

Glasgow Kelvin College

Audit and Risk Committee – Meeting of 05 September 2023

Audit Action Plan

Report by Director of Estates and Corporate Services

1. Introduction

As members are aware, it is good practice for both management and the Audit and Risk Committee members to monitor progress in implementing the recommendations made by the Internal and External Auditors. Members will recall that it was agreed that the College would maintain an Audit Action plan to provide the Audit and Risk Committee members with details of all 'high', 'medium' and 'low' grade audit recommendations raised by either the internal or external auditors.

The purpose of this report is to provide members with the current Audit Action Plan attached as [Appendix 1](#). The Governance Action Plan (GAP) is a separate document and the actions contained therein are not repeated in the Audit Action Plan. Any actions raised in the Externally Facilitated Effectiveness Review appear in the GAP.

2. Audit Action Plan

**Appendix 1** is the Audit Action Plan as at August 2023. The document has been updated to reflect the current position in respect of the recommendations listed in the plan.

**Appendix 2** provides a list of completed audits and when they are/will be reported to the Audit and Risk Committee.

There are no new audit activities that have taken place since the last meeting of the Audit and Risk Committee.

Assuming the Audit Action Plan update as per Appendix 1 is accepted, the number of recommendations outstanding is as follows:

| Grade        | Nov 2021 | Feb 2022 | May 2022 | Aug 2022 | Nov 2022  | Feb 2023  | May 2023  | Aug 2023        |
|--------------|----------|----------|----------|----------|-----------|-----------|-----------|-----------------|
| High         | 0        | 0        | 0        | 0        | 0         | 0         | 0         | 0               |
| Medium       | 3        | 1        | 0        | 0        | 1         | 1         | 1         | 0               |
| Low          | 2        | 2        | 3        | 5        | 17        | 25        | 26        | 11 <sup>1</sup> |
| <b>Total</b> | <b>5</b> | <b>3</b> | <b>3</b> | <b>5</b> | <b>18</b> | <b>26</b> | <b>27</b> | <b>11</b>       |

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<sup>1</sup> The College considers 4 of these actions as fully implemented and 5 are partially implemented.

### **3. Resource Implications**

The resources implications are mainly in relation to staff time to implement recommendations contained in the Audit Action plan.

### **4. Impact on Students**

There are no negative impact on students identified as a consequence of anything within this report.

### **5. Risk and Assurance**

The Audit Action plan is an important mechanism used to manage risk and control issues raised through independent audit visits. This provides the Committee with management assurance that recommendations made by auditors are being addressed.

### **6. Equality**

No adverse impacts on people with protected characteristics have been identified as a consequence of this report.

### **7. Data Protection**

There are no new data protection matters arising from the contents of this report.

### **8. Environmental and Sustainability**

There are no new environmental and sustainability matters arising from the contents of this report.

### **9. Recommendations**

Members of the Audit and Risk Committee are recommended to:

- i) note the contents of this report and its appendices; and
- ii) approve the Audit Action Plan.

### **10. Further Information**

Members can obtain further information on the contents of this report from Lisa Clark, Director of Estates and Corporate Services - [lisaclark@glasgowkelvin.ac.uk](mailto:lisaclark@glasgowkelvin.ac.uk) or Jeanette Evans, Vice Principal - Operations - [jevans@glasgowkelvin.ac.uk](mailto:jevans@glasgowkelvin.ac.uk)

**LC/JE**  
**Glasgow Kelvin College**  
**August 2023**

## Planned Audits 2023/24

### Planned

- Curriculum Planning – scheduled to take place November 2023. **Report on Audit and Risk Committee of February 2024.**
- Risk Management – scheduled to take place November 2023. **Report on Audit and Risk Committee agenda of February 2024.**
- Corporate Planning - scheduled to take place December 2023/January 2024. **Report on Audit and Risk Committee agenda of February 2024.**
- Staff Development – scheduled to take place January 2024. **Report on Audit and Risk Committee agenda of May 2024.**
- Student Fees and Contracts/Registry - scheduled to take place February 2024. **Report on Audit and Risk Committee agenda of May 2024.**
- Systems Development/Implementation - scheduled to take place March 2024. **Report on Audit and Risk Committee agenda of May 2024.**
- **Follow Up Reviews – scheduled to take place August 2024. Report on Audit and Risk Committee agenda of September 2024.**
- Credits Annual Audit – scheduled to take place September 2024. **Report on the Audit and Risk Committee agenda of November 2024.**
- Student Support Funds (Bursary, Childcare and Hardship Funds) – scheduled to take place September 2024. **Report on the Audit and Risk Committee agenda of November 2024.**

