West Lothian College
Audit Committee
Thursday 4 March 2021 at 10am, via Zoom

Online Visit to Sports Area at 9.30am

Agenda			**Paper**	
1	Welcome/Apologies			
2	Declarations of Interest			
3	Minute of Meeting of 26 November 2020		1	**For Approval**
4	Matters Arising from Minute of Meeting of 26 November 2020		2	**To Discuss**
5	Health and Safety			
	i) Quarterly Health & Safety Report		3	**For information**
	ii) Annual Health & Safety Report		4	**For information**
6	Information Systems and Digital Infrastructure Update Presentation			
7	Internal Audit Reports			
	i) Cyber Security		5	**To Discuss**
8	Strategic Risk Register 2020-21		6	**To Discuss**
9	College Key Performance Indicators (KPIs) 2020-21		7	**To Note**
10	Any Other Business			
11	Review of Meeting, development plan and Supporting Papers		8	**To Discuss**
12	Date of Next Meeting: Thursday 24 June 2021 at 10am			

West Lothian College

Audit Committee

Minute of Meeting of the Audit Committee held on **Thursday 26 November 2020** at 10am via Zoom.

Present:
Sue Cook (Chair)
Simon Ashpool
Seonaid Crosby
Lynne Hollis
Richard Lockhart
Colin Miller

In attendance:
Jackie Galbraith (Principal and Chief Executive)
Sarah-Jane Linton (Vice Principal, Learning and Attainment)
Jennifer McLaren (Vice Principal, Finance and Corporate Services)
Simon Earp (Vice Principal, Performance and Improvement)
Danny Duffy (Head of Finance)
Moira Niven (observer)
Sue Stahly (observer)
David Eardley (Azets, Internal Auditors)
Andrew O'Donnell (Azets, Internal Auditors)
Lucy Nutley (Mazars, External Auditors)
Emily Purdie (Health and Safety Officer) item 5 only
Sandra Callan (Executive Secretary)

1 Welcome/Apologies

The Chair welcomed everyone to the meeting. A special welcome was extended to Moira Niven, Chair, Finance and General Purposes and Sue Stahly, Finance and General Purposes member who were attending as observers and Andrew O'Donnell, internal auditor, who was attending his first West Lothian College audit meeting.

2 Declarations of Interest

There were no declarations of interest.

West Lothian College

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3   **Minute of Meeting of 17 September 2020**

The Minute of the meeting of the Audit Committee of 17 September 2020 was approved as a correct record.

4   **Matters Arising from Minute of Meeting of 17 September 2020**

Regarding action 3, Risk Workshop - a date would be agreed before the March 2021 audit meeting.

Action 1: Vice Principal, Finance and Corporate Services

All other actions were duly completed and noted.

5   **Health and Safety**

(i)   **Quarterly Health and Safety Report**

The Health and Safety Officer presented the report which provided an overview of the health and safety standards at West Lothian College from July 2020 to September 2020.

The Health and Safety Officer provided main highlights from the report and also updated the committee with the most up to date figures regarding staff and student COVID19 positive cases. It was confirmed that, to date, no cases had been linked to the college.

It was also noted that, to date, a total of 203 members of staff had completed their Display Screen Equipment (DSE) assessment. The Health and Safety Officer would confirm how many members of staff had been sent the DSE assessment for completing.

Appendix 2 and 3 had been omitted from the original report and these would be sent to the committee members along with the number of staff who should complete the DSE assessment.

Action 2: Board Secretary

The committee noted the paper and thanked the Health and Safety Officer for the informative report.

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6   **(i)**   **Annual Report and Financial Statements 2019-2020**

Vice Principal, Finance and Corporate Services, presented paper 4 noting that the financial statements are prepared in accordance with Accounting Standards and guidance from the Scottish Funding Council.

The Vice Principal, Finance and Corporate Services gave explanations where necessary and the committee noted the college had recorded an adjusted operating surplus of £196,000.

The committee requested an amendment to the wording under 'Assessment of Corporate Governance' pertaining to the interim position of the board secretary being carried out by the Vice Principal, Finance and Corporate Services.

Action 3: Vice Principal, Finance and Corporate Services

The committee recommended approval of the annual financial statements for the year ended 31 July 2020 to the Board of Governors and also thanked the Head of Finance and team for their work on producing the accounts.

(ii)   **Annual Audit Report to the Board of Governors and the Auditor General for Scotland 2019-2020**

The external auditor presented paper 5 and thanked the college Finance Team for their timely provision of information and co-operation throughout the audit which had been undertaken remotely due to COVID19 restrictions.

The external auditor highlighted one adjusted misstatement and one unadjusted misstatement which would be included in the letter of representation.

A discussion on the valuation of land and buildings took place and, in particular, the inclusion of an 'Emphasis of Matter' statement in the audit opinion. The Vice Principal, Finance and Corporate Services advised that, as an interim valuation would take place in 2022, it would be unnecessary to undertake an interim valuation in 2021.

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

The committee recommended the letter be signed by the Chair of the Board of Governors and Principal on behalf of the Board.

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7   Internal Audit Reports

(i)   Student Support Funds and Educational Maintenance Allowances (EMA) Audits 2019-2020

The internal auditor presented paper 7 noting that there were no recommendations from the audit. The Student Support Fund and EMA audits were undertaken in accordance with the requirements set out in accordance with the Scottish Funding Council's audit guidance.

The internal auditors thanked the finance team for their co-operation particularly due to the challenges associated with undertaking an audit remotely.

(ii)   Review of 2019-2020 Credits Return

The internal auditors presented paper 8 noting that the credit return had been agreed by the Scottish Funding Council. The controls over the collection of data and the preparation of the credits return were well designed and effective.

The committee noted the report.

(iii)   Annual Internal Audit Report 2019-2020

The internal auditors presented paper 9 noting that the college had a framework of controls in place that provided reasonable assurance regarding the organisation's governance framework, internal controls, effective and efficient achievement of objectives and the management of key risks.

The committee noted the report.

(iv)   Internal Audit Report: Recruitment and Selection Process

The internal auditors presented paper 10 noting assurance that the recruitment and selection process was well designed and operating effectively. Two lower-risk areas for improvement had been identified. A number of good practice areas had also been identified.

The committee noted the positive report.

8   **College Rolling Action Plan**

Vice Principal, Finance and Corporate Services presented paper 11.

The committee noted progress against the plan.

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

Vice Principal, Finance and Corporate Services presented paper 12 noting that the report included information on the committee's proactive monitoring of the risks associated with COVID19.

The committee requested that the report be amended to say that the Chair of the Board of Governors also is in attendance at meetings, although not a member of the Audit Committee.

Action 4: Vice Principal, Finance and Corporate Services

10   **Strategic Risk Register**

Vice Principal, Finance and Corporate Services presented Paper 13. Committee members were requested to agree that the risk mitigations and future actions to be taken were sufficient.

The risk register was discussed and the committee requested amendments to:

risk 2.2 – controls/mitigations column – clarify acronyms;
risk 2.4 – complete lead responsibility column;
risk 3.5 – risk column – remove the word significant. Controls/mitigation column – insert refresher training every year;
risk 5.3 – controls/mitigations column – add reference to project management and design team;
risk 6.1 – further actions planned column – include cyber security internal audit being brought forward;
risk 6.4 – risk column – amend wording to make back-up arrangements clear.

The committee also requested that the risk register scores be coloured as per the scoring matrix shown at the foot of each page.

Action 5: Vice Principals, Finance and Corporate Services/ Learning and Attainment/Performance and Improvement

The committee also requested the possibility of board members having access to the college's IT/cyber security training materials and Vice Principal, Performance and Improvement agreed to follow this up and report back to members.

Action 6: Vice Principal, Performance and Improvement

11   College Key Financial Indicators (KPIs) 2019-20

Vice Principal, Finance and Corporate Services presented paper 14, which the committee noted.

12   Audit Scotland – Guide for Audit and Risk Committees

The Vice Principal, Finance and Corporate Services presented paper 15. The committee discussed the guidance and it was agreed that responses to the questions would be taken forward by the management team and the Principal would give an update at the March 2021 audit meeting.

Action 7: Principal and Chief Executive

13   Sector Update

Both the internal and external auditors reported an increase in online fraud. Spoof emails were a particular issue.

14   Any Other Business

Agreed to have IT as a standing item on future agendas and the Information Systems and Digital Infrastructure Manager to be invited to the Audit Committee meetings. It was also agreed that a verbal overview would be acceptable or a short paper, if preferred.

Action 8: Board Secretary

15   Review of Meeting and Development Plan and Supporting Papers

The committee thanked the internal auditors for the informative training session which had taken place on Monday 23 November.

Discussion on visits to parts of the campus then discussed and it was agreed that the sports area would be chosen and a decision would be taken closer to the March Audit Committee meeting date as to whether this would be done online or whether the committee would be able to visit the area.

Action 9: Board Secretary

Meeting of the Committee without Management

Management left the meeting and the Audit Committee requested feedback from the internal and external auditors.

16   Date of Next Meeting

The next meeting would take place on Thursday 4 March 2021 at 10am.

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   ……………………………………………

Action: To Discuss

Agenda Item 4

Paper 2

West Lothian College

4 March 2021

Audit Committee

Matters Arising / Action update from the Audit Committee of 26 November 2020.

Action 1: Vice Principal, Finance and Corporate Services
Matters Arising from Minute of Meeting of 17 September 2020
Risk Workshop - a date would be agreed before the March 2021 audit meeting.

Duly Completed

Action 2: Board Secretary
Quarterly Health and Safety Report
Appendix 2 and 3 had been omitted from the original report and these would be sent to the committee members along with the number of staff who should complete the DSE assessment.

Duly completed

Action 3: Vice Principal, Finance and Corporate Services
Annual Report and Financial Statements 2019-2020
To amend the wording under 'Assessment of Corporate Governance' pertaining to the interim position of the board secretary being carried out by the Vice Principal, Finance and Corporate Services.

