

## West Lothian College Audit Committee

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|----------------------|--|
| <b>Meeting Date:</b> | Thursday 23 February 2023: 10.30am - 12.30pm   |
| <b>Venue:</b>        | Meeting room 2, Number 1 on the Square<br>Online attendance details included in Teams meeting invitation |

| Ref       | Agenda item  | Paper  | Lead             |
|-----------|--|--------|------------------|
| <b>1.</b> | <b>Committee administration</b>  |        |                  |
| 1.1       | Welcome and apologies  |        | SC               |
| 1.2       | Declaration of Conflicts of Interest   |        | SC               |
| 1.3       | Minutes of Previous Meeting – 1 December 2022  | 1      | SC               |
| 1.4       | Matters Arising  | 2      | SC               |
| <b>2.</b> | <b>Matters for Committee Approval</b>  |        |                  |
| 2.1       | None   |        |                  |
| <b>3.</b> | <b>Matters for Board Attention</b>   |        |                  |
| 3.1       | None   |        |                  |
| <b>4.</b> | <b>Matters for Committee Attention</b>   |        |                  |
| 4.1       | <b>Infrastructure and Cyber Security Update</b><br>(i) Information Systems and Digital Infrastructure Report | 3      | BD               |
| 4.2       | (i) Health and Safety Annual Report<br>(ii) Health and Safety Quarterly Report                               | 4<br>5 | EP<br>EP         |
| 4.3       | Internal Audit Progress against Plan   | 6      | JMcL             |
| 4.4       | College Rolling Audit Action Plan  | 7      | JMcL             |
| 4.5       | Complaints Report  | 8      | SE               |
| <b>5.</b> | <b>Matters for Information</b>   |        |                  |
| 5.1       | Self-Evaluation of Audit Committee   | Verbal | JS               |
| 5.2       | Sector Update  |        | Azets and Mazars |
| <b>6.</b> | <b>Any Other Business (AOB)</b>  |        | SC               |
| <b>7.</b> | <b>Review of Committee and Supporting Papers</b>   |        | JS               |
| <b>8.</b> | <b>Date of Next Meeting:</b><br>Thursday 8 June 2023, 10.30am -12.30pm                                       |        | SC               |

## West Lothian College

23 February 2023

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### Audit Committee

#### Meeting of 1 December 2022

**Present:** Sue Cook (Chair and non-executive member)  
Colin Miller (Non-executive member)  
Virginia Toyi (Staff member)  
Richard Lockhart (Non-executive member) (Online)  
Seonaid Crosby (Non-executive member) (Online)

**In Attendance:** Jackie Galbraith (Principal)  
Alex Linkston (Chair of Board of Governors)  
Jennifer McLaren (Vice Principal, Finance and Corporate Services)  
Simon Earp (Vice Principal, Performance and Improvement)  
Beth Brownlee (Staff observer)  
Bill Dunsmuir (Head of Information Systems and Digital Infrastructure)  
Rachel Browne, Audit Scotland  
Ruth Holland, Mazars External Auditors  
Gillian Callaghan, Azets Internal Auditors (On-line attendance)  
Moirra Niven (Chair, Finance and General Purposes Committee) (Online)  
Jenny Stalker (Board Secretary and Governance Advisor)

#### **Presentation: Enquiries and Admissions Team**

The Committee heard an interesting and informative presentation from the Enquiries and Admissions team, who gave an insight into improvements made to make the process of enrolment easier for students. Members were interested to hear of the numbers of enquiries dealt with by the team and how the team works with unsuccessful applicants to find alternative study options.

The Committee was interested in the numbers of prospective students we have to turn away due to lack of available places and asked if a report can be made available. The team confirmed that data can be provided on this for future discussion by the relevant board committee.

The Committee thanked the team for the work they do and for taking the time to attend the meeting.

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### **1 Committee Administration**

#### **1.1 Welcome and Apologies**

The Chair welcomed everyone to the meeting and extended a warm welcome to Rachel Browne from Audit Scotland who was attending her first meeting, and Ruth Holland from Mazars External Auditors.

Apologies were noted from the Vice Principal, Learning and Attainment.

#### **1.2 Declarations of Conflicts of Interest**

There were no declarations of conflicts of interest.

#### **1.3 Minutes of Meeting of 15 September 2022**

The minutes of the meeting of 15 September 2022 were approved as accurate.

#### **1.4 Matters Arising**

All matters arising were noted as completed.

### **2 Matters for Committee Approval**

#### **2.1 Audit Committee Annual Report**

It was noted that Virginia Toyi's name had been omitted and was now added to the report.

The Committee was content to approve the report and the Chair signed the report at the meeting.

### **3. Matters for Board Attention**

#### **3.1 Annual Financial Statement**

The Vice Principal, Finance and Corporate Services introduced the Annual Financial Statement and referred the committee to the adjusted financial position on page 40 which broadly strips out the pension valuation and revalued assets to arrive at the deficit of 81K. This is significantly less than that reported in June.

The Committee was informed that, following approval from the Finance and General Purposes Committee, the deficit was agreed

with the Scottish Funding Council to enable investment in college buildings.

The Committee discussed the deficit and the pension adjustment.

The Committee asked if other colleges are reporting a deficit this year as well. The Vice Principal, Finance and Corporate Services, confirmed that our deficit was planned and approved but that she was unable to comment on the position in other colleges.

The Chair of the Committee noted two minor changes - the Chair of Audit should be noted as a member of Prince's Trust and Lynn Hollis's resignation date should be added to the statement.

The Chair of the Finance and General Purposes Committee was in attendance to convey the confidence they had in the report and to commend it to the Audit Committee. The Chair of Audit Committee agreed the report is very positive and that the Chief Executive's report gives an excellent overview of the college position.

The Committee agreed to approve the report.

### **3.2 Letter of Representation**

The Committee approved the Letter of Representation which was recommended to the Board of Governors.

## **4 Matters for Committee Attention**

### **4.1(i) Infrastructure and Cyber Security Update**

The Head of Information Systems and Digital Infrastructure discussed the report and linked this to the detail of the Annual Report. The Committee agreed the paper was very comprehensive.

The Committee heard the college is now in a very strong position with regard to disaster recovery as a result of investment in skills and digital technology from the college over the last number of years. The Head of Information Systems and Digital Infrastructure informed the Committee that we have been ambitious in our goals and have adopted CISO cyber security framework. It was reported that all 108 standards on the framework have now been completed. The report on our current status will be shared with the Audit Committee in February 2023. The Committee was informed the report is very positive.

**Action 1: Update report to be brought to February 2023 Audit Committee meeting**

The Committee was informed that the college had received a clean internal audit on student funds for the third consecutive year. The Head of Information Systems and Digital Infrastructure said this was testament to the work staff are doing and regular internal audit processes being run on data.

**Student Risk Register**

The Head of Information Systems and Digital Infrastructure reported that this work is very positive in gathering good information on students and the support they need. However, some information was stored in various places and we have worked to bring the information together through Staff Advantage which has now been rolled out across the college. This means all staff can see relevant information on students. This work was commended as good practice in the Education Scotland review completed on 30 November 2022.

The Head of Information Systems and Digital Infrastructure reported on the development of the new data dashboard which will transform the current set of PowerBI forms to a more user-friendly interface for August 2023-24. The Committee was informed about the introduction of the new SMART Survey tool in 2022-23 which has improved the number of student responses to surveys.

Student Advantage now gives students 24/7 access to information and is mobile-enabled. The college is continuing to work closely with software supplier Education Software Solutions who has funding to support educational developments.

The Committee commended the team on a clean audit and on the report.

**4.2 Health and Safety Quarterly Report**

The Health and Safety Officer reported on the current situation and noted it was good to see college getting back to normality after the pandemic. She reported on a back-to-basics approach post-pandemic to remind staff about health and safety generally. A set of "How To" documentation is being produced to manage health and safety information gathering. Work continues to develop care plans for students and the roll out of Display Screen Equipment tests for staff. The emergency evacuation procedures are being reviewed to manage the transition back to on-campus working. The Health and Safety

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Officer reported that attending College Development Network quarterly meetings is a good forum to share information.