At August 2023

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| Audit Report               | Audit Reference | Original Recommendation                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | Priority | Management Response                                                                                                                                                                                                                                                                                                                                                                                                                                                | Agreed | To Be Actioned By                    | No Later Than | Progress                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | High Priority | Medium Priority | Low Priority | Considered Complete by Owner | Partially Completed |
| Publicity & Communications | 2022/23         | R1 The College Communications & Marketing Framework, covering both External and Internal communications functions, should be completed and published for staff ahead of the 2022/23 academic session.                                                                                                                                                                                                                                                                                                                           | 3        | The College will finalise the new Communications & Marketing Framework, covering both External and Internal communications functions, by September 2022.                                                                                                                                                                                                                                                                                                           | Yes    | Communications and Marketing Manager | 30-Sep-22     | The Communications, Marketing and Stakeholder Engagement Fraemwork 2022-23 was presented ot the Board of Management and approved by it on 29 August 2022. An update was provided on 4 December in light of a restructure of the Marketing Team.<br><br>Fully Implemented.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |               |                 | 1            | Yes                          |                     |
| Sickness Absence           | 2021/02         | R1 The College should review its approach to the completion of RTWs to attempt to improve levels of compliance across the College, including where possible a digital approach to minimise the required paperwork to complete the RTW process. In addition, a digital process would enable a more effective escalation procedure with automatic reminder emails issued to relevant line managers where the required RTW process is not being followed.                                                                          | 3        | The College has been developing an online self-certificate service in partnership with its HR software provider. This will eliminate the need for paperwork and the system will send reminders to managers automatically. The HR Team will carry out a weekly audit of the system to ensure the self-certificate process is complied with by managers.<br><br>The system will be rolled out to all departments by the end of session 20/21.                        | Yes    | Director of People and Culture       | 31-Jul-21     | The recently revised and agreed contract with Cintra for a cloud-based product was effective from 01 December 2022 which was implemented later than originally planned.<br><br>The cloud-based product provides access to the newly launched self-certificate service. The College has tested the online self-service product during the month of January and piloted it with two departments As a result it identified some functional issues that need to be addressed to suit the College's requiriements. HR is currently working with the software provider to adjust the system to meets its needs. The system will be rolled out and functional by June 2023. Managers will be briefed by 31 August 2023.<br><br><del>Revised completion date: 31 January 2023</del><br><del>Revised completion date 30 June 2023</del><br>Fully Implemented                                                                                                                                                                                                             |               |                 | 1            | Yes                          |                     |
| Sickness Absence           | 2021/02         | R2 A target date should be set and monitored for the completion of RTW and formal interviews and the submission of the paperwork to HR. The level of compliance in meeting this agreed target date should be monitored and reported on. Implementation of recommendation<br><br>R1 would also assist in this process, as reminders could be issued when the target date for completion has been missed, and non-compliance with the agreed reporting requirements would be automatically notified to the relevant line manager. | 3        | The online self-certificate system will send reminders to managers automatically within set timescales. The HR Team will carry out a weekly audit of the system to ensure the self-certificate process is complied with by managers.<br><br>The online system will automatically notify managers when a formal interview is required. The HR Team will carry out a weekly audit of the system to ensure the formal interview process is complied with by managers. | Yes    | Director of People and Culture       | 31-Jul-21     | It was anticipated that the online system would be available from 01 December 2022 and managers would be introduced to the service by the end of January 2023.<br><br>The new online self-certificate system became accessible in December 2022 and the HR Team tested the function January to March 2023. Testing and piloting has led to some necessary adjustments and the team is working with the software provider. It is anticipated that the system will be live by June 2023. Managers will be briefed by 31. August 2023<br><br>The HR Team continues to work with managers to ensure that the formal interviews take place within an acceptable timescale from the trigger point being hit. This is monitored by the HR Manager.<br><br>The new online reporting system is now live. Implementation and training on the system will take place as absences occur and when teaching staff return from summer break<br><br><del>Revised completion date: 31 January 2023</del><br><del>Revised completion date 30 June 2023</del><br>Fully implemented |               |                 | 1            | Yes                          |                     |