Duly completed

Action 4: Vice Principal, Finance and Corporate Services
Audit Committee's Annual Report to the Board of Governors
To amend the report to say that the Chair of the Board of Governors also is in attendance at meetings, although not a member of the Audit Committee.

Duly completed

Action 5: Vice Principals, Finance and Corporate Services/ Learning and Attainment/Performance and Improvement.
Strategic Risk Register
To amend the register to reflect feedback from the committee.

Duly completed

West Lothian College

Action 6: Vice Principal, Performance and Improvement
Strategic Risk Register
To look into the possibility of board members having access to the college's IT/cyber security training materials.

Duly completed

Action 7: Principal and Chief Executive
Audit Scotland – Guide for Audit and Risk Committees
Responses to the questions would be taken forward by the management team and the Principal would give an update at the March 2021 audit meeting.

Duly completed

Action 8: Board Secretary
Any Other Business
To have IT as a standing item on future agendas and the Information Systems and Digital Infrastructure Manager to be invited to the Audit Committee meetings.

Duly completed

Action 9: Board Secretary
Review of Meeting and Development Plan and Supporting Papers
To agree if the committee could visit the sports area or whether this would be an online visit.

Duly completed

Health and Safety Quarterly Report

October to December 2020

Author: Emily Purdie, Health and Safety Officer
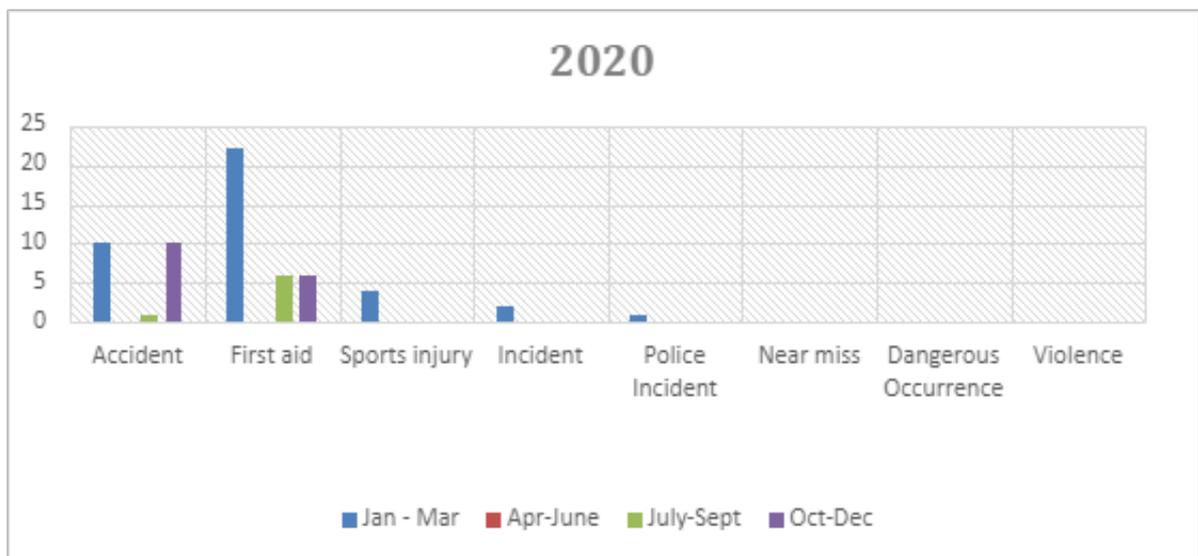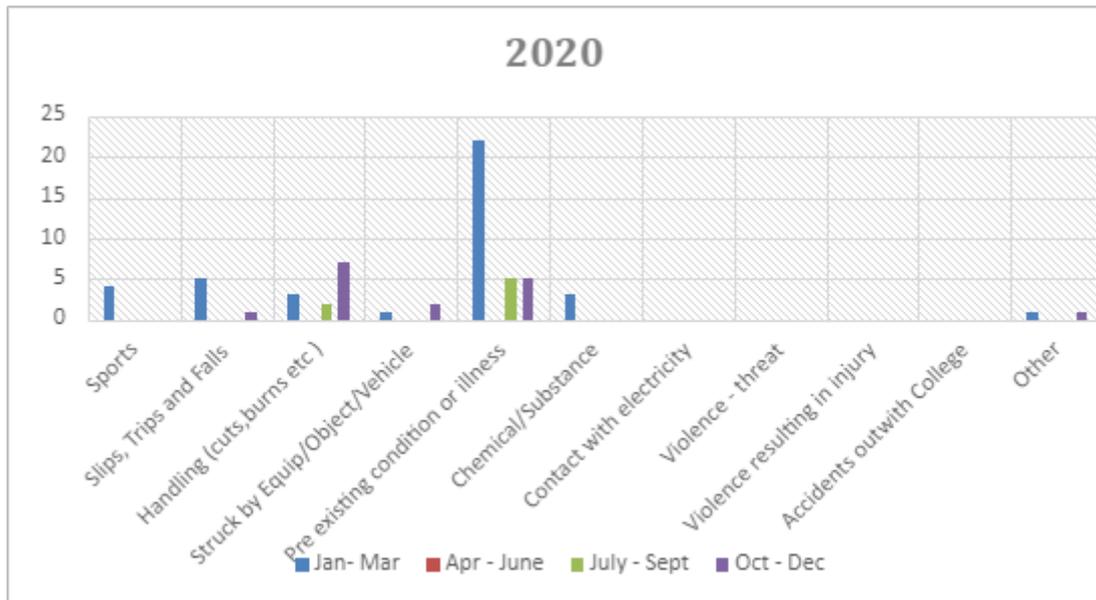
Date: Jan 2021

Introduction

Health and safety activities this quarter concentrated on keeping up to date with COVID19 restrictions and guidance from the Scottish Government. The changes to restrictions meant we moved from blended learning to restricted blended learning during this period. There was still a requirement to delivering further Display Screen Equipment (DSE) advice to staff working from home. We continued to provide additional support to the NHS track and protect team and Health Protection Scotland by tracking positive and self-isolation cases in college and reporting to Scottish Government.

A number of our standard reporting items such as consultations and internal audits have not progressed due to the impact of COVID19 restrictions.

Accidents, Incidents, Near Misses and Investigations

With the return of limited numbers of students and staff onto campus, first aiders are on a rota when on campus so the college has a first aid provision even with reduced numbers on site. First aiders and duty managers were provided with extra PPE and training to deal with first aid during the coronavirus pandemic. 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. There were 16 HSF1 forms returned in this period. Each report is fully investigated by the college health and safety officer. Appendix 1 shows details of all investigations during this period.

2020

Chart legend: Jan- Mar, Apr - June, July - Sept, Oct - Dec

Categories: Sports, Slips, Trips and Falls, Handling (cuts, burns etc), Struck by Equip/Object/Vehicle, Pre existing condition or illness, Chemical/Substance, Contact with electricity, Violence - threat, Violence resulting in injury, Accidents outwith College, Other

Policies and Procedures

All policies and procedures are currently being updated to incorporate the new management structure and any relevant changes which have come into force as a result of the post COVID19 risk assessment.

Risk Assessment and Staff Guidance

The post COVID19 risk assessment is very much a live document which is reviewed and revised as changes come into force.

We continue to record self-isolation or positive cases of staff and students on campus. This information is submitted by the member of staff or student to a dedicated online COVID19 form or by email to designated email address. The cases are investigated using the Health Protection Scotland (HPS) tracking risk assessment form to determine what areas they last worked in, when they were last in college, how the room or building is set up, if a case is community or college transmitted who has been contacted by Trace and Protect. Discussions then take place with HPS to determine if cases are part of an outbreak and, if required, implement the joint HPS and college outbreak plan.

We attend weekly meetings with HPS and other colleges/universities, any cases are discussed with a view to agreeing best practice across all institutions

There have been 70 students and 19 staff recorded as being in self isolation since September 2020. A total of 30 tested positive for COVID19 up to the end of December, this included 23 students and 7 staff. There have been no links to the college as a result of a person testing positive.

A weekly COVID19 communication has continued to be sent to staff jointly by HR and estates. This highlights any changes in guidance due to the ever-changing situation in the pandemic or any changes within the college that are relevant. Regular updates are also communicated via social media and website platforms.

Scheduled Events

Fire evacuation - The pandemic has delayed the testing of the fire evacuation drill, after risk assessing the situation it was decided to carry out a table top evacuation exercise. Staff were informed that the drill would be to test the fire evacuation alarm for staff and students to be familiar with the alarm sound. There would be no physical group evacuation to prevent large groups conversing in car parks where social distancing would be harder to police. Lecturers and managers were then tasked with ensuring staff and students were familiarised with the fire exits, refuge points and assembly points by escorting them throughout the day.

A health and safety committee meeting took place in December and the following was discussed:

- Mental health volunteers to go on a mental health first aiders accredited course
- Lone working training for the new student association staff
- Maxi Construction's appointment as the main contractor for the new mezzanine floor project in the construction and engineering workshop
- Annual Silver Healthy Working Lives submission being compiled.

The health and safety officer and head of estates attended the Lothian and Scottish Borders and West Lothian Contest group meeting with a session held by The Scottish Government to go over the contest threat annual overview. The UK's terrorism threat level has increased to SEVERE – meaning an attack is highly likely.

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:

Health and Safety Committee	
Last HS&E Committee meeting was held on	9th December
Minutes from meeting have been posted on iShare	Yes
Action points against H&S Officer currently outstanding	0
Next meeting scheduled for	3rd March 2021
Employer's Liability Insurance	
Zurich Employers Liability Insurance	Expires in August 2021

Interventions	
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
Risk assessments	
Number of risk assessments due for review	All risk assessments to be reviewed once back from lockdown based on new guidance
Number of new Risk assessments (RA).	1x Maternity RA 4 x Disability reasonable adjustments RA 3 x Display Screen Equipment (DSE) homeworking assessment Fire Test evacuation RA
Number of generic risk assessments due for review	All due for review by H&S officer
Fire Risk Assessment	
Fire Risk Assessment in place	Yes
Review Date	October 2021
Health and Safety Policy	
Policy Statement approved by	Jackie Galbraith
Next Review date	May 2021
Responsibilities currently unassigned	0
Health and Safety Procedures	
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
Fire Safety Actions	
Outstanding actions related to fire inspection	0
Overdue actions related to fire inspection	0
Last emergency evacuation drill (daytime)	5th November 2020
Last emergency evacuation drill (evening)	5th November 2020
Next emergency evacuation drill (daytime)	April 2021
Next emergency evacuation drill (evening)	April 2021

Display Screen Equipment (DSE) Homeworking

Staff continued to require additional support with DSE home workstation and equipment set up. The health and safety officer completed her advanced DSE assessor training which allowed her to provide more specialist advice to staff and understand the benefits or different equipment available.

