

AUDIT & RISK ASSURANCE COMMITTEE

AGENDA

A meeting of the Audit & Risk Assurance Committee will be held at 15:00 hours on 6 March 2023, Sighthill Campus (Boardroom)

		Lead Speaker	Paper
1	WELCOME & APOLOGIES	Chair	
2	DECLARATIONS OF INTEREST	Chair	
3	MINUTES OF PREVIOUS MEETING <i>for approval</i>	Chair	A
4	MATTERS ARISING REPORT		
	4.1 Matters Arising Update	Chair	B
	4.2 Business Committees of the Board Update		
	• Planning & Resources Committee 29.02.24	A Williamson	Verbal
	4.3 Deep Dive: Commercial Risk and Associated Mitigations	Chair	Verbal
5	INTERNAL AUDIT REPORTS		
	5.1 Summary of Audit Recommendations	A Williamson	C
	5.2 Internal Audit: Business Performance Management	BDO	D
6	RISK ASSURANCE		
	6.1 Risk Management Report	N Croft	E
	6.2 Data Breach Incidents & Cyber Attacks Update	N Croft	F
	6.3 Cyber Security Update (inc. Risk Matrix)	A Williamson / G Hope	Pres.
7	ANY OTHER COMPETENT BUSINESS		
	7.1 Horizon Scanning Update	Mazars / BDO	Verbal
8	FOR INFORMATION		
	8.1 Internal Audit Progress Report		G
	8.2 Annual Complaints Activity Report		H
	8.3 EC Policies & Procedures Update		I
	8.4 Audit & Risk Assurance Committee Business Planner 2024/25		J
9	FOR CIRCULATION		
	9.1 SFC Report: Financial Sustainability of Colleges in Scotland 2021/22 to 2025/26		

10 DATE OF NEXT MEETING: 22 May 2024

N.B: The minutes of the Audit & Risk Assurance Committee are reported directly to the Board of Management, with an accompany commentary from the Committee Chair.

Title	Risk Management Update
Appendices	Appendix 1: Top level Risk Register Infographic – Feb 2024 Appendix 2: Top Level Risk Register – Feb 2024
Disclosable under FOISA	Yes <input checked="" type="checkbox"/> / No <input type="checkbox"/>
Primary Contact	Nick Croft, Director of Communication, Policy & Research
Date of Production	22.02.24
Action Required	For Approval <input type="checkbox"/> / For Discussion <input checked="" type="checkbox"/> / For Information <input checked="" type="checkbox"/>
Aligned to Strategic Risk	Yes <input type="checkbox"/> / No <input checked="" type="checkbox"/> (If 'yes' please complete Section 5.3)

1. RECOMMENDATIONS

The Audit & Risk Assurance Committee is asked to NOTE the changes to the top-level college risks agreed by the Risk Management and Assurance Group (RMAG).

2. PURPOSE OF REPORT

This paper provides an update on matters relating to risk management and business continuity at the College.

3. KEY INSIGHTS

At its most recent meeting on 15 February 2024, the RMAG discussed the following:

(1) Top Risk Register

The RMAG agreed that the current top risks for the college are:

- (1) National bargaining impact on college operations.
- (33) Financial sustainability (insufficient budget / funding to cover cost of living, job evaluation, employer pension contribution increases).
- (24) Cyber security breaches within the college.
- (32) Failure to meet SFC funded activity targets and fees (recruitment, credits, SAAS and fee income).

(2) Operational risk registers

Student Experience – The Assistant Principal advised the RMAG that the top department risks and mitigations include:

Top risk Safeguarding

Mitigations:

Measures include cross-college awareness campaigns for both staff and students, dissemination of safeguarding policies, creation of flowcharts for swift response, establishment of online resources on the intranet and Moodle, provision of in-person training, support for external partners, collaboration with relevant agencies, risk assessment processes, and a reporting system for safeguarding concerns. These are all aimed at

promoting awareness and vigilance regarding safeguarding issues throughout the College community.

2nd risk Increase in mental health disclosure and support requirements.

Mitigations:

The college offers various support services, including student counselling, a permanent Wellbeing Service, collaboration with ECSA for events like Time to Talk, a Free Breakfast Club, and My Wellbeing platform integrated with My EC. Staff receive ongoing CPD on mental health support, and there are established processes for safeguarding, Fitness to Study, signposting to support agencies, and a Student Wellbeing Newsletter distributed fortnightly.

3rd risk Student funding

Mitigations:

The college employs robust monitoring and reporting systems for funding, including monthly and/or quarterly forecasts and regular audit outcomes provided to the SFC. These audits ensure the effectiveness of the systems, and the outcomes of Lean projects have been integrated with ongoing reviews to enhance efficiency.

4. IMPACT AND IMPLICATIONS

The development and management of the College’s Risk Management Framework and Business Continuity Management Framework improves the College’s capacity to:

- Identify, mitigate, and monitor college risks and possible major disruptions.
- Develop business continuity and recovery plans for major disruptions.
- Devise action plans to minimise high level adverse risk.
- Identify the colleges risk tolerance and risk appetite for each strategic aim.
- Improve academic and support services to deliver an excellent student experience.
- Address specific financial shortfalls to safeguard future financial sustainability.
- Invest in the workforce through an impactful people strategy.
- Maintain good College governance.

The successful management of the College’s Risk Management Framework and Business Continuity Management Framework are central to good governance which enables the College to deliver its Strategic Aims and Key Performance Indicators.

5. ALIGNMENT TO STRATEGIC PLAN / KPIs / RISK REGISTER

5.1 Alignment to Edinburgh College Strategic Pillars [Indicate with an ‘X’ which Strategic Pillar this paper supports]:

Curriculum Strategy	<input checked="" type="checkbox"/>	Finance Strategy	<input checked="" type="checkbox"/>	People Strategy	<input checked="" type="checkbox"/>
Commercial Strategy	<input checked="" type="checkbox"/>	Digital Strategy	<input checked="" type="checkbox"/>	Other	<input type="checkbox"/>

5.2 Relevant Key Performance Indicators [Indicate with an 'X' which performance indicators this paper supports]:

Student Success	<input checked="" type="checkbox"/>	Credit Target	<input checked="" type="checkbox"/>	Equality, Diversity & Inclusion	<input checked="" type="checkbox"/>
Student Satisfaction	<input checked="" type="checkbox"/>	Adjusted Operating Position (AOP)	<input checked="" type="checkbox"/>	Staff Costs	<input checked="" type="checkbox"/>
Student Retention	<input checked="" type="checkbox"/>	Non-SFC Income	<input checked="" type="checkbox"/>	Staff Engagement	<input checked="" type="checkbox"/>
Student Enrolments	<input checked="" type="checkbox"/>	Gross Carbon Footprint	<input checked="" type="checkbox"/>	Partner Engagement	<input checked="" type="checkbox"/>

5.3 Alignment to the Top-Level Risk Register [Strategic risk information should be copied directly from the most recent TLRR]:

Strategic Risk(s)	Risk Score*		
Not Applicable.	Inherent (Gross) Risk		
	Probability	Impact	Score
	-	-	-
	Residual (Net) Risk		
	Probability	Impact	Score
	-	-	-
	Movement (since last review)		-

*Risk Score Key: 0-10 Low Risk; 11-15 Moderate Risk; 16-25 High Risk. [Further information on risk scoring can be found in the [EC Risk Management Policy & Procedure](#)]

Top Level Risk Register – Feb 2024

Overview - The following have been identified as the top strategic risks of Edinburgh College for the reporting period as of February 2024. The colour status applied to each listed risk is based on the residual (Net) score applied within the top risk register maintained by the College.

RED Score

- ↔ (1) National bargaining impact on college operations
- ↔ (33) Financial Sustainability (Insufficient budget / funding to cover cost of living, job evaluation, employer pension contribution increases)
- ↔ (24) Cyber security breaches within the college
- ↔ (32) Failure to meet SFC funded activity targets and fees (recruitment, credit, SAAS and fee income)

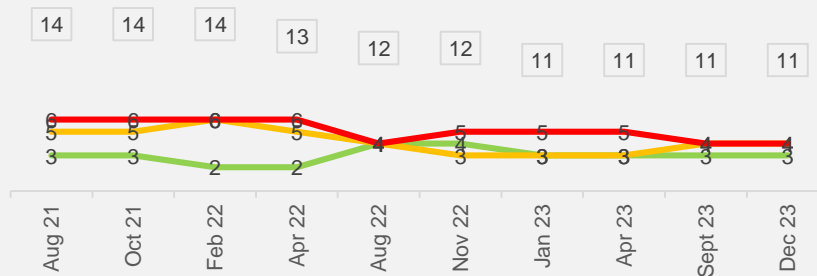
AMBER Score

- ↔ (2) Student retention and attainment
- ↔ (25) Finable breach of the GDPR or PECR
- ↔ (15) Health & safety non-compliance
- ↔ (28) College estate infrastructure not aligned to meet business need

GREEN Score

- ↔ (35) Public health risk
- ↔ (3) College does not support or invest in commercial opportunities that contribute to financial sustainability
- ↔ (27) Workforce planning and development

Risk Movement



RAG Key

- ↔ No score movement from last reporting period
- ↑ Residual (Net) score increase from last reporting period. Colour of arrow denotes the risks previous RAG score
- ↓ Residual (Net) score decrease from last reporting period. Colour of arrow denotes the risks previous RAG score
- New Risk
- ⌵ Combination of previously separate risks within the top risk register

For the future you want

Edinburgh college top level strategic risk register for reporting period up to February 2024

LEAD: Chief Operating Officer

DEPUTY: Director of Communication, Policy and Research

RAG Key	Description
16 - 25 High Risk	At Risk or Late - Not Under Management Control - Action Required When Red , significant concerns over the adequacy/effectiveness of the controls in place and assurances obtained in proportion to the risks
11 - 15 Moderate Risk	At Risk or Late - Under Management Control When Amber , some areas of concern over the adequacy/effectiveness of the controls in place and assurances obtained in proportion to the risks
0 - 10 Low Risk	On Target and Under Management Control When Green , controls and assurances are adequate/effective in proportion to the risks
Blank	Insufficient information at present to judge the adequacy/effectiveness of the controls and assurances

Risk appetite summary	Adverse - Low	Cautious - Medium	Open - Medium-High	Eager - High
Cyber & Information	Cyber-attack / GDPR - There are no positive outcomes from a cyber or GDPR event. No deliberate breach of compliance is acceptable.		IT / Technology - Innovation and growth necessarily will bring new technological and information risks. We will seek technological advancement to become a high-performing digital organisation.	IT Technology
Regulatory & Compliance	Regulatory breach - No deliberate significant breach of compliance is acceptable.		Policy change - Some risk taking is necessary with the potential for legal or regulatory challenge. We accept the potential for regulatory challenge where we can justify it.	
Finance		Financial management - It is necessary to take some considered risk to innovate and tackle the financial challenges ahead.	Commercial opportunities - Our financial approach needs to adapt to accommodate different funding models and the need to take new commercial opportunities which may be more within our control and will support our aspirations for innovation and growth.	
Reputation			Managing consequences - Limited / controlled publicity cannot be avoided where we want to grow and innovate.	Taking opportunities - We will actively promote innovations and be prepared to justify them externally if necessary.
Workforce	Workforce wellbeing - We want to avoid any adverse impact on workforce wellbeing.	Workforce development - Some risk is acceptable to innovate and develop skills and capacity.		
Quality Service	Student outcomes - We do not seek to take risks that could adversely impact student outcomes		Curriculum - We acknowledge there may need to be short term impact to achieve longer term rewards, such as curriculum changes.	
Commerciality				Realising potential - Investment and innovation are key to growing alternative income streams.

