



Sultanate of Oman
Ministry of Manpower
Shinas College of Technology

ShCT-Internal Quality Audit Policy

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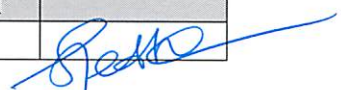
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Version Control

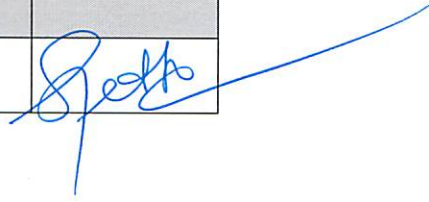
A. Feedback and amendments

Version	Author	Date (dd/mm/yyyy)	Summary of Revisions	Contributed by
0.1	Dr. Syed	15/04/2016	First Draft.	QAD-ShCT
0.2	Dr. Syed	05/10/2016	Second Draft	QACs
0.3	Dr. Syed	20/01/2017	Feedback and comments through PMS	Staff of the Units
0.4	Dr. Syed	26/09/2017	Feedback and comments by PMT	PMT
0.5	Dr. Syed	15/10/2017	Scope of the audit and reporting system and forms	College Dean
1.0		31.05.2018	Approved by CC	

B. Plagiarism verification

Version	Team/committee/person	Date (dd/mm/yyyy)	% of Plagiarism	Signature
Final draft	QAD	17/12/2018	8%	

C. Document proofread by:

Version	Team/committee/person	Date (dd/mm/yyyy)	Language quality (Excellent, Good, Fair)	signature
Final draft	QAD (E-Rater Technology)	17/12/2018	Good	

Approval Authorities Signature/Date:

College Council
31.05.2018

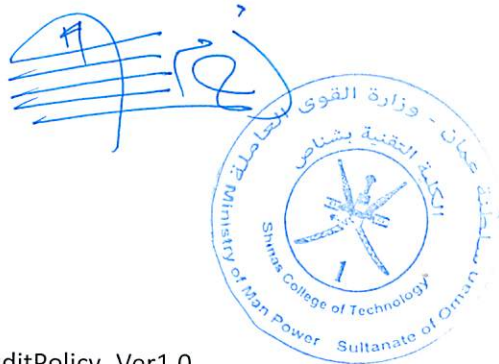


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1. Purpose

The internal review and evaluation of the effectiveness of the Quality Management System (QMS) is carried out through an internal quality audit process, which includes the following

- a. Review of implementation of Operational Plans (OPs) through the verification of evidences identified in the OP achievement reports, annual reports of the units and other Quality Audit Reports.
- b. Review internal processes to study if the processes follow the Bylaws, MoMP directives, College policies, procedures and management decisions (CC and Unit Management decisions) and departmental policies.
- c. Evaluate objectively the College activities and operations through the verification of evidences in meeting the Mission and Vision of the College.
- d. Contribute to the development of the College's quality systems through an independent objective evaluation report. The report identifies key areas of unit operations requiring corrective actions, processes requiring compliance to the requirements and recommendations to help the unit in meeting targets set in their OP.

2. Scope

The internal quality audit will be conducted for all the Academic and Administrative Departments and Centers in the College. The audit will focus Institutional Standards Assessment (ISA) requirements and follow-up of the QD audit reports. The internal audit will be spread out with different units and processes audited at different periods based on their objectives, importance, and risk.

3. Definitions

Acronyms

D&Cs: Departments and Centers

DAC: Department/Center Academic Council

DQAC: Department/Center Quality Assurance Committee

HoD/C: Head of the Department (Academic/Administration) or Center

HoS: Head of the Section

ISA: Institutional Standards Assessment

OAAA: Oman Academic Accreditation Authority

OP: Operational Plan

QAC: Quality Assurance Coordinator

QAM: Quality Assurance Manual

QAD: Quality Assurance Department

QD: Quality Department Ministry of Manpower

QMS: Quality Management System

QSM: Quality Sub-Manual

SP: Strategic Plan

Definitions:

Quality Audit: It is an objective, independent and systematic examination/assessment of the activities and operations of the College department/Center or College Committee. Its aim is to add value and improve the D&Cs'/Committees' operations (PMS, HCT, 2015).

Audit Team: It is the team or selected staff to undertake a quality audit of the assigned D&Cs by the DAC. The team composition is based on the number of areas chosen and duration of the audit decided based on the recommendations of the DAC. The College audit team is comprised of staff from the QAD and other staff members recommended by the QAD with the approval by the College Dean. The composition of the team and number of members are is based on the areas of audit chosen and duration.

