BOARD OF MANAGEMENT
AUDIT COMMITTEE MEETING

Minute of the Audit Committee meeting held on Tuesday 5 March 2019 at 5.00pm in Room A214, Kingsway Campus.

PRESENT: G Robertson (Chair) S Watt
T Pirie P Milne
M Williamson M Thomson
H Honeyman K Keay

IN ATTENDANCE: C Blake (Vice Principal)
S Taylor (Vice Principal and Secretary to the Board)
S Inglis (Henderson Loggie)
T D’All (Principal’s/Board Chair PA)

1. WELCOME
G Robertson welcomed members of the Audit Committee meeting.

2. APOLOGIES
None

3. DECLARATIONS OF INTEREST
A declaration of interest from S Inglis was noted in relation to Agenda Item 12 and it was confirmed that he would leave the meeting prior to that item being considered.

4. ESRC RESEARCH PROJECT – INFORMED CONSENT
G Robertson gave a brief explanation of the Project and confirmed that H Young from Stirling University would not be attendance.

Filming for the ESRC Project will be limited to BOM Meetings with the videos being used for the purpose of research then destroyed. The videos will not be made public.

5. MINUTE OF AUDIT COMMITTEE – 27 NOVEMBER 2018
The Minute of the Audit & Risk Committee meeting held on 27 November 2018 was approved as a correct record.

6. 6.1 Matters Arising
C Blake confirmed that that the error reported in the Follow-Up Summary had been corrected and a new report prepared for the meeting.
7. STRATEGIC RISK REGISTER

S Taylor explained that the Risk Register is reviewed in the run up to each Audit and Risk Committee meeting and reported to the Board of Management. There were no changes to the Register or the scoring of this high level document.

H Honeyman asked if “People” should have a separate classification in the Risk Register for example due to critical skills, wrong doing etc. S Taylor confirmed that there were elements of “People” threaded throughout the Risk Register for example Teaching Standards, Compliance / Verification, Industrial Relations.

K Keay asked about including the Estates Risk in particular Kingsway Campus and STEM in the Risk Register.

It was agreed that S Taylor would review the Risk Register and include the points raised in a revised document for the Committee’s next meeting. **S Taylor to progress.**

The Committee approved the Risk Register for circulation to the Board of Management noting recommended updates.

7.1 Brexit Risk

S Taylor explained that this paper had been prepared summarising the work being progressed to identify key risks and impacts for the College arising from Brexit. There were a number of areas of risk across the College associated with Brexit and the College had in place appropriate monitoring to allow action to be taken where possible.

S Taylor intimated that over a year ago EU staff employed by the College were identified and offered specialist immigration/residency advice via Thornton Solicitors.

S Taylor also confirmed that work had been undertaken in respect of Brexit in relation to the College’s Financial Strategy and that the College is monitoring the situation with a lot of work ongoing.

T Pirie questioned if there had been a lot of queries from students re Brexit and S Taylor confirmed that there had been a number of enquiries regarding course fees and student funding but that there had been no guidance to offer until quite recently. This had now been clarified and a clear answer available for session 2019/20. S Taylor noted that the College does not attract a significant number of EU Nationals into the area as students, with most EU national students already living and working in the area.

G Robertson thanked S Taylor for bring the papers to the Committee and noted that it was a very good update.

8. DATA BREACH REPORTING

C Blake declared a recent Data Breach, which was classified as “minor” with no need to report to Information Commissioner’s Office (ICO), had involved a member of academic staff using “reply all” to an email naming a particular student who needed to change their mode of attendance, due to ill health. This had been sent to approximately 90 individuals. C Blake noted that the student had received a full explanation about the breach and an apology.

C Blake confirmed that there has been a follow-up discussion with the member of staff. An announcement has also appeared on the College Intranet (Portal) reminding all staff re GDPR and the risk of using “reply all” when emailing.

T Pirie highlighted the default settings re “reply all” on mobile phones and that this will be check out with the ICT Team and noted to staff for information. **C Blake to progress.**
9. INTERNAL AUDIT REPORT

9.1 Cyber Security

S Inglis summarised the report on Cyber Security, outlining the audit scope and noting progress and implementation of the key actions set out in the Public Services Action Plan (PSAP). S Inglis indicated that the PSAP set out 11 key actions in 2018, five of which are to be taken forward at national level with the remaining six being addressed at local public sector level.

