

**WEST COLLEGE SCOTLAND
BOARD OF MANAGEMENT**

**MONDAY 7 OCTOBER 2019 at 3.00 p.m. in
Ardgowan 1 &2, Finnart Street, Greenock Campus**

AGENDA

General Business

1. Welcome
2. Apologies
3. Declaration of Interests
4. Minutes of the meeting held on 17 June 2019
Actions from the minutes

Enclosed	KM
Enclosed	KM
5. Matters Arising from the minutes
(and not otherwise on the agenda)

Main Items for Discussion and/or Approval

6. Budget 2019-20 and 5 Year Financial Forecast

Paper 6	DA
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7. Chief Executive's Report

Paper 7	LC
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 - .1 Business Transformation Plan: Update on progress
 - .2 Greenock Campus
 - .3 Appointment of Chair
 - .4 Voluntary Severance Scheme
8. Strategic Risk Register

Paper 8	DA
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9. Students Association Report

Paper 9	VT
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10. Chair's Report

Paper 10	KM
Paper 10.1	KM
To follow	
Paper 10.2	KM
Paper 10.3	KM

 - .1 Board Membership: Report from Selection Panel
 - .2 Board External Effectiveness Review: Progress Report
 - .3 Review of Committee Structure

Committee Reports

- | | | |
|--|----------------------------|--------------|
| 11. Finance and General Purposes Committee
Minutes of the meeting held on 3 September 2019
.1 Contract Approvals | Paper 11

Paper 11.1 | JH

JH |
| 12. Audit Committee
Minutes of the meeting held on 4 September 2019
.1 Approval of Policies | Paper 12

Paper 12.1 | JM

JM |
| 13. Estates Committee
Minutes of the meeting held on 10 September 2019 | Paper 13 | NA |
| 14. Organisational Development and HR Committee
Minutes of the meeting held on 18 September 2019 | Paper 14 | KM |
| 15. Nominations Committee: Report | Paper 15 | KM |
| 16. Remuneration Committee : Report | Paper 16 | MN |

Items for Information

- | | | |
|--|----------|----|
| 17. Board of Management: Membership, Dates of meetings
and proposed Schedule of Business 2019/20 | Paper 17 | GM |
| 18. Report on Delegated Action Taken since last meeting | Paper 18 | KM |
| 19. Any other business | | |
| 20. Next meeting: Monday 9 December 2019 at 3.00 p.m. at the Paisley Campus
The development session on risk management and developing a risk management
appetite statement will be held at the start of the meeting at 3.00 – 4.00 p.m. | | |

Gwen McArthur
Secretary to the Board

BOARD OF MANAGEMENT

Minutes: 17 June 2019

Present: Keith McKellar (Chair)
Liz Connolly, Nick Allan, Mike Haggerty, Jacqueline Henry, Andrew Hetherington, Jenifer Johnston, Linda Johnston, Lyndsay Lauder, John Leburn, John McMillan, James Morrison, Mark Newlands, Nicole Percival, David Watson, Angela Wilson.

Attending: Stephanie Graham (Vice Principal Educational Leadership), David Alexander (Vice Principal Operations), Alan Ritchie (Director of Finance and Estates), David Gunn (Director Organisational Development and HR), Gwen McArthur (Secretary to the Board), Vanessa Thompson (Student President Elect).

Apologies: Jim Hannigan, Danny Walls.

BM540 STUDENTS ASSOCIATION: REPORT ON ACHIEVEMENTS

Nicole Percival, Student President, and James Morrison, Vice President, provided the Board with a summary of the progress made with the development of the Students Association and the achievements secured over the past two years. The Board was pleased to note that, despite the changes in the Officer Team of the Students Association that had occurred previously, (with the President in both years having stood down part way through the year and Nicole having to step up both times) the Students Association had achieved the Officer Team of the Year 2019 award from NUS Scotland. The Board congratulated the Students Association for this significant and well deserved achievement.

During their term the Student Association Officers had reviewed the Student Association Constitution (which would be considered later in the agenda – see BM551 below) and developed an Operational Plan for the Association. A self-evaluation of the Students Association had been conducted in May and the Board noted a summary of the outcomes. The Board was pleased to note that this was a very positive report which confirmed the areas of strength and identified areas for improvement. It also acknowledged the input and assistance that the Students Association had received from staff and the strength achieved by working in partnership. The aim now was to develop a strategic plan for the Students Association which would ensure future sustainability.

The Chair of the Learning, Teaching and Quality Committee confirmed that the Committee welcomed the progress the Students Association had achieved and was now of the view that the Association was sustainable. The Board welcomed this report and congratulated the Students Association for achieving such a favourable outcome.

BM541 WELCOME

On behalf of the Board the Chair welcomed Vanessa Thompson, the Student President Elect, to the meeting. He also welcomed Alan Ritchie, Director of Finance and Estates, and David Gunn, Director Organisational Development and HR, to the meeting.

BM542 DECLARATION OF INTERESTS

John McMillan and Liz Connolly declared an interest as Trustees of the West College Scotland Foundation. David Alexander declared an interest as a Board member of the Scottish Funding Council (SFC) and Chair of the SFC Audit and Compliance Committee.

BM543 MINUTES

The minutes of the meeting held on 25 March 2019 were approved.

BM544 ACTIONS FROM THE MINUTES

The Board noted the actions taken since the last meeting, and particularly the following:

- i. **Brexit (BM530 viii)** – the small group to consider the impact of Brexit on the College had still to be established as Brexit had not yet happened and there was no clear information on the agreement that might be reached as part of this process. Once further information was available then the small group could be established, as it would have an important role to play during the transition period. The Board would return to this matter.
[Action: KM]
- ii. **Modern Slavery Statement (BM516 v)** – it was noted that all Committees had now considered this statement and were fully supportive of it.

BM545 MANAGEMENT ACCOUNTS (BM506.4)

The Board received the Management Accounts for the nine month period 1 August 2018 – 30 April 2019. The Board was pleased to note that this confirmed that the College was on track to achieve its savings target [REDACTED] by the end of session which would deliver a breakeven underlying operating position for 2018-19, which is the measure of financial outturn used by the SFC and Audit Scotland in assessing the College financial position. The Audit Scotland Report on Scotland's Colleges 2019 (see BM548 below) had already highlighted the financial challenges facing most of the college sector. The Finance and General Purposes Committee had scrutinised the Management Accounts and were satisfied with the assurance these provided. The Committee also paid tribute to the Team for the financial management which had gone into achieving this forecast position despite the challenging financial circumstances. The Board noted this information and **approved** the Management Accounts for the period 1 August 2018 – 30 April 2019.

BM546 BUDGET 2019-20 AND FIVE YEAR FINANCIAL FORECASTS (BM530 iii)

- .1 The Vice Principal Operations presented an overview of the College Budget proposed for 2019-20 and a five year financial forecast. The funding allocation from SFC for 2019-20 showed that core funding had reduced by 3.23% in comparison to the previous year's allocation. This was mainly due to the significant reduction in funding for estates life cycle maintenance and high priority maintenance. Overall the College was facing a challenging financial situation and would require to make savings [REDACTED] in session 2019-20. The budgetary objectives were to achieve an underlying breakeven operating position at the end of session 2019-20 and to use the cash generated from net depreciation to cover the costs involved in meeting loan repayments, prior year pay awards and operating costs.

- .2 The Director of Finance and Estates provided further information on the Budget being proposed for 2019-20 and the five year financial forecasts. It was noted that the College had experienced significant demand on funding to support care experienced students during 2018-19 and had received additional help from the SFC to help meet these costs. It was not known if the College would receive similar financial help in 2019-20 and so this matter had been raised with the SFC. The figures used for alternative income had been kept at the level generated during session 2018-19.

One significant factor was the impact the increase in staff pension costs would have on college finances. The Teaching staff pension costs were due to rise by 34% over the next year and, while the Scottish Government had indicated that extra funding would be provided in relation to this cost increase, it was advised that this was only likely to meet 50% of the additional costs. It was also known that a national job evaluation exercise was underway for all Support staff which had the potential to impact on college budgets – although the Scottish Government and the SFC had advised that funding would be provided to meet these costs once confirmed nationally.

Looking beyond 2019-20 a number of assumptions had been made within the financial modelling for the four following years. However, this was based on the financial forecast return (FFR) assumptions provided by the SFC in June 2018, as the assumptions to be used for the 2019 SFC FFR had yet to be provided – although it was expected that this information would be received from SFC before the end of June 2019. The potential loss of income through the ESF (European Social Fund) due to Brexit – a modelling assumption set by the SFC in their June 2018 FFR guidance - would come into effect from 2022-23, but the full impact of Brexit was unknown at this stage. It was noted that IT spend had been maintained at 2019-20 levels in the financial forecasts. The College had volunteered to work with the SFC to consider how possible future investment in ICT across the sector might be identified in a consistent way and prioritised. The discussion with the SFC had focussed on the role of ICT in supporting the student experience.

- .3 In discussion the following points were raised:
- The Corporate Development Committee was aware of the importance of generating alternative income and the need to increase this but was also aware that the current IT infrastructure was hindering what might be able to be achieved, particularly as employers had high expectations.
 - The Finance and General Purposes Committee was of the view that core IT infrastructure was a priority and the College needed the necessary level of investment to support this in order to provide what was needed for both staff and students, and also in relation to what would be required to meet the employers' needs. It was queried if there would be any benefit in a whole sector approach involving Colleges Scotland in order to deliver on this.
 - The Board was aware that IT was a big issue for the College and was frequently mentioned negatively in the feedback from students.
 - The impact of Brexit was unknown at this stage but it was known that the Minister was looking to reduce public sector spending over the next few years. Public sector organisations were being asked to make savings year on year, which was making them examine their operations and how they currently did things with a view to changing delivery where possible in order to achieve efficiencies.

- Operating the Voluntary Severance (VS) scheme had been a significant contributory factor in achieving savings during 2018-19, and further savings from VS would be achieved in session 2019-20.

The Board was disappointed that it was in a challenging financial position again. However, the Team had delivered on the savings required in 2018-19 and the Board was confident that they would deliver again in 2019-20. The Finance and General Purposes Committee had agreed to hold a meeting in early September to discuss the financial position in more detail once the SFC provided guidance on the financial assumptions that were to be used for the 2019 FFR and associated five year financial modelling.

- .4 In light of the above discussion and on the recommendation of the Finance and General Purposes Committee the Board

RESOLVED that

- i. The budget for the Students Association in session 2019-20 be set [REDACTED];
- ii. The overall College budget for 2019-20 be approved as presented;
- iii. The five year Financial Forecast and the assumptions underlying it be noted as presented, but was likely to be updated in light of guidance provided by the SFC on the assumptions to be used for the 2019 FFR return. **[Action: DA; AR]**

BM547 STRATEGIC RISK REGISTER (BM533)

The Board considered the Strategic Risk Register. Each of the Committees had considered this and had proposed some adjustments. These adjustments were highlighted in the paper. Directional arrows had also been added to the risk register to indicate the direction of travel for each risk identified. The Board was aware that this was a strategic risk register and so would not show much change over the short term as it was looking at the longer term position. It was also aware that all of the Committees reviewed this at every meeting and reported back to the Board. The Board **approved** the revised Strategic Risk Register.

BM548 CHIEF EXECUTIVE'S REPORT (BM530, 516)

The Board received a report from the Principal and Chief Executive, and noted the following matters in particular:

- i. **Business Transformation Plan** – the Principal informed the Board that discussions with the SFC were continuing in respect of the balance and nature of the College's on-line learning offering. Following these discussions the College has agreed to model shifting a degree of provision from Distance Learning outside of its Region to mainstream provision within the Region, in order to better understand the financial implications of this. This would be discussed with the SFC at a meeting the following week.
- ii. **National Bargaining** – the Board was pleased to note that the EIS members had voted to accept the latest offer made by the Employers Association and all strike action and action short of a strike had ceased. The Vice Principal Educational Leadership and Director, Organisational Development and HR, had met with representatives of the local EIS where agreement had been reached that the return of student results would be a priority and the majority should be completed before the start of the summer vacation period. The Board welcomed this information.

- iii. **CITB Contract** – the Board noted that the college sector was currently in discussion with CITB, SQA and Skills Development Scotland to consider the implementation of a new assessment framework for Modern Apprenticeships for the construction industry. The Corporate Development Committee had been reporting to the Board on this matter. The changes being proposed would incur significant additional costs to colleges and so discussions had taken place at a national level to determine the best way forward. A number of options had been considered and the majority of colleges had decided to absorb the additional costs for sessions 2017-18 and 2018-19 intakes but with a staged transition period for a move to a new college contract which would be implemented as soon as possible. The outcome of this was that West College Scotland would contract with CITB for session 2019-20 but was now aiming to become a Managing Agent for Construction Apprenticeships following this. The Board noted this change.
- iv. **Senior Staff Restructuring** – the Board noted that there had been some restructuring of the senior staff within the College and welcomed the information on the new structure.
- v. **Greenock Outline Business Case** – the Board noted a letter from the SFC which confirmed a positive response to the receipt of the Outline Business Case (OBC) for the development of the Greenock Campus. This was currently being assessed by the SFC. In the meantime discussions between the College and Inverclyde Council were continuing. Recently the Council had provided the College with information on possible alternative sites that could be used for a new Campus development. Unfortunately both the Council and the College, through its recent meeting of the Estates Committee, had concluded that none of the alternative sites identified by the Council met the needs of the College and that the East India dock site identified within the College OBC remained as the favoured option. The College now had to consider what its future plans for Greenock were and how these might be delivered.
- vi. **Audit Scotland Report: Scotland's Colleges 2019** – the Board noted the report from Audit Scotland on Scotland's Colleges 2019. This report highlighted the challenging financial position facing the college sector and also the essential role that colleges played in relation to widening access and providing a range of educational opportunities for all. In particular the Board was pleased to note that West College Scotland was one of the few colleges to achieve an increase in both attainment rates and retention rates for full-time further education students.

BM549 STRATEGIC DEVELOPMENTS (BM516)

.1 Corporate Strategy

The Corporate Strategy 2019-2025 had been updated in light of the Board Strategy session held on 17 April 2019. The Board welcomed this updated document and **RESOLVED** that the Corporate Strategy 2019-2025 be approved.

.2 Digital Strategy

The Board considered the Digital Strategy which had been developed by a small team of senior managers working across the curriculum, business development and technology support which would support the new Corporate Strategy. This Digital Strategy set out 6 key strategic aims and the measures that would be taken to show success and achievements. In considering this Strategy the Board was aware of the need for

investment in this area. It was noted that the College was currently working with the SFC in order to identify the current position in the sector regarding the information technology provision in each college and the future needs. This would help the SFC identify the baseline of where the colleges are now, identify future needs and inform the analysis to quantify the gap. The Board welcomed this work as it considered it important to have information on the sector as a whole and a national approach to this matter. There was also a possibility that the College might be able to access other funding opportunities available to the public sector.

It was noted that a more detailed action plan would be developed and further work with staff teams would be undertaken to help determine the priorities. In light of the above discussion the Board

RESOLVED that the Digital Strategy 2019-2025 be approved.

BM550 STUDENTS ASSOCIATION REPORT (BM535)

Nicole Percival, Student President, updated the Board on the activities of the Students Association (see also BM540 above), and particularly the following:

- In order to progress the development of a strategic plan for the Students Association (SA) it was the intention to prepare a business case for a part-time member of staff to work with the SA.
- The SA were working with SPARQS to evaluate the student class representative system. The feedback obtained from students which had been encapsulated within the Education Scotland report had indicated that this area needed improvement.
- The SA were working closely with the Student Services team with regard to the 'Going Further for Student Carers: Recognition Award'. The SA were keen to achieve this award by October, when the SA had planned to hold a 'Care Aware Week'.
- In relation to the 'Healthy Body, Healthy Mind' award the SA had retained a 1 star award. While the SA were proud of their achievement to date they were now working towards improving this and aiming for a 3 star award.
- Finally the SA Team wished to record their thanks to all the staff who had helped and worked with the SA Team during the past 2 years. In particular, the Student President paid tribute to the support received from John Redman, Head of Quality and Professional Standards.

BM551 STUDENTS ASSOCIATION CONSTITUTION

The Board considered the revised Students Association Constitution. This had been updated and revised recently in partnership with the National Union of Students (NUS) Scotland and in line with best practice. The Learning, Teaching and Quality Committee had considered this and were supportive of this revised Constitution. On the recommendation of the Learning, Teaching and Quality Committee the Board

RESOLVED that the revised West College Scotland Students Association Constitution be approved for implementation with effect from 1 August 2019.

BM552 CHAIR'S REPORT (BM534)

The Board noted the Chair's report and particularly the following:

- i. **Board Strategy Session** – the Board noted the report of the outcomes of the Strategy Session held on 17 April 2019.
- ii. **New Scottish Government Deputy Director** – the Chair and the Principal had recently met with Linda Pooley, the new Deputy Director, Colleges, SFC and Young Workforce, Scottish Government, and had shown her round part of the College to allow her to meet with members of staff and students. This had been a very productive meeting.
- iii. **Student Exhibition: Paisley Art & Design End-of-Year Show** – the Chair had attended this event in the Abercorn Centre. This had been an excellent event which showcased the work of the students and highlighted the importance of live client work for the students with companies, such as Keppie Architects and IKEA.
- iv. **Herald Education Awards** – the Board was delighted to note that the College had won the Outstanding Business Engagement in College award at the recent Herald Education Awards. This award recognised the engagement between the College and A C Whyte which had led to the development of the A C Whyte Skills Academy.

BM553 BOARD DIVERSITY AND ACTION PLAN (BM478, 468)

The Board noted the report from the Short Life Working Group (SLWG) on Board Diversity. John Leburn, member of the SLWG, presented the main findings emerging from this report. It was acknowledged that there was a recognised process for Board recruitment. However, there were a number of steps that the College could take before reaching this stage. It was proposed that, in order to widen Board diversity, a stepped approach could be developed which would involve working more closely with the local communities in order to encourage greater participation and, once individuals were interested, providing support in the form of mentoring and development opportunities. Interested individuals could join a committee first, which was currently an option, and then decide if they wished to progress to applying for Board membership.

Discussions had been held with the Chair of the Board and each of the Committee chairs which had led to the development of a process for identifying the skills gap at both Board and Committee level. This information could then be used to develop a recruitment plan for the Board. The SLWG had also proposed improvements to the recruitment literature to make it more accessible and potentially more attractive to individuals who might otherwise not consider such positions. The Action Plan developed by the SLWG had set out a timescale for this process and the SLWG now proposed that this activity should fall within the remit of one of the Board's standing committees, namely the Nominations Committee.

The Board welcomed and **approved** the report and Action Plan from the SLWG on Board Diversity which would now be taken forward by the Nominations Committee.

[Action: KM; GMcA]

BM554 BOARD ANNUAL EFFECTIVENESS REVIEW (BM469)

The Board considered the report on its annual effectiveness review for 2019. It was pleased to note that the feedback had been positive with particular praise for the impact the Students Association had made during the year. Board members had confirmed that

they welcomed the changes made to the structure of the Board agenda and meetings but were of the view that further changes would bring even more benefits. Feedback also indicated that the action being taken in relation to improving equality and diversity should continue to be progressed. Constructive suggestions for future improvements had been proposed and further consideration would be given to these matters. The Board **approved** the Annual Effectiveness Review Report 2019 which would be forwarded to the Scottish Funding Council and published on the College website. **[Action: GMcA]**

BM555 BOARD DEVELOPMENT ACTION PLAN (BM520, 470)

The Board considered its Development Action Plan which had been updated in light of progress made throughout the year, the outcomes of the Strategic session held in April and the feedback obtained from the Board annual effectiveness review. The Board welcomed this Action Plan and noted matters that had been highlighted for further consideration and action as appropriate. The Board **agreed** that the Board Development Action Plan be approved and be submitted to the Scottish Funding Council and published on the College website. **[Action: GMcA]**

BM556 COMMITTEE REPORTS

The Board noted the following reports:

.1 Remuneration Committee

Only Board members were present during discussion of this report.

