

## Board of Management Audit Committee

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|---------------------------|---|
|                           |   |
| <b>Date of Meeting</b>    | <b>Wednesday 15 November 2017</b>               |
| <b>Paper No.</b>          | <b>AC2-G</b>                                    |
| <b>Agenda Item</b>        | <b>7.4</b>                                      |
| <b>Subject of Paper</b>   | <b>Internal Audit Report – Follow Up Report</b> |
| <b>FOISA Status</b>       | <b>Disclosable</b>                              |
| <b>Primary Contact</b>    | <b>Henderson Loggie</b>                         |
| <b>Date of production</b> | <b>9 November 2017</b>                          |
| <b>Action</b>             | <b>For Discussion and Decision</b>              |

### **Recommendations**

The Committee is asked to consider and discuss the report and the management responses to the internal audit recommendations.

## **1. Purpose of report**

The purpose of this review is to provide management and the Audit Committee with assurance on key controls relating to the curriculum and financial plans in place for City of Glasgow College and their alignment with the regional plan for Glasgow and the college student number targets.

## **2. Context and Discussion**

Following the Audit Needs Assessment undertaken by Henderson Loggie in session 2016-17, and the consequent Internal Audit Strategic Plan 2016-2020, both approved by the Committee in March 2017, an operating plan was created for the year ended 31 July 2017.

This internal audit Follow Up Report assesses whether recommendations made in previous reports have been appropriately implemented and ensures that, where little or no progress has been made towards implementation, that plans are in place to progress them.

The College has made good progress in implementing the recommendations followed-up as part of this review with 12 of 19 recommendations being 'fully implemented' and one 'no longer relevant'. Six recommendations were assessed as 'partially implemented' and these will be subject to follow-up at a later date.

## **3. Impact and implications**

Refer to internal audit report.



**City of Glasgow College**

**Follow-Up Reviews**

**Internal Audit Report No: 2017/11**

**Draft Issued: 27 October 2017**

**Final Issued: 9 November 2017**

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# 1. Management Summary

## Introduction and Background

As part of the Internal Audit programme at City of Glasgow College ('the College') for 2016/17 we carried out a follow-up review of the recommendations made in the following Internal Audit reports issued during 2015/16 by the College's previous internal auditors, BDO:

- Follow Up Review
- International and Commercial Activity
- Treasury Management

## Objectives of the Audit

The objective of each of our follow-up reviews is to assess whether recommendations made in previous reports have been appropriately implemented and to ensure that, where little or no progress has been made towards implementation, that plans are in place to progress them.

## Audit Approach

For the recommendations made in the reports listed above we ascertained by enquiry or sample testing, as appropriate, whether they had been completed or what stage they had reached in terms of completion and whether the due date needed to be revised.

Action plans from the original reports, updated to include a column for progress made to date, are appended to this report.

## Overall Conclusion

The College has made good progress in implementing the recommendations followed-up as part of this review with 12 of 19 recommendations being 'fully implemented' and one 'no longer relevant'. Six recommendations were assessed as 'partially implemented' and these will be subject to follow-up at a later date.

## City of Glasgow College – Follow-Up Reviews

### Overall Conclusion (Continued)

Our findings from each of the follow-up reviews have been summarised as follows:

| Area  | From Original Reports |                    | From Follow-Up Work Performed           |                       |                            |
|---|-----------------------|--------------------|---|-----------------------|----------------------------|
|   | Recommendation Grades | Number Followed-Up | Fully Implemented or No Longer Relevant | Partially Implemented | Little or No Progress Made |
| Follow Up Review 2015/16                      | High                  | -                  | -                                       | -                     | -                          |
|   | Medium                | 12                 | 9                                       | 3                     | -                          |
|   | Low                   | 4                  | 1                                       | 3                     | -                          |
| <b>Total</b>                                  |                       | <b>16</b>          | <b>10</b>                               | <b>6</b>              | -                          |
| International and Commercial Activity 2015/16 | High                  | -                  | -                                       | -                     | -                          |
|   | Medium                | -                  | -                                       | -                     | -                          |
|   | Low                   | 1                  | 1                                       | -                     | -                          |
| <b>Total</b>                                  |                       | <b>1</b>           | <b>1</b>                                | -                     | -                          |
| Treasury Management 2015/16                   | High                  | -                  | -                                       | -                     | -                          |
|   | Medium                | -                  | -                                       | -                     | -                          |
|   | Low                   | 2                  | 2                                       | -                     | -                          |
| <b>Total</b>                                  |                       | <b>2</b>           | <b>2</b>                                | -                     | -                          |
| <b>Grand Total</b>                            |                       | <b>19</b>          | <b>13</b>                               | <b>6</b>              | -                          |