258 members of staff are registered as home working, to date 205 staff have completed their assessments. Line managers have been contacted to encourage staff to complete the process.

Staff Experience Group

The Staff Experience Group continued its good work during this quarter and included the following initiatives to support staff.

Under Health and Wellbeing the focus of the Staff Experience Group was:

- free flu vaccination vouchers distributed
- a 'Healthier You' virtual online group created to support and maintain health and wellbeing habits,
- a stress Awareness Day marked by a virtual mind and body fitness session delivered by Sports Lecturers
- World Kindness Day

Under Smarter Working the focus of the Staff Experience Group was

- To circulate various ideas and techniques to support staff to work productively at home
- to use technology effectively to manage workload in relation to email use, sharepoint and how to organise electronic file structures

Under College Community the focus of the Staff Experience Group was

- the continuation of the College Book Club
- Christmas events organised for a college-wide Christmas quiz
- Christmas Jumper Day which fundraised for Save the Children

People Development

The college continues to see positive engagement with the mandatory staff training with the expectation being that all staff will complete the e-learning suite by the end of the current academic year. There are specific sections covering individual's responsibility around health and safety.

During this quarter there has been face to face delivery of Emergency First Aid at Work which was at the direct request of the health and safety committee with a requirement that all members of the College Leadership Team undertake this qualification. The delivering lecturer for first aid training continued to provide this training adopting all guidelines for COVID19 safe training could whilst maintaining social distancing.

Various on-line training took place as the need arose, this included toolbox talks on counter terrorism, lone working and emergency evacuation.

A new evening technician was appointed within the estates team, given the nature of this role and the fact the post holder is lone working at the end of the evening, a suite of training was delivered to this new employee to cover all health and safety aspects in relation to the college estate as well as covering all tasks specific to the role.

Changes to Legislation/Guidance/Building Changes

HSE issued updated guidance on Ventilation and air conditioning as a result of the pandemic. This has been reviewed by the estates team to ensure compliance.

The college appointed a project management team to develop plans for additional workspace in the skill centre. During this period and we invited companies to tender for the work. As a result of this we appointed Maxi Construction as the main contractor for this project. To comply with Construction Design Management (CDM) regulations we also appointed specialists who report to the project manager to ensure full compliance.

Consultations and Internal Audits or Walk round inspections

Due to the lack of activity in the college no consultations, audits or inspections were carried out.

Summary

As this report details, we continue to offer support in all aspects of health and safety to all stakeholders. As we get ready to enter into 2021 we see keeping up to date with all Scottish Government changes continuing to be the main focus for everyone in the college. The estates team will continue engaging with health professionals, with other colleges, suppliers and with cross college colleagues to ensure we are complying with changing guidance and supporting curriculum staff in any way possible to help students deal with blended learning.

Appendix 1 – Health and Safety Officers Investigation Findings

	Date	Accident/ Incident/near miss	HSF1 Detail	Investigation
01	01/10/2020	First aid	Student self-harmed and required first aider to provide bandage for forearm.	Student referred to SFL for additional support
02	07/10/2020	First aid	Student passed out in corridor, lecturer called for a first aider, they attended, an ambulance called, student was taken to hospital.	Care plan in place
03	08/10/2020	Accident	Student burnt hand, first aider attended and cold compress applied for 10 mins	No further action required
04	08/10/2020	Accident	Student cut finger when drying a knife	No further action required
05	08/10/2020	Accident	Student tripped on metal cycle bars. First aider attended, student taken home by family then to hospital with suspected broken nose.	Student has suspected broken nose. CCTV cameras show students playing on metal bar and slipping
06	21/10/2020	Accident	Student cut finger, first aider attended. Pressure and plaster applied to stop bleeding.	No further action
07	26/10/2020	Accident	Student burnt hands on tongs. Ran under water for 10 minutes to cool burn.	No further action
08	02/11/2020	Accident	Student cut top of left leg with stanley knife in workshop. First aider attended and wound cleaned and dressings supplied to cover cut.	Knife slipped when using.
09	04/11/2020	Accident	Student was working on a car, a fellow student switched on the air compressor and the air from the compressor hit their face. First aider attended, student had tingling on his face, ringing in his ears and felt dizzy but was ok when first aider left. Advised to see GP if necessary	All students had been trained on the equipment. Moving forward it can be prevented from happening again as this equipment is now locked away and must be used under supervision.
10	12/11/2020	First aid	Student took a seizure, first aider attended and ambulance called	Student has a care plan in place

11	18/11/2020		First aid	Student took a panic attack. First aider stayed until breathing was settled and felt much calmer. They did not return to class and was collected by a family member	No further action
12	26/11/2020		Accident	Student was using a saw and it slipped when cutting wood. Finger was cut and bleeding. First aider attended and finger dressing applied	Schools officer contacted
13	26/11/2020		Accident	Student was on placement and a child knocked a toy in their eye. They applied an eye bath as eye was swollen and scratched. Student went to optician.	Returned to placement eye ok
14	03/12/2020		First aid	Student took a seizure. First aider attended and ambulance called. Student taken to hospital	No further action
15	08/12/2020		First aid	Student had pain in knee after twisting it going to the bin. First aider attended and applied ice pack. was called back after as still in pain, advised to go to A&E to check but didn't want to so went home in taxi	Student returned to placement
16	09/12/2020		Accident	Student cut finger while chopping, first aider attended and plaster applied	No further action

Health and Safety Annual Report

2020

Author: Emily Purdie, H&S Officer

Date: January 2021

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.

This year was exceptional due to the Coronavirus pandemic meaning we all had to adapt to different ways of working, communicating and there was ever shifting priorities. Many of the regular activities could not be performed due to lockdowns, working from home, blended learning and restricted blended learning. The pandemic meant focusing on the health and wellbeing of staff and students alike and this took precedence in 2020.

We continued 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 - Homeworking
- HR and People Development (previously Learning and Development)
- 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 our 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, learning is shared and any necessary improvements are put in place.

In 2020 sixty-one HSF1 Forms were completed in relation to accidents/incidents and near misses, in 2019 it was higher at one hundred and three, but this is not a useful comparison due to lockdowns and student learning mainly moved to online.

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 2020 there were no reported cases to Health and Safety Executive (HSE) to comply with RIDDOR,

Annual Data Collection 2013-2020

	2013	2014	2015	2016	2017	2018	2019	2020
Injured during sports activity	5	2	8	8	7	7	5	4
Slips, Trips and falls	4	5	2	11	15	14	15	6
Handling (cuts burns etc)	3	5	15	22	31	19	18	12
Struck by Equip/Object/Vehicle	1	0	1	3	10	13	7	3
pre existing condition or illness	0	0	0	0	21	37	42	32
Illness	4	8	26	19	21	0	0	
Chemical/Substance	0	0	0	0	3	2	0	3
Contact with Electricity	0	0	0	1	0	3	0	0
Violence - threat	0	0	0	0	2	1	2	0
Violence - injury	1	0	1	0	5	2	2	0
Accidents outwith College	0	0	2	8	0	1	1	0
Others	2	1	2	3	14	8	11	1
	20	21	57	75	129	107	103	61
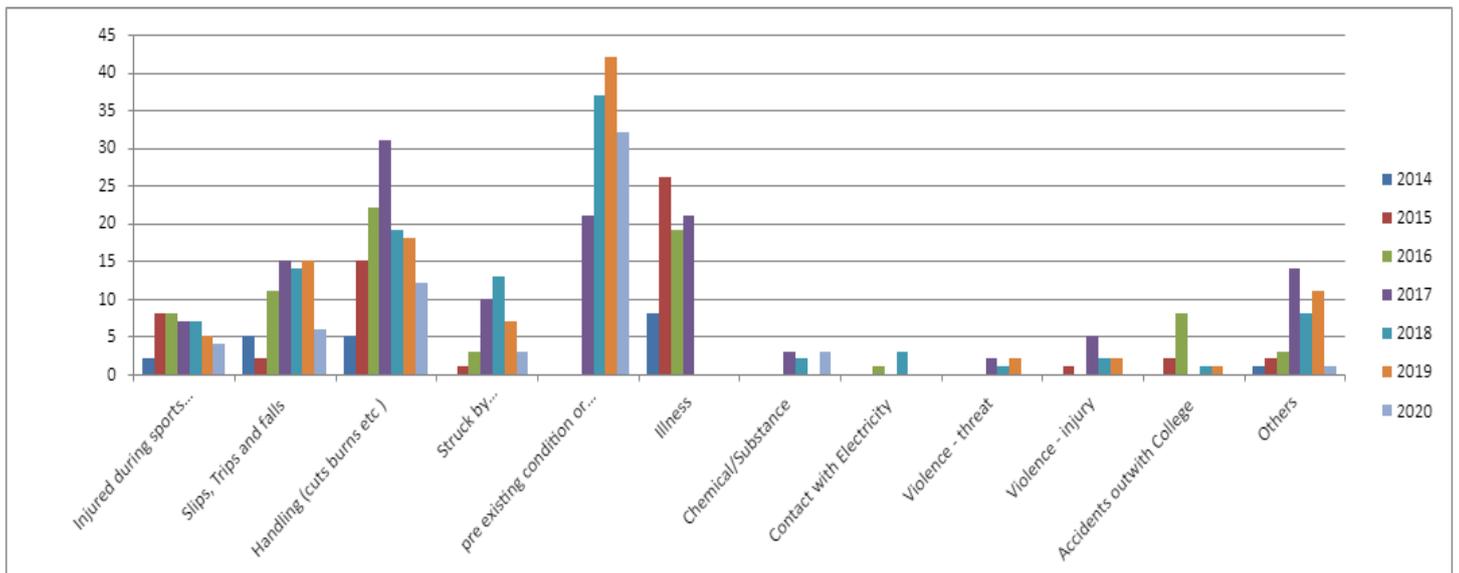
Health and Safety Management