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| Cash, Bank & Treasury Management | 2021/04 | <b>R1</b> The Financial Procedures (2020) should be updated for all bank accounts such as the Clydesdale Bank account, authorising signatures, and staff who have access to the online bank accounts. The College's Financial Regulations (2018) and Procedures (2020) should also be updated for the College's 'restricted cash handling' policy which was implemented in March 2020.                                  | 3 | Recommendation agreed. The Financial Procedures (2020) will be updated for all bank accounts such as the Clydesdale Bank account, authorising signatures, and staff who have access to the online bank accounts. Recommendation agreed. The College's Financial Regulations (2018) and Procedures (2020) should also be updated for the College's 'restricted cash handling' policy which was implemented in March 2020. | Yes | Finance and Student Funding Manager | 31-Dec-21 | <p>The Financial Procedures were updated in June 2021 to include full information on authorised signatories and who has access to the online banking systems for all banks where the College has accounts. The Financial Procedures were also updated to note the restrictions on cash handling due to COVID-19.</p> <p>The Financial Regulations have not yet been updated to reflect the restricted cash handling policy.</p> <p><b>Revised completion date: 30 September 2022</b></p> <p>The Financial Regulations have been updated to reflect the restricted cash handling policy. The following paragraph was inserted at section 12 - Petty Cash - As of session 2020/21 there are restrictions on cash handling due to COVID19. This will continue to be reviewed and should this change the following will apply.</p> <p><b>Fully Implemented</b></p>                                                                                                                                                                                        |  |  | 1 | Yes |     |
| IT Network Arrangements          | 2021/05 | <b>R2</b> Mechanisms, such as the use of ethical phishing campaigns, should be established to test the effectiveness of the range of security training provided to staff. The areas of the organisation that regularly feature in security incident reports or achieve the lowest feedback from information security questionnaires or training modules, should be the focus for further support and tailored training. | 3 | The College accepts this recommendation and will seek to implement methods to evaluate the effectiveness of the User Education & Awareness program.                                                                                                                                                                                                                                                                      | Yes | Director of Digital Services        | 31-Mar-22 | <p>Cyber Security training is now a mandatory feature of staff training and is provided, and monitored, through the WorkRite system. A recent table-top exercise has been undertaken by the ICT team, which focused on the College's response to a phishing attack. Two staff from ICT services are currently undertaking a course relating to cyber-penetration testing. A simulated phishing exercise has now taken place with staff which was approved by SMT and in consultation with Trade Unions.</p> <p><b>Revised completion date: <del>31 January 2023</del></b><br/> <b>Revised completion date: 1 March 2023</b><br/> <b>Fully Implemented: 1 March 2023</b></p>                                                                                                                                                                                                                                                                                                                                                                           |  |  | 1 | Yes |     |
| IT Network Arrangements          | 2021/05 | <b>R3</b> Tools such as network IDS / IPS or SIEM should be placed on the network and configured to monitor traffic for unusual or malicious incoming and outgoing activity that could be indicative of an attack or an attempted attack. Alerts generated by the system should be promptly managed by the Digital Services team.                                                                                       | 3 | The College acknowledges this recommendation. The College will explore the feasibility of the implementation of SIEM and IDS solutions.                                                                                                                                                                                                                                                                                  | Yes | Director of Digital Services        | 30-Apr-22 | <p>The ICT team has implemented a Zero Trust methodology to provide the network with intrusion detection (IDS) and intrusion prevention (IPS). This will mitigate unwanted lateral movement between systems and detection malicious code. Three SIEM solutions have been investigated, all including a managed service to provide expert threat analysis. Cost managed SIEM solutions have proven prohibitive and not financially sustainable, with the exception of the JISC service. The JISC service is due to commence August 2023, and the college is actively engaged in determining technical specifications and final costs.</p> <p><b>Revised completion date: <del>31 January 2023</del></b><br/> <b>Revised completion date: <del>31 July 2023</del></b><br/> The Director of Digital Services has now received quotes and these are being reviewed. A decision will be made imminently and this action concluded.<br/> Note revised completion date.<br/> Partially completed.<br/> <b>Revised completion date: 30 September 2023</b></p> |  |  | 1 |     | Yes |

