CITY OF GLASGOW COLLEGE

Board of Management
Audit Committee

Date of Meeting	**Wednesday 14 November 2018**
Paper No.	**AC2-G**
Agenda Item	**9.3**
Subject of Paper	**Internal Audit Report – Follow Up Review**
FOISA Status	**Disclosable**
Primary Contact	**David Archibald, Henderson Loggie**
Date of production	**August 2018**
Action	**For Discussion**

1. Recommendations

As agreed at the Audit Committee meeting held on 12 September, this report is resubmitted and will be taken by exception.

Board of Management

Audit Committee

Date of Meeting	**Wednesday 12 September 2018**
Paper No.	**AC1-H**
Agenda Item	**9.3**
Subject of Paper	**Internal Audit Report – Follow Up Report**
FOISA Status	**Disclosable**
Primary Contact	**Henderson Loggie**
Date of production	**September 2018**
Action	**For Discussion and Decision**

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**

    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 very good progress in implementing the recommendations followed-up as part of this review with 29 of 33 recommendations being 'fully implemented'. Three recommendations were assessed as 'partially implemented' and one as showing 'little or no progress made' and these will be subject to follow-up at a later date.

    The one recommendation showing 'little or no progress' is included in Internal Audit Report 2017/05 – Curriculum Planning. This relates to migrating information from the static Student Recruitment Planner system to a real-time system. Consideration of this will not be made until the procurement for a new MIS commences. A College wide process review will also inform this approach. The process review is due to commence September 2018.

3. **Impact and implications**

    Refer to internal audit report.

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City of Glasgow College

Follow-Up Reviews

Internal Audit Report No: 2018/08

Draft Issued: 5 September 2018

Final Issued: 6 September 2018

Content

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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 2017/18 we carried out a follow-up review of the recommendations made in Internal Audit reports issued during 2016/17 and reports from earlier years where previous follow-up identified recommendations outstanding.

Internal Audit Reports 2017/04 – Student Admissions / MIS (Business Process Review) and 2017/12 – 2016/17 Student Activity Data were not followed up as these reports did not contain any recommendations.

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 referred to above we ascertained by enquiry 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 very good progress in implementing the recommendations followed-up as part of this review with 29 of 33 recommendations being 'fully implemented'. Three recommendations were assessed as 'partially implemented' and one as showing 'little or no progress made' and these will be subject to follow-up at a later date.

The one recommendation showing 'little or no progress' is included in Internal Audit Report 2017/05 – Curriculum Planning. This relates to migrating information from the static Student Recruitment Planner system to a real-time system. Consideration of this will not be made until the procurement for a new MIS commences. A College wide process review will also inform this approach. The process review is due to commence September 2018.

Overall Conclusion (Continued)

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

	From Original Reports		From Follow-Up Work Performed		
Area	Recomm-endation Grades	Number Followed-Up	Fully Implemented	Partially Implemented	Little or No Progress Made
Procurement and Creditors / Purchasing	1	-	-	-	-
	2	-	-	-	-
	3	2	2	-	-
Total		**2**	**2**	**-**	**-**
Curriculum Planning	1	-	-	-	-
	2	-	-	-	-
	3	4	3	-	1
Total		**4**	**3**	**-**	**1**
IT Network Arrangements / Security	1	-	-	-	-
	2	-	-	-	-
	3	5	5	-	-
Total		**5**	**5**	**-**	**-**
Student Welfare – Duty of Care	1	-	-	-	-
	2	-	-	-	-
	3	3	3	-	-
Total		**3**	**3**	**-**	**-**
Budgetary Control	1	-	-	-	-
	2	-	-	-	-
	3	1	1	-	-
Total		**1**	**1**	**-**	**-**
Planned Maintenance	1	-	-	-	-
	2	-	-	-	-
	3	4	4	-	-
Total		**4**	**4**	**-**	**-**
Corporate Planning	1	-	-	-	-
	2	1	1	-	-
	3	7	6	1	-
Total		**8**	**7**	**1**	**-**
Follow Up Review 2016/17	High	-	-	-	-
	Medium	3	1	2	
	Low	3	3	-	-
Total		**6**	**4**	**2**	**-**
Grand Total		**33**	**29**	**3**	**1**