A discussion took place in relation to governance, training, cyber response action plan and on the whole it was noted that the College does respond well. C Blake noted that the ISP (Internet Security Policy), currently at the final draft stage, will be included alongside the Business Continuity Plan. S Watt suggested that even in an initial draft format the ISP should be signed off and published. This was agreed. C Blake to progress.

The report was approved.

9.2 Progress Report

S Inglis summarised the Progress Report table that indicated when each report will come to the Audit Committee. Changes in some of the planned dates were noted and it was confirmed that these had been discussed and agreed with the College.

9.3 Audit Plan 2018/19 & 2019/20

G Robertson asked the Committee for their thoughts on whether the Procurement Audit should be moved from the 20/21 to the 19/20 cycle. Following discussion, it was agreed that the Procurement Audit should be brought forward and the impact of this on other planned activities to be discussed further with the College.

Further to discussion it was also agreed that: Cyber Security Audit can be left until later in the plan cycle; Duty of Care and Equality & Diversity would be taken forward in parallel; Student Engagement / Students’ Association will commence once a new Student President was in place.

9.4 Follow-Up Summary

C Blake noted that the Follow-Up Summary for both Internal and External Audits, noting the status of each recommendation, will come to the Audit & Risk Committee other than the meeting at which the Internal Auditors’ own report is considered.

Revised Deadlines

C Blake highlighted that the College’s Customer Relations Management system (CRM) is being implemented by June 2019 as part of the G2G project. The Students Experience action around software updates will be finished for the start of Academic Year 2019/20.

C Blake intimated that the Asset / Fleet Management Audit recommendations had to disappointingly be moved again but confirmed that they would be completed by April 2019. M Williamson noted that she was disappointed that the Asset / Fleet Management recommendations had been pushed back once again. It was confirmed that these outcomes should be prioritised to ensure that the new deadline was met. C Blake to progress.
10. **BUSINESS CONTINUITY POLICY**

C Blake noted that the cover page of the document will be changed to reflect that this document is a Policy rather than a Plan. C Blake indicated that there had been no change in direction from the previous issue of the document.

Discussion took place on how important it was for ICT and Estate to be included in the Business Continuity Policy rather than being supported by departmental plans. It was agreed that (even if not finalised) it was important to have something available publicly about the College’s continuity plans for ICT and estates. **C Blake to progress.**

S Inglis noted that the Internal Audit for Risk Management / Business Continuity would take place from 26 March 2019. It was agreed that the ICT and Estates Plans be included in the BCP for this Audit.

11. **EXTERNAL AUDIT**

C Blake confirmed that Audit Scotland were happy with the External Audit arrangements and will be on site from 29 April 2019 to complete the interim audit.

12. **RENEWAL OF CONTRACT - INTERNAL AUDIT**

S Inglis excused himself from the meeting at this point.

G Robertson explained the thinking behind the original contract extension and the reluctance of making a major decision at the same time as a possible change to the Chair of the Audit Committee.

The proposal to extend the Henderson Loggie contract was approved. **C Blake to progress.**

It was confirmed that the procurement process for a new contract be planned, with a paper outlining the process and timescale to be brought to the September meeting. **S Taylor to progress.**

13. **DATE OF NEXT MEETING**

The next Audit Committee meeting was confirmed as: **Tuesday 14 May 2019 at 5.00pm in A214, Kingsway Campus.**

As this was C Blake’s last Audit Committee meeting before retiring G Robertson took the opportunity to thank her, on behalf of everyone, for her work, input and guidance at the meetings.
### Action Point Summary

<table>
<thead>
<tr>
<th>Action</th>
<th>Responsibility</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strategic Risk Register to be updated to incorporate Estates and People risk headings/risks</td>
<td>S Taylor</td>
<td>14 May 2019</td>
</tr>
<tr>
<td>Guidance on possible ‘reply all’ setting on mobile devices to be provided</td>
<td>C Blake</td>
<td>31 March 2019</td>
</tr>
<tr>
<td>Internet Security policy to be completed and published</td>
<td>C Blake</td>
<td>31 March 2019</td>
</tr>
<tr>
<td>Remaining actions from Asset/Fleet Management audit to be prioritised for completion by revised due dates</td>
<td>C Blake</td>
<td>14 May 2019</td>
</tr>
<tr>
<td>Extension to Henderson Loggie contract to be confirmed</td>
<td>C Blake</td>
<td>14 May 2019</td>
</tr>
<tr>
<td>Procurement process for internal audit to be confirmed</td>
<td>S Taylor</td>
<td>17 September 2019</td>
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</tbody>
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