The Board noted the report from the meeting of the Remuneration Committee held on 21 May 2019 and endorsed the decisions reached by the Committee, namely that the Principal, Vice Principals, Senior Management Team, Heads and Secretary to the Board should receive a pay award consistent with the public sector pay policy, all with effect from 1 April 2019. **[Action: DG]**

The Board was also aware of the need to remain competitive in order to attract and retain the quality of staff it required. It was aware of the difficulties inherent in trying to benchmark such salaries but would wish to return to consider this matter again in 6 months' time. **[Action: MN; GMcA]**

.2 Corporate Development Committee

The Board noted the minutes of the meeting of the Corporate Development Committee meeting held on 7 May 2019. In particular the Board was pleased to note that the College was on track to achieving the alternative income target for the year. The staff were working hard to achieve the overall target set for the year.

.3 Organisational Development and HR Committee

The Board noted the minutes of the meeting of the Organisational Development and HR (ODHR) Committee held on 15 May 2019, and particularly the following:

- i. **HR Annual Report 2018 (BM532; OM246)** – the HR Annual Report 2018 had been revised in light of the discussion at the last meeting of the Board. The Board welcomed this revised report and, on the recommendation of the Organisational Development and HR Committee, **RESOLVED** that the HR Annual Report 2018 be approved.

.4 Nominations Committee

The Board noted the minutes of the meeting of the Nominations Committee held on 21 May 2019, and particularly the following:

- i. **Membership of the Board (NM100, 101)** – it was noted that Lyndsay Lauder would be stepping down from the Board at the end of the current session and so a recruitment process would need to be established. On the recommendation of the Nominations Committee the Board

RESOLVED that a Selection Panel be established and be delegated responsibility for the recruitment of a new Board member, the membership of this Panel to be:

Keith McKellar, Chair of the Board and of the Selection Panel

Jacqueline Henry, Vice Chair of the Board

John McMillan, Senior independent member of the Board

Gwen McArthur, Secretary to the Board

Independent Member (to be identified).

In light of the discussion of the SLWG report (see BM553 above) and on the recommendation of the Nominations Committee the Board also

RESOLVED that the Selection Panel established to recruit a new Board member also be authorised to consider inviting candidates who were not successful in being appointed to the Board at this time, but who the Selection Panel considered would otherwise be appointable to the Board, to be co-opted to a Board Committee.

- ii. **Support Staff Membership of the Board** – it was noted that Danny Walls, the Support Staff member, had resigned from membership of the Board with immediate effect. This meant that an election to identify another member of Support Staff to join the Board would need to be held. However, given that this was the last week of term and most staff would shortly be taking annual leave, it was considered that there should be a delay in initiating the election process until the start of next session. The Board, therefore,

RESOLVED that the provisions of paragraph 2.6.4 of the Articles of Governance be set aside so that the nominations and election process for a member of Support Staff to join the Board could be initiated at the start of next session. **[Action: GMcA]**

- iii. **Membership of Board Committees (NM101)** – on the recommendation of the Nominations Committee the Board

RESOLVED that Graeme Bold's period of membership of the Audit Committee be extended for one further year to 30 June 2020.

- iv. **Board Development Activities (NM103)** – on the recommendation of the Nominations Committee the Board

RESOLVED that a development session on risk management and developing a risk management appetite statement be held in the hour immediately prior to the Board meeting on 7 October 2019. **[Action: GMcA]**

- v. **Board Committee Structure (NM100.2)** – the Board noted that, in light of a number of factors, the Nominations Committee had agreed that a meeting of the Chair and Vice Chair of the Board, the Committee Chairs and the Principal, be held on 20 June

2019 to consider the current committee structure and what changes might be made. This meeting to be facilitated by John Leburn.

.5 Learning, Teaching and Quality Committee

The Board noted the draft minutes of the meeting of the Learning, Teaching and Quality Committee held on 22 May 2019, and particularly the following:

- i. **Applications for Next Session (LM316)** – it was noted that applications for next session for full-time study showed that overall the College was in a good position.
- ii. **Project Action Groups (LM316)** – following a review of the Educational Committees it had been decided that, rather than have formal committees, Project Action Groups would be set up. This was more in line with the revised Corporate Strategy and would allow the establishment of short life working groups to address particular matters more quickly.
- iii. **‘I Reflect’ software (LM316)** – the Board noted that this was an example of good practice and had been recognised as such by external organisations.
- iv. **Curriculum Initiatives in Receipt of Development Funding (LM322)** – the Board was pleased to note a report on the various curriculum initiatives that had been enabled through Development Funding.

.6 Audit Committee

The Board noted the minutes of the meeting of the Audit Committee held on 23 May 2019, and particularly the following:

- i. **Internal Audit Plan 2019-20 (BM536.6; AM422, 406)** – the Board had considered the areas proposed for inclusion in the Internal Audit Plan for 2019-20 at its last meeting. Following this consultation and consideration by the Senior Management Team (SMT) it was noted that the Internal Audit Plan 2019-20 would remain the same as initially proposed.
- ii. **Annual Reviews (AM423, 429)** – the Board noted the positive feedback obtained from the annual reviews of the Audit Committee and of the Internal Auditors.
- iii. **Other Audit Work (AM430)** – it was noted that Wylie & Bisset LLP had been awarded the contract for Other Audit Services for the academic year 2018-19.
- iv. **Closed Session with Internal Auditors (AM431)** – this had been a very positive session which had provided assurance to the Committee.

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[REDACTED]

.7 Finance and General Purposes Committee

The Board noted the draft minutes of the Finance and General Purposes Committee meeting held on 27 May 2019, and particularly the following:

- i. **Contract Approval: Insurance (FPM272)** – following a procurement exercise conducted through APUC, and on the recommendation of the Finance and General Purposes Committee, the Board
RESOLVED that Zurich Municipal be awarded the contract for the provision of insurance services for a period of three years, from 1 August 2019 to 31 July 2022, with the option to extend for up to a further 12 months until 31 July 2023.
- ii. **Draft Scottish Public Sector Cyber Resilience Framework (FPM263)** – it was noted that the Scottish Government had issued a consultation paper on security standards and frameworks in order to aid its development of a Cyber Security framework for all

public sector organisations. The College had responded to this consultation paper and the final version of the framework would be issued by the Scottish Government for implementation during financial year 2019-2020.

- iii. **College Finance System (FPM271)** – it was noted that a deed of termination and settlement had now been signed by both parties. A report on lessons learned from this experience would be prepared for the Committee.

.8 Estates Committee

The Board noted the draft minutes of the meeting of the Estates Committee held on 28 May 2019, and particularly the following:

- i. **Strategic Risk Register (EM343)** – the Estates Committee had proposed amendments to the Strategic Risk Register. These proposals had been considered as part of the discussion of the Strategic Risk Register – see BM547 above – where they had been approved.
- ii. **Disposal of Property (EM353)** – on the recommendation of the Estates Committee, after having sought independent valuations of the property and legal advice, the Board

RESOLVED that the property at Drumry Road, Clydebank, be sold [REDACTED]

[Action: AR]

- iii. **SFC Funding for 2019-2020 (EM338.1)** – the Board was disappointed to note that the SFC funding allocation in support of estates life cycle maintenance and high priority maintenance had been reduced significantly over the previous year. The funding allocated for life cycle maintenance was insufficient to meet the operational costs of the College and so discussions with SFC were underway to seek agreement on how estates priorities for 2019-2020 could be met given the funding provided.
- iv. **Renfrewshire Council Local Development Plan (EM345)** – it was noted that the Head of Regeneration at Renfrewshire Council had been invited to the next meeting of the Estates Committee to discuss the various developments being planned for Paisley Town Centre and Glasgow Airport. All Board members are invited to attend this meeting on Tuesday 10 September 2019. [Action: GMcA]

BM557 BOARD: COMMITTEE MEMBERSHIP, SCHEDULE OF BUSINESS AND DATES OF MEETINGS (BM537)

The Board noted its membership, proposed schedule of business for 2019/20 and the dates of Board and committee meetings for session 2019/20.

BM558 REPORT ON DELEGATED ACTION TAKEN SINCE LAST MEETING

None.

BM559 FAREWELLS

This was the last meeting for Nicole Percival and James Morrison. On behalf of the Board the Chair paid tribute to the hard work and dedication that both Nicole and James had shown over the past 2 years and the progress that they had achieved in the development of the Students Association.

This was also the last meeting for Lyndsay Lauder. On behalf of the Board the Chair thanked Lyndsay for her commitment to the College and the progress that had been

achieved during her time as a member of the Board and particularly her role as Chair of the Organisational Development and HR Committee.

BM560 NEXT MEETING

Monday 7 October 2019 at the Greenock Campus. This will be preceded by a development session on risk management and developing a risk management appetite statement starting at **3.00 p.m.**

GMcA/25.06.19/Final

Board of Management: Meeting of 17 June 2019

Actions from the Minutes

Date of meeting	Min Ref	Matter for Action	Responsible Person	Action Taken	Timescale (where applicable)
17 June 2019	BM544 530 (viii) 501 (iv) 487	Brexit – small group to be established to consider what kind of College there should be in the future and align this with the potential impact of Brexit.	K McKellar	Board to return to this matter once more information was available	Future meeting
	BM546 530(iii)	Budget 2019-20 and 5 Year Financial Forecasts – 5 Year Financial Forecasts noted but likely to be updated in light of guidance provided by SFC.	D Alexander A Ritchie	Board to be updated on this matter at its next meeting in October	October 2019 meeting
	BM553 478	Board Diversity and Action Plan – approved and to be taken forward by Nominations Committee	K McKellar G McArthur	Nominations Committee to progress and report to Board as appropriate	Complete
	BM554	Board Annual Effectiveness Review – to be forwarded to SFC and published on College website	G McArthur	Forwarded to SFC on 27 June 2019 and on College website	Complete
	BM555 520	Board Development Action Plan – to be forwarded to SFC and published on College website	G McArthur	Forwarded to SFC on 27 June 2019 and on College website	Complete
	BM556.1	Remuneration Committee – i. pay award agreed and to be implemented; ii. Committee to meet again in 6 months' time	i. D Gunn ii. M Newlands G McArthur		i. Complete ii Future meeting
	BM556.4	Nominations Committee – i. Nominations process for Support Staff member to be initiated at start of next session; ii. Development session on Risk Management to be held immediately prior to Board meeting in October 2019	G McArthur	i. Outcome of process to be reported to Board at next meeting. ii. Development session to be deferred until December meeting	October 2019 meeting

	BM556.8	Estates Committee – i.Disposal of Property at Clydebank to be completed; ii. Board members to be invited to attend next Estates Committee meeting to hear about Renfrewshire Council Local Development Plan.	i.A Ritchie ii. G McArthur	ii. Invitation issued in August for meeting on 10 September 2019	Complete
		Actions from previous minutes			
25 Mar 2019	BM530 (iv) 516	National Bargaining – letter from Colleges Scotland Employers Association regarding current negotiations not to be circulated to Teaching staff and other Colleges to be asked if they shared the same view on this matter – if so then a joint response be provided to Colleges Scotland.	K McKellar L Connolly	Update on National Bargaining provided to June meeting – BM548(ii).	Complete
	BM532	HR Annual Report 2018 – report to be amended in light of comments made and ODHR Committee to review revised report.	D Gunn	Revised report approved by Board at June meeting – BM556.3(i).	Complete
	BM536.4 (iii) 521, 500	Estates Committee: Greenock Outline Business Case – Board to be kept informed of developments	L Connolly	Update provided at June meeting – BM548(v)	Complete
	BM536.6 (i)	Audit Committee: Draft Internal Audit Plan 2019-20 – further context to this matter to be provided to Board members	A Ritchie	Further information provided and Audit Plan noted by Board at June meeting – BM556.6(i)	Complete
4 Feb 2019	BM515.1 496	Board agenda and structure of meetings – Chair to discuss this further with Board members as part of annual review process	K McKellar	Meeting to discuss committee structure held on 20 June 2019 – BM556.4(v)	October meeting
	BM515.2	Annual Effectiveness Review of Board – Board to be kept informed of developments affecting external review	G McArthur	CDN Board Secretary's Group considered this matter – recommendations to be made to Good Governance Steering Group	October meeting
	BM516(i) 501	Business Transformation Plan – Board to be kept informed of feedback from meetings with SFC	L Connolly	Update provided at March meeting (BM530 (ii)) and further update provided at June meeting (BM548(i))	October meeting

	BM516(iv) 501	Corporate Strategy – publication to be delayed until after the Board Strategic session	L Connolly	Strategic session held on 17 April 2019 – Corporate Strategy to be updated and issued. Corporate Strategy updated and approved by Board at its June meeting – BM549.1	Complete
	BM516(v)	Modern Slavery Statement – each Committee to consider this statement in relation to the areas that fall within their remit	L Connolly G McArthur	This matter has been considered by all Committees and reported in Committee minutes. Board noted this information at June meeting – BM544(ii)	Complete
	BM519(iii) 501	Colleges Scotland Employers Association – meeting with SFC to be arranged to discuss this matter further	K McKellar	This matter has been overtaken by events and SFC aware of situation	Complete
10 Dec 2018	BM495 488.4	Workforce Plan 2019-2024 – implementation plan and action plan to be taken into account in development of People Strategy and monitored by ODHR Committee which will provide progress reports to the Board.	D Gunn		Future meeting
9 Oct 2017	BM378 360	Student Partnership Agreement – now approved and to continue to be developed over time. Board to be kept informed of developments	S Graham	Regular reports on developments provided to Board by LTQ Committee	Complete

TITLE: STRATEGIC RISK REGISTER

Background: Under the Corporate Governance Code, the Board of Management is tasked with ensuring a framework of risk management and control is in place. This paper presents the College Strategic Risk Register for the consideration of the Board of Management and provides an update on the actions taken by the College to embed risk management across the College.

Action: The Board of Management is requested to review and approve the College Strategic Risk Register and in doing so consider:

- The risks included in the register;
- The revised risk rating both pre and post mitigation;
- Whether any other risks should be considered for removal;
- Whether any new risks should be considered for inclusion; and
- The further development of the College risk management framework

Lead: David Alexander, Vice Principal Operations

Status: Open

1. Risk Management Strategy

- 1.1 The West College Scotland Risk Management Strategy was approved by the Board of Management. The College Strategic Risk Register is subject to ongoing review by the Board of Management and all Board of Management Committees, with oversight being provided by the Audit Committee.

2. College Strategic Risk Register Update

- 2.1 The Board of Management approved a version of the risk register at its meeting in June 2019.
- 2.2 Since that meeting the Senior Management Team (SMT) has continued to carry out a review of the strategic risk register. In several instances, the mitigating controls have been updated to take account of items such as the SFC final funding announcement and ongoing interactions with the SFC.
- 2.3 The College Senior Management Team consider that the operating environment within which the College functions has not materially changed since the risk register was reviewed by the Board of Management in June 2019. Thus:
- No risk score has been amended; and
 - No strategic risk has been removed or no new risks have been included.
- 2.4 After consideration by the Senior Management Team, the Strategic Risk Register has been presented to the following Committees:
- Finance and General Purposes – 3 September
 - Audit – 4 September
 - Estates – 10 September
 - OD & Human Resources – 18 September
- 2.5 Each Board Committee is requested to:
- review the risks included within the register;
 - the risk ratings both pre and post mitigation;
 - whether any other risks should be considered for removal; and
 - whether any new risks should be considered for inclusion.
- 2.6 After due consideration of the business undertaken by the Committee and the operating environment in which the College functions there were no further changes proposed by the Committees to the risk or mitigating actions.

- 2.7 Following discussion at Audit Committee the Dashboard report has been amended to include a direction of travel indicator for the top five risks to show the direction of travel compared to the same time the previous year. This is to allow members to note how the material risks faced by the College have moved over the year. This complements the direction of travel indicators which were included for each detailed risk to show the direction of travel since the last review period.
- 2.8 The detailed risk register has been aligned to the new Corporate Strategy and this alignment will be refined over the course of 2019-20. A copy of the current Strategic Risk Register is attached to this report.

Development of the College Risk Strategy

- 2.9 The Board of Management risk management action plan has been implemented over the course of the previous year with the following actions remaining:
- The introduction of a target risk score
The Audit Committee view was that further development and integration of existing risk management processes was required prior to this matter being taken forward. This action will continue to be reviewed over the course of 2019-20
 - The introduction of a formal risk management appetite statement
The Board of Management has previously considered that further information around risk and opportunity across a range of College activities might help provide a better understanding of the risk management appetite. The December 2019 Board of Management meeting will commence with an externally facilitated session designed to inform the Board on the various options in relation to the development of a risk appetite statement. The objective of the session is to develop a risk appetite statement for incorporation into the overall Risk Management Strategy.

3. Conclusion

- 3.1 The Board of Management is requested to review and approve the Strategic Risk Register and in doing so consider:
- The risks included in the register;
 - The revised risk rating both pre and post mitigation;
 - Whether any other risks should be considered for removal;
 - Whether any new risks should be considered for inclusion; and
 - The progress made in further developing the College Risk Management framework.



Strategic Risk Register

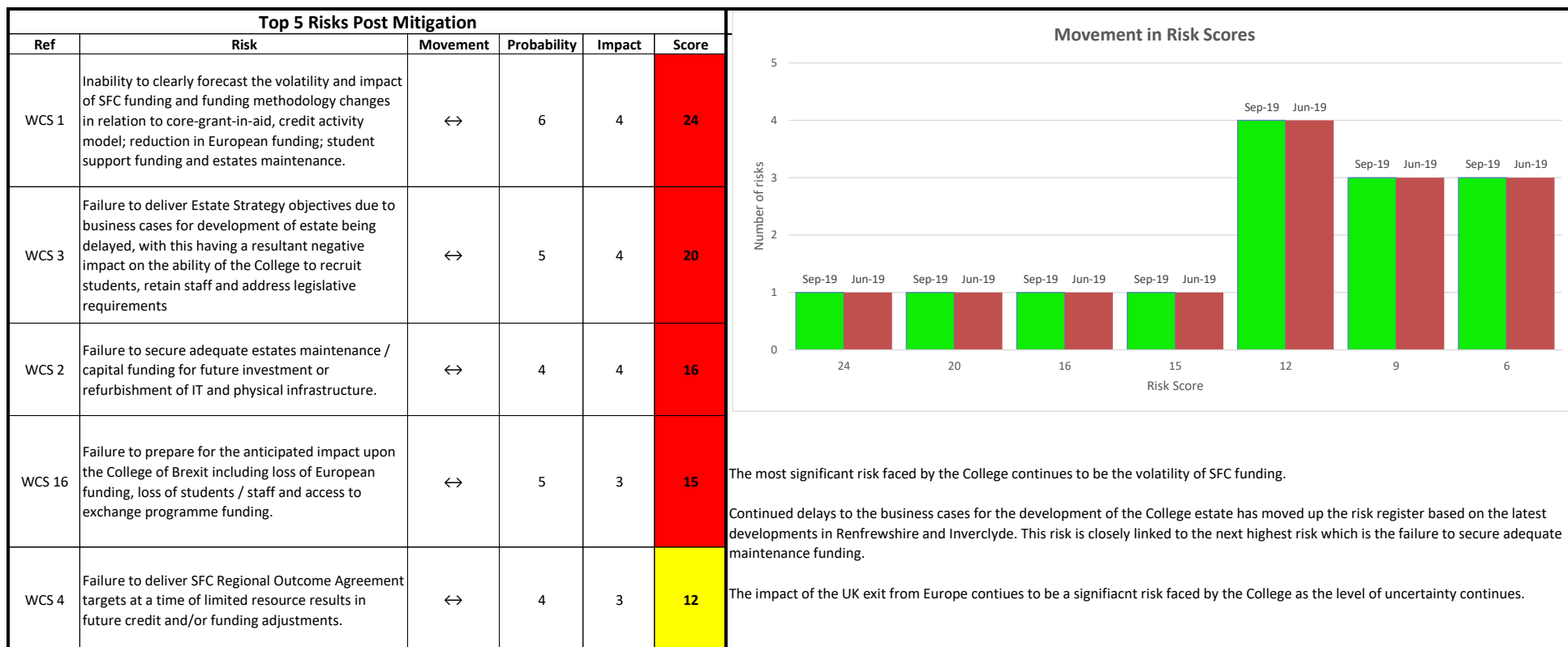
Strategic Risk Register Dashboard Report

Risk register review period:

Aug-19

Board / Committee review period:

Sep-19



WEST COLLEGE SCOTLAND STRATEGIC RISK REGISTER

				Assessment pre mitigation			Mitigating Controls and Actions	Assessment post mitigation				Movement since last review	Executive Responsible
Risk No.	Risk Reference	Strategic Objective	Risk	Risk Probability	Risk Impact	Risk Score		Risk Probability	Risk Impact	Risk Score	Previous Score		
1	WCS 1	1.1 1.3 3.1 3.4	Inability to clearly forecast the volatility and impact of SFC funding and funding methodology changes in relation to core-grant-in-aid, credit activity model; reduction in European funding; student support funding and estates maintenance.	6	4	24	1) Detail of 2019-20 final SFC funding received 17 May 2019. This shows a level of core funding which is not greater than in 2018-19; a change in the estates funding methodology which will impact upon College operations; and no specific funding in order to meet the cost of any annual pay increases. The College will continue to face a number of financial challenges arising from this settlement. 2) 2019-20 budget approved in conjunction with 5 year future financial scenario planning and detailed assumptions. 3) Transformation Plan submitted to SFC in order to address future financial challenges. Following submission of revised plan in November 2018 the College continues to engage with the SFC on the implementation of the plan. 4) Robust financial forecasting including production and review of monthly management accounts. 5) Estates Strategy including objective to improve / rationalise the College estate utilising estate maintenance funding. 6) Financial modelling of next 5 years being undertaken based upon SFC FFR assumptions. Allows the College to identify funding gap and to continue to take necessary steps to address the gap. 7) Commercial Development Group reporting to Corporate Development Committee with focus on maintaining and growing income including ESF activity. 8) Robust monitoring of current and future curriculum delivery plans (CMAP) including staffing requirements. 9) Active College representation and involvement in external SFC review groups - funding methodology, CDN Finance network; credit review; access and inclusion; rural and remoteness premium and student funding.	6	4	24	24	↔	VP Operations / VP Educational Leadership
2	WCS 3	1.2 3.1 3.3 3.4	Failure to deliver Estate Strategy objectives due to business cases for development of estate being delayed, with this having a resultant negative impact on the ability of the College to recruit students, retain staff and address legislative requirements	6	4	24	1) The College continues to actively engage with SFC, SFT and other key stakeholders re investment and in relation to implementation of national estate condition survey review and future direction of travel. 2) Approved Estate Strategy highlights required estate investment for consideration by SFC and Scottish Government. 3) Draft Outline Business Case for Paisley estate submitted to the SFC. Response received from SFC in regard to Paisley OBC and the College is currently engaging with partners in relation to the collaborative aspects of any proposals. 4) Outline Business Case for Greenock updated and submitted to the SFC in December 2018 following Board of Management approval. SFC have confirmed receipt and willingness to work with College to take forward OBC 5) Inverclyde local development plan now finalised leading to restrictions on future College developments on preferred site. College continues to engage with partners to find suitable way forward. 6) Ongoing prioritisation of College estates funding in a way which links to priority projects, with update reports being provided to each meeting of the Board of Management Estates Committee. 7) Ongoing involvement in sector/SFC capital working group enables WCS input to ongoing discussions in relation to SFC estates maintenance allocation methodology and capital allocations. 8) Ongoing engagement with SFC	5	4	20	16	↔	VP Operations

				Assessment pre mitigation			Mitigating Controls and Actions	Assessment post mitigation				Movement since last review	Executive Responsible
Risk No.	Risk Reference	Strategic Objective	Risk	Risk Probability	Risk Impact	Risk Score		Risk Probability	Risk Impact	Risk Score	Previous Score		
3	WCS 2	1.1 1.2 2.3 4.1	Failure to secure adequate estates maintenance / capital funding for future investment or refurbishment of IT and physical infrastructure.	5	4	20	1) College Estate Strategy submitted to SFC, reviewed by internal audit and subject to annual review on implementation and progress by Board of Management Estates Committee. 2) 2019-20 SFC funding for estates has seen a reduction in lifecycle maintenance and priority maintenance funding. The continued reduction in lifecycle maintenance does present an operational challenge as financial modelling assumed flat cash settlement in future years. There is also a need to understand the basis of estates maintenance funding allocation beyond 2019-20. 3) WCS participation in SFC/sector Capital Working Group. 4) Outline Business Case for Greenock updated and submitted to the SFC in December 2018 following Board of Management approval. SFC have confirmed receipt and willingness to work with College to take forward OBC. Implications of recently published Inverclyde local development plan now being considered and College is engaging with 5) Outline Business Case for Paisley submitted to the SFC and feedback received from the SFC. Discussion with partner organisations remains ongoing.in relation to the collaborative aspects of the proposals, and an updated OBC for Paisley will require to be submitted to SFC. 6) SFC have issued the outcome of a national College estate condition survey. College has discussed and obtained agreement with SFC as to how the 2018-19 high priority maintenance funding will be applied.	4	4	16	16	↔	VP Operations
4	WCS 16	1.3 2.2 3.1 3.4	Failure to prepare for the anticipated impact upon the College of Brexit including loss of European funding, loss of students / staff and access to exchange programme funding.	5	3	15	1) College undertaken review of possible impacts of Brexit on operations. Output has been discussed at senior management level and with relevant Board Committees. To note potential impact on EU funded programmes (Modern and Foundation Apprentices). 2) The College is a member of a sector working group on Brexit allowing access to latest intelligence specific to the College sector. 3) Close liaison with SFC on future funding arrangements post 2021 when current ESF funding is due to end.	5	3	15	15	↔	Principal
5	WCS 4	1.2 2.1 3.2 3.4	Failure to deliver SFC Regional Outcome Agreement targets at a time of limited resource results in future credit and/or funding adjustments.	5	4	20	1) Positive engagement with SFC in relation to ROA development and monitoring for current and future years. 2) Effective internal monitoring and reporting procedures in place, including operational planning process, and monitoring through the Board of Management and all Committees. 3) Good working relationships with local authorities and school head teachers in order to access attainment funding in support of College activities in this area. 4) Detailed curriculum development planning and review process which has been subject to positive review by internal audit. 5) Blended approach to delivery of teaching and learning including online learning allowing College to address changes in recruitment and delivery. 6) Curriculum offering is reviewed to ensure employer and student needs are met and appropriate courses delivered. 7) The Board of Management considered the College ROA during the meeting in March 2019, and considered the outcomes that will be delivered at that time. The ROA 2019-20 was submitted to the SFC and subsequently approved on 29 July 2019.	4	3	12	12	↔	Principal

				Assessment pre mitigation			Mitigating Controls and Actions	Assessment post mitigation				Movement since last review	Executive Responsible
Risk No.	Risk Reference	Strategic Objective	Risk	Risk Probability	Risk Impact	Risk Score		Risk Probability	Risk Impact	Risk Score	Previous Score		
6	WCS 5	1.1 1.2 1.3 3.4	Impact and outcome of National Pay Bargaining for both teaching and support staff.	6	3	18	1) WCS representation and involvement in national college Employers Association and national joint negotiating committee (NJNC). 2) Financial impact assessment / planning scenarios with the financial impacts of National Bargaining subject to ongoing discussion with the SFC. National Bargaining funding distribution for 2019-20 amended in year and agreed with Colleges Scotland and the Scottish Funding Council. 3) 2018-19 final SFC funding included an allocation in order to meet the cost of national bargaining. 4) Business Continuity Planning considers impact of industrial action, with specific plans in place. 5) Local trade union consultation and negotiating committees for support and teaching staff continuing to meet on an ongoing basis in order to maintain positive College industrial relations. 6) Robust college sector and WCS communications plan including liaison with Student Association on impact on students. 7) Local workforce planning arrangements subject to positive internal audit review (June 2018). 8) Support staff pay award until September 2019 been settled.	6	2	12	12	↔	Principal
7	WCS 6	1.1 2.1 3.3 4.2	Failure to maintain or acquire and use IT systems and infrastructure to support the digital ambitions of the College.	4	4	16	1) IT Strategy, Policies / Procedures and system access processes in place. The Finance and General Purposes Committee have reviewed progress achieved in delivering the IT Strategy as at Year 2 and are satisfied with progress given the level of resource available to the College - although recognise that the College digital ambitions are being constrained by the level of SFC funding. Strategic dialogue with the SFC is ongoing in an effort to secure the required level of funding in order to deliver College digital ambitions. 2) Staff and student feedback and evaluation procedures in place. 3) IT Contingency Plan in place with regular review. 4) College has achieved Cyber Essentials Plus accreditation as required.. 5) College Digital Strategy has been reviewed by SMT and sets out digital ambitions for the College. To be presented to the Board for approval in coming period. 6) Funding bid developed based for submission to SFC to ensure IT systems are fit for purpose. Initial discussions have been held with SFC on IT condition survey and College offered to be model for such a survey. 7) College HR department providing support to staff undertaking national support staff job evaluation, with role profile documentation to be completed by 28 June 2019.	4	3	12	12	↔	VP Operations
8	WCS 15	1.1 2.1 3.4 4.3	Failure to deliver the financial and/or non-financial objectives outlined in the College Transformation Plan "Future Proofing Our College".	4	4	16	1) Transformation Plan has been developed by the College and discussed in detail with the SFC. 2) Board of Management have approved the Plan and financial objectives are monitored through the F&GP Committee. Board of Management monitor overall plan achievement. 3) Projects have been initiated in line with the plan and are directed by a specific member of SMT. 4) Detailed delivery plan has been created to allow milestones to be set and monitoring to take place. 5) College on track to meet financial objectives outlined in the plan during 2018-19. However future years remain challenging and the plan will require to be further reviewed/updated. SFC indicative funding figures have been published and have crystallised the financial challenges faced by the College. No guidance on future years.	3	4	12	12	↔	Principal

				Assessment pre mitigation			Mitigating Controls and Actions	Assessment post mitigation				Movement since last review	Executive Responsible
Risk No.	Risk Reference	Strategic Objective	Risk	Risk Probability	Risk Impact	Risk Score		Risk Probability	Risk Impact	Risk Score	Previous Score		
9	WCS 9	1.2 1.3 3.4	Inability to maintain positive staff relations	4	3	12	1) Approved Workforce Plan in place to address Audit Scotland recommendations. 2) Internal audit on internal communications reported that that the College had effective internal communication channels to staff and students 3) Clear procedures for communication and engagement with Trade Unions and College staff. 4) Staff engagement session and staff surveys undertaken on regular basis allowing issues to be addressed early. 5) Local trade union consultation and negotiation committees in place for teaching and support staff. 6) College is supportive of staff involvement in national job evaluation scheme and has open dialogue with Unions as to how staff can be supported.	3	3	9	9	↔	Principal
10	WCS 11	1.1 2.3 3.1 3.2	Ability to generate consistent levels of alternative income or to grow alternative income streams.	4	3	12	1) Alternative Income Strategy currently under development in response to requirements of Transformation Plan objectives. Strategy will be subject to review by Corporate Development Committee. 2) Annual financial budget agreed and monitored by the Corporate Development Committee. 3) Strong partnerships with local employers and stakeholders. 4) Operation planning process used to identify potential opportunities for income growth. 5) Adaption of course portfolio to meet student / employer needs. 6) Financial strategy and planning in place to address resource needs and redirect as required. 6) Review of resources required within Curriculum Development Planning procedure. 7) Commercial Development Group meets bi-monthly to review and address challenges of delivering alternative income.	3	3	9	6	↔	VP Educational Leadership
11	WCS 7	1.2 3.4	Inadequate business continuity / cyber resilience planning leading to material interruptions to service delivery.	3	4	12	1) Business Continuity webpage created to inform all staff and stakeholders of College approach to business continuity planning. 2) Business Continuity Plan available to relevant staff on OneDrive along with associated documents to assist during any incident (including creation of "battle boxes"). 3) College has achieved Cyber Essentials Plus accreditation and has in place IT recovery plans as part of overall business continuity planning process. 4) Training and scenario planning sessions undertaken on a quarterly basis with involvement from both teaching and support staff. Externally facilitates and lessons learned shared with staff. 5) Adequate insurance cover to assist in recovery after an incident. 6) Risk assessment process well embedded at strategic level now being further embedded at operational level.	3	3	9	9	↔	VP Operations

				Assessment pre mitigation			Mitigating Controls and Actions	Assessment post mitigation				Movement since last review	Executive Responsible
Risk No.	Risk Reference	Strategic Objective	Risk	Risk Probability	Risk Impact	Risk Score		Risk Probability	Risk Impact	Risk Score	Previous Score		
12	WCS 10	1.3 2.3	Failure to embed Workforce Plan resulting in lack of appropriate resources and skills being developed to achieve College strategic objectives and outcomes	4	3	12	1) College Workforce Plan and associated reporting requirements approved by the Board of Management. 2) Detailed teaching resource planning through use of curriculum mapping tool (CMAP). 3) Resourcing of support staff structures reviewed on an ongoing basis by Executive Management Team to ensure alignment with operational and strategic priorities. 4) Itrent HR and payroll software developed to provide staff data and reports including an establishment report. 5) Professional Development Policies are aligned to strategic priorities. 6) Roll out of College CPD review process is ongoing and supports succession planning, leadership development and assists in mitigating the impact of the loss of key staff. 7) Internal audit reviewed workforce planning as part of 2018-19 audit plan. Internal audit recommendations were subject to final report from OD&HR Committee to the Audit Committee in May 2019 allowing the closure of the issues raised. 8) Staff skills survey being developed to allow the College to identify and address future skills gaps.	3	2	6	6	↔	Principal
13	WCS 13	3.4 4.1	Inability to ensure a holistic response to data and information governance, including compliance with the General Data Protection Regulations (GDPR).	3	3	9	1) Data Protection Officer (DPO) appointed in compliance with legislative requirement. DPO is part of shared services agreement allowing the College to work collaboratively with other institutions. 2) DPO is undertaking review of departmental compliance with data legislation and addressing issues as required. Reports provided to working group on progress and issues identified / rectified. 3) College has a working group covering GDPR and data management issues with involvement from senior staff. The Group has oversight of the information risk assessment process. 4) Data Protection concepts and principles embedded within the operations of the College.	3	2	6	6	↔	Principal
14	WCS 14	1.2 3.4	Normal business activities are unduly affected due to the complexity of sequencing estates investment works	4	2	8	1) Detailed resource planning involving all relevant parties at stage to address any issues in advance of project start date. 2) Staff resource increased during 2018-19 to address the significant increase in level of expenditure and complexity of projects being undertaken. 3) Well embedded project / estate team with knowledge base that allows issues to be identified and addressed. 4) use of external professional advisors to provide oversight and critical review of proposed activities / plans.	3	2	6	6	↔	VP Operations

Corporate Strategy 2019-2025

Priorities		Objectives	
(1) Personalisation	We will deliver the skills solutions that employers are looking for and the learning outcomes that students want,	1.1	Developing Bespoke solutions, Fast
		1.2	Raising Aspirations and Enabling Students to achieve outcomes
		1.3	Recruiting and Retaining Talented People
(2) Collaboration	We will build the immersive relationships and make the connections that enhance value for	2.1	Creating Learning Pathways
		2.2	Immersive Partnerships
		2.3	Delivering Inclusive Growth
(3) Agile and Adaptive	We will develop the capability to respond to shifts in demand and seize new opportunities quickly' putting in place specialist delivery capabilities.	3.1	Developing new income opportunities
		3.2	Developing the Market
		3.3	Utilising Specialist Capabilities
		3.4	Managing for Resilience
(4) Digital	We will ensure that the College has the digital capacity and capabilities to deliver in a modern economy.	4.1	Using Data
		4.2	Inspirational Learning
		4.3	Developing the skills base

Tolerance Matrix and Scoring Grid

Probability	Score	Impact	Score
Almost Certain	6	Catastrophic	4
Very Likely	5	Critical	3
Likely	4	Marginal	2
Possible	3	Negligible	1
Very Unlikely	2		
Remote Chance	1		

Risks - Probability x Impact Score Grid

Almost Certain 6	6	12	18	24
Very Likely 5	5	10	15	20
Likely 4	4	8	12	16
Possible 3	3	6	9	12
Very Unlikely 2	2	4	6	8
Remote Chance 1	1	2	3	4
	Negligible 1	Marginal 2	Critical 3	Catastrophic 4

Risk Score - Direction of Travel

- ↔

Post mitigation risk score after review has remained static compared to the last time the register was reviewed.
- ↑

Post mitigation risk score after review has increased compared to the last time the register was reviewed.
- ↓

Post mitigation risk score after review has reduced compared to the last time the register was reviewed.

Board of Management

7 October 2019

Paper 9

TITLE: STUDENTS ASSOCIATION REPORT

Action: The Board is invited to consider and note the report from the Students Association on recent activities.

Lead: Vanessa Thompson, President, Students Association

Status: Open



The Student Association Board October 2019

The Students' Association {SA} continues to work for the benefit of all students. At the time of writing, The SA consists of Student President– Vanessa Thompson and three Vice Presidents at Paisley – Chris Bett, at Clydebank – Stefana Margarint and at Greenock Priya Kaur. We are currently recruiting Executive Officers throughout the campuses, we have some awaiting disclosure clearance, but we also have 2 returning student officers from last year in Greenock, these are our LGBT+ officer and our carers officer. We will continue to recruit more officers were possible.

The SA hosted Freshers 2019 the first week of the academic year, this was an exciting time for the SA as it was our first big event within the college. We feel this was a good way of getting our profile raised at the first available opportunity with the new and returning students. Paisley campus has previously been a challenge however, during handover we worked hard to ensure this was better and received feedback such as: “there was a buzz about the place”, “this is the best freshers they’ve had for a while”, “very busy and enjoyable atmosphere”. We tried the gym hall for Clydebank however, this wasn’t an ideal location and it will be advised to change for next year but unsure of a suitable location which can hold 10+ stalls. Overall, it was a well engaged and enjoyable experience for all.

The SA are working on the development of the Student Association in partnership with NUS Scotland and the quality department. We are doing this through the recruitment of a part time staff member for the SA, this is something we are continuing to work on with the Assistant Principal Performance and Skills. From previous discussions we are aware that the Executive team have agreed that the SA are now in a position where having a dedicated staff member is necessary however, the financial side of this is still being discussed. The strategic plan for 2019-2022 has been finalised by the previous President and NUS Scotland, it is now with the Marketing department awaiting the final stages to be complete.

The SA and the Assistant Principal Performance and Skills have been looking at ways to further develop the class rep structure within WCS. We have had many discussions around how this can look, and the SA have a further meeting with SPARQS regarding support in ensuring this structure will be effective. Currently, we are looking to recruit class reps as normal following feedback from CQLs who attended our Internal Department Meeting but changes will be made throughout the year which perhaps may not take full effect until the next academic year.

The SA are working work the Health and Wellbeing advisor to plan World Mental Health Day which is the 10th October. We will be wearing t-shirts that inform students that if they need to have a chat we are here as well as having a separate room where students can come and have a cup of tea whilst getting more information. This is one of the many projects we are in discussions with the Wellbeing advisor about running, more health and wellbeing events will be running throughout the year.

The SA has continued to have internal department meetings every month and this involved representation from various departments within the college. This is also a great way to work in partnership with other departments on the issue and campaigns that the SA are planning to run. The last meeting of the 18/19 academic year we invited along heads, SMT and executives and this is having been a positive boost to this meeting and will be continued throughout the year. We plan to send out request for agenda items at least 2 weeks in advance and then have an agenda available 1 week in advance to allow people to see if it is suitable for them to come.

Any questions are welcome.

TITLE: REVIEW OF COMMITTEE STRUCTURE

BACKGROUND: A meeting to review the current committee structure was held on 20 June 2019. At this meeting it was noted that the current committee structure had been in place for 6 years. However, it was acknowledged that agendas were becoming increasingly large and meetings, particularly Board meetings, were taking longer to discuss the business before them. There is a clear view that the committees serve the Board well and are doing an excellent job of scrutinising the detail before matters are brought to the Board for final decision.

The Corporate Strategy has just been revised and approved by the Board in June. This provides a well defined strategy focussed around 5 key areas: skills solutions and learning outcomes; new delivery partnerships; delivery capability; digital capacity and capability; and financial sustainability. The view emerging from the meeting was that the structure should remain much the same as is with the committee focus on scrutinising the rationale behind key recommendations and/or decisions; key actions required by the Board to be listed and will be the focus for discussion at the Board meeting; and greater emphasis on pre-reading before the meetings. The focus at the Board meetings would be on the key issues affecting the College performance and delivery and updates on key strategic initiatives, as well as consideration of governance matters. It is the intention that this change in focus should allow the Board to concentrate on key matters. Further information on these proposals is contained in the attached paper.

ACTION: The Board is invited to consider the attached report and the proposals contained therein.

LEAD: Keith McKellar, Chair of the Board of Management

STATUS: Open

Committee Structure Review

West College Scotland, June 2019

Contents

- Context
- What is working
- Priorities moving forward
- Committee focus
- Board focus
- Next steps

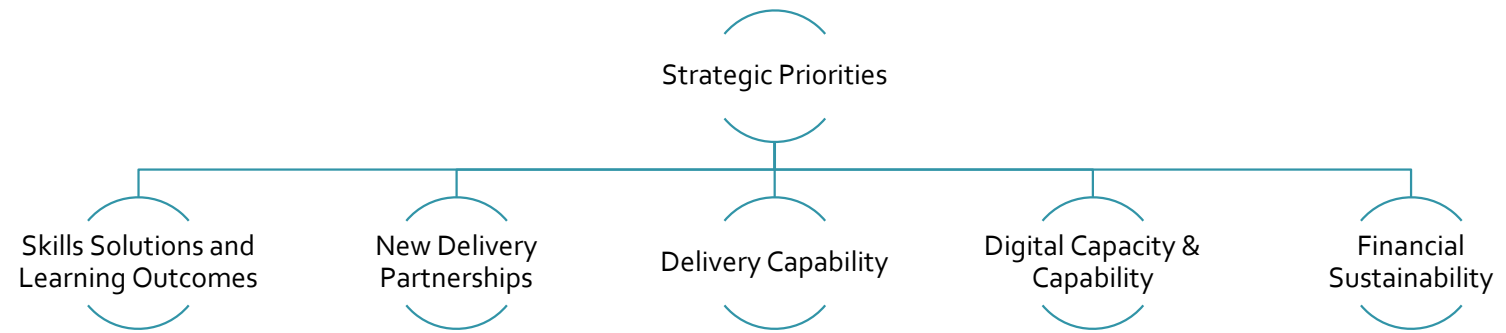
Context

- Current board and committee structure has been in place for 6 years
- Structure has served the College well throughout a busy period of consolidation and government governance changes
- The College has embarked on the implementation of a new and exciting strategic plan
- Additionally, significant risks are impacting the College's financial sustainability and ability to invest behind the transformational programmes required ensure that the College remains relevant to the needs of the (multiple) communities its serves
- So, it is appropriate to review the current board and committee structure and ensure that it is fit for purpose
- A meeting of the committee chairs, board chair and Principal was held to discuss whether a different board/committee structure was required to better serve the strategic aims of the College.

What is working?

- Board agendas are becoming increasingly large and meetings are regularly lasting 50-100% longer to ensure that adequate time is provided to discuss key issues.
- The introduction of separate sessions on specific topics prior to the Board meeting was felt to be particularly effective. Allowing important issues to be discussed fully.
- Committees are also busy, and it was felt that they are doing an excellent job scrutinizing the detail, and ensuring the (high) quality of recommendations presented at Board level.
- The structure of the committees was felt to strike the right balance between scope and scrutiny. Therefore there was little need to change committee briefs.
- An separate advisory council to drive strategy was considered but felt that it would distance board members from strategy and possibly create another (unwanted) layer of administration.
- The general view was the agenda/content of the Board and committee meetings could be better aligned to provide greater priority to the big strategic issues that the College faces.

Priorities moving forward



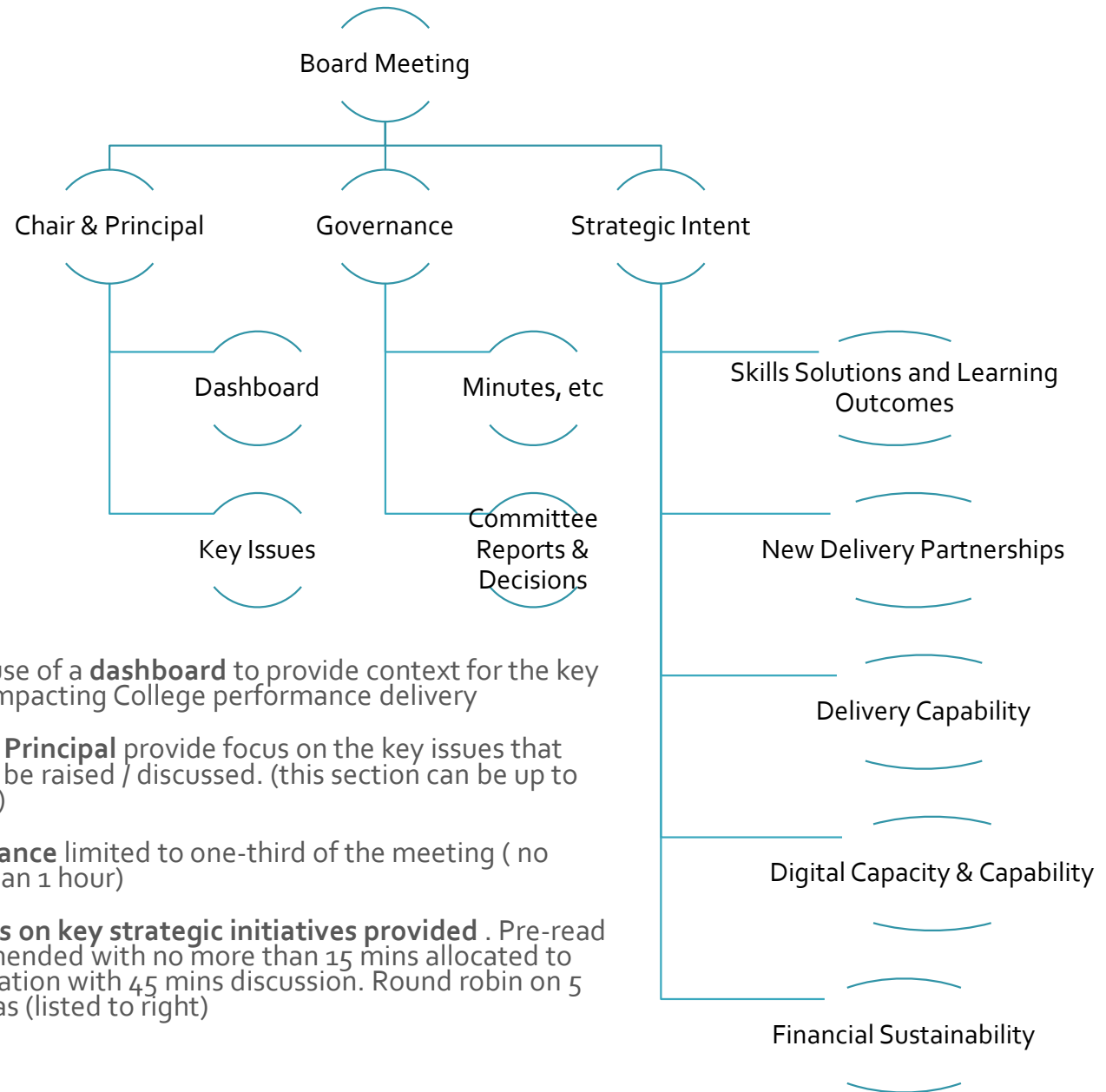
- West College now has a well defined strategy which is focused around 5 above core areas
- The Executive are now fully engaged in a series of initiatives to both explore and implement the key deliverables of this strategy
- It was felt that board meetings would benefit from providing updates on the approach and progress towards implementing its key deliverables.
- This would have two distinct benefits (1) Better opportunities to engage the assistance/views of Board members at an early stage in formulation (2) Early Input where further prioritization / re-alignment of resources is required (3) Provide Board members with improved context when operating in committees or SLWGs

Committee Focus

- It was agreed that this should stay very much the same with the focus very much on scrutinizing the rationale behind key recommendations / decisions.
- Board papers should remain very similar to the existing ones, with a mix between highlighting the key options discussed and the rationale behind key recommendations.
- Key actions required by the board should continue to be listed and will be the focus at Board Meetings.
- However, more emphasis will be placed on the papers being read prior to meeting and discussions being limited to additional explanations or further information required by Board members prior to approving any recommendations.
- This will help to change the focus of Board meetings away from day-to-day governance to the key strategic issues that are vital for the College to remain a sustainable entity.

Board Focus

(upgrade to a 3 hour meeting)



- Better use of a **dashboard** to provide context for the key issues impacting College performance delivery
- **Chair & Principal** provide focus on the key issues that need to be raised / discussed. (this section can be up to an hour)
- **Governance** limited to one-third of the meeting (no more than 1 hour)
- **Updates on key strategic initiatives provided** . Pre-read recommended with no more than 15 mins allocated to presentation with 45 mins discussion. Round robin on 5 key areas (listed to right)

Next Steps

- TBC.....
- Review output with Executive team
- Seek further input from Committee Chairs
- Recommended that next board meeting adopt new format.

TITLE: **FINANCE AND GENERAL PURPOSES COMMITTEE**
Draft Minutes of the meeting held on 3 September 2019

Action: There are 2 recommendations and a number of matters for report.

1. Recommendations

FPM277 Committee Remit – the Committee

RECOMMENDS to the Board that the remit be amended as follows:

Under the heading 'Procurement', the third bullet point be amended to read 'Approve the awarding of contracts between the values of £250,000 and £500,000'.

The remit is attached at Annex 1 with the proposed changes highlighted.

FPM288 Contract Approvals – the Committee

RECOMMENDS to the Board that the following contracts be awarded:

- i) Supply of Ambient and Chilled Food and Associated Products to 3663 Bidfood with the contract operating from 1 October 2019 to 30 September 2022, and there being an option to extend for up to a further 12 months, [REDACTED].
- ii) Supply of Catering Sundry Products to Nisbets PLC operating from 1 October 2019 to 30 September 2022, and there being an option to extend for a further 12 months until 30 September 2023, [REDACTED].

See also the information provided in Paper 11.1

2. Matters for Report

FPM279 2019-20 Budget and Financial Strategy – in light of the guidance issued by the SFC the Committee was pleased to note that the 2019-20 Budget approved by the Board in June 2019 was robust and in line with the guidance and financial assumptions issued by SFC and did not need to be reconsidered. The Committee considered the financial strategy in light of this SFC guidance and the 2 options that had been provided. The Committee indicated its preference for Model 2. This matter will have been discussed in depth at agenda item 6.

[REDACTED]

Lead: Jim Hannigan, Chair, Finance and General Purposes Committee

Status: Open, except for FPM287 & 288 which are restricted items as they are deemed to be commercially sensitive.

DRAFT

FINANCE AND GENERAL PURPOSES COMMITTEE

MINUTES: 3 September 2019

Present: Jim Hannigan (in the Chair), Liz Connolly, John Leburn.

Attending: David Alexander (Vice Principal Operations), Alan Ritchie (Director of Finance and Estates), Vivienne Mulholland (Head of Finance and Student Funding), Gwen McArthur (Secretary to the Committee).

Apologies: Keith McKellar, Angela Wilson, David Black.

FPM274 DECLARATION OF INTERESTS

Jim Hannigan declared an interest as NMIS Programme Manager, Skills Development Scotland. Liz Connolly declared an interest as a Trustee of the West College Scotland Foundation. David Alexander declared an interest as a Board member of the Scottish Funding Council and as Chair of the Scottish Funding Council Audit and Compliance Committee.

FPM275 MINUTES

The minutes of the meeting held on 27 May 2019 were approved.

FPM276 ACTIONS

The Committee noted a report on actions taken since the last meeting, and particularly the following:

.1 Information Technology: SFC Strategic Funding (FPM258.4)

The Vice Principal Operations informed the Committee that the Scottish Funding Council (SFC) was now to work with the College Development Network (CDN) to establish a Digital Strategy for the College sector. This meant that the SFC would not be working with West College Scotland as had previously been discussed. However, the College would be represented on the CDN group by Angela Pignatelli, Assistant Principal, Creativity and Skills. The Committee would be kept informed of developments as appropriate.

■

[REDACTED]

FPM277 COMMITTEE REMIT, MEMBERSHIP AND DATES OF MEETINGS IN 2019-20

The Committee considered its remit, membership and dates of meetings in session 2019/20.

.1 Committee Remit and Membership

The Committee noted its membership. In considering its remit it was proposed that an amendment be made to the remit under the heading of 'Procurement'. It currently stated that the Committee could approve contracts with a value above £250,000. However, contracts with a value above £500,000 had to be approved by the Board. In order to clarify this situation the Committee

RECOMMENDS to the Board that the remit be amended as follows:

Under the heading 'Procurement', the third bullet point be amended to read 'Approve the awarding of contracts between the values of £250,000 and £500,000.'

[Action: JH]

The remit is attached at Annex 1.

.2 Dates of Meetings in 2019/20

It was noted that a meeting of the Committee had been scheduled to be held on 24 September 2019. However, due to various diary commitments this was proving challenging. In light of this the business that had been scheduled to be transacted at the second meeting in September had been split, with the more urgent items on the agenda for this meeting and other items would be on the agenda for the next scheduled meeting in November. The Committee **agreed** that the meeting scheduled to be held on 24 September 2019 be cancelled and the next meeting of the Committee would be on Tuesday 19 November 2019 at 2.00 p.m. This would be followed by the Joint meeting with the Audit Committee starting at 4.00 p.m. on 19 November 2019.

[Action: GMcA]

FPM278 MONITORING OF REGIONAL OUTCOME AGREEMENT (FPM204)

The Vice Principal Operations provided a paper setting out background information in relation to the process for producing the Regional Outcome Agreement (ROA) and highlighting the College's key objectives that were contained within the ROA. The paper indicated the ROA objectives applicable to the Finance and General Purposes Committee and how these would be monitored during the year with a report being provided to the Board of Management at the end of the year. The Committee welcomed this information and **agreed** the processes in place to enable this monitoring and reporting.

FPM279 2019-20 BUDGET AND FINANCIAL STRATEGY (BM546; FPM261)

The Committee noted that the Board of Management had approved the 2019-20 Budget and 5 year financial strategy at its meeting on 17 June 2019. The financial strategy had been based on the information available at that time. Since then the Scottish Funding Council (SFC) had issued a circular 'The financial forecast return (FFR) for further education institutions 2018-19 to 2023-24 and information on financial planning assumptions' – a copy of which was before the Committee. This confirmed the 2019-20 Budget that the Board had approved in June, was robust and in line with the guidance and financial assumptions issued by SFC and did not need to be reconsidered.

The College has used the FFR guidance provided by the SFC to prepare two financial planning models for consideration by the Committee, these being:

Model 1 – Used the 2019-20 Budget and 5-year financial forecast approved by the Board as its base and applied the SFC FFR assumptions. The model highlighted the key differences in primarily years 2 to 5.

Model 2 – Used the base data from Model 1 and amended these to show the impact of the curriculum changes being brought forward through the College Business Transformation Plan which would take effect from year 2 (2020-21).

In discussion of these models the following points were raised:

i) Model 1

- The SFC had not confirmed that they would meet all the cost associated with the increase in pension costs, and so the Model was based on the College receiving 50% of the total increase in costs.
- The implementation of the return to the College being funded by the SFC via formula funding would have an impact in years 4 and 5 of the forecast.
- The loss of European Social Fund (ESF) funding would also have an impact on years 4 and 5, and this would be a sector wide issue.
- Should the SFC assumptions be correct savings [REDACTED] would now be required to be made over the next three years compared to forecasted savings [REDACTED] as reviewed by the Board in June.

ii) Model 2

- The SFC had made funding available to other colleges to help them meet the costs of implementing National Bargaining and harmonisation. However, as the College had already been through a harmonisation process it would not receive any additional funding. The SFC has previously acknowledged this situation.
- The nature of the curriculum being delivered by the College, a significant amount of which was high cost (e.g. engineering, supported learning, etc), meant that the College did not receive funding from SFC at an appropriate level for the curriculum it delivered.
- The previous Business Transformation Plan has been further developed and discussions with the SFC have been ongoing. The implementation of this revised plan would lead to changes in the curriculum being offered from 2020-21. The revised plan would see a reduction in distance learning activity especially that which is offered out with the West region with an increase in taught/blended learning activity, leading to a net reduction in overall College activity of 6,000 Credits. The College core teaching grant in aid would remain at the same level despite the reduction in Credit activity which would assist the College in achieving a financially sustainable future.
- Savings [REDACTED] would still need to be made over the next three years.

The Committee acknowledged that savings would need to be made over the next three years using either model. It was noted that the College was unlikely to receive any further funding from the SFC to meet the costs of operating a Voluntary Severance (VS) Scheme. The College had, so far, retained a strong financial position due to the cash it held but, if it was to fund its own VS scheme, this would put the College into an operational deficit position. The Curriculum Re-imagined Project would, therefore, be essential to deliver efficiencies in the future. Another meeting with the SFC would take place at the end of September to consider the changes being proposed to address the current financial position and the College would prefer to propose Model 2 to the SFC. It was suggested that, in its discussions with the SFC, the College might offer to reduce its distance learning

activity that it delivers out with the region by 7,000 credits. This might provide a greater flexibility for the College in re-designing its future curriculum offerings. The outcome of the discussions with the SFC would be reported to the Board at its meeting in October.

The Committee **agreed** that it supported the approach being taken and that Model 2 should be submitted to the SFC for consideration. **[Action: LC; DA; AR]**

FPM280 STRATEGIC RISK REGISTER (FPM264)

The Director of Finance and Estates informed the Committee that there had been no changes to the Strategic Risk Register since the Board meeting in June, although several of the mitigating actions had been updated as appropriate. The Committee noted the Strategic Risk Register and had no further changes or amendments to make to it.

FPM281 ANNUAL UPDATE REPORT ON 2018-19 TAXATION MATTERS, BANKING ARRANGEMENTS AND BAD DEBT WRITE OFF (FPM213)

The Committee noted the 2018-19 annual report on taxation matters, banking arrangements and bad debt write off. It was pleased to note that there had been a reduction in the amount of debt being written off as the College had adopted a more active approach to pursuing debtors.

FPM282 AUDIT SCOTLAND REPORT: SCOTLAND'S COLLEGES 2019

The Committee noted the Audit Scotland Report – Scotland's Colleges 2019. In particular the Committee noted that Audit Scotland had included the matter of the need for investment in the estate across the College sector.

FPM283 ACCOUNTS DIRECTION FOR SCOTLAND'S COLLEGES 2018-19

The Committee noted the Accounts Direction for Scotland's Colleges 2018-19 that had been issued by the SFC.

FPM284 INTERNAL AUDIT PLAN 2019-20

The Committee noted the Internal Audit Plan for session 2019-20.

FPM285 SCHEDULE OF BUSINESS 2019-20

The Committee noted its schedule of business for 2019-20.

FPM286 NEXT MEETING

Tuesday 19 November 2019 at 2.00 p.m. at the Paisley Campus. This will be followed by the Joint meeting with the Audit Committee at 4.00 p.m.

RESERVED BUSINESS

The following items are deemed to be restricted under the Freedom of Information Act as being commercially sensitive.

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

GMcA/11.09.19/DRAFT v2

Annex 1

West College Scotland

Board of Management

Finance and General Purposes Committee

Statement of Purpose

The Board provides the principal governance mechanism through which activities are managed in accordance with legislation and regulations, as well as ensuring that systems are in place to provide efficiency, effectiveness and economy. However, the Board has delegated some of its responsibilities to certain committees.

The main purpose of the Finance and General Purposes Committee will be to approve all key decisions taken in relation to finance, procurement, information technology and matters of a general nature that do not fall to other standing Committees. The Committee will further ensure that all areas of the College's financial performance, procurement and information technology are subject to best practice controls and review, ensuring solvency, sustainability, efficiency and innovation.

1. Remit

Finance

- To advise the Board of Management on key issues of the College's financial and resource management including:
 - solvency of the College
 - College cashflow
 - effectiveness and appropriateness of the utilisation of College resources
 - Financial Strategy
- To review and approve the Financial Regulations on an annual basis, or more frequently if required.
- To consider and advise the Board on:
 - financial forecasts and budgets in relation to the West Region Outcome Agreement.
 - any relevant taxation issues
- To consider the College's annual financial statements (at a joint meeting of the Audit and Finance and General Purposes committees).
- To monitor:
 - the College's financial performance against agreed budgets and make recommendations on major variations

- all income
 - all material financial issues
 - the management accounts.
-
- To advise the Board on investments and borrowing and to seek appropriate external advice.
 - To ensure adherence to statutory requirements related to the College's financial affairs and compliance with the Financial Memorandum, Scottish Public Finance Manual (SPFM), and related guidance.
 - To receive a regular report on bad debt write offs
 - To consider, review and recommend to the Board, pension arrangements for College staff, in consultation with the Organisational Development and HR Committee.
 - To receive an update on banking arrangements, including the Scottish Government banking arrangements and to approve the bank signatories.