The grades, as detailed below, denote the level of importance that should have been given to each recommendation. These were issued by the College's previous internal auditor as part of the original reports:

|               |  |
|---------------|--|
| <b>High</b>   | A weakness where there is substantial risk of loss, fraud, impropriety, poor value for money, or failure to achieve organisational objectives. Such risk could lead to an adverse impact on the business. Remedial action must be taken urgently.  |
| <b>Medium</b> | A weakness in control which, although not fundamental, relates to shortcomings which expose individual business systems to a less immediate level of threatening risk or poor value for money. Such a risk could impact on operational objectives and should be of concern to senior management and requires prompt specific action. |
| <b>Low</b>    | Areas that individually have no significant impact, but where management would benefit from improved controls and/or have the opportunity to achieve greater effectiveness and/or efficiency.  |

### Acknowledgements

We would like to thank all staff for the co-operation and assistance we received during the course of our reviews.

## Appendix I – Updated Action Plan Internal Audit Report – Follow Up Review 2015/16

| Original Recommendation   | Priority      | Original Management Response  | To Be Actioned By                            | No Later Than                 | Progress Reported at August 2016   | Progress at October 2017  |
|---|---------------|---|--|-------------------------------|--|---|
| <i>Overseas Projects 2013/14</i>  |               |   |  |                               |  |   |
| We recommend that the process for determining whether an overseas opportunity will be pursued is formally documented. Management should consider including provision within the policy for Development Committee approval by circulation in exceptional circumstances, to prevent the College missing out on opportunities due to the relative infrequency of Development Committee meetings. | <b>Medium</b> | Agreed. A process map is now in place and additional training sessions will be undertaken in June 2014 to all relevant staff to demonstrate this process. A scheme of delegation is now being looked at by the Board of Management in line with new regulations that may be implemented by the Glasgow Regional Board. Once the scheme of delegation is in place the college will adhere to this process. | Roy Gardner – Corporate Development Director | Implementation Date: 31/12/14 | The College is drafting an Overseas International Management Policy, which will detail the process for considering an overseas project. If a partnership opportunity arrives, the Board must approve if the opportunity exceeds £100k, and if below this threshold, opportunities must be approved by management.<br><br><b>Partially Implemented</b><br><br><b>Revised Management Response:</b> Agreed. A policy now exists and is continually updated in line with any external factors and influences. At the beginning of session 16/17 the College has entered into discussions with the SQA with regard to operating and working with overseas centres and partners. | There is a formally documented procedure for establishing when business development opportunities should be pursued, and this includes a threshold for approval of overseas opportunities.<br><br>In cases where the Development Committee is not due to meet, and an opportunity requires approval, the Chair of the Development Committee or the Chair of the Board will be asked to approve the opportunity.<br><br><b>Fully Implemented</b> |

City of Glasgow College – Follow-Up Reviews

| Original Recommendation   | Priority | Original Management Response   | To Be Actioned By                               | No Later Than | Progress Reported at August 2016  | Progress at October 2017  |
|---|----------|--|---|---------------|---|---|
| <b>Organisational Development 2014/15</b>   |          |  |   |               |   |   |
| We recommend that City of Glasgow College carries out a skills gap analysis and training needs assessment on a college-wide basis. This will ensure that the skills required and training needed to gain these skills can be clearly identified and actioned throughout the organisation. | Low      | Agreed. Organisation Development (OD) will be launching a College wide survey to analyse the learning and development needs at organisational, team, job and individual levels in January 2015. This will help to ascertain current strengths and identify areas requiring further development to ensure readiness for the imminent migration to New Campus and lay foundations for the longer term. A combination of semi structured interviews, focus group arrangements and on line survey tools will be utilised to achieve this in line with the College's strategic objectives. Once needs have been identified; relevant learning and development plans will be designed and appropriate delivery methods agreed to ensure the development of skills which are transferrable to the job. This will ensure the College performs with greater effectiveness and efficiency. | Judy Kier – Executive Director People & Culture | 30/4/15       | <p>City of Glasgow College has started to procure a Learning Management System, which should be in place by the end of 2016. A skills gap analysis and training needs assessment will be carried out on a college-wide basis following this. The revised completed date is June 2017.</p> <p><b>Not Implemented</b></p> <p><b>Revised Management Response:</b><br/>Provisionally agreed: referred to Martin Taylor (Head of OD) as J Keir has left the College.</p> | <p>It was determined that the Learning Management System proposed in August 2016 was not feasible due to cost and ongoing maintenance cost.</p> <p>The College is currently developing an Employee Journey which identifies the employee development required to implement the College's Strategic Plan. The Employee Journey identifies the development that is required for each 'Role Family' in the College. This work has been informed by the work around the People and Culture Strategy and is also supplemented by Focus groups of the 'Role Families'. The Employee Journey is matched to the College's role profiles.</p> <p><b>Partially Implemented</b></p> <p><b>Revised Completion Date</b> 31 July 2018</p> |



