as per the philosophy of the Open and Distance Learning decided by the statutory bodies of the HEI for its different academic programs	As per the philosophy of ODL, the structure of the SLM has been made accordingly, the recordings of the live classes and access to the e-library are being provided through LMS. Also, discussion forum for student engagement on LMS was done.	- Policy for SLM Development
24.	Promoted automation of learner support services of the Higher Educational Institution	Helpdesk was used to extend support and timely query resolution	Modes Employed by the CCE to attend to learner's queries
25.	Coordinated with external subject experts or agencies or organizations, the activities pertaining to validation and annual review of its in-house processes	Consultative Committee meeting was held to including alumni and industry experts to seek inputs.	- CCM Minutes

26.	Coordinated with third party auditing bodies for quality audit of programme(s)	Not done	
27.	Overseen the preparation of Self-Appraisal Report to be submitted to the Assessment and Accreditation agencies on behalf of Higher Educational Institution	UPES is NAAC Accredited.	NAAC Certificate
28.	Promoted collaboration and association for quality enhancement of Open and Distance Learning mode of education and research therein	FDP were organized for the enhancement of quality	FDP reports
29.	Facilitated industry-institution linkage for providing exposure to the learners and enhancing their employability.	FDP and Workshop organized with industry experts	Sample FDP and Workshop reports

2.2 Compliance of Quality Monitoring Mechanism – As per Annexure-I (Part V (2)) of UGC (ODL Programmes and Online Programmes) Regulations, 2020 :

Sr.No.	Provisions in Regulations	Action taken in respect of ODL	Upload relevant document
1.	Governance, Leadership and Management: a. Organisation Structure and Governance b. Management c. Strategic Planning d. Operational Plan, Goals and Policies	Complied (All the mentioned details are in place)	- Organization structure - Strategic Plan

2.	Articulation of Higher Educational Institution Objectives	Complied	- Vision and Mission of University
3.	Programme Development and Approval Processes a. Curriculum Planning, Design and Development b. Curriculum Implementation c. Academic Flexibility d. Learning Resource e. Feedback System	Complied (Process of programme development is as per guidelines)	- Mechanism of Curriculum Development - Feedback Mechanism
4.	Programme Monitoring and Review	Complied	CIQA Minutes
5.	Infrastructure Resources	Complied (Available as per requirement)	Infrastructure document
6.	Learning Environment and Learner Support	Complied (Provided through LMS and Help Desk support)	Help Desk support provided to students
7.	Assessment and Evaluation	Complied (As per the guidelines)	As per guidelines
8.	Teaching Quality and Staff Development	Complied (Recruitment as per guidelines and FDP, Workshops, Seminars are conducted)	Sample FDP and Workshop report

2.3 Compliance of Process of Internal Quality Audit – As per Annexure-I (Part V (3)) of UGC (ODL Programmes and Online Programmes) Regulations, 2020 :

Sr.No.	Provisions in Regulations	Action taken in respect of ODL	Upload relevant document

1.	Academic Planning	Complied (Academic calendar is prepared for each academic year)	Academic calendar
2.	Validation	Complied (Academic calendar is approved and validated by statutory authority)	Approval of Academic calendar
3.	Monitoring, Evaluation and Enhancement Plans 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	Complied Remarks: (a.) We do not have Learner Support Centres, we have only one headquarter	Annual Report

Part – III: Human Resources and Infrastructural Requirements

3.1 Name and details of Director of Centre for Distance and Online Education

(Dual Mode University) - Regular, full time, atleast Associate Professor

Or

Name and details of Head for each school (for Open University) - Full time dedicated, not below the rank of an Associate Professor

Dr. Rajesh Gupta,
Professor and Principal
Centre for Continuing Education, UPES

3.2 Compliance status of “Human Resource and Infrastructural Requirements” – As per Annexure – IV of UGC (ODL Programmes and Online Programmes) Regulations, 2020

HEI shall mention compliance details against the requirements in terms of Staffing norms and physical infrastructure exclusively/independently, as mentioned in the Annexure-IV of the Regulations. In addition, the faculty details shall be provided in the following format:

All the recruitment were done as per the guidelines given by the UGC under “Minimum qualifications for appointment of teachers and other academic staff in Universities and Colleges and measures for maintenance of standards in Higher Education, 2018”. Also the infrastructure requirement is complied as per guidelines given.

