

## AUDIT & RISK ASSURANCE COMMITTEE

### AGENDA

A meeting of the Audit & Risk Assurance Committee will be held at 15:00 hours on 22 May 2022, Granton 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		
	<ul style="list-style-type: none"> <li>Planning &amp; Resources Committee 16.05.24</li> <li>LTSE Committee 17.05.24</li> </ul>	Chair M Walker	Verbal Verbal
5	INTERNAL AUDIT REPORTS		
5.1	Summary of Audit Recommendations	A Williamson	C
5.2	Internal Audit Report: Financial Controls	BDO	D
5.3	Internal Audit Report: Estates Management	BDO	E
5.4	Internal Audit Report: Procurement	BDO	F
5.5	Draft Internal Audit Plan 2024/25	BDO	G
6	RISK ASSURANCE		
6.1	Risk Management Report	A Williamson	H
6.2	Data Breach Incidents & Cyber Attacks Update	A Williamson	I
6.3	Risk Appetite Statements Review	A Williamson	J
7	EXTERNAL AUDIT: 2023/24 ANNUAL AUDIT PLAN	Mazars	Verbal
8	REVIEW OF COMMITTEE OPERATION 2023/24	Chair	K
9	ANY OTHER COMPETENT BUSINESS		
9.1	Horizon Scanning Update	Mazars / BDO	Verbal
10	FOR INFORMATION		
10.1	Audit & Risk Assurance Committee Business Planner 2024/25		L
11	FOR CIRCULATION		
11.1	<a href="#">Edinburgh College Governance Effectiveness Review 2024</a>		

12 DATE OF NEXT MEETING: TBC

*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.*

<b>Title</b>	<b>Risk Management Update</b>
<b>Appendices</b>	Appendix 1: Top level Risk Register Infographic –May 2024 Appendix 2: Top Level Risk Register – May 2024
<b>Disclosable under FOISA</b>	Yes <input checked="" type="checkbox"/> / No <input type="checkbox"/>
<b>Primary Contact</b>	Alan Williamson, Chief Operating Officer
<b>Date of Production</b>	15.05.24
<b>Action Required</b>	For Approval <input type="checkbox"/> / For Discussion <input checked="" type="checkbox"/> / For Information <input checked="" type="checkbox"/>
<b>Aligned to Strategic Risk</b>	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).

The Committee are asked to NOTE that the [Critical Incident Management Policy and Procedure](#) has undergone its annual review, involving key managers and the senior management team to ensure accuracy and relevance. Following this comprehensive assessment, the policy and procedure is available to view on the Board Portal.

Additionally, the Committee is also asked to NOTE that the College has concluded its annual review of two corporate Business Continuity Plans, which are provided for the committee's attention:

- [BCM Plan – Terrorist attack or threat](#)
- [BCM Plan – Pandemic](#)

**2. PURPOSE OF REPORT**

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

**3. DETAIL**

At its most recent meeting on 2<sup>nd</sup> May 2024, the RMAG discussed the following:

**3.1 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

The RMAG agreed that risk (32) Failure to meet SFC funded activity targets and fees (recruitment, credits, SAAS and fee income) could be reduced from Red to Green as the college has hit activity target – 98% means no claw back and a reduction of financial risk to the college.

The RMAG deliberated on the integration of diversity and equality considerations into the college's risk assessment process. Two proposed approaches were reviewed, leading to an agreement to present them for further discussion at an upcoming SMT meeting and to relay the outcomes back to the RMAG:

1. Incorporating diversity and equalities impact assessments for each identified risk.
2. Developing an overarching risk to be included in the college top risk register which addressed diversity and equalities impacts across all college areas and identified risks.

### 3.2 Operational risk registers

Creative Industries – The Assistant Principal advised the RMAG that the top department risks and mitigations include:

**Top risk Degree partnerships discontinuing accreditation**

Mitigations: Annual discussions will persist regarding the University's financial status to maintain accreditation. Additionally, a three-year agreement on student fees (SAAS) has been established.

To address the impact of this risk, efforts will include staying informed about the HEFCE strategy in England.

Furthermore, regular partnership meetings will be held to review financial and quality updates, serving both as a preventive and remedial measure.

**2<sup>nd</sup> risk Failure in the management of performance spaces/venues & equipment**

Mitigations: To mitigate the risk associated with venue and equipment management, preventive measures include ensuring clarity among department managers regarding their responsibilities. Additionally, PAT Testing and PASMA staff training have been implemented as preventive measures.

To address the impact of potential issues, annual licensing procedures are in place.

Both preventive and remedial efforts involve conducting regular college health and safety audits of areas, with audit records stored on SHE. Furthermore, any actions resulting from these audits are promptly addressed to ensure compliance with requirements.

Health Wellbeing and Social Science – The Assistant Principal advised the RMAG that the top department risks and mitigations include:

**Top risk Demographic changes in student population resulting in financial instability due to low enrolment and withdrawals**

Mitigations: Preventive measures include enhancing marketing efforts for courses to attract students and introduce flexible course delivery modes to accommodate diverse student preferences. Additionally, cultivating industry relationships ensures curriculum alignment with industry needs, thereby enhancing employability.

Furthermore, staff engagement in team meetings conveys the importance of curriculum changes, while self-evaluation and HGIOTL are utilised to

ensure courses meet demand and regional needs. Regular sessions are scheduled to conduct early interviews with students to better understand their needs. Collaboration with the Student Experience Team aims to improve support for new student groups, particularly part-time students.

**2<sup>nd</sup> risk**      **Possible challenges in successfully implementing curriculum changes due to staffing constraints**

Mitigations: Working collaboratively with HR and Heads of School, individual training needs of new CTMs are identified, and tailored training programs are provided to equip staff with the necessary skills for the new curriculum.

Continuous professional development opportunities are offered to ensure staff stay updated and confident in their roles. Additionally, regular faculty and team meetings are held to review staffing levels against workload demands and adjust as necessary. Increasing the use of Microsoft TEAMS encourages cross-training and skill sharing among staff members, fostering a culture of mutual support where staff can assist each other during peak periods.

In the event of an impact, measures are taken to ensure that learning and teaching materials are readily available on MOODLE to minimise disruption and facilitate continued teaching activities.

Construction & Engineering – The Head of School advised the RMAG that the top department risks and mitigations include:

**Top risk**      **Increased demand in ma provision, faculty not being in a position to deliver growth**

Mitigations: In terms of prevention, ongoing discussions are held with Managing Agents and employers to address potential issues proactively. Should an impact occur, remedial measures are swiftly implemented. The Executive and Senior Management Team collaborate with funding councils and Managing Agents to address any challenges effectively. Additionally, a new delivery model is developed to adapt to the situation and minimise the impact on operations.

**2<sup>nd</sup> risk**      **Framework changes to MA/SVQ programs resulting in credit value/fee change**

Mitigations: In terms of prevention, the college is taking proactive steps by establishing itself as a direct Managing Agent (MA) provider for construction projects.

