

UCB Internal Audit Procedure (FE) Issue 5

The Internal Audit is conducted in line with *The common inspection framework: education, skills and early years (for use from 1 September 2015)* and the *Further education and skills inspection handbook (for use from April 2017)*.

The UCB Internal Audit Procedure (FE) comprises the principal criteria that auditors will consider when carrying out an audit.

Purposes of audit

The overall aim of audit is to evaluate how efficiently and effectively the education and training provided by UCB meets the FE learners' needs. The audit will cover all of the FE provision within the area / type of provision identified for the audit.

The main purposes of audit are to:

- help bring about improvement by identifying strengths and areas for improvement, highlighting good practice and highlighting what steps need to be taken to improve provision further.
- provide internal and external stakeholders with an account of the quality of education and training, the standards achieved and how effectively the provision is led and managed.
- provide an opportunity for the sharing of best practice across curriculum areas and types of provision.

The grading scale for audit judgements

This four-point grading scale will be used to make principal judgements:

- Grade 1: outstanding
- Grade 2: good
- Grade 3: requires improvement
- Grade 4: inadequate.

Overall effectiveness

The judgement on overall effectiveness is based on how effective and efficient the area / type of provision is in meeting the needs of FE learners and other users. Auditors will use all the available evidence and take into account judgements on:

- effectiveness of leadership and management
- quality of teaching, learning and assessment
- personal development, behaviour and welfare
- outcomes for learners

Effectiveness of leadership and management

In making this judgement, auditors will consider:

- how successfully ambitions for the provider's performance are set, reviewed and communicated with staff, learners, employers and other partners and the impact this has on the quality of provision and outcomes for all learners
- how successfully leaders, managers and governors secure and sustain improvements to teaching, learning and assessment through high quality professional development, including developing management and leadership capacity and robust performance management to tackle weaknesses and promote good practice across all types of provision
- the rigour of self-assessment, including through the use of the views of learners, employers and other stakeholders, its accuracy and how well it secures sustained improvement across the provider's work, including in any subcontracted provision
- the strategic priority that leaders and managers give to the provision of English and mathematics to ensure that learners improve their levels of skills in these subjects compared with their starting points
- the extent to which leaders, managers and governors collaborate with employers and other partners to ensure that the range and content of the provision is aligned to local and regional priorities (this may include inviting local employers to sit on their governing or supervisory board)
- how effectively leaders, managers and governors monitor the progress of groups of learners so that none is disadvantaged or underachieves
- the extent to which learners receive thorough and impartial careers guidance to enable them to make informed choices about their current learning and future career plans
- how effectively leaders, managers and governors monitor the progression and destinations of their learners (including whether learners enter secure and sustained employment) and use this information to improve provision
- the extent to which leaders promote all forms of equality and foster greater understanding of and respect for people of all faiths (or those of no faith), races, genders, ages, disabilities and sexual orientations (and other groups with protected characteristics), and how well learners and staff are protected from harassment, bullying and discrimination, including those based with employers and at other sites external to the provider
- how well the provider prepares learners for successful life in modern Britain and promotes the fundamental British values of democracy, the rule of law, individual liberty and mutual respect and tolerance of those with different backgrounds, faiths and beliefs
- how well the provider prepares learners who have special educational needs and/or disabilities to become more independent in their everyday life
- the effectiveness of safeguarding practice, including the prevention of radicalisation of learners and compliance with the 'Prevent' duty
- the extent to which provision for all learners can be maintained over time and leaders and governors take action to ensure this.

Quality of teaching, learning and assessment

In making this judgement, auditors will consider:

- teaching and assessment methods and resources inspire and challenge all learners and meet their different needs, including the most able and the most disadvantaged, enabling them to enjoy learning and develop their knowledge, skills and understanding
- learners are supported to achieve their learning goals, both in and between learning sessions
- staff have qualifications, training, subject knowledge and experience relevant to their roles and use these to plan and deliver learning appropriate to learners of all abilities, reflect good industry practice and meet employers' needs
- staff identify learners' support and additional learning needs quickly and accurately through effective initial assessment, leading to the provision of high quality and effective support to help learners achieve as well as they can
- staff work with learners to ensure that teaching, learning and assessment are tailored to enable all learners to make good progress and prepare for their next steps
- staff assess learners' progress and performance and ensure that assessments and reviews are timely, frequent, fair, informative and reliable
- learners receive clear and constructive feedback through assessment and progress reviews and/or during personal tutorials so that they know what they have to do to improve their skills, knowledge and understanding to achieve their full potential
- employers, parents and carers, as appropriate, are engaged in planning learners' development; they are kept informed by the provider of each learner's attendance, progress and improvement, where appropriate
- teaching, learning and assessment promote equality, raise awareness of diversity and tackle discrimination, victimisation, harassment, stereotyping, radicalisation and bullying
- staff are aware of and plan for individual learners' diverse needs in teaching or training sessions and provide effective support, including making reasonable adjustments for learners who have special educational needs and/or disabilities
- teaching promotes learners' spiritual, moral, social and cultural development
- teaching, learning and assessment support learners to develop their skills in English, mathematics and ICT and their employability skills, including appropriate attitudes

Personal development, behaviour and welfare

In making this judgement, auditors will consider:

- the extent to which learners take pride in their work, become self-confident and self-assured, and know that they have the potential to be a successful learner on their current and future learning programmes, including at work
- the proportion of learners who benefit from purposeful work-related learning, including external work experience where appropriate to their learning programmes and/or their future career plans, and how well they contribute to their workplace, including on work experience, as a valued member of the workforce
- how well learners develop the personal, social and employability skills, including English, mathematics and ICT skills, required to achieve their core learning aims and appreciate the importance of these skills in the context of their progression and career aims
- the extent to which learners achieve the specific units of their main vocational qualifications and relevant additional qualifications that enhance their learning and are likely to increase their future employability
- the extent to which learners' standards of work are appropriate to their level of study and/or requirements of the relevant industries so that they can work effectively to realistically challenging academic or commercial deadlines
- learners' use of the information they receive on the full range of relevant career pathways from the provider and other partners, including employers, to help them develop challenging and realistic plans for their future careers
- how well learners know how to protect themselves from the risks associated with radicalisation, extremism, forms of abuse, grooming and bullying, including through the use of the internet, and how well they understand the risks posed by adults or young people who use the internet to bully, groom or abuse other people, especially children, young people and vulnerable adults
- how well learners know how to keep themselves fit and healthy, both physically and emotionally
- the extent to which learners feel and are safe and have a good understanding of how they can raise concerns if they do not feel safe; the confidence that any concerns they may have are taken seriously and followed through appropriately
- learners' understanding of their rights and responsibilities as a learner and, where relevant, as an employee, and as citizens and consumers in the community; and how well they work cooperatively with others in all settings and promote good and productive working relationships with their peers, employees and employers
- the extent to which learning programmes, including enrichment activities, allow all learners to explore personal, social and ethical issues and take part in life in wider society and in Britain
- how well learners attend learning sessions and/or work regularly and punctually, including through participation in any distance learning activities, such as online learning and the use of virtual learning environments
- whether learners comply with any guidelines for behaviour and conduct stipulated by providers or employers and manage their own feelings and behaviour at work and during learning sessions.

Outcomes for learners

In making this judgement, auditors will consider:

- learners make progress during their programme compared with their starting points, with particular attention to progress by different groups of learners
- learners attain their learning goals, including qualifications, and achieve challenging targets
- learners' work meets or exceeds the requirements of the qualifications, learning goals or industry standards
- learners enjoy learning and make progress relative to their prior attainment and potential over time
- learners progress to relevant further learning and employment or self-employment relevant to their career plans or gain promotion at work
- learners acquire qualifications and the skills and knowledge that will enable them to progress to their chosen career, employment, and/or further education and training that have been planned in line with local and national priorities for economic and social growth
- learners who have severe and complex special educational needs and/or disabilities gain skills and progress to become more independent in their everyday life and/or progress to positive destinations such as employment
- there are any significant variations in the achievement of different groups of learners

As a further education and skills provider, the following types of provision will be graded as appropriate:

- 16 to 19 study programmes
- apprenticeships
- adult learning programmes
- traineeships
- provision for learners with high needs

Audit Methodology

A range of different types of announced internal audits will be completed each academic year based on the need to improve the quality of FE provision and effectively manage risks. These will include audits of different types of provision, audits of curriculum areas and UCB wide audits.

In addition to the announced Internal Audits, the audit team may conduct unannounced audits, reviews, monitoring visits and learning walks at any time.

The Internal Audit Schedule and the make-up of each Audit Team will be agreed by the Deputy Vice-Chancellor (Academic) and the Assistant Dean for Academic Quality Enhancement (FE) at the start of the academic year.

The Lead Auditor is the Assistant Dean for Academic Quality Enhancement (FE).

The Audit Team is made up of experienced FE lecturers / managers from a range of curriculum areas within UCB who are experienced in conducting lesson observations and have undertaken UCB approved lesson observation training within the current academic year.

The Team will also include an external subject specialist with current Ofsted experience.

For announced audits, the Assistant Dean for Academic Quality Enhancement (FE) will contact the appropriate Manager / Dean of School / Head of Department between 8.30 and 12.00 noon on the Thursday morning prior to the audit to confirm the arrangements for start of the audit process the following Monday.

In the absence of the Manager / Dean of School / Head of Department, a nominated deputy will be contacted.

The audit will start on Monday at 9.00 and be completed by Friday at 12.00.

The Audit Team will expect to see a wide range of information / evidence as part of the Audit, in line with the requirements of the CIF.

The Team will also expect to meet with a representative sample of learners that covers different types of provision, programmes, levels, curriculum areas, genders, ethnicities and abilities.

They will also expect to meet with staff and local employers / industrial links.

Lesson observations form a key part of the audit process and all academic staff will be observed, including part-time, agency and temporary staff.

The type and duration of the observations will vary. Lessons will be graded in line with the Ofsted CIF grading for lesson observations and the lesson observation report will be completed on ProObserve. Verbal feedback will be provided by the observer for the observee as soon as is practicable and within 48 hours of the observation, wherever practicable.

Interim verbal feedback will be provided to the Manager / Dean of School / Head of Department at the end of the audit week.

The Internal Audit Report

The draft copy of the Internal Audit Report will be sent to the Deputy Vice-Chancellor (Academic) for their comments within 4 weeks of the end of the Internal Audit.

The final copy of the report will be presented at the next meeting of the Curriculum and Quality Committee by the Assistant Dean for Academic Quality Enhancement (FE). At the same meeting, the appropriate Manager will present the Internal Audit Development Plan based on the findings of the audit.

Following approval by the Curriculum and Quality Committee, the final audit report will be published on the UCB website (staff portal).