City of Glasgow College – Follow-Up Reviews

| Original Recommendation  | Priority | Original Management Response   | To Be Actioned By                               | No Later Than | Progress Reported at August 2016   | Progress at October 2017   |
|--|----------|--|---|---------------|--|--|
| We recommend that a standard core training programme is developed for each grade of staff. | Low      | Agreed. We have a standard induction programme, essential training modules clearly identified and a probationary review process which picks up individual job-related training needs in the first year. We also have a standard recommended programme (PDA) for lecturing staff. The College will however act on the findings from Action 1 to develop relevant learning and development and a core training programme for representative staff grades. This will include base line programmes, pre and post learning & development activity to ensure transferability to job, line manager support and a robust framework of Continuing Professional Development (CPD). The College intends to accredit its CPD through the CPD Accreditation Service which will further enhance provision for our employees. | Judy Kier – Executive Director People & Culture | 30/6/15       | <p>City of Glasgow College has not yet developed a standard core training programme for each grade of staff. The revised completion date is June 2017.</p> <p><b>Not Implemented</b></p> <p><b>Revised Management Response:</b><br/>Provisionally agreed: referred to Martin Taylor (Head of OD) as J Keir has left the College.</p> | <p>The development of the Employee Journey will develop a clear outline of the training programmes for each role type in the College (see above).</p> <p><b>Partially Implemented</b></p> <p><b>Revised Completion Date</b> 31 July 2018</p> |

City of Glasgow College – Follow-Up Reviews

| Original Recommendation  | Priority      | Original Management Response  | To Be Actioned By                         | No Later Than | Progress Reported at August 2016  | Progress at October 2017  |
|--|---------------|---|---|---------------|---|---|
| <i>IT Bring Your Own Device 2014/15</i>  |               |   |   |               |   |   |
| We recommend that all draft IT policies are formally approved by the Board of Management prior to these being rolled out to staff and students and that the IT BYOD policy is updated to include details of the specific information which will be monitored by the IT team. | <b>Medium</b> | Agreed. This recommendation is accepted. The College will continue the process of validating the policy through the College governance structure. The policy will be revised to clarify the type of information being monitored for the purposes of capacity planning, fault tracing, and investigation of use or abuse of the network. All such monitoring is subject to relevant legislation (e.g. The Regulation of Investigatory Powers Act 2000 and the Lawful Business Regulations) and guidance on the College's approach has been obtained via JISC Legal ( <a href="http://www.jisclegal.ac.uk">http://www.jisclegal.ac.uk</a> ). The College's policy reflects this compliance. | Graham Lyon - Network Development Manager | 30/9/14       | <p>This action has not been completed. The social media policy has been approved, but the IT BYOD policy has not been updated, due to resource constraints relating to the implementation of new IT systems.</p> <p><b>Not Implemented</b></p> <p><b>Revised Management Response:</b><br/>Agreed. (Provisional – GL to confirm at 7th Sept 2016).</p> | <p>The BYOD policy was approved by the Audit Committee in April 2015.</p> <p>The College decided to include information on monitoring in the Acceptable Use policy rather than the BYOD policy.</p> <p>Going forward the BYOD policy is due for further revision to implement the provisions of GDPR.</p> <p><b>Fully Implemented</b></p> |

