WEST COLLEGE
SCOTLAND

West College Scotland
Board of Management
Monday 15 June 2020 at 4.00p.m. via the GoToMeeting link circulated by the Secretary
Agenda

General Business

1. Welcome

2. Apologies

3. Declaration of Interests

4. Minute of the meeting held on 23 March 2020   Enclosed   WH
   .1 Actions from the minutes   Enclosed   WH

5. Matters Arising from the minute
   (not otherwise on the agenda)

Main Items for Discussion and/or Approval

6. Students Association Report   Paper 6   VT

7. Chief Executive's Report   Paper 7   LC

8. Chair's Report   Paper 8   WH

9. Financial Update
   .1 Management Accounts to 31 March 2020   Paper 9.1   DA
   .2 Budget 2020-21- and 5-Year Financial Forecast   Paper 9.2   DA

10. Risk Management Strategy and Strategic Risk Register   Paper 10   DA

Committee Reports

11. LTQ Committee
    Minutes of the meeting held on Wednesday 20 May 2020   Paper 11   JHe

12. Estates Committee
    .1 Minutes of the meeting held on Tuesday 26 May 2020   Paper 12.1   NA
    .2 Revised Remit   Paper 12.2   DA

13. F & GP Committee
    .1 Minutes of the meeting held on Tuesday 10 March 2020 Paper 13.1   JHa
    .2 Minutes of the meeting held on Tuesday 2 June 2020   Verbal   JHa

.3 Revised Remit	Paper 13.3	DA

14. Audit Committee

.1 Minutes of the meeting held on Thursday 12 March 2020	Paper 14.1	JMc
.2 Minutes of the meeting held on Thursday 21 May 2020	Paper 14.2	JMc
.3 Report on Fraud – **RESTRICTED BUSINESS ITEM**	Paper 14.3	DA
.4 Internal Audit Plan 20/21	Paper 14.4	DA

15. HRCDC Committee

.1 Minutes of the meeting held on Tuesday 17 March 2020	Paper 15.1	MN
.2 Minutes of the meeting held on Tuesday 5 May 2020	Paper 15.2	MN
.3 HR Annual Report 2019	Paper 15.3	DG

Items for Information

16. Board of Management: Membership, Dates of Meetings and proposed Schedule of Business 2020/21	Paper 16	ShG

17. Any other Business

18. Date of Next Meetings:
   - July meeting date - TBC
   - Monday 5 October 2020 at 4.00 p.m. – Venue TBC

Shirley Gordon
Secretary to the Board

BOARD OF MANAGEMENT

Minutes: 23 March 2020

Present: Waiyin Hatton (Chair), Sabira Akram, Nick Allan, Steven Cairney, Liz Connolly, Jim Hannigan, Jacqueline Henry, Jenifer Johnston, Linda Johnston, Priya Kaur, John Leburn, Fiona McKerrell, John McMillan, Vanessa Thompson, David Watson.

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

Apologies: Andrew Hetherington, Mark Newlands, Angela Wilson.

BM610   WELCOME
The Chair welcomed everyone to the online virtual Board meeting and thanked all in attendance for their participation at this very difficult time. She confirmed that the presentation and discussion scheduled today with two inspectors from Education Scotland on their College Progress Visit Report had been postponed until a later date.
{ACTION – SECRETARY}

BM611   DECLARATIONS OF INTERESTS
The following declarations of interest were recorded and **noted**:
- John McMillan and Liz Connolly: Trustees of the West College Scotland Foundation.
- Jim Hannigan: NMIS Project Manager, Skills Development Scotland.
- David Alexander: Scottish Funding Council Board member and Chair of the SFC Audit and Compliance Committee.
- Angela Wilson: West Dunbartonshire Council.
- Sabira Akram: Business Analyst, Scottish Qualifications Authority.
- Fiona McKerrell: Partner employed by Skills Development Scotland.

BM612   MINUTES OF PREVIOUS MEETING
The minutes of the meeting held on 3 February 2020 were **approved**.

BM613   ACTIONS FROM THE MINUTES
The Board **noted** the actions taken since the last meeting.

BM614   MATTERS ARISING FROM THE MINUTES
There were no matters arising not otherwise on the agenda.

BM615   STUDENTS ASSOCIATION REPORT
The Board **noted** the report submitted by Vanessa Thompson (President, WCS Students' Association) summarising activities of the Students' Association since the last Board meeting. The Chair thanked Vanessa for the update.

BM616   CHIEF EXECUTIVE'S REPORT
The Board received a written report from the Principal and Chief Executive, and she provided an update on the following:

Coronavirus – since the Board papers had been circulated on 16 March, circumstances had changed dramatically in relation to the Coronavirus pandemic. The Principal outlined measures taken by the College to address this in that an executive team subgroup had been established to lead this work in accordance with Government guidance and in line with the College Business Continuity Plan. The subgroup continued to meet daily to best address how to maintain remotely the delivery of learning and teaching as well as essential support services (such as IT, payroll and finance). Over-and-above work being progressed directly within the College, sector-wide liaison was taking place via a Principals Group and a Chairs Group to ensure continued wider co-ordination. The Principal had Skype meetings arranged with neighbouring CEO's of Local Authorities to help identify how best the College could provide support to them in the coming months ahead. The Principal had also engaged with the Students Association and Trade Unions who had all contributed in a supportive way. She assured the Board that the College would continue to communicate with staff and students, providing updates, ensuring connections with each other and providing advice and resources to help see everyone through this. In relation to those staff in self-isolation or symptomatic, all staff had been asked to notify HR if this applied. Similarly, with those staff unable to resume their role in full at home due to childcare / carer responsibilities so that any pressure points could be identified and managed accordingly.

The Vice Principal Operations summarised key work being taken forward to ensure the continued safety and security of College buildings since the closure on Friday as well as work being led by the IT team to ensure home working for many staff was as smooth as possible. He added that finance and procurement systems and processes had been tested and offered assurance that suppliers, students and staff would continue to receive relevant payments. On that point, he described the College cash position (in reserve) and reported that the SFC had confirmed it would pay what had previously been agreed to the College. Put together, this meant the College was in a fortunate position and able to sustain operations through available cashflow until the new session in August, and through until later in the year if need be, although this would continue to be monitored closely. In respect of any commercial income, very little was expected to flow to the College in the next four months at least as compared to what had been expected. Detailed discussion with the SFC and Government regarding the accounting impacts of the current situation would require to take place at a later date.

The Vice Principal Educational Leadership outlined the availability of some courses now online for students and the priority of making sure all students were engaged via many information sources including social media. Safeguarding information had been issued to all staff and Enabling Services and Counselling Services would continue to offer support to all students as they would have done prior to the closure. Although College nurseries had closed, support was being offered to those parents who accessed this service. As much as possible had been done to work with all students in such a short space of time and this included providing laptop access to those in WIFI poverty where this had been possible.

The Chair was encouraged by the proactive assurance provided by the Leadership Team and thanked them for summarising the raft of actions put in place to support all staff and students not only to continue to provide key services but to ensure their health and

wellbeing. This was an unprecedented challenging time and the updates received today on how the College had responded and adapted readily to changing scenarios were to be commended. The speedy action in putting mitigations in place and ensuring the health and safety for everyone in the College and enabling continued learning for students through a variety of means was to be congratulated. On behalf of the Board, she was also extremely heartened to learn that staff would, where practicable, give support to front-line workers in other organisations if/when required.

On behalf of the Board, she thanked the Principal, the Leadership Team, all staff, students and Trade Unions for their individual and collective efforts in dealing with the unprecedented impact of coronavirus pandemic and she asked that the Principal pass on sincere appreciation to everyone in the college and ask them to stay healthy, safe and positive. The months ahead would continue to be challenging but college communities were committed to doing their best.   **{ACTION – LC}**

On behalf of all College staff, the Principal thanked the Chair and Board for the support and encouragement they were providing at this challenging time. Together we could keep our College community vibrant and accessible to all staff and students.
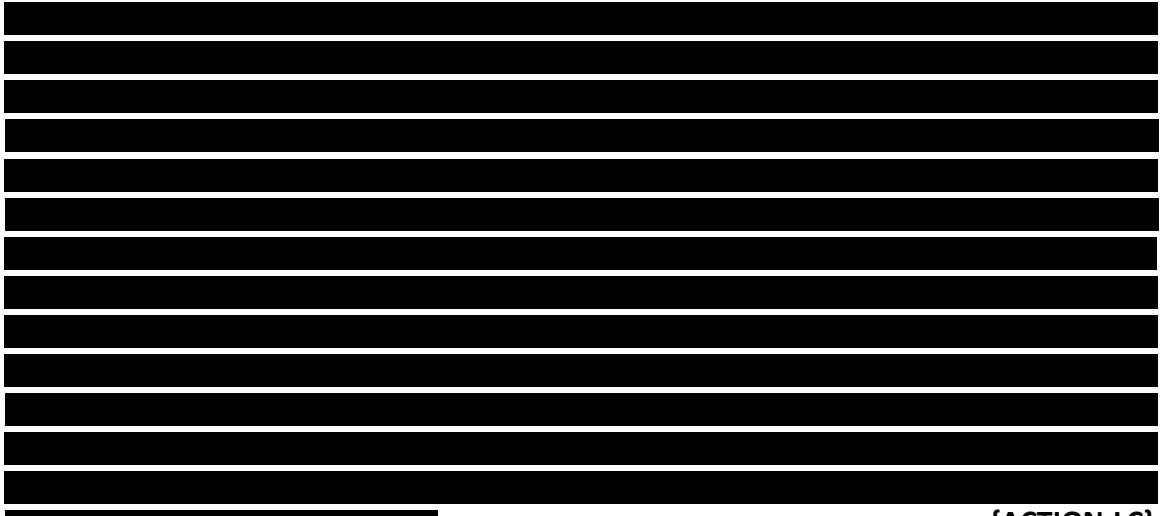
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████████████████████████   **{ACTION:LC}**

Scottish Budget – the Scottish Government published its draft budget for 2020-21 on Thursday 6 February 2020, with the final budget being approved in early March. The Principal summarised the key headlines within the budget for the College sector and as mentioned earlier, the SFC Board would meet on 2 April 2020 to discuss and agree the proposed allocations for Colleges for 2020-21. It was anticipated that College budget allocations would be announced shortly thereafter albeit that recent events may result in a delay with this taking place. The Principal and Chair agreed to raise any likely implications of Barnett consequentials via the Principals Group and Chairs Group respectively.   **{ACTION – LC AND WH}**

The Chair thanked the Principal for the update and the Board **noted** her report.

BM617   CHAIR'S REPORT
The Board received a written report from the Chair who was delighted and honoured to be appointed from 3 March 2020. She thanked everyone for the very warm welcome and looked forward to meeting all Board members soon. She would consider how best to arrange individual Skype slots if this would be convenient.

The Board **noted** the report from the Chair.

BM618   RISK MANAGEMENT STRATEGY REPORT
The Board received a report from the Vice Principal Operations which outlined that, in accordance with the Corporate Governance Code, the Board was tasked with ensuring a framework of risk management and control was in place.

The Strategic Risk Register (which had been approved by the Board at its February 2020 meeting and was aligned to the College Corporate Strategy) was considered and an update on the actions taken to develop the College Risk Management Strategy provided.

The Vice Principal Operations reported that the Audit Committee had discussed this report at length at its meeting held on 12 March and had reviewed, in detail, the ten risk categories (required by the College to enable the identification of risk trends and gap analysis) as well as the definitions of the five risk appetite levels (the risk appetite applicable to each of the ten risk categories had been agreed following a discussion at the February 2020 Board meeting). The Chair of the Audit Committee added that the overall framework had been commended by the Audit Committee. Given the depth of information contained in all the component parts, the Vice Principal Operations would share, with the Audit Committee Chair, a draft of a new format of the report to be used going forward (to ensure it was presented in a way that was as accessible and easy to follow as possible for the wider College audience).   **{ACTION – DA}**

Overall, the report was regarded as an exemplary example of joint work in the College and the Vice Principal Operations was asked to thank all staff who had contributed.
                                                                                              {ACTION – DA}

The Board of Management:
- **Noted the update on the actions taken to embed risk across the College.**
- **Approved the next steps in the development of the College Risk Management Strategy.**
- **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; and**
  - ❖ **Whether any new risks should be considered for inclusion.**

BM619   DRAFT REGIONAL OUTCOME AGREEMENT (INCLUDING KEY PERFORMANCE INDICATORS UPDATE)
The Board received a report from the Vice Principal Educational Leadership and she explained that the final Regional Outcome Agreement was required to be submitted to

the SFC by the end of April. The document had been undated since the last Board meeting following feedback from SFC and ongoing review, including with external stakeholders. She explained that the Measurement Targets had been reviewed and provisionally agreed by the Learning Teaching and Quality Committee on 26 February 2020. Additionally, the College context information was being finalised in graphical digital format rather than be included within the Regional Outcome Agreement document. A link would be provided in the ROA and this allowed for ongoing updates to be made to the context information in order to keep it current.   This information would be useful for other stakeholders, prospective staff and Board members and was still being finalised.

Looking through the KPIs (their performance in previous years as well as ambitious targets set for the future), the Vice Principal Educational Leadership explained that it was likely some allowances would be made in light of recent events and their associated impact on performance delivery.   Regardless of that, she recognised the good energy and achievements to date and confirmed that some analysis work would be undertaken to review overall performance prior to the coronavirus pandemic so that new base and pro-rata performance indicators would be available.   **{ACTION – SG}**

The Chair of the Learning Teaching and Quality Committee thanked the Vice Principal Educational Leadership and her Teams (especially the Marketing team for the design of the Agreement document itself).

The Board agreed to the submission of the document to the SFC.

BM620   COMMITTEE REPORTS

.1 LTQ Committee: The draft minutes of the LTQ Committee meeting held on Wednesday 26 February 2020 were noted. The Committee Chair highlighted key points of discussion.

The Board noted the draft minutes and approved revisions made to the Committee's remit as summarised.

.2 Estates Committee: The draft minutes of the Estates Committee meeting held on Tuesday 3 March 2020 were noted. The Committee Chair highlighted:

- The Head of Estates had delivered a presentation summarising the 2019 College building condition survey (and the further analysis work undertaken since December 2019) which clearly showed that the level of investment required to maintain the current estate would not be met from current SFC funding streams – and the recent Scottish Government draft budget announcement was not expected to change that position. This created a very challenging environment for the College to operate in with several competing demands to satisfy with a limited level of funding. The College did not expect to see significant increases in the availability of SFC funding, nor had it been indicated that material levels of infrastructure funding would be provided imminently towards the development of new campuses.

The Board **noted** the draft minutes and update and looked forward to receiving a presentation on the 2019 College building condition survey at its 15 June 2020 meeting.
{ACTION – JUNE AGENDA}

.3 F & GP Committee: The Vice Principal Operations reported that the F & GP Committee met on Tuesday 10 March 2020 and he highlighted key points of discussion.

- **Management Accounts for the three-month period to 31 January 2020** - The Vice Principal Operations presented the Management Accounts for the six-month period to 31 January 2020. Since their circulation with the Board papers on 16 March, however, circumstances had changed dramatically in relation to the Coronavirus and, to date, it was uncertain how this would impact the College accounts going forward or indeed the sector.

The Board **noted** the report of the meeting as well as the Management Accounts for the three-month period to 31 January 2020.

.4 Audit Committee: The Committee Chair reported that the Audit Committee met on Thursday 12 March 2020. He highlighted key points of discussion.

- **Anti-bribery and Corruption Policy** – The Vice Principal Operations led the Board through the updated Policy which **was approved.**

- **Internal and Other Audit Services –** The Vice Principal Operations summarised the actions taken by the College to procure the combined contract for internal and other audit services. **The Board of Management approved the award of the contract for the supply of Internal and Other Audit Services to Wylie & Bisset:**
• **for 50 days of internal audit work and 15 days for other audit services; and**
• **for an initial period of three years (1 August 2020 to 31 July 2023) with the option to extend for two further individual years.**

.5 HRCDC Committee - The Board Chair reported that the due to escalating events, the HRCDC Committee meeting scheduled for Tuesday 17 March 2020 had been cancelled.

.6 Remuneration Committee – In the absence of the Committee Chair, the Board Chair reported that the Remuneration Committee had met on Monday 3 February 2020. She led the Board through key matters discussed at the meeting and decisions made which **the Board endorsed.**

BM621   BOARD OF MANAGEMENT
.1 Proposed dates of meetings in 2019/20 - Consideration had been given to the proposed dates of Board meetings for session 2020/21 and these had been agreed with the Chair. It was proposed that the Board continue to schedule five meetings during the year following a similar pattern to that of the current session and should continue to meet on Mondays starting at 4.00p.m. (unless otherwise notified). The proposed dates of meetings in 2020/21 were therefore:
    Monday 5 October 2020
    Monday 14 December 2020

Monday 1 February 2021
Monday 22 March 2021
Monday 14 June 2021

Consideration would now be given to the dates of the various Committee meetings to be scheduled for session 2020/21.

The Board **approved** the proposed dates of its meetings in session 2020/21 and agreed that consideration could now be given to the dates of the various Committee meetings.

.2 Membership, Dates of Meetings and Schedule of Business 2019/20
The Board **noted** its membership, proposed schedule of business for 2019-20 and the dates of Board and committee meetings for session 2019-20.

BM622   REPORT ON DELEGATED ACTION TAKEN SINCE LAST MEETING
The Board **noted** that the previous Chair had assigned the two new Board members (Fiona and Sabira) to Committees as follows:
- Fiona McKerrell - LTQC
- Sabira Akram – HRCDC

BM623   ANY OTHER BUSINESS

No other business items were raised.

BM624   DATE OF NEXT MEETING
Monday 15 June 2020 at 4.00 p.m. at the **Paisley Campus (TBC nearer the time).**

Board of Management: Meeting of 23 March 2020
Actions from the Minutes

Date of meeting	Min Ref	Matter for Action	Responsible Person	Action Taken	Timescale (where applicable)
23 March 2020	BM610	The presentation and discussion scheduled with two inspectors from Education Scotland on their College Progress Visit Report - postponed until a later date.	Shirley Gordon	Will rearrange with Janet and John.	tbc
	BM616	The Principal to pass on sincere appreciation to everyone in the College and ask them to stay healthy, safe and positive.	Liz Connolly	Via Principal articles in the Homeworking Times	Complete
	BM616	Business Transformation Plan - Board to be kept informed of progress in discussions with SFC.	L Connolly		Ongoing Board updates via the CE Report
	BM616	The Principal and Chair agreed to raise any likely implications of Barnett consequentials via the Principals Group and Chairs Group respectively.	L Connolly and W Hatton	Raised at the Chairs Group on 28 April 2020.	Complete
	BM618	The Vice Principal Operations would share, with the Audit Committee Chair, a draft of a new format of the risk report to be used going forward (to ensure it was presented in a way that was as accessible and easy to follow as possible for the wider College audience).	D Alexander		Prior to 21 May Audit Committee meeting. Complete.
	BM618	The Vice Principal Operations was asked to thank all staff who had contributed to the Risk Framework documents.	D Alexander		Complete

	BM619	KPIs - some analysis work to be undertaken to review overall performance prior to the coronavirus pandemic so that new base and pro-rata performance indicators would be available.	S Graham		tbc
	BM619	Draft Regional Outcome Agreement - to be submitted to the SFC by end April 2020.	S Graham		To SFC before end April 2020 Complete
	BM620	Board to receive the same presentation that the Estates Committee received on 10/12/19 on the College's estate	D Alexander		tbc
		Actions from previous minutes			
3 Feb 2020	BM600	Greenock Campus - continue to report progress to Board meetings.	L Connolly		Ongoing Board updates via the CE Report
	BM605	Suggested as future Board briefings: - The role of the College as a Corporate Parent.	?		Future Board meeting - tbc.
9 Dec 2019	BM591.3	Student Support: Presentation to the Board on the College's provision of support for care experienced, carers and estranged students.	S Graham I Forster-Smith		tbc
7 Oct 2018	BM565 (i) 544	Brexit – small group to be established to consider what kind of College there should be in the future and align this with the potential impact of Brexit.	?	Board to return to this matter once more information is available	Future meeting - tbc
	BM570 (v) 515.1	Chair's Report - Review of Committee Structure – Board supported the proposals emerging.	Chair / L Connolly		Future meeting - tbc

		Further consideration to be given to how to achieve them.			

The Student Association Board June 2020

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

The SA President would first of all like to thank Priya for all the hard work and dedication she has given the Student Association over the last year. Priya will finish up at the end of this month for the 2019/2020 session and will not be returning for 2020/2021. The rest of the current SA team will return and will be joined by the new Greenock VP Paul Sefton in August.

We are working in partnership with the college to support students through the COVID-19 pandemic, this has included promoting online resources for the students as well as sharing any relevant information on the SA's forms of social media. Furthermore, it has meant liaison with the finance department regarding student hardship funds and having regular meetings with both Alan and Vivienne to discuss this and ensure students are supported in the best way possible. We are also available for students through email, phone and social media platforms and continue to provide any support and guidance to student that is necessary.

We attended our first online NUS Scotland conference which was an unusual experience to say the least! However, many motions were passed around mental health, including a motion put forward by WCS SA. There were also motions on accommodation, travel and many other relevant student issues. These will all be worked on over the next 2 years by the new NUS Scotland President Matt Crilly, who we look forward to working with.

May mental month has been promoted online using our social media platforms, this has been done by providing students with information of coping with working from home. Information and organisations to help and support students were promoted especially around stress and anxiety during this uncertain time.

Finally, we are working to prepare for the next academic year. This is something that is challenging as we are unsure what next year will look like, especially for freshers. Due to this we are looking into different ways to ensure students still get that freshers experience, this may include 'goodie' bags being available throughout the college with items from different companies/organisations. This is something we are still uncertain of and will be in touch with organisations and companies soon to

enquire about the possibility of this. Also, we are confirming officer areas of interest to take forward for the yearly plan for 2020/2021.

• Student Induction – available online, refreshed and professional voice over – aims to raise SA profile early on and consistently across all students

•Updates to the Student Behaviours Framework to incorporate student guidance on appropriate behaviours for online learning

•Introduction of Online training for student (class) reps

Any questions are welcome.

TITLE: **CHIEF EXECUTIVE'S REPORT**

Action: The Principal has provided a report on a range of matters. This report is mainly for discussion and noting.

Lead Liz Connolly, Principal and Chief Executive

Status Open

1   Covid-19

1.1   Moving to Remote Working

As members are aware College buildings were closed on Friday 20th march. In the two weeks prior to this our focus was to ensure that as many college functions as possible could be delivered remotely. Allowing staff and students to work, teach and learn from home.

In addressing the challenges faced, the College implemented its Business Continuity Planning arrangements and formed a Covid-19 response Team comprising the Executive, members of SMT and other operational managers as required. The work of the Team has been wide ranging.

Initially the College undertook an overall assessment which considered potential sources of exposure as a result of the coronavirus including
- Employee health and well being
- Health and safety
- Business impacts and interruption to the provision of learning and teaching
- Supply chain disruption
- Rapidly changing government advice or regulation
- Financial and cashflow impacts
- Impacts and demands on IT and estate infrastructure

This formed the basis of our initial planning.

1.2   Working in Lockdown

Arrangements for Learning and Teaching

During lockdown a staff weekly meeting structure was established with team meetings from APs and Heads through to CQLs and Lecturers. Lecturers were IT enabled and have responded well to both delivering classes online and communicating regularly with students.

Online learning has progressed using a broad range of technology in response to different subject needs and student IT capability. i.e. making learning accessible on mobile phones or through social media, as well as using Moodle and standard communication platforms. Student engagement overall has been reasonably high in most curriculum areas and particularly at HE level. There are some students who were unable to fully engage through lack of technology and some subjects which cannot be progressed due to lack of access to specialist facilities.

Market demand for Distance Learning courses has increased, although understandably there has been some reduction in engagement from those working in care previously undertaking care distance learning courses. Staff are in regular contact with learners to encourage them to continue or provide support.

Support for Students

Ongoing support has been provided for students including learning support from the Enabling Services Team and general advice from the Student Advisory Team. Counselling support has continued online and through the telephone. Students continue to have access to Silver Cloud the online health and wellbeing tool and the Safeguarding team have been proactive in monitoring this and making contact with any students where there are concerns expressed. General and individual mental health and wellbeing support is available through the intranet and online sessions replacing the 'Gie Us a Break Cafes'. The Student Association have posted regular social media updates and a dedicated area is available on the student intranet to provide COVID guidance. The Nursery staff have been using Facebook to keep connections with children and parents, provide support and ideas for activities with the children.

Assessment and Qualifications

Significant collaborative work has been undertaken with the college network nationally and with Awarding Bodies to influence decisions and the resulting guidance for assessment. A holistic approach is now being taken forward for course assessment and adapted for particular subject areas. The approach requires decision making by course teams.

To ensure a standardised approach, the College has developed specific college guidance and curriculum teams are using Microsoft Teams to communicate and retain evidence of assessment decisions. Internal Quality Assurance Panels have been set up to quality assure assessment decisions. This is major exercise involving adapting assessments, making holistic assessment decisions and where possible enabling students to complete their awards. Where this is not possible, students will be deferred to complete when we have access to the facilities required.

Some of our short courses planned for this period have not been able to be run, as well as much of our commercial delivery. This will impact on both our overall credits and income for 2019-20.

IT Support

Critical to the delivery of remote learning and remote working is flexible and robust IT support. Throughout the lockdown period our IT team has continued to provide remote helpdesk services to staff, with there being a particular focus on supporting the expansion of online forms of teaching, learning and working. The IT team have also responded to the need to provide additional equipment to staff and high priority students throughout the period as specific and additional requirements have been identified, sourcing, configuring and delivering kit as required.

1.3 Mobilisation for Academic Year 2020-21

On 21st May the Scottish Government published its 'Routemap for Moving out of Lockdown.' This sets out a high level plan for the reopening of society and the economy.

The Plan states that in Phase 3 'We are planning for a phased return for universities and colleges with a blended model of remote learning and limited on campus learning where prioritised. Public health measures including physical distancing will be in place.'

And in Phase 4 'College and university campuses would be fully open - including key student services - with any necessary precautions.'

There are certain criteria that have to be met to move from one phase to the next, so the exact timing of each has yet to be determined, but the working assumption is that each phase would last a minimum of three weeks.

Mobilisation Team

In order to manage the considerable work that is required to plan for safe opening of the college buildings and delivery of our curriculum in a new way, we have set up a mobilisation team which includes representatives from across the College including curriculum, estates, HR, Health and safety, IT and communications. Our Trade Unions and the College Student President are also part of the team. We have also secured some project management resource to help us manage this process over the next couple of months.

The College has set out three key principles which will guide the work of the mobilisation team:

- To have the fewest possible number of people on campus at any one time
- To ensure the safest possible environment for those on campus
- To ensure the best possible learning and working experience for students and staff

Significant planning work has already been undertaken by individual teams within the college, the role of the mobilisation group is to bring this all together and make sure that everything happens in the correct sequence and at the appropriate time.

Curriculum Planning and student recruitment

Student recruitment has been ongoing through out the lockdown period, with online & telephone interviews taking place. Applications are slightly reduced and

the college is enhancing course marketing along with the national campaign for colleges.

In agreement with EIS, full time course start dates have been delayed by four weeks until 21 September in order to increase time for preparation for curriculum delivery to meet social distancing requirements. An online student induction programme for the summer is being developed to help prepare students for a different learning experience next session. This will be supplemented by paper communications to ensure all students are included.

The period before courses start will be used to complete the 2019-20 courses where student results have had to be deferred due to the practical nature of the course (particularly Construction and Engineering) and for individual students to complete, where their personal circumstances have not allowed them to this session. Curriculum teams are currently finalising Deferral Activity Plans as assessment and Internal Quality Approval Panels are concluded.

Curriculum plans for next session's delivery are progressing well although this is a complex task. Ideas and approaches have been shared across the Sectors and Heads are working collaboratively with each other and their staff, as well as with other colleges for some materials development. Significant off campus learning is planned in curriculum areas where this is possible and practical areas are planning dividing classes and amending activities to meet social distancing restrictions. Whilst schedules are being amended to deliver more theoretical subjects at the start of courses and for students to study more remotely, consideration is also being given to ensuring student motivation and engagement and enabling the social elements of courses and peer learning to be replicated in some way.

The period before full time classes start will also be used for staff CPD, particularly to support blended learning. A digital JISC self-assessment tool is being used to support this CPD programme.

1.4   Digital Poverty

If we are to deliver more of our curriculum remotely it is important that our students have the technology to access their learning. The sector is in discussion with the SFC and the Scottish Government to determine if additional resource is available to support this. However, the College believes that this is a priority and so we are looking at options to repurpose resource in order to invest in additional kit to support our student body.

1.5   Furlough

While the College is a public body, guidance has been received from the SFC which advises that Colleges can furlough staff. This is on the basis that not all of the colleges income is from the public sector. Essentially the guidance is that the College can furlough a percentage of staff that is equivalent to the percentage of

non public sector income. The College has been in ongoing discussion with SFC around some of the details of this. At the time of writing we are in discussion with our Trade Unions on this with a view to putting in an application in early June. For any staff that are furloughed the College would pay the balance of their salary and pension contributions ensuring that no staff suffered any detriment.

1.6   Supporting Our Communities

Throughout the period of lockdown the College has continued to play a key role in our local communities. At the time of lockdown the College donated a significant quantity of hand sanitiser to a local health and social care partnership. During April College staff identified, and sourced over 27,000 pieces of PPE which were donated to NHS Scotland.

The College has provided West Dunbartonshire Council with equipment to support the training of new care staff in Moving and Handling.

The College has supported the call for volunteers from our Local Authority partners with many of our staff volunteering to support essential services.

1.7   Staff and Student Communications

The use of the College website and social media has been crucial in ensuring that contact has been maintained with staff and students. The College has created a newsletter 'Homeworking Times' which has enabled staff participation and engagement, with a wide range of social media and the College intranet also used extensively.

The College continues to meet with the Student Association to ensure contact on key issues – such as student funding is maintained with students.

