

## **AUDIT COMMITTEE**

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The Twenty-fourth meeting of the Audit Committee will be held on Wednesday 26<sup>th</sup> February 2020 at 4.30pm in the Boardroom, Langside Campus.

### **A G E N D A**

<b>20.01</b>	Welcome and Apologies			D Watt
<b>20.02</b>	Declarations of Interests			D Watt
	<b>Minutes of Previous Meeting</b>			
<b>20.03</b>	Minute of the Audit Committee meeting of 27.11.19	P	D	D Watt
<b>20.04</b>	Matters Arising – Action Grid	P	D	D Watt
<b>20.05</b>	Audit Committee Schedule of Work	P	D	J Thomson
	<b>Items for Discussion/Decision</b>			
<b>20.06</b>	Internal Audit Reports	P	D	Henderson Loggie
	- Publicity and Communications			
	- Quality			
<b>20.07</b>	Internal Audit 2019/20 Plan Progress	P	D	Henderson Loggie
<b>20.08</b>	College Strategic Risk Register	P	D	J Thomson
	<b>Items for Information/Noting</b>			
<b>20.09</b>	Internal and External Audit Rolling Action Plan	P	ND	T Elliott
	<b>Continual Improvement</b>			
<b>20.09</b>	Equalities Impact Assessment on Decisions Made			D Watt
<b>20.10</b>	Review of Papers (including Disclosable status)			D Watt
<b>20.11</b>	Any Other Business			D Watt

Date of the next meeting: 4.30pm on Wednesday 20<sup>th</sup> May 2020, in the Boardroom, Langside Campus

## Glasgow Clyde College Audit Committee Schedule of Work 2019/20

### Four meetings in each annual academic session

<b>Meeting 1 – 2<sup>nd</sup> October 2019</b>
Internal Audit Reports as per Plan <ul style="list-style-type: none"> <li>- Health and Safety</li> <li>- ESF Funding</li> <li>- Follow Up Review</li> </ul>
Internal Audit 2018/19 Plan Progress and Plan for 2019/20
College Assurance Framework Interim Update
College Strategic Risk Register
Fraud Response Plan
Approval of Accounting Policies
Internal & External Audit Rolling Action Plan
Audit Scotland Report : Scotland's Colleges 2019
<b>Meeting 2 – 27<sup>th</sup> November 2019</b>
Report on Going Concern
Draft Annual Financial Statements for year ending 31 July 2019
External Audit Annual Report for year ending 31 July 2019
Draft Internal Audit Annual Report 2018/19
College Assurance Framework Update
Draft Annual Report from Audit Committee to Board of Management
Student Activity Data Audit Annual Report
Student Support Funds Audit Annual Reports
Internal and External Audit Rolling Action Plan
Strathclyde Pension Fund Actuarial Valuation Report – Accounting Assumptions
National Fraud Initiative 2018/19 Exercise
College Strategic Risk Register
Audit Committee Schedule of Work
Private meeting with internal and external auditors
<b>Meeting 3 – 28<sup>th</sup> February 2020</b>
Audit Committee Schedule of Work
Internal Audit Reports as per Plan <ul style="list-style-type: none"> <li>- Publicity and Communications</li> <li>- Quality</li> </ul>
Internal Audit 2019/20 Plan Progress
College Strategic Risk Register
Internal & External Audit Rolling Action Plan
<b>Meeting 4 – 20<sup>th</sup> May 2020</b>
Audit Committee Schedule of Work
Internal Audit Reports – as per Plan
Internal Audit Plan 2019/20 Plan Progress and Plan for 2020/21

External Audit Planning Memorandum for 2019/20
Certificate of Assurance
College Assurance Framework Update
College Strategic Risk Register
Internal & External Audit Rolling Action Plan

## Glasgow Clyde College Audit Committee Schedule of Work 2020/21

### Four meetings in each annual academic session

<b>Meeting 1 – September/October 2020</b>
Audit Committee Schedule of Work
Internal Audit Reports as per Plan
Internal Audit 2019/20 Plan Progress and Plan for 2020/21
College Strategic Risk Register
Fraud Response Plan
Approval of Accounting Policies
Internal & External Audit Rolling Action Plan
Audit Scotland Report : Scotland’s Colleges 2020 (as available)
<b>Meeting 2 – November 2020</b>
Audit Committee Schedule of Work
Report on Going Concern
Draft Annual Financial Statements for year ending 31 July 2020
External Audit Annual Report for year ending 31 July 2020
Draft Internal Audit Annual Report 2019/20
College Assurance Framework Update
Draft Annual Report from Audit Committee to Board of Management
Student Activity Data Audit Annual Report
Student Support Funds Audit Annual Reports
Internal and External Audit Rolling Action Plan
Strathclyde Pension Fund Actuarial Valuation Report – Accounting Assumptions
National Fraud Initiative 2019/20 Exercise
College Strategic Risk Register
Private meeting with internal and external auditors
<b>Meeting 3 – March 2021</b>
Audit Committee Schedule of Work
Internal Audit Reports as per Plan
Internal Audit 2019/20 Plan Progress
College Strategic Risk Register
Internal & External Audit Rolling Action Plan

<b>Meeting 4 – May/June 2021</b>
Audit Committee Schedule of Work
Internal Audit Reports – as per Plan
Internal Audit Plan 2020/21 Plan Progress and Plan for 2021/22
External Audit Planning Memorandum for 2020/21
Certificate of Assurance
College Strategic Risk Register
Internal & External Audit Rolling Action Plan

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## **AUDIT COMMITTEE MEETING**

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Date of Meeting	26 February 2020
Paper Title	Internal Audit Reports: <ul style="list-style-type: none"> <li>• Publicity and Communications</li> <li>• Quality</li> </ul>
Agenda Item	20.06
Paper Number	20.06A, 20.06B
Responsible Officer	Henderson Loggie, Internal Auditors
Status	Disclosable
Action	For Discussion

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### **1 REPORT PURPOSE**

The purpose of this paper is to submit to the Committee, for discussion, the following reports which have been produced by the College's Internal Auditors, Henderson Loggie.

- Publicity and Communications
- Quality

### **2 RECOMMENDATION**

2.1 Members of the Audit Committee are invited to discuss the attached papers.

### **3 BACKGROUND**

3.1 The Publicity and Communications internal audit report concludes that there is a good level of assurance in this area meaning that the system meets control objectives. There are three low priority recommendations in the report.

3.2 The Quality internal audit report concludes that there is a good level of assurance in this area meaning that the system meets control objectives. There are no recommendations in the report.

### **4 RISK ANALYSIS**

4.1 There are no specific risk implications in this paper.

**5 LEGAL IMPLICATIONS/FINANCIAL IMPLICATIONS/ REGIONAL  
OUTCOME AGREEMENT IMPLICATIONS**

5.1 The College is required to have an internal audit function undertaken each year as part of the Financial Memorandum.

**6 HAS AN EQUALITY IMPACT ASSESSMENT BEEN CARRIED OUT**

N/A

# Glasgow Clyde College

## Publicity and Communications

**Internal Audit Report No: 2020/02**

**Draft issued: 5 February 2020**

**Final issued: 14 February 2020**

**LEVEL OF ASSURANCE**

**Good**

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## Level of Assurance

In addition to the grading of individual recommendations in the action plan, audit findings are assessed and graded on an overall basis to denote the level of assurance that can be taken from the report. Risk and materiality levels are considered in the assessment and grading process as well as the general quality of the procedures in place.

Gradings are defined as follows:

<b>Good</b>	System meets control objectives.
<b>Satisfactory</b>	System meets control objectives with some weaknesses present.
<b>Requires improvement</b>	System has weaknesses that could prevent it achieving control objectives.
<b>Unacceptable</b>	System cannot meet control objectives.

