

**West Lothian College  
Audit Committee  
Thursday 5 March 2020 at 9.30 am**

**Visit to Beauty Therapy & Hairdressing (to discuss mitigation)**

<b>Agenda</b>	<b>Paper</b>
1 Welcome and Apologies	
2 Declarations of Interest	
3 Minute of Meeting of 28 November 2019	1 – Approval
4 Matters Arising from Minute of Meeting of 28 November 2019	2 – Note
5 Health and Safety	
(i) Quarterly Health & Safety Report	3 – Information
(ii) Annual Health & Safety Report	4 – Information
6 Internal Audit Reports	
(i) Strategic and Operational Planning	5 – Discuss
7 College Audit Rolling Action Plan	6 – Note
8 Strategic Risk Register	7 – Discuss
9 Key Performance Indicators (KPIs) 2019-20	8 – Discuss
10 Committee Development Plan	9 – Discuss
11 Any Other Business	
12 Review of Meeting and Supporting Papers without Management	
13 Date of Next Meeting: Thursday 4 June 2020, 9.30am	

## **Audit Committee**

Minute of Meeting of the Audit Committee held on **Thursday 28 November** at 9.30am in the Principal's office.

Present: Sue Cook (Chair)  
Simon Ashpool

In attendance: Moira Niven (Chair of Finance & General Purposes Committee)  
Jennifer McLaren (Vice Principal, Finance & Curriculum Services)  
Simon Earp (Vice Principal, Curriculum & Enterprise)  
David Eardley (Scott-Moncrieff, Internal Auditors)  
Lucy Nutley (Mazars, External Auditors)  
Alyce Russell (Mazars, External Auditors)  
Emily Purdie (Health & Safety Officer) item 19.54 only  
Karine McNair (Board Secretary)

## **Campus Visit**

The meeting began with a visit to the Motor Vehicle area and in particular to view the hybrid car. All Committee Members were very impressed and interested in the tour.

### **19.45 Welcome/Apologies**

The Chair welcomed everyone to the meeting. Apologies were received from Colin Miller and Claire Probert and Jackie Galbraith.

### **19.46 Declarations of Interest**

There were no declarations of interest.

### **19.47 Minute of Meeting of 12 September 2019**

The Minute of the meeting of the Audit Committee of 12 September 2019 was approved as a correct record.

### **19.48 Matters Arising from Minute of Meeting of 12 September 2019**

Regarding Action 1 the Health & Safety Officer confirmed that the Facilities Manager had discussed the alarm alerts with the provider company and the issue of notifying the College will remain a live discussion at future meetings with the provider company. It was confirmed that the Audit Committee would be informed of any future non notification of alarm activation.

Regarding Action 2, the Health & Safety Officer had offered de-escalation training to the Student Association officers, however they declined on the basis they felt they did not need the training. The Committee were concerned for the safety of the Student Association in their isolated office and requested that the Health & Safety Officer deliver the training as mandatory.

**Action 1: Health & Safety Officer**

Regarding Action 3, the Health & Safety Officer confirmed that training will be delivered to 13 staff and 1 student. After the training the College will be applying for an Epilepsy Friendly award.

Regarding Action 4, Vice Principal, Finance & Curriculum Services noted that due to the introduction of Professional Standards the paperwork for PLPs had significantly changed so the Quality Manager had allowed certain staff an extended deadline. An update to the completion rate will be brought to the next Audit Committee meeting.

**Action 2: Vice Principal, Finance & Curriculum Services**

All other actions were duly completed and noted.

**19.49 External Audit Reports****(i) Annual Report & Financial Statements 2018-2019**

Vice Principal, Finance & Curriculum Services, presented paper 3 noting that the Financial Statements are prepared in accordance with Accounting Standards and guidance from the SFC. The Committee noted that the deficit was due to the impact of the actuarial revaluation of the pension provisions. The committee was asked to note the adjusted operating surplus position after adjusting for non-cash one-off or distorting items required by the SORP. The summary sheet showed the financial position of the College at the year-end as per the management accounts. The college achieved a reduced surplus compared to budget due to investment in the infrastructure and IT and was able to achieve this due to cost control and a strong commercial performance.

The Chair of the Finance & General Purposes Committee provided a brief summary of the discussion of the financial statements that had taken place at the recent Finance & General Purposes Committee. The Audit Committee agreed that more training was required for all Board Members of all Colleges to be able to properly scrutinise the financial statements for Colleges. The Board Secretary was asked to again

contact Colleges Development Network to request face to face training on actual College financial statements with a 2-3 page brief sheet highlighting the areas for scrutiny and appropriate questions to ask.

**Action 3: Board Secretary**

The Audit Committee recommended the Annual Report & Financial Statements 2018-2019 to the Board for approval.

**Action 4: Board Secretary**

**(ii) Annual Audit Report to the Board of Governors and the Auditor General for Scotland 2018-19**

The Internal Auditors tabled an amended Letter of Representation and the Committee noted the Audit Report. The Internal Auditors thanked the College Finance Team for their timely provision of information and co-operation throughout the audit.

The Committee queried the wording “significant difficulties” on pages 6 and 12 and the Internal Auditors confirmed that they would be able to remove “significant” from the text since that reflected the true nature of the audit process. The word “significant” would remain in the title since this was an accounting requirement.

**(iii) Letter of Representation to Mazars**

The Committee recommended the amended, as tabled, Letter of Representation to Mazars be signed by the Chair of the Board of Governors on behalf of the Board.

**Action 5: Board Secretary**

**19.50 Internal Audit Reports**

**(i) Student Support Funds & Educational Maintenance Allowances (EMA) 2018-19**

The Internal Auditors presented paper 6 noting that good assurance had been gained on the Student Support Funds and EMAs. Recent SFC guidance was increasingly complex and the College had implemented the new guidance well.

**(ii) Review of 2018-19 Credits Return**

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The Internal Auditors presented paper 7 noting that the Credit Return had been agreed by SFC. An issue had been identified regarding the recording of attendance on some part time courses, however the Internal Auditors were satisfied that the problem had been rectified. The College had undertaken an additional testing of the attendance data after rectifying the problem and had not identified any further issues.

### **(iii) Annual Internal Audit Report 2018-19**

The Internal Auditors presented paper 8 noting that “reasonable assurance” reflected the good position of the combined Internal Audit reports throughout the year and in the internal auditor’s opinion, the college has a framework of internal controls in place that provides reasonable assurance regarding the organisation’s governance, risk management, achievement of objectives and value for money.

### **19.51 College Audit Rolling Action Plan**

The Committee were satisfied that good progress was being made against the College Audit Rolling Action Plan with all actions either complete or due to be completed within the agreed timescale.

### **19.52 Audit Committee’s Annual Report to the Board of Governors**

Vice Principal, Finance & Curriculum Services, presented Paper 10 which the Committee discussed and agreed with the contents.

The Committee approved the Audit Committee’s Annual Report to the Board of Governors for presentation at the next Board Meeting.

#### **Action 6: Board Secretary**

### **19.53 Strategic Risk Register**

Vice Principal, Finance & Curriculum Services, presented paper 11 and noted that a cautious approach had been adopted since it was too early in the year to reduce the risk ratings.

The Committee approved the Risk Tolerance threshold levels set for 2019-20 and requested that this information is provided at each audit committee meeting.

**Action 7: Vice Principal, Finance & Curriculum Services**

The Committee requested an annual half day Risk Workshop to set the risk profile of the Board in advance of the start of the next academic year. This should be after the Strategy Day so that any change in strategy could be reflected in the Board's risk appetite. Vice Principal, Finance & Curriculum Services, agreed to discuss the timetable with the Internal Auditors to ensure a half day Risk Workshop could be worked into the existing number of internal audit days and then inform the Board Secretary of possible dates in late May/early June for the workshop.

**Action 8: Vice Principal, Finance & Curriculum Services****19.54 Health & Safety Quarterly Report**

The Health & Safety Officer presented paper 12 noting that some departments had still failed to upload their risk assessment information onto iShare. The Vice Principals requested that the Health & Safety Officer provide them with the details of the departments still to upload their information onto iShare and they would follow up directly with the relevant managers.

**Action 9: Vice Principal, Finance & Curriculum Services and Vice Principal, Curriculum & Enterprise**

A new working group has been set up to consider the viability of a Smoke Free Campus for 2020-21. The group comprises staff, students with a mix of smokers and non-smokers to ensure a breadth of experience is included. The results of a consultation will be considered in January 2020 and the Health & Safety Officer has been learning from the experience of other Colleges to gather best practise. The Committee recommended that the working group contact West Lothian Drug & Alcohol Service for advice regarding supporting smokers wishing to give up smoking.

The Health & Safety Officer showed the Committee a template of a live App being used by lone workers, mainly Work Based Assessors, to help check in and track their movements. The App provides support and peace of mind for those who do not have regular contact with colleagues and may feel vulnerable. The feedback from the App users has been very positive.

The Committee expressed concern that 2 staff members had required medical treatment following an incident at the College. The Health & Safety Officer confirmed that both staff members were returning to College although one was on a phased return due to other unrelated ongoing health conditions.

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Regarding incident 7, the Health & Safety Officer confirmed that procedures had not been followed correctly despite recent training and all staff members involved had been informed of their errors and retrained in the correct procedures.

Regarding incident 8, the Health & Safety Officer confirmed that all procedures had been followed and the College had fulfilled all its health and safety responsibilities. However, as a precaution it had been decided to accelerate the timescale for the planned ordering of new beds and the new beds will be delivered in the new year.

### 19.55 Key Performance Indicators 2018-19

The Vice Principal, Finance & Curriculum Services, presented paper 13. It was noted that the Finance & General Purposes Committee had requested that the KPI papers be revamped to show the KPIs relevant to each separate Committee's remit. It was commented that none of the KPIs would align with the Audit Committee remit yet the Audit Committee felt that it was important they had sight of KPIs to help them consider the Risk Register.

The Audit Committee requested that the Board Secretary bring a summary of all Committee remits to the Board Meeting to enable a discussion of which KPIs would be relevant for helping each Committee fulfil their responsibility.

#### **Action 10: Board Secretary**

It was suggested that after the high level discussion at the Board meeting a more in-depth discussion could take place at the Strategy Day where the revised set of KPIs could be discussed

#### **Action 11: Board Secretary**

### 19.56 Meeting of the Committee without Management

Management left the meeting and the Audit Committee requested feedback from the Internal and External Auditors.

The External Auditors felt that the audit had been a much smoother process this year with requests for information being met in a timely manner and helpful presentation of information.

The Internal Auditors felt that they had a good working relationship with College staff who had good processes in place.

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Neither the External nor Internal Auditors expressed any concerns about their experience with the College.

### 19.57 Any Other Business

There were no items of other business.

### 19.58 Review of Meeting, Supporting Papers and Development Plan

The Committee requested a visit to the Beauty Therapy & Hairdressing centre at the start of the next meeting to see how they mitigate risk in practice.

#### Action 12: Vice Principal, Curriculum & Enterprise

The Committee agreed that the Committee Development Plan should be a separate item before 'Any other Business'.

The Committee agreed that the final item of all Audit meetings should be 'Review of Meeting and Supporting Papers without Management'

#### Action 13: Board Secretary

The Audit Committee was content with the meeting and supporting papers

### 19.59 Date of Next Meeting

The next meeting would take place on Thursday 5 March 2020 at 9.30am.

Note: There were no matters discussed during the meeting, during which Members declared any conflict of interest, or the Secretary to the Board was aware from the Register of Interests that discussion could give rise to such a conflict.

Signed .....  
Chair, Audit Committee

Date .....

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### Audit Committee

Action update from the Audit Committee of 28 November 2019.

#### **Action 1: Health & Safety Officer**

##### **Matters Arising from Minute of Meeting of 12 September 2019**

Regarding Action 2, the Health & Safety Officer had offered de-escalation training to the Student Association officers, however they declined on the basis they felt they did not need the training. The Committee were concerned for the safety of the Student Association in their isolated office and requested that the Health & Safety Officer deliver the training as mandatory.