Overall Conclusion (Continued)

The grades, as detailed below, denote the level of importance that should have been given to each recommendation within the internal audit reports:

Gradings for recommendations from Henderson Loggie internal audit reports:

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

Gradings for recommendations from BDO internal audit reports (all recommendations from previous Follow-Up Reviews):

High	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.
Medium	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.
Low	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 2017/03 – Procurement and Creditors / Purchasing

Original Recommendation	Priority	Original Management Response	To Be Actioned By	No Later Than	Progress at August 2018
R1 The Purchase Ledger Procedures and the Procurement Procedures should both be amended so that both include definitive, consistent guidance on those instances where purchases do not require a purchase order to be raised.	3	Agreed.	Vice Principal Finance & HR	31 July 2017	The ordering process has been improved from August 2018 to ensure all orders are placed through PECOS (Professional Electronic Commerce Online System) with a small number of exceptions (mainly utilities). The procedures have been updated to reflect the new processes from August 2018. *Fully Implemented*
R2 All staff should be reminded of the importance of carrying out procurement in line with the agreed procedures and should be reminded that approved suppliers should be used when these arrangements are in place.	3	Agreed.	Vice Principal Finance & HR	31 July 2017	Procurement awareness and PECOS training has been delivered across the College. *Fully Implemented*

Appendix II – Updated Action Plan
Internal Audit Report 2017/05 – Curriculum Planning

Original Recommendation	Priority	Original Management Response	To Be Actioned By	No Later Than	Progress at August 2018
R1 As part of the current review of KPIs for Industry Academy Heads, consider putting in place the requirement for each curriculum area to justify the level and type of employer engagement they plan to undertake. Consideration should be given to other means of obtaining feedback from employers, such as surveys. If other actions such as surveys were to be used it would be beneficial to do a pilot of these to determine how effective these are first.	3	As part of a review of the College portfolio, we will endeavour to include a more systematic approach to reflecting on our stakeholder engagement. As part of the Corporate Development Strategy this will also take consideration of the ways in which we gather and use stakeholder feedback.	Vice Principal – Student Experience, Executive Director – Corporate Development and Innovation	June 2018	A survey for all commercial courses is issued to all participants to gauge feedback on relevancy and satisfaction with courses delivered to employers. Feedback from surveys is analysed by members of the Business Development Team and suggestions and comments are considered and implemented as appropriate. Regular meetings take place with Business Development, Faculty staff and employer representatives to gauge skills development demands and undertake genuine training needs. An opportunity to gain feedback from employers is also available when engaging in partnership activity that provides student work and mobility placements. A current structural review will see all Curriculum Heads and Associate Deans / Directors have targets associated with business development activity created for the new term. (Continued on next page)

Original Recommendation	Priority	Original Management Response	To Be Actioned By	No Later Than	Progress at August 2018
R1 **(Continued)**					A stakeholder engagement forum is currently being initiated for the forthcoming academic year. This will report in to the Development Committee of the Board. The curriculum planning process makes use of a Horizon Scanning process which takes cognisance of industry requirements. Corporate Development staff have routinely been involved in the Curriculum Planning meetings to ensure there is alignment between the Faculties and Corporate Development activity. ***Fully Implemented***

Original Recommendation	Priority	Original Management Response	To Be Actioned By	No Later Than	Progress at August 2018
R2 Ensure that key business development roles are involved in the employer engagement forums and attend Faculty meetings.	3	To encourage greater collaboration between Business Development staff and curriculum areas, business development activity should be a standing agenda item for discussion at Faculty management team meetings on a regular basis. Appropriate Business Development personnel should be in attendance for this discussion. Furthermore, Business Development personnel will be involved in the new curriculum planning process to ensure there is a coordinated approach to commercial provision provided within the Faculties.	Faculty Directors and Business Development Officers	December 2017	Industry Academy Heads and the Business Development Team meet on a monthly basis to facilitate collaboration, consistency in approach and sharing of best practice for business development and curriculum activity. All discussions are documented and shared and uploaded to Connected. Where external Stakeholder Forums take place, a Business Development Officer is invited to attend to support a co-ordinated approach to commercial provision within Faculties. As part of the commercial curriculum review, the Business Development Officers, working with Industry Academy Heads, developed a bespoke brochure for each area. These are readily available as hard copies and are also on the College website and these are continually reviewed and updated. *Fully Implemented*