## Action Grades

<b>Priority 1</b>	Issue subjecting the organisation to material risk and which requires to be brought to the attention of management and the Audit Committee.
<b>Priority 2</b>	Issue subjecting the organisation to significant risk and which should be addressed by management.
<b>Priority 3</b>	Matters subjecting the organisation to minor risk or which, if addressed, will enhance efficiency and effectiveness.



# Management Summary

## Overall Level of Assurance

<b>Good</b>	System meets control objectives.
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## Risk Assessment

This review focused on the controls in place to mitigate the following risks on the Glasgow Clyde College ('the College') Strategic Risk Register:

- O2 - Negative impact on employee relations (e.g. national bargaining, industrial action, local consultation) (risk rating: amber); and
- O3 - Failure to achieve acceptably high standard quality of teaching delivery and support for students and suitable student experience (risk rating: amber).

## Background

As part of the Internal Audit programme at the College for 2019/20 we carried out a review of the College's Publicity and Communications arrangements. The Audit Needs Assessment, completed in November 2017, identified this as an area where risk can arise and where Internal Audit can assist in providing assurances to the Board of Management and the Principal that the related control environment is operating effectively, ensuring risk is maintained at an acceptable level.

## Publicity and Communications

### Scope, Objectives and Overall Findings

This audit considered the systems in place within the College for the management of positive and negative publicity externally, and internal communication.

The table below notes the objectives for this review and records the results:

Objective	Findings			
<b>The specific objectives of this audit were to obtain reasonable assurance that:</b>		<b>1</b>	<b>2</b>	<b>3</b>
1. Policies, procedures and systems in place assist the College to maximise the benefits from positive publicity and effectively manage negative publicity, reducing the potential risk of damage to the College's reputation.	<b>Good</b>	0	0	1
2. Appropriate strategies, procedures, ICT and other systems are in place to assist and encourage internal communication and joint working between campuses and Academic Faculties / Support Services.	<b>Good</b>	0	0	2
<b>Overall Level of Assurance</b>	<b>Good</b>	<b>0</b>	<b>0</b>	<b>3</b>
		System meets control objectives		

### Audit Approach

The Assistant Principal, Quality and Performance, the Head of Marketing and Communications the Assistant Principal, Human Resources, and the Organisational Development Manager were interviewed to determine current working practices.

The College's internal and external communication strategies, policies and procedures were reviewed, and their content benchmarked against good practice, identifying any areas requiring improvement.

## Publicity and Communications

### Summary of Main Findings

#### **Strengths**

- Media Guidelines have been updated and redeveloped which will provide staff with detailed guidance on dealing with media enquiries and the role of the Marketing and Communications Department in supporting this activity;
- Digital and Social Media Guidelines have been developed to provide staff with a detailed framework in relation to digital activity (both in and out of the workplace);
- There is a 'PR Plan' in place which the Marketing and Communications Department deliver in collaboration with the College's appointed external PR agency;
- The Head of Marketing and Communications produces a weekly coverage update and this is shared via a weekly email;
- The College runs 'Student Takeovers' of their social media accounts when groups of students are participating in specific activities away from the College;
- All 12 members of the Senior Leadership Team have been provided with Media Training, with plans in place to provide additional, more in-depth training, for the Principal and the two Vice Principals;
- There is now increased collaboration across the Glasgow Region in regard to communications, through a Marketing and Communications Steering Group;
- Responsible staff are assigned to undertake internal and external key communication activities;
- A range of internal and external communications are being utilised by the College including: Workplace, Face to Face, Email, Skype, Outlook Calendar, Printed Materials, Visual Display Screens, the Staff Intranet, the Clyde Connects Newsletter, the College Website and social media;
- A range of activities are undertaken to support internal communications and joint working between campuses and Academic Faculties / Support Services; and
- The College has responded to feedback from Staff regarding internal communications as part of surveys carried out in 2015 and most recently 2018, alongside workshops held in 2017.

#### **Opportunities**

- The addition of flowcharts, to supplement the recently updated and redeveloped Media Guidelines and the separate Digital and Social Media Guidelines, will allow increased clarity for staff on the recommended actions to be taken in specific circumstances in relation to media enquiries and in engaging in digital and social media;
- There is an opportunity to achieve synergies by bringing together the communications expertise within the College into the Marketing and Communications Department which will control both internal and external communications; and
- With the imminent launch of the redesigned intranet platform and the launch of the Media Guidelines and the separate Digital and Social Media Guidelines it is an opportune time to review the format of the Clyde Connects newsletter to ensure that this document complements the other communication channels used in order to strengthen brand identity.

### Acknowledgements

We would like to take this opportunity to thank the staff at the College who helped us during our audit visit.

# Main Findings and Action Plan

**Objective 1: Policies, procedures and systems in place assist the College to maximise the benefits from positive publicity and effectively manage negative publicity, reducing the potential risk of damage to the College's reputation.**

### **Policies and Procedures**

Media Guidelines have recently been developed which provide staff with detailed guidance on dealing with media enquiries and provide information on the role of the Marketing and Communications Department in supporting this activity. Digital and Social Media Guidelines have recently been developed and these provide staff with a detailed framework which sets out College employees' responsibilities in relation to digital activity (both in and out of the workplace). These guidelines have not yet been shared with staff but will be published on the staff intranet so that they are readily available to all members of staff. We were advised that an email will be sent out, by the Assistant Principal Quality and Performance, to all members of staff to direct them to these guidelines when they are formally launched, and the guidelines will also be referred to within the Principal's Clyde Connects newsletter.

### **Positive Publicity**

There is a 'PR Plan' in place which the Marketing and Communications Department deliver in collaboration with the College's appointed external PR agency. This PR Plan details planned media activity and sets out monthly coverage targets for activity planned from six to twelve months in advance. The PR Plan is focussed on positive news stories and is updated weekly. The relationship with the current PR agency is effective and contact is made on a day to day basis, with formal meetings also taking place at regular intervals. The external PR agency provide a quarterly coverage analysis document to the College to demonstrate the value they are adding, and this helps the College to monitor their performance against the target set to generate 13 separate pieces of media coverage per quarter. The contract with the external PR agency is nearing the end of the contract term so a formal re-tendering exercise will be conducted to test the market and to ensure value for money.

The College also has a 'Content Plan' in place that is delivered by the Marketing and Communications Department without the involvement of the external PR agency. This is a 3 month rolling plan based on what faculties have told the Marketing team and also ties in with National Days/events. The PR and Communications Co-ordinator, who is employed in a full-time capacity, helps to deliver this Content Plan through a mix of Facebook, Twitter and Instagram channels. The external PR agency manage the College's activity on LinkedIn separately. The whole Marketing and Communications Department also have access to the College's Facebook, Twitter and Instagram accounts and will also contribute where applicable. Targets are set for followers and also engagement on these social media platforms and this is reviewed on an ongoing basis with a view to making any improvements deemed necessary. An external agency is utilised to help the College monitor media coverage. The external agency commissioned to monitor coverage was brought in specifically to improve the online tracking of the local footprint. The new arrangements provide enhanced tracking of broadcast coverage.

## Publicity and Communications

**Objective 1: Policies, procedures and systems in place assist the College to maximise the benefits from positive publicity and effectively manage negative publicity, reducing the potential risk of damage to the College's reputation. (Continued)**

### **Positive Publicity (Continued)**

The College also run 'Student Takeovers' of their social media accounts when groups of students are participating in specific activities away from the College. For these events, temporary login details are created, and the students can post content via the College's accounts. The feedback provided on this student content has been favourable with comments focusing on the authenticity of the content.

The Student Association manage their own media channels, but the Marketing and Communications Department also have the relevant login details in order to provide an extra layer of resource and security around these specific student focused communication channels.

