

West College Scotland

ASSET AND INFRASTRUCTURE COMMITTEE

WEDNESDAY 16 September 2020 at 4.00 p.m.

By Skype

AGENDA

General Business

1. Apologies
2. Declaration of Interests
3. Minutes of the meeting held on 26 May 2020
Actions from the minutes Attached NA
Attached NA
4. Matters arising
(and not otherwise on the agenda)
.1 Catering and Cleaning Service Update Verbal DA

Main Items for Discussion and/or Approval

5. Committee Membership, Remit and Meeting Dates Paper 5 SG
6. Monitoring of Regional Outcome Agreement Objectives Paper 6 DA
7. Emerging Opportunities Report Paper 7 DA
8. Estates Maintenance Plan and Sustainability Update Paper 8 AR
9. College Leasing Arrangements – Annual Update Paper 9 PT
10. Strategic Risk Consideration Paper 10 AR

Items for Information

11. IT Strategy Paper 11 DA/MJ
12. Scottish Government - College Cyber Resilience
Framework Update Paper 12 DA/MJ
13. Funding to Support Student Digital Provision Paper 13 DA
14. Infrastructure Commission for Scotland: Phase 2:
Delivery Findings Report Paper 14 MJ

15. Asset Transfer Requests: Evaluation of Part 5 of the
Community Empowerment (Scotland) Act 2015

Paper 15 AR

16. Schedule of Business 2020-21

Paper 16 DA

17. Any other business

Next meeting: Tuesday 8 December 2020 (location TBC)

Shirley Gordon
Secretary to the Committee

ESTATES COMMITTEE

MINUTES: Tuesday 26 May 2020

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

Apologies: No apologies received.

Attending: David Alexander (Vice Principal Operations), Stephanie Graham (Vice Principal Educational Leadership), Alan Ritchie (Director of Finance and Estates), Peter Thorne (Head of Estates), Shirley Gordon (Secretary to the Committee).

EM404 WELCOME

The Chair welcomed everyone to the meeting and thanked them for their attendance via Skype.

EM405 DECLARATIONS OF INTERESTS

- John McMillan and Liz Connolly - Trustees of the West College Scotland Foundation.
- David Alexander - member of the Council of the Scottish Funding Council (SFC) and Chair of the SFC's Audit and Compliance Committee.
- Waiyin Hatton: Wai Beyond, People and organisational development consultancy; Harvey McMillan, People and organisational development consultancy; Action Against Stalking; Ayrshire Sportsability; Scottish Chamber of Commerce.

EM406 MINUTES

The minutes of the meeting held on Tuesday 3 March 2020 **were approved.**

EM407 ACTIONS FROM THE MINUTES

The actions of the meeting held on Tuesday 3 March 2020 **were noted.**

EM408 Matters Arising

The following matters arising were reported:

- Catering and Cleaning Review – The Vice Principal Operations referred to the presentation delivered to the Finance and General Purposes Committee meeting on 10 March 2020 (which Estates Committee members had attended) on the College Cleaning and Catering Services Review which had been undertaken in late 2019. It had been agreed through this process that the next formal review of how the provision of catering and cleaning services were to be provided would be undertaken after a three-year period, by summer 2023 and the College was, therefore, currently focusing on how improvements could be made through the in-house model of provision currently in place – with updates to be provided to the Finance and General Purposes and Estates Committees on this.

The Vice Principal Operations explained that, since the College lockdown from 20 March 2020 due to Covid 19, progress with this had been limited,

particularly as the staff cohort in catering and cleaning were not currently able to be active in their roles given the nature of their jobs and the closure of all College buildings. It was, therefore, intended to revisit this at a later date and, meantime, focus on modelling various scenarios for the mobilisation of the return of staff to the workplace. The Committee agreed with this approach.

- Room Utilisation Survey March 2020 – The Director of Finance and Estates reported that the survey had fulfilled 3 days analysis prior to the lockdown. This was, therefore, in abeyance until a later date and it was unlikely the data from March 2020 would be meaningful in informing College utilisation trend data.
- District Heating System – The Director of Finance and Estates reported that an email from West Dunbartonshire Council representatives was received on 2 March 2020 containing information in relation to the district heating system project. There had been a delay in progressing this due to lockdown and the College would look to engage with the Council regarding this when possible

The Committee noted the updates.

EM409 Committee Remit and Proposed Committee Meeting Dates 2020-21

The Secretary to the Committee explained that, with a change in Directorate portfolios and the introduction of a new position of Director of Infrastructure within the College, there was a requirement to review the remit of both the Estates Committee and the Finance and General Purposes Committee, primarily to transfer the IT element of the Finance and General Purposes Committee remit to be within the remit of the Estates Committee.

The Chair led the Committee through a tracked change version of the current Committee remit for consideration and the Vice Principal Operations explained the reasoning behind the re-naming of the Committee to the Asset and Infrastructure Committee which was agreed.

The Committee discussed the proposed remit and membership of the new Committee and it was agreed that the Vice Principal Operations revise some of wording and include the Director of Infrastructure and Head of IT to the list of those in attendance. **{ACTION: DA}**

The Committee:

- **Approved the revised Estates Committee remit with some revisions to become the Asset and Infrastructure Committee.**
- **Noted the current membership of the Committee with 2 additions to those in attendance to become the Asset and Infrastructure Committee.**
- **Approved the 2020/21 proposed meeting dates as follows:**
 - ❖ **Wednesday 16 September 2020**
 - ❖ **Tuesday 8 December 2020**
 - ❖ **Tuesday 9 March 2021**
 - ❖ **Tuesday 11 May 2021**

EM410 Estates Update Report - Emerging Opportunities

The Vice Principal Operations provided the Committee with an update on emerging opportunities despite the limited ability to progress the programme of engagement with partners due to the Covid 19 pandemic.

The Vice Principal Operations summarised the following:

- Progress to date in considering emerging estates opportunities and models with partners in Renfrewshire, West Dunbartonshire and Inverclyde.
- The current position in relation to College Outline Business Cases (OBCs) for Greenock and Paisley.
- College engagement with the new SFC Assistant Director, Capital and Climate Change.
- The draft Scottish Government 2020-21 estates maintenance budget for the college sector.

The Committee discussed the impact of the Covid 19 pandemic on the College estate, in terms of existing size, layout and futureproofing via scenario planning work being currently undertaken by the senior management team. Committee members welcomed any opportunity to work with the SFC in a collaborative way going forward in seeking to address any estates challenges arising from the impacts of Covid 19 and social distancing requirements.

The Committee noted the update.

EM411 Estates Maintenance Plan and Sustainability Update

The Director of Finance and Estates provided an update in relation to the Scottish Funding Council (SFC) Estate Maintenance Funding; the College Estate Maintenance Plans; Carbon Management and Sustainability and the Estates Operations Trend Analysis

Mr Ritchie led the Committee through an update in relation to key estates projects being progressed during 2019-20 and 2020-21, with the cost of these being met through application of SFC Lifecycle Maintenance Funding and High Priority Maintenance funding. He noted there would be a need to assess the ability of contractors to deliver these projects once the lockdown period concluded and to understand the impact of Government and health and safety guidance relating to social distancing, and how this might require the use of College buildings to be revised as well as changes to learning and teaching approaches, in order to accommodate new ways of working. Such considerations may require some estates maintenance funding to be reprioritised in order to meet the cost of any necessary building adaptations. He added that, as noted earlier, the requirements of re-opening on-site College operations were likely to have an impact on the operating model for cleaning and catering and the College would, therefore, require to revisit this over the coming period.

The Committee noted that the College continued to address all legislative and safety requirements through the planned and reactive maintenance budgets. In liaising with the SFC regarding use of 2019-20 high priority maintenance funds, Mr Ritchie explained that there was recognition that the approach would require some flexibility given current challenges arising from Covid 19 on operations.

The Vice Principal Operations outlined the College 2020-21 estates maintenance funding allocation noting that, while the increase in estates maintenance funding for the College in 2020-21 was welcomed, this remained significantly lower than the average annual investment that the updated College condition survey advised was required to maintain the estate. This meant that the College would continue to face ongoing challenges and choices in managing the estate. He summarised the high priority estates investment (as based upon the detail within the condition survey) and identified some of the key projects that required to be progressed during 2020-21 including:

- Clydebank Campus.
- Finnart Street Campus.
- Greenock Waterfront.
- Paisley Renfrew Building, Renfrew North, Oakshaw, ICE, Abercorn, New Street, and Inchinnan.

The Vice Principal Operations clarified that this proposed 2020-21 estate maintenance project plan was subject to agreement with the SFC and the approval of the College 2020-21 budget.

Mr Ritchie reported that with regard to Carbon Management and Sustainability, there had been little activity in the area of sustainability since the previous Committee meeting in March 2020, due to the closure of College operations and staff absence, however, the College had continued to review potential awards (Green Gown) and funding applications.

With regard to the Estates Operations Trend Analysis, the Committee noted that the College continued to implement the Estates Strategy objective of withdrawing from premises that were either unsuitable for teaching or where they were surplus to requirements. Mr Ritchie summarised associated utility costs, maintenance costs and other property costs adding that the College found difficulty in identifying reliable trend comparisons with other Colleges and could, therefore, only compare these with previous years as there was no SFC co-ordinated annual sector analysis of College estate expenditure.

The Chair welcomed the structured approach being taken in respect of forward planning at this uncertain time and commended the team for the work being undertaken to model and cost various scenarios particularly around the feasibility studies where external input was required.

The Committee noted the report and considered the:

- **Update in relation to College estates maintenance plans and associated funding for 2019-20 and the revised project delivery plan.**
- **Level of SFC estates maintenance funding for 2020-21 and approved the draft College 2020-21 SFC estates maintenance plan.**
- **Progress being made in progressing carbon management and sustainability projects.**
- **Estates operations trend analysis.**

EM412 Centre for Performing Arts Project Update

The Director of Finance and Estates provided an update on the College occupation of the YMCA premises and the project seeking to relocate activity from this venue to the Paisley Campus.

Mr Ritchie updated on the structural defects in the current YMCA building; negotiations on terminating the current YMCA lease; progress on the phased refurbishment of the Inchinnan Building within the Paisley campus, to enable the relocation of curriculum activity from the YMCA building; and the YMCA relocation project budget. He explained that, due to circumstances arising from the Covid 19 lockdown period, the CPA relocation project had been delayed and the date of occupation currently remained unknown. However, through ongoing liaison with the curriculum departments, YMCA and contractors, the project would be progressed in a way which looked to minimise disruption to students and their learning experience, whilst seeking to conclude the CPA project once the Covid 19 lockdown period eased.

The Committee noted that the College would continue to liaise with the YMCA in taking this forward. The Chair thanked Mr Ritchie and colleagues for this measured approach.

The Committee noted the report.

EM413 Monitoring of Regional Outcome Agreement Objectives

The Vice Principal Operations provided an update on progress made in relation to those areas of the ROA that the Estates Committee had responsibility for.

The Committee noted that the following matters had been included in its Schedule of Business during 2019-20:

- An annual update report in relation to Estate Strategy 2016-2026 progress and outcomes;
- An annual update report in relation to College Carbon Management Plan progress and outcomes;
- Regular updates in relation to progression of the Greenock and Paisley outline business cases with the SFC;
- Update reports on discussions with the SFC regarding future estate maintenance funding and investment in the College IT infrastructure;
- Regular estates maintenance and carbon management update reports; and
- A range of reports that provide updates on College management and development of the estate.

The Committee:

- **Noted the background information in relation to the Regional Outcome Agreement process; and**
- **Agreed that progress had been made in relation to those ROA areas for which the Estates Committee had responsibility and that an update could be provided to the Board of Management on this basis.**

EM414 Strategic Risk Consideration

The Director of Finance and Estates reported that, in accordance with the Corporate Governance Code, the College Board of Management was tasked with ensuring a framework of risk management and control was in place. He presented the College Strategic Risk Register for consideration and provided an update on the actions taken by the College to embed risk management across the organisation.

Mr Ritchie explained that the Board of Management approved the current version of the risk register at its meeting in March 2020. Since that meeting, the Senior Management Team (SMT) had continued to carry out a review of the College Strategic Risk Register. The mitigating controls had been updated to take account of items such as the ongoing interactions with the SFC, the outcomes of internal/external audit reports and any Scottish Government/Scottish Funding Council (SFC) announcements. The Risk Register had also been updated to recognise the specific risk facing the College as arising from the impacts of the Covid19 pandemic.

The Committee recognised that the Covid 19 pandemic was the most significant challenge the College had faced to date, and this had resulted in a level of uncertainty the organisation had not experienced before. In addressing the challenges, the Director of Finance and Estates explained that the College implemented its Business Continuity Planning arrangements and had formed a Covid 19 Response Team comprising members of the Executive, SMT and other staff as required. This allowed the College to understand the main scenarios that could most impact and to put in place appropriate control and response measures that reflected the exposure. Furthermore, the College Senior Management Team considered the impacts of the Covid 19 pandemic be recorded within the Strategic Risk Register as a significant part of the Business Continuity Risk which was already represented within the register. The risk probability and impact had been scored at the highest level.

The Vice Principal Operations noted that the financial and cashflow implications arising from Covid 19 were expected to be significant for both 2019-20 and 2020-21, and these matters would be required to be considered by the Finance and General Purposes Committee and Board of Management. The College was currently awaiting clarification and guidance from the SFC in relation to several significant financial, cashflow and governance matters in order to enable an informed financial strategy to be developed and implemented.

The Vice Principal Operations added that, at this point, there were many uncertainties around when the College may reopen campuses and the specific restrictions that there may be. An element of social distancing would be required, and, at present, the College was undertaking curriculum scenario planning for a range of circumstances. Curriculum teams were working on scenario planning using a template so that there was consistency of approach and an ability to share ideas across the College. The planning also allowed staff to identify the impacts on other areas of the College such as Estates and IT. In tandem with this, there was overall College mobilisation planning, particularly in terms of Estates, Health and Safety and HR. With that in mind, the College was planning for the autumn using the following key aims to:

- Have the fewest possible people on a campus at any one time.
- Ensure the safest possible environment for those on any campus.
- Ensure the best possible learning and working experience for students and staff.

The Committee recognised the huge challenge and commended the work that had been done by all staff so far.

The Committee reviewed and approved the College Strategic Risk Register and in doing so considered:

- **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.**

EM415 Community Empowerment Annual Update

The Head of Estates advised the Committee of that under the Community Empowerment (Scotland) Act 2015, the College Scotland was required to publish a register of all requests to transfer any interest in land or property which the College owns or leases. Mr Thorne confirmed that, during the period 1 April 2019 to 31 March 2020, there had been no Asset Transfer Requests submitted to West College Scotland.

The Committee noted the update.

EM416 SFC Funding Announcement 2020-21

The Vice Principal Operations explained that, the SFC issued Circular SFC/AN/06/2020 - College outcome agreement funding allocations for Academic Year 2020-21 on 7 April 2020. He provided a summary of the funding decisions set out in the announcement for the college sector within this 2020-21 academic year. He noted, however, that the Circular did not confirm all SFC funding for 2020-21 and that further funding information from SFC would be essential in the coming weeks to enable the College to approve a 2020-21 budget and five-year financial strategy prior to August 2020.

The Committee recognised that the wider financial, cash and governance impacts on the College operating environment as arising from Covid 19 meant that wider financial sustainability would be extremely challenging in 2019-20 and 2020-21 and appreciated that the College would continue to engage with the SFC regarding financial sustainability and the actions required to achieve a balanced budget on an ongoing basis.

The Committee noted the report.

EM417 Schedule of Business 2019-20

The Director of Finance and Estates outlined how the Schedule of Business for 2019-20 enabled the Committee to fulfil its remit and summarised business items coming up.

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

EM418 Any other Business

No other business items were raised.

Date of Next meeting: **Wednesday 16 September 2020, Venue tbc.**

Asset and Infrastructure Committee: - Actions from the Minutes

Date of Meeting	Min Ref	Matter for Action	Responsible Person	Action Taken	Timescale (where applicable)
9 July 2020 FGPC	FPM339	Student Digital Poverty Procurement Approval Request - evaluate by the Digital Strategy Group and feedback on its effectiveness to be provided to the Committee at a later date.	D Alexander	Previously the responsibility of FGPC – but the evaluation falls under the remit of the LTQ so action transferred to LTQ Action List.	Verbal item under Matters Arising will be provided at Sept 2020 A&I meeting in relation to an update on the roll out of the chromebooks alone.
26 May 2020	EM409	Committee Remit and Proposed Committee Meeting Dates 2020-21 - agreed that the Vice Principal Operations revise some of wording and include the Director of Infrastructure and Director of IT to the list of those in attendance.	D Alexander	Approved by the Board of Management on 15 June 2020	Complete
10 Mar 2020 FGPC	FPM303	College Cleaning and Catering Services Review The Committee concluded it would be useful to have a greater understanding of the actions and associated timelines for delivery of this consistent cleaning approach and the Vice Principal Operations agreed this would be provided to the Committee’s scheduled 2 June 2020 meeting.	D Alexander	Previously the responsibility of FGPC – but now falls under the remit of the new Asset and Infrastructure Committee - transferred to A&I Action List	Future Meeting
“	“	College Cleaning and Catering Services Review Agreed that an update on improvement actions be provided at the next meeting.	D Alexander	Previously the responsibility of FGPC – but now falls under the remit of the new Asset and Infrastructure Committee - transferred to A&I Action List	Future Meeting
“	FPM313	Scottish Government / College Cyber Resilience Framework	D Alexander	Previously the responsibility of FGPC – but now falls under the	Update will be provided at the Sept meeting

Date of Meeting	Min Ref	Matter for Action	Responsible Person	Action Taken	Timescale (where applicable)
		Update would be provided on progress at the next meeting of the Committee.		remit of the new Asset and Infrastructure Committee - transferred to A&I Action List	
3 Mar 2020	EM396	District Heating System at West Dunbartonshire: A further update provided to the next meeting of the Committee.	D Alexander / A Ritchie		September 2020 A&I meeting
"	"	Expansion Programme Board for the redevelopment and extension of the Golden Jubilee National Hospital: A further update would be provided to the Estates Committee.	D Alexander		September 2020 A&I meeting
"	EM397	College Estate Condition Survey: Update - Presentation be circulated to Estates Committee members.	P Thorne		Complete
"	"	Information on the Building Condition Survey: 2019 (and the associated updates) be shared with the SFC.	D Alexander		Complete
"	EM398	College Estate Strategy 2016-2026 - Progress Report: Proposed to refresh the Estate Strategy 2016-2026 document over the course of 2020 in order to reflect change, and changing, operating environment - anticipated this work to be complete by the end of the calendar year.	D Alexander		By the end of 2020
10 Dec 2019	EM379	Building Condition Survey: Report to be tabled on the condition of the College estate, with a presentation to be delivered, at the next meeting of the Board.	P Thorne		February 2020 meeting. <i>As subsequently agreed with Chair and Principal, this will now go to the first meeting of Board in 2020-21</i>

Date of Meeting	Min Ref	Matter for Action	Responsible Person	Action Taken	Timescale (where applicable)
	EM388	Outline Business Cases: i) Scope for planned work to be circulated to members when available. ii) Updates to be given as appropriate.	D Alexander		As soon as reasonably possible Future meetings
	EM389	Centre for Performing Arts: Update to be given on the Centre for Performing Arts project.	A Ritchie	Update report provided to the March 2020 Committee.	Further update to be provided to the September 2020 meeting.
10 Sep 2019	EM358.1 339.1	Golden Jubilee Hospital, Clydebank: Hospital and College to explore reaching a strategic partnership arrangement. Committee to be kept informed of developments	L. Connolly	Update provided at December 2019 meeting	Further update to be provided at September 2020 meeting.
	EM352 334	Paisley OBC – College to continue collaborative discussions and to progress dialogue with UWS regarding possible opportunities for collaboration.	L Connolly D Alexander	Update on planned SFC review exercise to inform future College curriculum and the role of wider educational partners in developing this in order to inform College OBCs provided at December 2019 meeting. Scope for planned work with SFC and educational partners to be circulated to members when available.	Updated provided at meetings since May 2019. Further update to be provided at next meeting.

Title: **Committee Remit, Membership and Dates of Meetings in 2020/21**

Background: The Committee is asked to consider and approve the following attachments:

- Asset and Infrastructure Committee Remit (appendix A)
- Current membership list (appendix B)
- 2020/21 meeting dates (appendix C)

These were last approved by the A&I Committee at its meeting held on Tuesday 26 May 2020 (Minute Reference EM409).

Action: The Committee is asked to:

- Consider and approve the:
 - Asset and Infrastructure Committee Remit (appendix A)
 - Current membership list (appendix B)
 - 2020/21 meeting dates (appendix C)

Lead: Shirley Gordon, Secretary to the Committee

Status: Open

Appendix A

West College Scotland

Board of Management

Asset and Infrastructure 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 Asset and Infrastructure Committee will be to ensure the College manages and develops its assets and infrastructure in line with the agreed College Estates Strategy and IT Strategy, taking account of any guidance issued by the Scottish Government and the Scottish Funding Council.

1. Remit

The remit of the Asset and Infrastructure Committee is:

- a) To ensure that the College maintains a comprehensive register of land, buildings and infrastructure assets.
- b) To ensure that the College manages and develops its assets and infrastructure to meet overall needs efficiently and effectively, taking account of any guidance relating to estate and IT management, option and investment appraisal and private finance.
- c) To ensure development and review of the College's Estate Strategy and associated policies takes place regularly, and that they support the priorities and outcomes of the College;
- d) To ensure that the College maintains its estate in accordance with a planned maintenance programme, consistent with its Estates Strategy and associated financial projections.
- e) To ensure that the correct procedures are followed in respect of the disposal of Exchequer funded assets.
- f) To have an awareness of local, national and global environmental issues and in doing so strive to ensure the College sustains and improves the environment.
- g) To ensure development and review of the College's IT Strategy and associated policies takes place regularly, and that they support the priorities and outcomes of the College;
- h) To advise the Board of Management on key issues relating to the College's information technology.

- i) To consider and promote the effective and efficient use of IT services and assets.
- j) 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.
- k) 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.

2. Membership

Membership of the Committee will comprise:

The Principal and at least three members of the Board of Management, one of whom will Chair.

Attending;

- Vice Principal Educational Leadership
- Vice Principal Operations
- Director of Infrastructure
- Head of IT
- Head of Estates
- Secretary

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 Asset and Infrastructure 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

The Committee will meet at least three times per year.

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

This Remit will be subject to review annually.

Appendix B

Asset and Infrastructure Committee Composition (Para 2 of the Remit)

Category	Name
The Principal and at least three members of the Board of Management, one of whom will Chair.	Liz Connolly, Principal Nick Allan, Chair Andrew Hetherington (VC) John McMillan Jenifer Johnston

In Attendance	Name
Vice Principal Operations	David Alexander
Vice Principal Educational Leadership	Stephanie Graham
Head of Estates	Peter Thorne
Secretary	Shirley Gordon
Director of Infrastructure	Martin Joyce
Head of IT	

Quorum	Two members of the Board of Management
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Appendix C

2020/21 Asset and Infrastructure Meeting Dates

- **Wednesday 16 September 2020**
 - Due to other Committee meeting on Tuesday 15 September this is a one-off request to amend the day to a Wednesday
- Tuesday 8 December 2020
- Tuesday 9 March 2021
- Tuesday 11 May 2021

TITLE: MONITORING OF REGIONAL OUTCOME AGREEMENT OBJECTIVES

Background: The Board of Management have agreed that each Committee should monitor progress on areas of the Regional Outcome Agreement (ROA) for which they have responsibility and provide a report to the Board.

Action: The Asset and Infrastructure Committee is asked to:

- note the background information provided in relation to the ROA process;
- note the key objectives of the West College Scotland Regional Outcome Agreement which covers the period to 31 July 2021;
- note that further information in relation to the 2020-21 ROA process and refocused sector commitments and activity requires to be provided by the SFC, and that further updates on this matter will be provided to the Committee and Board of Management on these matters; and
- consider and agree the processes in place to enable Asset and Infrastructure Committee monitoring of required 2020-21 ROA outcomes and to support provision of the required report to the Board of Management. Should the further information to follow from the SFC regarding the 2020-21 ROA process require a revision of these processes then this would be able to be considered by the Committee at a future meeting.

Lead: David Alexander, Vice Principal Operations

Status: Open

Monitoring of Regional Outcome Agreement Objectives

1.0 Background

1.1 Regional Outcome Agreements (ROAs) were introduced in 2012-13. They are intended to enable the Scottish Funding Council (SFC) to demonstrate the impact of the sector and its contribution in meeting:

- Scottish Government priorities as set out in the Scottish Economic Strategy; and
- The Scottish Government programme as detailed within the document '*A Nation with Ambition: The Government's Programme for Scotland*'.

ROAs are also required by the Financial Memorandum as a term of SFC grant and are intended to build better relationships between the SFC, colleges and key stakeholders to support:

- Increased accountability and confidence in the distribution of resources, ensuring that resources are targeted where there is greater need; and
- Continuous improvement, to maximise the impact on the learner, the employer and the economy.

1.2 The Outcome Agreement process is intended to enable:

- Engagement, to ensure SFC decisions account for the context within which colleges operate, so that SFC can differentiate its approach where appropriate.
- Curriculum and investment planning based on economic, industry, labour market and demographic evidence.
- Consistent methods of operating, to ensure that a fair interpretation of college impact is made, and to enable the SFC to interpret impact consistently at a regional and national level.
- A means by which college regions can discuss with SFC their broader aspirations.

1.3 Ultimately the Outcome Agreement is seen by the SFC to be a joint funding commitment, in which each college sets out:

- The regional context within which the college operates.
- Outcomes and outputs a college region will deliver in response to Scottish Government priorities. In most instances these outcomes/outputs correspond to national performance measures, and include reference to a baseline position, current progress and a future ambition or target.

- 1.4 The College ROA to cover the period 2020-21 was finalised following the SFC 2020-21 final funding announcement on 9 June 2020. The annual process that has operated to date would then see formal agreement of the ROA reached with SFC by 31 July 2020. However, the College received correspondence from the SFC on 29 May 2020 (*appendix provided with this paper*) which stated:

SFC confirms the following

1. SFC will not ask governing bodies (College Boards and University Courts) to sign off the AY2020-21 Outcome Agreements in the usual way.

We recognise that most institutions produced their near final AY2020-21 OAs prior to the COVID-19 crisis. Therefore institutions will not be in a position to sign off commitments and targets that they already know they can no longer deliver. To do so would lead to a reputational risk for the sector and for SFC. This move acknowledges the reality of the current emergency situation and the anticipated scale of the disruption to business. However, the current OAs do contain ongoing high level commitments that may still be relevant moving forward and SFC would want to recognise this.

2. SFC will not publish the AY2020-21 Outcome Agreements on our SFC website.

We will not move to publish the OAs on our website as usual, acknowledging that there will be no formal sign off of the accepted AY2020-21 OAs.

3. SFC will attach the allocation of core funding in AY2020-21 to refocused sector commitments and activity which will provide us with reassurance on use of designated funding.

Although we do not yet know exactly what those commitments will be, we are working closely with the sectors to establish a more high level set of outcomes for AY2020-21 that realign priorities with what will be needed to support economic recovery, to support those already in the education system (schools, colleges and universities) during the crisis period, and those who may be looking to re-enter employment. At the same time we expect colleges and universities to continue to widen access, deliver high quality research and ensure a high quality learning experience for all students that may be different in shape, structure and mode to previous years.

- 1.5 At this time the College awaits SFC confirmation of the refocused sector commitments and activity that are outlined under point (3). For now, the College is therefore proceeding on the basis that the key outcomes previously detailed within the final draft 2020-21 will remain and require to be delivered. It is not expected that any changes in funding will arise as a result of the SFC correspondence of 29 May 2020. Further updates on this matter will be provided to the Committee and Board of Management at future meetings.

2.0 Monitoring of Regional Outcome Agreement Objectives

2.1 As outlined above, the monitoring arrangements for the 2020-21 ROA require to be confirmed by the SFC. However, the overarching outcomes that are required to be achieved by the College through the ROA process are not expected to change, and these can be summarised as follows:

- **Outcome 1 - The Learner**
Scottish Government strategic priority: To provide the best student experience, seamlessly connected for learners of all backgrounds.
- **Outcome 2 - The System**
Scottish Government strategic priority: To provide high quality learning in a system where institutions work in partnership and demonstrate the highest standards of governance and financial accountability
- **Outcome 3 – Innovation**
Scottish Government strategic priority: To support Scotland’s global reputation as a Science and Research Nation synonymous with high quality teaching, research, knowledge exchange and innovation.

2.2 In seeking to deliver Outcome 1 (The Learner) and ‘To provide the best student experience’ – the College has committed within the 2020-21 ROA to:

- deliver a comprehensive Carbon Management Plan, which seeks to achieve a continuing reduction in carbon dioxide emissions in order to contribute to the delivery of Climate Change (Scotland) Act 2009 targets;
- progress the Paisley and Greenock outline business cases with the SFC, with a view to securing investment for the preferred option allied with continued investment in the Clydebank Campus;
- continue a dialogue with the SFC to secure higher levels of in-year estate maintenance investment, in order to provide the necessary infrastructure, learning, teaching and working environments to meet 21st century need on an ongoing basis; and
- implement an IT Strategy that ensures College operations and digital ambitions are supported by appropriate technology and infrastructure. The ROA recognises that the need for IT investment remains significant and College ability to invest in the technology infrastructure is becoming increasingly challenging given the

annual level of resource available – and this will therefore require to be the subject of ongoing dialogue with the SFC.

2.3 The remit of the Asset and Infrastructure Committee includes responsibility for each of the ROA areas outlined within *Section 2.2, above*. The Board of Management has agreed that each Board Committee should monitor progress on areas of the Regional Outcome Agreement it is responsible for and provide a final update report to the Board. The Estates Committee is therefore invited to consider the processes in place to monitor progress against these outcomes and support provision of the agreed report to the Board of Management. In considering this matter the Estates Committee may wish to note that the following matters are included within the Schedule of Business (*Agenda Item 16*) for 2020-21:

- An annual update report in relation to Estate Strategy 2016-2026 progress and outcomes;
- An annual update report in relation to the Information Technology Strategy 2016-20;
- An annual update report in relation to 2016-2021 Carbon Management Plan progress and outcomes;
- A review of the Estate and Information Technology Strategies;
- Regular estates maintenance, carbon management and information technology project update reports; and
- A range of wider reports – including property leases and cyber resilience - that provide updates on the management and development of the College estate and information technology infrastructure.

3.0 Conclusion

3.1 The Asset and Infrastructure Committee is asked to:

- note the background information provided in relation to the ROA process;
- note the key objectives of the West College Scotland Regional Outcome Agreement which covers the period to 31 July 2021;

- note that further information in relation to the 2020-21 ROA process and refocused sector commitments and activity requires to be provided by the SFC, and that further updates on this matter will be provided to the Committee and Board of Management on these matters; and
- consider and agree the processes in place to enable Committee monitoring of required 2020-21 ROA outcomes and to support provision of the required report to the Board of Management. Should the further information to follow from the SFC regarding the 2020-21 ROA process require a revision of these processes then this would be able to be considered by the Committee at a future meeting.

29 May 2020

Dear Principal and COVID-19 Co-ordinator,

Guidance on steps to complete the Outcome Agreement cycle for AY2020-21

I am writing to provide you with further reassurance and guidance on the steps we will take to complete the Outcome Agreement (OA) cycle for AY2020-21.

We have been working closely with colleges and universities to understand the full impact of the COVID-19 crisis on the future of our institutions and how and what they deliver. We already know that rapid reprioritisation and urgent reshaping and rethinking is underway. Alongside this we are working to design a process for a comprehensive review of OAs which will impact from AY2021-22 going forward and we will provide you with an update on that soon.

Our immediate priority is to provide you with further reassurance and guidance on how we will complete the OA cycle for AY2020-21. We are now in a position to provide some clarity on the status of the OAs you submitted to SFC by 30 April 2020 and in particular to address the following:

1. Arrangements for signing off OAs (institutions and SFC) and the timing of this
2. Publication of OAs
3. Reprioritisation and establishing new commitments linked to core funding for AY2020-21
4. Next steps

SFC confirms the following

1. SFC will **not** ask governing bodies (College Boards and University Courts) to sign off the AY2020-21 Outcome Agreements in the usual way.

We recognise that most institutions produced their near final AY2020-21 OAs prior to the COVID-19 crisis. Therefore institutions will not be in a position to sign off commitments and targets that they already know they can no longer deliver. To do so would lead to a reputational risk for the sector and for SFC. This move acknowledges the reality of the current emergency situation and the anticipated scale of the disruption to business. However, the current OAs do contain ongoing high level commitments that may still be relevant moving forward and SFC would want to recognise this.

2. SFC will **not** publish the AY2020-21 Outcome Agreements on our SFC website.

We will not move to publish the OAs on our website as usual, acknowledging that there will be no formal sign off of the accepted AY2020-21 OAs.

3. SFC **will** attach the allocation of core funding in AY2020-21 to refocused sector commitments and activity which will provide us with reassurance on use of designated funding.

Although we do not yet know exactly what those commitments will be, we are working closely with the sectors to establish a more high level set of outcomes for AY2020-21 that realign priorities with what will be needed to support economic recovery, to support those already in the education system (schools, colleges and universities) during the crisis period, and those who may be looking to re-enter employment. At the same time we expect colleges and universities to continue to widen access, deliver high quality research and ensure a high quality learning experience for all students that may be different in shape, structure and mode to previous years.

We are particularly aware of the need to maintain volume of provision over the coming year when the economy will be in a recovery period, to allow students to continue to access the learning and employability skills that will ensure a pathway to employment when jobs become available. Research Excellence Grant and University Innovation Fund impacts and outcomes will also remain a priority in AY2020-21 as they contribute directly to the knowledge economy vital for economic recovery.

4. Timelines for further information

SFC will continue to engage closely with the sector over the coming weeks to reach agreement on a more general set of outcomes and provide reassurance on the shape of the commitments for future delivery. We will then seek agreement from our Board and move to confirm in more detail what the refocused sector commitments and priorities will be for AY2020-21. We will communicate with you again in July to progress this.

We already know from the soundings taking place at senior level across the sector that the immediate policy priorities for institutions are going to be in the areas of:

- Transitions and pathways for students, (from school to college or university; college to university; and into work) are supported and clearly signposted.
- A high quality learning experience for all students, no longer predicated on always being physically in a classroom/lecture space. We are already seeing a move to online learning and repurposed blended delivery.
- Delivering for economic recovery including building on the work already underway on Upskilling.

I trust that this information provides the reassurance that you need for now on AY2020-21 Outcome Agreements. During this period and beyond I would ask that you continue to communicate regularly and clearly with current and prospective students to ensure they are fully aware of plans for the 2020-21 academic year.

Once again I am grateful for your engagement on emerging priority issues, the response to requests for non-routine intelligence and information, and the on-going dialogue at all levels with key leads across both our organisations. Our Outcome Agreement Managers remain important contact points for institution-specific matters, particularly over the coming weeks, and our COVID-19 mailbox (covid19@sfc.ac.uk) helps us capture all COVID-related issues and get information to the right people.

Thank you, again, for everything you are doing for students, staff and the communities around us in these challenging times.

Kind regards



Dr Donna MacKinnon
Director of Access, Learning and Outcomes

TITLE: EMERGING OPPORTUNITIES

Background: The purpose of this paper is to provide the Asset and Infrastructure Committee with an update in relation to emerging opportunities.

Action: The Asset and Infrastructure Committee is asked to review and consider this report.

Lead: David Alexander, Vice Principal Operations

Status: Open

Emerging Opportunities

1.0 Background

1.1 The West College Scotland Statement of Strategic Estates Intent was agreed in 2014, and is an approach and ethos that was agreed in seeking to deliver our needs, expectations and ambitions in a way that is enabled by, but not limited by, buildings. This is based on the need for us to recognise three fundamental principles in managing, developing and connecting our estate, which are as follows:

- Community – staying relevant to the needs of our communities
- Placemaking – taking a key role in shaping successful places
- Leadership – making a difference by being leaders

This approach recognises that West College Scotland must recognise and respond to the differing needs of each community that we serve.

1.2 The West College Scotland Estate Strategy 2016–2026, approved by the Board of Management on 3 October 2016, recognises the Statement of Intent principles in the solutions for development that are proposed. The Strategy sets out:

- the fundamental needs of the College in an estates context;
- what the College expects from its estate; and
- the focus and direction of travel.

The Asset and Infrastructure Committee considers the progress being made in implementing the College Estate Strategy on an annual basis.

1.3 This paper provides an update in relation to emerging opportunities, partnership engagement and matters of note as relating to the College estates operating environment and encompasses:

- progress to date in considering emerging estates opportunities and models with partners in Renfrewshire, West Dunbartonshire and Inverclyde;
- the current position in relation to College Outline Business Cases (OBCs) for Greenock and Paisley; and
- an outline of West College Scotland Senior Management responsibilities for infrastructure which are now in place.

2.0 Emerging Opportunities – Progress, Approach and Engagement to Date

2.1 Renfrewshire

2.1.1 Renfrewshire Council

The Executive Management Teams of West College Scotland and Renfrewshire Council have periodic meetings scheduled throughout the year in order to discuss areas of collaboration, integration and development. The latest meeting took place the week commencing 17 August 2020 and – following on from a media statement which was issued on 16 July 2020 (*see Appendix 1*) - Renfrewshire Council provided an update in relation to the ownership and development intentions for the Chivas Brother site.

An update on this discussion will be provided at the Asset and Infrastructure Committee meeting.

2.1.2 West College Scotland – Paisley Campus Outline Business Case (OBC)

The West College Scotland OBC for development of the Paisley Campus was approved by the Board of Management for submission to the Scottish Funding Council (SFC) on 9 October 2017. On 16 February 2018 the SFC provided initial feedback in relation to the OBC – and as reported previously to the Estates Committee on an ongoing basis, the SFC focus since then has related to space requirements, current and planned utilisation levels and how a partnership/collaborative approach to the learner journey and meeting curriculum and skills need within Paisley might further inform the OBC proposals.

Given this, during the period until summer 2019, a series of meetings involving representatives from the College, Renfrewshire Council, Scottish Futures Trust, SFC, West Hubco and the University of the West of Scotland took place to consider opportunities for collaboration in support of developing the College OBC for Paisley. Following these meetings, the SFC continued to place emphasis on the need for the College to undertake further work in collaboration with other education partners within Paisley in order to progress the OBC.

As advised at the December 2019 Estates Committee meeting, agreement was reached with the SFC in principle for a formal review to be undertaken in support of this partnership approach. with this exercise to involve West College Scotland, the University of the West of Scotland and Renfrewshire Council, with the broad remit being to map current and future education and curriculum synergies and consider possible innovative estates and co-location proposals arising from this which may further inform the Paisley OBC. Discussion also took place with the SFC regarding how this exercise might then be used to inform future College curriculum considerations across all campuses.

The Estates Committee was further advised at the December 2019 meeting that it had been agreed this exercise would be funded by the SFC and the final detailed scope and timescales for completion – along with confirmation of who SFC would appoint to undertake the review – was hoped to be concluded prior to the end of the 2019 calendar year – and that the Vice Principal Operations would circulate the scope for this planned work when available and that updates would continue to be provided at future meetings. As advised at the March and May 2020 Estates Committee meetings, the College has been seeking to progress this work, however the scope, timing and project lead still required to be confirmed by the SFC.

The Vice Principal Operations met with Martin Fairbairn, SFC Chief Operating Officer, on 9 September 2020 regarding this review and an update will be provided at the Asset and Infrastructure Committee meeting.

2.2 West Dunbartonshire

2.2.1 In seeking to progress emerging estates opportunities within Clydebank, the College recognises the need to work closely in a partnership model with the local authority, healthcare, business and communities. The aim of this model is to create a joined up approach to investment in the local environment and infrastructure, which will ensure our campus is a bridge to required wider regeneration and development, contributing to a successful town centre.

2.2.2 Queens' Quay Development

Engagement has been ongoing with partners in relation to immediate and wider developments that are arising within the Queens' Quay area, with the following being of particular focus during the recent period:

- **Clydebank Leisure Centre** – As previously advised to the Estates Committee the £22m four storey Leisure Centre at Queens Quay officially opened on 18 September 2017. The College piloted activity at the sports centre over the past two years and a range of benefits have arisen from this for staff and students. This arrangement also enabled space within the Clydebank Campus to be used for a wider range of alternative activities. The December 2019 meeting of the Estates Committee considered a proposal to enter into a Licence Agreement with West Dunbartonshire Leisure Trust for a mixture of shared and exclusive use of a range of sports facilities at the leisure centre on the following terms:
 - Annual rent of £27,500 – which represents a total amount of £550,000 (excluding RPI increases) should the agreement be in place for the full term.
 - The agreement would last for 20 years from commencement.
 - The rent would be increased annually in line with the Retail Price Index.
 - Both the College and the Leisure Trust will have the ability to terminate the agreement after two years by giving 6 months notice.

- The College will have the ability to terminate the agreement at any time after 5 years by giving 12 months notice.

The Estates Committee noted that the College had ultimately secured a flexible lease with favourable terms that delivered for students and agreed to recommend it to the Board.

The Board of Management meeting on 3 February 2020 formally approved the signing of the lease on this basis. As outlined under *Agenda Item 9 (College Leasing Arrangements – Annual Update)* due to the Covid-19 lockdown period the College has been unable to sign off on the final formalities of this Agreement, however this will now proceed in accordance with the detail outlined above.

- District Heating System – The College has continued to seek engagement with representatives of West Dunbartonshire Council in order to discuss and clarify the current district heating system project milestones and timelines. Correspondence was received in relation to the project on 1 September 2020 and the College is currently reviewing this. An update will be provided at the Asset and Infrastructure Committee meeting.

2.2.3 *Key Partners Strategic Dialogue – Golden Jubilee National Hospital*

The Head of Estates has continued to represent the College at meetings of the Expansion Programme Board for the redevelopment and extension of the Hospital. The latest meeting took place on 6 July 2020. The key objectives of the Hospital expansion are to:

- create sufficient additional elective care capacity for the West of Scotland region to meet the predicted need for elective care by 2035;
- provide innovative patient centred models of care that are both efficient and sustainable;
- provide sustainable workforce models that ensure the Golden Jubilee Foundation remains an exemplar employer and an attractive place for staff to work;
- reduce or eliminate routine use of the private sector;
- reduce the chances of cancellation of elective surgery and reduce cancellation rates;
- enable delivery of current and future Government guarantees on inpatient /day case waiting times on a sustainable basis; and
- deliver increased efficiency and productivity, adopting the principles of Better Care, Better Health and Better Value as set out in the Scottish Government “*Health and Social Care Delivery Plan*” published in December 2016.

The hospital expansion is being delivered in a phased approach which can be summarised as follows:

- Phase One will deliver an integrated Ophthalmology unit with its own outpatient consultation and pre-operative assessment areas which will be combined, cataract procedure rooms and an administration area. The plan is then to refurbish the vacated theatres to create additional general surgery theatres and an additional Post Anaesthetic Care Unit.
- Phase Two will deliver additional theatres for orthopaedic surgery, a day case/day surgery admission unit, supporting accommodation, an outpatient/pre-operative assessment area and diagnostic space.

The current completion date for the overall project is 30 November 2022.

The Vice Principal Operations and Head of states previously met with the Hospital Programme Director and Associate Director of HR on 29 January 2020 in order to discuss:

- Community benefits that will continue to arise from the expansion project going forward, and how these may benefit College students;
- the provision of training and development in support of the Hospital's workforce development plan and possible placement and employment opportunities for College students;
- the renewal of the Memorandum of Understanding between the Hospital and the College, which expired in June 2019.

A further meeting had been scheduled for April 2020 to include the Hospital Programme Director, Hospital Associate Director of HR and staff from across the College in order to discuss and agree opportunities and priorities. However, this was unable to proceed due to the Covid-19 lockdown period and the cessation of on-site operations at the College and the Hospital. The Director of Infrastructure will now seek to secure a meeting to discuss these matters with the Hospital Programme Director over the coming period.

- 2.2.4 The College will continue to work with partners within West Dunbartonshire to ensure our campus is a bridge to wider regeneration and development and to maximise the opportunities arising from the Queens Quay site.

2.3 *Inverclyde*

2.3.3 Greenock Outline Business Case (OBC)

The College business case for development of the Greenock Campus was submitted to the SFC in October 2016. Dialogue has remained ongoing with the SFC in relation to the proposed favoured College option since submission of the OBC.

On 8 December 2017 the Interim Chief Executive of the SFC wrote to the Principal and Chief Executive of West College Scotland to confirm that *'SFC continues to recognise the requirement for major capital investment in in Inverclyde/Greenock...'*.

On 6 March 2019 the Chief Executive of the SFC wrote to the Principal and Chief Executive of West College Scotland stating *'The current position in relation to the site availability for your preferred option, a new build model on the East India Dock site within Greenock town centre, is clearly an issue we will need to work together to resolve. Please be assured that SFC will continue to support the College's ambitions to provide a modern, flexible learning environment for its students, including in Greenock and Paisley'*.

The current position in seeking to progress approval of the College OBC for development of a new build campus in Greenock is that the SFC have asked for the College to confirm the following:

a) Inverclyde Council site options

The current position of Inverclyde Council in relation to the College preferred site for a new build campus at East India Dock.

b) Projected student numbers

The current planning assumptions in terms of demographics and projected student numbers for the Greenock Campus going forward.

c) Mix of provision

Whether it is the intention of the College to continue with the same curriculum mix at Greenock or to advise if there are plans to either to change the curriculum mix and/or provision that could impact on the new build requirement.

d) Existing Finnart Street Campus

The most up-to-date data on space utilisation for the existing Greenock Campuses.

The College has provided the SFC with an update in relation to points (a) and (d) and work remains ongoing in order to provide information for points (b) and (c), given the impact of the Covid-19 pandemic on College operations.

The partnership work required by the SFC in order to progress the Paisley OBC (see section 2.1.2, above) may also inform this process to some extent.

As previously agreed with Inverclyde Council, the College has continued to engage with Peel Ports – in their capacity as a lead partner in Riverside Inverclyde - in relation to the OBC proposals for a new build campus at East India Dock, following conclusion of the Local Development Plan review process which encompassed this site. An update will be provided at the Asset and Infrastructure Committee meeting.

The Vice Principal Operations and Director of Finance met with Rufus Logan, SFC Assistant Director, Capital and Climate Change and Linda Mcleod, SFC Assistant Director of Outcome Agreements on 14 August 2020 to discuss further development of the College OBC for Greenock. The Vice Principal Operations also subsequently met with Martin Fairbairn, SFC Chief Operating Officer, on 9 September 2020 regarding this matter and an update from these discussions will be provided at this meeting.

4.0 College Estates Operating Environment – Key Updates

4.1 West College Scotland Senior Management – Estates and Infrastructure

The College Director of IT retired in December 2019 and following this a review of Senior Management responsibilities in relation to estates and wider infrastructure was undertaken. A new post of Director of Infrastructure was put in place, and this now encompasses responsibility for the College Estates and IT Departments going forward. Martin Joyce took up post as Director of Infrastructure on 24 August 2020. There will therefore be a transition of estates responsibilities from the Director of Finance and Estates to the Director of Infrastructure over the coming period. The existing responsibilities of the Director of Finance and Estates will change to take on a wider responsibility for operational planning, data analysis and business process improvement. The Chairs of the Estates Committee and the Finance and General Purposes Committee have been kept fully apprised of these changes.

5.0 Conclusion

- 5.1 The College has undertaken, and continues to undertake, a significant programme of engagement with partners in seeking to progress emerging estates opportunities and models.
- 5.2 The Asset and Infrastructure Committee is asked to review and consider this report.

Asset and Infrastructure Committee meeting – 16 September 2020
Paper 7 – Emerging Opportunities

Appendix 1 – Renfrewshire Council Media Statement – 16 July 2020

Chivas Brothers Paisley site to be brought into public ownership

A Paisley site of strategic importance for Renfrewshire's long-term economic and community development is to be brought into public ownership.

Renfrewshire Council has agreed terms to conclude its purchase of the bulk of the 24-acre site at Renfrew Road from Pernod Ricard's Chivas Brothers. It is anticipated ownership of the site will transfer to the Council later this year.

Bringing the site into public ownership will allow the Council to explore a range of possible development opportunities, including new transport links, economic and community uses, supporting the region's economic recovery from the impact of Coronavirus.

Situated to the north of the town centre, the sizeable site sits between West College Scotland's Paisley campus and Abbotsinch Retail Park, with the White Cart river to the west.