The Health and Safety Officer reported on planned training, including staff health and wellbeing, which is being progressed through the HR and People Development team, fire marshall training and EVAC training, as well the development of a new assessment tool for new and expectant mothers. She is working with the Marketing team to create improved documentation for general health and safety signage and evacuation plans.

The Health and Safety Officer reported on a consultation carried out by the Fire Service in 2021. We are still waiting for outcome of this but this will result in new legislation being implemented in 2023 which will mean the college will be required to check if a fire is real before calling the emergency services.

The Committee asked about instances of epilepsy and seizures that occur on campus and whether we work with Epilepsy Scotland. The Health and Safety Officer confirmed training took place in May and June 2022 and that we are awaiting receipt of the Epilepsy Scotland Award (the college first achieved this award in January 2020). Subject to this award being finalised, we will be able to brand the college appropriately.

The Committee thanked the Health and Safety Officer for her report and update.

### **4.3 Internal Audit Reports**

#### **4.3 (i) Review of Student Support Funds 2022**

The Chair welcome Gillian Callaghan from Azets Internal Auditors.

Gillian Callaghan introduced the report and discussed the positive outcome for the college. The Committee was informed that no areas for improvement had been identified and all controls put in place were operating effectively.

Azets confirmed that all relevant certificates have been issued to the Scottish Funding Council and to the Student Awards Agency Scotland.

The Committee agreed the report was clear and had no questions to ask of the auditors.

#### **4.3 (ii) Review of Credit Return 2022**

Azets reported on the set audit of risks and controls and informed the Committee they were able to give the college a clean bill of health. There were no problems identified with any of the testing done.

The Auditors thanked college staff for their time and quality of information given.

The Committee was content to accept both papers.

#### **4.4 External Audit Annual Report to the Board and Auditor General for Scotland**

Ruth Holland of Mazars External Auditors apologised for the lateness of the report being completed. She drew the Committee's attention to the executive summary on page 4 which detailed the college had received unqualified opinions for all sections with no amendments required. A full audit opinion was included in the financial statement as an appendix.

Ruth Holland reported on checks done for the year. She confirmed we are awaiting a response from the valuer which has delayed the fixed asset final valuation in Section 2.

The final review of the audit file is ongoing but there are no concerns to report. Mazars confirmed the final letter will be received in the coming week.

Mazars highlighted to the Committee that the work of the finance team had resulted in no internal recommendations on controls, no identified weaknesses or improvements, and no mis-statements that could impact on materiality of the accounts.

Mazars informed the Committee the college is in good shape financially and it is very positive that the college is again meeting its credit target. This is not the case in all colleges. It was recognised the sector is under pressure financially which is not a good picture. Mazars highlighted that the college is doing all it can do in the circumstances.

The Committee agreed this is a realistic conclusion and discussed the potential implications for the college of a flat cash scenario from the Scottish Funding Council.

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The draft Letter of Representation was recommended to the Board of Governors.

The Committee noted the report and thanked Ruth Hollis for attending her last meeting and for the work done by Mazars. Ruth Holland thanked the Vice Principal, Finance and Corporate Services and the rest of the team.

### **4.5 College Rolling Audit Action Plan**

The Head of Information Systems and Digital Infrastructure gave a brief update on the rolling action plan, highlighting the go-live date for the Sun financial system which has been changed to the end of January 2023.

The Committee agreed the change of date.

### **4.6 Complaints Report**

The Vice Principal, Performance and Improvement discussed wording and amendments which have been taken on board. The Committee was informed that all complaints have been resolved or are on track for completion. Numbers of complaints are in line with trends.

The Vice Principal, Performance and Improvement updated the Committee on the court action which is now in the fifth year. The case has now commenced and the next meeting is on 23 December 2022, with an expected final date in January 2023. The Committee asked for some context around the court case which was given.

The Committee noted the report.

### **4.7 Risk Register: matters for escalation or update**

The Chair gave a verbal update on the risk register. The Committee agreed there were no items for discussion at this meeting and noted that the Risk Register would be brought to the full Board of Governors meeting on 6 December 2022.

## **5 Matters for Information**

### **5.1 Sector Update**

Ruth Holland and Gillian Callaghan informed the Committee there were no specific sector updates to be brought to the meeting.



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**6. Any Other Business (AOB)**

There was no other business.

**7. Review of Committee and Supporting Papers**

The Committee was content with the papers. However, it was agreed that papers should be shortened and draw out key points for discussion during the meeting.

It was agreed that it would be useful for a member of Audit Committee to attend the preceding November meeting of the Finance and General Purposes Committee to more fully understand discussion around management accounts.

**8. Date of Next Meeting**

The next meeting is on Thursday 23 February 2023 at 10.00am.

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

Signed .....  
Chair, Audit Committee

Date .....

## **Audit Committee**

### **Matters Arising / Action update from the Audit Committee Meeting of 1 December 2022**

#### **Action 1: Head of Information Systems and Digital Infrastructure**

Brief update report on Cyber Security to be brought to 23 February 2023 Audit Committee meeting

***Action status:** Included in Information Systems and Digital Infrastructure Report for meeting on 23 February 2023.*

## **Audit Committee**

### **INFORMATION SYSTEMS AND DIGITAL INFRASTRUCTURE REPORT**

#### **Introduction**

This paper provides an update on key projects underway or completed within the last quarter of the 2022-23 academic year.

#### **DIGITAL INFRASTRUCTURE (DI)**

##### **Digital Capacity**

##### **Scottish Funding Council (SFC) funding for digital capacity 2022-23**

Further to a review of college asset registers and as students return predominantly to on-campus learning, orders are in progress for additional classroom PC capacity, including the replacement of an entire Apple Mac suite used in the creative industries area. The SFC funding allocation of £76,288 is expected to be fully committed.

##### **Student support**

Over 350 student loan laptops have been issued in this academic year, a modest drop in demand from last year reflecting the shift in access to resources as our students return to campus-based learning. Stock levels remain high, providing resilience should any legislative or planned change occur to the balance of online versus on-campus learning occur in the future.

The introduction of the self-serve loan laptops located in the Learning Centre has provided additional resource in this area for students to use and these have been well received.

##### **Teams meeting spaces**

Hybrid learning space discussions continue, as assessments on the new Clevertouch interactive technologies are undertaken which were installed over the summer. Work conducted via the Learning Continuity Support Team is feeding into the evaluation.

## Telephony

A re-evaluation of our telephony options continues alongside discussions with our current and prospective suppliers. To inform this evaluation we are undertaking an audit of current telephony usage and distribution.

An additional imperative for the complete replacement of our existing telephony, in 2015, BT (British Telecoms) announced that, from 2025, ISDN (integrated services digital network) and PSTN (public switched telephone network) lines will be permanently turned off. Instead, every phone line in the UK will be digital, routing calls over IP (internet protocol).

## Server Infrastructure – server replacement project and disaster recovery

The new server infrastructure hosted at West Lothian Council's (the Council) Civic Centre Data Centre (CCDC) installed over the summer has bedded in well and is being closely monitored in terms of traffic and load. Backups are operating successfully of the live services at CCDC with daily reports now provided to the college.

Offsite backups are stored at the council's disaster recovery data centre (DRDC) located in Whitehill Service Centre in Bathgate, ensuring disaster recovery in the event of a total loss at CCDC.

The additional "warm" standby server has been installed and a recent Firewall upgrade has been completed in conjunction with the Council.