The college is required to ensure 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:

Health & Safety Committee	
Last HS&E Committee meeting was held on	9th December 2020
Minutes from meeting have been posted on iShare	Yes
Action points against H&S Officer currently outstanding	None
Next meeting scheduled for	3rd March 2021
Employer's Liability Insurance	
Zurich Employers Liability Insurance	Expires on August 2021
Interventions	
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
Risk assessments	
Number of risk assessments due for review	All risk assessments to be reviewed once back from lockdown based on any new guidance
Fire Risk Assessment	
Fire Risk Assessment in place	Yes
Review Date	October 2021
Health and Safety Policy	
Policy Statement approved by	Jackie Galbraith
Next Review date	May 2021
Responsibilities currently unassigned	0
Health and Safety Procedures	Review Date
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

Fire Safety Actions	
Outstanding actions related to fire inspection	0
Overdue actions related to fire inspection	0
Last emergency evacuation drill (daytime)	5th November 2020
Last emergency evacuation drill (evening)	5th November 2020
Next emergency evacuation drill (daytime)	April 2021
Next emergency evacuation drill (evening)	April 2021

Policies and Procedures

All policies and procedures have been reviewed and updated to incorporate the new management structure and COVID19 guidance.

Scheduled Events

The start of the Pandemic in March brought about the activation of the business continuity pandemic plan.

The Strategical Direction Team (SDT) decided to close the campus prior to the lockdown announcement in March and since this time have been following the Scottish Governments COVID19 advice and guidance. Weekly meetings have taken place to discuss any changes in that week and how this will impact staff and students, with updates communicated via email and social media platforms.

The health and safety committee met online on a quarterly basis throughout the course of the year. The health and safety meetings were opened up to all members of staff to allow them to give input at the meetings, the first one was attended by a construction lecturer from the Computing, Engineering and the Built Environment.

The members of the health and safety committee are:

Vice Principal, Finance and Corporate Services – Jennifer McLaren (Chair)
Faculty Director Representative – Graham Clark
Head of Estates and Sustainability – Paula White
Health and Safety Officer – Emily Purdie
HR and People Development Representative – Stuart Thomson
First Aid Coordinator – Daniel Evans
Learning and Development Officer– Julia Simpson
One representative from each of the two recognised Trade Unions – Colin Hamilton (UNISON) Charlotte Ates (EIS).

The emergency evacuations did not go ahead as scheduled due to the Pandemic however a table top exercise was carried out in December to test the sound of the alarm and to give staff and students the opportunity to walk to fire exits and assembly points, this was done in a socially distancing manner and not all at once as to prevent crowding.

The estates team carried out a visit to Forth Valley College to see the new build, and were given an opportunity to see behind the scenes in the kitchens and workshops. The health and safety officer also made various contacts within the college to share good practice on health and safety and to set up memorandums of understandings for shared services in the event of evoking Business Continuity plans.

College Development Network (CDN) meetings during the year proved to be invaluable. Health and safety professionals from within the college sector were able to share best practice during the rapidly changing updates to guidance during the pandemic.

Representatives from the HSE and Healthy Working Life also attended these meetings providing regular updates as well as discussing current issues with college representatives.

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 and 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 2020

Statutory Compliance Testing	Date of last check	Date of next check
Air conditioning maintenance	Oct 20	Apr 21
Automatic door servicing	Nov 20	May 21
Boiler (gas, coal, oil) servicing and flue extraction	Aug 20	Jan 21
Dust extraction	Oct 20	Jan 21
Emergency lighting maintenance	Jan 21	Feb 21
Extract fan/canopy cleaning, testing & sterilising	July 20	July 21
Fire alarm maintenance	Oct 20	Feb 21
Firefighting equipment testing	Nov 20	Nov 21
Fixed electric installation testing	Jul 20	Jul 21
Fume cupboard testing	Jan 20	Jan 21
Gas installation testing, Kitchens	Oct 20	Apr 21
Hoist testing, 2 post & 4 post car lifts	Feb 20	Aug 21

Intruder alarms	Jan 21	Sep 21
Lift Maintenance	Jan 21	Apr 21
Portable Electrical Equipment	Jan 21	Feb 21
Uninterrupted electric power supply maintenance	Jul 20	Jul 21
Water hygiene inspection and monitoring (Legionella)	Jan 21	Feb 21
Hair and Beauty equipment	Jul 20	Jul 21
Pavilion C Fume cupboard	Mar 20	Mar 21

Display Screen Equipment (DSE) – Home working

As an employer, the college must protect staff from the health risks of working with display screen equipment such as PCs, laptops, tablets and smartphones. The Health and Safety (Display Screen Equipment) Regulations 1992 apply to workers who use DSE daily. Due to the ongoing pandemic staff suddenly had to work from home at short notice, the college added a homeworking module to the system so we could assess staff in their home workstations. A budget was allocated for any actions that arose from these assessments e.g. to purchase chairs, laptop risers etc and the health and safety officer also trained as an advanced DSE assessor to be able to provide more specialist information and support for staff working from home.

HR and People Development Activities – Staff Experience Group

We believe the staff experience is important so we enjoy coming to work and we can have a working environment in which we're inspired. While we have given a quarterly update in in the October-December 2020 report, to fully appreciate everything we have done to support staff throughout 2020 please click on the following link:

Sway summary of Staff Experience: https://sway.office.com/ag3tCTcdO6jb16Cb

Despite the challenging year the college has continued to ensure that all staff are adequately trained around matters relating to health and safety.

The implementation of the Staff Mandatory Training through our virtual learning environment (Moodle) ensures that all staff receive the same basic level of health and safety training and progress of this training can be monitored at line manager level. All staff are being encouraged to complete this training including any that are furloughed as training is acceptable when staff are in that position.

The adaption of the first aid delivery training to ensure that it could be delivered in a COVID19 safe environment has ensured that, even with the campus being open at times with minimal staff and students, a qualified first aider provision could still be maintained throughout the pandemic.

In January 2020 it was reported that the college, through its shared services partnership with West Lothian Council, would have access through iTrent to the Learning and Development module. This module will improve tracking of learning and development around all activities in addition to health and safety training. The proposed date for implementation by West Lothian Council for this module had been planned for December 2020. Due to the pandemic this has been delayed, however, it is expected that this will be implemented during the academic year 2021/22.

Changes to Legislation/Guidance/Building Changes

HSE announced that EH40/2005 has been updated to include new and revised Workplace Exposure Limits (WELs) for carcinogenic substances.

HSE issued updated guidance on Ventilation and air conditioning during the Coronavirus pandemic.

HSE released a revised guide on the management of metalworking fluids (MWF). The guide shows good practice for safe handling and disposal of metalworking fluid. It also provides a guide on how to maintain MWF to prevent ill-health in machine workshops All guidance was passed to the relevant teams to consider any actions which may be required as a results of the revision.

The college appointed a project management team to develop plans for additional workspace in the construction and engineering workshop. We invited companies to tender for the work and appointed Maxi Construction as the main contractor for this project. Maxi took over the workshop on 4th January with a view to complete the work by the 31st March. At this time we are aware there could be delays to this project if restrictions tighten again. To comply with Construction Design Management (CDM) regulations we also appointed specialists who report to the project manager to ensure full compliance with the regulations.

Earlier in the year we constructed two additional accessible toilets in the pavilion buildings as a result of stakeholder feedback. Still within the pavilions we added a new cyber security lab which came about as a result of the success of the first cyber lab which was introduced at the start of the 2019 new academic year.

Consultations and Internal Audits or Walk rounds

Walk around and audits are performed by the health and safety officer and unions. The scheduled audits were only able to take place the first quarter of the year and all others were postponed due to the pandemic.

Walk round inspections were carried out in Pavilion A and B and there are no outstanding actions.

Smoke Free Campus

The decision was taken to make the college a smoke free campus with the return to students and staff to campus after lockdown. This stopped numbers accumulating on college grounds and help to reduce COVID19 transmission.

Summary – Future Developments

We intended on visiting more colleges to understand their systems and processes and to develop a strong network of support. Forth Valley College was the only one we were able to go to due to the Pandemic, once it is safe to do so this activity will continue.

As the college went through a full restructure during 2020, we plan to work with each new faculty to review all health and safety documentation to ensure the new management teams understand and take ownership of all documents,

The year ahead looks to be filled with many more challenges due to the pandemic, we will continue to address these issues as they arise ensuring we follow government guidance. Home working and online learning will be continued for a while yet and our continued focus for 2021 will be the health and safety of all members of staff and students within West Lothian College.

West Lothian College

Audit Committee

INTERNAL AUDIT REPORT: CYBER SECURITY

Internal Audit has undertaken a review of cyber security as part of the 2020-21 internal audit programme. The review considered the effectiveness of the college's cyber security approach in relation to cyber risk management and user education and awareness activities.

Assurance has been gained that, in general, the college's operational cyber security procedures reflect good practice and are designed to maintain the confidentiality, integrity and availability of the college's information assets.

Four recommendations have been made which have been accepted by management.

Action

The committee is asked to comment on the report.