Audit Report: It is an objective report submitted to the QAD by the audit team after completing the audit. The document reflects the observations based on the recorded conversations with the auditees and verification of evidences (documents, web postings, online portals, etc). The report also suggests recommendations to the auditees D&Cs/Committee with clear time frame for implementation. The report also suggests recommendations to the QAD or CC for necessary support to the D&Cs/Committees for implementing the recommendations.

Audit Schedule: The audit timetable/schedule published by the QAD.

Audit Scope: The systems; activities; processes; sections and documents which will be included in the audit against the relevant articles of the Bylaws of CTs; Ministry directives; activities planned based on the SP and OP; QD recommendations; College policies and procedures and internal directives of CC and DAC.

Auditee: The person/department/center/committee upon whom the audit is carried out.

Auditor: The assigned staff, and their main responsibility is to carry out the audit.

File Audits: Refers to the checking of the documents or files which include but not limited to course files, advisory files, etc.

Internal College Quality Audit: Refers to the internal audit of the College D&Cs and College level committees by the QAD of the College.

Lead Auditor: Refers to the team leader of the Quality Audit Team assigned by the QAD/DAC.

4. Policy Statement

4.1: The Internal Quality Audits will be carried out to identify compliance of the D&Cs and college committees with the ISA and GFP standards set by OAAA, Bylaws of CTs, Ministry directives, QAM, QSM, Policies and procedures, internal directives of the CC and DACs, progress on the implementation of the SP and OP, and action taken on the recommendations of the QD audit recommendations.

4.2: The academic and non-academic Departments and Centers, and College level committees will be audited by the QAD annually based on the schedule approved by the College Dean.

4.3: The academic and non-academic Departments and Centers, and College level committees will cooperate and share their documents and other evidences with the auditors for audit.

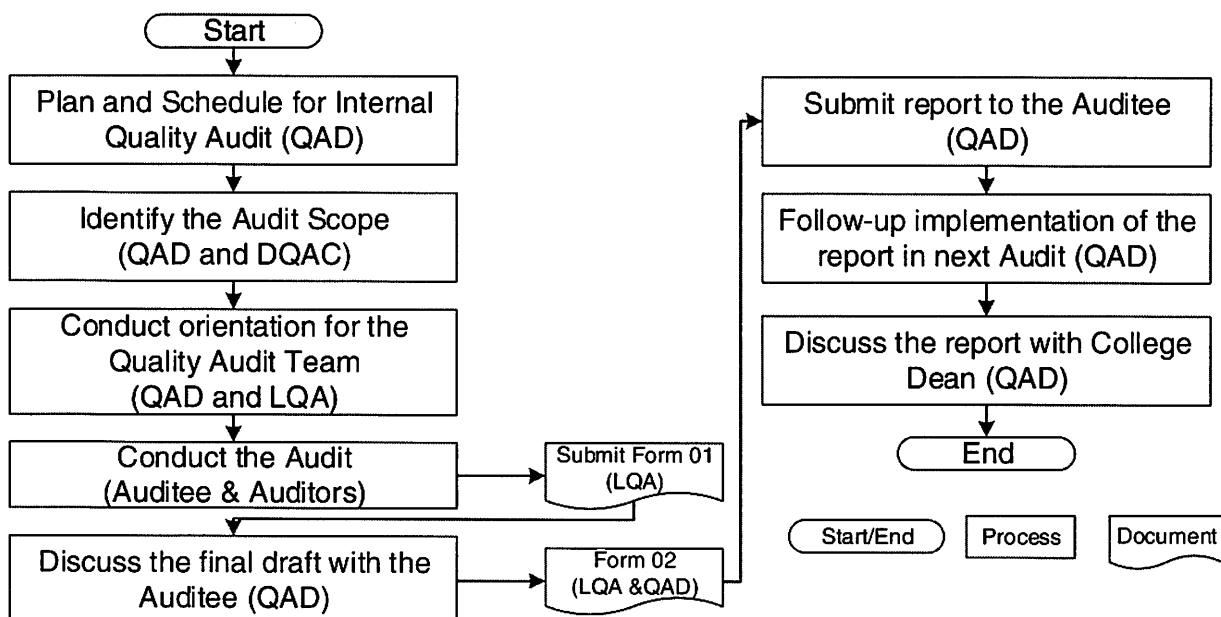
4.4: The internal audit of D&Cs and Committees will be carried based on the objectives, importance, and risk. The audit of various units will be carried out at the different periods of AY. The units will be audited once in an academic year. The auditee will be informed about the audit schedule and scope well in advance. The audit team members will also be informed. The auditee and the auditor will be responsible to inform the QAD regarding any conflict of interest.

