# PERIODIC REVIEW: INTERNAL AUDIT

# **Glossary**

- Periodic Review: the collective term given to four review processes:
  - Academic Review: enhancement-led, all academic programmes, 5-year cycle (School)
  - Internal Audit: assurance-led, management of high-risk activity, 3-year cycle (School)
  - Thematic Review: an area related to learning, teaching and assessment selected for review and enhancement (University)
  - Professional Services Academic-Related Review.
     5-year review of services supporting the Learning and Teaching Strategy (University)
- UCQS: University Committee for Quality and Standards
- Assurance: "guaranteeing the quality and academic standards of educational provision"

# **Internal Audit**

Internal Audit is one of HWU's periodic review processes for assuring and enhancing the quality and standards of programmes. Internal Audit:

- Operates on a 3-yearly cycle
- Focuses explicitly on assurance
- Adopts a audit/scrutiny-based approach
- Reviews all high-risk activity at the School level
- Is based on a Narrative Summary document, plus learning materials, exit plans, risk register and a range of paperwork for each type of partnership
- Considers the School's management of, and supporting infrastructure for, high risk activity
- Re-approves the academic relationship between HWU and the partner, subject to contractual obligations
- Is undertaken by a panel of internal senior staff
- Reports to UCQS, Senate, University Executive, Scottish Funding Council & Quality Assurance Agency Scotland

# **The Internal Audit Process**

The Internal Audit Process and Timeline:

#### Date

Academic Quality and School liaise over date (within schedule period approved by UCQS)

**DATE: FEBRUARY 2019** 

#### **Selection of Audit Team**

Academic Quality sets up team (Deputy Principal (L&T), Dean, Director of Learning & Teaching, Senior Academic/Professional

6 mths Services staff member)

#### **School Briefing**

Director of Learning & Teaching and other School staff as appropriate meet with Global Quality Officer to discuss Narrative Summary and other paperwork required

# **Liaison with School**

Academic Quality liaises with School Admin Contact over arrangements and documents

#### **Audit Team Briefing**

Global Quality Officer briefs Audit Team if required

#### - 1 mth List of Provision to be Audited & Schedule

Academic Registry finalises list of provision to be audited and produces Schedule for Audit

#### **Narrative Summary**

- 1 week School provides Narrative Summary

## **Internal Audit Event**

0

• 1 day: Team reviews evidence and meets key School staff

Team gives School a summary of findings and decisions

#### + 1 to 8 weeks

#### **Audit Report**

- Team produces Report
- School submits response and Action Plan

### As per meeting dates

#### **Committee Approval**

- Report, response and Action Plan approved by UCQS
- Executive summary to Senate and University Executive for information

#### + 1 year Follo

Follow-Up Audit

• If required, follow-up Audit is held

# Audit Conclusion

- 1 vear

- School submits progress report on actions to UCQS
- UCQS confirms audit as complete and informs Senate

## **References and Further Information**

Contact: quality@hw.ac.uk

Internal Audit Handbook: https://www.hw.ac.uk/services/academic-registry/quality/qa/internal-audits.htm

Academic Quality Policies & Procedures: https://www.hw.ac.uk/services/academic-registry/quality/quality-assurance.htm

Learning & Teaching Policies & Procedures: <a href="https://www.hw.ac.uk/services/academic-registry/quality/learning-teaching/policy-bank.htm">https://www.hw.ac.uk/services/academic-registry/quality/learning-teaching/policy-bank.htm</a>

#### Quality Assurance Briefing Paners

This briefing paper has been produced by Academic Quality and is one of a series related to Quality Assurance procedures. The briefing papers aim to provide a concise, informative overview of key processes, and include links to relevant policies, procedures and templates.