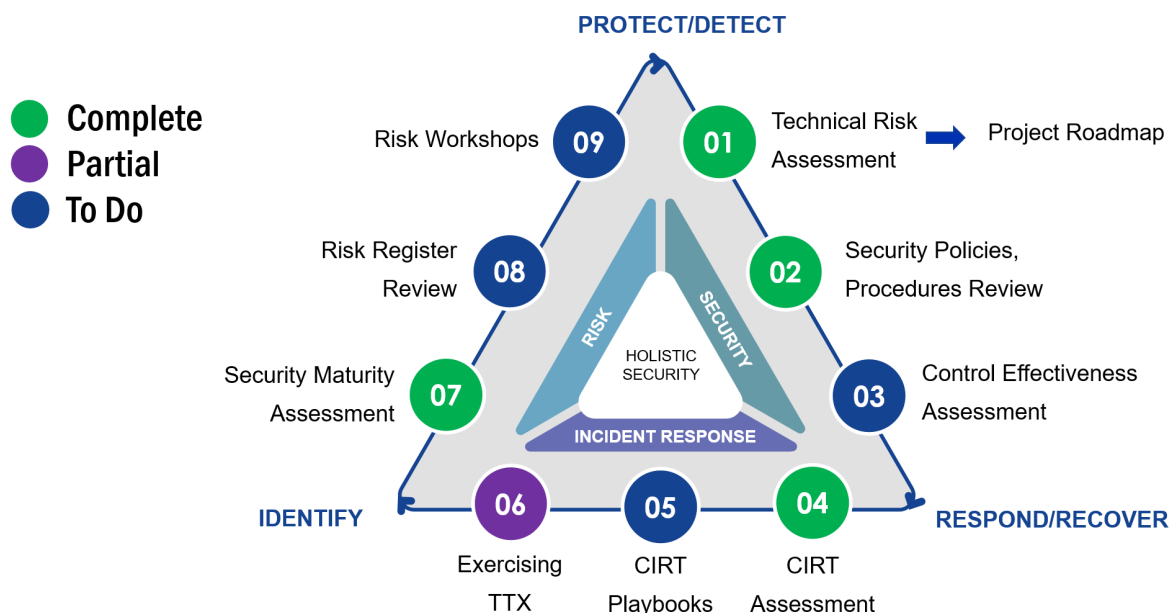
Test restores from the DRDC continue using Virtual Private Network (VPN) access. A successful restore of a 60GB server was completed in late December, with a range of other tests continuing.

## Cyber Security

Meetings continue between our CISO and the digital infrastructure team, with updates to the revised cyber security risk register, using the National Institute of Standards and Technology framework.

The digital infrastructure team, in conjunction with our CISO, have now worked through all 108 elements of the framework, recording a current and expected maturity score. The goal is that not all processes need to be at the highest maturity level 5, with the aim of each being between 3 and 4.

A maturity report produced in December 2022, summarising the college's position against the 9 core activities is shown below.



Plans are being drawn up to progress work against the framework and a proposal to extend our CISOaas by twelve months to assist with this work is under consideration.

**Cyber Security Scorecard**

As part of the CISOaas process we embarked on using a Cyber Security Scorecard which rates our cybersecurity posture. Currently the College score sits at 92% A grade. This is a reflection on the work the Digital Infrastructure team has undertaken as part of the CISOaas process.

**Cyber Incident Response – table top exercises (TTX)**

As previously reported, the college’s first cyber incident table top exercise which took place last September provided some key outputs and recommendations. These fed into the second event which took place on the 10 February as part of our now regular cycle.

**Cyber Essentials accreditation**

Re-accreditation of our Cyber Essentials certificates are expected by March 2023, with intensive documentation preparation well underway.

### **Sun Systems Upgrade – finance**

The migration of Sun Systems onto the college's new server infrastructure was completed in December 2022 and is now fully integrated into our revised backup and disaster recovery schedules with West Lothian Council.

Detailed work continues with the finance team around the porting, amending and creation of statutory and bespoke reporting, with a revised go-live date expected for July 2023.

### **INFORMATION SYSTEMS**

#### **SFC FES (Further Education Statistics)**

The quarterly cycle of credit and student funding returns to SFC has begun for 2022-23 with both Quarter 1 and 2 returns undertaken successfully. While the audit of the 2021-22 session had no reportable issues, work has continued to augment internal exception reporting and business automation to ensure the data is cleansed in preparation for the 2022-23 audit in September.

#### **Application Process Review – 2023-24 cycle**

A subgroup was commissioned, via the Admission Committee, to review the online application process at the college, drawing representation from across various faculties and departments. The aim of the review was to identify areas of the application process that could be improved to make it a better experience for applicants.

A comprehensive specification was produced, documenting the proposed changes to the design and function of the site. This was provided to our consultant developer, who carried these out in time for 17 January launch of the 2023-24 courses

The most significant change lets applicants save an application in progress and return to complete it at a later date through their MyCollege account. This also gives the college visibility over applicants that fail to complete an application and where in the process they stop. Various other changes were made to streamline the application process and make it more user friendly.

The roll out of these changes helped the college to receive a record number of applications on opening day – a 150% increase on the average over previous years.

## Workforce Development Enrolments

Work continues with project to enable Workforce Development students to enrol online. Discussions with ESS over the specification are continuing, with a live launch set for academic year 2023-24. Once implemented, we will be the first college in Scotland to be able to introduce a system that allows for enrolments in this way.

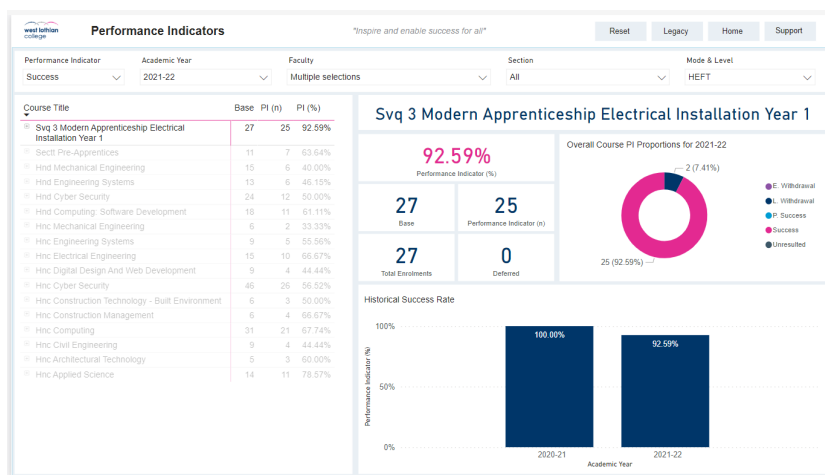
## Data Science and Business Intelligence

### Data Dashboard project

Work continues to update the college's existing Power BI reports, with the goal of improving their design and functionality, and making Power BI more user-friendly for staff. As part of the project, we are developing a number of new data dashboards to provide insights into key areas of the college's operations.

These include performance indicators to track the college's progress against its goals, enrolment demographics to understand the makeup of our student body, and tracking application volumes to identify courses that may not reach their recruitment targets.

These new dashboards will provide valuable information to help guide decision making and ensure the continued success of the college. The example below is a prototype of how the Performance Indicator new report might look, allowing users with a range of technical capabilities to find and interrogate data relevant to their roles and business requirements.



### **Predictive and prescriptive analytics**

The college is seeking to implement predictive models to reduce the number of students who withdraw early from their courses and improve overall student attainment. The college plans to use data already gathered on factors such as existing grades, and socio-economic background at the point of application, which will help identify at-risk students and provide targeted support to help them succeed.

This proactive approach is aimed at improving retention rates and ultimately, increasing the number of students who go on to graduate or meet their learning goals.

Additionally, the college is engaging in dialogue with institutions that are attempting a similar task, to build relationships and share best practice. Furthermore, the college has been in conversation with The Data Lab, an organisation dedicated to collaboration with PhD and MSc students in the field of AI and machine learning, to assist in building state of the art models to improve student outcomes.

### **Surveys**

The college has seen great success in its new approach to conducting surveys details of which were outlined in the last report. The induction survey saw a 600% increase in the number of respondents this year and the SPARKLE survey achieved a 51% response rate from 4,330 students. This has resulted in a wealth of data being collected, which allows the college to gain a deeper understanding of the experiences and needs of our students.

Two other surveys are planned for the remainder of this academic year - the Student Satisfaction and Engagement Survey in March 2023, and the college leaver and destination survey which will be issued in June 2023.

### **Action**

The committee is asked to note the paper.

### **Bill Dunsmuir**

Head of Information Systems and Digital Infrastructure  
23 February 2023



# **Health and Safety Annual Report**

## **2022**

Author: Emily Purdie, Health and Safety Officer

Date: 23 February 2023

## 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 we got back to normal after over two years of Covid disruptions. The college returned to pre-Covid student numbers on campus. Lecturers and other student-facing staff returned to campus-based teaching and support activities, while support staff continued with hybrid working.

