



Audit Toolkit

UK GOVERNANCE AUDIT TOOLKIT

Higher Education Governance, Assurance & Compliance Framework

UK Quality Code & OfS Aligned

*PRP Quality Platform supports
accreditation readiness for
providers in the United Kingdom to
meet accreditation requirements*

PURPOSE OF UK GOVERNANCE AUDIT TOOLKIT

This toolkit provides a comprehensive institutional governance assurance framework designed to support effective oversight by the Board, Academic Board, and key committees. It establishes clear accountability structures and evidence-based processes that enable transparent decision-making across all levels of university governance.

Aligned with the UK Quality Code and Office for Students (OfS) regulatory expectations, this framework creates a robust audit and compliance structure. It ensures institutions can demonstrate regulatory readiness, maintain quality standards, and provide assurance to stakeholders through systematic evidence collection and review processes.

GOVERNANCE CORNERSTONES



Governing Body Accountability



Academic Governance



Student Protection



ENABLERS & REGULATORY LEVARS

Enablers

Risk Management

Systematic identification, assessment, and mitigation of institutional risks across academic and operational domains.

Data Integrity

Robust data governance ensuring accuracy, consistency, and reliability of institutional information systems.

Student Voice

Meaningful student engagement and representation embedded throughout governance and quality processes.

Regulatory Levers

OfS Registration Conditions

Compliance with Office for Students ongoing conditions of registration and regulatory expectations.

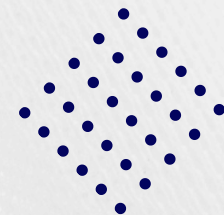
UK Quality Code Compliance

Alignment with sector-recognised standards for academic quality and enhancement practices.

External Audit Cycles

Regular independent review and verification of governance effectiveness and regulatory adherence.

EVIDENCE FRAMEWORK OVERVIEW



1. Governance & Accountability
2. Strategy, Risk & Performance
3. Self-Assessment & QA

1. Data & Evidence Integrity
2. Policies & Controls

1. Continuous Improvement
2. Regulatory Readiness

GOVERNANCE & ACCOUNTABILITY

Required Documents

- Governing Body Charter
- Academic Governance Framework
 - Delegations Matrix
- Committee Terms of Reference
- Committee Structure & Minutes
- Fit & Proper Person Declarations

Supporting Documents

- Governance Self-Assessments
 - External Review Reports
- Committee Effectiveness Evaluations
 - Member Attendance Logs
- Governance Training Records
 - Board Development Plans

STRATEGY, RISK & PERFORMANCE

Required Documents

- Strategic Plan aligned to institutional mission and OfS conditions
 - Risk Management Framework with escalation protocols
- Institutional Risk Register with mitigation strategies
 - KPI Framework linked to strategic objectives
 - OfS Monitoring Framework for regulatory compliance

Supporting Documents

- Risk and KPI dashboards with trend analysis
 - Scenario planning documentation
 - Financial sustainability analysis reports
 - Internal audit reports and recommendations
- Performance benchmarking against sector data

FOLDER 3: SELF-ASSESSMENT & QA

Required Documents

- Quality Assurance Framework
 - Annual Monitoring Policy
- Programme Review Procedures
- Self-Evaluation Document (SED)
- Quality Committee Terms of Reference

Supporting Documents

- Annual monitoring reports
- Programme review reports
- Student feedback summaries
 - Enhancement registers
 - Internal audit findings
- External examiner responses

DATA & EVIDENCE INTEGRITY

Required Documents

- Data Governance Policy
- Outcomes Monitoring Framework
 - Retention & Progression Policy
 - Data Quality Framework
- Student Outcomes Reporting Standards
- Data Protection Compliance Records

Supporting Documents

- Continuation & Completion Data
 - EDI Analysis Reports
- Graduate Outcomes Surveys
- Learning Analytics Dashboards
 - Benchmarking Datasets
 - Data Audit Reports
- Progression Trend Analysis

FOLDER 5: POLICIES & CONTROLS

Required Documents

- Academic Regulations Framework
- Assessment Policy & Procedures
 - Academic Integrity Policy
 - Student Support Policy
- Admissions Policy & Criteria
- Complaints & Appeals Policy
- Partnership & Collaboration Policy
- External Examiner Arrangements

Supporting Documents

- Policy Review Schedules
- Compliance Audit Reports
- Case Summaries & Outcomes
 - Staff Training Records
 - Implementation Reports
- Policy Impact Assessments
- Student Communications Log
 - Procedural Guidelines

FOLDER 6: CONTINUOUS IMPROVEMENT

Required Documents

- Continuous Improvement Framework
 - Enhancement Strategy
 - Action Tracking Register
 - Annual Quality Report
- Quality Committee Terms of Reference
 - Enhancement Plan Documentation

Supporting Documents

- Improvement plans and timelines
- Action logs with status tracking
 - Benchmarking reports
- External examiner responses
- Student partnership initiatives
 - Enhancement case studies

FOLDER 7: REGULATORY READINESS

Required Documents

- OfS Registration Evidence
 - External Review Policy
 - External Examiner Reports
- Audit & Compliance Schedule
 - Regulatory Submissions
- Condition Compliance Records
 - Reportable Events Log

Supporting Documents

- External Review Reports
- OfS Correspondence Archive
- Audit Response Documentation
 - Accreditation Evidence
 - Compliance Dashboards
 - Regulatory Timeline Tracker
- Submission Confirmation Records



PRP GOVERNANCE DASHBOARD

Governance Structures

Risk & Strategy

Student Outcomes

UK QUALITY CODE ALIGNMENT SUMMARY

Governance & Leadership

Student Engagement

Data-Informed Quality





UK Governance Audit Toolkit

NEXT STEPS

PRP Quality Platform supports accreditation readiness for providers in the United Kingdom to meet accreditation requirements

Evidence-led assurance. Transparent governance. Continuous improvement.

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