Duly completed

#### **Action 2: Vice Principal, Finance & Curriculum Services**

##### **Matters Arising from Minute of Meeting of 12 September 2019**

Regarding Action 4, Vice Principal, Finance & Curriculum Services noted that due to the introduction of Professional Standards the paperwork for PLPs had significantly changed so the Quality Manager had allowed certain staff an extended deadline. An update to the completion rate will be brought to the next Audit Committee meeting.

A summary will be provided to the next Finance & General Purposes Committee meeting on 11 June 2020.

#### **Action 3: Board Secretary**

##### **External Audit Reports (i) Annual Report & Financial Statements 2018-2019**

The Board Secretary was asked to again contact Colleges Development Network to request face to face training on actual College financial statements with a 2-3 page brief sheet highlighting the areas for scrutiny and appropriate questions to ask.

Duly completed. Email sent 16 January 2020. CDN replied and it would be raised at the next Board Secretary Network meeting to establish if there is a college-wide need. Any training would be subject to demand and budget.

#### **Action 4: Board Secretary**

##### **External Audit Reports (i) Annual Report & Financial Statements 2018-2019**

The Audit Committee recommended the Annual Report & Financial Statements 2018-2019 to the Board for approval.

Duly completed

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### **Action 5: Board Secretary**

#### **External Audit Reports iii) Letter of Representation to Mazars**

The Committee recommended the amended, as tabled, Letter of Representation to Mazars be signed by the Chair of the Board of Governors on behalf of the Board.

Duly completed

### **Action 6: Board Secretary**

#### **Audit Committee's Annual Report to the Board of Governors**

The Committee approved the Audit Committee's Annual Report to the Board of Governors for presentation at the next Board Meeting.

Duly completed

### **Action 7: Vice Principal, Finance & Curriculum Services**

#### **Strategic Risk Register**

The Committee approved the Risk Tolerance threshold levels set for 2019-20 and requested that this information is provided at each audit committee meeting.

Duly completed

### **Action 8: Vice Principal, Finance & Curriculum Services**

#### **Strategic Risk Register**

The Committee requested an annual half day Risk Workshop to set the risk profile of the Board in advance of the start of the next academic year. This should be after the Strategy Day so that any change in strategy could be reflected in the Board's risk appetite. Vice Principal, Finance & Curriculum Services, agreed to discuss the timetable with the Internal Auditors to ensure a half day Risk Workshop could be worked into the existing number of internal audit days and then inform the Board Secretary of possible dates in late May/early June for the workshop.

Discussion had taken place with Scott Moncrieff and due to other commitments, proposing to hold the workshop week commencing 20 July 2020.

### **Action 9: Vice Principal, Finance & Curriculum Services and Vice Principal, Curriculum & Enterprise**

#### **Health & Safety Quarterly Report**

The Health & Safety Officer presented paper 12 noting that some departments had still failed to upload their risk assessment information onto iShare. The Vice Principals requested that the Health & Safety Officer provide them with the details of the departments still to upload their information onto iShare and they would follow up directly with the relevant managers.

Duly completed. Information passed to Vice Principals from Health & Safety Officer.

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### **Action 10: Board Secretary Key Performance Indicators 2018-19**

The Audit Committee requested that the Board Secretary bring a summary of all Committee remits to the Board Meeting to enable a discussion of which KPIs would be relevant for helping each Committee fulfil their responsibility.

Duly completed

### **Action 11: Board Secretary Key Performance Indicators 2018-19**

It was suggested that after the high level discussion at the Board meeting a more in-depth discussion could take place at the Strategy Day where the revised set of KPIs could be discussed

Duly completed - to be added to Strategy Day agenda

### **Action 12: Vice Principal, Curriculum & Enterprise Review of Meeting, Supporting Papers and Development Plan**

The Committee requested a visit to the Health & Beauty centre at the start of the next meeting to see how they mitigate risk in practice.

Duly completed

### **Action 13: Board Secretary Review of Meeting, Supporting Papers and Development Plan**

The Committee agreed that the Committee Development Plan should be a separate item before 'Any other Business'. The Committee agreed that the final item of all meetings should be 'Review of Meeting and Supporting Papers without Management'

Duly completed



# **Health and Safety Quarterly Report**

## **October to December 2019**

Author: Paula White, Facilities Manager

Date: January 2020

## Introduction

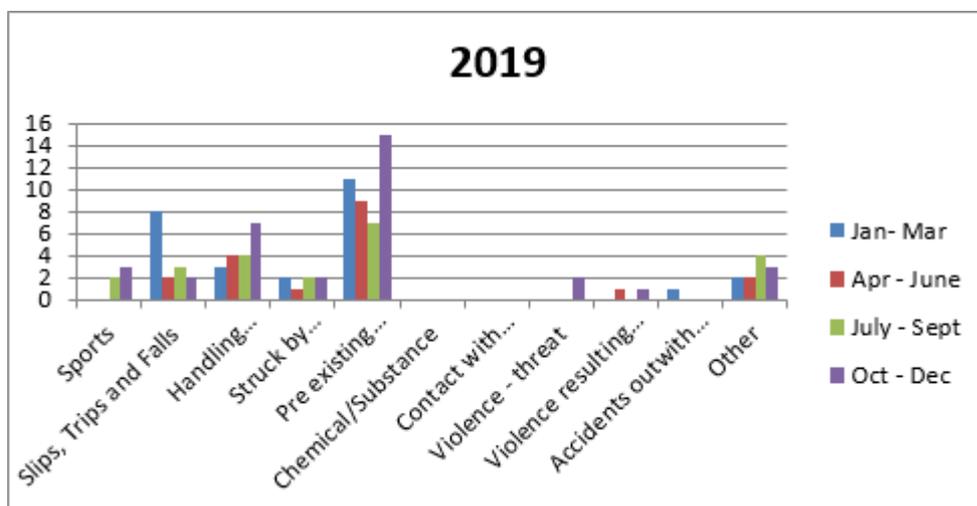
This report provides an overview of the health and safety standards at West Lothian College from October 2019 to December 2019. Detailed information has been collated from all areas of the college, which demonstrates the commitment we all have to make the college a safe and welcoming environment in which to work and study.

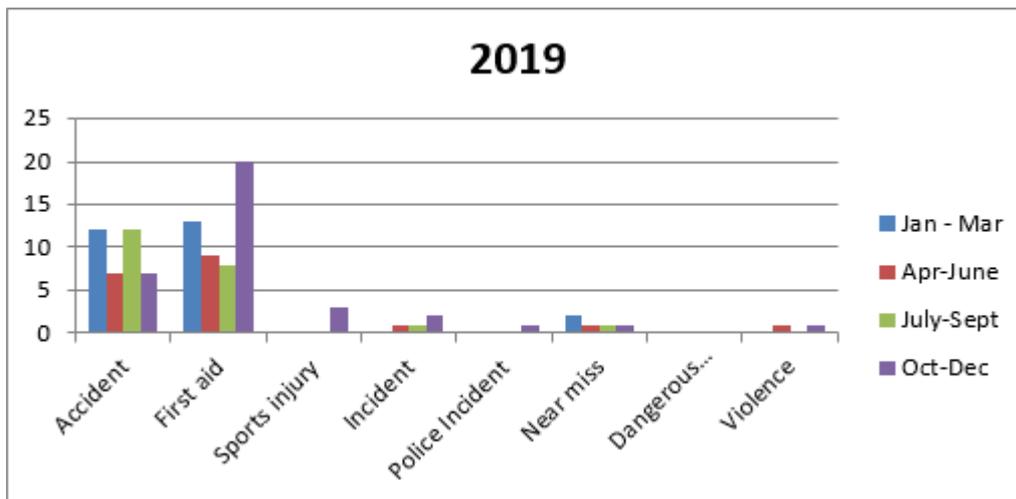
## Accidents, Incidents, Near Misses and Investigations

The monitoring, recording and reporting of accidents, incidents and near misses are a legal requirement that the college actively promotes across the campus. As well as meeting our legal obligation, it allows us to identify where and how risks arise. Each report is fully investigated by the College Health and Safety Officer. Appendix 1 shows details of all investigations during this period.

During this reporting period, there were 35 HSF1 forms completed relating to accidents/incidents and near misses. In the same period in 2018 there were 30 HSF1 forms completed. Certain work-related injuries, cases of disease and near misses must be reported to the Health and Safety Executive (HSE). There were no RIDDOR cases during this period. The number of pre-existing conditions increased from eight in 2018 to fifteen in 2019.

### Data Collection 2019 to date.





### Health and Safety Management

The following arrangements are in place to control health and safety risks in order to meet the legal requirements and show commitment to all stakeholders:

<b>Health &amp; Safety Committee</b>	
Last HS&E Committee meeting was held on	4th December 2019
Minutes from meeting have been posted on iShare	Yes
Action points against H&S Officer currently outstanding	1
Next meeting scheduled for	26 February 2020
<b>Employer's Liability Insurance</b>	
Zurich Employers Liability Insurance	Expires on August 2021
<b>Interventions</b>	
HSE Inspections in the last 12 months	0
Improvement Notices issued in last 12 months	0
Prohibition Notices issued in last 12 months	0
Improvements issued by Fire Service in last 12 months	0
<b>Risk assessments</b>	
Number of risk assessments due for review	Not all departments have stored documents on iShare. Senior Team will raise this with relevant managers once the Health and Safety Officer can compile a full list.
Number of new Risk assessments.	1 x Event RA 1 x Workstation/DSE 1 x Maternity
Number of generic risk assessments due for review	All due for review by H&S officer

<b>Fire Risk Assessment</b>	
Fire Risk Assessment in place	Yes
Review Date	October 2020
<b>Health and Safety Policy</b>	
Policy Statement approved by	Jackie Galbraith
Next Review date	May 2020
Responsibilities currently unassigned	0
<b>Health and safety Procedures</b>	
Accident / Incident reporting	June 2021
Lone Working	May 2021
Inspection and Auditing	July 2021
Emergency Evacuation	July 2021
Work Placement	August 2022
Excursions	June 2021
COSHH	April 2021
First Aid	June 2021
Lock out / Tag out	June 2021
Noise at Work	June 2021
Business Continuity Policy Framework	July 2022
<b>Fire Safety Actions</b>	
Outstanding actions related to fire inspection	0
Overdue actions related to fire inspection	0
Last emergency evacuation drill (daytime)	September 2019
Last emergency evacuation drill (evening)	October 2019
Next emergency evacuation drill (daytime)	March 2020
Next emergency evacuation drill (evening)	March 2020

## **Policies and Procedures**

The Work placement procedure was reviewed by the Equalities Committee and is now on iShare.

## **Scheduled events**

The Health and Safety Committee met in December 2019 and updates and discussions focused on:

- Incidents/Accidents
- Inspections
- Forthcoming Curriculum Events
- Forthcoming Projects
- Staff Experience Group
- First Aid

The Committee meets quarterly and minutes are available on iShare.

## **Staff Experience Group**

Work has been continuing to support staff and improve health & wellbeing via the Staff Experience Group. Since the previous up-date initiatives that have taken place include:

- Tea and talk session for staff to take a break and talk to their colleagues with a bake sale raising money and awareness for mental health
- Awareness raising about reducing the risks and being aware of the symptoms of heart attacks for women.
- Promotion of the college's boxing and seated yoga classes for staff during lunchtimes.
- Event held on the 5 November to mark Stress Awareness Day with a Stress Awareness Space being created in the Staff Room to share thoughts and feelings about this topic.
- Promotion of the college's free physiotherapy service and an awareness-raising session delivered by the provider (Connect Health) to all managers.
- Free flu vaccinations offered in December 2019

## **Learning and Development Activities**

During this quarter, we engaged with Epilepsy Scotland to deliver Epilepsy Awareness to our First Aiders and we also included students who live with this condition to join the workshop. The feedback was very positive and because of this, and other work the college has put in place, we were awarded the Epilepsy Friendly Award.

At the request of our Computing & Engineering Centre a Suicide Awareness Workshop was organised for the November study week to help lecturers support students who may have suicidal thoughts. We intend to develop this further in events planned in 2020-21.