Remedial measures encompass leveraging the additional income generated from direct MA contracts to bolster operational control and minimise overall risk exposure.

#### 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.

#### 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		
	<i>Probability</i>	<i>Impact</i>	<i>Score</i>
	-	-	-
	Residual (Net) Risk		
	<i>Probability</i>	<i>Impact</i>	<i>Score</i>
	-	-	-
	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 May 2024

**Overview** - The following have been identified as the top strategic risks of Edinburgh College for the reporting period as of May 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

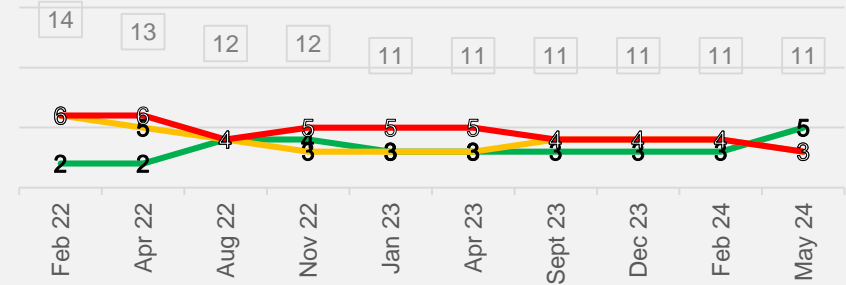
## AMBER Score

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

## GREEN Score

- ↓ (32) Failure to meet SFC funded activity targets and fees (recruitment, credit, SAAS and fee income)
- ↓ (15) Health & safety non-compliance
- ↔ (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 May 2024

LEAD: Chief Operating Officer

DEPUTY: Vacant

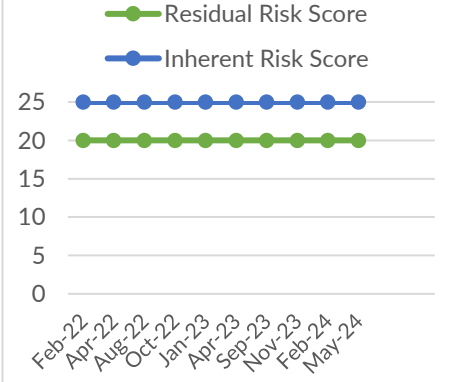
RAG Key	Description
<b>16 - 25 High Risk</b>	<b>At Risk or Late - Not Under Management Control - Action Required</b> When <b>Red</b> , significant concerns over the adequacy/effectiveness of the controls in place and assurances obtained in proportion to the risks
<b>11 - 15 Moderate Risk</b>	<b>At Risk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