Information Technology

- To agree and approve IT strategy and policies, ensuring these support the priorities and outcomes of the College;
- To advise the Board of Management on key issues relating to the College's information technology.
- To consider and promote the effective and efficient use of IT services.
- To consider information technology initiatives and innovations for use within the College, the resources required to implement these and to identify risks and opportunities associated with proposals.

Procurement

- To agree and approve financial regulations which ensure compliance with legal obligations in respect of tendering and contract procedures
- To agree and approve procurement strategy and policies that reflect best practice, ensuring these support the priorities and outcomes of the College and the achievement of efficiencies.
- Approve the awarding of contracts ~~above~~ between the values of £250,000 and £500,000
- To support development of:
 - supplier management and contract monitoring
 - electronic procurement systems
 - procurement performance management systems

- collaborative opportunities

Risk

- To consider risk relating to the matters that fall within the Committee's remit and to agree what mitigating factors/actions are in place and what further action, if any, needs to be taken to address such matters of risk.

General Purposes

- Any other factors as required by the Board of Management

2. Membership

Membership of the Committee will comprise:

Three members of the Board of Management, one of whom will Chair, and the Principal.

Attending:

Vice Principal Operations

The Director of Finance and Estates

The Director of Information Technology

The Committee is empowered to invite other members of the Senior Management/Executive team to attend meetings of the Committee.

The Committee is empowered to co-opt additional members, subject to approval by the Nominations Committee.

Other Board members can attend the meetings, with the approval of the Chair of the Finance and General Purposes Committee.

Committee members will be appointed to serve a four- year term, or for the period of their term of office.

The Chair of the Board of Management will be an ex- officio member of the Committee

3. Frequency of Meetings

Normally will meet four times per year, but at least three times per year. Additional meetings will be convened as necessary.

4. Quorum

A quorum will be two members of the Board of Management.

5. Secretariat

Secretary to the Board of Management.

Papers for meetings will be sent out 7 days in advance of meeting.

The Committee will report to the Board of Management and the minutes of its meetings will be circulated to the Board for information.

6. Review

The Remit will be subject to review annually

Approved by the Board of Management – 4.12.17

TITLE: AUDIT COMMITTEE
Minutes of the meeting held on 4 September 2019

Action: There is 1 recommendation and some matters for report.

1. Recommendation

AM440 Review of Policies: Fraud and Corruption Policy and Public Interest Disclosure (Whistleblowing) Policy – the Committee considered the above policies which had recently been revised by the College and by the Internal Auditors. Additionally the College lawyers had provided feedback on the Public Interest Disclosure (Whistleblowing) Policy. It was noted that the wording of the Equality statement on both policies would be considered and refreshed as appropriate before finalisation. The Committee confirmed that it was content with the proposed changes and, subject to some further minor amendments,

RECOMMENDS to the Board that the Fraud and Corruption Policy and the Public Interest Disclosure (Whistleblowing) Policy be approved. See Paper 12.1 for the revised policy documents.

2. Matters for Report

AM438 Value for Money Policy Report – the Committee welcomed the Value for Money Report which highlighted the work that had been undertaken during session 2018-19 and the improvements achieved. It also highlighted the work undertaken by Internal Audit in relation to value for money as part of various audit reports. Further staff training was being undertaken within the College to further embed this process.

AM441 Audit Assurance Framework – the Committee welcomed the report on progress made with developing an assurance framework for the College. An assurance framework for the Student Experience area had been developed. This would be further refined and then the approach would be rolled out to the next two areas for development – (1) Income and (2) Information Technology. It was noted that the Internal Auditors had been heavily involved in assisting the College staff with developing this process and producing the assurance map. The Internal Auditors had confirmed that they were satisfied with the progress made and confirmed that the College was ahead of most of the sector who were also developing assurance maps.

AM442 Internal Audit Report: Payroll Systems Review – [REDACTED]
the systems and processes around the payroll had been reviewed and revised [REDACTED]
[REDACTED] Internal Audit had conducted a review of the actions taken and confirmed that these were sufficiently robust and proportionate to address the issues found.

AM451 Risk Management – it was noted that there had been no movement in the rating or number of strategic risks faced by the College since it was last reviewed, and that some mitigating actions had been updated. The Committee approved the Strategic Risk Register and had no further changes or additions to make to it.

Lead: John McMillan, Chair of Audit Committee

Status: Open.

AUDIT COMMITTEE

MINUTES: 4 September 2019

Present: John McMillan (in the Chair), Graeme Bold, Andrew Hetherington, Wai Wong.

Attending: Liz Connolly (Principal), David Alexander (Vice Principal Operations), Alan Ritchie (Director of Finance and Estates), Gwen McArthur (Secretary to the Committee).

Attending by

invitation: Elizabeth Young, Scott-Moncrieff, Internal Auditors; Joanne Buchanan and Suzie Graham, Mazars, External Auditors.

AM433 DECLARATION OF INTERESTS

John McMillan and Liz Connolly declared an interest as Trustees of West College Scotland Foundation. David Alexander declared an interest as a Board member of the Scottish Funding Council and as Chair of the Scottish Funding Council Audit and Compliance Committee.

AM434 MINUTES

The minutes of the meeting held on 23 May 2019 were approved.

AM435 ACTIONS FROM THE MINUTES

The Committee noted a report on the actions taken since the last meeting.

AM436 REMIT, MEMBERSHIP AND DATES OF MEETINGS 2019-20

The Committee noted its remit, membership and dates of meetings in 2019-20. In considering the remit a query was raised regarding the Committee's role in providing advice to the Board on the accounting policies contained within the financial statements. It was noted that this responsibility lay with the Finance and General Purposes Committee but it was not clearly articulated within the remit of that Committee. It was **agreed** that the Vice Principal Operations would take this matter up with the Chair of the Finance and General Purposes Committee to action as appropriate. **[Action: DA]**

AM437 REGIONAL OUTCOME AGREEMENT

The Vice Principal Operations provided a paper setting out background information in relation to the process for producing the Regional Outcome Agreement (ROA) and highlighting the College's key objectives that were contained within the ROA. The paper indicated the ROA objectives applicable to the Audit Committee and how these would be monitored during the year. The Committee welcomed this information and **agreed** the processes in place to enable the monitoring and reporting on the ROA.

AM438 VALUE FOR MONEY POLICY REPORT (AM361)

The Director of Finance and Estates presented the annual report on the implementation of the Value for Money Policy. This report highlighted the work that had been undertaken during session 2018-19 and the improvements achieved. It also highlighted the work undertaken by Internal Audit in relation to value for money as part of various audit reports. It was noted that this process was not as well embedded throughout the College as, for example the risk management process, but further staff training was being undertaken.

In discussion it was noted that Audit Scotland had produced further information and a framework to help organisations achieve value for money which might prove useful to the College and help it to embed this process. It was considered that it would be useful to look at this framework to see how the College compared and where any further improvements could be made.

The Committee welcomed the annual report on the Value for Money Policy and **agreed** that, for next year's report, some consideration of how the College compared with the Audit Scotland framework should be conducted and reported to the Committee. **[Action: AR]**

AM439 DRAFT 2018-19 ANNUAL REPORT FROM AUDIT COMMITTEE TO THE BOARD (AM362)

The Committee considered its draft Annual Report to the Board for 2018-19. It was noted that the report was in a similar format to last year's report but some sections had been expanded. The report would be updated once the external audit process was complete, with the final edition of the Committee's Annual Report being brought to the Joint meeting in November for approval before being presented to the Board of Management.

AM440 REVIEW OF POLICIES: FRAUD AND CORRUPTION POLICY AND PUBLIC INTEREST DISCLOSURE (WHISTLEBLOWING) POLICY (AM415.1)

The Committee received the Fraud and Corruption Policy and the Public Interest Disclosure (Whistleblowing) Policy, both of which had been recently revised by the College and by the Internal Auditors. The Internal Auditors had made two recommended changes to the Fraud and Corruption Policy that had been incorporated into the revised Policy. The revised policies were before the Committee for consideration along with a tabled paper that provided additional feedback from the College's lawyers on the Public Interest Disclosure (Whistleblowing) Policy.

In considering these policies it was queried if the Director of Finance and Estates should be the nominated person to report potential fraud cases to. It was noted that there was no Head of Compliance and so within the College's structure the Director of Finance and Estates was the correct person to consider such cases as he was best placed to understand the issues raised and how to investigate them. The Internal Auditor confirmed that they were satisfied with this arrangement which was similar to others in the sector.

It was noted that the wording of the equality statement in both policies would be considered and refreshed as appropriate by the Equality, Diversity and Inclusion Manager within the College once the policy was approved. Some further minor amendments to the wording of the Whistleblowing Policy should also be made.

The Committee confirmed that it was content with the proposed changes and, subject to some further minor amendments,

RECOMMENDS to the Board that the Fraud and Corruption Policy and the Public Interest Disclosure (Whistleblowing) Policy be approved. **[Action: JM]**

AM441 AUDIT ASSURANCE FRAMEWORK UPDATE (AM417)

The Committee noted the progress made with the development of an assurance framework for the College. It had been agreed previously that the Student Experience area would be the first area to proceed. A start had been made on this and an assurance map for the Student Experience area had been produced and was now before the Committee. This map identified the assurances that were already in place, the lines of defence, and a score for each of the assurance activities had been produced. The Internal Auditors have been heavily involved in assisting the College staff with developing this process and producing the assurance map. The Internal Auditors confirmed that they were satisfied with the progress made and confirmed that the College was ahead of most of the sector who were also developing assurance maps.

The Committee welcomed this information which provided an excellent starting point. It was considered that by developing an assurance map the College would benefit greatly and the Audit Committee would have more information on assurances throughout the College, some of which they would not normally see. It was the intention to use this approach to develop an assurance map for the next two areas identified, (1) Income and (2) Information Technology, so that eventually an overall assurance map for the College could be produced. It was considered that, in the longer term, the Committee would need to take a view on the scope and frequency of the reviews conducted to keep this assurance map up-to-date.

AM442 INTERNAL AUDIT REPORT: PAYROLL SYSTEMS REVIEW (AM432)

██████████ the systems and processes around the payroll had been reviewed and revised ██████████. Internal Audit had conducted a review of the actions taken and confirmed that these were sufficiently robust and proportionate to address the issues found. Three recommendations for further improvement had been proposed and Internal Audit was pleased to confirm that two of these had already been implemented. The third recommendation was regarding staff training and consideration was being given by the College to identifying suitable additional training for the staff concerned. It was proposed that this training would take place during the second quarter of 2019-20. The Committee welcomed this report and the actions taken.

AM443 ROLLING AUDIT ACTION PLAN (AM421)

The Director of Finance and Estates presented the updated Rolling Audit Action Plan. The Committee noted that 12 recommendations were now complete and a further two were partially complete. A request for an extension of time for six recommendations, as detailed in the report, was considered.

The Committee **approved** the Rolling Audit Action Plan and the extension of time requested for the six recommendations identified.

It was also noted that the communications survey, as recommended by Internal Audit in their audit report on Internal Communications, had been conducted and the outcomes considered by the Senior Management Team (SMT). The outcomes would be provided to the next meeting of the Corporate Development Committee for consideration.

AM444 DRAFT INTERNAL AUDIT ANNUAL REPORT 2018-19

The Internal Auditor presented the Draft Internal Audit Report for 2018-19. This was a positive report. The Internal Auditors opinion confirmed that *‘West College Scotland has a framework of controls in place that provides reasonable assurance regarding the organisation’s governance framework, internal controls, effective and efficient achievement of objectives and the management of key risks’*. The final report from Internal Audit would be presented to the Joint meeting of the Audit and Finance and General Purposes Committee in November. The Committee noted this report.

AM445 INTERNAL AUDIT ANNUAL PLAN 2019-20: PROGRESS REPORT (AM422)

The Committee noted the satisfactory progress report from Internal Audit on their Annual Plan for 2019-20.

AM446 EXTERNAL AUDIT PROGRESS UPDATE (AM418)

The Committee noted a satisfactory progress report from the External Auditors on their work undertaken so far to deliver their responsibilities for the year ending 31 July 2019. The External Auditors confirmed that they were getting good co-operation from the College and were on schedule to complete the external audit work as planned. The fieldwork would commence on 16 September 2019. The Committee welcomed this report.

AM447 ACCOUNTS DIRECTION FOR SCOTLAND’S COLLEGES 2018-19

The Committee noted the guidance issued by the Scottish Funding Council (SFC), 2018-19 Accounts Direction for Scotland’s Colleges and Glasgow Colleges Regional Board (5 July 2019) and SFC Detailed notes for guidance on completion of 2018-19 financial statements. In particular it was noted that:

- The adjusted operating position note, along with the draft accounts, had to be sent to the SFC for review prior to the Board formally approving the Financial Statements;
- The College was no longer required to compile an annual resource return to 31 March each year; and

- The College had followed guidance issued by Audit Scotland in relation to the wording of the corporate governance statement.

AM448 DRAFT ACCOUNTABILITY REPORT: CORPORATE GOVERNANCE STATEMENT

As mentioned above the corporate governance statement to be included in the Accountability Report had been refreshed in line with guidance issued by Audit Scotland. The Committee noted the draft report and that the final report would be brought to the Joint Meeting with Finance and General Purposes Committee in November.

AM449 AUDIT SCOTLAND REPORT: SCOTLAND'S COLLEGES 2019

The Committee noted the Audit Scotland Report: Scotland's Colleges 2019. The Vice Principal Operations informed the Committee that the Scottish Government's Public Audit Committee would be debating this report at its meeting on 19 September 2019.

AM450 ANNUAL REPORT ON FREEDOM OF INFORMATION AND DATA PROTECTION ACT REQUESTS, REGISTER OF INTERESTS, AND HOSPITALITY/GIFTS REGISTER (AM373)

The Committee noted the above annual report.

AM451 RISK MANAGEMENT – STRATEGIC RISK REGISTER (AM425)

The Committee noted that there had been no movement in the rating or number of strategic risks faced by the College since it was last reviewed, and that some mitigating actions had been updated. It was noted that the Board, at its meeting in June, had agreed to remove the risk relating to carbon emissions, as the College had already exceeded its target for this area.

In discussion it was proposed that an annual update of the trends in the top five risks would be included in the dashboard report for the Committee to consider.

The Committee **approved** the revised Strategic Risk Register and had no further changes or additions to make to it.

AM452 SCHEDULE OF BUSINESS 2019-20 (AM427)

The Committee noted its Schedule of Business 2019-20. One addition would be made to this schedule – consideration of the Internal Audit and Other Audit Services Tender. **[Action: AR]**

AM428 DATES OF MEETINGS IN 2019-20

The Joint meeting with the Finance and General Purposes Committee will be held on Tuesday 19 November 2019 at 4.00 p.m. on the Paisley Campus.

The next meeting of the Audit Committee will be held on Thursday 12 December 2019 at 4.00 p.m. on the Paisley Campus.

TITLE: REVIEW OF FRAUD AND CORRUPTION POLICY AND DISCLOSURE POLICY

Background: Following discussion at Audit Committee of the two frauds perpetrated against the College during 2018-19, it was agreed that the Committee would review the Fraud and Corruption Policy and the Public Interest Disclosure Policy (Whistleblowing) and Procedure.

Both policies were reviewed and updated by the management team and the College lawyers, considering current legislation and best practice. The Audit Committee then considered both Policy documents at their meeting in September. The updated Public Interest Disclosure Policy (Whistleblowing) and Procedure was also considered by Organisational Development and HR Committee at its meeting held on 18 September.

Action: The Board of Management is requested to consider and approve the:

- Public Interest Disclosure Policy (Whistleblowing) and Procedure; and
- Fraud and Corruption Policy

Lead: John McMillan, Chair of Audit Committee

Status: Open

1. Background

- 1.1 Following consideration by the Audit Committee of the two frauds perpetrated on the College during 2018-19, it was agreed that the Committee would review the Fraud and Corruption Policy and the Public Interest Disclosure Policy and Procedure during September 2019 rather than wait to review these documents in 2020.
- 1.2 Following a review by management and the College lawyers, updated policies were presented to the Audit Committee for review. A summary of the main amendments that were made to the Policies are outlined below.

2. Public Interest Disclosure Policy and Procedure (Whistleblowing)

- 2.1 The Public Interest Disclosure Policy and Procedure was approved by the Audit and OD & HR Committees in September 2017. The Policy has now been reviewed by management and updated by the College legal advisors to ensure it is up to date and reflects best practice. The main changes made to the Policy related to the reporting lines for staff and Board members and the inclusion of a link to prescribed regulators. A copy of the updated Policy is attached at Appendix A for reference.
- 2.2 The updated version of the Policy was considered by the Audit Committee on 4 September and recommended for approval by the Board of Management.

Fraud and Corruption Policy

- 2.3 The College Fraud and Corruption Policy was the subject of an internal audit review during 2018-19. The Audit Committee received a report on this review at the May 2019 meeting which concluded that:

'The College has robust processes in place for preventing and responding to suspected fraud. The College Fraud and Corruption Policy clearly articulates the College's position, the responsibilities of staff and the process for reporting and investigating suspected cases.'

- 2.4 The internal audit report also contained two minor recommendations and the revised Policy (Appendix B) has been updated (see Section 11) to take account of these – which were as follows:

- Management should annually review fraud risks relevant to their area of operations and confirm they are being adequately controlled; and
- Provide specific training on counter fraud activity to relevant staff identified as at high risk to raise staff awareness of counter fraud processes

The College legal advisors have reviewed the Policy to ensure it is up to date and reflects best practice.

- 2.5 The updated version of the Policy was considered by the Audit Committee on 4 September and recommended for approval by the Board of Management.

3. Conclusion

- 3.1 The Board of Management is requested to approve the:

- Public Interest Disclosure Policy and Procedure (Whistleblowing); and
- Fraud and Corruption Policy

Policy & Procedure	Public Interest Disclosure (Whistleblowing) Policy and Procedure
Policy Area	Human Resources
Version Number	03
Approving Committee	Audit Committee
Date of Approval	7 October 2019
Date of Equality Impact Assessment	15 September 2017
Date of Review	7 October 2021
Responsible Senior Manager	Director Organisational Development & HR

History of Amendments

Date	Version/Pages/Sections Affected	Summary of changes
April 2017	1 – whole document	Updated following legal review.
September 2019	3 – whole document	Updated based on review of Fraud and Corruption Policy and legal review.

Policy Statement

The Board of Management policy is that any concerns raised under the Public Interest Disclosure (Whistleblowing) Procedure will be taken seriously and that all staff will be afforded the rights set out under the Public Interest Disclosure Act 1998.

Equality Statement

The College is committed to providing equal opportunities to ensure its students, staff, customers and visitors are treated equally regardless of gender reassignment, race, religion or belief; disability; age; marriage and civil partnerships; pregnancy and maternity; sexual orientation; sex.

Please note this document is available in other formats, to request another format please email info@wcs.ac.uk

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Public Interest Disclosure (Whistleblowing) Policy and Procedure

1. Scope

This Policy provides guidance to staff, students, Board members and co-opted Board members on how to inform management if they are concerned about serious malpractice, fraud or corruption within the College.

The College has a duty to conduct its affairs in a responsible way with due care for the health and safety of its employees, students and others and to comply with the law. We are committed to conducting our business with honesty and integrity, and we expect all staff to maintain high standards. However, all organisations face the risk of things going wrong from time to time, or of unknowingly harbouring illegal or unethical conduct.

An internal Guidance Note for Managers in relation to the handling of disclosures made under the Public Interest Disclosure Act is available on the staff intranet:

<https://intranet.westcollegescotland.ac.uk/reference/reference/Public%20Interest%20Disclosure%20Guidance%20for%20Managers.pdf>

This Procedure does not form part of any Staff Member's contract of employment and the College reserves the right to amend the Procedure at its discretion, as it considers appropriate.