The Head of Marketing and Communications produces a weekly coverage update and this is shared via a weekly email with the Principal, the Vice Principal, Curriculum and External Relations and the Assistant Principal Quality and Performance.

### **Negative Publicity**

The Marketing and Communications Department would work closely with the appointed external PR agency to develop a media release should the need for one arise. The Head of Marketing and Communications would brief the external PR agency and they would then compile a press release based on the information provided. If this was a serious matter for the College, then approval would be sought from at least one member of the College Executive Management Team as available. The College would always aim to refrain from a 'no comment' response in these circumstances.

All 12 members of the Senior Leadership Team (SLT) have been provided with Media Training. Plans are already in place to provide additional, more in-depth training, for the Principal and the two Vice Principals, as the people most likely to be required to face the media.

The Business Continuity Plan is managed by the Vice Principal Resources and College Development; although the Marketing and Communications Department would issue information should this be required. There is also a rota in place for SLT for evenings and Saturday mornings when the College is open. This provides details of the contact for the evening receptionist and evening co-ordinator should anything major occur. The Business Continuity Plan has been shared with the external PR agency and plans to conduct a Business Continuity Test Exercise are already in place in order to test the Plan in practice and to determine whether any changes are required.

There is now increased collaboration across the Glasgow Region in regard to communications. A Marketing and Communications Steering Group is now in place with representation from GCRB and all three Glasgow Colleges. The GCRB representative sets the agenda and the three Colleges add to this as required. Also, network meetings are undertaken with the College Development Network to share intelligence and set statements have been prepared for a range of different scenarios to create improved consistency in the tone and content of communications across Scottish Colleges.

## Publicity and Communications

**Objective 1: Policies, procedures and systems in place assist the College to maximise the benefits from positive publicity and effectively manage negative publicity, reducing the potential risk of damage to the College's reputation. (Continued)**

Observation	Risk	Recommendation	Management Response		
<p><b>Media Guideline and Digital and Social Media Guidelines</b></p> <p>We reviewed the recently reviewed Media Guidelines and the separate Digital and Social Media Guidelines and noted that these identified the core values of the College and how these link to the specific aims and objectives set out within the guidelines. The document also sets out roles and responsibilities around responding to media enquiries and engaging in digital and social media activity and provides comprehensive guidance on the principles to be adopted by staff.</p> <p>Following discussion with management it was agreed that the development of flowcharts, which would guide staff through these two guideline documents, would be a useful supplement to the guidance already developed. This will allow increased clarity for staff on the recommended actions to be taken in specific circumstances in relation to media enquiries and in engaging in digital and social media. This will distil the detail down within the guidelines to provide staff with a clear description of what to do should they be approached by the media and on how to engage correctly on social media.</p>	<p>Staff may not be aware of what they are required to do in the event of being approached by the media or while active on social media (in relation to their employment).</p>	<p><b>R1</b> Flowcharts should be developed to supplement the existing Media Guideline and Digital and Social Media Guidelines. Consideration should also be given as to how these flowcharts could be incorporated into future online training provision.</p>	<p>The college agrees that flowcharts would be a useful addition to these guidelines and help to provide clarity for staff in responding to media enquiries and expectations when engaging with social media.</p> <p><b>To be actioned by:</b> Head of Marketing and Communications</p> <p><b>No later than:</b> 31 March 2020</p>		
			<table border="1"> <tr> <td><b>Grade</b></td> <td><b>3</b></td> </tr> </table>	<b>Grade</b>	<b>3</b>
<b>Grade</b>	<b>3</b>				

## Publicity and Communications

**Objective 2: Appropriate strategies, procedures, ICT and other systems are in place to assist and encourage internal communication and joint working between campuses and Academic Faculties / Support Services.**

### **Policies and Procedures**

Internal Communication Guidelines are in place and available to all staff on the staff intranet. These explain the internal communications process for the College and provide staff with guidance on the available internal communication channels. Following feedback from staff, the intranet has been significantly revamped with a view to making the format more intuitive and making it easier for staff to navigate to the information they require and to access policies and procedures. The updated version of the intranet will be launched in February 2020. Internal Communication is covered as an integral part of the staff induction process.

### **ICT**

The College is making use of various digital communication channels, such as Workplace, email, Skype for business, Outlook calendar and the Intranet. The Workplace platform was set up in response to previous staff feedback in order to reduce the volume of emails and to tailor the non-essential communication that was received based on the individual. Sign up for the platform has been relatively static but has been retained as a mechanism for non-essential communication. The intranet is the channel used for core documentation and key information that needs to be disseminated to all staff. There is a named individual responsible for maintaining each section of the intranet which should ensure that the content published is kept up to date. There is a hierarchy of permissions in place on the intranet to ensure that staff can only update their relevant sections. The new intranet will be reviewed in Summer 2020, which will allow analysis of the number of hits on individual pages and sections, with a view to making any changes and applying any enhancements in time for the start of academic year 2020/21. Visual Display Screens are also in place across the campuses and the Marketing and Communications Department control the content displayed on these screens. Software is in place to allow the content to be standardised across all screens.

### **Other Communication Mechanisms**

The Principal sends out the 'Clyde Connects' newsletter fortnightly. This highlights good news stories and draws attention to any relevant information pertinent to staff. All Assistant Principals and the Vice Principals are given the opportunity to contribute to the newsletter. Noticeboards are also in place around the College and a review of these has recently been undertaken to create a register of the location of each noticeboard and to record the content. This will help to ensure that the information posted is managed effectively so that it is kept up to date and relevant.

### **Joint Working**

Due to the working patterns of those staff who regularly work across multiple campus locations (and also the internal communication channels in place) joint working between campuses and Academic Faculties / Support Services is encouraged.

### **Staff Surveys**

Surveys were completed in 2015 and 2018 and workshops were also held in 2017. This prompted much of the work around internal communications such as the work to redesign the intranet and introduce Workplace. We were advised that a 'You Said - We Did' section will be published on the new intranet and the Principal will refer to this in the Clyde Connects newsletter.

## Publicity and Communications

**Objective 2: Appropriate strategies, procedures, ICT and other systems are in place to assist and encourage internal communication and joint working between campuses and Academic Faculties / Support Services. (continued)**

Observation	Risk	Recommendation	Management Response		
<p>Internal Communications responsibilities currently sits with the Organisational Development Department with the responsibility for External Communications resting with the Marketing and Communications Department.</p> <p>Whilst there is evidence of effective working across the teams there is an opportunity to achieve synergies by bringing together the communications expertise within the College into one area i.e. within the Marketing and Communications Department which will control both internal and external communications.</p>	<p>The College may not be making best use of staff skillsets around communication and a consistent approach may not be being taken across internal and external communication channels.</p>	<p><b>R2</b> Consideration should be given to the creation of a single focal point for communications being the Marketing and Communications Department, which would have overall control of both internal and external communications, and with a reporting line to the Assistant Principal, Quality and Performance.</p>	<p>The college agrees that consideration should be given to placing the internal communication function within the Marketing and Communications service. Discussions have already taken place to evaluate the impact of a potential change.</p> <p><b>To be actioned by:</b> College Vice Principals</p> <p><b>No later than: 31 March 2020</b></p>		
			<table border="1"> <tr> <td><b>Grade</b></td> <td><b>3</b></td> </tr> </table>	<b>Grade</b>	<b>3</b>
<b>Grade</b>	<b>3</b>				

## Publicity and Communications

**Objective 2: Appropriate strategies, procedures, ICT and other systems are in place to assist and encourage internal communication and joint working between campuses and Academic Faculties / Support Services. (continued)**