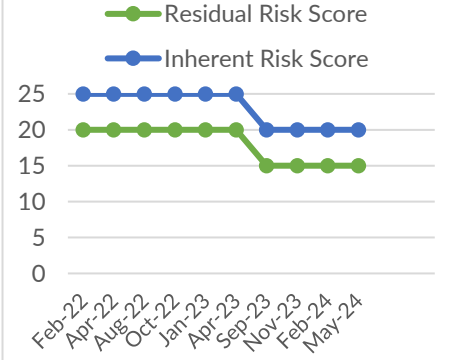
Risk appetite summary	<b>Adverse - Low</b>	<b>Cautious - Medium</b>	<b>Open - Medium-High</b>	<b>Eager - High</b>
<b>Cyber &amp; Information</b>	<b>Cyber-attack / GDPR</b> - There are no positive outcomes from a cyber or GDPR event. No deliberate breach of compliance is acceptable.		<b>IT / Technology</b> - Innovation and growth necessarily will bring new technological and information risks. We will seek technological advancement to become a high-performing digital organisation.	<b>IT Technology</b>
<b>Regulatory &amp; Compliance</b>	<b>Regulatory breach</b> - No deliberate significant breach of compliance is acceptable.		<b>Policy change</b> - 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.	
<b>Finance</b>		<b>Financial management</b> - It is necessary to take some considered risk to innovate and tackle the financial challenges ahead.	<b>Commercial opportunities</b> - 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.	
<b>Reputation</b>			<b>Managing consequences</b> - Limited / controlled publicity cannot be avoided where we want to grow and innovate.	<b>Taking opportunities</b> - We will actively promote innovations and be prepared to justify them externally if necessary.
<b>Workforce</b>	<b>Workforce wellbeing</b> - We want to avoid any adverse impact on workforce wellbeing.	<b>Workforce development</b> - Some risk is acceptable to innovate and develop skills and capacity.		
<b>Quality Service</b>	<b>Student outcomes</b> - We do not seek to take risks that could adversely impact student outcomes		<b>Curriculum</b> - We acknowledge there may need to be short term impact to achieve longer term rewards, such as curriculum changes.	
<b>Commerciality</b>				<b>Realising potential</b> - 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><b>(1) National bargaining impact on college operations</b></p> <p>Management Lead: Director of HR&amp;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>Movement: ↔</p>	Inherent (Gross) Risk			Probability	Impact	Score	5	5	25	Residual (Net) Risk			Probability	Impact	Score	5	5	25	<p><b>Preventative (Probability):</b></p> <ul style="list-style-type: none"> <li>Senior staff work (Principal, COO, HRD, VP's) present on national work and bargaining groups to influence future direction</li> <li>EIS-FELA members advised that taking ASOS is a breach of contract and pay can be deducted</li> </ul> <p><b>Remedial (Impact):</b></p> <ul style="list-style-type: none"> <li>HR regularly review national circulars and determines national impact on college</li> </ul> <p><b>Both:</b></p> <ul style="list-style-type: none"> <li>Strong partnership working between management and unions</li> </ul>	<p><b>1<sup>st</sup> line of defence:</b></p> <ul style="list-style-type: none"> <li>Senior staff present on nation work and bargaining groups to influence future direction</li> <li>Regular internal HR/Executive discussions to review national initiatives and determine college actions</li> <li>HR work with managers and SMT leads to discuss impact in their areas</li> <li>General discussions with Finance regarding financial impacts</li> <li>Monthly meetings between COO and HRD</li> <li>Advising EIS-FELA members of the potential impact on them of taking ASOS</li> <li>Faculties and Quality Dept planning to minimise impact of any ASOS on students</li> </ul> <p><b>2<sup>nd</sup> line of defence:</b></p> <ul style="list-style-type: none"> <li>Policy and Resources Committee discussions and reports</li> <li>Audit and Risk Assurance Committee review of top-level risk register – which includes industrial relations risk</li> <li>Executive Team and SMT meetings + reports – industrial relations matters</li> </ul> <p><b>3<sup>rd</sup> line of defence:</b></p> <ul style="list-style-type: none"> <li>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</li> </ul>	<ul style="list-style-type: none"> <li>Focused management and oversight of situation by Executive, and senior management teams</li> </ul>	<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>
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Planning and Resources Committee  <b>Strategic Pillar:</b> Finance		<ul style="list-style-type: none"> <li>SFC funding of increases in employer lecturer pension costs.</li> <li>Planning for a shortfall on funding for cost-of-living increases. We had been told to expect flat cash funding for future years however the SG budget initially proposed a c.8% cut for 24/25 and we await final funding allocation.</li> <li>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.</li> <li>Ensure all costs associated with reduced income are removed where possible.</li> <li>Recruitment freezes remain an option in 2023/24 and beyond.</li> <li>SMT to develop strategy through Priority Based Budgeting weekly meetings. Continued efforts to reduce recurring 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.</li> </ul> <p><b>Both:</b></p> <ul style="list-style-type: none"> <li>Total impact fully disclosed to BoM.</li> <li>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.</li> <li>Working with national employer's association to request additional Grant funding.</li> </ul>	<ul style="list-style-type: none"> <li>SMT meeting regularly.</li> </ul> <p><b>2<sup>nd</sup> line of defence:</b></p> <ul style="list-style-type: none"> <li>Senior Management and Executive Team reviews of financial controls, cash management, management accounts and performance.</li> <li>Quarterly reports to Planning and Resources Committee and the Board.</li> <li>Budget and 5-year forecast process and papers to committees and board.</li> <li>Finance Report (including management accounts) reviewed by P&amp;R Committee &amp; Board.</li> <li>Regional Procurement Strategy approved by P&amp;R Committee annually.</li> </ul> <p><b>3<sup>rd</sup> line of defence:</b></p> <ul style="list-style-type: none"> <li>Full impact disclosed to BoM.</li> <li>External Audit of finance including cash flow &amp; management, payroll &amp; expenses, purchasing &amp; creditors and procurement as well as annual internal audit of EMA, bursaries and other student support funds.</li> <li>Annual Accounts signed off by External auditors and laid before the Scottish Parliament.</li> </ul>																							
<b>(24) Cyber security breaches within the college</b>  <b>Management Lead:</b> Chief Operating Officer  Digital Infrastructure Service Lead  <b>Lead Committee:</b> Planning and Resources Committee  <b>Strategic Pillar:</b> Digital	<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> <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"><b>Movement</b></td> <td>↔</td> </tr> </tbody> </table>	Inherent (Gross) Risk			Probability	Impact	Score	5	5	25	Residual (Net) Risk			Probability	Impact	Score	4	5	20	<b>Movement</b>		↔	<p><b>Preventative (Probability) Technical</b></p> <ul style="list-style-type: none"> <li>Secure configurations of college systems.</li> <li>Software restrictions on endpoints to limit application usage.</li> <li>Regular vulnerability management and penetration testing.</li> <li>Tight control over privileged accounts.</li> <li>Patch management and strict data access control measures.</li> <li>Robust boundary intrusion detection defences such as firewalls, network inspection, and event monitoring.</li> <li>Office 365 Multi-factor Authentication for staff.</li> <li>Email/phishing defence - SPF, DKIM, DMARC, Barracuda Email Gateway Defence, Impersonation Protection, and Incident Response.</li> </ul>	<p><b>1<sup>st</sup> line of defence:</b></p> <ul style="list-style-type: none"> <li>IT management team - regular meetings focusing on cybersecurity and internal controls, discussing preventative and remedial actions in detail.</li> <li>Information Governance Group meetings to establish and manage data/information risk.</li> <li>Policies and procedures – development and regular review of comprehensive policies and procedures to guide staff and manage risks effectively.</li> </ul> <p><b>2<sup>nd</sup> line of defence:</b></p> <ul style="list-style-type: none"> <li>Audit and Risk Assurance Committee meetings - these meetings, including in-depth 'deep dive' sessions, are vital for discussing audit reports and compliance issues related to cyber-security and information management, and audit and compliance reports.</li> <li>RMAG meetings monitor and mitigate risks relating to cyber security and information management</li> </ul>	<ul style="list-style-type: none"> <li>Use of overtime budgets for out of hours cover, ensuring continuous efforts in incident management.</li> <li>Data/information insurance in place to provide financial support to cover the costs associated with data loss and recovery from any incidents.</li> <li>Escalation to SMT and Executive Team to approve budget for incident containment (e.g., external expertise).</li> <li>Cyber Security Attack Business Continuity Management plans.</li> <li>Security Operations Centre assistance. The SOC will play a crucial role in containing and managing an incident, providing</li> </ul>	<p><b>Mobile Device Management (MDM)</b> Software used by the IT department to monitor, manage, and secure employee mobile devices is under review for modernisation related to Cyber Essentials Plus requirements.</p> <p><b>DLP and Insider Risk Pilot Underway</b> In tandem with a Microsoft partner and designed to help the college effectively identify, protect, and govern sensitive data that resides on our Microsoft 365 platform.</p>