Programmes Name	No. of Faculty required	No. of Faculty appointed	Complied Yes/No	If no. reason thereof
UG	-	-	-	
PG	6	6	Yes	
PGD				

S. No.	Programme Name	No. of Full time-Dedicated faculty for ODL	Names	Designation	Qualification	Experience	Type (Regular/ Contract) with gross salary/	Date of joining programme and Joining report
--------	----------------	--	-------	-------------	---------------	------------	---	--

HEI ID: HEI-U-0564**Name of HEI: UPES****Type of HEI: Pvt. University**

							month			
							Type	Gross salary/month	Contract period	
(Attachment Upload)										

3.3 Details of Administrative staff

Number of Administrative staff available exclusively for ODL programmes at HQ & at LSCs

Admin Staff	Required (up to 5,000 students)	Available
Deputy Registrar	1	1
Assistant Registrar	1	1
Section Officer	1	1
Assistants	3 (2 for DM Universities)	3
Computer Operator	2	2
Multi-Tasking Staff	2	2

(Attach duly attested photocopy of appointment letter with salary details)

Note:

1. In case of the enrolment higher than 5,000 the number of positions in the Centre for Distance and Online Learning may be increased by the HEI appropriately.
2. Private University eligible to offer ODL programmes through its Head Quarters only and duly recognized off-campus centres; not through any Learner Support Centre.

Part – IV: Examinations

4.1 Information of formative and summative assessments/examinations conducted with the actions taken to ensure sanctity of examinations:

S.No.	Provisions in Regulations	Whether complied Yes/No	If No, Reason thereof
1.	All processes of assessment of learners in different components of Examination shall be directly handled by the concerned Institution and no part of the assessment shall be outsourced	Yes	
2.	For ensuring transparency and credibility, the full time faculty of the Open and Distance Learning mode Higher Educational Institutions or qualified faculty from University Grants Commission recognised Higher Educational Institutions only should be associated to function as invigilators, examination superintendents, as observers etc	Yes	
3.	All Examinations for Open and Distance Learning mode programmes shall be conducted within the Institution where the Study Centres or Learner Support Centres is located under the direct control and responsibility of the Open and Distance Learning mode Institution. No Examination Centres shall be allotted to any private organisations or unapproved Higher Educational Institutions.	Yes	
4.	The examination centre must be centrally located in the city, with good connectivity from railway station or bus stand, for the convenience of the students.	Yes	

S.No.	Provisions in Regulations	Whether complied Yes/No	If No, Reason thereof
5.	The number of examination centres in a city or State must be proportionate to the student enrolment from the region	Yes	
6.	Building and grounds of the examination centre must be clean and in good condition.	Yes	
7.	The examination centre must have an examination hall with adequate seating capacity and basic amenities	Yes	
8.	Fire extinguishers must be in working order, locations well marked and easily accessible. Emergency exits must be clearly identified and clear of obstructions	Yes	
9.	The Examination Centre shall have adequate and comfortable seating capacity and amenities including adequate lighting, ventilation and clean drinking water facilities	Yes	
10.	Safety and security of the examination centre must be ensured	Yes	
11.	Restrooms must be located in the same building as the examination centre, and restrooms must be clean, supplied with necessary items, and in working order	Yes	
12.	Provision of drinking water must be made for Learners	Yes	
13.	Adequate parking must be available near the examination centre	Yes	
14.	Facilities for Persons with Disabilities should be Available	Yes	

4.2 Compliance status of 'Evaluation' and 'Certification' – As per Regulations 15 and 16 of UGC (ODL Programmes and Online Programmes) Regulations, 2020

S.No.	Provisions in Regulations	Whether complied Yes/No If Yes, Upload relevant document	If No, Reason thereof
1.	The Higher Educational Institution shall adopt the guidelines issued by the Commission for the conduct of proctored examinations.	Yes	
2.	A Higher Educational Institution offering Open and Distance Learning Programmes shall have a mechanism well in place for evaluation of learners enrolled through Open and Distance Learning mode and their certification.	Yes	
3.	<p>The evaluation shall include two types of assessments continuous or formative assessment and summative assessment in the form of end semester examination or term end examination:</p> <p>Provided that no semester or year-end examination shall be held unless:</p> <p>i) the Higher Educational Institution is satisfied that at least 75 per cent. of the programme of study stipulated for the semester or year has been actually conducted;</p> <p>ii) For Open and Distance Learning mode: the learner has minimum attendance of 75 per cent. in the programme specific Personal Contact Programme (excluding counselling) and lab component of each</p>	Yes	