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| Student Recruitment & Retention | 2020/02 | R2 Review the individual course guide pages on the College website and identify further opportunities to provide case studies video content, where this can be supported.                                                                                                                                                  | 3 | Agreed.                                                                                                                                                       | Yes | Director of Business Development                   | 30-Jun-20  | <p><b>August 2021:</b><br/>Based on this audit and other feedback, the College has agreed to fully redevelop the current College website. The specification includes reference to greater facility for video content.</p> <p>This redevelopment process is currently at the tender stage.</p> <p><b>Revised completion date:</b> 31 December 2021</p> <p><b>Partially Implemented</b></p> <p><b>Update August 2022:</b><br/>The website provider has now been contracted with a new website due to be completed by December 2022. This will deliver new course guide pages with video content.</p> <p><b>Revised completion date: 31 December 2022</b><br/><b>Fully Implemented: 10 January 2023</b></p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |  |  | 1 | Yes |  |
| Student Recruitment & Retention | 2020/02 | R3 Links to approved departmental social media sites should be added to the individual course guide pages of the College website as a way of channelling potential applicants to information which will provide further insight into programme activities and content and highlight the specific achievements of students. | 3 | Agreed.                                                                                                                                                       | Yes | Director of Business Development                   | 30-Jun-20  | <p><b>August 2021:</b><br/>This will be integrated into the redevelopment of the College website.</p> <p>Revised completion date: 31 December 2021</p> <p><b>Partially Implemented</b></p> <p><b>Update August 2022:</b><br/>The individual course guide pages will be redeveloped as part of the work undertaken during the construction of the new College website.</p> <p><b>Revised completion date: 31 December 2022</b><br/><b>Fully Implemented: 10 January 2023</b></p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |  |  | 1 | Yes |  |
| Business Development            | 2020/07 | R3 The current format of the financial reporting of Non-SFC income should be revisited to allow the progress of the Business Development Team against financial income targets to be monitored more effectively throughout the financial year.                                                                             | 3 | Work has already commenced to address this recommendation and will be further progressed over the next few months to provide enhanced reporting in this area. | Yes | Director of Business Development / Head of Finance | 31/07/2021 | <p><b>Update August 2021:</b><br/>The scope of non SFC income that falls within the remit of the Business Development Team will be reported as follows. Progress against financial income targets, and costs where appropriate, will be reported to the College Finance and Resources Committee once a year. Reporting will generally take place annually at the September Meeting, but as this is the first year, an interim report will be presented in March 2022.</p> <p><b>Revised completion date: - March 2022</b><br/><b>Revised completion date: 20 September 2022</b></p> <p><b>Update August 2022:</b><br/>The Management Accounts to 31 July 2022, which will be presented to the Finance &amp; Resources Committee in September, will include a detailed analysis of non SFC income and this will become part of the annual reporting process. Separately a report and supporting presentation on stakeholder engagement activities will be given to the College Board on 29 August 2022.</p> <p>Stakeholder Engagement paper presented to Board of Management on the 29th August. Section 3 of the 21/22 Management Accounts presents a detailed analysis of non SFC income</p> <p><b>Revised completion date: 20 September 2022</b><br/><b>Fully Implemented 29 August 2022</b></p> |  |  | 1 | Yes |  |