1.8   Graduation

Due to social distancing requirements the College will be unable to hold traditional Graduation Ceremonies this year. The marketing Team are planning to hold virtual graduations, based on models used by other institutions. This years' Graduates will also be given the option to attend a physical graduation next year if they wish.

1.9   Cross Sector working to Plan for Academic Year 2020-21

A cross sector group has been established to support the planning for reopening in Academic Year 2020-21. While recognising that each College will be making its own plans the group is looking to share good practice and ideas and to eliminate, where possible, any unnecessary duplication.

Representatives from the group are also working with the Scottish Government. The SFC and our Trade Unions to prepare safe opening guidance for the sector.

2   Greenock Campus

2.1   As previously reported, there have been two meetings between the management team, union representatives and the Student President and Vice President to discuss the contents of the '10 point plan' for Greenock previously presented to the Board.

2.2   Two meetings that had been scheduled for this group since lockdown have, unfortunately, had to be cancelled due to key individuals being unable to attend. It is intended that a meeting will be held to progress this before the end of term.

3   Business transformation Plan

3.1   As previously reported, ongoing positive and constructive discussions have been held with SFC in respect of the balance and nature of activity, particularly our on-line learning offering. Consideration has also been given to the level of our Price Group 5 activity and how we are funded for this.

3.2   These discussions have led SFC to suggest that there could be a reduction in our credit target for 2020-21 whilst maintaining our level of funding.

3.3   When SFC announced College budgets it was confirmed that the College's credit target had been reduced by 5000 with no reduction in our core funding. This is a significant deliverable in respect of our Business transformation plan.

TITLE: **Chair's Report**

Chair's Induction
- Thank you to those Board members with whom I have been able to meet since the last Board meeting. They have given me an opportunity to get to know them a little bit better, and a sense of their respective areas of interest and perspective on the Board and College.
- I attended the Estates Committee; Human resources and Corporate Development Committee; and Learning, Teaching and Quality Committee May meetings, all which enabled me to have a much greater appreciation of the issues each is dealing with. I am due to attend the Finance and General Purposes Committee on 2 June 2020.

Interim Update to Board members
At the end of April, I updated Board members on the range of activities which I was involved in since the March 2020 Board meeting. These included:
- **Colleges Scotland**
  Attendance at the AGM 26 March 2020 to adopt and approve the Annual accounts.
- **Colleges Scotland Board**
  As agreed at the AGM, the Board would meet monthly in the light of Covid19. I attended the first two extra Board meetings on 6 April 2020 and 6 May 2020, at which ddiscussions focused primarily around Covid19 and implications within the sector, and sharing experiences.
- **Scottish Government Review - Model Code of Conduct for Members of Devolved Public Bodies**
  Thank you to those Board members who contributed to the consultation process and their comments were taken into account in shaping the WCS response.
- **Chairs meetings 28 April 2020**
  Attended a second Chairs meeting, in addition to regular dialogue to share information and comments through the Chairs What's App Group. Received high-level updates on activities related to the various key partner organisations, including Scottish Funding Council and associated funding uncertainties and qualifications awarding bodies.

Meeting between Richard Lochhead, MSP, and College Chairs
I attended the meeting on 15 May 2020 where there was open and constructive discussions over a range of issues. There was explicit and positive recognition by the Minister that the sector has responded well to Covid19 and a key role to play in the recovery and growth of the Scottish economy. He gave a clear message that the sector should work in collaboration with key external partners in shaping a sustainable and strong future post-Covid19.

College Chairs held another meeting on 28 May 2020 to consider follow-up actions. WCS was represented by Vice-chair, Jackie Henry. As a result, it is proposed that there will be 3 Chair-led workgroups with a focus at the high-level on future delivery for the economy, for communities and for learners.

A second meeting has been arranged with the Minister for 17 June 2020.

Regular meetings with Principal/CEO
The Principal/CEO and I 'meet' weekly over Covid19 implications for the College and other relevant matters.

1 June 2020

TITLE: **MANAGEMENT ACCOUNTS TO 31 MARCH 2020**

Background: This paper presents to the Board of Management the Management Accounts for the period to 31 March 2020. The COVID-19 pandemic has had a material impact on the operations of West College Scotland and the financial position for 2019-20 and beyond. The March 2020 financial forecast to 31 July 2020 is based upon the current information available to the College. This will require to be updated as further clarification is received from the Scottish Funding Council and other key stakeholders.

                    The Management Accounts for the period to 31 March 2020 were considered and approved at the 2 June 2020 Finance and General Purposes Committee meeting.

Action: The Board of Management is requested to note:

- the revised 2019-20 adjusted operating position;
- the detailed impact that COVID-19 has had on the operations and financial position of the College;
- the cashflow position; and
- the Management Accounts for the period to 31 March 2020

Lead: David Alexander, Vice Principal Operations

Status: Open

1.   Introduction

1.1   The Management Accounts presented are for the period to 31 March 2020 and contain the following information:

- An Executive Summary, which provides a summary of those matters which require to be drawn to the attention of the Board of Management and an overview of those factors with a potential to impact the accounts.

- The Statement of Comprehensive Income and Expenditure provides a summary of the financial position and shows a comparison of the approved 2019-20 budget with the full year forecast position to 31 July 2020. This statement also includes the audited 2018-19 figures for comparison.

- An analysis of key variances provides detail of the movement between the budgeted and forecast position for 2019-20.

- The Balance Sheet reflects the assets and liabilities of the College.

- The cashflow analysis shows the actual cash position to date and forecasts the cashflow to 31 July 2020.

- The student funding analysis provides a summary of the budgeted and forecast income and expenditure to 31 July 2020 resulting from the processing of student bursary, childcare and discretionary expenditure. The only element which is recorded within the College Statement of Comprehensive Income and Expenditure is childcare income and expenditure as the College is deemed to act as an agent for these funds. All other funds are accounted for through the College balance sheet.

- The financial graphs and performance indicators provide background information about income and expenditure and highlight the main indicators of financial sustainability.

- The aged debt analysis shows a summary of the age of the sales ledger along with a split between corporate and student debt. The emphasis continues to be the reduction in the level of debt in excess of 3 months.

2.0   Overview – Management Accounts as at 31 March 2020

2.1   On 23 March 2020 the College Board of Management received the Management Accounts for the 6-month period to 31 January 2020, which forecast an adjusted operating surplus of £25,000 for the 2019-20 financial year, effectively a break-even position. This January 2020 forecast was in line with the 2019-20 adjusted operating surplus as approved by the Board of Management in June 2019 of £25,000.

2.2   However, the COVID-19 pandemic required the closure of all on-site operations on 20 March 2020 – at which point the College had been forecasting an adjusted operating surplus of £35,000 to 31 July 2020, effectively a breakeven position. The College has therefore required to reassess the financial forecast position since 20 March 2020 given the significant operational and financial impacts arising from COVID-19. The Management Accounts as at 31 March 2020 outline those variances which occurred between 31 January 2020 and 20 March 2020 (at which point the College was forecasting a £35,000 underlying surplus position) – and variances arising due to the impacts of COVID-19.

Adjusted Operating Position as at 31 July 2020

2.3   As a result of the closure of onsite operations due to the COVID-19 lockdown period, the College is now currently forecasting an adjusted operating deficit of (£3.9m). The College confirmed this revised forecast position and deficit figure to the SFC in submitting a requested financial Mid Year Return (MYR) on 19 May 2020.   Until the closure on 20 March 2020 the College was continuing to forecast that the required £1.4m of efficiencies would be achieved during 2019-20 in line with the Business Transformation Plan agreed with the SFC – however ultimately the £1.4m of efficiency savings have been overtaken by the scale of the financial deficit now being forecast due to the impacts arising from COVID-19.

2.4   It should be noted that this current forecast deficit of (£3.9m) is based on information available to the College at this time – and it is likely the forecast outturn position may be subject to some change as further information becomes available from the SFC and Scottish Government over the coming months. Key areas of consideration include:

- the college sector has now been asked by the SFC to consider making an application to the UK Government Job Retention Scheme – and while this is being considered, no funds from this source have been assumed within the current College outturn forecast.

- There are also a number of areas – including income arising from ESF credit activity, Flexible Workforce Development Fund, Skills Development Scotland, commercial activity and tuition fees – where the position remains to be confirmed by the SFC for 2019-20 – and in these cases the College has adopted a prudent approach within the March Management Accounts in assuming no further income is likely to arise during 2019-20.

- While there are some savings arising from the current COVID-19 lockdown – in relation to areas such as utility costs – these are minimal, and far outweighed by the projected loss of significant income.

- The College financial forecast assumes there will be no changes to curriculum delivery with the College remaining closed to on-site delivery until after 31 July 2020.

2.5 However, while it is likely that further guidance and clarification from the SFC and Scottish Government in relation to these areas may result in changes to the outturn position as at 31 July 2020, it is anticipated the College will still have an adjusted deficit position at the year end due to the impacts arising from COVID-19.

Financial Accounting Position as at 31 July 2020

2.6 In approving the College budget for 2019-20, the key indicator of financial health that is used– in accordance with SFC and Audit Scotland guidance – is the adjusted operating position. As outlined above, the Board of Management approved budget for 2019-20 forecast an adjusted operating surplus of £25,000, effectively a break-even position. In accounting terms, this would have resulted in a financial accounting deficit of (£2,996,000) as at 31 July 2020 - after adjusting for depreciation and loan repayments. Thus, given that the College adjusted operating position is now forecasting a deficit position due to the impacts of COVID-19, this means there is also movement in the forecast relating to the overall financial accounting position – and the College is now forecasting an overall financial accounting deficit of (£6,908,000) as at 31 July 2020.

2.7 It should be noted that the overall financial deficit of (£6,908,000) currently forecast for 2019-20 is prior to:

- the impact of the annual pension valuation, the outcome of which will not be known until September 2020; and

- any movement in the staff holiday pay provision (non-cash) which will be calculated as part of the year end work. This provision is likely to increase due to staff not taking holiday during the College closure resulting in a higher year end provision and subsequent charge to the profit and loss account.

Cashflow Position

2.8 The availability of cash in order to support ongoing College operations is essential. The Management Accounts as at 31 March 2020 show that the College is continuing to maintain cashflow levels that enable this to be achieved – with it being estimated that 32 days of cash will be in place as at 31 July 2020. It is important to note however that the College cash position includes amounts relating to:

- SFC estates maintenance funding. The College currently has £2.0m of cash in place as received from the SFC for projects scheduled to be delivered during 2019-20, - however these projects have now been delayed. £1.2m of this relates to the project to transfer curriculum activity from the Centre for Performing Arts in Paisley to the Renfrew Road Campus. The College is committed to these projects which have been approved by the College Estates Committee and Board of Management and it is intended they will be progressed to completion following the COVID-19 lockdown period;

- ESF funded credit activity. The College is currently forecasting that this credit activity will not be delivered during 2019-20 due to the impact of COVID-19 on operations, thus there is a risk that the College could be asked to repay approximately £1.2m of cash relating to this activity. The College is currently awaiting guidance and clarification from the SFC in relation to this matter.

- Flexible Workforce Development Fund (FWDF). The College is currently forecasting that FWDF training due to be delivered between March and July 2002 will not take place and will require to be rescheduled as required to a later date. There is therefore a risk that the College could be asked to repay cash relating to this activity of approximately £400,000. The College is currently awaiting guidance and clarification from the SFC in relation to this matter.

2.9   As outlined above, the College continues to have cash in place to support ongoing College operations and is forecasting to have a balance of 32 days in place as at 31 July 2020 – however this includes amounts which have been received in relation to estates maintenance projects, ESF credit activity and FWDF training which the College on which clarification and guidance is required from the SFC and Scottish Government. The College will continue to ensure cashflow is monitored on an ongoing basis in order to identify, mitigate and manage any risk which may emerge.

3.0   Conclusion

3.1   The full impact of COVID-19 om College operations and finances will continue to be kept continually under review in the coming weeks and months. However, it is expected that, due to the impacts arising from COVID-19, the College will not be in a position to deliver a breakeven adjusted financial operating outturn for 2019-20, as previously forecast in the January 2020 Management Accounts.

3.2   Significant information is also required from the SFC to enable the College to consider and approve a 2020-21 budget and five-year financial plan. More detail on this is provided under *Agenda Item 10 (2020-21 Budget and Financial Plan).*

3.3   The College will continue to:

- Monitor costs and income closely, to enable the College to continually estimate the financial outturn and cashflow position for 2019-20;

- Re-assess the likely impact upon the College financial outturn and cashflow once the clarifications required from the SFC are provided; and

- Engage on an ongoing basis with the SFC in relation to the financial challenges arising as a result of Covid-19.

4.0   Conclusion

4.1   The Board of Management is requested to note:

- the revised 2019-20 adjusted operating position;
- the detailed impact that COVID-19 has had on the operations and financial position of the College;
- the cashflow position; and
- the Management Accounts for the period to 31 March 2020

Financial Information Pack
2019-20

For the period to 31 March 2020

Financial Information Pack 2019/20

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WEST COLLEGE SCOTLAND

EXECUTIVE SUMMARY

1) Budget 2019-20

The Board of Management approved the 2019-20 College budget on 17 June 2019, which planned for an adjusted operating surplus of £25,000 after accounting for savings of £1.386m. The Covid-19 pandemic required the College to close all on-site operations on 20 March 2020. The impacts arising from Covid-19 has resulted in a forecasted adjusted operating deficit position of (£3,900,000) as at 31 July 2020 . This is based on the core assumption that on-site College operations will not recommence prior to 31 July 2020.

2) Business Transformation Plan

The College Financial Forecast Return (FFR), which was submitted to the SFC in September 2019, recognised the requirement to make significant savings over the coming 5 year period. A College Business Transformation Plan has been updated to reflect these savings and has been submitted to the SFC. Ultimately the overall £1.4m of efficiency savings achieved have been overtaken by the scale of the financial deficit now being forecast. The table below shows the position prior to the impacts from Covid-19

	2018-19 Actual	2019-20 Budget Efficiency Savings	2019-20 March-20 Forecast Efficiency savings	2020-21 Plan £'000	2021-22 Plan £'000
	£'000	£'000	£'000	£'000	£'000
Growth in income	100	0	0	0	0
Funding to meet nursery costs	125	0	0	0	0
Staff voluntary severance	565	685	685	0	0
Staff cost efficiencies	275	300	300	0	0
Reduction in estate expenditure	50	0	0	0	0
Non-staff cost efficiencies	100	401	401	0	0
Savings required/yet to be identified	0	0	0	1,377	1,367
Total	**1,215**	**1,386**	**1,386**	**1,377**	**1,367**

Discussions remain on-going with the SFC as to the level of savings / efficiencies required be to achieved by the College for 2020-21 and beyond. It is anticipated that staffing efficiencies will be a key element of any savings required going forward and SFC has advised that any voluntary severance arising will require to be funded by the College from its own resource. The College anticipates achieving the level of staff savings indicated in 2019-20 through the staff who have previously agreed to leave the College. Further updates will continue to be provided to the Finance and General Purposes Committee and to the Board of Management.

The College continues to undertake a review of financial projections in an uncertain environment. It should be noted there are potentially further movements in the projected savings over the 5 year period depending on the outcome of discussions with the SFC regarding business transformation plans; the outcome of the Scottish Government budget for 2020-21; future SFC funding settlements; the operation of the UK Government's Shared Prosperity Fund, which is to replace European funding; and ongoing College review of staff costs/structures within this challenging context. The major risks which may impact the current financial projections are noted within section 6 of the Executive Summary.

EXECUTIVE SUMMARY (Continued)

3) Adjusted Operating Position

The key identifier of College financial sustainability is the ability of the College to generate an adjusted operating surplus. The table shows the current 2019-20 adjusted operating position and shows what the position was forecasted to be both pre and post the sta Covid-19 crisis:

	2019-20 Post Covid-19 Forecast £'000	2019-20 Pre Covid-19 Forecast £'000	Budget £'000	2018-19 Actual £'000
Financial accounts deficit as per SCI&E	(6,908)	(2,973)	(2,996)	(5,960)
Non-cash pension adjustments	0	0	0	2,834
Financial accounts deficit excluding pensions	(6,908)	(2,973)	(2,996)	(3,126)
Depreciation net of release of deferred capital grant	3,494	3,494	3,531	3,518
Loss on disposal of assets	24	24	0	129
Exceptional income - release prior yr. provisions	0	0	0	0
Revenue funding allocated to loan repayments	(510)	(510)	(510)	(495)
Adjusted operating surplus for the year	**(3,900)**	**35**	**25**	**26**

The table below provides a summary of the variances since the January Management Accounts were presented to the Finance and C Purposes Committee on 10 March 2020. The table shows the adjusted operating position prior to and after the Covid-19 outbreak.

Adjusted Operating Position 2019-20	£'000
Budgeted Adjusted Operating Surplus to 31 July 2020	**25**
Forecast variances against 2019-20 College Budget as at March 2020	
(prior to closure of on-site operations due to Covid-19)	
a) Income	713
b) Salary costs	133
c) Non-staff costs	(836)
Total Variance – March 2020 Forecast to 2019-20 Budget	**10**
Adjusted Operating Surplus forecast to 31 July 2020 as at March 2020 (prior to impact of Covid-19)	**35**
Estimated Covid-19 movements to 31 July 2020	
a) Income	(3,992)
b) Salary costs	(250)
c) Non-staff costs	307
Movement to 31 July 2020 as a direct result of Covid-19	**(3,935)**
Forecasted adjusted operating deficit at 31 July 2020	**(3,900)**

Further detail of the above variances can be found on pages 5 and 6 of this pack.

4) Student Credit Target

	2019-20 Forecast	Budget	2018-19 Actual	2017-18 Actual
Core activity target	157,855	157,855	158,160	160,394
ESF Developing Scotland's Workforce	0	6,264	6,368	7,086
Total	**157,855**	**164,119**	**164,528**	**167,480**

5) Balance Sheet

The College continues to review its forecasted Balance Sheet position.

The impact of Covid-19 on the forecast balance sheet will require the College to engage with the Clydesdale Bank as it will be in breach of the requirement that the adjusted annual surplus is sufficient to cover the principle and interest for that financial year. The Clydesdale Bank loan will have £510,000 remaining to repay at 31 July 2020 and is due to be repaid by 31 July 2021.

The College is forecasting to have £5.3m cash at bank at the end of the year. A full analysis of the College cash flow can by found at page 8 within this pack.

EXECUTIVE SUMMARY (Continued)

6) Key Risks Relating to 2019-20 Accounts

1 Impact of Covid-19

The Covid-19 pandemic represents the most significant challenge faced by the College. It has had a material impact on the operations of West College Scotland and the financial position for 2019-20 and beyond. The College has made an initial assessment of the impact of Covid-19 and this is reflected within the forecast position to 31 July 2020.

The College is currently considering the option and impact of furloughing staff in the support area. The College could potentially furlough up to 150 staff however this requires to be considered against the risk of loss of SDS income.

The College is currently awaiting further guidance and direction from the SFC in relation to several financial and governance matters for the 2019-20 financial position and the 2020-21 budget process and five-year financial plan.

2 European Social Funding

In February 2020 the College received a letter from the SFC indicating that it was looking to recover £100,000 of funding received by the College in relation to the 2015-16 ESF project. This is a sectoral issue with 6 other Colleges receiving similar letters. The SFC contend that the College is not able to provide the required documentation to fully support the amount claimed. The College is of the view that the issue at the centre of the matter is the lack of clarity from the SFC as to what evidence is required to support the ESF funding payments - and this clarity has been sought from SFC not just for 2015-16 claims but also for all years since. The matter will be discussed with the SFC and the College auditors and the Committee will be kept informed of the outcome of those discussions.

The SFC has suspended the recovery of these funds due to Covid-19 and will look to engage with those Colleges impacted by the recovery in due course.

3 Failure to secure funding for future estates / IT investment

The budget has allowed for an element of maintenance expenditure. However should there be a major failure, this could have a significant impact upon the currently reported position.

4 National Bargaining

Job Evaluation

Colleges Scotland has provided the sector with the anticipated costs of Job Evaluation (JE) at a summary college level. The Accounts Direction issued in July 2019 for use in compiling the 2018-19 Statutory Report and Accounts, required colleges to post these artificial figures to the accounts as accrued income and a corresponding accrued salary cost. This project remains ongoing at a national level and there is currently no clarity of what the outcome of the JE exercise will be, or how it may affect the 2019-20 accounts.

National Pay Negotiations

A pay deal has been reached with support staff including the 5 month period from April to August 2020 which therefore aligns both the support and teaching staff pay award date to 1 September each year. The costs have been reflected in the budget and forecast.

5 Estate Strategy

The College continues to implement the Estate Strategy however without material investment the delivery of the strategic objectives will prove challenging. For 2019-20 the financial accounts will not be materially impacted by the implementation of this Strategy. The Board has approved the relocation of the New Street campus activities to the Renfrew Road campus which will see a saving in lease and operating costs from late 2020 .

STATEMENT OF COMPREHENSIVE INCOME AND EXPENDITURE 2019-20
Year to 31 March 2020

	Year to date			Full Year Budget V Forecast			2018/19
	Budget £'000	Actual £'000	Variance (Adv)/Fav £'000	Budget £'000	Forecast £'000	Variance (Adv)/Fav £'000	Actuals £'000
SFC Income	31,535	30,444	(1,091)	47,077	45,889	(1,188)	48,293
Tuition fees and education contracts							
SDS Income	441	298	(143)	1,000	557	(443)	1,092
Fees	4,945	4,417	(528)	5,775	4,628	(1,147)	5,716
	5,386	4,714	(671)	6,775	5,185	(1,590)	6,808
Other Income							
Other Income excluding Interest	1,660	1,663	3	2,496	1,995	(501)	2,457
Interest Received	0	1	1	0	0	0	1
	1,660	1,664	4	2,496	1,995	(501)	2,458
Total Income	38,581	36,822	(1,759)	56,348	53,069	(3,279)	57,559
Total Salaries	(27,706)	(28,312)	(607)	(41,736)	(41,852)	(117)	(41,928)
Property Costs	(2,165)	(2,093)	73	(4,694)	(4,687)	7	(5,060)
Supplies & Services	(3,848)	(3,901)	(54)	(4,411)	(4,925)	(514)	(4,937)
Other Operating Costs	(2,239)	(2,234)	5	(3,680)	(3,702)	(22)	(3,780)
Finance Charges	(101)	(102)	(1)	(162)	(162)	0	(186)
Total Expenditure excluding Salaries	(8,353)	(8,330)	22	(12,947)	(13,476)	(529)	(13,963)
Total Expenditure	(36,059)	(36,642)	(583)	(54,683)	(55,328)	(646)	(55,891)
Deficit before accounting adjustments	2,522	180	(2,342)	1,665	(2,260)	(3,926)	1,667
Release of SFC DCG	769	769	0	1,153	1,153	0	1,247
Release of Non SFC DCG	123	123	0	184	184	0	184
Depreciation	(3,241)	(3,241)	1	(4,868)	(4,831)	37	(4,949)
Net Depreciation	(2,350)	(2,349)	1	(3,531)	(3,494)	37	(3,518)
Loss on disposal of Fixed Asset	0	(25)	(25)	0	(25)	(25)	(129)
Deficit after accounting adjustments	172	(2,194)	(2,366)	(1,866)	(5,778)	(3,912)	(1,980)
Cash budget for priorities	0	0	0	(1,130)	(1,130)	0	(1,144)
Financial accounts deficit	172	(2,194)	(2,366)	(2,996)	(6,908)	(3,912)	(3,122)
Adjusted Operating Position							
Financial accounts deficit				(2,996)	(6,908)		
Add back: Depreciation net of release of deferred capital				3,531	3,494		
Add back: Loss on disposal of assets				0	25		
Less: Revenue funding allocated to loan repayments				(510)	(510)		
Adjusted operating surplus / (deficit) for the year				25	(3,900)		

WEST COLLEGE SCOTLAND

DETAILED VARIANCE ANALYSIS	Variances pre Covid-19 (Adv)/Fav £'000	Variance arising from Covid-19 (Adv)/Fav £'000	Total Var (Adv)/Fav £'000
Board of Management approved deficit for 2019-20			**(2,996)**
Creation of ESF provision for 2015-16 based on SFC guidance	(100)		(100)
Additional SFC income towards additional teaching pension costs	378		378
Adjustment to Estate Maintenance Grant income which is matched to expenditure increase in section 2.20	359		359
Additional support for mental health activities which is matched to an increased level of staff costs as per section 2.16	122		122
Other immaterial movements	13		13
Increase in SFC income due to operational matters	**772**		**772**
2019-20 ESF income removed due to lower credit delivery than anticipated		(1,632)	(1,632)
Flexible Workforce Development Funding reduced		(328)	(328)
Decrease in SFC income due to impact of Covid-19		**(1,960)**	**(1,960)**
Total decrease in SFC income in the year compared to budget	**772**	**(1,960)**	**(1,188)**
Commercial income forecast increased due to increased student numbers	250		250
SDS SVQ income reduced due to slower than anticipated uptake of courses	(50)		(50)
Foundation Apprenticeships increased due to better recruitment of student	50		50
Development funding income increased based on bids delivered	50		50
Lower than anticipated student numbers on HE courses	(320)		(320)
Decrease in tuition fees and education contracts due to operational matters	**(20)**		**(20)**
			0
SDS Modern Apprenticeships / Foundation App / SVQ		(453)	(453)
Development funding (Erasmus project and other similar funding)		(230)	(230)
FE / HE fees repayment of fees provision		(52)	(52)
Cessation of commercial activity and loss of fees		(495)	(495)
Cessation of managing agent (CITB and others) activity		(250)	(250)
International fees reduction		(90)	(90)
Decrease in tuition fees and education contracts due to impact of Covid-19		**(1,570)**	**(1,570)**
Total decrease in tuition / education contracts income in the year compared to budget	**(20)**	**(1,570)**	**(1,590)**
Nursery income reduced due to lower numbers	(28)		(28)
Catering income reduced	(30)		(30)
Other movements	19		19
Decrease in Other Income due to operational matters	**(39)**		**(39)**
Cessation of nursery activity from end of March		(93)	(93)
Cessation of catering function from end of March		(304)	(304)
No further recharges of other education contracts work		(65)	(65)
Decrease in Other Income due to impact of Covid-19		**(462)**	**(462)**
Total decrease in other income in the year compared to budget	**(39)**	**(462)**	**(501)**
TOTAL DECREASE IN INCOME IN THE YEAR COMPARED TO BUDGET	**713**	**(3,992)**	**(3,279)**
Support for mental health staff costs as per section 2.12	(122)		(122)
Staffing efficiencies delivered to March 2020	275		275
Staff restructuring costs	(35)		(35)
Other immaterial movements	15		15
Decrease in Staff Costs due to operational matters	**133**		**133**
Teaching costs based on contractual obligations		(250)	(250)
Increase in Staff Costs due to impact of Covid-19		**(250)**	**(250)**
TOTAL INCREASE IN STAFF EXPENDITURE IN THE YEAR COMPARED TO BUDGET	**133**	**(250)**	**(117)**

DETAILED VARIANCE ANALYSIS	Variances pre Covid-19 (Adv)/Fav £'000	Variance arising from Covid-19 (Adv)/Fav £'000	Total Var (Adv)/Fav £'000
Utility and operating efficiencies realised to March 2020	76		76
Rent increases related to CPA Project	(54)		(54)
Estate maintenance increased costs match to increased income	(359)		(359)
Other immaterial movement in costs	12		12
Increase in Property Expenditure due to operational matters	**(325)**		**(325)**
Utility and operating savings due to closure		332	332
Decrease in Property Expenditure due to impact of Covid-19		**332**	**332**
Total decrease in property expenditure in the year compared to budget	**(325)**	**332**	**7**
Increased cost of delivery of additional commercial work	(200)		(200)
Increased cost of flexible learning	(130)		(130)
Temporary staff cost increased to cover long term absences	(68)		(68)
Other minor increases in costs	(61)		(61)
Increase in Supplies and Services costs due to operational matters	**(459)**		**(459)**
Savings realised in travel, advertising, printing, postage		230	230
Savings realised in teaching consumables		199	199
Cost associated with college closure including PPE and contractual payments		(200)	(200)
Catering cost savings due to cessation of trading		116	116
Business Transformation savings not realised in year due to cessation of operations (see section 2.3)		(401)	(401)
Decrease in Supplies and Services costs due to impact of Covid-19		**(56)**	**(56)**
Total increase in supplies and services expenditure in the year compared to budget	**(459)**	**(56)**	**(515)**
Other movements in expenditure	(52)		(52)
Increase in Other Operating Expenditure due to operational matters	**(52)**		**(52)**
Reduction in staff development activities		30	30
Decrease in Other Operating Expenditure due to impact of Covid-19		**30**	**30**
Total increase in other expenditure in the year compared to budget	**(52)**	**30**	**(22)**
TOTAL INCREASE IN STAFF AND NON-STAFF EXPEDNITURE IN THE YEAR COMPARED TO BUDGET	**(703)**	**56**	**(647)**
NET VARIANCE IN THE YEAR DUE TO OPERATIONAL AND COVID-19	**10**	**(3,936)**	**(3,926)**
FORECAST DEFICIT BEFORE ACCOUNTING ADJUSTMENTS			**(6,921)**
Depreciation adjustment in respect of disposal of asset		37	37
Loss on disposal of Drumry Road property. College retains sale proceeds for investment in estate.		(25)	(25)
FINANCIAL ACCOUNTS DEFICIT AFTER ACCOUNTING ADJUSTMENTS			**(6,908)**

Adjusted Operating Position	Pre Covid-19 £'000	Post Covid-19 £'000	
Opening adjusted operating position	25	35	
Impact from operational variances prior to Covid-19 crisis	10		
Impact from Covid-19 variances		(3,936)	
Forecasted adjusted operating surplus / (deficit)	**35**	**(3,900)**	