S.No.	Provisions in Regulations	Whether complied Yes/No If Yes, Upload relevant document	If No, Reason thereof
	of the programmes; and detailed attendance records have been maintained by Learner Support Centre/Regional Centre/ Higher Educational Institution		
4.	The curricular aspects, assessment criteria and credit framework for the award of Degree programmes at undergraduate and postgraduate level and/or Post Graduate Diploma programmes through Open and Distance Learning mode shall be evolved by adopting same standards as being followed in conventional mode by the dual mode Higher Educational Institutions and in Open Distance Learning mode by the Open Universities	Yes	
5.	The weightage for different components of assessments for Open and Distance Learning mode shall be as under: (i) continuous or formative assessment (in semester): Maximum 30 per cent. (ii) summative assessment (end semester examination or term end examination): Minimum 70 per cent.	Yes	
6.	The Higher Educational Institution shall notify all assessment tools to be used for formative and summative assessments	Yes	

S.No.	Provisions in Regulations	Whether complied Yes/No If Yes, Upload relevant document	If No, Reason thereof
7.	Marks or grades obtained in continuous assessment and end semester examinations or term end examinations shall be shown separately in the grade card		No, gradecard consist of grade only (sample attached)
8.	A Higher Educational Institution offering a Programme in Open and Distance Learning mode shall adopt a rigorous process in development of question papers, question banks, assignments and their moderation, conduct of examination, evaluation of answer scripts by qualified teachers, and result declaration, and shall so frame the question papers as to ensure that no part of the syllabus is left out of study by a learner.	Yes	
9.	The examination of the programmes in Open and Distance learning mode shall be managed by the examination or evaluation Unit of the Higher Educational Institution and shall be conducted in the examination centre as given under these regulations.	Yes (Conducted in Headquarters only)	
10.	(a) The Examination Centre shall have proper monitoring mechanisms for Closed-Circuit Television (CCTV) recording of the entire examination procedure.	Yes	
	(b) Availability of biometric system	No	Attendance is marked through card punching

S.No.	Provisions in Regulations	Whether complied Yes/No If Yes, Upload relevant document	If No, Reason thereof
	(c) The attendance of examinees shall be authenticated through biometric system as per Aadhaar details or other Government identifiers of Indian learners	Yes	
	(d) In case of non-availability of the Closed-Circuit Television facilities, the Higher Educational Institution shall ensure that proper videography be conducted and video recordings are submitted by particular incharge of examination centre to the Higher Educational Institution	NA	
11.	The Higher Educational Institution shall retain all such Closed- Circuit Television recordings in archives for a minimum period of five years	Yes	
12.	(a) There shall be an observer for each of the Examination Centre appointed by the Higher Educational Institution and	Yes	
	(b) It shall be mandatory to have observer report submitted to the Higher Educational Institution	Yes	
13.	(a) All end semester examinations or term end examinations for programmes offered through Open and Distance Learning mode shall be conducted	Yes	

S.No.	Provisions in Regulations	Whether complied Yes/No If Yes, Upload relevant document	If No, Reason thereof
	through proctored examination (pen-paper or online or computer based testing) within Territorial Jurisdiction, in the examination centre as mentioned in these regulations.		
	(b) The Exams shall be under the direct control and responsibility of the Open and Distance Learning mode Institution	Yes	
14.	The Examination Centre shall be located in Government Institutions like Kendriya Vidyalaya(s), Navodaya Vidyalaya(s), Sainik School(s), State Government Schools, etc. can also be identified as examination centre(s) under direct overall supervision of a Higher Educational Institution offering education under the Open and Distance Learning mode including approved affiliated colleges under the University system in the Country and no Examination Centres shall be allotted to private organisations or unapproved Higher Educational Institutions	No	We do not have any examination center other than headquarters
15.	The Learner Support Centres, as defined in the regulations and within the territorial jurisdiction, can also be used as examination centres provided they fulfill the criteria of an examination centre as defined in these regulations	Yes	

S.No.	Provisions in Regulations	Whether complied Yes/No If Yes, Upload relevant document	If No, Reason thereof
16.	The 'Examination Centre' shall be established within the territorial jurisdiction of the Higher Educational Institution	Yes	
17.	<p>(a) Each award of Degree at undergraduate and postgraduate level and post graduate diploma for Open and Distance Learning shall be assigned a unique identification number and shall have</p> <ul style="list-style-type: none"> i. Photograph ii. Aadhaar number or other government recognised identifier or Passport number, as applicable, iii. Other relevant details of the learner along with the Programme name. 	Yes (as per government guidelines, aadhar is not mandatory to be placed on marksheets / degrees)	
	(b) Each award shall also be uploaded on the National Academic Depository	No	We are in process of same
18.	It shall be mandatory for Higher Educational Institution to mention the following on the backside of each of the degrees/certificates and mark sheets issued by the Higher Educational Institution to the learners (for each semester certificate and at the end of the programme): (i) Mode of delivery; (ii) Date of admission; (iii) Date of completion; (iv) Name and address of all Learner Support Centres (only for Open and Distance Learning); (v) Name and address of all Examination Centres	Yes	