Observation	Risk	Recommendation	Management Response	
<p>There is clear evidence to confirm that significant work has been progressed to ensure that internal communication methods have been updated to address feedback provided by staff over a number of years. With significant changes, such as the relaunch of the redesigned intranet platform imminent, we consider that it may now be an opportune time to review the format of the Clyde Connects newsletter to ensure that this document complements the other communication channels used in order to strengthen brand identity.</p>	<p>Internal Communications channels are not consistent in style</p>	<p><b>R3</b> A review of the format of the Clyde Connects Newsletter should be conducted by the Marketing and Communications Department to ensure that the format used effectively complements the other methods of internal communications deployed within the College as part of a managed portfolio of communication activity.</p>	<p>The college will review the format of the Clyde Connects newsletter to ensure it complements other communication channels and strategies within the college.</p> <p><b>To be actioned by:</b> Head of Marketing and Communications</p> <p><b>No later than:</b> 30 June 2020</p>	
			<p><b>Grade</b></p>	<p><b>3</b></p>

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HENDERSON LOGGIE

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# Glasgow Clyde College

## Quality

**Internal Audit Report No: 2020/03**

**Draft issued: 14 February 2020**

**Final issued: 14 February 2020**

**LEVEL OF ASSURANCE**

**Good**

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## Level of Assurance

In addition to the grading of individual recommendations in the action plan, audit findings are assessed and graded on an overall basis to denote the level of assurance that can be taken from the report. Risk and materiality levels are considered in the assessment and grading process as well as the general quality of the procedures in place.

Gradings are defined as follows:

<b>Good</b>	System meets control objectives.
<b>Satisfactory</b>	System meets control objectives with some weaknesses present.
<b>Requires improvement</b>	System has weaknesses that could prevent it achieving control objectives.
<b>Unacceptable</b>	System cannot meet control objectives.

## Action Grades

<b>Priority 1</b>	Issue subjecting the organisation to material risk and which requires to be brought to the attention of management and the Audit Committee.
<b>Priority 2</b>	Issue subjecting the organisation to significant risk and which should be addressed by management.
<b>Priority 3</b>	Matters subjecting the organisation to minor risk or which, if addressed, will enhance efficiency and effectiveness.

# Management Summary

## Overall Level of Assurance

<b>Good</b>	System meets control objectives.
-------------	----------------------------------

## Risk Assessment

This review focused on the controls in place to mitigate the following risks on the Glasgow Clyde College ('the College') Strategic Risk Register:

- O3 - Failure to achieve acceptably high standard quality of teaching delivery and support for students and suitable student experience (risk rating: amber).

## Background

As part of the Internal Audit programme at the College for 2019/20 we carried out a review of the College's quality arrangements. The Audit Needs Assessment, completed in November 2017, identified this as an area where risk can arise and where Internal Audit can assist in providing assurances to the Board of Management and the Principal that the related control environment is operating effectively, ensuring risk is maintained at an acceptable level.

During 2017, new and significantly revised quality arrangements and an associated framework were introduced for colleges in Scotland. The framework, How Good Is Our College? (HGIOC?), builds on the existing effective internal quality arrangements within colleges and aligns with Education Scotland quality arrangements for other sectors. Through the use of HGIOC?, colleges and their stakeholders identify what is working well and what needs to improve. The framework is based on the four high level principles (which in turn are underpinned by challenge questions and quality indicators):

- Leadership and quality culture;
- Delivery of learning and services to support learning;
- Outcomes and impact; and
- Capacity for improvement.

In responding to these principles, each college produces an Evaluative Report and an associated Enhancement Plan. These describe the methodology and approaches taken to evaluation and the context in which the evaluation was carried out. Evidence gathered is used to evaluate the accuracy and appropriateness of the college-devised Evaluative Report, Enhancement Plans and associated proposed grading outcomes. Submitted reports are subject to independent scrutiny and endorsement procedures. Individual college reports and associated endorsement statements are published on the Education Scotland website.

## Quality

### Scope, Objectives and Overall Findings

This audit considered the systems in place within the College to review compliance with the College's quality procedures by Faculties and also reviewed the progress the College is making to implement the actions identified within its Enhancement Plan.

The table below notes the objectives for this review and records the results:

Objective	Findings			
<b>The specific objectives of this audit were to obtain reasonable assurance that:</b>		<b>1</b>	<b>2</b>	<b>3</b>
1. The College's quality procedures are being adhered to in key areas	<b>Good</b>	0	0	0
2. Progress is being made with implementation of the actions identified in the College's Enhancement Plan.	<b>Good</b>	0	0	0
<b>Overall Level of Assurance</b>	<b>Good</b>	<b>0</b>	<b>0</b>	<b>0</b>
		System meets control objectives		

### Audit Approach

We held meetings with the Assistant Principal, Quality and Performance, the Quality Co-ordinators in the Quality Team, the Assistant Principal, Faculty of Health and Wellbeing, the Head of Management. Information Services (MIS) and the Programme Leader, Research and Development Programme / Teaching Fellow in the Research and Development Team to discuss the College's approach to quality and the impact this has in supporting learning and teaching across the College .

We reviewed the progress dashboard on the College Enhancement Plan 2018/19, together with a raft of information provided around student focus groups, student satisfaction, performance dashboards, external verification reporting, the Senior Lecturer evaluation report, complaints and the updating of College policies and procedures. We also reviewed a number of research papers produced through the Research and Development Programme, which is funded by the Glasgow Clyde Education Foundation.

## Quality

### Summary of Main Findings

#### **Strengths**

- The College has an established quality assessment process, which has been developed in line with Scottish Funding Council guidance;
- The use of performance data allows an intelligence led approach to be taken, with a specific focus placed on underperforming HE and FE programmes;
- 'Programmes under review' have been introduced for academic year 2019/20, which allows those programmes, where additional interventions are deemed necessary, to be formally recorded and tracked;
- From a quality perspective there are two main student surveys undertaken annually;
- A schedule of Learning and Teaching Focus Groups is in place with a standard approach delivered by the independent Quality Team;
- A Research and Development programme is in place which is funded by the Glasgow Clyde Education Foundation;
- A class representative system is in place across the college with direct linkages to the Student Association;
- A Professional Pathways programme has been implemented to support achievement of the Teaching Qualification in Further Education (TQFE) and reskilling under TQFE;
- The Quality Team has a key role in overseeing the process to update policies and procedures across the College;
- The Quality Team produce a Complaints Handling Procedure Annual Report;
- The College approach is set out within an evaluation cycle with standard templates in place to develop the Evaluative Report and Enhancement Plan (EREP); and
- In September each year the College Principal chairs evaluation validation meetings where each of the Heads of Curriculum reports to a panel which considers and evaluates an action plan for improvement and the outcome of this process supports the information shown in sections 3.1 and 3.2 of the College's Enhancement Plan.

#### **Weaknesses**

- There were no weaknesses identified during our review.

### Acknowledgements

We would like to take this opportunity to thank the staff at the College who helped us during our audit visit.

## Main Findings and Action Plan

### Objective 1: The College's quality procedures are being adhered to in key areas

The College has an established quality assessment process, which has been developed in line with the Scottish Funding Council guidance 'Arrangements for assuring and improving the quality of provision and services in Scotland's colleges' and HGIOC?

We confirmed that the use of performance data allows an intelligence led approach to be taken, with a specific focus placed on underperforming HE and FE programmes (full time and part time courses). A RAG rating system is used with trend reports to track three year trends in attainment with any course performing at less than 65% attainment categorised as red, attainment between 65% and 79% categorised as amber and attainment above 80% categorised as green. This allows the impact of any interventions made by the Quality Team to be monitored to ensure effectiveness. Our review of the Summary Grades for outcomes and impact demonstrated the detailed information which is available in a visual format which allows underperforming courses to be identified and appropriate action taken.