WEST COLLEGE SCOTLAND

COLLEGE BALANCE SHEET

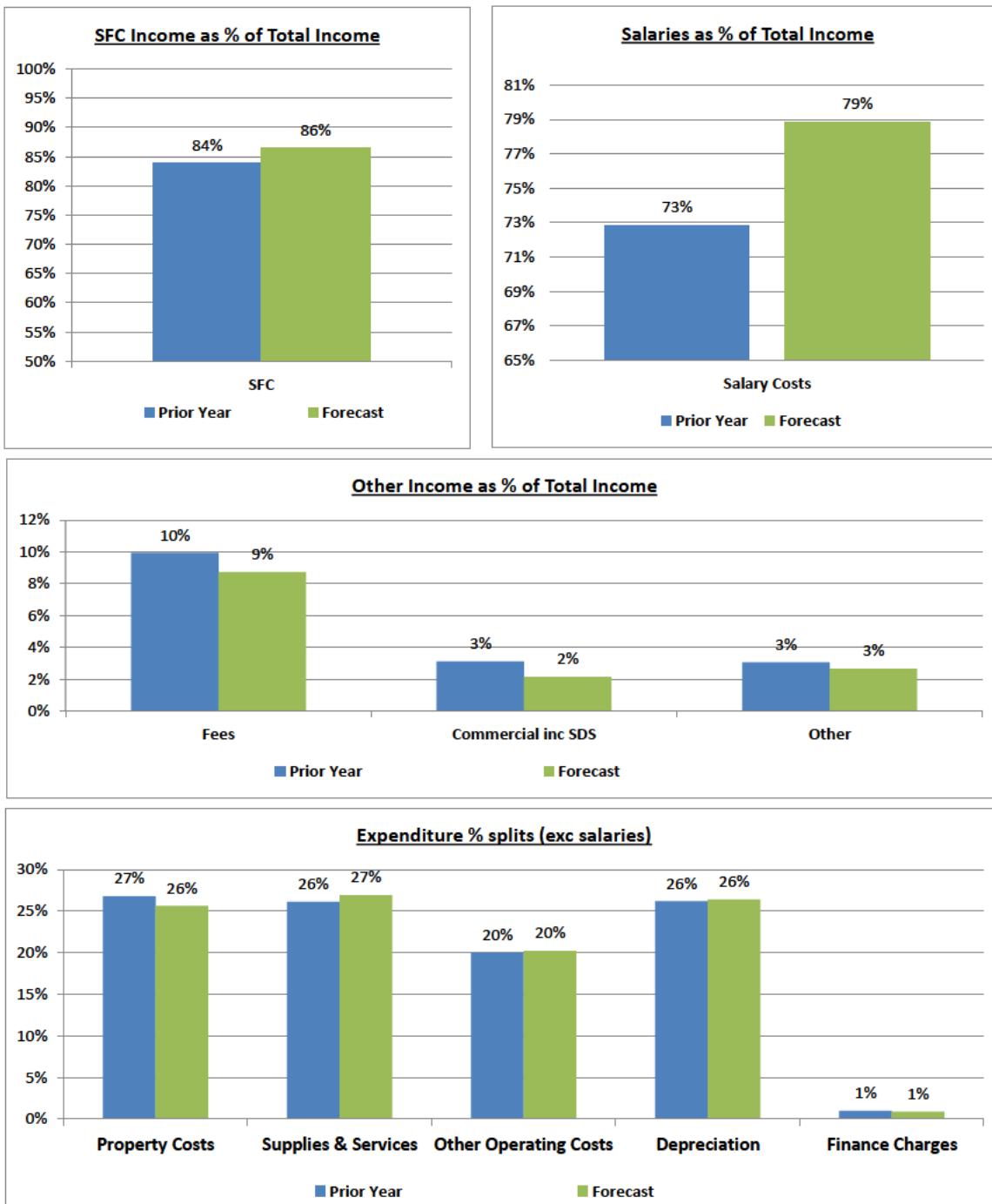|	As at 31 July 2019 £'000	Movement £'000	As at 31 March 2020 £'000	Movement £'000	Forecast 31 July 2020 £'000
Fixed Assets					
Tangible Fixed Assets	101,937	(3,402)	98,535	(1,591)	96,944
Current Assets					
Stock	13	0	13	(0)	13
Trade Debtors	215	330	545	(445)	100
Other Debtors	10	988	998	(990)	8
Prepayments	347	(327)	20	242	262
Other Accrued Income	854	(854)	0	60	60
Scot. Funding Council Debtor	407	4,305	4,712	(4,712)	0
Scot. Funding Council Debtor - Support job evaluation	857	0	857	78	935
Cash at Bank and in Hand	5,677	(3,322)	2,355	2,947	5,302
	8,380	1,120	9,500	(2,820)	6,680
Creditors: Amounts Falling Due					
Within One Year					
Bank Loans/Other Loans	(413)	0	(413)	(9)	(422)
Finance lease	(96)	0	(96)	0	(96)
Trade Creditors	(113)	87	(26)	(74)	(100)
Other Creditors	(162)	105	(57)	(43)	(100)
Other Creditors: Support job evaluation	(857)	0	(857)	(78)	(935)
Accruals & Deferred Income	(3,197)	223	(2,974)	(739)	(3,713)
Scot. Funding Council - Creditor	(2,084)	(1,520)	(3,604)	(23)	(3,627)
Deferred Capital Grant SFC	(1,153)	0	(1,153)	98	(1,055)
Deferred Capital Grant Non SFC	(184)	0	(184)	0	(184)
	(8,259)	(1,106)	(9,365)	(867)	(10,232)
Net Current (Liabilities)/Assets	**121**	**14**	**135**	**(3,687)**	**(3,552)**
Total Assets less Current Liabilities	**102,058**	**(3,388)**	**98,670**	**(5,278)**	**93,392**
After One Year					
Bank Loan	(1,693)	231	(1,462)	191	(1,271)
Finance lease	(128)	80	(48)	16	(32)
Deferred Capital Grant SFC	(23,149)	769	(22,380)	286	(22,094)
Deferred Capital Grant Non SFC	(4,623)	123	(4,500)	61	(4,439)
	(29,593)	1,203	(28,390)	553	(27,836)
Net Assets Excluding Pension Liability	**72,465**	**(2,188)**	**70,280**	**(4,725)**	**65,556**
Net Pension Liability	(22,701)	0	(22,701)	0	(22,701)
Net Assets Including Pension Liability	**49,764**	**(2,188)**	**47,579**	**(4,725)**	**42,855**
Restricted Reserves					
Pension Reserve	(22,701)	0	(22,701)	0	(22,701)
Unrestricted Reserves					
I&E Reserve	14,763	(240)	14,523	(3,856)	10,667
Revaluation Reserve	57,704	(1,946)	55,758	(868)	54,890
	72,465	(2,188)	70,280	(4,724)	65,556
	49,764	**(2,188)**	**47,579**	**(4,724)**	**42,855**

WEST COLLEGE SCOTLAND

CASH FLOW FORECAST FOR THE YEAR ENDED 31 JULY 2020

	Quarter 1 ended Oct 19 Actual £'000	Quarter 2 ended Jan 20 Actual £'000	Quarter 3 ended Apr 20 Forecast £'000	Quarter 4 ended Jul 20 Forecast £'000
COLLEGE CASHFLOW				
SUMMARY POSITION				
College opening cash balance	**5,727**	**4,664**	**2,503**	**2,418**
Net (Outflow)/Inflow in period	(1,063)	(2,161)	(85)	2,478
Closing Bank Balance	**4,664**	**2,503**	**2,418**	**4,896**
Cash Days	31	17	16	32
Included in the above balance at the year end:				
i) SFC Estate maintenance funding				(2,000)
ii) SFC ESF funding - potential clawback				(1,200)
iii) SFC FWDF funding - potential clawback				(424)
Cash balance if these amounts were clawed back				**1,272**
Cash Days				8
Opening College Bank Balance	5,727	4,664	2,503	2,418
INCOME				
SFC Income				
Teaching Grant	10,500	7,000	10,206	11,386
FWDF	184	122	183	-
Estate Maintenance	-	1,000	1,531	-
National Bargaining Harmonisation	65	-	70	-
Teaching pension contribution	190	285	186	378
ESF Income 2018-19	407	-	11	-
ESF Income 2019-20	306	306	306	306
Other SFC: Sanitary Products and Counsellors	-	66	148	-
Other Income				
Other Operating Income	1,336	3,997	2,634	1,259
Inter College receipt from SSF	-	-	-	1,770
Total Income	**12,979**	**12,785**	**15,275**	**15,099**
EXPENDITURE				
Staff Costs	8,831	10,215	12,191	10,853
Restructuring costs	487	91	-	35
Non Staff Costs				
SFC Estate Maintenance	494	576	262	159
Other Operating Costs	2,234	3,936	2,778	1,447
Loan/Lease Repayments	126	128	129	127
Inter College payment to SSF	1,870	-	-	-
Total Expenditure	**14,042**	**14,946**	**15,360**	**12,621**
Net (Outflow)/Inflow	**(1,063)**	**(2,161)**	**(85)**	**2,478**
Closing College Bank Balance	**4,664**	**2,503**	**2,418**	**4,896**
STUDENT SUPPORT FUNDS CASH				
Opening Student Funding Bank Balance	(50)	2,966	1,538	3,214
Income				
Student Funding - SFC FE	3,280	2,700	5,203	2,132
Student Funding - SAAS HE	193	-	129	-
Student Funding - SFC EMA	28	164	140	97
Intercompany SSF receipt from College	1,870	-	-	-
Total Income	**5,371**	**2,864**	**5,472**	**2,229**
Student Funding - SFC FE	2,277	4,150	3,367	3,101
Student Funding - SAAS HE	-	-	300	86
Student Funding - SFC EMA	78	142	129	80
Intercompany SSF payment to College	-	-	-	1,770
Total Expenditure	**2,355**	**4,292**	**3,796**	**5,037**
Net (Outflow)/Inflow	**3,016**	**(1,428)**	**1,676**	**(2,808)**
Closing Student Support Bank Balance	**2,966**	**1,538**	**3,214**	**406**

WEST COLLEGE SCOTLAND

STUDENT SUPPORT FUNDS BUDGET AND FORECAST

	Bursary		FEDF		Childcare		Total			HE Funds	
	Budget £'000	F'Cast £'000	Budget £'000	F'Cast £'000	Budget £'000	F'Cast £'000	Budget £'000	F'Cast £'000		Budget £'000	F'Cast £'000
Income Analysis											
Allocation	9,311	9,532	611	658	1,984	1,716	11,906	11,906		276	276
In-Year Redistribution	-	1,409					-	1,409			10
College Contribution	200	-	-	-	-	-	200	-		-	100
Total Income	**9,511**	**10,941**	**611**	**658**	**1,984**	**1,716**	**12,106**	**13,315**		**276**	**386**
Expenditure Analysis											
Taxis	50	50	-	-			50	50		-	-
Disability Needs	-	-	6	6	-	-	6	6		15	10
SEN	250	250	-	-	-	-	250	250		-	-
Disclosure	-	-	65	40	-	-	65	40		5	-
Childcare Nurseries - Internal	-	-	-	-	388	300	388	300		-	-
HE Childcare - External	-	-	-	-	391	395	391	395		-	-
FE Childcare - External	-	-	-	-	1,205	1,021	1,205	1,021		-	-
Student Maintenance & Travel	8,750	9,361	540	612	-	-	9,290	9,973		256	376
Cost of Course	461	830	-	-	-	-	461	830		-	-
Underspend	-	450	-	-	-	-	-	450		-	-
Total Expenditure	**9,511**	**10,941**	**611**	**658**	**1,984**	**1,716**	**12,106**	**13,315**		**276**	**386**

WEST COLLEGE SCOTLAND

Financial Graphs and Performance Indicators

SFC Income as % of Total Income

SFC: Prior Year 84%, Forecast 86%

Legend: Prior Year, Forecast

Salaries as % of Total Income

Salary Costs: Prior Year 73%, Forecast 79%

Legend: Prior Year, Forecast

Other Income as % of Total Income

	Prior Year	Forecast
Fees	10%	9%
Commercial inc SDS	3%	2%
Other	3%	3%

Legend: Prior Year, Forecast

Expenditure % splits (exc salaries)

	Prior Year	Forecast
Property Costs	27%	26%
Supplies & Services	26%	27%
Other Operating Costs	20%	20%
Depreciation	26%	26%
Finance Charges	1%	1%

Legend: Prior Year, Forecast

	As at 31 July 2019	Forecast 31 July 2020
Debtor Days	37	32
Creditor Days	19	20
Staffing costs as % of income	73%	79%

AGED DEBT ANALYSIS £'000
As at 31 March 2020
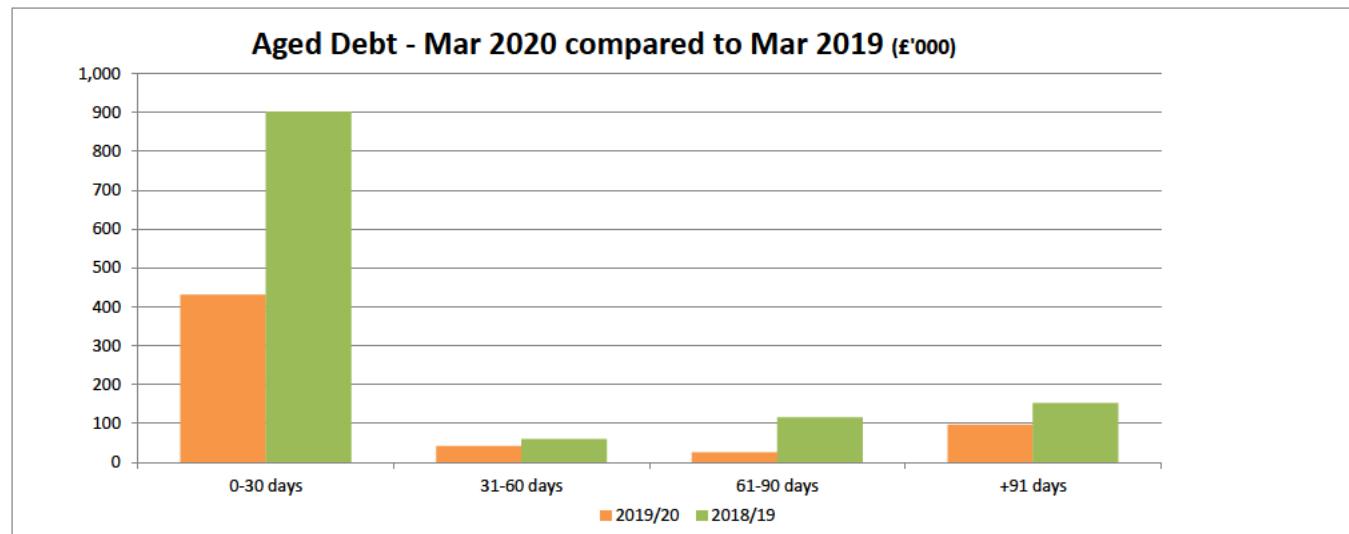
The College continues to seek the recovery of the outstanding fee debt in line with the Fees Policy. Of the total debt of £591k, £128k relates to student debt of which £45k is subject to a payment plan.

Period	2019/20	2018/19	Movement	2019/20	Comments
0-30 days	431	902	(471)	74%	2019-20 includes £156k intercompany debt owed by Student Funding and £80k of SAAS debt to be recevied in April
31-60 days	42	60	(18)	3%	
61-90 days	26	115	(89)	14%	
+91 days	97	152	(55)	9%	
Total	596	1,229	(633)		

Bad Debt Provision	51	58
Net Trade Debtor Balance	545	1,171

TITLE: **BUDGET 2020-21 AND 5-YEAR FINANCIAL FORECAST**

Background: The Covid-19 pandemic has had a material impact on the operations of West College Scotland and the institutional financial position for 2019-20 and beyond. These impacts mean the College is currently awaiting guidance and direction from the SFC in relation to several financial and governance matters for the 2020-21 budget process and five-year financial plan to be presented to the Finance and General Purposes Committee and Board of Management for approval.

This paper provides an update on the 2020-21 College budget process and five-year financial plan and the next steps associated with this.

Action: The Board of Management are requested to:

- note the outcome of the SFC 2020-21 funding announcement;
- consider the status of the 2020-21 budget and five-year financial planning process;
- consider the essential information which requires to be provided by the SFC to enable the College to conclude and approve a 2020-21 budget and five-year financial plan; and
- approve the College proposed next steps.

Lead: David Alexander, Vice Principal Operations

Status: Open

1.0   Introduction

1.1   The Covid-19 pandemic has had a material impact on the operations of West College Scotland and the institutional financial position for 2019-20 and beyond. These impacts mean the College is currently awaiting guidance and direction from the SFC in relation to several financial and governance matters for the 2020-21 budget process and five-year financial plan to be presented to the Finance and General Purposes Committee and Board of Management for approval.

This paper provides an update on the 2020-21 College budget process and five-year financial plan and encompasses:

- a summary of the 2020-21 SFC funding announcement made on 7 April 2020 SFC, Circular SFC/AN/06/2020 – *'College outcome agreement funding allocations for Academic Year 2020-21'*;
- an outline of the governance matters that the Finance and General Purposes Committee and Board of Management require to consider in approving a 2020-21 budget and financial forecast;
- the current position in relation to the 2020-21 College budget process and five-year financial plan;
- an outline of those essential areas where the College requires clarification and direction from the SFC to enable the 2020-21 budget and financial forecast to be concluded for presentation to the Finance and General Purposes Committee and Board of Management; and
- the next steps that the College is proposing to take in order to progress the 2020-21 budget and five-year financial plan for presentation to the Board of Management.

2.   SFC Funding Announcement 2020-21

2.1   2020-21 SFC Funding Allocation – Overall College Sector Allocation

2.1.1   The SFC issued Circular SFC/AN/06/2020 - *College outcome agreement funding allocations for Academic Year 2020-21* - on 7 April 2020. The funding decisions set out in this announcement are based on the Scottish Government's Scottish Budget 2020-21, approved by the Scottish Parliament on 5 March 2020. In providing this Circular SFC also advised that there would be no updated Ministerial guidance issued at this point – and that any such guidance would be issued to the sector when received. To date this Ministerial guidance has not been issued to the sector.

2.1.2   It should be noted that the Circular issued on 7 April 2020 did not confirm all elements of 2020-21 SFC funding. These require to be advised over the coming period to enable the College to approve a budget and financial strategy prior to August 2020.

2.1.3   The 7 April 2020 Circular confirmed that SFC's revenue budget for 2020-21 has increased by 6.9% (£42 million) from 2019-20. The key points for the college sector within this 2020-21 academic year funding announcement are summarised within the sections which follow below.

2.1.4   Student activity (credit) volume for the sector is broadly unchanged at 1.7m credits - however there are some changes to individual college/regional targets – with West College Scotland being one of these (*see section 2.2.2, below*)

2.1.5   Core teaching funding has been increased by 5% (£23 million) when compared to 2019-20 - this includes an inflationary uplift of £9.7 million and funding for additional employer's pension costs amounting to £12.9 million. This funding also incorporates an element of funding which has been set aside for the costs associated with support staff and middle management job evaluation. This remains an estimated cost (£12.3 million) as the process of job evaluation for support staff is not yet complete. This funding will continue to be held back until the job evaluation process is complete.

2.1.6   The capital funding budget to support estates maintenance and development has decreased by £11.9 million, however due to the recent completion of Forth Valley College's new Falkirk campus funds have been freed-up to allow an increase of £10.2 million to support sector-wide capital maintenance. £31.2m will therefore be made available for backlog and lifecycle maintenance across the college sector.

2.1.7   £1.5m has also been allocated to provide support for estates business cases for the highest priority campuses. The funding announcement does not specify which colleges this funding will be provided to.

2.1.8   In making the 2020-21 estates maintenance funding allocation SFC have recognised that the sector's backlog and lifecycle maintenance needs continue to far exceed the level of funding available. SFC's allocation methodology remains similar to last year, and is based on a 58/42% split of high priority backlog/lifecycle maintenance costs for the £31m - resulting in a total of £18.2 million for high priority backlog maintenance and £13.0 million for lifecycle maintenance based on share of the sector's volume of activity (credit) target.

2.1.9   Student Support funding for 2020-21 has been set at £138 million, an increase of £15.2 million (12.4%) on what was announced last year – however an additional £10m was also distributed to the sector during 2019-20, so the increase is around £5 million. This budget has been increased to enable colleges to continue to meet Ministerial commitments arising from the implementation of the Independent Review of Student Support recommendations. The main change for 2020-21 is the removal of the age cap for the Care-Experienced bursary, previously only available to 16-25 year olds. In addition, an inflationary increase has been provided to the maintenance bursary.

2.1.10   It should however also be noted that the 7 April 2020 Circular did not confirm the SFC funding allocation for 2020-21 in relation to several areas, including:

- Levels of European Social Fund (ESF) credit activity and associated funding;
- The provision of free sanitary products in colleges; and
- Funding for counsellors to support to mental health and well-being. Counsellor funding for 2020-21 for both colleges and universities will total £3.65 million, however individual institutional allocations remain to be confirmed.

2.1.11   During 2019-20 funding for these areas totalled £1.847m for West College Scotland, a significant amount. These funding allocations will therefore require to be advised over the coming period by the SFC to enable the College to approve a 2020-21 budget and five-year financial strategy prior to August 2020.

2.1.12   The analysis of the SFC 2020-21 funding announcement for West College Scotland as provided at Appendix 1 shows what the final funding position would be should these amounts be confirmed as in line with 2019-20 allocations.

2.2   2020-21 SFC Funding Allocation – West College Scotland

2.2.1   An analysis of the SFC 2020-21 funding for West College Scotland as advised by the 7 April 2020 Circular is provided at Appendix 1. It should be noted that the SFC has previously required colleges to submit a Financial Forecast Return (FFR) covering projections over the next 5 years, and it is anticipated that the this will remain the case following final confirmation of 2020-21 funding levels. However, at this time the College has not received any assumptions from the SFC to be applied in preparing a 2020-21 budget or in undertaking five-year financial modelling - further detail on this is provided below within *Section 3 (Financial Forecast Return – Current Position)* of this paper. The key considerations arising for West College Scotland at this time from the 2020-21 SFC funding allocation outlined on 7 April 2020 are outlined in the paragraphs below.

2.2.2   There is to be a reduction in credit activity of 5,000 for West College Scotland in 2020-21 – from 157,855 to 152,855 - when compared with 2019-20. This is in line with the expectations of the Business Transformation Plan that West College Scotland has previously agreed with the SFC. However, the SFC has not consequently reduced associated teaching funding, with this movement meaning an increase in gross £ per credit for West College Scotland which equates to 8.6%, from £255 in 2019-20 to £277 in 20220-21. This reflects discussions SFC has had with the College to recognise our movement towards higher cost activity over the course of previous years. As a condition of this change, the College must reduce its third-party distance learning activity.

2.2.3   During 2019-20 the College also required to deliver 6,264 credits in addition to the core activity target, with this being funded by ESF. The level of credit activity and associated funding for 2020-21 was not confirmed by the 7 April 2020 Circular, and this information is awaited in the coming weeks.

2.2.4   Core teaching funding for West College Scotland has increased by £1.993m – an increase of 4.9%. However, it should be noted that £1.133m of this allocation has been provided in order to meet the cost of a required increase in employer contributions to the teaching superannuation fund – thus there is an underlying increase of £0.86m (2.1%) when compared to 2019-20.

2.2.5   The core teaching allocation also incorporates an element of funding which has been set aside for the costs associated with support staff and middle management job evaluation. This remains an estimated as the process of job evaluation is not yet complete. This funding will continue to be held back until the job evaluation process is complete.

2.2.6   As outlined above, an allocation has been made by the SFC towards two elements of estates need – and for 2020-21 West College Scotland has received a total estates allocation of £3.767m (2019: £2.531m), an increase of £1.236m (48.4%) when compared to 2019-20. This comprises of:

- £2.574m (2019: £1.710m) to meet high priority backlog maintenance needs – an allocation based on the condition of the College estate - with this being an increase of £0.864m (50.5%) when compared to 2019-20; and
- £1.193m (2019: £0.821m) to meet lifecycle maintenance requirements – an allocation based on the volume of credits delivered by the College – with this being an increase of £0.372m (45.3%) when compared to 2019-20.

2.2.7   Although West College Scotland received the highest SFC 2020-21 funding of any individual institution in the sector for high priority backlog maintenance at £2.574m, this remains significantly lower than the average annual investment of £8.5m that condition surveys advise is required. This means that West College Scotland will continue to face ongoing challenges and choices in managing the estate.

2.2.8   The level of student support funding allocation to WCS for 2020-21 is £13.822m (2019: £13.315m) an increase of £0.507m (3.8%) when compared to 2019-20. This uplift is to meet costs associated with the removal of the age cap for the Care-Experienced bursary, previously only available to 16-25 year olds. In addition, an inflationary increase has been provided to the maintenance bursary.

2.2.9   Funding from net depreciation which can be applied to meet key College priorities continues to be set at £1,639,000 – the same as in 2019-20. This will continue to be applied in order to meet core operational costs including bank loans, ICT and annual pay uplifts.

2.2.10   As noted above several areas of SFC funding remain to be confirmed for 2020-21 – with these having totalled £1.847m for West College Scotland in 2019-20. The analysis of this SFC 2020-21 funding announcement for West College Scotland as provided at Appendix 1 shows what the final funding position would be should these amounts be confirmed as in line with 2019-20 allocations. The full and final SFC decisions on these elements of 2020-21 funding for colleges is awaited and this further information from SFC will be essential in the coming weeks to enable the College to approve a 2020-21 budget prior to August 2020.

2.2.11   It should also be recognised that in addition to the remaining SFC funding to be confirmed for 2020-21, there are a range of wider financial, governance and operational matters that require to be clarified and confirmed by the SFC following on from the impacts of COVID19 in order for the College to progress and conclude the College Financial Forecast Return to the SFC – which incorporates the 2020-21 budget and five year financial plan - prior to August 2020. Clarification and guidance have been sought by the college sector from the SFC in relation to these financial, governance and operational matters - and this information will be essential in the coming weeks in order to inform current and future College plans.

3.0   Financial Forecast Return – Current Position

3.1   The College is required to use the assumptions provided by the SFC as the basis for the annual budget and subsequent 5-year financial plan which is considered by the Board of Management – this is in line with an Audit Scotland recommendation for the college sector. Following Board of Management approval prior to August each year, the College then submitts the budget and five-year financial plan to the SFC.

3.2   The Covid-19 pandemic has impacted the operations of the College with the closure of on-site operations as from 20 March 2020. Since that time the College Finance Director network has been engaging with the SFC to assess the financial and governance impacts arising from this and to seek clarity and confirmation in relation to the FFR process and the financial assumptions to be used in undertaking the 2020-21 budget process and five-year financial plan. However, to date the SFC has not issued any FFR guidance to be used by colleges in order to conclude the 2020-21 budget and five year financial plan – this means that assumptions in relation to key areas including - future sector funding methodology; conditions on clawback of 2020-21 SFC grant-in-aid; staff pay awards; future employer pension contributions; ESF funding and activity; Flexible Workforce Development funding; SDS income and cashflow support – are still to be confirmed.

3.3   It is also the case that the SFC has advised the college sector to consider making an application to the UK Government's Job Retention Scheme for some staff in order to assist with cashflow - and this approach is therefore currently being assessed by West College Scotland. In addition, the college sector is also awaiting guidance in relation to how curriculum course provision may be structured for 2020-21 in order to satisfy SFC funding conditions.

3.4 There is also a need to consider the governance aspects of the current College financial position. It is likely the College will generate an underlying deficit for the 2020-21 financial year given the impact of COVID19 on operations – and until such times as clarification is provided by the SFC in relation to budget assumptions, it is not known if West College Scotland may be in the position of having to consider an underlying budget deficit for 2020-21 – which would still require sufficient levels of cash to be in place in order to sustain College operations throughout the year. Any deficit budget position for 2020-21 – allied with an underlying deficit position for 2019-20 – would require the SFC to provide guidance in relation matters of governance given that the Financial Memorandum with the SFC states that:

'Colleges must manage their activities to remain sustainable and financially viable taking one year with the next.'

3.5 The College does not therefore have the information required at this time from the SFC to present the 2020-21 budget and five year financial plan for consideration by the Finance and General Purposes Committee and Board of Management – and will therefore continue to engage with the SFC in order progress matters in a timely and effective manner prior to August 2020.

4.0   Next Steps

4.1 As outlined above, the College requires to present a 2020-21 budget and five-year financial forecast based on a range of competent assumptions. However, as outlined above, currently no guidance or information has been provided by the SFC to the college sector to enable this process to be concluded to date. The College will therefore:

- continue to engage with the Scottish Funding Council, through the SFC Outcome Agreement Manager and through the college sector Finance Director's network, in seeking to secure the required clarifications and guidance;

- seek to present a draft budget and 5-year financial forecast to the Finance and General Purposes Committee at a meeting to be convened in July 2020 for consideration; and

- seek to present a budget and 5-year financial forecast to the Board of Management at a meeting to be convened in July 2020 for approval.

5.0   Conclusion

5.1   There are several significant impacts on the College operating environment as arising from COVID19 – and these have resulted in the College forecasting an underlying operating deficit for 2019-20.   It is expected the College financial environment will continue to be challenging going forward, however in order to assess the continuing impacts on College finances for 2020-21 and beyond essential clarification and guidance is required from SFC.

5.2   The Board of Management are requested to:

- note the outcome of the SFC 2020-21 funding announcement;
- note the status of the 2020-21 budget and five-year financial planning process;
- consider the essential information which requires to be provided by the SFC to enable the College to conclude and approve a 2020-21 budget and five-year financial plan; and
- approve the College proposed next steps.