4.5: The academic and non-academic Departments and centers can also carry out internal audits/checks of their activities implemented as part of their OPs. In addition, to this, the D&Cs will also carry out the file checks. The DAC will decide on the composition of the audit team based on the recommendations of the QAC.

4.6: The audit report will be discussed with the auditee before being presented to the CC by the QAD. The auditee can seek for any changes in the report with proper justification. The unit will receive a copy of the audit report after submission to College Dean.

5. Quality Audit Process

The audit process will follow the process shown below



6. Procedure

6.1: Before Audit

- 6.1.1 The QAD will plan and develop a schedule for audits of Academic and Non-academic Departments and Centers.
- 6.1.2 The QAD could decide about the scope of the audit through discussion with the respective DQAC.
- 6.1.3 The QAD will **seek approval** of the schedule and scope from the **College Dean**.
- 6.1.4 The auditee will be informed about the audit schedule and scope **a month** before the audit.
- 6.1.5 The QAD will provide a **list of potential auditors** to the auditee and upon no conflict of interest with any of the members will seek the **approval of the list from the College Dean**.
- 6.1.6 The QAD will provide proper induction to the auditors.
- 6.1.7 A soft copy of the documents related to the scope area identified in the scope document will be uploaded to the sharing folder by the DQAC before the date of audit.

6.2: During Audit

- 6.2.1 The audit will be carried out at the respective D&C.
- 6.2.2 The auditors will carry out the audit of the auditee in a respectful and objective way within the scope provided.
- 6.2.3 The auditee and its members will cooperate and provide necessary documents for verification.
- 6.2.4 The auditors will not provide any alternate strategies or suggestions during the audit but, instead will try to identify the gaps and seek clarifications for non-compliance.
- 6.2.5 All the discussion will be recorded and objectively reported in the form (Col-IQAP-01) later.
- 6.2.6 The auditors will keep up with the time assigned for the process. The audit will end by thanking the auditee for its cooperation and support.
- 6.2.7 The auditors can also provide an oral feedback to the auditee, but this can undergo modification based on further verification of the evidences.

6.3: After Audit

- 6.3.1 The auditors will complete the process by providing the QAD with an audit report in a form (Col-IQAP-01 and Col-IQAP-02). The audit report will reflect the observations and discussion with the auditee and identify the noncompliance issue with proper evidences identified during the audit.
- 6.3.2 The auditee upon the agreement of the auditors will upload soft copy of the documents that were not provided earlier to a sharing folder.
- 6.3.3 The audit report final draft will be shared with the auditee by the QAD and any conflict with the points in the report (Col-IQAP-01) will be mutually agreed through

discussion. The changes in the report sought by the auditee needs to be substantiated with appropriate evidences.

- 6.3.4 Once the Audit Report form (Col-IQAP-01) is finalized, the auditors with the help of QAD members will complete the Audit Report form "Col-IQAP-02".
- 6.3.5 The final report form (Col-IQAP-02) will be submitted to the College Dean as chairperson of the CC. A copy of the final report form (Col-IQAP-02) will also be provided to the auditee for implementation and feedback.

References

1. Internal Audit Policy, HCT, version 2.0
2. <http://www.uottawa.ca/internal-audit/approach>
3. <http://www.qualitysystems.com/support/pages/internal-audits>
4. <http://www.qualitydigest.com/magazine/2001/nov/article/internal-quality-auditing.html>
5. <http://www.quality-assurance-solutions.com/quality-audit-checklist.html>



Quality Assurance Unit
Internal Audit Findings

Form No. Col-IQAP-01

Unit:

Date:

Time:

Auditors:

Auditee Members:

S. No	Area	Is the documented process & procedure followed? Does documentation takes place? Who is monitoring the process, how is it monitored? How effective is the process, how is it evaluated?

Signature of the Lead Auditor

Date:

Sultanate of Oman
Ministry of Manpower
Directorate General of Technological Education

بِسْمِ اللَّهِ الرَّحْمَنِ الرَّحِيمِ



الكلية التقنية بشناس
Shinas College of Technology

محافظة عَمَّان
وزارة التعليم العالي
المدىة العامة للعلمة التقني

Quality Assurance Unit
Internal Audit Recommendations

Form No. Col-IQAP-02

Audit Date	
Auditee	
Lead Auditor	
Members	

S. No	Findings	Recommendations to the Unit	Time frame for implementation	Recommendations to the CC (If necessary)

Signature of the Lead Auditor

Date:

Noted by QAD: