



Item 07a

Glasgow Kelvin College

Internal Audit 2025-26

Business Continuity & Disaster Recovery

March 2026

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.

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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 assess whether Glasgow Kelvin College (the College) had appropriate business continuity planning and disaster recovery arrangements in place. Our review considered whether there were sufficient contingency planning arrangements in place to address the possibility of an unforeseen event.

This review formed part of our 2025/26 Annual Internal Audit Plan.

Scope of review

Our objectives for this review were to assess whether:

- | There were appropriate business continuity and disaster recovery plans and procedures in place at the College.
- | There were appropriate testing and reporting of business continuity and disaster recovery procedures at the College.
- | Appropriate training for business continuity and disaster recovery was being provided to all staff at the College.
- | Roles for business continuity and disaster recovery at the College were clearly defined and are appropriate.

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

Business Continuity and Disaster Recovery Plans

As part of this review, we examined the College's Business Continuity Plan (BCP) and the wider arrangements that support the continuity of critical services during disruption. The BCP sets out the College's overall framework for responding to incidents, including incident management structures, defined roles and responsibilities, communication arrangements, and procedures for maintaining key services across campuses. The plan also includes supporting appendices covering campus specific considerations, contact details, and escalation procedures, providing practical guidance to staff during incidents.

Alongside the BCP, we reviewed the College's ICT Disaster Recovery arrangements which support the restoration of critical systems and infrastructure in the event of a technology related disruption. The College has established a robust approach to data protection and recovery, including local, offsite and cloud-based backups, with immutable backup solutions in place for key systems. During the review, we noted that the College is undertaking work to modernise elements of its infrastructure, including migration of workloads to cloud-based platforms. This will influence how disaster recovery is delivered in the future and will require corresponding updates to continuity arrangements. Please refer to **Section 3: Observations** for further information.

Business Impact Analysis and Recovery Priorities

The College has completed a Business Impact Analysis that identifies and prioritises key services, establishing clear recovery objectives for each function. Recovery priorities reflect operational needs, with critical services such as teaching, IT systems, and payroll identified for rapid restoration. Each campus has tailored recovery plans, taking account of building layouts, unique service requirements, and localised risks. These priorities also feed into backup and disaster recovery arrangements, helping to ensure alignment between operational recovery and IT resilience.

Incident Management and Roles

The College has a defined Incident Management Team (IMT) supported by Senior Leadership. Key roles and deputies are clearly assigned across health and safety, estates, IT, and other operational areas. Campus-specific plans, including layouts and tailored

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procedures, provide practical guidance for responding to local incidents. During the review, we noted that the College is introducing a live incident management log, designed to track responsibilities, priorities, and progress in real time during events. Please refer to **Section 3: Observations** for further information.

Testing and Exercises

The College has a structured programme of exercises, combining both tabletop and live scenario tests. Exercises cover a wide range of potential events, including lockdowns, fire drills, and pandemic scenarios. Evidence shows exercises are documented, with lessons learned captured and used to update plans. The College plans to develop the scale and scope of exercises, including larger, multi-campus simulations, to ensure comprehensive preparedness. Please refer to **Section 3: Observations** for further information.

Training and Staff Awareness

Training is provided across the College, supporting both general business continuity awareness and specific responsibilities for IMT and operational staff. Staff have participated in live drills, scenario exercises, and facilitator-led Martyn's Law sessions, supported by external expertise through AG Lockdown. Training also extends to external contractors and temporary staff, ensuring a wider level of preparedness. During the review, we observed work being undertaken to enhance the College's alerting and alarm systems to supplement existing digital notifications. This is intended to support situations where staff may be engaged in practical teaching or other activities where their attention is not focused on digital devices, ensuring incident alerts can still be recognised quickly. Please refer to **Section 3: Observations** for further information.

Communication and Reporting

The College has clear communication protocols for internal coordination and external engagement during incidents. Internal communications are supported through Teams channels, WhatsApp groups, and email, while AG Lockdown provides specialist support during lockdown scenarios. Reporting mechanisms are well established, with business continuity updates presented to management and governors regularly, and progress on Martyn's Law compliance tracked through risk management structures.

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Work Undertaken

In line with each objective, we undertook the following work:

Objective 1: There are appropriate business continuity and disaster recovery plans and procedures in place at the College.

- | We reviewed the College's Business Continuity Plan (BCP) and ICT Disaster Recovery Plan to confirm that these are comprehensive and appropriately detailed.
- | We examined the College's Disaster Recovery arrangements, including backup strategies, replication between campuses, and cloud-based solutions, to confirm that critical IT services can be restored in line with defined recovery objectives.
- | We reviewed the College's Business Impact Analysis (BIA) and recovery prioritisation process to assess whether critical functions have been appropriately categorised and recovery strategies defined.
- | We reviewed support and cover arrangements for key processes and functions, including the Incident Management Team and Senior Leadership Team oversight, to ensure continuity can be maintained across operational areas.
- | We confirmed that business continuity knowledge is not held by a single individual and that responsibility is appropriately distributed across the Incident Management Team, Senior Leadership Team, and relevant campus staff.

Objective 2: There is appropriate testing and reporting of business continuity and disaster recovery procedures at the College.

- | We discussed the College's methodology for testing business continuity and disaster recovery, including tabletop exercises, scenario-based simulations, and live incidents, to confirm that testing is comprehensive and ongoing.
- | We reviewed evidence of recent exercises and incidents from 2018 through to 2026, including post-incident logs, lessons learned, and updates to the BCP, to confirm that the College actively uses testing outcomes to improve preparedness.
- | We examined reporting processes, including two-yearly business continuity updates and consistent reporting on Martyn's Law via the College's Risk Management Committee, to assess whether management and governors receive appropriate oversight.

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Objective 3: Appropriate training for business continuity and disaster recovery is being provided to all staff at the College.

- | We reviewed the College's training framework to assess whether staff receive awareness training and that specialised training is provided to key roles such as the Incident Management Team, campus leads, and first responders.
- | We assessed evidence of training delivery, including fire drills, Martyn's Law facilitator sessions, and use of the AG Lockdown system, to confirm that training is practical, accessible, and aligned to business continuity objectives.
- | We reviewed the capture of attendance and staff engagement in exercises and training, including external contractors, to confirm coverage across operational teams.

Objective 4: Roles for business continuity and disaster recovery at the College are clearly defined and are appropriate.

- | We reviewed the defined roles and responsibilities of the Incident Management Team, Senior Leadership Team, and other key personnel to confirm clarity of accountability and delegation
- | We assessed the accessibility and distribution of key documentation, including physical copies held by Incident Management Team members, digital copies stored in multiple SharePoint areas, and campus-specific plans, to ensure all relevant personnel can access the BCP as required.
- | We reviewed the staff contact details maintained by the College, along with communications protocols, to confirm readiness in the event of an incident.

1 Executive summary

Conclusion

Overall conclusion

Overall Conclusion: Strong

Following our review, we can provide a strong level of assurance over the College's business continuity planning and their associated policies, procedures and controls. We have raised several areas of good practice and four observations for consideration. Please see **Section 3: Observations** for further information.

Summary of recommendations

Grading of recommendations

	High	Medium	Low	Total
Business Continuity & Disaster Recovery	0	0	0	0

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

1 Executive summary

Areas of good practice

The following is a list of areas where the College is operating effectively and following good practice.