4.3 Whether any examination held through online mode.

If yes, provide details regarding technology enabled online test with all the security arrangements ensuring transparency and credibility of the examinations, or through the Proctored Examination

Yes, during Covid the examination was conducted online through the platform "Mettl". Mettl platform enables a remote proctor/authorizer to perform the following activities while proctoring/authorizing. A new persona has been added in the Proctoring ecosystem - Super Proctor (existing persons - Proctor, Authorizer).
(Document uploaded)

4.4 Result and Student Progression**For UG, PG and PGD programmes**

Semester Beginning	Program Name	No. of Students admitted	No. of Students appeared in exams	No. of Students progressed to next year	% of Students Passed	% of Students Passed in first Class
Jul-22	MBA (International Business)	38	24	20	83.33	100
	MBA (Power Management)	239	138	127	92.03	100
	MBA (Infrastructure Management)	8	5	5	100	100
Jan-23	MBA (International Business)	5	1	1	100	100
	MBA (Power Management)	79	15	11	73.33	100
	MBA (Infrastructure Management)	10	4	4	100	100

Part – V: Programme Project Report (PPR) and Self-Learning Material (SLM)

5.1 Compliance status of ‘Guidelines on Programme Project Report’ – As per Annexure - V of UGC (ODL Programmes and Online Programmes) Regulations, 2020

HEI shall mention the process followed to ensure that PPRs are prepared as per the guidelines mentioned in the Regulations. The explicit details of approval by its Statutory Authorities shall also be mentioned.

- PPRs of approved programs
- Mechanism of Curriculum Development
- Mechanism for implementation of PPR
- Development of SLM
- Digitization of SLM

5.2 Compliance status of ‘Quality Assurance Guidelines of Learning Material In Multiple Media And Curriculum And Pedagogy’ – As per Annexure - VI of UGC (ODL Programmes and Online Programmes) Regulations, 2020

HEI shall mention compliance details against the requirements in terms of learning material (Print Media), Audio-Video Material, Online Material, Computer-based material and Curriculum and Pedagogy, as mentioned in the Annexure-VI of the Regulations for ODL programmes.

Learning Material in multiple media is provided through LMS, ebooks/SLM, Recorded Session, Online Video Links is provided through LMS.
To improve upon the quality of content, FDP and Workshops are conducted. Meetings are conducted to review the content.
Approval of Academic Council

5.3 Compliance status in respect of Self-Learning Material– As per Annexure - VII of UGC (ODL Programmes and Online Programmes) Regulations, 2020

HEI shall mention the process followed to ensure that SLMs are prepared as per the guidelines mentioned in the Regulations. The explicit details of approval by its Statutory Authorities shall also be mentioned.

- Development of SLM
- Digitization of SLM
- Approval of Academic Council

Part – VI: Programme Delivery through Learner Support Centre (LSC)

6.1 Details of personal contact programmes implemented:

Please provide information in respect of programmes at UG, PG and PGD Programmes

S. No.	Programmes name	Centre Name	No. of centres conducted PCP	No. of PCP held every year	Total no. of students registered in the programme	No. of Students Attended on an average basis
	UG					
	PG					
	PGD					

6.2 Compliance status of 'Learner Support Centre' – As per Annexure – VIII of UGC(ODL Programmes and Online Programmes) Regulations, 2020

HEI shall mention the process followed for identification of LSCs and the agreement terms for providing support to the learners thereby ensuring compliance to the LSCs provisions of the Regulations. The explicit details of approval by its Statutory Authorities/CIQA shall also be mentioned.

6.3 LSC wise enrollment details (Not for Private University)

Sr. No.	Name & Address of College/ institute where LSC is established (with Pin Code)	This LSC is LSC of how many HEIs? (No. and Names)	If yes, All the HEIs in same State as that of the LSC?	Name of HEI to which College/ institute is affiliated (where LSC is established)	Whether the College/ institute is private or Govt (where LSC is established)	Name and Contact Details of Coordinator and Counselor	Qualification of Coordinator and Counselor	No. of Counsellors	Programmes offered	Total Enrolled student.
1.										
N.										