Our duty managers completed a round of Emergency First Aid at Work training to ensure we have adequate provision during evening hours. They also completed training on the role of Duty Manager, in particular focusing on emergency evacuation.

A number of staff successfully completed their MiDAS minibus awareness training. This ensures that the college can continue with student visits using the resources currently available within the organisation.

## **Changes to Legislation/Guidance/Building Changes**

There are no legislative changes that affected the college during this period. HSE released changes to welding guidance, this information was discussed with motor vehicle and engineering who currently weld at Oatridge College. Changes to the process that was implemented by Oatridge were applied to comply with the guidance.

## **Consultations and Internal Audits or Walk round inspections**

The Smoke Free Campus Working group consulted with staff and students re the possible implementation of this initiative, the results of this were discussed at the January meeting. ASH Scotland also attended to give feedback on the results of the consultation. The working group intend to present findings to the Senior Team by start of February 2020 for a decision to be made on the way forward.

Walk round inspections were carried out in Terrace 2, Terrace 4 and Pavilion C&D.

Appendix 2 details the actions generated from these walk rounds.

## Appendix 1 – Health and Safety Officers Investigation Findings

No.	Date	Accident/Incident/ near miss	HSF1 Detail	Investigation
1	01/10/2019	first aid	Student needed a plaster for a small burn at home on her oven, the first aider attended and a plaster applied.	No further action
2	01/10/2019	accident	Student had cut his thumb and nail with a saw, first aider attended, wound was elevated cleaned and dressing applied. Advised to go to minor injuries. Family came to collect.	No further action
3	02/10/2019	first aid	student stood on a step at home and cut her heel, requested a first aider to clean wound and apply dressing.	No further action
4	02/10/2019	accident	Student stood up from seat in canteen with tray in hand, but foot was stuck underneath the foot of the screens and it tipped over taking another two down at the same time. Tray was dropped. First aider, H&S attended as reported by Manager, no first aid required, small scratch.	Discussed with Canteen staff to ensure plenty space between sets and screens when setting chair under tables.
5	04/10/2019	accident	Student was using a chisel, had been shown how to use by the lecturer, lacerated his left hand finger, first aider attended and wound was cleaned and plaster applied to stop the bleeding.	Had been instructed on correct use. No further action
6	04/10/2019	accident	Student was using scissors and nicked the inside of pointer and middle finger, plaster applied after cleaning wound.	No further action
7	04/10/2019	first aid	Student was experiencing chest pains and headache from lunchtime, feeling hot and cold. First aider sat with student in a separate room, phoned doctors and arranged app for that day.	No further action
8	07/10/2019	first aid	Student had a panic attack on her way back from lunch and was struggling to breath. Lecturer noticed her and requested a first aider, they , talked her through her breathing.	No further action

9	07/10/2019	first aid	Student has issues with knees resulting in ankle giving way, causing student to fall. Could not walk, lecturer applied ice, when student stood up cracking sound from ankle with pain level reducing. First aider attended and bandage applied to give support.	No further action
10	07/10/2019	first aid	Student has a pre-existing condition and took an epileptic absence, first aider arrived and student felt well enough to be collected by family member.	Student has a care plan in place.
11	08/10/2019	first aid	Student had the headphone ear piece stuck in his ear, first aider attended and advised not to attempt to remove and to go to minor injuries, student instead went to H&B.	H&S advised not to carry out these procedures in case damaged student's ear
12	08/10/2019	first aid	Student had burnt her hand at home whilst cooking, the burn was irritating her while at hairdressing course, first aider advised to go to A&E as looked red. First aider applied burn dressing and bandage.	No further action
13	08/10/2019	first aid	Student had been hit in the eye by a classmate throwing a bankcard. The first aider attended and applied an eye patch and advised to go to A&E.	No further action
14	21/10/2019	accident	Visitor was having her hair done in salon when student burnt her ear with the straighteners.	No further action
15	23/10/2019	first aid	Student was showing signs of pre seizure, numb face and shaking. Student has only started taking seizures and is attending doctor to identify the cause. They are currently awaiting a hospital appointment. S&F lecturers with student when first aider attended and waited to see if seizure happened again. Symptoms passed and student taken to doctor by friend.	Care plan completed and working with student
16	24/10/2019	first aid	Student took an absence as has epilepsy.	Care plan is in place

17	30/10/2019	first aid	student had self-harmed and had scratches to arm, first aider attended and dressing applied.	Student support have been working with this student
18	31/10/2019	accident	Sliced thumb with Stanley blade when cutting carpet in lift, skin still attached. Attended first aider and applied pressure to stop bleeding.	Member of staff able to carry on working.
19	05/11/2019	first aid	Student was having a seizure and was being violent and hurting himself but unresponsive. First aider attended and ambulance was called.	Student has been working with department discussing condition and care plan created.
20	05/11/2019	first aid	Student reported a battery burn on his right hand that had happened outside of college, first aider attended and applied bandages and advised student to attend minor injuries.	Student went to hospital and was given treatment but attended the following day and was kept in.
21	05/11/2019	near miss	Student was walking in square when foot went into a hole created by a broken slab. No injury the student reported to facilities.	Slab had been broken a few days earlier due to contractors removing marquee and was already reported broken but had not been replaced. Was repaired that day.
22	06/11/2019	first aid	Student had asked first aider to dress their finger. The first aider had attended the same student the week before.	No further action
23	07/11/2019	Police incident	Member of staff was carrying out car parking duties when he was verbally abused, threatened and pushed by a student's parent due to not being able to get into the college car park.	Member of staff was supported by manager and Senior Team, police interviewed member of staff.
24	12/11/2019	sports injury	Student was goalkeeper during a game of football, tried to save balls with hands and bent hand backwards causing pain and unable to move it. First aider attended and arm put into a sling. Parent came to collect and take to A&E.	No further action
25	19/11/2019	first aid	Cut to finger from can of juice, Student presented to exec office with lecturer, his finger was bleeding, he rinsed this with water then first aider applied a plaster that stopped the bleeding.	No further action

26	21/11/2019	first aid	Student reported a pain on right side, first aider attended and student admitted had been consuming alcohol over a period in evenings and had not eaten. First aider took to get food at canteen, tried to make an appointment at GP. Student took appointment.	Student was given information for WLDAS
27	22/11/2019	accident	Student burnt 3 fingers burned with oil from deep fat fryer. When removing food with tongs oil splashed up. Student ran hand under water; applied ice and burn stop gel. First aider also applied gel and re bandaged.	No further action
28	25/11/2019	violence	One student physically assaulted another student. Student thought the other had pushed him and decided to attack. Lecturer intervened and split up the fight and one student who was defending himself has a suspected broken nose. First aider attended and student was taken in taxi to hospital with a classmate.	Student who carried out the attack to go to Centre Head for disciplinary procedure.
29	27/11/2019	sports injury	During football game, student came into contact with another player during a 50/50 tackle causing her to fall and hit head on ground. Complaining of headache. First aider attended. Student sat on chair and monitored response levels. Not eaten that day either. Given banana and water and advised of concussion signs and symptoms. Did not want to go to A&E. Student messaged parent to let her know what happened and was meeting at lunchtime.	Schools officer informed of incident.
30	27/11/2019	sports injury	During football, game student went over on right ankle during a 50/50 tackle. Ankle swollen red and painful. First aider attended and ice applied and elevated. Parent arrived and took to A&E. As first aider was attending, she misjudged the bottom step and fell and bruised her leg going to	Student damaged ligaments.

			attend the casualty. She was ok.	
31	28/11/2019	incident	Lecturer reported a loud noise and a hole in window in IT6 room in Terrace 4 , reported to Facilitates team who investigated and looked like a small pellet hole on the outside of the window.	CCTV was looked at and no one can be seen carrying out the damage but there is some activity from a commercial let, the Commercial Manager to discuss this activity with them.
32	10/12/2019	first aid	Student had arrived to college after being kicked in the shin at school earlier; First aider supplied an ice pack and advised to elevate leg.	No further action required
33	10/12/2019	incident	External visitor using exec rooms - door closed "a bit harder than they should have" causing clock to fall off wall and glass smashed on floor.	Due to the number of incidents happening in the rooms from the same external lets, Commercial Manager has had a discussion with them and H&S officer requests a RA.
34	11/12/2019	first aid	Student tripped going upstairs and strained right ankle. First aider attended and bandage applied. Advised to seek medical attention if pains gets worse.	No further action
35	11/12/2019	first aid	Student was having a seizure and a first aider attended. The student's care plan was followed and an ambulance was called, student was taken to hospital.	The H&S officer has purchased fans for the rooms this student attends, as heat is a trigger.

## Appendix 2: Corrective Actions from Health and Safety Walk Around

<b>Terrace 2 October</b>				<b>Additional information</b>			
Issues identified			12	All outstanding actions to be completed by end of January			
Completed			4				
Not Completed			8				
<b>Outstanding</b>			<b>8</b>				
Responsibility	C&E		8				
<b>Terrace 3 November</b>				<b>Additional information</b>			
Issues identified			13	All outstanding actions to be completed by end of January			
Completed			6				
Not Completed			7				
<b>Outstanding</b>			<b>7</b>				
Responsibility	H&B		1				
	H&C		6				
<b>Pavillion C/D December</b>				<b>Additional information</b>			
Issues identified			16	All outstanding actions to be completed by end of February			
Completed			11				
Not Completed			5				
<b>Outstanding</b>			<b>5</b>				
Responsibility	C&P		1				
	SCSSS		2				
	FM		2				



# **Health and Safety Annual Report**

## **2019**

Author: Paula White, Facilities Manager

Date: January 2020

## **Introduction**

At West Lothian College, we are clear that there is a link between promoting health and wellbeing alongside health and safety. A safe working environment is key to ensuring that our staff can be safe and well at work and our students are provided with a safe and inspiring environment to achieve every day success. This annual report captures the diversity of the activity that takes place across the college whilst providing data, which has been analysed by the Health and Safety Officer.

As with previous years, we continue to report on the following on a quarterly and annual basis:

- Accidents, Incidents, Near Misses (AINM) and Investigations
- Health and Safety Management
- Policies and Procedures
- Scheduled events
- Equipment and Plant Maintenance
- Display Screen Equipment – Mandatory training
- Learning and Development (previously reported as Training)
- Changes in Legislation/Guidance
- Consultations and Internal Audits or Walk rounds
- Staff Experience Group

## **Accidents, Incidents, Near Misses and Investigations**

The college continually monitors the effectiveness of the measures we have in place to control the risks in the workplace. As part of this monitoring, we report on all accidents, incidents and near misses, which are fully investigated to ensure that corrective action is taken if necessary, learning is shared and any improvements are put in place.

In 2019 one hundred and three HSF1 Forms were completed in relation to accidents/incidents and near misses, in 2018 this was slightly higher at one hundred and seven.