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		<ul style="list-style-type: none"> <li>Secure Remote Access VPN system with endpoint protection and vulnerability management.</li> <li>Backup solutions on-premises and in Office 365 to secure data from loss.</li> <li>Wireless security controls including authentication and network segmentation.</li> </ul> <p><b>Organisational</b></p> <ul style="list-style-type: none"> <li>Information Governance programme - Information Manager and Data Protection Officer posts, supported by the Information Governance Group.</li> <li>Engagement with UCSS CISOShare and participation in CiSP/SCiNET.</li> <li>Development of data breach response testing and business continuity plans.</li> <li>Relevant policies, procedures and guidance on information security and procurement.</li> </ul> <p><b>Behavioural</b></p> <ul style="list-style-type: none"> <li>Staff awareness training and vigilance.</li> <li>Encouragement for staff to report cybersecurity issues.</li> </ul> <p><b>Remedial (Impact)</b></p> <ul style="list-style-type: none"> <li>Incident response planning</li> <li>Data recovery systems and procedures.</li> </ul> <p><b>Both</b></p> <ul style="list-style-type: none"> <li>24/7 Managed Detection and Response (MDR) service.</li> <li>Business Continuity Management (BCM) programme with procedures and alternative processes for maintaining critical operations during an incident.</li> <li>Annual and targeted penetration testing.</li> </ul>	<p>through regular meetings and closing-off any actions arising.</p> <p><b>3<sup>rd</sup> line of defence:</b></p> <ul style="list-style-type: none"> <li>Audit - regular audits conducted by external and internal parties to provide an unbiased assessment of the cybersecurity measures and their effectiveness.</li> <li>Internal audits on data protection.</li> <li>Accreditation – alignment with and assessment against known standards such as Cyber Essentials and the CIS Security Controls.</li> <li>HEFESTIS CISOShare and Data Protection Officer shared services. These services provide expert support and guidance, ensuring continuous improvement and adaptation to evolving cyber threats and data protection regulations.</li> </ul>	<p>real-time analysis and rapid response to mitigate the impact.</p>																						
<p><b>(2) Student retention and attainment</b></p> <p><b>Management Lead:</b> VP Innovation Planning &amp; Performance</p> <p>VP Education &amp; Skills</p> <p><b>Lead Committee:</b> Planning and Resources Committee</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>5</td> <td>15</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	5	15	Movement		↔	<p><b>Preventative (Probability):</b></p> <ul style="list-style-type: none"> <li>Education Scotland annual engagement visit (AEV) in Jan/Feb 2024 provided positive feedback - all actions in plan have been completed, including Thematic focus on services to support learning for retention</li> <li>Curriculum management structure has 50+ staff in management roles. A greater focus on the quality of learning and teaching (HGIOLT reviews across the year) help lead to improvements in both retention and attainment</li> <li>MIS email staff proactively around student with cause for attendance concerns (targeting support before course starts)</li> <li>Tracking and monitoring in place, and working towards a consistent format</li> </ul>	<p><b>1st line of defence:</b></p> <ul style="list-style-type: none"> <li>CTM and HOS meetings</li> <li>Assessment board meetings</li> <li>LDTs attend course teams meeting</li> <li>Weekly AP meeting</li> <li>Education Scotland reports discussed at SMT meetings</li> <li>AP led HGIOLT reviews between HOS, CTM, CL, (in addition 2 x per year to reviews with HOF and CM) using operational plan targets</li> <li>Quality team meetings with CM's and CL's</li> <li>Team meetings focused on self-evaluation using student feedback</li> <li>Annual ongoing curriculum review</li> </ul>	<ul style="list-style-type: none"> <li>Education Scotland action plan when required</li> </ul>	<p>Drop in score due to positive feedback from Education Scotland visit</p>
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<p><b>Strategic Pillar:</b> Curriculum</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>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>20</td><td>15</td></tr> <tr><td>Feb-24</td><td>20</td><td>15</td></tr> <tr><td>May-24</td><td>20</td><td>15</td></tr> </tbody> </table>	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	20	15	Feb-24	20	15	May-24	20	15	<ul style="list-style-type: none"> <li>Curriculum planning tool in use (Curriculum review)</li> <li>Review of curriculum and business planning cycle</li> <li>Use of business intelligence (SFC/SDS/Marketing data) to plan and track recruitment</li> <li>Improved course information and pre-course guidance</li> <li>Continued use of application window</li> <li>Continued training and joint working of curriculum and student support teams</li> <li>Collegiate student focus / retention friendly timetabling</li> <li>Ensuring all funding in place before start dates</li> <li>Positive behaviour and anti-bullying and harassment policy and procedure in place</li> <li>Counselling and wellbeing support in place (inc free sanitary products across all campuses)</li> <li>Student communications to inform and build engaged student community</li> <li>Career Coach in place and upgraded to latest version</li> <li>Course remediation process in place for courses with low KPIs to ensure course is still relevant to continue</li> <li>Attendance and retention policy in use</li> <li>Online withdrawals form replaced old paper-based withdrawals, which allows a more streamlined (monitored) process and more accurate withdrawal data within college</li> <li>ROA and BOM targets outlined in Operational plans</li> <li>New automation of pathways for progressing students (don't have to go through application process again)</li> <li>Close working between CTM's and SRA's ( student right course)</li> <li>Monitoring and tracking shared with Schools for SCP. Internal group supports younger students in partnership with local authority and SDS.</li> <li>LEAN project completed to further refine application process . Head to Ed review of recruitment ongoing</li> </ul> <p><b>Remedial (Impact):</b> NA</p> <p><b>Both:</b></p> <ul style="list-style-type: none"> <li>MIS control processes in place – more stringent control around marking of registers with staff and manager alerts</li> </ul>	<ul style="list-style-type: none"> <li>Fortnightly Edinburgh College Student Association (ECSA) meeting with Assistance Principal of Quality and Improvement</li> <li>Use of student satisfaction data</li> </ul> <p><b>2nd line of defence:</b></p> <ul style="list-style-type: none"> <li>Regular reporting to Executive Team and Senior Management Team</li> <li>Reporting regularly on AEV progress to the LTSE committee</li> <li>Deep Dives led by Audit and Risk Assurance Committee</li> <li>ROA reporting to the Board of Management</li> <li>Performance against ROA targets report to LTSE Committee</li> <li>Student destination survey reports to LTSE Committee</li> <li>Edinburgh College Student Association reporting of student satisfaction to LTSE Committee and Board of Management</li> </ul> <p><b>3rd line of defence:</b></p> <ul style="list-style-type: none"> <li>Annual framework audit</li> <li>ROA reporting to the SFC</li> <li>Annual internal Further Education Statistics audit (also reported to Audit and Risk Assurance Committee) and Further Education Statistics submission to Scottish Funding Council</li> <li>Close partnership with external partners and industry</li> </ul>		
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		<ul style="list-style-type: none"> <li>Retention working group established and focused on specific areas e.g., full time FE containing national recognised qualifications</li> </ul>																					
