West Lothian College
Audit Committee

Meeting Date:	**3 March 2022: 10.30am – 12.30pm**
Venue:	**https://us02web.zoom.us/j/87294964054?pwd=c1kvZjYzZWQzalhQUUh3ZjZvejZlQT09** **Meeting ID: 872 9496 4054** **Passcode: F1XZbX**

Ref	Agenda Item	Paper	Lead	Time
1.	**Committee Administration**			
1.1	Welcome and Apologies		SC	10.30
1.2	Declaration of any Conflicts of Interest		SC	10.32
1.3	Minutes of Previous Meeting	**1**	SC	10.33
1.4	Matters Arising	**2**	SC	10.35
2.	**Matters for Committee Approval**			
2.1	None			
3.	**Matters for Board Attention**			
3.1	None			
4.	**Matters for Committee Attention**			
4.1	**Infrastructure and Cyber Security Update** (i) Information Systems and Digital Infrastructure Report	**3**	BD	10.40
4.2	**Health and Safety Update** (i) Health & Safety Annual Report (ii) Health & Safety Quarterly Report	**4** **5**	EP EP	10.50 10.55
4.3	**College Rolling Audit Action Plan**	**6**	JMcL	11.00
4.4	**Key Performance Indicators:** (i) Complaints Report	**7**	SE	11.10
5.	**Matters for Committee Information**			
5.1	Self-Evaluation of Audit Committee	**Verbal**	LA	11.30
5.2	Sector Update	**Verbal**	DE/LN	11.40
6.	**Any Other Business (AOB)**		SC	12.00
7.	**Review of Committee, Supporting Papers** Any matters for escalation or update of Risk Register?		LA	12.10
8.	**Date of Next Meeting: 23 June 2022**		SC	

ACTION: To Discuss

Matters Arising - Board & Committees - Action Tracker

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Board/Committee	Meeting	Ref	Source	Action	Owner	Priority	Target Date	Status	Update
Audit	16-Sep-21	A5	Health & Safety Report	The committee agreed the need to extend the date for completion on policy and procedure updates for 3 months, to ensure staff had adequate time to complete. The H&S Officer will update the scheduled plan to reflect the revised dates ahead of the next H&S Report to Audit Committee and confirm completion.	H&SO	2	31-Mar-22	On Track	Revised Policy & Procedure Plan to be included in H&S update in February, with update on progress.
Audit	16-Sep-21	A6	Health & Safety Report	The BGA will arrange for all Board Members to have access to mandatory training on PREVENT for completion.	BGA	2	30-May-22	On Track	The date for completion has been updated as there was a delay in providing access to the training material. The action has been included in a wider project to update MOODLE for Board Member information.
Audit	16-Sep-21	A7	Internal Audit - Estates Plan	The Internal Auditor will update the Review of Estates Plan Report to ensure it is accurate reflection of the Outcome Agreement.	Internal Auditor	2	30-Nov-21	Completed	Report updated.
Audit	16-Sep-21	A8	Board Development Plan	The BGA will consider options for communication on confidential material with Board Members and include recommendations in Board Development Plan.	BGA	2	31-Dec-21	Recommend to Close	BGA advised Board Members on use of MOODLE as platform for sharing information.
Audit	16-Sep-21	A9	Sector Update	The Principal will advise the committee of any potential lessons learned for the college from recent external incident (fraud).	Princ	2	30-Nov-21	Recommend to Close	Discussed as agenda item at Audit Committee (Dec).

West Lothian College

Audit Committee

INFORMATION SYSTEMS AND DIGITAL INFRASTRUCTURE REPORT

Introduction

This paper provides a broad update on key projects completed during the first half of the 2021-22 academic year and an outline of planned activity to the end of the year.

DIGITAL INFRASTRUCTURE

Digital Capacity

A full review of the college's information technology (IT) and audio visual (AV) asset registers was completed in the last quarter for the 2020-21 session, indicating approximately 280 assets due for replacement across the college's digital estate (approximately 15%).

Informed by this, 140 new desktop PCs, 100 monitors, 200 laptops and 15 new Clevertouch interactive screens have arrived in college since August 2021. This represents and investment totalling £285,000, with more kit planned to be delivered during the remainder of the session. Included in the total investment is a new self-service Diplomat locker system for laptop loans, which will be deployed in the Learning Centre.

A further order is in process for an additional 110 laptops, totalling £75,000, to add capacity to support students with online learning and teaching.

Digital signage has been increased in No.1 on the Square including the Café, Information Point, foyer and Student Association. Roll out of the same system will commence in the remaining building entrance digital displays in the coming weeks.

Scottish Funding Council (SFC) announced an indicative funding allocation of £127,923 for digital learning support for 2021-22. To date 100 new student loan laptops have been ordered - due for delivery Spring 2022 - and monies committed for student connectivity packages.

MS Teams Integration

The use of Office365, in particular MS Teams, during 2021-22 remains stable, supporting staff and students with blended learning and hybrid working.

The Office365 cloud backup solution is in place and operating as expected.

Consideration of adopting Teams Telephony Integration has been underway for a while and is now being accelerated as a work package of the Hybrid Working Group. This would mean moving from our current traditional phone system to an integrated model running on the Teams platform.