The Council is exploring options for an economic development corridor along the White Cart, improving connections from Paisley town centre to the Advanced Manufacturing Innovation District Scotland under development next to Glasgow Airport.

The Chivas Brothers land has been identified as a possible site for a new Paisley Grammar School, with a public consultation to take place at a future date.

The remainder of the site is being purchased by Scottish Leather Group, which is converting the North Hall into a new car seat upholstery facility as the UK's largest leather manufacturer expands its Renfrewshire operations, bringing with it a further 100 high-skilled jobs.

Renfrewshire Council Leader Iain Nicolson said:

"Coronavirus has had a huge impact on the local, national and global economies and we must be ready and able to tackle the social and economic harm now and in the months ahead.

"We have awarded more than £25million in government grants to businesses to provide immediate support and have consulted with more than 500 businesses and enterprise and education leaders as we develop a roadmap for Renfrewshire's economic recovery, with a central focus on retaining and creating jobs.

"I am pleased that, following detailed negotiations with Chivas Brothers over the last two years, we have been able to conclude a contract for the future purchase of this site. Securing its public ownership will enable us to consider a range of development opportunities which support long-term growth of the local economy and bring benefits to the surrounding communities.

"The Chivas Brothers site provided many local jobs over the years and I am pleased that while one chapter is closing, this purchase will ensure the site continues to play a vital role in the region's future for many years to come."

Iain McFadyen, CEO of Scottish Leather Group said:

"We are extremely pleased to have secured the North Hall part of the Chivas Brothers site which will allow us to expand our operations in Renfrewshire. The site will initially employ 100 people cutting leather for premium automotive interiors."

Jean-Christophe Coutures, Chairman and CEO of Chivas Brothers, said:

"We are delighted to have confirmed the sale of our Paisley site to Renfrewshire Council and Scottish Leather Group. Together they bring significant opportunity to the local area, with the latter creating 100 new high-skilled jobs.

"The site has played an important role in the local community for many years, so we're pleased this sale will allow it to continue to leave a positive economic and cultural legacy in Paisley."

Published 16 July 2020

TITLE: ESTATES MAINTENANCE PLAN AND SUSTAINABILITY UPDATE

Background: This report provides the Asset and Infrastructure Committee with an update in relation to:

- Scottish Funding Council (SFC) estate maintenance funding, including allocation of additional 2020-21 high priority maintenance funding;
- The College Estate Maintenance Plan 2020-21;
- Transfer of activity from YMCA Building to the Renfrew Road Campus; and
- Carbon management and sustainability projects.

Action: The Asset and Infrastructure Committee is requested to:

- Consider the update provided in relation to the College estates maintenance plan and associated funding for 2019-20 and 2020-21;
- Consider the update on the work undertaken in order to relocate activity from the Centre for Performing Arts to the Inchinnan Building on the main Paisley Campus;
- Consider the work progress being made in progressing carbon management and sustainability projects; and
- Review and consider the overall report.

Lead: Alan Ritchie - Director of Finance

Status: Open

1. Introduction

1.1 The Asset and Infrastructure Committee is kept updated on matters relating to estate maintenance funding, developments and projects on an ongoing basis. This report provides the Committee with an update on the:

- Use of SFC Estate Maintenance Funding for 2019-20;
- Intended use of Estate Maintenance Funding for 2020-21, including additional funding recently received from the SFC;
- Longer term College Estate Maintenance Plans;
- Transfer of activity from YMCA building to the Renfrew Road Campus; and
- Carbon management and sustainability work.

2. SFC Estate Maintenance Funding and Estates Maintenance Plans

The following sections provide an update in relation to key College estates maintenance projects being progressed through 2019-20 and 2020-21 funding provided by the SFC.

2019-20 Estates Maintenance Projects

2.1 The College had agreed the allocation of £3.110m of SFC funding for progression of estates projects during 2019-20 - and the current position in relation to these is outlined below.

Lifecycle Maintenance Funding

2.2 Lifecycle maintenance funding for 2019-20 has been fully committed and utilised to maintain the College estate in an operational condition. As previously reported to the Estates Committee the SFC lifecycle maintenance funding allocation of £0.8m for 2019-20 was not sufficient to meet the £1.3m of operational maintenance costs arising, with the College therefore requiring to cover the difference through application of wider funding sources.

High Priority Maintenance Funding

2.3 The College, in agreement with the SFC, agreed to utilise £1.4m of 2018-19 high priority estates maintenance funding for the transfer of curriculum activities from the YMCA Building in Paisley to the College Renfrew Road campus – the Centre for Performing Arts (CPA) relocation project. This £1.4m of funding has therefore been committed within 2019-20 in order to fund completion of the approved CPA relocation project.

2.4 The College also received £1.71m of High Priority Maintenance funding from the SFC for use during 2019-20. The £1.71m of funding is fully committed to agreed estates projects, although it should be noted that actual expenditure remains to be incurred in relation to some projects given the impact of the Covid-19 lockdown period and the cessation of College on site operations. Table 1, below, shows the current position in relation to approved 2019-20 projects.

Table 1: SFC 2019-20 High Priority Maintenance Projects

	Budget Expenditure	Movement	Forecast Expenditure	Expended Previous Committee	Expenditure to Date	Expenditure remaining
	£'000	£'000	£'000	£'000	£'000	£'000
CPA Project funding b/fwd from 2018-19	1,400	0	1,400	200	425	975
Bank interest cover	162	0	162	162	162	0
Estate maintenance to keep buildings in current condition	538	0	538	538	538	0
Asbestos management	20	0	20	18	20	0
Refurbishment / replacement of teaching spaces	337	(7)	330	59	72	258
Fire detection and prevention works	100	0	100	0	31	69
Refurbishment of lighting, heating and general facilities	360	0	360	101	158	202
Refurbishment of building exteriors	37	0	37	0	10	27
Drainage upgrades	0	0	0	0	0	0
Refurbishment of windows	50	0	50	3	17	33
Other projects identified through curriculum review	106	7	113	57	68	45
Total Allocated Expenditure	3,110	0	3,110	1,138	1,501	1,609

- 2.5 As Table 1 above outlines, of the £3.110m available to fund necessary projects during 2019-20, £1.501m has been incurred to date with £1.609m remaining. Of the remaining funding 60% of this relates to the CPA project. Work has re-commenced on the refurbishment of the Inchinnan Building which accommodate the relocation of the YMCA curriculum activities during the early months of 2021. Ashwood Scotland making good progress on site and a further update on this project is provided at section 3.
- 2.6 The College has also made progress in relation to the:
- Furniture replacement programme, with new classroom chairs being delivered along with seating for student social areas.
 - Fire prevention programme, with works being undertaken mainly in Paisley and Greenock campuses.
- 2.7 One area where the works programme has been suspended is in relation to remodelling of classroom space due to the uncertainty about what space will be required when students / staff return. This project will be progressed once the demand for space in 2020-21 is better understood.
- 2.8 The College is currently assessing the catering operating model and there may still be a requirement to fund certain adaptations to allow the catering service to reopen.
- 2.9 In summary, the College has made progress in progressing the summer estate maintenance work over the recent period since lockdown whilst dealing with the implications of addressing the operational challenges of the Covid-19 pandemic. The section below provides some further detail on the estate related responses to reopening the College.

Covid-19 Response

- 2.10 Reopening the College campuses to both students and staff in the safest way possible, whilst delivering first-class education and training, is of paramount importance. The College has made significant progress in adapting the estate to comply with Scottish Government Covid-19 guidance allowing staff and students to return, firstly to undertake activities deferred from last year then to allow the start of the new teaching term on 21 September 2020. The return to on-campus teaching will be restricted to ensure that the College adheres to the requirement to minimise the number of people on any one campus at any one time.
- 2.11 Some of the more specific estate related actions taken over the past few months have included:
- The College has created a Mobilisation Group which is led by the Director of Organisational Development and OD. The Group has wide representation from across the College and includes teaching, support and estates staff along with representatives from the staff unions and the Staff Association.

- All campuses have had widespread signage installed which reinforces both the Scottish Government's health message and the requirement for building users to 'Keep Left, Keep Apart'.
- Clear entrances and exits have been created at each campus with corridors being divided in two to maintain social distancing requirements where possible. Social seating has been restricted to stop groups of students congregating.
- The College has maintained its excellent domestic cleaning arrangements which were previously reported to the Committee. In addition, these arrangements have been supplemented by the creation of sanitizing teams who will clean on a regular basis those surfaces which are frequently touched such as door handles and lift buttons.
- Supplies of disinfectant gels and wipes have been made available in all staff workrooms and toilets.
- Sanitising stations have been erected at all major entrances and exits for the College campuses allowing staff and students to disinfect their hands on entering and exiting the buildings.
- The capacity of teaching rooms has been reviewed with the users of the rooms. Where necessary room adaptations have taken place through the removal of surplus seating or taping off workstations.
- The College has introduced a clean desk policy in workrooms to allow the cleaning staff to thoroughly clean work desk along with the removal of workstations to ensure staff remain socially distant whilst in workrooms.
- The catering provision will be modified as from the start of term to deliver a 'Grab and Go' service which is designed to ensure users move through the refectory spaces as quickly as possible.

- 2.12 Further information can be found on the College intranet at:
<https://intranet.westcollegescotland.ac.uk/cv19mob/SitePages/Home.aspx> The intranet page also includes a video which shows the works that have been undertaken to make to College a 'Covid-19 secure location'.
- 2.13 The College has therefore made good progress in adapting the estate to date in order to comply with Scottish Government Covid-19 guidance. As Scottish Government guidance changes and adapts future consideration will be given to any further adaptations required. and some estates maintenance funding may need to be reprioritised in order to meet the cost of any necessary building adaptations.
- 2.14 The College continues to address all legislative and safety requirements through the planned and reactive maintenance budgets. The Asset and Infrastructure Committee will be kept updated on the status of the 2019-20 estates projects.

2020-21 Estates Maintenance Projects

Lifecycle Maintenance Funding

- 2.15 The level of lifecycle estate maintenance funding provided by the SFC for 2020-21 of £1.2m means the College requires to utilise the full amount as a contribution to meet operational estates maintenance running costs, which are budgeted at £1.5m for 2020-21. This means the College will require to find a further £0.3m from wider funding sources in order to meet operational estate running costs.

High Priority Maintenance Funding

- 2.16 The SFC have allocated £2.574m of high priority maintenance funding for 2020-21. As previously reported to the Estates Committee in May 2020, the College undertook an exercise to review the 2019 building condition survey and assess which works were of a high priority nature.

Additional High Priority Maintenance Funding

- 2.17 On 16 June 2020 the Cabinet Secretary for Finance announced a £230 million 'Return to Work' package of investment, to recycle into the economy funds which had not been deployed during the COVID-19 lockdown. This investment is intended to reduce the potential economic harm arising from the response to the pandemic and to bolster the remaining pipeline of 2020-21 construction activity. The primary focus of the investment is to boost the construction sector as recovery gets underway.
- 2.18 Following on from this announcement, an SFC circular was issued on 4 August 2020 providing the detail of this funding as applicable to colleges and universities. *SFC/AN/11/2020 - Announcement of additional capital funding for colleges and universities in Financial Year 2020-21 to support economic recovery* - advised this funding can be used by institutions to support a range of capital projects which may have been put on hold as a result of the COVID-19 pandemic and the initial lockdown.
- 2.19 SFC expects institutions to reassess their capital spend plans with the aim of prioritising maintenance and construction activities to ensure the provision of core business in Academic Year (AY) 2020-21 and beyond. To comply with the aims of this support package, institutions will have to use this additional funding to deliver activities during this current FY 2020-21 which meet the following two criteria:
- (i) estate maintenance and
 - (ii) construction sector stimulus
- with due consideration being given to wellbeing and health and safety needs.
- 2.20 The funding has been distributed utilising SFC's capital maintenance grant allocation methodology, which is a formulaic approach, based on high priority backlog maintenance/share of student activity targets for colleges. A total of £10m was allocated to the university and college sectors, with West College Scotland receiving £781,779 – approximately 7.8% of the overall college sector allocation and the highest amount awarded to an individual college under this Circular.

2.21 This additional high priority maintenance funding of £0.782m has been allocated to two already identified areas of priority expenditure:

- (a) the replacement of the workshop block roof at the Finnart Street campus; and
- (b) the replacement of the Renfrew building roof at the Paisley campus.

Both projects were identified in the 2019 condition survey as requiring attention in the immediate future. The initial plan had allocated funding to these projects on a phased basis over the coming years. However, the receipt of additional funding in 2020-21 has allowed for the works to be accelerated. The additional funding will allow some further works to be undertaken on the Finnart Street workshop roof, but further investment will continue to be required in future years.

2.22 As noted at the May 2020 Estates Committee meeting there has been some changes in the individual project allocations as the College seeks to understand the impacts arising from the end of the COVID19 lockdown period on the use of the estate and as revised curriculum arrangements and requirements. The College has created a Covid-19 fund of £0.205m for 2020-21 to allow any related issues that are likely to occur as the start of term draws closer to be addressed. This has resulted in some project funding being reduced especially in the area of decoration and other less urgent projects. These changes to project allocations since the previous Estates Committee report have included:

Clydebank Campus

Minor reallocation of funds to reflect actual work to be undertaken on the heating system and decoration of the campus.

Finnart Street

Funding has been reallocated to the window replacement project due to increasing issues with water ingress across the campus.

Waterfront Campus

Overall expenditure reduced to reflect the need to create a fund to meet covid19 related costs.

Paisley Renfrew

Main change has been the increase in funding to allow for works to be carried out to replace the Renfrew Building roof, which is failing.

Renfrew North

As one of the newer buildings on the Paisley campus and due to the poor state of the adjacent car park, funding has been diverted to (a) partially repair the car park. and (b) increase the level of contingency funding available.

Paisley Oakshaw

The upgrading of the BMS system can be delayed at this time to allow the funds to be redirect to other areas of priority expenditure.

Paisley ICE

As the newest building on the Paisley campus, the upgrading of the BMS can be deferred to future years expenditure as the current system is operational. The reduction in minor repairs and redecoration will not impact the operations of the building.

Paisley Abercorn

The College is continuing to discuss the required repairs to the Abercorn roof with the tenant and has undertaken to carry out an initial feasibility study. Given the requirement for other areas of expenditure to be prioritised the overall project budget has been reduced for 2020-21

Paisley New Street – Centre for Performing Arts

The College continues to review the situation with the YMCA regarding dilapidation costs and has made a slight reduction in expected costs.

- 2.23 The Asset and Infrastructure Committee will be kept updated of any changes to the 2020-21 high priority maintenance plan at each meeting.

3. YMCA / Inchinnan Project

- 3.1 This report provides an update on the following matters relating to the ongoing College occupation of the existing YMCA premises and the overall relocation project:

- Structural defects in the current YMCA building;
- YMCA lease;
- Progress on the phased refurbishment of the Paisley campus Inchinnan Building; and
- Project budget.

Structural Defects in the current YMCA building

- 3.2 Due to the impact of Covid-19 the YMCA have only recently returned to normal operations. The status regarding this matter remains very much as was reported to the May 2020 Estates Committee - the College has provided the information requested by the YMCA in relation to claimed defects/structural issues but despite several subsequent requests, the YMCA have as yet to provide the College with the agreed documentation nor has the YMCA supplied any detail supporting their position that the College is liable for the cost of remediating the defects.

- 3.3 The College has reminded the YMCA of the need to supply the requested information to allow it to consider its position and is awaiting any further developments.

- 3.4 The College will be able to operate from all but one of the rooms (Drama room 4) when learning and teaching commences at the start of term on 21 September 2020. The impact of Covid-19 has meant that in order to ensure social distancing requirements are complied with the College will require access to these rooms and will continue to operate from the rooms it is currently renting from University of the West of Scotland.

YMCA Lease

- 3.5 As reported to the May 2020 Estates Committee, the College has received confirmation that the YMCA are agreeable to accepting the withdrawal of termination notice, which means the lease agreement now reverts to the terms set out in January 2018. The position is therefore that the lease termination date reverts to 30 June 2023, although the lease terms allow the College to terminate at any time prior to that date subject to giving 12 months' notice.
- 3.6 The main contractor is due to complete the Inchinnan building refurbishment works by mid December 2020, with final fit out works being completed by the end of February 2021. This date maybe subject to change if the work is impacted by further Covid-19 lockdowns / staff isolation periods. The College would intend serving a termination notice on the YMCA once there is a higher degree of certainty that the end of February 2021 date will be achieved to ensure that there is no further disruption to the delivery of learning and teaching.

Progress on the Phased Refurbishment

- 3.7 The main contractor, Ashwood Scotland, have been making good progress and have been working well with the College on several issues that have arisen – replacement of roof lights, installation of equipment and roof leaks.
- 3.8 The project has proceeded in several stages with the removal of a structural column, the full strip out, roofing repairs and asbestos removal all now having been completed. The internal refurbishment portion of the works is the largest component of the project and this commenced in early July 2020 following a delay due to the Covid-19 lockdown. To date there has been no major issues regarding the programme nor impacts from Covid-19 to either the contractors' staff, sub-contractors or supply chain.
- 3.9 The completion of the internal refurbishment works is currently scheduled for mid-December 2020. This will be immediately followed by the next stage of the project with the installation of specialist teaching equipment including lighting, sound systems and retractable seating. This will then be followed by the installation of the IT and furniture. The final stage will see the relocation of staff and equipment from New Street to the Inchinnan Building. This final stage is schedule to take place by the end of February 2021 which is the next suitable transfer point which does not significantly impact the delivery of learning and teaching.
- 3.10 However, it should be noted that the College is placing great caution in relation to the contract end date given that the impacts of Covid-19 may result in further periods of lockdown which could impact upon the remaining project works.

Project Budget

- 3.11 In December 2019 the Board of Management approved an overall budget of up to £1.4m for the YMCA relocation project. The funding for the project has been allocated from SFC Estates maintenance funding and this approach has been approved by the Scottish Funding Council. Following recent discussions with the contractor and the College professional advisors, the full budget of £1.4m will be expended on the project and at this time there are no indications that additional funding will be required.
- 3.12 The Asset and Infrastructure Committee will be kept updated on the project as matters progress.

4. Carbon Management and Sustainability

- 4.1 Since the Estates Committee meeting in May the College has:
- Commenced the data collation exercise regarding the annual sustainability report for submission to Scottish Government in November of this year and has been in discussion with EAUC regarding the implications of lockdown on the data.
 - Continued to update the College Sustainability webpage with information for staff during the lock down period, including access to webinars on how to save money whilst working from home.
 - Started the review process of the College Carbon Management Plan. The current Plan runs until 31 July 2021 and the College is looking to EAUC to provide guidance and assistance in the compilation of the next 5-year plan.
 - Worked with College staff on potential submissions for the Green Gown awards. It is hoped that the College will be able to submit two applications this year.
 - Worked with the College waste management provider to ensure that any old furniture is recycled where at all possible.
- 4.2 As the College returns to the limited resumption of on-site operations it is hoped that the level of student engagement can be increased over the coming months. At the same time the Sustainability Officer will be looking as to how the previously high levels of staff engagement can be maintained in the new operating environment.

5. Conclusion

5.1 The Asset and Infrastructure Committee is requested to:

- Consider the update provided in relation to College estates maintenance plan and associated funding for 2019-20 and 2020-21;
- Consider the update on the work undertaken in order to relocate activity from the Centre for Performing Arts to the Inchinnan Building on the main Paisley Campus;
- Consider the work progress being made in progressing carbon management and sustainability projects; and
- Review and consider the overall report.

Appendix B

Asset and Infrastructure Committee 16 September 2020 - Paper 8 - Appendix A

2020-21 SFC High Priority Maintenance Investment Plan

Assessment of Priority Expenditure for 2020-21

		Total required 2019 condition survey Yrs. 1-5 £	Total required 2019 condition survey Yr. 1 £	Initial Allocation Expenditure 2020-21 £	Additional Allocation Expenditure 2020-21 £	Adjustment to 2020-21 Expenditure £	Overall Expenditure Plan 2020-21 £
a)	To undertake the minor repairs identified in the Condition Survey.			75,000	0	20,000	95,000
b)	To replace the waterproof coverings at the roof terrace to the refectory.			65,000	0	0	65,000
c)	To upgrade the BMS and train estates staff in its use.			25,000	0	0	25,000
d)	To initiate a phased programme of replacement for the LTHW distribution pipework and radiators.			50,000	0	15,000	65,000
e)	To continue the phased redecoration of the campus.			50,000	0	(20,000)	30,000
Clydebank		4,459,080	89,300	265,000	0	15,000	280,000
a)	To undertake the minor repairs identified in the Condition Survey.			75,000	0	(25,000)	50,000
b)	To replace the defective cross corridor fire doors.			5,000	0	0	5,000
c)	To undertake an investigation and feasibility study into the temperature issues in the building and to initiate a phased programme of improvements.			75,000	0	0	75,000
d)	To prepare a feasibility study and initiate a phased replacement of the workshop roof.			0	250,000		250,000
e)	To initiate a phased programme of window replacement to the tower block			100,000	0	35,000	135,000
f)	To replace the calorifiers.			30,000	0	0	30,000
g)	To continue the phased replacement of the electrical infrastructure.			100,000	0	0	100,000
h)	To continue the phased redecoration of the campus.			50,000	0	(10,000)	40,000
Greenock Finnart Street		20,306,620	18,036,930	435,000	250,000	0	685,000

Appendix B

		Total required 2019 condition survey Yrs. 1-5 £	Total required 2019 condition survey Yr. 1 £	Initial Allocation Expenditure 2020-21 £	Additional Allocation Expenditure 2020-21 £	Adjustment to 2020-21 Expenditure £	Overall Expenditure Plan 2020-21 £
a)	To undertake the minor repairs identified in the Condition Survey.			30,000	0	(10,000)	20,000
b)	To undertake an investigation and feasibility study into the temperature issues in the building, and to initiate a phased programme of improvements.			30,000	0	0	30,000
c)	To initiate a phased upgrading of toilet finishes.			40,000	0	(10,000)	30,000
d)	To continue the phased redecoration of the campus.			30,000	0	(10,000)	20,000
Greenock Waterfront		1,100,220	583,680	130,000	0	(30,000)	100,000
a)	To undertake the minor repairs identified in the Condition Survey.			75,000	0	(35,000)	40,000
b)	To undertake a feasibility study and replacement of the roof covering.			0	550,000	0	550,000
c)	To repair the render on the rear elevations.			110,000	0	30,000	140,000
d)	Replace the steel flow and return pipework bridging between Oakshaw building to Renfrew Building.			25,000	0	0	25,000
Paisley Renfrew		3,927,080	442,640	210,000	550,000	(5,000)	755,000
a)	To undertake the minor repairs identified in the Condition Survey.			50,000	0	(10,000)	40,000
b)	Continue with phased redecoration.			100,000	0	(50,000)	50,000
c)	To replace the Crabtree distribution board on the roof.			40,000	0	(40,000)	0
d)	To undertake repairs to the main car park			0	0	50,000	50,000
Paisley Renfrew North		2,397,150	351,110	190,000	0	(50,000)	140,000
a)	To undertake the minor repairs identified in the Condition Survey.			100,000		(20,000)	80,000
b)	To prepare a feasibility study and initiate the phased replacement of the workshop roof.			150,000		0	150,000
c)	To prepare a feasibility study and initiate the phased repair / upgrade the BMS and heating controls.			100,000		(100,000)	0
d)	To initiate a feasibility study and continue the phased upgrade the electrical infrastructure and distribution boards			50,000		0	50,000

Appendix B

		Total required 2019 condition survey Yrs. 1-5	Total required 2019 condition survey Yr. 1	Initial Allocation Expenditure 2020-21	Additional Allocation Expenditure 2020-21	Adjustment to 2020-21 Exepnditure	Overall Expenditure Plan 2020-21
		£	£	£	£	£	£
e)	To prepare a feasibility study and initiate the phased replacement of the windows.			50,000		0	50,000
Paisley Oakshaw		6,941,020	2,211,450	450,000	0	(120,000)	330,000
a)	To undertake the minor repairs identified in the Condition Survey.			75,000		(35,000)	40,000
b)	To upgrade the BMS and train Estates staff in its use.			30,000		(30,000)	0
c)	To redecorate the first floor accommodation.			50,000		(20,000)	30,000
Paisley ICE		219,930	97,220	155,000	0	(85,000)	70,000
a)	a) To invest £150K in a first phase of repairs to the roof of the Abercorn building.			150,000		(125,000)	25,000
Paisley Abercorn		963,000	875,000	150,000	0	(125,000)	25,000
a)	Allowance for running repairs, dilapidations and disputes.			100,000		(25,000)	75,000
Paisley New Street		0	0	100,000	0	(25,000)	75,000
a)	To undertake the minor repairs identified in the Condition Survey.			0	0	0	0
Paisley Inchinnan		2,131,820	268,970	0	0	0	0
a)	Staffing resource to service above expenditure.			64,000	0	0	64,000
b)	Covid-19 contingency fund			0	(18,221)	223,000	204,779
c)	Operational maintenance costs 2020-21			425,000	0	202,000	627,000
Other Areas of Exepnditure		0	0	489,000	(18,221)	425,000	895,779
Total		42,445,920	22,956,300	2,574,000	781,779	0	3,355,779

TITLE: LEASED PROPERTY – ANNUAL UPDATE

Background: The attached paper provides the Asset and Infrastructure Committee with a summary of the terms and conditions contained within the leases of those properties occupied by the College.

Action: The Asset and Infrastructure Committee are asked to note the current position regarding College property leasing arrangements.

Lead: Peter Thorne, Head of Estates

Status: Open

1. INTRODUCTION

1.1 The College lease and occupy property at several locations, which are as follows:

- The YMCA, 5 New Street, and property at 39 High Street Paisley (Appendix A1 & 2)
- Ferguslie Learning Centre, 10 Falcon Crescent, Paisley (Appendix B)
- Renfrewshire Sports Centre, Moorcroft, Paisley Road, Renfrew (Appendix C)
- The University of the West of Scotland (Appendix D)

1.2 Pending Licence Agreement

- The Estates Committee of 10 December 2019 considered proposals to enter into a 20-year Licence Agreement with West Dunbartonshire Leisure Trust for a mixture of shared and exclusive use of a range of facilities at a rental of £27,500 per annum. Under the Terms of this Agreement the College had secured a flexible lease with favourable terms that delivered for students - and on this basis the Estates Committee agreed to recommend it to the Board of Management – who supported the signing of the lease Agreement at the February 2020 meeting. A Licence Agreement has therefore been agreed in respect of facilities at Clydebank Leisure Centre, however the process requires to be concluded with West Dunbartonshire Leisure Trust given the interruption to on site operations arising from the Covid-19 lockdown period. The College is liaising with the Trust regarding this and the College need for use of the facility remains (Appendix E).

1.3 The College also owns and rents out accommodation at:

- The Abercorn Building, Renfrew Road, Paisley (Appendix F)

1.4 The College's total leasing commitment on an annual basis can be summarised as follows:

- The total space being leasing is 3,264 m² which is an increase on 2018-19 where the College leased 2,127 m² of property. The increase is due to the addition of properties at University of West of Scotland (100 m²) and Clydebank Leisure Centre (1,037 m²).
- The total space the College leases to others is 930 m² which has not changed since 2018-19

- The amount payable in rental costs is £191,817; the amount payable for the associated running costs is £141,760; therefore, the total current annual financial commitment is £333,577 across all the College leased properties.
- The College generates £139,000 income from leasing part of the Abercorn Building in Paisley to a firm of accountants.

2. DETAILS OF LEASE ARRANGEMENTS

The following paragraphs summarise the current position at each of the properties:

2.1 The YMCA, 5 New Street, and property at 39 High Street, Paisley

- 2.1.2 The College runs a range of courses from this location, ranging from Acting and Performance Dance, to Technical Theatre. The College's occupation of the accommodation continues to be regulated by two separate leases.
- 2.1.3 The first is a lease from the YMCA and relates to most of the accommodation on the upper floors of the building. The terms of this lease were renegotiated over a protracted period and executed on the 18 January and 21 February 2018.
- 2.1.4 The lease runs from 1 February 2018 until 30 June 2023 and incorporates a tenant only break option, which allows us to terminate the lease at any time subject to giving the Landlord 12 month's written notice of our intention to do so.
- 2.1.5 The current passing rent is £41,542 but this increases annually in line with RPI.
- 2.1.6 Although structured as an internal repairing lease, the agreement requires the Landlord to undertake or arrange several services which would normally be the tenant's responsibility, and to recover the costs from the College. These services include the running and management of the facility; employing a caretaker for the premises; utility costs and the maintenance of a range services in respect of the heating and hot water installations, lifts, fire alarm, CCTV and intruder alarm systems. These costs vary annually dependent upon the cost of the repairs but are typically around £120,000 per annum.
- 2.1.7 In line with the College plans to relocate the Centre for Performing Arts to the refurbished Inchinnan building at Renfrew Road the College had previously given notice of our intention to terminate this lease on the 30th April 2020. However, in order to accommodate the delays associated with that project, the notice to quit was rescinded and both parties' obligations reverted to those set out in the lease.

2.1.8 The second lease governing College occupation is from the Newcastle Building Society in respect of several rooms at first floor level (100 sqm). Although the YMCA own the freehold, there are a number of intermediary leases in place, the last of which is to the Newcastle Building Society. The College are their subtenants

2.1.9 This arrangement was first established in 2009 for a period of one year at a rent of £3,600 per annum and continues by a process of tacit relocation. The rent has remained unchanged since that time. Our arrangement with the Building Society is based upon an exchange of letters and associated Heads of Terms. However, formal documentation has not been entered into and our occupation is therefore unsecured. Both parties have been content for this arrangement to continue.

2.2 Ferguslie Learning Centre, 10 Falcon Crescent, Paisley

2.2.1 The College run several community-based courses from this campus ranging from basic computing, learner development and Princes Trust activities. This property has been occupied by the College based on a licence to occupy since 2004. The original Licence was for a 3-year term and continued on a month to month basis until May 2018.

2.2.2 The College entered into a renegotiated and more comprehensive licence agreement on the 23 May 2018. The new agreement endures until 31 March 2023 and contains a mutual break option, which is subject to a 9-month notice period. The current passing rent is £13,000, increasing annually as detailed in Appendix B.

2.3 Renfrewshire Sports Centre, Moorcroft, Paisley Road, Renfrew

2.3.1 This property is occupied based on a licence to occupy, which commenced in 2004 for a 25-year term. The passing rent increases on 1 August each year in line with RPI and is now £ 74,675.51 plus VAT. The lease maybe terminated by the College upon giving 12 months' notice.

2.4 Accommodation at the University of the West of Scotland

2.4.1 During 2019-20, due to the previously reported issued at the YMCA, the College had to look for alternative accommodation to allow for the continuation of learning and teaching. The University of West of Scotland (UWS) were able to, at relatively short notice provide, the College with several rooms which were suitable for the required teaching to take place. Initially this was intended to be a short-term arrangement as it was anticipated that teaching would resume within the YMCA building during 2019-20

2.4.2 With the continuation of the challenges of delivery at the YMCA, the agreement with UWS was formalised at their request. This property is occupied based on a licence to occupy concluded in February 2020. The current agreement runs from 1 July 2020 until 31 October 2020 with a rent of £32,000 per annum. In addition, from the 1 June 2020 the College will also be responsible for a contribution to service charges estimated at £6,000 per annum. The College are also responsible for a proportion of the cost of maintaining the common parts. At the end of the agreement either party can terminate the arrangement by giving one months notice. It is intended that this arrangement will continue until the new premises at the Inchinnan Building is ready for occupation, currently scheduled for February 2021. UWS have not at this stage indicated that this timescale will present them with any requirement to serve notice in that period.

2.5 Pending Licence Agreement - Clydebank Leisure Centre

2.5.1 The College currently delivers its sports provision from the Inverclyde leisure centre at the Waterfront in Greenock and from the new sports facility at Queens' Quay operated by West Dunbartonshire Leisure Trust. In order to secure the future delivery of the curriculum from these facilities, the College has negotiated a licence agreement which was approved by the Committee in December 2019. The Licence was due to commence on the 12th April 2020 at an annual cost of £27,500, increasing in line with RPI.

2.5.2 The executed Licence Agreement was sent to West Dunbartonshire Leisure Trust on 11 March 2020, but no response has been received. The timing of this exchange coincided with the Governments decision to close all sports and leisure facilities from the 23rd March 2020. However, the lease has not been concluded and our obligation to pay rent has not yet commenced. A revised commencement date has yet to be agreed. Details of the uncompleted agreement are included in appendix D.

2.6 College Property Leased to Other Parties The Abercorn Building, Renfrew Road, Paisley

2.6.1 A significant part of this property is leased to Milne Craig, a firm of chartered accountants. The lease commenced in 2001 for a 25 year period and therefore has a further 6 years remaining at a current rent of £138,597 There is a final rent review due in 2021 where the rent will be increased in line with RPI in accordance with formula set out in the lease.

3.0 CONCLUSION

- 3.1 The Asset and Infrastructure Committee are asked to note the current position regarding College property leasing arrangements.

West College Scotland**Schedule of Lease obligations – September 2020**

5 New Street
Paisley, PA1 1XU



Tenure	Leasehold
Rent	£41,542
Other running costs	£120,000
Building GIA	1,725sqm
Approximate age	113 years
Parking spaces	None
Building Condition	C-

Summary of Lease Details

Address of property	5 New Street, Paisley, PA1 1XU
Lease summary	The current lease commenced on the 1 February 2018 and endures until 30 June 2023. The lease incorporates a tenant only break option, which allows us to terminate the lease at any time subject to giving the Landlord 12 month's written notice of our intention to do so.
Landlord	Paisley YMCA, 39 High Street, Paisley, PA1 2AF
Demised subjects	The accommodation extends to 1,725 sqm is arranged over 4 floors and comprises the major part of the former YMCA building.
Duration, Commencement / Expiry	The lease runs for a period of 5 years 5 months from 1 February 2018 until the 30 June 2023.
Break option	The lease incorporates a tenant only break option, allowing the College to break the lease at any time, subject to giving 12 months written notice.
Passing rent per annum	£41,542 (paid monthly in advance).
Service charge	The College are obliged to reimburse the landlord for the cost of various building management services including: <ul style="list-style-type: none"> • Cleaning and caretaking services; • All electricity, gas and water supplies;

	<ul style="list-style-type: none"> • The maintenance of a range services in respect of the heating and hot water installations, lifts, fire alarm, CCTV and intruder alarm systems; and • A share of the cost of repairs and maintenance of the common parts.
Rent review	The Rent is reviewed on 1 April each year and increased in line with RPI in accordance with a formula set out in the lease.
Repair and maintenance obligations	The College are obliged to repair, maintain and renew, rebuild and reinstate the interior of the premises.
Other Tenant obligations	<ul style="list-style-type: none"> • To indemnify the landlord against any claim from any employees, agents or others for whom the College is responsible. • To pay all landlords legal and surveyors fees incurred in connection with the lease.
Landlord's obligations	The repair and maintain the exterior of the building including the common parts.
Authorised use	The provision of education by the College and ancillary uses or for such other purpose as shall be approved by the landlord.
Alienation	The College may not transfer rights under this lease without consent of the Landlord.
Insurance	The Landlord is responsible for maintaining the insurance of the premises with the College responsible for reimbursing an equitable portion of the insurance premium.
Termination	If the College do not exercise the break option, the lease will end at the expiry date of 30 June 2023.
Dilapidation obligations	The College have an obligation to reinstate the property to good and tenable condition and to reinstate any alterations. The lease has a schedule of Condition attached to it.
Other relevant observations	The College must obtain planning, building warrant and landlords consent for any alterations.
Rates	The College are obliged to pay rates on the property.

Utility costs

The College must pay all utility costs. These are arranged and paid for by the landlord and reimbursed by the College through the service charge.

West College Scotland Schedule of Lease obligations – September 2020

39 High Street Paisley, PA1 2AF

Tenure	Lease
Rent	£3,600
Other running costs	Nil
Premises GIA	100sqm
Approximate age	113 years
Parking spaces	None C
Building Condition	



Summary of Lease Details

Address of property	First floor offices 39 High Street, Paisley, PA1 2AF
Lease summary	This is a 1-year internal repairing lease which continues on the basis of tacit relocation. The contract is constituted by an exchange of letters agreeing to heads of terms.
Landlord (Head Tenant)	Newcastle Building Society, Portland House, New Bridge Street, Newcastle upon Tyne, NE1 8AL
Demised subjects	These rooms are adjacent to and are now physically linked into the remainder of the accommodation at first floor level leased from the YMCA.
Duration, Commencement / Expiry	1 year from the date of entry in May 2009. The lease continues by tacit relocation.
Break option	There is no Break option.
Passing rent	£3,600 payable quarterly in advance
Service charge	There is no service charge payable.
Rent review	There is no rent review process.

Repair and maintenance obligations	The College are obliged to repair, maintain and renew the interior parts of the premises and to pay a contribution to the cost of any external repairs which the Building Society may be required to pay for.
Other Tenant obligations	To provide a satisfactory Fire Risk Assessment of the premises in connection with their occupation.
Authorised use	The premises are to be used as a computer suite for the College's teaching requirements.
Alienation	The College are not allowed to transfer rights under this lease.
Insurance	The Landlord is responsible for maintaining the insurance of the premises and the College are responsible for reimbursing an equitable portion of the premium. The College is responsible for the insurance of any contents, fixtures and fittings.
Termination	The draft Heads of terms are silent on the question of termination.
Dilapidation obligations	The draft Heads are silent on the question of dilapidations.
Other relevant observations	The College must not alter the premises without agreement of the Landlord.
Rates	The draft Heads are silent on the question of rates although the College does pay rates separately.
Utility costs	The draft Heads are silent on the question of utilities although these are linked to the YMCA property and paid for via the College lease with the YMCA.
Cleaning costs	The draft heads are silent on the question of cleaning the premises although the College do pay for this area to be cleaned via the obligations in its agreement with the YMCA.

West College Scotland**Schedule of Lease obligations – September 2020**

Ferguslie Community Centre
10 Falcon Crescent,
Paisley, PA3 1NS

Tenure	Licence to occupy
Rent	£13,000
Other running cost	£5,760
Premises GIA	100sqm
Approximate age	28 years
Parking spaces	Shared



Building Condition: C

Summary of Lease Details

Address of property	Rooms D and E 10 Falcon Crescent, Paisley, PA3 1NS
Lease summary	This property is occupied based on a "Licence to occupy" which was renegotiated in the spring of 2018. The new agreement runs from July 2018 until March 2023. The current passing rent is £13,000, although this will increase annually as detailed below. The College are also responsible for a proportion of the cost of maintaining the common parts.
Landlord	Renfrewshire Council own the Freehold, Paisley Partnership Regeneration Company originally had a head lease which has subsequently been assigned to Engage Renfrewshire.
Demised subjects	The College occupy rooms D and E comprising two open plan areas with ancillary facilities and storage areas within the local Community Centre. The College shares the toilet and car parking facilities.
Duration, Commencement / Expiry	From 1 July 2018 until 31 March 2023
Break option	There is a mutual break clause allowing either party to break the lease at any time subject to 9 months notice.

Passing rent	The passing rent is stepped as noted below: £13,000 to 31 March 2021 £ 14,000 to 31 March 2022 £15,000 to 31 March 2023
Service charge	The College are responsible for paying a fair and equitable portion of any costs incurred in the maintenance repair and renewal of the common parts.
Rent Review	The rent will increase in line with the stepped increases outlined above.
Repair and maintenance obligations	The College are obliged to repair, maintain and renew the interior parts of the premises.
Other Tenant obligations	<ul style="list-style-type: none">• To reimburse the appropriate share of the service charge for insurance, repair and maintenance of the common parts.• To indemnify the landlord against any loss or damage of whatever nature as a result of College occupation of the premises.
Authorised use	The premises are not to be used for anything other than administrative offices which is currently being reviewed under negotiation with the Head Tenant.
Alienation	The College are not allowed to transfer rights under this licence.
Insurance	The Landlord is responsible for maintaining the insurance of the premises and the College are responsible for reimbursing an equitable portion of the premium. The College is also responsible for the insurance of any contents, fixtures and fittings.
Termination	The licence may be terminated upon 9 month's written notice by either party.
Dilapidation obligations	The College has an obligation to return the premises to the same condition they were in at commencement of the licence.
Other relevant observations	The College must not alter the premises without agreement of the Landlord.
Rates	The College are obliged to pay rates on the property.
Utility costs	These are included within the Licence Fee.
Cleaning costs	The College are responsible for arranging and paying for cleaning of the premises.

West College Scotland**Schedule of Lease obligations – September 2020**

Renfrew Leisure Centre
Moorcroft, Paisley Rd,
Renfrew PA4 8LJ

Tenure	Licence to Occupy
Rent	£74,675
Other running costs	£10,000
Premises GIA	202 sqm
Approximate age	16 years
Parking Spaces	Public car park



Building Condition: B

Summary of Lease Details

Address of property	Moorcroft Sports Centre, Paisley Rd, Renfrew PA4 8LJ
Lease summary	Licence to occupy for 25 years on an internal and insuring basis.
Landlord	Renfrewshire Leisure Limited, The Lagoon Centre, Mill Street Paisley PA1 1LZ
Demised subjects	The right to use a number of rooms extending to approximately 220 sqm on an exclusive basis and a shared entitlement to use a number of areas on a joint use basis, as shown on a plan, during “permitted access times” which are essentially teaching hours, which are agreed annually.
Duration, Commencement / Expiry	25 years from 16 August 2004 to 15 August 2029. The College may terminate the licence at any time during the lease, upon giving 12 months’ notice.
Break option	The College may terminate the licence at any time during the lease, upon giving 12 months’ notice.
Passing rent	£74,675. The rent increases each year in line with RPI. This rental amount has been calculated by reference to the formula within the lease.
Rent review	The rent is reviewed on the 1 August each year and increased in line with RPI in accordance with a formula set out in the lease.

Repair and maintenance obligations	The Licensor is responsible for the decoration maintenance and repair of the entire Sports Centre. If the College makes any alterations to the property they shall be responsible the decoration maintenance and repair of any such alterations.
Other Tenant obligations	<ul style="list-style-type: none">• To comply with statutory obligations.• Not to make any alterations without consent.• To reimburse the licensor for any damage to fixtures and fittings.• To pay utility charges in respect of the exclusive use areas.• To maintain Public Liability Insurance of £5m.• To indemnify the licensor against any claim arising from the state of repair of the demised areas and any breach of the College obligations by those for whom the College is responsible.
Authorised use	The provision of sporting and recreational activities for the use of students and staff.
Alienation	The College may not transfer rights under this licence without consent of the Licensor.
Insurance	The Licensor is responsible for maintaining insurance of the premises, but the College is responsible for reimbursing an equitable portion of the insurance premium.
Termination	The College may terminate the licence at any time during the lease upon giving 12 months notice.
Dilapidation obligations	The College have accepted the sports centre in its current condition and there is no schedule of conditions contained within the College records.
Other relevant observations	<ul style="list-style-type: none">• At commencement of this licence agreement the College paid a premium of £325,000 towards some of the costs of creating required teaching spaces / staff room.• The College have their own arrangements for cleaning their element of the property.• Rates - the Licence is not specific but implies that we would be responsible for LA rates, although we do not actually receive a rates demand.

West College Scotland Schedule of Lease obligations – September 2020

**University of the West of Scotland (UWS)
Part of the Witherspoon and Richardson
Buildings at their Paisley Campus**

Tenure	Licence to occupy
Rent	£32,000
Other running cost	£6,000
Premises GIA	100sqm
Approximate age	26 years
Parking spaces	Shared

Building Condition: C



Summary of Lease Details

Address of property	The Witherspoon and Richardson Buildings at UWS, Paisley Campus
Lease summary	This property is occupied based on a “Licence to occupy” concluded in February 2020. The agreement runs from 1 July 2020 until 31 October 2020. The current passing rent is £32,000 per annum. From the 1 June 2020 the College will also be responsible for a contribution to service charges. The College are also responsible for a proportion of the cost of maintaining the common parts.
Licensor	Court of the University of the West of Scotland incorporated under the Further and Higher Education (Scotland) Act 1992 and having its principal administrative offices at High Street, Paisley
Demised subjects	The College occupy rooms M001, M004, MOOS, M011, M012, M013, M014 M016 forming part of the Witherspoon Building, Level 0 shown outlined coloured red on the Plan, Drawing Number 43 and rooms B007 and B010 forming part of the Richardson Building, Level 0 shown outlined coloured red on the Plan, Drawing Number 12 both forming part of the Licensor's Paisley campus buildings. The College shares the toilet and car parking facilities.

Duration, Commencement / Expiry	From 1 January 2020 until 31 October 2020 and thereafter until terminated by either party subject to 1 months' notice.
Break option	There is a no break option.
Passing rent	The passing rent is £32,000 per annum.
Service charge	From the 1 June the College are responsible for paying a fair and equitable portion of any costs incurred in the maintenance repair and renewal of the common parts.
Rent Review	There are no rent review provisions.
Repair and maintenance obligations	The College accepted the premises in their present condition and are obliged to leave them in such condition to the satisfaction of the Licensors. The Licensors are obliged to repair, maintain and renew the premises.
Other Tenant obligations	<ul style="list-style-type: none">To indemnify the landlord against any loss or damage of whatever nature as a result of College occupation of the premises.
Authorised use	The premises are to be used as a teaching classroom or office space.
Alienation	The College are not allowed to transfer rights under this licence.
Insurance	The Landlord is responsible for maintaining the insurance of the premises. The College is responsible for indemnifying the Licensor for damage or loss arising from their use of the premises.
Termination	The licensor may terminate the lease early if the College fail to meet the Licence obligations.
Dilapidation obligations	The College has an obligation to return the premises to the same condition they were in at commencement of the Licence.
Other relevant observations	The College must not alter the premises without agreement of the Landlord.
Rates	The Licence is silent upon the question of Rates.
Utility costs	These are included within the Licence Fee.
Cleaning costs	These are included within the Licence Fee.

West College Scotland

Schedule of Lease obligations – September 2020

West Dunbartonshire Leisure Centre
Queens Quay,
Clydebank G81 1BF

Tenure	Licence to Occupy
Rent	£27,500
Other running costs	£Nil
Premises GIA	1,037sqm
Approximate age	16 years
Parking Spaces	Public car park



Building Condition: B

Summary of Lease Details

Address of property	Clydebank Leisure Centre, Queens Quay G81 1BF
Agreement summary	Licence to share the use of sports facilities and two classrooms, during specific times over a period of for 20 years, together with a right to use a dedicated storage area for the Colleges exclusive use.
Licensor	West Dunbartonshire Leisure Trust, Company Number SC 413707 and having registered offices at Alexandria Community Centre, Main Street, Alexandria, G83 ONU
Demised subjects	The subjects comprise the shared use of a variety of sports facilities extending to 1,037 sqm during “permitted access times” which are essentially college teaching hours, to be agreed annually, together with an exclusive right to use a storage area of approximately 30sqm. All identified on a plan attached to the licence.
Duration, Commencement / Expiry	20 years from (to be confirmed).
Break option	Either party shall have the option to terminate the licence agreement on the second anniversary of the date of entry without penalty, on giving not less than six months prior written notice to that effect. Thereafter, the College may terminate the licence at any time after the 5 th Anniversary of the date of entry, upon giving 12 months’ notice.

Passing rent	£27,500 - The rent increases each year in line with RPI. This rental amount has been calculated by reference to the formula within the lease.
Rent review	The rent is reviewed on the 1 August each year and increased in line with RPI in accordance with a formula set out in the lease.
Repair and maintenance obligations	The Licensor is responsible for the decoration maintenance and repair of the entire leisure Centre. If the College makes any alterations to the exclusive use area, they shall be responsible the decoration maintenance and repair of any such alterations.
Other Tenant obligations	<ul style="list-style-type: none">• To comply with statutory obligations.• Not to make any alterations without consent.• To reimburse the licensor for any damage to fixtures and fittings.• To pay utility charges in respect of the exclusive use areas.• To maintain Public Liability Insurance of £1m.
Authorised use	The provision of teaching, sporting and recreational activities for the use of students and staff.
Alienation	The College may not transfer rights under this licence without consent of the Licensor.
Insurance	The Licensor is responsible for maintaining insurance of the premises.
Termination	Either party shall have the option to terminate the licence agreement on the second anniversary of the date of entry without penalty, and upon on giving not less than six months prior written notice to that effect. Thereafter, the College may terminate the licence at any time after the 5 th Anniversary of the date of entry, upon giving 12 months' notice.
Dilapidation obligations	The College have no dilapidations obligations.

West College Scotland Schedule of Lease obligations – September 2020

**Abercorn Building
Renfrew Road
Paisley, PA3 4DR**

Tenure:- The College own
the Freehold

Rent P.A:- £138,597

Building GIA:- 930 sqm

Approximate age:- Over 100 Yrs

Parking spaces;- 50

Building Condition:- Condition: B



Summary of Lease Details

Note: The College own the Freehold of this building and lease approximately 45% of the floor area to Messrs Milne Craig.

Address of property Renfrew Road, Paisley, PA3 4DR

Lease summary:- This is a 25 year internal repairing lease between WCS and Messrs Milne Craig, Chartered Accountants. The original lease was agreed in 2001 for 817sqm. From 1 August 2007 the College agreed to lease a further 113 sqm of the building. The total area now leased to them is 930sqm.

The College is responsible for providing a range of building management services, including repairs to the common parts, which are to be reimbursed quarterly in advance of the Scottish Quarter days which are 20 February, 28 May, 28 August, 28 November. The tenant is therefore also liable for a share of the cost of repairs to the common parts of the building.

Landlord Board of Management, West College Scotland

Demised subjects The accommodation extends to 930 sqm (10,010 sqft) on the ground and first floors of the building. The tenant also occupies part of the basement and the attic although these are included in the subjects but are not rentalised.

Note: The original lease was for an area of 817sqm on the ground and first floors. In August 2007 the tenant agreed to extend the subjects of let by taking over a further 113 sqm at first floor level.

Car Parking	The tenants have an exclusive right to use 50 car parking spaces adjacent to the building. The car park is considered to be one of the common parts, and the college, as the Landlord, has the obligation to carry out any repairs and to recover the relevant portion of the cost from the tenants via the service charge.
Duration, Commencement / Expiry	25 years, 16 February 2001 – 15 February 2026
Break option	There was a Tenant's only break option on 16 February 2011. However, the tenant did not exercise the break and so the lease now endures until the 15 February 2026.
Passing rent	£138,597. The lease provides for the tenant to pay VAT but as the College is a charity we do not recover VAT.
Service charge	The Tenant is obliged to reimburse the College for the cost of various building management services, including:- The repair and maintenance of the common parts of the building; the provision of all electricity, gas, and water supplies in connection with the demised subjects.
Service Charge Apportionment	<p>The service charge is to be apportioned at the Landlords reasonable discretion. Adopting RICS guidance, the service charge should be apportioned on the basis of Net Internal floor area.</p> <p>The following calculation should therefore be used:</p> <p>TOTAL N.I.A FLOOR AREA= 2,068 SQM MILNE CRAIG N.I.A FLOOR AREA 930 SQM (basement plant areas and attic storage disregarded) THEREFORE SPLIT IS: WEST COLLEGE 55% MILNE CRAIG 45%</p>
Rent Review	The Rent is reviewed on the 16 February respectively in each of the years 2006, 2011, 2016 and 2021. It is increased in line with RPI in accordance with formulae set out in the lease.
Repair and maintenance obligations	The tenant is obliged to repair, maintain and renew, rebuild and reinstate the interior of the premises to the satisfaction of the landlord.
Tenant obligations	<p>The tenant is obliged to maintain and service all plant and equipment serving the subjects, including all heating, lighting, pumps, fire alarm systems, fire precaution equipment and all other equipment either existing or introduced by the tenant.</p> <p>To indemnify the College against any claim from any employees, agents or others for whom the tenant is responsible.</p> <p>To pay all landlords legal and surveyors fees incurred in connection with the lease.</p>

Landlord's obligations	<p>The repair and maintain and insure the exterior of the building, including the common parts.</p> <p>To contract with and pay all utility suppliers in connection with the demised subjects.</p> <p>To contract with and pay suppliers for a range of maintenance services in relation to the heating & hot water installations; and the fire alarm installation serving the common parts and to recover the due share via the service charge.</p>
Authorised use	<p>The subjects may only be used for conducting the Business of a firm of Chartered Accountants.</p>
Alienation	<p>The alienation clause is strict in that the property cannot be assigned or sublet any other use than that of a firm of Chartered Accountants. The tenant may not transfer the rights under this lease without consent of the Landlord.</p>
Insurance	<p>The College is responsible for maintaining the insurance of the premises, but the Tenant is responsible for reimbursing an equitable portion of the insurance premium.</p>
Dilapidation obligations	<p>The tenant has an obligation to reinstate the subjects to a good and tenable condition and to reinstate any alterations. Unfortunately there is no schedule of condition attached to the lease. However, it is clear that the lease commenced following an extensive refurbishment of the property and as such the subjects would have been deemed to be in "as New" Condition.</p>
Other relevant observations	<p>The tenant must;</p> <p>Obtain planning; building warrant, and College consent for any alterations in writing.</p>
Rates	<p>The Tenant is obliged to pay rates and other outgoings for the property to the College.</p>
Utility costs	<p>The tenant has to pay all utility costs. These are arranged and paid for by the College and reimbursed by the tenant through the service charge.</p>
Cleaning costs	<p>The Tenant has full responsibility for cleaning their section of Abercorn.</p>

TITLE: STRATEGIC RISK CONSIDERATION

Background: Under the Corporate Governance Code, the College Board of Management is tasked with ensuring a framework of risk management and control is in place. This paper provides:

- an update on the actions taken by the College to develop the College Risk Management Strategy;
- the next steps in the development of the College Risk Management Strategy; and
- presents the current College Strategic Risk Register for the consideration of the Asset and Infrastructure Committee.

Action: The Asset and Infrastructure Committee is requested to:

- note the update on the actions taken to embed risk across the College;
- consider and comment upon the revised format for the Risk Register report;
- note the next steps in the development of the College Risk Management Strategy; and
- review the current 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; and
 - Whether any new risks should be considered for inclusion.

Lead: Alan Ritchie - Director of Finance

Status: Open

1. Risk Management Strategy

- 1.1 The West College Scotland Risk Management Strategy is 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. Development of the College Risk Management Framework

- 2.1 The 15 June 2020 Board of Management meeting approved revisions to the College Risk Management Strategy which recognised the agreed College risk appetite categories, the College risk appetite statement and associated amendments to the ten risk categories. These revisions were the result of a significant piece of work with the Board of Management to review the overall risk categories and the risk appetite that the College was willing to tolerate.

- 2.2 The proposed next steps in the development of the Strategic Risk Framework are as noted below:

- Consideration by the September 2020 Audit Committee of a revised format of the Strategic Risk Register – further details on the proposed changes are noted below.
- Consideration and comment by other Board Committees of the content and format of the revised risk register;
- Based on feedback from the Audit and other Committees a revised format for the Strategic Risk Register will be updated and presented to the Board of Management for consideration in October.
- Should the revised risk register reporting format be approved by the Board of Management in October, the College Risk Management Strategy will be updated and presented to the December Audit Committee meeting for review before being presented to the December Board of Management for approval.
- The revised risk register will be uploaded onto the College's Pentana Risk system which will then allow College users to input and update the risk controls and mitigating actions in real time.

- 2.3 The College is currently reviewing and updating how it intends to develop the 2021-22 operational planning regime. As part of this review process the further integration of risk management into the operational planning cycle is a key component of the development of the overall College approach to risk management.

3. College Strategic Risk Register Update and Considerations

- 3.1 The current version of the College Strategic Risk Register is provided at Appendix A for consideration.
- 3.2 The Board of Management approved the risk register ratings contained within the register at its meeting on 15 June 2020. Due to the summer recess the only Committee business since the June Board meeting was a specially convened Finance and General Purposes Committee and Board of Management meeting to consider the 2020-21 Budget and financial forecast; and a Nominations Committee.
- 3.3 Based on the considerations of these Committees there are no changes proposed to the risk ratings at this time as a result of Board meetings since June 2020. The Nominations Committee meeting of 23 June did however consider some areas for possible review in relation to the risk register – these are outlined below and have been proposed for discussion at the Board of Management meeting on 5 October 2020.
- 3.4 The Senior Management Team (SMT) has continued to review the Strategic Risk Register. The mitigating controls have been updated to take account of the outcomes of internal audit reports and any relevant Scottish Government/Scottish Funding Council announcements.

Details of Risk for Consideration by the Board of Management

- 3.5 Noted below is a summary of potential changes to the risk register for consideration by the Board of Management. These have been noted here to allow the Asset and Infrastructure Committee to be aware of the considerations of the other Board of Management Committees.

a) Covid-19 Risk

- 3.3.1 The Covid-19 health crisis continues to be the most significant challenge the College has faced to date, and this has resulted in a level of uncertainty the organisation has not experienced before. The College implemented its Business Continuity Planning arrangements and has formed a Covid-19 Incident Response Team comprising of members of the Executive, SMT and other operational staff as required. The work of the Incident Response Team has been supplemented by a Mobilisation Group being formed to address the issues relating to the commencement of on-site activities at all campuses. This Group is led by the Director of Organisational Development & HR and meets weekly. It is composed of staff, trade unions and Student Association representatives, and reports to the Covid-19 Incident Response Team.
- 3.3.2 Despite there being several mitigating controls in place the Senior Management Team believes that the level of uncertainty remains high around the actions that the College can take to influence the impact of the Covid-19 pandemic.

- 3.3.3 The Board of Management has been kept updated by the Principal as to the continued actions that the College has taken to address the impacts of the pandemic. The risk will continue to be reviewed as further information and clarity of direction become available and should any further amendments to the risk register be required to reflect ongoing considerations then these will be presented at the Board of Management meeting on 5 October 2020.

b) Nominations Committee

- 3.3.4 The Nominations Committee meeting of 23 June 2020 considered risk in relation to the activities within its remit. The Committee agreed to raise the following points at the October 2020 Board meeting:
- The risk register includes risks associated with staff and students throughout. The Committee wishes consideration to be given to whether a risk/risks relating to the Board of Management / Board members / Committee / governance associated risks should be included, with reference to business continuity and succession planning in support of Board activity.
 - Contingency plans for the Board Secretary role.

Asset and Infrastructure Committee Considerations

- 3.4 A copy of the current College Strategic Risk Register is enclosed with this report (Appendix A) and the Asset and Infrastructure 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.

4. Proposed Amendments to the Format of the Strategic Risk Register

- 4.1 It is proposed to amend the format of the current College Strategic Risk Register report so that a revised layout captures and presents the content in a user-friendly way. Appendix B provides an exemplar of the proposed revised format of the College Strategic Risk Register report. The primary changes to the Register report proposed include the following:
- Definition pages are now at the front of the Register to allow readers to fully understand the contents. These definitions include:
 - Proximity – as to when the risk might occur
 - Impact – the estimated effect of the risk on the College strategic priorities
 - Probability – the estimated chance of the risk occurring
 - Risk Score – a RAG analysis of overall risk scoring
 - Trend – indication of how the risk has moved since last reviewed
 - Risk Appetite – pictorial representation of the Board approved risk appetite per category of risk

- College Strategy 2019-25 – a summary of the College priorities and objectives
- Summary of top 5 risks
- The format of the risk register has changed to present each risk with the associated information on a separate page.
- Apart from proximity - which is an addition to the risk information - the above information was included within the previous risk register – it is changes to the format of presentation that are proposed in capturing this.

5 Conclusion

5.1 The Asset and Infrastructure Committee is requested to:

- note the update on the actions taken to embed risk across the College;
- consider and comment on the revised format for the Risk Register report;
- note the next steps in the development of the College Risk Management Strategy; and
- review the current 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; and
 - Whether any new risks should be considered for inclusion.



Strategic Risk Register

Strategic Risk Register Dashboard Report

Risk register review period:
Board / Committee review period:

Sep-20
Oct-20

Top 5 Risks Post Mitigation						
Ref	Risk	Movement since previous register	Probability	Impact	Score Sept 20	Score May 20
WCS 7 Reputational / External	Inadequate business continuity / cyber resilience planning leading to material interruptions to service delivery primarily resulting from Coronavirus epidemic.	↔	6	4	24	24
WCS 1 Finance	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	24
WCS 3 Infrastructure	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	↔	5	4	20	20
WCS 2 Infrastructure	Failure to secure adequate estates maintenance / capital funding for future investment or refurbishment of IT and physical infrastructure.	↔	4	4	16	16
WCS 16 Governance	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	15

Risk Score	Sep-20	May-20
24	2	2
20	1	1
16	1	1
15	1	1
12	4	4
9	1	1
6	4	4

The most significant risk faced by the College continues to be the business continuity challenges caused by the corona virus outbreak. The College successfully closed down the physical campuses and transferred most activity to online learning. The College is now in the process of implementing a staged reopening of all campuses in advance of the start of term on 21 September 2020. This will present a number of operational and teaching challenges due to the changing guidance from the Scottish Government.

The next most significant risk continues to be the financial volatility faced by the College. This was previously the most significant risk faced by the College and continues to have the same post mitigation score as Business Continuity Planning. The ongoing impact of Covid-19 has only heightened this risk as the future College financial position is further challenged due to the potential loss of commercial income as the economy recovers from the impact of the outbreak.

WEST COLLEGE SCOTLAND STRATEGIC RISK REGISTER

Risk No.	Risk Reference / Category	Strategic Objective	Risk	Assessment pre mitigation			Mitigating Controls and Actions	Assessment post mitigation				Movement since last review	Executive Responsible
				Risk Probability	Risk Impact	Risk Score		Risk Probability	Risk Impact	Risk Score	Previous Score		
1	WCS 7 Reputational / External	1.2 3.4	Inadequate business continuity / cyber resilience planning leading to material interruptions to service delivery primarily resulting from Coronavirus epidemic.	6	4	24	1) Business Continuity Plans available to relevant staff along with associated documents to assist during any incident. 2) 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. 3) Closure of College campus undertaken successfully in March and planning has commenced to enable remobilisation. 4) Good interaction with staff, unions and Student Associations with information being supplied to all parties on a timely basis. 5) Continued engagement with Scottish Funding Council, Skills Development Scotland and other funding bodies to gain clarity on future funding which is resulting in an inability to take effective decisions. 6) Staff planning for return to the 'new normal' way of working include: - the development of online materials; - estate adaptations including mobilisation for home working; - increased reliance on technology which will require funding; - monitoring of supply chains; - a need for all operations to understand and operate within the new health and safety requirements; - governance updates regarding implications of deficit budgets; and - consideration given to starting the 2020-21 academic year later to assist with the planning process. Students for 2019-20 will continue to receive teaching through use of on-line delivery methods 7) Financial and staffing implications not fully understood at the moment due to lack of clarity of information from central government and in a number of cases receipt of conflicting information.	6	4	24	24	↔	Principal
2	WCS 1 Finance	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 2020-21 indicative SFC funding confirmed and shows a level of core funding which is not greater than in 2019-20; additional funding will be received for inflationary pressures, pension costs and estate maintenance. The College will continue to face a number of financial challenges arising from this settlement during 2020-21 and beyond. 2) 2020-21 budget currently being compiled for approval by College Board in conjunction with 5 year future financial scenario planning and detailed 3) Transformation Plan submitted to SFC in order to address future financial challenges. The College continues to engage with the SFC on the final agreement and implementation of the plan including review of curriculum delivery in Renfrewshire. 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 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 and Credits 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

Risk No.	Risk Reference / Category	Strategic Objective	Risk	Assessment pre mitigation			Mitigating Controls and Actions	Assessment post mitigation				Movement since last review	Executive Responsible
				Risk Probability	Risk Impact	Risk Score		Risk Probability	Risk Impact	Risk Score	Previous Score		
3	WCS 3 Infrastructure	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 engage with SFC, SFT, local councils 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 and annual implementation updates highlight 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 potential 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	20	↔	VP Operations
4	WCS 2 Infrastructure	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. 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 and wider consultation exercises where possible. 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. College currently undertaking curriculum horizon scanning exercise in responding to SFC information request in relation to Greenock OBC. Implications of published Inverclyde local development plan being actioned and College is engaging with partners in relation to this. 5) Outline Business Case for Paisley submitted to the SFC in October 2017 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 once these have been concluded. 6) The College has updated the estate condition work undertaken in 2015. This provides robust data showing the level of investment required as at 2019 in order to get the College estate up to Condition B and maintain this..	4	4	16	16	↔	VP Operations
5	WCS 16 Governance	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 has considered possible impacts of Brexit on operations and continues to keep this under review. Output has been discussed at senior management level and with relevant Board Committees. It is anticipated there may be an impact on EU funded programmes (such as 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

Risk No.	Risk Reference / Category	Strategic Objective	Risk	Assessment pre mitigation			Mitigating Controls and Actions	Assessment post mitigation				Movement since last review	Executive Responsible
				Risk Probability	Risk Impact	Risk Score		Risk Probability	Risk Impact	Risk Score	Previous Score		
6	WCS 4 Learning and Teaching	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. Internal audit of ROA process indicated robust planning arrangements in place regarding development of ROA. 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 schools 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 to consider the College ROA during February 2020 meeting. The draft ROA will then be submitted to the SFC for initial consideration.	4	3	12	12	↔	Principal
7	WCS 5 Staffing and HR	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 on the impacts of National Bargaining ongoing. National Bargaining funding distribution for 2019-20 agreed with Colleges Scotland and the Scottish Funding Council. 3) Business Continuity Planning considers impact of industrial action, with specific plans in place. 4) 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. 5) Robust college sector and WCS communications plan including liaison with Student Association on impact on students. 6) Local workforce planning arrangements subject to positive internal audit review (June 2018). Workforce planning being carried out at departmental level based on agreed template 7) Support and teaching staff pay award until September 2020 in place.	6	2	12	12	↔	Principal
8	WCS 6 Digital	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 review progress achieved in delivering the IT Strategy on an annual basis 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 Colleges Scotland and 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 renewed its Cyber Essentials Plus accreditation as required. Work commencing on updating the Scottish Government Cyber Resilience Framework. 5) College Digital Strategy which sets out digital ambitions for the College, presented and approved by the Board of Management. 6) Discussions remain ongoing with the SFC on IT condition survey and College offered to be model for future sector wide survey. 7) College HR department providing support to staff undertaking national support staff job evaluation.	4	3	12	12	↔	VP Operations

Risk No.	Risk Reference / Category	Strategic Objective	Risk	Assessment pre mitigation			Mitigating Controls and Actions	Assessment post mitigation				Movement since last review	Executive Responsible
				Risk Probability	Risk Impact	Risk Score		Risk Probability	Risk Impact	Risk Score	Previous Score		
9	WCS 15 Governance	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 has a plan in place to meet financial objectives during 2019-20. 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
10	WCS 9 Staffing and HR	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 and implementation reviewed by the Board CDC and HR Committee. 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 sessions and staff surveys undertaken on regular basis allowing matters to be raised and 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
11	WCS 11 Competitive Environment	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 College 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	9	↔	VP Educational Leadership
12	WCS 10 Staffing and HR	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. All recommendations made by internal auditors fulfilled and OD&HR Committee updated on progress. 8) Initial results from staff skills survey being used to allow the College to identify and address future skills gaps.	3	2	6	6	↔	Principal

Risk No.	Risk Reference / Category	Strategic Objective	Risk	Assessment pre mitigation			Mitigating Controls and Actions	Assessment post mitigation				Movement since last review	Executive Responsible
				Risk Probability	Risk Impact	Risk Score		Risk Probability	Risk Impact	Risk Score	Previous Score		
13	WCS 13 Governance	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 Learning and Teaching	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.



Strategic Risk Register

Proximity: when might the risk occur.

Description	Timing
Immediate	Now
Medium-term	Within the next three months
Longer-term	Within three to six months

Impact: this is the estimated effect of the risk on the Strategic Priorities.

Impact		Criteria
Catastrophic	4	Significant and unacceptable impact on objectives that would require a material change to approach, procedure or process.
Critical	3	Moderate impact on Priorities that may require minor changes in approach, procedure or process.
Marginal	2	Minor impact on Priorities, which requires little overall change in approach.
Negligible	1	No real impact on achieving Priorities.

Probability: this is the estimated chance of the risk occurring.

Likelihood		Criteria
Almost certain	6	Extremely likely to occur
Very likely	5	Almost certain to occur
Likely	4	Most likely to occur than not
Possible	3	May occur
Very unlikely	2	Unlikely to occur
Remote chance	1	Extremely unlikely to occur

Risk Score: Impact x Probability

Impact		Result			
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
		1	2	3	4
Probability		Negligible	Marginal	Critical	Catastrophic

Risk Score: the overall risk level.

Risk level	Score	Description
Very high	20-24	Unacceptable level of risk exposure that requires a review of controls and immediate mitigating action
High	10-19	Unacceptable level of risk which requires a review of controls and mitigating actions
Medium	4-9	Acceptable level of risk exposure subject to regular monitoring
Low	1-3	Acceptable level of risk exposure subject to periodic monitoring

Net Risk Score: the overall risk level after controls and mitigating actions are put in place

Trend: after controls and mitigating actions are considered

↑	New or increasing risk
↔	No change to risk
↓	Declining risk

Risk Appetite

	Averse	Minimalist	Cautious	Open	Hungry
Finance					
Political					
Governance					
Competitive Environment					
Staffing and HR					
Student					
Reputational / External					
Infrastructure					
Learning and Teaching					
Digital					

Classification	Description
AVERSE	Avoidance of risk and uncertainty is a key organisational objective.
MINIMALIST	Preference for ultra-safe business delivery options that have a low degree of inherent risk and only have a potential for limited reward.
CAUTIOUS	Preference for safe delivery options that have a low degree of residual risk and may only have limited potential for reward.
OPEN	Willing to consider all potential delivery options and choose the one that is most likely to result in successful delivery while also providing an acceptable level of reward (and value for money etc.).
HUNGRY	Eager to be innovative and to choose options offering potentially higher business rewards, despite greater inherent risk.

College 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, in a way that suits individual students.	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 customers and stakeholders by creating learning pathways, developing new delivery partnerships and integrating learning into wider local strategies.	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

Risk Register: Summary of Top 5 Risks

Risk No.	Risk Description	Gross	Net	Prior	Trend
1	<u>Business / Cyber Resilience Planning</u> Inadequate business continuity / cyber resilience planning leading to material interruptions to service delivery primarily resulting from Coronavirus epidemic.	24	24	24	↔
2	<u>SFC Funding and Funding Methodology</u> 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.	24	24	24	↔
3	<u>Estate Strategy</u> 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.	24	20	20	↔
4	<u>Estates maintenance / capital funding</u> Failure to secure adequate estates maintenance / capital funding for future investment or refurbishment of IT and physical infrastructure.	20	16	16	↔
5	<u>Brexit</u> 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.	15	15	15	↔

Risk number	1	WCS 7
Risk description	<u>Business / Cyber Resilience Planning</u> Inadequate business continuity / cyber resilience planning leading to material interruptions to service delivery primarily resulting from Coronavirus epidemic.	
Link to the Strategic Priority <i>Refers to the relevant Strategic Priority.</i>	1.2 3.4	
Risk category / appetite	Reputational/External	Open
Proximity	Medium-term	
Impact/Likelihood	6 x 4	
Gross Risk Score	24	
Controls <i>A control is a framework in place to mitigate the risk.</i>	<ol style="list-style-type: none"> 1) Business Continuity Plans available to relevant staff along with associated documents to assist during any incident. 2) 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. 3) Closure of College campus undertaken successfully in March and planning has commenced to enable remobilisation. 4) Good interaction with staff, unions and Student Associations with information being supplied to all parties on a timely basis. 5) Continued engagement with Scottish Funding Council, Skills Development Scotland and other funding bodies to gain clarity on future funding which is resulting in an inability to take effective decisions. 6) Staff planning for return to the 'new normal' way of working include: <ul style="list-style-type: none"> - the development of online materials; - estate adaptations including mobilisation for home working; - increased reliance on technology which will require funding; - monitoring of supply chains; - a need for all operations to understand and operate within the new health and safety requirements; - governance updates regarding implications of deficit budgets; and - consideration given to starting the 2020-21 academic year later to assist with the planning process. Students for 2019-20 will continue to receive teaching through us of on-line delivery methods 	

	7) Financial and staffing implications not fully understood at the moment due to lack of clarity of information from central government and in a number of cases receipt of conflicting information.
Probability/Impact	6 x 4
Net Risk Score	24
Trend	↔
Risk Owner	VP Operations

Risk number / Reference	2	WCS1
Risk description	<u>SFC Funding and Funding Methodology</u> 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.	
Link to the Strategic Priority <i>Refers to the relevant Strategic Priority</i>	1.1 1.3 3.1 3.4	
Risk category / appetite	Finance	Minimalist
Proximity	Immediate	
Probability/Impact	6 x 4	
Gross Risk Score	24	
Controls <i>A control is a framework in place to mitigate the risk.</i>	<ol style="list-style-type: none"> 1. Detail of 2019-20 final SFC funding confirmed and 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 during 2019-20 and beyond. 2. 2019-20 budget approved by College Board 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. The College continues to engage with the SFC on the final agreement and implementation of the plan including review of curriculum delivery in Renfrewshire. 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 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 and Credits 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.
Probability/Impact	6 x 4
Net Risk Score	24
Trend	↔
Risk Owner	VP Operations / VP Educational Leadership

Risk number	3	WCS 3
Risk description	<u>Estate Strategy</u> 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.	
Link to the Strategic Priority <i>Refers to the relevant Strategic Priority.</i>	1.2 3.1 3.3 3.4	
Risk category / appetite	Infrastructure	Open
Proximity	Long-term	
Impact/Likelihood	6 x 4	
Gross Risk Score	24	
Controls <i>A control is a framework in place to mitigate the risk.</i>	<ol style="list-style-type: none"> 1. The College continues to engage with SFC, SFT, local councils 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 and annual implementation updates highlight 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 potential 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. 	
Probability/Impact	5 x 4	
Net Risk Score	20	
Trend	↔	
Risk Owner	VP Operations	

Risk number	4	WCS 2
Risk description	Estates maintenance / capital funding Failure to secure adequate estates maintenance / capital funding for future investment or refurbishment of IT and physical infrastructure.	
Link to the Strategic Priority <i>Refers to the relevant Strategic Priority.</i>	1.1 1.2 2.3 4.1	
Risk category / appetite	Infrastructure	Open
Proximity	Medium-term	
Impact/Likelihood	5 x 4	
Gross Risk Score	20	
Controls <i>A control is a framework in place to mitigate the risk.</i>	<ol style="list-style-type: none"> 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. 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 and wider consultation exercises where possible. 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. College currently undertaking curriculum horizon scanning exercise in responding to SFC information request in relation to Greenock OBC. Implications of published Inverclyde local development plan being actioned, and College is engaging with partners in relation to this. 5. Outline Business Case for Paisley submitted to the SFC in October 2017 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 once these have been concluded. 6. The College has updated the estate condition work undertaken in 2015. This provides robust data showing the level of investment required as at 2019 in order to get the College estate up to Condition B and maintain this. 	
Probability/Impact	4 x 4	

Net Risk Score	16
Trend	↔
Risk Owner	VP Operations

Risk number	5	WCS 16
Risk description	Brexit 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.	
Link to the Strategic Priority <i>Refers to the relevant Strategic Priority.</i>	1.3 2.2 3.1 3.4	
Risk category / appetite	Governance	Cautious
Proximity	Medium-term	
Impact/Likelihood	5 x 3	
Gross Risk Score	15	
Controls <i>A control is a framework in place to mitigate the risk.</i>	1) College has considered possible impacts of Brexit on operations and continues to keep this under review. Output has been discussed at senior management level and with relevant Board Committees. It is anticipated there may be an impact on EU funded programmes (such as 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.	
Probability/Impact	5 x 3	
Net Risk Score	15	
Trend	↔	
Risk Owner	Principal	

Risk number	6	WCS 4
Risk description	SFC Regional Outcome Agreement Failure to deliver SFC Regional Outcome Agreement targets at a time of limited resource results in future credit and/or funding adjustments.	
Link to the Strategic Priority <i>Refers to the relevant Strategic Priority.</i>	1.2 2.1 3.2 3.4	
Risk category / appetite	Learning and Teaching	Open
Proximity	Long-term	
Impact/Likelihood	5 x 4	
Gross Risk Score	20	
Controls <i>A control is a framework in place to mitigate the risk.</i>	1) Positive engagement with SFC in relation to ROA development and monitoring for current and future years. Internal audit of ROA process indicated robust planning arrangements in place regarding development of ROA. 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 schools 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 to consider the College ROA during February 2020 meeting. The draft ROA will then be submitted to the SFC for initial consideration.	
Probability/Impact	4 x 3	
Net Risk Score	12	
Trend	↔	
Risk Owner	Principal	

Risk number	7	WCS 5
Risk description	<u>National Pay Bargaining</u> Impact and outcome of National Pay Bargaining for both teaching and support staff.	
Link to the Strategic Priority <i>Refers to the relevant Strategic Priority.</i>	1.1 1.2 1.3 3.4	
Risk category / appetite	Staffing and HR	Open
Proximity	Medium-term	
Impact/Likelihood	6 x 3	
Gross Risk Score	18	
Controls <i>A control is a framework in place to mitigate the risk.</i>	1) WCS representation and involvement in national college Employers Association and national joint negotiating committee (NJNC). 2) Financial impact assessment / planning scenarios on the impacts of National Bargaining ongoing. National Bargaining funding distribution for 2019-20 agreed with Colleges Scotland and the Scottish Funding Council. 3) Business Continuity Planning considers impact of industrial action, with specific plans in place. 4) 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. 5) Robust college sector and WCS communications plan including liaison with Student Association on impact on students. 6) Local workforce planning arrangements subject to positive internal audit review (June 2018). Workforce planning being carried out at departmental level based on agreed template. 7) Support and teaching staff pay award until September 2020 in place.	
Probability/Impact	4 x 3	
Net Risk Score	12	
Trend	↔	
Risk Owner	Principal	

Risk number	8	WCS 6
Risk description	<u>IT Systems and Infrastructure</u> Failure to maintain or acquire and use IT systems and infrastructure to support the digital ambitions of the College.	
Link to the Strategic Priority <i>Refers to the relevant Strategic Priority.</i>	11 2.1 3.3 4.2	
Risk category / appetite	Digital	Hungry
Proximity	Medium-term	
Impact/Likelihood	4 x 4	
Gross Risk Score	16	
Controls <i>A control is a framework in place to mitigate the risk.</i>	<p>1) IT Strategy, Policies / Procedures and system access processes in place. The Finance and General Purposes Committee review progress achieved in delivering the IT Strategy on an annual basis 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 Colleges Scotland and the SFC is ongoing in an effort to secure the required level of funding in order to deliver College digital ambitions.</p> <p>2) Staff and student feedback and evaluation procedures in place.</p> <p>3) IT Contingency Plan in place with regular review.</p> <p>4) College has renewed its Cyber Essentials Plus accreditation as required. Work commencing on updating the Scottish Government Cyber Resilience Framework.</p> <p>5) College Digital Strategy which sets out digital ambitions for the College, presented and approved by the Board of Management.</p> <p>6) Discussions remain ongoing with the SFC on IT condition survey and College offered to be model for future sector wide survey.</p> <p>7) College HR department providing support to staff undertaking national support staff job evaluation.</p>	
Probability/Impact	4 x 3	
Net Risk Score	12	
Trend	↔	
Risk Owner	VP Operations	

Risk number	9	WCS 15
Risk description	College Transformation Plan Failure to deliver the financial and/or non-financial objectives outlined in the College Transformation Plan "Future Proofing Our College".	
Link to the Strategic Priority <i>Refers to the relevant Strategic Priority.</i>	1.1 2.1 3.4 4.3	
Risk category / appetite	Governance	Cautious
Proximity	Long-term	
Impact/Likelihood	4 x 4	
Gross Risk Score	16	
Controls <i>A control is a framework in place to mitigate the risk.</i>	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 has a plan in place to meet financial objectives during 2019-20. 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.	
Probability/Impact	3 x 4	
Net Risk Score	12	
Trend	↔	
Risk Owner	Principal	

Risk number	10	WCS 9
Risk description	<u>Staff Relations</u> Inability to maintain positive staff relations	
Link to the Strategic Priority <i>Refers to the relevant Strategic Priority.</i>	1.2 1.3 3.4	
Risk category / appetite	Staffing and HR	Open
Proximity	Long-term	
Impact/Likelihood	4 x 3	
Gross Risk Score	12	
Controls <i>A control is a framework in place to mitigate the risk.</i>	1) Approved Workforce Plan in place to address Audit Scotland recommendations and implementation reviewed by the Board CDC and HR Committee.	
	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 sessions and staff surveys undertaken on regular basis allowing matters to be raised and 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.	
Probability/Impact	3 x 3	
Net Risk Score	9	
Trend	↔	
Risk Owner	Principal	

Risk number	11	WCS 11
Risk description	<u>Alternative Income Growth</u> Ability to generate consistent levels of alternative income or to grow alternative income streams.	
Link to the Strategic Priority <i>Refers to the relevant Strategic Priority.</i>	1.1 2.3 3.1 3.2	
Risk category / appetite	Competitive Environment	Open
Proximity	Long-term	
Impact/Likelihood	4 x 3	
Gross Risk Score	12	
Controls <i>A control is a framework in place to mitigate the risk.</i>	1) Alternative Income Strategy currently under development in response to requirements of College 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.	
	7) Review of resources required within Curriculum Development Planning procedure.	
	8) Commercial Development Group meets bi-monthly to review and address challenges of delivering alternative income.	
Probability/Impact	3 x 3	
Net Risk Score	9	
Trend	↔	
Risk Owner	VP Educational Leadership	

Risk number	12	WCS 10
Risk description	Workforce Planning Failure to embed Workforce Plan resulting in lack of appropriate resources and skills being developed to achieve College strategic objectives and outcomes	
Link to the Strategic Priority <i>Refers to the relevant Strategic Priority.</i>	1.3 2.3	
Risk category / appetite	Staffing and HR	Open
Proximity	Long-term	
Impact/Likelihood	4 x 3	
Gross Risk Score	12	
Controls <i>A control is a framework in place to mitigate the risk.</i>	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. All recommendations made by internal auditors fulfilled and OD&HR Committee updated on progress.	
	8) Initial results from staff skills survey being used to allow the College to identify and address future skills gaps.	
Probability/Impact	3 x 2	
Net Risk Score	6	
Trend	↔	
Risk Owner	Principal	

Risk number	13	WCS 13
Risk description	<u>General Data Protection Regulations</u> Inability to ensure a holistic response to data and information governance, including compliance with the General Data Protection Regulations (GDPR).	
Link to the Strategic Priority <i>Refers to the relevant Strategic Priority.</i>	3.4 4.1	
Risk category / appetite	Governance	Cautious
Proximity	Long-term	
Impact/Likelihood	3 x 3	
Gross Risk Score	9	
Controls <i>A control is a framework in place to mitigate the risk.</i>	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.	
Probability/Impact	3 x 2	
Net Risk Score	6	
Trend	↔	
Risk Owner	Principal	

Risk number	14	WCS 14
Risk description	<u>Estate Investment Works</u> Normal business activities are unduly affected due to the complexity of sequencing estates investment works.	
Link to the Strategic Priority <i>Refers to the relevant Strategic Priority.</i>	1.2 3.4	
Risk category / appetite	Learning and Teaching	Open
Proximity	Long-term	
Impact/Likelihood	4 x 2	
Gross Risk Score	8	
Controls <i>A control is a framework in place to mitigate the risk.</i>	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.	
Probability/Impact	3 x 2	
Net Risk Score	6	
Trend	↔	
Risk Owner	VP Operations	

TITLE: IT STRATEGY

Background: The West College Scotland IT Strategy was recommended for approval at the Finance and General Purposes Committee meeting of 8 March 2016 and subsequently approved by the Board of Management on 21 March 2016. In approving the IT Strategy, it was agreed that an annual update on progress would be provided to the Finance and General Purposes Committee.

Given that the Infrastructure Committee remit now includes Information Technology, the latest annual IT Strategy update report – which was provided to the Finance and General Purposes Committee on 10 March 2020 – is enclosed in order to provide an understanding of IT Strategy implementation to date and agreed 2020-21 priorities. A further update will be provided to the Committee on the technology impacts of Covid19 at this meeting.

The paper has been updated to include the 2020-21 budget in Section 2.1, which had not been approved at the time the paper was considered in March 2020.

Action: The Asset and Infrastructure Committee are requested to:

- review the progress made in the first four years of implementing the College IT Strategy;
- consider the IT Strategy priorities which were agreed by the Finance and General Purposes Committee for 2020-21;
- note that the current IT Strategy is in the fifth and final year and will require review and updating in 2021;
- agree that an update report on key IT projects be provided at future meetings of the Committee, adopting a similar format and approach to that provided for Estates Maintenance projects.

Lead: David Alexander - Vice Principal Operations
Martin Joyce – Director of Infrastructure

Status: Open

1.0 Background

- 1.1. The West College Scotland IT Strategy was approved by the Board of Management on 21 March 2016 and is provided as an *Appendix* to this report. The IT Strategy sets objectives across 6 areas, with these intended to be achieved through delivery of 27 associated outcomes/indicators of success.
- 1.2. In approving the College IT Strategy, it was agreed that the Finance and General Purposes Committee would receive an annual update on implementation. This IT Strategy update follows the format of earlier years and encompasses:
- Section 2 - a summary of activity and progress to date against each of the IT strategic objectives and associated outcomes/indicators of success;
 - Section 3 – a summary of key areas and considerations that will arise during the fifth and final year of the current IT Strategy implementation, drawing on recent changes in the IT landscape and upcoming events; and
 - Section 5 - a more detailed review, including a BRAG assessment, of the “*How do we get there?*” indicators of success that were agreed for monitoring progress against each objective within the IT Strategy.

In considering the progress made to date it should be noted that:

- The fundamental role of the IT Strategy is to provide the support and infrastructure that is necessary in order to deliver the College’s wider digital needs and ambitions. The wider College Digital Strategy was published during this fourth year of the IT Strategy under a key priority of the College Corporate Plan. Implementation of the Digital Strategy is one of the ongoing projects detailed within the *Future Proofing our College* business transformation plan that the College submitted to the Scottish Funding Council (SFC). An action plan is now being developed for the implementation of the College Digital Strategy and as this comes into place the IT Strategy will be reviewed and updated as necessary in order to support the requirements arising from this.
- The IT Strategy as approved by the Board of Management on 21 March 2016 is entering its fifth and final year. The overall Strategy will therefore be reviewed and updated in 2021.

- The College remains in ongoing dialogue with the SFC about strategic funding to support implementation and delivery of digital ambitions.

2.0 IT Strategic Objectives - Update

2.1 The College IT directorate has 38.21 staff FTE, handles 10,100 service desk calls a year and supports over 5,000 devices.

IT directorate budgets for the four years of the Strategy are as follows:

	16-17 £'000	17-18 £'000	18-19 £'000	19-20 £'000	20-21 £'000	
IT Revenue	1,485	1,215	1,136	1,131	1,152	Includes software licencing, supplier support, print services and telephony costs
IT Maintenance	500	500	500	486	468	General project funding
Skype for Business	0	90	0	0	0	One-off project allocation
TOTAL	1,985	1,805	1,636	1,617	1,620	

The annual College budget currently available to deliver against these outcomes therefore totals £1,617,000. However, it can be seen from a review of the four-year period that College ability to invest in the ICT infrastructure is becoming increasingly challenging year-on-year given the level of resource available is decreasing.

2.2 As can be seen from Section 5 of this report the College believes progress has been made in relation to all 6 strategic objectives during the fourth year of IT Strategy implementation. Of the 27 associated outcomes/indicators of success it is assessed that:

- 6 of these are now complete (2019: 5)
- 18 have progressed to the point anticipated (2019: 19) during Year 4 of the Strategy
- Some progress has been achieved with 2 outcomes (2019: 2), with further work required
- 1 outcome has not been progressed (2019: 1) and will now not be proceeding

2.3 Objective 1 - Infrastructure (Hardware and Software)

The College considers further progress has been made in relation to this objective. Still set against the tri-part challenge of estate, finance and managing legacy infrastructures, the College has prioritised the annual IT Maintenance expenditure of approximately £500,000 in each of the first four years of the Strategy to sustain resource and support the delivery of teaching and learning. During year four, service availability has been maintained; all staff are operating on Windows 10 and are enabled for Skype for Business; progress has been made as anticipated in seeking to provide Windows 10 in all student areas; a new information portal for students, *MyDay*, has been deployed; and the College contract with Capita for the provision of the student management information system was renewed following approval by the Board of Management.

However, while progress has been made, it should again be recognised that the level of investment required to maintain, sustain and develop the IT infrastructure in a way which meets the College's digital need and ambitions is currently not considered to be enough. There remain areas where sustained investment is required – such as the replacement of campus wireless infrastructures and other network equipment, and more regular renewal of desktop equipment. As previously advised to the Board of Management and Finance and General Purposes Committee this has been the subject of discussion with the SFC. During 2018/19 the College advised SFC that an immediate investment of at least £2.5m and minimum annual recurring funding of £800,000 was required. However as advised at recent Finance and General Purposes Committee meetings, the SFC has decided to work with the College Development Network (CDN) to establish a Digital Strategy for the College sector rather than seek to progress this matter directly with West College Scotland, as had previously been considered. The College is represented on the CDN Digital Strategy group by Angela Pignatelli, Assistant Principal, Creativity and Skills.

2.4 Objective 2 - Projects and Enhancements

The College considers further progress has been made against this objective. The College Operational Planning process is used to identify prioritised resource requests. IT maintenance spend has been targeted towards teaching and learning needs (including the provision of a cyber security lab at the Greenock Finnart Street Campus), whilst Skype for Business, Windows 10, Microsoft Teams and cyber accreditation activities have been progressed.

The IT Director had a lead role during last year in working with colleagues across the College to deliver the College Digital Strategy, which was approved by the Board of Management. An oversight group has now been formed within the College to develop the Digital Strategy and an associated action plan – and this group will also monitor the implementation of the Strategy.

In line with all other College strategies reporting arrangements require to be put in place to monitor implementation and outcomes. Given the significant link to teaching and learning and the need for curriculum to lead set the lead in what is required, it has been agreed that the Learning, Teaching and Quality Committee will have oversight of the College Digital Strategy, with the Assistant Principal Creative Industries and Essential Skills leading this. The College IT Strategy will be reviewed and developed to ensure that it supports and integrates with the requirements of the Digital Strategy as it develops and moves to implementation.

2.5 Objective 3 - Structure and Service Delivery

The College considers progress has been made in this area:

- The IT Directorate operating structure, finalised in July 2017, is now established. There will be further developments to the structure at senior management level during 2020, which are outlined later in this report.
- Service Desk operations, including call handling arrangements, operate using software that has been live since October 2017 and thus the approach is operationally embedded.

Together these arrangements have been successful in focusing resource and allocating workload. Reports providing updates on service delivery are provided to the College Senior Management Team on a regular basis, with this becoming more prominent during 2019. Further refinement of service desk information will be progressed during Year 5 as required to support the Digital Strategy action plan and understanding of any trends arising.

The College's Continuing Professional Development Review [CPDR] activities continue to support and enable further development of the digital and service skills within the IT teams. During year four of the strategy, six staff from the IT Directorate successfully completed the College's Leadership Development Programme.

2.6 Objective 4 - Planning and Risk

The College considers progress has been made in delivering this objective. For 2018-19 (and for 2019-20 to date) revenue and maintenance spending has been delivered within budget while meeting priority needs. It is envisaged the 2019-20 process will lead to a similar outcome.

The IT continuity plan remains in place and, along with the established intranet communication model, supports IT incident response.

During Year 4 of the Strategy the IT team:

- Continued to develop and deliver the IT Department operational plan, which provides the basis for delivery of the IT Strategy on an annual basis;
- Further developed the College's business continuity plans;
- Supported the implementation of the College's GDPR operating framework; and
- In response to the Scottish Government Cyber Action Plan, continued to review the College's Cyber Incident Response Plan as developed in previous years; and
- Led the process by which the College achieved re-certification of Cyber Essentials Plus.

Operational risk is captured by the College operational planning process and is recognised within IT policy and procedure documents and in our approaches to cyber resilience and cyber security.

Strategic risk is assessed by the College Senior Management Team and considered at all Board of Management and Board of Management Committee meetings.

Currently the key IT risks and their associated rating within the College Strategic Risk register are as follows:

Risk Reference	Risk	Risk Rating (post mitigation)
WCS 2	Failure to secure adequate estates maintenance/capital funding for future investment or refurbishment of IT ad physical infrastructure.	16
WCS 6	Failure to maintain or acquire and use IT systems and infrastructure to support the digital ambitions of the College.	12
WCS 7	Inadequate business continuity / cyber resilience planning leading to material interruptions to service delivery.	9

While a range of mitigations are in place for these risks, the need for significant investment in the College ICT infrastructure remains an area where support to address this is required from the SFC.

2.7 Objective 5 - Policy and Process

The College considers effective progress had been made against this objective, with the *IT Password Policy* and *IT Acceptable Use Policy* having been reviewed, updated and approved by the College Senior Management team during the year. Steering and working groups continue to inform awareness and embed best practice as and when required.

Beyond the documentation prepared to respond to internal audit action points, ongoing refinements in IT policy and procedure in the remaining period of the Strategy will continue to support the goal of steering user understanding and behaviour around IT resource and security.

2.8 Objective 6 - Collaboration and Partnership

The College considers further progress has been made against this objective. The IT Management Team has continued to be involved in the Scottish College's Information Leads group [SCIL], the Joint Information Systems Committee (JISC) 'Tech2Tech' stakeholder forum, and Cyber forums. The College IT team will continue to seek involvement in and leadership of other groups where this enables the opportunity to inform and benefit from best practice and gain an understanding of the wider operating environment.

A core element of the Scottish Government approach to strengthening cyber resilience is through information sharing and collaboration. From this the College benefits from access to shared information and best practice resource on cyber toolsets, threat awareness and incident response.

3.0 IT Strategy Year 5 – Key Outcomes and Considerations

3.1 For Year 5 implementation of the IT Strategy the following are key outcomes across the six objectives:

- Retirement of legacy telephony infrastructure and equipment.
- Concluding the deployment of Windows 10 and Office 2016 to remaining classroom areas.
- Identify and retire surplus IT equipment.
- Renew and update laptop equipment used by College's teaching and support staff.

- Commencing implementation of a cross-College wireless infrastructure solution, subject to available budget, to address coverage and capacity challenges where these exist.
- Cyber Essentials re-accreditation, for a third year, to support the Scottish Government's strategy on Cyber Resilience.
- Establish and progress activities in response to the evolving requirements of the Scottish Government's Public Sector Cyber Resilience Framework.
- Engage with SFC on modelling IT infrastructure funding need within the sector, with a view to investment at WCS.
- Engaging with the Quality directorate and Student Association to better refine and understand feedback on use, availability and functionality of IT resource; and
- Ensuring teaching and learning IT needs are prioritised within available resource parameters.
- Provide support for, and contribute to, College wide projects, including:
 - Implementation of a College Customer Relationship Management System
 - Supporting estates projects, including the movement of approximately 400 staff and students from the Centre for Performing Arts in Paisley to the Renfrew Road Campus.
 - Developing and implementing the College *iTrent* payroll system new '*Electric Theme*' user interface, through collaborative work with HR colleagues
 - Developing bespoke solutions in response to identified process enhancement requirements across the College.
- Migrate functionality from Skype for Business to Teams. Research, test, plan, promote and deliver functionality of Microsoft Teams as a toolset for staff collaborative working.
- Support implementation of the performance, audit, and risk management tool – Pentana.
- Respond to advised College direction and emerging requirements around *using data* – by research, test, and adoption of solutions, such as *PowerBI*.
- Development of the workforce development need(s) associated with delivery of the College Digital Strategy.
- Support development and delivery of the College Digital Strategy.
- Development of the College's IT Strategy for 2021 onwards, aligning with the evolving College Digital Strategy

4.0 Conclusion

4.1 As outlined above, College ability to invest in the ICT infrastructure is becoming increasingly challenging given the level of resource available. The level of IT funding is the subject of ongoing dialogue with the SFC and a focus for the college sector - should this lead to any further resource becoming available then this will be used to support delivery of IT Strategy outcomes. Given the challenging financial environment in which the College is operating there remains a constant need for the College to maximise any investment in the IT infrastructure at all times.

4.2 The Finance and General Purposes Committee are requested to:

- Review and consider progress made during Year 4 of the IT Strategy implementation; and
- Review and consider the key outcomes outlined as a priority for Year 5 of the Strategy.

Section 5 - Review of IT Strategic Objectives

Date of Review – February 2020

Analysis	
B	Actions are complete. Outcome achieved.
G	Progress achieved and anticipated with year 4 of the Strategy
A	Some progress achieved during year 4 of the Strategy with further work required
R	Progress anticipated or required however not achieved to date
L	Actions no longer being progressed

IT Strategic Objective 1 - Infrastructure (Hardware and Software)

The College will develop, maintain and support an integrated IT infrastructure providing users with available, robust and secure access and services, establishing effective and efficient IT administration support practice.

Indicators of Success	Progress at February 2020	Status
<ul style="list-style-type: none"> The IT infrastructure will support the resources required by the College to undertake its delivery portfolio within teaching and learning. The College will have taken full advantage of the software and associated resources available to us under our major enterprise license agreements. 	<p>All staff are now operating with a Windows 10 device, and plans are in place to renew the remainder of classroom equipment unable to support Windows 10.</p> <p>A new cross-College wireless infrastructure solution has been researched and tested. A potential procurement route has been identified.</p> <p>While the College is of the view that the level of progress achieved is sufficient with the resource available, the challenge is that the resource available is not sufficient to support the College’s digital ambitions and with this the required levels of investment. This indicator continues to be assigned ‘amber’ status on this basis.</p> <p>The Principal continues to lead strategic dialogue with the SFC which is aimed at securing the level of resource required to support College’s digital need and ambitions.</p>	A
	<p>Microsoft Campus and Adobe Creative Cloud enterprise agreements were both re-procured over summer 2018. This provides the College with continuity in enterprise teaching and learning software into 2021, beyond the end of this strategy period.</p>	G

Indicators of Success	Progress at February 2020	Status
<ul style="list-style-type: none"> • Our JANET connection, providing College Internet access, will be upgraded and aligned to post merger requirement and operations. • Thin client solutions will be more in evidence across the classroom desktop estate. • Feedback from students and the wider learning community will reflect an improvement in the software and hardware available to support teaching and learning. • Print service will exist as a single solution delivered by a competitively procured supplier. 	<p>2017 Complete - The Janet (Joint Academic Network) circuits have been upgraded and replacement Firewalls procured and installed.</p>	B
	<p>Technical and Financial considerations are making the goal of extending the existing thin client estate more challenging. Migration to thin client technology requires significant up-front investment. The College’s limited funding has seen improvements to campus wireless infrastructures progressed as a priority.</p> <p>Given this, and the fact that the need for specialised hardware and software is now emerging at greater levels across the College curriculum, the expansion of thin client solutions is under review.</p>	L
	<p>Individual campus and student feedback reflecting generalised frustrations around student access and use of IT resource – this continues to be challenging given the lack of resource available to the College to convert this into strategic or operational change.</p> <p>Seeking more detailed feedback by way of Quality led focus group(s) will be the next option to localise information for remedial action, training or organisational communication.</p>	A
	<p>2017 Complete - RICOH were appointed via a competitive procurement process and replacement equipment and software has been installed and configured to design.</p>	B

Indicators of Success	Progress at February 2020	Status
<ul style="list-style-type: none"> A successful deployment of Skype for Business will have enhanced cross-campus collaboration and communications. 	<p>The redesign and upgrade of the technical infrastructure was reported as complete in last year’s update. All staff are now enabled for Skype for Business.</p>	<p>B</p>
<ul style="list-style-type: none"> User wireless access and server cloud resource will be key established elements within a hybrid IT infrastructure. 	<p>Office 365 is fully operational for student and staff email. OneDrive is available to all staff and students for personal and shared storage. The three campus wireless solutions are now constrained by vendor limitations, and work has commenced on identifying a new cross-college solution</p>	<p>G</p>
<ul style="list-style-type: none"> By providing teaching and support resources online, the College will reduce the need to be the provider of the endpoint equipment in all situations. 	<p><i>Myday</i> cloud software launched and now being used by students – providing centralised access to all the information that students need in one intuitive place</p>	<p>G</p>
<ul style="list-style-type: none"> IT will be a core element of estates redevelopment activities. 	<p>IT continue to contribute on Estates led development projects for existing campuses. Collaboration is based on established protocols for inter-team working on internal change projects.</p> <p>Larger Estate developments are awaiting next stage approvals.</p>	<p>G</p>

IT Strategic Objective 2 - Projects and Enhancements

The College will deliver the approved and prioritised IT infrastructure sustainability and enhancement programs.

Indicators of success	Progress at February 2020	Status
<ul style="list-style-type: none"> The College will recognise and deliver prioritised technology change to specification and within approved budget. 	<p>2018-19 maintenance spend concluded within budget. 2019-20 spending plans are developing on track. Planning for both years was adjusted to respond to the need to accelerate the deployment of Windows 10 in support of the College’s digital ambitions and to better support the delivery of Cyber essentials accreditation.</p>	G
<ul style="list-style-type: none"> Stakeholder understanding and engagement will streamline delivery of the resource request and business improvement processes. 	<p>For 2019-20, the Operational Planning process informed IT maintenance funding allocation. Spend is prioritised around curriculum delivery and continues to reflect curricular / departmental priority and budget availability.</p>	G
<ul style="list-style-type: none"> An effective and involved College Technology Committee will be informing and publicising IT delivery across teaching and learning and support activities. 	<p>2018 Complete - Following a Senior Management review of committee and group operation within the College, the recommendation to disband the Technology Committee was implemented late in year two of the Strategy. The College will not put in place a dedicated group to take forward the new Digital Strategy.</p>	B
<ul style="list-style-type: none"> IT change will be enabled and supported from a recognised project delivery methodology that is embedded through staff engagement with the Corporate Professional Development Review process. 	<p>The CPDR meeting cycle for IT staff continues. Agreed development activities arising from this process are being progressed with OD&HR.</p>	G

IT Strategic Objective 3 - Structure and Service Delivery

The College will maintain and develop a flexible operating IT structure that delivers a high quality and responsive service.

Indicators of success	Progress at February 2020	Status
<ul style="list-style-type: none"> IT services will deliver performance against a collection of agreed indicators of success that are set and reviewed during the annual Operations Management cycle and deemed appropriate to the College environment. IT staff will introduce a recognised service delivery methodology and will design cross-campus operations to deliver improvements to the user base. Available service desk and infrastructure monitoring software will provide effective operational support. 	<p>Three key Service Indicators are included within the 2019-20 IT Operational Plan. Records show volume and turnaround are within target.</p> <p>Further refinement of service desk information will be progressed during Year 5 as required to support the Digital Strategy action plan and understanding of any trends arising.</p>	G
	<p>The CPDR meeting cycle for IT staff continues. Prioritised development is agreed with OD and HR.</p> <p>IT management staff have completed the College’s Leadership Development Programme.</p>	G
	<p>2018 Complete - New Service Desk software [<i>FreeStyle Support Portal</i>] was released to users on 31 October 2017. The solution provides:</p> <ul style="list-style-type: none"> A self-service web portal - enabling users to log and track job requests; Revised and improved back-end workflow management – enabling effective job distribution; and 	B

Indicators of success	Progress at February 2020	Status
	<ul style="list-style-type: none"><li data-bbox="1070 300 1892 368">• The production of reliable management information via SQL database reporting. <p data-bbox="1041 416 1904 528">Introduction of the software was supported by a programme of intranet communications and changes to the telephone and email handling arrangements available to users.</p> <p data-bbox="1041 571 1910 644">Infrastructure monitoring [<i>Microsoft System Centre</i>] is in place and providing information and tools to support operations.</p>	

IT Strategic Objective 4 - Planning and Risk

The College will establish and maintain asset information, develop the planning processes and maintain audit activities to deliver a sustainability model for the required IT estate.

Indicators of success	Progress at February 2020	Status
<ul style="list-style-type: none"> Annual IT spending will be delivered within budget, achieving outcomes as required. 	<p>2018-19 revenue and maintenance spending were to budget. 2019-20 revenue spends to date are on track. Maintenance planning is ongoing.</p>	G
<ul style="list-style-type: none"> IT asset information will be complete and maintained and will be informing sustainability reviews and selections. 	<p>2018 Complete - The IT asset management software is operational. The physical audit and uploading of core IT asset data is complete. Update processes are defined. This will now be maintained on an ongoing operational basis.</p>	B
<ul style="list-style-type: none"> Contingency plans will be subject to annual review and maintained to reflect the changing College environment and IT infrastructure. 	<p>The IT contingency plan was reviewed in summer 2018. IT management are fully involved in Business Contingency planning and execution. Development of a College Cyber Incident Response Plan formed part of the response to the Scottish Government cyber resilience plan.</p>	G
<ul style="list-style-type: none"> Flexible and adaptive IT resource request planning will deliver prioritised change and support the College's response to a fluctuating budget environment. 	<p>The 2018-19, IT Maintenance spending was focused on providing hardware to support the roll-out of Windows 10 and Office 2016 across support and teaching areas.</p> <p>For 2019-20 allocations have been set aside to service infrastructure requirements and curriculum resource requests identified via the Operational Planning and curriculum review processes, and prioritised in agreement with curriculum Associate Principal's/Directors.</p>	G

Indicators of success	Progress at February 2020	Status
<ul style="list-style-type: none"> Operational risk assessment and options appraisal techniques will be embedded and positively impacting operational effectiveness. 	<p>The strategic risk register includes three specific IT risks. These remain under review in progressing Scottish Government requirements in relation to Cyber action planning and in meeting College infrastructure needs.</p> <p>The College has been successful in re-accreditation of Cyber Essentials Plus for a second year</p> <p>Operational risk is captured and managed during the annual planning process and is now recorded in IT procedural documents.</p> <p>IT management is involved in the work to develop an assurance framework to support risk management.</p>	G

IT Strategic Objective 5 - Policy and Process

The College will maintain IT documentation and guidance resources to ensure user understanding and behaviours secure the data assets and information held by the College and protect the College from loss or litigation

Indicators of success	Progress at February 2020	Status
<ul style="list-style-type: none"> • IT operations and stakeholder behaviours will be governed by a set of policy and guideline documentation that is agreed, understood and is maintained through consultation and review. • Operational processes and behaviours will be fully established and embedded and determined by culture, policy and stakeholder feedback. • Non-personal and non-commercially sensitive organisational data will be more readily available. 	<p>The following policies have been renewed over the last 12 months:</p> <ul style="list-style-type: none"> • IT Password Policy • IT Acceptable Use Policy 	G
	<p>Audit recommendations have shaped IT support operations. Survey feedback, including direct engagement with the Student Association, continues to inform IT operations.</p> <p>The College’s Behaviours Framework has helped shape operational development.</p>	G
	<p>The GDPR steering and working groups, with IT participation, are now well established and co-ordinating College response(s) to the legislation.</p>	G

IT Strategic Objective 6 - Collaboration and Partnership

The College will develop and maintain sector contacts and promote the College profile to ensure WCS is positioned to lead on, or make best use of, identified collaboration and partnership opportunities

Indicators of success	Progress at February 2020	Status
<ul style="list-style-type: none"> The College will be an established and recognised IT contributor within the sector and with other connected public sector organisations. 	<p>College IT management remains fully involved with the following forums:</p> <ul style="list-style-type: none"> Scottish College’s Information Leads (SCIL) – a community of practice for senior IT staff in the sector Jisc ‘Tech2Tech’ Stakeholder forum – a group of senior IT staff in the sector Public Sector Leaders Cyber Forum – group addressing ‘<i>Managing Cyber Risk as Business Risk</i>’ Universities and Colleges Collaboration Strategy Group (UCCSG) – the strategy group for Universities and Colleges Shared Services Catalyst, Scottish Government Digital Engagement Forum (DEF) – a ‘Digital’ best-practice sharing group. 	G
<ul style="list-style-type: none"> IT infrastructure operations will be enhanced by solutions delivered from identified and beneficial sharing or collaboration opportunities. 	<p>Collaboration with New College Lanarkshire supported the selection and implementation of the new <i>Myday</i> Student Portal software, which has now been fully deployed.</p> <p>Collaboration across the college sector in information and resource sharing is supporting delivery against the Cyber Resilience agenda set by Scottish Government.</p>	G

Information Technology Strategy 2016 – 2020



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1.0 Introduction

- 1.1 West College Scotland delivers learning and vocational training to the West Region of Scotland, a catchment area of 1.2 million people, representing 23% of the resident population of Scotland. The College has an important presence and deep roots in our main towns of Paisley, Clydebank and Greenock, and our footprint stretches from Oban to Barrhead.
- 1.2 We are committed to taking a leadership role in the West of Scotland and, together with partners and stakeholders, tackling significant social and economic deprivation which still characterises many of the towns and communities across the region. The College works across local authority boundaries and engages formally with seven authorities.
- 1.3 As Scotland's second largest Regional College we provide education and training to almost 30,000 students. The College manages total funds of £69m and employs approximately 1200 staff.
- 1.4 West College Scotland is one of the Region's largest employers and is uniquely placed to help shape the West region's educational landscape and contribute to its social and economic development. The College wishes to exploit its scale and capacity to maximise its impact as a leader and influencer across the region and the wider College sector. While students are at the heart of what we do, we want to attract business at home and from abroad, and we seek to build a reputation which is recognised for being innovative, enterprising and modern.
- 1.5 At West College Scotland, we recognise the key role that Information Technology has in underpinning the development, improvement and success of our College and its users. The College IT Strategy provides the framework and direction to ensure technological change and development:
 - Is driven by curricular learning and teaching need.
 - Will support innovation in teaching and learning.
 - Provides online access to established and emerging learner and support processes.
 - Ensures existing hardware and software assets are utilised to their maximum potential.
 - Embraces mobile and flexible working models.
 - Recognises the benefits of collaborative working and shared service delivery.
 - Ensures adherence to legislative and policy requirements.
 - Supports a mobile, flexible and hybrid-cloud infrastructure.
 - Provides required levels of ICT service delivery and standards.

2.0 West College Scotland Strategic Priorities

- 2.1 Our vision of a *'Collective ambition, pride and passion to be a vibrant and dynamic College – providing excellent education, training opportunities and services for our students,*

customers and communities' will be achieved by implementing the College's eleven Strategic Priorities. At the heart of our strategic priorities are our Ambitions, which include:

- **To make a difference**
- **To be bold**
- **To be forward thinking, fast-moving, quick to explore new ideas and exploit fresh opportunities**
- **To build on areas where we currently demonstrate excellence; and to set new standards for learning, teaching and service delivery that others will aspire to**
- **To be a leader, working with partners to address local economic and societal challenges**
- **To innovate, grow, diversify and invest**
- **To have an engaged, flexible and modern workforce that is proud to work for West College Scotland**

And alongside our Ambitions sit our Values:

- **To ensure our students have the opportunity to achieve all that they can**
- **To place students and local communities at the heart of what we do**
- **To innovate**
- **To commit to professionalism and partnership**
- **To achieve and sustain excellence**
- **To have a 'can-do' attitude**

The Information Technology Strategy reflects our ambitions and values and is aligned to support the implementation of the following College Strategic Priorities:

Strategic Priorities 1 & 2 – Inspirational and innovative

- 1) We will provide education and training in inspirational and innovative ways to engage and meet the diverse needs of our students.
- 2) Education and training will be delivered to students in high quality College facilities, in their place of work or through the development and use of digital technologies.

Strategic Objective 4

- 4) *To provide a flexible, user-friendly and inclusive digital environment for learning teaching and assessment.*

Strategic Priority 4 – Supporting Success

- 3) We will support the development of our staff to achieve successful outcomes for themselves, our students and the College.

Strategic Objectives 2 and 4

- 2) *To ensure all students have access to comprehensive, appropriate and responsive support services.*
- 4) *To support staff to work successfully with digital technologies.*

Strategic Priority 8 – Securing our Future

8) We will proactively look for new partners and new areas of activity, which will allow us to grow and develop our income to reinvest in our core business for the benefits of our students, our staff and our communities.

Strategic Objectives 2 and 4

2) *To enhance internal business processes, exploiting the use of technology where appropriate, to deliver user friendly, effective and efficient ways of working.*

4) *To ensure technology infrastructure is flexible, responsive and fit for purpose.*

Strategic Priority 11 – Committed to our Region

11) We will deliver a sustainable effective and efficient service to our communities, through the implementation of sound governance, leadership, planning and management.

Strategic Objective 1

1) *To secure a well-managed, financially and environmentally sustainable College.*

2.2 The IT Strategy will support these Strategic Priorities and Objectives through delivery of the following IT Objectives:

- **Infrastructure – Hardware and Software: *Strategic Priorities 2 & 8.***
- **Projects and Enhancements: *Strategic Priorities 2, 8 & 11.***
- **Structure and Service Delivery: *Strategic Priority 4.***
- **Planning and Risk: *Strategic Priorities 8 & 11.***
- **Policy and Process: *Strategic Priority 8.***
- **Collaboration and Partnership: *Strategic Priorities 8 & 11.***

3.0 Regional Outcome Agreement

3.1 The Information Technology Strategy also supports the implementation of the West College Scotland Regional Outcome Agreement in respect of the following objectives:

- **Efficient and Sustainable Regional Structures**

4.0 IT Strategic Objectives

4.1 In support of College strategic priorities and delivery of the Regional Outcome Agreement, there are six strategic IT objectives:

IT Strategic Objective 1 - Infrastructure (Hardware and Software)

The College will develop, maintain and support an integrated IT infrastructure providing users with available, robust and secure access and services, establishing effective and efficient IT administration support practice.

Where are we now?

- The age and condition of the IT infrastructure, including passive cabling, varies by site and location.
- The College continues to operate on the multi-vendor hardware infrastructure inherited at merger.
- Core software applications in support of the student journey were deployed at merger however some ancillary systems software still require replacement.
- Teaching staff have been provided with mobile equipment however little change has been made to classroom and support staff equipment where the age and specification varies widely.
- To support teaching and learning and infrastructure operations, the College is now subscribing to enterprise licence agreements with core software suppliers.
- Technology shift and sector drivers are driving greater use of mobile device, wireless access and cloud based resource.
- Feedback along with analysis of survey data reflects on the age and suitability on some parts of the IT infrastructure, whilst also outlining rising expectations.
- Large scale estate redevelopment, including spend on IT infrastructure, will be conditional on funding provided by the Scottish Funding Council.

Where do we want to be?

- Infrastructure resource is administered effectively and efficiently.
- Infrastructure supports the student journey and engagement process; electronic delivery and assessment; and can adapt to support innovative learning initiatives.
- All elements of existing IT resources are optimally utilised.
- Infrastructure change or enhancement is prioritised, planned and deployed to meet need.

How do we get there?

- Deliver the College IT infrastructure from a 'hybrid cloud' model providing online access to teaching and support resource and services.
- Utilise the tools and resources available under our educational licencing arrangements to support the delivery and enhancement of teaching and learning and to support infrastructure operation.
- Develop the existing Skype for Business (*formerly Lync*) infrastructure to improve cross-College access to communications and collaboration resources.
- Sustain the print and copy environment by procuring a College wide Print Service solution.
- Upgrade our internet connection and equipment to utilise change within the JANET service provision.
- Expand campus wireless connectivity and access.
- Extend the use of thin client solutions to replace classroom desktop solutions.
- Ensure College staff are provided with the equipment which supports their needs, whilst also exploring options to make effective use of 'bring your own device' models to supplement and sustain equipment for students.

- Ensure estates redevelopment plans encompass required IT infrastructure elements.

How will we recognise success?

- The IT infrastructure will support the resources required by the College to undertake its delivery portfolio within teaching and learning.
- The college will have taken full advantage of the software and associated resources available to us under our major enterprise license agreements.
- Our JANET connection, providing College Internet access, will be upgraded and aligned to post merger requirement and operations.
- Thin client solutions will be more in evidence across the classroom desktop estate.
- Feedback from students and the wider learning community will reflect an improvement in the software and hardware available to support teaching and learning.
- Print service will exist as a single solution delivered by a comparatively procured supplier.
- A successful deployment of Skype for Business will have enhanced cross-campus collaboration and communications.
- User wireless access and server cloud resource will be key established elements within a hybrid IT infrastructure.
- By providing teaching and support resources online, the College will reduce the need to be the provider of the endpoint equipment in all situations.
- IT will be a core element of estates redevelopment activities.

IT Strategic Objective 2 - Projects and Enhancements

The College will deliver the approved and prioritised IT infrastructure sustainability and enhancement programs.

Where are we now?

- SFC funding is on annual basis, and makes medium and longer term strategic planning challenging.
- IT spend is governed by procurement efficiency via framework identification and competition.
- The internal College Resource Request process is in place and supports the IT Department in understanding, identifying and prioritising projects and enhancements.
- The College has made significant progress through the initial period following merger in relation to IT enabled business process improvement and there is a need to further develop capacity and approach.
- The College has baseline IT asset information in place and systems for developing and maintaining this require further development.
- Further development of the planning processes across the College will support and improve proactive delivery.

Where do we want to be?

- Deliver agreed and prioritised change within a recognised annual process and to a recognised project methodology.

- Operate with established sustainability plans and with well understood and effective Resource Request processes.
- Operate in a stable IT budget forecasting and planning environment.

How do we get there?

- Continue to refine prioritisation process via collective SMT input and involvement.
- Plan and forecast flexibly to account for known budget constraint.
- Ensure stakeholder representation in determining detail of solutions design for approved change initiatives.
- Develop the project delivery methodology for use within the IT Directorate and more widely across the College.
- Utilise the West College Scotland Technology Committee and staff and student intranet to communicate change priorities and initiatives and to provide the stimulus to gather and implement improvement proposals.

How will we recognise success?

- The College will recognise and deliver prioritised technology change to specification and within approved budget.
- Stakeholder understanding and engagement will streamline delivery of the resource request and business improvement processes.
- An effective and involved College Technology Committee will be informing and publicising IT delivery across teaching and learning and support activities.
- IT change will be enabled and supported from a recognised project delivery methodology that is embedded through staff engagement with the Corporate Professional Development review process.

IT Strategic Objective 3 - Structure and Service Delivery

The College will maintain and develop a flexible operating IT structure that delivers a high quality and responsive service.

Where are we now?

- The IT Directorate structure is in place and operational.
- IT staff remain distributed cross-campus.
- Training and development needs for IT Staff require to be reviewed, prioritised and agreed under the College Corporate Professional Development process.
- IT software for service desk operations requires upgrading.

Where do we want to be?

- Operate with a balanced and flexible IT support resource, able to deliver service support and change activities effectively within a flexible and changing College environment.
- Proactively collect and publish IT service and monitoring data for use in performance review, diagnostics and analytics.
- Operate against a recognised IT Service Delivery model that is designed to provide a set of practices for IT service management.

How do we get there?

- Identify, procure and implement replacement IT service desk software.
- Agree clear performance indicators and establish cross-campus IT support processes to deliver and exceed these.
- Make use of the Corporate Development Planning process to enable improvements in customer service awareness and delivery via a recognised service management methodology.

How will we recognise success?

- IT services will deliver performance against a collection of agreed indicators of success that are set and reviewed during the annual Operations Management cycle and deemed appropriate to the College environment.
- IT staff will introduce a recognised service delivery methodology and will design cross-campus operations to deliver improvements to the user base.
- Available service desk and infrastructure monitoring software will provide effective operational support.

IT Strategic Objective 4 - Planning and Risk

The College will establish and maintain asset information, develop the planning processes and maintain audit activities to deliver a sustainability model for the required IT estate.

Where are we now?

- IT budget levels are established. An effective account management and review process is established. Annual forecasting supports budget efficiency.
- The IT Contingency plan is complete and will be further refined within the context of wider business continuity planning.
- An IT asset information database is now available and this data will be maintained on a continuous basis
- The internal College Resource Request process is in place and supports the IT Department in understanding, identifying and prioritising projects and enhancements.
- Information Security documentation will continue to be maintained, developed and implemented.
- IT risk is recognised, mitigated and managed within the Strategic College Risk register, with regular review taking place by the Senior Management Team and Board of Management.
- A high-level 10 year proposal, including IT requirement, has been prepared for the SFC Infrastructure Strategy working group, and this will continue to be developed on a rolling basis.

Where do we want to be?

- Maintain flexible, pro-active forecasting and budget management for all IT related spend recognising current sector drivers and constraints.
- Collate and maintain reliable and up to date asset information.

- Direct approved spending in line with established plans to support identified and evolving curriculum requirement.
- Embed problem definition, risk analysis and options appraisal methods into the operational IT change\improvement management processes.

How do we get there?

- Complete the auditing, maintenance and centralised recording of IT asset information.
- Further develop and refine short and long term College IT change plans to focus available resource on pro-active maintenance and innovative change delivery.
- Maintain a portfolio of IT change projects capable of maximising and responding to fluctuating budget availability.
- Use Information Security review outputs to inform risk management activities.
- Establish internal processes based on recognised problem, risk and option management methodologies. Utilise staff development opportunities accordingly.

How will we recognise success?

- Annual IT spending will be delivered within budget, achieving outcomes as required.
- IT asset information will be complete and maintained and will be informing sustainability reviews and selections.
- Contingency plans will be subject to annual review and maintained to reflect the changing College environment and IT infrastructure.
- Flexible and adaptive IT resource request planning will deliver prioritised change and support the College's response to a fluctuating budget environment.
- Operational risk assessment and options appraisal techniques will be embedded and positively impacting operational effectiveness.

IT Strategic Objective 5 - Policy and Process

The College will maintain IT documentation and guidance resources to ensure user understanding and behaviours secure the data assets and information held by the College and protect the College from loss or litigation

Where are we now?

- The College culture of collective ambition is well established.
- Compilation of a suite of West College Scotland IT policies is in progress.
- Guideline documentation to direct user behaviour and activity are developed as required.
- A dedicated 'IT Home' section is operational on the staff and student Intranets.
- Freedom of Information requests are answered on an ad-hoc basis.
- The College has to respond to the Scottish Government Open Data Strategy.

Where do we want to be?

- Maintain a suite of resources that inform, support and protect the data and information assets in use within the College.

- Ensure the College's non-personal and non-commercially sensitive, Open Data, is made available in accordance with practice and legislation.

How do we get there?

- Maintain IT policy documentation.
- Progress opportunities with funding bodies, awarding bodies and Community Planning Partnerships in responding to the Scottish Government Open Data strategy.

How will we recognise success?

- IT operations and stakeholder behaviours will be governed by a set of policy and guideline documentation that is agreed, understood and is maintained through consultation and review.
- Operational processes and behaviours will be fully established and embedded and determined by culture, policy and stakeholder feedback.
- Non-personal and non-commercially sensitive organisational data will be more readily available.

IT Strategic Objective 6 - Collaboration and Partnership

The College will develop and maintain sector contacts and promote the College profile to ensure WCS is positioned to lead on, or make best use of, identified collaboration and partnership opportunities

Where are we now?

- Digital Scotland's further education IS Strategy is being serviced via University and College Shared Services [UCSS].
- The Sector Oversight Board for FE is in place and operating proactively.
- Via the Community Planning Partnership, the College has established IT contacts and will look to actively develop links with all community planning partners where this will support delivery of opportunities.
- The College has well established links with APUC to support IT Procurement.
- The College has well established links to JISC and elsewhere within the sector that support IT infrastructure operations.

Where do we want to be?

- Ensure the College secures and maintains representation on strategically influential IT groups within and beyond the sector.
- Identify and utilise shared service opportunities where there is clear organisational advantage.
- Support viable shared service and collaboration IT opportunities within and beyond the sector.

How do we get there?

- Actively participate in identified sector groups.
- Ensure collaboration and shared service options are considered and evaluated in identifying, agreeing and implementing the IT Strategy.

How will we recognise success?

- The College will be an established and recognised IT contributor within the sector and with other connected public sector organisations.
- IT infrastructure operations will be enhanced by solutions delivered from identified and beneficial sharing or collaboration opportunities.

TITLE: SCOTTISH GOVERNMENT / COLLEGE CYBER RESILIENCE FRAMEWORK

Background: The Finance and General Purposes meeting has been provided with regular updates on the College's response to the Scottish Government's Public Sector Action Plan on Cyber Resilience since March 2018.

On 20 January 2020 the Deputy First Minister wrote to all Scottish Public Sector organisations advising of the release of the Scottish Public Sector Cyber Resilience Framework and Supply Chain Cyber Security Guidance. This report provides information on the Cyber Resilience Framework, Supply Chain Cyber Security Guidance and the College's planning for response to these publications - and was considered by the Finance and General Purposes Committee on 10 March 2020. An update advising that the College continued to progress this approach was also provided at the Finance and General Purposes Committee meeting on 2 June 2020.

The College is continuing to progress the required response to the Scottish Government Public Sector Action Plan on Cyber Resilience as outlined in this paper. Given that the Infrastructure Committee remit now includes Information Technology it is proposed that updates on this matter be provided at future meetings.

Action: The Finance and General Purposes Committee is asked to:

- note the implications for the College as outlined within the Cyber Resilience Framework and Supply Chain Cyber Security Guidance;
- note the College's planned response to the publications;
- agree that an update report on the College's response to the Scottish Government's Public Sector Action Plan on Cyber Resilience be provided at future meetings of the Committee,

Lead: David Alexander - Vice Principal Operations
Martin Joyce – Director of Infrastructure

Status: Open

1.0 Introduction and Background

- 1.1 On 8 November 2017 the Scottish Government issued the Public Sector Action Plan on Cyber Resilience [PSAP]. The plan placed a number of key actions on the College, including achievement of Cyber Essential Plus accreditation during 2018.
- 1.2 The College combined the PSAP key actions with recommendations received following an Internal Audit on IT Security into an internal Action Plan and progress on this Cyber Action Plan was reported to the Finance and General Purposes Committee at each meeting during 2018.
- 1.3 Key Action 1 within the PSAP was for the Scottish Government to work with the National Cyber Resilience Leaders' Board, the National Cyber Security Centre, the Scottish Public Sector Cyber Catalysts and other key partners to develop a Cyber Resilience Framework for Scottish public bodies. This aim of the framework, with associated guidelines and requirements, was to help promote a common, effective, risk-based approach to cyber resilience across Scottish public bodies. The initial aim was to have this ready by the end of June 2018.
- 1.4 The College was not tasked with responding to this key action and the document did not materialise during 2018 as originally outlined.

2.0 Draft Cyber Resilience Framework

- 2.1 On 21 March 2019 the Deputy First Minister wrote to all Scottish Public Sector organisations seeking their views on a draft Scottish Public Sector Cyber Resilience Framework and self-assessment tool.
- 2.2 Feedback was sought on the draft framework in the format of a formal questionnaire and the College submitted a response to meet the deadline of 12 April 2019.
- 2.3 A paper was submitted to the Finance and General Purposes meeting in May 2019 regarding the draft Scottish Public Sector Cyber Resilience Framework.

3.0 Cyber Resilience Framework and Supply Chain Cyber Security Guidance

3.1 On 20 January 2020 the Deputy First Minister wrote to all Scottish Public Sector organisations advising of the release of the Scottish Public Sector Cyber Resilience Framework and Supply Chain Cyber Security Guidance. The correspondence is enclosed with this report. The published papers issued with this 20 January 2020 correspondence consist of the following:

a)	Framework Document	284 Pages
	Consisting of	
	• Introduction and how to use framework	23 Pages
	• The Framework	70 Pages
	• Standards Mapping Matrix	90 Pages
	• Individual Standards and Guidance	101 Pages
b)	Self-Assessment Tool	Spreadsheet
c)	Self-Assessment Tool User Guide	8 Pages
d)	Sector Supplier Cyber Security Guidance Note	30 Pages

3.2 The approach is one whereby Scottish Government are seeking to draw upon nine existing Information and/or Cyber Security standards and frameworks and to map these into a single framework that will provide commonality in approach and standard for Cyber Resilience across the Scottish Public sector.

3.3 The nine security standards and frameworks that the Scottish Government are basing their Framework on are as follows:

- Cyber Essentials (CE)
- National Cyber Security Centre “10 Steps” to Cyber Security
- General Data Protection Regulation (GDPR)
- Public Sector Network – IT Health Check (PSN-ITHC)
- Payment Card Industry Data Security Standard (PCI-DSS)
- Scottish Government Public Sector Action Plan (PSAP)
- HM Government Security Policy Framework (HMG-SPF)
- Network and Information Systems Regulations – Cyber Assurance Framework version 2 (NIS-CAF)
- International Organization for Standardization ISO27001:2013

- 3.4 The key aims of the Framework are set out as being to:
- Provide a common, effective way for Scottish public sector organisations to assess their cyber resilience arrangements, identify area of strength and weakness, gain reasonable confidence that they are adhering to minimum cyber resilience requirements, and take decisions on how/whether to achieve higher levels of cyber resilience on a risk-based and proportionate basis.
 - Align with key wider cyber-related requirements under the General Data Protection Regulation (GDPR), the Security of Network and Information Systems (NIS) Directive and other standards.
 - As far as possible, minimise any additional burdens on Scottish public sector organisations, including by making clear how the Framework relates to existing standards or requirements, and taking account of these when providing guidance on compliance.
 - Provide a clear basis for internal and external audit and inspection activity, promoting greater consistency in the areas and issues covered by audit and inspection bodies when assessing Scottish public sector organisations.
 - Help to provide clarity and assurance to individual organisations, Ministers, the Scottish Parliament and the public that appropriate levels of cyber resilience are in place across the Scottish public sector and its individual subsectors.
- 3.5 The Framework itself consists of a series of requirements across different domains, security categories and sub-categories of control, against which an organisation is required to self-assess. Scoring is assigned against responses entered into the self-assessment tool as per guidance provided
- 3.6 The self-assessment tool is intended to help public sector organisations identify key areas of strength and areas for improvement in their current cyber resilience arrangements, communicate these to senior decision-makers, and take action to address them accordingly. The tool has been designed to produce a “dashboard” that can be shared with senior decision-makers, audit bodies, etc. to assist decision-making around cyber resilience issues.
- 3.7 The self-assessment tool assesses progression along stages of Initial Baseline, Target and Advanced. And includes functionality to start self-assessment from a position that recognises accreditation already held, such as Cyber Essentials Plus.
- 3.8 The Supply Chain Cyber Security Guidance document deals specifically with the topic of supply chain cyber security, and forms part of the Scottish Public Sector Cyber Resilience Framework

4.0 Timeline, Initial Response, and Next Steps

- 4.1 The Scottish Government's proposed approach to implementation and reporting arrangements for the Framework are
- a) **January 2020 to end June 2020:** a "soft launch" period, allowing public sector organisations to familiarise themselves with the Framework
 - b) **July 2020 to 2021:** full implementation, under which public sector organisations will be requested to report regularly (annually) on progress against the Framework.
- 4.2 Requirements of the Framework will be included in the Scottish Public Finance Manual (this is expected to be from April 2020)
- 4.3 The full version of the self-assessment tool will be launched during the *full implementation* phase, in order to help alleviate reporting burdens and support effective implementation. It is intended that future iterations of the tool will incorporate greater automation and burden-reduction measures.
- 4.4 The College has brought together a group of key staff to build a plan of response to the Framework and by identifying *leads* for the specific domains and security categories is progressing the initial implementation of self-assessment.
- 4.5 A further update will be provided on progress at the next meeting of the Committee.

5.0 Conclusion

- 5.1 The Finance and General Purposes Committee is asked to:
- Note the implications for the College within the Scottish Government Public Sector Cyber Resilience Framework; and
 - Note the College's response to the published documents and planned approach to implementation of the Framework.

F/T: 0300 244 4000
E: dfmcse@gov.scot

*[Chief Executive / Principals / Commissioners of
public sector organisations]*

20 January 2020

Dear *Chief Executive / Principal / Commissioner,*

Cyber Resilience – Public Sector Action Plan – Cyber Resilience Framework & Supply Chain Cyber Security Guidance

Following my earlier correspondence in relation to the Public Sector Action Plan on cyber resilience, I am writing to inform you that the Scottish Public Sector Cyber Resilience Framework and Supply Chain Cyber Security Guidance have now been published. These can be accessed, along with detailed guidance on their use and their support tools, on the Scottish Government website (References ¹ and ² in the footnotes).

I trust you will find the Framework, its accompanying self-assessment tool and Supply Chain Cyber Security Guidance useful when considering your cyber resilience arrangements in the context of your business risks.

The Framework

To help Scotland's public sector continue its journey towards levels of cyber resilience that are proportionate to the threat faced, and in response to feedback about the difficulties public sector organisations face in understanding and interpreting the plethora of cyber security standards currently in use, the Public Sector Action Plan committed us to developing a Scottish Public Sector Cyber Resilience Framework.

The key aims of the Framework are to provide a common, consistent reference point for the Scottish public sector to inform decision-making about cyber resilience. It is also expected to provide an effective, commonly accepted basis for external and internal audit and inspection activities.

¹ <https://www.gov.scot/publications/cyber-resilience-framework>

² <https://www.gov.scot/publications/cyber-resilience-supply-chain-guidance/>

Scottish Ministers, special advisers and the Permanent Secretary are covered by the terms of the Lobbying (Scotland) Act 2016. See www.lobbying.scot

For organisations that are currently required to work to individual standards, such as Cyber Essentials, Public Services Network(PSN), ISO 27001 or the Security of Network and Information Systems (NIS) Regulations, the Framework has been designed to provide a way of understanding levels of compliance with these standards in addition to a range of other key standards that your organisation, or partner organisations in the public, private or third sectors, may be required or requested to report against. Adopting the Framework is therefore expected to help promote greater alignment and trust between Scottish public sector organisations and, in some circumstances, private and third sector partners, over time – a vitally important goal given the increasing need to collaborate and share data across all sectors to deliver quality services to Scotland’s economy and society.

The self-assessment tool

To support effective implementation of the Framework, the Scottish Government has worked with a supplier to produce a concept cyber resilience self-assessment tool. This basic tool is intended to support the production of information for key audiences within public sector organisations, helping them to identify broad areas of strength and weakness and levels of compliance against the Framework and individual standards.

It is our intention to develop this into a more sophisticated, database-driven tool in due course, with improved functionality and the ability to produce reports for different internal and external audiences, including senior level executives and external auditors/regulators. This work, which will include burden reduction as a key focus, will be taken forward for launch during the next financial year.

Implementation

The Scottish Government’s proposed approach to implementation and reporting arrangements for the Framework is as follows:

- **January 2020 to end June 2020:** a “soft launch” period, allowing public sector organisations to familiarise themselves with the Framework and adjust processes and funding arrangements to support appropriate implementation.
- **July 2020 to 2021:** full implementation, under which public sector organisations will be requested to report regularly (annually) on progress against the Framework. Its requirements will be included in the Scottish Public Finance Manual. Audit bodies will be encouraged and supported to align their activities with the Framework where they feel this is appropriate. The full version of the self-assessment tool will be launched in order to help alleviate reporting burdens and support effective implementation during this phase.

Resources and available support

I recognise that implementation of the Framework may involve resource burdens for public sector organisations. The Scottish Government believes it is important that all organisations view the costs of appropriate cyber resilience as a fundamental part of the overall cost of digital public services. Building consideration of cyber resilience into wider digital budgets is one potential way to support this cultural change.

More broadly, the Framework makes clear that it is intended for implementation on a **risk-based and proportionate basis**. Unless required by regulation or external bodies, it is for individual public sector organisations to judge whether to prioritise resources to implement specific aspects of the Framework in order to address risks, or to live with those risks. The

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Framework and assessment tool encourage organisations to note the reasons for such decisions for audit purposes.

A number of free resources have been made available from the Scottish Government to support implementation of key aspects of the framework. These include the self-assessment tool, the already-distributed funding for Cyber Essentials pre-assessments as part of the Public Sector Action Plan, publication of a free Training Guide, development of free Cyber Incident Response Plans and playbooks, and development of the Scottish Cyber Assessment Service to support decision-making around supplier cyber security. The Framework also includes links to relevant free NCSC guidance and tools.

I have asked my officials to monitor and assess any challenges the public sector faces in implementing the Framework during its first year, and to consider the potential for further targeted support to address shared challenges moving forward.

Supplier Cyber Security Guidance Note and Scottish Cyber Assessment Service Tool

A key requirement in the Framework is for public sector organisations to manage the cyber resilience of their suppliers on a risk-based and proportionate basis. This commitment is vitally important for the protection of public services. There is an increasing trend for cyber criminals and hostile states to target “weak links” in supply chains in order to attack primary target organisations. Suppliers’ services can also be disrupted by “commodity” attacks that indiscriminately attack vulnerable networks via the Internet.

Legislative requirements, including the General Data Protection Regulation (GDPR), require all public sector organisations to ensure appropriate technical protections are in place when suppliers process personal data on our behalf. The Security of Network and Information Systems (NIS) Directive also specifically requires Operators of Essential Services in our devolved health and water sectors to have appropriate supply chain cyber security requirements in place.

To assist with this, in response to feedback from the Scottish public sector, the Scottish Government has worked with Procurement Centres of Excellence and other key partners to develop:

- A **Guidance Note on Supplier Cyber Security**. This recommends that public sector organisations adopt the National Cyber Security Centre’s supply chain guidance as the basis for their approach to supplier cyber resilience. The guidance note is available on the Scottish Government website³. An accompanying [Scottish Procurement Policy Notice](#)⁴ will be published shortly.
- A decision-making support tool called the **Scottish Cyber Assessment Service (SCAS) Tool**⁵. This is available for optional use as an “open beta”⁶, and will be updated and improved after 6 months following feedback. It supports public sector organisations to

³ <https://www.gov.scot/publications/cyber-resilience-supply-chain-guidance/>

⁴ <https://www.gov.scot/collections/scottish-procurement-policy-notes-sppns/>

⁵ <https://cyberassessment.gov.scot/>

⁶ This means it is available for general use in a “live environment”, to allow for the gathering of feedback to improve performance.

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assess cyber risks in contracts in a consistent way, and to place cyber resilience requirements on suppliers on a risk-based and proportionate basis; and

- A suite of supporting guidance and presentations available on the Scottish Government Cyber Resilience webpages⁷. These cover how to use SCAS in procurement processes, a Supplier Communications Toolkit and presentations for procurement officials and suppliers. Further support material and activities will be made available through the Supplier Development Programme in due course.

Key Recommended Actions for Your Organisation

As you know, it is vitally important that cyber resilience is viewed as a business risk for your organisation and managed appropriately by your senior team. As a matter of good practice, this should include regular Board/senior-level consideration of supplier cyber risks and assurance activities around their mitigation.

I would be grateful if you would ensure that your organisation's senior Board/executive representative with responsibility for cyber resilience is made aware of the above support resources. These should also be brought to the attention of other key parts of your organisation, particularly those with procurement and cyber security expertise who may be responsible for implementing them.

All public sector organisations are asked to update their procurement processes to align with the Guidance Note (if necessary) as soon as possible, and in any case in readiness for the start of the next financial year.

Scottish Government standard terms and conditions have been updated to strengthen cyber resilience requirements, and to cater for optional use of the SCAS tool. Example wording for Contract Notices and ITTs when using SCAS is included in the SCAS guidance.

The NCSC Principles make clear the importance of communicating with suppliers and working in partnership to strengthen cyber resilience. To assist your organisation with this, and to help promote the support available from the Scottish Government and Supplier Development Programme, a Supplier Communications Toolkit has been produced. Your procurement and communications teams (where available) are encouraged to make use of this.

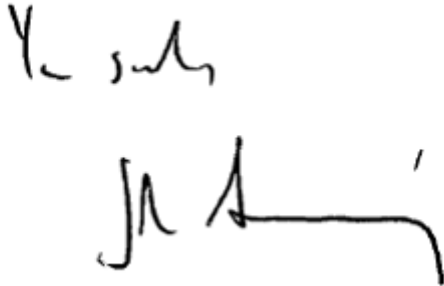
⁷ <https://www.gov.scot/publications/cyber-resilience-supply-chain-guidance/>

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Feedback

My officials stand ready to offer support and advice on implementation of both the framework, the Supply Chain Cyber Security Guidance and their associated tools. We would welcome feedback in due course, to help improve both over time. Please send all questions and feedback to the Cyber Resilience Unit at cyberresilience@gov.scot.

Finally, I would like to offer you my sincere thanks for prioritising this work. I look forward to our organisations continuing to work constructively together to ensure that Scotland's public sector is leading by example in our drive to become a cyber resilient nation.



JOHN SWINNEY

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TITLE: FUNDING TO SUPPORT STUDENT DIGITAL PROVISION

Background: The issue of digital poverty has been especially highlighted as a result of the impact of Covid-19 on College operations. During the lockdown period the College has required to deliver teaching and learning to students virtually, and future delivery of teaching and learning will require to be undertaken on a blended basis during the 2020-21 academic year.

This paper provides the Asset and Infrastructure Committee with an update on investment the College has put in place to date in order to provide IT equipment to students and assist in addressing digital poverty challenges.

Action: The Asset and Infrastructure Committee is requested to:

- consider the update provided in relation to the provision of IT equipment for students; and
- agree that updates on digital provision to students be provided at future meetings.

Lead: David Alexander, Vice Principal Operations

Status: Open

Funding To Support Student Digital Provision

1. Introduction

- 1.1 The Financial and General Purposes Committee meeting of 9 July 2020 approved the purchase of up to £425,000 of chrome book computers – approximately 1,800 devices - under the Scottish Government's Public Sector Procurement framework. This decision on utilisation of 2019-20 funding was supported by the Board of Management meeting of 20 July 2020. The Board paper in relation to this purchase is enclosed as an *Appendix*.
- 1.2 The College has also subsequently received additional funding from the Scottish Funding Council (SFC) to support student digital provision in 2020-21 on 14 August 2020.
- 1.3 This paper provides an update in relation to these funding allocations, the associated IT equipment purchases and wider developments that the College is progressing in order to support student digital need and address digital poverty.

2. Update

- 2.1 Following on from approval to purchase 1,800 chrome books for student use the College placed the required order under the Scottish Government Public Sector Procurement framework. The College was advised of an estimated ten-week lead in time by the supplier for this equipment, meaning a projected timescale that would see receipt of the chrome books sometime around mid-September. The College is continuing to liaise with the supplier regarding these timescales and an update will be provided at this meeting.
- 2.2 The SFC issued *Circular SFC/AN/12/2020 - Additional capital funding to support digital provision in AY 2020-21* - on 14 August 2020. This correspondence advised of a funding allocation which provides an opportunity for colleges to purchase equipment to enable students to engage in their studies, with a particular focus on meeting the needs of the most disadvantaged students. SFC expects institutions to utilise this funding to tackle digital poverty and provide fair and equitable access to remote learning for students. These funds should only be utilised for the purchase of ICT equipment to provide access to online learning. SFC allocated £2.330m to the college sector under this Circular with West College Scotland receiving £220,506 – approximately 9.5% of the overall sector allocation and the second highest award of any individual college. This funding allocation will enable the College to secure approximately 900 additional chrome books for students, and an order has been placed for the equipment. An update on timescales will be provided at this meeting.

- 2.3 It should also be noted that at the point College on site operations ceased on 20 March 2020 due to the covid-19 lockdown restrictions, a total of 1,323 laptop devices were present on campus for student use. While some of these laptops were allocated subsequently during the lockdown period in order to provide IT equipment to College staff who did not previously require a device, a number remained on campus to support on site teaching and learning. The College Educational Leadership Team have now completed a review of these devices and it has been agreed that approximately 200 of the laptops can be repurposed and provided to students for use.
- 2.4 In addition, the College is also planning to undertake a refresh and upgrade of the laptops currently used by teaching and learning staff during 2020-21. It is anticipated this will enable many of the current devices to be repurposed for student use from the total allocation of just over 500.
- 2.5 In order to support this extensive roll out of IT equipment to students, the College is also putting in place a Student IT Service desk. The Student IT Helpdesk will be available for students to access support for devices and accounts. The remit of the Student IT Helpdesk will include:
- issuing equipment identified to be issued to named students – and accepting returns of said equipment;
 - providing support to students regarding IT equipment provided to them by the College;
 - providing support to students regarding IT equipment used by them but not owned by the College;
 - providing assistance to students regarding the connection of IT equipment; and
 - providing general IT guidance and support in the use and application of equipment.
- Eight students have been recruited to provide this Helpdesk support across the College campuses. The Student Placements will have a direct liaison point with the existing College IT Service Desk team for guidance and advice in relation to any issues that they are unable to resolve.
- 2.6 The College has undertaken a digital survey during the 2020-21 enrolment period in order to fully assess how many students require IT equipment to support their teaching and learning experience. The survey remains ongoing, however, to date around 10% of students responding have indicated that they do not require a College device. they the College will use this information in order to inform any further steps that may be required.
- 2.7 The College is liaising with the Student President regarding these matters on an ongoing basis.

3. Summary

- 3.1 The College is currently undertaking significant IT investment and progressing a range of initiatives in order to support students, address digital poverty challenges and improve the teaching and learning experience and ability to engage. From the developments outlined in *Section 2, above*, it is expected that over 3,000 IT devices will be made available to support students during 2020-21. While this is a significant commitment by the College it should be noted that 2020-21 full time enrolments are anticipated to be at the level of 7,500, and the College will therefore look to explore what other developments might be possible in providing IT equipment to students. It should be noted that beyond the recent SFC announcement on 14 August 2020 the College does not currently receive any other funding to support student digital need.
- 3.2 The ongoing survey of students enrolling with the College for the 2020-21 session will continue to inform further requirements in providing IT equipment and support to students.

