



Internal Quality Audit Policy and Procedure

Responsibility for this policy: Head of Student Experience and Improvement

Date: April 2017

Review Date: April 2026

Equality Impact Assessment Date: April 2023

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History of Changes

Version	Description of Change	Authorised by	Date
1.1	Addition of History of Change log	J Stalker	30-3-17
1.2	Addition of inclusiveness statement and update of terminology	S Fraser	16-4-2021
1.3	Removal of reference to paper-based audit and minor updates to job titles	B Brownlee	11-4-23

Statement of Inclusiveness

West Lothian College is an inclusive organisation and all policies, procedures, strategies, plans, provisions, criteria, functions, practices and activities, including decisions and the delivery of services are assessed to consider the impact on staff and students covered by the Equalities Act 2010 by the completion of an Equalities Impact Assessment (EIA). Protected characteristics are defined as age, disability, gender reassignment, marriage or civil partnership (in employment only), pregnancy and maternity, race, religion or belief, sex, sexual orientation.

Please see end of this document for EIA.

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 Vice Principal – Performance and Improvement 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 Student Experience and Improvement 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 Vice Principal – Performance and Improvement and the Head of Student Experience and Improvement 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 Student Experience and Improvement 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 Student Experience and Improvement to lead the audit and prepare audit reports.
- 4.6 Where appropriate, Internal Quality Audit Instruments will be sent to the appropriate Faculty Director/auditees in advance of the audit date.
- 4.7 Where audit interviews are to take place, internal auditors will contact the Faculty Director/auditees to arrange a short pre-audit meeting to plan the audit process and agree the date(s) for audit interviews.
- 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 (RFA).
- 4.12 Completed Audit Reports and RFAs will be copied to the auditee and to the Head of Student Experience and Improvement.
- 4.13 The **Head of Student Experience and Improvement** will report annually and by exception, to the Management Forum on the main findings of the internal audit.
- 4.14 The **Head of Student Experience and Improvement** will summarise the audit findings in the Quality of Learning and Teaching Annual Report. The Annual Report is presented to the College Leadership Team and the Learning and Teaching Committee and placed on Sharepoint.

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: April 2026

7 Documentation

Internal Quality Audit Annual Schedule
Request for audit documentation
Internal Quality Audit Report

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 SharePoint.

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'.

Policy/Practice (name or brief description):	Internal Quality Audit Policy and Procedure
Strategy/Policy includes Equalities Statement of Inclusiveness? Yes	<p>Text to be included in strategy/policy:</p> <p>Statement of Inclusiveness</p> <p>West Lothian College is an inclusive organisation and all policies, procedures, strategies, plans, provisions, criteria, functions, practices, and activities, including decisions and the delivery of services are assessed to consider the impact on staff and students covered by the Equalities Act 2010 by the completion of an Equalities Impact Assessment (EIA). Protected characteristics are defined as age, disability, gender reassignment, marriage or civil partnership (in employment only), pregnancy and maternity, race, religion or belief, sex, sexual orientation.</p>
Reason for Equality Impact Assessment (choose from the following options):	
<ul style="list-style-type: none"> • Proposed new policy/practice • Proposed change to an existing policy/practice • Undertaking a review of an existing policy/practice • Other (please give detail): 	Undertaking a review of an existing policy/practice

Person responsible for the policy area or practice:	
Name:	Beth Brownlee
Job title:	Head of Student Experience and Improvement
An Equality Impact Assessment must be carried out if the policy/practice:	
<ul style="list-style-type: none"> • affects operational or strategic functions of the College • is relevant to the promotion of equality (in terms of the Public Sector Equality Duty 'needs' as set out in the Policy and Guidance) 	
Why the EIA is being carried out	Scheduled update
Equality Groups	
Relevant to the Policy/Practice, identify which of the undernoted equality groups are impacted upon:	
<ul style="list-style-type: none"> • Age • Disability • race (including ethnicity and nationality) • religion or belief • sex • sexual orientation • gender reassignment • pregnancy and maternity • marriage or civil partnership 	<p>There is no direct impact to any student regardless of equality group.</p> <p>Indirect impact is continued improvement in the delivery of learning and teaching practices due to audit identification of best practice and areas for improvement.</p>

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.	n/a
Will application of this policy/practice lead to discrimination (direct or indirect), harassment, victimisation, less	No

favourable treatment for particular equality groups?	
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:	Indirect impact is continued improvement in the delivery of learning and teaching practices due to audit identification of best practice and areas for improvement.
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	
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 needed – the assessment is that the policy/practice is/will be robust.

Monitoring

When will the policy/practice next be reviewed?

April 2026

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	
<p>EIA undertaken by</p> <p>Name: Date:</p> <p>Accepted by person responsible for the policy/practice named above:</p> <p>Name: Date:</p> <p>Approved by Equalities Committee</p> <p>Date:</p>	<p>Shelagh Fraser 11-4-23</p> <p>Beth Brownlee 11-4-23</p>

Retain a copy of this form for your own records and send a copy to lbyrne@west-lothian.ac.uk