Note: In case of Science Programmes, programmes shall be offered from the Head Quarters and/or only from such Learner Support Centres which are offering same programme under conventional mode atleast for seven years.

Whether LSC is offering same programme under conventional mode	If Yes, then years since when being taught in conventional mode	No. of years	7 years condition complied Yes/No

6.4 Off campus details (For Deemed to be University)

Sr. No.	Name & Address of Off campus (Pin Code)	Approval of Govt of India through notification published in the Official Gazette	Name and Contact Details of Coordinator and Counselor	Qualification of Coordinator and Counselor	No. of Counsellors	Programmes offered	Total Enrolled student.
1.							
N.							

6.5 Delivery of Self-Learning Material

Delivery of Self Learning Material to learners for ODL programmes as defined in Annexure-VI and Annexure-VII of Regulations

Type	Date of Admission (for July and	Date of delivery SLM	Whether delivered	SLM to
------	---------------------------------	----------------------	-------------------	--------

	January)		learners within a fortnight from the date of admission
Printing Material			
Audio-Video Material			
Online Material			
Compute based Material			

**6.6 Whether any course in a particular programme was allowed through OER/
Massive Open Online Courses: Y/N**

a. Provide details as under:

S. No.	Programme Name	Courses allowed through OER/ MOOC	Name of Platform	Name of HEI offering the course (if any)	Duration of the Course	No. of Credits assigned to the Course	Percentage of total courses in a particular programme in a semester – programmes wise)

b. Upload approval of statutory authorities of the Higher Educational Institution:
Upload

Part – VII: Self Regulation through disclosures, declarations and reports

7.1 Compliance status of Regulations 9 of UGC (ODL Programmes and Online Programmes) Regulations, 2020– Self-regulation through disclosures, declarations and reports

S.No.	Provision	Complied Yes/No with explicit link address	If no. Reasons, thereof
1.	Joint declaration by authorised signatories, Registrar and Director of Centre for Internal Quality Assurance has been displayed on HEI website authenticating that the documents from Sr. No. '2' to '17' have been uploaded on the HEI website?	Yes	
Uploading of the following on HEI website (Mention link)			
2.	The establishing Act and Statutes there under or the Memorandum of Association, as the case may be or both, of the Higher Educational Institution, empowering it to offer programmes in Open and Distance Learning mode	Yes, https://www.upes.ac.in/about-us/mandatory-disclosure	
3.	Copies of the letters of recognition from Commission and other relevant statutory or regulatory authorities	Yes, https://www.cce.upes.ac.in/mandatory-disclosure	
4.	Programme details including brochures or programme guides inter alia information such as name of the programme, duration, eligibility for enrolment, programme fee, programme structure	Yes, https://www.cce.upes.ac.in/ (Under Degree Program)	
5.	Programme-wise information on syllabus,		

	suggested readings, contact points for counselling/mentoring, programme structure with credit points, programme-wise faculty details, list of supporting staff, list of Learner Support Centres with addresses and contact details (for Open and Distance Learning mode), their working hours and counselling (for Open and Distance Learning mode) Schedule;	Yes, https://www.cce.upes.ac.in/ (Under Degree Program)	
6.	Important schedules or date-sheets for admissions, registration, re-registration, counselling/mentoring, assignments and feedback thereon, examinations, result declarations etc.	Yes, https://www.cce.upes.ac.in/examination-pattern	
7.	The feedback mechanism on design, development, delivery and continuous evaluation of learner-performance which shall form an integral part of the transactional design of the Open and Distance Learning mode programmes and shall be an input for maintaining the quality of the programmes and bridging the gaps, if any	Yes https://learn.cce.upes.ac.in/ (Feedback is done through student portal)	
8.	Information regarding all the programmes recognised by the Commission	Yes, https://www.cce.upes.ac.in/mandatory-disclosure	
9.	Data of year-wise and programme-wise learner enrolment details in respect of degrees and/or post graduate diplomas awarded	Yes, https://www.cce.upes.ac.in/mandatory-disclosure	

10.	Complete information about 'Self Learning Material' including name of the faculty who prepared it, when was it prepared and last updated for Open and Distance Learning Programmes;	Yes, https://learn.cce.upes.ac.in/ (Available under student portal under LMS)	
11.	A compilation of questions and answers under the head 'Frequently Asked Questions' with the facility of online interaction with learners providing hyperlink support for Open and Distance Learning Programmes	Yes, https://helpdeskce.collpoll.com/home	
12.	List of the 'Learner Support Centres' along with the number of learners who shall appear at any examination centre and details of the Information and Communication Technology facilities available for conduct of examination in a fair and transparent manner, for Open and Distance Learning programmes	No	We don't have Learner Support Centres
13.	List of the 'Examination Centres' along with the number of learners in each centre, for Open and Distance Learning programmes	No	We don't have examination centres
14.	Details of proctored examination in case of end semester examination or term end examination of Open and Distance Learning programmes	Yes, All examination were conducted in proctored mode.	