The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) require employers to report to the relevant enforcing authority and keep records of:

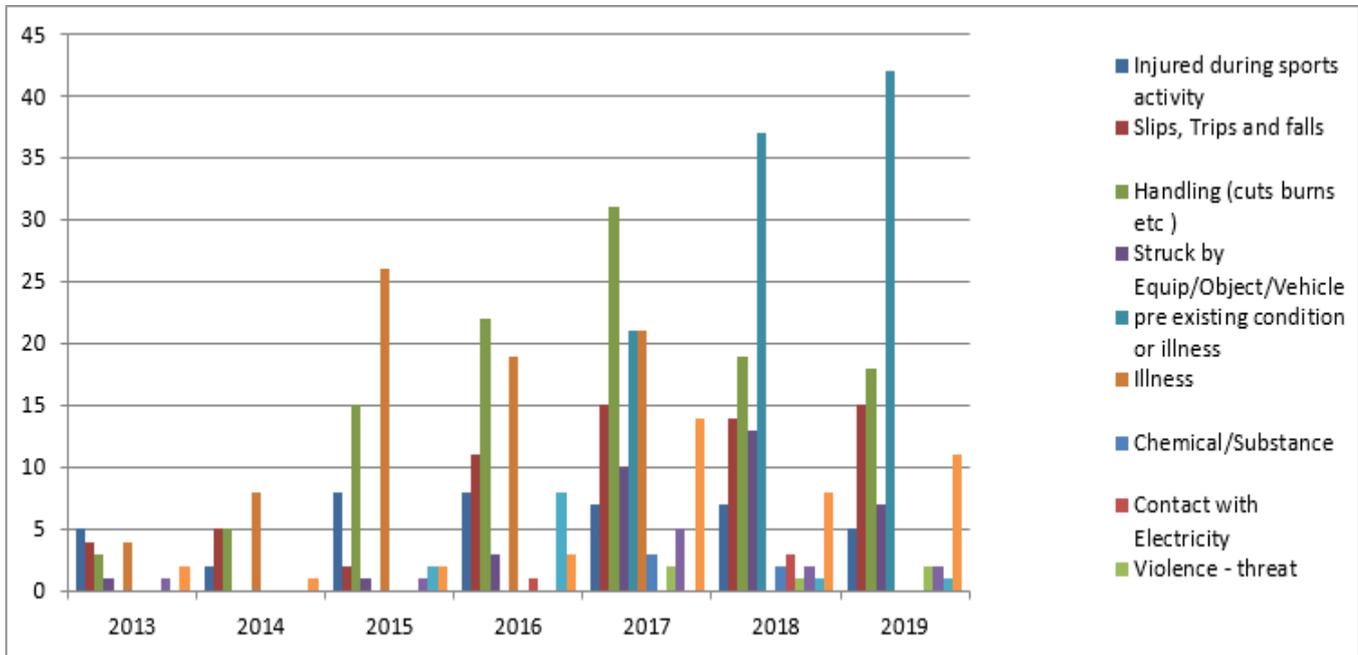
- work-related deaths
- work-related accidents which cause certain specified serious injuries to workers, or which result in a worker being incapacitated for more than seven consecutive days
- cases of those industrial diseases listed in RIDDOR
- certain 'dangerous occurrences' (near-miss accidents)
- injuries to a person who is not at work, such as a member of the public, which are caused by an accident at work and which result in the person being taken to hospital from the site for treatment

During 2019 we reported four cases to HSE to comply with RIDDOR, this involved three members of staff and one student. The following table gives more detail in relation to these:

<b>RIDDOR Reports to HSE</b>		
<b>NO.</b>	<b>Who was injured</b>	<b>RIDDOR reporting category</b>
1	Staff	Over 7 day injury - Fall in college square resulting in broken toes and ligament damage
2	Staff	Over 7 day Injury - Fall resulting in tissue damage to foot and ankle when attending external meeting
3	Staff	Over 7 day injury - Struck by equipment resulting in fracture of finger when moving equipment on college grounds
4	Student	Visitor taken to hospital and fractured elbow after falling off a beauty bed

All RIDDOR cases are investigated by Health and Safety Officer. Where there are identifiable failings in procedure, equipment or infrastructure, action is taken to prevent a recurrence. All RIDDOR reportable incidents are reported quarterly to the Health and Safety Committee. This includes investigation, recommendations and action plans where appropriate.

## Annual Data Collection 2013-2019



Description/Type	2013	2014	2015	2016	2017	2018	2019	TOTAL
Injured during sports activity	5	2	8	8	7	7	5	42
Slips, Trips and falls	4	5	2	11	15	14	15	66
Handling (cuts burns etc )	3	5	15	22	31	19	18	113
Struck by Equip/Object/Vehicle	1	0	1	3	10	13	7	35
pre existing condition or illness	0	0	0	0	21	37	42	100
Illness	4	8	26	19	21	0	0	78
Chemical/Substance	0	0	0	0	3	2	0	5
Contact with Electricity	0	0	0	1	0	3	0	4
Violence - threat	0	0	0	0	2	1	2	5
Violence - injury	1	0	1	0	5	2	2	11
Accidents outwith college	0	0	2	8	0	1	1	12
Others	2	1	2	3	14	8	11	41
	<b>20</b>	<b>21</b>	<b>57</b>	<b>75</b>	<b>129</b>	<b>107</b>	<b>103</b>	<b>512</b>

## Health and Safety Management

The college is required to consider the health, safety and welfare of its staff, students, visitors and members of the public. Failure to comply with the Health and Safety at Work Act 1974 and its associated regulations could lead to potential harm and the possibility of criminal proceedings or other enforcement action. The following arrangements are in place to control health and safety risks in order to meet these legal requirements and show commitment to all stakeholders:

<b>Health &amp; Safety Committee</b>	
Last HS&E Committee meeting was held on	5 December 2019
Minutes from meeting have been posted on iShare	Yes
Action points against H&S Officer currently outstanding	None
Next meeting scheduled for	26 February 2020
<b>Employer's Liability Insurance</b>	
Zurich Employers Liability Insurance	Expires on August 2021
<b>Interventions</b>	
HSE Inspections in the last 12 months	0
Improvement Notices issued in last 12 months	0
Prohibition Notices issued in last 12 months	0
Improvements issued by Fire Service in last 12 months	0
<b>Risk assessments</b>	
Number of risk assessments due for review	Not all departments have stored documents on i-share. Senior team are to raise this with relevant managers
Number of generic risk assessments due for review	All due for review by H&S officer
<b>Fire Risk Assessment</b>	
Fire Risk Assessment in place	Yes
Review Date	September 2020
<b>Health and Safety Policy</b>	
Policy Statement approved by	Jackie Galbraith
Next Review date	May 2020
Responsibilities currently unassigned	0
<b>Health and safety Procedures</b>	
Accident / Incident reporting	June 2021
Lone Working	May 2021
Inspection and Auditing	July 2021
Emergency Evacuation	July 2021
Work Placement	August 2022
Excursions	June 2021
COSHH	April 2021
First Aid	June 2021
Lock out / Tag out	June 2021
Noise at Work	June 2021

Fire Safety Actions	
Outstanding actions related to fire inspection	0
Overdue actions related to fire inspection	0
Last emergency evacuation drill (daytime)	September 2019
Last emergency evacuation drill (evening)	October 2019
Next emergency evacuation drill (daytime)	March 2020
Next emergency evacuation drill (evening)	March 2020

## Policies and Procedures

The Adverse Weather Policy was developed and approved before being uploaded on iShare for all staff to reference. The Business Continuity Policy as well as the Work Placement Procedure were updated by the Health and Safety Officer before being reviewed by the Equalities Committee and again are on iShare.

## Scheduled events

The Health and Safety Committee met on a quarterly basis throughout the course of the year. Towards the latter half of the year the remit of the group was updated as was the membership of the committee. The updated remit is now as follows:

- Promoting a positive and proactive health and safety culture in the college;
- Promoting a continuous improvement of the college's Safety Management System;
- Monitoring the extent of compliance with the college's Health and Safety policies and practices;
- Addressing issues affecting the college, which arise from health and safety incidents
- Developing and reviewing Health and Safety procedures for approval by the Senior Team;
- Acting as a forum for joint consultation, discussion and involvement; and
- Overseeing Healthy Working Lives initiatives

The members of the Health & Safety Committee are:

Vice Principal, Finance & Curriculum Services – Jennifer McLaren (Chair)

Health & Safety Officer – Emily Purdie

Curriculum Head Representative – Graham Clark

HR Representative – Stuart Thomson

Facilities Manager – Paula White

First Aid Coordinator – Daniel Evans

Learning and Development Officer-Julia Simpson

One representative from each of the two recognised Trade Unions – Colin Hamilton (UNISON)

(There was no health & safety EIS representative during 2019).

The planned emergency evacuations went ahead as scheduled; these always prove to be a valuable exercise, which often present action points. The Health and Safety Officer is very proactive at communicating/implementing actions with a view to reporting a completed action plan to the committee. Regular updates on all scheduled events are reported to the Audit Committee in every quarterly report.

## Equipment and Plant Maintenance

To comply with the Provision and Use of Work Equipment Regulations 1998 (PUWER Regs) inspections of all plant and most equipment are carried out to ensure they are fit for use, any corrective action is completed before it results in a health and safety risk. Not all work equipment needs formal inspection to ensure safety and, in many cases, a quick visual check before use will be sufficient. However, inspection is necessary for any equipment where significant risks to health and safety may arise from incorrect installation, reinstallation, deterioration or any other circumstances. The need for inspection and inspection frequencies should be determined through risk assessment.

### STATUTORY CHECKS CARRIED OUT DURING 2019:

Statutory Compliance Testing	Date of last check	Date of next check
Air conditioning maintenance	Oct-19	Apr-20
Automatic door servicing	Nov-19	May-20
Boiler (gas, coal, oil) servicing and flue extraction	Oct-19	Apr-20
Dust extraction	Oct-19	Oct-20
Emergency lighting maintenance	Jan-20	Feb-20
Extract fan/canopy cleaning, testing & sterilising	Oct-19	Apr-20
Fire alarm maintenance	Jan-20	Mar-20
Firefighting equipment testing	Nov-19	Nov-20
Fixed electric installation testing	Jul-18	Jul-20
Fume cupboard testing	Jan-19	Jan-20
Gas installation testing, Kitchens	Oct-19	Apr-20
Hoist testing, 2 post & 4 post car lifts	Aug-18	Feb-20
Intruder alarms	Jan-20	Sep-20
Lift Maintenance	Sep-19	Mar-20
Portable Electrical Equipment	Oct-18	Feb-20
Uninterrupted electric power supply maintenance	Jul-19	Jul-20
Water hygiene inspection and monitoring (Legionella)	Jan-20	Feb-20
Hair and Beauty equipment	Jul-19	Jul-20
Pavilion C Fume cupboard	Mar-19	Mar-20

## **Display Screen Equipment (DSE) – Mandatory Training**

As an employer, the college must protect staff from the health risks of working with display screen equipment (DSE), such as PCs, laptops, tablets and smartphones. The Health and Safety (Display Screen Equipment) Regulations 1992 apply to workers who use DSE daily. In 2017 we reviewed the process as many staff were not fulfilling their obligation to complete an assessment, since then we have managed to turn this around as staff are served with reminders before the Facilities Manager and Centre Head liaise with them to agree a completion date.

## **Learning and Development Activities**

During 2019 we delivered a vast range of Health and Safety training which had been identified through a variety of ways including the personal learning plan process, team training needs as well as meeting our legal requirements. This included training for our college first aiders. There were budget challenges towards the end of the calendar year with means that there are limited funds available for further training in academic year 2019-20.

We have continued to promote the suite of e-learning packages around various topics including, but not exclusively, health and safety. The first quarter of 2020 will see this training rolled out to all staff as mandatory training to ensure the college has a clear baseline of training across the organisation. All staff will be required to complete this training by the end of the academic year and this will be repeated on an annual basis, with the training being part of the suite of induction materials.

The college, through its shared services partnership with West Lothian College, will be moving to a new HR system in 2020 (iTrent) which will enable improved tracking of learning and development around all activities in addition to Health and Safety Training. The proposed date for implementation of the Learning and Development module is currently December 2020.

The Learning and Development Officer and Health and Safety Officer continue to work closely together to ensure all training needs are fulfilled.

## **Changes to Legislation/Guidance**

HSE released changes relating to welding guidance. This information was discussed with motor vehicle and engineering who currently weld at SRUC College. No further changes to legislation were noted.

## **Consultations and Internal Audits or Walk Rounds**

During 2019 there was a health and safety-related public consultation relating to CD287 carcinogens and mutagens. This led to a revision of limit values in EH40/2005 "Workplace Exposure Limits". This has resulted in a change in exposure limits published in January 2020 to some chemicals including hardwood and respirational crystalline silica used in construction and motor vehicle department. The departments are reviewing their products based on these exposure limits.

Planned audits and walk rounds were performed by the Health and Safety Officer and Union representatives. These audits are necessary to identify areas for improvement and potential weaknesses within the organisation.