Server Infrastructure – Server replacement project and Disaster Recovery

In response to a server infrastructure utilisation document prepared by the college during Q4 of 2021, West Lothian Council responded with a detailed storage options paper, including estimated costings. The offsite backup will be located at West Lothian Council's Whitehill site. Work is continuing to evaluate the options from a number of perspectives, with alternative quotes from other suppliers in process.

An extended warranty has been purchased covering the existing server infrastructure at the Civic Centre, which takes effect from the end of April for six months. This provides a contingency for delays in equipment delivery due to global supply chain challenges.

Network Administration

To further secure the college's network security, Cisco ISE (Identity Services Engine) has been purchased and implemented. This enables the creation and enforcement of security and access policies for endpoint devices connected to our routers and switches, simplifying identity management across varying devices and applications connected to the network.

EDUROAM

Eduroam was implemented on 9 December 2021 and was used by Education Scotland colleagues on their recent visit to the college. The key benefits this provides include:

- A single solution that accommodates all the mobile connectivity requirements of the college community - supporting local users connecting to the local network, visitors connecting to the local network and local users connecting to other participating networks.
- It removes the need to supply temporary accounts to visiting users, so reducing the administrative and support burden imposed by the ever-growing movement of students, staff and other stakeholders between institutions and countries.
- Because visiting students, staff and stakeholders use their Eduroam home credentials to access Wi-Fi services on campus, they have a quick, easy and secure way to get online without campus IT support.

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Cyber Security

Following an options appraisal process, the college received single supplier approval from SFC to secure a CISOaas – *Chief Information Security Officer as a service*. The CISOaas provides 27 days of dedicated and specialist support over a fixed nine-month period, with a schedule of work agreed covering the period.

The CISOaas will work closely with the digital infrastructure team, to review, update and implement a range of security improvements as identified in the full Cyber Risk Technical Assessment in late May 2021.

Specific work is planned to update existing policies, procedures and the cyber risk register to industry standards, taking account of the specific needs of staff, students and other stakeholders.

A Q1 vulnerability scan took place on 31 January which reported a small number of low-level risks. Vulnerabilities will be tested through a full penetration test, when the appropriate measures are implemented in conjunction with the CISOaaS.

Running the quarterly scan will detect any vulnerabilities we have on all networked assets, including servers, network devices and assets attached to the network that have an IP (Internet Protocol) address.

Helpdesk

Following a procurement process in Q4 2021, the college purchased, tested and implemented a new enterprise wide helpdesk solution called TOPdesk. Key benefits of the new helpdesk include a self-service portal for users to track jobs, incident and asset management and dashboard and reporting capabilities. The final piece of setup is being prepared to allow Estates to operate through the same application. This means staff can access support from both departments from the one portal. This is cloud based and can be accessed off campus.

INFORMATION SYSTEMS

Curriculum Planning/Builder - System and Process Change

Feedback from the Business Process Review published in January 2021 identified the need to develop a web-based solution to be used by teaching staff to manage courses in terms of curriculum planning and building. Feedback from the presentations and training for key staff has been positive, with the system now live in support of the curriculum planning cycle for 2022-23.

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Student Risk Register

The college previously kept a student risk register in each faculty, however the information collected was inconsistent and was never been stored in a single place. Collection and reporting capability have now been built into Staff Advantage. This has been deployed with lecturers delivering the January 2022 start courses to provide a final live test before being rolled out to all courses from August. This system will be used to automate the communication process to support services who can add their insight onto the system to ensure all key staff have a full picture of student circumstances to allow the right support interventions to be made.

Data Science and Business Intelligence

Development of Power BI continues with Office365 data being collected and work progressing to refine the models used for reporting and predictive analytics. Reporting connected for the revised curriculum planning and building tool is being adapted within Power BI and scheduled for Spring 2022.

Our new data scientist took up post in December 2021 and has settled well into the role. They are currently supporting a number of projects around identifying trends and insights around FEFT success, an improved analysis of recruitment data and improved reporting of withdrawal information.

Information Systems Officer

A second IS officer joined the college on 17 January 2022. This new fixed term post will provide direct support to project work as directed and controlled by the college's Systems Review Group.

Systems Review Group

Project leads have been assigned to projects that provide clarity on reporting responsibilities for 2021-22.

A major online services project, which combines the application and enrolment processes for students was launched in early December, coinciding with the launch of 2022-23 recruitment. The amalgamated service is more transparent and reduces the overhead on students in time and complexity, whilst supplying important information to college teams to allow any required support to be provided at the earliest possible opportunity.

Action

The committee is asked to note the paper.

Bill Dunsmuir
Head of Information Systems and Digital Infrastructure

3 March 2022

Health and Safety Annual Report

2021

Author: Emily Purdie, Health & Safety Officer

Date: January 2022

Introduction

There is a clear 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 while providing data that has been analysed by the Health and Safety Officer.

This was another year where dealing with the pandemic was at the forefront, requiring us to adapt, at times very quickly, to changes in guidance that affected how we worked. Many of the regular activities could not be performed due to lockdowns, working from home and restricted blended learning. We continued to focus on the health and wellbeing of staff and students while working with a 'new normal'.

We continued to report on the following on a quarterly and annual basis:

- Accidents, Incidents, Near Misses and Investigations
- Health and Safety Management
- Policies and Procedures
- Scheduled events
- Equipment and Plant Maintenance
- Display Screen Equipment - Homeworking
- HR and People Development
- Changes in Legislation/Guidance
- Consultations and Internal Audits or Walkrounds
- 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 improvements are put in place.