15.	Academic Calendar mentioning period of the admission process along with the academic session, dates of continuous and end semester examinations or term end examinations, etc	Yes https://www.cce.upes.ac.in/examination-pattern	
16.	Reports of the third party academic audit to be undertaken every five years and internal academic audit every year by Centre for Internal Quality Assurance	Yes, https://www.cce.upes.ac.in/mandatory-disclosure	

Part – VIII: Admission and Fees

8.1 Compliance status of 'Admissions and Fees' – As per Regulations 14 of UGC (ODL Programmes and Online Programmes) Regulations, 2020

S.No.	Provision	Whether being complied Yes/No
1.	The intake capacity under Open and Distance Learning mode for a programme under science discipline to be offered by a Dual Mode University shall be three times of the approved intake in conventional mode and in case of Open University, it shall be commensurate with the capacity of the Learner Support Centres (for Open and Distance Learning only) to provide lab facilities to the admitted learners:	NA
2.	Enrolment of learners to the Higher Educational Institution, for any reason whatsoever, in anticipation of grant of recognition for offering a programme in Open and Distance Learning mode, shall render the enrolment invalid	Yes
3.	A Higher Educational Institution shall, for admission in respect of any programme in Open and Distance Learning mode, accept payment towards admission fee and other fees and charges- (a) as may be fixed by it and declared by it in the prospectus for admission, and on the website of the Higher Educational Institutions; (b) with a proper receipt in writing issued for such payment to the concerned learner admitted in such Higher Educational Institutions; (c) only by way of online transfer, bank draft or pay order directly in favour of the Higher Educational Institution.	Yes https://www.cce.upes.ac.in/payment-procedure (Detail is mentioned in website)

4.	It shall be mandatory for the Higher Educational Institution to upload the details of all kind of payment or fee paid by the learners on the website of the Higher Educational Institution.	https://www.cce.upes.ac.in/payment-procedure
5.	<p>The fee waiver and/or scholarship schemes for Scheduled Caste, Scheduled Tribe, Persons with Disabilities category of learners and students from deprived section of society shall be in accordance with the instructions or orders issued by Central Government or State Government:</p> <p>Provided that a Higher Educational Institution shall not engage in commercialisation of education in any manner whatsoever, and shall provide for equity and access to all deserving learners</p>	Yes, Fee waiver is provided to students from deprived section under EWS scholarship
6.	<p>Admission of learners to a Higher Educational Institution for a programme in Open and Distance Learning mode shall be offered in a transparent manner and made directly by the Head Quarters of the Higher Educational Institution which shall be solely responsible for final approval relating to admissions or registration of learners:</p> <p>Provided that a Learner Support Centre shall not admit a learner to any programme in Open and Distance Learning for or on behalf of the Higher Educational Institution</p>	Yes, admissions are done in transparent manner and directly through the Head Quarters of HEI
7.	<p>Every Higher Educational Institution shall–</p> <p>(a) record Aadhaar details or other Government identifier(s) of Indian learner and Passport for an</p>	<p>(a) Yes (b) Yes (c) Yes (d) Yes</p>

	<p>International Learner;</p> <p>(b) maintain the records of the entire process of selection of candidates, and preserve such records for a minimum period of five years;</p> <p>(c) exhibit such records as permissible under law on its website; and</p> <p>(d) be liable to produce such record, whenever called upon to do so by any statutory authority of the Government under any law for the time being in force.</p>	
8.	Every Higher Educational Institution shall publish, prior to the date of commencement of admission to any of its programme in Open and Distance Learning mode, a prospectus (print and in e-form) containing the following for the purposes of informing those persons intending to seek admission to such Higher Educational Institutions and the general public, namely, as mentioned at sr. no. '8(a)' to '8(k)' below	
8. (a)	Each component of the fee, deposits and other charges payable by the learners admitted to such Higher Educational Institutions for pursuing a programme in Open and Distance Learning mode, and the other terms and conditions of such payment	Yes
8. (b)	The percentage of tuition fee and other charges refundable to a learner admitted in such Higher Educational Institutions in case such learner withdraws from such Higher Educational Institutions before or after completion of programme of study and the time within, and the manner in, which such refund shall be made to the learner	Yes https://www.cce.upes.ac.in/refund-policy
8. (c)	The number of seats approved in respect of each programme of Open and Distance Learning mode,	Yes

