PURPOSE

The purpose of this process is to ensure the effective implementation and maintenance of the Division's Quality Management System by conducting regular audits on all aspects of the QMS.

RESPONSIBILITY

Responsibility for this process lies with the Division's Quality Team. All unit heads / line managers within the Division are responsible for implementing the procedure.

PROCEDURE

1. In September* each year the Quality Team compiles an annual internal audit schedule for the Division's Quality Management System. The schedule sets out:
   a. Processes to be audited
   b. Units to be audited for identified processes
   c. Assigned auditors (in pairs)
   d. Provisional dates (months) for audits

   Each process (QMS Process, Key Business Process and Management Review (Quality Manual)) should ideally be audited once a year. Issues such as the importance of activities, auditor holidays, busy periods of work, activities that can only be audited at a specific time of the year due to the nature of the task(s) etc. are taken into account in scheduling. Auditors should never audit their own areas and Units should be audited by different auditors each time.

   Where inter-departmental audits are due to be scheduled for the Division in any year, the annual internal audit schedule will be adjusted to facilitate these.

2. The Quality Team submits the audit schedule for approval at the subsequent Management Team meeting. Any changes made by the Management Team to the schedule are noted.

3. The Quality Team Audit Co-ordinator will incorporate any agreed changes to the audit schedule, will publish the schedule on the Web / SharePoint and will advise each auditor of its issue. It is the responsibility of all auditors to check the audit schedule. Auditors are responsible for arranging directly with Unit Heads the appropriate time to carry out the audit, and should arrange audit times around the activity in order to witness the actual activity being carried out wherever possible.

4. Prior to the audit, auditors must read the previous Audit Report (where applicable), making note of any areas that require checking or particular attention, and checking that the actions from the last audit are complete. Audit Reports are filed on the Student Affairs SharePoint Portal.

5. Before the audit, the auditor(s) should develop a checklist using previous Audit Reports, procedures for the areas etc., and note any particular questions they would like to ask. Where possible, auditors should also decide upon samples, check records, etc. prior to the audit so they are aware of what

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they wish to focus on. However, for some procedures, this will not be possible until during the actual audit.

6. Auditors should conduct the audit on the agreed dates, taking note of any areas for improvement that are identified on the checklist. The following is recommended to be discussed during an audit, in addition to any prepared questions/ appropriate questions
   a. Receive a demonstration of how a procedure is carried out (i.e. "show me")
   b. Ascertain whether the procedure is effective and efficient
   c. Invite auditees to make suggestions for areas for improvement at the end of the audit

7. On completion of the audit, auditors must complete the Audit Report. The Audit Report should include objective evidence of deviation from implemented procedures / working guidelines or other applicable documents and all supporting information.

8. The Audit Report is sent via email to the Quality Team Audit Co-ordinator. Audit actions from the report are uploaded to the QIAP on SharePoint and assigned to the unit head who is responsible for the implementation of these actions.

9. A copy of the completed Audit Report is sent to the auditees and the unit head by the Quality Team Audit Co-ordinator. Audit reports are also stored on SharePoint.

10. Follow-up actions are tracked by the Quality Team Audit Co-ordinator and monitored by the Quality Team.

DOCUMENTATION
- Internal Audit Checklist Template
- Internal Audit Report Template

RECORDS
All audit records (reports and paper trails) are maintained by the Quality Team Audit Co-ordinator. Action items resulting from the audits are logged in the Student Affairs QIAP on SharePoint Portal. All relevant records are held in accordance with UL's Records Management and Retention Policy.

PROCESS VERIFICATION
Evaluation of the Internal Audit & Self-Assessment Process effectiveness is carried out using internal and external audits. Changes to the process are put in place as required and as appropriate.

REVISION HISTORY

Revision No.	Date revised	Approved by:	Approval date & meeting	Details of Change	Process Owner
1	Sept '13	Quality Team		*Initial Release*	Quality Team
2	May '15	Quality Team	12 May 2015, QQR Meeting	• Preparation of audit schedule to facilitate inter-departmental audits • Change to Quality Team Audit Co-ordinator as main person responsible for co-ordinating the process • Change to Step 8 – logging of audit actions on the division's QIAP on SharePoint	Quality Team