In 2021, 50 HSF1 Forms were completed in relation to accidents/incidents and near misses. In 2020, it was slightly higher at 61.

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

- Work-related deaths
- Work-related accidents that cause certain specified serious injuries to workers, or result in a worker being incapacitated for more than seven consecutive days
- Cases of 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, that are caused by an accident at work and result in the person being taken to hospital from the site for treatment.

In 2021, there was one reported case to HSE to comply with RIDDOR.

Annual Data Collection 2018-2021

	2018	2019	2020	2021	ALL
Injured during sports activity	7	5	4	2	18
Slips, Trips and falls	14	15	6	6	41
Handling (cuts burns etc)	19	18	12	5	54
Struck by Equip/Object/Vehicle	13	7	3	6	29
Pre-existing condition or illness	37	42	32	22	133
Chemical/Substance	2	0	3	3	8
Contact with Electricity	3	0	0	0	3
Violence - threat	1	2	0	0	3
Violence - injury	2	2	0	1	5
Accidents out with College	1	1	0	0	2
Others	8	11	1	5	25
	107	103	61	50	**321**
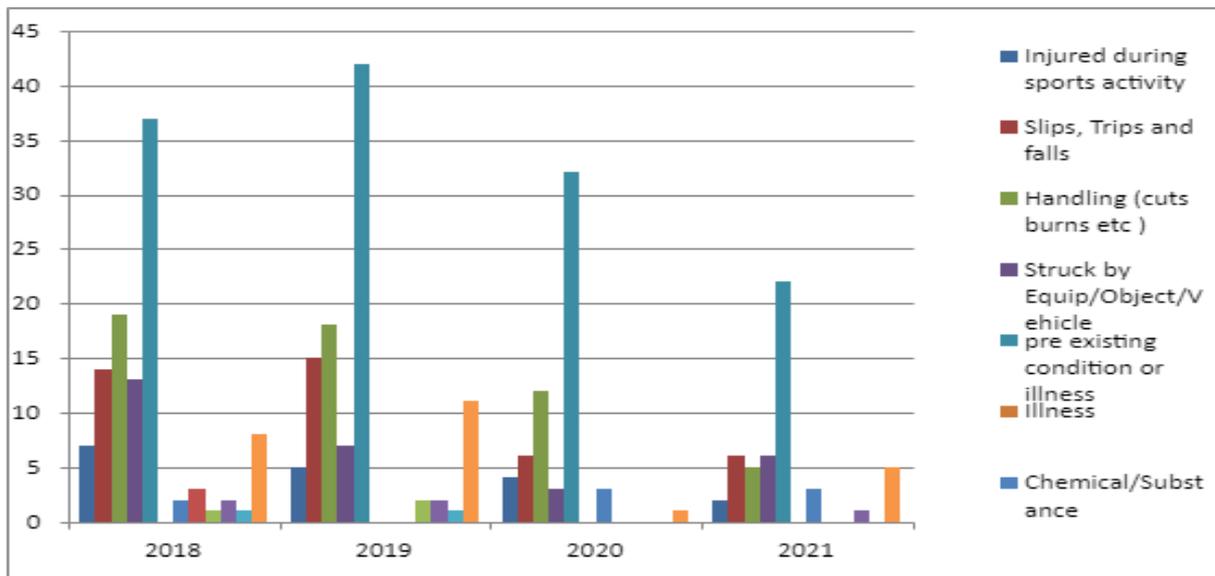
Health and Safety Management

The college is required to ensure the health, safety and welfare of 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 Committee meeting was held on		8 December 2021	
Minutes from meeting have been posted on Sharepoint		Yes	
Total Action points raised		7	
Actions Raised against H&S officer	4	H&S Officer currently outstanding	1
Next meeting scheduled for		9 March 2022	
Employer's Liability Insurance			
Zurich Employers Liability Insurance		Expires on 31 July 2022	
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 department review RA for start of 2021-22 academic year	
Number of new Risk assessments		5 x DSE homeworking assessments 1 x RA student violence 1 x Graduation	
Fire Risk Assessment			
Fire Risk Assessment in place		Yes	
Review Date		October 2022	
Health and Safety Policy			
Policy Statement approved by		Jackie Galbraith	
Next Review date		August 2022	
Responsibilities currently unassigned		0	
Health and safety Procedures		Review date	
Accident / Incident reporting		December 2023	
Lone Working		February 2023	
Inspection and Auditing		February 2023	
Emergency Evacuation		September 2023	
Work Placement		August 2022	
Excursions		February 2023	
COSHH		December 2023	

First Aid	February 2023
Lock out / Tag out	February 2023
Noise at Work	February 2023
Business Continuity Policy Framework	July 2022
Counter terrorism	February 2023
Fire Safety Actions	
Outstanding actions related to fire inspection	0
Overdue actions related to fire inspection	0
Last emergency evacuation drill (daytime)	21 September 2021
Last emergency evacuation drill (evening)	21 September 2021
Next emergency evacuation drill (daytime)	April 2022
Next emergency evacuation drill (evening)	April 2022

Policies and Procedures

All policies and procedures have been reviewed.

Scheduled events

The main event that was able to be scheduled due to changing Covid guidance and restrictions was the annual graduation ceremony. In 2020, this needed to be held online, however in October 2021 it returned to campus with strict social distancing measures in place. The occasion was fully risk assessed to ensure a safe environment was offered to all students, staff and guests.