2. Interpretation

In this Procedure 'College' means West College Scotland, and 'Member', 'Chair', 'Secretary' and 'Principal' mean respectively the Member, Chair, and Secretary of the Board and Principal of the College. 'Staff' and 'Staff Member' mean staff employed by the College (which, for these purposes only, includes consultants, contractors, part-time and fixed-term workers, and agency workers). 'Student' means a person currently enrolled as a student of West College Scotland.

3. Public Interest Disclosure

The Public Interest Disclosure Act 1998 gives protection to employees against being subject to detrimental treatment or dismissal by their employer on the grounds that they have raised a protected disclosure. Detrimental treatment includes disciplinary action, threats or other unfavourable treatment connected with raising a concern. Where an individual discovers information which he/she believes indicates malpractice or wrongdoing or the misuse of public funds within the College, then the information should be disclosed without fear of reprisal and may be made independently of their direct line management. In the instance of allegations of the misuse of public funds being made, the Director of Organisational Development & HR must notify the Scottish Funding Council

The aims of this Procedure are:

- To encourage Staff, Students and Board members to report suspected wrong doing as soon as possible in the knowledge that their concerns will be taken seriously and investigated as appropriate, and that their confidentiality will be respected
- To provide Staff, Students and Board members with Guidance as to how to raise those concerns
- To reassure Staff, Students and Board members that they should be able to raise genuine concerns without fear of detrimental treatment even if they turn out to be mistaken

It is important that Staff, Students and Board members have the confidence to raise concerns about malpractice internally; otherwise they may keep such concerns to themselves. A culture of openness and accountability is essential in order to prevent such situations occurring and to address them when they do occur.

Examples of matters that should be reported under this procedure:

- Financial fraud or mismanagement
- Criminal activity
- Bribery or corruption
- A failure to comply with or a breach of relevant duties, regulatory requirements, professional obligations or legal obligations
- Damage to the environment
- Danger to the health and safety of any person
- Unauthorised disclosure of confidential information
- Harm or the risk of harm to children or vulnerable adults
- Deliberate concealment of any of the above matters.

While Staff, Students and Board members are encouraged to raise concerns, it should be appreciated that raising a concern will not be a qualifying or protected disclosure unless, in the reasonable belief of the person raising the concern, the disclosure is made in the public interest and tends to show that one of the following has taken place, is taking place or is likely to take place:

- Criminal offences
- Breach of any legal obligation
- Danger to the health and safety of any individual
- Damage to the environment
- The deliberate concealing of information about any of the above.

The procedure should not be used in respect of:

- Allegations relating to discrimination or harassment against individuals, which should be dealt with under the Grievance or Bullying and Harassment Procedures; or
- Complaints relating to an individual's own personal circumstances, such as the way he/she has been treated at work, which should be dealt with using the College's established Grievance Procedure; or
- Collective grievances affecting a number of employees, which should also be dealt with using the College's established Grievance Procedure.

4. Confidentiality

Anyone who raises a genuine concern will have the matter treated in a confidential and sensitive manner.

The identity of the individual making the allegation will be kept confidential unless this is genuinely incompatible with a fair investigation of the allegation or if there is an overriding reason for disclosure.

Individuals are encouraged to put their names to any disclosures they make. Proper investigation may be more difficult or impossible if the College cannot obtain further information from an individual. If he/she is in any doubt they can seek advice from Public Concern at Work, the independent whistleblowing charity, who offer a confidential helpline (Tel: 0207 404 6609). Concerns expressed anonymously may be considered at the discretion of the College.

5. Procedure

If an individual wishes to make a disclosure of the type listed in paragraph 3 it is hoped that in many cases staff will be able to raise any concerns with their line manager or Head of Sector. If the disclosure is about the line manager or Head of Sector, then the member of staff should raise their concerns with the Assistant Principal or Vice Principal as appropriate. If the concerns relate to a member of the Senior Management Team, they should be raised with the Principal. Any concerns that relate to the Principal must be raised with the Chair of the Board of Management.

Students should raise their concerns with their Guidance Tutor/Lecturer or Head of Sector in the first instance. If the disclosure is about the Guidance Tutor/Lecturer or Head of Sector, then they should raise their concerns with the Assistant Principal or Vice Principal as appropriate.

Board Members will be able to raise their concerns with the Senior Independent Member/Chair of Audit Committee or with the Secretary. The matter may be reported in person or in writing.

The Line Manager or Head of Sector (or other person identified above) may be able to agree a way of resolving their concern quickly and effectively. A note of any meeting held with the individual concerned will be taken and a copy provided to the individual. If a meeting is held, the individual will also be given the opportunity to be accompanied by a trade union representative or work colleague, should they so wish. The note of the meeting and outcomes will be forwarded to the Director, Organisational Development and HR for retention as appropriate.

Where the matter is more serious, or if the individual feels that the concern has not been addressed, or he/she prefers not to raise it with the persons described above, they can refer the matter to the Secretary to the Board. In the event of a matter being reported to the Secretary, the following procedure should be followed:

Stage 1

Initial disclosure should be made directly to the Secretary who will determine in consultation with the Chair of the Audit Committee whether it is a concern that should be investigated. If the Secretary and the Chair of the Audit Committee determine that an investigation is not appropriate, and the disclosure is not to be pursued, the complainant will be advised of this in writing.

If the matters disclosed involve the Secretary to the Board, the disclosure should be made to the Chair of the Audit Committee, who will manage the procedure in place of the Secretary. The Chair of the Audit Committee will determine in consultation with the Chair of the Board whether it is a concern that should be investigated.

Stage 2

If it is decided to proceed with an investigation, the next steps may be:

- an initial assessment to determine the scope of any investigation. The individual may be required to attend additional meetings in order to provide further information or as part of a subsequent investigation.
- an internal investigation conducted by a manager or managers designated by the Secretary or Chair of the Audit Committee as appropriate.
- an internal investigation conducted by the designated manager or managers in association with the Audit Committee of the Board.
- to refer the matter to the Scottish Funding Council and/or the College's Internal Auditors for it to consider whether external investigation is appropriate.
- to refer the matter to the police.

Any such steps taken will be initiated expeditiously. The list above is not exhaustive. The complainant will be advised, where appropriate, in writing about which steps are to be taken.

Stage 3

The results of any investigation together with any recommendations for action will be formalised in a report which will be brought to the attention of the appropriate authority. In most cases the Principal and Chief Executive of the College will be such an authority, unless the investigation involved the Principal. In other cases, the matter may be appropriately referred to the Audit Committee which will provide a report to the Board of Management.

Where an internal investigation has been carried out, the investigation report may make recommendations. Recommendations may include, for example, that a disciplinary process will be followed. No action will be taken against any individual until or unless that individual has had an opportunity to make representations in relation to the allegations, in any disciplinary process followed.

The complainant will, where appropriate, be advised in writing of the outcome of the investigation. Sometimes the need for confidentiality may prevent the College giving the individual who has made the disclosure specific details of the investigation or the recommendations, including any disciplinary action taken as a result. They should treat any information which they are given about the investigation as confidential.

Specific timescales for actions and responses cannot be specified. This recognises the likely variations in the length of time it may take to investigate different issues. However, it is recognised that sensitive and expeditious handling of such disclosures is essential.

The College community is responsible for the success of this procedure and should ensure that it is used appropriately to disclose any suspected danger or wrong doing.

6. External Disclosures

The aim of the procedure is to provide an internal mechanism for reporting, investigating and remedying any wrongdoing within the College. In most cases, an individual should not find it necessary to alert anyone externally.

The law recognises that in some circumstances it may be appropriate for an individual to report his/her concerns to an external body such as a regulator. In such instances it is strongly encouraged that an individual seek advice, for example, from a solicitor, from the Citizens Advice Bureau or from Public Concern at Work, before reporting a concern to anyone external. It is possible that a disclosure which has been made externally will not be protected. Protect (formerly Public Concern at Work) not only operates a confidential helpline, but they also have a list of prescribed regulators for reporting certain types of concern and will be able to assist. Further information can be found on their website at <https://protect-advice.org.uk/>

7. Protection from Victimisation

Any individual who makes a protected disclosure shall be protected from victimisation. However, as outlined at paragraph 3 above, there are certain conditions which apply before a disclosure is a protected disclosure and this Procedure does not exhaustively set out those conditions. Victimisation includes dismissal, disciplinary action, threats or other unfavourable treatment where that action or treatment is because the individual has raised a concern. All allegations of victimisation will be dealt with under the College Disciplinary Procedure and if established, are likely to be treated as gross misconduct.

Anyone who has raised a protected disclosure must not suffer any detrimental treatment on the grounds that they have done so. Staff must not threaten or retaliate against anyone who has raised a concern in any way. Anyone involved in such conduct may be subject to disciplinary action.

8. False and Malicious Allegations

This procedure is designed to offer protection to those employees or other members of the College who disclose such concerns in the reasonable belief that the disclosure tends to show malpractice and is in the public interest.

The Board wishes to emphasise that no individual(s) will be disciplined for raising a genuine protected disclosure, so long as they follow the procedures laid down in this procedure.

If an individual has made false allegations without a reasonable belief that they are true, then disciplinary action is likely to be taken against that individual.

9. Procedure Implementation

In particular cases, the College may choose to vary the process which is followed, taking alternative or additional steps or omitting steps as it considers appropriate to the facts and circumstances of that case.

10.Contacts

Secretary to the Board	Gwen McArthur 0141 581 2233 gwen.mcarthur@wcs.ac.uk
Chair of the Audit Committee/Senior Independent Member	John McMillan 07757 626133 Jmcmillan8@sky.com
Director of Organisational Development & HR	David Gunn 07776 131 217 david.gunn@wcs.ac.uk
The College's internal auditors	Scott-Moncrieff LLP 25 Bothwell Street Glasgow G2 6NL Chris Brown chris.brown@scott-moncrieff.com
Scottish Funding Council	Scottish Funding Council Apex 2 97 Haymarket Terrace Edinburgh EH12 5HD 0131 313 6500 Chief Executive's fax number: 0131 313 6531
Public Concern at Work (Independent whistleblowing charity)	Helpline: (020) 7404 6609 E-mail: whistle@pcaw.co.uk Website: www.pcaw.co.uk

Equality Impact Assessment

Name of policy/procedure/decision: Public Interest Disclosure (Whistleblowing) Procedure

Provide a brief summary of the aims of the policy/procedure/decision and main activities:

This Procedure provides guidance to all members of the College community (Staff, Students and Board Members) on how to inform management if they are concerned about serious malpractice, fraud or corruption within the College.

Assessed By: Clare Fraser

Date: 15 September 2017

This stage establishes whether a policy, procedure or decision will have a differential impact from an equality perspective on people who share protected characteristics or whether it is “equality neutral” (i.e. have no effect either positive or negative).

The protected characteristics are: age, disability, gender reassignment, pregnancy or maternity, race, religion or belief, sex and sexual orientation.

1. Who will benefit from this (students/staff/stakeholders)? Is there likely to be a positive impact on people who share protected characteristics, and if so, how? Or is it clear at this stage that it will be equality “neutral”? i.e. will not have a differential impact on any equality group/s?

It is not anticipated that this Procedure will have a differential impact on people who share protected characteristics. The Procedure has been developed to ensure that WCS complies with the Public Interest Disclosure Act 1998 which protection to employees against being subject to detrimental treatment by their employers as a result of raising concerns. This protection should apply to all regardless of gender, age etc.

2. Is there likely to be an adverse impact on people who share protected characteristics? If so, who may be affected and why? Or is it clear at this stage that it will be equality “neutral”?

This policy has been developed to comply with UK law and will not have an adverse impact on people who share protected characteristics.

3. What action will you take to ensure that you are monitoring the impact of this Procedure?

Monitoring of this policy will take place through student complaints and HR grievances data.

Policy & Procedure	Fraud and Corruption Policy
Policy Area	Finance
Version Number	3
Approving Committee	Audit Committee
Date of Approval	7 October 2019
Date of Equality Impact Assessment	December 2018
Date of Review	7 October 2021
Responsible Senior Manager	Director of Finance and Estates

History of Amendments

Date	Version/Pages/Sections Affected	Summary of changes
01/08/2017	1 - Whole Document	Reviewed and updated in accordance with 2-year review period.
22/9/2019	2 - Whole Document	Reviewed and updated following 2018-19 fraud investigations and legal review.

Policy Statement

The College is committed to providing a high standard of service and accountability. This Policy aims to protect against fraud and corruption within the College and from external sources and sets out the procedures in the event that fraud is suspected or detected.

Equality Statement

The College is committed to providing equal opportunities to ensure its students, staff, customers and visitors are treated equally regardless of gender reassignment; race; religion or belief; disability; age; marriage and civil partnerships; pregnancy and maternity; sexual orientation; sex.

Please note this Policy is available in other formats, to request another format please email Charlene.Clark@wcs.ac.uk

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1. Introduction

One of the basic principles of public sector organisations is to ensure the proper use of public funds. It is therefore important that all those who work in the public sector are aware of the risk and the means of enforcing the rules against fraud/theft and other illegal acts involving corruption, dishonesty or damage to property.

2. Purpose

The purpose of this Policy is to provide guidance to all staff on the action, which should and will be taken when fraud, theft or corruption is suspected. Such occurrences may involve employees of the College, suppliers/contractors or a third party. This Policy sets out the Board of Management's response plan for detected or suspected fraud. It is not the purpose of this Policy to provide direction on the prevention of fraud.

3. Definitions

Fraud for the purpose of this Policy is where someone achieves a practical outcome by the means of false pretence including the appropriation of cash, property or other benefit by deception

Corruption is generally the abuse of entrusted power for private gain which includes the dishonest influence of actions and decisions

Bribery is an inducement or reward offered, promised or provided to gain personal, commercial, regulatory or contractual advantage

4. Awareness

The College recognises that the continuing effectiveness of this process depends largely on the awareness and responsiveness of Board members, staff and students and their willingness to highlight these issues. It is essential that Board members and staff are made aware of this Policy and its procedures when they join the College and receive a copy for inclusion in their personal records and, in addition, have ready

access to all other relevant documents, policies and procedures, which regulate the College's activities.

Action will be taken on a regular basis to remind both Board Members and staff of the importance the College places on avoiding and preventing fraud and corruption.

5. Scope

This Policy applies to all employees, Board members including co-opted members and volunteers of West College Scotland. This also applies to business partners where a relationship is in place for them to undertake duties on behalf of the College.

The College recognises that it is already subject to a high degree of external scrutiny of its affairs by a variety of parties. This includes the general public, staff, students, Internal Auditors, Board of Management, Scottish Ministers/ the Scottish Government, Members of the Scottish Parliament (MSPs), the Scottish Funding Council (SFC), External Auditors, Education Scotland, HM Revenue and Customs and Audit Scotland.

The College has internal and external auditors who advise the Board of Management about the adequacy of arrangements for the prevention and detection of fraud and corruption.

While this external scrutiny assists in protecting against fraud and corruption the College believes a clear statement of its own strategy is needed.

The key elements of the College's strategy to combat fraud and corruption are:

- An open and honest culture
- Adequate preventative measures
- Systems for detection and investigation
- Understanding and awareness within the College
- The adoption of a Public Interest Disclosure (Whistleblowing) Policy

This Policy should be read in conjunction with the College's (i) Equality Diversity and Inclusion Policy and its documentation regarding compliance with the Equality Act 2010, and (ii) Public Interest Disclosure (Whistleblowing) Policy and Procedure.

For simplicity, this Policy will refer to "fraud" which shall encompass all the behaviours set out in the definitions, except where the context indicates otherwise.

The Board of Management already has procedures in place that reduce the likelihood of fraud/theft occurring. These include standing financial procedures, a system of internal control and a system of risk assessment. In addition, the Board of Management will ensure that a risk awareness culture exists by issuing guidance on prevention of fraud.

It is the responsibility of the College and its' management to maintain adequate and effective internal controls to facilitate detection of fraud. The role of Internal Audit is to evaluate these systems of control. It is not the responsibility of Internal Audit to detect fraud, but to identify potential weaknesses in systems that may give rise to error or fraud.

The contents of this Policy have been set out as follows:

- **Section 6** sets out the Public Sector Values that must underpin the activities and culture of the College
- **Section 7** sets out the Board of Management's policy on dealing with fraud
- **Section 8** sets out the roles and responsibilities of staff in detecting and notifying fraud
- **Section 9** is the response plan that managers will follow where a fraud is reported
- **Section 10** discusses the resourcing options for any investigation
- **Section 11** advises on the pursuit of legal remedies, including option for recovery of any sums

- **Appendix 1** sets out further guidance and reading in relation to the prevention of fraud.
- **Appendix 2** sets out the equality impact assessment.

6. Public Sector Values

High standards of corporate and personal conduct, based on the recognition that students come first, are a requirement, and these can be summarised as follows:

Accountability: Everything done by those who work in the College must be able to stand the tests of parliamentary scrutiny, judicial review, and public judgement on propriety and professional codes of conduct.

Probity: Absolute honesty and integrity should be exercised in dealing with students, assets, staff, suppliers and customers.

Openness: The College's activities should be sufficiently transparent to promote confidence between the College and its students, staff and the public.

All those who work in the College should be aware of and act in accordance with these values.

There are several Statutory frauds which exist and are defined by legislation, including the following:

- Criminal Justice and Licensing (Scotland) Act 2010 (conspiracy to commit fraud overseas)
- Companies Act 2006 (fraudulent trading and false and misleading financial statements)
- Insolvency Act 1986 (fraudulent trading and fraud in anticipation of winding up)

- Financial Services and Markets Act 2000 and the Financial Services Act 2012 (misleading statements and impressions in relation to investments and financial products)
- Consumer Protection from Unfair Trading Regulations 2008 (misleading commercial practices)
- Value Added Tax Act 1994 (fraudulent evasion of VAT)
- Custom and Excise Management Act 1979 (fraudulent evasions of duty)

The College is also committed to participating in the National Fraud Initiative (NFI) exercise carried out by Audit Scotland. The NFI is a counter-fraud exercise across the UK public sector which aims to prevent and detect fraud. The Cabinet Office oversees it and Audit Scotland leads the exercise in Scotland, working with a range of Scottish public bodies and external auditors. The NFI takes place every second year.

The NFI in Scotland is now well established and enables public bodies to use computer data matching techniques to detect fraud and error.

The NFI's key features as highlighted by Audit Scotland report are:

- Acts as a deterrent to potential fraudsters
- Identifies errors and fraud enabling appropriate action to be taken
- Operates across boundaries and public bodies in different sectors and countries
- Can provide assurances that systems are operating well
- Can identify where system improvements are required
- Represents value for money through centralised data processing and identifying targeted high-priority matches

Further information in relation to the NFI can be found at <http://www.audit-scotland.gov.uk/our-work/nationalfraud-initiative>

7. Board of Management Policy

The Board of Management is committed to maintaining an honest, open and well-intentioned atmosphere within the College. It is committed to the deterring, detection and investigation of any fraud within the College. The Public Interest Disclosure Act 1998 forms a key part of the Board of Management's policy.

In line with the Public Interest Disclosure Act 1998, the Board of Management wishes to encourage staff or public, having reasonable suspicion of fraud, to report the incident. It is College policy that no staff member should suffer in any way by reporting in good faith any reasonably held suspicions.

In Scots law fraud is mainly dealt with under common law. The main criminal offences are common law fraud, uttering (forged or counterfeited document) and embezzlement. There are also statutory offences which contain an element of fraud including for example: the Criminal Justice and Licensing (Scotland) Act 2010 (conspiracy to commit fraud overseas); Companies Act 2006 (fraudulent trading and false and misleading financial statements); Insolvency Act 1986 (fraudulent Trading and fraud in anticipation of winding up); Consumer Protection from Unfair Trading Regulations 2008 (misleading commercial practices); Value Added Tax Act 1994 (fraudulent evasion of VAT).

The term 'fraud' is used to describe such acts as deception, bribery, forgery, extortion, corruption, theft, conspiracy, embezzlement, misappropriation, false representation, concealment of material facts and collusion. For practical purposes fraud may be defined as the use of deception with the intention of obtaining an advantage, avoiding an obligation or causing loss to another party. The criminal act is the attempt to deceive and attempted fraud is therefore treated as seriously as accomplished fraud.