2020/21 SFC Funding Update

SFC FUNDING FOR CORE OPERATIONS	2019/20 Final Allocation £	2020/21 Final Allocation £	Final Movement 2019/20 V 2020/21 £	% Final Movement £
SFC Core Grant-in-Aid Allocation:				
Core including national bargaining	£39,451,453	£39,373,554	-£77,899	-0.2%
Job Evaluation Funding	£856,890	£934,789	£77,899	9.1%
Cost of Living Increase	£0	£859,643	£859,643	100.0%
Teachers pension cost increase	£0	£1,133,143	£1,133,143	100.0%
Total Core SFC Grant-In-Aid	£40,308,343	£42,301,129	£1,992,786	4.9%
ESF Funding - Additional Activity	£1,632,461	£1,632,461	£0	0.0%
Total Funding to Support Core Operations	£41,940,804	£43,933,590	£1,992,786	4.8%
Total Funds Arising from Net Depreciation	£1,639,000	£1,639,000	£0	0.0%
	£43,579,804	£45,572,590	£1,992,786	4.6%
Estates Lifecycle Maintenance	£821,000	£1,193,000	£372,000	45.3%
Total SFC Funding to Support Operations	£44,400,804	£46,765,590	£2,364,786	5.3%
Funding for Specific Purposes:				
High priority maintenance	£1,710,000	£2,574,000	£864,000	50.5%
Period poverty	£92,119	£92,119	£0	0.0%
Counselling support	£122,000	£122,000	£0	0.0%
Total Funding for Specific Purposes	£1,924,119	£2,788,119	£864,000	44.9%
Overall Total SFC Income	£46,324,923	£49,553,709	£3,228,786	7.0%
(Including Funding for Specific Purposes)				

SFC STUDENT SUPPORT FUNDING	2019/20 Final Allocation £	2020/21 Final Allocation £	Final Movement 2019/20 V 2020/21 £	% Final Movement £
SFC Core Student Support Funding	£11,905,637	£13,822,121	£1,916,484	16.1%
SFC Core Student Support Funding	£11,905,637	£13,822,121	£1,916,484	16.1%
SFC In-Year Redistribution	£1,409,000	£0	-£1,409,000	-100.0%
Total Student Support Funding	£13,314,637	£13,822,121	£507,484	3.8%

SFC Activity Target	2019/20 Final Credits	2020/21 Final Credits	% Final Movement
Core Activity Target	157,855	152,855	-3.2%
ESF Funded Activity	6,264	6,264	0.0%
Total Credit Target	164,119	159,119	-3.0%

TITLE: **RISK MANAGEMENT STRATEGY AND STRATEGIC RISK REGISTER**

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 Board of Management.

Action: The Board of Management is requested to:
- note the update on the actions taken to embed risk across the College;
- note the next steps in the development of the College Risk Management Strategy;
- approve the updated College Risk Management Strategy; and
- review and approve the College Strategic Risk Register and in doing so consider:
  - The risks included in the register;
  - The revised risk rating both pre and post mitigation;
  - Whether any other risks should be considered for removal; and
  - Whether any new risks should be considered for inclusion.

Lead: David Alexander, Vice Principal Operations

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.

1.2   The current College Risk Management Strategy is provided along with this report (Appendix A). The Strategy contains tracked changes approved by the May 2020 Audit Committee reflecting the recent work undertaken by the Board of Management in developing the College risk management framework.

2.   Development of the College Risk Management Strategy

2.1   The May 2020 Audit Committee received an update report on the progress the College had made in developing the College Risk Management Strategy and noted the following:

- The Risk Management Strategy has been updated to:
  o   reflect the revisions made to the ten risk categories; and
  o   incorporate the approved risk appetite categories and risk appetite statement.

- Due to the requirement to focus resource on the challenges arising from the Covid-19 pandemic over the recent period - it has not been possible to progress the development of a revised format for the Strategic Risk Register as had been agreed with the Audit Committee – it is therefore intended to present this to the September 2020 Audit Committee meeting for consideration.

2.2   A tracked change version of the College Risk Management Strategy is included with this report (Appendix A) for Board of Management to consider – the proposed changes are intended to reflect the recent work undertaken with the Board of Management in developing the College's risk management framework.

2.3   The intention would now be to share a revised format for the Risk Register Report with Audit Committee in September 2020, in order that this may be considered and any further necessary changes to the Risk Management Strategy agreed at that time and then presented to the Board of Management for consideration.

2.4   Once the revised Risk Strategy and Risk Register reporting documents have been approved, they will be disseminated to the wider College.

3. **College Strategic Risk Register Update**

3.1   The Board of Management approved the current version the risk register at its meeting in March 2020.

3.2   Since that meeting the Senior Management Team (SMT) has continued to carry out a review of the College Strategic Risk Register. The mitigating controls have 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 – however it is the impacts arising from the Covid-19 pandemic that have had the most significant impact over the recent period.

Covid-19 Risk Management

3.3   The Covid-19 outbreak is 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. In addressing the challenges, the College implemented its Business Continuity Planning arrangements and has formed a Covid-19 Response Team comprising of members of the Executive, SMT and other operational staff as required. The work of the Response Team has been wide ranging and has included the following:

Reviewing areas of potential exposure:
Initially the College undertook an overall assessment which considered potential sources of exposure as a result of the coronavirus including:
- employee health and well being
- health and safety
- business impacts and interruption to the provision of learning and teaching
- supply chain disruption
- rapidly changing government advice or regulation
- financial and cashflow impacts
- impacts and demands on IT and estate infrastructure

This allowed the College to understand the main scenarios that could most impact operations and to put in place appropriate control and response measures that reflect the exposure.

Reviewing Insurance Policy Cover
- The College insurers, Zurich Municipal, joining most insurers in declaring that the matter of Covid-19 was not a business interruption insurable loss.

Activating the College Business Continuity Management Plans
- The College has made a significant investment in its business continuity plans and this led to the managed closure of all College campuses by 23 March 2020.

- Covid-19 presents a potentially different threat event impacting the College in numerous concurrent ways and potentially limiting options around recovery if other businesses are also affected, or there are logistical limitations.
- The College continues to review and update business continuity plans as a phased response and consider:
    - what is required to limit the impact on the health and wellbeing of employees, students and the public;
    - how best to work with a range of key stakeholders in supporting them and all local communities, and ensuring the College retains a visibility to provide support where possible; and
    - business recovery and mobilisation, to enable the College to recover as quickly as possible based on appropriate Government, SFC and health and safety guidance

Considering Supply Chain Implications
- The College continues to gain an understanding of the potential impact on its supply chain from the coronavirus threat.
- Consideration has been given to not just in the availability of materials but in sourcing and logistics of supplies.
- The College continues to work with the sector procurement centre of excellence (APUC) in order to address these challenges.

Keeping Staff and Students Informed and Updated
- A critical part of any response plan is to keep all stakeholders informed of developments, especially during the extend period of home working.
- The use of the College website and social media has been key to ensuring that contact is maintained with staff and students. The College has created a staff newsletter "*Homeworking Times*" which has enabled staff participation and engagement, with a wide range of social media and the College intranet also used extensively. The College has continued to meet with the Students Association throughout the recent period in order to ensure contact on key issues – such as student funding – is maintained with students.

Creation of a Mobilisation Plan
- The next significant part of the College Business Continuity planning arrangements will be the return to work phase. At this time what that return to work will look like is largely unknown, as is the timing of the return.
- The College has established a Mobilisation Group which will look to advise the Executive of the steps which require to be taken in order to ensure a safe and orderly return to 'the new normal' way of working. This is likely to include:
    - Estate adaptations to buildings to accommodate social distancing;
    - Increased cleaning regimes;
    - Consideration of what learning and teaching will look like with the increased use of technology and distance learning to deliver course;

- o Potential for increased hours of operation, including weekends, to accommodate lower class sizes spread out over longer periods of time.
- o A review of social spaces and areas of congregation, such as canteen and refectory facilities.

3.3 The College Senior Management Team considers that the impacts of Covid-19 outbreak be recorded within the Strategic Risk Register as a significant part of the Business Continuity Risk which was already represented within the register. The primary risk has remained the same with an increased emphasis on the likely impacts of the Covid-19 outbreak:

Previous risk - *Inadequate business continuity / cyber resilience planning leading to material interruptions to service delivery*

Revised risk - *Inadequate business continuity / cyber resilience planning leading to material interruptions to service delivery primarily resulting from Coronavirus epidemic.*

The risk probability and impact has been scored at the highest level of 6 and 4 resulting in a pre and post mitigation score of 24.

3.4 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 risk.

3.5 The Board of Management will be kept update by the Principal as to the continued actions that the College intends taking over the course of the coming months as it looks to mobilise the College operations. The risk will continue to be reviewed as further information and clarity of direction become available.

3.6 It should also be noted that the financial and cashflow implications arising from Covid-19 are expected to be significant for both 2019-20 and 2020-21, and these matters will require to be considered by the Finance and General Purposes Committee and Board of Management. The College is 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.

3.7 The risk register has been aligned to the new Corporate Strategy and this alignment continues to be refined over the course of 2019-20. A copy of the current College Strategic Risk Register is enclosed with this report (Appendix B).

4. **Conclusion**

4.1 The Board of Management is requested to:

- note the update on the actions taken to embed risk across the College;
- note the next steps in the development of the College Risk Management Strategy;
- approve the updated College Risk Management Strategy; and
- review and approve the College Strategic Risk Register and in doing so consider:
  - o The risks included in the register;
  - o The revised risk rating both pre and post mitigation;
  - o Whether any other risks should be considered for removal; and
  - o Whether any new risks should be considered for inclusion.

Risk Management Strategy

Contents

Document control

Version	Date	Review	Summary of changes made
V1.0 Draft	01.09.15	A Ritchie	Initial strategy document for review
V1.2	12.09.15	A Ritchie	Final 2014-17 Strategy for approval
V2.0	04-12-17	A Ritchie	Strategy document review
V2.1	08-05-20	A Ritchie	Inclusion of risk appetite update

1   Introduction from Chair of Board of Management and the <u>Principal</u>

The Financial Memorandum with the Scottish Funding Council (SFC) requires that the governing body complies with the principles of good governance set out in the Code of Good Governance for Scotland's Colleges. The SFC also requires the governing body to ensure that:

- The College has an effective policy of risk management and risk management arrangements;
- Internal audit must provide the governing body and senior management of the College with an objective assessment of adequacy and effectiveness of risk management, internal control, governance and value-for- money; and
- The College undertakes careful appraisal of the risks before accepting any contingent liability.

The College must recognise the environment within which it operates as a non-departmental public body (NDPB). This environment includes compliance with the Scottish Public Finance Manual (SPFM) which requires that it is "…*necessary to develop a framework for assessing risks that evaluates both the likelihood of the risk being realised, and of the impact if the risk is realised. Risk assessment should be recorded in a way that demonstrates clearly the key stages of the process.*" This Strategy therefore takes account of the requirements of the SFC Financial Memorandum and SPFM as required.

In addition to the above requirements the internal auditor must produce an annual report for the governing body on their activities during the year. The report must include an opinion on the adequacy and effectiveness of the College's risk management, internal control and governance. The report must be presented to the College's Audit Committee and a copy provided to the SFC. The College <u>Strategy 2019-2025</u> ~~Vision~~ states that we will <u>be '*Inspirational and Innovative'*</u> ~~seek 'To make a difference', 'To be bold'~~ and ~~'*To be forward thinking'*~~ and achieve the Strategic Priority of being '<u>*Agile and Adaptive' by improving our efficiency and ensuring the best use of all resources.*</u>' ~~delivering '...a sustainable, effective and efficient service'.~~ The Risk Management Strategy is a key link between the Vision and Strategic Priorities, ensuring the College is aware that some risks will always exist and will never be eliminated, however mitigation can be put in place to minimise the impacts and deliver the Vision.

The College recognises that it has a responsibility to manage risks and supports a structured and focused approach to managing them through application of the Risk Management Strategy. In this way the College will better achieve strategic priorities and enhance the value of services it provides to the community.

The approach of the Strategy is that it is owned and led by the Board of Management and it is intended to deliver a more dynamic and inclusive approach to risk management. The Strategy aims to ensure that the Strategic Risk Register is~~will be~~ informed by the College ~~Operational~~ Planning process~~es~~ and ~~from~~ all Board of Management Committees, with a strategic focus which recognises the impact of the wider operating environment on College operations. ~~the objective of being outward facing and strategically focused.~~

The College's Risk Management Strategy objectives are to:

1) Integrate risk management into the culture of the College;
2) Manage risk in accordance with best practice;
3) Anticipate and respond to changing requirements;
4) Prevent injury, damage, losses and reduce the cost and negative impacts of risk; and
5) Raise awareness of the need for risk management by all those connected with delivering the College's Strategic Priorities.

These objectives will be achieved by:

- Establishing clear roles, responsibilities and reporting lines within the College for risk management;
- Providing opportunities for shared learning on risk management across the College;
- Reinforcing the importance of effective risk management as part of everyday work by offering training;
- Incorporating risk management considerations into the annual internal audit plan and any internal / external audit work carried out; and
- Monitoring arrangements on an on-going basis.

The Risk Management Strategy aligns with the Regional Outcome Agreement (ROA) and will be reviewed annually. In the event material amendments to the Strategy are required it will be presented to the Board of Management for approval.

The Board of Management and Senior Management Team are fully committed to the principles of Risk Management and the approach outline within this Strategy.

Approved by:

Dr Waiyin Hatton   **Liz Connelly**
Chair of the Board of Management   **Principal**

2 Risk Management Overview

2.1 Purpose

The purpose of the Risk Management Strategy is to:

- outline West College Scotland's approach to risk management; and
- describe the procedures for the management of risk within the College while detailing the roles and responsibilities of the key business areas.

2.2 Objectives

To ensure the effective delivery of the College Risk Management Strategy, the following objectives require to be progressed by the College Senior Management Team:

1. Undertaking an annual review of the College Risk Management Strategy. The review will ensure clear roles, responsibilities and a reporting framework for the managing of risk across the College is maintained and developed;
2. Development of operational planning guidance on risk identification and translation into strategic risk where appropriate;
3. Monitoring and reporting on risk management arrangements to the Board of Management Audit Committee;
4. Integrating risk management into the culture of the College on an ongoing basis, and raising awareness of the need to manage risk effectively throughout the College;
5. Complying with Corporate Governance and ensuring effective processes are in place to allow the Board to approve the annual Accountability Report, including the section on Risk Management and Internal Controls.

2.3 Definitions

The following represents the meaning of terminology that is used throughout this Strategy document.

- Risk: An uncertain event, which, should it occur, will have an effect on the achievement of objectives. Risks may have a negative effect, in which case they are recorded as threats, or a positive effect, denoted as opportunities.
- Issue: A certain event which is known and will impact upon the achievement of the College's objectives.
- Risk Appetite: ~~The level of risk which is deemed acceptable to the organisation in the pursuit of its objectives.~~ This refers to the level of risk the College is willing to tolerate or accept in the pursuit of its objectives. When considering threats, risk appetite defines the acceptable level of exposure deemed tolerable or justifiable by the College; when considering opportunities, risk appetite defines how much the College is prepared to actively put at risk in order to realise potential or expected benefits.

- Risk Exposure: The calculated level of risk which the organisation is exposed to in pursuit of its objectives.

2.4 Roles and Responsibilities

To be effective, the risk process is recognised as the responsibility of all WCS employees and will integrate with the College operating requirements.

Owner	Role
Board of Management - *Has a fundamental role to play in the management of risk.*	- Provide authority and responsibility for the establishment, maintenance, support and evaluation of the Risk Management Strategy - Set the tone and promote a positive risk culture within the College - Delegate the overall implementation of risk management to the SMT - Have knowledge of the significant risks facing the College
Audit Committee - *Has a fundamental role to play in the review and management of risk.*	- To ensure compliance with corporate governance requirements - To review the Strategic Risk Register and approve for presentation to the Board - To review internal processes and systems and work closely with internal and external auditors to obtain reports on these
Senior Management Team (SMT) - *Support and implement policies approved by the Board of Management.* - *The Senior Management Team consists of the Principal, Vice Principals, Assistant Principals and Directors.*	- Implementation of Risk Management Strategy - Overall co-ordination of risk management - Promotion of a holistic approach to risk management - To review the probability and impact assessments of risks on a regular basis - Ensure appropriate levels of awareness throughout the College
College Management Teams - *Encouraging and embedding good risk management practice within their area of activity.* - *The College Management Team consists of all those managers who are directly line managed by SMT.*	- Co-ordinating and ensuring that the operational objectives are implemented in line with the Risk Management Strategy - Have an awareness and understanding of risks which fall into their area of responsibility, the impacts these may have, and monitor outcomes against the risks identified ensuring that response plans detail corrective action to minimise risk

Owner	Role
	- Report any new risks identified or failures of existing control measures to SMT - Report on current 'active' risks highlighting mitigating actions and effect towards risk reduction -
College Staff - *Encouraging and embedding good risk management practice within their area of activity*	- Understand their accountability for individual risks - Understand how they can enable continuous improvement of risk management and risk awareness - Report systematically and promptly to a member of the College Management Team or Senior Management Team any perceived new risks or failures of existing control measures
Internal/External Audit - *Ensuring the effectiveness of organisational and financial control systems, including monitoring performance against quality assurance standards.*	- To review risks and limitations of existing control measures - To review the adequacy of internal control systems designed to minimise risk - To make appropriate recommendations following on from any internal / external audit reports to the SMT, which will effectively improve systems of control

2.5   Partnership and Projects

For the College, it is important to ensure partnerships and projects are considered in a Risk Management context, as well as core services. Where the College is involved in strategic projects and partnerships, it will look to develop joint risk management practices with relevant partners as required.

3   Risk Management Framework

The overall responsibility for ensuring the College has effective Risk Management arrangements in place is with the Board of Management – however but this is implementimplementation ed and co-ordination of the risk management approach is led ed by the College SMT. Risk Management at the College is closely aligned to corporate governance, internal/external audit, business continuity management (BCM), insurance, health and safety and occupational health and safety arrangements. These different elements act as support mechanisms for the delivery of the Risk Management Strategy at the College. Internal and external audit also play a key role in scrutinising the mitigations and controls implemented by the College.

Figure 1 - WCS Risk Management Framework
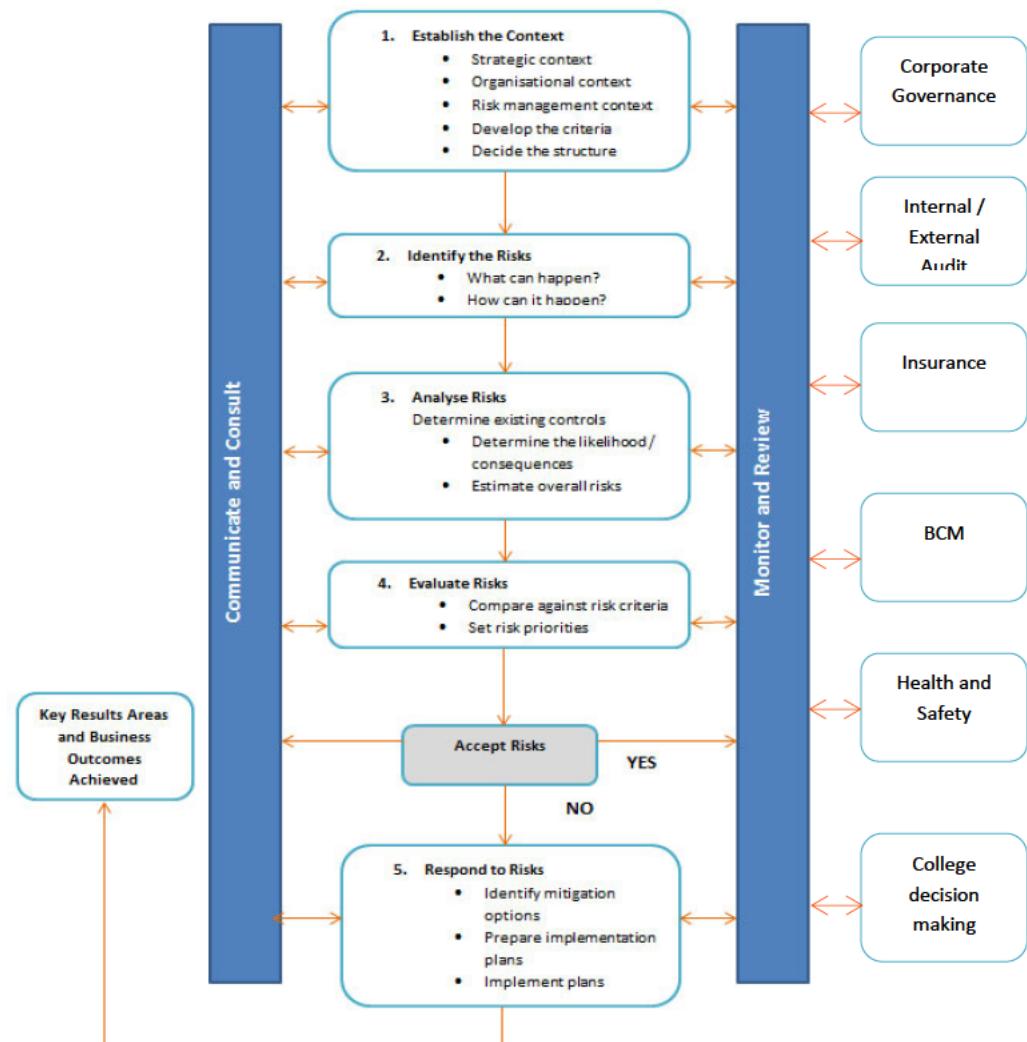
3.1   Code of Corporate Governance

The Board of Management is ultimately responsible for the College's system of internal control and for reviewing its effectiveness. Such a system is designed to manage rather than eliminate the risk of failure to achieve business objectives and can only provide reasonable and not absolute assurance against material misstatement or loss.

The Board of Management has delegated the day-to-day responsibility to the Principal, as Chief Executive, for maintaining a sound system of internal control that supports the achievement of the College's policies, aims and objectives, whilst safeguarding the public funds and asset.

3.2   Internal / External Audit

Internal Audit will assess the effectiveness of the College's internal controls and review risk management as part of the corporate governance arrangements. Internal audit will use the information contained within the Strategic Risk Register to inform their annual audit plan.

External audit will annually undertake an overall review of the corporate governance arrangements and processes of internal control in place at the College. Based on their audit work and the findings made by the internal auditors they will form an opinion on adequacy of the systems in place to comply with corporate governance requirements.

3.3   Insurance

Insurance is one method the College uses to transfer risk. The implementation of an effective Risk Management Strategy will have an impact upon the premiums paid by the College. The prevalence of insurance claims will need to be monitored as these will have a bearing on the Strategic Risk Register.

3.4   Business Continuity Management (BCM)

Business Continuity underpins Risk Management and is concerned with how the College can overcome disruption in the event of an adverse incident or situation and continue to deliver key services at an agreed, pre-determined level. It is the low probability/high impact risks that if they occurred could result in the failure of key services or systems.

3.5   Health and Safety

There are clear and well-established links between College approach to Health and Safety and Risk Management. The College is committed to achieving best practice in health and safety management and is fully committed to controlling risk and preventing harm to people.

The College will use the guidance in Managing for Health and Safety (MFHS), which supports the model of managing health and safety with a 'Plan, Do, Check and Act' approach. This model helps to achieve a balance between the systems and behavioural aspects of management.

The Board of Management has a primary objective to ensure health and safety is integrated into the College's core business management activities and that suitably resourced health and safety management systems are implemented which are also influenced by risk management.

3.6   Risk Implications – Decision Making Process

Effective Risk Management is crucial to the achievement of the College's Vision and the success of the strategic operation and provision of services. It is important to recognise that there are risks associated with decisions taken in respect of the delivery of College business.

The nature, severity and likelihood of these risks will vary depending on a wide range of circumstances or potential outcomes.

4   Risk Management Process and Approach

Risk Management is a cyclical process – new risks emerging while old risks become obsolete. Below are listed the steps in the Risk Management process.

4.1   Risk Tolerance

The Risk Management Strategy is objective driven. The College's Strategic Priorities within the Corporate Plan are used as the basis for developing the Strategic Risk Register. The first step in the risk management cycle is to establish the tolerance level that the Board of Management is willing to accept. It may require to be expressed as more than one threshold depending on strategic priorities and objectives e.g. separately in respect of financial or reputational outcomes as well as for both the delivery of projects and "business as usual" activities.

4.24.1 Risk Categorisation

Risks shall be categorised to enable identification of risk trends and gap analysis. A fuller definition of the risk categories can be found at Appendix 1. Risk will be categorised according to:

Figure 2 –Risk Categories
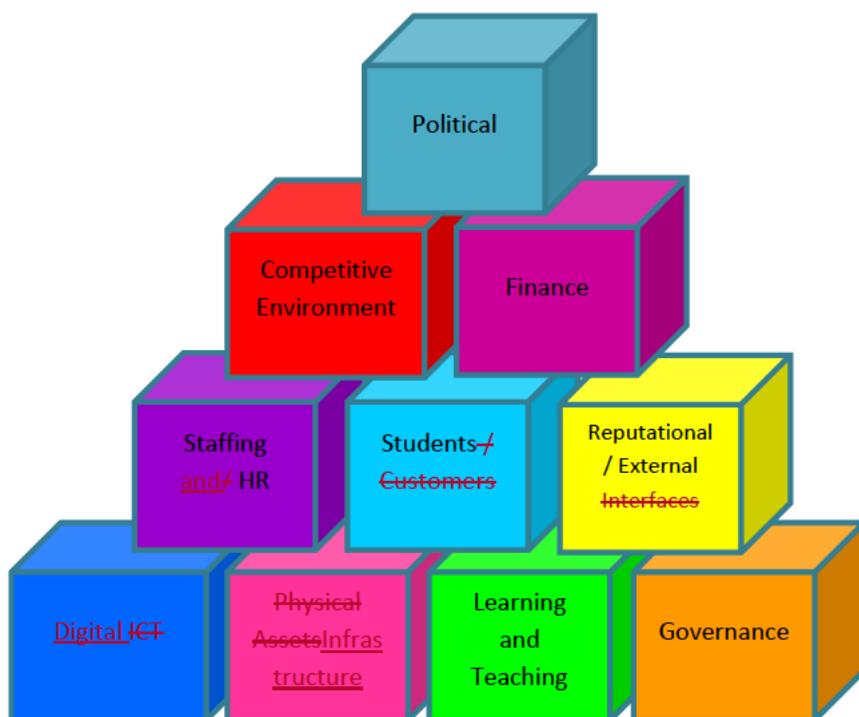
4.34.2 Risk Identification

Risk identification is focussed on the key risks against the achievement of College Strategic Priorities. The risk categories, as per figure 2, above, ensure a holistic approach to risk identification is taken. However, this list is not exhaustive and acts as a prompt only. Not all risks will apply to each category and some may apply to more than one.

During risk identification, it is helpful to consider the drivers for each risk, causes of the risk, and potential negative (or positive if an opportunity) outcome should the risk arise.

Risks identified within Board Committee and other meetings; the operational planning cycle; dedicated risk workshops and other reviews will be recorded in such a manner as to allow easy identification and understanding of the risk. Each Risk Description will contain information on the three composite parts of a risk; the cause, the risk event and the impact on the College Strategic Priorities:

'As a result of <cause/statement of fact>, there is a risk that <uncertain event> may occur, which would result in <an effect on Strategic Priorities>.'

4.3   Risk Appetite

The next step in the risk management cycle is to establish the risk appetite level that the Board of Management is willing to accept in pursuit of its Strategic Priorities.

The College accepts that it must take risks, to some extent, in order to achieve its pPriorities and to realise expected benefits. The College is committed to ensuring that all risks taken will be proactively controlled and any exposure will be kept to an acceptable level where possible. The College acknowledges that the level of risk exposure carried by different activities will vary and theits threshold for accepting varying levels of risk will change depending on the risk area under consideration, the specific objectives involved, the subsequent activities undertaken and the projected benefits.

However, the College is clear that it will reject or closely manage any activity that has the potential to cause significant financial or reputation harm to the institution, most notably where thisese might endanger the College's ongoing viability, its ability to achieve its key strategic priorities and/or its ability to meet its regulatory and/or legal obligations.

The College defines Risk Appetite based on the following categories:

Classification	Description
AVERSE	Avoidance of risk and uncertainty is a key organisational objective.

Classification	Description
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.

Based on these categories, the College's institutional baseline Risk Appetite is defined as '*cautious to open*'. This means that, while maintaining a level of prudence, the College is generally willing to consider all options and will accept moderate levels of risk in the pursuit of its pPriorities, albeit with a preference for options or activities that limit exposure, even if the rewards are likely to be similarly limited.

A full definition of the College risk appetite for each category of risk can be found at Appendix 2.

While a general appetite of cautious to open is in place, it is recognised that risk appetite will vary according to the pPriorities pursued and the linked activities undertaken. For example, the College would give consideration to options or activities which carry elevated levels of risk, where it can be shown that the anticipated outcomes are realistically achievable, and likely to deliver enhanced benefits. ; Aacceptance of risk, irrespective of risk appetite, should always take account of the likely benefits an activity will deliver.

At strategic level, risk appetite is applied to the College's identified risk areas as follows:

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

It should also be noted that risk appetite will likely vary according to context; for example, capital projects provide a different context and should be considered on individual merit, as projects are usually stand-alone, and fall out with the 'business as usual' activities of the College. Consequently,

4.4   Risk Assessment

Risk Assessment will be undertaken in the first instance to prioritise risks (risk evaluation) using a standard 6 by 4 semi-quantitative scale (shown in Figure 3) for risk probability and impact.

This use of a standard scoring threshold promotes consistency in risk assessment.

Figure 3 - Risk Scoring Thresholds

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		

When assessing impact, it is important that a holistic analysis of the categories of risk be considered, in terms of how the issue would impact on the College (a partnership, a service or a specific project). The agreed approach to the assessment of risk at the College is undertaken based on existing control measures.

When assessing probability, a consideration of historical information, external drivers, trends and statistics can be useful in determining an appropriate level.