In November 2021, we held a COP26 volunteer week and a sustainable marketplace to encourage staff and students on campus to engage in outdoor sustainable initiatives safely while following Covid guidance.

College Development Network (CDN) meetings continued for another year and were invaluable to the health and safety professionals across the college sector. We were able to share best practice during the rapidly changing updates to guidance. HSE and HWL also attended these meetings providing regular updates.

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 2021:

Statutory Compliance Testing	Date of last check	Date of next check
Air conditioning maintenance	Oct-21	Apr 22
Automatic door servicing	Nov-21	May-22
Boiler (gas, coal, oil) servicing and flue extraction	Oct-21	Mar 22
Dust extraction	Dec 21	Dec 22
Emergency lighting maintenance	Jan 22	Feb-22
Extract fan/canopy cleaning, testing & sterilising	July 21	July 22
Fire alarm maintenance	July 21	JAN 22
Firefighting equipment testing	Dec 21	Dec 22
Fixed electric installation testing	Jul-21	Jul-22
Fume cupboard testing	Mar21	Mar22
Gas installation testing, Kitchens	Aug 21	Aug 22
Hoist testing, 2 post & 4 post car lifts	Dec 21	Dec 22
Intruder alarms	Jan 22	Sep-22
Lift Maintenance	Sep-21	Mar-22
Portable Electrical Equipment	21	22 ongoing throughout the year
Uninterrupted electric power supply maintenance	Jul-20	Jul-22
Water hygiene inspection and monitoring (Legionella)	Feb 22	Mar-22
Hair and Beauty equipment	Jul-21	Jul-22
Pavilion C Fume cupboard	Mar-21	Mar-22

Display Screen Equipment

Hybrid working and some student online learning is now part of our new way of working and we will continue to ensure the health and safety of all members of staff and students within West Lothian College.

Changes to Legislation/ Guidance / Building Changes

The main changes were to the ground floor of No.1 on the Square where we created a new Campus Café, Learning Centre, Information Point and Student Association hub. In addition, we created a new floor in the engineering workshop to increase practical learning space for students.

Consultations and Internal Audits or Walk rounds.

There were no consultation or audits carried out due to increased workloads caused by the Covid Pandemic.

Walk round inspection was carried out in No.2 on the Square and there were 13 actions raised.

Staff Experience Group

All staff experience initiatives have been online during the pandemic. However, as we move toward more face to face on campus we would like to focus on more interactive workshops and sessions with staff and students.

The college submitted an application for the Healthy Working Lives Gold award in 2021. We await the outcome.

Summary – Future Developments

The year ahead looks to be filled with fewer challenges as pandemic restrictions are lifted, allowing more staff and students to be back on campus. We will continue to promote Scottish Government guidance as required.

The focus going forward includes the training of new and existing staff, air sampling for silica dust, wood dust and welding fumes due to new workshop space being created and changing use. Fire safety and fire marshal training will be a priority as will hand arms vibration testing and noise assessments. As always we will be on hand to support and advise all college staff and students with all health and safety related issues.

Health and Safety Quarterly Report

October to December 2021

Author: Emily Purdie, Health and Safety Officer

Date: January 2022

Introduction

Health and Safety activities this quarter continued to be concentrated on keeping up to date with Covid guidance as cases of the new variant Omicron were increasing. There was still a requirement to deliver further DSE advice to staff working from home. We continued to provide additional support to track and protect, Health Protection Scotland by tracking positive and self-isolation cases in college.

Accidents, Incidents, Near Misses and Investigations

With the return of increased numbers of students and staff onto campus, first aiders returned on a rota basis. First aiders and duty managers were still required to use extra PPE to deal with first aid cases. 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 25 HSF1 forms returned in this period. The 2019 figure was 35 (as 2020 is not comparable due to restricted blended learning). Each report is fully investigated by the Health and Safety Officer. Appendix 1 shows details of all investigations during this period.

