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AUDIT & RISK COMMITTEE

08 February 2024

BORDERS COLLEGE REGIONAL BOARD

Internal Audit Assignment – Student Records - ProSolution

1.0 PURPOSE OF PAPER

For decision

1.1 The purpose of this paper is to provide the Committee with findings of the internal audit for Student Records within ProSolution System.

2.0 EXECUTIVE SUMMARY

2.1 The Committee approved the Internal Audit plan for 2023/24 on 11 May 2023. The plan included a review of new ProSolution system for Student records.

2.2 The review of ProSolution was been undertaken during November 2023.

2.3 The audit has identified no recommendation and has an overall conclusion as "Strong".

3.0 RECOMMENDATION

3.1 I recommend that the Audit and Risk Committee note the report contained in Appendix A.

4.0 BACKGROUND

4.1 The Financial Memorandum with the SFC requires the College to have an effective internal audit function and that the duties of that function conform to the professional standards of the Chartered Institute of Internal Auditors. For incorporated colleges and Regional Boards, the operation and conduct of internal audit must comply with Public Sector Internal Audit Standards and, where relevant, the Scottish Public Finance Manual. Internal Audit is to provide the Regional Board, the Principal and senior management with assurances on the adequacy of the internal control system.

4.2 The Internal Audit Service is contracted to Wylie Bisset who provide an annual plan of the areas to be audited. The plan for 2023/24 was approved by the Committee on 11 May 2023. The plan included a review of Student Retention.

5.0 PROSOLUTION AUDIT

5.1 The audit of ProSolution was undertaken during November 2023.

5.2 There are no recommendations identified, and the overall conclusion is "strong". The full report is contained in Appendix A.

> "Following our review, we can provide the College with a strong level of assurance surrounding the controls in place within the ProSolution system. We assessed processes in place for student applications

6.0 IMPLICATIONS AND CONSIDERATIONS

6.1 Financial Implications

The are no direct financial implications from the contents of this report.

6.2 Learner Implications

There are no direct implications from the contents of this report. The report demonstrates strong management of students records which allows

6.3 Staff Implications

There are no direct staff implications from the contents of this report.

6.4 Equality and Diversity Implications/Equality Impact Assessment

There are no direct equality and diversity implications from the contents of this report.

6.5 Sustainability/Environmental Implications

There are no direct sustainability or environmental implications from the contents of this report.

7.0 RISK COMMENTARY

7.1 ProSolution is a key system in the management of students records and data. The system also provides key management information to allow the College to monitor and manage the overall credit position, which ensures the College meets key targets set within the Outcome Agreement with Scottish Funding Council.

8.0 CONCLUSION

8.1 The audit of ProSolution has been completed and resulted in an overall conclusion of "Strong".

Kirsty Robb, Vice Principal Finance & Corporate Resources

Previous Committee Approvals: N/A

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Wylie + Bisset
Accountants, Business & Tax Advisers

Borders College
Internal Audit 2023-24

ProSolution System Review
December 2023

Overall Conclusion
Strong

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The matters raised in this report came to our attention during the course of our audit and are not necessarily a comprehensive statement of all weaknesses that exist or all improvements that might be made.

This report has been prepared solely for Borders College's individual use and should not be quoted in whole or in part without prior written consent. No responsibility to any third party is accepted as the report has not been prepared, and is not intended, for any third party.

We emphasise that the responsibility for a sound system of internal control rests with management and work performed by internal audit should not be relied upon to identify all system weaknesses that may exist. Neither should internal audit be relied upon to identify all circumstances of fraud or irregularity should there be any although our audit procedures are designed so that any material irregularity has a reasonable probability of discovery. Every sound system of control may not be proof against collusive fraud. Internal audit procedures are designed to focus on areas that are considered to be of greatest risk and significance.