|                                     |         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |     |                                                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |  |   |   |     |  |
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| Student Activity Data               | 2021/08 | <p><b>R1</b> The records for the Digital Support distance learning programme or similar programmes should be improved to ensure that there is a full and centrally accessible record of student engagement and progress with the programme against set time-related milestones. The records should be monitored on a regular basis to identify and exclude from the Credits claim, as appropriate, students who are not continuing with the programme. Copies of records should be retained and made available for audit.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | 2 | <p>The College will clearly specify within its course approval documentation the engagement and progress monitoring requirements for distance learning provision.</p> <p>The MIS Manager will meet with Senior Teaching staff to ensure that they are aware of the administrative requirements of on-line provision</p> <p>Additionally, at the end of each block an audit, to mirror that conducted by the internal auditors, will be carried out on each group, to ensure that procedures and requirements are being met.</p> | Yes | Head of Student Information Services           | <p>Process in place by end of Block One (Dec 2021) and finalised by audit Sept 2022.</p> <p><b>Documentation relating to course approval has been updated to include information relating to deliver mode (flowchart provided).</b></p> <p>The Head of SIS met with all teaching staff involved with delivering the Distance Learning curriculum and advised of the procedures and processes that were required to enable credits to be claimed for this type of programme.</p> <p>Across 2021/22, the Head of SIS conducted an audit on distance learning classes and fed back the findings and recommendations to both the Heads of Department and the associated members of teaching staff. These audits will continue for the 2022/23 session.</p> <p>In Academic Session 2022/23, all activity for distance learning courses will be moved to the Moodle platform. This will assist with reporting throughout the year and with year-end final reports.</p> <p>The Student Activity Data Audit for 2021-22 is now complete with no further actions in this area.</p> <p><b>Revised completion date: 30 November 2022 Fully Implemented</b></p> |  | 1 |   | Yes |  |
| Estates Strategy & Capital Projects | 2022/07 | <p><b>R1</b> The College’s Financial Regulations and Procurement Procedures should be updated to reflect current management, approval levels, and the recent change in legislation in relation to considering VAT in whole life contractual costs.</p> <p>The arrangements for the approval of SSJ over the £25,000 threshold (or identified as higher risk) should be made clearer in the Procurement Procedures. Currently procedures (section 1.7.1.2) state that the Procurement Manager will advise on single tender procedures, however, the procedure is not explicit on the additional authorisation required. Good practice would ensure the Director or Head of Finance signs off higher risk exceptions where a procurement exercise is not conducted. Also the Procurement Procedures should be explicit on the reporting arrangements to the Finance and Resources Committee (or to the Board), including reporting on SSJs, to mirror the arrangements already described in the College’s Financial Regulations.</p> | 3 | <p>The College’s Financial Regulations and Procurement Procedures will be updated as recommended.</p>                                                                                                                                                                                                                                                                                                                                                                                                                           | Yes | Vice Principal Operations/ Procurement Manager | <p>30/09/2022</p> <p><b>Completion date: September 2022 Fully Implemented</b></p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |  |   | 1 | Yes |  |

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| Estates Strategy & Capital Projects | 2022/07 | <p><b>R2</b> Estates management should ensure that they fully adopt the College's Financial Regulations and Procurement Procedures in order to ensure that the College can evidence decision making around contractors' selection and confirm that variables such as quality, due diligence assessments, and sustainability considerations are also assessed, in addition to cost.</p> <p>SSJ Forms should be used as an exception with goods, works or services over £2,000 approved by the Procurement Manager, irrespective of timing of activity.</p> | 3 | The main reason for not fully adhering with good practice was the lack of APUC support at a College and Regional level due to illness and bereavement. Should such circumstances occur again, then support will be sought from APUC nationally. Estates staff are aware of the Procurement Procedures, but they, and wider College staff, will be given refresher training. To be actioned by: Director of Corporate Services | Yes | Director of Estates and Corporate Services Head of Facilities (and Environmental Sustainability and Procurement Manager) | Training<br>31/10/2022 | <p><i>Note: This has not been met due to APUC absences/staff changes.</i></p> <p><b>Update as at 3 May 2023</b><br/>This training has been arranged for 9 May 2023.</p> <p><b>Revised deadline: 23/03/2023</b><br/><b>Revised deadline: 09/05/2023</b><br/><b>Fully Implemented - 9 May 2023</b></p>                                                                                                                                                                                                                                                                                                         |  |  | 1 | Yes |  |
| Student Activity Data               | 2022/11 | <b>R1</b> The College should ensure that programmes and students are correctly classified as full-time or other in line with the Credits guidance.                                                                                                                                                                                                                                                                                                                                                                                                        | 3 | Where appropriate the MoA of the class will be amended to reflect the Credits being allocated for the planned learning of the student, instead of amending the MoA of the student at student enrolment level.                                                                                                                                                                                                                 | Yes | Head of Student Information Services                                                                                     | Throughout<br>2022/23  | <p>Block Release classes with credits due to be &gt;15 were given the MOA 17 at class level, instead of 06. All students enrolled in these programmes would attract the same credits as they are following one programme.</p> <p>Part time classes were left at 08 at class level and any student with credits &gt;15 were amended at enrolment level. Enrolments to part time classes can attract various credit amounts.</p> <p>The SFC Error reports are used to ensure that none of these are missed.</p> <p>Examples of both have been uploaded onto the HL portal.</p> <p><b>Fully Implemented</b></p> |  |  | 1 | Yes |  |
| Student Activity Data               | 2022/11 | <b>R2</b> Review the checks carried out at course set-up to ensure that Credits claimed agree to SQA (or other awarding body) credit rating or planned learning hours/40.                                                                                                                                                                                                                                                                                                                                                                                 | 3 | Head of SIS will ensure that Student Records closely monitor the setup of non-modular activity based on the SQA principle of planned learning hours for a unit. Additionally, Student Records staff will be reminded to ensure that unit Credits and FES2 Planned Credits need to match to ensure the accuracy of the Credit claim                                                                                            | Yes | Head of Student Information Services                                                                                     | Throughout<br>2022/23  | <p>Non-Modular policy had been uploaded on the HL portal which explains the principle that is followed by the Student Records team.</p> <p><b>Fully Implemented.</b></p>                                                                                                                                                                                                                                                                                                                                                                                                                                     |  |  | 1 | Yes |  |