<p><b>(25) Fineable breach of the General Data Protection Regulation (GDPR) or Privacy and Electronic Communications Regulations (PECR)</b></p> <p><b>Management Lead:</b> VP of Corporate Development</p> <p>Information Manager</p> <p><b>Lead Committee:</b> Planning and Resources Committee</p> <p><b>Strategic Pillar:</b> 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>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>4</td> <td>12</td> </tr> </tbody> </table> <p>Movement: ⇄</p>	Inherent (Gross) Risk			Probability	Impact	Score	4	5	20	Residual (Net) Risk			Probability	Impact	Score	3	4	12	<p><b>Preventative (Probability):</b></p> <ul style="list-style-type: none"> <li>Data Protection Handbook published college-wide February 2021 containing guidance on data sharing, verifying ID, secure send via email, &amp; referral of legal data protection requests to DP Team.</li> <li>EC laptop encryption complete on all known devices.</li> <li>Data Protection Policy co-designed with DPO; published on internet, intranet and embedded in mandatory staff data protection training.</li> <li>Mandatory staff GDPR training on Moodle Staff zone</li> <li>'Tech Tuesdays' Cyber Security training now in place (training provided by Barracuda).</li> <li>Full information asset audit completed January 2020 – SMT assigned ownership of EC Info Assets &amp; providing security classifications Nov 2020 onwards.</li> <li>DPO delivered data protection impact assessment training to middle managers (via OD) three times – now a mandatory training session.</li> <li>Dedicated data protection inbox created for staff - single point of reporting/email address for data protection issues.</li> <li>All BDO GDPR audit actions closed October 2021.</li> <li>College has embedded GDPR-standard student privacy notices; and PECR-standard direct marketing consents, within application &amp; enrolment process.</li> <li>College has deployed employee, and job applicant, privacy notices on college website privacy page.</li> <li>Data capture on website is compliant</li> <li>Participation within FE GDPR collaborative group Scottish Colleges' Information Governance Group (SCIGG) to share college sector approaches to GDPR compliance</li> <li>College website cookie permissions updated to GDPR and E-Privacy Regulation compliant standard</li> <li>Updated staff contracts issued August 2018 containing DPO-approved GDPR/data protection clauses.</li> </ul>	<p><b>1<sup>st</sup> line of defence:</b></p> <ul style="list-style-type: none"> <li>Dedicated Information Management manager in post to monitor compliance</li> <li>Information Governance Group established: DPO and Chief Information Security Officer (CISO) are members.</li> <li>OD monthly reports to managers on GDPR training uptake</li> <li>Co-Sharing of common documentation by Scottish College through the Scottish Colleges' Information Governance Group (SCIGG)</li> </ul> <p><b>2<sup>nd</sup> line of defence:</b></p> <ul style="list-style-type: none"> <li>Data Protection Officer in post via HE/FE Shared Technology &amp; Information Services (HEFESTIS) Shared Service: reviewing and actively contributing to college GDPR work and provides independent internal audit and advisory role</li> <li>GDPR update to SMT on by-request basis</li> </ul> <p><b>3<sup>rd</sup> line of defence:</b></p> <ul style="list-style-type: none"> <li>Internal audit on GDPR compliance (BDO)</li> </ul>	<ul style="list-style-type: none"> <li>Breach escalation to Director of Communication Policy and Research for assessment and determination of further escalation to Executive team for strategic level oversight</li> </ul>	<p>Risk score reviewed by information manager and confirmed to be accurate</p> <p>Reference added to Tech Tuesday's cyber security training.</p> <p>Mandatory staff GDPR training on Moodle Staff zone (81% as of 31 Jan 2024).</p>
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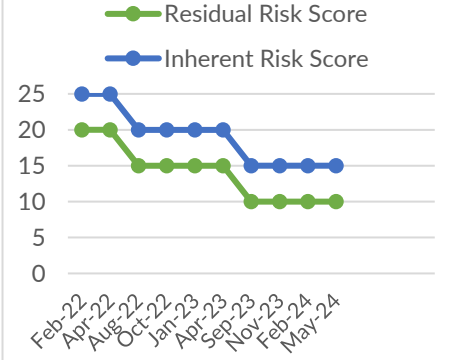
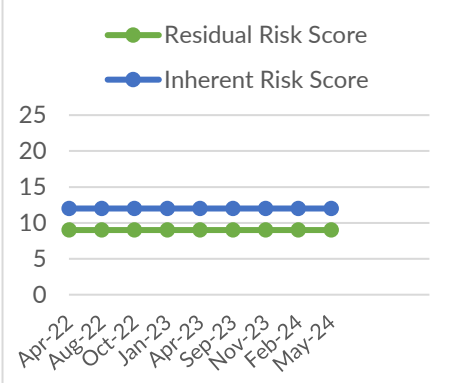
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		<ul style="list-style-type: none"> <li>Contracted/part-time workers provided statutory compliance information booklet, which includes key data protection instructions/guidance</li> </ul> <p><b>Remedial (Impact):</b></p> <ul style="list-style-type: none"> <li>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.</li> <li>Data Protection Officer support available out of hours via HE/FE Shared Technology &amp; Information Services (HEFESTIS) shared Data Protection Officer (DPO) service</li> </ul> <p><b>Both:</b></p> <ul style="list-style-type: none"> <li>Integrated Action Plan encompassing outstanding data protection, information security and records management compliance requirements developed and being monitored by EC Information Governance Group (IGG).</li> <li>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</li> <li>Formal Data Breach Reporting Procedure approved by SMT and issued to staff via College Update/available on college website privacy page.</li> </ul>																																																						
<p><b>(32) Failure to meet SFC funded activity targets and fees</b></p> <p><b>(Recruitment, credits, Student Award Agency Scotland (SAAS) and fee income)</b></p> <p><b>Management Lead:</b> VP Education &amp; Skills</p> <p>VP Innovation Planning &amp; Performance</p> <p><b>Lead Committee:</b></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>2</td> <td>5</td> <td>10</td> </tr> <tr> <th colspan="2">Movement</th> <td>↓</td> </tr> </tbody> </table> <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>Apr-22</td><td>20</td><td>12</td></tr> <tr><td>Aug-22</td><td>20</td><td>10</td></tr> <tr><td>Oct-22</td><td>20</td><td>12</td></tr> <tr><td>Jan-23</td><td>20</td><td>15</td></tr> <tr><td>Apr-23</td><td>20</td><td>16</td></tr> <tr><td>Sep-23</td><td>20</td><td>18</td></tr> <tr><td>Nov-23</td><td>20</td><td>20</td></tr> <tr><td>Feb-24</td><td>20</td><td>20</td></tr> <tr><td>May-24</td><td>20</td><td>10</td></tr> </tbody> </table>	Inherent (Gross) Risk			Probability	Impact	Score	4	5	20	Residual (Net) Risk			Probability	Impact	Score	2	5	10	Movement		↓	Month	Inherent Risk Score	Residual Risk Score	Apr-22	20	12	Aug-22	20	10	Oct-22	20	12	Jan-23	20	15	Apr-23	20	16	Sep-23	20	18	Nov-23	20	20	Feb-24	20	20	May-24	20	10	<p><b>Preventative (Probability):</b></p> <ul style="list-style-type: none"> <li>Performance Monitoring cycle – encapsulating ROA targets</li> <li>Active engagement at national level via Principal and Chair</li> <li>Develop a more unified response with other colleges using College Scotland</li> <li>Increase volume of lobbying with MSPs to promote needs of college.</li> <li>Maintaining up to date financial regulations as well as policies and procedures.</li> <li>Ongoing monitoring of application system</li> <li>Full college recruitment and enrolment consultation complete and summary to be provided for final recommendations – Sept 2023</li> </ul> <p><b>Remedial (Impact):</b></p> <ul style="list-style-type: none"> <li>More detailed budgeting and reporting now in place to align staff and overhead budgets to prioritised services</li> </ul>	<p><b>1st line of defence:</b></p> <ul style="list-style-type: none"> <li>AP, VP, CTM and HOS (invited) conduct regular reviews to monitor targets</li> <li>Faculty Operational Plans include ROA and credit targets.</li> <li>Monthly meetings between COO and Director of Finance.</li> <li>Annual assurance statements including financial control, references.</li> <li>Regular meetings with regional outcome agreement manager</li> <li>Regular meetings with Education Scotland</li> </ul> <p><b>2nd line of defence:</b></p> <ul style="list-style-type: none"> <li>MIS quality checks on credit delivery.</li> <li>VP Education and Skills meetings with all Heads of Faculty to review ROA + credit delivery.</li> <li>Faculty Operational Plan performance meetings.</li> <li>VP Education and Skills reports to Planning and Resources Committee on credit delivery</li> <li>ROA and SFC target reporting presented to SMT and LTSE Committee</li> </ul>	<ul style="list-style-type: none"> <li>Monitor effect of activity on funding and assess exposure</li> <li>Action planning and remedial quality assurance and enhancement to include Review of all MIS data and credit activity</li> </ul>	<p>Have not recruited enough full-time students and semester 2 applications are lower than hope for</p> <p>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> <p><b>Residual Probability score reduced as college has hit activity target – 98% means no claw back, therefore no financial risk.</b></p>
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<p>Planning and Resources Committee</p> <p><b>Strategic Pillar:</b> Curriculum</p>		<ul style="list-style-type: none"> <li>Monthly focus on cost control with regular, clear communications with all staff on financial position seeking support in reconciling adverse position</li> <li>Financial systems, processes and procedures updated in areas where SFC guidance has had an effect, eg, budgeting and forecasting</li> <li>Reconciliation of SFC guidance changes and allocation letters with monthly SFC Returns and Cash Flow Forecasts</li> <li>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</li> <li>Further guidance from SFC has provided more flexibility around the allocation of credits</li> </ul> <p><b>Both:</b></p> <ul style="list-style-type: none"> <li>Analysis of PT courses that lead to break-even/negative funding for the college</li> <li>Closer working between Finance/HR /Procurement and Department Heads including training sessions and regular meetings</li> <li>New self-evaluation procedures launched in 2023, performance against attainment data as key ROA measure and supports staff to consider planning at operational level to improve this</li> </ul> <p>Marketing targeted to demographics highlighted in ROA</p>	<ul style="list-style-type: none"> <li>Tri-partite engagement with SFC/Education Scotland</li> <li>Monitoring by Education Scotland of progress against actions agreed</li> </ul> <p><b>3rd line of defence:</b></p> <ul style="list-style-type: none"> <li>Annual internal Further Education Statistics (FES) audit (also reported to Audit and Risk Assurance Committee) and FES submission to SFC.</li> <li>Scottish Government CPA self-evaluation process.</li> </ul>																																																								