## City of Glasgow College – Follow-Up Reviews

| Original Recommendation  | Priority | Original Management Response  | To Be Actioned By                         | No Later Than | Progress Reported at August 2016   | Progress at October 2017   |
|--|----------|---|---|---------------|--|--|
| We recommend that a formal risk assessment is prepared for the use of own devices and that this is reviewed and tested on a regular basis. | Medium   | Agreed. This recommendation is accepted. The college will conduct a formal risk assessment on the use of user owned devices based on Jisc Legal framework for "Risk, Liability and mobile Devices 1 May 2013. | Graham Lyon - Network Development Manager | 30/9/14       | <p>The College began completing a formal risk assessment on the use of personal devices, however this was not completed, as this will be required to be reviewed when entrance to the new build is granted.</p> <p><b>Partially Implemented</b></p> <p><b>Revised Management Response:</b><br/>Agreed. (Provisional – GL to confirm at 7th Sept 2016).</p> | <p>The College has now completed a risk assessment for BYOD.</p> <p>This is to be reviewed and tested going forward.</p> <p><b>Fully Implemented</b></p> |

City of Glasgow College – Follow-Up Reviews

| Original Recommendation   | Priority   | Original Management Response   | To Be Actioned By   | No Later Than | Progress Reported at August 2016   | Progress at October 2017  |
|---|------------|--|---|---------------|--|---|
| <b><i>New Campus New Learning – 2014/15</i></b>   |            |  |   |               |  |   |
| We recognise that the College has identified the need to measure the effectiveness of NCNL more thoroughly. We recommend that the College introduce more expansive measures to the NCNL framework including longer term student outcomes. Information to measure the agreed indicators could be sought through alumni surveys, and engagement with employers. | <b>Low</b> | Management Agree to the recommendations and will implement these within the Performance Review Cycle in Academic Year 2015/16. | Responsible Officer: Alex Craig - Deputy Principal and Chief Delivery Officer | 31/8/15       | Alumni surveys and employer engagement methods are still to be further developed.<br><br><b><i>Partially Implemented</i></b><br><br><b>Revised Management Response:</b><br>Agreed. (Provisional – AC to confirm at 7th Sept 2016). | The College undertook an extensive analysis of the effectiveness of New Campus New Learning, including audit of all full-time courses and engagement with students.<br><br>The New Campus New Learning framework has now been superseded by a new City Learning framework which will be subject to its own performance measurement programme.<br><br><b><i>No Longer Relevant</i></b> |

City of Glasgow College – Follow-Up Reviews

| Original Recommendation   | Priority      | Original Management Response   | To Be Actioned By  | No Later Than  | Progress Reported at August 2016   | Progress at October 2017   |
|---|---------------|--|--|----------------|--|--|
| <i>Internal Communications – 2015/16</i>  |               |  |  |                |  |  |
| <p>We recommend that the communications strategy is reviewed and expanded in order that it includes fuller description of the communications framework and clearer guidance for staff. For example, the following areas should be included:- details of how the college will communicate with key stakeholders, - the mechanisms for internal communications, and the purpose of each communication channel,- roles and responsibilities for communication and delegated authority levels, - the approval process for communications and relevant protocols, - communication timetable, - mechanisms for assessing the effectiveness of each communication channel, and communication KPIs.</p> | <b>Medium</b> | <p>Agreed. The Corporate Communications strategy will be complete by January 2016 and will go to the SMT for first approval and discussion. This strategy will address some of the concerns and areas raised in the recommendations.</p> | <p>Responsible Officer: Roy Gardner – Corporate Development Director</p> | <p>31/1/16</p> | <p>The Communications Strategy provides details on the college's key stakeholders, and various communications channels in use. The Communications policy highlights roles and responsibilities. However, the following categories are still to be developed and formally documented: delegated authority levels, the approval process for communications and relevant protocols, a communication timetable, mechanisms for assessing the effectiveness of each communication channel, and communication KPIs.</p> <p><b>Partially Implemented</b></p> <p><b>Revised Management Response:</b><br/>As discussed with the auditor in August, we have documented the delegated authority levels in line with the Communications Policy which will go the SMT for approval in October 2016.</p> | <p>The Corporate Development Strategy is an ambitious strategy that looks to diversify activity and income across the College's Business &amp; International activities. It does however incorporate communications and will be aligned to the revised Communications Strategy that is currently in place.</p> <p><b>Fully Implemented</b></p> |