Risks identified within the Strategic and Operational Risk Register will be plotted on a probability impact grid, as shown in figure 4 below, to provide a pictorial representation of risk exposure. Risks which fall into the upper boundary (Red RAG status) will be considered as critical for management attention and as greater than the acceptable risk appetite. Efforts will be made to reduce risk

Probability Impact Score Grid

		Negligible 1	Marginal 2	Critical 3	Catastrophic 4
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

exposure below the upper boundary.
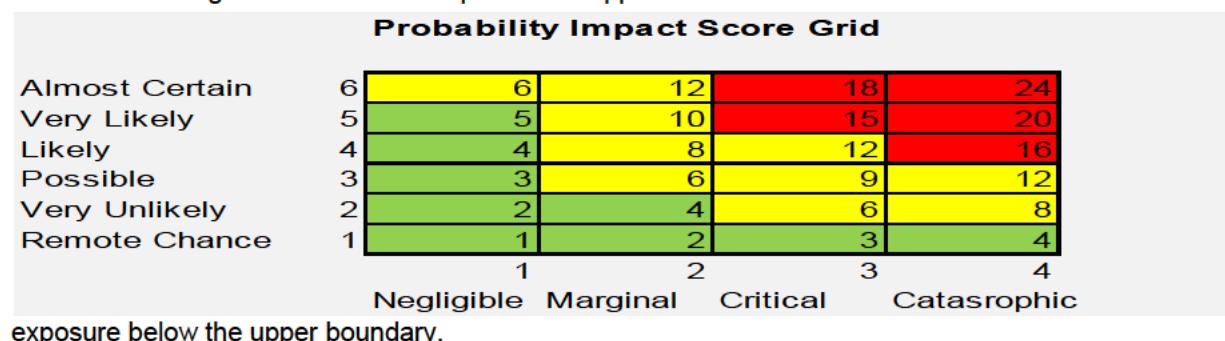
Figure 4 - Risk Probability Impact Grid

Risks with low probability but high impact scores will be elevated for attention of the Board. Risk response plans will be developed which seek to reduce the potential impact of the risk.

4.5   Risk Owner

A risk owner is a member of the Senior Management Team that has been given the responsibility and authority to manage a risk/set of risks and is accountable for doing so.

4.6   Risk Mitigation

Risk mitigation is concerned with taking action to reduce the likelihood and / or severity of the risk.

Each risk shall have several mitigations which where appropriate will be backed up by control plan. Control strategies / plans may align with the categories below:

Figure 5 – Risk Mitigation Measures

Risk Response	Commentary
Tolerate	The exposure may be tolerable without any further action being taken. It may be supplemented by contingency planning for handling the impacts that will arise if the risk is realised
Transfer	Transfers the risk to a third party. Be aware that the entirety of a risk is practically impossible to transfer
Terminate	Some risks are only treatable by terminating an activity. Alternative plans and/or processes will require developing
Treat	Action is taken to constrain the risk to an acceptable level. This includes reducing the probability of occurrence and/or the impact of the risk
Take	Implement actions to exploit the identified opportunity

Each action will have recorded against it a named owner for delivery of the risk response / mitigating action. Those with responsibility for the Risk Management Strategy, whether at partnership, strategic, directorate or project level must be satisfied that all controls are working effectively and can be evidenced for audit or scrutiny purposes.

4.7   Risk Monitoring and Reporting

Successful implementation of the Risk Management Strategy rests upon the creation and development of an adequate monitoring framework and reporting structure.

It is important to assess the effectiveness of any control measures which have been implemented and these must be monitored and reviewed on a regular basis. It is also necessary to assess whether the nature of risk has changed over time.

At strategic and operational levels, the College approach is focussed on embedding a formal reporting structure for Risk Management which is outlined below.

It is the responsibility of the SMT to highlight risks within their Directorates that are considered to have strategic significance. The College reporting framework is outlined below:
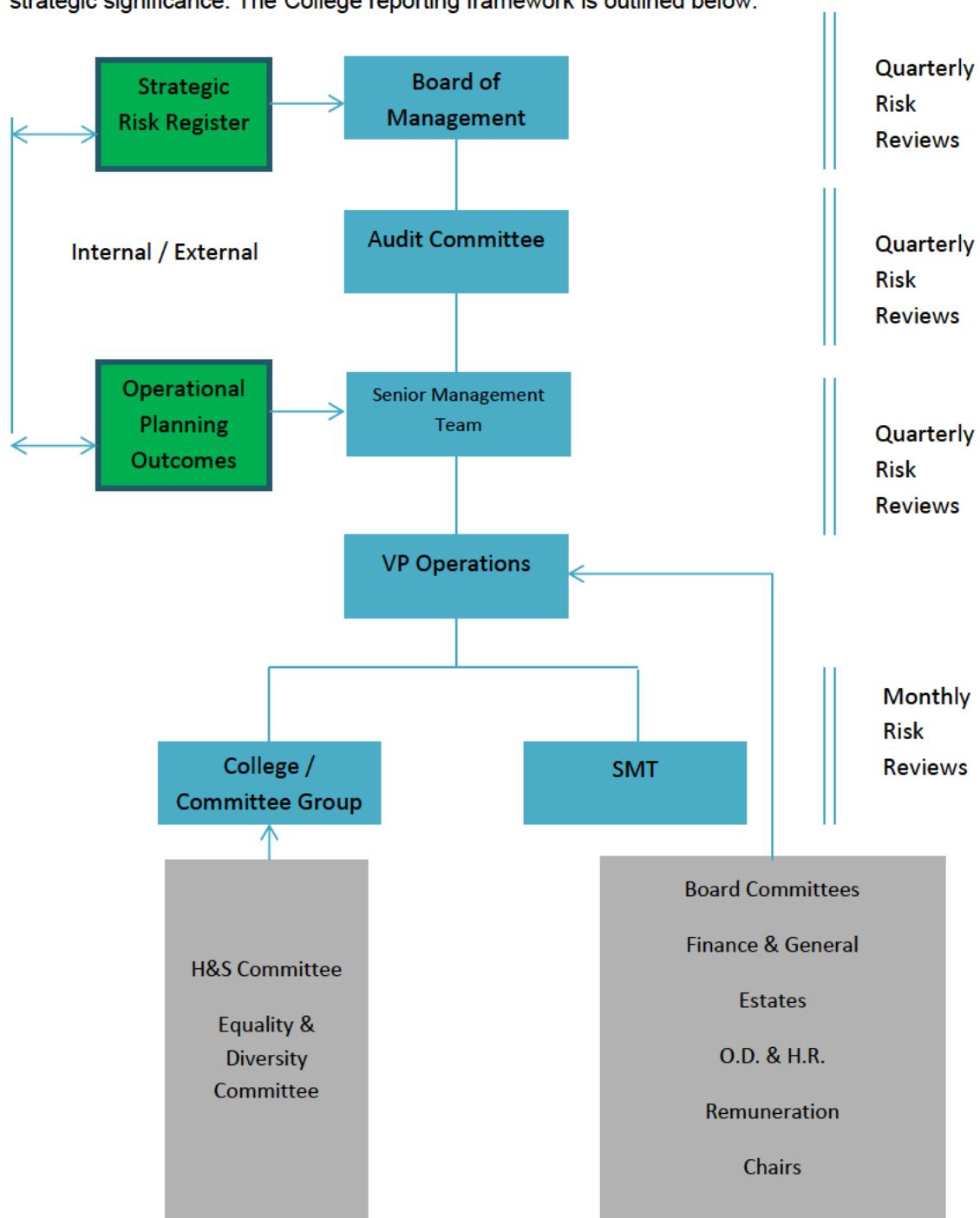
Risk reporting is used to communicate risk across the College. Through Strategic Risk reviews, SMT members are likely to be requested to 'manage' those risks at Directorate or operational level that are not considered to be strategic in nature. This will ensure a steady flow of information and the management of risk at the correct level.

This approach will also ensure that Board members and appropriate levels of staff are made aware of the risks incurred through service provision and the achievement of objectives. Through this framework, ownership of risk will be retained at the appropriate level to best manage the risk successfully.

4.8   Risk Management Strategy Review

The effectiveness of the Risk Management Strategy and information within the College Strategic and Operational Risk Registers will be monitored and reported as outlined above.

5   Appendix

Appendix 1:- Categories of Risk

Category	Description of Risk
Political	Those affecting the College Strategic Priorities normally at a national political level.
Competitive Environment	Those affecting the competitiveness of the service (in terms of cost of quality) and / or its ability to deliver Best Value.
Finance	Those related to financial planning and control and the adequacy of insurance cover.
Staffing / HR	Those affecting the recruitment, retention and morale of staff.
Students / Customers	Those affecting the recruitment, retention and morale of students and attracting customers / partners to the College.
Reputational / External	Those affecting the reputation of the College and/or external partnerships / projects / community in which the College is involved.
ICT	Those affecting the College's ICT / communication systems which could have a negative effect on reputation / priorities.
Physical Assets	Those negatively affecting the assets of the College causing loss / damage.
Learning and Teaching	Those affecting the successful delivery of the College's curriculum.
Governance	Those that impose requirements on the College which could affect priorities / funding / reputation.

Category	Description of Risk
1) Political	Those affecting the College Strategic Priorities normally at a national political level.
2) Competitive Environment	Those affecting the competitiveness of the College to deliver its services in terms of cost, quality, ability to deliver best value and to attract customers / partners to the College.
3) Finance	Those related to financial planning and control and the adequacy of insurance cover.
4) Staffing and HR	Those affecting the recruitment, retention and morale of staff.

5) Students	Those affecting the recruitment, retention, attainment and morale of students.
6) Reputational / External	Those affecting the reputation of the College and/or external partnerships / projects / community in which the College is involved.
7) Digital	Those affecting the ability of the College to deliver the objectives set out in its Digital Strategy.
8) Infrastructure	Those affecting the College's physical assets including buildings and IT systems.
9) Learning and Teaching	Those affecting the successful delivery of the College's curriculum including student experience, performance and associated ROA targets.
10) Governance	Those that impose requirements on the College which could affect priorities / funding / reputation.

Appendix 2 – College Risk Appetite Statement

The College's approach is to minimise its exposure to Finance, Political and Governance risks, whilst accepting and encouraging an increased degree of risk in pursuit of its mission and objectives. It recognises that its appetite for risk varies according to the activity undertaken, and that its acceptance of risk is subject always to ensuring that potential benefits and risks are fully understood before developments are authorised, and that sensible measures to mitigate risk are established.

The College's appetite for risk across its activities is provided in the following statements:

(3) Finance

The College aims to maintain its long-term financial viability and its overall financial strength. Whilst targets for financial achievement will be challenging the College has a minimalist appetite for risk that puts in peril the long-term sustainability of the College.

(1) Political

The College aims to make a significant, sustainable, and socially responsible contribution to the West of Scotland and to Scotland through education, knowledge exchange and operational activities. It recognises that this should involve a cautious approach to political risk and is comfortable in accepting this risk subject always to ensuring that potential benefits and risks are fully understood before developments are authorised and that sensible measures to mitigate risk are established.

(10) Governance

The College places great importance on governance, and has no appetite for any breaches in statute, regulation, professional standards, bribery or fraud. It wishes to maintain accreditations related to courses or standards of operation and has cautious appetite for risk relating to actions that may put accreditations in jeopardy.

The above statements take priority over the statements of areas of risk appetite below.

(2) Competitive Environment

The College wishes to be amongst the leaders in transforming knowledge, ideas, skills and expertise into teaching, innovation and enterprise, thereby enriching our stakeholders and wider society. It recognises that developing this may involve an increased degree of risk and is comfortable in accepting this risk subject always to ensuring that potential benefits and risks are fully understood before developments are authorised and that sensible measures to mitigate risk are established.

(4) Staffing and HR

The College aims to value, support, develop and utilise the full potential of our staff to make the College a stimulating and safe place to work. It places importance on a culture of equality and diversity, dignity and respect, collegiality, annual reviews, the development of staff, and the health and safety of staff, students and visitors. It recognises that in fulfilling the potential of the College staff, this may involve an increased degree of risk and is comfortable in accepting this risk subject always to ensuring that potential benefits and risks are fully understood before any deviation from its standards in these areas are authorised and that sensible measures to mitigate risk are established.

(5) Student

The College aims to ensure that we recruit the correct student onto the correct course, retain those students and ensure that they have a productive time at College. It recognises that in order to compete with other institutions that it must accept an increased degree of risk in order to attract and retain those students. It is comfortable in accepting this risk subject to a) limitations imposed by ethical considerations, and b) ensuring that potential benefits and risks are fully understood before developments are authorised and that sensible measures to mitigate risk are established.

(6) Reputational / External

It is regarded as critical that the College preserves its high reputation whilst at the same time it is open to exploring new / innovative external partnerships. The College has an open appetite for risk in the conduct of any of its activities which that puts its reputation in jeopardy, could lead to undue adverse publicity, or could lead to loss of confidence by the political establishment and funders of its activities.

(8) Infrastructure (including estate projects, IT and equipment)

Major change activities are required periodically to develop the College, and to adapt to changes in the regulatory and technological environment and in the nature and conduct of the College's activities. The College expects such changes to be managed according to best practice in project and change management but given the operating environment in which it operates has open appetite for investment in this area where the benefits can be shown to outweigh the costs.

(9) Learning and Teaching

The College wishes to stimulate students to develop a wish to engage in lifelong learning, encourage an independent attitude and an aspiration to achieve success. It recognises that this should involve an increased degree of risk in developing education and the student experience and is comfortable in accepting this risk subject always to ensuring that potential benefits and risks are fully understood before developments are authorised and that sensible measures to mitigate risk are established.

(7) Digital

The College wishes to be at the leading edge in the digital arena and wishes to grow its digital ambitions. It recognises that that this will involve an increased degree of risk in developing digital solutions and is comfortable in accepting this risk subject to a) limitations imposed by financial considerations, and b) ensuring that potential benefits and risks are fully understood before developments are authorised and that sensible measures to mitigate risk are established.

Strategic Risk Register

Strategic Risk Register Dashboard Report

Risk register review period: May-20
Board / Committee review period: May-20

Ref	Risk	Movement since previous register	Probability	Impact	Score May 20	Score May 19
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	9
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

Table title: **Top 5 Risks Post Mitigation**

Movement in Risk Scores

The most significant risk faced by the College is now the business continuity challenges caused by the corona virus outbreak. The College has successfully closed down the physical campuses and transferred some activity to online learning. Guidance on ensuring the College students are correctly recognised for the work they have undertaken during the year is now in progress.

The next most significant risk is 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 impact of Corona virus only heightens this risk as the conditions of funding and amount of SFC / SDS funding for 2020-21 remain unclear. 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; - 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.	6	4	24	9	↑	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. 7) 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
Poss ble	3	Neglig ble	1
Very Unlikely	2		
Remote Chance	1		

Risks - Probability x Impact Score Grid

	Negligible 1	Marginal 2	Critical 3	Catastrophic 4
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

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.

TITLE: **LTQ COMMITTEE**

Draft Minutes of the meeting held on Wednesday 20 May 2020

Action: The draft LTQC minutes from the meeting held on Wednesday 20 May 2020 are attached for information. They will be formally approved at the next Committee meeting scheduled for Wednesday 11 November 2020.

The Committee Chair, Jacqueline Henry will lead the Board through key matters discussed at the meeting and the Board is asked to note:

- **LM368 Exceptional Circumstances Assessment Arrangements** - The Committee thanked the Assistant Principal Performance and Skills and college staff teams involved in driving forward this huge amount of work. It was clear that students were at the forefront of all decisions being made and in identifying how College staff could continue to engage them to ensure their experiences were positive. This phenomenal effort was commended recognising the completely new way of undertaking assessments and prioritising workloads. The Committee requested that the Assistant Principal Performance and Skills pass on its sincere thanks to all involved.

- **LM369 Digital Strategy and Associated Action Plan** - The Committee discussed the huge College IT activity that had taken place in the lead up to lockdown and thereafter in supporting staff and students. It conveyed its appreciation to the College IT team who had delivered this in as seamless a way as possible. Work continued to scope out a digital capability tool to meet the current challenges of remote and blended learning and to help gather intelligence to benchmark the College against the sector. The Assistant Principal Creativity and Skills also alluded to some national digital visionary work being advanced in recognition of the need for consistency in approach / ease of use and explained that any sector-wide infrastructure would need investment. She would include national updates in her reports going forward.

- **LM371 Planning For 2020-21 Curriculum Delivery** - The Committee acknowledged the energy and creativity in the College and its commitment to enhance opportunities not only for students, staff and the College but also in ensuring local communities / organisations benefited and thrived from what the College could provide. It also recognised that sector-wide work continued, and national guidance was awaited, and the Vice Principal Educational Leadership confirmed that College HR teams were working through a range of staffing scenarios.

Lead: Jacqueline Henry, Chair, LTQ Committee

Status: Open

LEARNING, TEACHING AND QUALITY COMMITTEE

Minutes: Wednesday 20 May 2020

Present: Liz Connolly (in the Chair), Steven Cairney, Mark Hamilton, Vanessa Thompson, David Watson, Fiona McKerrell, Jacqueline Henry (from Minute LM365).

Attending: Stephanie Graham (Vice Principal Educational Leadership), Cathy MacNab (Assistant Principal Performance and Skills), Angela Pignatelli (Assistant Principal Creativity and Skills), Iain Forster-Smith (Assistant Principal Student Life and Skills), Waiyin Hatton (Chair of the Board), Shirley Gordon (Secretary).

Apologies: Ruth Binks.

LM360 WELCOME

Liz Connolly explained that the Committee Chair, Jacqueline Henry, was having IT issues and she sought agreement to chair the meeting on Jacqueline's behalf. This was approved.

The Chair welcomed everyone to the meeting and noted apologies.

LM361 DECLARATIONS OF INTERESTS
- Liz Connolly: Trustee of West College Scotland Foundation.
- Fiona McKerrell: Partner employed by Skills Development Scotland.
- 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.

LM362 MINUTES

The minutes of the meeting held on Wednesday 26 February 2020 **were approved.**

LM363 ACTIONS FROM THE MINUTES

The Committee **noted** the actions from the minutes.

LM364 MATTERS ARISING FROM THE MINUTES

There were no matters arising not otherwise covered on the agenda.

LM365 UPDATE FROM EDUCATIONAL LEADERSHIP TEAM

The Vice Principal Educational Leadership, updated the Committee on the following developments since the last meeting and since the College closure on 20 March 2020 due to the Covid 19 pandemic:
- Arrangements for Learning and Teaching - Online remote learning had progressed using a broad range of technology in response to different subject needs and student IT capability. Student engagement had been reasonably high in most curriculum areas and particularly at HE level.
- Support for Students - Ongoing support had been provided for students, including learning support from the Enabling Services Team and general

advice from the Student Advisory Team. Counselling support had continued online and through telephone, including over Easter and for those requesting support for the first time. Students continued to have access to Silver Cloud the online health and wellbeing tool and the Safeguarding team had been proactive in monitoring that and contacting any students where there were concerns expressed. General and individual mental health and wellbeing support was available through the intranet and online sessions replacing the 'Gie Us a Break Cafes'. The Students Association posted regular social media updates and a dedicated area was available on the student intranet to provide COVID guidance.

- Assessment - Significant collaborative work was undertaken with the college network nationally and with awarding bodies to influence decisions and arrangements for assessment. A holistic approach was now being taken forward for course assessment and adapted for subject areas. That approach required decision making by course teams and was a major activity at present.

- Course delivery - Some short courses planned for this period had not been able to be run, as well as much of the commercial delivery. This would impact on both overall credits and income for 2019-20. The College expected to deliver core credits for 2019-20 but not the full amount of additional ESF activity. The SFC had encouraged colleges to deliver as many credits as possible this session and WCS expected its distance learning and preparation for college activity to generate more credits than initially planned. Staff were in regular contact with learners to encourage them to continue or provide support. The Distance Learning Team had been helped by other administrative staff who had volunteered to help manage the increase in new enrolments.

- Discussions with SFC - There had been ongoing engagement with the SFC around COVID-19 and particularly the impact on student activity targets and other income. The Regional Outcome Agreement had been submitted, although it was not clear yet what the arrangements may be for reporting PIs for 2019-20. The SFC reduced the reporting requirements for colleges during this period, including the annual student survey. The college had already had a good response to the survey so would continue to analyse that. The 'Our College, Our Context' document was completed in graphical format to provide information to replace that previously included in the ROA.

- Arrangements and Planning for 2020-21 - Student recruitment for next session had continued with Curriculum Administrators set up from home to progress applications and interviews being conducted online or via phone. Overall application numbers were lower than this time last session, but the number of actual offers made and accepted was higher. There had been particularly good recruitment for the Schools Vocational Programme and Foundation Apprenticeships across most Local Authorities. MIS staff were fully operational and working to close off credit claims for this session, complete student outcomes and undertake course set up processes and timetabling for next session. The College was replacing the planned May/June preparation for the school vocational programme with an online version and enrolling full time students for next session earlier in order to undertake a summer preparation for college programme and ensure ongoing communication in order to update them on any changes to the start of session.

Attention was now being placed on planning the curriculum delivery for a range of college opening scenarios with social distancing measures still in place.

The Committee thanked the Vice Principal: Educational Leadership for the insightful and detailed update and the consistent support being made available to all students was particularly welcomed. The Committee discussed how the College and its staff could best place itself to continue to help support students, partner organisations, stakeholders and local communities now and in the future whilst operating within its own challenging financial position.

The Chair thanked the Vice Principal Educational Leadership for the update which was noted.

LM366 **STUDENTS ASSOCIATION UPDATE**
Vanessa Thompson outlined the varied workload of the Students Association over recent months particularly in liaison with students, lecturers / guidance teachers and the College Executive. The Students Association election for 2020/21 had concluded with the following results:
- President: Vanessa Thompson.
- Vice President Clydebank: Stefana Margarint.
- Vice President Greenock: Paul Sefton.
- Vice President Paisley: Chris Bett.
She looked forward to working with Stefana, Chris and Paul, when they took up their new posts from the start of next session.

The Chair thanked the Students Association President for the update which was noted, congratulated her on her reappointment and asked that the congratulations of the Committee be passed to the Vice Presidents.

LM367 **EDUCATION SCOTLAND – STANDING ITEM**
The Vice Principal Educational Leadership explained that guidance was awaited from Education Scotland in respect of the Evaluation work for 2019-20. The College had been informed that the Evaluation and Enhancement Plan (EREP) would not need to be submitted at the end of October and, at present, work to complete this had been paused until guidance and new timescales were clear.

The Committee noted work had been paused and agreed to defer this to its November meeting.   {ACTION – NOV 2020 AGENDA}

LM368 **EXCEPTIONAL CIRCUMSTANCES ASSESSMENT ARRANGEMENTS**
The Assistant Principal Performance and Skills explained that the closure of colleges from 20 March 2020 had resulted in changes to the assessment arrangements that supported claims for student certification across awarding bodies. She provided an overview of the College response to the exceptional quality assurance arrangements in place for SQA awards and provided an update on approaches from other awarding bodies.

She explained that Colleges would take a flexible approach to on-going assessment, where this was still possible, and would establish robust internal

quality assurance procedures for lecturers / assessors to make professional judgements on student outcomes, in line with the guidance issued by SQA. It was recognised that course teams, comprising curriculum area CQLs, CELs, QELs, and subject specialists, had the professionalism and experience to make sound assessment judgements.

To facilitate standardisation and consistent practice across all Colleges, an Internal Quality Assurance (IQA) panel would oversee student outcome assessment decisions made by course teams. Planned external verification visits would not take place, other than for a few previously arranged remote reviews.   SQA Qualification managers continued to work with the sector in identifying some areas where assessment should be deferred, because it was impossible to apply a holistic judgement.

The WCS response, in line with other Colleges, had been to prepare internal operational guidance that supported the implementation of a standardised approach across the College teams and departments. Operational guidance, staff FAQs, timelines and SQA updates were uploaded to the staff intranet Quality Portal, accessible by all staff remotely.

Course teams, comprising of CQLs, lecturers, subject specialists and internal verifiers collectively would make holistic judgements on programme level student outcomes. Decisions would be based on student assessment evidence generated up until College closures and, thereafter, where additional evidence was required and could be gathered.

As far as possible, the same guidance would be used across all other awarding body qualifications, except for regulated qualifications (SVQs) and national qualifications (Highers, National 5 awards). In these cases, alternative arrangements for student completion were in place. Crucially, in relation to national qualifications and Skills for Work programmes, Colleges would continue to gather assessment evidence for students after 23rd March 2020. That would ensure students could be certificated for their whole award within the academic session 2019-20.

The Committee thanked the Assistant Principal Performance and Skills and college staff teams involved in driving forward this huge amount of work. It was clear that students were at the forefront of all decisions being made and in identifying how College staff could continue to engage them to ensure their experiences were positive.   This phenomenal effort was commended recognising the completely new way of undertaking assessments and prioritising workloads. The Committee requested that the Assistant Principal Performance and Skills pass on its sincere thanks to all involved.

The Committee noted the report.

LM369 DIGITAL STRATEGY AND ASSOCIATED ACTION PLAN
The Assistant Principal Creativity and Skills reported that, following the launch of the WCS Digital Strategy, a call was issued to all staff at West College Scotland seeking membership to the Digital Strategy Group to drive forward the aims of the Strategy. The Group, comprising of digital specialists, digital novices and those in key posts was formed to start the process of delivering

the Strategy ensuring a mix of staff from support and teaching staff together with a range of varying abilities.

The College Internal Auditors conducted their Audit visit from 13 - 17 January. They met with members of the Digital Strategy Group, meeting lecturing staff and support staff, as well as members of the Executive Team. The focus of their visit was to confirm that there were adequate processes in place for the development of the College's Digital Strategy and that planning would now support implementation.

The Assistant Principal Creativity and Skills explained that the formulation of the Digital Strategy Action Plan, however, had been overtaken by the creation of the "COVID-19 Exceptional Arrangements Digital Strategy Action Plan" given the immediate needs of the organisation, staff and students and she highlighted the spreadsheet of actions being progressed.

The focus of the work of the Digital Strategy Group to date was summarised into the following categories:
• Identification of immediate staff and students needs for remote working.
• Project Planning and implementation of Microsoft Teams as vehicle of choice.
• CPD, training and support.
• Communication.
and the Assistant Principal Creativity and Skills led the Committee through a progress report of each in turn explaining that the Digital Strategy Group had been, since lockdown, very much planning on a month-to-month basis as there were so many factors unknown. The next steps, which had been initiated were to plan further ahead where possible and this would result in an Action Plan which was more akin to a standard Action Plan.

In addition to this, the Group would continue to address the recommendations made in the Audit Report and meet those actions in a timely manner.

The Committee discussed the huge College IT activity that had taken place in the lead up to lockdown and thereafter in supporting staff and students. It conveyed its appreciation to the College IT team who had delivered this in as seamless a way as possible.   Work continued to scope out a digital capability tool to meet the current challenges of remote and blended learning and to help gather intelligence to benchmark the College against the sector. The Assistant Principal Creativity and Skills also alluded to some national digital visionary work being advanced in recognition of the need for consistency in approach / ease of use and explained that any sector-wide infrastructure would need investment. She would include national updates in her reports going forward.
{ACTION AP}

The Committee noted progress made.

LM370 GTCS – PROFESSIONAL LEARNING AND REGISTRATION UPDATE
The Assistant Principal Performance and Skills explained that teachers in Scotland were required to engage in professional learning, self-evaluate that learning using the GTC Scotland Professional Standards, and maintain a record of it using their online profile. The Professional Review and Development (PRD) discussion was also an integral part of the process and every five years

confirmation of this engagement was required by the teacher and their line manager in order to maintain full registration.

In respect of WCS, the Assistant Principal Performance and Skills reported that good progress had been made with registrations. A Steering Group meeting was scheduled where a more in-depth analysis would be undertaken and she agreed to report, in greater detail, at the Committee meeting scheduled for November. **{ACTION - CMacN / NOV AGENDA}**

The Committee noted progress made.

LM371 PLANNING FOR 2020-21 CURRICULUM DELIVERY
The Vice Principal Educational Leadership explained 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.

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.
Prior to the COVID-19 pandemic, the curriculum planning process for 2020-21 was almost complete, with full time recruitment well underway and the CMAP (Curriculum Plan) in a final draft. This showed a planned achievement of student activity targets and being at the stage of finalising staffing budgets for individual curriculum areas. These areas were still working on planning more efficiencies into the delivery in order to meet our Business Transformation Plan objectives.

The College had continued to recruit to the original full-time prospectus and to some part-time courses. Recruitment has continued throughout lockdown and the College will be enrolling students for Autumn courses early in order to keep ongoing engagement with new students and better prepare them for the start of their courses. This would be particularly valuable this session to help maximise application conversion rates and communicate regularly as plans may have to change.

The original schedule was for all full-time courses to start on 24 August. That was two weeks after teaching staff returned from holiday and that time before courses started was usually used for student induction, planning, materials development and CPD. Next session, however, assuming staff could even be on campus at this time, staff would also have student 'catch up' and deferral activity from 2019-20. It had, therefore been proposed to adjust the full-time course start dates to compress teaching time during the year and start all full-time courses on 21 September. That would hopefully allow for most of the deferral and catch up work to be completed and allow more time for

implementing estates changes and planning course delivery under social distancing restrictions. The EIS was yet to agree to the calendar change but was receptive to the proposal at last week's JCNC meeting.

The were some courses that may be particularly difficult to run under social distancing restrictions as the learning be so compromised that the College needed to delay the start completely and remove from delivery in the autumn. Teams would decide that as they progressed the scenario planning exercise.

It was unclear, at this stage, what the situation would be with employers, apprentice delivery, placements and commercial courses. Colleges clearly could provide support to employers, upskilling and education to help the economic recovery. It was critical to ensure the College was flexible and responsive to meet local needs and be able to adapt to changed economic priorities. How it took forward the positive aspects of this current situation in order to amend curriculum delivery in the future and ensure the curriculum was matched to changed employment and economic needs would be a key aspect of curriculum evaluation and planning next session.

The Committee acknowledged the energy and creativity in the College and its commitment to enhance opportunities not only for students, staff and the College but also in ensuring local communities / organisations benefited and thrived from what the College could provide. It also recognised that sector-wide work continued, and national guidance was awaited, and the Vice Principal Educational Leadership confirmed that College HR teams were working through a range of staffing scenarios.

The Committee noted the report and update.