RISK DETAILS	RISK SCORING & TRACKING	RISK MITIGATIONS & CONTROLS	RISK MONITORING & ASSURANCE	CONTINGENCY IF RISK MITIGATIONS & CONTROLS FAIL	CHANGE LOG - FROM PREVIOUS REPORTING PERIOD																		
<p>(1) National bargaining impact on college operations</p> <p>Management Lead: Director of HR&OD</p> <p>Lead Committee: Planning and Resources Committee</p> <p>Strategic Pillar: People</p>	<table border="1"> <thead> <tr> <th colspan="3">Inherent (Gross) Risk</th> </tr> <tr> <th>Probability</th> <th>Impact</th> <th>Score</th> </tr> </thead> <tbody> <tr> <td>5</td> <td>5</td> <td>25</td> </tr> </tbody> </table> <table border="1"> <thead> <tr> <th colspan="3">Residual (Net) Risk</th> </tr> <tr> <th>Probability</th> <th>Impact</th> <th>Score</th> </tr> </thead> <tbody> <tr> <td>5</td> <td>5</td> <td>25</td> </tr> </tbody> </table> <p style="text-align: center;">Movement ⇄</p>	Inherent (Gross) Risk			Probability	Impact	Score	5	5	25	Residual (Net) Risk			Probability	Impact	Score	5	5	25	<p>Preventative (Probability):</p> <ul style="list-style-type: none"> Senior staff work (Principal, COO, HRD, VP's) present on national work and bargaining groups to influence future direction <p>Remedial (Impact):</p> <ul style="list-style-type: none"> HR regularly review national circulars and determines national impact on college <p>Both:</p> <ul style="list-style-type: none"> Strong partnership working between management and unions 	<p>1st line of defence:</p> <ul style="list-style-type: none"> Senior staff present on nation work and bargaining groups to influence future direction Regular internal HR/Executive discussions to review national initiatives and determine college actions HR work with managers and SMT leads to discuss impact in their areas General discussions with Finance regarding financial impacts Monthly meetings between COO and HRD <p>2nd line of defence:</p> <ul style="list-style-type: none"> Policy and Resources Committee discussions and reports Audit and Risk Assurance Committee review of top-level risk register – which includes industrial relations risk Executive Team and SMT meetings + reports – industrial relations matters <p>3rd line of defence:</p> <ul style="list-style-type: none"> Local Negotiation Committees – COO chairs LNC with Unison and Vice Principal with EIS (HRD attends both) - National issues are discussed with a view to determine college actions 	<ul style="list-style-type: none"> Focused management and oversight of situation by Executive, and senior management teams 	<p>Three year pay deal has been tabled but not accepted. Cuts to sector funding put further pressure on the affordability of pay increases</p>
Inherent (Gross) Risk																							
Probability	Impact	Score																					
5	5	25																					
Residual (Net) Risk																							
Probability	Impact	Score																					
5	5	25																					
<p>(33) Financial sustainability (insufficient budget / funding to cover cost of living, job evaluation, employer pension contribution increases)</p> <p>Management Lead: Director of Finance & Estates Infrastructure</p> <p>Director of HR&OD</p> <p>Lead Committee: Planning and Resources Committee</p> <p>Strategic Pillar: Finance</p>	<table border="1"> <thead> <tr> <th colspan="3">Inherent (Gross) Risk</th> </tr> <tr> <th>Probability</th> <th>Impact</th> <th>Score</th> </tr> </thead> <tbody> <tr> <td>5</td> <td>5</td> <td>25</td> </tr> </tbody> </table> <table border="1"> <thead> <tr> <th colspan="3">Residual (Net) Risk</th> </tr> <tr> <th>Probability</th> <th>Impact</th> <th>Score</th> </tr> </thead> <tbody> <tr> <td>5</td> <td>5</td> <td>25</td> </tr> </tbody> </table> <p style="text-align: center;">Movement ⇄</p>	Inherent (Gross) Risk			Probability	Impact	Score	5	5	25	Residual (Net) Risk			Probability	Impact	Score	5	5	25	<p>Preventative (Probability):</p> <ul style="list-style-type: none"> Active engagement at national level via Principal, COO and HRD. Develop a more unified response with other colleges through HR and Finance networks. Improved involvement with the NJNC via HRD Increase volume of lobbying with MSP's to promote needs of college. Financial Forecasting and sensitivity analysis in place taking account of additional financial requirements and cost savings. Together with other affected public sector organisations engage with bodies setting SPPA and LPF employer pension rates. Better workforce planning to ensure that staffing costs are contained, Led by COO and SMT. <p>Remedial (Impact):</p> <ul style="list-style-type: none"> 6% contribution (Middle Managers 3%) to Job Evaluation awarded from the SFC. SFC funding of increases in employer lecturer pension costs. There will be a shortfall on funding for cost-of-living increases - we had been told to expect 	<p>1st line of defence:</p> <ul style="list-style-type: none"> Ensure EC has the latest information available on future pension rate movements (review all published information). Annual budget setting with each AP/Director, included in operational plans. Monthly management accounts meetings with each AP/Director Monthly meetings between COO and Director of Finance & Estates Infrastructure Annual assurance statements including financial control, references. Maintaining up to date financial regulations as well as policies and procedures. Annual Accounts scrutinised by the Executive Team. Regular Cash flow forecast prepared and reviewed SFC Cash flows prepared, reviewed, and sent monthly. Regular joint reviews by Directors of HR&OD & Finance & Estate Infrastructure of budget aligned to establishment. SMT meeting regularly. <p>2nd line of defence:</p>	<ul style="list-style-type: none"> Seek further income from external revenue streams. Impose a moratorium on expenditure. Reduction in staff costs through restriction on filling vacancies. National lobby on ability to create further revenue for the college. 	
Inherent (Gross) Risk																							
Probability	Impact	Score																					
5	5	25																					
Residual (Net) Risk																							
Probability	Impact	Score																					
5	5	25																					

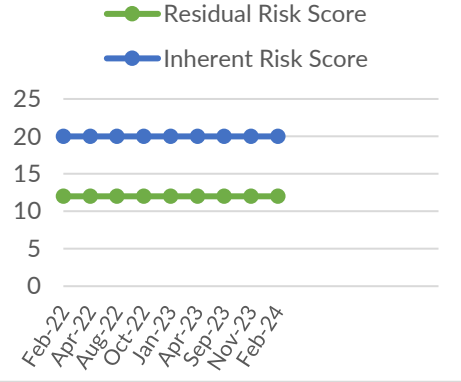
RISK DETAILS	RISK SCORING & TRACKING	RISK MITIGATIONS & CONTROLS	RISK MONITORING & ASSURANCE	CONTINGENCY IF RISK MITIGATIONS & CONTROLS FAIL	CHANGE LOG - FROM PREVIOUS REPORTING PERIOD																																																
		<p>flat cash funding for future years however the draft budget has proposed a c.8% cut for 24/25</p> <ul style="list-style-type: none"> Further VS schemes are now under consideration for 2023/24 and beyond as an action to achieve balanced budget and make savings for future years. Ensure all costs associated with reduced income are removed where possible. Recruitment freezes remain an option in 2023/24 and beyond. SMT to develop strategy through Priority Based Budgeting weekly meetings. Continued efforts to reduce costs (through regular meetings with dept heads to review operational costs) and maximise commercial income through regular meetings between Director of Finance and Estates and Director of Commercial Development. <p>Both:</p> <ul style="list-style-type: none"> Total impact fully disclosed to BoM. Cost of Living increases included 2022/23 and 2023/24 at an estimate of Public Sector Pay Policy. No agreement with Unions, consultation will be ongoing until agreed. Working with national employer's association to request additional Grant funding. 	<ul style="list-style-type: none"> Senior Management and Executive Team reviews of financial controls, cash management, management accounts and performance. Quarterly reports to Planning and Resources Committee and the Board. Budget and 5-year forecast process and papers to committees and board. Finance Report (including management accounts) reviewed by P&R Committee & Board. Regional Procurement Strategy approved by P&R Committee annually. <p>3rd line of defence:</p> <ul style="list-style-type: none"> Full impact disclosed to BoM. External Audit of finance including cash flow & management, payroll & expenses, purchasing & creditors and procurement as well as annual internal audit of EMA, bursaries and other student support funds. Annual Accounts signed off by External auditors and laid before the Scottish Parliament. 																																																		
<p>(24) Cyber security breaches within the college</p> <p>Management Lead: Chief Operating Officer</p> <p>Digital Infrastructure Service Lead</p> <p>Lead Committee: Planning and Resources Committee</p> <p>Strategic Pillar: Digital</p>	<table border="1"> <thead> <tr> <th colspan="3">Inherent (Gross) Risk</th> </tr> <tr> <th>Probability</th> <th>Impact</th> <th>Score</th> </tr> </thead> <tbody> <tr> <td>5</td> <td>5</td> <td>25</td> </tr> </tbody> </table> <table border="1"> <thead> <tr> <th colspan="3">Residual (Net) Risk</th> </tr> <tr> <th>Probability</th> <th>Impact</th> <th>Score</th> </tr> </thead> <tbody> <tr> <td>4</td> <td>5</td> <td>20</td> </tr> </tbody> </table> <p>Movement ⇄</p> <table border="1"> <caption>Risk Score History</caption> <thead> <tr> <th>Month</th> <th>Inherent Risk Score</th> <th>Residual Risk Score</th> </tr> </thead> <tbody> <tr><td>Feb-22</td><td>25</td><td>20</td></tr> <tr><td>Apr-22</td><td>25</td><td>20</td></tr> <tr><td>Aug-22</td><td>25</td><td>20</td></tr> <tr><td>Oct-22</td><td>25</td><td>20</td></tr> <tr><td>Jan-23</td><td>25</td><td>20</td></tr> <tr><td>Apr-23</td><td>25</td><td>20</td></tr> <tr><td>Sep-23</td><td>25</td><td>20</td></tr> <tr><td>Nov-23</td><td>25</td><td>20</td></tr> <tr><td>Feb-24</td><td>25</td><td>20</td></tr> </tbody> </table>	Inherent (Gross) Risk			Probability	Impact	Score	5	5	25	Residual (Net) Risk			Probability	Impact	Score	4	5	20	Month	Inherent Risk Score	Residual Risk Score	Feb-22	25	20	Apr-22	25	20	Aug-22	25	20	Oct-22	25	20	Jan-23	25	20	Apr-23	25	20	Sep-23	25	20	Nov-23	25	20	Feb-24	25	20	<p>Preventative (Probability):</p> <p>Technical</p> <ul style="list-style-type: none"> Overall secure configurations of college systems. Software restrictions controlling which applications can be used on endpoints. Vulnerability management and penetration testing e.g., application scanning. Control of IT, MIS Development privileged accounts. Patch management and data access control. Boundary intrusion detection defences (firewalls), network inspection, activity, and event monitoring. MIS application security improvement – ad hoc code reviews, Capita provide 6 monthly updates via web services Stage one of the Network Access Control improvements (related to internal IT Services audit action 2) completed successfully in February Office 353 Multifactor authentication roll-out for staff has been completed 	<p>1st line of defence:</p> <ul style="list-style-type: none"> IT management team meetings which cover cyber security and internal controls related to preventative remedial actions Information management meetings to establish data risk. Policies and Procedures. <p>2nd line of defence:</p> <ul style="list-style-type: none"> Audit and Risk Assurance Committee meetings + 'deep dives' to discuss cyber security and information management audit and compliance reports. <p>3rd line of defence:</p> <ul style="list-style-type: none"> External and Internal audits on cyber security. Internal audits on data protection. Cyber Essentials Plus assessment process- College passed 2020. Chief Information Security Officer and Data Protection Officers shared service in place to provide support. 	<ul style="list-style-type: none"> Use of overtime budgets for out of hours cover. Data/information insurance in place. Escalation to SMT and Executive Team to approve budget for incident containment (e.g., external expertise). Cyber Security Attack Business Continuity Management plan. Security Operations Centre assistance available to contain incidents. 	
Inherent (Gross) Risk																																																					
Probability	Impact	Score																																																			
5	5	25																																																			
Residual (Net) Risk																																																					
Probability	Impact	Score																																																			
4	5	20																																																			
Month	Inherent Risk Score	Residual Risk Score																																																			
Feb-22	25	20																																																			
Apr-22	25	20																																																			
Aug-22	25	20																																																			
Oct-22	25	20																																																			
Jan-23	25	20																																																			
Apr-23	25	20																																																			
Sep-23	25	20																																																			
Nov-23	25	20																																																			
Feb-24	25	20																																																			