2021

Chart showing incident categories by quarter (Jan-Mar, Apr-June, July-Sept, Oct-Dec) across 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.
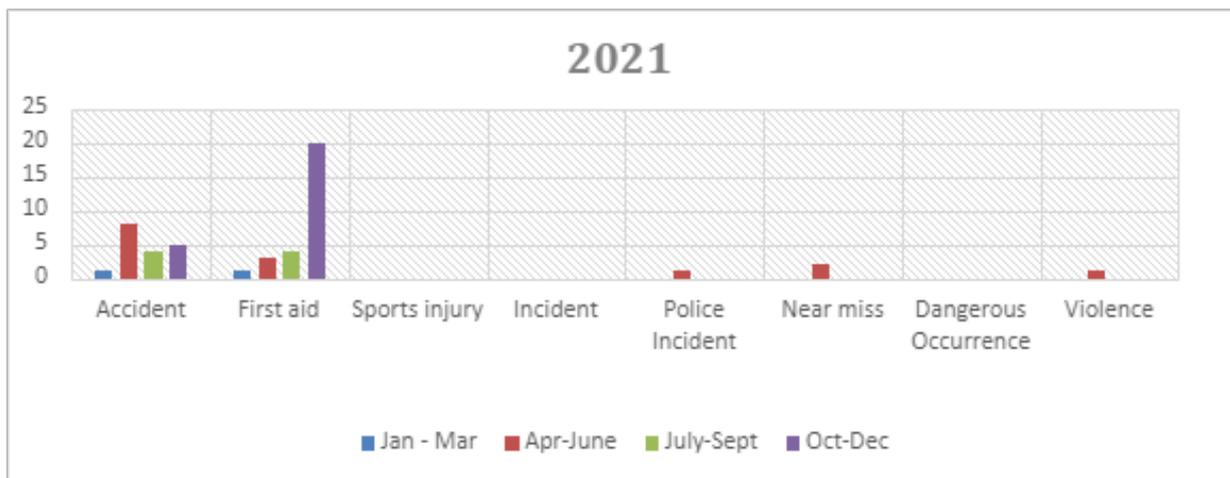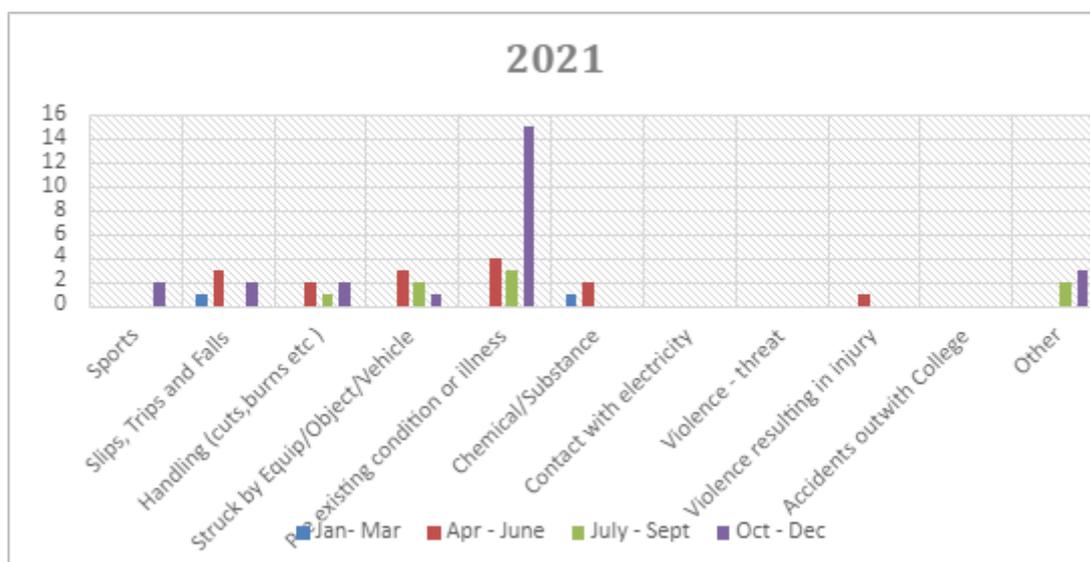
Policies and Procedures

All policies and procedures have been reviewed and updated where applicable.

Risk Assessment and Staff Guidance

The college Covid risk assessment and departmental risk assessments are updated when changes to guidance deem it necessary.

We continue to track and record self-isolation or positive cases of staff and students on campus. This information is submitted by the member of staff or student on a bespoke online Covid form or by email to a designated email address. The cases are investigated 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 and who has been contacted by Trace and Protect.

The college is now to monitor and record cases and does not need to discuss individual cases or report to Health Protection Scotland if any outbreaks occur. The college outbreak plan was updated to reflect these changes. The change in guidance for under 18s and those vaccinated means that whole classes do not now need to isolate and those in class are given an inform and advise letter to look out for symptoms. The responsibility has been passed to the college to add any mitigations that we deem necessary with each case.

Meetings between Health Protection Scotland and colleges/universities have been moved to fortnightly as we continue to share best practice on actions and mitigations.

There has been a total of 118 cases (84 student and 34 staff) recorded as testing positive in this quarter. All of these cases were as a result of contact out with the college.

The weekly Covid communication has continued to be sent to staff jointly by HR and Estates as well as the Principal's update. This highlights any changes in guidance due to the ever-changing situation in the pandemic or any changes within the college that are relevant. Fortnightly joint union meetings are also a valuable platform to communicate shared decisions. Regular updates are also communicated via social media and website platforms.

Scheduled events

The college graduation was able to go ahead with limited numbers in the gym hall due to social distancing. The use of the learning centre and campus café enables guests to watch the ceremony socially distanced on screen.

A Health and Safety Committee meeting took place where the following was discussed:

- Mask wearing fatigue
- Installation of CO_2 monitors in every room maintained on building management system and alerts from levels start increasing
- Prevent National alert level
- Walkaround inspections
- Epilepsy training
- Gap in Minibus drivers trained going forward when trips resume

A third-party training session for support staff on hate crime reporting was delivered by Police Scotland.