1 EXECUTIVE SUMMARY

Overview

Purpose of review

The purpose of this review was to ensure that there are appropriate controls in place within the ProSolution system. This review sought to provide assurance to the Board, via the Audit Committee, that the processes for student applications and enrolments are efficient and effective and that the controls in place are operating as expected.

This review forms part of our Internal Audit Annual Plan 2023/24.

Scope of review

Our objectives for this review were to ensure:

- The Board and SMT are provided with useful and meaningful information on a timely basis.
- Where possible, the ProSolution system is linked to the College's other systems (student funding, finance etc) so that information can be transferred/ shared between the systems.
- The College has a robust process in place for student applications and enrolments that captures all information required by the Scottish Funding Council.
- The ProSolution system is run in an effective and efficient manner.
- Student records are held securely and in accordance with the requirements of the General Data Protection Regulation.
- The College has appropriate arrangements in place to ensure that adequate attendance records are maintained.

1 EXECUTIVE SUMMARY

Our approach to this assignment took the form of discussion with relevant staff, review of documentation and where appropriate sample testing.

Limitation of scope

There was no limitation of scope.

1 EXECUTIVE SUMMARY

Background Section

ProSolution System

Border's College use the ProSolution Management Information System (MIS) for managing applications and enquiries, throughout to learner enrolment, registers, timetables, and reporting.

Borders College are the only College in Scotland to use the system and worked closely with ProSolution MIS during the implementation process to ensure the system was functioning effectively.

The College's main goal is to have ProSolution MIS as their main information holding system and to have all the other College's systems running from ProSolution MIS.

Integration

We held discussions with the College's Database Developer to understand how and where ProSolution System is integrated with the College's other systems. The College's ProSolution System holds all student, enrolment, application, courses and timetabling information, the following systems run from ProSolution MIS:

- **Canvas Virtual Learning Environment** – This system consists mainly of student, enrolment, course, and timetabling information.
- **SUN Finance** – This system brings in any financial information regarding courses which may involve a charge or fee, finance can export information from ProSolution MIS where required.
- **Heriot Watt Library Management System** – This system holds all student and basic enrolment information and allows students to access library resources.
- **Borders College Website** - The website shows information which has been imported from the ProSolution MIS regarding course and application information.
- **CAMS Tequios** – This system is an internal system which holds mainly student application, enrolment and basic course information.
- **Smart Assessor ePortfolio** – This system was only pushed out very recently at the time of our review and is mainly used by the Business Department.
- **Identity Management** – This system holds all student accounts and key information.

- **Microsoft** – Data syncs over from ProSolution MIS to the students Microsoft Account which holds emails, Teams etc.

Application and Enrolment

We reviewed over screenshare, how the ProSolution system works in processing student applications and enrolments. When the applicant is inputting their information, the system will automatically verify details to confirm if the student already has an account. The system prevents duplicate accounts being opened.

All of the information input by students is electronically distributed to each system which works off ProSolution MIS.

Security

We can confirm that hard copies of student data are no longer retained and all information is kept on the ProSolution MIS. The system has permission groups, system users, and user permission groups and we can confirm access is appropriately restricted.

Reporting

ProSolution MIS allows the College to turn data into meaningful information. All data can be reported by different levels of granularity, for example at departmental, course or specific student level.

The College's Senior Leadership Team meet on a monthly basis, and we reviewed the January to June 2023 meeting minutes. We confirmed the Head of MIS and E-Learning reports on the KPI Progress in regard to information held on the ProSolution MIS and the narrative in the minutes showed evidence of challenge and scrutiny.

The College's Curriculum and Quality Committee meet on a quarterly basis, and we reviewed the February, June and October 2023 meeting minutes. At these meetings the Head of MIS and E-Learning also presents the Performance Update which includes KPI, credits position, and enrolment updates.

1 EXECUTIVE SUMMARY

Work Undertaken

In line with the objectives, we completed the following work:

Objective 1: The Board and SMT are provided with useful and meaningful information on a timely basis.