'Programmes under review' have been introduced for academic year 2019/20. This process allows those programmes, where additional interventions have been deemed necessary, to be formally recorded and tracked. The Assistant Principal, Quality and Performance leads on any programme intervention, with the support of the relevant Curriculum Assistant Principal. Each programme intervention involves a face to face meeting with the relevant Senior Lecturer and their line manager. In 2019/20 the evaluation process to identify the programmes for intervention was carried out prior to Christmas with follow up meetings scheduled for February. However, we were advised that in future the evaluation exercise will be completed earlier in the academic year so that the meetings can be scheduled earlier.

Through discussion with the Head of MIS we established that significant resource had been directed to data cleansing and making sure that the relevant checks have been completed to ensure that the data contained within the monitoring reports, which are distributed to a range of staff across the college, is robust. These reports provide an early warning to staff where performance has dipped below predetermined levels. This is supplemented by a credit monitoring report which is produced for each course and is accessible via the College intranet. The onus rests mainly on Heads of Curriculum to discuss any anomalies arising from these datasets with the relevant Senior Lecturer and to agree corresponding strategies to improve performance. Protected time is set aside each Wednesday afternoon for Senior Lecturers to hold a weekly workshop to examine quality assurance activity.

## Quality

### Objective 1: The College's quality procedures are being adhered to in key areas (Continued)

Credit monitoring is a standing agenda item for the fortnightly Senior Leadership Team meetings. In the intervening weeks there are Curriculum Assistant Principals (CAPs) meetings which are chaired by the Vice Principal, Curriculum and External Relations. These meetings are also attended by the Assistant Principal, Quality and Performance; the Assistant Principal, Student Experience; and the Head of MIS. These meetings allow a specific focus on credits monitoring but also have a clear focus on quality and performance. The dashboard information is also made available through the dedicated SLT section on the intranet.

In addition, benchmarking has been undertaken to compare College performance against national benchmarks. This provides a like for like comparison with attainment on similar courses in any given academic year (recognising that attainment can fluctuate depending on the type of course).

We reviewed the latest available papers for the Learning and Teaching Committee and noted that reports were discussed on student engagement activity, learner withdrawal and also the summarised outcomes of the Learning and Teaching Focus Groups delivered by the Quality Team. Reports are also presented to the Board Development Days which provide performance data, improvement actions and reflections on the progress made in delivering agreed actions. These reports are presented for discussion by the Board Members, without any fixed solutions being proposed in relation to the data presented. This approach is designed to encourage input from Board Members in developing approaches and making suggestions for future actions. Workplans are in place for the Learning and Teaching Committee (and other Board committees) to ensure that standard reports are programmed into the annual committee cycle.

From a quality perspective there are two main student surveys undertaken annually. The first survey undertaken is an "early impressions" survey which is carried out across all cohorts and focuses on the pre-entry process; the interview stage; the induction process; and the early teaching experience. The second survey is undertaken in March/April each year and contains the ten core questions laid down by the SFC. In recent years this survey has become much more targeted (having previously contained a variety of other supplementary questions). The target set by the college is to achieve a return rate in excess of 50% and broadly speaking this has been achieved for FE and HE full time cohorts. This equates to an annual response in the region of 4,000 students. The results of this survey are routinely reported to the SFC in April/May each year.

The data extracted from this survey is analysed by the Quality Co-ordinators who share the findings with staff in Student Admissions. This allows any issues relating to specific courses to be highlighted and appropriate action taken and also to explore whether there are any generic issues across HE/FE or full time/ part time courses or if there are campus specific trends emerging. This "early impressions" survey is undertaken in October each year with the data gathered published by the end of Block 1. This information is shared with all Heads of Curriculum and with Support Managers. The outcomes of the survey are also reported to the CAPs meeting and to the Senior Leadership Team. The student survey is available on the student intranet and can be completed individually or as a class group. Lecturers are encouraged to discuss the completion of the survey with their class groups.

## Quality

### Objective 1: The College's quality procedures are being adhered to in key areas (Continued)

The other student feedback route is via the Learning and Teaching Focus Groups referenced earlier. These are meetings facilitated by one of the three Quality Co-ordinators without the Lecturer present. A standard set of questions has been prepared to capture the student perspective on the quality of their learning and teaching experience. After each Focus Group session, the findings are collated and fed back to the students to sense check them. They are then forwarded to the relevant Senior Lecturer and to the relevant Head of Curriculum. If the feedback is critical of the teaching of a specific member of staff, then the onus is placed on the Senior lecturer and the relevant Head of Curriculum to deal with this appropriately. The Focus Groups are selected based on a risk assessment informed by the data. There is also an inherent link to the Programmes under Review highlighted above and all courses selected as part of that process would automatically be subject to a Focus Group.

Where individual lecturers have flagged that they require additional support then this is available through a small team of Teaching Fellows who provide targeted support around "Classroom Essentials" for all unqualified staff before they commence teaching. The achievement of the Teaching Qualification for Further Education (TQFE) is the accepted target for all lecturing staff and all staff must demonstrate that they are working towards this level. The research programme is funded by the Glasgow Clyde Education Foundation and revolves around individual one to one coaching and mentoring with a focus on delivering improved student outcomes. This programme has been in place for around a year and forms part of a range of learning opportunities presented to teaching staff such as facilitated workshops, development papers and podcasts. We reviewed a number of the research papers produced by the teaching fellows and this body of work demonstrates a structured and rigorous approach to improving student recruitment and retention and crucially building capacity across the College to sustain the work which has been progressed. We also reviewed the independent evaluation of the Research and Development programme which examined the first phase of what is a 30 month programme from December 2018 to June 2021. The independent evaluation report concluded that the first two aims of the programme, around building capacity among senior lecturers and developing effective collaborative relationships, are beginning to be achieved and that "the programme is having an impact on Senior Lecturers understanding of self-evaluation and factors that can influence student retention and attainment".

Work has commenced within the College to put in place a more formal framework of peer review of learning. Whilst there are currently informal arrangements in place the need to develop a more formal approach has been recognised by senior management and collaborative discussions with the other colleges in the Glasgow region are already underway. The new terms and conditions for teaching staff includes the requirement for "learning observation" and the work already underway will seek to develop a team of qualified observers with the capability to go into classroom settings and share their experience through peer learning.

A class representative system is in place across the college with direct linkages to the Student Association. The Student President sits on the Learning and Teaching Committee to ensure that there is a strong student voice around the learner experience. Class representatives meet regularly with Student Engagement Officers

The discussions at the CAPs meetings, and the use of College data, informs curriculum planning and discussions around the viability of the portfolio of courses. This is enhanced by the attendance of the Vice Principal, Curriculum and External Relations on the Regional Learning and Teaching Group, which includes representation from the Glasgow Colleges Regional Board and the SFC.

We noted that the reporting line for the three Quality Co-ordinators is directly to the Assistant Principal, Quality and Performance and whilst the current structure does not appear to hamper the ability of the team to deliver, we would suggest that this arrangement should be reviewed periodically to ensure that the existing structure continues to meet the needs of the College.

## Quality

### **Objective 1: The College's quality procedures are being adhered to in key areas (Continued)**

It is clear from our discussions and review of documentation that the arrival of the Principal has coincided with a renewed focus around “celebrating success” and this is demonstrated by the fortnightly request for nominations for staff who have made a special contribution. The College also recognises the benefit of taking part in awards processes, whilst also recognising that the time commitment to develop proposals and the cost of attending these awards ceremonies must be balanced with the benefits accruing for the College.

Our review of the reports presented to the Learning and Teaching Committee demonstrates that a plethora of performance information on learning and teaching outcomes is reported throughout the academic year. However, the current format of reporting means that performance against ROA measures is not readily identifiable within the range of performance data presented. There are plans in place to explore the possibility of revising the current reporting framework so that the linkages with ROA measures are more transparent.