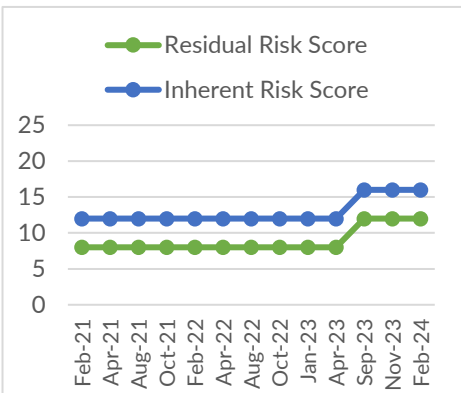
RISK DETAILS	RISK SCORING & TRACKING	RISK MITIGATIONS & CONTROLS	RISK MONITORING & ASSURANCE	CONTINGENCY IF RISK MITIGATIONS & CONTROLS FAIL	CHANGE LOG - FROM PREVIOUS REPORTING PERIOD
		<ul style="list-style-type: none"> • The new email gateway defence platform is in place • Security Operations Centre contract has been renewed for a second year • New endpoint and server patching solutions have been purchased and are being implemented <p><u>Organisational</u></p> <ul style="list-style-type: none"> • Information Security programme launched • Universities and Colleges Shared Services (UCSS) InfoSec membership - Extra resource supplied by HEFESTIS* CISO**-Share. <ul style="list-style-type: none"> * HE/FE Shared Technology & Information Services **Chief Information Security Officer • Participation in Certified Information Security Professional (CiSP)/ Scottish Information Sharing Network (SCiNET) • Develop data breach response testing and business continuity readiness. Communication plans. • IT policies and IT asset registers - Change Control Policy (related to Cyber Security audit action 2) approved <p><u>Behavioural</u></p> <ul style="list-style-type: none"> • Staff awareness training and being vigilant • Staff are content to report issues • Procurement policy and selection of suppliers <p>Remedial (Impact):</p> <ul style="list-style-type: none"> • Incident response planning • Data recovery systems prioritised (backups) and data recovery if breach occurs <p>Both:</p> <ul style="list-style-type: none"> • Inventory of college systems maintained (dynamic asset management) and preventative controls • Penetration testing undertaken annually • Managed Security Operations Centre (SOC) • 4th May 2023 – cyber attack rehearsal facilitated by Zurich representative was conducted with internal college stakeholders to step through plans in place and identify further actions. • Critical system workshops being coordinated with key college stakeholders to develop robust BCM Plans: 			


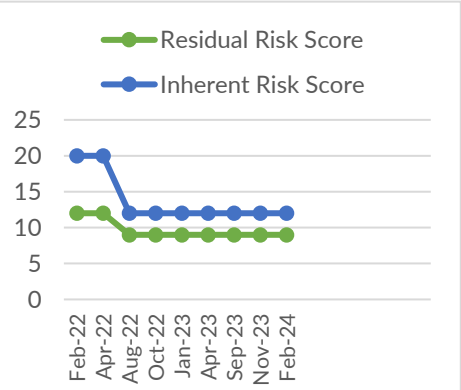

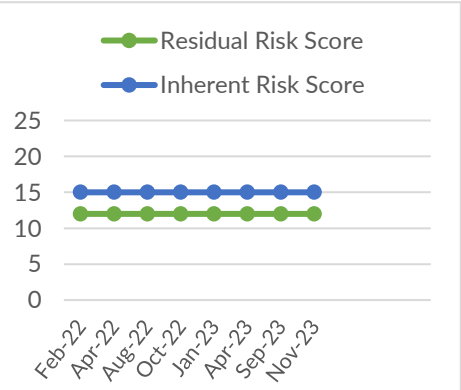
RISK DETAILS	RISK SCORING & TRACKING	RISK MITIGATIONS & CONTROLS	RISK MONITORING & ASSURANCE	CONTINGENCY IF RISK MITIGATIONS & CONTROLS FAIL	CHANGE LOG - FROM PREVIOUS REPORTING PERIOD																					
		a) iTrent – workshops complete, finalising BCM plan b) Unit 4 - workshops complete, finalising BCM plan c) Unit e - workshops complete, finalising BCM plan d) Moodle/Mahara – workshops to be scheduled e) Promonitor – workshops to be scheduled f) Celcat - – workshops to be scheduled																								
<p>(32) Failure to meet SFC funded activity targets and fees</p> <p>(Recruitment, credits, Student Award Agency Scotland (SAAS) and fee income)</p> <p>Management Lead: VP Education & Skills</p> <p>VP Innovation Planning & Performance</p> <p>Lead Committee: Planning and Resources Committee</p> <p>Strategic Pillar: Curriculum</p>	<table border="1"> <thead> <tr> <th colspan="3">Inherent (Gross) Risk</th> </tr> <tr> <th>Probability</th> <th>Impact</th> <th>Score</th> </tr> </thead> <tbody> <tr> <td>4</td> <td>5</td> <td>20</td> </tr> <tr> <th colspan="3">Residual (Net) Risk</th> </tr> <tr> <th>Probability</th> <th>Impact</th> <th>Score</th> </tr> <tr> <td>4</td> <td>5</td> <td>20</td> </tr> <tr> <td colspan="2">Movement</td> <td>↔</td> </tr> </tbody> </table>	Inherent (Gross) Risk			Probability	Impact	Score	4	5	20	Residual (Net) Risk			Probability	Impact	Score	4	5	20	Movement		↔	<p>Preventative (Probability):</p> <ul style="list-style-type: none"> Performance Monitoring cycle – encapsulating ROA targets Active engagement at national level via Principal and Chair Develop a more unified response with other colleges using College Scotland Increase volume of lobbying with MSPs to promote needs of college. Maintaining up to date financial regulations as well as policies and procedures. Ongoing monitoring of application system Full college recruitment and enrolment consultation complete and summary to be provided for final recommendations – Sept 2023 <p>Remedial (Impact):</p> <ul style="list-style-type: none"> More detailed budgeting and reporting now in place to align staff and overhead budgets to prioritised services Monthly focus on cost control with regular, clear communications with all staff on financial position seeking support in reconciling adverse position Financial systems, processes and procedures updated in areas where SFC guidance has had an effect, eg, budgeting and forecasting Reconciliation of SFC guidance changes and allocation letters with monthly SFC Returns and Cash Flow Forecasts Wider acceptance of financial targets across the SMT, to ensure focus remains on achieving financial targets including alternative income streams if targets not forecast to be achieved Further guidance from SFC has provided more flexibility around the allocation of credits <p>Both:</p>	<p>1st line of defence:</p> <ul style="list-style-type: none"> Heads of Faculty, VP, CM and CL (invited) conduct 6wkly performance to monitor targets Faculty Operational Plans include ROA and credit targets. Monthly meetings between COO and Head of Finance. Annual assurance statements including financial control, references. Regular meetings with regional outcome agreement manager Regular meetings with Education Scotland <p>2nd line of defence:</p> <ul style="list-style-type: none"> MIS quality checks on credit delivery. VP Education and Skills meetings with all Heads of Faculty to review ROA + credit delivery. Faculty Operational Plan performance meetings. VP Education and Skills reports to Planning and Resources Committee on credit delivery ROA and SFC target reporting presented to SMT and Academic Council Tri-partite engagement with SFC/Education Scotland Monitoring by Education Scotland of progress against actions agreed in the Edinburgh College Enhancement Plan <p>3rd line of defence:</p> <ul style="list-style-type: none"> Annual internal Further Education Statistics (FES) audit (also reported to Audit and Risk Assurance Committee) and FES submission to SFC. Scottish Government CPA self-evaluation process. 	<ul style="list-style-type: none"> Monitor effect of activity on funding and assess exposure Action planning and remedial quality assurance and enhancement 	<p>Have not recruited enough full-time students and semester 2 applications are lower than hope for</p> <p>Increase in risk score due to SFC removing flexibility for COVID recovery and the number of credits that can be claimed (reduced target by 10%, however likely to not reach number of students in new year required to meet this)</p>
Inherent (Gross) Risk																										
Probability	Impact	Score																								
4	5	20																								
Residual (Net) Risk																										
Probability	Impact	Score																								
4	5	20																								
Movement		↔																								