4. Conclusion

- 4.1 The Asset and Infrastructure Committee is requested to:
- consider the update provided in relation to the provision of IT equipment for students; and
 - agree that updates on digital provision to students be provided at future meetings.

TITLE: STUDENT DIGITAL POVERTY - PROCUREMENT

Background: The issue of digital poverty has been especially highlighted as a result of the impact of Covid-19 on College operations. During the lockdown period the College has required to deliver teaching and learning to students virtually, and future delivery of teaching and learning will require to be undertaken on a blended basis during the 2020-21 academic year.

This paper provides the Board of Management with the background to the procurement of approximately 1,800 Chromebook computers which will assist the College in addressing several of the digital poverty challenges it faces. The procurement was approved by the 9 July 2020 Finance and General Purposes Committee in accordance with the College Financial Regulations.

Action: The Board of Management is requested to note the content of the paper and the rationale for the purchase of up to £425,000 of Chromebook computers (at current pricing this will deliver approximately 1,800 devices) from supplier XMA, under the Scottish Government's Public Sector Procurement framework 'Web Based and Proprietary Client Devices Framework (SP-19-013)'.

Lead: David Alexander, Vice Principal Operations

Status: Open

1. Introduction

1.1 The issue of digital poverty has been highlighted in several recent reports and by work ongoing within the college sector. Addressing digital poverty remains a significant challenge, and this has become a matter of particular focus given the impacts of the Covid-19 pandemic. The consistent key messages arising from several recent reports relating to digital poverty are that:

- A significant proportion of the population is digitally excluded because they lack internet access and/or have low levels of digital literacy and digital capability.
- The main determinant of digital exclusion is age but other significant factors – often combined with low income – include disability, learning difficulties, ethnic origin, location, culture and language.
- As the government and other organisations move services to self-serve channels, significant numbers of people who are unable to move online, or who are not computer-literate, might miss out on these services.
- People who are digitally excluded are likely to be disproportionately heavy users of government services. Nearly half of those seeking help on tax and tax credit issues do not have access to a computer.
- The depth of digital exclusion for people with disabilities is generally much greater than for the wider population.
- Low income groups face an economic barrier to digital inclusion.

1.2 It is expected that digital poverty will become an increasingly significant factor for the College as technology plays an essential role in the provision of teaching and learning.

1.3 In order to engage with the challenges arising from digital poverty, the College a Digital Strategy in place. The Strategy sets out the digital ambition of the College as: *‘Providing a positive digital experience for all students, with appropriately skilled and qualified staff and a digital infrastructure that is fit for purpose now and in the future’.*

1.4 The College Digital Strategy also contains the following two aims:

- Aim 1 - Digital Delivery - The College will have reimagined our curriculum so that digital innovation and delivery is incorporated across all modes and levels.
- Aim 4 - Digital Infrastructure – The College will ensure that our digital infrastructure will have evolved to meet our digital ambition.

1.5 Unfortunately the College is not currently provided with resource from the SFC which would enable the engagement required to address current digital poverty challenges in the West Region. However, on 11 June 2020 the Scottish Funding Council (SFC) issued updated guidance on the use of Student Support Funds – and this guidance contained the following paragraph:

‘Colleges should be looking to ensure that no students are disadvantaged in their studies due to the lack of access to the appropriate technology required for them to be able to continue their engagement in the current remote learning environment. It is up to colleges to manage the costs associated with this across their budgets accordingly. If, taking all other likely Student Support funding needs into account, a college thinks that it will have funds available to cover these aspects for students most in need, then it may do so.’

- 1.6 An impact of Covid-19 has been the reduction in the level of childcare and travel allowances claimed from 2019-20 College Student Support Fund during the period since 20 March 2020, when on site College operations ceased due to the COVID-19 lockdown period. The College is therefore forecasting that it will have approximately £425,000 of available student support funding - which if not expended by 31 July 2020 would require to be returned to the SFC. The College has therefore raised this matter with the SFC and advised of the need to apply this funding in order to address student digital poverty.

2. Student Digital Poverty – Procurement Proposal

- 2.1 Based on the above SFC revised guidance the College Educational Leadership Team (ELT) has brought forward a review of student digital requirements. This has identified expenditure which would go some way to addressing the digital poverty issues faced by the College and its students and would support the digital pledges made within the College Digital Strategy.
- 2.2 The ELT review has recommended the purchase of Chromebooks and associated kit as the digital device of choice to enable students to access and engage with new blended models of learning, teaching and assessment. The purchase of Chromebooks is required in order to:
- support and provide access and structure to students’ off campus learning - they will facilitate virtual class sessions simply becoming part of the students’ normal timetable as with normal classroom attendance.
 - enable student access to recorded class sessions for those who cannot attend or for others to replay later to reinforce learning. The learning time will be divided up to allow for offline working using new devices also.
 - provide flexibility for students to suit their personal circumstances in a more inclusive way. Using Chromebooks from home will provide clear structure, including addressing deadlines, opportunities for support, catch up arrangements and tutorials in order to manage individual learning.
 - support those practical classes still required to be on campus i.e. students able to watch demonstrations prior to coming into College for practical work.
 - provide functionality which supports the student learning experience, including Office 365 and Microsoft Teams, OneNote and PowerPoint together, with the ability to download the required subject Apps from the Apps Store and work in tandem with the College Student Portal ‘MyDay’.

- 2.3 It is important to note that the strategic decision to equip as many of the College students as possible with Chromebooks rather than laptops or netbooks follows review of responses to the College Digital Roadmap Survey. The survey captured:
- the 'digital functionality' requirements to enable engaging learning, teaching and assessment;
 - analysis of the National Digital picture regarding other colleges selection choices;
 - consideration of Local Authorities' digital device choice for pupils to enable their smooth transition from School to College;
 - discussions with College teaching staff / departments; and
 - discussions with ICT on the existing kit/resource available on our campus sites.
- 2.4 The digital proposal outlined above for students works hand in hand with the investment being made by the College - using core funding - in other digital resources for staff use, including GoPros/camera devices and tablets to capture live practical work in specialist teaching areas such as science laboratories, automotive demonstrations and/or hospitality food creations. In combination with the purchase of student Chromebooks, this overall investment will enable the live or pre-recorded streaming of practical subject specialisms which historically could only be conveyed and explored with physical attendance on a campus.
- 2.5 Ultimately this investment will enable more widespread and increased access to learning and teaching as learners will have the ability to pause, replay and progress their learning at a time and pace which suits their learning style better. The purchase of student Chromebooks is therefore considered to be a key component in addressing the digital poverty challenge and the College is proposing to purchase up to £425,000 of Chromebook computers on this basis.

3. Authorisation of Procurement Proposal

- 3.1 The College Financial Regulations require that for purchases of goods/ services between £250,001 and £500,000 the College should:
- Utilise a suitable procurement framework and that a mini competition or direct award may be carried out; or
 - If no suitable framework is available, it will be necessary to carry out an open tender exercise. Procurements falling into this category must be advertised as per the current relevant procurement regulations.
 - The contract award requires to be approved by the Finance and General Purposes Committee.
- 3.2 The College is proposing to use the Scottish Procurement's 'Web Based and Proprietary Client Devices' (SP-19-013) framework agreement to procure the Chromebooks.

- 3.3 XMA has been awarded the Scottish Government National Framework Agreement, as sole supplier for Web Based and Proprietary Client Devices (SP-19-013) with a live start date of 30 November 2019. The framework enables schools, colleges, universities and all public sector bodies in Scotland to purchase web based and proprietary client devices, accessories and services.
- 3.4 At this time XMA are advising of a lead time from point of order of 10 weeks for supply of Chromebooks.

4. Recommendation

- 4.1 The Board of Management is requested to note the content of the paper and the rationale for the purchase of up to £425,000 of Chromebook computers (at current pricing this will deliver approximately 1,800 devices) from supplier XMA, under the Scottish Government's Public Sector Procurement framework 'Web Based and Proprietary Client Devices Framework (SP-19-013)'.

**TITLE: INFRASTRUCTURE COMMISSION FOR SCOTLAND - PHASE 2
DELIVERY FINDINGS REPORT**

Background: This report provides an update on the progress of the work of the Infrastructure Commission for Scotland.

Action: The Asset and Infrastructure Committee are requested to review and consider the progress made by the Commission and the note the outputs of the Phase 2 Delivery Findings report.

Lead: Martin Joyce, Director of Infrastructure

Status: Open

1.0 Background

- 1.1. In February 2019, the Cabinet Secretary for Transport, Infrastructure and Connectivity appointed the final members of an independent Infrastructure Commission for Scotland (ICS) to undertake an 18-month study to advise on a 30-year strategy for infrastructure investment. Chaired by Ian Russell CBE, the group is intended to provide independent, informed advice on the vision, ambition and priorities for infrastructure in Scotland.
- 1.2. The Infrastructure Commission will provide this long-term strategic advice to the Scottish Government on national infrastructure priorities, based on evidence and learning from good practice, to align investment with long term inclusive economic growth and low carbon objectives.
- 1.3. This advice will also support the Scottish Government’s delivery of the National Infrastructure Mission and the development of the next Infrastructure Investment Plan for the 5 years ahead, by providing advice on key strategic investments in Scotland to be made to boost economic growth and support public service.
- 1.4. The Scottish Government’s definition of infrastructure includes both economic and social infrastructure that covers transport, energy, telecoms, water, waste, flood defences, housing, education, health, justice and culture. More recently, Scotland’s natural assets have also been incorporated into this definition.
- 1.5. An inclusive net zero carbon economy has been placed at the core of its thirty-year vision
- 1.6. A paper in respect of Phase 1 (Initial Call for Contributions) was previously brought to the Estates Committee on 28 May 2019.

2.0 Phase 1 – Key Findings Report

- 2.1 Included within the publication of the Phase 1 Key Finding Report in January 2020, was a set of eight core areas of recommendation which the ICS believe can help to achieve these desired outcomes:
 - **Leadership**

To provide leadership and demonstrate intent, the Scottish Government should prioritise all new infrastructure investment decisions based on their contribution to the delivery of an inclusive net zero carbon economy
 - **Place**

To achieve an inclusive net zero carbon economy, the Scottish Government should put “place” at the heart of coherent, infrastructure prioritisation and planning

- **Making the Most of Existing Assets**
Most of the underlying infrastructure that will be used in 30-years' time already exists today. It is therefore essential that these assets are most effectively and efficiently utilised, maintained and enhanced to net zero carbon readiness
- **Heat and Transport**
Key priorities for Scotland in reaching net zero carbon over the next 30-years will be accelerating the decarbonisation of heat and transport
- **Regulation**
To incentivise investment at the necessary pace and scale to meet future infrastructure requirements for Scotland, regulation will be a critical component to the delivery of a 30-year inclusive net zero carbon economy vision
- **Digital and Technology**
Ensure every citizen, organisation and business in Scotland has the ability to access digital public services, to undertake trade and commerce and to participate in future global economic markets regardless of geographic location
- **The Role of the Public**
Much greater participation of the public needs to be incorporated as an integral part of infrastructure investment decision-making
- **Independent Long-Term Advice**
To enable government, regulators and industry to make the transition to a long-term, coherent, systems wide approach to place-based infrastructure strategy and planning

The full Phase 1 recommendations are included as Appendix A to this report and a report on these was provided at the Estates Committee meeting on 3 March 2020.

- 2.2 As the Commission was only 12 months into an 18-month programme of work (at the time of the Phase 1 report publication), the recommendations set out in the report represented the findings of the first phase that had been focused on the “*why and what*” for infrastructure. As a result, several further areas, such as the delivery mechanisms (the “*how*”), had yet to be considered by the Commission and which were set to form the basis of the next phase of activity.

3.0 Phase 2 – Delivery Findings Report

- 3.1 Following on from the Phase 1 report, the ICS identified three particular areas for further detailed investigation during Phase 2, namely:
- Prioritising an inclusive net zero carbon economy and a long-term approach to infrastructure strategy

- How best to optimise the impact of infrastructure in enabling sustainable places
 - Delivering a thriving construction sector through enhancing the interaction between the public sector and industry
- 3.2 The ICS noted that in combination these areas are essential to ensuring that the vision established during other the Phase 1 work can be effectively implemented over the long term to meet the future infrastructure needs of Scotland and that they potentially would also help to inform considerations around the creation of a Scottish National Infrastructure Company (SNIC), which also formed part of the ICS remit.
- 3.3 Conceptually, the SNIC would work alongside the Scottish National Investment Bank (SNIB) to construct sustainably financed, locally procured infrastructure that would remain in public hands. The ICS has taken this definition of a SNIC and its role and purpose as its starting point in addressing its remit. This follows the growing debate over the last few years around the merits or otherwise of the private finance model (PPP/PFI/NPD/DBFM) for the funding of public infrastructure projects.
- 3.4 In short however, and after careful consideration, the Commission concluded from its work that none of the outcomes of its recommendations would be enhanced by creation of a Scottish National Infrastructure Company, nevertheless it also recognised this position could change in the future and potentially at short notice.
- 3.2 With regard to the main report, there is a total of four references to the college sector, with two of these relating to case study information/examples of work underway at Edinburgh College and City of Glasgow College. The further college sector references specifically relate to the question of ‘*Skills and Diversity*’, as follows:
- *“As indicated in our Phase 1 Report, Scotland faces major infrastructure challenges in order to deliver or secure an inclusive net zero carbon economy by 2050. A key factor in meeting these ambitions will be our ability to ensure a Scottish construction sector with the capability and capacity to undertake the work that is going to be required over the next 30 years or so. However, it would appear that a potential skills gap is emerging in Scotland. The Construction Industry Training Board (CITB) reports a sharp fall in the number of **college** leavers entering the construction sector and its Construction Skills Report for Scotland 2019-2023 indicates that the industry needs to recruit around 14,000 new workers by 2023, yet employment growth in the sector is just 0.3% compared to 2.6% in the rest of the United Kingdom.”*

- *“However, we have heard concerns from some stakeholders that the organisation of training in construction skills in Scotland is too fragmented with many players involved (for example, the professional institutions, CITB, Skills Development Scotland, BSE Skills and the **Scottish Colleges** and higher education institutions) and would benefit from a more coherent strategic approach and resultant funding streams in order to ensure a sharper focus on meeting the needs of the construction sector. We have also been informed that the registration of apprenticeships is not a requirement in all areas of the industry which makes it difficult to monitor numbers and competency accurately within the sector. It is argued that an appropriate form of registration for apprentices will raise the profile of construction careers as well as helping to promote and support the delivery of quality in the sector.”*

3.4 Ultimately, the report made three main recommendations:

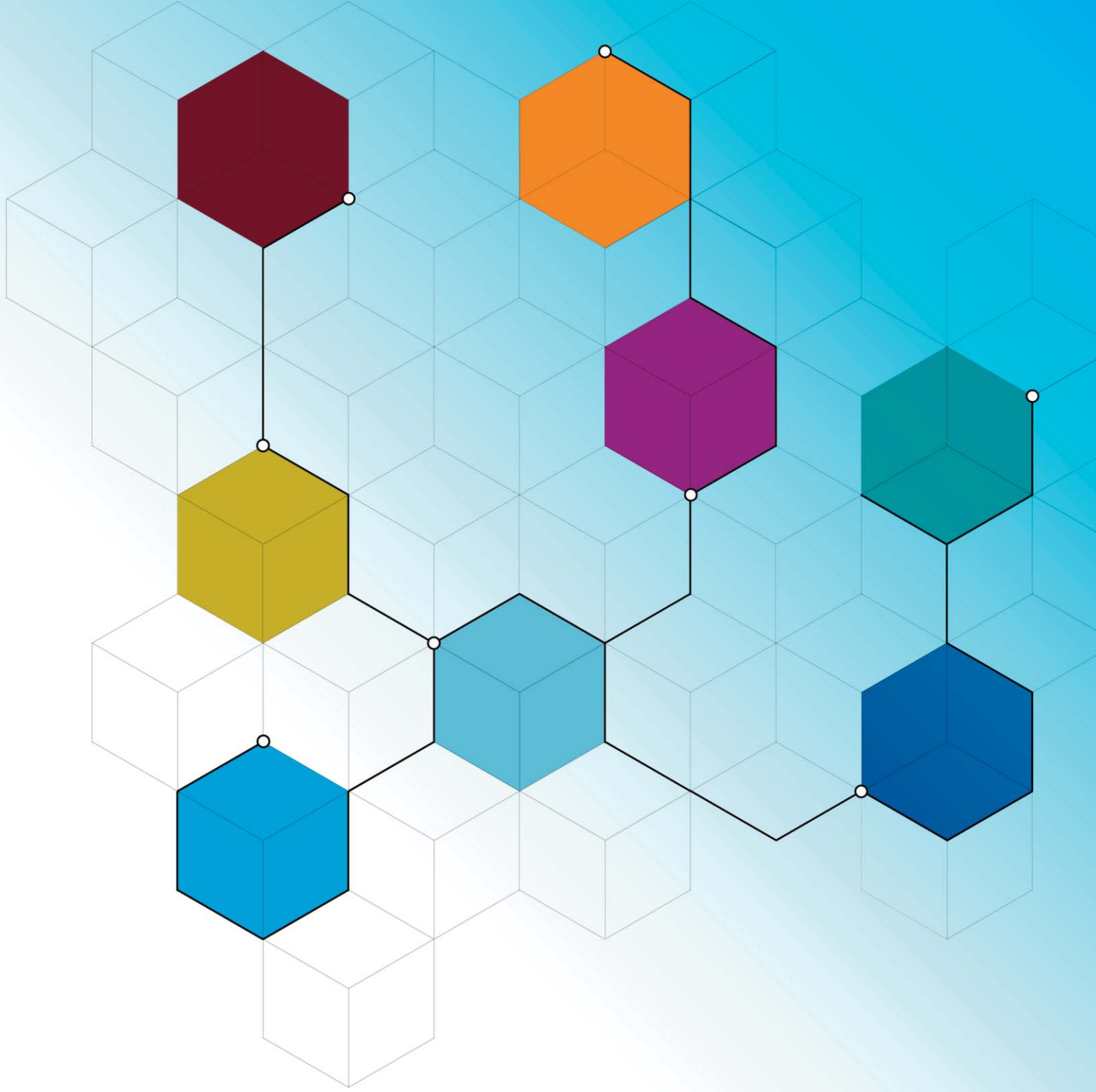
- Giving an Independent, Specialist Body the remit to provide strategic, long-term infrastructure advice to Scottish Government
- Enshrining the Place Principle and implementing a one public sector approach to planning and developing sustainable places
- Establishing a Construction Accord to strengthen the future relationship between the public sector and the construction industry

3.4 A copy of the Executive Summary and Summary of Recommendations of the Phase 2 report is included as Appendix B

3.5 For further background information, a copy of the full press release, dated Monday 27th July 2020, is included as Appendix C.

4.0 Recommendation

4.1 The Asset and Infrastructure Committee are asked to note the contents of this report.



Appendix A

Summary of Phase 1 Recommendations

PHASE 2: DELIVERY FINDINGS REPORT



Summary of Phase 1 Recommendations

↓ 01

Leadership

To provide leadership and demonstrate intent, the Scottish Government should prioritise all new infrastructure investment decisions based on their contribution to the delivery of an inclusive net zero carbon economy:

1. All Scottish Government funded projects included in its 2020 Infrastructure Investment Plan should be prioritised against available inclusive net zero carbon economy outcomes.
2. The Scottish Government should, by 2021, develop and publish a new infrastructure assessment framework and methodology that will enable system wide infrastructure investment decisions to be prioritised on the basis of their contribution to inclusive net zero carbon economy outcomes.
3. The Scottish Government should publish by 2023 a system wide Scottish Infrastructure Needs Assessment covering all infrastructure sectors defined by Scottish Government and we recommend the inclusion of natural infrastructure. The Assessment should be refreshed and updated at least every 5 years thereafter.
4. A fully updated Infrastructure Investment Plan should be developed by the Scottish Government for publication by 2025 using the new assessment framework and methodology and informed by the Infrastructure Needs Assessment.

↓ 02

Place

To achieve an inclusive net zero carbon economy, the Scottish Government should put “place” at the heart of coherent, infrastructure prioritisation and planning. To enable this to be achieved:

5. The Scottish Government should lead the development of a place based assessment of long term housing supply and demand across Scotland by 2021, supported by the development of a coherent strategy for the labour market and business opportunities arising from an inclusive net zero carbon economy.
6. To support the implementation of National Planning Framework 4 and the new system of development plans, a co-ordinated and appropriately resourced Infrastructure First approach to the planning system should be introduced by the Scottish Government by 2021. This should be undertaken with infrastructure providers, developers and other public bodies, to ensure the effective delivery of a Scotland wide, integrated and coherent outcome based approach to planning spatial land use; with implementation to be undertaken at the appropriate regional, local and community level.

↓ 03

Making the most of existing assets

Most of the underlying infrastructure that will be used in 30-years’ time already exists today. It is therefore essential that these assets are most effectively and efficiently utilised, maintained and enhanced to net zero carbon readiness.

7. By the end of 2020, the Scottish Government should require all public sector infrastructure asset owners to develop asset management strategies containing a presumption in favour of enhancing, re-purposing, or maintaining existing infrastructure over developing options for new infrastructure. New infrastructure should only be considered where the relevant authority has demonstrated this is the most appropriate response.
8. To support this, the Scottish Government should now prepare guidance for relevant authorities on a whole-life approach to infrastructure maintenance and prioritisation which includes both cost and build resources. It should also include guidance on assessing the wider net zero carbon and inclusive economic growth priorities that need to be established.
9. There should also be a presumption against like-for-like replacement of existing assets and the construction of new, single organisation/purpose assets in favour of shared facilities.
10. To support the creation of a vibrant circular economy for Scotland, by 2023 the Scottish Government should establish a route map for the implementation of a viable outcome focused system of resource use, reduction, collection, treatment and repurposing.
11. Drawing upon available evidence, including the 2nd Scottish Climate Change Adaptation Programme, by 2023, the Scottish Government should develop a clear implementation plan, to address critical natural and built infrastructure climate resilience and adaptation needs.

Recommendations
(continued)

↓ 04

Heat and Transport

Key priorities for Scotland in reaching net zero carbon over the next 30-years will be accelerating the decarbonisation of heat and transport.

Decarbonisation

12. By the end of 2020, and to augment legislation already being considered, the Scottish Government should set out proposals to substantially accelerate the development and implementation of incentives, support mechanisms and standards for energy efficient, net zero carbon buildings across Scotland. This should include 'whole building' solutions and systematic public engagement, customised to the needs of different groups, to ensure that all property owners engage with proposed changes and are committed to upgrading their property.
13. By 2022, the Scottish Government, local authorities, regulators and industry should work together to establish the viability, incentivisation mechanisms and a route map for the transition to net zero carbon that in combination addresses heating for domestic, commercial and public buildings as well as all surface-based transportation.

Transport

14. The Scottish Government should ensure that its new National Transport Strategy and Strategic Transport Projects Review 2, which are due to be published during 2020, fully reflect the need to deliver an inclusive net zero carbon economy and consider the infrastructure and the use of it as a holistic system. This should include:
 - > Aligning strategic investment decisions to address fully the requirement for demand management, a substantial increase in the proportion of journeys made by active travel, and opportunities for shared mobility as well as a much greater role for public transport.
 - > For such roads investment that is made as part of the above, a presumption in favour of investment to future proof existing road infrastructure and to make it safer, resilient and more reliable rather than increase road capacity.
15. Investment decision making based on the above framework will require a significant change to investment guidance. Therefore, by the end of 2021, the Scottish Government and Transport Scotland should develop a new investment appraisal and decision-making process, incorporating necessary changes to the current Scottish Transport Appraisal Guidance (STAG) and Investment Decision Making Guidance.
16. To enable a managed transition to an inclusive net zero carbon economy road infrastructure, the Scottish and UK Governments should immediately commit to work together to establish a charging/payment regime alternative to the existing fuel and road taxation based structure. The Scottish Government should also consider additional options that could provide a more stable long term investment regime for the management and maintenance of road infrastructure to meet the priorities identified in 14 above.

↓ 05

Regulation

To incentivise investment at the necessary pace and scale to meet future infrastructure requirements for Scotland, regulation will be a critical component to the delivery of a 30-year inclusive net zero carbon economy vision.

17. Building on the findings of the recent UK National Infrastructure Commission review of Energy and Telecoms regulation, the Scottish and UK Governments should immediately commit to work together to develop by 2021, an appropriately devolved regulatory and pricing framework that enables energy and telecoms infrastructure investment to be planned and delivered to meet the future needs of Scotland.
18. Building on the existing plans, and the commission's recommendation to incorporate natural infrastructure, the Scottish Government should by 2021 consider options for longer term implementation and regulatory coherence across water provision and flood management and resilience.

↓ 06

Digital & Technology

Ensure every citizen, organisation and business in Scotland has the ability to access digital public services, to undertake trade and commerce and to participate in future global economic markets regardless of geographic location.

19. In conjunction with the regulatory reforms highlighted in 17, the Scottish Government should provide the leadership required to ensure the delivery of a full fibre network for Scotland by 2027 to enable the transition to 5G across the whole of Scotland.
20. To ensure Scotland's place in the world and increase its international presence and connectivity resilience, the Scottish Government should prioritise support for an indigenous data centre market and investment in direct international fibre optic cables.
21. From 2020, the Scottish Government should consider the future data requirements and data potential for all new publicly funded infrastructure as well as the potential for the use of digital services associated with the assets.

Recommendations
(continued)

↓ 07

The role of the public

Much greater participation of the public needs to be incorporated as an integral part of infrastructure investment decision-making:

22. By 2022, the capacity and capability requirements for an informed approach to public engagement and participation needs to be clearly established and implemented by the Scottish Government, to ensure that short and long term outcome trade offs are effectively debated, understood and taken into consideration.

↓ 08

Independent long-term advice

To enable government, regulators and industry to make the transition to a long-term, coherent, systems wide approach to place-based infrastructure strategy and planning.

23. By 2021, a body should be given the responsibility by the Scottish Government to provide independent, long term, evidence-based advice to Scottish Ministers on investment decisions for the social, economic and natural infrastructure needs and priorities required to deliver an inclusive net zero carbon economy.

Executive Summary

The Infrastructure Commission for Scotland was established in early 2019 to provide independent advice to the Scottish Ministers on a 30-year vision (the “why and what”) of infrastructure for Scotland, and to consider options for delivery (the “how”). The Phase 1 Report, published in January 2020, focused on the “why and what” of these challenges. This Phase 2 Report focuses on the “how”.

The Infrastructure Commission for Scotland was established in early 2019 to provide independent advice to the Scottish Ministers on a 30-year vision (the “why and what”) of infrastructure for Scotland, and to consider options for delivery (the “how”). *The Phase 1 Report*, published in January 2020, focused on the “why and what” of these challenges. This Phase 2 Report focuses on the “how”.

The findings of the Phase 1 Report were framed around a long term vision for inclusive economic growth and net zero carbon emissions, an inclusive net zero carbon economy for Scotland, and it focused on identifying actions to ensure that the future prioritisation of investment in infrastructure aims to achieve those outcomes. Since publication, the Phase 1 Report key findings and recommendations, have resonated well and generated the support of many of those who plan, build, invest in, own, operate, regulate, and use the infrastructure of Scotland.

However, whilst ultimately it is for Ministers to decide how to implement those Phase 1 recommendations, the Commission has assumed for the purposes of the Phase 2 Report, that they will be implemented in full. In other words, the Phase 2 Report should not be read as a separate, standalone document, but as the next chapter in the story to plan, develop, deliver and subsequently operate Scotland’s infrastructure over the next 30 years.

Since publication of our Phase 1 Report, we have also been confronted with the Covid-19 pandemic. The Commission has considered how it should address the impact of the pandemic as part of its Phase 2 work and has concluded that our work should not be aimed at addressing the immediate recovery from the pandemic; there are already many organisations in the public, private and third sector devoting considerable amounts of thought and energy to that.

Rather, we have been engaging with many stakeholders over the last few months and have taken into consideration the longer-term impact and implications of some of those more immediate lessons and experiences that have emerged because of the pandemic. Reflecting on

those experiences has also reinforced many of the findings of our Phase 1 work and, if anything, has emphasised the need to ensure they are implemented.

In focusing on the “how” of infrastructure during Phase 2, the Commission has sought to address some of the key elements of the infrastructure lifecycle as illustrated in the diagram on the next page. This is described in more detail in the Introduction (pages 14-22).

The Commission recognised early in this second phase of activity that it would not be possible to address the delivery aspects of each stage of the infrastructure lifecycle across all the dimensions identified in the time available. Commissioners were also keen that the Phase 2 work was able to build on the Phase 1 findings to identify and address the challenges to the implementation of those findings.

In order to achieve that objective, three particular areas were identified for further detailed investigation during Phase 2, namely:

- > **Prioritising an inclusive net zero carbon economy** and a long-term approach to infrastructure strategy,
- > How best to optimise the impact of infrastructure in **enabling sustainable places**; and
- > **Delivering a thriving construction sector** through enhancing the interaction between the public sector and industry

In combination these areas are essential to ensuring that the vision established during our Phase 1 work can be effectively implemented over the long term to meet the future infrastructure needs of Scotland, and also help to inform considerations around the creation of a **Scottish National Infrastructure Company**, as set out in the remit for the Commission.

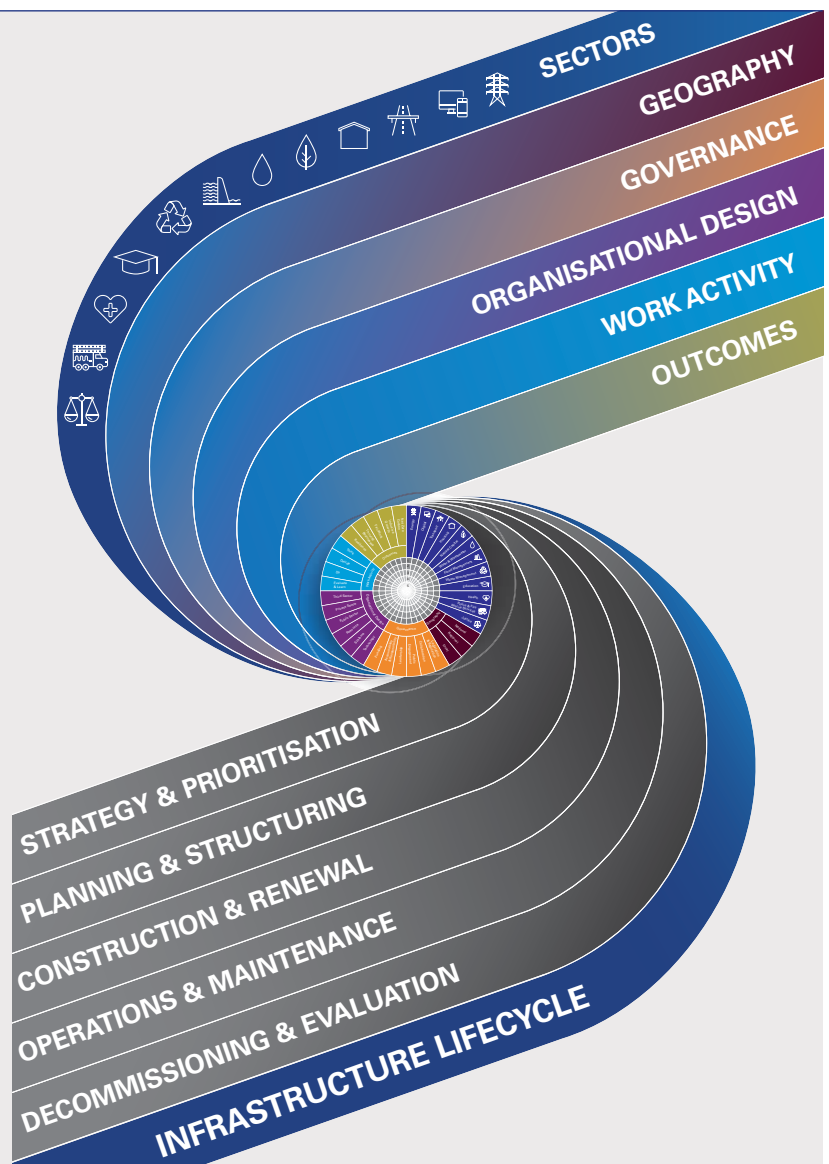
We have set out below a series of recommendations across the areas highlighted above that we believe, in conjunction with the recommendations from Phase 1, can set the infrastructure foundations for an inclusive net zero carbon economy for Scotland.

Infrastructure delivery lifecycle



For the purposes of the Commission's work in looking at Infrastructure delivery, we have identified five stages of the infrastructure delivery lifecycle that move from first prioritising the right infrastructure, through second planning and structuring, third construction and renewal, then fourth maintaining and operating that infrastructure, and fifth and finally to decommissioning and completing evaluation. The latter is intended to ensure continuous monitoring and review in order to establish whether, over its life, the infrastructure contributed to the outcomes originally anticipated.

Looking at infrastructure from that lifecycle perspective is a useful basis for reviewing any issue or situation. In looking across that lifecycle, there are also a number of ways in which that can be further investigated, and in order to provide a framework for the Commission's work, we have represented this as six areas of interest or dimensions, namely: sectors, geography, governance, organisational design, work activity and outcomes.





Summary of Recommendations



↓ 01

Prioritising an Inclusive Net Zero Carbon Economy

Prioritising inclusive economic growth and net zero carbon emissions were the key messages from the Commission's Phase 1 Report. To achieve an inclusive net zero carbon economy, the Commission made recommendations for a fundamental change to the infrastructure appraisal methodology and framework, as well as the development of an integrated infrastructure needs assessment, supported by the establishment of independent long-term advice.

The Covid-19 pandemic has only served to re-enforce the importance of implementing these recommendations. To build on those Phase 1 recommendations, the Commission has further developed its thinking on **how** they should be implemented during Phase 2.

The Commission has concluded that, to achieve the Phase 1 recommendations, the independent long-term advice organisation will need to sit outside the political decision making system. This will enable it to operate in an arms-length and transparent way which builds confidence for public and private sectors as well as civic society and the public.

Ultimately, investment decision making is the responsibility of the Government, and the Commission recognises that the Scottish Government is central to developing the detailed plans to enable a long-term infrastructure vision to be delivered and maintained. However, we have identified the need for Scottish Government, government agencies and local authorities, to undertake infrastructure planning, prioritisation and investment decision making on a system wide, cross government, portfolio and sector basis; focused principally on an outcome-based approach. This would enable the independent long-term advice and the Scottish Government's decision-making approach to complement and mirror each other, supporting and enhancing effective decision making focused on an inclusive net zero carbon economy.



Recommendation

Independent long-term advice

1. By 2021, to enable prioritisation of an inclusive net zero carbon economy in infrastructure planning over a 30-year period, an independent, specialist body should be given the following responsibilities by the Scottish Government:
 - > Develop a 30-year infrastructure needs assessment and strategy, refreshed every 5-years for all public and private infrastructure;
 - > Undertake regular strategic public engagement to inform the long term strategy;
 - > Provide strategic challenge to the Government of the day; and
 - > Undertake one-off strategic reviews and research.

Prioritisation and decision making

2. To support infrastructure decision making that will prioritise an inclusive net zero carbon economy, the Scottish Government should:
 - > Ensure, and where possible accelerate, implementation of our Phase 1 Report recommendations 2 (Assessment Framework and Methodology), 3 (Needs Assessment), 4 (Infrastructure Investment Plan) and 5 (Place Based Housing and Industry Assessment); and
 - > By the end of 2021, introduce an outcome-led, integrated cross-infrastructure prioritisation approach that incorporates and balances spatial and sector needs; the output would inform affordability assessment and budget allocation of infrastructure funding.

↓ 02

Enabling Sustainable Places

Places are at the intersection between the ambition of an inclusive net zero carbon economy and the right infrastructure. Understanding and responding to the needs of places is therefore central to achieving the Commission's vision as seen in Phase 1.

The language and objectives of place continue to be widely accepted and the Place Principle provides an effective model to design places well. However, the good practice approaches are often in pockets and too dependent on good-will; therefore alongside methodologies such as the Place Standard tool, there is a need to more firmly embed these principles in practice.

Each place is unique and dynamic, with a range of legacy infrastructures and stakeholders, whether public, private, third sector or communities. Collaboration is therefore essential, yet there are often barriers to this collaboration, undermining the delivery of better places. Obstacles to collaboration include issues such as the challenges of upfront investment by developers and utility companies; insufficient alignment of objectives within the public sector, undermining a more cohesive "one public sector" approach; and creating barriers to the necessary culture of trust and reciprocity across all parts of the industry, whether public, private or community.

There are, however, opportunities to overcome system issues, including National Planning Framework 4 ("NPF4") and the process to develop the framework. Other themes include the need for a robust evidence base, supported by the use and standardisation of digital data, to understand, develop and re-develop our places more efficiently. Finally, there are a broad range of skills that can be drawn upon to build better places; however, where there are gaps these need to be addressed. Reflecting these key findings, our recommendations cover the three inter-linked areas of Systems & Behaviours, Enabling Digital Technology, and Resources.



Recommendation

Systems & Behaviours

3. Scottish Government should enshrine the use of the Place Principle within planning practice, by end of 2021, through guidance, legislation or regulation as appropriate.
4. Building on Phase 1 needs-based recommendations, in the development of National Planning Framework 4, Scottish Government should establish a cross-portfolio, and robust evidence-based, land use appraisal and prioritisation approach by end of 2021, which vertically aligns national, regional and local needs. This involves co-produced industrial, settlement (including housing) and labour & skill strategies for each spatial level, which manage the difficult trade-offs and maximise the potential of an inclusive net zero carbon Scotland. This systematic appraisal and prioritisation approach should:
 - > Consider the fullest interpretation of an inclusive net zero carbon economy, including economic growth which reflects fair work, access to the labour market and equity, including spatial equity¹.
 - > Support a working agreement on land use priorities, including vacant and derelict land sites; and
 - > Facilitate market certainty to unlock significant sites, with coordination and clarity of the funding, financing and delivery of enabling infrastructure; including,
 - > A cohesive approach to planning obligations, to overcome issues of first-mover risk, transparency around enabling infrastructure and other disincentives to investment.

5. A “one public sector” outcome-based approach should be developed for our places by the end of 2021. This would build on changes within the Planning Scotland Act (2019), establishing a clear duty to co-produce and co-deliver existing and proposed spatial plans and includes the necessary shared accountability measures. How this effectively complements and learns from Community Planning Partnerships, Local Area Improvement Plans, Locality Plans and Local Place Plans should be reviewed, to make as efficient and streamlined as possible, while ensuring collaboration becomes a required practice.
6. Scottish Government should co-ordinate national upfront utility investment via changes to guidance, legislation or regulation by end of 2021.

Enabling Digital Technology

7. Recognising the critical and increasing importance of high-quality data to infrastructure assets of all types, Scottish Government should establish a digital data co-ordination, standards and facilitation role, by the end of 2021, to support the efficient and innovative development and use of data for the infrastructure sector.
 - > This should include a review of existing data development and management roles, to ensure the competency is located and resourced in the most efficient way.

- > The function should support and drive the development of activities such as digital twins, where the sharing of asset data information facilitates better use of existing assets and informs future investments; and
 - > identify skill and training requirements and, with partners, establish an effective strategic response.
8. A centrally held data resource is developed by the end of 2021, to provide open-source data that will inform place need and demand, including effective asset development, refurbishment and use, for an inclusive net zero carbon economy.

Resources

9. Scottish Government, in partnership with the private sector, third sector and communities, by the end of 2021, should further develop and harness the essential skills to develop and improve our places. This should include establishing and directly supporting an appropriately experienced and co-ordinated skill resource for the prioritisation, planning and delivery of infrastructure, which is available to all local authority stakeholders, across spatial levels.

↓ 03

Delivering a Thriving Construction Sector

Our Phase 1 Report made a number of recommendations relating to Scotland's infrastructure requirements over the next 30 years in order to deliver an inclusive net zero carbon economy. To achieve this, significant investment in our infrastructure will be required and major programmes of work developed. If this is to be delivered successfully, we need to ensure we have an effective, modern and fair interface in place that works for the mutual benefit of both client and contractor.

There is, of course, work already underway to drive positive outcomes that aims to increase productivity, raise capability, improve resilience, restore public and political confidence in public sector construction procurement and increase the reputation of the construction sector. This includes, for example, wider implementation of framework contracts, ensuring less focus on lowest cost bids by eliminating unsustainable pricing, developing and implementing more collaborative approaches between client and contractor and encouraging the use of local workforces, subcontractors and suppliers. While this provides a strong foundation to build on, we have concluded that further work is required and there is a window of opportunity for the public and construction sectors to reset and strengthen their future relationship in order to prepare for the delivery challenges we face over the next 30 years to ensure that Scotland's infrastructure supports an inclusive net zero carbon economy.



Recommendation

10. By building on its work to date, the Scottish Government and Construction Scotland Leadership Group should, by Quarter 1 2021, jointly lead, develop, resource and implement a "Construction Accord" between all Scottish public bodies and the whole of the construction sector. Its purpose is to set out an inclusive, shared vision for, and commitment to create, the market interface conditions to support a high performing construction sector for the benefit of all Scotland, that contributes to the achievement of an inclusive net-zero carbon economy and underpins the delivery of the National Infrastructure Mission.

11. This should include measures:

- > to improve the capacity, capability and diversity of the workforce (at all levels) for both client & contractor, including the development of skills relevant to modern methods of construction and the application of new technologies;
- > to develop a more coherent and less fragmented approach to skills development and training in Scotland which is more sharply focussed on the needs of the construction sector – both in the immediate and longer terms;
- > to monitor numbers and competency within the industry, consideration should be given to the development of an appropriate registration scheme for all apprenticeships in Scotland which will also raise the profile of construction careers as well as helping to promote and support the delivery of quality in the sector;
- > to ensure those working in the construction sector are employed under the principles and conditions of Fair Work in order that they enjoy safe, secure and rewarding careers;
- > to enable the development of improved programme pipeline forecasting and management that demonstrate longevity and a reasonable degree of certainty and that allow the experience gained on previous projects to be utilised to enhance the delivery of subsequent projects;
- > that will enable a move away from transactional, cost driven procurement of individual assets, through the development and introduction of value driven, collaborative procurement methods (appropriate for Scottish needs) that can deliver investment programmes designed to secure national outcomes.

↓ 04

Scottish National Infrastructure Company

The Commission's overarching approach has been to ensure its conclusions and recommendations have been developed in response to the emerging problems and issues it has identified or evidence it has received. In addition, its recommendations are based on an aspiration that the delivery of Scotland's infrastructure is achieved through a coordinated, whole system approach designed to ensure that the public and construction sectors work together in a strong collaborative partnership that contributes to an inclusive net zero carbon economy.

After careful consideration, the Commission has concluded from its work that none of the outcomes of its recommendations would be enhanced by creation of a Scottish National Infrastructure Company. However, it also recognises that going forward, the situations and the problems we need to respond to are not constant and can change very quickly – the Covid-19 pandemic and its implications for society and the economy serve to illustrate that point. Any future consideration of a Scottish National Infrastructure Company will need to draw on the evidence of how successfully the Commission's recommendations have been implemented, and their impact, as well as the context prevailing at the time.



COVID-19 reinforces urgency for new approach to prioritise and deliver Scotland's infrastructure

An inclusive, net zero carbon economy remains at heart of the strategy

KEY RECOMMENDATIONS

- Giving an **Independent, Specialist Body** the remit to provide strategic, long-term infrastructure advice to Scottish Government
- Enshrining the **Place Principle** and implementing a one public sector approach to planning and developing sustainable places
- Establishing a **Construction Accord** to strengthen the future relationship between the public sector and the construction industry

An **Independent, Specialist Body** to provide strategic long-term infrastructure advice is considered pivotal to effectively delivering Scotland's inclusive, net-zero carbon economy, according to a final report by the Infrastructure Commission for Scotland (ICS) presented to Scottish Government.

Enshrining the **Place Principle** and implementing a one public sector approach to planning and developing sustainable places are also key recommendations in the report.

The establishment of a **Construction Accord** to strengthen the future relationship between the public sector and the construction industry, is another vital recommendation in the Commission's report.

Published today, the ICS's report, '*Delivery Findings – A blueprint for Scotland*' builds on the ICS's initial 'Key Findings' report published in January 2020 and follows a further period of extensive stakeholder engagement, both pre and during the COVID-19 pandemic. Its focus remains the delivery of an inclusive, net-zero carbon economy, the importance of which has only been amplified by the COVID-19 pandemic.

To achieve this, the ICS recommends that by early 2021 an independent specialist body be given the responsibility by Scottish Government to help prioritise the infrastructure needed to enable an inclusive, net-zero carbon economy and to develop a 30-year infrastructure strategy that is reinforced by a long-term needs assessment.

The independent organisation would sit outside the political decision-making system to enable it to operate in an arms-length and transparent way – one that builds confidence across the public and private sectors as well as society and the general public. This would allow the body to challenge Government while also undertaking tactical public engagement to inform the long-term strategy.

Among other ICS' recommendations is that Scottish Government should enshrine the use by all stakeholders of the Place Principle which has already been proven to be an effective model when designing places within planning practice. This would support the creation of sustainable places and help enable a "one public sector approach" to infrastructure which is central to achieving the Commission's vision for a net zero carbon and inclusive growth economy.

The ICS also recognises the importance of a thriving construction sector being vital for the successful delivery of Scotland's long-term infrastructure requirements. While work is already underway to drive positive outcomes to increase productivity, raise capability and improve the reputation of the construction sector, the ICS notes that in light of the impact the covid pandemic has had across the economy, there is a window of opportunity for both the public and construction sectors to strengthen their future working relationship and practice.

As part of this, the ICS recommends that by early 2021, Scottish Government and the Construction Scotland Leadership Group should create a Construction Accord. This would underline the vision and set a commitment to improve conditions that support a high performing construction sector. It would include measures to improve the capacity, capability and diversity of the workforce at all levels with a heavy focus on skills development, training requirements and career prospects for those working in the sector.

Ian Russell, chair of the Infrastructure Commission for Scotland, said: "Infrastructure has a vital role to play in the delivery of an inclusive, net zero carbon economy and COVID-19 has amplified the need for urgent action and change for economic, social and natural infrastructure.

"The Commission is recommending that an independent, specialist body be given responsibility for providing Government with strategic, long-term infrastructure advice and enshrining the place principle within planning practice. Collaboration between the public sector and the construction industry is crucial and therefore establishing a construction accord between the public sector and the construction industry is another vital recommendation in the Commission's report."

Other recommendations in the report include harnessing a heightened focus on digital technology. Recognising the critical and increasing importance of high-quality data to infrastructure assets of all types, the ICS advises that a digital data co-ordination, standards and facilitation role is established by the end of 2021 to support the efficient and innovative development and use of data for the infrastructure sector.

Cabinet Secretary for infrastructure, Michael Matheson, said: "The Covid-19 pandemic has been an unprecedented global crisis which has fundamentally changed every aspect of our lives. Infrastructure will play a critical role in the years ahead as we plan our strategic economic recovery from the pandemic.

“I am grateful to the Infrastructure Commission for their hard work – no doubt made more challenging in recent months – to produce this comprehensive second report on the delivery of infrastructure. We shall now take time to consider its findings very carefully.

“The Commission’s Phase 1 report has already helped to shape our next 5 year Infrastructure Investment Plan, details of which I look forward to announcing in September. This Plan will incorporate a response to the Commission’s Phase 1 findings.”

The ICS, which was established in early 2019 to develop Scotland’s infrastructure strategy for the next 30 years, recognised net zero carbon and an inclusive growth economy as two overarching policies that were priorities on both a national and global scale. As such, these priorities were placed at the heart of its work and mark a sharp shift from the broad aim of overall policy convention to maximise GDP over the last 50 years.

The Commission was asked to provide advice to ministers on the possible creation of a Scottish National Infrastructure Company. After careful consideration, the Commission has concluded from its work that none of the outcomes of its recommendations would be enhanced by creation of a Scottish National Infrastructure Company.

On concluding its work, which is believed to be the first of its kind for Scotland, Chair of the Commission, Ian Russell, stated: “We are clear that the implementation of all of the recommendations made in our Phase 1 and Phase 2 reports - some of which we acknowledge will necessitate a fundamentally different way of prioritising, planning and delivering infrastructure investment - will make a significant contribution to the successful creation of an inclusive net zero carbon economy.

“The recommendations from the Commission’s work over the past 18 months are designed to galvanise and accelerate action by all involved with infrastructure in Scotland.”