	which shall be in consonance with the resources	
8. (d)	the conditions of eligibility including the minimum age of a learner in a particular programme of study, where so specified by the Higher Educational Institution	Yes
8. (e)	The minimum educational qualifications required for admission in programme(s) specified by the Commission or relevant statutory authority or councils, or by the Higher Educational Institution, where no such qualifying standards have been specified by any statutory authority	Yes
8. (f)	The process of admission and selection of eligible candidates applying for such admission, including all relevant information in regard to the details of test or examination for selecting such candidates for admission to each programme of study and the amount of fee to be paid for the admission test	Yes
8. (g)	Details of the teaching faculty, including therein the educational qualifications and teaching experience of every member of its teaching faculty and also indicating therein whether such member is employed on regular or contractual basis or any other	Yes
8. (h)	Pay and other emoluments payable for each category of teachers and other employees	Yes
8. (i)	Information in regard to physical and academic infrastructure and other facilities, including that of each of the learner support centres (for ODL programmes) and in particular the facilities accessible by learners on being admitted to the Higher Educational Institution	Yes (we do not have Learner support centres)

8. (j)	Broad outline of the syllabus specified by the appropriate statutory body or by higher educational institution, as the case may be, for every programme of study	Yes
8. (k)	Activity planner including all the academic activities to be carried out by the higher educational institution during the academic sessions	Yes
9.	Higher Educational Institution shall publish information at sr. no. '8' above on its website, and the attention of the prospective learners and the general public shall be drawn to such publication on its website and Higher Educational Institution admission prospectus and the admission process shall necessarily be over within the time period mentioned in the Commission Order	Yes
10.	No Higher Educational Institution shall, directly or indirectly, demand or charge or accept, capitation fee or demand any donation, by way of consideration for admission to any seat or seats in a programme of study conducted by it	No donation or capitation fee demanded
11.	No person shall, directly or indirectly, offer or pay capitation fee or give any donation, by way of consideration either in cash or kind or otherwise, for obtaining admission to any seat or seats in a programme in Open and Distance Learning mode offered by a Higher Education Institution	No donation or capitation fee demanded
12.	No Higher Educational Institution, who has in its possession or custody, any document in the form of certificates of degree, diploma or any other award or other document deposited with it by a person for the	We do not ask for Original Document /no charges asked from any student

	purpose of seeking admission in such Higher Educational Institution, shall refuse to return such degree, certificate award or other document with a view to induce or compel such person to pay any fee or fees in respect of any programme of study which such person does not intend to pursue or avail any facility in such Higher Educational Institution	
13.	In case a learner, after having admitted to a Higher Educational Institution, for pursuing any programme in Open and Distance Learning mode subsequently withdraws from such Higher Educational Institution, no Higher Educational Institution in that case shall refuse to refund such percentage of fee deposited by such learner and within such time as notified by the Commission and mentioned in the prospectus of such Higher Educational Institution	As per Refund Policy https://www.cce.upes.ac.in/refund-policy
14.	No Higher Educational Institution shall, issue or publish- (a) any advertisement for inducing learners for taking admission in the Higher Educational Institution, claiming to be recognised by the appropriate statutory authority or by the Commission where it is not so recognised; (b) any information, through advertisement or otherwise in respect of its infrastructure or its academic facilities or of its faculty or standard of instruction or academic or research performance, which the Higher Educational Institution, or person authorised to issue such advertisement on behalf of the Higher Educational Institution knows to be false or not based on facts or to be misleading	Yes

Part – IX: Grievance Redressal Mechanism

9.1 Compliance status of ‘Grievance Redressal Mechanism’ – As per Annexure - X of UGC (ODL Programmes and Online Programmes) Regulations, 2020

HEI shall mention the mechanism put into place along with brief details of grievances received and actions taken thereof. Also mention that how the learners have been made aware about this mechanism.

UPES-CCE has Grievance Redressal Committee. Details are available at CCE Website <https://www.cce.upes.ac.in/grievance-redressal>
Students are free to reach to committee in case they feel their issues are not handled and provided solution on time.