Over the course of the year, the following areas were subjects to audits or walk rounds:

- Audit of Facilities and Health, Social Care, Social Sciences and Science during January to March
- Walk round inspections were carried out in Terrace 1 and 2 and the Street Building during January to March
- Audit of Sport and fitness during April to June
- Walk round inspections were carried out in Pavilion A/B and a planned Health and Safety Audit was carried out of the Sport and fitness during April to June
- Walk round inspections were carried out in Terrace 2 and 3 during July to September
- Walk round inspections were carried out in Terrace 2, Terrace 4 and Pavilion C&D during October to December

<b>Outstanding walk around actions</b>		
<b>NO.</b>	<b>Department</b>	<b>Outstanding</b>
5	Engineering	Still outstanding at time of report

### **Smoke free campus**

The smoking consultation took place in December. The aim of this was to determine how West Lothian College students and staff feel about the possibility of the college campus becoming smoke free and what measures could be taken to make the process as soon as possible.

The smoking working group reviewed the results with ASH Scotland and will submit their findings and results to the Senior Team with recommendations on how this would succeed at the college. There was a total of 119 responses from staff, 130 from students with a further 64 student comments on Sparkle on the consultation.

### **Staff Experience Group**

During 2019, valuable work has been undertaken in regards to health and wellbeing. This was recognised early in the year with the NHS Healthy Working Lives Bronze Award followed by October's Award at the Silver level. The Staff Experience Health & Wellbeing Subgroup drove a range of initiatives relating to health promotion. College staff now have access to an improved occupational health and employee assistance service together with a new support of free physiotherapy. Other highlights from the year were a very popular walking challenge held in May and a 'tea and talk' day in October raising awareness about mental health. Other supports introduced were free flu vaccination vouchers being offered to staff and training being delivered to managers in regards to managing stress and promoting wellbeing for their staff. All of the activities undertaken supported the college's People Strategy aim of providing a safe and healthy working environment for our people.

## **Summary**

Promoting good health and safety and wellbeing among staff and students has been a key priority during 2019. This report captures some of the great work that has been achieved throughout the year. The Staff Experience group will continue introducing perks, health tips and more in 2020.

The college Health and Safety Officer has been in post for over three years, much of that time has been spent assessing our position, working with all staffing groups, updating policies and procedures and delivering tool box talks and training. The health and safety remit is one which is constantly developing and needs to be relevant. To help keep the college up to date with the sector, the Health and Safety Officer will be visiting other colleges to understand their systems and processes and to develop a strong network of support. These visits will be reported to the committee on a quarterly basis to share good practices in relation to all areas of the college.

## West Lothian College

5 March 2020

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### Audit Committee

#### INTERNAL AUDIT REPORT: STRATEGIC & OPERATIONAL PLANNING

Internal Audit has undertaken a review of the college's strategic and operational planning processes as part of the 2019-20 internal audit programme.

The review has concluded that the college has robust processes in place to support effective strategic and operational planning in the areas reviewed.

One recommendation has been made which has been accepted by management.

#### Action

The Committee is asked to comment on the report.

**Jennifer McLaren**

Vice Principal, Finance & Curriculum Services

5 March 2020



# West Lothian College

## Internal Audit Report 2019/20

### Strategic and Operational Planning

February 2020



Scott-Moncrieff  
business advisers and accountants



# West Lothian College

## Internal Audit Report 2019/20

### Strategic and Operational Planning

Executive Summary	1
Management Action Plan	4
Appendix A – Definitions	7

<i>Audit Sponsor</i>	<i>Key Contacts</i>	<i>Audit team</i>
<i>Jennifer McLaren, Vice Principal, Finance &amp; Curriculum Services</i>	<i>Jackie Galbraith, Principal &amp; CEO Simon Earp, Vice Principal, Curriculum &amp; Enterprise</i>	<i>David Eardley, Director Nicola MacKenzie, Assistant Manager Atif Naim, Internal Auditor</i>



# Executive Summary

## Conclusion

The College has robust processes in place to support effective strategic and operational planning in the areas reviewed. The Outcome Agreement and supporting strategies clearly outline the College's vision and objectives, and are supported by a range of SMART measures of success.

However, two supporting strategies are out of date. The College has acknowledged this and is developing a new, overarching strategic plan for the next academic year which will supersede these.

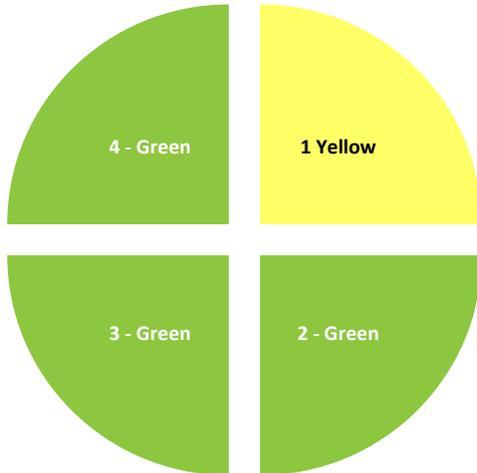
## Background and scope

Effective strategic and operational planning is important to ensuring the College continues to deliver its overarching objectives while continuing to remain financially sustainable. The College sets direction through a suite of strategies and plans hence it is vital that these are robustly designed and clearly aligned.

We have considered the College's strategic and operational planning arrangements, including the setting of SMART objectives and developing robust plans.

## Control assessment

- 1. The strategic plan clearly identifies the College's vision and objectives, and is subject to review and approval by the Board

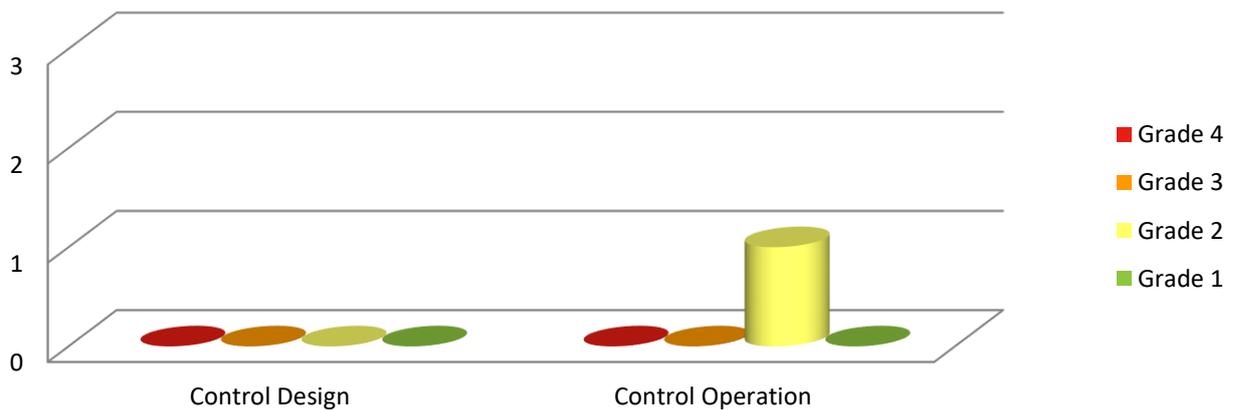


- 2. Operational plans set out the planned actions to achieve the strategic objectives and are subject to review and approval by senior management

- 3. Objectives are supported by outcomes and measures of success so the College will know when it has achieved its objectives

- 4. Strategic and operational planning, risk management and budget setting processes are all aligned and effectively linked

## Improvement actions by type and priority



One improvement action has been identified from this review, relating to the operation of existing controls. See Appendix A for definitions of colour coding.

# Key findings

## Good practice

We have gained assurance that West Lothian College's procedures reflect good practice in a number of areas, including:

- The Outcome Agreement clearly outlines the College's vision and objectives. This aligns with regional and national priorities and reflects the outcome of extensive consultation with a range of stakeholders including staff, employers, the Students Association, West Lothian Council, and the Student Funding Council.
- Additional strategies have been developed to support the delivery of the Outcome Agreement. These are published on the College's website. During 2019/20, the College has been developing a new, overarching strategy to replace these, which is due to be presented to the Board in May 2020.
- There is a clear focus on risk management within strategic and operational planning. The College has developed its strategic risk register in the context of the Outcome Agreement, identifying the key risks it faces in delivering each theme. The risk register details the mitigating actions the College plans to take to support the achievement of strategic objectives. Supporting operational risk registers are maintained by each department and further consider the specific mitigating actions the College intends to take. Risk registers are subject to regular review and approval by senior management.
- The Outcome Agreement and strategic plans identify measures of success, key performance indicators, and targets for each objective. These are monitored by the Board and Senior Management Team on a regular basis to provide assurance of the achievement of strategic objectives.

## Areas for improvement

We have identified one area for improvement which, if addressed, would strengthen West Lothian College's control framework as follows:

- Two of the College's supporting strategies are out of date and do not cover the current or previous academic year. The College will update the Access and Inclusion Strategy by May 2020 as part of the Outcome Agreement for 2020-23. The Financial Strategy will be replaced by a Financial Plan which will be finalised by May 2020 covering the period 2020-23.

## Impact on risk register

This review cuts across the College's strategic risk register and links to all risks identified. We have found risk management to be strongly embedded in the strategic and operational planning process and have not identified any issues during this review to indicate that risk ratings may be inappropriate.

## Acknowledgements

We thank all staff consulted during this review for their assistance and co-operation.

# Management Action Plan

Control Objective 1: The strategic plan clearly identifies the College’s vision and objectives, and is subject to review and approval by the Board



## 1.1 Out of date strategies

The College’s key priorities and visions are outlined in the Outcome Agreement 2019-2022, with additional supporting strategies as follows:

- Financial Strategy 2015-2018;
- Access and Inclusion Strategy 2017-2018;
- Procurement Strategy – January 2019; and
- People Strategy 2017-2020.

Two of these strategies are out of date and do not cover the current or previous academic year. The College will update the Access and Inclusion Strategy by May 2020 as part of the Outcome Agreement for 2020-23. The Financial Strategy will be replaced by a Financial Plan which will be finalised by May 2020 covering the period 2020-23.

### Risk

Strategic plans should be subject to regular review to ensure they continue to identify, articulate and operationalise the College’s current visions and objectives.

### Recommendation

Management should ensure the new strategic plan is developed in a timely manner and in place for the 2020/21 academic year. Review dates should be clearly identified and adhered to, to prevent recurrence of the issues noted above.

<b>Management Action</b>	<b>Grade 2 (Operation)</b>
Agreed	
<b>Action owner: Senior Team</b>	<b>Due date: May 2020</b>

## Control Objective 2: Operational plans set out the planned actions to achieve the strategic objectives and are subject to review and approval by senior management

Green

### No additional reportable weaknesses identified

The College has developed its strategic risk register in the context of the Outcome Agreement, identifying the key risks it faces to the delivery of each Outcome Agreement theme. The register details the actions the College intends to take to mitigate the risk that each outcome cannot be delivered.

The contents of the strategic risk register are reflected within operational risk registers, which are maintained by each department and further consider the specific mitigating actions to be taken. Risk registers are subject to regular review and approval by senior management.

There are a number of supporting operational plans in place which are aligned to the other strategies in place across the College. These include (for example) the Access & Inclusion Plan and the Enhancement Plans, which are maintained for the College as a whole and each department. As raised under MAP 1.1, the College is currently developing a new strategic plan. Once developed, operational plans should be reviewed to ensure these remain aligned to strategic objectives.

## Control Objective 3: Objectives are supported by outcomes and measures of success so the College will know when it has achieved its objectives

Green

### No reportable weaknesses identified

The Outcome Agreement and strategic plans identify measures of success, key performance indicators and targets for each objective. These are monitored at both a strategic and operational level by the Board and Senior Management Team on a regular basis to provide assurance of the achievement of strategic objectives.

Our Performance Management internal audit report (November 2018) provided assurance over strategic performance management arrangements, including reporting against the Outcome Agreement.

## Control Objective 4: Strategic and operational planning, risk management and budget setting processes are all aligned and effectively linked

A green circle containing the word "Green" in white text, indicating a positive status or rating.