Jennifer McLaren
Vice Principal, Finance and Corporate Services
4 March 2021

West Lothian College

Internal Audit Report 2020/21

Cyber security

January 2021

West Lothian College

Internal Audit Report 2020/21

Cyber security

Audit Sponsor	Key Contacts	Audit team
Jennifer McLaren, Vice Principal - Finance & Corporate Services *Simon Earp – Vice Principal, Performance and Improvement*	*Bill Dunsmuir, Head of Information Systems and Digital Technology* *Brian Smillie, Digital Technology Manager*	*Paul Kelly, IT Audit Director* *Mitchell Collins, IT Audit Manager* *Emily Barker, IT Internal Auditor*

Executive Summary

Conclusion

We have gained assurance that, in general, the College's operational cyber security procedures reflect good practice and are designed to maintain the confidentiality, integrity and availability of the College's information assets. The IT shared services agreement with West Lothian Council allows patch management compliant with Cyber Essentials requirements, and monthly vulnerability scanning on the College's server estate.

We have noted areas for improvement, which, if implemented would enhance the College's cyber maturity. To provide greater assurance over cyber security risks and to support corporate risk governance processes, a cyber security risk governance framework should be established. This should include an overarching cyber risk management policy, in addition to a cyber security risk register and associated action plan.

In addition, changes to systems and services as part of projects and vulnerabilities identified through regular scanning should be assessed for cyber security risks, with risks identified being included within the College's cyber security risk governance processes.

Background and scope

Cyber-security represents a significant risk for organisations and regularly features on corporate risk registers. It is essential that organisations take appropriate precautions to minimise the risk and impact of a cyber-security incident. The UK government has produced several pieces of guidance for public and private sector bodies, including the 10-steps to Cyber Security documentation set. Two key pillars of that guidance relate to risk management and user education and awareness.

Organisations need to ensure that, when introducing new technology, they have appropriate processes and controls in place which provide assurance that minimises the risk of data theft/loss and the damaging publicity that goes with such incidents. Similarly, it is essential that organisations identify and address cyber security risks associated with existing technology and processes. As a result, organisations should have established processes which aim to ensure that new technology is accredited before being implemented in the live environment.

This should form part of a governance framework which sets out roles and responsibilities for cyber-security related matters and the supporting risk management and governance arrangements. It should also ensure that risk management activities ensure ongoing assessment of risks and threats to existing technology and processes. In addition, it is important that staff are provided with appropriate training to ensure that they are aware of and respond appropriately to Cyber security risks.

The review considered the effectiveness of the College's cyber security approach in relation to cyber risk management and user education and awareness activities.

Control assessment

1. A robust cyber risk management and governance framework has been established and implemented which considers risks to the college's information assets.
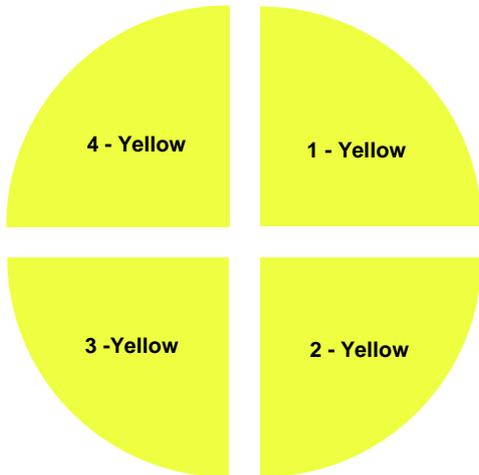
2. Cyber-related risks to information assets which emanate from projects and changes to business as usual activities are identified, recorded and managed appropriately.

3. There are adequate controls to detect and address new and emerging cyber-related threats/vulnerabilities to information assets from existing technologies.

4. There is adequate education and training provided to staff to raise and maintain awareness of cyber security risks and procedures

Improvement actions by type and priority
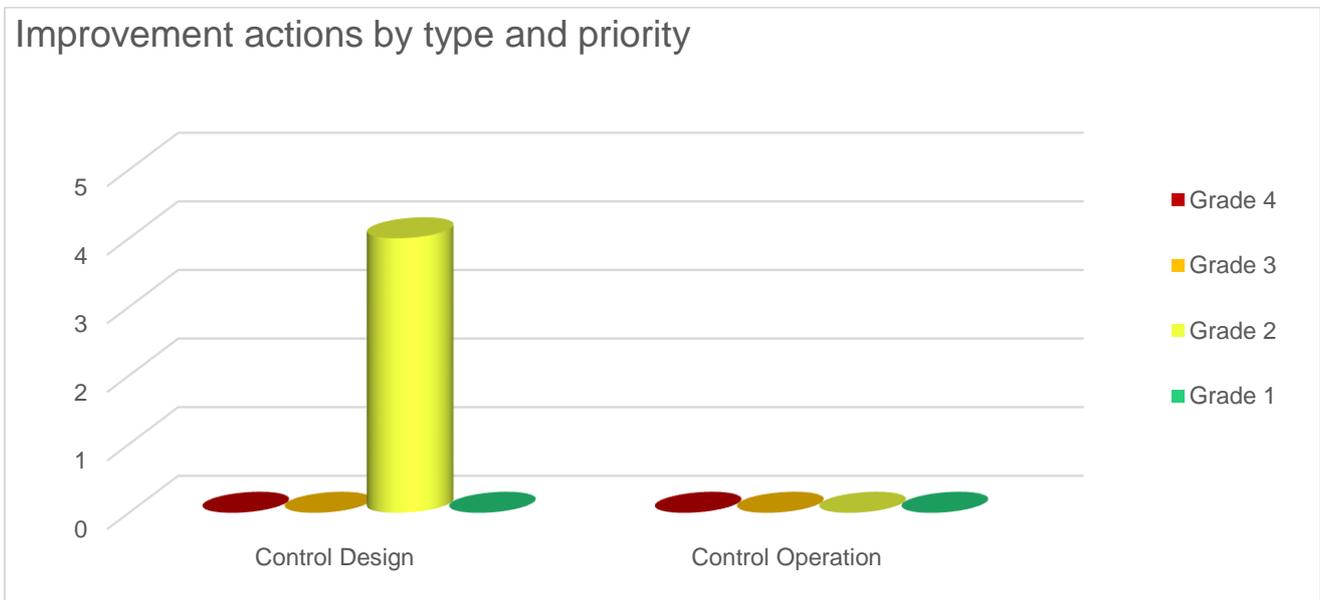
Four improvement actions have been identified from this review, all of which relate to the design of controls themselves. See Appendix A for definitions of colour coding.

Key findings

Good practice

We have gained assurance that the College's procedures reflect good practice in several areas:

- The College's internal and external server estate is subject to monthly vulnerability scans, as part of the shared services agreement with West Lothian Council.

- The College receives threat intelligence from multiple sources, which are considered and tailored to apply directly to the College's threat landscape.

- Mandatory cyber security training has been developed and implemented, which must be completed by all staff on an annual basis.

Areas for improvement

We have identified several areas for improvement which, if addressed, would strengthen the College's control framework. These include:

- Establishment of a cyber security risk governance framework, to manage cyber security risks. The framework should be developed to include a risk management policy, a cyber security risk register, and an associated action plan for mitigation of identified risks.

- Completion of cyber security risk assessments for new projects, with results being integrated into the College's cyber security risk management processes.

- Extension of the College's vulnerability management process, to include authenticated vulnerability scanning of end-user devices and penetration testing of the environment. The process should allow regular identification and remediation of internal and external security vulnerabilities using a vulnerability scanning tool.

- Creation of a cyber security section on the Staff Zone for staff to access materials on cyber threats and associated guidance.

Acknowledgements

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

Management Action Plan

Control Objective 1: A robust cyber risk management and governance framework has been established and implemented which considers risks to the College's information assets.

Yellow

1.1 Cyber risk governance framework

There is a corporate governance risk framework within the College, which includes a risk register and a high-level cyber security risk. Risks included within the corporate risk register are reviewed and updated each quarter, through the Board of Governors.

Our review identified that, although there is a risk governance framework in place for the College, cyber risks are not managed using a cyber risk governance framework. There is not currently an overarching cyber risk management policy, which details how cyber security risks should be identified, managed, and monitored. A cyber security risk register and associated action plan are being developed; however, this has not been developed using output from formalised cyber security risk assessments and has not been tailored to the College's threat landscape.

Risk

Without risks being considered and managed at a strategic, tactical and operational level, there is a risk that senior management and the Board of Management will not have appropriate oversight of the College's cyber security risks, nor will it be clear how IT projects, which include email security and firewall upgrades, are working to mitigate identified risks. This may result in actions and investments not being prioritised, increasing the risk that vulnerabilities are exploited.

Recommendation

We recommend that cyber security risks are governed at a strategic, tactical and operational level, in line with the corporate risk management framework, and to allow appropriate identification, management, and monitoring of cyber security risks. A cyber security risk management policy should be developed, which determines and clearly expresses the College's risk tolerance as quantifiable measures for acceptable risk. This standard should be used when performing risk assessments, which will ultimately inform policies.

It would be beneficial to perform risk assessments of the College's cyber security threat landscape using the National Cyber Security Centre (NCSC) risk management guidance to help make decisions about cyber security risk. This guidance includes information on risk assessment techniques, including aligning risk assessments to best practice frameworks. The college should consider using risk assessment guidance, such as the cyber / information risk assessment requirements within the Scottish Public Sector Cyber Resilience Framework.

Risk assessments should be conducted on an annual basis or when significant events impact the College's risk landscape, such as replacing a system (*see MAP 2.1*) or a change in the cyber security threat. Outputs from risk assessments should be detailed against a cyber security risk register, which includes a title, risk description, impact, likelihood, ownership, and completion times. Cyber security risks should be linked to action

plans and cyber security projects, to ensure consistency of information across sources and appropriate risk governance.

To support the monitoring of cyber security risks, those individuals with responsibility for cyber security risk management should meet regularly to discuss cyber security risks and progress against the associated action plans.

Management Action

Agreed.

By July 2021, the College working in collaboration with an external supplier, JISC (Joint Information Systems Committee) and West Lothian Council, will develop and implement a cyber risk governance framework, cyber security risk management policy with accompanying risk register including a review cycle implemented quarterly.

Action owner: Head of Information Systems and Digital Infrastructure   **Due date:** 31 July 2021

Control Objective 2: Cyber-related risks to information assets which emanate from projects and changes to business as usual activities are identified, recorded and managed appropriately.