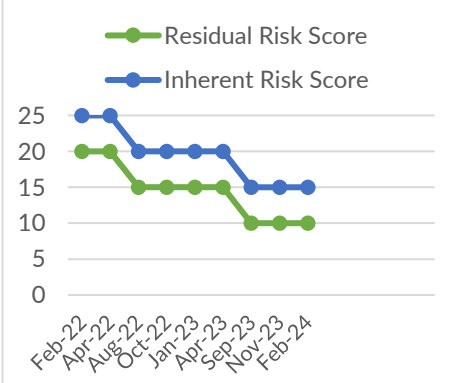
RISK DETAILS	RISK SCORING & TRACKING	RISK MITIGATIONS & CONTROLS	RISK MONITORING & ASSURANCE	CONTINGENCY IF RISK MITIGATIONS & CONTROLS FAIL	CHANGE LOG - FROM PREVIOUS REPORTING PERIOD																																																
		<ul style="list-style-type: none"> Analysis of short-term contracts that lead to break-even/negative funding for the college Closer working between Finance/HR /Procurement and Department Heads including training sessions and regular meetings New self-evaluation procedures launched in June 2018, performance against attainment data as key ROA measure and supports staff to consider planning at operational level to improve this Marketing targeted to demographics highlighted in ROA 																																																			
<p>(2) Student retention and attainment</p> <p>Management Lead: VP Innovation Planning & Performance</p> <p>VP Education & Skills</p> <p>Lead Committee: Planning and Resources Committee</p> <p>Strategic Pillar: Curriculum</p>	<table border="1"> <thead> <tr> <th colspan="3">Inherent (Gross) Risk</th> </tr> <tr> <th>Probability</th> <th>Impact</th> <th>Score</th> </tr> </thead> <tbody> <tr> <td>4</td> <td>5</td> <td>20</td> </tr> </tbody> </table> <table border="1"> <thead> <tr> <th colspan="3">Residual (Net) Risk</th> </tr> <tr> <th>Probability</th> <th>Impact</th> <th>Score</th> </tr> </thead> <tbody> <tr> <td>3</td> <td>5</td> <td>15</td> </tr> </tbody> </table> <p style="text-align: center;">Movement ⇄</p> <table border="1"> <caption>Risk Score History</caption> <thead> <tr> <th>Month</th> <th>Inherent Risk Score</th> <th>Residual Risk Score</th> </tr> </thead> <tbody> <tr><td>Feb-22</td><td>20</td><td>20</td></tr> <tr><td>Apr-22</td><td>20</td><td>20</td></tr> <tr><td>Aug-22</td><td>20</td><td>20</td></tr> <tr><td>Oct-22</td><td>20</td><td>20</td></tr> <tr><td>Jan-23</td><td>20</td><td>20</td></tr> <tr><td>Apr-23</td><td>20</td><td>20</td></tr> <tr><td>Sep-23</td><td>15</td><td>15</td></tr> <tr><td>Nov-23</td><td>15</td><td>15</td></tr> <tr><td>Feb-24</td><td>15</td><td>15</td></tr> </tbody> </table>	Inherent (Gross) Risk			Probability	Impact	Score	4	5	20	Residual (Net) Risk			Probability	Impact	Score	3	5	15	Month	Inherent Risk Score	Residual Risk Score	Feb-22	20	20	Apr-22	20	20	Aug-22	20	20	Oct-22	20	20	Jan-23	20	20	Apr-23	20	20	Sep-23	15	15	Nov-23	15	15	Feb-24	15	15	<p>Preventative (Probability):</p> <ul style="list-style-type: none"> Educations Scotland progress visits in May and June provided positive feedback and shown that all actions in plan have been completed New action plan in place with clear direction and actions to ensure consistency of approach towards tracking and monitoring - plan to be shared with Learning, Teaching and Student Experience (LTSE) committee New implemented curriculum management structure has re-designated 50 staff to management roles. This will create smaller curriculum teams and enable a greater focus on the quality of learning and teaching and help lead to improvements in both retention and attainment MIS email staff proactively around student with cause for attendance concerns (targeting support before course starts) Use of predictive analytics Curriculum planning tool in use (Curriculum review) Planning matrix including impacts and accountability Introduce and adhere to curriculum planning cycle Improved business intelligence (SFC/SDS/other data) Improved course information and pre-course guidance Continued use of application window Continued training and joint working of curriculum and student support teams Collegiate student focus / retention friendly timetabling Ensuring all funding in place before start dates 	<p>1st line of defence:</p> <ul style="list-style-type: none"> Student focused timetabling – Retention (RONSEAL) group e.g., application process review CM forum Assessment board meetings LDTs attend course teams meeting Weekly AP meeting Education Scotland report discussed at SMT meetings (standing item on agenda) HOF led performance reviews between HOF, CM, CL, Lecturers (in addition 3 x per year to Exec lead performance reviews with HOF and CM) using operational plan targets Quality team meetings with CM's and CL's Team meetings focused on self-evaluation Annual ongoing curriculum review Fortnightly Edinburgh College Student Association (ECSA) meeting with Assistance Principal of Quality and Improvement <p>2nd line of defence:</p> <ul style="list-style-type: none"> Regular reporting to Executive Team and Senior Management Team Regular reporting to Academic Council Deep Dives led by Audit and Risk Assurance Committee ROA reporting to the Board of Management Performance against ROA targets report to Academic Council Student destination survey reports to Academic Council Edinburgh College Student Association reporting of student satisfaction to Academic council and Board of Management <p>3rd line of defence:</p> <ul style="list-style-type: none"> Annual framework audit 	<ul style="list-style-type: none"> Version 2 of Education Scotland plan 	<p>Drop in score due to positive feedback from Education Scotland visit</p>
Inherent (Gross) Risk																																																					
Probability	Impact	Score																																																			
4	5	20																																																			
Residual (Net) Risk																																																					
Probability	Impact	Score																																																			
3	5	15																																																			
Month	Inherent Risk Score	Residual Risk Score																																																			
Feb-22	20	20																																																			
Apr-22	20	20																																																			
Aug-22	20	20																																																			
Oct-22	20	20																																																			
Jan-23	20	20																																																			
Apr-23	20	20																																																			
Sep-23	15	15																																																			
Nov-23	15	15																																																			
Feb-24	15	15																																																			

RISK DETAILS	RISK SCORING & TRACKING	RISK MITIGATIONS & CONTROLS	RISK MONITORING & ASSURANCE	CONTINGENCY IF RISK MITIGATIONS & CONTROLS FAIL	CHANGE LOG - FROM PREVIOUS REPORTING PERIOD																					
		<ul style="list-style-type: none"> Positive behaviour and anti-bullying and harassment policy and procedure in place Counselling and wellbeing support in place (inc free sanitary products across all campuses) Student communications to inform and build engaged student community Career Coach in place and upgraded to latest version Course remediation process in place for courses with low PI's to ensure course is still relevant to continue Attendance and retention policy in use Online withdrawals form replaced old paper-based withdrawals, which allows a more streamlined (monitored) process and more accurate withdrawal data within college Single central record project (pro-monitor) ROA Action plans outlined in Operational plans New automation of pathways for progressing students (don't have to go through application process again) Close working between CM's and SRA's (right student, right course) Monitoring and tracking shared with Schools for SCP. Internal group supports younger students in partnership with local authority and SDS. LEAN project to further refine application process <p>Remedial (Impact): NA</p> <p>Both:</p> <ul style="list-style-type: none"> MIS control processes in place – more stringent control around marking of registers Retention working group established and focused on specific areas e.g., full time FE containing national recognised qualifications 	<ul style="list-style-type: none"> ROA reporting to the SFC Annual internal Further Education Statistics audit (also reported to Audit and Risk Assurance Committee) and Further Education Statistics submission to Scottish Funding Council Close partnership with external partners and industry 																							
<p>(25) Fineable breach of the General Data Protection Regulation (GDPR) or Privacy and Electronic Communications</p>	<table border="1"> <thead> <tr> <th colspan="3">Inherent (Gross) Risk</th> </tr> <tr> <th>Probability</th> <th>Impact</th> <th>Score</th> </tr> </thead> <tbody> <tr> <td>4</td> <td>5</td> <td>20</td> </tr> <tr> <th colspan="3">Residual (Net) Risk</th> </tr> <tr> <th>Probability</th> <th>Impact</th> <th>Score</th> </tr> <tr> <td>3</td> <td>4</td> <td>12</td> </tr> <tr> <td colspan="2">Movement</td> <td>↔</td> </tr> </tbody> </table>	Inherent (Gross) Risk			Probability	Impact	Score	4	5	20	Residual (Net) Risk			Probability	Impact	Score	3	4	12	Movement		↔	<p>Preventative (Probability):</p> <ul style="list-style-type: none"> Data Protection Handbook published college-wide February 2021 containing guidance on data sharing, verifying ID, secure send via email, & referral of legal data protection requests to DP Team. EC laptop encryption complete on all known devices. Data Protection Policy co-designed with DPO; published on internet, intranet and embedded in mandatory staff data protection training. 	<p>1st line of defence:</p> <ul style="list-style-type: none"> Dedicated Information Management manager in post to monitor compliance Information Governance Group established: DPO and Chief Information Security Officer (CISO) are members. OD monthly reports to managers on GDPR training uptake Co-Sharing of common documentation by Scottish College through the Scottish Colleges' Information Governance Group (SCIGG) 	<ul style="list-style-type: none"> Breach escalation to Director of Communication Policy and Research for assessment and determination of further escalation to Executive team for strategic level oversight 	<p>Risk score reviewed by information manager and confirmed to be accurate</p> <p>Reference added to finding suitable replacement for Tech Tuesday's cyber security training and out of hours breach reporting cover provided by security operations centre.</p> <p>Mandatory staff GDPR training on Moodle Staff zone (82% Q4 22/23)</p>
Inherent (Gross) Risk																										
Probability	Impact	Score																								
4	5	20																								
Residual (Net) Risk																										
Probability	Impact	Score																								
3	4	12																								
Movement		↔																								