- We reviewed the January to June 2023 Strategic Leadership Team (SLT) Meeting Minutes and Reports presented to ensure that useful and meaningful information is presented on a timely basis.
- We reviewed the February, June, and October 2023 Curriculum and Quality Committee Reports to ensure that all KPI Reports were presented on a timely basis and all key information was covered.

Objective 2: Where possible, the ProSolution system is linked to the College's other systems (student funding, finance etc) so that information can be transferred/ shared between the systems.

- We held discussions with the College's Database Developer to understand how the ProSolution MIS integrates with all the College's other systems and how information is transferred between the systems.

Objective 3: The College has a robust process in place for student applications and enrolments that captures all information required by the Scottish Funding Council.

- We completed a screenshare call with the Director of MIS and E-Learning and the MIS Team Leader to understand the process for student applications and enrolments on the ProSolution MIS.
- We also discussed how the College ensures all information within the application and enrolments capture the information required by the Scottish Funding Council.

Objective 4: The ProSolution is run in an effective and efficient manner.

- We completed a screenshare call with the Director of MIS and E-Learning and the MIS Team Leader to understand how the ProSolution MIS is run to ensure there is no manual input when running reports.

Objective 5: Student records are held securely and in accordance with the requirements of the General Data Protection Regulation.

- We held discussions with the Director of MIS and E-Learning and the MIS Team Leader to gain understanding as to where student records are held.
- Over screenshare we were able to review the access right groups on the ProSolution MIS and to ensure access is appropriately restricted.

Objective 6: The College has appropriate arrangements in place to ensure that adequate attendance records are maintained.

- We completed a screenshare call with the Director of MIS and E-Learning and the MIS Team Leader to understand how attendance records are held on the ProMatrix side of the MIS.
- We also referred back to our Funding Audits completed in September 2023 and reviewed our extensive sample testing completed on student attendance.

1 EXECUTIVE SUMMARY

Conclusion

Overall conclusion

Overall Conclusion: Strong
Following our review, we can provide the College with a strong level of assurance surrounding the controls in place within the ProSolution system. We assessed processes in place for student applications and enrolments and can confirm these are efficient and effective.

Summary of recommendations

Grading of recommendations				
	High	Medium	Low	Total
ProSolution System Review	0	0	0	0

As can be seen from the above table there were no recommendations raised.

Areas of good practice

The following is a list of areas where the College is operating effectively and following good practice.	
1.	The College's Senior Leadership Team meet on a monthly basis and within this meeting the Director of MIS and E-Learning reports on the KPI Progress in regards to information held on the ProSolution MIS. The College's Curriculum and Quality Committee meet on a quarterly basis and we can confirm that these meetings also contain a KPI position update regarding the enrolments, withdrawals, and learner success figures in comparison to previous years.
2.	From our discussions over screenshare with the Colleges Database Developer we understand that the College's goal is to have ProSolution System as the first source of the data and then all data is pushed from ProSolution System to the College's other systems such as the Finance System, Learning Platforms, and the College's website.
3.	We completed a screenshare call with the key contacts and we reviewed the process in place for student applications and enrolments on the ProSolution System. We can confirm that in September 2023 we completed the EMA, SSF, and Credits SFC Funding Reviews for the College and that all information required by the SFC was included within the enrolment forms.
4.	We completed a call with the Director of MIS and E-Learning and over screenshare we were shown how the ProSolution System is run and we can confirm that there is no manual input needed.
5.	Over screenshare we were shown the side of the ProSolution System which shows registers and timetable records. We were also shown the ProMetrix side of the system which shows attendance graphs for the previous 2 weeks, 30 days, and 4 weeks of non attendance. These graphs are interactive and can be expanded into specific departments, courses and students.

1 EXECUTIVE SUMMARY

The following is a list of areas where the College is operating effectively and following good practice.	
6.	The ProSolution System has specific permission groups and system users.

