



GLASGOW KELVIN COLLEGE - Assurance Map September 2024

Issue No	Issue	Issue Owner	Controls	Operational Functions 1st Line of Assurance <i>Identifying risks and improvement actions. Implementing controls. Reporting on progress. Management Assurance.</i>	Corporate Oversight 2nd Line of Assurance <i>Designing policies. Setting direction. Ensuring compliance. Assurance oversight.</i>	Independent & Objective Assurance 3rd Line of Assurance <i>Independent challenge, audit. Reporting on assurance. Audit of assurance providers. Entity level assurance.</i> IA = Internal Audit (5 Year Plan)	Assurance Assessment	Assurance Sufficient	Action Points
1	Business Planning	Vice Principal Operations & Vice Principal Learning & Quality	College Strategy Supporting Strategies and Frameworks College Operating Plan Department Operational Plans SLT PDRs	Operational Plans reviewed and approved by Vice Principals Progress Reports prepared in Year Curriculum Planning Workforce Planning	Strategy - high level annual review TRCC SLT SLT/OMT/OMT Plus Board Meetings - 5 per Annum Executive Committee Meetings - as required GCG/College Principals Group	IA - Business Development 2019/20 IA - Performance Reporting & KPIs 2021/22 IA - Publicity & Communications 2022/23 IA - Corporate Planning 2023/24 Education Scotland/HMIE SFC		Yes	
2	Financial Management (including Procurement & Student Funding)	Vice Principal Operations	Finance Strategy Financial Regulations Delegated authority Policies & Procedures Segregation of Duties Financial reporting Staff Training APUC Support	Financial planning Budget setting process Quarterly Forecasting Finance team compliance checks and reconciliations Monthly Management Accounts FFR Accountants Monthly Budget Holder Meetings Embedded Procurement - review of POs and Expenditure, weekly Meetings, staff training and support Continuous Improvement	Monthly Finance SLT Annual Report & Financial Statements Quarterly oversight by Finance & Resources Committee Audit & Risk Committee as appropriate Board Approval of Budgets and Annual report and accounts and Quarterly Finance Update Annual Expenditure Report - Procurement Annual Procurement Strategy Review/Update New 5 Year Operating Plan 2024-2029	IA - Procurement & Creditors/ Purchasing 2019/20 IA - Cash & Bank/Treasury Management IA - Budgetary Control & Financial Planning 2022/23 IA - Student Fees & Contracts/Registry 2023/24 IA - Bursary, Childcare & Hardship Funds - Annually Annual External audit SFC Reporting		Yes	
3	Quality Learning & Teaching & Student Outcomes	Vice Principal Learning & Quality	Learning & Teaching & Assessment Strategy College Quality Enhancement Arrangements Regional Outcome Agreement Staff Qualifications & Training PDR Process	Curriculum Manager Course Review Senior Curriculum Manager Subject Area Review Support Service Quality Review Regular Monitoring College Performance Targets & KPIs Continuous Improvement Curriculum Planning	SLT Bi Weekly Quality Management Group Quarterly Academic Board Quarterly Oversight Learning & Teaching Committee Reporting to Board as appropriate	IA - Student Recruitment & Retention 2019/20 IA - Quality Assurance 2022/23 IA - Student Support Audit 2022/23 IA - Curriculum Planning 2023/24 IA - Credits Audit - Annually Education Scotland (HMIE) - Verification Visits & Inspections Skills Development Scotland Audits SFC Reporting		Yes	



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4	Risk Management & Business Continuity	Director of Estates & Corporate Services	Risk Management Framework Business Continuity Plan Full embedded Risk Management System Staff Training & Awareness	Quarterly Review of Team and Strategic Risk Registers Project Risk Registers Reviewed Monthly Table Top BC Exercises Continuous Improvement	Risk Management Committee Incident Management Team Strategic Risk Register - Quarterly to SLT, RMC, Audit & Risk Committee; Twice a year to Board; once a year to F&R and L&T. Review of College Risk Appetite Levels	IA - Business Continuity 2019/20 IA - Risk Management 2023/24 SFC		Yes	
5	Estates & Project Works	Vice Principal Operations	Estates & Sustainability Strategy Delegated Authority Public Procurement Staff Training Buildings Insurance	Budget Setting & Prioritising Operational Plan Annual Workplan Campus Walkrounds Helpdesk Monitors Contractor Management Continuous Improvement	SLT Estates & Sustainability Working Group Risk Management Committee Project Working Groups/External Project Manager as appropriate Quarterly oversight by Finance & Resources Committee Audit & Risk Committee as appropriate GCG/Regional Sustainability Group Full Condition Surveys - All Campuses July 2024	IA - Estates Strategy/Capital Project 2021/22 IA - Asset/Fleet Management 2021/22 SFC Reporting		Yes	
6	Human resources (including Organisational Development, Wellbeing & Equality, Diversity & Inclusion)	Director of People & Culture	People & Culture Strategy Policies & Procedures Directors & Officers Insurance Staff Training	Monthly Finance Meetings Regular Review of Policies & Procedures Absence Monitoring Improved HR Systems Regular Reporting OHS Referrals Occupational Health Checks Expert Advice - Legal/Other PDR Process Continuous Improvement Workforce Planning	SLT TRCC Equality Committee Monthly Union Meetings - EIS/FELA and Unison Quarterly JNCC Meetings Quarterly oversight by Finance & Resources Committee Audit & Risk Committee and Board as appropriate GCG/Regional Sustainability Group	IA - Sickness Absence 2020/21 IA - Payroll 2022/23 IA - Staff Development 2023/24 Public Sector Equality Duties (PSED) Report College Employers Scotland (CES) HMRC Pension Schemes		Yes	