### **Good Practice Points**

A Professional Pathways programme has been implemented to support achievement of TQFE and reskilling under TQFE. This work is led by the three Teaching Fellows in collaboration with colleagues in research and development and organisational development.

The Quality Team has a key role in overseeing the process to update policies and procedures across the College in line with the procedure document ‘College Policy and Procedure Development, Approval and Review’ which sets out the agreed approach. This approach recognises the importance of robust, up to date policies in improving and sustaining quality across the College so we would highlight the role of the Quality Team in this regard as a good practice point which we have not encountered in any other College setting.

The Quality Team also has a key role in dealing with complaints and produce a Complaints Handling Procedure Annual Report which summarises the complaints dealt with during each academic year and describe any lessons learned.

## Quality

### **Objective 2: Progress is being made with implementation of the actions identified on the College's Enhancement Plan.**

The College approach is set out within an evaluation cycle with standard templates in place to develop the Evaluative Report and Enhancement Plan (EREP) which all Colleges in Scotland are required to submit. Therefore, although there are no formal College procedures in place for evaluation there is a structured approach with guidelines and standard documentation and a schedule of activities which supports the production of the Enhancement Plan and links with the operational planning process. The main cohort of staff involved in the evaluation cycle are the Senior Lecturers who are required to complete the evaluation forms in June each year. These are then supplemented by a second report which is developed once specific data is made available as the academic year progresses. The evaluation reports are signed off by one of the 15 Heads of Curriculum (HoC). We reviewed the template form used for the HoC Evaluation Report and enhancement Plan undertaken in August 2019 and noted that this document captured the progress made in taking forward high level actions from the October 2018 Validation Meetings; a review of the 2018/19 performance indicators; evaluation of key themes arising from stakeholder feedback received during 2018/19 improvements planned for 2019/20; evaluation of recruitment against target by course and strategies for improving recruitment (as required); and the identification of an overall grade for each School in relation to Outcomes and Impact for each mode of study. The overall grade covers HE and FE and full time and part time students and is supported by a detailed description for each of the six grades (which range from Excellent to Unsatisfactory).

In September each year the College Principal chairs evaluation validation meetings where each of the HoC reports to a panel which comprises of the Principal, the Vice Principal, Curriculum and External Relations, the Assistant Principal, Quality and Performance, the Assistant Principal Student Experience and the relevant Curriculum Assistant Principal (in their role as line manager). The discussion at these evaluation validation meetings is informed by a comprehensive performance dashboard which provides the functionality to drill down into performance information on student retention and attainment. The dashboard allows data to be broken down to individual Senior Lecturer level and covers HE and FE courses and full time and part time courses. Our review of the dashboard information confirmed that live data is made available on the number of enrolments, the number of withdrawals, credits and achievement. An action plan for improvement is presented for consideration and evaluation by the panel and the outcome of this process supports the information shown in sections 3.1 and 3.2 of the College's Enhancement Plan.

The EREP for 2018/19 was shared with the Student Association and we were advised that there will be a specific focus around consultation with the student body going forward in shaping future iterations of the EREP reports. Work is currently ongoing to reshape the Enhancement Plan for 2019-20 with a specific focus around identifying the actions on the EREP which go beyond one year and to align lead responsibility for each action to a named individual in the 2019/20 iteration of the Enhancement Plan. This recognises that 2018/19 is the first year of the framework and that the arrangements are still evolving.

The Evaluation Activity scheduled for academic year 2019/20 includes a specific milestone for the production of a report (Report 1) in December 2019 which captures the progress made on actions from SL Evaluation Report 2 and Enhancement Plan 2018/19. This will be supplemented by a second report (Report 2) in May 2020 which will evaluate the actual or projected performance for all 2019/20 courses (i.e. the 'Success' or 'Unknown' column) against 2018/19 data, and where applicable, reflect on the interventions and actions for improvement put in place for low performing courses detailed in Report 1.

From our review of the progress dashboard on the College Enhancement Plan 2018/19 we noted three specific areas for improvement under the Inclusion and Equality heading. The College has taken a targeted approach to addressing equalities issues and a separate report on Equalities outcomes is now produced annually with information provided by the Heads of Curriculum and the Support Managers.

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**AUDIT COMMITTEE MEETING**

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Date of Meeting	26 February 2020
Paper Title	Internal Audit Plan 2019/20 Progress Report
Agenda Item	20.07
Paper Number	20.07A
Responsible Officer	Janet Thomson, Vice Principal Resources and College Development
Status	Disclosable
Action	For Discussion

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**1. REPORT PURPOSE**

The purpose of this report is to provide a summary of the progress against the Internal Audit Plan for 2019/20, as being completed by Henderson Loggie.

**2. RECOMMENDATION**

Committee Members are invited to review and discuss this paper.

**3. BACKGROUND**

The attached shows the planned timescales for reporting to the Audit Committee for each of the audit areas within the 2019/20 Internal Audit Plan.

**4. RISK ANALYSIS**

There are no specific risk implications in this paper.

**5. LEGAL IMPLICATIONS/ FINANCIAL IMPLICATIONS/ REGIONAL OUTCOME AGREEMENT IMPLICATIONS**

The College is required to have an internal audit function undertaken each year as part of the Financial Memorandum.

**6. HAS AN EQUALITY IMPACT ASSESSMENT BEEN CARRIED OUT**

N/A



# Glasgow Clyde College

**Internal Audit Progress Report  
2019/20 Annual Plan**

26 February 2020

Now, for tomorrow

# Internal Audit Progress Report

## February 2020

Progress with the annual plan for 2019/20 is shown below.

Audit Area	Planned reporting date	Report status	Report Number	Overall Conclusion	Audit Committee	Comments
Annual Plan 2019/20	October 2019	Draft 19/08/19 2 <sup>nd</sup> Draft 18/09/19 Final 27/11/19	2020/01	N/A	02/10/19 & 27/11/19	
Publicity and Communications	February 2020	Draft 05/02/20 Final 14/02/20	2020/02	<b>Good</b>	26/02/20	
Quality	February 2020	Draft 14/02/20 Final 14/02/20	2020/03	<b>Good</b>	26/02/20	
Investigation report	N/A	Draft 10/01/20 Final 14/02/20	N/A	N/A	N/A	The unallocated days included in the Annual Plan 2019/20 have been utilised to complete this review. There are 5 improvement actions arising from the investigation.
Staff Recruitment and Retention / Staff Development	May 2020					Fieldwork to be completed in April 2020
Cash and Bank / Treasury Management	May 2020					Fieldwork to be completed in April 2020

Audit Area	Planned reporting date	Report status	Report Number	Overall Conclusion	Audit Committee	Comments
Equalities	October 2020					Fieldwork to be completed in June 2020
IT Network Arrangements	May 2020					Fieldwork to be completed in April 2020
Follow-Up Reviews	October 2020					Fieldwork to be completed in June 2020



## Internal Audit Progress Report February 2020

In addition, College management has requested that we undertake the following audits, which are required by the Scottish Funding Council but are not included in the “core” internal audit programme:

Audit Area	Planned reporting date	Report status	Report Number	Overall Conclusion	Audit Committee	Comments
Credits audit	September 2020 – Audit Committee November 2020					
Bursary, childcare and hardship funds	September 2020 – Audit Committee November 2020					
EMA audit	September 2020 – Audit Committee November 2020					

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## AUDIT COMMITTEE

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Date of Meeting	26 February 2020
Paper Title	College Strategic Risk Register
Agenda Item	20.08
Paper Number	20.08A
Responsible Officer	Janet Thomson, Vice Principal Resources and College Development
Status	Disclosable
Action	For Noting

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### 1 REPORT PURPOSE

- 1.1 The Report considers the College's Strategic Risk Register, which is updated regularly and reported to each Audit Committee and to the Board of Management on a quarterly basis.