RISK DETAILS	RISK SCORING & TRACKING	RISK MITIGATIONS & CONTROLS	RISK MONITORING & ASSURANCE	CONTINGENCY IF RISK MITIGATIONS & CONTROLS FAIL	CHANGE LOG - FROM PREVIOUS REPORTING PERIOD																														
<p>Regulations (PECR)</p> <p>Management Lead: VP of Corporate Development</p> <p>Director of Communication Policy & Research</p> <p>Lead Committee: Planning and Resources Committee</p> <p>Strategic Pillar: People</p>	 <table border="1"> <caption>Risk Scoring Data</caption> <thead> <tr> <th>Month</th> <th>Inherent Risk Score</th> <th>Residual Risk Score</th> </tr> </thead> <tbody> <tr><td>Feb-22</td><td>20</td><td>12</td></tr> <tr><td>Apr-22</td><td>20</td><td>12</td></tr> <tr><td>Aug-22</td><td>20</td><td>12</td></tr> <tr><td>Oct-22</td><td>20</td><td>12</td></tr> <tr><td>Jan-23</td><td>20</td><td>12</td></tr> <tr><td>Apr-23</td><td>20</td><td>12</td></tr> <tr><td>Sep-23</td><td>20</td><td>12</td></tr> <tr><td>Nov-23</td><td>20</td><td>12</td></tr> <tr><td>Feb-24</td><td>20</td><td>12</td></tr> </tbody> </table>	Month	Inherent Risk Score	Residual Risk Score	Feb-22	20	12	Apr-22	20	12	Aug-22	20	12	Oct-22	20	12	Jan-23	20	12	Apr-23	20	12	Sep-23	20	12	Nov-23	20	12	Feb-24	20	12	<ul style="list-style-type: none"> Mandatory staff GDPR training on Moodle Staff zone College is currently looking at alternative training options to provide a suitable replacement for 'Tech Tuesdays' Cyber Security essentials training. Full information asset audit completed January 2020 – SMT assigned ownership of EC Info Assets & providing security classifications Nov 2020 onwards. DPO delivered data protection impact assessment training to middle managers (via OD) three times – now a mandatory training session. Dedicated data protection inbox created for staff - single point of reporting/email address for data protection issues. All BDO GDPR audit actions closed October 2021. College has embedded GDPR-standard student privacy notices; and PECR-standard direct marketing consents, within application & enrolment process. College has deployed employee, and job applicant, privacy notices on college website privacy page. Data capture on website is compliant Participation within FE GDPR collaborative group Scottish Colleges' Information Governance Group (SCIGG) to share college sector approaches to GDPR compliance College website cookie permissions updated to GDPR and E-Privacy Regulation compliant standard Updated staff contracts issued August 2018 containing DPO-approved GDPR/data protection clauses. Contracted/part-time workers provided statutory compliance information booklet, which includes key data protection instructions/guidance <p>Remedial (Impact):</p> <ul style="list-style-type: none"> Single point of reporting/email address for data protection and data breach issues: weekend out-of-hours breach reporting cover provided by security operations centre. Data Protection Officer support available out of hours via HE/FE Shared Technology & Information Services (HEFESTIS) shared Data Protection Officer (DPO) service 	<p>2nd line of defence:</p> <ul style="list-style-type: none"> Data Protection Officer in post via HE/FE Shared Technology & Information Services (HEFESTIS) Shared Service: reviewing and actively contributing to college GDPR work and provides independent internal audit and advisory role GDPR update to SMT on by-request basis <p>3rd line of defence:</p> <ul style="list-style-type: none"> Internal audit on GDPR compliance (BDO) 		<p>Implementing automated reminders from iTrent when courses are due to expire</p>
Month	Inherent Risk Score	Residual Risk Score																																	
Feb-22	20	12																																	
Apr-22	20	12																																	
Aug-22	20	12																																	
Oct-22	20	12																																	
Jan-23	20	12																																	
Apr-23	20	12																																	
Sep-23	20	12																																	
Nov-23	20	12																																	
Feb-24	20	12																																	

RISK DETAILS	RISK SCORING & TRACKING	RISK MITIGATIONS & CONTROLS	RISK MONITORING & ASSURANCE	CONTINGENCY IF RISK MITIGATIONS & CONTROLS FAIL	CHANGE LOG - FROM PREVIOUS REPORTING PERIOD																		
		<p>Both:</p> <ul style="list-style-type: none"> Integrated Action Plan encompassing outstanding data protection, information security and records management compliance requirements developed and being monitored by EC Information Governance Group (IGG). Data Sharing Agreements being developed with key external partners to reduce likelihood of breach and to reduce fines in event of breach involving 3rd parties Formal Data Breach Reporting Procedure approved by SMT and issued to staff via College Update/available on college website privacy page. 																					
<p>(15) Health & safety non-compliance</p> <p>Management Lead: Chief Operating Officer</p> <p>H&S Manager</p> <p>Lead Committee: Planning and Resources Committee</p> <p>Strategic Pillar: People</p>	<table border="1"> <thead> <tr> <th colspan="3">Inherent (Gross) Risk</th> </tr> <tr> <th>Probability</th> <th>Impact</th> <th>Score</th> </tr> </thead> <tbody> <tr> <td>4</td> <td>4</td> <td>16</td> </tr> </tbody> </table> <table border="1"> <thead> <tr> <th colspan="3">Residual (Net) Risk</th> </tr> <tr> <th>Probability</th> <th>Impact</th> <th>Score</th> </tr> </thead> <tbody> <tr> <td>3</td> <td>4</td> <td>12</td> </tr> </tbody> </table> <p style="text-align: center;">Movement </p> 	Inherent (Gross) Risk			Probability	Impact	Score	4	4	16	Residual (Net) Risk			Probability	Impact	Score	3	4	12	<p>Preventative (Probability):</p> <ul style="list-style-type: none"> Corporate policies and procedures in place. Document control tracker maintained Mandatory training requirements in place for all staff Communications support to ensure staff understand compliance responsibilities H&S documentation to be implemented and maintained by Faculty/Function heads or nominated managers <p>Remedial (Impact):</p> <ul style="list-style-type: none"> Early detection of risk/s and resolve quickly and efficiently. <p>Both:</p>	<p>1st line of defence:</p> <ul style="list-style-type: none"> Reactive date (e.g., accident/incident reports) monitored to identify and correct procedural deficiencies Operational planning Annual review of H&S policy; maximum review timeframe for procedures is 3 years All new or significantly altered policies and procedures sent for consultation (H&S Committee, management, relevant staff) and all feedback recorded H&S Committee in place with engagement of staff and unions <p>2nd line of defence:</p> <ul style="list-style-type: none"> Ongoing monitoring of budget availability to carry out reactive work with H&S implications and reporting to SMT/Executive <p>3rd line of defence:</p> <p>Programme of internal and external audits in place</p>	<ul style="list-style-type: none"> Enforcement of H&S management systems and procedures for area/department. Immediate implementation of any required local or organisation-wide deviation from procedure as short-term control Formal review and consultation on need for procedural change/update. Dependent on outcome, implement corrective actions 	<p>Inherent and residual score increased due to:</p> <p>Risk assessment - in the last year 7 managers have failed to review and approve their department risk assessments. This leaves us vulnerable from non-compliance of regulation 3 of the Management of Health and Safety Regulations 1999. The risk assessment approvals have been sent to managers for approval on 2nd Oct, so hopefully we can see an improvement in the next few weeks.</p> <p>Fire alarms - The fire alarm system at Milton Road has been resolved but there's no change at Granton. We have reported and continually encouraged contractors (ADT) to review the fire alarm system at Granton. This leaves us vulnerable from non-compliance of Regulation 12 of The Fire Safety (Scotland) Regulations 2006.</p> <p>Training - Due to recent Trade Union activity advising staff of a boycott of mandatory health and safety training, this leaves us vulnerable from non-compliance of regulation 13 of the Management of Health and Safety Regulations 1999 and regulation 20 of The Fire Safety (Scotland) Regulations 2006. The training stats for last year are improving Risk evaluation the same until the next review period and hopefully we can resolve the issues identified and reduce risk score</p>
Inherent (Gross) Risk																							
Probability	Impact	Score																					
4	4	16																					
Residual (Net) Risk																							
Probability	Impact	Score																					
3	4	12																					