LM372 **STRATEGIC RISK REGISTER**
The Vice Principal Educational Leadership explained that the Strategic Risk Register was considered by the Board at its last meeting held on 23 March 2020.

At that meeting, the Board received a report from the Vice Principal Operations which outlined that, in accordance with the Corporate Governance Code, the Board was tasked with ensuring a framework of risk management and control was in place. The Strategic Risk Register (which had been approved by the Board at its February 2020 meeting and was aligned to the College Corporate Strategy) was considered and an update on the actions taken to embed risk management across the College provided. The Board approved the College Strategic Risk Register and in doing so considered:
- The risks included in the register;
- The risk ratings both pre and post mitigation;
- Whether any other risks should be considered for removal;
- Whether any new risks should be considered for inclusion; and
- The further developments undertaken in relation to the College risk management framework.

The Committee reflected on its discussions today and agreed that risks around the impacts of the Covid 19 pandemic to teaching, learning and curriculum delivery needed to be added into the Strategic Risk Register. The Vice Principal Educational Leadership agreed to consult with the Risk Group and provide

changes for the LTQ Committee at its November meeting.

{ACTION – StG / NOV AGENDA}

The Committee reviewed the current strategic risk register and proposed that the Vice Principal Educational Leadership progress the inclusion of the risks around COVID 19 on learning, teaching and curriculum delivery through the College Risk Management Group.

LM373   INTERNAL AUDIT REPORT – DIGITAL STRATEGY (AT THE AUDIT COMMITTEE'S REQUEST)

The Assistant Principal Creativity and Skills reported that, as part of the 2019-20 Internal Audit Plan, Scott Moncrieff sought to confirm that there were adequate processes in place for the development of the College's Digital Strategy and that planning would support implementation.

She led the Committee through the report which concluded that *"the College had an extensive engagement process in producing its Digital Strategy during 2019. The Strategy includes a number of objectives which are aligned to the College's Corporate Strategy. We also noted that there was effective governance in approving the Strategy. At the time of our audit work, whilst the Digital Strategy had been approved, the College had still to undertake formal processes to produce a plan which set out the activities that would be delivered to fulfil the Digital Strategy objectives. We have provided detailed recommendations for management on the processes and controls that should established for delivery and oversight of the Digital Strategy".*

The report identified several areas of good practice and one area for improvement which related to the creating of an oversight group to monitor the implementation of the Strategy. As part of that implementation, a detailed plan would be created which was tied into the Financial Strategy of the College. Management had accepted the recommendation and initiated the management action noted in the report to address the issues identified. The Assistant Principal Creativity and Skills had provided further information on the Group and the associated Action Plan earlier in the meeting (Minute No LM369).

The Committee noted the report.

LM374   COMMITTEE REMIT, MEMBERSHIP AND DATES OF MEETINGS

The Committee noted its remit, current membership list and 2020/21 proposed meeting dates **and agreed:**

- **2020/21 LTQ Meeting Dates:**
  - ❖ **Wednesday 11 November 2020 – 4 till 6pm**
  - ❖ **Wednesday 24 February 2021 – 4 till 6pm**
  - ❖ **Wednesday 19 May 2021 – 4 till 6pm**

- **That the composition of the Committee include the attendance of the Assistant Principal Creativity and Skills.**

LM375   ANY OTHER BUSINESS

- Jacqueline Henry thanked Liz for chairing the meeting on her behalf and apologised for the IT inconvenience.

- The Board Chair thanked all Board members for agreeing to virtual online meeting slots with her as part of her ongoing induction. She was keen to report the positive discussions she had had so far about the efficiency and effectiveness of all College staff and especially at this difficult unprecedented time.
- Date of next meeting - Wednesday 11 November 2020 at 4pm, Venue - tbc

TITLE: **ESTATES COMMITTEE**
Draft Minutes of the meeting held on Tuesday 26 May 2020

Action: The draft Estates Committee minutes from the meeting held on Tuesday 26 May 2020 are attached for information. They will be formally approved at the next Committee meeting scheduled for Wednesday 16 September 2020.

The Committee Chair, Nick Allan will lead the Board through key matters discussed at the meeting and the Board is asked to note:

- EM409 - The Committee approved the revised Estates Committee remit with some revisions to become the Asset and Infrastructure Committee and noted the current membership of the Committee with 2 additions to those in attendance to become the Asset and Infrastructure Committee.

- EM410 - 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.

- EM411 - 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.

- EM413 - 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 that basis.**

Lead: Nick Allan, Chair, Estates Committee

Status: Open

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 late 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 flexibly 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.**

Title:	**ESTATES COMMITTEE REMIT**
Background:	Following the retirement of the Director IT in December 2019, the College took the opportunity to review the portfolios of the remaining Directors. After discussion with the Chair of the Board of Management and the Chairs of the Estates and the Finance & General Purposes Committee, the College introduced a new position of Director of Infrastructure. This position will provide strategic direction to the estates and IT functions within the College.

With this change in Directorate portfolios there was a requirement to review the remit of both the Estates Committee and that of the Finance and General Purposes Committee, primarily to transfer the IT element of the Finance and General Purposes Committee to the Estates Committee. Appendix A provides the Board with a tracked change version of the current Estates Committee remit for its consideration.

This was considered and approved by the Estates Committee at its meeting held on Tuesday 26 May 2020.

Action:	The Board is asked to:

- Approve the revised Estates Committee Remit (Appendix A)

Lead:	David Alexander, Vice Principal Operations
Status:	Open

Appendix A – Revised Committee Remit

West College Scotland

Board of Management

Asset and Infrastructure~~Estates~~ 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~~Estates~~ Committee will be to ensure the College manages and develops its assets and infrastructure ~~estate~~ 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 ~~Estates~~ Committee is:

a)   To ensure that the College maintains a comprehensive register of land, ~~and~~ buildings and infrastructure assets.

b)   To ensure that the College manages and develops its assets and infrastructure ~~estate~~ to meet ~~its~~ 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 ~~the~~ development and review of the College's Estate Strategy and associated polivies 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)a) 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.~~

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.

Asset and Infrastructure 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
Director of Infrastructure	Martin Joyce
Head of IT	
Director of Finance and Estates	Alan Ritchie
Head of Estates	Peter Thorne
Secretary	Shirley Gordon

Quorum	Two members of the Board of Management

TITLE: **Finance and General Purposes Committee**

Draft Minutes of the meeting held on Tuesday 10 March 2020 and Verbal Update from the meeting held on Tuesday 2 June 2020

Action: The draft F and GP Committee minutes from the meeting held on Tuesday 10 March 2020 are attached for information. The minutes from this meeting were approved by the Committee on Tuesday 2 June 2020.

A verbal report and the meeting held on Tuesday 2 June 2020 meeting will also be provided.

The Committee Chair, Jim Hannigan will lead the Board through key matters discussed at the meetings and the Board is asked to note:

- **Tuesday 10 March 2020 meeting**
  - ❖ FPM303 – The Committee received a presentation on the College Cleaning and Catering Services Review which had been undertaken in late 2019.
  - ❖ FPM310 - Student Support Funds Update – The Committee received a presentation on Student Support Funds outlining the purpose of the funds, how many students the funds assisted, how they were distributed and some of the funding challenges moving forward.
  - ❖ FPM311 - The Committee approved the Management Accounts as at 31 January 2020.
  - ❖ FPM312 - IT Strategy Update - The Committee reviewed and noted the considered progress made in the first four years of implementing the College IT Strategy.
  - ❖ FPM313 - Scottish Government / College Cyber Resilience Framework - The Committee noted the implications for the College (as outlined within the Cyber Resilience Framework and Supply Chain Cyber Security Guidance) and the College's planned response to the publications.
  - ❖ FPM314 - Procurement (PCIP) Audit Outcome - The Committee noted the outcome of the 2019 College PCIP review.

- **Tuesday 2 June 2020 meeting**
  - Verbal update will be provided.

Lead: Jim Hannigan, Chair, F and GP Committee

Status: Open

FINANCE AND GENERAL PURPOSES COMMITTEE

MINUTES: Tuesday 10 March 2020

PRESENT: Jim Hannigan (in the Chair), Liz Connolly, Angela Wilson.

ATTENDING: David Alexander (Vice Principal Operations), Alan Ritchie (Director of Finance and Estates), Vivienne Mulholland (Head of Finance and Student Funding), Brian Stobbs (IT Solutions and Development Manager), Shirley Gordon (Secretary to the Committee).

ATTENDING FOR MIN NO. FPM303: Roy Miller (Ideal Catering Ltd), Nick Allan (Chair, Estates Committee), John McMillan (Chair, Audit Committee), Peter Thorne (Head of Estates).

APOLOGIES An apology for absence was intimidated on behalf of John Leburn.

FPM303 The Chair welcomed Roy Miller who was in attendance to deliver a presentation on the College Cleaning and Catering Services Review which had been undertaken in late 2019. ███████████████████████████
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████████████   **{ACTION - DA}**

FPM304 DECLARATIONS OF INTERESTS
- Jim Hannigan - NMIS Programme Manager, Skills Development Scotland.
- Liz Connolly - Trustee of the West College Scotland Foundation.
- Angela Wilson – West Dunbartonshire Council.
- David Alexander - Board member of the Scottish Funding Council and as Chair of the Scottish Funding Council Audit and Compliance Committee.

FPM305 MINUTES
The minutes of the meeting held on 19 November 2019 **were approved.**

FPM306 ACTIONS
The Committee **noted** a report on actions taken since the last meeting.

FPM307 MATTERS ARISING FROM THE MINUTES (NOT OTHERWISE ON THE AGENDA)
There were no matters arising not already covered by the agenda.

FPM308 MINUTES OF JOINT AUDIT AND FINANCE & GENERAL PURPOSES COMMITTEE MEETING
The minutes of the meeting of the Joint Audit and Finance & General Purposes Committee meeting held on 19 November 2019 **were approved.**

FPM309 VICE PRINCIPAL UPDATE REPORT
The Vice Principal Operations provided an overview of the report highlighting several updates in relation to the following:
- Funds arising from net depreciation.
- SFC funding announcements:
  ❖ The College sector awaited confirmation from the Scottish Government in relation to the employer contribution rate for the STSS pension fund being provided from April 2020 onwards.
  ❖ No commitment had been made to the additional level of funding the College had received continuing beyond 2019-20 in order to meet student support need. The College remained in dialogue with the SFC regarding this and would await to see how the outcome of the 2020-21 Scottish Government budget process may inform this further.
- Ongoing West College Scotland engagement with the SFC - to date, the SFC had only committed to a change in the College business model 'in principle' from 2020-21. This remained to be formally agreed and confirmed. The College was, therefore, undertaking business planning for 2020-21 and beyond based on this 'in principle' position.
- National bargaining.
- Information technology.
- Business continuity – the College had completed a questionnaire issued by the SFC in respect of its preparedness in the event of a coronavirus outbreak. This was updated on a weekly basis and an Executive Team subgroup had been established to lead this work within the College in accordance with Government guidance.
- West College Senior Management – changes to management and reporting responsibilities for Estates and Infrastructure.

The Committee noted the report for information.

FPM310 STUDENT SUPPORT FUNDS UPDATE – PRESENTATION
The Head of Finance and Student Funding delivered a presentation on Student Support Funds. Ms. Mulholland outlined the purpose of the funds, how many students the funds assisted, how they were distributed and some of the funding challenges moving forward. She explained that the College received funding annually from the SFC and from the SAAS to support students in areas such as maintenance / transport support; equipment purchases; childcare support and Educational Maintenance Allowance.

The Head of Finance and Student Funding outlined the role of the Student Support Team in administering the funds and described how it provided support to students requiring funding in accordance with a set eligibility criteria. All funding was subject to an annual external audit and a quarterly submission of student funding expenditure was sent to the SFC.

In addressing some of the challenges going forward, the Head of Finance and Student Funding reported that the 2020/21 student funding applications were scheduled to open at the end of March 2020 (with assessments commencing before the end of April 2020). The national policy guidance from the SFC 2020/21 was awaited and any changes would be implemented accordingly. Further discussions would also take place with the SFC on addressing funding challenges associated with care experienced students.

On behalf of the Committee, the Chair expressed his thanks to the Student Support Team for the outstanding service it provided to students. He thanked the Head of Finance and Student Funding for the presentation which **was noted with interest.**

FPM311 MANAGEMENT ACCOUNTS TO 31 JANUARY 2020
The Director of Finance and Estates presented the Management Accounts for the six-month period to 31 January 2020. He provided an overview of those factors with a potential to impact the accounts or which required to be drawn to the attention of the Committee and highlighted the:

- College Business Transformation Plan efficiencies to be achieved and the year to date position.
- Adjusted operating position of the College, which was a key indicator of financial sustainability - the treatment of the College funded voluntary severance payments was under discussion with the SFC with regard to how this was to be recognised in relation to calculation of the adjusted annual operating position
- Key risks which may have an impact on the financial position of the College:
  - ❖ In February 2020, the College received a letter from the SFC indicating that it was looking to recover £100,000 of funding received by the College in relation to the 2015-16 ESF project. This was a sectoral issue with 6 other Colleges receiving similar letters. The College had responded requesting more time to review and respond to the specific queries made by the SFC, which related to the provision of supporting documentation. Meantime, the College had adjusted for the potential loss of income associated with the clawback of ESF funding in 2019-20.
  - ❖ In February 2020, the SFC confirmed that it would meet the College request for additional funding to enable all student support funding requests to be met, and this an additional £1.4m of funding would be received during 2019-20 for these purposes. This additional allocation relieved the financial pressure for 2019-20 but the additional funding required to be replicated in 2020-21 along with recognising the potential impact of the removal of the 26-year-old age cap on those students who were eligible for the care experienced grant.   The College

awaited confirmation from the SFC via the 2020-21 budget process as to whether this required level of funding would be provided.

The Director of Finance and Estates led the Committee through the accounts drawing attention to the following:

- The Statement of Comprehensive Income and Expenditure provided a summary of the College financial position and provided a comparison of the approved 2019-20 budget with the full year forecast position to 31 July 2020. This statement also included the audited 2018-19 figures for comparison.
- An analysis of key variances provided detail of the movement between the budgeted and forecast position for 2019-20.
- The Balance Sheet reflected the assets and liabilities of the College.
- The student funding analysis provided a summary of the budgeted and forecast income and expenditure to 31 July 2020 resulting from the processing of student bursary, childcare and discretionary expenditure. The only element which was recorded within the College Statement of Comprehensive Income and Expenditure was childcare income and expenditure as the College was deemed to act as an agent for these funds. All other funds were accounted for through the College balance sheet.
- The cashflow analysis showed the actual cash position and forecasted the cash flows to 31 July 2020.
- The aged debt analysis showed a summary of the age of the sales ledger along with a split between corporate and student debt. The emphasis continued to be the reduction in the level of debt in excess of 3 months.
- The financial graphs and performance indicators provided background information about income and expenditure and highlight the main indicators of financial sustainability.

The Committee approved the Management Accounts as at 31 January 2020.

FPM312 IT STRATEGY UPDATE
The Vice Principal Operations explained that the West College Scotland IT Strategy was recommended for approval at the Finance and General Purposes Committee meeting on 8 March 2016 and subsequently approved by the Board of Management on 21 March 2016. In approving this, it was agreed that an annual update on progress would be provided to the Finance and General Purposes Committee. As such, the report provided a further update on the progress of the IT Strategy following the fourth year of implementation. The Vice Principal Operations led the Committee through a:

- Summary of activity and progress to date against each of the IT strategic objectives and associated outcomes/indicators of success.
- Summary of key areas and considerations that would arise during the fifth and final year of the current IT Strategy implementation, drawing on recent changes in the IT landscape and upcoming events.
- 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.

The Committee thanked Mr Stobbs and his Team for such excellent progress so far and the Vice Principal Operations explained that, going forward, the newly appointed Director of Infrastructure would lead much of this work, building on the solid platform established to date, ensuring IT aligned with the new College Digital Strategy.

The Committee reviewed and noted the considered progress made in the first four years of implementing the College IT Strategy.

FPM313 SCOTTISH GOVERNMENT / COLLEGE CYBER RESILIENCE FRAMEWORK

The Vice Principal Operations reported that the Committee had 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. This had included a paper submitted to the meeting in May 2019 on the draft Scottish Public Sector Cyber Resilience Framework.

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 Vice Principal Operations provided information on the Cyber Resilience Framework, Supply Chain Cyber Security Guidance and the College's planning for response to these publications.

The Vice Principal Operations described how the Framework itself consisted of a series of requirements across different domains, security categories and sub-categories of control, against which an organisation was required to self-assess. Scoring was assigned against responses entered into the self-assessment tool as per guidance provided. The self-assessment tool was intended to help identify key areas of strength and areas for improvement in current cyber resilience arrangements. The tool had been designed to produce a "dashboard" that could be shared within organisations and with audit bodies to assist decision-making around cyber resilience issues.

The Vice Principal Operations outlined the Scottish Government's proposed approach to implementation and reporting arrangements for the Framework. With these timescales in mind, the College had brought together a group of key staff to build a plan to respond to the Framework and it had performed an initial review of the published documents. A further update would be provided on progress at the next meeting of the Committee. **{ACTION – DA}**

The Committee noted the implications for the College (as outlined within the Cyber Resilience Framework and Supply Chain Cyber Security Guidance) and the College's planned response to the publications.

FPM314 PROCUREMENT (PCIP) AUDIT OUTCOME

The Head of Finance and Student Support Funding presented the outcome of the Procurement and Commercial Improvement Programme (PCIP) audit which took place in October 2019.

She led the Committee through the audit highlighting the following key points:
- APUC was now required to assess the College every two years.
- The College was last assessed in December 2016 and had been assessed on the same basis in 2019.
- The PCIP contained an updated question set and scoring and performance bandings from those previously adopted by the PCA.
- The assessment methodology required information to be submitted and assessed in advance of the assessment day.

The Head of Finance and Student Support Funding reported that the assessment resulted in an overall outcome rating of 76% which was performance band Gold, a significant improvement on the 2016 rating. Although there was no published sectoral table of PCIP rating reviews, through discussion with APUC staff, the College understood that the Gold banding put West College Scotland near the top of the 2019 PCIP outcomes across all institutions in Scotland. This outcome supported and validated the continuous

improvement work and actions detailed within the College Procurement Strategy and Operational Plans, and as reported to the Finance and General Purposes Committee.

The review also identified some areas for continued improvement and the College was developing an action plan to address these and which would be incorporated into the refresh of the Procurement Strategy due to take place towards the end of the 2020 calendar year.

The Committee noted the outcome of the 2019 College PCIP review.

FPM315   **INTERNAL AUDIT - FINANCIAL SYSTEMS HEALTHCHECK**
The Director of Finance and Estates explained that, as part of the internal audit programme for 2019-20, Scott Moncrieff conducted an assurance review of College financial systems controls covering expenditure and creditors. He presented the findings from the audit review which concluded that the College accounts payable systems and controls had been well designed and were operating effectively.

The Director of Finance and Estates summarised some of the areas of good practice identified by the review and confirmed that there were no audit recommendations arising from the audit work. On behalf of the Committee, the Chair commended the Director and his team for this achievement.

The Committee noted the contents of this report.

FPM316   **STRATEGIC RISK REGISTER REVIEW**
The Director of Finance and Estates reported that, under 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 and provided an update on the actions taken by the College to embed risk management across the organisation.

The Director of Finance and Estates clarified that (as discussed earlier at Minute No FPM309), the handling of the coronavirus outbreak was being managed via the College Business Continuity Plan.

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.**

FPM317 **THE FINANCIAL SUSTAINABILITY OF COLLEGES AND UNIVERSITIES IN SCOTLAND**
The Director of Finance and Estates reported that the Scottish Funding Council (SFC), on 11 February 2020, published a report on the financial sustainability of Colleges and Universities in Scotland. The report presented an aggregate picture of the financial health of Scottish institutions, based on an analysis of the information reported to the SFC in September 2019 by each institution. The report highlighted that financial management was a dynamic process. The figures used in the report were subject to change as governing bodies planned and made choices and decisions about the future and as the SFC engaged with institutions about the robustness of their projections and plans.

The Director of Finance and Estates explained that, while the report presented an aggregate picture, the SFC noted that there was significant variation in the financial position of individual institutions.

The Committee welcomed the report but acknowledged reservations around assumptions made in relation to targeted reductions / savings and whether or not funding levels were sufficient to met required outcomes.

The Vice Principal Operations reported that it was likely the sector would take a view on whether to respond to this report as would Audit Scotland.

The Committee noted the contents of this report.

FPM318 SCHEDULE OF BUSINESS 2019-20
The Committee **noted** its schedule of business for 2019-20 as summarised by the Director of Finance and Estates.

FPM319 ANY OTHER BUSINESS
- No other business items were raised.
- Date of next meeting – Tuesday 2 June 2020, Abercorn 2, Paisley Campus.

Title: **FINANCE AND GENERAL PURPOSES COMMITTEE REMIT**

Background: Following the retirement of the Director IT in December 2019, the College took the opportunity to review the portfolios of the remaining Directors. After discussion with the Chair of the Board of Management and the Chairs of the Estates and the Finance & General Purposes Committee, the College introduced a new position of Director of Infrastructure. This position will provide strategic direction to the estates and IT functions within the College.

With this change in Directorate portfolios there was a requirement to review the remit of both the Estates Committee and that of the Finance and General Purposes Committee, primarily to transfer the IT element of the Finance and General Purposes Committee to the Estates Committee. Appendix A provides the Board with a tracked change version of the current Finance and General Purposes Committee remit for its consideration.

This was considered and approved by the Finance and General Purposes Committee at its meeting held on Tuesday 2 June 2020.

Action: The Board is asked to:

- Approve the revised Finance and General Purposes Committee Remit (Appendix A)

Lead: David Alexander, Vice Principal Operations

Status: Open

Appendix A – Revised Committee Remit

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West College Scotland
Board of Management
Finance and General Purposes Committee

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Statement of Purpose

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

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

1.   Remit

Finance

- To advise the Board of Management on key issues of the College's financial and resource management including:

    - solvency of the College
    - College cashflow
    - effectiveness and appropriateness of the utilisation of College resources
    - Financial Strategy

- To review and approve the Financial Regulations on an annual basis, or more frequently if required.

- To consider and advise the Board on:
    - financial forecasts and budgets in relation to the West Region Outcome Agreement.
    - any relevant taxation issues

- To consider the College's annual financial statements (at a joint meeting of the Audit and Finance and General Purposes committees).

- To monitor:
    - the College's financial performance against agreed budgets and make recommendations on major variations
    - all income

- all material financial issues
- the management accounts

- To advise the Board on investments and borrowing and to seek appropriate external advice.

- To ensure adherence to statutory requirements related to the College's financial affairs and compliance with the Financial Memorandum, Scottish Public Finance Manual (SPFM) and related guidance (*including Accounting Policies in the Financial Statements).*

- To receive a regular report on bad debt write offs.

- To consider, review and recommend to the Board, pension arrangements for College staff, in consultation with the ~~Organisational Development and~~ HR and Corporate Development Committee.

- To receive an update on banking arrangements, including the Scottish Government banking arrangements and to approve the bank signatories.

~~**Information Technology**~~
- ~~To agree and approve IT strategy and policies, ensuring these support the priorities and outcomes of the College;~~

- ~~To advise the Board of Management on key issues relating to the College's information technology.~~

- ~~To consider and promote the effective and efficient use of IT services.~~

- ~~To consider information technology initiatives and innovations for use within the College, the resources required to implement these and to identify risks and opportunities associated with proposals.~~

Procurement
- To agree and approve financial regulations which ensure compliance with legal obligations in respect of tendering and contract procedures.

- To agree and approve procurement strategy and policies that reflect best practice, ensuring they~~se~~ support the priorities and outcomes of the College and the achievement of efficiencies.

- Approve the awarding of contracts between the values of £250,000 and £500,000.
- To support development of:
    - supplier management and contract monitoring
    - electronic procurement systems

- procurement performance management systems
- collaborative opportunities

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

General Purposes
- Any other factors as required by the Board of Management

2.   Membership

Membership of the Committee will comprise:

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

Attending:
Vice Principal Operations
The Director of Finance and Estates
~~The Director of Information Technology~~

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

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

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

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

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

3.   Frequency of Meetings

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

4. Quorum

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

5. Secretariat

Secretary to the Board of Management.

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

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

6. Review

The Remit will be subject to review annually

Current membership of the Committee - Finance and General Purposes Composition

Category	Name
Three members of the Board of Management, one of whom will Chair, and the Principal.	Jim Hannigan (Chair)
	John Leburn
	Angela Wilson
	Liz Connolly – Principal

In Attendance	Name
Vice Principal Operations	David Alexander
Director of Finance and Estates	Alan Ritchie
~~Director of Information Technology~~	~~David Black~~
Head of Finance and Student Funding	Vivienne Mulholland
Secretary	Shirley Gordon
Internal Auditor	Graham Gillespie
	Stephen Pringle (Wylie and Bisset)
External Auditor	Lucy Nutley
	Joanne Buchanan (Mazars)

Quorum	Two members of the Board of Management

TITLE: **AUDIT COMMITTEE**

Draft Minutes of the meetings held on Thursday 12 March 2020 and Thursday 21 May 2020

Action: The draft Audit Committee minutes from the meetings held on Thursday 12 March 2020 and Thursday 21 May 2020 are attached for information.

The minutes from the Thursday 12 March 2020 meeting were approved on Thursday 21 May 2020 and the minutes from Thursday 21 May 2020 will be formally approved at the next Committee meeting scheduled for Thursday 3 September 2020.

The Committee Chair, John McMillan will lead the Board through key matters discussed at the meetings and the Board is asked to note:

- **Thursday 12 March 2020 meeting**
  - ❖ AM476 - Internal Audit Report – Equality and Diversity - the Committee approved the report and agreed it should also be considered at the next HRCDC meeting.
  - ❖ AM477 - Internal Audit Report– Digital Strategy - the Committee approved the report, asked that the College Digital Strategy be circulated to members and agreed that the report should also be considered at the next LTQC meeting.
  - ❖ AM480 - Annual Review of Effectiveness of The Committee - the Committee considered and approved the wording of the questionnaires, the approach to be taken and the timetable for this.
  - ❖ AM482 - Public Sector Action Plan on Cyber Resilience Report - The Committee noted the implications for the College as outlined within the Cyber Resilience Framework and Supply Chain Cyber Security Guidance and the College's planned response to the publications.
  - ❖ AM483 - Anti-Bribery and Corruption Policy - the Committee approved, for presentation to the Board of Management, the updated Anti-Bribery and Corruption Policy.
  - ❖ AM484 - Procurement (PCIP) Audit Outcome - the Committee noted the outcome of the 2019 College PCIP review.
  - ❖ AM487 - Internal and Other Audit Services Contract - the Committee approved the award of the provision of Internal and Other Audit Services contract to Wylie and Bisset for a period of three years from 1 August 2020 to 31 July 2023 - with the option to extend the contract for a further two years (to 31 July 2025) on a one year plus one year basis. This approval would be

submitted for endorsement to the Board of Management meeting scheduled for 23 March 2020.

- **Thursday 21 May 2020 meeting**
  - ❖ AM495 - The Audit Committee approved the content of the 2019-20 Audit Strategy Memorandum and the audit proposed fee.
  - ❖ AM496 - Internal Audit Report – Continuing Professional Development - The Audit Committee approved the report and agreed it should be presented to the next HR and Corporate Development Committee for review.
  - ❖ AM497 - Internal Audit Report– Online Resources - The Committee approved the report and agreed that it should be considered at the next LTQC meeting.
  - ❖ AM498 - Internal Audit Report– Regional Outcome Agreement (Stage 2) - The Committee approved the report and agreed that it should be considered at the next LTQC meeting.
  - ❖ AM501 - Draft Annual Internal Audit Plan 2019-20 Update - The Audit Committee approved the Draft Annual Internal Audit Report 2019-20.
  - ❖ AM502 - Draft Internal Audit Plan 2020-21 - The Audit Committee approved the 2020-21 Internal Audit Plan.
  - ❖ AM505 - Governance Compliance and ROA Outcomes - The Audit Committee noted the assurance provided in relation to governance compliance as well as progress that had been made in relation to those Regional Outcome Agreement areas for which the Audit Committee had responsibility **and agreed to provide an update to the Board of Management.**
  - ❖ AM506 - Annual Review of Effectiveness of the Audit Committee - The Committee **approved the report and would report to the Board on this matter.**
  - ❖ AM509 - The Audit Committee noted that the tenure of co-opted member, Graeme Bold, expired on 30 June 2020. As such, the Chair of the Audit Committee requested that Graeme be reappointed for a further one year (1 July 2020 to 30 June 2021) and t**he Board be asked to approve this at its meeting scheduled for 15 June 2020.**

Lead: John McMillan, Chair, Audit Committee

Status: Open

AUDIT COMMITTEE

MINUTES: Thursday 12 March 2020.

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

ATTENDING: Liz Connolly (Principal), David Alexander (Vice Principal Operations), Alan Ritchie (Director of Finance and Estates), Shirley Gordon (Secretary to the Committee).

ATTENDING BY INVITATION: Claire Beattie (Scott Moncrieff), Paul Kelly (Scott Moncrieff).

APOLOGIES: Elizabeth Young (Scott Moncrieff), Joanne Buchanan (Mazars).

AM470 DECLARATIONS OF INTERESTS
- John McMillan and Liz Connolly - as Trustees of West College Scotland Foundation.
- David Alexander - as a Board member of the Scottish Funding Council and as Chair of the Scottish Funding Council Audit and Compliance Committee.

AM471 MINUTES
The minutes of the meeting held on 12 December 2019 **were approved.**

AM472 ACTIONS FROM THE MINUTES
The Committee noted the actions taken and outstanding since the last meeting.

AM473 MATTERS ARISING FROM THE MINUTES (AND NOT OTHERWISE ON THE AGENDA)
There were no matters arising not otherwise on the agenda to be considered.