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| Asset and Fleet Management | 2022/11 | <p>R1 The Fixed Asset Procedures should be updated to define the assets that should be tracked on the asset register and those that should not. Consideration should be made to inclusion of detail on the two asset categories identified in the observation.</p> <p>Further guidance should also be provided on valuing donations and on the treatment of depreciation of non-purchased items.</p>                                                                                                                                                                                                                     | 3 | <p>Recommendation accepted. Fixed Asset procedures should be updated to clarify what should be recorded and tracked on the Asset Register.</p> <p>Further guidance on donated assets will also be provided.</p>                                                                                                                                                                                                                      | Yes | Head of Finance/Director of Estates and Corporate Services                                                      | Mar-23 | Fully Implemented                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |  |  | 1 | Yes |  |
| Asset and Fleet Management | 2022/11 | R2 Campus receptionists, purchasing staff and budget holders should be reminded of the new processes to contact Estates on receiving assets (purchased or donated) with a value over £250.                                                                                                                                                                                                                                                                                                                                                                                                                               | 3 | Workshops will be arranged to re-enforce the requirements of the Fixed Assed procedures.                                                                                                                                                                                                                                                                                                                                             | Yes | Director of Estates and Corporate Services/Head of Finance                                                      | Mar-23 | <p><b>Update as at 3 Februrary 2023</b><br/>Slides for workshop in the process of being prepared.</p> <p><b>Update as at 20 March 2023</b><br/>Fixed Asset Procedure training provided during Staff Development Day; this was recorded so that staff can review again. Complete.</p> <p><b>Fully Implemented</b></p>                                                                                                                                                                           |  |  | 1 | Yes |  |
| Asset and Fleet Management | 2022/11 | <p>R3 Budget holders should be reminded of their roles and responsibilities as custodians of College equipment and assets and ensure that local inventories are developed for monitoring the location of items of value.</p> <p>These inventories should be provided to Estates, at least annually, as part of their compliance checks on items and for reporting on disposals to the Finance and Resources Committee.</p>                                                                                                                                                                                               | 3 | Workshops will be arranged with Budget Holders and relevant staff to re-enforce the procedures.                                                                                                                                                                                                                                                                                                                                      | Yes | Director of Estates and Corporate Services/Head of Finance/ Head of Facilities and Environmental Sustainability | Mar-23 | <p><b>Update as at 3 Februrary 2023</b><br/>Slides for workshop in the proces of being prepared.</p> <p><b>Update as at 20 March 2023</b><br/>Workshop held with staff which was recorded too. Training re-enforced procedures in relation to College assets from arrival through to disposal. Complete.</p> <p><b>Fully Implemented</b></p>                                                                                                                                                   |  |  | 1 | Yes |  |
| Asset and Fleet Management | 2022/11 | <p>R4 An electronic process for recording the status of vehicle roadworthiness should be created in order to highlight any red flags or trends. For example, to track the results of safety inspections to determine any trends or cost savings.</p> <p>As a minibus operator, the College must make sure that the system used for recording daily and 10 weekly safety checks, as well as maintenance schedules, meets the requirements of their permit.</p> <p>Minibuses should have additional safety inspections completed at least every 10 weeks in line with UK Government and DVSA requirements for Schedule</p> | 3 | <p>There was a digital system in place, but this was not being used.</p> <p>A new electronic system has been established involving various staff members to ensure there is no single point of failure. This will be closely monitored with records kept in line with guidance provided by auditors.</p> <p>A comprehensive vehicle process is currently being written and refresher training will be provided to vehicle users.</p> | Yes | Director of Estates and Corporate Services/Head of Facilities and Environmental Sustainability                  | Mar-23 | <p><b>Update as at 3 February 2023</b><br/>An electronic process has been established and is in the process of being implemented. Work ongoing.</p> <p><b>Update as at 20 March 2023</b><br/>An electronic deadline process is in place which tracks all vehicle roadworthiness requirements. This is monitored by various estates and management staff so there is no single point of failure. Records are retained for inspection as required. Complete.</p> <p><b>Fully Implemented</b></p> |  |  | 1 | Yes |  |