Computer fraud is where information technology equipment has been used to manipulate programmes or data dishonestly (for example, by altering, substituting or destroying records, or creating spurious records), or where the use of an IT system was a material factor in the perpetration of fraud. Theft or fraudulent use of a computer time and resources, including unauthorised personal browsing on the internet, is included in this definition.

It is important that all staff are able to report their concerns without fear of reprisal or victimisation and are aware of the means to do so. The Public Interest Disclosure Act 1998 inserts provisions into the Employment Rights Act 1996, which provide protection for those who raise concerns that, in their reasonable belief, are made in the public interest and show that one of the following has taken, is taking, or is likely to take, place: criminal offences; breaches of any legal obligations; miscarriages of justice; danger to the health and safety of any individual; damage to the environment and/or the deliberate concealing of information about any of these matters.

In the first instance any suspicion of fraud, theft or other irregularity should be reported by the member of staff, as a matter of urgency, to their line manager. If reporting to the line manager would be inappropriate (for example because the line manager is potentially implicated in the suspected fraud, theft or other irregularity), the concerns should be reported to one the following persons:

- Head of Faculty (or equivalent)
- Director of Finance and Estates
- Vice Principal
- Principal
- Chair of Audit Committee

Every effort will be made to protect an informant's anonymity if requested. However, the College will always encourage individuals to be identified to add more validity to the accusation and allow further investigations to be more effective. In certain circumstances, anonymity cannot be maintained. In these circumstances, the informant will be informed prior to release of information.

8. Roles and Responsibilities

The overall responsibility for the prevention and minimising of fraud rests with the Principal of the College. However all staff have a responsibility for the prevention, detection and reporting of fraud.

The Director of Finance and Estates has been nominated as the main point of contact for the reporting of any suspicion of fraud. In addition, responsibility for investigation of fraud/theft has been delegated to the Director of Finance and Estates. The Director of Finance and Estates shall be responsible for informing third parties such as the Scottish Further Education Funding Council, internal and external audit, of the police where appropriate. For incidents involving the Director of Finance and Estates, Vice Principals, the Principal and/or the Board of Management, the "nominated individual" shall be the Board of Management's Chair of the Audit Committee. For incidents involving the Chair of the Audit Committee the "nominated individual" shall be the Chair of the Board of Management. For the purpose of the remainder of the Policy the nominated "Senior Manager" shall be deemed to be the Director of Finance and Estates or the Board of Management's Chair of the Audit Committee as appropriate.

The nominated Senior Manager shall inform and consult the Principal (except in the case where such matter involves the Principal where he shall consult with the Board of Management's Chair of Audit Committee) in all cases.

The Senior Manager may wish to obtain advice as to whether the matter should be investigated under the guidance set out in this Policy or under the College Disciplinary Procedure. The Director of Organisational Development and HR should be consulted in the first instance.

Where a member of staff is to be subject to an investigation for fraud under the College Disciplinary Procedure, which can be found on the College intranet, the Senior Manager shall consult and take advice from the Director of Organisational Development and HR.

The Director of Organisational Development and HR shall advise those involved in the investigation on matter of employment law and other procedural matters.

Where the incident is considered to be subject to either local or national controversy and publicity then the Principal, Board of Management and the Scottish Funding Council should be notified (in addition to the External Auditors) before the information is made public.

It is the responsibility of the Director of Finance and Estates to ensure that staff are aware of the above requirements and that appropriate reporting arrangements are in place.

It is the responsibility of all staff to safeguard the assets of the Board of Management. Assets include information and goodwill, as well as property. As such it is the responsibility of:

Line Managers to

- Have an understanding of the fraud risks in their areas and to be aware of the processes which are under risk
- Be diligent in their responsibilities as managers particularly in exercising their authority in authorising transactions such as timesheets, expense claims, purchase orders, returns and contracts

- Deal effectively with issues raised by staff including taking the appropriate action in terms of this Policy to deal with reported or suspected fraudulent activity
- Provide support/resource as required to fraud investigations.

All Staff

- To uphold the high legal, ethical and moral standards that are expected of all individuals connected to the College
- Adhere to all the policies and procedures in safeguarding the College's assets
- Alerting management should they suspect that there is or there is the possibility of fraud that exists

It shall be necessary to categorise the irregularity prior to determining the appropriate course of action. Two main categories exist:

- Theft, burglary and isolated opportunity offences
- Fraud, corruption and other financial irregularities.

The former will be dealt with directly by the police, whilst the latter will be investigated and may be reported to the police in accordance with this Policy and also may require disclosure to the College's funding bodies.

9. Response Plan

Introduction

The following sections describe the Board of Management's response to a reported suspicion of fraud/theft. These procedures are designed to allow for evidence gathering and collation in a manner that will facilitate informed initial decisions, while ensuring that any evidence gathered will be admissible in any criminal or civil action. Each situation is different; therefore, the guidance must be considered carefully in relation to the specific circumstances of each case before action is taken.

Under no circumstances should a member of staff speak or write to representatives of the press, television, radio or to another third party (other than those external parties who are “prescribed persons” within the terms of the Public Interest Disclosure Act 1998), about a suspected fraud/theft, without the express authority of the Principal. Care needs to be taken that nothing is done that could give a rise to an action for defamation of character.

Reporting Fraud

The nominated Senior Manager shall be trained in the handling of concerns raised by staff. The nominated Senior Manager shall, whenever possible, respect any request for anonymity or confidentiality providing that in doing so, that is consistent with the overall aims and objectives of this Policy and the principles of natural justice.

All reported suspicions must be investigated as a matter of priority to prevent any further potential loss to the Board of Management.

The nominated Senior Manager shall maintain a log of reported suspicions. The log will document, with reason, the decision to take further action or to take no further action. To justify such decisions the nominated Senior Manager shall retain as necessary, confidential files of evidence gathered to arrive at a decision. These files will be securely held with limited access. The log will detail any actions taken and conclusions reached with appropriate cross-referencing to any file held. The log should be reviewed annually by the Internal Auditors, who will report to the Audit Committee on any significant matters.

The nominated Senior Manager should consider the need to inform the Board of Management, external audit and police of the reported incident. In doing so, the nominated Senior Manager should take cognisance of the following guidance:

- Suspected losses below £500 may be treated as below the delegated limit and any required action taken as appropriate by the Senior Manager
- The Principal should be informed at the first opportunity in all cases of fraud.

- It is the duty of the nominated Senior Manager to notify the Board of Management immediately of all losses above the delegated limit where fraud/theft is suspected
- If a criminal act is suspected, particularly fraud or corruption, it is essential that matters are progressed from the outset in accordance with this Policy. The police should be contacted before any overt action is taken which may alert suspects and precipitate the destruction or removal of evidence. This includes acting to stop a loss or tighten controls only on advice of the police not to take such action
- At the stage of contacting the police, the nominated Senior Manager should contact the Director of Organisational Development and HR to initiate, if appropriate, the suspension of the employee, with pay, pending an investigation

Managing the Investigation

The nominated Senior Manager will appoint a manager to oversee the investigation. The circumstances of each case will dictate who will be involved and when.

The manager overseeing the investigation (referred to hereafter as the “Investigating Manager”) should initially:

- Initiate a “Diary of Events” to record the progress of the investigation
- If possible, determine if it is a fraud investigation or another criminal investigation. If a criminal event is believed to have occurred, the police, external audit and the Chair of the Audit Committee should be informed, if this has not already been done. The Chair of the Audit Committee should inform the Chair of the Board

If a criminal offence is believed to have occurred, the Investigating Manager may consider it appropriate to wait until the conclusion of any criminal investigation and/or proceedings before determining whether to progress the internal investigation.

If it is determined by the Investigating Manager that a formal internal investigation should be carried out, the investigation should establish:

- The extent and scope of any potential loss
- If the College Disciplinary Procedure should be invoked
- The nature of the offence, if not yet established
- What can be done to recover loss
- What may need to be done to improve internal controls to prevent re-occurrence.

The outcome of the investigation will be the subject to a report. This will normally take the form of an Internal Audit Report to the Audit Committee. The Audit Committee will then report the outcome to the Board of Management.

Where the report suggests that a criminal act has occurred and notification to the police has not been made, it should now be made.

Where recovery of a loss to the Board of Management, arising from any act (criminal or non – criminal), is likely to require a civil action, the College should seek legal advice.

If a decision is taken to invoke the College's Disciplinary Procedure, the report of the investigation will be used during the formal disciplinary proceedings.

An employee(s) who is/are the subject of any investigation may be suspended with pay pending the outcome of any proceedings under the College Disciplinary Procedure.

Gathering Evidence

It is not possible for this procedure to cover all the complexities of gathering evidence. Each case must be treated according to the circumstances of the case, taking professional advice as necessary. The Investigating Manager should, at all times, seek to maximise the reliability of audit evidence.

If a witness to the event is prepared to give a written statement, it is best practice for an experienced member of staff, preferably from the Human Resources Department, to take a chronological record using the witness's own words. The witness should sign the statement only if satisfied that it is a true record of his or her own words.

At all stages of the investigation any discussions or interviews should be documented and, where possible, agreed with the interviewee.

Physical evidence should be identified and gathered in a secure place at the earliest opportunity. An inventory should be drawn up by the Investigation Manager and held with the evidence. Wherever possible, replacement or new documents should be introduced to prevent access to the evidence. If evidence consists of several items, for example a number of documents, each one should be tagged with a reference number corresponding to the written record.

Interview Procedures

The Investigating Manager should, wherever possible, attempt to gather documentary and third party evidence for the purposes of the report. If an employee wishes to make a statement, it should be signed and dated, and include the following:

"I make this statement of my own free will; I understand that I need not say anything unless I wish to do so and that what I say may be given in evidence."

Informal contact with the police should be made at an early stage in any investigation to ensure that no actions are taken that could prejudice any future criminal case through the admissibility of evidence.

Reporting process

Throughout any investigation, the Investigating Manager will keep the Principal, Director of Finance and Estates and Director of Organisational Development and HR informed of progress and any developments. If the investigation is long or complex, interim reports to the Audit Committee will be made. These reports may be verbal or in writing and may be in the form of an Internal Audit report.

On completion of the investigation the Investigating Manager will prepare a full written report setting out:

- Background as to how the investigation arose
- What action was taken in response to the allegations
- The conduct of the investigation
- The facts that come to light and the evidence in support
- Action taken against any party where the allegations were proved
- Action taken to recover any losses
- Recommendations and/or action taken by management to reduce further exposure and to minimise any recurrence

Disclosure of Loss from Fraud

A copy of the fraud report, for those above the £500 threshold, in appropriate format must be submitted to the Scottish Funding Council. Internal and External Auditors should also be notified of any loss. The register of losses and condemnations submitted annually to the Audit Committee should include any loss with appropriate description.

Management must take account of the permitted limits on writing off losses that require formal approval as stipulated in the College Financial Regulations.

Police Involvement

It shall be the policy of the Board of Management that wherever a criminal act is suspected the matter will be immediately notified to the police.

The nominated Senior Manager will decide at what stage the police are contacted.

The nominated Senior Manager and Investigating Manager should informally notify police of potential criminal acts, to seek advice on the handling of each investigation at an early stage in the investigation.

Press Release

If there may be potentially damaging publicity to the College and/or to the suspect, the Board of Management's Chair, on behalf of the Board of Management, should prepare, at an early stage, a press release giving the facts of any suspected occurrence and any actions taken to date. For example, suspension, although the name of the staff member suspended pending investigations should not be released to the press.

10. Resourcing of Investigation

The nominated Senior Manager will determine the type and level of resource to be used in investigating suspected fraud. The choices available will include:

- Internal staff from within the College
- Director of Organisational Development and HR
- External / Internal Audit
- Specialist Consultant
- Police

In making a decision, the nominated Senior Manager should consider independence knowledge of organisation, cost, availability and the need for a speedy investigation. Any decisions must be shown in the Log held by the Nominated Senior Manager. A decision to take “no action” will not normally be an acceptable option except in exceptional circumstances.

In any case involving a suspected criminal act, it is anticipated that police involvement will be in addition to an alternative resource.

11. Risk Assessment / Training

The College will undertake an annual fraud risk review for consideration by senior management which will aim to identify and address potential fraud risks. Any training needs identified as part of this review will be undertaken as a matter of urgency.

12. The Law and its Remedies

Criminal Law

The Board of Management shall refer all incidences of suspected fraudulent acts over the £500 threshold or criminal acts to the police for decision by the Procurator Fiscal as to any prosecution.

Civil Law

The Board of Management shall refer all incidences of loss through proven fraudulent or criminal act to their legal representatives to determine whether the loss can be recovered by civil action.

APPENDIX 1

FURTHER GUIDANCE ON FRAUD

Further information relevant to implementing this Policy can be found in the following:

CIPFA Code of Practice for counter fraud

<http://www.cipfa.org/services/counter-fraud-centre/code-of-practice>

National Fraud Initiative

<https://www.gov.uk/government/collections/national-fraud-initiative>

Managing the Risk of Fraud

http://webarchive.nationalarchives.gov.uk/20120906143131/http://www.hm-treasury.gov.uk/d/managing_the_risk_fraud_guide_for_managers.pdf

Scottish Government Fraud Response Plan

<http://www.gov.scot/Topics/Government/Finance/spfm/fraud/fraudannex2>

Scottish Public Finance Manual

<http://www.gov.scot/Topics/Government/Finance/spfm/Intro>

Appendix 2

EQUALITY IMPACT ASSESSMENT

Name of policy/procedure/decision:

Fraud and Corruption Policy

Provide a brief summary of the aims of the policy/procedure/decision and main activities:

This Policy sets out the Board of Management's response plan for detected or suspected fraud. It provides guidance to all staff on the action, which should and will be taken when fraud, theft or corruption is suspected.

Assessed By: Clare Fraser

Date: 7 December 2018

This stage establishes whether a policy, procedure or decision will have a differential impact from an equality perspective on people who share protected characteristics or whether it is "equality neutral" (i.e. have no effect either positive or negative).

The protected characteristics are: age, disability, gender reassignment, pregnancy or maternity, race, religion or belief, sex and sexual orientation.

1. Who will benefit from this (students/staff/stakeholders)? Is there likely to be a positive impact on people who share protected characteristics, and if so, how? Or is it clear at this stage that it will be equality "neutral"? i.e. will not have a differential impact on any equality group/s?

This Policy is not directly relevant to the College's duty to advance equality, eliminate discrimination and promote good relations. It is not anticipated that any differential impact will occur.

2. Is there likely to be an adverse impact on people who share protected characteristics? If so, who may be affected and why? Or is it clear at this stage that it will be equality "neutral"?

This Policy will have a neutral impact on people who share protected characteristics.

3. What action will you take to ensure that you are monitoring the impact of this Policy?

This Policy will be monitored indirectly through data collected with regards to the Disciplinary Policy and Procedure.

TITLE: ESTATES COMMITTEE

Draft Minutes of the meeting held on 10 September 2019

Action: There are no recommendations but there are a number of matters for report.

EM356 Paisley Town Centre Vision – the Head of Regeneration and the Regeneration Manager from Renfrewshire Council provided the Committee with information on the future vision for the development of Paisley Town Centre and the Advanced Manufacturing Innovation District in Scotland at Inchinnan.

EM361 Inchinnan/Oakshaw Project: Post Occupancy Review Report – the Committee noted the report on the post-occupancy review of the above project. It was pleased to note that overall the project had been a success and delivered within budget and to the general satisfaction of the users.

EM363 Estates Maintenance Plans and Carbon Management Projects – it was noted that the estates maintenance plans for 2019-20 were being updated in line with the funding available. Discussions with the SFC were on-going in relation to the use of the high priority maintenance funds. The Committee was pleased to note that the College has been nominated for a Green Gown Award UK and Ireland for the work undertaken with AC Whyte to develop and promote “The Eco Thermal Insulation Skills Academy”.

[REDACTED]

Lead: Nick Allan, Chair of Estates Committee

Status: Open, except for items EM370 - 372 which are restricted as they are commercially sensitive.

DRAFT

ESTATES COMMITTEE

MINUTES: 10 September 2019

Present: Nick Allan (in the Chair),
Liz Connolly, Andrew Hetherington, John McMillan.

Apologies: Keith McKellar.

Attending: John Leburn (Board member), David Alexander (Vice Principal Operations), Stephanie Graham (Vice Principal Educational Leadership), Alan Ritchie (Director of Finance and Estates), Peter Thorne (Head of Estates) and Gwen McArthur (Secretary to the Committee).

Attending by

Invitation: Alasdair Morrison, Head of Regeneration, and Stewart McMillan, Regeneration Manager, Renfrewshire Council.

EM354 WELCOME

On behalf of the Committee the Chair welcomed John Leburn (Board member), Alasdair Morrison and Stewart McMillan (Renfrewshire Council) to the meeting.

EM355 DECLARATION OF INTERESTS

John McMillan and Liz Connolly declared an interest as Trustees of the West College Scotland Foundation. David Alexander declared an interest as a member of the Council of the Scottish Funding Council (SFC) and Chair of the SFC's Audit and Compliance Committee.

EM356 PAISLEY TOWN CENTRE VISION (EM339)

Alasdair Morrison, Head of Regeneration, and Stewart McMillan, Regeneration Manager, Renfrewshire Council, presented information to the Committee which outlined the future vision for the development of Paisley Town Centre and the Advanced Manufacturing Innovation District in Scotland at Inchinnan, next to Glasgow Airport.

Alasdair Morrison informed the Committee that Paisley was the largest town centre in Scotland with a significant number of historic buildings. In developing the vision, the Council had taken a bold approach with the key principles of rebalancing, repopulating and repositioning the town centre. Three different plans had been prepared which had yet to be considered and approved by the Council before being made public. Paisley had a lot to offer in terms of its culture and heritage. The overall aim was to use existing spaces and create new spaces, as well as taking account of health and wellbeing planning, in order to attract more people into the town centre. It was also the aim to provide greater connectivity between the town centre and other key amenities including the College and University.

In looking at the development of the Advanced Manufacturing Innovation District in Scotland (AMIDS) at Inchinnan it was noted that this area already supported over 9,000

manufacturing jobs and the plans were to build on this. It was known that the National Manufacturing Institute for Scotland (NMIS) would be located within this area, with building starting next year, and there would also be a pharmaceutical innovation centre located here. The aim was to create an area where people would want to come and collaborate. This would increase the opportunities for collaboration across the whole area and improve connectivity between the College, the University and the Institutes. It was also the aim to construct a bridge over the river Clyde to link Clydebank and Renfrew.

The Committee welcomed these plans which it found interesting and helpful to understand the Council's vision for the area. On behalf of the Committee the Chair thanked Alasdair Morrison and Stewart McMillan for sharing this information.

EM357 MINUTES

The minutes of the meeting held on 28 May 2019 were approved.

EM358 ACTIONS FROM THE MINUTES

The Committee noted the actions taken since the last meeting, and particularly the following:

- .1 Golden Jubilee Hospital, Clydebank (EM339.1)** – the Vice Principal Operations informed the Committee that discussions with the Golden Jubilee Hospital were continuing. The Hospital was keen to explore reaching a strategic partnership arrangement with the College. A series of meetings had been arranged to discuss this matter. The Committee would be kept informed of developments. **[Action: DA]**
- .2 Clydebank District Heating System (EM338.3)** – it was noted that the College was still waiting for further information from West Dunbartonshire Council on the College's possible involvement with this project.
- .3 Disposal of Property (EM353)** – it was noted that the sale of the property at Drumry Road, Clydebank would be completed by the end of the month.

EM359 COMMITTEE REMIT, MEMBERSHIP AND DATES OF MEETINGS IN 2019-20

The Committee **agreed** its remit and noted its membership and dates of meetings for 2019-20. The Chair informed the Committee that Jenifer Johnston, Board member, had expressed an interest in joining the membership of this Committee. This would be progressed through the normal channels with the aim that her membership would be confirmed at the next meeting of the Board in October. **[Action: GMcA]**

EM360 MONITORING OF REGIONAL OUTCOME AGREEMENT (EM342)

The Vice Principal Operations provided a paper setting out background information in relation to the process for producing the Regional Outcome Agreement (ROA) and highlighting the College's key objectives that were contained within the ROA. The paper indicated the ROA objectives applicable to the Estates Committee and how these would be monitored and reported upon during the year. The Committee welcomed this information and **agreed** the processes in place to enable this monitoring and reporting.