AM474 MINUTES OF THE JOINT AUDIT AND FINANCE & GENERAL PURPOSES COMMITTEE MEETING
The Minutes of the Joint Audit and Finance & General Purposes Committee meeting held on 19 November 2019 **were approved.**

AM475 AUDIT AND ASSURANCE COMMITTEE HANDBOOK UPDATE
The Director of Finance and Estates reported that work was ongoing to update the Assurance Framework with an anticipated completion timescale of the end of the calendar year. **It was agreed that the Committee would continue to be updated on developments.**

AM476 INTERNAL AUDIT REPORT – EQUALITY AND DIVERSITY
The Internal Auditor reported that, as part of the internal audit programme for 2019-2020, Scott Moncrieff conducted a review which considered the College's mechanisms for promoting staff equality and diversity and embedding these principles throughout the College including setting equality outcomes, implementing actions and ongoing monitoring and reporting.

The Internal Auditor led the Committee through the report which concluded that *"West College Scotland's equality and diversity processes generally reflect good practice and have been appropriately designed"*.

The report identified several areas of good practice and three areas for improvement that, if addressed, would strengthen the College control framework.   Management had accepted the recommendations and initiated the management actions noted in the report to address these.

The Committee approved the report and agreed it should also be considered at the next HRCDC meeting.   {ACTION – SG}

AM477   **INTERNAL AUDIT REPORT– DIGITAL STRATEGY**
Claire Beattie reported that, as part of the 2019-20 Internal Audit Plan, Scott Moncrieff sought to confirm that there were adequate processes in place for the development of the College's Digital Strategy and that planning would support implementation.

The Internal Auditor led the Committee through the report which concluded that *"the College had an extensive engagement process in producing its Digital Strategy during 2019. The Strategy includes a number of objectives which are aligned to the College's Corporate Strategy. We also noted that there was effective governance in approving the Strategy. At the time of our audit work, whilst the Digital Strategy had been approved, the College had still to undertake formal processes to produce a plan which set out the activities that would be delivered to fulfil the Digital Strategy objectives. We have provided detailed recommendations for management on the processes and controls that should established for delivery and oversight of the Digital Strategy".*

The report identified several areas of good practice and one area for improvement which related to the creating of an oversight group to monitor the implementation of the Strategy. As part of that implementation, a detailed plan would be created which was tied into the Financial Strategy of the College. Management had accepted the recommendation and initiated the management action noted in the report to address the issues identified.

The Committee approved the report, asked that the College Digital Strategy be circulated to members and agreed that the report should also be considered at the next LTQC meeting.   {ACTION – SG}

AM478   **INTERNAL AUDIT ANNUAL PLAN 2019-20**
Claire Beattie reported that the Audit Committee approved the 2019-20 College internal audit plan in May 2019. She provided the Audit Committee with an update on 2019-20 internal audit activity to date, reporting that the internal auditors had, in line with the agreed programme of work, completed two reviews in the period since the previous Committee meeting:
• Equality and Diversity.
• Digital Strategy.

The remaining review to be undertaken from the Internal Audit Plan 2019-20 had been scheduled, with the outcomes to be presented to the May 2020 Committee meeting.

The Committee noted the report.

AM479   **ROLLING AUDIT ACTION PLAN**
The Director of Finance and Estates explained that the purpose of Rolling Audit Action Plan (RAAP) was to update the Audit Committee on the status of the recommendations made by both the internal and external auditors from:

a) Internal audit reports received and approved by the Committee.
b) External auditor management letter recommendations received as part of the year end reports made to the Joint Audit / Finance and General Purposes Committee.

He led the Committee through the report summarising the movement in relation to audit recommendations made since the last meeting and confirmed that the RAAP was reviewed by relevant staff on a continual basis and the College considered good progress was being made addressing the recommendations made by both the internal and external auditors.

The Committee approved:
a) The removal of 4 internal audit recommendations following the completion of the review work carried out by the internal auditor;
b) An extension of time for 1 recommendation; and
c) The Rolling Audit Action Plan.

AM480   ANNUAL REVIEW OF EFFECTIVENESS OF THE COMMITTEE
The Secretary to the Committee explained that the Audit Committee's remit stated that it would 'review its own effectiveness at least annually and to report the results of that review to the Board'. She outlined the process proposed for the 2019-20 review of the Audit Committee's effectiveness which followed that agreed in previous years with one exception. In December 2019, the Audit Committee undertook a review of the External Auditor immediately following the completion of the external audit work. This was to ensure that the outcome from the audit was fresh in Committee members minds when undertaking the review. Given that the Committee had already undertaken a review of the External Audit Service, it would, therefore, only be issued with the two questionnaires this time around relating to:

- Evaluation of the Audit Committee.
- Evaluation of the Internal Auditors.

It was proposed that completed questionnaires be returned by Monday 6 April 2020 so that a report could be provided to the May 2020 Audit Committee for consideration and action as appropriate. Thereafter, the Audit Committee would report to the Board on its findings at the meeting in June. It was agreed that the College auditors would be asked to complete an Audit Committee evaluation form in order to inform the process, and that Committee members and key College executive officers would complete the evaluation form relating to internal auditors.

The Committee considered and approved the wording of the questionnaires, the approach to be taken and the timetable for this.

AM481   RISK MANAGEMENT STRATEGY REPORT
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 provided:

- 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.
- The current College Strategic Risk Register for the consideration of the Audit Committee.

The Committee discussed, in detail, the ten risk categories as well as the definitions of the five risk appetite levels. The Director of Finance and Estates explained that,

following a discussion at the February 2020 Board meeting, the risk appetite applicable to each of the ten risk categories was agreed.

The overall framework was commended by the Committee. Given the format of the Risk Register was now required to capture a significant amount of information, the Vice Principal Operations proposed to share, with the Committee Chair, a draft of a new format of the report could be adopted going forward (to ensure it was presented in a way that was as accessible and easy to follow as possible/ The Committee agreed to this approach.). **{ACTION – DA}**

The Vice Principal Operations reported that the College had completed a questionnaire issued by the SFC in respect of its preparedness in the event of a coronavirus outbreak and was responding daily. An executive team subgroup had been established to lead this work in accordance with Government guidance and in line with the College Business Continuity Plan.

The Committee:
- **Noted the update on the actions taken to embed risk across the College.**
- **Approved the next steps in the development of the College Risk Management Strategy.**
- **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.**

AM482 **PUBLIC SECTOR ACTION PLAN ON CYBER RESILIENCE REPORT**
The Vice Principal Operations reported that the remit of the Audit Committee included:

"To advise the Board on its compliance with corporate governance requirements and good practice guidance, and in particular its compliance with the Financial Memorandum with SFC, the SPFM and the Code of Good Governance for Scotland's Colleges".

He provided the Committee with information on the Cyber Resilience Framework, Supply Chain Cyber Security Guidance, and the College's planning for responding to these publications. The Committee noted the requirements of the Cyber Reliance Framework would likely be incorporated into the Scottish Public Finance Manual during 2020. The Finance and General Purposes Committee had 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. This had included papers providing an update on the development of the Scottish Public Sector Cyber Resilience Framework. The Finance and General Purposes Committee would continue to have oversight of this area and receive further update reports on implementation within the College going forward.

The Vice Principal Operations outlined the Scottish Government's proposed approach to implementation and reporting arrangements for the Framework. With these timescales in mind, the College had brought together a group of key staff to build a plan to respond to the Framework and it had performed an initial review of the published documents.

The Committee noted:
- **The implications for the College as outlined within the Cyber Resilience Framework and Supply Chain Cyber Security Guidance.**
- **The College's planned response to the publications.**

AM483   **ANTI-BRIBERY AND CORRUPTION POLICY**
The Director of Finance and Estates explained that the Audit Committee remit included the requirement:

"To review and advise the Board of the Internal Auditor's and External Auditor's assessment of the effectiveness of the College's financial and other internal control systems, including controls specifically designed to prevent or detect fraud or other irregularities as well as those for securing economy, efficiency and effectiveness (value for money)".

As part of the fulfilment of that requirement, the College would update and present for review to the Committee several Policies and Procedures. One of the internal control procedures utilised by the College to prevent fraud was the Anti-Bribery and Corruption Policy. That Policy had been reviewed by the College lawyers and updated to reflect best practice. He led the Committee through a tracked change version of the Policy for the Committee to review.

The Committee approved, for presentation to the Board of Management, the updated Anti-Bribery and Corruption Policy.

AM484   **PROCUREMENT (PCIP) AUDIT OUTCOME**
The Director of Finance and Estates presented the outcome of the Procurement and Commercial Improvement Programme (PCIP) audit review which took place in October 2019. The PCIP review was undertaken by the procurement centre of expertise for universities and colleges – Advanced Procurement for Universities and Colleges (APUC). Under the current public sector procurement operating framework PCIP reviews were undertaken every two years.

He led the Committee through the external assessment of College procurement policies and procedures which formed part of the assurance map which the College was developing.

The Director of Finance and Estates reported that the assessment resulted in an overall outcome rating of 76% which was performance band Gold, a significant improvement on the 2016 rating. Although there was no published sectoral table of PCIP rating reviews, through discussion with APUC staff, the College understood that the Gold banding put West College Scotland near the top of the 2019 PCIP outcomes across all institutions in Scotland. This outcome supported and validated the continuous improvement work and actions detailed within the College Procurement Strategy and Operational Plans, and as reported to the Finance and General Purposes Committee. The review also identified some areas for continued improvement and the College was developing an action plan to address these and which would be incorporated into the refresh of the Procurement Strategy due to take place towards the end of the 2020 calendar year.

The Committee noted the outcome of the 2019 College PCIP review.

AM485   **SCHEDULE OF BUSINESS 2019-20**
The Director of Finance and Estates outlined the remit of the Audit Committee and how the schedule of business assisted in fulfilling this. The schedule of business

was also used to inform the Annual Report of the Chair of the Audit Committee to the Board of Management.

The Committee noted the 2019-20 Schedule of Business.

AM486   **ANY OTHER BUSINESS**
- No other business items were raised.
- Date of Next meeting - Thursday 21 May 4.00 p.m. in Abercorn 2, Paisley Campus

The following item was considered by members of the Audit Committee and College staff only

AM487   **INTERNAL AND OTHER AUDIT SERVICES CONTRACT**

AUDIT COMMITTEE

MINUTES: Thursday 21 May 2020.

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

ATTENDING: Liz Connolly (Principal), David Alexander (Vice Principal Operations), Alan Ritchie (Director of Finance and Estates), Shirley Gordon (Secretary to the Committee).

ATTENDING BY INVITATION: Elizabeth Young (Scott Moncrieff), Joanne Buchanan (Mazars), Lucy Nutley (Mazars), Stephen Pringle (Wylie & Bisset), Graham Gillespie (Wylie & Bisset).

APOLOGIES: None received.

AM488   ANNUAL EVALUATION OF INTERNAL AUDITORS

AM489   CLOSED SESSION REVIEW WITH INTERNAL AUDITORS

AM490   WELCOME AND APOLOGIES

The Chair formally thanked Scott Moncrieff for their work with the College over the last 5 years and welcomed Wylie & Bissett as the College's new Internal Auditors from 1 August 2020. Attending from Wylie & Bissett would be Graham Gillespie and Stephen Pringle and both were welcomed to their first meeting.

No apologies were intimated.

AM491   DECLARATIONS OF INTERESTS

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

AM492   MINUTES
The minutes of the meeting held on Thursday 12 March 2020 **were approved.**

AM493   ACTIONS FROM THE MINUTES
The Committee **noted** the actions taken and outstanding since the last meeting.

AM494   MATTERS ARISING FROM THE MINUTES (AND NOT OTHERWISE ON THE AGENDA)
The following matters arising were raised:
- Internal and other audit services contract – it was confirmed that the Board of Management had approved the appointment of Wylie & Bissett as the College internal auditors for an initial three-year period commencing 1 August 2020, with the option to extend this further until 31 July 2025, in line with the Audit Committee recommendation.
- Audit and Assurance Framework Update – work would take place with the internal auditors over the coming months to progress this with a view to a draft plan being ready for the end of the year.

The Committee noted both matters arising.

AM495   2019-20 AUDIT STRATEGY MEMORANDUM AND FEE PROPOSAL
The Director - Public Services Audit, Mazars LLP (external auditor)presented their Audit Strategy Memorandum and fee proposal for the review of the 2019-20 financial statements. Ms Nutley explained that the Audit Strategy Memorandum 2019-20 would also be presented to the Finance and General Purposes Committee on 2 June 2020 given there was joint responsibility along with the Audit Committee for approving the College Annual Financial Statements.

Ms Nutley reported that the Audit Strategy Memorandum provided the Audit Committee with an overview of the external auditor's preliminary audit planning procedures and approach in relation to the financial statements of the College for the year ended 31 July 2020. The memorandum also provided an overview of significant risks and key judgement areas. It noted the four wider scope areas upon which the auditors required to make a judgement:

• financial sustainability;
• financial management;
• governance and transparency; and
• value for money.

Ms Nutley added that Mazars had set its fee for the audit within the fee range set by Audit Scotland.

The Committee discussed the many uncertainties ahead in light of the Covid 19 pandemic and Ms Nutley recognised that the strategy may be amended if/as required to reflect any changing landscape which emerges not only for College itself but also for the wider sector. The Vice Principal Operations clarified that the SFC had agreed to make full payment of core grant-in-aid funding for 2019/20 to all colleges but confirmation was awaited in respect of the funding position in relation to European funding/activity.

The Audit Committee approved the content of the 2019-20 Audit Strategy Memorandum and the proposed audit fee.

AM496	**INTERNAL AUDIT REPORT – CONTINUING PROFESSIONAL DEVELOPMENT**
The Internal Auditor reported that, as part of the internal audit programme for 2019-20, Scott Moncrieff conducted a review of the processes in place for staff continuing professional development, including annual objective setting and assessment, development planning and reporting of CPD implementation.

Ms Young led the Committee through the report which concluded that *"West College Scotland has continuing professional development (CPD) and staff induction processes in place that comply with national guidance, reflect best practice in many areas and are recognised by the General Teaching Council for Scotland"*.

Ms Young summarised several areas of good practice identified as well as areas for improvement. The College had accepted the recommendations and initiated the management actions noted in the report to address the issues identified. The recommendations would be added to the Rolling Audit Action Plan for monitoring purposes.

The Audit Committee approved the report and agreed it should be presented to the next HR and Corporate Development Committee for review.
{ACTION – SG}

AM497	**INTERNAL AUDIT REPORT– ONLINE RESOURCES**
The Internal Auditor reported that, as part of the internal audit programme for 2019-20, Scott Moncrieff conducted a review of the College's use of online resources for engaging with students, including Moodle and 'MyDay'. The audit reviewed planning, usage polices, monitoring and student feedback mechanisms.

Ms Young led the Committee through the report which concluded that "*West College Scotland has generally robust and effective arrangements in place over online resources. We confirmed that the use of online resources is actively considered as part of the curriculum planning process and that the College obtains and acts upon student feedback to support continuous improvement in this area.*"

Ms Young summarised several areas of good practice identified as well as minor areas for improvement. The College had accepted the recommendations and initiated the management actions noted in the report to address the issues identified. The recommendations would be added to the Rolling Audit Action Plan for monitoring purposes.

The Committee approved the report and agreed that it should be considered at the next LTQC meeting.		**{ACTION – SG}**

AM498	**INTERNAL AUDIT REPORT– REGIONAL OUTCOME AGREEMENT (STAGE 2)**
The Internal Auditor reported that, as part of the internal audit programme for 2019-20, Scott Moncrieff conducted a review of the processes in place for agreeing the College Regional Outcome Agreement (ROA) with the SFC. Scott Moncrieff progressed the review in two separate stages with stage one assessing the College's ROA planning processes and stage two assessing the finalisation of the ROA and target setting. The Audit Committee received and approved the stage one Report at the December 2019 meeting. The report now concluded the stage two element of this assignment.

Ms Young led the Committee through the report which concluded that *'West College Scotland's processes for developing its Regional Outcome Agreement (ROA) are robust and compliant with SFC guidelines. We confirmed the College's ROA*

process was fully complied with during development of the ROA, ensuing a quality ROA was drafted and submitted to SFC on a timely basis. The Board of Management was able to review and approve the ROA during the midst of COVID-19, ensuring the College continued to meet SFC submission deadlines.'

Ms Young summarised several areas of good practice identified and highlighted that the report did not identify any areas for improvement.

The Committee approved the report and agreed that it should be considered at the next LTQC meeting.   {ACTION – SG}

AM499   INTERNAL AUDIT ANNUAL PLAN 2019-20 UPDATE
Elizabeth Young reported that the Audit Committee approved the 2019-20 College internal audit plan in May 2019. She provided the Audit Committee with an update on 2019-20 internal audit activity to date, reporting that the internal auditors had, in line with the agreed programme of work, completed three reviews in the period since the previous Committee meeting:

- Continuing Professional development;
- Online Resources; and
- Regional Outcome Agreement (Stage 2).

These three reports completed the 2019-20 internal audit plan.

The Committee noted the report.

AM500   ROLLING AUDIT ACTION PLAN
The Director of Finance and Estates explained that the purpose of the Rolling Audit Action Plan (RAAP) was to update the Audit Committee on the status of the recommendations made by both the internal and external auditors arising from:

a) Internal audit reports received and approved by the Committee.
b) External auditor management letter recommendations received as part of the year end reports made to the Joint Audit / Finance and General Purposes Committee.

The Director of Finance and Estates led the Committee through the report, summarising the movement in relation to audit recommendations made since the last meeting and confirmed that the RAAP was reviewed by relevant staff on a continual basis and the College considered good progress was being made addressing the recommendations made by both the internal and external auditors.

The Committee approved:
a) An extension of time for 1 recommendation.
b) The removal of 2 completed recommendations.
c) The Rolling Audit Action Plan.

AM501   DRAFT ANNUAL INTERNAL AUDIT PLAN 2019-20 UPDATE
Elizabeth Young presented the draft Annual Internal Audit Report for 2019-20 which formed part of the suite of year-end reports and was designed to assist the Board of Management inform its governance statement.

She documented the scope and responsibilities of both management and the Internal Auditors and reported the internal audit opinion on the College framework of controls as '*In our opinion West College Scotland has a framework of controls*

in place that provides reasonable assurance regarding the organisation's governance framework, internal controls, effective and efficient achievement of objectives and the management of key risks'.

She highlighted, however, that all the internal audit fieldwork was undertaken pre Covid 19 and that was the basis on which the internal auditors formed their opinion. She noted that the nature and timing of amendments to governance, risk and internal control arrangements as a result of Covid 19 should be carefully considered by the Audit Committee for any impact on the governance statement and related commentary.

The Audit Committee approved the Draft Annual Internal Audit Report 2019-20.

AM502   DRAFT INTERNAL AUDIT PLAN 2020-21
Graham Gillespie explained that, in March 2020, the Audit Committee approved the appointment of Wylie & Bisset to provide internal and other audit services to the College for three years to 31 July 2023, with the option to extend the contract for a further two years until 31 July 2025. Mr Gillespie presented the draft internal audit plan for 2020-21 which had been compiled following discussion with the College Senior Management Team alongside a detailed review of the strategic risk register and other key College documents by the audit team.

Mr Gillespie led the Committee through the report highlighting the following nine areas of work which the internal auditors proposed undertaking during the initial three-year appointment:

- Overall Financial Controls.
- Fraud Awareness.
- Review on the effects of Covid-19.
- Complaints Handling.
- External Communications.
- HR: Sickness Absence Reporting.
- Assurance Mapping.
- Follow Up Reviews.
- Student Support Funds / Educational Maintenance Allowance (EMA) / Credit audits.

The Committee supported these areas of review for internal audit purposes going forward and recognised their importance in terms of linkages to the College Strategic Plan 2019-2025 and College Strategic Risk Register. In terms of Audit Universe, it was reported that would continue to be looked at as part of the assurance mapping exercise.   **{ACTION – AR}**

For ease of reference, the Committee asked that the grading structure being used by the incoming auditors be made comparable to that of the outgoing auditors for consistency.   **{ACTION – AR}**

The Audit Committee approved the 2020-21 Internal Audit Plan.

AM503   WCS FRAUD UPDATE - *Restricted Business*

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AM504   **RISK MANAGEMENT STRATEGY AND STRATEGIC RISK REGISTER**

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 provided:

- 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.
- The current College Strategic Risk Register for the consideration of the Audit Committee.

The Director of Finance and Estates 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 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 operational staff as required. This allowed the College to understand the main scenarios that could most impact it 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.

In response to a question, 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.

It was agreed that the Vice Principal Operations would continue to review the Risk Management Strategy in order to reflect the recent work that had been undertaken with the Board of Management in developing the College risk assurance framework, and would consider the sections relating to roles, responsibilities and controls Further development of a new risk register reporting format would also require some changes to be made to the Risk Management Strategy.   **{ACTION – DA}**

The Committee:
- **Noted the update on the actions taken to embed risk across the College.**
- **Approved the next steps in the development of the College Risk Management Strategy.**
- **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.**

AM505   GOVERNANCE COMPLIANCE AND ROA OUTCOMES
The Vice Principal Operations provided assurance that the College was operating in compliance with the:

• Financial Memorandum with SFC;
• Scottish Public Finance Manual; and
• Code of Good Governance.

He explained that there was a need for the Committee to demonstrate that it had met its requirements in relation to the relevant areas of the 2019-20 Regional Outcome Agreement and confirm this to the Board of Management.

The Audit Committee noted the assurance provided in relation to governance compliance as well as progress that had been made in relation to those Regional Outcome Agreement areas for which the Audit Committee had responsibility and agreed to provide an update to the Board of Management.

AM506   ANNUAL REVIEW OF EFFECTIVENESS OF THE AUDIT COMMITTEE
The Secretary to the Committee led members through the report on the outcomes of its annual effectiveness review. The Committee was pleased to note that this feedback was positive, and members were satisfied with the operation of the Committee and the level of information and assurances it received from a range of sources. Both the Internal and External Auditors confirmed that they were satisfied with the operation and effectiveness of the Committee.

The Committee approved the report and would report to the Board on this matter.

AM507   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.

AM508   SCHEDULE OF BUSINESS 2019-20
The Director of Finance and Estates outlined the remit of the Audit Committee and how the schedule of business assisted in fulfilling this. The schedule of business was also used to inform the Annual Report of the Chair of the Audit Committee to the Board of Management.

The Committee noted the 2019-20 Schedule of Business.

AM509   DRAFT DATES OF BOARD/COMMITTEE MEETINGS 2020-21
The Secretary asked the Committee to consider and approve the Audit Committee remit, current membership and 2020/21 meeting dates.

The Committee:
- **Approved its remit, membership and 2020/21 meeting dates.**
- **Noted that the tenure of co-opted member, Graeme Bold, expired on 30 June 2020. As such, the Chair of the Committee would request that Graeme Bold be reappointed for a further one year (1 July 2020 to 30 June 2021) and the Chair would ask the Chair of the Board to present this for approval to the Board meeting scheduled for Monday 15 June 2020.**

AM510   ANY OTHER BUSINESS
- No other business items were raised.
- Date of Next meeting - Thursday 3 September 2020.

TITLE: **REPORT ON FRAUD**

Background: █████████████████████████████████████
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Status: **RESTRICTED**

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TITLE INTERNAL AUDIT PLAN 2020-21

Background In March 2020 the Audit Committee approved the appointment of Wylie and Bisset to provide internal and other audit services to the College for three years until 31 July 2023, with the option to extend the contract for a further two years until 31 July 2025.

The May 2020 Audit Committee considered and approved the internal audit plan for 2020-21. The plan was compiled following discussion with the College Senior Management Team and a detailed review of the strategic risk register and other several key College documents by the audit team.

Action The Board of Management is requested to note the 2020-21 Internal Audit Plan.

Lead David Alexander, Vice Principal Operations

Status Open

1.   Introduction

1.1   Wylie & Bisset LLP were appointed as Internal Auditors by the College with effect from 1 August 2020 for a three-year period to 31 July 2023 with the option to extend the contract until 31 July 2025.

1.2   The prime responsibility of the Internal Audit Service (IAS) is to provide the Board of Management, via the Audit Committee, with an objective assessment of the adequacy and effectiveness of management's internal control systems.

1.3   The IAS objectively examines, evaluates and reports on the adequacy of internal control thus contributing to the economic, efficient and effective use of resources and to the reduction of the potential risks faced by the College. Also, the operation and conduct of the IAS must comply with the standards and guidelines set down by the Chartered Institute of Internal Auditors.

1.4   The attached Audit Needs Assessment presents to the Audit Committee the work which the internal auditors propose undertaking during the initial three-year appointment. The plan has been arrived at after consultation with the College Senior Management Team and through a detailed review by the audit team of several key documents, including the College Strategic Risk Register and Corporate Plan 2019-2025.

1.5   The planned number of internal audit days for 2020-21 is 50 days of internal audit work and 15 days of other audit services (which includes the audits of student activity and student support funds). This level of activity meets the required number of days approved by the Audit Committee in March 2020.

1.6   The rationale for inclusion of each area within the draft plan – as agreed by the College Senior Management Team and internal auditors - is noted below:

- Overall Financial Controls – The College's financial systems are a core and essential element of business operations. During the previous 5 years there has been several specific audits of financial controls (accounting policies, financial reporting, fixed assets) and there is now a need to undertake a high-level review of all financial controls within one review. The proposed review will enable the College to satisfy itself that the process and procedures in relation to overall financial controls are still operating as required.

- Fraud Awareness – Due to a recent fraud the College considers that the controls associated with detecting and preventing fraud should be reviewed.

- <u>Study of effects of Covid-19</u> –The impact of the Covid-19 outbreak has had, and will continue to have, wide ranging impacts on working practices across the College. It is felt that a review of the changes impacting upon the College operating environment as arising from COVID19 should be undertaken to assess the College response to this. Digital transformation and the changes for all staff in engaging with this is expected to be a key aspect of the review. It is also expected that this review will dovetail with the audit review work being undertaken on the Digital Strategy during the first half of 2020-21.

- <u>Complaints Handling</u> – This is a key area for the College given the regulatory regime which is applicable in this area. There is the possibility for reputational damage to the College should a complaint be mishandled. The area has not been specifically reviewed during the previous 5 years. The Scottish Public Services Ombudsman (SPSO) are currently updating the guidance to Colleges on complaint handling which requires to be in place for August 2020. This work will be undertaken towards the end of 2020-21 to allow the new guidance to be embedded in the College and for any recommendations to be implemented for the 2021-22 year.

- <u>External Communications</u> – The College has previously reviewed the area of internal communications and the impact which is has upon the College staff and students. The front facing messaging is critical to ensure that the College is presented in the most favourable light to prospective students and clients. The area of external communications has not been reviewed as part of the previous internal audit regime. The College is currently due to update its website and this work will complement the intended upgrading work.

- <u>HR: Sickness Absence Reporting</u> – The College has more than 1,200 staff and people are essential to the delivery of all services. Employee costs also form the most significant element of the College budget. This review will consider College absence management reporting and all processes in this area.   This area as not reviewed during the previous audit plan.

- <u>Assurance Mapping</u> – The College has a requirement to produce an Assurance Map and has committed to progressing this.   As previously discussed with the Audit Committee, the College will look to engage with the internal auditors in developing this further and reflect best practice in providing required the assurance map through this advisory audit.

- <u>Follow Up Review</u>s – This represents the time the internal auditors will use to review the recommendations arising from previous internal audit reviews. It is intended that this review will be undertaken throughout the year with an updated Rolling Audit Action Plan presented to each Audit Committee for consideration.

- <u>Student Support Funds / Educational Maintenance Allowance (EMA) / Credit audits</u> – these are the statutory audits required by the SFC and Student Awards Agency for Scotland (SAAS) and undertaken as part of the year end financial statements work.

2.   Next Steps

2.1   The 2020-21 Internal Audit Plan was considered and approved at the May 2020 Audit Committee on the basis as outlined above. This plan takes account of the current College Strategic Risk Register, College Corporate Plan, Regional Outcome Agreement and other key documents and reflects discussion between the College Senior Management Team and internal auditors.

2.2   Given the College Strategic Risk Register is subject to ongoing review by the Board of Management and by Board of Management Committees, any agreed internal audit plan for 2020-21 will remain subject to review during the year and this approach is consistent with previous years.

2.3   It is intended that the College Strategic Plan 2019-2025 will be referenced to the Internal Audit Plan as part of the assurance mapping exercise to be undertaken during the first half of 2020-21. This will be done in conjunction with the review of the updated College Strategic Risk Register. The Internal Audit Plan will then be updated to incorporate the revised risk register and Corporate Plan 2019-25 objectives.

3.   Conclusion

3.1   The Board of Management is requested to note the 2020-21 Internal Audit Plan.

West College Scotland

Audit Needs Assessment

2020 - 2023

May 2020

Table of contents

1. Introduction

Background

Wylie & Bisset LLP were appointed as Internal Auditors by the College with effect from 1 August 2020 for the period to 31 July 2023 with the option to extend for up to a further two 12-month periods.

Internal Audit

The prime responsibility of the Internal Audit Service (IAS) is to provide the Board of Management, via the Audit Committee, with an objective assessment of the adequacy and effectiveness of management's internal control systems.

The IAS objectively examines, evaluates and reports on the adequacy of internal control thus contributing to the economic, efficient and effective use of resources and to the reduction of the potential risks faced by the College. Also, the operation and conduct of the IAS must comply with the standards and guidelines set down by the Chartered Institute of Internal Auditors.

Terms of Reference – Internal Audit

The provision of the IAS by Wylie & Bisset LLP is covered by the letter of engagement dated May 2020.

Formal Approval

The Audit Needs Assessment (ANA) was developed based on discussions with the Vice Principal: Operations and the Director of Finance & Estates of the College and a review of various documentation. The ANA was presented to the SMT meeting on 12 May 2020 for discussion and subsequently presented to the Audit Committee for discussion and approval on 21 May 2020.