|                              |         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |   |                                                                                                                                                                                                                                                                  |     |                                                                                                                                             |        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |  |  |   |     |  |
|------------------------------|---------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|---------------------------------------------------------------------------------------------------------------------------------------------|--------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|--|---|-----|--|
| Asset and Fleet Management   | 2022/11 | R5 Mileage should be tracked as part of the daily safety check on minibuses. Good practice would dictate that as well as minibuses the other three vehicles are also checked.                                                                                                                                                                                                                                                                                                                                                                   | 3 | A refresher is required for everyone who uses the College vehicles. A comprehensive step by step vehicle process has been drafted which will have a flowchart attached too for ease with relevant links.                                                         | Yes | Director of Estates and Corporate Services/Head of Facilities and Environmental Sustainability                                              | Mar-23 | <p><b>Update as at 3 February 2023</b><br/>A comprehensive Vehicle Procedure has been drafted.</p> <p><b>Update as at 20 March 2023</b><br/>A comprehensive process has been produced including flow charts for ease of checking. This will be presented to SMT on 21 March 2023.</p> <p>Mileage logs completed as appropriate - all users of vehicles. Complete.</p> <p><b>Fully Implemented</b></p>                                                                                              |  |  | 1 | Yes |  |
| Environmental Sustainability | 2023/01 | R1: We recommend that the College establishes a network of Sustainability Champions who can help share good practice and help staff become aware of initiatives happening within the College or wider sector etc.                                                                                                                                                                                                                                                                                                                               | 3 | A similar approach has been adopted for the Data Protection Privacy Network across the College and this works very well.                                                                                                                                         | Yes | Director of Estates and Corporate Services/Head of Facilities and Environmental Sustainability and Environmental and Sustainability Manager | Jul-23 | <p><b>Update as at 20 March 2023</b><br/>The Environmental and Sustainability Manager has communicated with all College staff in relation to establishing a network of Sustainability Champions. This will be further discussed at the Estates and Sustainability Working Group meeting at the end of March 2023. Positive response from staff to date.</p> <p>Update as at 15 June 2023<br/>Environmental Champion Group established and first meeting held.</p> <p><b>Fully implemented.</b></p> |  |  | 1 | Yes |  |
| Environmental Sustainability | 2023/01 | R2: We recommend that the College ensures that all its strategies take cognisance of its sustainability and climate change objectives and ambitions. This will help embed sustainability and carbon management throughout the whole of the College                                                                                                                                                                                                                                                                                              | 3 | Strategies will be reviewed at next review dates and sustainability embedded as appropriate.                                                                                                                                                                     | Yes | SMT                                                                                                                                         | Jul-23 | <p><b>Update as at 15 August 2023</b><br/>The strategies will be reviewed at each review date and sustainability embedded at that time.</p> <p><b>Revised completion date: 31 July 2024.</b></p>                                                                                                                                                                                                                                                                                                   |  |  | 1 |     |  |
| Environmental Sustainability | 2023/01 | R3: Ensure that adequate training is provided to Estates and Facilities staff on how to optimally configure the BEMS to allow the College to collect, interpret and report appropriate data on energy consumption.                                                                                                                                                                                                                                                                                                                              | 3 | Some training was given by Mitie prior to the COVID-19 lockdown period, however, the passage of time means that refresher training would be welcome and would also allow proper interrogation of the BEMS system in order that it can be used to maximum effect. | Yes | Head of Facilities and Environmental Sustainability/ Environmental and Sustainability Manager                                               | Jul-23 | <p><b>Update as at 15 August 2023</b><br/>Due to the volume of estates works ongoing over the summer period to enable the exit of West End Campus, this training has not been possible to organise.</p> <p><b>Revised completion date: 31 December 2023.</b></p>                                                                                                                                                                                                                                   |  |  | 1 |     |  |
| Environmental Sustainability | 2023/01 | <p>R4: We recommend that going forward the College includes a section on the covering paper to the reports being presented at the Board / Sub-Committee meetings relating to an assessment of the climate impact of the activity being reported. This will help focus people's minds on sustainability and carbon emissions.</p> <p>We also recommend that for any projects / initiatives a section is added to the new project process to include an assessment on the climate and sustainability of undertaking the project / initiative.</p> | 3 | This section will be included as suggested.                                                                                                                                                                                                                      | Yes | SMT                                                                                                                                         | Jul-23 | <p>This section has now been added to reports and agendas.</p> <p><b>Fully implemented.</b></p>                                                                                                                                                                                                                                                                                                                                                                                                    |  |  | 1 | Yes |  |