RISK DETAILS	RISK SCORING & TRACKING	RISK MITIGATIONS & CONTROLS	RISK MONITORING & ASSURANCE	CONTINGENCY IF RISK MITIGATIONS & CONTROLS FAIL	CHANGE LOG - FROM PREVIOUS REPORTING PERIOD																		
<p>(35) Public health risks</p> <p>Management Lead: H&S Manager</p> <p>Director of Communication Policy & Research</p> <p>Lead Committee: Corporate Development Committee / Planning & Resources Committee</p> <p>Strategic Pillar: People</p>	<table border="1"> <thead> <tr> <th colspan="3">Inherent (Gross) Risk</th> </tr> <tr> <th>Probability</th> <th>Impact</th> <th>Score</th> </tr> </thead> <tbody> <tr> <td>4</td> <td>4</td> <td>16</td> </tr> </tbody> </table> <table border="1"> <thead> <tr> <th colspan="3">Residual (Net) Risk</th> </tr> <tr> <th>Probability</th> <th>Impact</th> <th>Score</th> </tr> </thead> <tbody> <tr> <td>3</td> <td>3</td> <td>9</td> </tr> </tbody> </table> <p style="text-align: center;">Movement </p> 	Inherent (Gross) Risk			Probability	Impact	Score	4	4	16	Residual (Net) Risk			Probability	Impact	Score	3	3	9	<p>Preventative (Probability):</p> <ul style="list-style-type: none"> Health and safety along with public health colleagues will continue to monitor risk: meningitis, COVID-19, flu, Noro virus, etc Occupational health nurse working closely with Edinburgh College Student Association (ECSA) and HR on public health campaigns Hand hygiene, CO² monitoring and ventilation procedures in place <p>Remedial (Impact):</p> <ul style="list-style-type: none"> Alternative working arrangements in place for staff when required Blended learning default position for classes when required College and Edinburgh College Student Association (ECSA) maintain engagement with students via various digital and social media platforms and to provide information about keeping well and safe. <p>Both:</p> <ul style="list-style-type: none"> Staff communications to provide updates on situation and risk levels – Staff update email, intranet, website, etc 	<p>1st line of defence:</p> <ul style="list-style-type: none"> Risk Management and Assurance Group monitor risk and overall college response actions Critical Incident Team to manage major events <p>2nd line of defence:</p> <ul style="list-style-type: none"> Health and Safety committee Regular Public health team briefs SMT fortnightly meetings <p>3rd line of defence:</p> <ul style="list-style-type: none"> Scottish Government Health Protection Scotland Internal and external audits Trade union feedback 	<ul style="list-style-type: none"> Business Continuity Management plans and procedures/guidance for communicable diseases Full campus closure – all activity on-line College has regular contact with public health to manage any potential outbreak in student population 	<ul style="list-style-type: none">
Inherent (Gross) Risk																							
Probability	Impact	Score																					
4	4	16																					
Residual (Net) Risk																							
Probability	Impact	Score																					
3	3	9																					
<p>(28) College estate infrastructure not aligned to meet business need</p> <p>Management Lead: Estates Managers</p> <p>Lead Committee: Planning and Resources Committee</p> <p>Strategic Pillar: Curriculum People</p>	<table border="1"> <thead> <tr> <th colspan="3">Inherent (Gross) Risk</th> </tr> <tr> <th>Probability</th> <th>Impact</th> <th>Score</th> </tr> </thead> <tbody> <tr> <td>3</td> <td>5</td> <td>15</td> </tr> </tbody> </table> <table border="1"> <thead> <tr> <th colspan="3">Residual (Net) Risk</th> </tr> <tr> <th>Probability</th> <th>Impact</th> <th>Score</th> </tr> </thead> <tbody> <tr> <td>3</td> <td>4</td> <td>12</td> </tr> </tbody> </table> <p style="text-align: center;">Movement </p> 	Inherent (Gross) Risk			Probability	Impact	Score	3	5	15	Residual (Net) Risk			Probability	Impact	Score	3	4	12	<p>Preventative (Probability):</p> <ul style="list-style-type: none"> Planned maintenance programme in place for statutory compliance Curriculum review to take account of Estates requirements and lack of funding to make significant changes Future planning for Motor Vehicle facilities at Sighthill/Midlothian; and Construction facilities to replace Forthside Major project underway for relocations of all Forthside facilities to college campuses. <p>Remedial (Impact):</p> <ul style="list-style-type: none"> In-house maintenance team carry out reactive maintenance where possible. Register in place to monitor works and log what works are not completed and prioritised Loss of catering provision to staff and students with long lead time if retender required <p>Both:</p> <ul style="list-style-type: none"> Business Transformation Plan Estates Review completed – focus on Forthside construction and Sighthill Automotive. Flexible approach being taken to reconfiguring classrooms where budget permits 	<p>1st line of defence:</p> <ul style="list-style-type: none"> Critical works register in place to monitor outstanding works and monthly maintenance register to monitor works progress against budget availability KPI's in operational plans for Estates Staff roles designed to manage Estate's compliance Estate's strategy and capital funding allocation prioritised and agreed by the SMT Estate's condition reviewed six monthly + monthly review of estates critical works register Estates Services Manager's and H&S Manager meet weekly with Dir. of Finance and Estates Infrastructure, H&S + Sustainability + Facilities + Security + Porterage + Print Services + Vehicles + IFM + Catering Contract + Budget issues discussed ISS contract management meetings Gather & Gather monthly contract meetings for catering contract with Finance and Procurement Monthly utility monitoring <p>2nd line of defence:</p> <ul style="list-style-type: none"> SMT + Executive Team discussions on estates. Planning and Resources Committee papers and discussions on estates matters. 	<ul style="list-style-type: none"> Align decisions on future curriculum to enable estates to review requirements and plan for necessary changes as part of the connect groups Estate's incident management process and business continuity plans G&G contract now reduced to minimal service 	<ul style="list-style-type: none">
Inherent (Gross) Risk																							
Probability	Impact	Score																					
3	5	15																					
Residual (Net) Risk																							
Probability	Impact	Score																					
3	4	12																					

RISK DETAILS	RISK SCORING & TRACKING	RISK MITIGATIONS & CONTROLS	RISK MONITORING & ASSURANCE	CONTINGENCY IF RISK MITIGATIONS & CONTROLS FAIL	CHANGE LOG - FROM PREVIOUS REPORTING PERIOD																		
			<ul style="list-style-type: none"> Estates management matters are also included also in the Health and Safety Report to Health and Safety Committee. <p>3rd line of defence:</p> <ul style="list-style-type: none"> NQA Auditor process. Internal audit on estates management. Care Inspectorate inspections of the nursery. 																				
<p>(3) College does not support or invest in commercial opportunities that contribute to financial sustainability</p> <p>Management Lead: VP Corporate Development</p> <p>Director of Enterprise and Knowledge Exchange</p> <p>Lead Committee: Corporate Development Committee / Planning & Resources Committee</p> <p>Strategic Pillar: Commercial</p>	<table border="1"> <thead> <tr> <th colspan="3">Inherent (Gross) Risk</th> </tr> <tr> <th>Probability</th> <th>Impact</th> <th>Score</th> </tr> </thead> <tbody> <tr> <td>3</td> <td>5</td> <td>15</td> </tr> </tbody> </table> <table border="1"> <thead> <tr> <th colspan="3">Residual (Net) Risk</th> </tr> <tr> <th>Probability</th> <th>Impact</th> <th>Score</th> </tr> </thead> <tbody> <tr> <td>2</td> <td>5</td> <td>10</td> </tr> </tbody> </table> <p style="text-align: center;">Movement </p> 	Inherent (Gross) Risk			Probability	Impact	Score	3	5	15	Residual (Net) Risk			Probability	Impact	Score	2	5	10	<p>Preventative (Probability):</p> <ul style="list-style-type: none"> Robust costing tools, operational plan and strategy in place to achieve income targets Robust programme monitoring and management systems in place New programmes in development/research phase to anticipate and meet market demand and generate income Enhanced utilisation of business intelligence and sector networks to identify new opportunities Communication and Marketing teams provide support to commercial team to promote services and partnerships for further income generation Joint ownership of target setting with Commercial Development, Finance and APs Curriculum in regular dialogue Better monthly forecast procedures incorporated which allow for higher degree of proactiveness <p>Remedial (Impact):</p> <ul style="list-style-type: none"> FWDF - The College's ability to plan financially is not helped by the lack of information on funding and in-year allocation. The Flexible Workforce Development Fund (FWDF) Year 7 allocation has yet to be announced. The later the announcement, the greater the likelihood of negative impact in terms of workload and pressure on the team. <p>Both:</p> <ul style="list-style-type: none"> Partnerships with business, colleges and universities strengthened to build sustainable income platforms Diversified income streams to minimise reliance on any single source Flexible delivery model to ensure capacity (use of both in-house and external training associates) Costing review project, with scheduled and bespoke programmes to be reviewed in semester 1 23/24 23-26 Commercial Strategy now signed off. 	<p>1st line of defence:</p> <ul style="list-style-type: none"> Commercial income targets set annually as part of budget setting process Enhanced financial reporting to provide clarity and support planning Monthly reporting to Exec and SMT 6 weekly monitoring process to be put in place in line with updated reporting structure Quarterly reporting to Corporate Development Committee and BoM. <p>2nd line of defence:</p> <ul style="list-style-type: none"> Monthly updates to Executive Team on live programmes and activities under development Corporate Development Committee oversight of international contracts <p>3rd line of defence:</p> <ul style="list-style-type: none"> Internal audit report on commercial activity. Scottish Government Procurement Capability Assessment self-evaluation process. 	<ul style="list-style-type: none"> Longer term forecast and targeted approach to setting commercial focus External training associate's costs used to partly service commercial activities Actions to reduce costs associated with any reductions in Commercial Income Alternative funding streams being pursued Scottish Funding Council review will impact on planning and budgeting for alternative funding activities. 	<ul style="list-style-type: none"> Programme for Scottish Government funding has come in form of credits not revenue therefore will not assist with commercial income There seems to be some doubt cast on the guarantee of continued Flexible Workforce Development Fund (FWDF) funding, this will become clearer as budget confirmed. Updated reporting structures in progress to capture all income for transparent monitoring. <p>Risk name updated from "Shortfall in commercial income"</p>
Inherent (Gross) Risk																							
Probability	Impact	Score																					
3	5	15																					
Residual (Net) Risk																							
Probability	Impact	Score																					
2	5	10																					

RISK DETAILS	RISK SCORING & TRACKING	RISK MITIGATIONS & CONTROLS	RISK MONITORING & ASSURANCE	CONTINGENCY IF RISK MITIGATIONS & CONTROLS FAIL	CHANGE LOG - FROM PREVIOUS REPORTING PERIOD																		
		<ul style="list-style-type: none"> College Engagement Plan in place, including employer engagement 																					
<p>(27) Workforce planning and development</p> <p>Management Lead: Director of HR&OD</p> <p>Lead Committee: Planning and Resources Committee</p> <p>Strategic Pillar: People</p>	<table border="1"> <thead> <tr> <th colspan="3">Inherent (Gross) Risk</th> </tr> <tr> <th>Probability</th> <th>Impact</th> <th>Score</th> </tr> </thead> <tbody> <tr> <td>3</td> <td>4</td> <td>12</td> </tr> </tbody> </table> <table border="1"> <thead> <tr> <th colspan="3">Residual (Net) Risk</th> </tr> <tr> <th>Probability</th> <th>Impact</th> <th>Score</th> </tr> </thead> <tbody> <tr> <td>3</td> <td>3</td> <td>9</td> </tr> </tbody> </table> <p style="text-align: center;">Movement ⇄</p> <p>The chart displays two data series over time from April 2022 to February 2024. The Inherent Risk Score (blue line) remains constant at 12. The Residual Risk Score (green line) remains constant at 9. The y-axis ranges from 0 to 25 in increments of 5.</p>	Inherent (Gross) Risk			Probability	Impact	Score	3	4	12	Residual (Net) Risk			Probability	Impact	Score	3	3	9	<p>Preventative (Probability):</p> <ul style="list-style-type: none"> Workforce development plan now active Monthly meetings with managers by HR Partners to review key employee management information including retirements, vacancies, turnover, absence (16) Monthly meeting between HR Manager Partnering and AP's to review staffing issues and needs <p>Remedial (Impact):</p> <p>Both:</p> <ul style="list-style-type: none"> Greater scrutiny of vacancy control and staff deployment has been implemented Robust process and procedures in place to track vacancies against budget 	<p>1st line of defence:</p> <ul style="list-style-type: none"> Staff analytics monthly reports to CTM's and Support Managers Management of establishment against budget Regular reviews of progress against operational plan objectives for OD team with Director of HR&OD. Monthly meeting between HR Partners and managers (curriculum and support staff) to review establishment vacancy, workforce planning, staff wellbeing and OD Joint LNC meetings to develop employment policies <p>2nd line of defence:</p> <ul style="list-style-type: none"> Regular reviews with progress and issues in HR & OD between COO and Directory of HR&OD. SMT and Executive Team discussions and reports on workforce planning, OD, and staff wellbeing. HR reports to Planning and Resources Committee and SMT on workforce planning. <p>3rd line of defence:</p> <p>Internal audit: Workforce & Establishment Management was carried out in 2022 and some actions for improvement were noted.</p>	<ul style="list-style-type: none"> Consider development of policy on retraining displaced staff rather than recruiting new staff Consider alternative employment models where feasible – ongoing 	<p>WF Plan updated to take account of £3.6m-£5.7m savings to be made currently under review by COO and Exec as part of EC People launch. Plans for staff cost reductions enacted in 2022/23</p> <p>Draft people strategy launched in line with new College Strategic Aims and launch of EC People campaign</p> <p>Further review of costs and vacancy reduction underway</p> <p>Longer term workforce planning starting in key support areas</p>
Inherent (Gross) Risk																							
Probability	Impact	Score																					
3	4	12																					
Residual (Net) Risk																							
Probability	Impact	Score																					
3	3	9																					