ENDS

For media enquiries relating to the Infrastructure Commission for Scotland, please contact:

Jonathan Murray
Mobile: 07590 230645
Email: comms@infrastructurecommission.scot

For media enquires relating to Scottish Government, please contact:

John Fitzgerald
Tel: 07468 756374
Email: john.fitzgerald@gov.scot

Notes to editors:

PRESS RELEASE

[The Infrastructure Commission for Scotland](#)

The Infrastructure Commission for Scotland was established in early 2019 to provide independent advice to the Scottish Ministers on a 30-year vision (the “why and what”) of infrastructure for Scotland, and to consider options for delivery (the “how”).

The Phase 1 Report, published in January 2020, focused on the “why and what” of these challenges and the Phase 2 Report focuses on the “how”.

TITLE: ASSET TRANSFER REQUESTS - EVALUATION REPORT

Background: This report provides a summary of the Scottish Government evaluation of Part 5 of the Community Empowerment (Scotland) Act 2015 (the Act) which came into effect on 23 January 2017.

Action: The Asset and Infrastructure Committee is requested to note:

- That, as reported to the May 2020 Estates Committee, the College has fulfilled its obligations regarding the Act; and
- The College is already complying or capable of complying with the further six requirements of public bodies as set out by the Scottish Government report.

Lead: Alan Ritchie - Director of Finance

Status: Open

1. Introduction

- 1.1 The attached report (Appendix A) presents the findings from the Scottish Government evaluation of the Community Empowerment (Scotland) Act 2015. The Act was implemented on 23 January 2017, with Part 5 of the Act giving community bodies the right to request to buy or lease assets from relevant authorities. Whilst asset transfer is not a new process, the legislation opens new opportunities for communities, enabling communities to take on public sector land and buildings while placing new responsibilities on relevant authorities to respond to their requests in a transparent and timely way.
- 1.2 The asset transfer request process begins when a community body submits a request to a relevant authority, requesting ownership, lease, or other rights of an asset. Asset transfer requests can be made to any relevant and includes land or buildings owned or in the care of Scottish Ministers. Other relevant authorities include local authorities, further education colleges, regional transport partnerships, and 'other' organisations. Following receipt of an asset transfer request, the relevant authority assesses the request, in line with defined criteria detailed in the Scottish Government Guidance on asset transfer requests (2017) and issues a decision notice. Unless there are reasonable grounds for refusal, the relevant authority must agree to the request. If an asset transfer request is refused, community bodies can seek a review or appeal.
- 1.3 Section 4.1.1 of the Scottish Government report indicates that further work is required to ensure that organisations are aware of their reporting duties. The report highlights a decline in the annual reporting figures. Despite their statutory duty, in the periods 2017-2018 and 2018-2019, not all relevant authorities submitted annual reports. In 2017-2018, of the 86 relevant authorities, only 64% submitted reports and this figure fell to 43% in 2018-19
- 1.4 West College Scotland has in each year, including 2019-20, submitted the required report and received confirmation of the submission.
- 1.5 At section 4.2 the report shows the number of asset transfer requests made in 2017-18 as 58, increasing to 81 in 2018-19. Noticeable in the table is that no such requests were made to either colleges or to regional transport partnerships. The report concludes that the significantly high numbers of asset transfer requests submitted to local authorities, in comparison with other relevant authorities, may suggest a need to raise awareness that public bodies other than local. authorities are also included within the asset transfer request legislation.
- 1.6 Section 8 of the report highlights the case study of Blantyre Soccer Academy and the work it has done with South Lanarkshire College after successfully applying for and being granted an asset transfer request for Rowans Community Hall.
- 1.7 Appendix 1 of the report lists the other relevant authorities including several colleges to which the reporting requirement of the Act apply, but it does not list West College Scotland.

- 1.8 The report made 10 recommendations, with 4 being for the Scottish Government to implement and 6 for relevant authorities. The recommendations are listed on pages 3 and 4 of the report and cover
1. Wider promotion of asset transfer requests to raise internal and external awareness of Part 5 of the Act is needed.
 - The College has a dedicated page on its website which lists College owned property: <https://www.westcollegescotland.ac.uk/legal/our-property-assets/>
 2. Relevant authorities should ensure that asset transfer requests have a transparent timeline.
 - Should an asset transfer request be received this would be dealt with in a timely manner through full engagement with the requesting party.
 3. Relevant authorities should identify a key internal contact person responsible for managing asset transfer requests.
 - The College has a dedicated page on its website which identifies the key internal contact person – Head of Estates
 4. Relevant authorities should undertake work to promote clearer agreements, ensure understanding of long-term responsibilities associated with running an asset.
 - Not fully applicable to the College as all assets are owned and are subject to a maintenance plan which is discussed with the Asset and Infrastructure Committee
 5. Relevant authorities should work with key stakeholders to address challenges associated with quantifying community benefit and calculating the level of discount to offer to communities.
 - This would be undertaken as indicated in the recommendation should the College be the subject of an asset transfer request.
 6. Relevant authorities should encourage groups from marginalised communities to consider whether asset transfer requests could benefit them.
 - The College is an active member in several community-based groups along with the wider local authority Community Planning Partnerships. This involvement allows groups from all walks of life to engage with the College.
- 1.9 The report concluded that asset transfer requests may help to address inequalities and support communities to deliver better and more appropriate services. To maximise the impacts of asset transfer requests, and to achieve the longer-term changes in community empowerment envisaged by the Act, government and relevant authorities need to take further steps to promote and support asset transfer requests – focusing on less-advantaged communities in particular – and to continue to improve monitoring and tracking of the results.

2. Conclusion

2.1 The Asset and Infrastructure Committee is requested to note:

- That, as reported to the May 2020 Estates Committee, the College has fulfilled its obligations regarding the Act; and
- The College is already complying or capable of complying with the further six requirements of public bodies as set out by the Scottish Government report.



Asset Transfer Requests: Evaluation of Part 5 of the Community Empowerment (Scotland) Act 2015



PEOPLE, COMMUNITIES AND PLACES

Asset Transfer Requests: Evaluation of Part 5 of the Community Empowerment (Scotland) Act 2015



University for the Common Good

Carolyn McMillan, Artur Steiner and Clementine Hill O'Connor

SG/2020/65

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Executive Summary

This report presents findings from an evaluation of Part 5 of the Community Empowerment (Scotland) Act 2015 (the Act). Implemented on 23 January 2017, Part 5 of the Act relates to asset transfer requests. It gives community transfer bodies the right to request to buy or lease assets from relevant authorities. Whilst asset transfer is not a new process, the legislation opens up new opportunities for communities, enabling communities to take on public sector land and buildings while placing new responsibilities on relevant authorities to respond to their requests in a transparent and timely way. As part of the Scottish Government's commitment to review asset transfer requests, a team at Glasgow Caledonian University was commissioned to undertake research to document the ways in which this new provision has been implemented by relevant authorities and used at a local level, and the impact that Part 5 is having. This executive summary presents the key findings of the evaluation.

Methods

The evaluation focused on the extent to which asset transfer requests may contribute to a series of intermediate and longer-term outcomes which were set out in a study conducted by Myers, Geyer and Craig (2017)¹, who assessed the evaluability of Part 5 of the Act and developed a Theory of Change model to describe how the implementation of Part 5 of the Act might contribute to change. The evaluation adopted a range of methods to collect primary data, including in-depth interviews with key stakeholders (n=25); a group interview with three participants; and participant observations (n=3). Secondary data were sourced through the collation of key documents including asset transfer request annual reports from relevant authorities. Qualitative data were analysed in NVivo. Quantitative data were analysed in SPSS.

Findings: relevant authority implementation and community transfer body use of the legislation

- According to available relevant authority annual reports, between 2017 and 2019, relevant authorities received 139 asset transfer requests, agreed to 81 and refused 10. The data suggests an increase in activity between 2017-2018 and 2018-2019.
- The majority of asset transfer requests were submitted to local authorities (85% in 2017-2018 and 79% in 2018-2019).
- Between 2017 and 2019, 53 requests were made for buildings (53% and 27% of all requests in 2017-2018 and 2018-2019 respectively). The number of requests for both land and buildings was 21 (9% and 20% of all requests in 2017-2018

¹<http://www.healthscotland.scot/media/1696/evaluability-assessment-of-parts-3-and-5-of-the-community-empowerment-act-dec17-english.pdf>

and 2018-2019 respectively). In 2017-2018, the purposes of most applications were community hubs (n=8), community parks/woodlands (n=8), and men's/ community sheds (n=7). In 2018-2019, the purposes of most applications were community hubs (n=17), community parks/woodlands/gardens (n=12) and sports/recreational facilities (n=11).

- Relevant authorities promoted asset transfer requests through varied pathways (website, internal and external information events, publication of asset register, and first point of contact). Extensive promotion was constrained by financial and time pressures on relevant authorities.
- Relevant authorities noted the complexity surrounding 'best value' assessment and the need to quantify community benefits in order to decide the level of discount offered to community transfer bodies.
- Between 2017 and 2019, no specific references to inequalities or to disadvantaged or marginalised groups were made in available relevant authority annual reports.

Findings: intermediate outcomes of asset transfer requests

- *Increased community ownership, control and use*
Asset transfer requests are viewed as a mechanism through which communities can design and deliver services to address local needs. Examples include mental and physical health services, youth clubs, and community spaces.
- *Relevant authority culture change*
The culture of authorities can be a barrier to effective implementation of asset transfer requests legislation: some community transfer bodies experienced difficulties with relevant authorities, describing authorities as hostile or obstructive. While clear evidence of culture change will only occur over time, there was evidence that relevant authorities were taking steps to create change by challenging internal beliefs and values.
- *Increased obligations of community transfer bodies*
There is evidence that communities experience increased obligation related to assets, post-transfer. The outcome of this obligation can be both positive, in terms of caring for an asset which generates benefit, or negative – if the asset becomes burdensome in terms of commitment to look after it. In the latter circumstance, findings highlight the importance of support services matched to community transfer body needs, funding and expertise.
- *Community cohesion and capacity building*
Evidence suggests that the asset transfer request process may be 'transformational' for small communities, supporting increased community cohesion/involvement and capacity building.

Findings: longer-term outcomes of asset transfer requests

Given the recent introduction of Part 5 of the Act (January 2017), it is too early to draw conclusions in relation to the longer-term outcomes of asset transfer requests. The *potential* for asset transfer requests to enable long-term outcomes includes:

- *Potential for increased community empowerment*
Some community transfer bodies reported that asset transfer requests had enabled aspects of empowerment² and also that they had supported increased levels of volunteering in communities. Other community transfer bodies noted that while they perceive the potential for asset transfer requests to increase community empowerment, the impact of this was not yet fully realised.
- *Improved access to services*
Based on the purposes of submitted asset transfer requests, the available data indicate that asset transfer requests may improve community access to services. The impacts of this will be better understood over time.
- *Reduced inequalities of outcome*
While the analysis of annual reports suggests a spread of requests across areas of differing SIMD level, some interviewees suggested that the asset transfer request process is more easily accessible to communities with sufficient levels of capacity, skills and knowledge to take on the ownership of an asset. Relatedly, communities lacking capacity and access to individuals with critical skills and expertise felt the process of applying was intimidating and challenging, a view that was backed up in interviews with relevant authorities. It is not yet clear whether this may lead to an increase in inequalities, as suggested by Myers *et al.* (2017), given that assets transferred may provide services to a wide range of groups. Nevertheless, findings suggest that some communities will need additional support to be able to undertake an asset transfer process successfully.

Recommendations

Recommendations for the Scottish Government include:

- Ensuring relevant authorities meet statutory annual reporting duties to enable on-going monitoring of Part 5 of the Act. On-going and improved reporting should underpin future assessments of the longer-term impact of asset transfer requests.
- To further facilitate reporting and evaluation, there is a need to compose a definitive list of Scottish Ministers that own or have property in their care. This list should be reviewed on a regular basis.

² <https://www.gov.scot/policies/community-empowerment/>

- Given the challenges that relevant authorities experienced in assessing 'best value' when assessing asset transfer requests, the Scottish Government should work with relevant stakeholders to develop guidance on valuation matrices/models for determining 'best value' for assets.
- The Scottish Government should continue to work with key partners to identify actions that may help to overcome any barriers to the use of asset transfer requests by marginalised groups or disadvantaged communities. Consideration should be given to mapping funding options and support/capacity services, and providing better signposting to these services.

Recommendations for relevant authorities include:

- Wider promotion of asset transfer requests to raise internal and external awareness of Part 5 of the Act is needed.
- Relevant authorities should ensure that asset transfer requests have a transparent timeline. This will mitigate against diminishing community momentum and enthusiasm, and help to establish and maintain good or improved relationships between relevant authorities and communities.
- Relevant authorities should identify a key internal contact person responsible for managing asset transfer requests. This would help to speed-up the asset transfer request process, act as an effective conduit between community transfer bodies and relevant authority personnel, drive culture change in relevant authorities and allow other relevant authority personnel to focus on other responsibilities.
- To address concerns surrounding assets becoming derelict or burdens on communities, relevant authorities should undertake work to promote clearer agreements, ensure understanding of long-term responsibilities associated with running an asset and assess group capacity to deliver.
- Relevant authorities should work with key stakeholders to address challenges associated with quantifying community benefit and calculating the level of discount to offer to communities. Ensuring that 'best value' assessments are explicitly related to addressing inequalities may reduce barriers to participation for disadvantaged communities.
- Relevant authorities should encourage groups from marginalised communities to consider whether asset transfer requests could benefit them. Activities could include active promotion of Part 5 of the Act and developing tailored, accessible support (translations and easy-read documents where appropriate, for example).

Conclusions

The evaluation suggests that asset transfer requests may help to address inequalities and support communities to deliver better and more appropriate services. To maximise the impacts of asset transfer requests, and to achieve the

longer-term changes in community empowerment envisaged by the Act, government and relevant authorities need to take further steps to promote and support asset transfer requests – focusing on less-advantaged communities in particular – and to continue to improve monitoring and tracking of the results.

Limitations

This study was conducted using available quantitative data. Due to limited reporting by relevant authorities, our findings may not reveal the full picture of asset transfer request activity in Scotland. Qualitative data derive from a limited sample. While steps were taken to ensure that the sample had a breadth of knowledge and experience of asset transfer requests, the findings reported here may not represent the full range of perspectives on asset transfer requests.

1. Introduction

This report presents findings from an evaluation of Part 5 of the Community Empowerment (Scotland) Act 2015 (the Act). Part 5 of the Act relates to asset transfer requests (ATRs) and it gives community transfer bodies (CTBs) the right to request to buy or lease assets from relevant authorities (RAs). Whilst asset transfer is not a new process, the legislation opens up new opportunities for communities. It enables communities to take on public sector land and buildings while placing new responsibilities on relevant authorities to respond to their requests in a transparent and timely way.

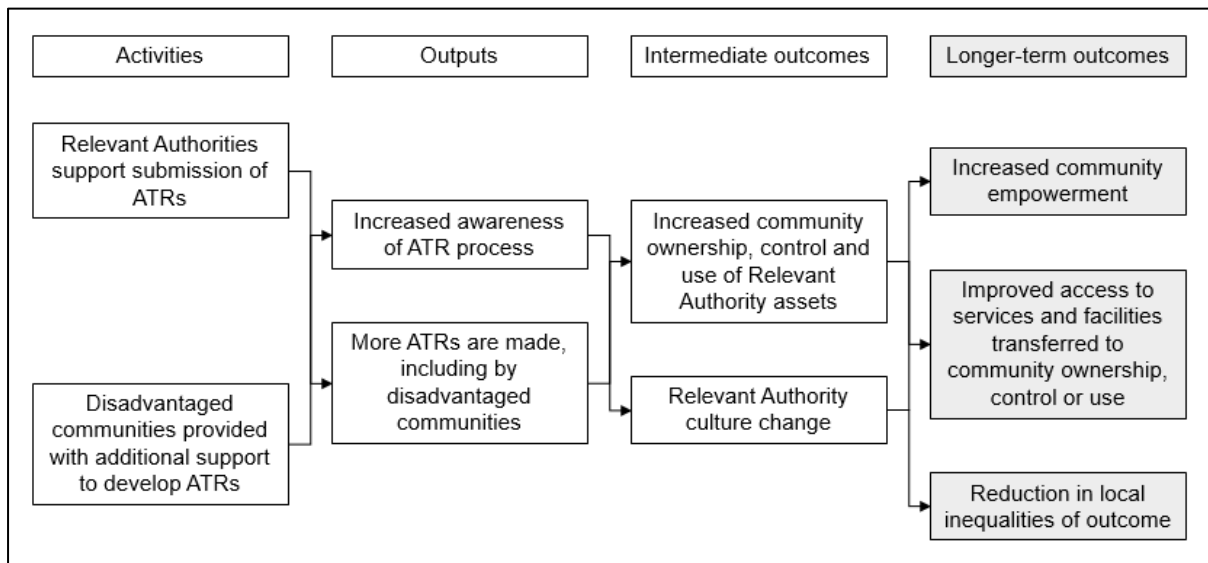
Part 5 of the Act came into force on 23 January 2017. Following its implementation, the Scottish Government wants to understand more about the ways in which this new provision has been implemented by relevant authorities and used at a local level, and the impact that Part 5 is having. Accordingly, in 2018 the Scottish Government commissioned a team from the Yunus Centre for Social Business and Health, Glasgow Caledonian University, to undertake an evaluation to answer the following research questions:

1. Whether, how and to what extent, is Part 5 of the Act being implemented as intended in the legislation and guidance?
2. To what extent does implementation of Part 5 of the Act result in more asset transfers being initiated and assets being transferred to community ownership, control and use, and with what potential contribution to improved access to transferred services and facilities?
3. What is the pattern of take up and use of Part 5 of the Act among different community groups? What are the potential implications of these patterns for local inequalities of outcome?
4. Whether, how, and to what extent do communities feel more empowered as a result of the availability, take up and use of Part 5 of the Act?

The evaluation was informed by a previous study conducted by Myers, Geyer and Craig (2017)³, who assessed the evaluability of Part 5 of the Act and developed a Theory of Change model (Figure 1) to describe how the implementation of Part 5 of the Act might contribute to change. This model identified key activities, outputs, and intermediate and longer-term outcomes relating to Part 5 of the Act. The stages of this evaluation correspond with different components of Myers *et al.*'s Theory of Change and also informed the thematic framework used to analyse the data (discussed in Section 3).

³ Myers, F., Geyer, J. and Craig, P. 2017. Evaluability assessment of Parts 3 and 5: participation requests and asset transfer requests. NHS Health Scotland, Edinburgh. Available at: <http://www.healthscotland.scot/media/1696/evaluability-assessment-of-parts-3-and-5-of-the-community-empowerment-act-dec17-english.pdf>

Figure 1 Theory of Change for Part 5 of the Act



Source: Myers *et al.* (2017)

The report is structured as follows: Section Two outlines the background to asset transfer requests; Section Three details the methodological approach undertaken for this evaluation; and Section Four outlines the implementation of asset transfer requests (addressing research questions 1 and 3). Section Five reports on asset transfer request activity and trends (research questions 1 and 3) and Section Six details findings related to intermediary outcomes of Part 5 of the Act (research question 2). Section Seven outlines evidence pertaining to longer-term outcomes of Part 5 of the Act (research questions 2 and 4). Section Eight presents an example of a completed asset transfer request, Blantyre Soccer Academy. A discussion surrounding the revised Theory of Change model is given in Section Nine. Recommendations, conclusions and limitations are presented in Sections Ten, Eleven and Twelve, respectively.

2. Background to asset transfer requests

The Community Empowerment (Scotland) Act 2015 (The Act) is central to empowering community bodies, strengthening their voices in local decision-making, ownership of land and buildings and supporting public sector reform by improving the process of community planning and its outcomes. Through the Act, the Scottish Government seeks to empower communities to play increasingly active roles in managing, leasing, and owning local assets.

Part 5 of the Act is directly concerned with the improvement and development of local assets, through asset transfer requests. Part 5 of the Act gives community groups known as community transfer bodies the right to request to buy, lease, or manage assets from relevant authorities.

Asset transfer is not a new process: relevant authorities have existing schemes and processes for properties deemed suitable for community use and, crucially, surplus to requirements (Myers *et al.*, 2017). Until the introduction of the Act, however, such processes were not formal nor explicitly linked to community empowerment policies (DTAS, 2010). The introduction of Part 5 of the Act sought to complement these existing processes (Myers *et al.*, 2017). As a result, the new provision aims to increase uniformity across relevant authorities by introducing the right for communities to request to buy, lease or manage any land, structures or buildings owned by relevant authorities if they believe it will benefit their community. Through asset transfer provision, the Scottish Government aims to achieve positive change, enhance local development, empower communities and reduce inequalities.

The asset transfer request process begins when a community transfer body submits a request to a relevant authority, requesting ownership, lease, or other rights⁴ of an asset. A community transfer body can either be a community controlled body (defined in Section 19 of the Act) or a body designated by the Scottish Ministers. Asset transfer requests can be made to any relevant authority as listed in Schedule 3 of the Community Empowerment (Scotland) Act 2015. This includes land or buildings owned or in the care of Scottish Ministers. Other relevant authorities (listed in Schedule 3 of the Act) include local authorities, further education colleges, regional transport partnerships, and 'other' organisations (Appendix 1). Following receipt of an asset transfer request, the relevant authority assesses the request, in line with defined criteria detailed in the Scottish Government Guidance on asset transfer requests (2017)⁵, and issues a decision notice. This process is set out in Appendix 2. Unless there are reasonable grounds for refusal, the relevant authority must agree to the request. If an asset transfer request is refused, community transfer bodies can seek a review or appeal.

⁴ Sections 79(2)(a), 79(2)(b)(i) and 79(2)(b)(ii), respectively.

⁵ Scottish Government. 2017. Asset Transfer under the Community Empowerment (Scotland) Act: Guidance for Relevant Authorities. Available at: <https://www.gov.scot/publications/asset-transfer-under-community-empowerment-scotland-act-2015-guidance-relevant-9781786527493/>

3. Approach to this evaluation

3.1. Evaluation stages

The evaluation was carried out in four consecutive stages, presented in Table 1. Myers *et al.*'s (2017) Theory of Change (Figure 1) informed the design, implementation and thematic framework adopted for the research.

3.2. Methods

The evaluation team collected primary (individual/group interviews and participant observations), and secondary (annual reports and supporting documents from relevant authorities) data to answer the research questions. These are discussed below together with the sampling strategy, our approach to data analysis and ethical considerations.

3.2.1. Interviews with relevant authorities

During Stage 1 (Table 1), the research team undertook in-depth interviews with 13 participants from 11 relevant authorities named in the Act, and one key stakeholder from a national asset transfer support organisation. The topic guides for these interviews were developed to generate data related to the interpretation and implementation of the Act. The interviews with individuals responsible for asset transfer request processes and/or supporting communities to submit asset transfer requests helped to gain an understanding of how the Act has been implemented by relevant authorities. Further questions regarding specific asset transfer requests were used to build case studies that gave insight into the potential for asset transfer requests to contribute to intermediate and longer-term outcomes in communities.

3.2.2. Interviews with community stakeholders

During Stage 2 (Table 1), the research team conducted one-to-one interviews with 12 community stakeholders involved in asset transfer request submissions. In addition to individual interviews, the research included one group interview with a further three participants from one community transfer body. In total, 15 community stakeholders were interviewed. The topic guides for these participants were developed to generate data related to the experience of the asset transfer request application process, the support offered by relevant authorities, actual and anticipated outcomes and perspectives on the meaning and possible measurement of community empowerment.

Table 1 Stages of the research, aims and activities

<p>Stage 1 (Apr. 2018 – Sept. 2018) <i>Aim: identify activities and outputs related to asset transfer requests (ATR)</i></p> <ul style="list-style-type: none"> • Understanding implementation processes • Identifying early patterns in ATR submissions across Scotland • Highlighting how ATRs were being interpreted by relevant authorities (RAs) • Exploring RA perspectives on potential outcomes <p><i>Data collection (primary)</i></p> <ul style="list-style-type: none"> • Interviews with RA representatives (n=13) • Interview with one key stakeholder from a national ATR support organisation <p><i>Data collection and analysis (secondary; 2017-18)</i></p> <ul style="list-style-type: none"> • ATR reports and informal submissions (n=58) supplemented with available documents • Identification of community transfer body (CTB) cases (Section 3.3.2) 	<p>Stage 2 (Oct. 2018 – May 2019) <i>Aim: to explore the experiences of community organisations leading ATRs</i></p> <p><i>Data collection (primary):</i></p> <ul style="list-style-type: none"> • Interviews with community representatives (n=15) <ul style="list-style-type: none"> ○ participants (n=12) from eight CTBs ○ 1 group interview with participants (n=3) from one CTB (CTB 2) • Participant observations (n=3) <p><i>Data collection and analysis (secondary; 2018-19)⁶</i></p> <ul style="list-style-type: none"> • Formal ATR reports and informal submissions (n=42) supplemented with available documents 	<p>Stage 3 (Jun. 2019 – Sept. 2019) <i>Aim: Analysis of primary and secondary data.</i></p> <ul style="list-style-type: none"> • Comparative data analysis using 2017-18 and 2018-19 annual reports • Themes identified across the qualitative data 	<p>Stage 4 (Oct. 2019 – Jan. 2020) <i>Aim: Final analysis</i></p> <ul style="list-style-type: none"> • Development of a revised Theory of Change • Two stakeholder workshops held with asset transfer request stakeholders (30); emerging findings discussed contributing to strengthening a revised Theory of Change • Producing final reports
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⁶ Due to delays in relevant authority reporting, data collection and analysis of secondary data for 2018-19, this activity was also conducted under Stage 3 (Section 3.2.4)

3.2.3. Participant observation

During Stage 2 (Table 1), members of the research team attended events held by three community transfer bodies included in the sample. These were attended in order to observe support from communities and understand services being delivered by the community transfer bodies. Further, attending these events allowed the research team to have informal conversations with members of the wider community. One of the community organisations that had successfully completed an asset transfer request held regular meetings to manage the development of the asset. One of these meetings was attended, which offered the opportunity to ask questions and clarify plans and community transfer body decision-making. This gave an insight into the processes that follow the successful transfer of an asset and the ways that communities manage the various responsibilities, opportunities and challenges of an asset transfer (see Table 5 for details on participant observations).

3.2.4. Secondary data: Relevant authority annual reports

Secondary data collection spanned Stages 1–3. Two sets of relevant authority annual reports were collected and analysed for the evaluation. The first return of annual reports encompassed the period 1st April 2017 to 31st March 2018 while the second return covered 1st April 2018 to 31st March 2019.

Despite all relevant authorities having a statutory duty to publish annual reports which outline all asset transfer request activities, low publishing rates in both periods meant that additional steps were taken to collect data about asset transfer requests from relevant authorities. During Stage 1 of the evaluation, these steps included email communication from the Scottish Government, introducing relevant authorities to the evaluation team (April 2018) and reminding them of their statutory duty to publish (July 2018); and evaluation team email communication, requesting information on the intended online location of the published reports⁷ (June 2018) and requesting that all relevant authorities submit (July 2018). During Stages 2 and 3, the Scottish Government contacted relevant authorities, reminding them of their statutory duty to publish (May, July and August 2019).

The number of reports submitted by relevant authorities is presented in Table 6 and Table 7. Once available reports were collated, both sets of annual reports were analysed using the same systematic approach. Findings from this analysis of the annual reports are available on the Scottish Government website⁸.

In addition to the collection of annual reports, the research team gathered documents relating to asset transfer requests on relevant authority websites. Relevant documents included application forms, business plans and decision notices

⁷ The Act does not specify where the reports should be published.

⁸ Hill O'Connor, C. and Steiner, A. (2018) Review of Asset Transfer Requests Annual Reports: Summary, Scottish Government, available at: <https://www.gov.scot/publications/independent-evaluation-of-community-empowerment-act-parts-3-and-5-interim-findings>.

issued to inform community transfer bodies of the outcome of requests. Including this information has allowed for analysis of the types of organisations that are submitting requests, the purpose of the request and the type of asset. Where possible, the postcode of the requested asset was ascertained in order to map the asset transfer requests onto the Scottish Index of Multiple Deprivation (SIMD) – this to increase understanding about which communities are submitting asset transfer requests. Data were not available for all submitted asset transfer requests; where data are missing, this is noted in the tables and figures throughout the report.

3.3. Sampling

This evaluation adopted purposive sampling of relevant authorities, community transfer bodies and other stakeholders, with the aim of ensuring that the sample would have broad and diverse experience and knowledge of asset transfer requests.

3.3.1. Sampling of relevant authorities

Relevant authority interview participants were identified following the collation and analysis of relevant authority annual reports for the period 1st April 2017 to 31st March 2018, during Stage 1. Using information from the annual reports, we mapped out asset transfer request activities and identified key people responsible for asset transfer requests within relevant authorities. The selected participants occupy roles that are core to the development and delivery of asset transfer request processes within relevant authorities (Table 2).

Table 2 Interviewees per relevant authority (RA)

RA code	RA type	Number of interviewees
RA 1	Local authority	1
RA 2	Local authority	1
RA 3	Local authority	2
RA 4	Local authority	1
RA 5	Scottish Ministers/Other	1
RA 6	Education	1
RA 7	Transport	2
RA 8	Other	1
RA 9	Scottish Ministers/Other	1
RA 10	Scottish Ministers	1
RA 11	Health	1
	Total	13

Although it was clear from the annual reports that the majority of asset transfer requests were received by relevant authorities (further information provided in Section 4.2), the sample was designed to include a range of relevant authority types (including local authorities, further education (colleges), regional transport partnerships, Scottish Ministers and ‘other’). The sample was also chosen to reflect

the range of overall levels of asset transfer request activities. At the time of interviewing, two relevant authorities had not received any asset transfer requests. Another relevant authority had not received any *formal* applications at the time of the interview but noted, through their annual report, that they were involved in active discussions surrounding asset transfer requests and had received a number of enquiries. Given the significant scale of work undertaken prior to the submission of an asset transfer request, these relevant authorities were included in order to gain a fuller picture of the level of asset transfer request activities across Scotland.

3.3.2. Sampling of community transfer bodies

Overall, five community transfer bodies were included in the sample. To identify community transfer bodies for inclusion in the research, we followed a process in order to generate a list of possible case studies (see below). This process was conducted during Stage 1 of the evaluation as part of the secondary data analysis (Table 1):

- To identify community transfer bodies that would form the basis of the case studies, sampling began with an overview of the level of asset transfer activities across the different types of relevant authorities.
- Each relevant authority with experience of asset transfer requests was tabulated in order to identify the numbers of applications within each relevant authority. This generated a list of possible community transfer bodies to include in the sample.
- To identify potential community transfer bodies for case studies, the sampling parameters were narrowed to exclude asset transfer requests where decisions were ongoing and to focus on asset transfer requests where decisions had been confirmed.
- Each asset transfer request was categorised according to whether they were accepted or rejected; the type of asset requested; whether the request was for lease, ownership or management; and the SIMD decile associated with the postcode of the asset.

The final list, presented in Table 3, was selected to include representation across SIMD, type of asset, and rights requests (i.e. lease or ownership). This ensured that community transfer bodies represented a variety of experience and context.

Table 3 Community transfer bodies (CTBs) – sample

CTB code	Whether ATR was accepted or refused	Asset type	Lease/ ownership	Asset SIMD
CTB 2	Accepted	Land	Ownership	6
CTB 7	Accepted	Building	Lease	10
CTB 9	Refused	Land	Ownership	3
CTB 10	Accepted	Building and land	Lease	8
CTB 11	Accepted	Building	Ownership	3

Three community transfer bodies listed in Table 3 were unable to participate in the study:

- CTB 9 did not want to take part as they had previously participated in research surrounding asset transfer requests. As a small, mainly volunteer-run organisation, they had limited capacity to be involved.
- The asset transfer of CTB 10 was concluded outside of the Act and beyond the scope of this evaluation.
- Following three attempts via email/ phone, there was no response from CTB 11.

After discussions with the Scottish Government, community transfer bodies 9, 10 and 11 were replaced with other community transfer bodies (Table 4). A revised sampling strategy was adopted to ensure that the sample included an asset transfer request received by a non-local authority relevant authority. The three alternative community transfer bodies were identified during Stage 2 of the evaluation as part of the secondary data analysis (Table 1). As such, the revised sample included community transfer bodies whose asset transfer requests were captured in 2018-19 annual reports.

Identifying potential interviewees from the wider community to explore the impacts of asset transfer requests was problematic because many asset transfers were still in progress, which means that it was not yet possible to assess the impacts of the transfer. Although all the selected case studies had received a final decision, not all of the assets had been officially transferred. Only two transferred assets were in use and running services during the evaluation. To address this, we identified a larger sample of community transfer bodies to participate in the research (Table 4).

Table 4 Community transfer bodies (CTBs) – amended sample

CTB code	Relevant authority	Accepted/refused	Asset type	Lease/ ownership	Asset SIMD
CTB 1	Other	Refused	Building	Lease	5
CTB 2	Local Authority	Accepted (Also submitted a PR)	Land	Ownership	6
CTB 3	Local Authority	Accepted	Building	Ownership	2
CTB 4	Local Authority	Accepted	Building	Ownership	2
CTB 5	Other	Accepted	Land	Ownership	6
CTB 6	Local Authority	Accepted	Building	Ownership	2
CTB 7	Local Authority	Accepted	Land	Lease	10
CTB 8	Other	Accepted	Land	Ownership	5

From this sample of community transfer bodies, interviews were carried out with 15 community members directly involved in asset transfer requests. In addition, three participant observations (events/ meetings) were conducted (Table 5).

Table 5 Community transfer body interviewees and meetings/events attended

CTB name	Number of interviewees	Participant observations (meetings/ events attended ⁹)
CTB 1	1	0
CTB 2	5	1
CTB 3	2	0
CTB 4	2	0
CTB 5	1	0
CTB 6	2	1
CTB 7	1	0
CTB 8	1	1
Total	16	3

3.4. Analysis

3.4.1. Analysis – primary data

The interviews were audio-recorded and transcribed verbatim. All interview participants, and their respective relevant authorities/ community transfer bodies, were anonymised. Framework analysis was used to analyse both the interview transcripts and fieldnotes. This method is frequently used in applied policy research and aims to assess the impact of a policy as well as understand the ways in which a policy is implemented¹⁰. Using framework analysis helped the research team to identify connections within the data and answer the research questions.

The thematic framework was informed by the Theory of Change developed by Myers *et al.*'s Evaluability Report (2017). As described at Table 1, the final stage of the evaluation focused on modifying and adding further details to create a revised Theory of Change based on primary and secondary data. As encouraged within a framework analysis approach, the framework was continually revised and refined to ensure it reflected the themes within the data.

Qualitative data were analysed in NVivo, a qualitative data analysis computer software package, to capture descriptive information surrounding the actions undertaken to support and promote the use of asset transfer requests. Given the non-standardised form of the reports, NVivo was particularly useful in capturing

⁹ During these meetings and events, informal interviews were carried out with attendees and fieldnotes were taken.

¹⁰ Srivastava, A. and Thomson, T. 2009. Framework Analysis: A Qualitative Methodology for Applied Policy Research. *Journal of Administration and Governance*. 72. Framework analysis uses a five stage process (Familiarisation; Identifying a thematic framework; Indexing; Charting; Mapping and interpretation) and involves sifting, charting and sorting gathered data in accordance with key issues and themes.

additional information included in some relevant authority reports (e.g. descriptions of asset transfer request procedures).

3.4.2. Analysis – secondary data

Quantitative data were extracted from the reports and analysed in SPSS, a software package that supports statistical data analysis. The analysis synthesised the number of asset transfer requests that were received and the various asset transfer request outcomes. Relevant authorities were categorised by type (for the full list of relevant authorities and the categorisation see Appendix 1). The data collated and analysed from annual reports submitted in 2017-18 and 2018-19 were also used to identify patterns and trends across the reporting periods.

Further, the Scottish Government Guidance on asset transfer requests (2017) published for relevant authorities was used to assess the content of the report (e.g. in terms of what may be missing in the reports). This enabled consideration of the extent to which this part of the Act is being implemented as intended.

Application forms, business plans and decision notices were analysed to supplement data within the annual reports. Details of the organisation submitting the asset transfer request, the location of the asset being requested and the purpose of the asset were coded in order to build a database of all asset transfer requests submitted across the two reporting periods. Given that the annual reports are publically available documents, these data were not anonymised.

3.5. Ethical considerations

A member of the research team provided all participants with an information sheet detailing the aims and purposes of the research. These sheets made clear that participation was voluntary and participants could withdraw from the study at any stage. Participants were given an opportunity to ask questions about the study before deciding whether to take part. In the case of telephone interviewees, verbal agreement to take part was audio recorded at the beginning of the interview. Face-to-face interviewees signed consent forms. All data has been anonymised with no personal details divulged in research outputs. We approached one community transfer body during the evaluation, seeking permission to present their asset transfer request as a case study. We explained that, outwith the specific case study section of the evaluation, their responses would remain anonymous. The community transfer body provided written consent to present their asset transfer request as a case study.

4. Level of asset transfer request activity

This section presents data on the scope and scale of asset transfer request activities across Scotland between 2017 and 2019, detailing the reported figures and potential trends and common themes relating to asset transfer requests.

4.1. Annual reporting figures

Part 5 of the Act requires that relevant authorities publish annual reports detailing the activity undertaken in relation to asset transfer requests. Although there is no standardised form for reporting, the Act states that annual reports must include:

- Number of asset transfer requests received
- Number of asset transfer requests agreed
- Number of asset transfer requests refused
- Whether agreed asset transfer requests relate to ownership, lease or conferral of rights
- Whether there have been any appeals and/or reviews and the outcomes
- Action taken to promote asset transfer requests and to support communities to make asset transfer requests

In the following sections, we present data on the number of reports received in 2017-2018 and 2018-2019. Data from authorities classed as Scottish Ministers are reported separately from other relevant authority data. The rationale for this separation is provided at Section 4.1.2.

4.1.1. Relevant authorities (excluding Scottish Ministers)

This section reports on annual reporting figures of local authorities, health boards, regional transport partnerships, further education (colleges) and 'other' relevant authorities. Despite their statutory duty, in the periods 2017-2018 and 2018-2019, not all relevant authorities submitted annual reports. In 2017-2018, of the 86 relevant authorities required to publish asset transfer request activities, 55 submitted full reports or informal numeric data to the research team. Thirty-one (31) did not share any data. Therefore, 64% of relevant authorities submitted reports for the period 2017-2018. In 2018-19, of the 86 relevant authorities required to publish asset transfer request activities, 37 submitted full reports or informal numeric data to the research team, 43 did not share any data and six stated that they had no assets and queried their inclusion in the legislation (Table 6). Therefore, annual reports were received from 43% of relevant authorities in 2018-2019. This shows a reduction in the submission of annual reports and suggests that further work is required to ensure that organisations are aware of their duty to report and the importance of doing so.

Table 6 Data submitted by relevant authorities (excluding Scottish Ministers)

	2017-2018			2018-2019		
	Report/ Informal data submitted	RA reports it has no assets	No response from RA	Report/ Informal data submitted	RA reports it has no assets	No response from RA
Totals	55	0	31	37	6 ¹¹	43

The response rates (including formal and informal submissions of asset transfer request data), broken down by relevant authority type, are provided at Table 7. The rate of reporting reduced across the periods for all relevant authority types. Note that five regional transport networks stated that they had no assets in 2018-2019, resulting in a considerable reduction in reporting.

Table 7 Response rate by relevant authority, formal reports and informal submissions

	2017-2018	2018-2019
Local authorities	78%	69%
Health boards	50%	32%
Education	53%	27%
Transport networks	100%	14%
Other	40%	30%
Overall response rate	64%	43%

4.1.2. Relevant authorities – Scottish Ministers

The Act also specifies that land or buildings owned or in the care of Scottish Ministers are subject to the legislation¹². Yet, despite inclusion in the list of relevant authorities, the number of Scottish Ministers submitting annual reports was low across both periods, particularly when compared to other relevant authorities.

¹¹ Five Regional Transport Networks and one Health Board reported that they had no assets.

¹² Although Scottish Ministers are included in the legislation, prior to this evaluation, there was no existing central list of bodies under this heading for the purpose of asset transfer. At the outset of this evaluation, the Scottish Government conducted an exercise to establish the appropriate bodies concerned. During the evaluation, it became apparent that some of these bodies did not own properties in the care of Scottish Ministers. Towards the end of this evaluation, the Scottish Government amended the list of Scottish Ministers to be included in the legislation (this is presented at Appendix 3). It is expected this list will fluctuate as properties in the care of Scottish Ministers change over time. For the purpose of this evaluation, the original list of Scottish Ministers (presented at Appendix 1) is used. Future analysis should use the amended list.

Scottish Ministers data is reported separately from the other relevant authorities in order to highlight the propensity for Scottish Ministers to query their inclusion in Part 5 of the Act and the need for clarification in defining ‘Scottish Ministers’ in relation to asset transfer requests. In 2018-19, there were 62 organisations on the list of Scottish Ministers. Table 8 shows that of these 62 organisations, five submitted full reports, four responded to state that the organisations held no assets and five queried whether or not they were covered by the Act. Forty-eight Scottish Ministers did not respond. These numbers are comparable to 2017-2018, where three Scottish Ministers submitted full reports, four indicated that they held no assets and 55 did not respond.

Table 8 Data submitted by Scottish Ministers

	Annual reports 2017-2018				Annual reports 2018-2019			
	Report	No assets	Not an RA	No response	Report	No assets	Not an RA	No response
Totals	3	4	0	55	5	4	5	48

In the subsequent sections, the numerical data derives from the annual reports and informal submissions collated through the evaluation, submitted by relevant authorities, including Scottish Ministers.

4.2. Number of asset transfer requests received 2017-2019

Table 9 summarises the number of asset transfer requests received, the types of relevant authorities which submitted each request (see Appendix 1 for types of relevant authorities) and the status of the request¹³. For the purpose of comparison, data are shown for both reporting periods.

Given inconsistencies in reporting, identifying exact levels of received asset transfer requests was problematic. The Scottish Government Guidance on asset transfer

¹³ The statuses set out in Table 9 are explained as follows:

- Agreed: The asset transfer request has been agreed by the relevant authority;
- Refused: the asset transfer request has been refused by the relevant authority;
- Transfer: asset transfer requests resulting in the transfer of an asset;
- Appeal: The community transfer body is appealing the decision made by the relevant authority;
- Review: the community transfer body is seeking a review of the decision.

A community transfer body can seek a review or appeal in certain circumstances. These circumstances and full information on reviews and appeals is given under Section 17 in the Scottish Government Guidance on asset transfer requests (2017) for community transfer bodies.

requests (2017) for relevant authorities outlines the procedure that a relevant authority should follow when it receives an asset transfer request. This procedure, which must be followed before a request is validated, details a number of steps for both the relevant authority and community transfer body to complete (see Appendix 2). However, for the period 2017-2018 it was unclear whether transfers had progressed to validation.

Table 9 Number of asset transfer requests across relevant authority types

RA type	Year	ATRs Received		Agreed		Refused		Transfer		Appeal		Review	
		17/18	18/19	17/18	18/19	17/18	18/19	17/18	18/19	17/18	18/19	17/18	18/19
Local authorities		49	64	31	39	3	6	1	8	-	-	1	-
Health boards		2	6	-	-	-	-	-	-	-	-	-	-
Further education (colleges)		-	-	-	-	-	-	-	-	-	-	-	-
Regional transport partnerships		-	-	-	-	-	-	-	-	-	-	-	-
Other		-	5	-	1	-	-	-	1	-	-	-	-
Scottish Ministers		7	6	2	8 ¹⁴	1	-	-	6	-	-	1	-
Totals		58	81	33	48	4	6	1	15	-	-	2	-

In 2018-2019, 81 asset transfer requests were received across all the reporting relevant authorities, which *suggests* an increase in activity since 2017-2018 (n=58). However, due to the low levels of annual reporting about asset transfer requests by relevant authorities, this finding should be treated with caution. In 2018-2019, 48 applications were agreed and six were refused. Two relevant authorities reported that five asset transfer requests had been withdrawn and/or paused. This category was used inconsistently across the reports but is used here to understand the range of outcomes that follow the submission of an asset transfer request.

Further inconsistencies in reporting surround the introduction of a pre-application stage. The Scottish Government Guidance on asset transfer requests (2017) states that, as part of an asset transfer request process, an initial pre-application stage may be beneficial as 'community bodies would then know whether they had support from the relevant authority before undertaking the substantial work to produce a full asset transfer request, or applying for funding' (Scottish Government 2017, p.27). Where

¹⁴ The higher number of accepted asset transfer requests as compared to the number of received asset transfer requests is due to some 2017-2018 applications being accepted in the subsequent period (2018-2019).

relevant, some relevant authorities reported on activity at the pre-application stage. In 2018-2019, 14 relevant authorities stated that they had asset transfer requests at pre-application stage, either in the form of a 'stage 1' application or an 'expression of interest'. As five of these relevant authorities were yet to receive formal applications, a nil return under the headline figures does not mean that there is no interest nor activity related to asset transfer requests within those relevant authorities. Over time, it would be useful to explore the reasons that asset transfer requests do or do not progress from the pre-application stage, in order to understand some of the barriers and enablers of asset transfer requests.

4.2.1. Factors influencing low asset transfer request levels – nature of assets

According to some relevant authorities, a relatively low level of asset transfer request submissions is a result of the nature of their assets: for example, one relevant authority has assets that are mostly nature reserves in rural, isolated areas. The relevant authority considers that these are less attractive to communities when compared to buildings in close proximity to more urban areas. Similarly, a transport relevant authority (RA 7) argued that their assets are either excluded from the legislation (transport infrastructure), in full use, or of little value to community groups. Expanding on this last category, RA 7, which has received no asset transfer requests, states their assets are not necessarily suitable or desirable for asset transfer: they include small pockets of 'insignificant' land or transport turning circles.

"If we were to more widely advertise then it might generate an interest that, with the best will in the world, would just create an expectation that couldn't really be met." (RA 7)

Other stakeholders also noted that the majority of the assets owned by the relevant authority are used regularly and central to service delivery. As a result, it would be unlikely that an asset transfer could be offered:

"Our facilities are, in the main, utilised probably about 80-90% so we don't have excess assets ... we run night classes as well so it's difficult to see where exactly it would all fit in to the bigger side, particularly in the asset transfer." (RA 6)

4.3. Trends in asset transfer request activity

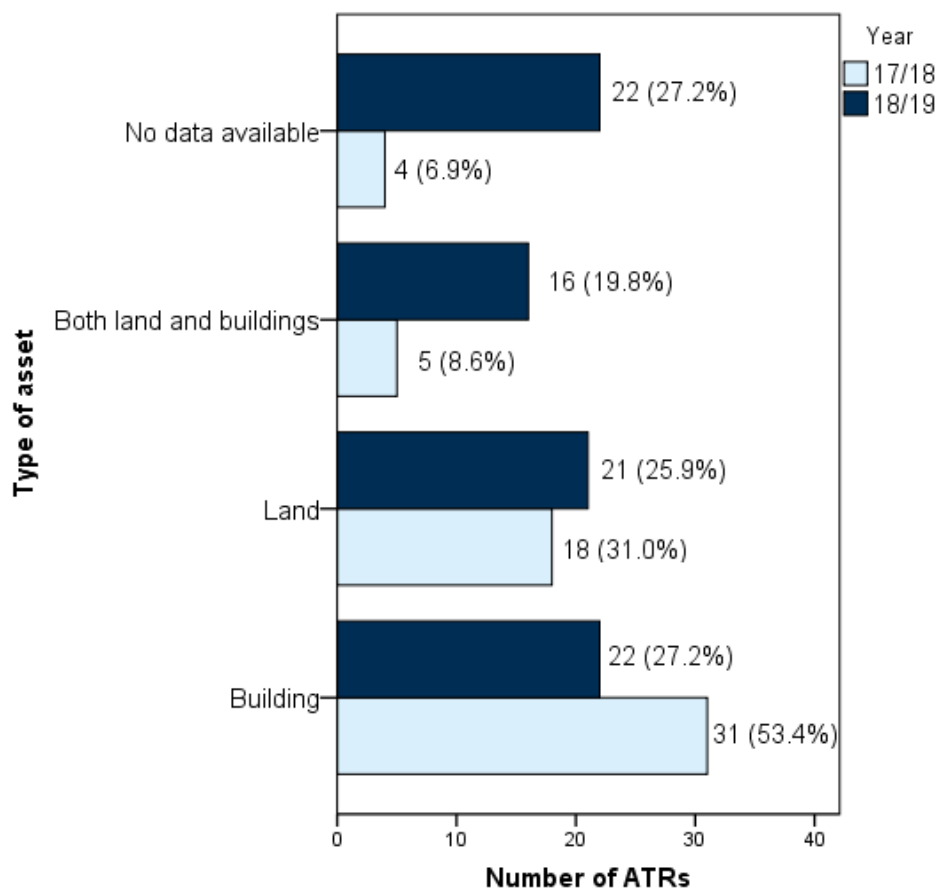
Using the data collected, this section presents some common themes and possible emerging trends in asset transfer request activities in terms of the focus on local authorities; geographical spread; types and the purpose of assets requested.

