UCB Internal Audit Procedure (HE)
Issue 1

The Internal Audit is conducted in line with *the QAA Quality Code for Higher Education (2014) Part B: Assuring and Enhancing Academic Quality B8 Programme Monitoring and Review to prepare for the Teaching Excellence Framework Institution submission in 2020, and Subject submissions thereafter. The findings will be reported to the UCB Curriculum and Quality Committee after each HE School Audit.*

The UCB Internal Audit Procedure (HE) 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 higher education undergraduate, postgraduate and degree apprenticeships programmes are provided by the School in order to continuously improve student outcomes. The audit will cover all of the HE provision within the School.

The main purposes of the 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 education provision, outcomes for students, and how effectively the provision is led and managed.
- provide an opportunity for the sharing of best practice across Schools and programme areas.

The rating scale for audit judgements

This three point rating scale will be used to make principal judgements in line with the descriptors given for the *Teaching Excellence Framework (2016) Year two specification*:

☐ Gold
☐ Silver
☐ Bronze

Overall effectiveness

The judgement on overall effectiveness is based on how effective and efficient the School (HE) is in meeting the needs of HE students, and why according to the TEF descriptors and examples of evidence for each aspect. Auditors will use all the available evidence and take into account judgements on:

- Learning Environment (LE)
- Teaching Quality (TQ)
- Student Outcomes and Learning Gain (SO) based on 'live' data.

Learning Environment (LE)

Auditors will make a judgement on the effectiveness of the learning environment by evaluating the extent and impact of the following criteria:

- Resources (LE1) - Physical and digital resources are used effectively to aid students' learning and the development of independent study and research skills.
- Scholarship, Research and Professional Practice (LE2) - The learning environment is enriched by student exposure to and involvement in provision at the forefront of scholarship, research and/or professional practice.
- Personalised learning (LE3) – Students' academic experiences are tailored to the individual, maximising rates of retention, attainment and progression.

Teaching Quality (TQ)

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

- Student Engagement (TQ1) – Teaching provides effective stimulation, challenge and contact time that encourages students to engage and actively commit to their studies.
- Valuing Teaching (TQ2) – Institutional culture facilitates, recognises and rewards excellent teaching.
- Rigour and Stretch (TQ3) – Course design, development, standards, and assessment are effective in stretching students' to develop independence, knowledge, understanding and skills that reflect their full potential.
- Feedback (TQ4) – Assessment and feedback are used effectively in supporting students' development progression and attainment.

Student Outcomes and Learning Gain

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

- Employment and Further Study (SO1) – Students achieve their educational and professional goals, in particular progression to further study or highly skilled employment.
- Employability and Transferrable Skills (SO2) – Students acquire knowledge, skills and attributes that are valued by employers and that enhance their personal and/or professional lives.
- Positive Outcomes for All (SO3) – Positive outcomes are achieved by its students from all backgrounds, in particular those from disadvantaged backgrounds or those who are at greater risk of not achieving positive outcomes (e.g. 'good' degree classifications).

As a Higher Education provider, the following types of provision will be graded as appropriate:

- foundation programmes
- undergraduate programmes
- Postgraduate programmes

■ Degree Apprenticeships

Audit Methodology

The HE provision for each School 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 Deputy Vice Chancellor (Academic) and the Assistant Dean for Academic Quality Enhancement (HE) at the start of the academic year.

The Lead Auditor is the Assistant Dean for Academic Quality Enhancement (HE). The Audit Team is made up of a team of auditors that includes experienced HE lecturers, Deans, Assistant Deans and Senior Curriculum leaders from other curriculum areas within UCB who have undertaken recent lesson observation training and are experienced in conducting lecture observations. The Team may also include an external subject specialist with recent QAA Review and or TEF Panel experience. The Assistant Dean for Academic Quality Enhancement (HE) will set out a plan of HE internal audits at the commencement of each academic year with the Dean of each School notified when the schedule is finalised.

The audit will start on Monday at 9am and be completed by Friday at midday of each week.

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 TEF (2016) and QAA quality code. The following evidence should be available for the start of the audit:

- The current School TEF Review and Action Plan.
- The latest External Examiners' reports and responses.
- The current Programme Review for each programme.
- Timetables to consider teaching intensity.
- Learning gain and distance travelled by all students.
- An overview of the School (HE) / Department activity including details of programmes, levels, delivery methods, locations and numbers of learners on each programme.
- Details of staff numbers, and their role/s, qualifications, and experience.
- Impact from previously recorded teaching observations.
- Evidence of longer term employment outcomes and progression of graduates into highly-skilled employment.
- Evidence and impact of initiatives aimed at graduate employability.
- Extent of student involvement in enterprise and entrepreneurship.
- Career enhancement and progression for mature students.
- Impact of initiatives aimed at closing gaps in development, attainment and progression for students from different backgrounds, and in particular disadvantaged or those at greater risk of not achieving positive outcomes.
- Recognition by professional, statutory and regulatory bodies.

- Summary information gathered from student module evaluation forms.
- Student voice data and responses.
- Initiatives for supporting students' development, progression and achievement.
- On-line access and examples of assessed work from each programme, covering different levels, grades and abilities, with work from at least two lecturers/assessors for each programme.
- The use and effectiveness of learner analytics used in HE individual tutorials to track and monitor progress and development.
- The impact and effectiveness of initiatives aimed at supporting the transition into and through a higher education course.
- The extent and impact of student involvement in or exposure to the latest developments in research, scholarship or professional practice.
- Extent, nature and impact of employer engagement in course design and or delivery including degree apprenticeships.
- An outline of information and communication systems / technology used to monitor and support students and teaching & learning.
- The report and completed action plan from any previous Internal Audit if applicable.

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

The Lead Auditor will expect to meet with a representative sample of students that covers different programmes, levels, genders, ethnicities and abilities.

They will also expect to meet with programme teams and Placement staff from Hired@UCB.

Lecture 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, and staff will not be notified of which session will be observed during the audit period (Lecturing staff will know which week they are being observed). Lectures will be graded in line with the UCB grading system for lesson observations and guidelines from the UK Professional Standards Framework for teaching and supporting learning in HE (2011). Details of the lecture 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 Dean of School at the end of the audit.

The Internal Audit Report
The draft copy of the Internal Audit Report will be sent to the Dean of School 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 (HE). At the same meeting, the School (HE) will present their adjusted TEF 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).

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