Title	Data Breach Incident and Cyber Attack Update – March 2024
Appendices	None
Disclosable under FOISA	Yes <input checked="" type="checkbox"/> / No <input type="checkbox"/>
Primary Contact	Nick Croft, Director of Communications, Policy and Research
Date of Production	21/02/2024
Action Required	For Approval <input type="checkbox"/> / For Discussion <input type="checkbox"/> / For Information <input checked="" type="checkbox"/>
Aligned to Strategic Risk	Yes <input checked="" type="checkbox"/> / No <input type="checkbox"/> (If 'yes' please complete Section 5.3)

1. RECOMMENDATIONS

The Audit & Risk Assurance Committee are asked to NOTE the update provided.

2. PURPOSE OF REPORT

This report provides a summary of *reportable* data breach incidents within Edinburgh College for the reporting period from 1 August 2023 to 31 January 2024 (Quarter 1 & 2).

3. INCIDENTS

There were no reportable data breach incidents in this reporting period (reportable data breach incidents being defined as personal data breaches of sufficient seriousness to require notification of the Information Commissioner's Office).

4. IMPACT AND IMPLICATIONS

To monitor any trends that may occur and assess (where possible) areas of potential risk. Further to this, the report for remedial actions to be implemented to ensure the college meets legal compliance.

Monitoring and carrying out investigations ensures that the college is operating in compliance with data protection legislation.

5. ALIGNMENT TO STRATEGIC PLAN / KPIs / RISK REGISTER

5.1 Alignment to Edinburgh College Strategic Pillars [Indicate with an 'X' which Strategic Pillar this paper supports]:


Curriculum Strategy	<input type="checkbox"/>	Finance Strategy	<input type="checkbox"/>	People Strategy	<input type="checkbox"/>
Commercial Strategy	<input type="checkbox"/>	Digital Strategy	<input checked="" type="checkbox"/>	Other	<input type="checkbox"/>

5.2 Relevant Key Performance Indicators [Indicate with an 'X' which performance indicators this paper supports]:

Student Success	<input type="checkbox"/>	Credit Target	<input type="checkbox"/>	Equality, Diversity & Inclusion	<input type="checkbox"/>
-----------------	--------------------------	---------------	--------------------------	---------------------------------	--------------------------

Student Satisfaction	<input type="checkbox"/>	Adjusted Operating Position (AOP)	<input type="checkbox"/>	Staff Costs	<input type="checkbox"/>
Student Retention	<input type="checkbox"/>	Non-SFC Income	<input type="checkbox"/>	Staff Engagement	<input type="checkbox"/>
Student Enrolments	<input type="checkbox"/>	Gross Carbon Footprint	<input type="checkbox"/>	Partner Engagement	<input type="checkbox"/>

5.3 Alignment to the Top-Level Risk Register [Strategic risk information should be copied directly from the most recent TLRR]:

Strategic Risk(s)	Risk Score*		
(24) Cyber security breaches within the college	Inherent (Gross) Risk		
	Probability	Impact	Score
	5	5	25
	Residual (Net) Risk		
	Probability	Impact	Score
	4	5	20
Movement			

*Risk Score Key: 0-10 Low Risk; 11-15 Moderate Risk; 16-25 High Risk. [Further information on risk scoring can be found in the [EC Risk Management Policy & Procedure](#)]

Title	Internal Audit Progress Report – February 2024
Appendices	Appendix 1: Internal Audit Progress Report 28.02.24
Disclosable under FOISA	Yes <input checked="" type="checkbox"/> / No <input type="checkbox"/>
Primary Contact	BDO
Date of Production	28.02.24
Action Required	For Approval <input type="checkbox"/> / For Discussion <input type="checkbox"/> / For Information <input checked="" type="checkbox"/>
Aligned to Strategic Risk	Yes <input checked="" type="checkbox"/> / No <input type="checkbox"/> (If 'yes' please complete Section 5.3)

1. RECOMMENDATIONS

The Audit & Risk Assurance Committee are asked to NOTE the attached Internal Audit Progress Report (Appendix 1), as provided by BDO.

2. PURPOSE OF REPORT

This paper provides a summary of internal audit activity during the year to date. It also confirmed the reviews planned for the coming quarter, identifying any changes to the original annual plan, where relevant.

3. KEY INSIGHTS

The Internal Audit Progress Report is attached as Appendix 1.

4. IMPACT AND IMPLICATIONS

The Audit & Risk Assurance Committee, on behalf of the Board, is required to ensure that effective internal controls are in place.

5. ALIGNMENT TO STRATEGIC PLAN / KPIs / RISK REGISTER

5.1 Alignment to Edinburgh College Strategic Pillars [Indicate with an 'X' which Strategic Pillar this paper supports]:

Curriculum Strategy	<input checked="" type="checkbox"/>	Finance Strategy	<input checked="" type="checkbox"/>	People Strategy	<input checked="" type="checkbox"/>
Commercial Strategy	<input checked="" type="checkbox"/>	Digital Strategy	<input checked="" type="checkbox"/>	Other	<input type="checkbox"/>

5.2 Relevant Key Performance Indicators [Indicate with an 'X' which performance indicators this paper supports]:

Student Success	<input checked="" type="checkbox"/>	Credit Target	<input checked="" type="checkbox"/>	Equality, Diversity & Inclusion	<input checked="" type="checkbox"/>
Student Satisfaction	<input checked="" type="checkbox"/>	Adjusted Operating Position (AOP)	<input checked="" type="checkbox"/>	Staff Costs	<input checked="" type="checkbox"/>
Student Retention	<input checked="" type="checkbox"/>	Non-SFC Income	<input checked="" type="checkbox"/>	Staff Engagement	<input checked="" type="checkbox"/>

Student Enrolments	<input checked="" type="checkbox"/>	Gross Carbon Footprint	<input checked="" type="checkbox"/>	Partner Engagement	<input checked="" type="checkbox"/>
--------------------	-------------------------------------	------------------------	-------------------------------------	--------------------	-------------------------------------

5.3 Alignment to the Top-Level Risk Register [Strategic risk information should be copied directly from the most recent TLRR]:

Strategic Risk(s)	Risk Score*		
Not applicable.	Inherent (Gross) Risk		
	Probability	Impact	Score
	Residual (Net) Risk		
	Probability	Impact	Score
	Movement (since last review)		

*Risk Score Key: 0-10 Low Risk; 11-15 Moderate Risk; 16-25 High Risk. [Further information on risk scoring can be found in the [EC Risk Management Policy & Procedure](#)]

EDINBURGH COLLEGE INTERNAL AUDIT PROGRESS REPORT 2023-24

March 2024



IDEAS | PEOPLE | TRUST



PERFORMANCE AGAINST OPERATIONAL PLAN

Visit	Proposed Audit	Planned Days	Status
1	Financial Controls	6	Fieldwork completed, closing meeting scheduled 4 th March
2	Business Performance Management	6	Completed
3	Learning and Development	7	TOR drafted, scheduled w/c 22 nd July
4	Procurement	6	TOR approved, scheduled w/c 25 th March
5	Student Support	6	TOR approved, scheduled w/c 4 th March
6	Estates Management	6	TOR approved, scheduled w/c 29 th April
7	Follow Up	4	Block 4: May - July 2024
	Indirect Audit Activity	9	
TOTAL		49	

Title	Annual Complaints Activity Report 2022/23
Appendices	None.
Disclosable under FOISA	Yes <input checked="" type="checkbox"/> / No <input type="checkbox"/>
Primary Contact	Jon Buglass, Vice Principal Innovation, Planning and Performance
Date of Production	13.02.24
Action Required	For Approval <input type="checkbox"/> / For Discussion <input type="checkbox"/> / For Information <input checked="" type="checkbox"/>

1. RECOMMENDATIONS

The Committee is asked to NOTE the content of the Complaints Handling Annual Report for academic session 2022-23.

2. PURPOSE OF REPORT

The paper is provided to inform the Committee of volumes and outcomes of complaints handled over academic session 2022/23, along with comparison to the previous year. The Annual Complaints Activity Report 2022/23, as reviewed by the Planning & Resources Committee on 29 February 2024, will be published on the College's website on 31 March 2024 in accordance with Scottish Public Sector (SPSO) requirements: <https://www.spsso.org.uk/sites/spsso/files/csa/FEMCHPPart4.pdf>

3. DETAIL

SPSO revised and reissued a Model Complaints Handling Procedures (MCHPs) following consultation with the public sector in 2020. The updated version includes a core text (which is consistent across all public services in Scotland) with some additional guidance and examples specific to each sector.

The purpose of the Further Education MCHP is to provide a standardised approach to dealing with customer complaints across the further education sector in Scotland. In particular, the aim is to implement a standardised and consistent process for customers to follow which makes it simpler to complain, ensures staff and customer confidence in complaints handling and encourages Colleges to make best use of lessons from complaints.

4. IMPACT AND IMPLICATIONS

2022/23 saw an increase in complaints from 83 in 2021/22 to 91 in 2022/23.

The number of Stage 1 and Stage 2 Complaints were as follows:

Year	No. of Level 1 Complaints	No. of Level 2 Complaints
2021/22	60	23
2022/23	84	7

Complaint Outcomes:

- Stage 1 upheld complaints fell from 4 in 2021/22 to only 2 in 2022/23
- Stage 2 upheld complaints fell from 10 in 2021/22 to none in 2022/23
- Resolved complaints increased overall stage 1 and 2 from 34 in 2021/22 to 49 in 2022/23.

There was an increase from 7 to 11 complaints being escalated from Stage 1 to Stage 2 from 2021/22 to 2022/23.