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 Walk rounds.
- Staff Experience Group

## Accidents, Incidents, Near Misses and Investigations

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

In 2022 seventy-six HSF1 Forms were completed in relation to accidents/incidents and near misses, in comparison using 2019 (pre-Covid numbers) there were 103 records. To analyse the data further, forty-seven of these were first aid for people not feeling well and within the other category some were for self-harm/mental health. Because of this we will add a new category for 2023, self-harm, so we can see future patterns.

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

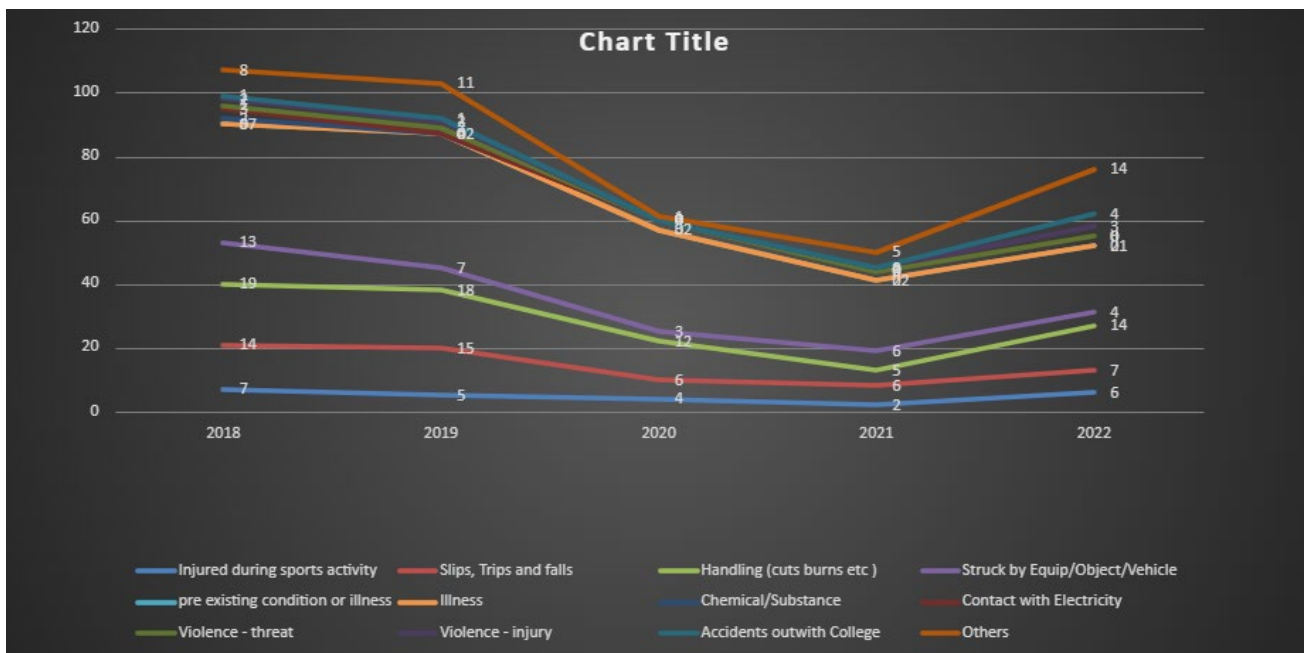
- work-related deaths
- work-related accidents which cause certain specified serious injuries to workers, or which result in a worker being incapacitated for more than seven consecutive days;
- cases of those industrial diseases listed in RIDDOR
- certain 'dangerous occurrences' (near-miss accidents)

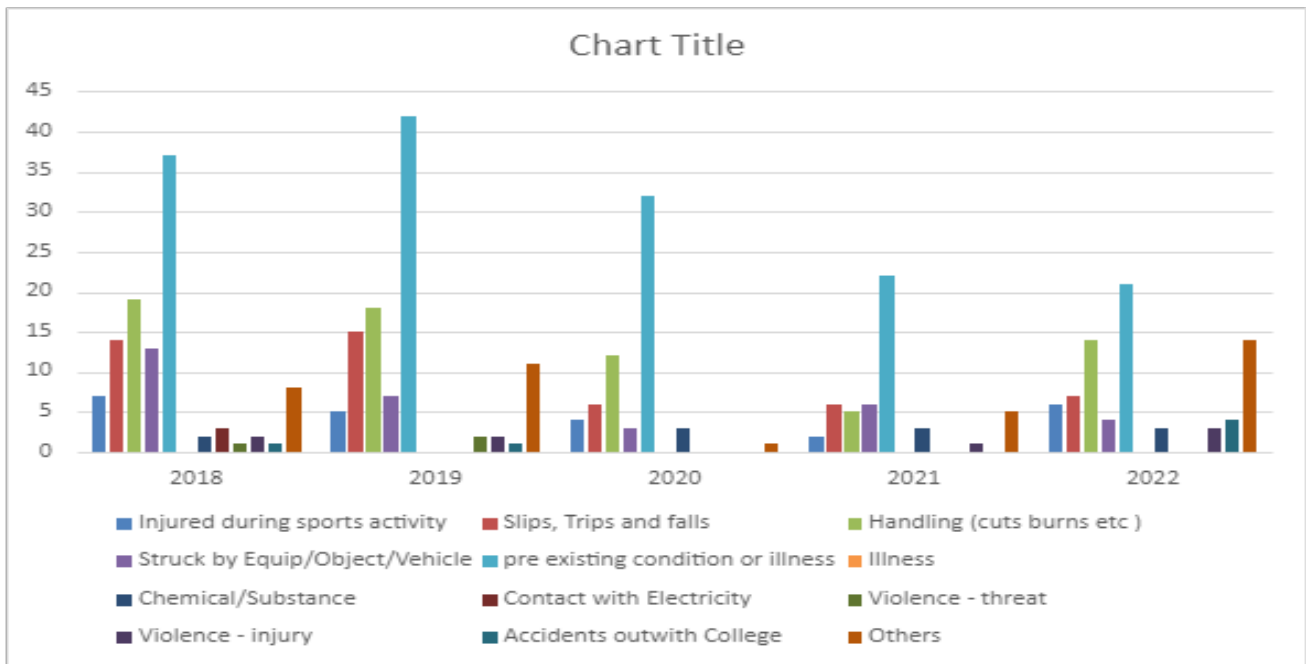
- injuries to a person who is not at work, such as a member of the public, which are caused by an accident at work and which result in the person being taken to hospital from the site for treatment.

During 2022 there were no RIDDOR reports to HSE.

### Annual Data Collection 2018-2022

|                                   | 2018 | 2019 | 2020 | 2021 | 2022 | ALL |
|-----------------------------------|------|------|------|------|------|-----|
| Injured during sports activity    | 7    | 5    | 4    | 2    | 6    | 24  |
| Slips, Trips and falls            | 14   | 15   | 6    | 6    | 7    | 48  |
| Handling (cuts burns etc)         | 19   | 18   | 12   | 5    | 14   | 68  |
| Struck by Equip/Object/Vehicle    | 13   | 7    | 3    | 6    | 4    | 33  |
| Pre-existing condition or illness | 37   | 42   | 32   | 22   | 21   | 154 |
| Illness                           | 0    | 0    | 0    | 0    | 0    | 0   |
| Chemical/Substance                | 2    | 0    | 3    | 3    | 3    | 11  |
| Contact with Electricity          | 3    | 0    | 0    | 0    | 0    | 3   |
| Violence - threat                 | 1    | 2    | 0    | 0    | 0    | 3   |
| Violence - injury                 | 2    | 2    | 0    | 1    | 3    | 8   |
| Accidents out with College        | 1    | 1    | 0    | 0    | 4    | 6   |
| Others                            | 8    | 11   | 1    | 5    | 14   | 39  |
|                                   | 107  | 103  | 61   | 50   | 76   | 397 |