|                |         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |   |                                                                                                                                                                                                                                                                                                                             |     |                                                    |        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |  |  |   |  |     |
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| Cyber Security | 2023/01 | R1: Ensure that a formal programme of refresher training is established for staff users with a risk-based approach adopted in identifying the frequency of refresher training requirements.                                                                                                                                                                                                                                                                                                                                                                                                        | 3 | Our current cyber security training module is available for all staff, but is not required to be repeated periodically. This will be reviewed. Training workshops will be considered along with simulated cyber-attack exercises and follow-up training, to ensure staff have every opportunity to refresh their knowledge. | Yes | Director of Digital Services                       | Jul-23 | <p><b>Update as at 15 August 2023</b><br/>The current cyber security module is being reviewed to to ensure it is up-to-date and how it can be presented as a refresher package to those staff who have already completed it. Training has been provided at the staff CPD day in March and August 2023 which will continue for future staff CPD sessions. Training is also part of the simulated email phishing exercise, providing short, relevant training aligned with the specifics of the campaign.</p> <p><b>Partially Implemented</b></p> <p><b>Revised completion date - 31 October 2023</b></p> |  |  | 1 |  | Yes |
| Cyber Security | 2023/01 | R2: Ensure that departmental compliance rates for completion of the cyber security training are communicated to departmental line mangers and instances of non-compliance are followed up. Potential barriers to completion of the training should be investigated and remediated.                                                                                                                                                                                                                                                                                                                 | 3 | An initial drive to increase the cyber security training completion rate will be undertaken. Thereafter, ongoing monitoring of compliance will be linked in with recommendation one of this report, to ensure departments are aware of non-compliance.                                                                      | Yes | Director of Digital Services                       | Jul-23 | <p><b>Update as at 15 August 2023</b><br/>Current completion rate for training module stands at 75% of staff. Work is ongoing to increase those completing the module.</p> <p><b>Revised completion date - 31 October 2023.</b></p>                                                                                                                                                                                                                                                                                                                                                                     |  |  | 1 |  | Yes |
| Cyber Security | 2023/01 | R3: A Cyber Incident Response Procedure should be communicated to all relevant staff and stakeholders to ensure that everyone's roles and responsibilities are defined and understood. This should then be supported through appropriate training. The response procedure should then be practised to ensure staff know how to respond during a cyber security incident, and to also highlight any potential weaknesses or gaps in the planned response. Practises should also include restoring systems and files from backups to ensure that recovery times and recovery points can be achieved. | 3 | A simulated large scale cyber incident exercise will be challenging and will affect day-to-day operations. However, a plan for both paper-based practice and live scenarios will be prepared on a sufficient scale to test our incident response, including data recovery from backup systems.                              | Yes | Director of Digital Services                       | Jul-24 | Work on recommendation is ongoing.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |  |  | 1 |  | Yes |
| Cyber Security | 2023/01 | R4: Establish mandatory requirements within procurement procedures for relevant suppliers to provide evidence of current cyber security certifications. Also ensure that relevant suppliers provide copies of recertifications when these are due.                                                                                                                                                                                                                                                                                                                                                 | 3 | Director of Digital Services to work with Procurement Manager to establish best method of including cyber security arrangements within the procurement procedures.                                                                                                                                                          | Yes | Director of Digital Services / Procurement Manager | Jan-24 | Work has begun with APUC to introduce cyber security requirements into the standard contractual terms and conditions for the College. The HR and Finance systems will be the first contracts to be piloted.                                                                                                                                                                                                                                                                                                                                                                                             |  |  | 1 |  | Yes |