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7	Governance & Legislative Compliance (including Health & Safety, FOI, GDPR, Safeguarding, etc)	Principal, Director of Estates & Corporate Services & Health & Safety Manager	Governance & Compliance Framework Policies & Procedures Directors & Officers Insurance Appropriate Training, eg Workrite	Monitoring and control of FOI, Complaints and GDPR issues Workrite Health & Safety Risk Management Safeguarding monitoring and Reporting. Continuous Improvement	Data Protection Privacy Network Safeguarding Group/Champions Health & Safety Committee Quarterly oversight by Finance & Resources Committee Audit & Risk Committee and Board as appropriate	IA - Corporate Governance 2020/21 IA - Data Protection 2021/22 IA - Health & Safety Audit 2022/23 Externally Facilitated Effectiveness Review (EFER) HEFESTIS Information Commissioners Office (FOI) Scottish Public Sector Ombudsman (Complaints) OSCR Reporting Reporting to Arms Length Foundation Standards Commission		Yes	
8	Digital Services & Cyber Security	Director of Digital Services	Policies & Procedures Procurement Admin Controls Technical Controls Digital Services Strategy Cyber Insurance Staff Qualifications & Training	Operational Planning Renewal of ICT Assets - hardware/software Regular Security Updates Daily Back-ups Penetration Testing Cyber Essential Scheme Continuous Improvement	SLT Oversight by Finance & Resources and Audit & Risk Committee as appropriate Annual Board update on Digital Strategy GCG/Regional Sustainability Group JISC Review of College Infrastructure	IA - IT Network Arrangements 2020/21 IA - Cyber Security 2022/23 IA - Systems Development/Implementation 2023/24 CISO Network Scottish Government - Cyber Resilience Framework		Yes	
9	Fraud	Vice Principal Operations & Finance Manager	NFI Initiative Anti Bribery and Anti Fraud Policies Procurement controls Anti Bribery/Anti Corruption Training Cyber Security Training Other Training as required	Noted as Risk on Finance Team Risk Register - mitigating actions noted and monitored. Segregation of Duties Regular Reconciliations Delegated Authority Matrix Approval System - workflow built into Systems Bank Modulus Checks	SLT NFI results reported to Audit & Risk Committee every two years.	Internal Audit - inherent in all Audits External Audit - cover NFI and Fraud as part of the External Audit remit NFI every two years		Yes	



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10	Sustainability & Net Zero	Director of Estates & Corporate Services & Sustainability Manager	Estates & Sustainability Strategy Policies & Procedures Directors & Officers Insurance Raising Awareness	Operational Plan Climate Change Action Plan - Actions Race to Zero - Actions Staff & Student Engagement College Sustainability Champions Group	College Environmental Champions Group Estates & Sustainability Working Group SLT Quarterly oversight by Finance & Resources Committee Reports to Board and Arms Length Foundation as required GCG/Regional Sustainability Group	IA - Environmental Sustainability Public Sector Climate Change Duties Report - Annual Report Climate Change Action Plan - Annual Race to Zero - Annual Report		Yes	

Key: RAG rating on the effectiveness of controls from assurance work undertaken
LOW: Significant concerns over the adequacy/effectiveness of the controls in place in proportion to the risks
MEDIUM: Some areas of concern over the adequacy/effectiveness of the controls in place in proportion to the risk
HIGH: Controls in place assessed as adequate/effective and in proportion to the risks
Insufficient information at present to judge the adequacy/effectiveness of controls
N/A - No Action Required