City of Glasgow College – Follow-Up Reviews

| Original Recommendation   | Priority | Original Management Response  | To Be Actioned By   | No Later Than | Progress Reported at August 2016   | Progress at October 2017  |
|---|----------|---|---|---------------|--|---|
| We recommend that once roles, responsibilities, delegated authorities and approval processes are formalised, this is supported by training to ensure that relevant staff are aware of the processes to be followed in order to carry out their roles effectively. | Medium   | Agreed. The Corporate Communication strategy will highlight and clearly detail responsibilities for each communication channel, the protocol and each authorising officer. Both the Corporate Development Director and Head of Corporate Communications will undertake the appropriate training with each member of staff responsible for their area. | Responsible Officer: Roy Gardner – Corporate Development Director | 28/2/16       | <p>As delegated authority levels are yet to be established, training in line with delegated authority levels has yet to be arranged.</p> <p><b>Not Implemented</b></p> <p><b>Revised Management Response:</b><br/>Organisational Development are working with both the Corporate Development Director and Head of Communications to devise a training schedule to the level of delegated authority. In addition to this further training will be required to align further communication channels for e.g. Social Media. Training will be continually tailored and assessed as to each communication channel. This will take place throughout session 16/17.</p> | <p>Since March 2017 the Head of Corporate Communications has actively engaged with Faculty Directors and Heads of Management to explain the communication channels available across the College. This activity has also promoted the communications policy and guidance around delegated authority. The Head of Marketing is responsible for the Social Media Channels and Website, although the Head of Corporate Communications provides news content and key messages.</p> <p><b>Fully Implemented</b></p> |

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| Original Recommendation  | Priority | Original Management Response  | To Be Actioned By                            | No Later Than | Progress Reported at August 2016  | Progress at October 2017   |
|--|----------|---|--|---------------|---|--|
| We recommend that following the approval of the communications strategy, KPIs are agreed and performance is measured against these on a regular basis, with action taken to address areas where they are not achieved. | Medium   | Agreed. KPI's will be set against each communication channel and monitored during the colleges internal performance review framework. | Roy Gardner – Corporate Development Director | 28/2/16       | <p>KPIs are included within the Head of Corporate Communication's operational plan, although there are no overarching communication KPIs which are monitored and reported on a regular basis.</p> <p><b>Not Implemented</b></p> <p><b>Revised Management Response:</b><br/>The Head of Corporate Communication has created an operational plan detailing the relevant KPI's for session 2016/17. These KPI's are under regular review and are reported on at Performance Reviews (3 times per session).</p> | <p>The Corporate Communication Operational Plan has been fully implemented and the relevant KPIs are being met and continually monitored by both the Head of Corporate Communications and the Exec Director of Corporate Development &amp; Innovation.</p> <p><b>Fully Implemented</b></p> |

City of Glasgow College – Follow-Up Reviews

| Original Recommendation  | Priority | Original Management Response  | To Be Actioned By                            | No Later Than | Progress Reported at August 2016   | Progress at October 2017  |
|--|----------|---|--|---------------|--|---|
| We recommend that feedback is regularly obtained for each of the communication mechanisms in place. Following the receipt of feedback we recommend that an action plan is produced to address any findings arising from the feedback, and that actions taken are recorded and tracked through to completion. | Medium   | Agreed. In working across the college the Senior Management Team are very aware of Survey fatigue amongst staff, therefore a wider group will be set up to review the best mechanism & timings for undertaking regular feedback on communications. This will include Executive staff, Quality & Performance staff, HR team and Communications team. | Roy Gardner – Corporate Development Director | 28/2/16       | <p>Feedback has been received from staff on the College's communications via a staff survey. The results have been analysed and reported, which were distributed to all staff. However, there has been no feedback received for each communication mechanism, and therefore no action plans have been put developed to make improvements.</p> <p><b>Partially Implemented</b></p> <p><b>Revised Management Response:</b><br/>At the time of the audit, the Head of Communications was not in post. However, the above recommendations are now reflected and some of the KPI's feature in the Operational Plan.</p> | <p>The College obtains regular feedback from staff on communication mechanisms through meetings between the Head of Corporate Communications and Faculties and has used this where possible to develop its policy.</p> <p>The College has not yet developed an action plan formally recording findings and actions arising as a result of feedback.</p> <p><b>Partially Implemented</b></p> <p><b>Revised Completion Date</b> 31 January 2018</p> |