1.	The College demonstrates strong practice in embedding communications within its business continuity arrangements, including dedicated incident management roles, multiple internal channels, and external support from AG Lockdown to ensure consistent and timely messaging during incidents.
2.	The College maintains a robust schedule of business continuity updates, ensuring the plan remains current and relevant. Regular two-yearly plan reviews are complemented by consistent reporting on Martyn's Law through the Risk Management Committee, providing senior leadership and governors with clear oversight and assurance of ongoing preparedness.
3.	The College demonstrates strong staff awareness and preparedness, combining structured Martyn's Law facilitator sessions, live incident response, QR-code-enabled alerts, and wider business continuity exercises.
4.	The College effectively combines live exercises, scenario-based practice, e-learning, and in-person training to build staff awareness and capability, ensuring a well-prepared workforce for business continuity and incident response.
5.	The College demonstrates a mature and embedded approach to business continuity testing, with structured scenario exercises, documented live incidents, and lessons learned consistently incorporated into updated plans.
6.	The College maintains a robust ICT Disaster Recovery framework, with clearly defined backup topology, tiered data criticality, comprehensive replication between campuses, and documented restore testing, including full-site recovery exercises, demonstrating a proactive and operationally effective approach to IT continuity.

1 Executive summary

The following is a list of areas where the College is operating effectively and following good practice.

7.	The College maintains a comprehensive and well-structured Business Continuity Plan, with clear incident management roles, campus-specific procedures, and both physical and electronic access arrangements, helping to ensure that the Plan is practically accessible and operationally effective for all relevant staff.
8.	The College maintains a well-defined Incident Management Team with clear roles, deputies, and Senior Leadership support, drawing on a wide range of expertise across operations, facilities, health and safety, communications, and governance, that helps to ensure effective management and coordination of incidents.
9.	The College has clearly identified its most critical services, set recovery priorities across campuses, and aligned these with IT disaster recovery and backup arrangements, supporting effective continuity of key operations in the event of a disruption.
10.	The College has effectively embedded business continuity knowledge across its teams, supported by experienced staff, team-based decision-making, external expertise, and campus-specific plans tailored to each site, helping to ensure critical knowledge is shared and operationally effective during incidents.

2 Benchmarking

We include for your reference comparative benchmarking data of the number and ranking of recommendations made for audits of a similar nature in the most recently finished internal audit year.

Business Continuity & Disaster Recovery

Benchmarking				
	High	Medium	Low	Total
Average number of recommendations in similar audits	0	1	2	3
Number of recommendations at Glasgow Kelvin College	0	0	0	0

From the table above it can be seen that the College has a lower number of recommendations compared to those colleges it has been benchmarked against.

3 Observations

The following is a list of observations from our review

- | | |
|----|--|
| 1. | <p>At the time of our review, the College was in the process of introducing a live incident management log to support the coordination of actions during incidents. While existing arrangements include the documentation of incidents, exercises and lessons learned, the proposed enhancement is intended to enable actions to be recorded and tracked in real time, including the assignment of responsibilities, priorities and status updates.</p> <p>The solution is expected to utilise existing tools within the College's Microsoft 365 environment and may be incorporated into future exercises as part of the continued development of the College's incident management arrangements.</p> |
| 2. | <p>The College has recognised that, while digital alert systems and screens are available across campuses, there may be occasions where staff are engaged in practical activities or one to one teaching where their attention is not focused on devices or screens. To address this, the College is developing supplementary alarm mechanisms, including audio and visual cues, to support the existing alerting system and ensure that incident notifications can be recognised quickly in all teaching and operational environments. This reflects a proactive approach to strengthening alerting arrangements and ensuring staff are effectively notified during incidents, even in situations where digital alerts may not immediately capture attention.</p> |

3 Observations

The following is a list of observations from our review

- | | |
|----|--|
| 3. | During our review, we found that the College has a well-established and consistently applied approach to business continuity testing. Planned scenario exercises and live incidents are regularly documented, and lessons learned are actively incorporated into updates to the Business Continuity Plan. Over time, the College has developed in-house capability to design and deliver exercises, building on earlier external support. At the time of our review, exercises are conducted primarily in a structured tabletop format, with clear engagement from Senior Leadership and key operational teams. There is also scope to progressively expand testing to include larger-scale or more immersive simulations involving a broader range of staff, which would further enhance preparedness for complex incidents, including those linked to Martyn's Law. |
| 4. | At the time of our review, we found that the College has mature IT Disaster Recovery arrangements, including backups and replication across on-premises and cloud-based infrastructure, covering server virtualisation, file servers, VLE, intranet, business systems, and in-house applications. The College maintains a comprehensive ICT Disaster Recovery and Business Continuity Plan, with categorised backup schedules and well-tested restoration procedures, including full-site recovery exercises and responses to unplanned events. A programme is underway to migrate workloads to a cloud environment using a structured IaaS approach, supported by external specialist input, with design, security, and staff readiness considerations incorporated. The College should maintain oversight of these arrangements as the migration progresses to ensure continuity is preserved. |

4 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 & Risk Committee meeting.