<p><b>(15) Health &amp; safety non-compliance</b></p> <p><b>Management Lead:</b> Chief Operating Officer</p> <p>H&amp;S Manager</p> <p><b>Lead Committee:</b> Planning and Resources Committee</p> <p><b>Strategic Pillar:</b> 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>2</td> <td>4</td> <td>8</td> </tr> </tbody> </table> <p style="text-align: center;"><b>Movement</b> ↓</p> <table border="1"> <caption>Risk Score History</caption> <thead> <tr> <th>Date</th> <th>Inherent Risk Score</th> <th>Residual Risk Score</th> </tr> </thead> <tbody> <tr><td>Oct-21</td><td>12</td><td>8</td></tr> <tr><td>Feb-22</td><td>12</td><td>8</td></tr> <tr><td>Apr-22</td><td>12</td><td>8</td></tr> <tr><td>Aug-22</td><td>12</td><td>8</td></tr> <tr><td>Oct-22</td><td>12</td><td>8</td></tr> <tr><td>Jan-23</td><td>12</td><td>8</td></tr> <tr><td>Apr-23</td><td>12</td><td>8</td></tr> <tr><td>Sep-23</td><td>16</td><td>12</td></tr> <tr><td>Nov-23</td><td>16</td><td>12</td></tr> <tr><td>Feb-24</td><td>16</td><td>12</td></tr> <tr><td>May-24</td><td>16</td><td>8</td></tr> </tbody> </table>	Inherent (Gross) Risk			Probability	Impact	Score	4	4	16	Residual (Net) Risk			Probability	Impact	Score	2	4	8	Date	Inherent Risk Score	Residual Risk Score	Oct-21	12	8	Feb-22	12	8	Apr-22	12	8	Aug-22	12	8	Oct-22	12	8	Jan-23	12	8	Apr-23	12	8	Sep-23	16	12	Nov-23	16	12	Feb-24	16	12	May-24	16	8	<p><b>Preventative (Probability):</b></p> <ul style="list-style-type: none"> <li>Corporate policies and procedures in place.</li> <li>Document control tracker maintained</li> <li>Mandatory training requirements in place for all staff</li> <li>Communications support to ensure staff understand compliance responsibilities</li> <li>H&amp;S documentation to be implemented and maintained by Faculty/Function heads or nominated managers</li> </ul> <p><b>Remedial (Impact):</b></p> <ul style="list-style-type: none"> <li>Early detection of risk/s and resolve quickly and efficiently.</li> </ul> <p><b>Both:</b></p>	<p><b>1<sup>st</sup> line of defence:</b></p> <ul style="list-style-type: none"> <li>Reactive date (e.g., accident/incident reports) monitored to identify and correct procedural deficiencies</li> <li>Operational planning</li> <li>Annual review of H&amp;S policy; maximum review timeframe for procedures is 3 years</li> <li>All new or significantly altered policies and procedures sent for consultation (H&amp;S Committee, management, relevant staff) and all feedback recorded</li> <li>H&amp;S Committee in place with engagement of staff and unions</li> </ul> <p><b>2<sup>nd</sup> line of defence:</b></p> <ul style="list-style-type: none"> <li>Ongoing monitoring of budget availability to carry out reactive work with H&amp;S implications and reporting to SMT/Executive</li> </ul> <p><b>3<sup>rd</sup> line of defence:</b> Programme of internal and external audits in place</p>	<ul style="list-style-type: none"> <li>Enforcement of H&amp;S management systems and procedures for area/department.</li> <li>Immediate implementation of any required local or organisation-wide deviation from procedure as short-term control</li> <li>Formal review and consultation on need for procedural change/update.</li> <li>Dependent on outcome, implement corrective actions</li> </ul>	<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. <b>All 56 department RAs have now been approved.</b></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</p>
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					<p>(Scotland) Regulations 2006. The alarm system at Granton has now been changed. Last month's evacuation practice saw the campus evacuated in 4 minutes (the previous average evacuation time was 10-12 minutes)</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</p> <p>Risk evaluation the same until the next review period and hopefully we can resolve the issues identified and reduce risk score. The mandatory training statistics will continue to be monitored but the issue raised from EIS regarding the boycott has been resolved.</p>																																																			
<p><b>(35) Public health risks</b></p> <p><b>Management Lead:</b> H&amp;S Manager</p> <p><b>Lead Committee:</b> Corporate Development Committee / Planning &amp; Resources Committee</p> <p><b>Strategic Pillar:</b> 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;"><b>Movement</b> <math>\longleftrightarrow</math></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>12</td></tr> <tr><td>Apr-22</td><td>20</td><td>12</td></tr> <tr><td>Aug-22</td><td>12</td><td>9</td></tr> <tr><td>Oct-22</td><td>12</td><td>9</td></tr> <tr><td>Jan-23</td><td>12</td><td>9</td></tr> <tr><td>Apr-23</td><td>12</td><td>9</td></tr> <tr><td>Sep-23</td><td>12</td><td>9</td></tr> <tr><td>Nov-23</td><td>12</td><td>9</td></tr> <tr><td>Feb-24</td><td>12</td><td>9</td></tr> <tr><td>May-24</td><td>12</td><td>9</td></tr> </tbody> </table>	Inherent (Gross) Risk			Probability	Impact	Score	4	4	16	Residual (Net) Risk			Probability	Impact	Score	3	3	9	Month	Inherent Risk Score	Residual Risk Score	Feb-22	20	12	Apr-22	20	12	Aug-22	12	9	Oct-22	12	9	Jan-23	12	9	Apr-23	12	9	Sep-23	12	9	Nov-23	12	9	Feb-24	12	9	May-24	12	9	<p><b>Preventative (Probability):</b></p> <ul style="list-style-type: none"> <li>Health and safety along with public health colleagues will continue to monitor risk: meningitis, COVID-19, flu, Noro virus, etc</li> <li>Occupational health nurse working closely with Edinburgh College Student Association (ECSA) and HR on public health campaigns</li> <li>Hand hygiene, CO<sup>2</sup> monitoring and ventilation procedures in place</li> </ul> <p><b>Remedial (Impact):</b></p> <ul style="list-style-type: none"> <li>Alternative working arrangements in place for staff when required</li> <li>Blended learning default position for classes when required</li> <li>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.</li> </ul> <p><b>Both:</b></p> <ul style="list-style-type: none"> <li>Staff communications to provide updates on situation and risk levels – Staff update email, intranet, website, etc</li> </ul>	<p><b>1<sup>st</sup> line of defence:</b></p> <ul style="list-style-type: none"> <li>Risk Management and Assurance Group monitor risk and overall college response actions</li> <li>Critical Incident Team to manage major events</li> </ul> <p><b>2<sup>nd</sup> line of defence:</b></p> <ul style="list-style-type: none"> <li>Health and Safety committee</li> <li>Regular Public health team briefs</li> <li>SMT fortnightly meetings</li> </ul> <p><b>3<sup>rd</sup> line of defence:</b></p> <ul style="list-style-type: none"> <li>Scottish Government</li> <li>Health Protection Scotland</li> <li>Internal and external audits</li> <li>Trade union feedback</li> </ul>	<ul style="list-style-type: none"> <li>Business Continuity Management plans and procedures/guidance for communicable diseases</li> <li>Full campus closure – all activity on-line</li> <li>College has regular contact with public health to manage any potential outbreak in student population</li> </ul>	<ul style="list-style-type: none"> <li></li> </ul>