City of Glasgow College – Follow-Up Reviews

| Original Recommendation  | Priority | Original Management Response   | To Be Actioned By  | No Later Than | Progress Reported at August 2016  | Progress at October 2017   |
|--|----------|--|--|---------------|---|--|
| We recommend that following the development of the communications strategy which will set out how the college wants to communicate with stakeholders, the communication channels are reviewed to ensure that there is no overlap or gaps in communication and the purpose of each communication is clearly defined and links back to the strategic objectives. | Medium   | Agreed. An audit into the current communication channels and their effectiveness will be undertaken with results being fed into the draft Communications strategy. | Roy Gardner – Corporate Development Director/ Michelle Watt – Head of Corporate Communications | 31/12/15      | <p>The College has completed a social media review, and a review of the college's website. However further reviews are to be carried out on each communication channel.</p> <p><b>Partially Implemented</b></p> <p><b>Revised Management Response:</b><br/>The College has undertaken a Social Media review and launched a new college website in March 2016. A communications survey will be undertaken in November 2016 which will review both of these communication channels as well as all other channels. One communication channel which has been reviewed and implemented is the Principal's briefing which has been redesigned to reflect comments from staff.</p> | <p>The Communications Strategy defines stakeholder groupings and how they are reached. The channels are regularly used and as an Operational Plan the communications activity is monitored on a regular basis.</p> <p><b>Fully Implemented</b></p> |

City of Glasgow College – Follow-Up Reviews

| Original Recommendation  | Priority      | Original Management Response  | To Be Actioned By  | No Later Than | Progress Reported at August 2016   | Progress at October 2017   |
|--|---------------|---|--|---------------|--|--|
| <b>Green Travel – 2015/16</b>  |               |   |  |               |  |  |
| We recommend that an action plan is produced detailing more detailed SMART objectives which will contribute to the achievement of the green travel plan objectives. We further recommend that there is regular review and reporting of progress against the green travel plan objectives on at least a quarterly basis. As described in recommendation one, the Healthy Working Lives Group may be the most relevant forum for this. | <b>Medium</b> | Agreed. The aforementioned Healthy Working Lives Group and Student Executive will develop an Action Plan with initiatives aimed at staff and at students. This Plan will include mechanisms for monitoring uptake. Progress on uptake will be reported to the Group on a quarterly basis and to SMT twice a year. | Responsible Officer: Jill Weatherill - Faculty Director & Chair of HWL Group | 31/3/16       | <p>City of Glasgow College has arranged annual calendar activities for staff, include walking &amp; bike events in order to encourage people to consider other methods of transport. Students attended information sessions and took part in competitions to win prizes for the most mileage achieved. Pop up initiatives will be introduced, and a new activity calendar. However, a formal action plan has not been created with SMART targets. The only targets documented are those in the green travel plan.</p> <p><b>Partially Implemented</b></p> <p><b>Revised Management Response:</b><br/>Agreed (Provisional – JW to confirm at Sept 7th).</p> | <p>The formal action plan for the College has still to be completed.</p> <p>Going forward the College will be reviewing green travel within a new Environmental Sustainability Group while certain initiatives will still be part of the Healthy Working Lives Group remit.</p> <p>Green travel has now also been incorporated into the College's Sustainability Strategy. The Sustainability Strategy leaders have re-examined the detail of the Green Travel Plan and are currently awaiting the post occupancy evaluation report which will contain an assessment of the Green Travel.</p> <p><b>Partially Implemented</b></p> <p><b>Revised Completion Date</b> 30 November 2017</p> |

City of Glasgow College – Follow-Up Reviews

| Original Recommendation  | Priority   | Original Management Response  | To Be Actioned By                       | No Later Than | Progress Reported at August 2016  | Progress at October 2017  |
|--|------------|---|---|---------------|---|---|
| <i>Health and Safety – 2015/16</i>   |            |   |   |               |   |   |
| We recommend that a Health and Safety Risk Register is maintained for the College. This would summarise each of the health and safety risks affecting the College and the controls in place to mitigate each of these risks. | <b>Low</b> | Recommendation is accepted in full. A H&S risk register will be developed shortly after the New Campus @ Riverside is occupied. This will be used as a means of developing a register based approach to tracking and monitoring all identified risks. | Brian Ahern – Head of Health and Safety | 30/11/15      | <p>The Head of Health and Safety at the College has begun compiling a health and safety risk register. However, this has not been fully completed and will be further developed following entrance to the new City campus building.</p> <p><b>Partially Implemented</b></p> <p><b>Revised Management Response:</b><br/>Agreed (Provisional –BA to confirm at Sept 7th).</p> | <p>The College has a new Health and Safety Compliance Manager who continues to work on completing a corporate risk register and will use the established College risk rating assessing both Likelihood and Impact of each risk. Controls associated with each risk will also be developed as part of the register.</p> <p><b>Partially Implemented</b></p> <p><b>Revised Completion Date</b> 30 November 2017</p> |