Green

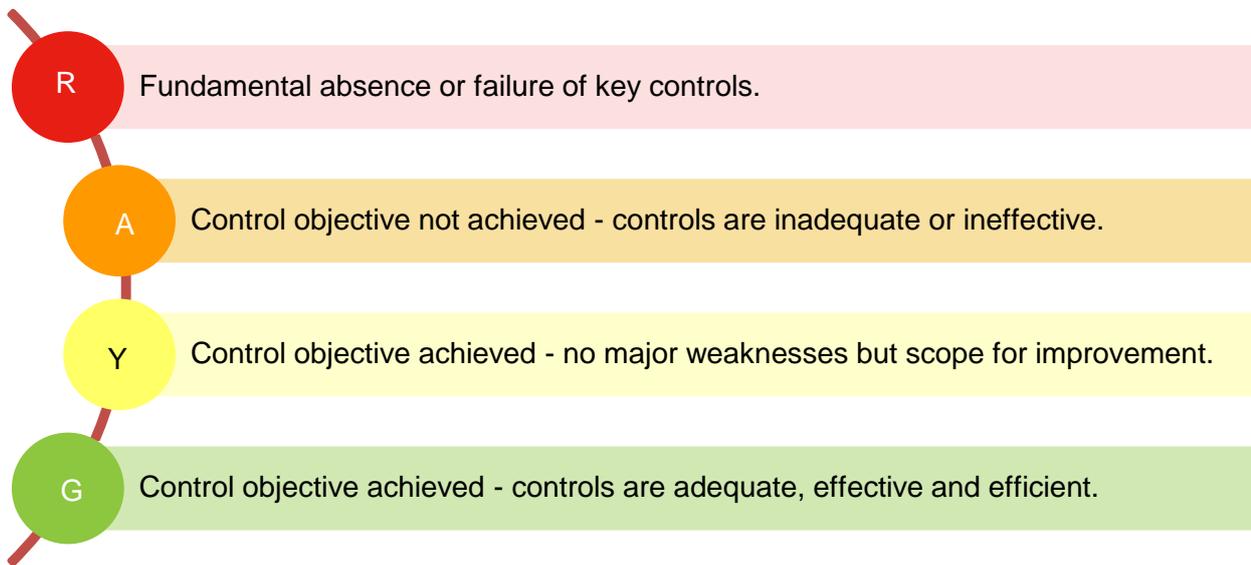
### **No reportable weaknesses identified**

Strategic and operational planning is managed and monitored through the use of risk registers. This supports a strong and embedded focus on risk management, and we found the processes to be aligned and effectively linked.

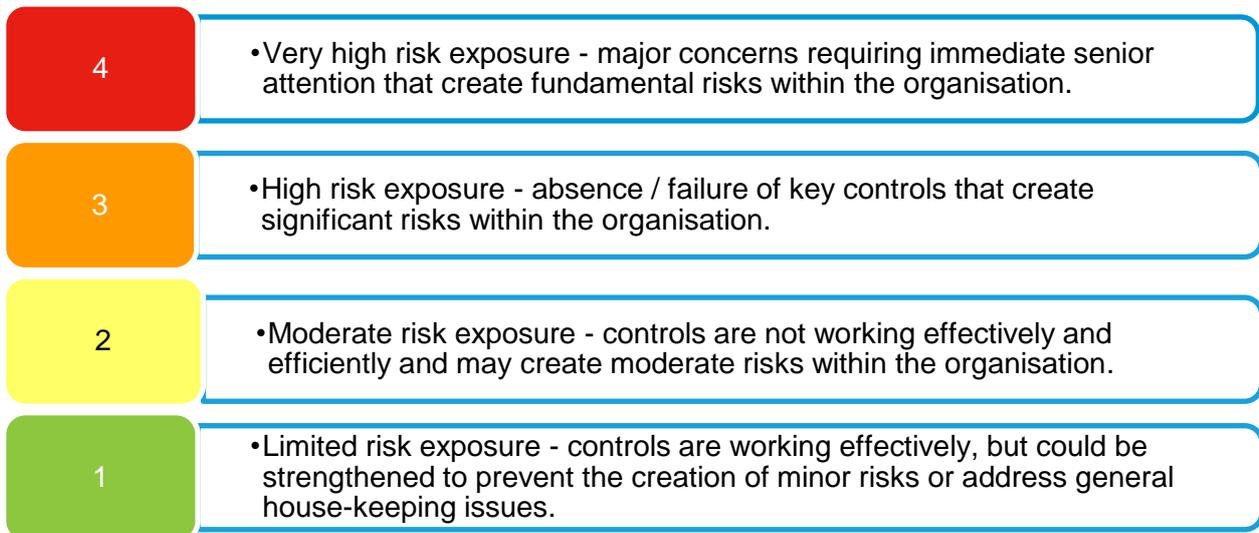
The budget setting process takes close cognisance of curriculum plans, staffing requirements and asset plans, all of which are driven by the commitments made in the Outcome Agreement. Operational planning and budget setting processes are aligned and involve a number of key staff across the College to ensure the direction and priorities are consistent.

# Appendix A – Definitions

## Control assessments



## Management action grades





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## **West Lothian College**

5 March 2020

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### **Audit Committee**

#### **COLLEGE AUDIT ROLLING ACTION PLAN**

The College Audit Action Plan shows progress in implementing previously agreed Internal Audit recommendations. The attached table shows the position as at March 2020.

#### **Action**

The Committee is asked to note progress against plan.

**Jennifer McLaren**

Vice Principal, Finance & Curriculum Services

5 March 2020

## College Audit Action Plan

2017-18 – (1 August 2017 - 31 July 2018)

Status	March 2019			March 2020		
	Grade 4-5	Grade 3	Grade 1-2	Grade 4-5	Grade 3	Grade 1-2
Completed recommendations by original deadline (subject to Internal Audit Review)	-	-	-	-	-	-
Completed recommendations by extended deadline (subject to Internal Audit Review)	-	-	-	-	-	-
Outstanding recommendations on target	-	-	2	-	-	-
Outstanding recommendations past agreed deadline	-	-	5	-	-	-
Total	-	-	7	-	-	-

2018-19 – (1 August 2018 - 31 July 2019)

Status	March 2019			March 2020		
	Grade 4-5	Grade 3	Grade 1-2	Grade 4-5	Grade 3	Grade 1-2
Completed recommendations by original deadline (subject to Internal Audit Review)	-	-	-	-	-	-
Completed recommendations by extended deadline (subject to Internal Audit Review)	-	-	-	-	-	1
Outstanding recommendations on target	-	-	-	-	-	2
Outstanding recommendations past agreed deadline	-	-	-	-	-	-
Total	-	-	-	-	-	3

College Audit Action Plan

2018-19										
No	Audit Report Topic	Report Date	Background	Recommendation	College Response	Responsibility	Deadline	Status	Update/ Comments	Revised Deadline
1	<b>Core Financial Systems (1.1 Finance Procedure Manual out of date)</b> – <i>The Finance Procedure Manual was last updated in December 2013, over five years ago and is currently out of date. This still refers to Cintra as the Payroll system for example, which is no longer the case.</i>	January 2019	Processes and key controls may not be effectively or consistently implemented due to a lack of up to date financial procedures. This may result in inaccurate, incomplete or fraudulent changes to accounting data that may cause financial loss or reputational damage.	The Finance Procedure Manual should be reviewed and updated in a timely manner to ensure it reflects current practices. Subsequent review deadlines should be clearly identified and adhered to.  <b>Grade 2</b>	Agreed	Finance Manager	June '19  Dec '19  March '20	      	<b>June '19 update</b> In progress.  <b>Sept '19 update</b> In progress.  <b>Nov' 19 update</b> In progress.  <b>March '20 update</b> Complete	<b>Dec 2019</b>       <b>Mar 2020</b>
2	<b>Commercial Strategy (1.1 Income Generation Strategy)</b> – A clear strategy for securing and growing commercial income has been documented, and income generation activities are considered as part of the strategic and operational planning process	July 2019	Without detailed operational plans in place, the college may not achieve the aims set within the income generation strategy and as a result, fail to strengthen its financial position.	Operational plans should be developed to support the income generation strategy. These should identify the key actions required, responsible individuals, timescales for delivery, indicators of success and corresponding targets. Plans should be aligned to the overarching strategy and targets should be used to inform annual financial planning.  <b>Grade 2</b>	Operational plans will be developed over the next 12 months. These will be phased based on college and operational priorities.	VP, Curriculum & Enterprise	Aug' 20	  	<b>Nov' 19 update</b> On target. Project being taken forward by Corporate Engagement Committee.  <b>March '20 update</b> On target. Project being taken forward by Corporate Engagement Committee.	
3	<b>Commercial Strategy (3.1 Pricing methodology)</b> – There is an appropriate methodology in place to determine sales margins and plans for the achievement of non SFC income generating targets.	July 2019	Decision making may be impaired by applying an inappropriate methodology, resulting in failure to effectively achieve commercial income targets.	The college should review its pricing methodology to ensure it is satisfied with the long-standing sales margin. Guidance should be provided to staff on the factors that should be considered when assessing the application of a different sales margin (for example, covering areas such as reputation, future business opportunities, and alignment with income generation strategy).  <b>Grade 2</b>	A review of the pricing and costing had been identified by the Corporate Engagement Committee as a project for completion in 2019-20.	VP, Curriculum & Enterprise	June' 20	  	<b>Nov' 19 update</b> On target. Project being taken forward by Corporate Engagement Committee.  <b>March '20 update</b> On target. Project being taken forward by Corporate Engagement Committee.	

## **Audit Committee**

### **2019-20 STRATEGIC RISK REGISTER**

#### **Introduction**

The Strategic Risk Register for 2019-20 (Appendix 1) is set in the context of the 2019-22 Outcome Agreement, which takes account of government policy drivers such as *Developing the Young Workforce* and the *15-24 Learner Journey Review* and was reviewed by the Audit Committee in September 2019.

#### **Strategic Risk Register 2019-20**

The Committee agreed the following five key risks for the college:

1. There is a risk that the college fails to develop a demand-led curriculum portfolio and does not meet its credit target due to a lack of engagement with key stakeholders, lack of focus on government objectives or inadequate curriculum planning, resulting in low student numbers, a clawback of funding and not meeting the needs of the people, communities and economy of West Lothian.
2. There is a risk that the college does not provide a high quality learning experience due to poor alignment of resources, and/or poor quality of teaching resulting in reduced retention, attainment and progression for students and reputational damage.
3. There is a risk that external funding pressures adversely impact on delivery of the curriculum or the college does not deliver effectively on its educational or commercial contracts resulting in a loss of income and learning opportunities and negatively impacting on future college sustainability.
4. There is a risk that, due to insufficient workforce and succession planning, the college fails to attract, retain and develop appropriate staff with the skills required to meet the current and future needs resulting in a poorer experience for students.
5. There is a risk that the college is unable to invest fully in its estate and digital infrastructure due to reduced SFC capital funding and investment funds, resulting in the failure to provide a high quality estate with industry standard equipment and a fit for purpose digital infrastructure which negatively impacts on the student experience and staff productivity.

## West Lothian College

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### Board appetite for risk

Following a risk workshop held in September 2019 the Board of Governors has set the appetite for risk as being open to taking measured risks in relation to our planning, widening access strategies and learning innovation with confidence in the decision-making delegated to the senior team. The Board is more cautious in the approaches to legal risks which expose the college to claims and litigation and to those risks which could have a major financial impact.

### Board Tolerance Thresholds

Based on the Board appetite for risk, the estimated tolerance thresholds are attached at Appendix 2.

### March 2020 Update

**Strategic Risk 1      Failing to develop a demand-led curriculum portfolio and not meeting the credit target due to a lack of engagement with key stakeholders, lack of focus on government objectives or inadequate curriculum planning.**

#### **Risk maintained as medium**

The college is predicting to exceed its 2019-20 credit target and has been allocated an additional 333 credits by the Scottish Funding Council as part of the in-year redistribution exercise. The curriculum plan for 2020-21 has been finalised.

However, a lack of investment in the construction/engineering workshop due to financial constraints means that the college is not currently meeting the needs of local employers. In light of this the risk is maintained as medium.

**Strategic Risk 2      Not providing a high quality learning experience due to poor alignment of resources, and/or poor quality of teaching.**

#### **Risk reduced to medium**

The Scottish Funding Council published its 2018-19 student success KPI results for colleges and West Lothian College is above sector average in all four categories (FEFT, HEFT, FEPT and HEPT). Whilst this is a very good result for the college there is still further work to be done in areas of the college where improvement has been identified. Action plans have been agreed to address weaknesses.