Yellow

2.1 Cyber risk management within projects

The College has a three-year rolling project plan defined for improvement projects to information systems and digital strategy. These projects include cyber security projects, including firewall upgrades, email security upgrades and patching for servers. These projects are in place to mitigate cyber security risks to the College; however, these are not currently linked to a cyber security risk register.

The Information Systems Review Group meets fortnightly, to support project implementation, and ensure that security is considered throughout the project lifecycle. The Group includes membership and attendance from the Information Systems and Digital Technology department, to ensure that the department is informed of new services being considered within the College. However, our review identified that new services and applications do not undergo structured risk assessments as part of implementation.

Risk

There is a risk that, if there is not a process in place to assess the security risks of all projects, cyber security risks will not be identified and managed appropriately, in line with the cyber risk governance framework development (*see MAP 1.1*).

Recommendation

A risk assessment of new systems should be completed for any project that will, or has the potential to, impact confidential information being processed within the College. This risk assessment should align with the College's cyber risk governance framework (see MAP 1.1), with risks identified feeding into the cyber risk register and associated action plan. Cyber security responsibilities should be defined and allocated to specified roles defined in the project management methods, to ensure risks are managed throughout the lifecycle of the project.

Grade 2 (Design)

Management Action

Agreed.

By March 2021 a Cyber Risk Technical Assessment (CRTA) will be commissioned which will be compliant with NIST (National Institute of Standards and Technology) Cyber Security Framework (CSF). The report will be used to assist the development of risk assessment procedures and documentation to be used in new system and project implementations.

Action owner: Head of Information Systems and Digital Infrastructure   **Due date:** 31 July 2021

Control Objective 3: There are adequate controls to detect and address new and emerging cyber-related threats/vulnerabilities to information assets from existing technologies.

Yellow

3.1 Extended vulnerability management

The College identifies risks, threats, and vulnerabilities through several external threat sources and feeds. Threat intelligence sources include membership of the Cyber security Information Sharing Partnership (CiSP) and weekly Higher Education/ Further Education Shared Technology & Information Service (HEFESTIS) Threatscape newsletters. These newsletters provide updates on the information security landscape, with a focus on Universities and Colleges, in addition to providing ad-hoc updates of emerging threats, exploits, and scams. Threat sources also include Scottish Colleges Information Leaders (SCIL) meetings and vendor updates.

Monthly vulnerability assessments are conducted on the College's internal and external server estate, as part of the shared services agreement with West Lothian Council. Sophos anti-virus is configured on all endpoints, and patching of Windows devices is automated through Microsoft Endpoint Configuration Manager. However, the vulnerability scanning does not extend to end-user devices.

The College is working towards Cyber Essentials Plus certification, which requires penetration testing to be completed. However, the College is yet to designate dates for penetration tests to be completed.

Risk

If vulnerability management, including penetration testing, is not conducted across the entire College estate, attackers could exploit vulnerabilities to gain unauthorised access to College systems, disrupt business operations and steal or leak sensitive data. If this were to occur, it could result in significant financial penalties, as a result of data protection breaches, and a lack of trust amongst service users.

Recommendation

We recommend that the College extends their vulnerability management processes, to include end-user devices. Authenticated scans on both internal and external devices should be performed every month.

Management should consider staff with security responsibilities as part of their roles meeting to conduct 'vulnerability triage'. This group should meet once a vulnerability assessment has been performed, to triage all vulnerabilities found. The triage process should divide the vulnerabilities identified into three categories: Remediate, Acknowledge and Investigate. Vulnerability remediation should be prioritised by concentrating on issues that are accessible to the largest number of potential attackers, and those issues that would have the largest impact if exploited.

Any high-risk vulnerabilities that are identified and cannot be fixed following the established vulnerability management process, must be detailed on the Cyber risk register, with clear mitigation strategies/ action plans identified where possible (*see MAP 1.1*).

Penetration tests should be scheduled on an annual basis, in line with Cyber Essentials Plus requirements. Vulnerabilities identified through penetrations tests should be managed through the vulnerability triage process.

We also recommended that penetration testing and vulnerability scanning should be performed whenever there is the launch of a new, or updated, public-facing web-based service.

We also recommend that a deadline is agreed for achieving Cyber Essentials Plus accreditation with progress monitored by management.

Management Action

Grade 2 (Design)

Agreed.

By end February 2021 the college will evaluate the use of F-secure and receive a quotation for services, providing scanning tools for end user devices connected to the College LAN (Local Area Network).

By the end of February 2021, the College will have discussed and agreed on a date for Cyber Essentials Plus accreditation.

By end March 2021 an outcome of the CRTA (see 2.1) – we will identify overall status of vulnerability management, penetration testing and other existing controls. Actions from CRTA will then be undertaken.

Action owner: Digital Infrastructure Manager   **Due date:** 31 July 2021

Control Objective 4: There is adequate education and training provided to staff to raise and maintain awareness of Cyber security risks and procedures

Yellow

4.1   Cyber security awareness

In October 2020, the College mandated cyber security training for all staff, with this to be completed on an annual basis. Line managers and HR Business Partners can monitor completion rates of mandatory training modules. Learning and Development will also monitor this from a College perspective, to identify those who have not completed mandatory training. All new starts are provided with the acceptable use policy and must complete mandatory training modules within four weeks of starting their role, in addition to policies and procedures being explained as part of employee induction. Due to the training completion date not being until June 2021, formal escalation processes are yet to be utilised within the organisation.

Within the College, emails are sent to all staff to raise awareness of current cyber threats, as well as cyber awareness posters. However, there is no dedicated resources section on the intranet or network for staff to access materials on cyber threats and associated guidance.

Risk

Without centralised awareness of cyber security threats, staff may be unaware of how best to protect the College's information assets from attack. This could increase the risk of a successful cyber-attack, and lead to financial and reputational damage.

Recommendation

We recommend that a cyber security section is established on the Staff Zone (hosted on SharePoint's ishare) This section should provide clear guidance on how to protect against current threats. To support this guidance, further links to advice and information from the National Cyber Security Centre (NCSC), and other reputable sources, should be included. Training resources provided by HEFESTIS should also be placed here.

We also recommend that there is ongoing monitoring of completion rates for mandatory cyber security training to ensure that all relevant staff have completed this by the June 2021 deadline. Information on progress should be shared with line managers monthly and those with low completion rates should be asked to remind staff to complete this promptly.

Management Action

Agreed.

By February 2021 a new area will be created within the Staff Zone section of the College's SharePoint site – labelled Cyber Security - which will be maintained with regular and appropriate governance updates, publications, advice and tips.

Staff will be signposted to relevant updates using a range of communication channels. These include College wide emails, targeted emails to specific groups of staff, relevant updates to staff via the College committee structure, and other cyber security events.

Action owner: Digital Infrastructure Manager   **Due date:** 26 February 2021

Appendix A – Definitions

Control assessments
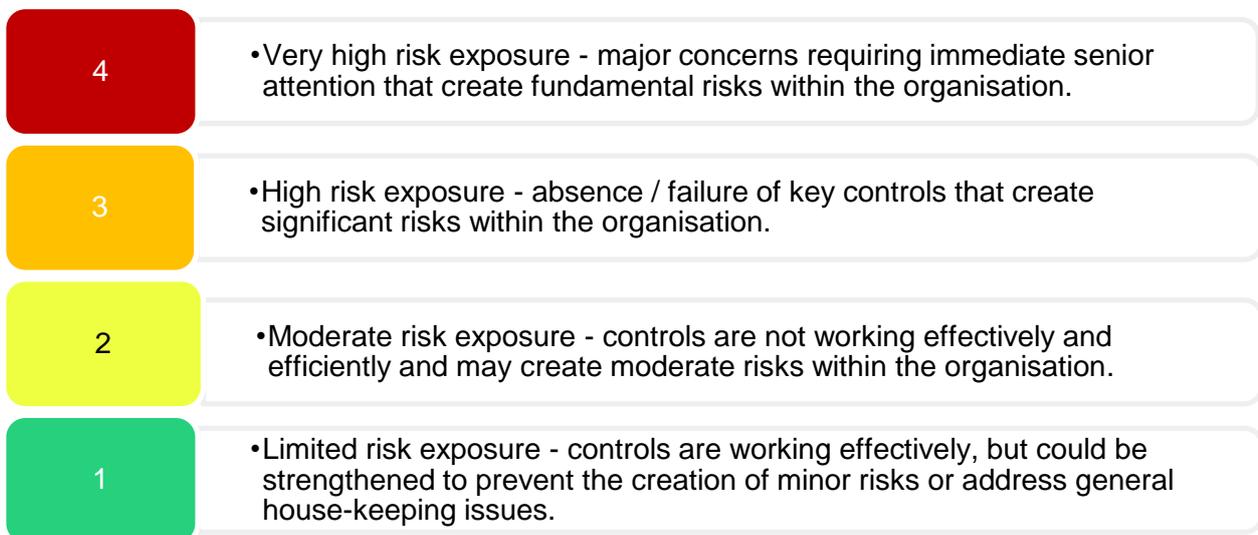
R — Fundamental absence or failure of key controls.

A — Control objective not achieved - controls are inadequate or ineffective.

Y — Control objective achieved - no major weaknesses but scope for improvement.

G — Control objective achieved - controls are adequate, effective and efficient.

Management action grades

4 — •Very high risk exposure - major concerns requiring immediate senior attention that create fundamental risks within the organisation.

3 — •High risk exposure - absence / failure of key controls that create significant risks within the organisation.

2 — •Moderate risk exposure - controls are not working effectively and efficiently and may create moderate risks within the organisation.

1 — •Limited risk exposure - controls are working effectively, but could be strengthened to prevent the creation of minor risks or address general house-keeping issues.

West Lothian College

Audit Committee

STRATEGIC RISK REGISTER 2020-21

Introduction

The strategic risk register is set in the context of the 2020-23 Outcome Agreement. Attached to this paper is the section which contains all risks in relation to digital infrastructure (Appendix 1) and the risk tolerance matrix (Appendix 2).