### 2 RECOMMENDATION

- 2.1 Members are invited to NOTE this paper.

### 3 BACKGROUND

- 3.1 The College Strategic Risk Register is a key part of the College's risk management framework, which is updated regularly and considered quarterly by College Senior Management.

### 4 RISK ANALYSIS

- 4.1 The College Strategic Risk Register, as at 17 February 2020, is attached. There are some minor changes as highlighted in red since last reported to the reported to the Board of Management at its November meeting.
- 4.2 The scoring of one risk after mitigating actions has been increased i.e. risk O1 Failure of College operational processes/ systems /ICT infrastructure where the risk probability has been increased from 3 to 4 given the College's awareness of a cyber attack at a Scottish College recently.

### 5 LEGAL IMPLICATIONS/FINANCIAL IMPLICATIONS/ REGIONAL OUTCOME AGREEMENT IMPLICATIONS

- 5.1 The College is required to have a risk register as part of the Financial Memorandum.

**6 HAS AN EQUALITY IMPACT ASSESSMENT BEEN CARRIED OUT**

N/A

GLASGOW CLYDE COLLEGE - STRATEGIC RISK REGISTER										as at 17th February 2020					
Score Before Mitigating Actions										Score After Mitigating Actions					
Risk Ref	New Risk Description	Risk Category	Link to Development Plan Goal	Risk Owner	Probability	Impact	Risk Score	Mitigating Actions	Probability	Impact	Risk Score	Risk Ranking after mitigating actions	Risk Timing - Short / Medium / Long Term	Risk Score at last report to the Board	Risk Increasing/ Decreasing/ No Change
<b>Financial Risks</b>															
F1	Failure to achieve surplus targets for commercial activity	Financial	Goal 3 & Goal 4 - Contributing to the local, regional and national economy, & ensuring operational effectiveness and efficiency	Assistant Principal International and Business Development	5	5	25	i) Ambitious commercial income/surplus growth plan agreed for 2019/20 through to 2022/23 with detail of how this will be achieved across the five main activity types. <b>Overall income figures may have some offset from increased Flexible Workforce Development Activity.</b> ii) Regular monitoring between Business Development Unit and Faculty Management of commercial activity and replacement activity identified as required. iii) Pipeline of activity managed to meet overall targets. iv) Costing templates completed for all commercial activity. Further monitoring of in year staff costs transfers of permanent staff costs ongoing. v) Increased engagement and marketing effort to maintain current business but also to open and grow new income streams. vi) Spread of activity across a range of activity areas to reduce risk of one large contract failure to overall surplus. vii) Review and develop market opportunities through business development strategy and grow new markets.	4	5	20	F1	Medium	20	No change
F2	Failure to reduce College cost base on managed basis to meet requirements of the five year financial forecast	Financial/ Organisational	Goal 4 - Ensuring operational effectiveness and efficiency	Principal/ Vice Principals	5	5	25	i) Five year financial plan prepared and presented to the Board which shows required cost reductions over the period in addition to the agreed five year commercial income growth plan ii) Cost reduction plan being implemented which requires reduction in staff levels and significant cuts in non-staff budgets across the College where possible iii) College commenced process of review of all areas to seek cost reductions, as well as seeking further efficiency through improved business processes. iv) Plan to implement first staff area change by October 2019 and through use of current VS scheme with required agreement with GCRB and SFC. v) Discussion on future potential changes being taken forward including academic management restructure. vi) Zero based budgeting for 19/20 onwards for non-staff costs.	4	5	20	F2	Medium	20	No change
F3	Potential for refusal of SFC to fund VS (as assumed in 2019/20 agreed budget)	Financial/ Organisational	Goal 4 - Ensuring operational effectiveness and efficiency	Principal/ Vice Principals	4	5	20	i) Detailed five year financial plan prepared and FFR which show recovery after VS is funded and hence present case to SFC. ii) Discussions within Glasgow Colleges Regional Board to share approach iii) Cost reduction plan being implemented which requires reduction in staff levels and significant cuts in non-staff budgets across the College where possible iv) Ensure stated teaching activity targets are met to meet SFC requirements.	3	5	15	F3	Medium	15	No change
F4	Failure to achieve/maintain planned levels of non-SFC income	Financial	Goal 3 & Goal 4 - Contributing to the local, regional and national economy, & ensuring operational effectiveness and efficiency	Assistant Principal International and Business Development	4	5	20	i) Regular monitoring between External Funding Unit and Faculty Management of non-SFC activity and any changes in level of delivery. ii) Keep informed of constitutional change implications of Brexit and impact on non-SFC activity for the College. Involvement in College sector Brexit forum and quantifying impacts. iii) Increased engagement and marketing effort to maintain current business but also to open and grow new income streams. iv) Continued work with key partners to ensure successful projects delivered and funding maintained as much as possible.	2	5	10	F4	Medium	10	No change
F5	Adverse Funding changes in 2019/20 (SFC/SDS/ESF)	Financial	Goal 4 - Ensuring operational effectiveness and efficiency	Principal/ Vice Principals	4	5	20	i) Financial plans developed by College Senior Leadership and monitored within framework of available activity funding through Glasgow Regional funding for teaching, student support funds and capital. Portfolio planning key element of cost base and monitored on ongoing basis. Portfolio for 2019/20 being developed. ii) Continue to aim to inform and influence funding allocations through Principals' Forum, Glasgow Colleges Regional Board, MSPs, and other appropriate bodies. Final funding allocation for 2018/19 announced. iii) Work with Colleges Scotland and Scotland's Colleges Partnership on lobbying regarding impact on ESF funding and development of future alternative resources iv) Projects progressed to address priority items as per College Capital masterplan based on affordability and potential for applications to Foundation v) Mary Stuart Building cladding now replaced. vi) Working to achieve Flexible Workforce Development Fund target levels.	2	4	8	F5	Medium	8	No change
F6	Failure to achieve contracted overall teaching delivery targets for any key partner (SFC/SDS/ESF)	Financial/ Organisational	Goal 1 & Goal 2 - Delivering exceptional learning opportunities, & growing exceptional partnerships	Vice Principal - Curriculum & External Relations	3	4	12	i) Annually plan and deliver portfolio to required quality standards, ensuring appropriate recruitment, retention and profile of students. ii) Discussions within Glasgow Colleges Group and with other partners to plan curriculum and make changes annually to meet market needs and Government and SFC guidance iii) Ensure stated teaching activity targets are met. iv) Work closely with relevant partners to ensure programmes implemented as planned v) Ensure all relevant agency (e.g. SDS) milestones and documentation requirements achieved. vi) College undertake effective competitor analysis, clear branding and focused marketing to maintain effective student recruitment	2	4	8	F6	Long	8	No change