Local authorities received the highest number of asset transfer requests (n=49 (84%) and n=64 (79%) in 2017-2018 and 2018-2019, respectively) (Table 9). Across both reporting periods, no applications were received by colleges or transport networks. Six applications were made to health boards and five to relevant authorities

categorised as 'other'. The significantly high numbers of asset transfer requests submitted to local authorities, in comparison with other relevant authorities, may suggest a need to raise awareness that public bodies other than local authorities -- including health boards and transport networks -- are also included within the asset transfer request legislation. This is an area that may require further exploration to understand asset transfer request trends in more detail.

Figure 2 shows that in the period 2017-2018, 31 requests were made for buildings (representing 53.4% of all requests in 2017-2018), compared to 22 (or 27.2%) in 2018-19. The number of requests for both land and buildings was 16 in 2018-2019 compared to 6 in 2017-18. Twenty-six requested assets (four in 2017-2018 and 22 in 2018-2019) were not categorised and are labelled as 'no data available'.

Figure 2 Type of asset requested

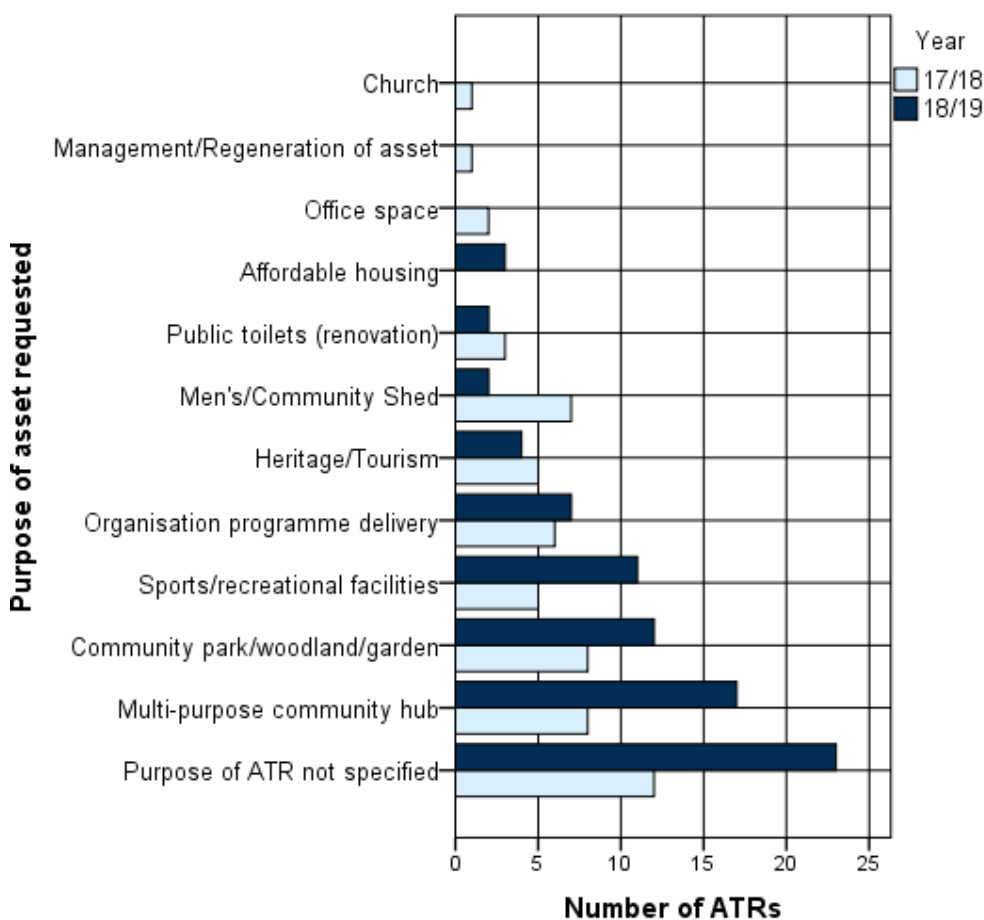


Asset transfer requests were submitted by community groups to fulfil a range of intended purposes. The evaluation team developed a categorisation of the asset transfer requests according to their proposed purposes (Figure 3). In the period of 2017-2018, higher numbers of applications were made for assets for the purpose of community hubs (n=8), community parks/woodlands (n=8), and men's/ community sheds (n=7). From the available data, in the period of 2018-2019, a high number of applications for assets for the purpose of running community hubs (n=17), community parks/woodlands/gardens (n=12) and sports/recreational facilities (n=11)

were submitted. There has been consistent interest in assets for these purposes across both periods.

Other purposes include renovation of public toilets (n=2, in both periods), heritage/tourism (n=5 in 2017-2018 and n=4 in 2018-2019) and organisational programme delivery (n=6 in 2017-2018 and n=7 in 2018-2019). A new purpose which emerged in the 2018-2019 reports is affordable housing (n=3). Figure 3 also shows that the purpose of 35 assets (n=12 in 2017-2018 and n=23 in 2018-2019) was not provided; they are labelled as ‘purpose of asset transfer request not specified’.

Figure 3 Purpose of asset requested



The data presented here includes only the primary purpose of the asset, which provides a good overview of activity but does not show the full extent of how the assets are being or will be used. For example, a secondary purpose for many of the proposed community hubs was reported as an office space for the community transfer body. Another example of assets having multiple purposes relates to applications for the renovation of toilets: some included additional tourist facilities for campers. The applications for assets to help support organisational programme delivery included the extension of childcare services, social care facilities and

environmental projects. Two asset transfer requests under 'sports/ recreational facilities' also intended to provide employability training programmes as part of the renovation and development of the buildings, while another asset transfer request intended to generate disparate benefits for three different groups of people. These examples show that there are a wide range of supplementary purposes beyond those illustrated at Figure 3, indicating real potential for asset transfers to have a positive impact on community access to services.

4.4. Geographical spread of asset transfer requests

The postcodes of assets listed in annual reports (2017-2018 and 2018-2019) were collated, including assets which were either accepted, refused, had no decision or withdrawn. These were mapped to explore the geographical spread of asset transfer request submissions. While there is a concentration of asset transfer requests in central Scotland, submissions were fairly wide spread (Figure 4). The light blue pinpoints denote assets listed in reporting period 2017-2018 and the darker blue pinpoints denote assets listed in reporting period 2018-2019. The postcodes of assets that have been *accepted* for transfer are mapped in Figure 5. The light blue pinpoints denote assets accepted for transfer in reporting period 2017-2018 and the darker blue pinpoints denote assets accepted for transfer in reporting period 2018-2019.

Figure 4 Assets requested for transfer by postcode, 2017-2019

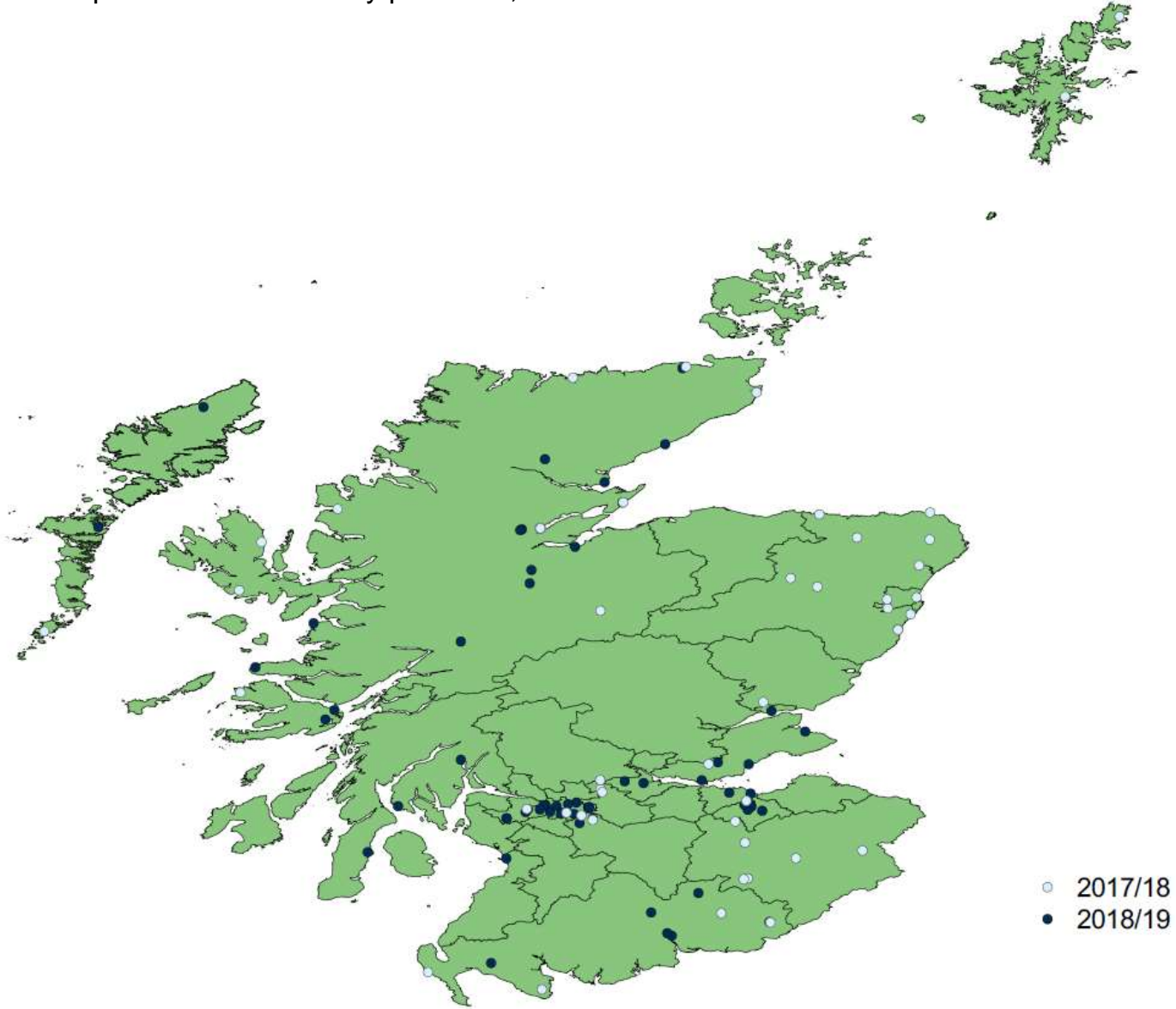
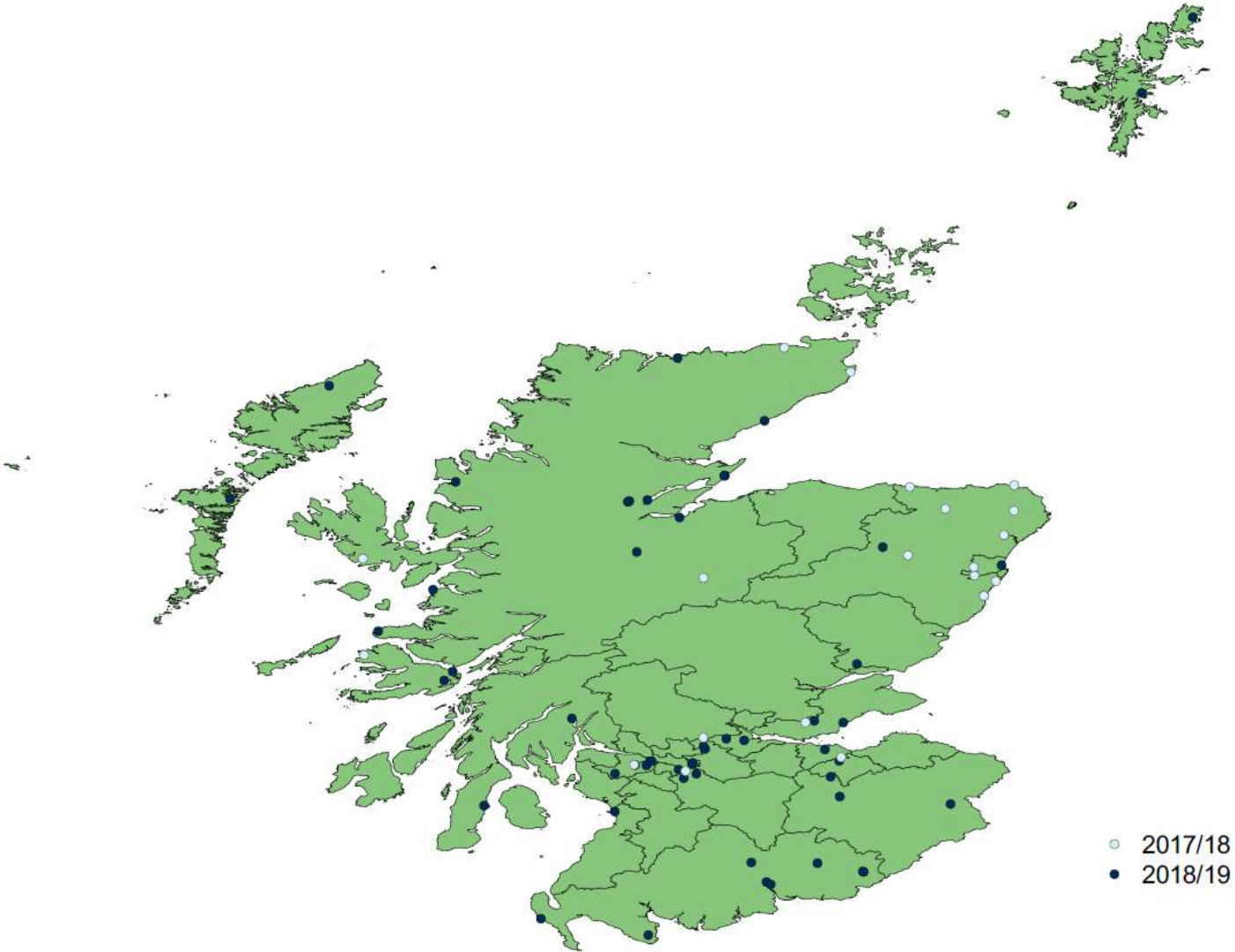


Figure 5 Assets accepted for transfer by postcode, 2017-2019



4.5. Scottish Index of Multiple Deprivation and asset transfer requests

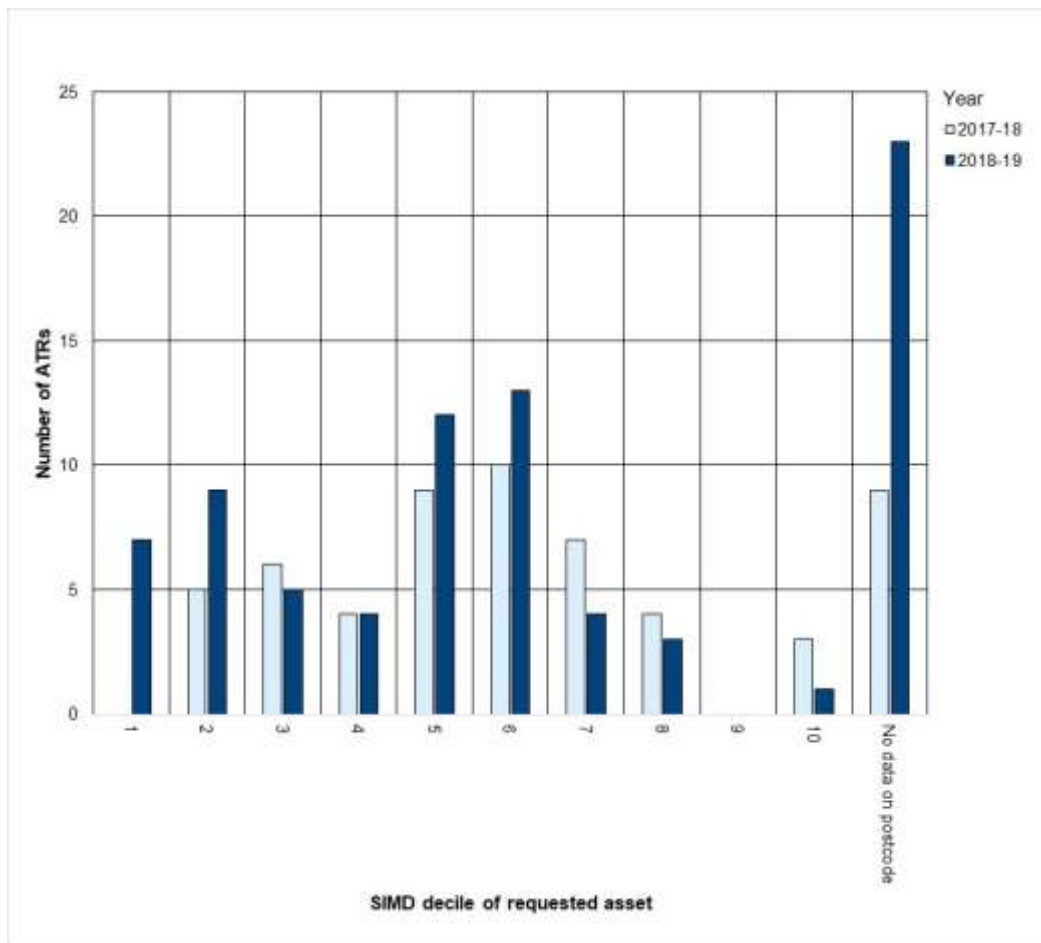
SIMD is a relative measure of deprivation across Scotland. It can be used by organisations to target areas where they may have the biggest impact in terms of addressing specific inequalities. By drawing on available data from the annual reports and asset transfer request decision notices, it was possible to identify the postcode of the asset transfer requests in order to map them onto Scottish Index of Multiple Deprivation (SIMD) data. SIMD uses data related to employment, health, education, housing, access and crime to rank small geographical areas from most to least deprived. Whilst limitations surround SIMD¹⁵, it does provide an indication of deprivation levels in areas where asset transfer requests are being applied. In turn, this may help better understand the potential for impacts on inequalities. Figure 6 displays the number of assets requested in each SIMD decile, with the most deprived areas being decile 1 and the least deprived being decile 10¹⁶.

While the limited data makes it difficult to identify a clear pattern, available data suggests a spread of requests across areas of differing SIMD level. The numbers of asset transfer requests were significantly higher in the three most deprived deciles than in the three least deprived deciles. Given that requests are being made to transfer assets in relatively deprived areas, this indicates a potential for a positive impact on the local services available in more deprived communities. Future evaluations, considered over longer periods with a more comprehensive set of data, may consider this further.

¹⁵ <https://www.isdscotland.org/Products-and-Services/GPD-Support/Deprivation/SIMD/>

¹⁶ The deciles range from 1 (10% *most* deprived areas) to 10 (10% *least* deprived).

Figure 6 Number of asset transfer requests by SIMD of asset location



5. Implementation of asset transfer requests

This section focuses on the implementation of asset transfer requests, considering whether, how and to what extent Part 5 of the Act is being implemented as intended in the legislation and guidance. Specifically, this section considers progress made by relevant authorities since the introduction of Part 5 of the Act and reports on the challenges of implementation. Finally, it identifies actions taken to promote awareness and provide support, particularly to disadvantaged groups.

5.1. Processes and challenges within relevant authorities

All relevant authorities within the sample were employing guidance documents and legislation to support the design of the asset transfer request process. Some relevant authorities had existing processes in place to transfer assets to communities developed prior to the introduction of the Act and were working to incorporate the new legislation to ensure compliance. Other relevant authorities had no existing processes in place and were working to introduce new procedures in-line with the legislation. In some cases, developed processes and procedures, including assessment templates and matrices, were tested on early asset transfer requests and, where necessary, steps had been taken to review the processes developed.

One of the challenges highlighted by relevant authority stakeholders was the lack of sufficient resources to support and raise awareness of the Act. The reasons for this varied across different types of organisations. Some relevant authority stakeholders, for example, suggested that resource allocations should relate to the core purpose of the organisation: when considering asset transfer requests, an educational relevant authority sought to prioritise delivery of community-based education, for instance.

Conversely, a representative from a national asset transfer support organisation highlighted that despite reduced resources, a number of relevant authorities have committed to supporting asset transfer requests. At the same time, other relevant authorities, facing the reduction of community learning and development (CLD) teams, indicated that limited resources constrain opportunities to work closely with communities on initiatives such as asset transfer requests.

“The level of service across support services for community groups across the country is mixed. So, in some areas it’s been quite extensive support. So, in [relevant authority] for example they pulled together a team from across the [relevant authority]. That was before the Community Empowerment Act and that team continues to support community groups. [There are] other areas where there is very little support on the ground. Some of the local authorities have retained their community learning and development teams. Others are just a shadow of their former selves.” (Key Stakeholder)

It is possible that an outcome of relevant authorities being overstretched, with fewer opportunities to engage with communities, explains interviewee comments surrounding how well relevant authorities understand the Act.

“We were the ones that were telling the council how the Act operated. We had to bring to their attention that there was a process it was laying down. If we just worked our way through the process, everything would be alright. So, they didn’t even know... the officials’ ignorance of the Act was unbelievable. They were just making things up or omitting.” (CTB 2)

Another challenge associated with the implementation of Part 5 of the Act was reflected in misunderstandings about the purpose of asset transfer requests. Relevant authority stakeholders highlighted that, among some community groups, asset transfer requests were perceived as means through which organisations can buy assets at a low cost:

“The other misconception that’s out there is that it’s a free property giveaway.” (RA 3)

“There’s this perception that asset transfer is a cheap way to buy assets.” (RA 9)

“It shouldn’t be a case of everybody just gets everything for one pound... everybody thinks they should get it for one pound.” (RA 4)

This perception – that asset transfer request is a route through which to gain free or ‘cheap’ assets – represented a challenge for some relevant authorities as they sought to alter the perception of asset transfer requests amongst relevant stakeholders. However, this was not the case across the entire sample: two interviewees stated that, in practice, there was no evidence of this happening:

“I’m not being overrun by folk thinking, ‘here’s a way to get an asset on the cheap’, so I’m heartened by that.” (RA 1)

5.2. Developing assessment processes

The asset transfer request process requires a two stage decision-making process: firstly, the decision to accept or refuse an asset transfer request and, secondly, a decision about what level of discount should be offered to a community in order to purchase the asset (i.e. ‘best value’). Learning between relevant authorities was a key part of implementing asset transfer request policy; while one relevant authority relied on independent surveyors to provide an asset valuation, several of the

stakeholders had made use of a scoring matrix developed by Forestry Enterprise¹⁷ which aided certain aspects of decision-making. Specifically, the matrix had provided relevant authorities with a transparent process for assessing whether to accept or refuse an asset transfer request. However, relevant authorities said that they found basing decisions on 'best value' considerations to be a far more complex process. The Scottish Government Guidance on asset transfer requests (2017)¹⁸ was considered moderately helpful and referenced throughout discussions with relevant authority stakeholders. Nevertheless, relevant authorities felt that greater clarity on aspects of best value assessment is required:

“There’s some bits of it when it [the Scottish Government Guidance on asset transfer requests] gets into best value and financial considerations. It’s quite complicated and quite confused, and I found it quite difficult to take all that advice and guidance and actually come up with, ‘okay, how do you do it in practice’, because ... it talks around the issues but it doesn’t really give you anything to work on and that’s where I’ve definitely benefited from the structure put in place for asset transfer in Forest Enterprise.” (RA 9)

Although the guidelines for best value as outlined in the Scottish Government Guidance on asset transfer requests (2017) were the basis for the scoring matrices used by all relevant authorities, respondents felt that more specific examples would assist relevant authorities in the decision-making process. Given their experience and high level of engagement with asset transfer requests, Forestry Enterprise participated in a Community Ownership Support Service (COSS) event which was thereafter cited by a number of relevant authority stakeholders when developing their own decision-making processes. Some relevant authorities within the sample have taken a different approach from Forestry Enterprise¹⁹.

One particular difficulty highlighted by all the relevant authorities in the sample was the complexity of the best value assessment and the need to quantify community benefits in order to decide the level of discount offered to community transfer bodies. For example, one relevant authority noted the longer-term impacts that asset transfer request might deliver and how that might be calculated in the short term:

“I’ve got an asset value, let’s say it’s £50,000 for this asset, they want it for £1...so I need to see what the benefits are and I need to try and score that in some mechanism, and it’s difficult. That is the most difficult part. It’s how do you score health and wellbeing? Some say, ‘No, but it’ll be good for the

¹⁷ Forestry Enterprise Scoring Matrix available: <https://scotland.forestry.gov.uk/images/corporate/pdf/cats-evaluation-panel-assessment-may-2017.pdf>

¹⁸ Scottish Government. 2017. Asset Transfer under the Community Empowerment (Scotland) Act: Guidance for Relevant Authorities. Available at: <https://www.gov.scot/publications/asset-transfer-under-community-empowerment-scotland-act-2015-guidance-relevant-9781786527493/>

¹⁹ Alternative matrix: https://www.highland.gov.uk/downloads/file/19462/community_asset_transfer_assessment_framework

community because they're offering a healthy option', or something like that, a 'healthier option'. Okay, but how do I score that? Is it a case of life expectancy is going to increase in [name of community] because of what these guys are doing? When am I going to find that out? I'm not going to find that out now. I'm going to find... I might find that out in 20 or 30 years... so it's difficult for me to score that.” (RA 4)

Indeed, among the relevant authority participants, there was recognition that best value is not ‘necessarily financial’; rather, it must take into account added value and long-term benefits ‘for everybody’ (RA 3). One relevant authority, RA 10, used the best value assessment as a mechanism through which communities are encouraged to consider the ways in which their asset transfer request might seek to address inequalities. In assessing the level of a discount offered, RA 10 highlighted ways in which an asset transfer request could offer an opportunity to deliver services to marginalised or deprived communities:

“If communities want a discount, it's like [they should] demonstrate social benefit... So, for example, with [Community A] they're saying 'people with mental health benefits using the woodland is a good thing'. Yes, it is, but there's lots of woodlands around there and people would use that woodland anyway. If you were working with a mental health project in [Community B (relatively more deprived)] with a specific programme of getting people out that wouldn't otherwise get out into the forest, that's the sort of thing you would look at a discount for. So, I do literally make that point and that is where Best Value comes in, in terms of tackling inequality... but, yes, I don't feel too bad about not giving [Community A] a great big discount because this is a nice project but you are not addressing social injustice here.” (RA 10)

5.3. Promoting awareness and providing support for asset transfer requests

The Scottish Government Guidance on asset transfer requests (2017) provided to relevant authorities states that it should be ‘easy for community bodies to get information about the scheme and that all relevant officers are aware of it and can direct enquiries to the appropriate team’ (Scottish Government, 2017, p.25). Relevant authorities have done this through a variety of means, discussed in this section.

All relevant authorities in the sample were taking steps to promote awareness of asset transfer requests. Information pertaining to promotion and support activities was included in the reports submitted by relevant authorities for the period 2017-2018 and 2018-2019 (Table 10). Note that the data presented here is based only on the annual reports submitted by relevant authorities (submission rates presented at Sections 4.1.1 and 4.1.2).

Table 10 Promotion activities reported by relevant authorities

Promotion activity	Number of relevant authorities reporting activity	
	2017-2018	2018-2019
Website	18	19
Publication of asset register	13	8
First point of contact for asset transfer requests	15	7
Internal training for RA staff	0	3
External information events	20	2
External training for public/stakeholders	0	2
Internal information events	10	0

Online information appears to be the most common form of promotion and support. Relevant authority websites included links to Scottish Government Guidance on asset transfer requests (2017), procedures and policies specific to the relevant authority and links to information offered by COSS. In addition, many websites provide information on already completed asset transfer requests. Across both periods, the publication of asset registers was commonly adopted to promote asset transfer requests. In 2017-2018, 13 relevant authorities published asset registers. In 2018-2019, only eight relevant authorities stated that they had published an asset register. However, from viewing websites, it is evident that this number is much higher than reported. Examples of external information sessions included co-hosted events with third sector agencies and events as part of Community Land Scotland Week. Examples of internal information sessions included sharing best practice within teams and across relevant authorities and regular meetings for feedback and learning on asset transfer request processes.

Other forms of support within the Scottish Government Guidance on asset transfer requests (2017) (e.g. the provision of 'sales packs'²⁰, sharing the cost of producing or commissioning new information, facilitating access to the site) were not reported by relevant authorities as being adopted to promote or raise awareness of asset transfer requests. Alongside specific information and awareness raising, five relevant authorities stated that they had held either internal *or* external training events. Examples included an e-learning module for citizens; organised training with relevant support agencies e.g. COSS; and relevant authority stakeholders' attendance at externally organised training events.

In 2018-2019, five relevant authorities submitted reports that included details of consultations and reviews undertaken or planned in relation to asset transfer request

²⁰ A sales pack may be provided by relevant authorities and contain information on properties to be disposed (for example, rateable value, size, planning restrictions, tenancy or occupancy agreements, asbestos reports etc.). See 7.31 in the Scottish Government Guidance on asset transfer requests (2017) for further information.

policies and processes. These included a survey of the organisations that have submitted asset transfer requests and stakeholder consultation events. A further example of how one relevant authority in the sample has committed to supporting asset transfer requests is the establishment of a Community Empowerment Fund. The purpose of the fund is 'to support the development of community organisations and build their capacity to undertake potential asset transfers'. The fund can be used to support the development of business plans for assets; develop the capacity of community organisations to manage and develop assets; and provide upfront investment in assets prior to or after transfer²¹.

5.4. Equalities and disadvantaged groups

One of the key objectives of the Act is to increase the participation of marginalised and disadvantaged groups. In their evaluability assessment, Myers *et al.* (2017) conclude that, if additional support is not provided to disadvantaged communities, asset transfer requests have the potential to exacerbate inequalities because more-advantaged communities will be better placed to utilise the provisions within the Act. As such, the Scottish Government is interested to explore the effect of asset transfer requests on inequalities. In order to do this the research team has looked at what the data can tell us about the pattern of take up and use of asset transfer requests among different community groups, and the resulting potential impacts on local inequalities.

Within the relevant authority annual reports, there were no references to inequalities in relevant authorities' approaches to promotion and support of asset transfer requests. However, this does not mean that no specific work is being carried out in relation to supporting marginalised communities to submit asset transfer requests. In line with the Scottish Government Guidance on asset transfer requests (2017), some reports made reference to the asset transfer request assessment criteria which include consideration of whether the request is likely to reduce inequalities of outcome.

The mapping of asset transfer requests against SIMD deciles set out in Section 4.5 indicates that asset transfer requests are being made across all SIMD deciles, and that they are being used more frequently by groups in the highest deprivation deciles than in the lowest deprivation deciles. While this does not tell us about inequalities of outcome, it does suggest that less-advantaged communities are actively using the provisions in the Act, and that asset transfer activity is not being concentrated in areas of higher advantage.

²¹ Adapted from online information forms on the local authority website: <http://www.renfrewshire.gov.uk/article/7544/About-the-Community-Empowerment-Fund>

6. Intermediate outcomes of asset transfer requests

This section explores the intermediate outcomes associated with the implementation of Part 5 of the Act. The outcomes identified within the Theory of Change by Myers *et al.*'s (2017) are 'increased community ownership', 'control and use of relevant authority assets'; and 'culture change within relevant authorities'. In addition to these outcomes, our evaluation identified further intermediate outcomes that might be associated with asset transfer requests: *increased obligations of community transfer bodies* and *community cohesion and capacity building*.

6.1. Increased community ownership, control and use

A key aim of the Act is to empower community bodies through the ownership or control of assets. In line with this aim, Part 5 of the Act enables communities to identify relevant authority assets and apply to own, control or use such assets to benefit the community. There is an expectation that community ownership, control or use of assets '*will support communities to drive change and achieve their own goals, lead to better services matched to local needs*'. These, in turn, should lead to better outcomes for communities (Myers *et al.*, 2017, p.23). The interview data gathered during this evaluation demonstrated evidence that supports these expectations.

6.1.1. Driving change, achieving goals

Some interviewees highlighted that asset transfer requests have allowed community transfer bodies to develop a degree of autonomy within their community – they are able to set goals, based on community needs, and take steps to achieve these independent of the local authority. Where they would previously approach relevant authorities ("*rather than having to keep going to the council: 'Can we do this, can we do that, can we do the other?'"*" (CTB 4)), they no longer require the involvement of relevant authorities in setting and pursuing goals within their communities. Relatedly, some community transfer bodies felt that, when compared with relevant authorities, they are better placed to drive change and achieve goals.

"Putting assets in the community hands unlocks things that would take statutory bodies a very, very long time to get around to, if ever." (CTB 5)

"The clear, actually transformational thing for them is that a community has got an asset now. It's got a place the community can go that's theirs that they can do what they want." (RA 10)

Many community transfer bodies commented on local authorities being unable to take action to drive change within communities due to being under-resourced (previously raised at Section 5.1).

"[Local authority] are washing their hands of it, but I understand why they're washing their hands of things. They have no money." (CTB 3)

"What are we getting from this? It's going to be your building, you're going to be able to do what you want and nobody's going to interfere. That's what we're talking about, rather than having to keep going to the council. The council is not bothering because they haven't got the time or money to even think about it." (CTB 4)

Interviewees commented on the potential for community transfer bodies to achieve their goals in a timelier fashion, when compared to the slower speed at which relevant authorities are able to do things. Enabling wider democracy among community stakeholders through transferred assets helps to drive change and achieve goals that the community value:

"It gives people a bit of democracy. If you own something and... [my aim is to give the community] their own sense of pride and democracy." (CTB 6)

6.1.2. Intention to deliver better services for local needs

According to the perspectives of community transfer bodies, community groups are well placed to identify local needs and design and deliver services to address these needs. Asset transfer requests are a mechanism through which communities can achieve this.

"Sometimes you have to take things into your own hands and try and get on with it and if there's a challenge ... you need to go to [relevant authority] and say, 'Look, you're not doing your job here, can we do it? Can you give us something towards it?', even if it's on a service level agreement or we come to an agreement with them that we'll do it and they don't interfere with us." (CTB 3)

CTB 5 from a relatively remote region discussed conflicting council-wide and community priorities. They highlighted the relative insignificance of an issue affecting a smaller community to the wider population. For this community transfer body, the transfer of an asset has allowed them to develop a local solution 'to actually make a difference'.

"Communities being able to actually make a difference there, to effectively do things that you would have expected or hoped the statutory body might, makes a real difference... [relevant authority] priorities are based on where the need is, and [our] need on paper is tiny, so that is always going to be difficult to unlock." (CTB 5)

According to RA 4, community empowerment should, above all else, be 'about services and the delivery of services for the benefit of the community'. A community transfer body in a different area highlighted that their asset transfer had allowed them to offer valuable health services to the local community:

“We are going to be able to offer a whole new service because there’ll be a drop in centre, which there hasn’t been before, and...we’re going to have massage therapy, hopefully again physiotherapy... That’s our aim, is to provide a home, small, warm environment for people with disabilities, and it doesn’t have to be MS or anything, to feel quite welcome and easy to access and feel that it is part and parcel and somewhere they can come to and enjoy and bring the family and not feel isolated... As far as we are aware there is no drop in centre that’s available to anybody.” (CTB 4)

Another community transfer body, CTB 2, highlighted that they are now able to provide services and products that were previously unavailable at the local level (such as mental health services and youth clubs). Through the asset, CTB 2 was also making services accessible to wider groups including the elderly population that could not make use of sport centre facilities due to accessibility issues.

6.2. Relevant authority culture change

Part 5 of the Act gives communities an opportunity to take the initiative to identify assets of interest, and places a duty on relevant authorities to agree an asset transfer request unless there are reasonable grounds for refusal. As a result, Part 5 aims to shift the balance of power towards community bodies: asset transfer requests are a mechanism for changing relationships between relevant authorities and communities. This argument was supported by one relevant authority, who noted:

“The way the Act is written around asset transfer, it’s quite a useful tool in changing that power dynamic between agencies and communities.” (RA 9)

A process of culture change takes time and the introduction of Part 5 of the Act is relatively recent (January 2017). Clear evidence of culture change will only occur over time. There was evidence, however, that relevant authorities were taking steps to create change by challenging internal beliefs and values:

“As much as my job has been about outwardly creating things with communities, it’s been as much about challenging internal beliefs and cultures and values. Initially quite a lot of reaction from staff in other services about, ‘How can we possibly give away this valuable asset?’. So, a bit of hard stick with them by saying, ‘Well, that’s the legislation’, but a bit of more softer persuading type stuff... so, a lot of the persuading would be about trying to get them to see the bigger picture of the outcomes we’re trying to achieve and how transferring assets can help us achieve those outcomes.” (RA 2)

That being said, some relevant authorities and community transfer bodies highlighted that the culture of authorities can be a barrier to effective implementation of asset transfer request legislation. Most of the community transfer bodies indicated that they had experienced difficulties with relevant authorities during the asset

transfer request process. While one community transfer body described the relationship as 'hostile', others highlighted that authorities had been 'obstructive' and viewed asset transfer request inquiries as nuisances.

"I think that their aim all along was 'how can we get rid of this nuisance? This big-bearded-person that comes along and rattles on our cage'... maybe that's being a bit over-defensive. I felt it was a little bit, 'how can we get rid of him?'" (CTB 1)

"It's not easy and you're challenging a structure who does not want to change, who has a fear of losing jobs, of losing their roles." (CTB 2)

"I'm not knocking the council but, at times, they can be so obstructive." (CTB 6)

Another relevant authority indicated that communities are also adjusting to shifting power relations ("It's almost like, 'why would you give us that? Why would you help us?'" (RA 1)); they note that the asset transfer request process has generated 'a lot' of suspicion from one community member, in particular:

"[A member of the community]'s just clearly very suspicious about the council ... I'm pushing saying, 'look, this is the process. Basically, the expectation is a) we will help you and b) we will approve this. If you tick the boxes, if you can give us a business plan that shows you will be able to manage this asset properly, then it's yours. We're not going to suddenly say 'no' and we're not going to delay you for five years to do all that'. It's just funny to see that mind-set: council – bad, which is definitely there... They can be cynical at times about the council, in particular, but I do see that voluntary development and folk suddenly realising that they can do things but it is early days." (RA 1)

6.3. Increased obligations of community transfer bodies

This section explores evidence of an additional outcome of asset transfer requests which has emerged from this evaluation: that community transfer bodies experience an increase in obligation and responsibility.

Some community transfer bodies with successful asset transfer requests reported that ownership had brought with it a new accountability and a transfer of responsibility – from relevant authority to community transfer body. Indeed, two community transfer bodies felt a new pressure and responsibility to maintain the asset.

"If we didn't own it then we wouldn't be as involved in caring about it." (CTB 7)

"It's the community's responsibility, and if you give the community responsibility for something then the community will look after it ... if it's

somebody else's, you can say, 'Well, it's nothing to do with us, it's theirs'. This tended to be, I would say, the problem initially with our building. Well, we're not going to spend this money on it when it's going to go back to the council, whereas if it's your building, your community's building, then you will look after it and people will use it because if not they lose it.' (CTB 4)

For these community transfer bodies, caring for and maintaining the assets were in the community's interest and in line with their goals. Some interviewees questioned whether and to what extent the responsibilities that community transfer bodies assume when they take over ownership of an asset could become a burden over time. This is considered further in Section 7.1.3.

"Think about where you're going to be five years down the line, ten years down the line. Is there a whole load of people that are going to be doing it or is it just one or two movers and when they fall out with the committee the thing falls into disarray? And then, what happens to the asset at that point?" (RA 3)

"They'll be all excited about getting something and then realise what it actually takes to own an asset in the long term and the amount of commitment. So I'd say that the support around it is crucial as well, so it needs to integrate with other schemes, with things like the Scottish Land Fund where they've got much more experience in helping communities acquiring their own assets and there's a lot of guidance and help available there. So the legislation in that transfer process is an essential part but there's a much bigger picture as well, and communities still need support in that." (CTB 5)

The limited detail surrounding transferred assets and community transfer body project failure/winding up is provided at Sections 14.5 and 14.6 in the Scottish Government Guidance on asset transfer requests (2017) for relevant authorities.

Given that this research was conducted soon after the enactment of Part 5 in January 2017, considering longer-term processes such as community transfer body project failure/winding up was beyond the scope of the evaluation. Future research could explore whether and how these issues affect asset transfer projects after they have been in place over a longer time period.

6.4. Community cohesion and capacity building

Beyond the ownership of an asset and the longer-term benefits that it may bring, a further potential outcome of Part 5 of the Act that was identified through this research relates to asset transfer requests supporting the stability and sustainability of community bodies, with respondents suggesting that asset transfer requests can help to create a stronger sense of community identity, cohesion and involvement. Indeed, some community transfer bodies and key stakeholders identified the asset

transfer request process as potentially 'transformational' for a small community – both in terms of building cohesion and capacity building.

“It brings a community together and it creates networks and knowledge just simply by them going through the process.” (RA 2)

“What [the asset] will do is it will bring the community together more and that was the whole reason of doing it...Community spirit, the cohesion, that’s what it’s all about... Bringing people together, different groups together. Having partnerships with colleges, schools, things like that, so that... we’re all integrated as opposed to being divided.” (CTB 6)

“My advice to any other community is that it is something to help build your community around. It gives you a focus, particularly if you’ve nothing else to start with... You do need something tangible that people can actually get a grip of. You can’t just talk about aspirations. You really need something people can muster around and that’s what we’ve found with the community woodland. We’re beginning to get that community coming together around that and hopefully we will continue to build that.” (CTB 8)

By engaging with the asset transfer request process, ‘a sense of community is developing’ for the members of CTB 7 as they worked with key stakeholders including the local primary school (including the faculty, parents, and pupils), the police, development trust, community members and private sector. For CTB 7, the participatory nature of the process had enabled a stronger sense of community, cohesion and involvement – an underlying rationale behind the Act. They noted that, through a process of participation and engagement, ‘there’s just been an awful lot more chat about what’s possible and being aware of each other and supporting each other.’

“[Putting the application form together has] brought us together... I’ve got to know my neighbours. I mean, it’s a disgrace for my husband and I to have been here... since ’75 and I didn’t know these people properly, and I’ve had one or two very good friends as neighbours, but now I know nearly everybody here ... it’s lovely.” (CTB 7)

Finally, in terms of capacity building, some community transfer bodies noted that the process of submitting asset transfer requests and working collaboratively with community members and organisations may build the capacity of communities.

“It’s just opened my eyes and I’m lucky enough to have had the time to do it and be bothered with it, and I’ve learned... any time you learn anything from anybody else, you can bring it back to your own group, and they’ve said, ‘We’ll come and talk to you about how you can do this’. So, there’s been a lot of spin offs from different communities.” (CTB 7)

RA 2 noted that managing transferred assets can make communities better able to assume responsibility for additional services over time. RA 2 notes that increasing communities’ capacities to make the most of transferred assets may depend on the

provision of support services to community transfer bodies to help them to see develop the potential of the assets.

“The support isn’t there to enable them to see that as something they can build around. So, if you take over a toilet now, three or four years from now they could maybe be running traffic facilities, roundabouts, or whatever.” (RA 2)

Capacity building is further discussed under ‘Activities’ in Section 9.

7. Longer-term outcomes of asset transfer requests

This section considers the potential for asset transfer requests to deliver longer-term outcomes, exploring whether asset transfer requests may enable increased community empowerment, deliver improved access to services and, finally, contribute to a reduction in local inequalities.

7.1. Potential for increased community empowerment

According to the Theory of Change proposed by Myers *et al.*'s (2017, p.28), 'by providing communities with a right to request the transfer of a relevant authorities' assets to achieve the outcomes of importance to them, asset transfer requests are a potential mechanism for shifting the balance of power toward communities'. Given that the implementation of Part 5 of the Act is relatively recent, it is too early to provide conclusive findings about how asset transfer requests contribute to long-term change outcomes. Nevertheless, in this section we present early evidence pertaining to the *potential* contribution of asset transfer requests to the capacity of communities to influence decisions that matter to them, identifying indications of community empowerment and presenting a wider discussion on perspectives of empowerment.

7.1.1. Perspectives on community empowerment

According to the Scottish Government, when communities feel empowered, there is:

- greater participation in local democracy
- increased confidence and skills among local people
- more people volunteering in their communities
- greater satisfaction with quality of life in the neighbourhood²²

During the interviews, community transfer bodies and relevant authorities were asked to define what 'community empowerment' meant from their perspective or experience. Their responses were quite diverse, ranging from community cohesion to capacity development and capacity (Table 11).

²² Indications of community empowerment: <https://www.gov.scot/policies/community-empowerment/>

Table 11 Defining empowerment – perspectives from the sample

Definition	Indicative quotes
Gaining/ assuming responsibility	<ul style="list-style-type: none"> • ‘Normally a [asset] gets given to you and I think that’s why it fell out of... people didn’t care that it wasn’t being mowed until we were going to lose it, and then you do care. It’s only after you don’t have something that you realise, ‘my goodness, we should have been more...’, and in coming together it’s been empowering the community in the sense of support really.’ (CTB 7)
Community cohesion, belonging	<ul style="list-style-type: none"> • ‘A lady came up [to community event] with her husband in a wheelchair and she said this was the first time she’d met any of her neighbours here, and that must be a sign of a positive empowerment. I just think the fact that we want to have community events together.’ (CTB 7) • ‘Community spirit, the cohesion, that’s what it’s all about.’ (CTB 6)
Being able to hold others to account	<ul style="list-style-type: none"> • ‘It’s about questioning and holding to account organisations that are saying they’re doing things and they’re not. So, we want that money spent in [community]. We want those services provided and we’re not going to go and seek other money to do it. What we’re going to do is make sure you do it because that’s part of the empowerment thing. So, in [community], it’s pretty clear that the community empowers itself.’ (CTB 2)
Delivering services matched to local needs	<ul style="list-style-type: none"> • ‘[It is] about services and the delivery of services for the benefit of the community’ (RA 4)
Local democracy	<ul style="list-style-type: none"> • ‘It gives people a bit of democracy if you own something’ (CTB 6)
‘Having the right to...’	<ul style="list-style-type: none"> • ‘Community empowerment is about civil rights and it’s about the rights to a decent environment, a right to decide what’s going to happen in your own place and that kind of stuff.’ (CTB 2)
Ownership	<ul style="list-style-type: none"> • ‘It means that we’ve got ownership of something that’s ours. We can go for anything. Community empowerment means you can go along there and stick something into the Police Station along the road there if I wanted to, but it means empowerment for our community which means it’s ownership for us. We’re not determined by the council then, it’s ours.’ (CTB 6)
Participation	<ul style="list-style-type: none"> • ‘You’d be looking to see an improvement in community participation... People getting more involved.’ (RA 9)
Confidence and ability to act	<ul style="list-style-type: none"> • ‘Community confidence, taking on bigger, more ambitious projects, feeling that they’ve got the abilities to take on different activities, projects, etc.’ (RA 9)

A shift in power	<ul style="list-style-type: none"> • ‘It’s also quite empowering that the ball is kind of in the community’s court to make a case that their use of the asset will deliver greater outcomes than the continued ownership of the public sector.’ (RA 9)
Strength	<ul style="list-style-type: none"> • ‘It is the strengthening of those organisations and I suppose only time will tell with this one but I do think through the process that a football club will suddenly realise that they can be a prominent voluntary sector body.’ (RA 1)
Capacity development	<ul style="list-style-type: none"> • ‘Some of our asset transfer requests come from communities that work with us... and they’ve built capacity and they’ve just got to a point where... that’s what empowerment is about, really. It’s about communities having the structures in place to be able to take on that.’ (RA 10)

Clearly, while descriptions were wide ranging, there is overlap – between Scottish Government, community transfer bodies and relevant authorities – in defining what community empowerment entails. RAs 3 and 8 struggled to define community empowerment, despite their support for the Act, while two relevant authorities (RAs 5 and 9) highlighted that what empowerment actually means differs between communities they serve – i.e. some communities are more or less empowered than others:

“It will vary from one community to another and there’s a danger actually that the sorts of communities that do come and approach us and maybe other organisations are already fairly well empowered. They’ve got the skills to actually take through quite a major piece of work to develop a business case, business plan, business model to implement all the work that they said that they’re going to do to understand what can and should be done on a particular piece of land and to be able to manage it. I think most of them would be reasonably empowered already.” (RA 5)

“There is a certain strata of society, it is quite visible in [area] because a lot of quite early retired, affluent people retire to [area]... So, you can get towns and villages where people have come in and (they) will get themselves on every committee and every organisation and make sure that resources and attention are focused on their agenda.” (RA 9)

RA 9 noted that the empowerment of one community can impact upon the empowerment of others, particularly if resources and attention are focused on the agendas of those frequently involved, for example ‘early retired, affluent people’:

“What you need to do is disempower other communities. In some ways, to reach other parts of the population, so those that are more vulnerable and less well-off and less articulate, I think we’ve reached a realisation that actually we need to sometimes hold back the first group ... I suppose it’s a form of positive discrimination.” (RA 9)

Relatedly, one relevant authority felt that the process of submitting an asset transfer request relies on the community already possessing a certain level of empowerment:

“What has struck me is that across a lot of the community empowerment discussions ... [asset transfer requests] are great but they’re used by the people who are already the most empowered or those communities that already have a very high level of capacity.” (RA 10)

Aspects of community empowerment are discussed further, under Section 7.3, in relation to inequalities.