The committee is asked to discuss and agree that the risk mitigations and future actions to be taken are sufficient to mitigate against the digital infrastructure risks as set out in the 2020-21 risk register.

Board Appetite for Risk

The risk policy states that the Board of Governors should set the tone and influence the culture of risk management within the college by establishing the college's risk appetite. Through this, we will be aware of the most significant risks facing the organisation.

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.

Role of the Audit Committee

At the September 2020 meeting of the Board of Governors, the board agreed that each committee would have ownership of the risks aligned with their remit.

This means that all risks in relation to:

- estates, financial and HR and people development are reviewed by **Finance and General Purposes Committee**
- learning and attainment are reviewed by **Learning and Teaching Committee**
- digital infrastructure are reviewed by **Audit Committee**

In addition to reviewing the digital infrastructure section of the risk register, the Audit Committee's remit states "**The Audit Committee will advise the board on the strategic process for risk**". To help the committee ensure that it carries out its

responsibilities, the risk register process and respective roles of the Board of Governors and committees is set out in Appendix 3.

The risk mitigations, future actions and scores have been fully discussed and agreed by the college leadership team. The Finance and General Purposes Committee and Learning and Teaching Committee have reviewed the risks and mitigations for their respective areas and both are satisfied that these risks are being effectively managed.

March 2021 update

Risk 6.1

There is a risk of a cyber security breach due to an inadequate allocation of investment in digital security and training, resulting in insecure IT infrastructure and lack of staff specialist expertise.

	Likelihood	Impact	Score	Change
November 2020	5	3	15	
March 2021	5	3	15	⟷

A cyber security internal audit was completed in January 2021, whilst no major risks were identified in either the control design or control operations, four grade 2 control design recommendations were identified. On that basis the risk rating is unchanged, whilst these recommendations are undertaken and implemented by 31 July 2021.

Risk 6.2

There is a risk of reduced student retention, attainment or progression due to insufficient investment in underlying digital learning technologies or devices resulting in a reduced classroom experience or ability of students to undertake learning.

	Likelihood	Impact	Score	Change
November 2020	3	3	9	
March 2021	3	3	9	⟷

Whilst there has been significant investment in both staff and student laptops since the end of November 2020, with over 250 laptops due for delivery during February and March 2021, the impact these additional resources will have will not be felt until later in the current academic year. The Learning and Continuity Support Team has bedded in well and is supporting teaching staff and students with access to a variety of learning platforms and technologies.

On balance the risk rating is unchanged as the impact of these changes are felt by both staff and students alike.

Risk 6.3

There is a risk that the college fails to achieve efficiencies due to a failure to integrate and streamline our information systems resulting in reliance on manual input, increased levels of duplication and re-work and reduced ability to make evidenced based decisions.

	Likelihood	Impact	Score	Change
November 2020	3	3	9	
March 2021	3	3	9	⟷

The Information Systems and Digital Infrastructure department is on track to deliver a range of information management projects, including online service improvements for staff and students, with these projects being monitored via the Systems Review Group.

Positive results from the recent staff survey, indicate staff within the newly created department are clear on their roles and responsibilities and are positive in their influence over and contribution to key business improvements.

The risk rating is unchanged, as whilst many of these projects are underway, results and changes will not become tangible until around the end of July 2021 as further preparations are made for the 2021-22 academic year.

Risk 6.4

There is a risk that the college has an inadequate business continuity plan due to a lack of an appropriate off-site IT resulting in the college not being to effectively operate in the event of a major incident.

	Likelihood	Impact	Score	Change
November 2020	4	4	16	
March 2021	4	4	16	⟷

A Business Continuity Planning/Disaster Recovery internal audit was completed in January 2021, whilst no major risks were identified in either the control design or control operation, the recommendations of the full report are not likely to be undertaken before 31 July 2021.

Discussions with West Lothian Council continue with a proposal under discussion for the provision of both a cloud and offsite backup solution being provided at the Whitehill site by the end of July 2021.

The risk rating is unchanged, as whilst many of these projects are underway, results and changes will not become tangible until around the end of July 2021 and as further preparations are made for the 2021-22 academic year.

Action

The committee is asked to agree that the digital infrastructure risk mitigations and future actions to be taken are sufficient to mitigate against the risks as set out in the 2020-21 risk register.
.

Simon Earp
Vice Principal, Performance and Improvement
4 March 2021

West Lothian College

Strategic Risk Register

2020-21

Post Holders							Score	Impact	Likelihood
	ELT	Executive Leadership Team		FDL&A	Faculty Directors Learning & Attainment				
	CLT	College Leadership Team		HoBD	Head of Business Development		1	Routine	Remote
	Board	Board of Governors		HoE	Head of Estates & Sustainability		2	Minor	Unlikely
	Prin	Principal		HoF	Head of Finance, Procurement & Student Funds		3	Significant	Possible
	VPF&CS	Vice Principal Finance & Corporate Services		HoHR	Head of HR and People Development		4	Major	Probable
	VPL&A	Vice Principal Learning & Attainment		HoIS&DI	Head of Information Systems & Digital Infrastructure		5	Critical	Very Likely
	VP P&I	Vice Principal Performance & Improvement							

Risk Numbers & Board Committees	POTENTIAL CONTRIBUTING FACTORS				TREATMENT				POST MITIGATION EVALUATION	
	Risks	Impact	Likelihood	Score	Controls/Mitigation Actions	Impact	Likelihood	Score	Further actions planned	Lead Responsibility
6 Digital Infrastructure										
6.1 Audit Committee	There is a risk of a Cyber Security breach due to an inadequate allocation of investment in digital security and training, resulting in insecure IT infrastructure and lack of staff specialist expertise. Link to strategic goal: • Inspire and enable success for all	5	4	20	Enhanced security introduced to improve defence against email exploits. Installation of a wide range of additional network security protection to enhance resilience against attack. Currently in discussion with West Lothian Council regarding an offsite backup solution. Cyber Security E-Learning modules for staff available on Moodle. Cyber security internal audit was completed in January 2021. No major risks were identified in either the control design or control	5	3	15	Continual review and update of services being rolled out which include email security and new firewalls. Mandatory training on E-Learning modules rolled out by Learning & Development to increase security awareness of all staff.	HoIS&DI

Key to Risk Estimation/Score based on scale of 1 – 5 for impact/likelihood: Green (1-8) = Minor Risk; Amber (9-15) = Significant Risk; Red (16-20) = Major Risk; Purple, (>21 - 25) = Fundamental Risk

Post Holders						Score	Impact	Likelihood
	ELT	Executive Leadership Team	FDL&A	Faculty Directors Learning & Attainment				
	CLT	College Leadership Team	HoBD	Head of Business Development		1	Routine	Remote
	Board	Board of Governors	HoE	Head of Estates & Sustainability		2	Minor	Unlikely
	Prin	Principal	HoF	Head of Finance, Procurement & Student Funds		3	Significant	Possible
	VPF&CS	Vice Principal Finance & Corporate Services	HoHR	Head of HR and People Development		4	Major	Probable
	VPL&A	Vice Principal Learning & Attainment	HoIS&DI	Head of Information Systems & Digital Infrastructure		5	Critical	Very Likely
	VP P&I	Vice Principal Performance & Improvement						

					operations, four grade 2 control design recommendations were identified and dates set for their completion.				

6.2 Audit Committee	There is a risk of reduced student retention, attainment or progression due to insufficient investment in underlying digital learning technologies or devices resulting in a reduced classroom experience or ability of students to undertake learning. Link to strategic goals: • Inspire and enable success for all • Lead with vision and empathy	4	4	16	Significant investment in new student and staff lap tops. Learning Continuity Support Group established to develop staff digital skills. External funding opportunities being identified to supplement existing budgets. New Moodle host appointed and latest version implemented. New equipment being piloted facilitated by Learning and Teaching Innovation Fund. A further 250 new student and staff lap tops will start to be distributed late Feb/early March.	3	3	9		VPP&I

Key to Risk Estimation/Score based on scale of 1 – 5 for impact/likelihood: Green (1-8) = Minor Risk; Amber (9-15) = Significant Risk; Red (16-20) = Major Risk; Purple, (>21 - 25) = Fundamental Risk

Post Holders						Score	Impact	Likelihood
	ELT	Executive Leadership Team	FDL&A	Faculty Directors Learning & Attainment				
	CLT	College Leadership Team	HoBD	Head of Business Development		1	Routine	Remote
	Board	Board of Governors	HoE	Head of Estates & Sustainability		2	Minor	Unlikely
	Prin	Principal	HoF	Head of Finance, Procurement & Student Funds		3	Significant	Possible
	VPF&CS	Vice Principal Finance & Corporate Services	HoHR	Head of HR and People Development		4	Major	Probable
	VPL&A	Vice Principal Learning & Attainment	HoIS&DI	Head of Information Systems & Digital Infrastructure		5	Critical	Very Likely
	VP P&I	Vice Principal Performance & Improvement						

| 6.3 Audit Committee | There is a risk that the college fails to achieve efficiencies due to a failure to integrate and streamline our information systems resulting in reliance on manual input, increased levels of duplication and re-work and reduced ability to make evidenced based decisions.

Link to strategic goals:

• Inspire and enable success for all
• Lead with vision and empathy | 4 | 4 | **16** | New department created– Information Systems and Digital Infrastructure, to provide a more streamlined support service.

The Systems Review Group reviewing projects in the rolling 3 year Information Systems and Digital Infrastructure roadmap.

Continued development of online services has led to greater efficiencies with more projects underway and in planning.