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		8 December 2021	
Minutes from meeting have been posted on Sharepoint		Yes	
Total Action points raised		7	
Actions Raised against H&S officer	4	H&S Officer currently outstanding	1
Next meeting scheduled for		9 March 2022	
Employer's Liability Insurance			
Zurich Employers Liability Insurance		Expires on 31 July 2022	
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 department review RA for start of 2021/2022 term
Number of new Risk assessments.	5 x DSE homeworking assessments 1 x RA student violence 1x Graduation
Fire Risk Assessment	
Fire Risk Assessment in place	Yes
Review Date	October 2022
Health and Safety Policy	
Policy Statement approved by	Jackie Galbraith
Next Review date	August 2022
Responsibilities currently unassigned	0
Health and safety Procedures	Review date
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Last emergency evacuation drill (evening)	21 September 2021
Next emergency evacuation drill (daytime)	April 2022
Next emergency evacuation drill (evening)	April 2022

Staff Experience Group

With support from Scottish Funding Council grant to support staff wellbeing, we arranged 40 resilience training workshops for all staff. The workshops run from January to June 2022. Wellbeing Wednesday was scheduled for 16 February 2022. Further details will be provided in the next quarterly report.

Staff have been encouraged regularly to engage with the staff mandatory training which includes a variety of components including a focus on mental health in addition to general health and safety.

As more students returned to site in November, c:card (free sexual health advice and condom service for young people aged 13-25) was delivered to college front-facing

staff and Student Association representatives to enable the college to provide this valuable service.

Fire marshal awareness training will be given to all fire marshals in the early spring of 2022 with a target of training approximately 50 identified staff/managers. This will ensure adequate cover across the college buildings for any situations which may occur.

People Development

In October 2021, free flu vaccination vouchers were distributed to staff.

On 2 November, Stress Awareness Day was marked including live Deskercise' sessions made available to staff delivered by our physiotherapy provider, Connect Health. The wide range of other free services available to staff to support mental health and wellbeing were also promoted.

On 13 November, World Kindness Day was marked with staff being encouraged to carry out acts of kindness and show recognition to each other via the all-staff Staff Experience and Employee Recognition Microsoft Teams site.

In December, the range of health and wellbeing supports available to staff were publicised, including access to Able Futures which is a national programme aimed at supporting staff with ongoing mental health challenges towards a healthy, positive outlook at work. In addition, staff connection and wellbeing were encouraged through Christmas activities such as Christmas Jumper Day, team Christmas quiz and an online college Christmas celebration.

Student Mental Health

The counsellors have contacted 104 students, 62 have engaged with the service and over 335 hours of counselling have been provided this academic year.

Mental Health:

Support for Learning wellbeing assistant has been busy looking at what type of support students need in relation to mental health and filling some gaps across college provision. This is a summary of her work to date:

- Working on Moodle – digital resources, information and videos
- Developed sessions on mental health for students and delivered these in conjunction with lecturers
- Continuing to carry out research on what support our students need in relation to mental health
- Hosting a stall (when restrictions allow) for signposting students to support services
- Contributes and participates in Student Mental Health Agreement Lead Group
- CDN Wellbeing PLC
- WestSpace Steering Group
- Divers Dive-In Group

Safeguarding:

Between November and December there have been 15 safeguarding referrals. The majority of concern has been around the student safety, suicidal ideation and significant mental health difficulties.

Changes to Legislation/ Guidance/ Building Changes

There were no building changes in this quarter however we are pleased to report that Maxi Construction were awarded the contract for alterations to buildings 1, 2, 3 and 4 to start in the new year 2022. All health and safety legislation including construction design management will be monitored and discussed at regular progress meetings.

Consultations and Internal Audits or Walk round inspections.

Building NO 2 December 2021		Additional information
Issues identified	13	
Completed	8	
Not Completed	5	

An update on the non-completed actions will be provided at the meeting.

Summary

Keeping up to date with the pandemic has continued to be the main focus and concern for the Estates team.

Appendix 1 – Health and Safety Officer's Investigation Findings

No	Date	Accident/Incident/ near miss	HSF1 Detail	Investigation
1	05/10/21	First aid	Student had an accident at home, requested first aider to supply eye patch, advised to go to GP	No further action
2	05/10/21	First aid	Student was playing sport, ball hit their hand and staved finger. First aider attended and administered first aid	No further action
3	07/10/21	First aid	Student felt faint and first aider attended as had previous for fainting. Hadn't eaten anything first aider gave food. Returned to class. Told to contact GP	No further action
4	08/10/21	First aid	Student was feeling unwell due to lack of sleep, eaten and then played sports. First aider sat with them and they were going home with friend	No further action
5	18/10/21	First aid	Student took seizure for 40 mins but their support worker advised no ambulance was required. First aider attended and called ambulance due to length of seizures	First aider advised H&S and first aid coordinator of case to investigate care plan further
6	18/10/21	First aid	Student had a seizure, first aider attended and made student comfortable who was then collected by family member	Additional epilepsy training being planned for staff due to new students with epilepsy
7	01/11/21	First aid	A visitor was sitting with a member of staff and felt as if having a heart attack. First aider and ambulance called. Ambulance assessed and eventually deemed the person was well enough to drive home.	Visitor was travelling to Aberdeen and was offered a lift home but was fine to drive. They contacted college to assure they arrived safely
8	04/11/21	First aid	Student had pains in abdomen, first aider attended and advised to go to A&E, no one to take her so a taxi was called and family member would meet her there.	No further action
9	11/11/21	First aid	Student had arrived from school with a sore head, first aider attended an gave ice pack	No further action
10	11/11/21	First aid	Student reported a sore head and sore throat, had tested negative on LFT that day. First aider attended and ice pack given and advised to go home	No further action
11	12/11/21	Accident	Student was sitting on chair when castor leg broke and they fell off chair banging head on table. First aider attended and advised to	Estates investigated chair and no obvious reason for breakage