## Health and Safety Management

The college is required to ensure the health, safety and welfare of its staff, students and visitors. 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 and Safety Committee                           |    |  |   |
| No of meetings held in 2022                           |    | 5  |   |
| Total Action points raised                            |    | 51   |   |
| Actions Raised against H and S Officer                | 18 | H and S Officer currently outstanding  | 1 |
| Next meeting scheduled for                            |    | 22 March 2023  |   |
| Employer's Liability Insurance                        |    |  |   |
| Zurich Employers Liability Insurance                  |    | Expires on 31 July 2023  |   |
| 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 to review RA for start of 2023/2024 term  |   |
| Number of new Risk assessments in 2022                |    | 5 x DSE homeworking<br>5 x maternity<br>2 x care plans<br>3 return to work/staff<br>6 other RA |   |

|  |                    |
|--|--------------------|
| <b>Fire Risk Assessment</b>                    |                    |
| Fire Risk Assessment in place                  | Yes                |
| Review Date                                    | October 2022       |
| <b>Health and Safety Policy</b>                |                    |
| Policy Statement approved by                   | Jackie Galbraith   |
| Next Review date                               | May 2023           |
| Responsibilities currently unassigned          | 0                  |
| <b>Health and safety Procedures</b>            | <b>Review date</b> |
| Accident / Incident reporting                  | December 2023      |
| Lone Working                                   | February 2023      |
| Inspection and Auditing                        | February 2023      |
| Emergency Evacuation                           | August 2024        |
| Work Placement                                 | August 2024        |
| 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           | August 2024        |
| Counter terrorism                              | February 2023      |
| <b>Fire Safety Actions</b>                     |                    |
| Outstanding actions related to fire inspection | 0                  |
| Overdue actions related to fire inspection     | 0                  |
| Last emergency evacuation drill (daytime)      | 20 September 2022  |
| Last emergency evacuation drill (evening)      | 25 October 2022    |
| Next emergency evacuation drill (daytime)      | March 2023         |
| Next emergency evacuation drill (evening)      | March 2023         |

## **Policies and Procedures**

All policies procedures have been reviewed.

## **Scheduled events**

The annual college graduation was held in October and was a full in-person event organised by the Marketing team who were supported by staff from across the college. It was the largest ever ceremony and a great success.

College Development Network meetings continued to be invaluable but were moved to monthly, with a view to moving back to quarterly in 2023.

Health Protection Scotland meetings are now back to quarterly and focus on communicable diseases rather than Covid.

We welcomed Zurich Insurance to conduct the colleges annual business continuity exercise and Police Scotland to deliver counter terrorism training

## Equipment and Plant Maintenance

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

### Statutory Checks Carried Out During 2022:

| Statutory Compliance Testing                          | Date of last check          | Date of next check          |
|---|-----------------------------|-----------------------------|
| Air conditioning maintenance                          | October 22                  | April 23                    |
| Automatic door servicing                              | November 22                 | May 23                      |
| Boiler (gas, coal, oil) servicing and flue extraction | October 22                  | March 23                    |
| Dust extraction                                       | December 22                 | December 23                 |
| Emergency lighting maintenance                        | January 23                  | February 23                 |
| Extract fan/canopy cleaning, testing and sterilising  | July 22                     | July 23                     |
| Fire alarm maintenance                                | January 23                  | July 23                     |
| Firefighting equipment testing                        | December 22                 | December 23                 |
| Fixed electric installation testing                   | July 22                     | July 23                     |
| Fume cupboard testing                                 | March 22                    | March 23                    |
| Gas installation testing, Kitchens                    | August 22                   | August 23                   |
| Hoist testing, 2 post & 4 post car lifts              | December 22                 | December 23                 |
| Intruder alarms                                       | September 22                | January 23                  |
| Lift Maintenance                                      | September 22                | March 23                    |
| Portable Electrical Equipment                         | Ongoing throughout the year | Ongoing throughout the year |
| Uninterrupted electric power supply maintenance       | July 22                     | July 23                     |
| Water hygiene inspection and monitoring (Legionella)  | January 23                  | February 23                 |
| Hair and Beauty equipment                             | July 22                     | July 23                     |

## **Display Screen Equipment (DSE)**

DSE assessments continue to be sent periodically by our Workrite system. New starts are added and sent training links and if staff move or change circumstances e.g. pregnancy (along with the new pregnant mothers training) they are sent a new training link for at home and in the office.

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

There have been many changes throughout the campus during the year:

### ***Building No.1***

Extended the main entrance of No.1 on the Square.

### ***Building No.2***

Completed the extension and enhancement of engineering workshop facilities in No.2 on the Square (Faculty of Computing, Engineering and Built Environment).

### ***Building No.3***

Created a digital health hub in No.3 on the Square (Faculty of Care, Health and Sport).

### ***Building No 4***

Reconfigured the former executive suite in No.4 on the Square to create a student and partnership hub, the Compass Point (Faculty of Access, Employability and Schools) and created a gaming cave.

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

A walk round inspection was carried out in building no.2 and there were thirty-six actions raised. All of these actions were addressed.

## **Staff Experience Group**

We were informed that the Healthy Working Lives award scheme was being stopped which means that our Gold award application which was submitted in 2021 will not go ahead. The staff experience group continued to deliver healthy initiatives in 2022 mainly online and poster campaigns. The staff survey carried out in November showed a positive result on health and wellbeing with 96% of respondents feeling that the college takes positive action on health and wellbeing.

## **Future developments**

This year we carried out assessments of workshops for wood dust, welding fumes and noise as planned. The year ahead will focus on:

- Hand arm vibration (HAVS) testing on equipment.
- Identifying staff training and reviewing the different delivery models in conjunction with the learning and development officer.
- Creation of how to guides, easy access to forms and reference documents relating to different health and safety legislation.
- Working with unions representatives to carry out health and safety walkaround audits which had stopped when the college was in lockdown due to Covid.
- Technicians meeting to share best working practices and ensure consistency throughout the campus.





Agenda Item 4.2 (ii)

Paper 5

For Attention

# **Health and Safety Quarterly Report**

## **October to December 2022**

Author: Emily Purdie, Health and Safety Officer

Date: 23 February 2023

## Introduction

This report provides an overview of the health and safety standards at West Lothian College from October to December 2022. Health and Safety activities this quarter concentrated on reviewing paperwork and files now that we are back to normal after Covid, and looking at how we can make it easier for staff to understand health and safety processes.

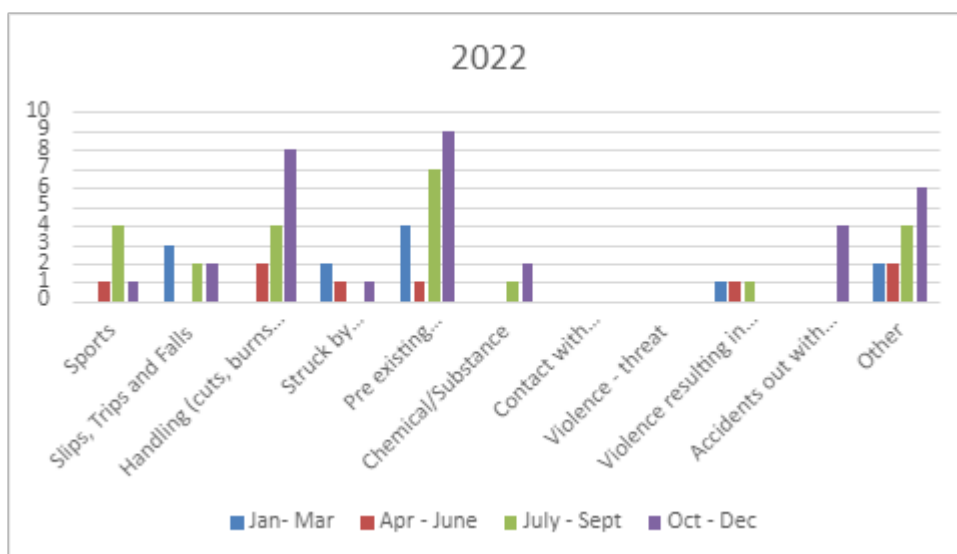
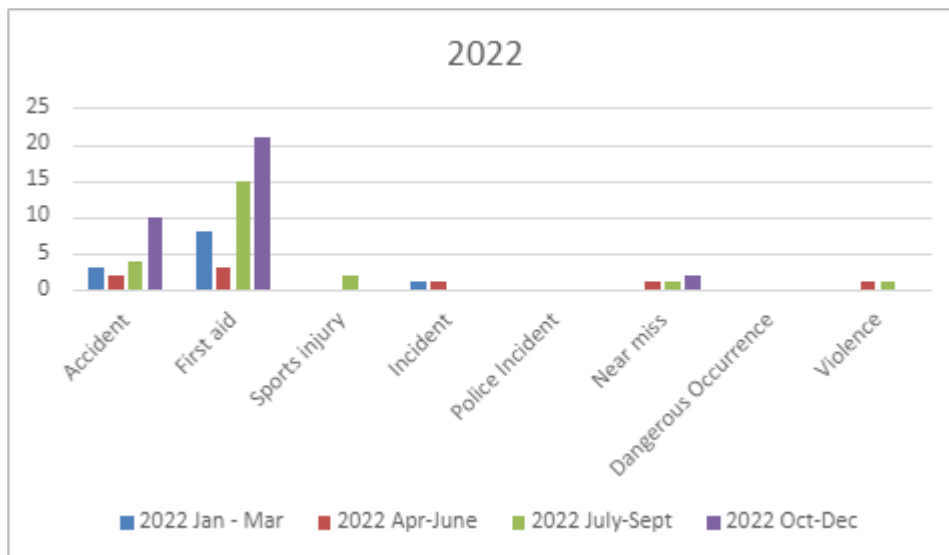
## Accidents, Incidents, Near Misses and Investigations

