

UCB Internal Audit Procedure – Support Services (FE) Issue 2 - September 2015

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 1 September 2015)*. 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 support, education and training provided by the support services meet the FE learners' needs. The audit will cover all of the FE provision within the Department.

The main purposes of audit are to:

- help bring about improvement by identifying strengths and areas for improvement, highlighting good practice and judge what steps need to be taken to improve provision further.
- provide internal and external stakeholders with an account of the quality of support, 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 departments and curriculum areas.

The grading scale for audit judgements

This four-point grading scale will be used, wherever possible, 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 School (FE) / Department is in meeting the needs of FE learners and other users, and why. 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

Auditors will make a judgement on the effectiveness of leadership and management by evaluating the extent to which leaders, managers and governors:

- demonstrate an ambitious vision, have high expectations for what all learners can achieve and ensure high standards of provision and care for learners
- improve staff practice, teaching, learning and assessment through rigorous performance management and appropriate professional development
- evaluate the quality of the provision and outcomes through robust self-assessment, taking account of users' views, and use the findings to develop capacity for sustainable improvement
- provide learning programmes or a curriculum that have suitable breadth, depth and relevance so that they meet any relevant statutory requirements, as well as the needs and interests of learners and employers, nationally and in the local community
- successfully plan and manage learning programmes, the curriculum and careers advice so that all learners get a good start and are well prepared for the next stage in their education, training or employment
- actively promote equality and diversity, tackle bullying and discrimination and narrow any gaps in achievement between different groups of learners
- actively promote British values
- make sure that safeguarding arrangements to protect young people and learners meet all statutory and other government requirements, promote their welfare and prevent radicalisation and extremism.

Auditors will always report on whether or not arrangements for safeguarding learners are effective.

Quality of teaching, learning and assessment

Auditors will make a judgement on the effectiveness of teaching, learning and assessment by evaluating the extent to which:

- teachers, practitioners and other staff have consistently high expectations of what each learner can achieve, including the most able and the most disadvantaged
- teachers, practitioners and other staff have a secure understanding of the age group they are working with and have relevant subject knowledge that is detailed and communicated well to learners
- assessment information is gathered from looking at what learners already know, understand and can do, and is informed by their parents/previous providers as appropriate

- assessment information is used to plan appropriate teaching and learning strategies, including to identify learners who are falling behind in their learning or who need additional support, enabling learners to make good progress and achieve well
- learners understand how to improve as a result of useful feedback from staff and, where relevant, parents, carers and employers understand how learners should improve and how they can contribute to this
- engagement with parents, carers and employers helps them to understand how children and learners are doing in relation to the standards expected and what they need to do to improve
- equality of opportunity and recognition of diversity are promoted through teaching and learning
- where relevant, English, mathematics and other skills necessary to function as an economically active member of British society and globally are promoted through teaching and learning.

Personal development, behaviour and welfare

Auditors will make a judgement on the personal development, behaviour and welfare of learners by evaluating the extent to which the provision is successfully promoting and supporting learners':

- pride in achievement and commitment to learning, supported by a positive culture across the whole provider
- self-confidence, self-awareness and understanding of how to be a successful learner
- choices about the next stage of their education, employment, self-employment or training, where relevant, from impartial careers advice and guidance
- where relevant, employability skills so that they are well prepared for the next stage of their education, employment, self-employment or training
- prompt and regular attendance
- following of any guidelines for behaviour and conduct, including management of their own feelings and behaviour, and how they relate to others
- understanding of how to keep themselves safe from relevant risks such as abuse, sexual exploitation and extremism, including when using the internet and social media
- knowledge of how to keep themselves healthy, both emotionally and physically, including through exercising and healthy eating
- personal development, so that they are well prepared to respect others and contribute to wider society and life in Britain.

Outcomes for learners

Auditors will take account of current standards and progress, including the provider's own data, and make a relevant judgement on academic and other learning outcomes for learners by evaluating the extent to which they:

- progress well from their different starting points and achieve or exceed standards expected for their age
- attain relevant qualifications so that they can and do progress to the next stage of their education into courses that lead to higher-level qualifications and into jobs that meet local and national needs.

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

The FE provision for each Department will be audited annually.

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

The dates for the Internal Audit Schedule and the make-up of each Audit Team will be agreed by the Pro-Vice-Chancellor (Performance and Partnerships) 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 a team of auditors that includes experienced FE lecturers / subject specialists from other curriculum areas within UCB who have undertaken recent lesson observation training and are experienced in conducting lesson observations. The Team will also include an external subject specialist with recent Ofsted experience.

The Assistant Dean for Academic Quality Enhancement (FE) will contact the 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 Head of Department, the Assistant Head of Department 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 following evidence should be available for the start of the audit:

- the Department's (FE) current and previous self-assessment report (SAR)
- the Department's (FE) current and previous development / quality improvement plan, including those in place for subcontractors / franchises
- an overview of the Department (FE) activity including details of the types of support services provided, the number of learners using each service and locations
- details of staff numbers, WTE's and their role/s
- details of how learners' individual needs are assessed and supported
- an outline of information and communication systems / technology used to monitor and support learners and teaching & learning
- the report and completed action plan from the previous Internal Audit
- the report and completed action plan from the previous Ofsted inspection
- the reports from any subject or aspect surveys carried out by Ofsted
- the reports from any monitoring visits carried out by Ofsted

Additional information will be requested by the Audit Team as the week progresses.

The Team will expect to meet with a representative sample of learners that covers different 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 support staff will be observed (where appropriate) in their student support role. The type and duration of the observations will vary and will include part-time, agency and temporary staff.

Details of the lesson observation 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.

Verbal feedback will be provided to the Head of Department at the end of the audit.

The Internal Audit Report

The draft copy of the Internal Audit Report will be sent to the Head of Department for their comments within 3 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 Department will present their 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).