Although early withdrawals for FEFT are slightly worse than 2018-19, HEFT withdrawals are showing an improvement.

## West Lothian College

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In light of the improved KPIs and early withdrawals position the risk rating has been reduced to medium.

**Strategic Risk 3      External funding pressures adversely impacting on delivery of the curriculum or not delivering effectively on educational or commercial contracts and negatively impacting on future college sustainability.**

**Risk increased to very high**

As the college is forecasting to be in deficit for 2019-20 and the negative impact on the cash position and ability to invest in the curriculum this risk has been escalated to very high.

**Strategic Risk 4      Failing to attract, retain and develop appropriate staff with the skills required to meet the current and future needs due to insufficient workforce and succession planning.**

**Risk maintained as medium**

The college continues to attract applications for posts advertised. The applicant to vacancy ratio for the period October-December 2019 for Lecturing posts was 6:1 (decreased from 12:1 from the previous quarter) and for Support posts is 7:1 (a decrease from the previous quarter which was 12:1).

High levels of long-term sick absence are challenging for centres to manage. HR Business Partners meet Centres'/Departments' management bi-monthly to review sickness absence to ensure appropriate management action is taken, as well as providing advice and guidance on an ongoing basis.

Stage 2 of the EIS dispute process has concluded without resolution. The matter is being referred to ACAS as per stage 3 of the process.

In light of the high levels of sick absence and negative impact of the dispute with the EIS the risk is maintained as medium.

**Strategic Risk 5      Unable to invest fully in the estate and digital infrastructure due to reduced SFC capital funding and investment funds.**

**Risk maintained as very high**

The college has identified two significant projects which need to be taken forward as a priority – refurbishment of construction/engineering workshop and the ground floor

## **West Lothian College**

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of the street building. Funding has been identified to undertake a refurbishment of Terrace 1/2, but not been secured for the refurbishment of the ground floor of the street building. A programme of PC refresh is underway, however significant investment is still required beyond the amount provided in the 2019-20 budget. The current financial position means that the college is unable to fund any further investment this year.

Given the college faced a significant cut in estates maintenance grant and does not have sufficient funding to address investment needs the risk is maintained as very high.

### **Action**

The Committee is invited to discuss the Strategic Risk update and to consider the appropriateness of current mitigating actions being taken to reduce or manage risks.

**Jennifer McLaren**

Vice Principal, Finance & Curriculum Services

5 March 2020



# Strategic Risk Register 2019-20

The 2019-20 Strategic Risk Register is set in the context of our 2019-22 Regional Outcome Agreement. In summary, the strategic risks for 2019-20 are:

- 1 There is a risk that the college fails to develop a demand-led curriculum portfolio and does not meet its credit target due to a lack of engagement with key stakeholders, lack of focus on government objectives or inadequate curriculum planning, resulting in low student numbers, a clawback of funding and not meeting the needs of the people, communities and economy of West Lothian
- 2 There is a risk that the college does not provide a high quality learning experience due to poor alignment of resources, and/or poor quality of teaching resulting in reduced retention, attainment and progression for students and reputational damage
- 3 There is a risk that external funding pressures adversely impact on delivery of the curriculum or the college does not deliver effectively on its educational or commercial contracts resulting in a loss of income and learning opportunities and negatively impacting on future college sustainability
- 4 There is a risk that, due to insufficient workforce and succession planning, the college fails to attract, retain and develop appropriate staff with the skills required to meet the current and future needs resulting in a poorer experience for students
- 5 There is a risk that the college is unable to invest fully in its estate and digital infrastructure due to reduced SFC capital funding and investment funds, resulting in the failure to provide a high quality estate with industry standard equipment and a fit for purpose digital infrastructure which negatively impacts on the student experience and staff productivity

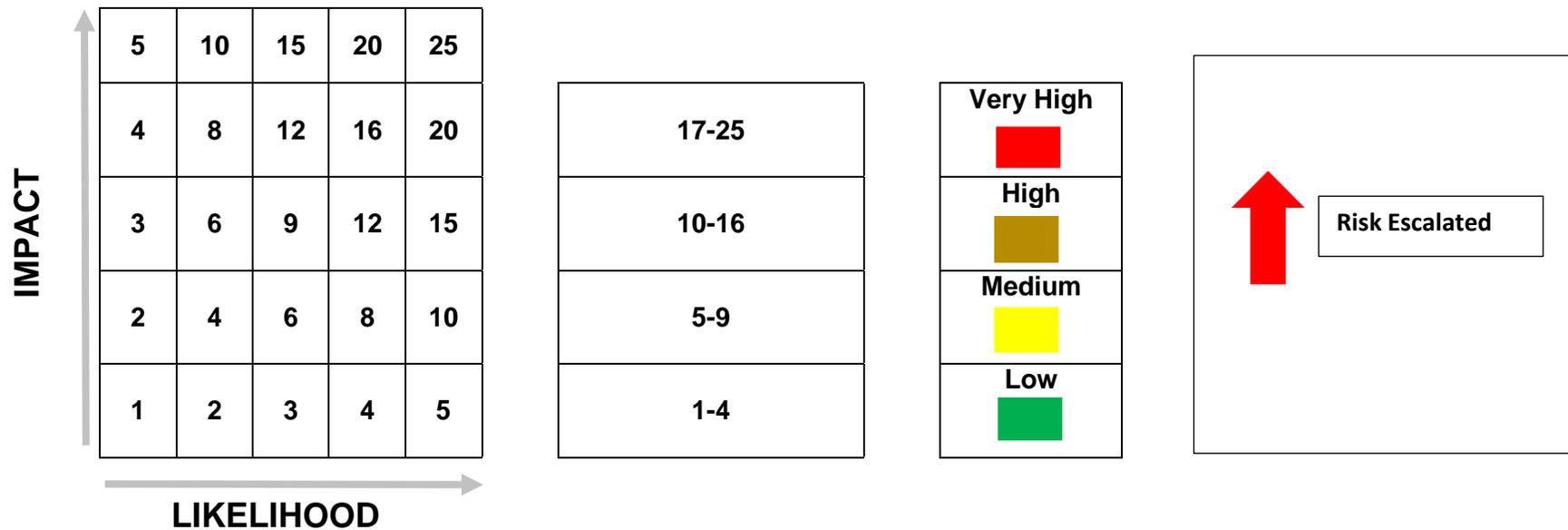
## RISK ASSESSMENT AND EVALUATION

### Risk Classification Matrix

Impact		
1	Insignificant	Less than £50k
2	Minor	£50-100k
3	Significant	£100-300k
4	Major	£300-500k
5	Catastrophic	More than £500k

Likelihood		
1	Very unlikely	Less than 10% chance
2	Unlikely	10-40% chance
3	Fairly likely	40-65% chance
4	Likely	65-90% chance
5	Very likely	More than 90% chance

### Evaluation of Risk



## STRATEGIC RISK 1

**Outcome Agreement theme:** Access/Responding to the economy

**Lead Board Committee:** Learning and Teaching

**Risk Owner:** Vice Principal Curriculum & Planning/Vice Principal Curriculum & Enterprise

Risk	L	I	Risk Rating	Risk Mitigation	Update March 2020	L	I	Risk Rating
There is a risk that the college fails to develop a demand-led curriculum portfolio and does not meet its credit target due to a lack of engagement with key stakeholders, lack of focus on government objectives or inadequate curriculum planning, resulting in low student numbers, a clawback of funding and not meeting the needs of the people, communities and economy of West Lothian	2	4	8 	<p>Annual curriculum review process takes account of labour market demand, SFC priorities, Edinburgh and South East Scotland City Region Deal skills planning, and course performance</p> <p>Employer Engagement Groups to be established at centre or subject level as appropriate</p> <p>Annual school/college delivery plan incorporates DYW senior phase vocational pathway ambitions including Foundation Apprenticeships</p> <p>Workforce development plan and commercial strategy based on employer need, demand for up-skilling and re-skilling</p> <p>Proactive marketing campaigns and events and regular monitoring of targets</p>	<p>Curriculum Planning process complete for 2020-21</p> <p>Latest credit forecast for 2019-20 indicates that college has exceeded its target</p> <p>College has been allocated an additional 333 credits in 2019-20</p> <p>Curriculum centres report employer engagement groups working well</p> <p>Lack of investment in the construction/engineering workshop having negative impact on student experience and college not meeting the demands of local employers</p>	2	4	8 

## STRATEGIC RISK 2

**Outcome Agreement theme:** Student Success

**Lead Board Committee:** Learning and Teaching

**Risk Owner:** Vice Principal for Curriculum & Planning/Vice Principal Curriculum & Enterprise

Risk	L	I	Risk Rating	Risk Mitigation	Update March 2020	L	I	Risk Rating
There is a risk that the college does not provide a high quality learning experience due to poor alignment of resources, and/or poor quality of teaching resulting in reduced retention, attainment and progression for students and reputational damage	3	4	12	<p>CPD focuses on high quality teaching practice aligned to new professional standards</p> <p>Attainment Plan with specific actions embedded across all centres to drive forward retention and attainment</p> <p>EREP contains specific actions to drive forward learning &amp; teaching practices that work towards improving retention and attainment</p> <p>Quality Improvement Plan to address required improvement in learning &amp; teaching in areas where this has identified</p> <p>Developed progression and articulation routes into further study at college or university, apprenticeships and employment</p> <p>Students have opportunities to gain experience of the workplace.</p>	<p>Improvement in 2018-19 student success KPIs and above sector average in all four categories (FEFT/HEFT/FEPT/HEPT)</p> <p>Early withdrawals show an improvement in HEFT</p> <p>EREP update meetings taken place with service and curriculum areas</p> <p>Need for investment in engineering equipment highlighted by local employers and having detrimental impact on student experience</p> <p>Feedback from sparkle stressed the need for informal flexible learning spaces for students supported by appropriate technology</p> <p>The management restructure is likely to be diverting managers</p>	2	4	8

					<p>attention from focusing on student success</p> <p>PC refresh programme agreed for 2019-20 with a focus on curriculum areas</p>			
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### STRATEGIC RISK 3

**Outcome Agreement theme:** High-performing sustainable institution/Innovation

**Lead Board Committee:** Finance & General Purposes Committee

**Risk Owner:** Vice Principal Finance & Curriculum Services/Vice Principal Curriculum & Enterprise

Risk	L	I	Risk Rating	Risk Mitigation	Update March 2020	L	I	Risk Rating
There is a risk that external funding pressures adversely impact on delivery of the curriculum or the college does not deliver effectively on its educational or commercial contracts resulting in a loss of income and learning opportunities and negatively impacting on future college sustainability	3	5	15 	<p>Annual budget process and monthly management accounts with prompt income collection and accurate cash flow forecasts which allows early management corrective action</p> <p>Engagement with the Employers' Association (EA) in agreeing actions through national bargaining</p> <p>Income Generation Strategy developed and Commercial and Workforce Development growth plans and annual income targets in place</p> <p>Three year contract in place to 2021 with CHS to deliver the CHS Learning Academy</p> <p>Business development, contract management and delivery teams in place to identify new opportunities, submit bids and to provide effective management and monitoring of awarded contracts</p>	<p>Budget review meetings held with budget holders</p> <p>Impact of backfilling staff on long term sick absence having adverse effect on 2019-20 budget. Latest forecast is college will not achieve its budgeted surplus and will be in deficit for the year.</p> <p>Latest forecast is college will meet its credit target. College has received an additional 333 credits in 2019-20 as part of in-year credit redistribution exercise</p> <p>Bid to SFC for additional student funding was successful</p>	4	5	20 