Original Recommendation	Priority	Original Management Response	To Be Actioned By	No Later Than	Progress at August 2018
R3 Consider building into the planned new system for recording Industry Academy Head KPI activities, the ability to include actions identified from employer related activities and have reporting that allows oversight to ensure that these have been followed-up.	3	There is a new CRM system being considered which will allow a mechanism to record employer engagement activity. As part of the systems integration strategy this information should form part of any employer engagement reporting and subsequent actions.	Executive Director – Corporate Development and Innovation	March 2018	A Dashboard reporting live KPIs from Industry Academy activity has been developed in conjunction with the Performance Team. This shows daily progress against targets, presented on the College's management dashboard, allowing Industry Academy activity to be monitored closely and early intervention measures put in place should any progress against target concerns be identified. A facility within this reportage can also be implemented to record any employer feedback based on external engagement with stakeholders. This will support the ongoing methods of capturing employer feedback. A CRM system is being tested by the Business Development team and will be implemented in AY2018/19. Data captured through the Dashboard can be imported to the CRM, capturing employer engagement activity and comments. resulting in a Faculty Action plan based on feedback. ***Fully Implemented***

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Original Recommendation	Priority	Original Management Response	To Be Actioned By	No Later Than	Progress at August 2018
R4 Migrate the information from using the static SRP system towards using a real-time system.	3	As part of the systems integration strategy a method of capturing a "real-time" curriculum planning tool should be implemented. This will then be used to support the revised curriculum planning / performance management process.	Vice Principal – Infrastructure, Vice Principal – Student Experience	June 2018	Consideration of this will not be made until the procurement for a new MIS commences. The cost of implementing a bespoke system is prohibitive and should only be considered as part of a broader approach to systems integration. A College wide process review will also inform this approach. The process review is due to commence September 2018. *Little or No Progress Made* *Revised Completion Date:* Post-September 2018

Appendix III – Updated Action Plan
Internal Audit Report 2017/06 – IT Network Arrangements / Security

Original Recommendation	Priority	Original Management Response	To Be Actioned By	No Later Than	Progress at August 2018
R1 The IT Team should develop an action plan that identifies required IT network development work. This process should naturally cover what is achievable given the current IT resources, therefore any current resource constraints could then be identified and managed at that point.	3	The College will compile an action plan for the network highlighting any development work and resources required for the forthcoming year.	Head of Service	31 December 2017	The College has designed and implemented a change to a centralised controller which maintains the College wireless system as in-line with Cisco best practice. The College has also implemented additional proxy systems for Wireless guest access. The College has implemented Eduroam, the secure, worldwide roaming wireless network developed for the education community. The College has also completed the network security steps to ensure compliance with the CYBER ESSENTIAL agenda. ***Fully Implemented***

Original Recommendation	Priority	Original Management Response	To Be Actioned By	No Later Than	Progress at August 2018
R2 Undertake an IT risk assessment and formally record identified vulnerabilities in the form of an IT operational risk register. The register should then inform the prioritisation of IT tasks at **R1**.	3	The College is compiling a Disaster Recovery document which will identify and record risks and vulnerabilities in the installed infrastructure.	Head of Service	31 October 2017	IT has compiled a suitable risk register and business continuity plan which has been integrated into the wider College disaster recovery / business continuity plan / strategy / documentation. Work continues on disaster recovery plans for individual IT systems and the risk register is re-assessed regularly and new risks added when identified. *Fully Implemented*
R3 Create a comprehensive Information Security Policy Set that addresses the way that the College IT Team intends to operate. This should also include documenting supporting IT processes and procedures so that the Information Security Policy Set can be implemented appropriately.	3	The College is updating and reviewing security and IT policies thus enabling the current documents to match the installed infrastructure and services.	Network Development Manager	31 October 2017	Regular reviews take place on the IT security policy and associated IT policies. This suite of IT policies is ready to undergo the formal College audit / assessment process lead by the Senior Management Team. A document outlining the status of each policy is available. *Fully Implemented*

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Original Recommendation	Priority	Original Management Response	To Be Actioned By	No Later Than	Progress at August 2018
R4 As part of the development of an IT operational risk register (**R2**) identify where the IT Team relies heavily on the knowledge and experience of specific members of IT staff and consider how resilience can be developed by way of knowledge transfer across the IT Team.	3	College will arrange knowledge transfer sessions between members of staff in order that risk may be reduced. The College has also permanently appointed the temporary Telecoms Officer to ensure that this key skill is not lost.	Head of Service	30 November 2017	Knowledge transfer and training for staff has taken place to reduce dependence on key staff individuals. Training in areas such as Citrix, ITIL and the Service Desk Institute have been identified or completed. The IT section is in the process of identifying single points of failure as a result of the College Leadership Re-organisation and is currently addressing these risks. *Fully Implemented*
R5 Ensure that a comprehensive change management procedure is documented to outline all stages of the IT change management process. The procedure should include forming a change control board or group comprising senior members of the IT Team which meets weekly, and contain information regarding the processes and responsibilities for change identification, the approval process and the emergency change process.	3	The College will form a change management committee and will formally document and agree changes to infrastructure that will be actioned during appropriate service maintenance windows.	Head of Service	30 November 2017	The weekly ISLT Forum considers all IT related changes, and the College has introduced a project initiation document and process to instigate and manage change. *Fully Implemented*

Appendix IV – Updated Action Plan
Internal Audit Report 2017/07 – Student Welfare - Duty of Care

Original Recommendation	Priority	Original Management Response	To Be Actioned By	No Later Than	Progress at August 2018
R1 Update the SLWG Corporate Care Action Plan to include target completion dates for each of the actions.	3	Agreed.	Vice Principal, Student Experience	30 January 2018	The Corporate Care Action Plan now includes target completion dates for each of the actions and a note of those completed. *Fully Implemented*

Original Recommendation	Priority	Original Management Response	To Be Actioned By	No Later Than	Progress at August 2018
R2 Ensure that the existing risk assessment policies and procedures, which are already in place, take full cognisance of the Safeguarding and Prevent duties placed on the College when planning future events.	3	Agreed.	College Secretary/Planning	30 June 2018	Event booking documentation includes reference to the appropriateness of functions and the College reserving the right to refuse / cancel a booking 'where it becomes clear that the nature of the function is not considered by CoGC (in its sole discretion) as being appropriate', and to exclude any persons from an event that it 'considers to be objectionable'. Those booking an event are required to 'ensure that the event will not be conducted, and that its guests / agents / contractors will not behave in a way, which will or may constitute a breach of the law'. A further review was held in August 2018 with the College Events Manager and Head of Marketing with a view to making specific reference to Safeguarding and Prevent duties in relevant documentation for 2018/19. As a result of this, a new College Procedure: External Speakers (Events) Procedure (including a Risk Assessment) is currently in draft form, for further internal consultation and development, and approval by SMT in due course. ***Fully Implemented***

Original Recommendation	Priority	Original Management Response	To Be Actioned By	No Later Than	Progress at August 2018
R3 Consider ways that the College can efficiently follow-up non-completion of online training and enforce completion where training is considered mandatory.	3	Agreed	Performance & Improvement Director	30 June 2018	Mandatory online training is available on the College's Virtual Learning Environment MyCity. Reportage on completion is available for 6 monthly reportage to SMT for managers' follow-up. *Fully Implemented*

Appendix V – Updated Action Plan
Internal Audit Report 2017/08 – Budgetary Control

Original Recommendation	Priority	Original Management Response	To Be Actioned By	No Later Than	Progress at August 2018
R1 Produce a formal budget setting procedure which documents all the key stages of the budget setting process and the point in the annual budget setting cycle that each of these milestones should be completed by.	3	Agreed	Head of Finance	30 September 2017	Completed and implemented for budget 2018/19. *Fully Implemented*

Appendix VI – Updated Action Plan
Internal Audit Report 2017/09 – Planned Maintenance

Original Recommendation	Priority	Original Management Response	To Be Actioned By	No Later Than	Progress at August 2018
R1 Raise with GLQ the matters highlighted in our separate letter which documents the operational issues identified during our fieldwork, which lie within their areas of responsibility, and obtain assurances from GLQ on how and when they will take the action required to address the areas for improvement noted.	3	This recommendation (the contents of which will help us and FES going forward) is sensible, accepted and will be actioned.	Vice Principal Infrastructure	Immediately	Weekly meetings take place with the Vice Principal Infrastructure, Head of Estates, Head of Facilities and Senior FES-FM managers. Any outstanding issues are addressed and actioned in these meetings. *Fully Implemented*
R2 Existing informal procedures covering the College's planned maintenance monitoring framework and planned maintenance checks should be enhanced and formally documented. Specific enhancements should include: defining the process which should be followed to select the 10% sample checks (including a requirement that sample testing should include a number of higher risk items); set out the agreed process for ensuring that queries are followed up in a timely fashion; and require the recording of reasons for performance issues identified so that lessons can be learnt and appropriate action (such as targeted training for example) to prevent a recurrence.	3	This recommendation is accepted and will be actioned. A full and formal procedure for monitoring the planned maintenance will be created. The 10% sampling approach will ensure that over the year as much of the PPM is covered by the sampling approach and will focus on higher risk items and on statutory compliance items.	Steven Giannandrea, Manager supported by Fergal MacAulay, Head of Service	Procedure completed by 31 October 2017 10% Sampling adjusted & ongoing	The College has created and implemented a PPM Procedures Policy which outlines the required checks. The College follows the procedure and meets with FES-FM once a month to go over all random sampling and verification of activities. Higher risk items are selected from the monthly FM report. *Fully Implemented*

Original Recommendation	Priority	Original Management Response	To Be Actioned By	No Later Than	Progress at August 2018
R3 There would be benefit in the College and GLQ agreeing the level of detail, the availability of records, and the processes to be followed to ensure timely provision of information as required by Performance Standards FM21 and FM51. Guidance should be issued on recording information on job cards, such as the maintenance standard used and issues noted, including follow up requirements. This should apply to all job cards, irrespective of whether they are completed by GLQ operatives or a sub-contractor.	3	We agree that the PPM schedule will benefit greatly from the suggested level of detail. The recommendation correctly focuses on the relevant performance standard within the PA as failure to meet these standards will result in deductions.	Heather Taylor, Manager supported by Leslie Paterson, Head of Service	31 December 2017	FES-FM provides maintenance standards which illustrate the maintenance requirement at each interval and these are cross-checked on a monthly basis during the random sampling meeting.

Inadequate / insufficient comments provided on job cards from contractors are recorded on the PPM Random Sampling documents and raised at the monthly meeting to ensure that more and / or better information is provided going forward.

Fully Implemented |

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Original Recommendation	Priority	Original Management Response	To Be Actioned By	No Later Than	Progress at August 2018
R4 The College should undertake a more comprehensive reconciliation of planned maintenance work undertaken each month against planned maintenance work planned for that month. This could be through: • having a standard Maximo report (which the College would have access to) showing planned maintenance jobs raised, their completion status, and date of completion (where completed). The list of planned maintenance jobs should be compared to the Annual Planned Maintenance Schedule spreadsheet to ensure that all required planned maintenance was raised on Maximo for that month; or • use spreadsheet comparison tools to compare the planned maintenance jobs for that month (from the Annual Planned Maintenance Schedule spreadsheet) to planned maintenance jobs scheduled and completed for that month (from Maximo). This would be able to identify any jobs entered onto Maximo and any jobs not closed off. Any items not completed within the required month should be followed up with GLQ to identify the reason for any delays and to ensure they are rolled forward.	3	This recommendation is accepted and will be actioned. A reconciliation exercise comparing actual events against planned will be undertaken. Any planned maintenance jobs outstanding in the month reported will be reported and checked in the following month	Steven Giannandrea, Manager supported by Fergal MacAulay, Head of Service	31 November 2017	FES-FM provides yearly and five-yearly PPM plans to the College. The College cross-checks planned activities against actual activities on a month to month basis and ensures that any incomplete activities are carried out the following month. Meetings take place each month to discuss all PPM activities. The College has read only access to FES-FM's CAFM system, MAXIMO. This allows the College to access all live maintenance records, including uploaded statutory documents from specialised contractors. The Monthly FM reports also capture all PPM activities and show any in-complete items with an explanation. ***Fully Implemented***

Appendix VII – Updated Action Plan
Internal Audit Report 2017/10 – Corporate Planning

Original Recommendation	Priority	Original Management Response	To Be Actioned By	No Later Than	Progress at August 2018
R1 Every year a planning cycle schedule, which sets out key planning cycle activities and the timescales / milestones for completion of these, should be prepared and submitted for Board approval and reinforced across the College. This should include actions related to the Strategic Plan, supporting strategies, Operational Plans and Personal Development Reviews.	3	From the Service Area Review (2017) SMT has identified the need to create a timeline to include key planning and performance review dates throughout the session	College Secretary/Director of Performance	31 December 2017	A planning cycle schedule has been drawn up and published on Connected. *Fully Implemented*

Original Recommendation	Priority	Original Management Response	To Be Actioned By	No Later Than	Progress at August 2018
R2 Ensure that there is an explicit link in individuals' PDRs to the Operational Plan actions aligned to that individual, where relevant, to ensure that PDRs are updated to reflect new actions introduced between formal PDR reviews. The requirement for this explicit ongoing linkage between PDRs and the Operational Plans should be reflected in the Planning Guidance.	3	Operational planning is to be revised (dates to be confirmed) to align new delivery strategies and associated initiatives to the plans. Appropriate PDR linkage will be considered in this context.	Director of Performance / College Secretary	31 January 2018	New operational planning template drafted. All delivery strategies now with operational initiatives and associated yearly targets to 2020/21. The PDR process has been revised. This process aligns individuals 'Development Conversations' to operational planning. Initial consultation is complete in August 2018 with implementation during academic year 2018/19. *Partially Implemented* **Revised Completion Date:** 31 March 2019
R3 Introduce a mechanism to ensure that all Operational Plans are completed on a timely basis in line with the Operational Plan template and Planning Guidance.	2	A process will be introduced and communicated via SMT	SMT	31 December 2017	Operational Plans are published on Connected. Template used. New operational planning approach, guidance and template to be introduced to SMT once new senior management structure is completed in October 2018. *Fully Implemented*

Original Recommendation	Priority	Original Management Response	To Be Actioned By	No Later Than	Progress at August 2018
R4 Review the areas which should be required to produce an Operational Plan. From this review produce a list of all required Operational Plans, who is responsible for ensuring these are prepared, and who is responsible for reviewing these. (Refer to **R8** below).	3	A list of required operational plans will be created as part of the operational planning review referred to at R2 above.	SMT	31 December 2017	Operational Plans are published on Connected and cover all areas that are required to have one, with the exception of one faculty where this was not completed due to long-term sickness absence. *Fully Implemented*
R5 Enhance the Operational Plan template and Planning Guidance so that Operational Plans have a more explicit link with Delivery Strategies. The template should include sufficient information to allow monitoring of progress of the Operational Plan.	3	Revised Planning Guidance should include reference to the identification of these themes within the existing planning quadrant framework.	College Secretary	31 March 2018	SMT approved revision December 2017. Further revision planned for 2018/19 to reflect new operational planning template. *Fully Implemented*
R6 Consider what processes could be implemented to improve the interface between academic faculties and support departments during the planning cycle. Once this has been considered the processes that have been agreed to be used should be implemented.	3	Faculty/Service area planning interface to be considered as part of the operational planning review referred to at R2.	SMT	30 June 2018	The Student Experience Leadership Group has led to the development of effective joint planning. In addition, the introduction of the Education Scotland 'How Good is our College' framework has provided a helpful view on teaching / support joint planning to develop the student experience. *Fully Implemented*

Original Recommendation	Priority	Original Management Response	To Be Actioned By	No Later Than	Progress at August 2018
R7 Ensure that once Operational Plans are prepared that they are reviewed by the appropriate senior manager for robustness in line with the guidance noted in in this audit report.	3	A process will be introduced and communicated via SMT.	SMT	31 March 2018	Operational Plans were reviewed by managers in 2017 and published on Connected. New operational planning to be introduced to SMT once new senior management structure is completed in October 2018. *Fully Implemented*
R8 Ensure that all Operational Plans are centrally checked at key milestones in the year to ensure that managers have undertaken a formal progress update. To enable this check to happen the Operational Plans should all be stored in a designated location on Connected.	3	The Operational Plan will be held at a central location on Connected or other location (e.g. Admin control) as appropriate, accessible by all managers responsible for operational plans.	Vice Principal Infrastructure / College Secretary	31 March 2018	Operational Plans are published on Connected. Formal progress updates are carried out as part of the operational review process. The new operational planning template will help facilitate this. *Fully Implemented*

Appendix VIII – Updated Action Plan
Internal Audit Report 2017/11 – Follow-Up Reviews

Original Recommendation	Priority	Original Management Response	To Be Actioned By	No Later Than	Progress Previously Reported	Progress at August 2018
Organisational Development 2014/15						
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. (Continued on next page)	~~Judy Kier – Executive Director People & Culture~~ Updated responsible individual: Martin Taylor	30/4/15	***Progress at August 2016:*** 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. **Revised Management Response:** Provisionally agreed: referred to Martin Taylor (Head of OD) as J Keir has left the College. ***Progress at October 2017:*** It was determined that the Learning Management System proposed in August 2016 was not feasible due to cost and ongoing maintenance cost. (Continued on next page)	Mandatory training was identified, with staff, and procured and this has been incorporated within MyCity (VLE) rather than the procurement of a separate Learning Management System. Based on skills gap analysis further modules will be added. Through an internal focus group with College staff and Trade Unions the College has revised the Personal Development Review Scheme. This process ensures that the College identifies the skills and training required by all staff. Progress on the Employee Journey project is complete. The first 'Role Family' approach will be used to provide the skills and training required to support the College's re-organisation. ***Fully Implemented***

Original Recommendation	Priority	Original Management Response	To Be Actioned By	No Later Than	Progress Previously Reported	Progress at August 2018
(Continued)		This will ensure the College performs with greater effectiveness and efficiency.			The College is currently developing an Employee Journey which identities 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. ***Partially Implemented*** ***Revised Completion Date*** 31 July 2018	

Original Recommendation	Priority	Original Management Response	To Be Actioned By	No Later Than	Progress Previously Reported	Progress at August 2018
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~~ Updated responsible individual: Martin Taylor	30/6/15	***Progress at August 2016:*** 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. ***Revised Management Response:*** Provisionally agreed: referred to Martin Taylor (Head of OD) as J Keir has left the College. ***Progress at October 2017:*** The development of the Employee Journey will develop a clear outline of the training programmes for each role type in the College (see above). ***Partially Implemented*** ***Revised Completion Date*** 31 July 2018	The College has revised its employee integration and created an online resource to support the diversity of College roles. This provides a core of initial training for all grades of staff. The College has also redefined its essential training (*Health and Safety, Fire Safety, Equality and Diversity, Safeguarding and Data Protection*) as **mandatory**. This provides a standard core training programme for all grades of staff. The College has created a core Leadership and Management Development Programme to support the re-organised structure. This programme will provide a core training programme that is accredited by Scottish Credit Qualification Framework (SCQF). ***Fully Implemented***

Original Recommendation	Priority	Original Management Response	To Be Actioned By	No Later Than	Progress Previously Reported	Progress at August 2018
Internal Communications – 2015/16						
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	***Progress at August 2016:*** 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. **Revised Management Response:** 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. (Continued on next page)	As reported at October 2017 the Head of Corporate Communications had been meeting with Faculty teams to review the communication mechanisms, which led to the development of an agreed communications policy. The College is currently undergoing a leadership re-organisation and one of the areas directly affected by this is the Marketing and Corporate Communications functions. It is anticipated that the new Associate Director for this area will review and revise the communications policy, align the roles and responsibilities for staff within the Directorate and create an action plan (in line with their operational plan) to record findings from the wide range of internal communications that are in place. (Continued on next page)

Original Recommendation	Priority	Original Management Response	To Be Actioned By	No Later Than	Progress Previously Reported	Progress at August 2018
(Continued)					*Progress at October 2017:* 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. The College has not yet developed an action plan formally recording findings and actions arising as a result of feedback. *Partially Implemented* *Revised Completion Date* 31 January 2018	*Partially Implemented* *Revised Completion Date:* 31 December 2018