7.1.2. Asset transfer and community empowerment

The interviewees reported the propensity for community empowerment to be linked to property and ownership: reflecting an understanding among some stakeholders that assets denote empowerment in themselves, rather than being a tool to help achieve other aims.

“Everybody seems to think that community empowerment is about property... [Communities taking control of services], to me, is what community empowerment should be about, is the community taking hold of something and running with it. I don’t think the community are doing that.” (RA 4)

“People shouldn’t get fixated about asset transfers. In many ways it’s a way to achieve something. It’s a means to an end.” (CTB 2)

Some interviewees recognised that assets are ‘springboards’ (CTB 6), ‘vehicles’ (RA 3) or a ‘first step’ (CTB 8) toward increasing community empowerment; assets do not directly equate to empowerment:

“Asset transfer does not deliver community empowerment. You can’t deliver community empowerment through legislations. Legislation is an enabler. It creates the opportunities but community empowerment is very much a journey.” (RA 9)

“[The asset will help us to] achieve what it set out in the action plan, which is aspiration, vision, dreams or people... and keeping the community together and keeping the community spirit going.” (CTB 2)

CTB 2 noted that their asset may restore a quality of life to their community that was lost as a result of poorly run local assets and the undemocratic choices made by authorities over 30 years:

“It wasn’t [this community] that bulldozed their community centre. It wasn’t [this community] that destroyed their shopping centre. It wasn’t [this community] people that contaminated their land. It wasn’t [this community] people that put a civic dump on their doorstep, and it wasn’t [this community] that shut down one of the biggest employers 30 odd years ago. So, when you look back at [this community], they had social clubs,

dances, football teams, they had three churches, they had guilds, they had all sorts of things. Historically [this community] has always been social and always been pretty active in what they do.” (CTB 2)

Other community transfer bodies noted that while they perceive potential in their asset transfer requests to increase community empowerment, they are yet to see real evidence of impact.

“It’s not come to fruition yet, so we need to wait and see. The only people who are probably delighted with the asset transfer right now is me and the committee, but once that’s up and running, then kids can come in and they’ll see it and go, ‘this is great!’. They’re part of that community.” (CTB 6)

That being said, CTB 6 have, through their asset transfer request, seen an increase in people volunteering in their communities – a key indicator of community empowerment, according to the Scottish Government. They were able to rely on community volunteers to renovate their asset.

“What we find is now you get loads of parents who want to volunteer as opposed to (just) Dads (of players) ... or, ‘My wee boy plays for that team, so I’ll go in there.’ But you get loads of parents now and grandparents want to volunteer. They’ll come in and help. So the community’s come together.” (CTB 6)

Similarly, CTBs 2, 4 and 8 also report an increase in volunteers. CTB 8 note that, prior to their asset transfer request, they had not experienced comparable levels of volunteering in other community projects:

“We’ve got community volunteers coming forward to do work and contribute to the plans for the community woodland. Now, this is the first project we’ve had that we’ve been able to bring people out of the community and directly involve them in a project of this sort. So, looking forward, this is really bringing people out of the woodwork, people that have never had anything to do with the community council or [name of CTB] are now getting involved because this is a different kind of project, one where there is hands on involvement.” (CTB 8)

7.1.3. Potential challenges

The interviewees highlighted some potential challenges to community transfer bodies using asset transfers as a means to improving community empowerment.

Firstly, a challenge to increased community empowerment is the high level of responsibility that communities feel as a result of an asset transfer, when this is not necessarily matched with support services, funding or expertise. Myers *et al.* (2017) highlighted that, through asset transfer, funding opportunities not available to relevant authorities may become available to community transfer bodies (e.g. Community Fund, Scottish Land Fund), which may help sustain transferred assets.

While the availability of such funding may be a positive opportunity, one member of a community transfer body highlighted that, from their perspective, relevant authorities are ‘getting rid’ of assets that are in a poor state and require investment. CTB 3 state that their local authority is ‘passing on buildings that they can’t afford to keep and they can’t afford to do up and they’re passing on the problem to the communities to sort out themselves.’

CTB 3 are relying on funding to deliver the aims set out in their community proposal. This included demolishing the existing structure and building new premises to better meet the needs of the community and tourists. The community transfer body had sought funding to do this, but been refused. At the time of interviewing, CTB 3’s asset (toilet/visitor facilities) was costing the community money and representatives of the community transfer body were questioning the future sustainability of their ownership of the asset:

“It is a burden on the community but they are needed... I can’t say whether I feel at this point in time that the asset transfer of the [asset] is beneficial in one way or if it’s not beneficial. It’s beneficial in the fact that, yes, the [asset is] open for the community and the tourists, but then again at what cost to the community can we keep it open or are we now actually possibly going to have to close it down ourselves?” (CTB 3)

In contrast, CTB 6 note that they have successfully secured grant funding to cover asset renovations and, in addition to this, have been able to leverage local networks to carry out renovations at a low cost. While some community transfer bodies were able to draw from community members to complete professional work pro-bono, the cost of fees was also raised by other interviewees:

“The other thing [relevant authority] did constantly was cost us a fortune in legal fees. So, rather than being upfront to say, ‘To safeguard the [relevant authority’s] position, whichever makes sense, this is what we’re looking for’, they would wait until our lawyers went back to them and then would bring another question forward. Solicitors would answer that and then they would bring another question, and we constantly asked them, ‘Could you just give us a draft agreement so that we can...?’, and they wouldn’t do it.” (CTB 3)

The ability to draw from local individuals with relevant capacities is one reason why asset transfer requests may be more likely to be submitted from more advantaged communities or interest groups. Receiving pro-bono work from community members requires individuals who have relevant professional skills and can afford to complete the work for free. This is considered further in Section 9.

7.2. Improved access to services

According to Myers *et al.* (2017, p.29), asset transfer requests are ‘underpinned by an assumption that ownership, control, or use of land or buildings will provide a way for communities to drive change and achieve their own goals.’ They suggest that assets may provide a base for ‘activities and services that would not otherwise be accessible to members of a particular community’ (2017, p.29).

While all relevant authorities named within the Act have a statutory duty to publish annual reports which outline all asset transfer request activities, there is no requirement for relevant authorities to publish details surrounding the purposes of asset transfer requests. As such, we do not have full information about the purposes of all asset transfer requests submitted to date. For this evaluation we have collected data detailing the purposes of asset transfer requests wherever this was available, including from application forms and decision notices as well as from annual reports. The list of purposes of reported asset transfer requests to date is as follows:

- Men’s shed
- Sports and recreation activities
- Community hub
- Museum and heritage centre
- Services to tackle loneliness, promoting life and parenting skills
- Car parking
- Community woodland
- Allotments/community garden
- Affordable housing
- Childcare/nursery
- Music/art hubs
- Services for people with physical and learning disabilities
- Toilet and visitor facilities
- Recycling/upcycling

Further information on asset purpose is displayed at Figure 3. Overall, there is an emphasis on developing community hubs and bringing the community together. While the purposes are wide-ranging, it is clear that assets are providing a base for activities and services. From the reports, it is not clear whether these services are otherwise inaccessible to members of a particular community. From the interviews, however, there are indications that asset transfers are enabling communities to provide services matched to local needs that are better than existing services or otherwise unavailable. These findings were presented at Section 6.1.2.

One asset transfer request in the sample was interesting in that it may deliver improved services to distinct groups, in different ways:

- Local community: the asset transfer request improves local conditions and road access, improving life quality, allowing local residents improved access local services.
- Tourists: Improved facilities at popular touristic attraction.
- Wider communities: the asset transfer request will generate income which will be reinvested into the community to offer further services.

Again, given the recent implementation of Part 5 of the Act, it is yet not possible to conclude that asset transfer requests are improving community access to services. However, the available data indicates that there is potential for this to be the case in the future.

7.3. Reduced inequalities of outcome

The Scottish Government is committed to action that reduces inequalities²³. Myers *et al.*'s (2017, p.29) Theory of Change argued that 'asset transfer requests may contribute to a reduction in local inequalities of outcomes'. The report recognises, however, that one of the risks may be that asset transfer requests also increase inequalities: if there is greater take up by more advantaged, rather than disadvantaged, communities or groups within communities. This section considers whether there is evidence to suggest that asset transfer requests may reduce, or indeed exacerbate, inequalities of outcome.

As part of the application process, the Scottish Government Guidance on asset transfer requests (2017, p.43) states that a relevant authority should carry out an assessment of 'whether the community transfer body is able to successfully deliver the project, and make it sustainable'. Considering this, one of the questions outlined as part of the assessment process is 'do members have appropriate skills, experience and qualifications to deliver the project, or does the body have a plan for engaging people who do?'

Although the analysis of annual reports suggests a spread of requests across areas of differing SIMD level (Figure 6), as highlighted at Section 7.1.1, several relevant authorities and the key stakeholder noted a trend for applications being submitted from so called 'high capacity' communities or groups within communities.

Relevant authorities and the key stakeholder described these communities as having significant professional expertise, often in the form of a well-established community organisation or development trust. Some interviewees suggested that the asset transfer request process is, in the most part, easily accessible to communities where there are sufficient levels of capacity, skills and knowledge to take on the ownership of an asset.

"There's a danger actually that the sorts of communities that do come and approach us and maybe other organisations are already fairly well empowered...They've got the skills to actually take through quite a major piece of work to develop a business case, business plan, business model to implement all the work that they said that they're going to do to

²³ During the course of this evaluation and in recognition of the potential for asset transfer requests to exacerbate inequalities, the Scottish Government commissioned COSS to carry out work tailored to tackling inequalities. As such, COSS is conducting work to identify and encourage asset transfer request uptake in areas of deprivation and in 'cold spots' of low or no activity.

understand what can and should be done on a particular piece of land and to be able to manage it. I think most of them would be reasonably empowered already. One of the things that we would be looking for actually is an ability to deliver and it's... by definition, that would therefore mean the people already have an understanding on what we're talking about, generally speaking, with one exception, is large bits of land that need to be managed to a degree." (RA 5)

"Part of what you're seeing with asset transfer is the already empowered and the articulate community taking advantage of it. What'll happen I think is a mechanism that will allow those communities to continue getting the biggest share of the cake and the communities that are unable to organise themselves will get left." (RA 2)

"Empowered communities can do asset transfer and be more empowered." (RA 10)

"It tends to favour slightly more rural, more affluent communities where people have got time, and there is the potential that this may increase inequalities unless there is targeted activity in disadvantaged communities." (Key Stakeholder)

One community transfer body, operating in a community which has SIMD rankings of between 1-2 (indicating high levels of multiple deprivation), noted that a lack of capacity and a lack of access to individuals with needed skills and expertise – made the process of applying intimidating and challenging:

"We've got to be experts in absolutely everything. We would go to the leader of the Council, we would be studying for weeks on end about planning and legal and all the rest of it... He would sit down and he would bring all these people with him, fire us with questions and we would be frantically trying to answer them, we would be absolute nervous wrecks, stressed out our nuts and... But when we asked him a question he would just go... turn to somebody on his right, 'Can you answer that? Can you answer that?'... So why can't communities have that bank [of experts]? We should have had the same bank of experts sitting at the side of the table with us during those negotiations. Maybe it wouldn't have taken us ten years." (CTB 2)

CTB 2 stated they are "not an area that has architects and lawyers and different things within the area so anything that we did bring in we had to pay a lot of money". The composition of the local community, therefore, can have an impact on the ability to deal with asset transfer request processes. Conversely, another community transfer body in the sample (CTB 7), operating in a community which has SIMD rankings between 8-10, note that they found the asset transfer request process relatively straightforward. They could draw on the capacities of community members with professional backgrounds in finance, architecture, accounting, law, as well as individuals with experience in local activism, funding and establishing and managing community groups. CTB 7 had access to advisers and received resource support

from private companies. All these individuals offered their services pro-bono to support the activities of CTB 7. Even with such available capacities, CTB 7 note that the process ‘took three years and by that time it was hard to keep the momentum of the local community up’. Finally, CTB 4 noted that, because of their professional background, they could navigate the process yet they also recognised that this may not be the experience of all community transfer bodies:

“You need, obviously, to be computer savvy, you need to know the words to use. It’s like in funding... when you go into funders. You need to know the key words... I suppose, in a way, I’m lucky because of the work I did before, I’m used to doing government reports, so I know what’s needed, but no, I do think it’s not easy in respect of the normal layperson if they’re not used to government rubbish.” (CTB 4)

As noted by one relevant authority, with the right resources and capacity building in disadvantaged communities, steps can be taken to enable participation:

“[The asset transfer request process] needs resources... it needs support... and it could be delivered through social enterprises, local intermediary organisations, and if you don’t put in that grassroots type of support for the communities that are more disadvantaged, the ones that will benefit from all the opportunities of asset transfer, there’s the risk that those will be the ones that don’t need the empowerment because they’re kind of further along the empowerment journey than the ones that could really benefit from it.” (RA 9)

This kind of additional support is encouraged by the Scottish Government Guidance on asset transfer requests (2017) and assumed within Myers *et al.*’s (2017) Theory of Change (Figure 1) proposed in the Evaluability Report. In some relevant authorities resources are available but the link between asset transfer and its potential to address certain types of inequalities has not been made explicit:

“We haven’t started off saying, ‘Let us focus on tackling poverty activity and link it to community asset transfer’. The resources are there... We don’t see community asset transfer as significantly linked to the tackling poverty work...but both sides know that if there’s opportunities, we would exploit them. It’s more a case of looking and saying whoever is interested in asset transfer, come to use regardless.” (RA 1)

To address inequalities through asset transfer requests, a more strategic approach may be necessary. This would require consideration of the specific ways asset transfer requests might be used effectively to address inequalities and more targeted support in line with the Scottish Government Guidance on asset transfer requests (2017). This would enable all communities to have the choice to use asset transfer requests where necessary and valued.

CTB 2 expressed concerns that officials were discriminating against their asset transfer requests because they come from a ‘working class community’ (SIMD ranks 1-3), yet favouring asset transfer requests submitted in more affluent communities:

“It feels as though it’s because we’re a working class community that really wouldn’t know what to do with a bit of land, even though we’ve demonstrated and we’ve proved it with [submitted asset transfer request], and then we hear that another community has now come into [CTB 2’s area] and been given an asset transfer to build an athletics stadium, and their asset transfer went through in a four-month period. Now, why was that? Is it because [neighbouring community] is esteemed as an affluent area and [CTB 2’s area] isn’t?” (CTB 2)

The neighbouring community, which has SIMD rankings of between 6- 9, is representative of the ‘slightly more rural, more affluent communities’ discussed previously by the key stakeholder. Whether CTB 2 are correct in their assumption, or whether the asset transfer request has progressed faster in the neighbouring community because of greater capacity or some other reason, these findings have implications for addressing inequalities.

8. Good practice case study: Blantyre Soccer Academy

This case study shows an example of a successful asset transfer request submitted by Blantyre Soccer Academy. The aim is to highlight good practice and areas for further learning and development. The positive outcomes evidenced here indicate the potential of asset transfer requests for other communities.



8.1. Empowered and vibrant communities

Blantyre Soccer Academy (BSA) is a registered charity, established in 2010 with the core mission to encourage and promote the development of football, health, self-esteem and friendship within the community of Blantyre, a town by the River Clyde, eight miles southeast of Glasgow. With a population of 16,100 in 2018²⁴, the SIMD rankings for the town range from 1 in South and High Blantyre to 8 in Low Blantyre. The work of the BSA has expanded since its early days and the charity also runs a community laundry and a community cycling scheme 'Blantyre Bikes Better'. Developing out of the perceived need to respond to gang violence and community disputes, the founder described the changes observed in the community:

“There was a gang culture and everybody hated each other. Now I can see the whole community coming together, not just with us. There are another few youth groups which we are partners with and it’s all came together, like boxing clubs and dancing groups which we all work under the umbrella.”

In order to offer a sustainable and accessible focal point for BSA activities, the board submitted an asset transfer request to the relevant authority in June 2018 for the ownership of Rowans Community Hall. The proposal was to renovate the building and create a low cost communal space for multi-generational and multi-purpose groups. By developing a hub in this way the plan was to expand the reach of the existing work and provide more comprehensive services in the local area:

“Everybody just thinks it’s all about football because it’s Blantyre Soccer Academy. This will be Blantyre Community Hub, which will be for all.”

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<https://statistics.gov.scot/atlas/resource?uri=http%3A%2F%2Fstatistics.gov.scot%2Fid%2Fstatistical-geography%2FS13003109>

8.2. Opportunities and challenges

BSA began pursuing asset ownership prior to the introduction of asset transfer requests in January 2017. However, the implementation of the new provisions within the Act gave BSA a new mechanism through which to apply for a transfer. This formal procedure, as described by the founder, meant that the relevant authority 'had to take us seriously'.

As BSA was the first asset transfer request submitted to the relevant authority, there was learning required for both organisations. The process took longer than anticipated, which hindered some of BSA's initial plans. One reason for this delay was that, at the time of the application, the relevant authority had yet to officially approve the criteria and framework used to assess asset transfer request applications. The officer working with BSA acknowledged there was important learning from this experience that would be used for future asset transfer requests, particularly relating to the development and communication of realistic timescales for the process:

"There are still concerns from groups that it takes a long time and though we can try to streamline the process this does take time. I am certainly more adept at outlining realistic timescales and I do think this helps groups understand the issues." (RA)

A key challenge for the relevant authority and BSA was the specific terms of the sale in relation to what would happen if BSA were to fail. The relevant authority wanted to ensure that the property would remain in community use and be returned to the relevant authority.

The asset transfer request was successfully approved in November 2018 and on 18th April 2019 BSA took ownership of the hall and began the renovation work required for the building to function as a community hub. In September 2019, the community hub was officially launched and attended by Blantyre Soccer Academy, Blantyre Councillors and MSP as well as representatives of the Scottish Football Association.

8.3. Making positive impact – intermediate outcomes

The aspirations of BSA for the community hub are far-reaching and may take time to evidence. Nevertheless, in the shorter term there have been some clear positive impacts.

8.3.1. Increased volunteering

BSA used social media to regularly update the community on the progress of the renovation. Volunteers and donations were an important part of the renovation progress with local businesses and tradespeople donating their skills and materials. When BSA put a call out for help with painting and grass-cutting, they were quickly inundated with offers of help. BSA also created an official partnership with South Lanarkshire college to provide students to carry out the some of the work. This way of working on the building has provided local young people with valuable work experience (construction), and the involvement of the wider community has, according to BSA representatives, helped to create a sense of cohesion and ownership over the transferred asset. In addition, it has helped to create a culture that values and cares for the local surrounding area.

Figure 7 Before and after – external renovations of asset



8.3.2. Increased community ownership

A key anticipated outcome of the legislation has been achieved, as a formerly derelict asset is now in the ownership of the community. The founder aims to ensure that the community have a key role within the use and development of the hall and plans to establish a series of forums to represent all the user groups:

“My immediate aim is to get the kids involved within this hall so that they take ownership. It’s not my hall. It is their hall and the parents’ hall.”

8.4. Developing sustainable communities

The ownership of the new community hub will give BSA a sustainable foundation from which to further deliver on their core mission. Having worked in the community since 2010, the founder has seen the ways in which football has developed cohesion across the community:

“[It] brings a community together as opposed to everybody being divided because you’ve got High Blantyre, Low Blantyre and Springwell. Everybody comes together when they go to football.”

The aim is to expand this sense of community cohesion beyond the football related activities through the community hub which will provide a variety of services:

“So what we’re going to do in the new hall is obviously just move this laundry straight in here. We’ll have a community laundry. We’ll have an open kitchen and we’ll have fridges and things like that so that people come in and we’ll have a small café in there as well.”

The BSA board are also considering options for expansion through further asset transfer requests for under-used playing fields in the area. Owning the new community hub will provide some financial sustainability for BSA, and is one of the key reasons that the charity pursued ownership rather than a lease. The BSA founder described how the ownership of an asset opens up options for the charity to expand the building, or to borrow on the asset for future developments.

Figure 8 Completed internal renovations – kitchen and meeting room



8.5. Empowering communities – learning and reflection

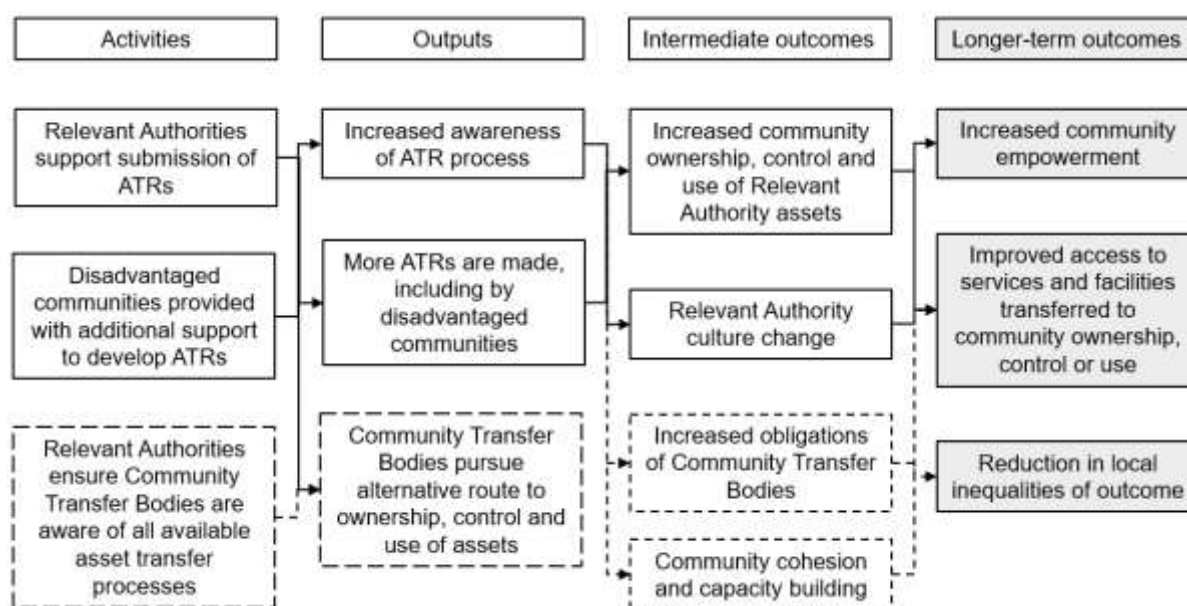
BSA's experience is an example of the way that asset transfer requests can support an organisation to deliver their mission on a larger scale and with a sustainable foundation. The partnership developed with South Lanarkshire College also highlights an innovative and affordable way for assets to be refurbished, whilst offering development and learning opportunities for community members.

The challenges related to timescales and the terms of transfer outlined here are not specific to this case and learning from this example can be applied across relevant authorities and community transfer bodies interested in asset transfer requests. The legislation is still relatively new and both community and public stakeholders need to develop their processes, capacity and understanding of asset transfer requests. The presented case study highlights the importance of transparency of process. Ensuring that communities are aware of timelines and clear about the process will help to create better relationships between relevant authorities and communities.

9. Theory of Change

The evaluation of Part 5 of the Act was informed by Myers *et al.*'s (2017) Theory of Change (Figure 1). Throughout the design and implementation of the research, the theory was used as a reference point. This section reports on the final stage of the evaluation: the development of a revised Theory of Change. The revised model is based on emerging findings from the primary and secondary data collected during the evaluation (presented in Sections 4–7). Proposed revisions to Myers *et al.*'s (2017) Theory of Change are indicated by dashed lines in Figure 9.

Figure 9 Revised Theory of Change



Activities

In addition to the two activities identified by Myers *et al.* (2017), one proposed activity has been added to the revised Theory of Change: *Relevant authorities ensure community transfer bodies are aware of all available asset transfer processes*. Prior to the introduction of the Act, some relevant authorities in the sample, including RAs 1, 2, 5, 9 and 10, had already transferred assets to communities. As such, there may be different processes available within a single relevant authority to support an asset transfer. Interviewees commented on the distinctions between, and advantages and disadvantages of, the asset transfer request and alternative asset transfer processes. For example, given that changes to the Public Finance Manual allow relevant authorities to offer discounts to communities, there were benefits to transferring assets outside of Part 5 of the Act. At the same time, however, there are clear benefits for communities who use asset transfer request as they have a right to appeal, and the property cannot be offered for sale on the open market once an application has been submitted. As noted by one relevant authority:

“A community group has actually got some protection by going through the Act so, first and foremost, they’ve got a right to appeal that they wouldn’t have if they did it outwith the Act. The other thing is that if they make an asset transfer request to us in advance of us marketing something for sale or for lease, we’re then prohibited from offering that for sale or for lease on the market... So, for community organisations, it actually benefits them going through the asset transfer process.” (RA 9)

Ensuring that community transfer bodies are aware of all available routes to asset ownership, control and use, would allow community transfer bodies to identify the route that best aligns with their aspirations.

Importantly, the Theory of Change (Myers *et al.*, 2017) proposed that relevant authorities provide disadvantaged communities with additional support to develop asset transfer requests. Interview findings suggest that a key part of this activity should focus on building the capacities of community transfer bodies. Supporting communities with capacity building – or, indeed, access to individuals with relevant capacities – would, as CTB 2 note, ‘level the playing field’ and support disadvantaged communities to develop asset transfer requests. This has clear implications for addressing inequalities.

Outputs

An additional output has been proposed in the revised Theory of Change model: *community transfer bodies pursue alternative routes to ownership, control and use of assets*. This new output is a potential consequence of community transfer bodies gaining awareness of all available asset transfer processes and thus relates to the proposed additional activity, discussed above. Pursuing alternative routes to asset ownership, control and/ or use represents an exit pathway from the asset transfer request Theory of Change and is therefore not linked to intermediate or longer-term outcomes.

From the interviews, there are examples of relevant authorities transferring assets outside of the Act, but using the Scottish Government Guidance on asset transfer requests (2017) as a model:

“It’s not gone through the formal process although we use the Scottish Government’s Guidance quite a lot essentially to consider the best value assessment and the assessment of what they offered and we had to do a business case for that and get it approved by the Scottish Government. As I said, we used it as a sort of model so that we understood better what was involved in the process for transferring to a community.” (RA 5)

The use of Scottish Government Guidance on asset transfer requests (2017) to ensure transparency and good practice when relevant authorities transfer assets to communities *outside of Part 5 of the Act* can be considered an unintended consequence of the implementation of asset transfer requests. Importantly, other

pathways enabling asset transfer can also lead to specific intermediate and longer-term outcomes; these, however, were beyond the scope of this evaluation.

Intermediate outcomes

The evaluation highlighted two additional potential outcomes for inclusion in the Theory of Change: *Increased obligations of community transfer bodies* and *Community cohesion and capacity building*.

Firstly, in terms of community transfer body obligations, as highlighted at Section 6.3, some interviewees reported that they felt new pressure as the transfer of an asset also meant the transfer of responsibility to the community bodies. For some community transfer bodies, new responsibilities were perceived positively: assets would act as a springboard to achieve aspirations and deliver benefits to the community. For one community transfer body in this sample, however, given the lack of support and funding to enable the community to develop the asset, the responsibility of an asset had quickly become a burden on the community. As a result, the community transfer body were questioning the future sustainability of the asset. Given the potential negative outcome of such circumstances, in Section 10 we present some recommendations in relation to this new intermediate outcome.

The second potential outcome relates to community cohesion and capacity building (Section 6.4). The evaluation highlighted that asset transfer requests may support the stability and sustainability of community bodies, and create a stronger sense of community identity and cohesion. The participatory nature of the asset transfer request process had, for some community transfer bodies, enabled a stronger sense of community, cohesion and involvement – an underlying rationale behind the Act.

Longer-term outcomes

Given the recent enactment of Part 5 of the Act, no revisions have been made to the long-term outcomes. Over time, as asset transfer requests become embedded across Scotland, additional longer-term outcomes may emerge.

10. Recommendations

The subsequent section presents recommendations related to asset transfer requests. These recommendations are proposed to better enable achievement of the longer-term intended outcomes set out in the policy documents. Our recommendations are targeted at two key stakeholder groups involved in the PR process: the Scottish Government and relevant authorities.

Recommendations for the Scottish Government:

1. To monitor the impact of Part 5 of the Act, including longer-term outcomes of the legislation, the government should ensure that relevant authorities meet statutory annual reporting duties. This process can be facilitated by developing clear and consistent reporting techniques (for example, development of a reporting template that indicates the level of detail to be provided by relevant authorities) and defining where relevant authority reports should be submitted. Ongoing and improved reporting should be combined with follow-up research assessments enabling observation of the longer-term impacts of asset transfer requests.
2. To facilitate future reporting and evaluation of asset transfer requests, there is a need to compose a definitive list of Scottish Ministers who own or have properties in their care. Given that asset ownership may change over time, an assessment of Schedule 3 of the Act should be conducted on a regular basis. The party responsible for this assessment should be defined by the Scottish Government.
3. The Scottish Government should work with relevant stakeholders to develop guidance on valuation matrices/models determining 'best value' for assets. This would address challenges associated with assessing 'best value', which would in turn facilitate more standardisation of best value assessments by relevant authorities.
4. The Scottish Government should continue to work with its partners to identify actions that may help to overcome any barriers to the use of asset transfer requests by marginalised groups or disadvantaged communities. Specifically, a review of support services available to community transfer bodies should be undertaken, with particular emphasis on support for disadvantaged or marginalised communities/groups. The Scottish Government should identify a relevant body to conduct this review and promote access to the support services, particularly in areas of:
 - a. Funding: mapping funding options that support the full breadth of activities across the asset transfer request process (from the capacity building required to submit an application, through to managing and maintaining an asset and related services once the asset transfer request is completed, for example).
 - b. Support/Capacity: mapping low-cost or free support services including accounting/finance, the law, administration and planning/architecture.Signposting such support services may represent the removal of a barrier to asset transfer requests for community transfer bodies across Scotland, and in disadvantaged areas in particular.

Recommendations for relevant authorities:

1. Relevant authorities covered by Part 5 of the Act should promote asset transfer requests more widely, in order to raise internal and external awareness of asset transfer requests. This may include disseminating the policy intent of asset transfer requests; and ensuring that relevant authority personnel understand the asset transfer request process, can provide relevant support to communities, and are able to minimise time delays along the asset transfer request process.
2. Relevant authorities should ensure that asset transfer requests have a transparent timeline. Long timelines strain community momentum and diminish enthusiasm. Ensuring transparency in terms of the asset transfer request process and providing community transfer bodies with transparent timelines could help establish and/or maintain good or improved relationships between relevant authorities and communities.
3. To facilitate asset transfer request submissions, relevant authorities should identify a key contact person with responsibility for asset transfer requests. This 'first point of contact', who understands the Act as well as community engagement and participation, would help to speed up processes, act as an effective conduit between community transfer bodies and relevant authority personnel, drive culture change in relevant authorities and allow other relevant authority personnel to focus on other responsibilities.
4. To address concerns surrounding assets becoming derelict or burdens on communities, relevant authorities should undertake work to promote clearer agreements, ensure understanding of the long-term responsibilities associated with running an asset, and check group capacity to deliver. Defining clearer routes for transferred assets if community transfer body activities terminate may mitigate against assets becoming burdens on communities or derelict.
5. Relevant authorities should work with key stakeholders to address difficulties in quantifying community benefits and calculating the level of discount to offer to communities. Developing relevant authority capacity and experience in assessment systems (best value assessment, for example) would be beneficial to both relevant authorities and community transfer bodies. Finally, ensuring that best value assessments are explicitly related to addressing inequalities may reduce barriers for disadvantaged communities.
6. Relevant authorities should encourage groups from marginalised communities to consider whether asset transfer requests could benefit them. This can happen through an active promotion of Part 5 of the Act with relevant communities, as well as developing tailored and accessible support, including translations and easy-read documents where appropriate.

11. Limitations of the study

The evaluation team conducted this study using the quantitative data available. As detailed in Section 3, due to limited reporting by relevant authorities, the findings detailed here may not represent the full picture of asset transfer request activity in Scotland. In addition, the qualitative data collected in Stages 1 and 2 of the evaluation were generated through interviews, a group interview and participant observations with a limited sample. While steps were taken to ensure that the sample had a breadth of knowledge and experience of asset transfer request and wider participation, the findings reported here may not represent the full range of perspectives on asset transfer requests.

The limitations of this research highlight opportunities for future research, monitoring and evaluation of asset transfer requests in Scotland. Some of these are highlighted in the preceding recommendations section.

12. Conclusions

This report presented findings from an evaluation of Part 5 of the Community Empowerment (Scotland) Act 2015. The report focused on addressing four key questions to understand the impact of Part 5 of the Act and the ways in which it has been implemented by relevant authorities and used at local level. Specifically, the report outlined asset transfer request activity and trends, reported on the implementation of asset transfer requests, detailed findings related to intermediary outcomes of Part 5 of the Act and outlined evidence pertaining to longer-term outcomes of Part 5 of the Act.

Overall, the evaluation found that Part 5 of the Act is being implemented as intended across Scotland. Further action is required to support relevant authority and community transfer bodies to maximise the potential of asset transfer requests to generate the intended positive intermediate and longer-term outcomes. Specifically, further work is required to raise awareness of asset transfer requests, develop transparent timelines and enable a culture change within relevant authorities. Relevant authority culture and resistance may represent a considerable barrier in relation to wider participation. There are also indications that asset transfer requests may contribute to improved services matched to local needs although the potential of this will be better understood over a longer period of time.

There are some indications that asset transfer requests may enable increased community cohesion and capacity building within communities. Further, there is evidence that communities experience increased obligation related to assets, post-transfer. The outcome of this obligation can be both positive (in terms of caring for an asset which generates benefit) or negative (if the asset becomes burdensome). There are some early indications that asset transfer requests may contribute to improved services that better meet local needs. However, the potential of this will be better understood over a longer period of time.

The evaluation also highlighted that, in order to better enable disadvantaged communities to engage with the asset transfer request process in pursuit of positive change, better support should be provided for community transfer bodies. A focus should be placed on providing support and capacity to help community transfer bodies navigate the asset transfer request process.

It is too early to assess the longer-term impacts of asset transfer requests in terms of increased community empowerment and reduced inequality of outcome. Nevertheless, the evaluation suggests that asset transfer requests can help to address inequalities and may support communities to deliver better and more appropriate services. To ensure that this happens, a more strategic approach may be necessary. This would require consideration of the specific ways asset transfer requests might be used effectively to address inequalities and the development of targeted support in line with our recommendations and the Scottish Government Guidance on asset transfer requests (2017).

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Appendix 1: List of relevant authorities by type

Local Authority

Aberdeen City
Aberdeenshire
Angus
Argyll and Bute
Clackmannanshire
Dumfries and Galloway
Dundee City
East Ayrshire
East Dunbartonshire
East Lothian
East Renfrewshire
City of Edinburgh
Falkirk
Fife
Glasgow City
Highland
Inverclyde
Midlothian
Moray
Na h-Eileanan Siar
North Lanarkshire
North Ayrshire
Orkney Islands
Perth and Kinross
Renfrewshire
Scottish Borders
Shetland Islands
South Ayrshire

South Lanarkshire

Stirling

West Dunbartonshire

West Lothian

Health

NHS Ayrshire and Arran
NHS Borders
NHS Dumfries and Galloway
NHS Fife
NHS Forth Valley
NHS Grampian
NHS Greater Glasgow and Clyde
NHS Highland
NHS Lanarkshire
NHS Lothian
NHS Orkney
NHS Shetland
NHS Tayside
NHS Western Isles
NHS Education for Scotland
NHS Health Scotland
NHS National Waiting Times Centre
NHS24
Scottish Ambulance Service
The State Hospitals Board for Scotland
NHS National Services Scotland
Healthcare Improvement Scotland

Education

Ayrshire College

Borders College
City of Glasgow College
Dumfries and Galloway College
Dundee and Angus College
Edinburgh College
Fife College
Forth Valley College
Glasgow Clyde College
Glasgow Kelvin College
New College Lanarkshire
North East Scotland College
Royal Conservatoire of Scotland
South Lanarkshire College
West Lothian College

Transport

Shetland Transport Partnership
Highlands and Islands Transport Partnership
North East of Scotland Transport Partnership
Tayside and Central Scotland Transport Partnership
South East of Scotland Transport Partnership
Strathclyde Partnership for Transport
South West of Scotland Transport Partnership

Other

Cairngorms National Park Authority
Crofting Commission
Loch Lomond and the Trossachs National Park Authority
Police Scotland
Scottish Canals

Scottish Enterprise
Scottish Environment Protection Agency
Scottish Fire and Rescue Service
Scottish Natural Heritage
Scottish Water

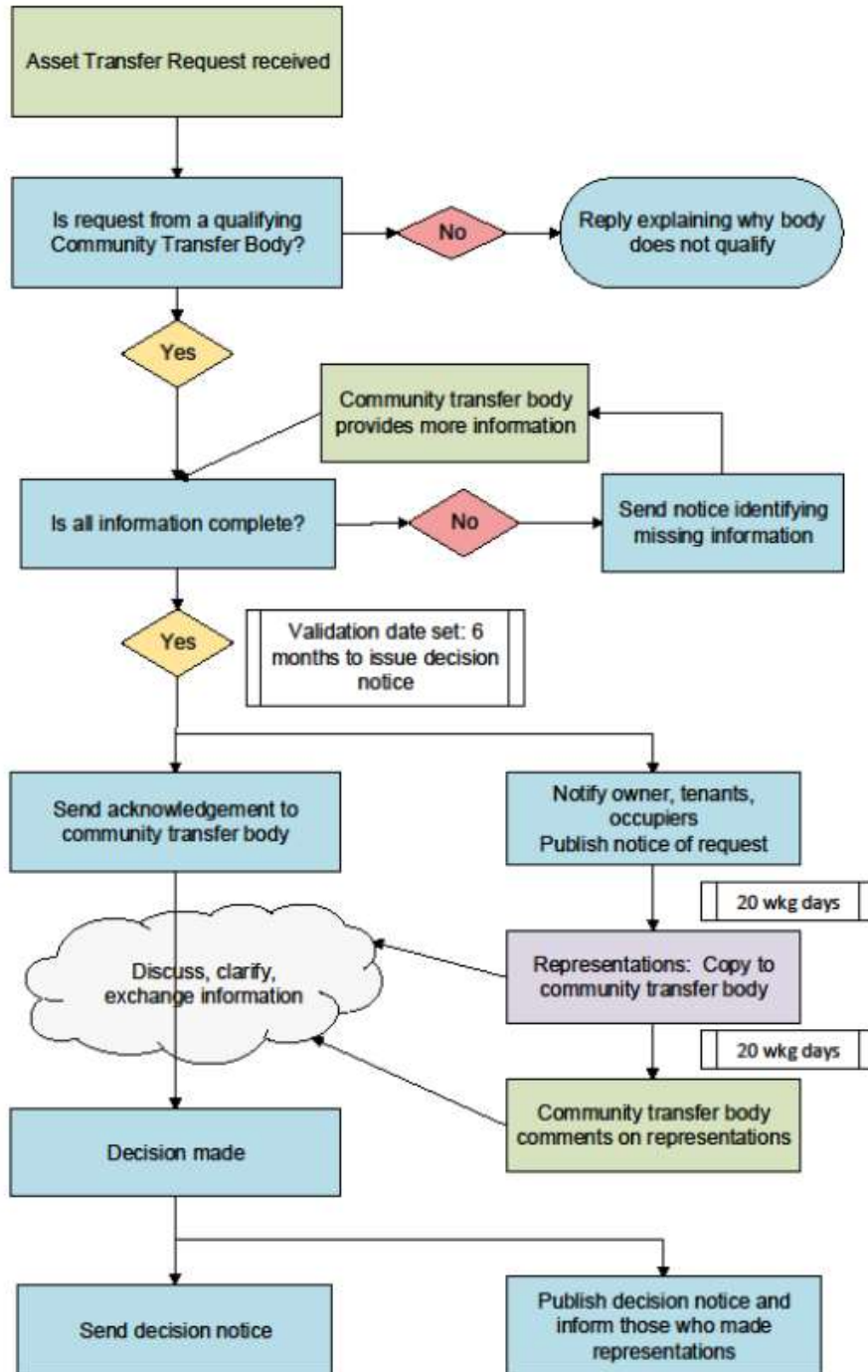
Scottish Ministers

Accountant in Bankruptcy
Accounts Commission for Scotland
Architecture and Design Scotland
Audit Scotland
Bord na Gaidhlig
Caledonian Maritime Assets Ltd
Care Inspectorate
Children & Young People's Commissioner Scotland
Children's Hearings Scotland
Commissioner for Ethical Standards in Public Life in Scotland
Convener of School Closure Review Panels
Court of the Lord Lyon
Creative Scotland
David MacBrayne Ltd
Education Scotland
First-tier Tax Tribunal for Scotland
Food Standards Scotland
Glasgow Prestwick Airport
Highlands and Islands Airports Ltd
Highlands and Islands Enterprise
Historic Environment Scotland
HM Chief Inspector of Prosecution in Scotland
Independent Living Fund Scotland

Judicial Appointments Board for Scotland
Lands Tribunal for Scotland
Local Government Boundary Commission for Scotland
Mental Health Tribunal for Scotland
National Galleries of Scotland
National Library of Scotland
National Museums of Scotland
National Records of Scotland
Police Investigations and Review Commissioner
Private Rented Housing Panel / Homeowner Housing Panel
Quality Meat Scotland
Registers of Scotland
Risk Management Authority
Royal Botanic Garden, Edinburgh
Scottish Advisory Committee on Distinction Awards
Scottish Charity Appeals Panel
Scottish Children's Reporter Administration
Scottish Criminal Cases Review Commission
Scottish Fiscal Commission
Scottish Funding Council
Scottish Futures Trust
Scottish Housing Regulator
Scottish Human Rights Commission
Scottish Information Commissioner
Scottish Land Commission
Scottish Law Commission
Scottish Legal Aid Board

Scottish Legal Complaints Commission
Scottish Prison Service
Scottish Public Pensions Agency
Scottish Public Services Ombudsman
Scottish Qualifications Authority
Scottish Social Services Council
Skills Development Scotland
Sports Scotland
Transport Scotland
Upper Tax Tribunal for Scotland
Visit Scotland

Appendix 2: Procedure following receipt of an asset transfer request application



Source: Scottish Government (2017) Asset Transfer under the Community Empowerment (Scotland) Act: Guidance for Community Transfer Bodies. [Available at: <https://www.gov.scot/publications/asset-transfer-under-community-empowerment-scotland-act-2015-guidance-community-9781786527509/>]

Appendix 3: Revised list of Scottish Ministers

At the outset of this evaluation, the Scottish Government conducted an exercise to establish the appropriate bodies for inclusion under the category of 'Scottish Ministers'. During the evaluation, it became apparent that some of these bodies did not own assets in the care of Scottish Ministers. Towards the end of this evaluation, the Scottish Government amended the list of Scottish Ministers to be included in the legislation. It is expected this list will fluctuate as properties in the care of Scottish Ministers change over time. While this this evaluation adopted the original list of Scottish Ministers (presented at Appendix 1), future analysis should use this amended list:

1. Highlands and Islands Enterprise
2. Historic Environment Scotland
3. Royal Botanic Garden, Edinburgh
4. Scottish Prison Service
5. Transport Scotland
6. Visit Scotland
7. Forestry and Land Scotland
8. Scottish Enterprise
9. Scottish Natural Heritage
10. Scottish Water
11. Scottish Canals
12. Scottish Courts and Tribunal Service
13. Scottish Environment and Protection Agency
14. Crofting Commission



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The views expressed in this report are those of the researcher and do not necessarily represent those of the Scottish Government or Scottish Ministers.

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The Scottish Government
St Andrew's House
Edinburgh
EH1 3DG

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TITLE: SCHEDULE OF BUSINESS 2020-21

Background: This paper outlines how the Schedule of Business for 2020-21 enables the Asset and Infrastructure Committee to fulfil its remit.

Action: The Asset and Infrastructure Committee is requested to note the content of the report.

Lead: David Alexander, Vice Principal Operations

Status: Open

REMIT	DELIVERABLES			
	16-9-20	8-12-20	9-3-21	11-5-21
a) <i>To ensure that the College maintains a comprehensive register of land, buildings and infrastructure assets.</i>				
<ul style="list-style-type: none"> College leasing arrangements update report 	Y			
b) <i>To ensure that the College manages and develops its assets and infrastructure to meet overall needs efficiently and effectively, taking account of any guidance relating to estate and IT management, option and investment appraisal and private finance.</i>				
<ul style="list-style-type: none"> Estate Strategy – annual progress update Emerging Opportunities report - including business case updates College leasing arrangements - annual report Performance Indicators / benchmarks Regional Outcome Agreement monitoring Report on Paisley (CPA) relocation project (contained within the Estate Maintenance report) Infrastructure Commission for Scotland: Phase 2: Delivery Findings Report Asset Transfer Requests – Evaluation of legislation 	Y Y Y Y Y Y	Y Y	Y Y Y	Y Y Y
c) <i>To ensure development and review of the College’s Estate Strategy and associated policies takes place regularly, and that they support the priorities and outcomes of the College.</i>				
<ul style="list-style-type: none"> Estate Strategy 2016-2026 Refresh Estate Strategy – Progress Update Room utilisation survey 		Y November 2020	Y Y	Y Y March 2021

REMIT	DELIVERABLES			
	16-9-20	8-12-20	9-3-21	11-5-21
d) <i>To ensure that the College maintains its estate in accordance with a planned maintenance programme, consistent with its Estates Strategy and associated financial projections.</i>				
<ul style="list-style-type: none"> Estate maintenance update Annual update – estates operational budget 	Y	Y Y	Y	Y
e) <i>To ensure that the correct procedures are followed in respect of the disposal of Exchequer funded assets.</i>				
<ul style="list-style-type: none"> Update on disposals as required 				
f) <i>To have an awareness of local, national and global environmental issues and in doing so strive to ensure the College sustains and improves the environment.</i>				
<ul style="list-style-type: none"> Carbon Management Plan (CMP) – Progress Update Revised Carbon Management Plan 2021-2026 Annual Scottish Government Sustainability Reporting Requirements Update Estate Strategy Progress Update – includes annual review of College Carbon Management and Sustainability Plan 	Y	Y Y	Y Y Y Y	Y Y
Information Technology				
g) <i>To ensure development and review of the College’s IT Strategy and associated policies takes place regularly, and that they support the priorities and outcomes of the College.</i>				
<ul style="list-style-type: none"> IT Strategy Update IT Strategy 2016-2020 refresh 	Y		Y Y	Y

REMIT	DELIVERABLES			
	16-9-20	8-12-20	9-3-21	11-5-21
<ul style="list-style-type: none"> Scottish Government / College Cyber resilience framework update – contained within IT project update report 	Y	Y	Y	Y
h) <i>To advise the Board of Management on key issues relating to the College’s information technology.</i> <ul style="list-style-type: none"> IT Strategy 2016-2020 Update IT Strategy 2016-2020 Refresh IT Project Update Report 	Y		Y	
<ul style="list-style-type: none"> <i>To consider and promote the effective and efficient use of IT services.</i> IT Strategy 2016-2020 Update IT Strategy 2016-2020 Refresh IT Project Update Report 	Y	Y	Y	Y
i) <i>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.</i>				
<ul style="list-style-type: none"> IT Strategy 2016-2020 Update IT Strategy 2016-2020 Refresh Tackling Digital Poverty Update (contained within the IT project update report from 8 December 2020 meeting) IT Project Update Report 	Y	Y	Y	Y

REMIT	DELIVERABLES			
	16-9-20	8-12-20	9-3-21	11-5-21
j) <i>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.</i>				
<ul style="list-style-type: none"> Review of Strategic Risk Register 	Y	Y	Y	Y