Twenty two new potential projects have been identified and are undergoing evaluation and prioritisation. | 3 | 3 | 9 | | VPP&I |

Key to Risk Estimation/Score based on scale of 1 – 5 for impact/likelihood: Green (1-8) = Minor Risk; Amber (9-15) = Significant Risk; Red (16-20) = Major Risk; Purple, (>21 - 25) = Fundamental Risk

Post Holders						Score	Impact	Likelihood
	ELT	Executive Leadership Team	FDL&A	Faculty Directors Learning & Attainment				
	CLT	College Leadership Team	HoBD	Head of Business Development		1	Routine	Remote
	Board	Board of Governors	HoE	Head of Estates & Sustainability		2	Minor	Unlikely
	Prin	Principal	HoF	Head of Finance, Procurement & Student Funds		3	Significant	Possible
	VPF&CS	Vice Principal Finance & Corporate Services	HoHR	Head of HR and People Development		4	Major	Probable
	VPL&A	Vice Principal Learning & Attainment	HoIS&DI	Head of Information Systems & Digital Infrastructure		5	Critical	Very Likely
	VP P&I	Vice Principal Performance & Improvement						

| 6.4 Audit Committee | There is a risk that the college's business continuity plan is sub-optimal due to a lack of a fully comprehensive off-site IT back-up facility resulting in the college not being able to fully operate efficiently in the event of a major incident.

Link to strategic goals:

• Inspire and enable success for all
• Lead with vision and empathy | 5 | 4 | 20 | IT shared services agreement with West Lothian Council has been refreshed.

Critical support systems are backed-up offsite at the Civic Centre.

Staff and students on one tenant means most teaching can now be delivered online.

Business Continuity Planning/Disaster Recovery internal audit was completed. No major risks were identified in either the control design or control operation. Recommendations should be implemented by 31 July 2021.

Proposal under discussion with West Lothian Council for the provision of both cloud and offsite backups being provided at the Whitehill site by the end of July 2021. | 4 | 4 | 16 | Discussions ongoing with the West Lothian Council, IT Services concerning an offsite Disaster Recovery process and procedure, meeting scheduled for the end of October to conduct an options appraisal. Solution expected March 2021.

Recovery Point Objectives & Recovery Time Objectives need to be defined in order to recover effectively and efficiently from a major incident.

Roles and responsibilities need defined in the disaster recovery plan due to restructure and changes in personnel. | HoIS&DI |

Key to Risk Estimation/Score based on scale of 1 – 5 for impact/likelihood: Green (1-8) = Minor Risk; Amber (9-15) = Significant Risk; Red (16-20) = Major Risk; Purple, (>21 - 25) = Fundamental Risk

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.

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

| | | 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. | |

RISK MANAGEMENT RESPONSIBILITIES

Board of Governors

The Code of Good Governance for Scotland's Colleges states:

C.11 The board of a college or a regional body is responsible for the overall management of risk and opportunity. It must set the risk appetite of the body and ensure there is an appropriate balance between risk and opportunity and that this is communicated via the principal to the body's management team.

C.12 The board must ensure that sound risk management and internal control systems are in place and maintained. It must ensure there is a formal on-going process for identifying, reporting, evaluating and managing the body's significant risks and review the effectiveness of risk management.

To meet these requirements the Board of Governors:

- Will annually agree the college's significant risks and undertake an annual risk workshop at which the risk appetite will be set
- Delegates to the Audit Committee responsibility for reviewing the risk management framework
- Delegates responsibility for the risks aligned with their respective remits to the Audit, Finance and General Purposes, and Learning and Teaching committees for reviewing and being satisfied that these risks are being managed effectively
- Will receive a quarterly update from the Chairs of the Audit, Finance and General Purposes, and Learning and Teaching committees.

Audit Committee

The Code of Good Governance for Scotland's Colleges states:

C.13 The Audit Committee must support the board and the principal by reviewing the comprehensiveness, reliability and integrity of assurances including the body's governance, risk management and internal control framework.

Section 6a of the Audit Committee's terms of reference states "The Audit Committee will advise the board on the strategic process for risk".

The Audit Committee will meet its obligation by taking assurance from:

- The annual risk workshop
- Quarterly Board updates from the Chairs of the Audit, Finance and General Purposes, and Learning and Teaching committees
- Internal and external audit.

The Audit Committee will review the risks relating to digital infrastructure and satisfy itself that these risks are being effectively managed.

During committee updates at board meetings, the Chair of the Audit Committee will provide assurance on the risks the committee is responsible for.

Finance and General Purposes Committee

The Finance and General Purposes committee will review the risks relating to estates, finance and HR and satisfy itself that these risks are being effectively managed.

During committee updates at board meetings, the Chair of the Finance and General Purposes committee will provide assurance on the risks the committee is responsible for.

Learning and Teaching Committee

The Learning and Teaching committee will review the risks relating to learning and attainment and satisfy itself that these risks are being effectively managed.

During committee updates at board meetings, the Chair of the Learning and Teaching committee will provide assurance on the risks the committee is responsible for.

West Lothian College

Audit Committee

KEY PERFORMANCE INDICATORS (KPIS) 2020-21

The attached table shows the college's key financial performance indicators for 2018-19, 2019-20 and forecast for 2020-21. Explanations for variances from target are provided for 2020-21.

Early withdrawal statistics are also shown. The Scottish Funding Council has indicated that colleges who do not meet their credit target in 2020-21 will not be financially penalised. However, for clarity, the college is predicting to meet its credit target.

For benchmarking purposes financial KPIs are provided from Borders College, Dumfries & Galloway College and Forth Valley College for 2017-18 and 2018-19.

Review of KPIs

The Executive Leadership Team is currently reviewing the KPIs which are produced for the Board of Governors. This exercise will be completed by May and a paper will be taken to the June 2021 Board of Governors meeting.

Action

The committee is asked to note the KPIs for 2020-21 and the review currently being undertaken.

Jennifer McLaren
Vice Principal, Finance and Corporate Services
4 March 2021

West Lothian College -Key Financial Performance Indicators 2020-21

	Target 2020-21	Forecast 6 months ended 31 January 2021	Forecast 12 months ended 31 July 2021	Actual For the year ended 31 July 2020	Actual For the year ended 31 July 2019	Comments	Actions
College Surplus (£'000)	63	873	99	154	4	Above target. Reduced income as a result of the pandemic is offset by income from furloughing staff and a reduction in both staff and non-staff costs. The investment line has been increased by £158k to reflect the decision to invest the surplus in the construction & engineering workshop extension.	**Monitor through monthly management accounts**
Operating Surplus (£'000)	(1,468)	873	(1,432)	(5,006)	(4,386)	Above target. Reduced income as a result of the pandemic is offset by income from furloughing staff and a reduction in both staff and non-staff costs. The investment line has been increased by £158k to reflect the decision to invest the surplus in the construction & engineering workshop extension.	**Monitor through monthly management accounts**
Non SFC Income (excluding childcare funds) as % of total income	28%	27%	25%	28%	28%	Below target due to reduced fees and SDS income as a result of the pandemic. The reduced income from CHS is fully offset by an equal reduction in costs	**Monitor through monthly management accounts**
Staff costs (excluding exceptional costs) as % of total income (excluding childcare funds)	72%	72%	69%	79%	69%	KPI is showing an improvement as a result of staff savings from non-filling of vacancies and a transfer of costs into non-staff costs for delivery of the flexible workforce Development Contract	**Monitor through monthly management accounts**
Staff costs (excluding exceptional costs) as % of total costs (excluding childcare funds)	76%	86%	75%	72%	67%	In line with target. Although staff costs are underspend they still represent a significant proportion of expenditure	**Monitor through monthly management accounts**
Ratio of Current Assets to Current Liabilities	0.7:1	1.5:1	0.7:1	0.8:1	0.7 :1	In line with target	**Monitor through monthly management accounts**
Days Cash to Total Expenditure	16	113	15	21	16	In line with target	**Monitor through monthly management accounts and monthly SFC cash flow return**

	2018-19			
	Borders	Dumfries & Galloway	Forth Valley	West Lothian
Non SFC Income as % of total income	26%	17%	27%	28%
Staff costs as % of total income (excludes exceptional costs)	71%	76%	75%	71%
Ratio of Current Assets to Current Liabilities	1.5: 1	1.6: 1	0.6: 1	0.7: 1
Days Cash to Total Expenditure	82	94	21	14

	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						
	2020-21 Early Withdrawal @11-2-21 (%)	2020-21 Early Withdrawal Actual Number of Enrolments @ 11-2-21	2020-21 Total Number of Enrolments@ 28-1-21	2019-20 Early Withdrawal @10-11-20 (%)	2019-20 Early Withdrawal Actual Number of Enrolments @ 10-11-20	2019-20 Total Number of Enrolments@ 22-7-20
FEFT	6.3%	79	1,251	10.1%	112	1,108
HEFT	3.7%	30	801	4.8%	36	755
FEPT	2.4%	51	2,084	2.1%	58	2,789
HEPT	0.7%	7	966	1.0%	6	620
Total		167	5,102		212	5,272

West Lothian College

Audit Committee

AUDIT COMMITTEE DEVELOPMENT PLAN AUGUST 2020-JULY 2021

The Development Plan for the year ended 31 July 2021 is attached reflecting discussion at the self-evaluation meeting held on 17 September 2020.

Action

The committee is asked to discuss the Development Plan and make any necessary amendments.

Jennifer McLaren
Secretary to the Board
4 March 2021

West Lothian College

Audit Committee

Development Plan 2020

August 2020 - July 2021

Membership

No current issues.

Remit

Annual review of remit – last reviewed June 2020, next review June 2021

Visits to Parts of the Campus

- Virtual visits to areas of the college for informal discussion with staff to commence November 2020 (ongoing)
- Invite Head of Information Systems and Digital Infrastructure to attend meetings (complete)

Opportunities for Strategic Discussion

Inter-discussion with other committees to be considered

Development Issues Identified in Meetings

- Sue Cook/Simon Ashpool/Seonaid Crosby – attend Finance & General Purposes Committee as observers
- Seonaid Crosby/Richard Lockhart – attend Learning & Teaching Committee as observers
- Shadow opportunities at other college – virtual visits to be arranged for South Lanarkshire, Fife and Perth colleges (2 members per college)

Self-Evaluation

Annual self-evaluation of Committee – scheduled for June 2021

Version 4: March 2021