## STRATEGIC RISK 4

**Outcome Agreement theme:** High-performing, sustainable institution

**Lead Board Committee:** Finance and General Purposes

**Risk Owner:** Vice Principal Finance & Curriculum Resources

Risk	L	I	Risk Rating	Risk Mitigation	Update March 2020	L	I	Risk Rating
There is a risk that, due to insufficient workforce and succession planning, the college fails to attract, retain and develop appropriate staff with the skills required to meet the current and future needs resulting in a poorer experience for students	2	4	8 	<p>People Strategy being implemented and monitored through Senior Team</p> <p>College wide induction programme in place for new staff</p> <p>New Your Attendance Matters Policy in place to improve absence management</p> <p>Learning and development plans undertaken by staff. Lecturing staff plans aligned to new professional standards.</p> <p>A Workforce Plan and skills matrix to inform future workforce planning</p> <p>Annual staff satisfaction survey undertaken with actions agreed by Senior Team and College Team</p> <p>Staff Experience Group in place to improve staff engagement and feedback.</p>	<p>High levels of long term sick absence. HR proactively working with centres.</p> <p>Staff have not fully engaged with the PLP process and completion target has not been met. Additional paperwork due to alignment with professional standards has been challenging for centres. Process is to be reviewed for 2020-21</p> <p>Stage 2 of the EIS dispute resolution process has concluded with no resolution. Dispute being referred to ACAS as per Stage 3 of the process</p> <p>Staff survey to be issued March 2020</p> <p>Senior Team and Health &amp; Safety Officer meeting to agree college strategy in relation to the Coronavirus</p>	2	4	8 

## STRATEGIC RISK 5

**Outcome Agreement theme:** High-performing, sustainable institution

**Lead Board Committee:** Finance and General Purposes

**Risk Owner:** Vice Principal Finance and Curriculum Resources

Risk	L	I	Risk Rating	Risk Mitigation	Update March 2020	L	I	Risk Rating
There is a risk that the college is unable to invest fully in its estate and digital infrastructure due to reduced SFC capital funding and investment funds, resulting in the failure to provide a high quality estate with industry standard equipment and a fit for purpose digital infrastructure which negatively impacts on the student experience and staff productivity	5	5	25 	<p>Estates priorities identified for 3-5 year period and annual investment in IT and curriculum resources from income generation contribution and SFC funding</p> <p>Ten year estates lifecycle maintenance plan being implemented</p> <p>Investment to ensure the robustness and security of the digital infrastructure. Cyber Essentials accreditation achieved to mitigate against cyber security threats</p> <p>Carbon Reduction Plan monitored through Sustainability Group</p> <p>Business continuity plans and annual tests to ensure plans are fit for purpose</p> <p>Data Protection Officer overseeing GDPR requirements to help ensure compliance</p>	<p>Deficit forecast for 2019-20 has reduced level of investment in the estate and IT infrastructure</p> <p>Funding identified for refurbishment of the construction/engineering workshop but not yet secured for refurbishment of ground floor of the street building</p> <p>Offsite back-up solution being discussed with Napier University and West Lothian Council. Third party option to be put in place if no agreement reached with Napier or Council</p> <p>IT refresh programme agreed for 2019-20</p> <p>Staff asked to complete GDPR refresher training. Managers asked to follow-up with staff who have not completed</p> <p>Sustainability event planned for March 2020</p>	4	5	20 



## Risk Tolerance Matrix 2019-20

Impact Score	Impact Description	Access – more equal society	Responding to the economy	Student Success	Innovation and Enterprise	Financial and organisation Sustainability
1	Insignificant	Majority of access targets met with only one or two exceptions.  Overall stakeholders, communities, schools and universities engaged with college	One subject area not delivering but credit target/budget delivered.  Overall schools and appropriate stakeholders are engaged	Isolated cases of poor learner retention and attainment	Commercial targets achieved overall albeit individual contract variance in performance.  Apprenticeship expansion within 10% of target  Key account management in the main successful.	One instance <£50k or a number of instances where the cumulative value is <£50k
2	Minor	Recruitment from the most deprived postcodes has reduced slightly.  Number of students getting advanced standing to University declines	One Centre /Department not delivering but credit target/budget delivered.  Schools and Stakeholders fairly engaged	Under sector average for attainment in one PI success category  Downward trend in one PI success category  Positive feedback from Education Scotland progress review  Few instances of quality targets not being met	Shortfall in commercial targets but ability to make up for this across college.  Apprenticeship expansion within 20% of target	£50k-£99k
3	Significant	Recruitment across a number of equality measures is below target.	Up to 10% of credit target/budget not achieved due to supply and demand	Less than sector average in FE and HE full time success indicators	Shortfall in commercial targets and reduction in college surplus forecast	£100k- £299k

## Appendix 2

		<p>Stakeholder engagement with communities, stakeholders, schools and universities is not effective in supporting targets.</p> <p>College overall activity target being impacted on.</p>	<p>mismatch or lack of engagement with key partners</p> <p>Some schools and stakeholder dissatisfaction with the College</p>	<p>Downward trend in FE and HE full time success indicators</p> <p>Increasing negative destinations and activity targets under threat.</p> <p>Education Scotland progress review unsatisfactory</p>	<p>Apprenticeship numbers static</p> <p>Business engagement weak</p>	
4	Major	<p>Insufficient progress made with equality targets, resulting in reduced activity target and clawback of funds for specific initiatives.</p> <p>Poor stakeholder relations and reputational damage.</p>	<p>&gt;25 % of credit target/budget not achieved due to supply &amp; demand mismatch</p> <p>Major shortfall in recruiting to vocational pathway programmes</p> <p>Majority of schools and stakeholders dissatisfied with the College</p>	<p>Majority of Centres with poor learner retention, attainment and negative destinations.</p> <p>Activity target shortfall and funds clawback indicated</p> <p>Education Scotland progress review unsatisfactory</p>	<p>Major shortfall in commercial surplus resulting in more significant interventions</p> <p>Reductions in Apprenticeship places</p> <p>Business and Employer dissatisfaction</p>	£300k - £499k
5	Catastrophic	<p>Failure to deliver on equalities targets leaving the college open to challenge and significant reputational damage.</p>	<p>Major shortfall in recruitment and retention leading to clawback of funds or activity</p>	<p>High negative learner destinations with major funds clawback and activity targets significantly under achieved.</p>	<p>Commercial surplus significantly reduced and major impact on college core operations</p>	>£500k

**Appendix 2**

		Claw back of funds and inability to access any related initiatives or future projects.	Major reputational damage arising from poor performance	Education Scotland/Scottish Funding Council intervention	Withdrawal of Apprenticeship contract Business and employer complaints	
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## West Lothian College

5 March 2020

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### Audit Committee

#### KEY PERFORMANCE INDICATORS (KPIs) 2019-20

The attached table show the college's key financial performance indicators for 2017-18 and 2018-19 and a forecast for 2019-20. Explanations for variances from target are provided.

In addition, and for benchmarking purposes, financial KPIs are provided for Borders College, Dumfries & Galloway College and Forth Valley College for 2016-17 and 2017-18. 2018-19 data will be provided for the June 2020 meeting of the Finance & General Purposes Committee.

Provisional early withdrawal statistics are also provided, these will be subject to change as the data cleansing process takes place. A further update will be provided at the next meeting of the committee. As the college is predicting to meet its credit target for 2019-20, there is no financial clawback expected. The college has also indicated to SFC that it would be prepared to deliver additional credits in 2019-20 should any become available.

#### Student Performance

A copy of the paper presented to Learning & teaching Committee is attached to this paper.

#### Action

The committee is asked to discuss the financial KPIs and note the latest early withdrawal statistics for 2019-20.

**Jennifer McLaren**

Vice Principal, Finance & Curriculum Services

5 March 2020

West Lothian College -Key Financial Performance Indicators 2019-20

	Target 2019-20	Forecast For the six months ended 31 January 2020	Forecast For the year ended 31 July 2020	Actual For the year ended 31 July 2019	Actual For the year ended 31 July 2018
College Surplus (£'000)	65	899	(340)	4	70
Operating Surplus (£'000)	(871)	899	(1,871)	(4,386)	1,765
Non SFC Income as % of total income	27%	32%	28%	28%	29%
Trading Surplus on commercial activities as % of income from commercial activities	28%	36%	30%	35%	32%
Staff costs as % of total income (excludes exceptional costs)	69%	67%	70%	69%	67%
Ratio of Current Assets to Current Liabilities	0.6:1	1.0 :1.02	0.5:1	0.7 :1	0.7:1
Days Cash to Total Expenditure	16	67	9	16	15

Comments	Actions
Below target largely as a result of higher than budgeted salary costs in curriculum centres due to the cost of backfilling long-term sick absence	HR working proactively with centres and Senior Team monitoring the position
Below target as a result of higher than budgeted salary costs in curriculum centres due to the cost of backfilling long-term sick absence and movement in the FRS17 pension provision following the 2018-19 actuarial revaluation	HR working proactively with centres and Senior Team monitoring the position
On target for year.	
Above target as a result of saving in FWDF salary costs and posts not being filled. FWDF salary costs being absorbed within the academic centres.	Monitor through Corporate Engagement Committee
Above target as a result of higher than budgeted salary costs in curriculum centres due to the cost of backfilling long-term sick absence	HR working proactively with centres and Senior Team monitoring the position
Below target largely as a result of higher than budgeted salary costs in curriculum centres due to the cost of backfilling long-term sick absence	Monitor through monthly management accounts
Below target largely as a result of higher than budgeted salary costs in curriculum centres due to the cost of backfilling long-term sick absence	Monitor through cash flow forecast to SFC and monthly management accounts

	2016-17			
	Borders	Dumfries & Galloway	Forth Valley	West Lothian
Non SFC Income as % of total income	27%	19%	32%	30%
Staff costs as % of total income (excludes exceptional costs)	70%	65%	68%	65%
Ratio of Current Assets to Current Liabilities	1.23:1	0.73:1	0.76:1	0.7:1
Days Cash to Total Expenditure	76	49	29	35

	2017-18			
	Borders	Dumfries & Galloway	Forth Valley	West Lothian
Non SFC Income as % of total income	29%	16%	27%	29%
Staff costs as % of total income (excludes exceptional costs)	66%	68%	74%	67%
Ratio of Current Assets to Current Liabilities	1.5:1	0.5:1	1.1:1	0.7:1
Days Cash to Total Expenditure	72	22	60	15

Early Withdrawals						
	2019-20 Early Withdrawal @ 12-2-20 (%)	2019-20 Early Withdrawal Actual Number of Enrolments @ 20-2-20	2019-20 Total Number of Enrolments@ 12-2-20	2018-19 Early Withdrawal (%)	2018-19 Early Withdrawal Actual Number of Enrolments	2018-19 Total Number of Enrolments
FEFT	8.7%	109	1,259	7.9%	97	1,236
HEFT	4.6%	36	791	6.1%	47	767
FEPT	2.0%	53	2,659	2.0%	75	3,807
HEPT	3.0%	18	592	1.9%	22	1,140
Total		216	5,301		241	6,950

## **Audit Committee**

### **AUDIT COMMITTEE DEVELOPMENT PLAN JUNE 2019 – MAY 2020**

Following the Committee Self-Evaluation in March 2019, a new Development Plan was drafted to take into account the points raised in the evaluation discussion.

The 2020 Development Plan was agreed at the June 2019 meeting and appears on the agenda as a live document for review at every meeting.

### **Action**

The Committee is asked to discuss the Development Plan for the period to May 2020.

**Secretary to the Board**

5 March 2020

## **Audit Committee**

### **Development Plan 2020**

June 2019 – May 2020

### **Membership**

No current issues. Lynne Hollis will be joining.

### **Remit**

Annual review of remit – last reviewed June 2019, next review June 2020

### **Visits to Parts of the Campus**

Campus visit with more of a focus to take place at 9am with meeting starting at 9.30am.

Visit to reconfigured areas of the Street Building – September 2019

Visit to Motor Vehicle hybrid car – November 2019

Visit to Beauty Therapy & Hairdressing – March 2020

### **Opportunities for Strategic Discussion**

Exchange with Finance & General Purposes Committee Members recommended when discussing the accounts.

### **Development Issues Identified in Meetings**

Encourage members of other Committees to attend Audit Committee as an observer.

### **Self-Evaluation**

Annual self-evaluation of Committee – scheduled for March 2020 – subject to external review

Version 4: March 2020