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<p><b>(28) College estate infrastructure not aligned to meet business need</b></p> <p><b>Management Lead:</b> Estates Managers</p> <p><b>Lead Committee:</b> Planning and Resources Committee</p> <p><b>Strategic Pillar:</b> 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;"><b>Movement</b> ⇄</p>	Inherent (Gross) Risk			Probability	Impact	Score	3	5	15	Residual (Net) Risk			Probability	Impact	Score	3	4	12	<p><b>Preventative (Probability):</b></p> <ul style="list-style-type: none"> <li>Planned maintenance programme in place for statutory compliance</li> <li>Curriculum review to take account of Estates requirements and lack of funding to make significant changes</li> <li>Future planning for Motor Vehicle facilities at Sighthill/Midlothian; and Construction facilities to replace Forthside</li> <li>Major project underway for relocations of all Forthside facilities to college campuses.</li> </ul> <p><b>Remedial (Impact):</b></p> <ul style="list-style-type: none"> <li>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</li> <li>Loss of catering provision to staff and students with long lead time if retender required</li> </ul> <p><b>Both:</b></p> <ul style="list-style-type: none"> <li>Business Transformation Plan Estates Review completed – focus on Forthside construction and Sighthill Automotive. Flexible approach being taken to reconfiguring classrooms where budget permits</li> </ul>	<p><b>1<sup>st</sup> line of defence:</b></p> <ul style="list-style-type: none"> <li>Critical works register in place to monitor outstanding works and monthly maintenance register to monitor works progress against budget availability</li> <li>KPI's in operational plans for Estates</li> <li>Staff roles designed to manage Estate's compliance</li> <li>Estate's strategy and capital funding allocation prioritised and agreed by the SMT</li> <li>Estate's condition reviewed six monthly + monthly review of estates critical works register</li> <li>Estates Services Manager's and H&amp;S Manager meet weekly with Dir. of Finance and Estates Infrastructure, H&amp;S + Sustainability + Facilities + Security + Porterage + Print Services + Vehicles + IFM + Catering Contract + Budget issues discussed ISS contract management meetings</li> <li>Gather &amp; Gather monthly contract meetings for catering contract with Finance and Procurement</li> <li>Monthly utility monitoring</li> </ul> <p><b>2<sup>nd</sup> line of defence:</b></p> <ul style="list-style-type: none"> <li>SMT + Executive Team discussions on estates.</li> <li>Planning and Resources Committee papers and discussions on estates matters.</li> <li>Estates management matters are also included also in the Health and Safety Report to Health and Safety Committee.</li> </ul> <p><b>3<sup>rd</sup> line of defence:</b></p> <ul style="list-style-type: none"> <li>NQA Auditor process.</li> <li>Internal audit on estates management.</li> <li>Care Inspectorate inspections of the nursery.</li> </ul>	<ul style="list-style-type: none"> <li>Align decisions on future curriculum to enable estates to review requirements and plan for necessary changes as part of the connect groups</li> <li>Estate's incident management process and business continuity plans</li> <li>G&amp;G contract now reduced to minimal service</li> </ul>	<ul style="list-style-type: none"> <li></li> </ul>
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<p><b>(3) College does not support or invest in commercial opportunities that contribute to financial sustainability</b></p> <p><b>Management Lead:</b> VP Corporate Development</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;"><b>Movement</b> ⇄</p>	Inherent (Gross) Risk			Probability	Impact	Score	3	5	15	Residual (Net) Risk			Probability	Impact	Score	2	5	10	<p><b>Preventative (Probability):</b></p> <ul style="list-style-type: none"> <li>Robust costing tools, operational plan and strategy in place to achieve income targets</li> <li>Robust programme monitoring and management systems in place</li> <li>New programmes in development/research phase to anticipate and meet market demand and generate income</li> <li>Enhanced utilisation of business intelligence and sector networks to identify new opportunities</li> <li>Communication and Marketing teams provide support to commercial team to promote services and partnerships for further income generation</li> </ul>	<p><b>1<sup>st</sup> line of defence:</b></p> <ul style="list-style-type: none"> <li>Commercial income targets set annually as part of budget setting process</li> <li>Enhanced financial reporting to provide clarity and support planning</li> <li>Monthly reporting to Exec and SMT</li> <li>6 weekly monitoring process to be put in place in line with updated reporting structure</li> <li>Quarterly reporting to Corporate Development Committee and BoM.</li> </ul> <p><b>2<sup>nd</sup> line of defence:</b></p> <ul style="list-style-type: none"> <li>Monthly updates to Executive Team on live programmes and activities under development</li> </ul>	<ul style="list-style-type: none"> <li>Longer term forecast and targeted approach to setting commercial focus</li> <li>External training associate's costs used to partly service commercial activities</li> <li>Actions to reduce costs associated with any reductions in Commercial Income</li> <li>Alternative funding streams being pursued</li> <li>Scottish Funding Council review will impact on planning and budgeting for alternative funding activities.</li> </ul>	<ul style="list-style-type: none"> <li>Programme for Scottish Government funding has come in form of credits not revenue therefore will not assist with commercial income</li> <li>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.</li> <li>Updated reporting structures in progress to capture all income for transparent monitoring.</li> </ul>
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<p>Director of Enterprise and Knowledge Exchange</p> <p><b>Lead Committee:</b> Corporate Development Committee / Planning &amp; Resources Committee</p> <p><b>Strategic Pillar:</b> Commercial</p>		<ul style="list-style-type: none"> <li>Joint ownership of target setting with Commercial Development, Finance and APs Curriculum in regular dialogue</li> <li>Better monthly forecast procedures incorporated which allow for higher degree of proactiveness</li> </ul> <p><b>Remedial (Impact):</b></p> <ul style="list-style-type: none"> <li>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.</li> </ul> <p><b>Both:</b></p> <ul style="list-style-type: none"> <li>Partnerships with business, colleges and universities strengthened to build sustainable income platforms</li> <li>Diversified income streams to minimise reliance on any single source</li> <li>Flexible delivery model to ensure capacity (use of both in-house and external training associates)</li> <li>Costing review project, with scheduled and bespoke programmes to be reviewed in semester 1 23/24</li> <li>23-26 Commercial Strategy now signed off.</li> <li>College Engagement Plan in place, including employer engagement</li> </ul>	<ul style="list-style-type: none"> <li>Corporate Development Committee oversight of international contracts</li> </ul> <p><b>3<sup>rd</sup> line of defence:</b></p> <ul style="list-style-type: none"> <li>Internal audit report on commercial activity.</li> <li>Scottish Government Procurement Capability Assessment self-evaluation process.</li> </ul>		<p>Risk name updated from “Shortfall in commercial income”</p>																		
<p><b>(27) Workforce planning and development</b></p> <p><b>Management Lead:</b> Director of HR&amp;OD</p> <p><b>Lead Committee:</b> Planning and Resources Committee</p> <p><b>Strategic Pillar:</b> People</p>	<table border="1" data-bbox="341 1260 771 1501"> <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" data-bbox="341 1501 771 1606"> <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><b>Movement</b> ⇄</p> 	Inherent (Gross) Risk			Probability	Impact	Score	3	4	12	Residual (Net) Risk			Probability	Impact	Score	3	3	9	<p><b>Preventative (Probability):</b></p> <ul style="list-style-type: none"> <li>Workforce development plan now active</li> <li>Monthly meetings with managers by HR Partners to review key employee management information including retirements, vacancies, turnover, absence (16)</li> <li>Monthly meeting between HR Manager Partnering and AP’s to review staffing issues and needs</li> </ul> <p><b>Remedial (Impact):</b></p> <p><b>Both:</b></p> <ul style="list-style-type: none"> <li>Greater scrutiny of vacancy control and staff deployment has been implemented</li> <li>Robust process and procedures in place to track vacancies against budget</li> </ul>	<p><b>1<sup>st</sup> line of defence:</b></p> <ul style="list-style-type: none"> <li>Staff analytics monthly reports to CTM’s and Support Managers</li> <li>Management of establishment against budget</li> <li>Regular reviews of progress against operational plan objectives for OD team with Director of HR&amp;OD.</li> <li>Monthly meeting between HR Partners and managers (curriculum and support staff) to review establishment vacancy, workforce planning, staff wellbeing and OD</li> <li>Joint LNC meetings to develop employment policies</li> </ul> <p><b>2<sup>nd</sup> line of defence:</b></p> <ul style="list-style-type: none"> <li>Regular reviews with progress and issues in HR &amp; OD between COO and Directory of HR&amp;OD.</li> <li>SMT and Executive Team discussions and reports on workforce planning, OD, and staff wellbeing.</li> <li>HR reports to Planning and Resources Committee and SMT on workforce planning.</li> </ul>	<ul style="list-style-type: none"> <li>Consider development of policy on retraining displaced staff rather than recruiting new staff</li> <li>Consider alternative employment models where feasible – ongoing</li> </ul>	<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>
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			<p><b>3<sup>rd</sup> line of defence:</b>            Internal audit: Workforce &amp; Establishment Management was carried out in 2022 and some actions for improvement were noted.</p>		