2 AUDIT ARRANGEMENTS

The table below details the actual dates for our fieldwork and the reporting on the audit area under review. The timescales set out below will enable us to present our final report at the next Audit Committee meeting.

Audit stage	Date
Fieldwork start	23 November 2023
Closing meeting	29 November 2023
Draft report issued	12 December 2023
Receipt of management responses	13 December 2023
Final report issued	13 December 2023
Audit Committee	8 February 2024
Number of audit days	3

3 KEY PERSONNEL

We detail below our staff who undertook the review together with the College staff we spoke to during our review.

Wylie & Bisset LLP			
Partner	Graham Gillespie	Partner	graham.gillespie@wyliebisset.com
Senior Manager	Sue Brook	Senior Internal Audit Manager	susan.brook@wyliebisset.com
Auditor	Carla Tamagnini	Internal Auditor	carla.tamagnini@wyliebisset.com

Borders College			
Key Contacts:	Joanne George	Director of MIS and eLearning	jgeor@borderscollege.ac.uk
	Joanne Elliot	MIS Team Leader	jelli@borderscollege.ac.uk
Wylie & Bisset appreciates the time provided by all the individuals involved in this review and would like to thank them for their assistance and co-operation.			

APPENDICES

A GRADING STRUCTURE

For each area of review, we assign a level of assurance in accordance with the following classification:

Assurance	Classification
Strong	Controls satisfactory, no major weaknesses found, no or only minor recommendations identified.
Substantial	Controls largely satisfactory although some weaknesses identified, recommendations for improvement made.
Weak	Controls unsatisfactory and major systems weaknesses identified that require to be addressed immediately.
No	No or very limited controls in place leaving the system open to significant error or abuse, recommendations made require to be implemented immediately.

A GRADING STRUCTURE

For each recommendation, we assign a grading either as High, Medium or Low priority depending on the degree of risk assessed as outlined below:

Grading	Classification
High	Major weakness that we consider needs to be brought to the attention of the Audit Committee and addressed by senior management of the College as a matter of urgency.
Medium	Significant issue or weakness which should be addressed by the College as soon as possible.
Low	Minor issue or weakness reported where management may wish to consider our recommendation.

B ASSIGNMENT PLAN

Purpose of review

The purpose of this review is to ensure that there are appropriate controls in place within the ProSolution system. This review will seek to provide assurance to the Board, via the Audit Committee, that the processes for student applications and enrolments are efficient and effective and that the controls are in place are operating as expected.

This review forms part of our Internal Audit Annual Plan 2023/24.

Scope of review

Our objectives for this review are to ensure:

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- The College has a robust process in place for student applications and enrolments that capture all information required by the Scottish Funding Council.
- The ProSolution is run in an effective and efficient manner.
- Student records are held securely and in accordance with the requirements of the General Data Protection Regulation.
- The College has appropriate arrangement in place to ensure that adequate attendance records are maintained.

Our approach to this assignment took the form of discussion with relevant staff, review of documentation and where appropriate sample testing.

Limitation of scope

There is no limitation of scope.

Audit approach

Our approach to the review will be:

- Discussions surrounding the ProSolution System.
- Review policies and procedures in place for the ProSolution System.
- Review of the ProSolution System linkage to other College Systems.
- Review of how the College hold student records and ensuring these records are accurate.
- Review of the reporting surrounding ProSolution System.
- Review of the processing of applications on the ProSolution System

Potential key risks

The potential key risks associated with the area under review are:

- The Board and SMT are not provided with useful and meaningful information on a timely basis.
- Where possible, the ProSolution system is not linked to the College's other systems (student funding, finance etc) so that information can be transferred/ shared between the systems.
- The College does not have a robust process in place for student applications and enrolments that capture all information required by the Scottish Funding Council.
- The ProSoluation is not run in an effective and efficient manner.

- Student records are not held securely and in accordance with the requirements of the General Data Protection Regulation.

- The College does not have appropriate arrangement in place to ensure that adequate attendance records are maintained.