HENDERSON LOGGIE
Chartered Accountants

Original Recommendation	Priority	Original Management Response	To Be Actioned By	No Later Than	Progress Previously Reported	Progress at August 2018
Green Travel – 2015/16						
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.	Medium	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	*Progress at August 2016:* City of Glasgow College has arranged annual calendar activities for staff, include walking & 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. **Revised Management Response:** Agreed (Provisional – JW to confirm at Sept 7th). *Progress at October 2017:* The formal action plan for the College has still to be completed. (Continued on next page)	The Healthy Working Lives Group is being reconvened and its role reviewed following the completion of the College's current Leadership Reorganisation which will take effect from 15 October 2018. The College is supporting the uptake of cycling amongst staff and students in a number of ways: • The College has a Cycle Campus Officer (CCO) starting in September. Cycle Scotland fund this and have appointed 15 CCO's to Scottish Universities and Colleges starting in Sept 2018 on a full-time basis for 35 weeks. The CCO will work on obtaining Cycle Friendly Campus status for the College and will also try to promote more active travel. (Continued on next page)

Original Recommendation	Priority	Original Management Response	To Be Actioned By	No Later Than	Progress Previously Reported	Progress at August 2018
(Continued)						• The College arranges Dr Bike Sessions 3-4 times per year. • The College has bike tools, puncture repairs, pumps, to allow staff / students to fix their bikes. • The College also has locks that it can lend to staff / students • The College has an internal cycle store at City that accommodates 268 bikes and an external cycle store at Riverside that accommodates 200 bikes. The College has continued to arrange a calendar of events for staff in order for staff to consider other methods of transport. This is still on-going. (Continued on next page)
					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. (Continued on next page)	

Original Recommendation	Priority	Original Management Response	To Be Actioned By	No Later Than	Progress Previously Reported	Progress at August 2018
(Continued)					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. ***Partially Implemented*** ***Revised Completion Date*** 30 November 2017	The College will undertake a further travel survey and update report for 2018. It is planned that the survey will be issued in January / February 2019 with report to follow in April 2019. ***Partially Implemented*** ***Revised Completion Date:*** April 2019

Original Recommendation	Priority	Original Management Response	To Be Actioned By	No Later Than	Progress Previously Reported	Progress at August 2018
Health and Safety – 2015/16						
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.	Low	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~~ Updated responsible individual: Fares Samara	30/11/15	**Progress at August 2016:** 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. **Revised Management Response:** Agreed (Provisional –BA to confirm at Sept 7th). **Progress at October 2017:** 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. **Partially Implemented** **Revised Completion Date** 30 November 2017	A Health and Safety Risk Register has been completed by the Health and Safety Compliance Manager and submitted to the Head of Estates / Health and Safety. The Health and Safety Risk Register was amended by the Health and Safety Compliance Manager to explicitly refer to Electromagnetic Fields and was submitted to the Head of Estates / Health and Safety. The Risk Register will be presented to the Health and Safety Committee in November 2018. **Fully Implemented**

Original Recommendation	Priority	Original Management Response	To Be Actioned By	No Later Than	Progress Previously Reported	Progress at August 2018
Libraries and Learning Technologies – 2015/16						
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.	**Medium**	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.	~~Janis Carson/Lee Ballantyne~~ Updated responsible individual: Joanna Campbell	MyCity data on dashboard: May 2016 Operational Planning including target setting: summer 2016 Library data on dashboard: from January 2017 subject to IT support PDRs to include individual targets from the start of 2016- 17 session. Investigate better integration with Enquirer: 2017	***Progress at October 2017:*** MyCity analytics are now included on the dashboard. KPIs completed as part of the service area review targets. 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: • Library visits • Library services: ♦ Number of borrowed items ♦ Number of laptops borrowed (Continued on next page)	This work has now been completed and further work across the three Glasgow colleges' Library Group is looking at the use of data analytics to improve the experience of all library users. ***Fully Implemented***

Original Recommendation	Priority	Original Management Response	To Be Actioned By	No Later Than	Progress Previously Reported	Progress at August 2018
(Continued)		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. We will additionally investigate options for integrating with Enquirer in 2017.			• Transactions by Faculty • Type of enquiry 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. ***Partially Implemented*** ***Revised Completion Date*** 31 December 2017	