City of Glasgow College – Follow-Up Reviews

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|--|---------------|---|---|----------------------|---|---|
| <i>Libraries and Learning Technologies – 2015/16</i>   |               |   |   |                      |   |   |
| We recommend that the operational plans for libraries and learning technologies are updated for next academic year to reflect the current aims and objectives of the department. We further recommend that the operational plans are regularly reviewed and progress against the actions recorded. | <b>Medium</b> | Agreed. Operational plans will be updated over the summer, and will be subject to future performance reviews, as per our planning cycle. They will support the Learning and Teaching Strategy as well as the specific priorities of each Faculty. These plans will be reviewed and updated regularly and will continue to be an agenda item at L&LT SMT meetings. | Janis Carson - Vice Principal, Lee Ballantyne - Head of Libraries and Learning Technology | For 2016-17 session. | Operational planning days have now taken place, and the updated plans will be implemented over the next weeks.<br><br><b>Partially Implemented</b><br><br><b>Revised Management Response:</b> Agreed. Currently finalising documentation (Sept 2016). | A Library operational plan and Learning Technologies operational plan was prepared for 2016/17 and has been reviewed throughout the year.<br><br><b>Fully Implemented</b> |

City of Glasgow College – Follow-Up Reviews

| Original Recommendation   | Priority             | Original Management Response   | To Be Actioned By  | No Later Than   | Progress Reported at August 2016  | Progress at October 2017  |
|---|----------------------|--|--|---|---|---|
| <p>For learning technologies, we recognise that the college has a four phase plan in place, which will involve a further survey, a sector review, student focus groups and a short life working group. The college considers that this work will identify ways to increase satisfaction and better inform students about the service and resources available. For libraries, there are plans for closer integration with Faculties which is expected to improve promotion of library services. We recommend that these plans are implemented as planned and a review is carried out following implementation to assess whether these actions have been successful in improving satisfaction and awareness of library services in these areas.</p> | <p><b>Medium</b></p> | <p>We agree that Library Services need to be promoted better and by allocating a named contact to each Faculty and attending faculty and curriculum meetings we will undoubtedly improve this. We also plan to improve our reporting at Faculty and Curriculum level. The VLE redevelopment is being led by students to ensure it meets student’s needs and expectations. This is the beginning of an on-going cycle of user-led improvement. The output is a roadmap which will become a live document and be regularly reviewed and updated, with input from staff and students (via feedback forms, surveys, focus groups, and working groups).</p> | <p>Janis Carson - Vice Principal,<br/>Lee Ballantyne - Head of Libraries and Learning Technology</p> | <p>Faculty Liaisons for 2016-17 session VLE redevelopment – underway – initial changes to be completed over the summer of 2016.</p> | <p>The College has taken actions to attempt to improve overall satisfaction and awareness of Libraries and Learning Technologies. A named contact has been allocated to each Faculty from the Library services, who attend faculty meetings, promoting Library services. However, there has been no review of whether satisfaction and awareness of library/learning technologies has increased.</p> <p><b>Partially Implemented</b></p> <p><b>Revised Management Response:</b><br/>Partly agreed. Faculty Liaisons have been allocated for this academic year. As yet it is too early to evaluate impact (“satisfaction and awareness”).</p> | <p>There are satisfaction and awareness measures as part of operational plans which are reviewed regularly. Service Area Performance Reviews have also been carried out during 2016/17, which included Libraries and Learning Technologies.</p> <p><b>Fully Implemented</b></p> |