The monitoring, recording and reporting of accidents, incidents and near misses are a legal requirement that the college actively promotes across the campus. As well as meeting our legal obligation, it allows us to identify where and how risks arise. There were 33 HSF1 forms returned in this period. As figures recorded during Covid don't give an accurate comparison due to fewer students on campus numbers are compared against the same period in 2019 when we had 35 returns. Each report is fully investigated by the college health and safety officer. Appendix 1 shows details of all investigations during this period.

### Data Collection 2022 to date

| 2022                              |           |          |           |           |           |
|-----------------------------------|-----------|----------|-----------|-----------|-----------|
|                                   | Jan-Mar   | Apr-June | July-Sept | Oct-Dec   | TOTAL     |
| Accident                          | 3         | 2        | 4         | 10        | 19        |
| First aid                         | 8         | 3        | 15        | 21        | 47        |
| Sports injury                     | 0         | 0        | 2         | 0         | 2         |
| Incident                          | 1         | 1        | 0         | 0         | 2         |
| Police Incident                   | 0         | 0        | 0         | 0         | 0         |
| Near miss                         | 0         | 1        | 1         | 2         | 4         |
| Dangerous Occurrence              | 0         | 0        | 0         | 0         | 0         |
| Violence                          | 0         | 1        | 1         | 0         | 2         |
|                                   | <b>12</b> | <b>8</b> | <b>23</b> | <b>33</b> | <b>76</b> |
|                                   | Jan-Mar   | Apr-June | July-Sept | Oct-Dec   | TOTAL     |
| Sports                            | 0         | 1        | 4         | 1         | 6         |
| Slips, Trips and Falls            | 3         | 0        | 2         | 2         | 7         |
| Handling (cuts, burns etc )       | 0         | 2        | 4         | 8         | 14        |
| Struck by Equip/Object/Vehicle    | 2         | 1        | 0         | 1         | 4         |
| Pre-existing condition or illness | 4         | 1        | 7         | 9         | 21        |
| Chemical/Substance                | 0         | 0        | 1         | 2         | 3         |
| Contact with electricity          | 0         | 0        | 0         | 0         | 0         |
| Violence - threat                 | 0         | 0        | 0         | 0         | 0         |
| Violence resulting in injury      | 1         | 1        | 1         | 0         | 3         |
| Accidents out with College        | 0         | 0        | 0         | 4         | 4         |
| Other                             | 2         | 2        | 4         | 6         | 14        |
| <b>TOTAL</b>                      | <b>12</b> | <b>8</b> | <b>23</b> | <b>33</b> | <b>76</b> |

|                                 |   |   |   |   |    |
|---------------------------------|---|---|---|---|----|
| Ambulance call outs             | 0 | 0 | 3 | 1 | 4  |
| Taken to hospital               | 0 | 1 | 4 | 5 | 10 |
| Police call outs (MANUAL ENTRY) |   |   | 1 | 1 | 2  |
| RIDDOR                          | 0 | 0 | 0 | 0 | 0  |



### Scheduled events

The college graduation took place on campus on 29 October and made use of the sports hall, Campus Café, Information Point, Compass Point and many other rooms, along with a marquee on the college square.

A company attended building No.2 to carry out noise test on all equipment and air sampling of wood dust and welding fumes. We are still awaiting one report from these tests so this will be included in the next quarterly report.

Due to the number of building changes over the past few years, we also instructed an external company to carry out our annual fire risk assessment, to ensure compliance. The actions from that report are listed in Appendix 2.

We continue with monthly Covid meetings now known as business continuity meetings which ensures we still addresses any situation that arises. At these meeting we are able to discuss the bigger picture of business continuity regarding the impact to staff and students on topics like road closures, school strikes, etc.

## Health and Safety Management

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

|   |    |   |   |
|---|----|---|---|
| <b>Health and Safety Committee</b>                              |    |   |   |
| Last Health and Safety Committee meeting was held on:           |    | 2 November 2022   |   |
| Minutes from meeting have been posted on Sharepoint             |    | Yes   |   |
| Actions raised at Health and Safety committee                   | 10 | Action points against health and safety officer   | 3 |
|   |    | outstanding   | 1 |
| Next meeting scheduled for                                      |    | 2 February 2023   |   |
| <b>Employer's Liability Insurance</b>                           |    |   |   |
| Zurich Employers Liability Insurance                            |    | Expires on 31 July 2023   |   |
| <b>Interventions</b>  |    |   |   |
| HSE Inspections in the last 12 months                           |    | 0   |   |
| Improvement Notices issued in last 12 months                    |    | 0   |   |
| Prohibition Notices issued in last 12 months                    |    | 0   |   |
| Improvements issued by Fire Service in last 12 months           |    | 0   |   |
| <b>Risk assessments</b>   |    |   |   |
| Number of risk assessments due for review                       |    | All risk assessments being reviewed   |   |
| Number of new Risk assessments.                                 |    | Graduation Risk Assessment<br>DSE assessment<br>Maternity Risk Assessment<br>Wheelchair use of new ramp<br>BN1 entrance Risk Assessment |   |
| First aid Risk assessment - Reviewed with First aid coordinator |    | Next review Sept 2023   |   |
| <b>Fire Risk Assessment</b>                                     |    |   |   |
| Fire Risk Assessment in place                                   |    | Yes   |   |
| Review Date   |    | October 2023  |   |
| <b>Health and Safety Policy</b>                                 |    |   |   |
| Policy Statement approved by                                    |    | Jackie Galbraith  |   |
| Next Review date  |    | May 2023  |   |

|  |                   |
|--|-------------------|
| Responsibilities currently unassigned          | 0                 |
| Health and Safety Procedures                   | Review due date   |
| Accident/Incident reporting                    | December 2023     |
| Lone Working                                   | February 2023     |
| Inspection and Auditing                        | February 2023     |
| Emergency Evacuation                           | August 2024       |
| Work Placement                                 | August 2024       |
| 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           | August 2024       |
| Fire Safety Actions                            |                   |
| Outstanding actions related to fire inspection | 0                 |
| Overdue actions related to fire inspection     | 0                 |
| Last emergency evacuation drill (daytime)      | 20 September 2022 |
| Last emergency evacuation drill (evening)      | 25 October 2022   |
| Next emergency evacuation drill (daytime)      | March 2023        |
| Next emergency evacuation drill (evening)      | March 2023        |

### **Staff Health and Wellbeing and Learning and Development**

In October the college introduced a menopause policy which is based on the nationally agreed policy. This provides advice and guidance for managers.