GLASGOW CLYDE COLLEGE - STRATEGIC RISK REGISTER										as at 17th February 2020						
Score Before Mitigating Actions										Score After Mitigating Actions						
Risk Ref	New Risk Description	Risk Category	Link to Development Plan Goal	Risk Owner	Probability	Impact	Risk Score	Mitigating Actions	Probability	Impact	Risk Score	Risk Ranking after mitigating actions	Risk Timing - Short / Medium / Long Term	Risk Score at last report to the Board	Risk Increasing/ Decreasing/ No Change	
Score Before Mitigating Actions										Score After Mitigating Actions						
<b>Organisational Risks</b>																
O1	Failure of College operational processes/ systems /ICT infrastructure (including risk of fraud and potential cyber attack)	Organisational	Goal 1 & 4 -Delivering exceptional learning opportunities & Ensuring operational effectiveness and efficiency	Vice Principal Resources & College Development & Vice Principal- Curriculum & External Relations	4	5	20	i) Monitoring systems in place across College and feedback from relevant staff. Any issues addressed as necessary and action taken. Need to ensure key systems not impacted by financially challenging budget in 2019/20. ii) Business system improvement process in place iii) Infrastructure designed not to have single points of failure with all campuses operating a sophisticated dual-core network topology. iv) Virtualisation infrastructure which improves server resilience with two main data centres at different campuses. v) Member of JISC Information Security service which provides support to secure against cyber attack and regular ICT network penetration testing undertaken. vi) ICT backup procedures and Disaster Recovery planning. Penetration testing exercise completed. Cyber essentials plus status achieved. vii) Web filtering technology in place and uninterruptable power supply in place. viii) Fraud response plan in place	4	4	16	O1	Medium	12	Increasing, aware of incident at another College.	
O2	Negative impact on employee relations (e.g. national bargaining, industrial action, local consultation)	Organisational / Reputational	Goal 1 & 2 - Delivering exceptional learning opportunities & Growing exceptional partnerships	Principal/ Assistant Principal HR	4	5	20	i) Focused work with Trade Unions, specific and regular meetings with senior management, ensuring good flow of information, and ongoing communications. ii) Regular direct communication with staff e.g. staff briefings, focus groups. iii) Representation made through Employers Association Group, Colleges Scotland, Principals Forum, and GCRB, within national bargaining process. iv) Emphasis being made nationally on imperative of financial sustainability and affordability issues particularly given increased staffing costs and challenges of the Glasgow Regional context. v) Discussion with unions on impact on College financial sustainability and organisational impacts. vi) Business continuity planning used to ensure all stakeholders appropriately communicated with in any potential industrial action. vii) Ensure transparency of consultation process to maximise opportunities for enhanced communications with Trade Unions	3	5	15	O2	Short	15	No change, potential negative impact due to ongoing process of academic restructure	
O3	Failure to achieve acceptably high standard quality of teaching delivery and support for students and suitable student experience	Organisational/ Financial	Goal 1 - Delivering exceptional learning opportunities	Vice Principal - Curriculum & External Relations	4	4	16	i) Monitor of teaching KPIs across all subject areas and action taken to address areas of concern. ii) Quality mechanisms undertaken through annual cycle including self evaluation and internal and external verification processes. iii) Heads of Curriculum and Unit Managers monitor quality and delivery of service during year and follow up on any issues. iv) Faculty staff work with students association, class reps and student feedback mechanisms to monitor feedback on quality and follow up on any issues v) Development of classroom observation protocol as intimated in national bargaining vi) Make efficiencies in business processes to deliver quality of services vii) Monitor feedback from student focus groups on student experience viii) Enhance the monitoring of a range of KPI data on an ongoing basis to quickly identify any emerging negative trends in student performance.	4	3	12	O3	Medium	12	Increasing, potential negative impact due to launch of academic restructure	
O4	Failure to achieve a sustainable fit for purpose College estate	Organisational/ Financial	Goal 4 - Ensuring operational effectiveness and efficiency	Vice Principal - Resources & College Development	4	3	12	i) Capital masterplan in place and related to estates condition survey which highlights required investment to maintain College estate. Funding for 2019/20 for very high priority items allocated by GCRB to College although there are logistical issues in spending the funds within the timeframe. ii) Work with GCRB and SFC to ensure fully informed of estates requirements. iii) Estates Strategy Review being completed by Gardiner & Theobald & BDP. iv) Need to plan within very tight resources due to financially challenging budget for 2019/20 and items will be rephased as required. v) Langside residences lease assignment and guarantee document completed.	3	3	9	O6	Long	9	No change	
O5	Failure to recruit and retain an appropriately skilled and effective workforce	Organisational/ Reputational	Goal 2 & 4 - Growing exceptional partnerships & Ensuring operational effectiveness and efficiency	Assistant Principal HR	3	5	15	i) Recruitment and retention of staff for a few skills areas remains challenging and College continues to use a range of approaches as appropriate. ii) Maintain open channels of communication with trade unions, college managers and their staff, and effective attendance management process in place. iii) All new staff have an induction process and annual training programme undertaken. iv) Cover arranged as required for absence of key staff members. v) Appropriate CPD provided for staff to meet identified skills gaps vi) Need to manage to retain appropriate staff through challenge of restructures	2	4	8	O4	Medium	8	No change	
O6	High Impact Disaster for College e.g. fire, long term power loss	Organisational	Goal 4 - Ensuring operational effectiveness and efficiency	Vice Principal - Resources & College Development	3	5	15	i) Health and safety risk assessments in place and required testing and audits completed on an annual cycle ii) Business Continuity Plan for College in place. iii) Estates condition survey completed and prioritising projects through estates based on affordability. iv) Business interruption insurance in place v) Mary Stuart building cladding project now completed.	2	4	8	O6	Medium	8	No Change	

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					Score Before Mitigating Actions			Score After Mitigating Actions							
Risk Ref	New Risk Description	Risk Category	Link to Development Plan Goal	Risk Owner	Probability	Impact	Risk Score	Mitigating Actions	Probability	Impact	Risk Score	Risk Ranking after mitigating actions	Risk Timing - Short / Medium / Long Term	Risk Score at last report to the Board	Risk Increasing/ Decreasing/ No Change

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Score Before Mitigating Actions										Score After Mitigating Actions						
<b>Governance Risks</b>																
G1	Failure to meet all legislative and regulatory requirements and/or recommended guidance	Governance/ Reputational	Goal 4 - Ensuring operational effectiveness and efficiency	Principal/ Clerk to the Board	4	5	20	i) Work within roles, responsibilities and legal implications of Post-16 Legislation and associated related guidance. Liaison with and maintaining ongoing dialogue with relevant bodies e.g. SFC, GCRB and Scottish Government. College ensure full knowledge and implementation of legislative, regulatory and guidance requirements including requirements of Financial Memorandum with GCRB. iv) Individual managers required to keep up to date with legislation relating to their areas and implement appropriate controls v) Ensure Board have appropriate training on key guidance and legislation and take proactive role of Board in ensuring meet all requirements. vi) Modern Slavery statement in place vii) Safeguarding officers and safeguarding forum on each campus viii) Seek legal advice as required. ix) Data Protection Officer in place to advise on General Data Protection Regulation	3	4	12	G1	Medium	12	No change	
G2	Failure to recruit, train and retain an appropriately experienced Board of Management	Governance	Goal 4 - Ensuring operational effectiveness and efficiency	Clerk to the Board	3	4	12	i) Continue to maintain membership of Board of Management at suitable level with the correct level and mix of skills. Nominations committee now established. Succession planning taking place with the Nominations Committee considering future vacancies well in advance. ii) Annual self assessment for Board members and training provided as required. iii) Induction provided for all new Board members. iv) Ensure Board undertake an ongoing programme of training to meet CPD needs. v) Board member handbook in place and an annual review/update to be undertaken.	2	3	6	G2	Medium	6	No change	
G3	Failure to comply with Health and Safety and Safeguarding requirements	Organisational	Goal 4 - Ensuring operational effectiveness and efficiency	Assistant Principal HR	2	5	10	i) Glasgow Clyde College Health and Safety and Safeguarding Committee and Campus Forums meet regularly to monitor health and safety arrangements and any issues are raised. ii) Health and Safety Officers working across the three campuses and ensure annual cycle of health and safety audits are completed iii) Regular reporting on Health and Safety to Organisational Development Committee as part of their remit requirements iv) Full review of Health and Safety Policy and Procedures being undertaken	1	4	4	G3	Medium	4	No Change	