



# **Internal Quality Audit Policy and Procedure**

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Equality Impact Assessment Date: April 2017

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## History of Changes

<b>Version</b>	<b>Description of Change</b>	<b>Authorised by</b>	<b>Date</b>
1.1	Addition of History of Change log	J Stalker	30-3-17

## **1 Purpose**

To provide effective monitoring of the quality of service provided to students.

## **2 Policy Statement**

West Lothian College will undertake to carry out internal quality audits to support the College's quality assurance and enhancement strategy and self-evaluation processes.

## **3 Responsibilities**

- 3.1 The Assistant Principal is responsible for the overall management, evaluation and review of the internal quality audit process and for reporting appropriately to the Extended Leadership Team and the Board of Governors Learning and Teaching Sub Committee.
- 3.2 All College staff are responsible for complying with the quality standards of the relevant quality, accrediting and funding bodies, and for supporting the internal quality auditing process.
- 3.3 The Head of Quality and Learner Services and the Quality Team are responsible for carrying out internal quality audits and following up action points from the audit process.
- 3.4 The auditees are responsible for providing evidence for audit meetings and for ensuring that all action points are completed within the agreed timescale.

## **4 Procedure**

- 4.1 The Assistant Principal and the Head of Quality and Learner Services will prepare the Annual Internal Audit Schedule
- 4.2 Audits will be carried out in each academic session, in accordance with the College Internal Quality Audit Schedule
- 4.3 The Head of Quality and Learner Services will draw up the detailed Internal Audit Schedule identifying standards to be audited, the internal auditors, the auditees, and the period within which the audit will be carried out. The schedule will be communicated to all relevant staff.
- 4.4 Internal auditors will not undertake audits within their own curriculum or functional area.

- 4.5 Lead auditors will be appointed for each audit. Lead auditors will work with the Head of Quality and Learner Services to lead the audit and prepare audit reports.
- 4.6 Where appropriate, Internal Quality Audit Instruments will be sent to the appropriate Centre Manager/auditees in advance of the audit date.
- 4.7 Where audit interviews are to take place, internal auditors will contact the Centre Manager/auditees to arrange a short pre-audit meeting to plan the audit process and agree the date(s) for audit interviews. For desk based auditing, Centre Managers/auditees will receive a written request for audit documentation to be made available in the audit base room.
- 4.8 The internal auditor and the auditee will jointly undertake the audit to ensure that appropriate audit evidence is identified.
- 4.9 The Internal Quality Audit Instruments will be used to structure the audit and to record the findings.
- 4.10 If there is insufficient evidence to support the quality criteria, appropriate actions and a deadline for completion will be agreed with the auditee.
- 4.11 Action points for improvement and development consistent with College strategy will also be agreed. The auditor will record these and the agreed timescales for implementation. Lead auditors will sign the completed Internal Audit Report and any Record of Follow-Up Action.
- 4.12 Completed Audit Reports and RFAs will be copied to the auditee and to the Head of Quality and Learner Services.
- 4.13 The Head of Quality and Learner Services will report annually, and by exception, to the Skills and Progression Team on the main findings of the internal audit.
- 4.14 The Head of Quality and Learner Services will summarise the audit findings in the Quality of Learning and Teaching Annual Report. The Annual Report is presented to the Extended Leadership Team and the Learning and Teaching Committee, and placed on Serengeti.

## **5 Career Long Professional Learning and Development**

Internal auditors and auditees will undertake appropriate professional development in internal auditing techniques.

## **6 Review and Evaluation**

Next scheduled review date: March 2017

## **7 Documentation**

Internal Quality Audit Annual Schedule

Request for audit documentation

Internal Quality Audit Report (with control number)

## Equality Impact Assessment

Before carrying out an EIA, you should familiarise yourself with the College's EIA Policy Statement and Guidance, along with further information and resources which are available on Serengeti

EIA covers **strategies, policies, procedures, plans, provisions, criteria, functions, practices and activities, including decisions and the delivery of services**, but will be referred to hereinafter as 'policy/practice'.

<b>Policy/Practice (name or brief description):</b>	<b>Internal Quality Audit</b>
<b>Reason for Equality Impact Assessment (choose from the following options):</b>	
<ul style="list-style-type: none"> <li>Proposed new policy/practice</li> <li>Proposed change to an existing policy/practice</li> <li>Undertaking a review of an existing policy/practice</li> <li>Other (please give detail):</li> </ul>	<ul style="list-style-type: none"> <li>Undertaking a review of an existing policy/practice</li> </ul>
<b>Person responsible for the policy area or practice:</b>	
Name:	Jenny Stalker
Job title:	Head of Service: Quality and Learner Services
<b>An Equality Impact Assessment must be carried out if the policy/practice:</b>	
<ul style="list-style-type: none"> <li>affects <b>operational</b> or <b>strategic functions</b> of the College</li> <li>is relevant to the promotion of equality (in terms of the Public Sector Equality Duty 'needs' as set out in the Policy and Guidance)</li> </ul>	
Why the EIA is being carried out	Undertaking a review of an existing policy/practice
<b>Equality Groups</b>	
Relevant to the Policy/Practice, identify which of the undernoted equality groups are impacted upon:	

<ul style="list-style-type: none"> <li>• Age</li> <li>• Disability</li> <li>• race (including ethnicity and nationality)</li> <li>• religion or belief</li> <li>• sex</li> <li>• sexual orientation</li> <li>• gender reassignment</li> <li>• pregnancy and maternity</li> <li>• marriage or civil partnership</li> </ul>	No negative impact for any group
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**Record your assessment against the following statements:**

Statement	Equality assessment
Detail the evidence of the needs of the identified equality groups and any gaps in information	Quality audit is a check on the application of policy and procedure across the College. Needs of specific individuals or groups that are not being met may be evidenced through the audit and will be actioned at this point.
Will application of this policy/practice lead to discrimination (direct or indirect), harassment, victimisation, less favourable treatment for particular equality groups?	No
If yes, how will the policy/practice be changed to contribute to advancing equality of opportunity	
State how this policy/practice will foster good relations:	The rationale for this policy is to provide effective monitoring of the quality of service provided to students.
Will the policy/practice create any barriers for any other groups?	No
If yes, how will the policy/practice be changed to contribute to advancing equality of opportunity	N/A
Which equality groups or communities have been consulted in the development and review of this policy/practice?	None

**Equality Impact Assessment Outcome**

Select one of the four options below to indicate how the development/review of the policy/practice will be progressed and state the rationale for the decision. (Delete the options that do not apply):

**Option 1:**

No change required – the assessment is that the policy/practice is robust

**Monitoring**

When will the policy/practice next be reviewed?

**March 2020**

**Publication of EIA**

Can this EIA be published in full, now? Please state Yes or No

**Yes**

If No – please specify when it may be published or indicate restrictions that apply:

**Sign-off**

EIA undertaken by

Name:

**Shelagh Fraser**

Date:

**12-4-17**

Accepted by person responsible for the policy/practice named above:

Name:

**Jenny Stalker**

Date:

**12-4-17**

Retain a copy of this form for your own records and send a copy to [ebrown@west-lothian.ac.uk](mailto:ebrown@west-lothian.ac.uk)