Complaints by Campus

The trend continued this session that most of the complaints are from the Sighthill Campus, although there was a decrease in the number of complaints associated with Sighthill (reduction from 40 to 26 complaints). The number of complaints associated with Granton Campus increased from 14 to 23 complaints.

There has also been an increase from 3 to 13 in "Other" (this refers to members of the public, parents, applicants).

Complaint Categories

C1: Customer Care – increase from 20 in 2021/22 to 35 2022/23. Sub-category was again mainly related to Staff Conduct (C1S06) which saw an increase from 17 in 21/22 to 33 in 22/23.

C2: Applications, Admissions, Progression – increase from 10 in 2021/22 to 11 in 2022/23. Most of the complaints in this category again related to issues with applications, admissions, interviews and enrolments (C2S02).

C3: Course Related – decrease from 37 in 2021/22 to 23 in 2022/23. Course Management (C3S03) received the most complaints (9) in this category, 6 more than 2021/22. Learning and Teaching (C3S01) saw a reduction from 17 in 2021/22 to 4 in 2022/2023. Assessment, Exams and Certification also saw a reduction from 11 in 2021/22 to 4 in 2022/23.

C4: Services – increase from 6 in 2021/22 to 11 2022/23. The category which most of the complaints fell into were Other (C4S99) and included complaints that were about charging points not working.

C5: Facilities – increase from 1 in 2021/22 to 6 in 2022/2023. The majority of complaints increased under category: Others (C5S99), complaints mainly related to condition of classrooms and other spaces.

Learning from Complaints (LFC)

During 2022/23 we issued 21 LFC forms.

All completed LFCs have provided written information on intended actions or actions that have been implemented.

A sample of LFCS are reported on quarterly to SMT and annually in the published report.

Complaint Satisfaction Survey

In 2021/22 we introduced Complaint Satisfaction Surveys to monitor complainant views on our complaint handling process. Of the 83 complaints logged that year only 9 surveys were completed. In 2022/23 out of 91 complaints only 9 surveys were completed. Feedback was mostly positive for 2022/23, however there is a strong correlation between satisfaction with the complaint outcome/decision and satisfaction with the process.

SPSO Investigations

In March a request for information was received from SPSO to establish if a full investigation would be undertaken. SPSO subsequently confirmed, on the basis of detail provided by the College, not to proceed to full investigation.

In October 2022 two further requests for preliminary information were received. SPSO subsequently confirmed that no further investigation was necessary.

Development

Quarterly reports for SMT now include the four mandatory quantitative Key Performance Indicators (KPIs) and analysis of the trends and outcomes of the complaints as per revised SPSO guidance. Quarterly reports published on the College website show the mandatory KPIs, actions taken to improve services and good practice and lessons learned.

Quarterly internal audits of complaints handling procedures and recording have been established to ensure that all complaint information has been handled in line with SPSO MCHP.

Staff focus groups were facilitated to gather feedback on the experience of colleagues in complaint handling. This raised some concerns around perceptions of the complaint handling process, and culture, and highlighted some areas for development which are being addressed, specifically:

- Clear roles and responsibilities
- The need for enhanced training to support complaint investigation
- Wider awareness raising to reduce fear of complaints
- Improvements in information and support for colleagues who need to engage with complaint handling process (particularly where they may have been complained about).

Compliments

In 2022/23 we received 11 compliments compared to 14 in 2021/22.

Each compliment is shared with the staff member and their Line Manager and examples of compliments received are given in the SMT and published quarterly complaints report.

5. ALIGNMENT TO STRATEGIC PLAN / KPIs / RISK REGISTER

5.1 Alignment to Edinburgh College Strategic Pillars [Indicate with an 'X' which Strategic Pillar this paper supports]:

Curriculum Strategy	<input checked="" type="checkbox"/>	Finance Strategy	<input type="checkbox"/>	People Strategy	<input checked="" type="checkbox"/>
Commercial Strategy	<input type="checkbox"/>	Digital Strategy	<input type="checkbox"/>	Other	<input type="checkbox"/>

5.2 Relevant Key Performance Indicators [Indicate with an 'X' which performance indicators this paper supports]:

Student Success	<input checked="" type="checkbox"/>	Credit Target	<input type="checkbox"/>	Equality, Diversity & Inclusion	<input checked="" type="checkbox"/>
Student Satisfaction	<input checked="" type="checkbox"/>	Adjusted Operating Position (AOP)	<input type="checkbox"/>	Staff Costs	<input type="checkbox"/>
Student Retention	<input checked="" type="checkbox"/>	Non-SFC Income	<input type="checkbox"/>	Staff Engagement	<input checked="" type="checkbox"/>
Student Enrolments	<input type="checkbox"/>	Gross Carbon Footprint	<input type="checkbox"/>	Partner Engagement	<input type="checkbox"/>

5.3 Alignment to the Top-Level Risk Register [Strategic risk information should be copied directly from the most recent TLRR]:

Strategic Risk(s)	Risk Score*		
		Inherent (Gross) Risk	
Probability		Impact	Score
Residual (Net) Risk			
Probability		Impact	Score
Movement			

*Risk Score Key: 0-10 Low Risk; 11-15 Moderate Risk; 16-25 High Risk. [Further information on risk scoring can be found in the [EC Risk Management Policy & Procedure](#)]

Title	Edinburgh College Policies & Procedures Update
Appendices	None
Disclosable under FOISA	Yes <input checked="" type="checkbox"/> / No <input type="checkbox"/>
Primary Contact	Marcus Walker, Board Secretary
Date of Production	09.02.24
Action Required	For Approval <input type="checkbox"/> / For Discussion <input type="checkbox"/> / For Information <input checked="" type="checkbox"/>
Aligned to Strategic Risk	Yes <input type="checkbox"/> / No <input checked="" type="checkbox"/> (If 'yes' please complete Section 5.3)

1. RECOMMENDATIONS

The Committee are asked to NOTE the update provided on College policies and procedures which require review, and approval, by the Board of Management (or a relevant committee).

Further to this, the Committee is asked to NOTE the ongoing process being undertaken to review and streamline all Edinburgh College policies and procedures.

2. PURPOSE OF REPORT

In October 2023, the Audit & Risk Assurance Committee noted points raised within an internal audit report relating to the approval of College policies and procedures. The Committee discussed the policy register maintained by the College and agreed that the summary information provided on the register should be monitored by relevant committees of the Board.

3. KEY INSIGHTS

3.1 Board & Committee Level Policies & Procedures

Below is a list of Edinburgh College policies and procedures which require review and approval by the Board of Management or a delegated committee:

Board/ Committee	Policy	Senior Responsible Officer	Approval Date	Review Date
Board of Management	Health and Safety Policy	Director of Finance and Estate Infrastructure	26/09/2023	01/10/2024
	Whistleblowing Policy	Chief Operating Officer	13/12/2022	13/12/2025
Remuneration Committee	Pay and Reward Policy of the Principal & CEO and Executive	Chief Operating Officer	27/08/2021	27/08/2023
Audit and Risk Assurance Committee	Risk Management Policy and Procedure	Director of Communications, Policy & Research	12/10/2022	12/10/2024
	Business Continuity Framework and Policy	Director of Communications, Policy & Research	25/05/2022	25/05/2024

Critical Incident Management Policy and Procedure	Director of Communications, Policy & Research	22/02/2023	22/02/2024
---	---	------------	------------

Please note, both the *Pay and Reward Policy of the Principal & CEO and Executive* and the *Critical Incident Management Policy and Procedure* will be reviewed by the relevant committee at their next scheduled meetings.

In addition to the policies and procedures listed above, the Nominations Committee regularly reviews (every two years), the Board of Management procedures relating to Appointments & Induction, Mentorship and Co-option. It is expected that each of these procedures will be reviewed before the end of the academic year, in response to recommendations raised within the 2023 External Effectiveness Review.

3.2 Wider College Policies

Edinburgh College policies and procedures can be viewed on the College website [here](#).

There are currently over 100 extant policies and procedures held by Edinburgh College. The Corporate Development Team are currently in the process of reviewing the College’s policy register, which includes all administrative and operational policies and procedures, to ensure that there is a consistent approach to the development, implementation and management of policies and procedures.

The updated Corporate Documentation Procedure will be presented at the next Information Governance Group meeting on 21 March 2024 - for approval.

Once the process of reviewing all policies and procedures has taken place a further update will be provided to the Board of Management at its committees.

4. IMPACT AND IMPLICATIONS

Appropriate policies and procedures ensure coordinated compliance with applicable legislation and regulations; promotes operational efficiencies; enhances the College’s vision and values; and reduces institutional risk.

5. ALIGNMENT TO STRATEGIC PLAN / KPIs / RISK REGISTER

5.1 Alignment to Edinburgh College Strategic Pillars [Indicate with an ‘X’ which Strategic Pillar this paper supports]:

Curriculum Strategy	<input type="checkbox"/>	Finance Strategy	<input type="checkbox"/>	People Strategy	<input type="checkbox"/>
Commercial Strategy	<input type="checkbox"/>	Digital Strategy	<input type="checkbox"/>	Other	<input checked="" type="checkbox"/>

5.2 Relevant Key Performance Indicators [Indicate with an 'X' which performance indicators this paper supports]:

Student Success	<input checked="" type="checkbox"/>	Credit Target	<input checked="" type="checkbox"/>	Equality, Diversity & Inclusion	<input checked="" type="checkbox"/>
Student Satisfaction	<input checked="" type="checkbox"/>	Adjusted Operating Position (AOP)	<input checked="" type="checkbox"/>	Staff Costs	<input checked="" type="checkbox"/>
Student Retention	<input checked="" type="checkbox"/>	Non-SFC Income	<input checked="" type="checkbox"/>	Staff Engagement	<input checked="" type="checkbox"/>
Student Enrolments	<input checked="" type="checkbox"/>	Gross Carbon Footprint	<input checked="" type="checkbox"/>	Partner Engagement	<input checked="" type="checkbox"/>

5.3 Alignment to the Top-Level Risk Register [Strategic risk information should be copied directly from the most recent TLRR]:

Strategic Risk(s)	Risk Score*		
Not applicable.	Inherent (Gross) Risk		
	<i>Probability</i>	<i>Impact</i>	<i>Score</i>
	-	-	-
	Residual (Net) Risk		
	<i>Probability</i>	<i>Impact</i>	<i>Score</i>
	-	-	-
	Movement		-

*Risk Score Key: 0-10 Low Risk; 11-15 Moderate Risk; 16-25 High Risk. [Further information on risk scoring can be found in the [EC Risk Management Policy & Procedure](#)]