Title	Data Breach Incident and Cyber Attack Update – May 2024
Appendices	None
Disclosable under FOISA	Yes <input checked="" type="checkbox"/> / No <input type="checkbox"/>
Primary Contacts	Michael Jeffrey, Vice Principal Corporate Development Gordon Hope, Infrastructure Lead
Date of Production	03.05.2024
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 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 both reportable data breach incidents and cyber security incidents within Edinburgh College for the reporting period from 1 February 2024 to 30 April 2024 (Quarter 3).

## 3. INCIDENTS

### 3.1 Data Breach 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).

### 3.2 Cyber Attacks

There were no significant incidents during this period. 14 priority 1 alerts were triggered by activities from staff accounts, but subsequent investigations confirmed that these alerts were benign.

In the area of email security, 95 threats were successfully remediated. Two incidents involving compromised accounts at South Lanarkshire College and West College Scotland (on 15<sup>th</sup> March and 8<sup>th</sup> April, respectively) were among the threats addressed during this period.

Despite the absence of significant incidents, the occurrence of 14 priority 1 alerts and two incidents involving compromised accounts at South Lanarkshire College and West College Scotland illustrates the vulnerability of educational institutions to cyber-attacks and underscores the need for ongoing vigilance.

#### 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 checked="" type="checkbox"/>	Staff Costs	<input type="checkbox"/>
Student Retention	<input 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]:

<b>(24) Cyber security breaches within the college</b>  <b>Executive Lead:</b> Chief Operating Officer  <b>Lead Committee:</b> Planning & Resources Committee	Inherent (Gross) Risk		
	<i>Probability</i>	<i>Impact</i>	<i>Score</i>
	5	5	25
	Residual (Net) Risk		
<b>(25) Fineable breach of GDPR or Privacy and Electronic Communications Regulations</b>  <b>Executive Lead:</b> VP Corporate Development  <b>Lead Committee:</b> Planning & Resources Committee	<i>Probability</i>	<i>Impact</i>	<i>Score</i>
	4	5	20
	Movement (since last review)		
	↔		
<b>(25) Fineable breach of GDPR or Privacy and Electronic Communications Regulations</b>  <b>Executive Lead:</b> VP Corporate Development  <b>Lead Committee:</b> Planning & Resources Committee	Inherent (Gross) Risk		
	<i>Probability</i>	<i>Impact</i>	<i>Score</i>
	4	5	20
	Residual (Net) Risk		
<b>(25) Fineable breach of GDPR or Privacy and Electronic Communications Regulations</b>  <b>Executive Lead:</b> VP Corporate Development  <b>Lead Committee:</b> Planning & Resources Committee	<i>Probability</i>	<i>Impact</i>	<i>Score</i>
	3	4	12
	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](#)]