No	Date	Accident/Incident/ near miss	HSF1 Detail	Investigation
			look out for concussion. Chair removed and taken to estates.	
12	12/11/21	Accident	Two students banged heads during sport activity. First aider attended and advised to go to A&E for concussion, family member took to hospital	Student was fine
13	16/11/21	First aid	Student bitten by a dog at home and had dressed wound, started bleeding, first aider redressed and advised to go to hospital for infection	No further action
14	'18/11/21	Accident	Student was using a chisel and it slipped and cut hand, first aider attended and applied adhesive strips	No further action
15	18/11/21	First aid	Student felt unwell with pain in left arm, first aider attended and ambulance called as potential stroke. Delay in finding first aider	Student taken to hospital and reported to be fine, H&S officer investigated delay in first aider availability
16	23/11/21	First aid	Student twisted wrist at home and had been to hospital but forgot to wear support, first aider attended and gave conforming bandage	No further action
17	24/11/21	First aid	Student was washing a pot and wrist bent and felt pain, first aider attended and examined and gave support bandage	No further action
18	25/11/21	Accident	A ceiling tile was lying on desk when member of staff arrived for work with slight damage to desk. Reported to estates team who examined as no one had been working on the tiles.	Estates team checked other tiles to ensure none were loose.
19	01/12/21	First aid	Student was using a screwdriver and cut hand, first aider attended and student applied bandage	No further action
20	02/12/21	First aid	Student had burnt themselves while at work then come into college, first aider attended and applied dressing	No Further action
21	02/12/21	First aid	Member of staff was experiencing chest pain, ambulance was called and AED taken as a precaution, their heart was checked and taken to hospital as a precaution	No further action
22	02/12/21	First aid	Student had blurred vision, first aider attended, student applied eye drops, also advised to go to optician	No further action

No	Date	Accident/Incident/ near miss	HSF1 Detail	Investigation
23	02/12/21	First aid	Student attended college with sore throat and blocked nose, first aider attended and moved into another room until parents collected	No further action
24	09/12/21	First aid	Student collapsed and was briefly unconscious and lecturer called ambulance, student taken to hospital by ambulance	No further action
25	14/12/21	Accident	Member of staff walked up stairs and tripped over feet and twisted ankle, had a weak ankle due to previous injury and was off work for a few days	No further action

Paper 6

West Lothian College

3 March 2022

Audit Committee

COLLEGE ROLLING AUDIT ACTION PLAN

The College Audit Action Plan shows progress in implementing previously agreed Internal Audit recommendations. The attached table shows the position as at March 2022 and requests approval of a revised date for item 4, Business Continuity and Disaster Recovery (4.1 Business Continuity Testing) from the previously agreed date of 31 October 2021 to 30 April 2022.

The revised date is to align with the wider project to implement new Disaster Recovery arrangements, and is not considered to materially increase the current risk for the college.

Action

The Committee is asked to note progress against plan and approve the recommended changes to deadlines.

Jennifer McLaren
Vice Principal, Finance and Corporate Services
3 March 2022

2020-21 – (1 August 2020 - 31 July 2021)

Status	March 2021			March 2022		
	Grade 4-5	Grade 3	Grade 1-2	Grade 4-5	Grade 3	Grade 1-2
Completed recommendations by original deadline (subject to Internal Audit Review)	-	-	-	-	-	-
Completed recommendations by extended deadline (subject to Internal Audit Review)	-	-	-	-	-	2
Outstanding recommendations on target	-	-	-	-	1	-
Outstanding recommendations past agreed deadline	-	-	-	-	-	1
Total	-	-	-	-	**1**	**3**

2020-21										
No	Audit Report Topic	Report Date	Background	Recommendation	College Response	Responsibility	Deadline	Status	Update/ Comments	Revised Deadline
1	Cyber Security (1.1 Cyber risk governance framework) – A robust cyber risk management and governance framework has been established and implemented which considers risks to the college's information assets.	Jan 2021	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.	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. Grade 2	Agreed. 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.	Head of Information Systems and Digital Infrastructure	31 July 2021	🟨 🟥 🟨	**June 2021 update** **On track** Cyber Risk Technical Assessment now complete, undertaken by external supplier and report due week commencing 17th May. Supplier will work in partnership to establish cyber risk governance framework, cyber security risk management policy with accompanying risk register. Cyber Essentials (CE) certification awarded on 04 May 2021. Date for CE+ discussed with external supplier and details of pre-requisites received. **September 2021 update** CRTA roadmap document received late June, detailing a range of managed and collaborative services. 9 days consultancy has been booked with a schedule of works due to be published late September. CE+ plus review took place on 1st July and a few remedial actions currently being worked on to obtain full accreditation. **November 2021 update** Cyber Essentials + accreditation awarded on 1st November. Network Officer recruited and due to start mid-November. Penetration testing quarterly cycle being implemented. Chief Information Security	31 March 2022