Working with the health and safety officer, work is progressing to improve the health and safety training across the college and strengthen the e-learning area in Moodle for all staff. In addition, training for anaphylaxis awareness and the use of EpiPen was delivered in November to an identified group of staff who support students with severe allergies. A number of managers completed their 'Emergency First Aid at Work' qualification which is required for carrying out their duty manager role.

Fire marshals were given training and issued with a high viz fire marshal vest.

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

No changes to legislation

### **College improvement works**

There has been work undertaken in the Digital Health Hub in Building No.3 to make the kitchen area a functioning kitchen. An extractor was fitted with a working height adjustable hob and oven.

There were five individual sit/stand ventilated pods and one 4-person pod installed in the campus to support hybrid working. These supplement the seven individual videoconferencing pods that have been very well used since installation last autumn.

## APPENDIX 1 – HEALTH AND SAFETY OFFICER’S INVESTIGATION FINDINGS

| No | Date     | Accident/<br>Incident/<br>near miss | HSF1 Detail   | Investigation  |
|----|----------|-------------------------------------|---|--|
| 1  | 03/10/22 | Accident                            | Member of staff was using a trolley to transport papers and laptop but fell over it and landed on face and twisted when fell                                    | Discussed with member of staff about trolley use and how best to store items |
| 2  | 04/10/22 | Accident                            | Student cut hand using a chisel, first aider attended and cleaned wound and dressed, parent collected and taken to be checked                                   | No further action  |
| 3  | 04/10/22 | First aid                           | Student had self-harmed at home, member of staff helped clean wounds  | Member of staff will support student on mental health                        |
| 4  | 04/10/22 | Accident                            | Student applied hand wash to hands then wiped their eye, first aider cleaned and returned to class  | No further action  |
| 5  | 05/10/22 | First aid                           | Student had history of anxiety and was having palpitation, first aider seen and advised to go to A and E, friend took them to hospital                          | No further action  |
| 6  | 17/10/22 | First aid                           | Student came to college with a rash, first aider attended and first aider called 999 as meningitis suspected advised to call 111 or GP as had no other symptoms | No further action  |
| 7  | 19/10/22 | First aid                           | Student had fallen while skiing outside of college, had sore wrist, first aider attended and advised to go for an x-ray   | Student didn't go for treatment  |
| 8  | 19/10/22 | Accident                            | Student bashed hand off door expecting it to be held open for him, first aider attended and wound cleaned and bandaged  | Student went back to class   |
| 9  | 25/10/22 | First aid                           | Student had accidentally hit his hand on a bus shelter off campus, first aider attended and advised to go to A and E  | No further action  |
| 10 | 25/10/22 | Accident                            | Student picked up curlers that were hot not expecting them to be, first aider applied ice pack  | No further action  |
| 11 | 31/10/22 | First aid                           | Student was having hot flushes and feeling dizzy, was taking medication and   | No further action  |

|           |          |           |  |   |
|-----------|----------|-----------|--|---|
|           |          |           | hadn't eaten, first aider got them food and as no one to collect them was taken home by taxi   |   |
| <b>12</b> | 01/11/22 | First aid | Student took suspected overdose and asked for police to come. Police called ambulance. Eventually, police took student to hospital where they stayed overnight | Student is being supported by the Student Support team and the Student Association  |
| <b>13</b> | 02/11/22 | First aid | Student had a headache and dizzy, first aider attended and student took taxi to family members house   | No further action   |
| <b>14</b> | 04/11/22 | Accident  | Student was washing up equipment when cut finger, first aider attended and applied a compress  | No further action   |
| <b>15</b> | 07/11/22 | Near miss | During the fire test, two students tried door in Building No.3 and couldn't break seal, lecturer pushed and broke the seal                                     | Estates confirmed same batch used for all the doors and not sure why this one hadn't worked. Two weeks later, the seals were recalled by the supplier due to failings, all other tabs from doors were removed same day and replaced with new ones issued by company |
| <b>16</b> | 07/11/22 | Near miss | During graduation the lock on top of the new doors at the entrance of Building No.1 fell off, narrowly missing a visitor                                       | The contractor was messaged and came to repair next working day. There have been ongoing problems with these doors since being fitted and head of estates called in company to rectify all problems   |
| <b>17</b> | 07/11/22 | Accident  | Student picked up a mixing bowl that was hot, burned fingers, first aid wrapped in cling film  | Advised to go to A&E  |
| <b>18</b> | 09/11/22 | First aid | Student was feeling faint, first aider attended and brought some food, student was collected and went home   | No further action   |
| <b>19</b> | 14/11/22 | Accident  | Member of staff was in car park and was walking and talking and then fell, could not see anything obvious to   | No further action   |

|    |          |           |  |  |
|----|----------|-----------|--|--|
|    |          |           | have tripped on, was taken home by another member of staff   |  |
| 20 | 16/11/22 | First aid | Student collapsed with abdominal pain, first aider attended and partner collected and taken for treatment                      | No further action  |
| 21 | 16/11/22 | First aid | Student playing football at home was hit in eye, first aider attended class and contacted 111 advised to go to A and E         | Student got taken by taxi to hospital to be checked  |
| 22 | 17/11/22 | Accident  | Student was playing parachute game when it got wrapped around her neck, first aider attended and applied ice pack              | No further action  |
| 23 | 28/11/22 | First aid | Student took a seizure; first aider attended and student was collected by parent   | There is a care plan in place  |
| 24 | 28/11/22 | First aid | Student lost consciousness, first aider called an ambulance called, taken to hospital  | No further action  |
| 25 | 28/11/22 | First aid | Cleaning a knife and cut finger, first aider attendee and dressed  | No further action  |
| 26 | 28/11/22 | First aid | Cut finger when chopping veg, first aider attended and dressed wound   | No further action  |
| 27 | 30/11/22 | Accident  | Student picked up sheet metal with no gloves cutting his hand, first aider attended and dressed wound, was collected by parent | Student had picked up without gloves and lecturer was not aware he had done so, has been trained on PPE use and handling of materials                              |
| 28 | 01/12/22 | First aid | Student was making a tick tock and fell, first aider attended and ice pack applied to knee                                     | No further action  |
| 29 | 05/12/22 | First aid | Same student as No 27 - needed dressing changed by first aider and advised to go to GP to get it checked                       | No further action  |
| 30 | 15/12/22 | First aid | Student using fingerprint powder, complained of rash, first aider attended looked marked and advised to wash                   | Spoke to lecturer product non-hazardous and were all wearing gloves, student advised to wash hands after use. Given lecturer instructions on safe glove removal to |



|           |          |           |   |   |
|-----------|----------|-----------|---|---|
|           |          |           |   | prevent substances touching hand to show students |
| <b>31</b> | 15/12/22 | First aid | Student felt faint and fell on the floor, had been placed in the recovery position, was able to speak and sit up his family had been ill and was ok to sit up and be collected to go home | No further action                                 |
| <b>32</b> | 15/12/22 | First aid | Student didn't look well and had been approached by a member of the Student Support team, taken to first aid room and taken home by taxi  | No further action                                 |
| <b>33</b> | 19/12/22 | First aid | Student had twitching in eye had done for 10 days advised to go to opticians, went with fellow pupil.   | No further action                                 |

## APPENDIX 2 - EXTERNAL FIRE RISK ASSESSMENT REPORT

All actions raised in the fire risk assessment report have been reviewed by the Head of Estates and Sustainability, Maintenance team leader and health and safety officer.

An action plan with dates has been created to review and action any points raised.