EM361 INCHINNAN/OAKSHAW PROJECT: POST OCCUPANCY REVIEW REPORT (EM278)

The Head of Estates presented a report on the post-occupancy review of the Inchinnan/Oakshaw buildings project. This review had covered a range of factors including consideration of the building performance, construction and design issues, project management and user satisfaction. Overall the project had been a success and had delivered within budget and to the general satisfaction of the users. This review had identified several lessons learned that would be taken forward into future projects. The Committee welcomed this report.

EM362 CLYDEBANK CAMPUS MASTERPLAN REPORT (EM311)

The Head of Estates provided a report to the Committee on progress with the development of a Masterplan for the future development of the Clydebank Campus. A Short Life Working Group (SLWG) had been established, comprising members of staff and students, to consider options for the future development of the building and consider the opportunities open to the College. This Masterplan would allow a considered approach to future investment at the Clydebank Campus should funding become available. It was noted that discussions with West Dunbartonshire Council Leisure Trust had also been held to explore further opportunities for the Sport and Health areas to access the facilities at the adjacent Leisure Centre. The Committee welcomed this report and **agreed** that copies of the PowerPoint presentation be circulated to Committee members. **[Action: PT]**

EM363 ESTATES MAINTENANCE PLANS AND CARBON MANAGEMENT PROJECTS (EM341)

The Director of Finance and Estates presented a report which provided an update on Estate Maintenance Plans and Funding and Carbon Management/Sustainability projects. The Committee noted the following information:

- i. **Estate Maintenance Plans:** the Committee noted the progress made with the estates projects agreed for 2018-19. In relation to the plans for 2019-20, these were being updated in line with the funding available. It was noted that discussions with the SFC were on-going in relation to the use of the high priority maintenance funding. These discussions had been positive as the SFC recognised the challenges faced by the College.
- ii. **Carbon Management and Sustainability:** the Committee noted the report on carbon management and sustainability. It was particularly pleased to note that the College had been nominated for a Green Gown Award UK and Ireland, for the work undertaken with AC Whyte to develop and promote 'The Eco Thermal Insulation Skills Academy'.

EM364 STRATEGIC RISK REGISTER (EM343)

The Director of Finance and Estates informed the Committee that there had been no major changes to the Strategic Risk Register since the Board meeting in June, with some mitigating actions being updated as appropriate. The Committee noted the Strategic Risk Register and had no further changes or amendments to make to it.

EM365 AUDIT SCOTLAND REPORT: SCOTLAND'S COLLEGES 2019

The Committee noted the Audit Scotland Report – Scotland's Colleges 2019. The Committee noted that Audit Scotland had included the matter of the need for investment in the estate across the College sector.

EM366 SCHEDULE OF BUSINESS 2019-20 (EM348)

The Committee noted its Schedule of Business for 2019-20.

EM367 SCOTLAND'S LEARNING ESTATE STRATEGY

The Committee noted the tabled paper, *'Scotland's Learning Estate Strategy – Connecting People, Places and Learning'*, which was a joint publication by the Scottish Government and COSLA. While this report concentrated primarily on funding for schools there was some mention of the need for funding in the college sector. However, it did not confirm the availability of any funding or the possible timescale for any future investment.

EM368 EDUCATION SCOTLAND

It was noted that Janet Campbell from Education Scotland, and HMI for the College, had expressed an interest in attending a meeting of the Estates Committee to hear the considerations being given to the development of the learning environment and the estates investment at the College. It was **agreed** that Janet Campbell attend the next meeting of the Committee in December. **[Action: SG]**

EM369 NEXT MEETING

The next meeting will be held on Tuesday 10 December 2019 at the Greenock Campus.

RESERVED BUSINESS

The following items are deemed to be restricted under the Freedom of Information Act as being commercially sensitive.

[REDACTED]

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GMcA/19.09.19/DRAFT v2

TITLE: ORGANISATIONAL DEVELOPMENT AND HR COMMITTEE
Draft Minutes of the meeting held on 18 September 2019

Action: There are 2 recommendations for consideration and a number of items for report.

1 Recommendations

OM260 Voluntary Severance Scheme – the Committee considered the Voluntary Severance Scheme which had been updated in line with the guidance issued by the Scottish Government. The Committee was satisfied with the revised VS Scheme and **RECOMMENDS** to the Board that it be approved. This will also have been discussed at agenda item 7, Chief Executive's Report.

OM261 Public Interest Disclosure (Whistleblowing) Policy – the Committee considered the revised Public Interest Disclosure (Whistleblowing) Policy. The Committee is satisfied with the revised policy and

RECOMMENDS to the Board that it be approved. This Policy had also been considered by the Audit Committee who are also recommending that this be approved – see Paper 12.1

2 Items for Report

OM258 Committee Remit, Membership and Dates of Meetings 2019/20 – in light of the departure of the previous Chair of this Committee, and following a meeting held in June to consider the current Committee structure, the Chair had held discussions with the Chair of the Corporate Development Committee to consider combining the Organisational Development and HR Committee and the Corporate Development Committee, at least on an interim basis to determine if this was a workable solution. This would be reviewed at the end of the session. The Organisational Development and HR Committee agreed to trial this during the session. This would now be considered by the Corporate Development Committee at its next meeting.

OM259 National Bargaining – the Committee received an update on the current position regarding National Bargaining.

Lead: Keith McKellar, Interim Chair, Organisational Development and HR Committee

Status: Open

DRAFT

ORGANISATIONAL DEVELOPMENT & HR COMMITTEE

MINUTES: 18 September 2019

Present: Keith McKellar (in the Chair)
Liz Connolly, David Mark.

Attending: David Gunn (Director Organisational Development & HR), Gwen McArthur (Secretary to the Committee).

Apologies: Linda Johnston.

OM255 DECLARATION OF INTERESTS

Liz Connolly declared an interest as a Trustee of the West College Scotland Foundation.

OM256 MINUTES

The minutes of the meeting held on 15 May 2019 were approved.

OM257 ACTIONS FROM THE MINUTES

The Committee noted the actions taken since the last meeting and particularly the following:

- .1 Annual Effectiveness Review of the Board (OM243.1)** – it was noted that the annual internal review of Board effectiveness had taken place in May with a report to the Board in June. The external effectiveness review was about to commence shortly. Tenders to conduct this review had been sought and three responses received. These were currently being scrutinised. It was the intention that the external effectiveness review would be completed in time to report to the Board in February 2020.
- .2 Health and Safety Matter (OM206.1)** – the Director Organisational Development and HR updated the Committee on a health and safety matter relating to the discovery of asbestos. This matter had been on-going for some time but was now complete.
- .3 Finnart Street Building (OM243.2)** – the Director Organisational Development and HR informed the Committee that in the light of the remedial action that had been taken it had been agreed that the programme of inspections would be increased to at least twice per annum, rather than annual. Other safety measures would remain in place, such as fencing round the building, as safety was a priority. The Committee welcomed this report.

OM258 COMMITTEE REMIT, MEMBERSHIP AND DATES OF MEETINGS IN 2019-20

The Committee noted its current remit, membership and proposed dates of meetings in session 2019-20. The Chair informed the Committee that discussions

had been taking place in the College regarding the current committee structure with a view to determine if there could be a reduction on the load of Board members and members of the senior staff who supported these committees. The Chair had discussed this with the Chair of the Corporate Development Committee and it was proposed that the two committees should merge, at least on an interim basis, to determine if this was a workable solution. This would be reviewed at the end of the session.

It was noted that there would be a new Chair of the Board appointed next year, as the current Chair would complete his term of office on 2 March 2020. A new Chair could bring different ideas to this matter. The Corporate Development Committee had not had the opportunity to consider this matter yet as it did not meet until later in October. Once the Corporate Development Committee had considered this matter then the Committee would be informed of the next step.

The Committee **agreed** that, if the Corporate Development Committee was in favour of combining with this Committee, then this could be trialled during session 2019-20 and reviewed at the end of the session. **[Action: KM]**

OM259 NATIONAL BARGAINING: UPDATE (OM244)

The Principal provided an update on the ongoing national bargaining negotiations with the Colleges Scotland Employers' Association and trade unions representing support and lecturing staff.

- .1 Teaching staff** – the Committee noted that a settlement had been reached through National Bargaining on pay and terms and conditions for Teaching staff across the sector. Information on the national settlement reached was noted including the 3 year agreement on pay which ended on 31 August 2020. In discussion of this matter it was noted that Teaching staff could now request up to 7 hours per week off-site working, but this had to be agreed with the line manager first. Discussions at the College Local JCNC had been very positive regarding how this part of the agreement would be implemented, with a professional and Collegiate teamworking approach being taken to ensure that the needs of students came first. College Guidelines on off- site working had been agreed between EIS and management. It was proposed that Joint Management/trade union awareness sessions would be provided to the Trade Union representatives to help ensure that a consistent interpretation of the national agreement took place across the College. The implementation of the Guidelines on off-site working would be monitored and reviewed in December.

It was also noted that professional registration of Teaching staff was now a requirement but Working Groups were meeting to agree arrangements for implementation. Teaching staff were also required to hold a TQFE qualification. Within the College this had been positively welcomed and staff had shown willing to improve their professional qualifications. Within the College there was only a small number of staff who did not meet the minimum qualification level for undertaking the TQFE qualification and discussions had been held with them to discuss how they could achieve the required level. There were a range of courses

now available to help staff achieve this outcome and this was being actively pursued. The Committee welcomed this information.

- .2 Support staff** – as part of the national job evaluation process questionnaires had been issued to staff with the return deadline of the end of August 2019. The Committee was aware that this job evaluation exercise was different to the one that the College had conducted a part of the harmonisation process following merger. The Committee was updated on progress with this national process.

OM260 VOLUNTARY SEVERANCE SCHEME (OM245)

The Committee was aware that the previous Voluntary Severance (VS) Scheme had expired at the end of July 2019. The scheme had been revised and updated in line with the guidance issued by the Scottish Government and was now before the Committee for consideration. While the College had no plans to use this revised VS scheme at present it was considered prudent to have an approved scheme in place should it be required. The Remuneration Committee would also be asked to consider this scheme.

The Committee was satisfied with the revised VS Scheme and
RECOMMENDS to the Board that it be approved.

[Action: KM]

OM261 PUBLIC INTEREST DISCLOSURE (WHISTLEBLOWING) POLICY

The Committee considered the Public Interest Disclosure (Whistleblowing) Policy which had been revised and updated recently. The College lawyers had provided advice on this matter and the revised policy had been considered by the Audit Committee at its recent meeting.

The Committee welcomed these amendments and
RECOMMENDS to the Board that the revised Public Interest Disclosure (Whistleblowing) Policy be approved.

[Action: DG]

OM262 STRATEGIC RISK REGISTER (OM250)

The Committee noted the Strategic Risk Register. There had been no change to the top risks but the mitigating actions had been updated. The Committee noted the Risk Register and had no changes or amendments to make to it.

OM263 REPORTS FROM SUB-COMMITTEES (OM252)

The Committee noted the reports from the following sub-committees:

- i. Joint Consultative and Negotiating Committee for Lecturing staff meetings of 1 February and 17 May 2019;
- ii. Joint Consultative and Negotiating Committee for Support Staff meetings of 11 March and 17 May 2019;
- iii. Equality, Diversity and Inclusion Committee meetings of 28 February and 6 June 2019.

OM264 GWEN MCARTHUR

It was noted that this would be the last meeting for the Secretary, Gwen McArthur, who would be leaving the College at the end of October. On behalf of the Committee the Chair thanked Gwen for her service to the Committee.

OM265 NEXT MEETING

Wednesday 6 November 2019 at 4.00 p.m. at the Paisley campus – subject to confirmation.

GMcA/20.09.19/DRAFT v2

TITLE: **REPORT FROM NOMINATIONS COMMITTEE**

BACKGROUND: The Nominations Committee considered a proposal by correspondence (email) that Jenifer Johnston be appointed to membership of the Estates Committee. Jenifer is already a member of the Board and the Corporate Development Committee. The Chair of the Estates Committee confirmed he supported this proposal.

This proposal is supported by the Nominations Committee and it now **RECOMMENDS** to the Board that Jenifer Johnston be appointed to the membership of the Estates Committee with immediate effect.

ACTION: The Board is asked to approve the appointment of Jenifer Johnston to the membership of the Estates Committee with immediate effect.

LEAD: Keith McKellar, Chair of the Board of Management

STATUS: Open

TITLE: **REPORT FROM REMUNERATION COMMITTEE**

BACKGROUND: The Remuneration Committee considered a proposal by correspondence (email) that a revised Voluntary Severance (VS) Scheme be approved. This revised VS Scheme is similar to the previous scheme that the College used during session 2018-19 which had been approved for use up to 31 July 2019. The revised VS Scheme has been updated to reflect guidance issued by the Scottish Government. While there are no plans to implement this scheme at present it was considered prudent to have an approved scheme in place should it be required.

The Remuneration Committee is satisfied with the revised VS Scheme and has asked that the Board be advised if and when this scheme is to be implemented. This VS Scheme will have been considered at agenda item 7, Chief Executive's Report, Annex 4.

This proposal is supported by the Remuneration Committee and it now **RECOMMENDS** to the Board that the revised Voluntary Severance Scheme be approved.

ACTION: The Board is asked to approve the revised Voluntary Severance Scheme as set out in Annex 4 to Paper 7, Chief Executive's Report.

LEAD: Mark Newlands, Chair of the Remuneration Committee

STATUS: Open

TITLE: MEMBERSHIP, PROPOSED SCHEDULE OF BUSINESS 2019/20 AND DATES OF MEETINGS IN 2019/20

Background: I have attached the following information which the Board is asked to note:

1. **Current Board membership** – see **Annex 1**.
2. **Proposed Schedule of Business for 2019/20** – see **Annex 2**. This will be subject to review and adjustment in light of the business coming forward.
3. **Dates of meetings in 2019/20** – see **Annex 3**. This includes the dates of meetings of the Committees.

Action: The Board is asked to note the information.

Lead: Gwen McArthur, Secretary to the Board

Status: Open

Annex 1

WEST COLLEGE SCOTLAND BOARD OF MANAGEMENT

Under the terms of the Further and Higher Education (Scotland) Act 1992, as amended by the Post-16 Education (Scotland) Act 2013, the membership of the Board of Management 'shall consist of no fewer than 15 nor more than 18 members'. The current membership is:

Chair

Keith McKellar

Vice Chair

Jacqueline Henry

Principal

Elizabeth Connolly (*ex officio*)

Teaching staff – 1 elected

David Watson

Non-Teaching staff – 1 elected

Steven Cairney

Students Association (2)

Vanessa Thompson

Priya Kaur

Non-Executive Members

Nick Allan

Mike Haggerty

Jim Hannigan

Andrew Hetherington

Jenifer Johnston

Linda Johnston

John Leburn

John McMillan

Mark Newlands

Angela Wilson

Vacancy

In Attendance

Stephanie Graham, Vice-Principal Educational Leadership

David Alexander, Vice-Principal Operations

Gwen McArthur, Secretary to the Board

BOARD OF MANAGEMENT 2019/20
PERIOD OF APPOINTMENT

Name	Status	Period of appointment
Keith McKellar	Chair	4 + 2 years 4.03.14 – 3.03.18 3.03.18 – 2.03.20
Elizabeth Connolly	Principal	<i>Ex officio</i>
Nick Allan	Non-Executive	4 + 4 years 1.02.15 – 31.01.19 1.02.19 – 31.01.23
Mike Haggerty	Non-Executive	2 + 4 years 1.02.15 – 31.01.17 1.02.17 – 31.01.21
Jim Hannigan	Non-Executive	3 + 4 years 1.02.15 – 31.01.18 1.02.18 – 31.01.22
Jacqueline Henry	Non-Executive	3 + 4 years 1.02.15 – 31.01.18 1.02.18 – 31.01.22
Andrew Hetherington	Non-Executive	2 + 4 years 1.02.15 – 31.01.17 1.02.17 – 31.01.21
Jenifer Johnston	Non-Executive	4 + 4 years 1.02.15 – 31.01.19 1.02.19 – 31.01.23
Linda Johnston	Non-Executive	4 years 1.01.17 – 31.12.20
John Leburn	Non-Executive	4 years 1.01.17 – 31.12.20
John McMillan	Non-Executive	2 + 4 years 1.02.15 – 31.01.17 1.02.17 – 31.01.21
Mark Newlands	Non-Executive	4 + 4 years 1.02.15 – 31.01.19 1.02.19 – 31.01.23
Angela Wilson	Non-Executive	4 years 1.09.17 – 31.08.21
David Watson	Teaching Staff	4 years 13.09.17 – 12.09.21
Steven Cairney	Support Staff	4 years 18.09.19 – 17.09.23
Vanessa Thompson	Student President	1 year 1.08.19 – 31.07.20
Priya Kaur	Student Representative	1 year 1.08.19 – 31.07.20

GMCA/as at 26.09.19

Annex 2

PROPOSED SCHEDULE OF BUSINESS 2019/20 BOARD OF MANAGEMENT

Date of meeting	Agenda items	Deadline for Papers
7 October 2019 Greenock Campus	<p>Main items of business 5 Year Financial Forecast Business Transformation Plan VS Scheme Board Membership External Effectiveness Review</p> <p>Committee reports Audit; Estates; Finance & GP; Organisational Development & HR</p>	24 September
9 December 2019 Paisley Campus	<p>Main items of business Key Performance Indicators Evaluation Report and Enhancement Plan Student Satisfaction Survey Outcomes Management Accounts <i>Regional Outcome Agreement Review Report 2018/19?</i> <i>Draft Board External Effectiveness Review Report?</i></p> <p>Financial Statements for the year ending 31 July 2019 Report from External Auditor Annual Report from Audit Committee Annual Report from Internal Audit</p> <p>Committee reports Corporate Development; Finance & GP; Joint Audit and FGP; Learning, Teaching & Quality; Organisational Development & HR.</p> <p>Development session (at 3.00 p.m.) Risk management appetite statement</p>	27 November
3 February 2020 Paisley Campus	<p>Main items of business Board External Effectiveness Review Report Board Development Action Plan Update <i>Draft Regional Outcome Agreement 2020-?</i> <i>Review of Modern Slavery Statement?</i></p>	22 January

	Committee Reports Audit; Estates	
23 March 2020 Clydebank Campus	Main items of business Final Regional Outcome Agreement 2020 - ? HR Annual Report 2019 Key Performance Indicators update? Proposed dates of meetings 2020/21 Committee Reports Audit; Corporate Development; Estates; Finance & General Purposes; Learning, Teaching & Quality; Organisational Development & HR	11 March
15 June 2020 Paisley Campus	Main items of business Management Accounts Budget 2020/21 and Financial Strategy (including Budget for Students Association) Review of Board Development Action Plan? Committee Reports on Progress against Regional Outcome Agreement? Draft Schedule of Business 2019/20 Committee reports Audit; Corporate Development; Estates; Finance & General Purposes; Learning, Teaching & Quality; Organisational Development & HR	3 June

Dates of Meetings in 2019/20

Committee	Aug	September	October	November	December	January	February	March	April	May	June
BOARD Mondays at 4.00 p.m.			7 G		9 P		3 P	23 C			15 P
Audit Thursdays at 4.00 p.m.		4 Wednesday			12			12		21	
Joint Audit & Finance				19 4.00 p.m.							
Finance and GP Tuesdays at 4.00 p.m.		3		19 2.00 p.m.				10			2
Corporate Development Tuesdays at 4.00 p.m.			22				18			5	
Estates Tuesdays at 4.00 p.m.		10 P			10 G			3 C		26 P	
OD&HR Wednesdays at 4.00 p.m.		18		6			12			13	
LTQ Wednesdays at 4.00 p.m.				13 C			26 P			20 G	

NOTE: the venue for the Board and some Committee meetings will alternate between different Campuses as indicated above.

C = Clydebank; G = Greenock; P = Paisley.

TITLE: REPORT ON DELEGATED ACTION

BACKGROUND: The College required to renew the support and maintenance contract for the Student Records Database System. The College identified an APUC approved Framework agreement to provide this service. This contract is with Capita F&HE for a five year period commencing on 1 August 2019 [REDACTED]. The Chair consulted the Chairs of the Committees and, taking account of the value for money being achieved, approved this contract.

ACTION: The Board is asked to homologate the action taken by the Chair.

LEAD: Keith McKellar, Chair of the Board of Management

STATUS: Open