#	Finding	Date	Risk	Recommendation	Management Response	Owner	Target Date		Update	Revised Date
									Officer (CISOaas) proposal approved and initial 3 day workshop agreed for late November. New server infrastructure with enhanced security features due by April 2022. **February 2022 update** Cyber Incident and IT Policies updated and to be further reviewed via CISOaas. Chief Information Security Officer (CISO) as a service procured, providing a managed service of 27 days – over 9 months - of specialist and dedicated cyber security expertise to October 2022. Vulnerability testing quarterly cycle established; with linked scheduling of penetration testing to exploit and eliminate any risks identified in the process. Backup of O365 using third party applications. New server Infrastructure review underway. Uplift to A5 Microsoft Campus Licensing to provide additional security features. **Complete.**	
2	Business Continuity and Disaster Recovery (2.1 Defining business critical systems)	March 2021	If the Business Continuity documentation does not demonstrate a comprehensive understanding of the college's key information systems, the college cannot restore critical services identified in the BIAs.	The framework should detail the following information for each key service: Critical services and key systems to the college identified through regular business impact assessments. Interdependencies of these services, including intra-departmental, inter-departmental and external dependencies. The Recovery Time Objectives (RTOs) and Recovery Point Objectives (RPOs) for each service. Links to disaster recovery plans for these information systems.	Accepted. BCPs will be reviewed with functional application owners and updated to include the identification of the critical business services. The college Disaster Recovery Policy to be refreshed and linked to functional BIAs.	Head of Information Systems and Digital Infrastructure	31 October 2021		**September 2021 update** A Business Continuity Planning stress test took place on 18 June, led by Zurich Municipal. The report has been published which 7 learning and action points to follow up on. The College Disaster Recovery Policy is under review and scheduled to	31 December 2021

#	Area	Date	Risk	Recommendation	Management Response	Owner	Target Date	RAG	Update	Revised Date
					Grade 2			 🟨 🟦	be published by 31/10/2021. Reviews of functional business continuity plans to be scheduled between September and December 2021. **November 2021** Finance and Information Systems BCP's under review. Suppliers to be contacted. Office365 for staff and students now backed up to the cloud and an upgrade to Microsoft licencing to be included in revised BCP. **February 2022** Business continuity plans in place for all areas of business. Weekly COVID meetings Joint JNCC COVID meetings held fortnightly. Annual testing of college plans in June facilitated by college insurers, Zurich, with plans adjusted in light of findings. Additional workshop being held in Spring to undertake Business Impact Assessment facilitated by Zurich. **Complete.**	
3	Business Continuity and Disaster Recovery (3.1 Incident response plans)	March 2021	If comprehensive and robust incident response plans have not been developed for the recovery of critical systems, the response to incidents will not be appropriately managed. Also a risk that the college will be unable to recover technology infrastructure and systems in an effective manner if an IT disaster recovery plan is not in place.	Recommend that the college develops effective recovery strategies for critical services for inclusion in incident response plans. Incident response plans, including responses to cyber security threats and attacks, should be agreed, documented and communicated. The college develops an IT disaster recovery plan that provides IT management with clear guidance and processes to follow. Incident response plans should be reviewed and updated on an annual basis.	Accepted. The college will complete the review and update of the IT Disaster Recovery plan by 30 June 2021. The Disaster Recovery plan will be linked and cross referenced to the academic and support service areas and completed by 31 October 2021. Cross referencing BIAs to the college strategic risk register will be undertaken on a	Digital Infrastructure Manager	31 October 2021	🟥	**September 2021 update** A first review of the IT Disaster Recovery plan has been completed. Further revisions will be required to account for re-location of offsite backup to the Whitehall site and as to reflect server infrastructure upgrades.	31 July 2022

				Grade 3	quarterly basis and shared with the Audit Committee.			🟨	**November 2021** Cyber incident policy revised and to be further reviewed as part of the CISOaas. **February 2022** Cyber Incident and IT Policies updated and to be further reviewed via CISOaas. A cloud based backup is now operational covering Office365 staff and student accounts, which forms a critical part of the disaster recovery plan. An extended warranty has been purchased on the current infrastructure and hardware, to allow time to scope out and assess the college requirements. Currently have options from West Lothian Council and have started dialogue with third parties to compare pricing and technology available. Plan to have new Infrastructure in place by July 2022, including offsite and immutable backups.	
4	Business Continuity and Disaster Recovery (4.1 Business continuity testing)	March 2021	If there are not regular and planed business continuity tests completed with operational staff and recover team members present, relevant staff will not be aware of their responsibilities regarding the recovery of systems.	Management should introduce a risk-based programme of recovery testing for key systems including a range of tests, live testing and simulations of different scenarios. Outcomes of testing should be formally documented. Grade 2	Accepted. A schedule of BCP testing and a scoping plan will be developed.	Digital Infrastructure Manager	31 October 2021	🟥 🟨	**September 2021 update** Revised schedule to be published once Network Officer post filled and consultancy services are agreed with external supplier. **November 2021** Network Officer post has been recruited to and discussions ongoing to agree the testing schedule. College virtual server infrastructure hosted at the Civic Centre due for replacement by 2022 and discussions ongoing with	30 April 2022

AC/030322/Sharepoint

| | | | | | | | | | West Lothian Council in terms of options appraisal. Migration to of upgrading of cloud services to MS Azure will enhance our BCP and DR. **February 2022**

A cloud based backup is now operational covering Office365 staff and student accounts, which forms a critical part of the disaster recovery plan.

Student Records system now has copies of LIVE system taken to TEST and TRAIN as part of the supplier managed service agreement.

Schedule of recovery simulations to be formalised with business application owners.

Revised deadline of 30 April 2022. Rationale is that BCP testing of other business applications requires cooperation from other areas of the college to organise. | |