Audit stage	Date
Fieldwork start	2 March 2026
Closing meeting	9 March 2026
Draft report issued	17 March 2026
Receipt of management responses	19 March 2026
Final report issued	20 March 2026
Audit & Risk Committee	12 May 2026
Number of audit days	5

5 Key personnel

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

Wbg			
Partner	Graham Gillespie	Partner & Head of Internal Audit	gg@wbg.co.uk
Director	Stephen Pringle	Director of Internal Audit	sp@wbg.co.uk
Senior Manager	Scott McCready	Senior Internal Audit Manager	smc@wbg.co.uk
Auditor	Shaun Roddan	IT Auditor	srr@wbg.co.uk

Glasgow Kelvin College			
Key Contacts:	Lisa Clark	Assistant Principal - Estates, Corporate Planning and Governance	lisaclark@glasgowkelvin.ac.uk
	Claire Reid	Head of Facilities and Environmental Sustainability	creid@glasgowkelvin.ac.uk
	Steven Young	Health and Safety Manager	syoun@glasgowkelvin.ac.uk
	Morven Thomson	Cross College Support and	morventhompson@glasgowkelvin.ac.uk

5 Key personnel

		Administration Manager	
	Jason Quinn	Assistant Principal – Digital and Information Services	jquinn@glasgowkelvin.ac.uk
	Michelle Harding	Head of Digital and IT Operations	mharding@glasgowkelvin.ac.uk
Wbg appreciates the time provided by all the individuals involved in this review and would like to thank them for their assistance and co-operation.			

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 & Risk 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.

Purpose of review

The purpose of this review is to assess whether Glasgow Kelvin College (the College) has appropriate business continuity planning and disaster recovery arrangements in place. Our review will consider whether there is sufficient contingency planning in place to address the possibility of an unforeseen event.

This review forms part of our 2025/26 Internal Audit Plan.

Scope of review

Our objectives for this review are to assess whether:

- | There are appropriate business continuity plans and disaster recovery procedures in place at the College.
- | There is appropriate testing and reporting of business continuity and disaster recovery procedures at the College.
- | Appropriate training for business continuity and disaster recovery is being provided to all staff at the College.
- | Roles for business continuity and disaster recovery at the College are clearly defined and are appropriate.

Our approach to this assignment will take 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:

- | Review the current processes in place for business continuity and disaster recovery planning at the College.
- | Review the BC/DR lifecycle with Senior Management and staff involved in planning, testing, and maintenance.
- | Assess the quality procedures and governance arrangements currently in place for business continuity and disaster recovery.
- | Review management reporting relating to business continuity and disaster recovery, including escalation and oversight mechanisms.
- | Evaluate the steps taken by the College to implement BC/DR plans, monitor effectiveness, and capture lessons learned.
- | Examine business continuity and disaster recovery planning, testing, documentation, and processes, including the Business Impact Analysis (BIA) and recovery strategies.
- | Assess the training and awareness programs in place to support business continuity and disaster recovery planning and execution.
- | Review the lessons learned process to ensure findings from incidents or tests are incorporated into future BC/DR planning.

Potential key risks

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

- | Business continuity plans and disaster recovery procedures may not be in place or may be insufficient to maintain critical services during a disruption.
- | Business continuity and disaster recovery procedures may not be regularly tested or reported, resulting in unaddressed weaknesses.
- | Staff may not receive appropriate training, leading to ineffective response during a disruption.

B Assignment plan

- | Roles and responsibilities for Business Continuity and Disaster Recovery may not be clearly defined or appropriate, causing delays or confusion in incident response.