City of Glasgow College – Follow-Up Reviews

| Original Recommendation   | Priority             | Original Management Response   | To Be Actioned By                  | No Later Than   | Progress Reported at August 2016   | Progress at October 2017  |
|---|----------------------|--|------------------------------------|---|--|---|
| <p>We recommend that KPIs and targets are put in place in relation to Libraries and Learning Technologies. For example, these should set targets for utilisation levels of library services. It may also be possible to monitor any correlation between usage levels and student success rates.</p> | <p><b>Medium</b></p> | <p>Agreed. We have a lot of data for both areas and it is important we understand this better ahead of setting targets. To enable this we have initiated a project to include MyCity analytics on the college dashboard. This will be followed by the Library data once any snagging issues from the move to the new campus are resolved (based on lessons learned from Riverside). We are dependent on IT working with us to implement a new PC booking system to capture this data. This has been delayed and we are waiting for the network team to take this forward.</p> <p>With a better understanding of the data, along with the specific needs of the Faculties, we will be able to set clear targets for all teams as part of the Operational Planning for 2016-17.</p> <p>We will additionally investigate options for integrating with Enquirer in 2017.</p> | <p>Janis Carson/Lee Ballantyne</p> | <p>MyCity data on dashboard: May 2016</p> <p>Operational Planning including target setting: summer 2016</p> <p>Library data on dashboard: from January 2017 subject to IT support</p> <p>PDRs to include individual targets from the start of 2016- 17 session.</p> <p>Investigate better integration with Enquirer: 2017</p> | <p>Not included in previous follow-up work as not past the due date.</p> | <p>MyCity analytics are now included on the dashboard. KPIs completed as part of the service area review targets.</p> <p>The new Library Management System went live at the end of August and work is underway to get the library data (that is used for quantitative KPIs) on the data dashboard too. This will include:</p> <ul style="list-style-type: none"> <li>• Library visits</li> <li>• Library services: <ul style="list-style-type: none"> <li>◆ Number of borrowed items</li> <li>◆ Number of laptops borrowed</li> </ul> </li> <li>• Transactions by Faculty</li> <li>• Type of enquiry</li> </ul> <p>Work is also underway to get all digital resources subscription statistics made available via single sign on to a cloud service, once that has been completed by IT. It will also include all statistics on the use of digital collections.</p> <p><b>Partially Implemented</b></p> <p><b>Revised Completion Date 31 December 2017</b></p> |

## Appendix II – Updated Action Plan Internal Audit Report – International and Commercial Activity 2015/16

| Original Recommendation   | Priority | Original Management Response  | To Be Actioned By | No Later Than     | Progress at October 2017  |
|---|----------|---|-------------------|-------------------|---|
| We recommend that progress against the strategic aims within the Business and International Strategy 2016-2021 is regularly evaluated and reported to the Development Committee and action taken where objectives are not being achieved. | Low      | Agreed. Further plans are under development and will be presented to the October Development Committee. | Roy Gardner       | 31st October 2016 | The standing items that are currently tabled at each Development Committee review the performance against targets across all Faculty areas and Business & International activities.<br><br><b>Fully Implemented</b> |

## Appendix III – Updated Action Plan Internal Audit Report – Treasury Management 2015/16

| Original Recommendation   | Priority | Original Management Response   | To Be Actioned By          | No Later Than    | Progress at October 2017   |
|---|----------|--|----------------------------|------------------|--|
| We recommend that the college review the bank accounts to determine whether all bank accounts are still required.   | Low      | The College will be moving to the Government Banking Service contract with RBS prior to 31st March 2017 therefore College bank accounts will be rationalised.  | Executive Director Finance | 31st March 2017  | The College has set up new accounts under the Government Banking Service contract and will be finalising the transfer to these new accounts and closing existing accounts shortly.<br><br><b>Fully Implemented</b>   |
| We recommend that the mechanisms for gathering information on expected expenditure are reviewed in order that more accurate cash flow forecasting information can be produced at the start of each year. This should involve more detailed consultation with budget holders on expected spend profiling. We also recommend that high level commentary on the reasons for changes between budget and actual cash forecast are documented in order to determine whether these variances could have been foreseen, and whether any action can be taken to improve the accuracy of cash flow forecasts in future. | Low      | In 2015-16 the timing of major capital expenditure did not match the initial estimate however the College had cash reserves and monthly flexibility in claiming variable levels of grant from SFC. We will review the budgeted cashflow based on all available data. | Executive Director Finance | 31st August 2016 | The College holds regular meetings with budget holders in order to understand their cash flow requirements.<br><br>Reporting to the Finance and Physical Resources Committee on cash flow does not contain any narrative on variances however any significant variances will need to be explained to the Scottish Funding Council.<br><br><b>Fully Implemented</b> |