Items marked with \* show duplicated actions which are the same for each building but it will be one piece of work that will close it off for all buildings.

| Building number      | Actions raised   |
|----------------------|--|
| <b>Building No 1</b> | Remove combustible items from communal area  |
|                      | New external fire exit to be added to 3 annually inspection                                      |
|                      | Add a self-closer on room that had changed use   |
|                      | Fitted cupboard on fire exit stairs didn't have fire separation                                  |
|                      | Fire vents in gym hall- not actually fire vents but to be tested/maintained                      |
|                      | Move table away blocking a fire extinguisher   |
|                      | *Fire doors in building need to be reviewed for seal/intumescent strips and not shutting         |
|                      | *Gaps in building caused by building works not fire stopped                                      |
|                      | *A heat detector needed to be installed in a room changed purpose                                |
|                      | *A fire cause and affect document to be obtained from Fire monitoring company                    |
|                      | *Update fire signs   |
|                      | *Fire strategy to be updated - This is being done as part of building changes by architect       |
| <b>Building No 2</b> | Housekeeping of Combustible material   |
|                      | Review a door to ensure fire rated   |
|                      | Install closer as changes mean opened classroom straddles the cross-corridor smoke control doors |
|                      | Check sounders in quadrangle can be heard  |
|                      | Smoke detectors hidden in ceiling  |
|                      | Items sitting in escape route  |
|                      | Swap fire extinguishers in two workshop around   |
|                      | Item in front of fire extinguisher   |
|                      | *Fire doors in building need to be reviewed for seal/intumescent strips and not shutting         |
|                      | *A fire cause and affect document to be obtained from Fire monitoring company                    |
|                      | *Update fire signs   |
|                      | *Fire strategy to be updated - This is being done as part of building changes by architect       |
| <b>Building No 3</b> | *Gaps in building caused by building works not fire stopped                                      |
|                      | *Fire doors in building need to be reviewed for seal/intumescent strips and not shutting         |
|                      | *A fire cause and affect document to be obtained from Fire monitoring company                    |
|                      | *Fire strategy to be updated - This is being done as part of building changes by architect       |

|                      |  |
|----------------------|--|
|                      | *A smoke detector needed for change of room use  |
|                      | *Update fire signs   |
| <b>Building No 4</b> | Remove combustibile items from communal area   |
|                      | *Fire doors in building need to be reviewed for seal/intumescent strips and not shutting   |
|                      | *A fire cause and affect document to be obtained from Fire monitoring company              |
|                      | *Fire strategy to be updated - This is being done as part of building changes by architect |
|                      | *Gaps in building caused by building works not fire stopped                                |
|                      | *A smoke detector needed for change of room use  |
|                      | *Update fire signs   |
| <b>Building No 5</b> | Review material of roller shutter  |
|                      | *Fire doors in building need to be reviewed for seal/intumescent strips and not shutting   |
|                      | *A fire cause and effect document to be obtained from Fire monitoring company              |
|                      | *A smoke detector needed for change of room use  |
|                      | item in escape route   |
|                      | *Update fire signs   |

**Audit Committee****INTERNAL AUDIT****Internal Audit Programme 2022-23**

The review of budget setting and monitoring and purchasing and payables was scheduled to take place in January 2023 but has been rescheduled to later in the year due to a major upgrade of the college's finance system taking place at the start of 2023. The review of quality assurance has been completed, however the report has not yet been finalised.

The revised timeline for reports being considered by the Audit Committee is shown in the table below.

| <b>Review</b>   | <b>Outline scope</b>   | <b>Audit Committee meeting</b> |
|---|--|--------------------------------|
| Quality assurance processes                               | Evaluate the adequacy and effectiveness of the college's quality assurance systems with emphasis on the internal verification process  | June 2023                      |
| Staff induction and onboarding                            | Review the processes and procedures for inducting and on-boarding staff. The review will include consideration of the recent changes to the induction programme for lecturers  | June 2023                      |
| IT support helpdesk                                       | Review the effectiveness of the processes around IT support provided to staff and students. The review will consider both proactive and reactive support and will consider how the IT team engages with those who need support | June 2023                      |
| Budget setting and monitoring and purchasing and payables | Review the budget setting and monitoring arrangements in place, to inform monitoring, scrutiny and challenge.  | September 2023                 |

|   |   |  |
|---|---|--|
|   | Evaluate procedures in place for non-pay expenditure and related payments |  |
| Risk management workshop May 2023 – Support the risk management process, through a facilitated risk workshop/risk support with key college personnel. |   |  |

All reviews are expected to be completed within financial year 2022-23.

**Action**

The Committee is asked to note the position with regard to the internal audit programme for 2022-23.

**Jennifer McLaren**

Vice Principal, Finance and Curriculum Services

23 February 2023

## **West Lothian College**

23 February 2023

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### **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 February 2023.

There is one outstanding recommendation and the committee is asked to approve an extension to the previously agreed deadline due to a major upgrade to the finance system. Further information can be given at the Audit Committee meeting if required.

#### **Action**

The Committee is asked to approve a revised deadline of July 2023 for completion of the outstanding internal audit recommendation.

**Jennifer McLaren**

Vice Principal, Finance and Corporate Services



23 February 2023

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

| Status  | March 2022 |          |           | February 2023 |         |           |
|---|------------|----------|-----------|---------------|---------|-----------|
|   | 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         | -             | -       | -         |
| <b>Total</b>  | -          | <b>1</b> | <b>3</b>  | -             | -       | -         |

**2021-22 – (1 August 2021 - 31 July 2022)**

| Status  | March 2022 |         |           | February 2023 |         |           |
|---|------------|---------|-----------|---------------|---------|-----------|
|   | Grade 4-5  | Grade 3 | Grade 1-2 | Grade 4-5     | Grade 3 | Grade 1-2 |
| Completed recommendations by original deadline (subject to Internal Audit Review) | -          | -       | -         | -             | -       | -         |
| Completed recommendations by extended deadline (subject to Internal Audit Review) | -          | -       | -         | -             | -       | -         |
| Outstanding recommendations on target   | -          | -       | -         | -             | -       | -         |
| Outstanding recommendations past agreed deadline                                  | -          | -       | -         | -             | -       | 1         |
| <b>Total</b>  | -          | -       | -         | -             | -       | <b>1</b>  |

| 2021-22 |                        |             |  |  |   |                                |               |  |  |                  |
|---------|------------------------|-------------|--|--|---|--------------------------------|---------------|--|--|------------------|
| No      | Audit Report Topic     | Report Date | Background   | Recommendation   | College Response  | Responsibility                 | Deadline      | Status   | Update/ Comments   | Revised Deadline |
| 1       | Core financial systems | May 2022    | The financial ledger is backed-up on a daily basis, with information stored off site. The back-up process is the responsibility of the College's IT department.<br>However, we were unable to confirm that the back-up process is subject to periodic testing to ensure that information can be successfully restored in the event of IT failure/loss of data. | Back-ups should be periodically tested to ensure that back-up information can be successfully restored in the event of an IT/systems failure.<br>Grade 2 | As part of the investment in our new Digital Infrastructure we will include restore testing on various systems every quarter. This will include core college systems like SUN. We will also build in an Immutable backup which effectively means this is locked and cannot be changed, in the event of a cyber attack the data will be safe from Malware that encrypts data. The new Infrastructure project is underway and will be in place before staff return in August. | Digital Infrastructure Manager | December 2022 | <br> | <p><b>September 2022</b></p> <p>Purchase order raised to upgrade and maintain Sun Business with upgrade date still to be scheduled.</p> <p>Table top cyber incident exercise scheduled for 2<sup>nd</sup> September, with these planned quarterly during 22-23.</p> <p><b>November 2022</b></p> <p>Infrastructure migration project complete, with Virtual Private Network (VPN) access to the offsite backup and disaster recovery centre (DRDC) established.</p> <p>A new server has been commissioned for the Sun Business upgrade, which forms part of the new infrastructure. Backups will be taken locally at the Civic Centre Data Centre (CCDC) and offsite at DRDC.</p> <p>A revised go live for the upgraded system has been set for January 2023, with a test restore schedule to be established from that point.</p> <p><b>March 2023</b></p> <p>The migration of Sun Systems into the colleges new server infrastructure was tested and completed in December 2022 and is now fully integrated into our revised backup and disaster recovery schedules with West Lothian Council.</p> | End January 2023 |



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|  |  |  |  |  |  |  |  |  |  | Detailed work continues with the finance team around the porting, amending and creation of statutory and bespoke reporting, with a revised "go live" date expected for July 2023. | <b>End July 2023</b> |
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