9.2 Details of Grievance received

Numbers of Grievance Received	Numbers of Grievance Resolved
0	0

9.3 Complaint Handling Mechanism

HEI shall mention the mechanism adopted for Complaint Handling Mechanism as per Regulations. Also, mention details of Nodal Officers.

CCE has dedicated Student Support Managers. Each learner would be associated with student support manager to share or seek any query and feedback through call or mail (<https://helpdesk.upes.ac.in/>). All such queries will be responded through CollPoll within 24 hours - 24x7

Helpdesk query resolution system also allows the student support team to view all tickets in a single dashboard. The support manager responds to each ticket within one working day. Each issue is to be closed within three iterations. If the issue can not be resolved by the manager, then the following resolution matrix is followed.

Whatsapp Chat Support is easy and immediate support 24X7 is available. Chats are answered live between 9 am and 6 pm from Monday to Friday. Weekends support number is available where student can connect with the support team.

All the email address & direct phone numbers of our program coordinators are available in our contact us section of our website <https://www.cce.upes.ac.in/contact-us>

Website also has grievance redressal contacts at <https://www.cce.upes.ac.in/grievance-redressal>
(Document uploaded)

HEI ID:

Name of HEI:

Type of HEI:

9.4 Details of Complaints received from UGC (DEB)

Numbers of Complaint Received	Numbers of Complaint Resolved	Whether Complaint was resolved within stipulated time i.e. 60 days? (yes/No)
0	0	Nil

Part – X: Innovative and Best Practices

10.1 Innovations introduced during academic year

Sessions introduced for explaining how to solve the case study
Sessions introduced for problem-solving
Sessions introduced for guidance on synopsis preparation and dissertation
Started case-based teaching
Extended UPES brand in online segment
Tapped into UPES industry partnerships and academic alliances
Product Development Capabilities
Built online products from existing and external content: Rich academic content already in place
Existing academic and operations teams with strong digital platform knowledge.
Additional supporting technology for student experience and engagement such as 24x7 support system and peers/faculties networking

10.2 Best Practices of the HEI

1. BlackBoard: World's largest used Learning Management System by 80% of the Reputed Universities.
2. ZOHO HelpdeskSupport: 24x7 student support system for Help-Desk and query resolution
3. Online counselling is available Online Chat Support & Desk support is available for those who have issues.

10.3 Details of Job Fairs conducted by the HEI

Not applicable

10.4 Success Stories of students of ODL mode of the HEI

Success stories have been displayed in Website:
<https://www.cce.upes.ac.in/Success-Stories/index.html>

10.5 Initiatives taken towards conversion of SLM into Regional Languages

Currently SLM is in English Language.

10.6 Number of students placed through Campus Placements

We do not provide placement assistance

10.7 Details of Alumni Cell and its activity

The concept of the alumni association is based for needs from both the ends, i.e. Alumni and their alma matter.

The mission of UPES, CCE Alumni Association is to provide a liaison between the UPES CCE alumni and University.

The purpose of UPES CCE alumni association is to ensure the following :-

- Alumni are updated about the programs and activities of the UPES, CCE.
- Develop alumni programs that foster fellowship among alumni and encourage the physical, moral, and spiritual growth of the UPES, CCE
- Assist UPES , CCE in the growth of its academic, administrative, cultural, and in enhancing the overall student experience.
- To create an everlasting relation between the alumni and their alma matter.

The aim of UPES CCE alumni relations team has always been to act as link between alumni and their alma mater, ensuring that the alumni are always connected with their university.

10.8 Any other Information

- Some of the document required in the CIQA report are in repetition and will create a large file size (more than prescribe by DEB – 5MB), due to which we are only uploading the file one time and mentioning the same document name in the section.

DECLARATION

I hereby declare that the information given above and in the enclosed documents is true, correct and nothing material has been concealed therein. In case information provided is found to be contrary to the fact, it will result in cancellation of recognition to offer ODL programmes, along with initiation of action as per provision of the UGC (ODL Programmes and Online Programmes) Regulations, 2020 and its amendments.

**Signature of the Director:****Name: Dr. Rajesh Gupta****Seal:****Date: 29th August 2023****Signature of the Registrar:****Name: Mr. Manish Madaan****Seal:****Date: 29th August 2023**

Note: Kindly take the print out of dully filled CIQA report and submit it to UGC DEB office (after getting it approved by Statutory Authorities of the HEI) and upload the same on HEI's website also. Please refer provisions regarding CIQA mentioned in UGC (ODL Programmes and Online Programmes) Regulations, 2020 and its amendments.