2. Approach

The Process

The Audit Needs Assessment ("ANA") has been produced based on the following:

- Discussions with the College's Vice Principal: Operations and the Director of Finance & Estates;
- Presentation and discussion to the SMT;
- Review of previous internal audit coverage;
- Discussions with the Audit Committee;
- Review of the College's Risk Register;
- Undertaking an Assurance Mapping Exercise
- The identification of all areas of work by system and sub-system;
- The grouping of systems for audit purposes;
- The identification of key controls and associated risks for each system and sub-system; and
- The determination of the internal audit resource required to meet the identified audit needs;

Summary of Proposed Internal Audit Plan 2020-2023

A summary of the proposed Internal Audit Plan for the three years to 31 July 2023 can be found at Appendix A.

2. Approach

Revisiting the ANA

The ANA will be reviewed continuously throughout our appointment, and will take account of the results of audit work, the development of new systems and any other risk factors identified.

Any proposed changes to the ANA will be presented to the Audit Committee for discussion and approval.

The staff involved in servicing the College internal audit requirements are noted below.

Name	Role	Email Address
Graham Gillespie	Partner	graham.gillespie@wyliebisset.com
Stephen Pringle	Senior Manager	stephen.pringle@wyliebisset.com
Audrey Cowan	Audit Supervisor	audrey.cowan@wyliebisset.com
Faisal Kayani	Audit Senior	faisal.kayani@wyliebisset.com
Allan O'Hagan	IT Auditor	allan.ohagan@wyliebisset.com
Tom Wilinski	IT Auditor	tom.wilinski@wyliebisset.com

Wylie & Bisset set several key performance indicators in relation to all contracts. The performance indicators for the work to be undertaken on behalf of West College Scotland can be found at Appendix C and will be reported to the Audit Committee as part of the Annual Internal Audit Report.

3. Internal Audit Plan 2020/21

Audit Area		High level indicative summary scope	Total Number Of Days
Overall Financial Controls		This review will consider the controls in place at the College to ensure these are adequate, performing as expected and are being adhered to by staff. We will also consider whether there are any gaps in these controls which could give rise to potential fraud or theft of assets. We will also ensure that the processes are being followed consistently. This will form the basis for future financial controls reviews.	6
Fraud Awareness		The purpose of this review is to ensure that the College are aware of fraud and that there are procedures in place to ensure appropriate reporting is in place at the College. We would also provide a fraud awareness session to staff on some of the examples of fraud which we have dealt with in recent years and the controls in place to prevent fraud.	5
Study of effects of Covid-19		The purpose of this review is to assess the impact of Covid-19 on the College's working practices. We will look to undertake this review over the two phases, one early in the year and one later in the year. The early work will be a review to assess the impacts of Covid-19 on teaching and learning with an emphasis on the digital technology improvements / challenges and how these plan to be addressed by the College. The later phase will review the impact of changes in digital technologies have had on teaching and learning.	8
Complaints Handling		The purpose of this assignment is to review the processes in place for the management, monitoring and reporting of complaints. We will seek to provide assurance that the process is robust and that performance against targets are being monitored. We will also look to ensure that complaints are being addressed in line with SPSO requirements.	5

3. Internal Audit Plan 2020/21

Audit Area	High level indicative summary scope	Total Number Of Days
SSF Audit	Mandatory review of the Student Support Funds Returns.	4
EMA Audit	Mandatory review of the Education Maintenance Allowance Returns.	3
Credits Audit	Mandatory review of the Credits Return.	8
External Communication - Website	The purpose of this review is to ensure there is sufficient website analytical information in place at the College. We will also review the website traffic and the reporting arrangements in place at the College to assess whether the arrangements in place are sufficient. We will also consider accessibility in order to meet current EU directives.	6

3. Internal Audit Plan 2020/21

Audit Area	High level indicative summary scope	Total Number Of Days
HR: Sickness and Absence Reporting	The purpose of this assignment is to review the methods in place at the College for sickness and absence reporting. We will review the procedure in place and also the monitoring arrangements in place. We will also review the monitoring of targets and the actions taken by the College to improve staff absence.	5
Assurance Mapping	The purpose of this assignment is to assist the College in reviewing and developing their assurance mapping arrangements. This will include a review of the current arrangements, a review of the methods of assurance in place in order to provide assurance that the College has assurance over its key business objectives.	6
Follow Up Review	The purpose of this ongoing review is to assess whether the College has appropriately implemented the internal audit recommendations made in 2019/20 and earlier years. Our ongoing review will consider whether any issues are outstanding beyond the agreed implementation deadline. Our ongoing review will consider all outstanding recommendations to provide the Audit Committee with independent assurance that we are satisfied that these recommendations have been fully implemented by the College and can therefore be removed from the audit action plan.	4

3. Internal Audit Plan 2020/21

Assignment Plans

A detailed assignment plan will be prepared for each audit undertaken, setting out the scope and objectives of the work, allocating resources and establishing target dates for the completion of the work. Each assignment plan will be agreed and signed off by an appropriate sponsor from the College.

Key Dates

Phase	Audit Areas	Key College Personnel	Provisional Date for Visit	Date of Issue of Draft Report	Provisional Date to the Audit Committee
Phase 1	Assurance Mapping SSF EMA Credits	TBC	August 14 September 2020 & 21 September 2020	2 October 2020	November 2020
Phase 2	Fraud Awareness Overall Financial Controls Study of effects of Covid-19 HR: Sickness and Absence Reporting	TBC	January / February 2021	January 2021	March 2021
Phase 3	External Communication – Website Study of effects of Covid-19 Complaints Handling	TBC	March/April 2021	April 2021	May 2021

4. Reporting

Internal audit would propose to provide the following reports to the Audit Committee as part of the provision of the service:

➢ An Audit Needs Assessment;

➢ A report for the internal audit assignments undertaken each year;

➢ An update report to each Audit Committee meeting showing the progress made against the plan for the year; and

➢ An annual report on IAS's activities.

For each recommendation a target date for remedial action will be set taking into the account the degree of priority associated with the recommendation. Appendix B shows the intended assurance grading structure which ranges from Strong Assurance to No Assurance. Appendix B also shows the proposed risk grading structure which ranges from High to Low risk levels.

The draft report for each assignment will be discussed with the auditees and the factual accuracy agreed prior to issue of the report in its final form.

The auditees will be required to respond to the recommendations stating their proposed action and nominating the person responsible for each action point

Appendix A - Summary of Internal Audit Input

1 August 2020 to 31 July 2023		Operating Plan (No. Of days)		
System	**Audit Area**	**2020/21**	**2021/22**	**2022/23**
Financial Systems	Overall Financial Controls	6		
	Review of Financial Regulations		5	
	Procurement & Tendering			5
	Treasury & Cash Management		5	
	Financial Systems			5
Non Financial Systems	Study of effects of Covid-19	8		
	Fraud Awareness	5		
	Complaints Handling	5		
	External Communications - Website	6		
	Assurance Mapping	6		
	HR: Sickness and Absence Reporting	5		
	Digital Drivers & Technology		6	
	Delivery & Online Learning			6
	Carbon Management/Sustainability		5	
	C/F	**41**	**21**	**16**

Appendix A - Summary of Internal Audit Input

System	Audit Area	Operating Plan (No. Of days)		
		2020/21	2021/22	2022/23
	B/F	**41**	**21**	**16**
	Estates Strategy		5	
	Business Continuity		5	
	Catering & Cleaning Improvement Plan			
	Curriculum Planning & Timetabling			5
	Student Recruitment / Admissions / Enrolments		5	5
IT Systems	IT Systems		5	
	IT Strategy			5
Governance	Corporate Governance			5
	Risk Management			5
Funding	SSF	4	4	4
	EMA	3	3	3
	Credits	8	8	8
	C/F	**56**	**56**	**56**

Appendix A - Summary of Internal Audit Input

System	Audit Area	Operating Plan (No. Of days)		
		2020/21	2021/22	2022/23
	C/F	**56**	**56**	**56**
Required	Follow Up	4	4	4
	Audit Management	5	5	5
	Total Days	**65**	**65**	**65**

1 August 2020 to 31 July 2023

Appendix B - Grading Structure

For each area of review we assign a grading in accordance with the following classification:

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

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

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

Appendix C – Key Performance Indicators
Analysis of Performance Indicators

Performance Indicator	Target
Internal audit days completed in line with agreed timetable and days allocation	100%
Draft scopes provided no later than 10 working days before the internal audit start date and final scopes no later than 5 working days before each start date	100%
Draft reports issued within 15 working days of exit meeting	100%
Management provide responses to draft reports within 10 working days of receipt of draft reports	100%
Final reports issued within 5 working days of receipt of management responses	100%
Recommendations accepted by management	100%
Attendance at Audit Committee meetings by a senior member of staff	100%
Annual Report to be issued by 31 August each year	100%
Suitably experienced staff used on all assignments	100%

TITLE: **HRCD COMMITTEE**

Draft Minutes of the meetings held on Tuesday 17 March 2020 and Tuesday 5 May 2020

Action: The draft HRCD Committee minutes from the meetings held on Tuesday 17 March 2020 and Tuesday 5 May 2020 are attached for information.

The minutes from the Tuesday 17 March 2020 meeting were approved on Tuesday 5 May 2020 and the minutes from Tuesday 5 May 2020 meeting will be formally approved at the next Committee meeting scheduled for Tuesday 15 September 2020.

The Committee Chair, Mark Newlands will lead the Board through key matters discussed at the meetings and the Board is asked to note:

- **Tuesday 17 March 2020 meeting**
  - ❖ CDM238 - Review of Modern Slavery Statement - the Committee noted the outcome of the annual review of the Modern Slavery Statement and agreed that no changes were required.

- **Tuesday 5 May 2020 meeting**
  - ❖ CDM248 – Alternative Income Report - the Committee welcomed the realistic pragmatic approach being taken to firstly assess and then progress current operational activity but also the innovative alternative solutions being sought going forward particularly in identifying opportunities and how best these could be delivered to meet new needs. Continued dialogue with partners and ongoing business engagement was critical particularly in the phases where workplaces reopened. The Committee expressed its thanks to the Assistant Principal: Enterprise and Skills and her teams for the wealth of positive work being undertaken throughout this unprecedented time.

  - ❖ CDM249 – HR Report 2019 - the Committee noted the report and agreed to its submission to the 15 June 2020 Board meeting following the one addition described in the minute.

  - ❖ CDM259 - Multi-Generational Workforce Strategy - the Committee agreed that the Multi-Generational Workforce Strategy be further modified for further consideration in September.

  - ❖ CDM251 - Approach to Commercial Activity and FWDF - the Committee commended the work being undertaken to enhance

opportunities not only for the college but also in ensuring local communities / organisations benefited and thrived from what the college could provide and noted the approach to Commercial Activity and FWDF.

Lead: Mark Newlands, Chair, HRCD Committee

Status: Open

HR and CORPORATE DEVELOPMENT COMMITTEE

NOTE - DUE TO THE CORONAVIRUS PANDEMIC, THIS MEETING WAS CANCELLED AND MEMBERS DULY NOTIFIED ON 17 MARCH 2020. IT WAS AGREED BY THE CHAIR AND SENIOR OFFICERS TO CONSIDER THE MEETING'S BUSINESS VIA EMAIL WITH THE BOARD SECRETARY CO-ORDINATING ALL REPLIES FROM MEMBERS. THIS MINUTE REFLECTS THOSE COMMENTS RECEIVED.

MINUTES: TUESDAY 17 MARCH 2020.

MEMBERS: Mark Newlands (in the Chair), Jim Hannigan, Linda Johnston, David Mark (co-opted member).

IN ATTENDANCE: Liz Connolly (Principal), Stephanie Graham (Vice Principal Educational Leadership), Sara Rae (Assistant Principal, Enterprise and Skills), Diarmid O'Hara (Director, Communications, Policy and Planning), David Gunn (Director of Organisational Development and HR) and Shirley Gordon (Secretary to the Committee).

APOLOGIES: None Received.

CDM231 DECLARATION OF INTERESTS
No declarations of interest were recorded.

CDM232 MINUTES
The minutes of the meeting held on 21 January 2020 **were approved.**

CDM233 MATTERS ARISING FROM THE MINUTES (NOT OTHERWISE ON THE AGENDA)
There were no other matters arising from the minutes not otherwise on the agenda to be considered.

CDM234 COMPETITOR ANALYSIS
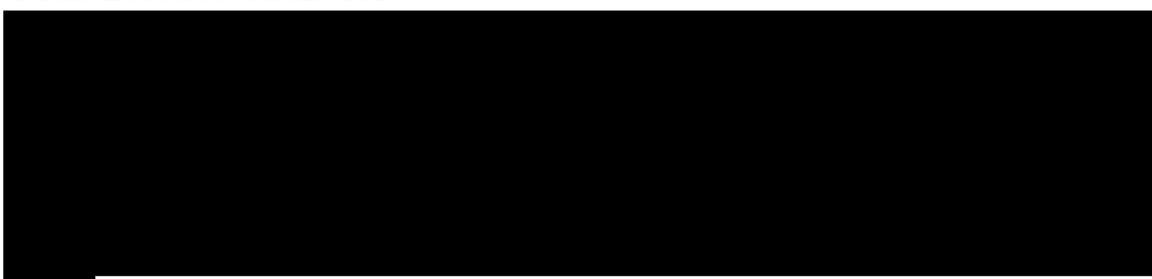
CDM235 CURRICULUM PLANNING REPORTS

The Assistant Principal: Enterprise and Skills' paper reported that the WCS Sector Digests aimed to provide staff from six curriculum areas with a bespoke resource to inform them of developments in public policy, industry and the labour market. Along with existing materials from Skills Development Scotland, this could be used as an evidence-base for colleagues to use in their future curriculum planning and teaching practice. She explained in the paper that the WCS Sector Digests were published in September 2019 alongside a short evaluation to gauge demand for this type of resource. The evaluation yielded a low return rate and the Directorate was currently considering whether this work be continued. The Assistant Principal: Enterprise and Skills also recorded the 2016 Competitor Analysis.

The Committee noted the report.

CDM236 MODERN APPRENTICESHIPS

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CDM237 ALTERNATIVE INCOME REPORT

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CDM238 REVIEW OF MODERN SLAVERY STATEMENT

The Director Organisational Development and HR' paper explained that the Modern Slavery Statement was approved by the Board of Management on 4 February 2019. It had to be reviewed on an annual basis. Following a review carried out by the Director Organisational Development and HR, it was recommended that no changes be made to the Modern Slavery Statement that would be place until 3 February 2021.

The Committee noted the outcome of the annual review of the Modern Slavery Statement and agreed that no changes were required.

CDM239 EQUALITY AND DIVERSITY INTERNAL AUDIT REPORT

The Director Organisational Development and HR's paper explained that, in accordance with the 2019/20 Internal Audit Plan, Scott Moncrieff had considered the College's mechanisms for promoting staff equality and diversity and embedding these principles throughout the College including setting equality outcomes, implementing actions and ongoing monitoring and reporting.

The Committee noted the Audit Report and recommendations on areas for improvement.

CDM240 IMPLEMENTATION OF WORKFORCE PLAN (2019-2024) ACTION PLAN 2019

The Director Organisational Development and HR's paper explained that, in accordance with the 2016/17 internal audit plan, the College prepared and implemented a Workforce Plan. At that time, the Organisational Development and HR Committee asked the Director Organisational Development and HR to keep the Committee informed of the implementation of annual action plans.

The Committee noted the progress made in implementing the action plan for 2019.

CDM241 MULTI-GENERATIONAL WORKFORCE STRATEGY

The Director Organisational Development and HR's paper explained that changing demographics, which projected a continuously ageing population, had led to workplaces becoming increasingly multi-generational. The Multi-Generational Workforce Strategy addressed the workforce planning challenges that the College must address as a result of the change in demographics.

Some points of clarification were sought on the Strategy and it was **agreed to delay its approval until the Committee had the opportunity to discuss it in further detail at its meeting scheduled for Monday 5 May 2020.**

{ACTION – MAY AGENDA}

CDM242 REPORTS FROM SUB COMMITTEES

Minutes from the meetings of the Sub-Committees were attached for the Committee's consideration including:

LJCNC Lecturing: 20 June 2019, 11 September 2019, 9 October 2019, 12 December 2019.

LJCNC Support: 11 September 2019, 9 October 2019, 12 December 2019.

EDI: 26 September 2019, 5 December 2019.

Health & Safety: 29 May 2019, 2 October 2019, 4 December 2019, 19 February 2020.

The Committee noted the 13 sets of minutes.

CDM243 REMIT, MEMBERSHIP AND SCHEDULE OF BUSINESS

The Committee **noted** its proposed Schedule of Business for 2019/20 (subject to review and adjustment in light of the business coming forward) and its Remit, membership and Committee dates.

CDM244 ANY OTHER BUSINESS

No other business items were raised.
Date of Next meeting: Monday 5 May 2020, Paisley Campus

HR and CORPORATE DEVELOPMENT COMMITTEE

MINUTES: TUESDAY 5 MAY 2020 – via Skype.

MEMBERS: Mark Newlands (in the Chair), Jim Hannigan, Linda Johnston, Liz Connolly, Sabira Akram.

IN ATTENDANCE: Stephanie Graham (Vice Principal Educational Leadership), Sara Rae (Assistant Principal, Enterprise and Skills), David Gunn (Director of Organisational Development and HR), Waiyin Hatton (Chair of the Board) and Shirley Gordon (Secretary to the Committee).

APOLOGIES: David Mark (co-opted member), Diarmid O'Hara (Director, Communications, Policy and Planning),

CDM245 DECLARATIONS OF INTERESTS
The following declarations of interest were recorded and noted:
- Liz Connolly: Trustees of the West College Scotland Foundation.
- Jim Hannigan: Skills Development Scotland.
- Sabira Akram: Scottish Qualifications Authority.
- 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.

CDM246 MINUTES
The Chair welcomed everyone to the meeting being held via Skype due to the lockdown and thanked all members for agreeing to consider the business of the last meeting by email due to the imminent announcement of the national lockdown.

The minutes of the meeting conducted by email on Tuesday 17 March 2020 **were approved.**

The actions from the minutes **were noted.**

CDM247 MATTERS ARISING FROM THE MINUTES (NOT OTHERWISE ON THE AGENDA)
There were no other matters arising from the minutes not otherwise on the agenda to be considered.

CDM248 ALTERNATIVE INCOME REPORT

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CDM249 HR REPORT 2019

The Director Organisational Development and HR updated on a range of activities covered by the Organisational Development and HR Directorate during 2019 and reviewed key OD and HR performance indicators. He sought any feedback from the Committee on the draft HR Report 2019 prior to its submission to the Board on 15 June 2019.

The Director Organisational Development and HR led the Committee through the report explaining that, where possible, the indicators were compared externally against relevant data from the Scottish Government, Chartered Institute of Personnel and Development (CIPD), Scottish Funding Council (SFC) XpertHR and the Office for National Statistics. The report incorporated progress made on implementing the People Strategy 2016-2019. He added that the report, when finalised, would be circulated to recognised trade unions and made available to all staff on the College intranet.

The Director Organisational Development and HR summarised the college HR Metrics (including the staffing profile, employee turnover, length of service and sickness absence). He described the considerable progress made on the equality, diversity and inclusion agenda in the past year adding that, in accordance with the People Strategy "the college aims to continue being an inclusive organisation which respects and encourages diversity in all activities. In achieving this aim, the college will be proactive in removing barriers for its staff and students to enable them to achieve their potential". He provided key highlights of actions taken to advance equality, including the provision of a new online Equality, Diversity and Inclusion (EDI) course for staff with enhanced user engagement, developing an effective response to Gender Based Violence, and showcasing EDI work to the national College and Universities sectors. A biennial Statutory Equality Report which reflected on progress halfway through the life span of the Equality Outcomes had also been published.

The Director Organisational Development and HR described how the college had also been able to refer to college staff equality data as a result of a new annual report provided by the Scottish Funding Council (SFC). WCS equality data compared well with the sector, particularly with reference to gender and disability. Overall, the changes in the college's equality data on an annual basis could be described as nuanced and incremental, except for an increase in the gender pay gap which had been affected by pay harmonisation. He noted that WCS had a significantly higher proportion of staff aged over 50 than the national indicators.

In respect of Learning and Development, the Director Organisational Development and HR reported that a total of 938 delegates attended 129 internal and 162 external staff development events. Several CPD / Curriculum and Development Days had also taken place over the last year. The Teaching in Colleges Today programme (TiCT) was now well embedded within WCS. Following an agreement as a result of national bargaining, there was a contractual requirement for any commencing employee on or after 1 April 2019 who did not hold a recognised lecturing qualification to successfully complete such a qualification within two years of taking up a position in any FE college, subject to local operational

requirements. There were currently 10 lecturers undertaking the TQFE course provided by the University of Dundee.

The Director Organisational Development and HR described how the college had maintained good working relations with trade union representatives (EIS, Unison and Unite) during a continuing period of volatile industrial relations associated with national bargaining.

In relation to Resourcing and Talent Planning, the Director Organisational Development and HR reported that a significant sector-wide job evaluation process for support staff commenced in March 2019. This had required considerable co-ordination within the college led by the Organisational Development and HR Directorate. Workforce planning activities were extended to an operational level in 2019 highlighting priority actions relating to, for example, an ageing workforce, digital literacy and recruitment. WCS took the initiative to establish a sector-wide iTrent User Group and this had been widely welcomed and received widespread support from other colleges using this HR and Payroll System. The college achieved accreditation to deliver the GTCS Professional Review and Development Scheme which potentially had significant implications for the professional development of teaching staff.

The college Employee Health and Wellbeing Strategy, developed in 2018, was successfully implemented in 2019. A successful joint (student and staff) mental health awareness month in May 2019 led to the creation of a Student Health and Wellbeing Strategy mirroring the Employee Strategy. This work was recognised with a College Development Network (CDN) Award in November 2019.

WCS was suitably prepared for the introduction of the General Data Protection Regulation (GDPR), which came into force on 25 May 2018 and had since been superseded by the Data Protection Act 2018. The college employed a Data Protection Officer under a shared service agreement, and data protection activity was directed by the GDPR Steering Group chaired by the Director Organisational Development and HR.

The Committee commended the level of detail in the report whilst recognising the many challenges. In response to a question about the differences recorded in work related stress between support staff and academic staff, the Director Organisational Development and HR provided some likely reasons for this trend and added that he would investigate the reasons and provide further detail to the Committee for inclusion in the final report to the Board.

The Committee requested that the section on Incidents and Accidents (Paragraph 8.3 of the Report) include statistics over a number of years to allow for any trends to be seen (rather than simply year on year comparisons). **{ACTION – DG}**

The Committee noted the report and agreed to its submission to the 15 June 2020 Board meeting following the one addition described above.

CDM250 MULTI-GENERATIONAL WORKFORCE STRATEGY
The Director Organisational Development and HR explained that changing demographics, which projected a continuously ageing population, had led to

workplaces becoming increasingly multi-generational. The Multi-Generational Workforce Strategy addressed the workforce planning challenges that the college must address as a result of the change in demographics. He led the Committee through the draft document and explained that an action plan would be prepared to fully implement the Strategy.

The Committee suggested that the strategy would benefit from a more holistic approach describing what it hoped to achieve and by when. The overall sense of direction was welcomed but, with the addition of some contextual detail, it could easier identify any gaps currently in existence. The Director Organisational Development and HR alluded to much of the detail also contained in the WCS Workforce Plan 2019-2024 and agreed to revise the Multi-Generational Workforce Strategy cross-referring to this, providing some additional context and including the action plan for further consideration at the next meeting.

{ACTION: DG / SEPT AGENDA}

The Committee agreed that the Multi-Generational Workforce Strategy be further modified as described above for further consideration in September.

CDM251   APPROACH TO COMMERCIAL ACTIVITY AND FWDF

CDM252 COMMITTEE REMIT, MEMBERSHIP AND DATES OF MEETINGS

The Committee was asked to note and approve its remit, current membership list and 2020/21 proposed meeting dates.

The Committee suggested the following amendment in relation to its remit:

Section 2 – Membership:
- Currently read "Membership of the Committee will comprise: The Principal, 3 members of the Board of Management and 1 Co-opted member".
- Should read "Membership of the Committee will comprise: The Principal, *at least* 3 members of the Board of Management and 1 Co-opted member".

The Committee approved its current membership list and 2020/21 meeting dates being:

- Tuesday 15 September 2020 – 4 till 6pm
- Wednesday 4 November 2020 – 4 till 6pm
- Wednesday 10 February 2021 – 4 till 6pm
- Wednesday 12 May 2021 – 4 till 6pm

The Committee agreed that the remit be revised as noted above and submitted to the September meeting for approval.   **{ACTION: SG / SEPT AGENDA}**

CDM253 ANY OTHER BUSINESS
- No other business items were raised.
- Date of next meeting: Tuesday 15 September 2020, Campus TBC

TITLE: **HUMAN RESOURCES REPORT 2019**

Background: The Human Resources Report is intended to update the Board of Management on a range of activities covered by the Organisational Development and HR Directorate during 2019 and reviews key OD and HR performance indicators.

Action: The Board is asked to approve the report.

Lead: David Gunn, Director Organisational Development and HR

Status: Open

West College Scotland
HUMAN RESOURCES REPORT

2019

WEST COLLEGE SCOTLAND

Contents

1. INTRODUCTION

The Human Resources Report is intended to update the Board of Management on a range of activities covered by the Organisational Development and HR Directorate during 2019 and reviews a number of key Organisational Development and HR performance indicators.

Where possible these indicators are compared externally, against relevant data from the Scottish Government, Chartered Institute of Personnel and Development (CIPD), Scottish Funding Council (SFC), XpertHR and the Office for National Statistics.

The report incorporates progress made on implementing the People Strategy 2016-2019 which was also reported at meetings of the Organisational Development and HR Committee.

The Human Resources Report will be circulated to recognised trade unions and made available to all staff on the College intranet.

2. SUMMARY INFORMATION
2.1 SUMMARY OF KEY HR METRICS

Table 1: HR Metrics

	2018	2019	External Benchmark
Headcount	1192	1185	n/a
Staffing costs as a percentage of income	71.3%	70.7%	n/a
Employee turnover	10.99%	9.78%	15.7%*
Male/female ratio	41/59	40/60	39/61**
Percentage of BME staff	1.33%	1.50%	2.1%**
Percentage of staff with a disability	6%	6.93%	5.90%**
Sickness absence	5.2%	5.3%	3.8%*
Age bracket highest number of staff	30-49	30-49	30-49***

*Public Sector, XpertHR, 2019

**College Staffing Data AY 17/18, SFC, published March 2019

*** Scotland's Census, 2011

2.2 HR REPORT SUMMARY

2.2.1 Staffing Profile

The Headcount in 2019 was on a downward trend as a result of 24 staff being accepted under the VS Scheme. Additional posts were introduced as a result of additional Scottish Government funding and also a commercial opportunity following the closure of a local training organisation.

2.2.2 Employee turnover

Employee turnover is 9.78% compared to a national benchmark of 16.1% from a XpertHR Survey in 2019 relating to Education in the Public Sector.

2.2.3 Length of Service

Most staff have more than 10 years' service, which is reflected in our relatively low employee turnover rate and age profile (more than half of our staff are over the age of 50). These metrics have significant implications for workforce planning.

2.2.4 Sickness Absence

The College's sickness absence rate now stands at 5.3%. This is higher than a public sector benchmark of 3.8% (XpertHR, 2019). The College has been, and remains, fully committed to an effective absence management approach, coupled with a focus on health promotion and employee wellbeing.

2.2.5 Equality, Diversity and Inclusion

The Report provides key highlights of actions we have taken to advance equality, including the provision of a new online Equality, Diversity and Inclusion (EDI) course for staff with enhanced user engagement, developing an effective response to Gender Based Violence, and showcasing our EDI work to the national College and Universities sectors. We also published our biennial Statutory Equality Report which reflects on progress halfway through the life span of our Equality Outcomes.

We have been able to refer to College staff equality data as a result of a new annual report provided by the Scottish Funding Council (SFC). Our equality data compares well with the sector, particularly with reference to gender and disability. On the whole the changes in the College's equality data on an annual basis could be described as nuanced and incremental, with the exception of an increase in the gender pay gap which has been affected by pay harmonisation. This Report notes that WCS has a significantly higher proportion of staff aged over 50 than the national indicators.

2.2.6 Learning & Development

A total of 938 delegates attended 129 internal and 162 external staff development events. A number of CPD / Curriculum and Development Days have also taken place over the last year.

The Teaching in Colleges Today programme (TiCT) is now well embedded within West College Scotland (WCS). This programme is for College staff who are new to teaching or do not hold a recognised teaching qualification.

A total of 29 members of staff received training on the West College Scotland Leadership Development Programme in 2019.

Staff who had undertaken the TiCT course and the Leadership Development Programme had their achievement celebrated with a special lunch and presentation ceremony hosted by the Principal.

Following an agreement as a result of national bargaining, there is a contractual requirement for any commencing employee on or after 1 April 2019 who does not hold a recognised lecturing qualification to successfully complete such a qualification within two years of taking up a position in any FE College, subject to local operational requirements. There are currently 10 lecturers undertaking the TQFE course provided by the University of Dundee.

2.2.7 Employee Relations

The College has maintained good working relations with trade union representatives (EIS, Unison and Unite) during a continuing period of volatile industrial relations associated with national bargaining.

2.2.8 Resourcing & Talent Planning

A significant sector-wide job evaluation process for support staff commenced in March 2019. This has required considerable co-ordination within the College led by the Organisational Development and HR Directorate.

Workforce planning activities were extended to an operational level in 2019 highlighting priority actions relating to, for example, an ageing workforce, digital literacy and recruitment.

WCS took the initiative to establish a sector-wide iTrent User Group. This has been widely welcomed and received widespread support from other colleges using this HR and Payroll System.

The College achieved accreditation to deliver the GTCS Professional Review and Development Scheme which potentially has significant implications for the professional development of teaching staff.

2.2.9 Health & Wellbeing

Our Employee Health and Wellbeing Strategy, developed in 2018, was successfully implemented in 2019. A successful joint (student and staff) mental health awareness month in May 2019 led to the creation of a Student Health and Wellbeing Strategy mirroring the Employee Strategy.

This work was recognised with a College Development Network (CDN) Award in November 2019.

Our accident profile remains relatively low, with only 2 accidents reportable to the Health and Safety Executive under RIDDOR in 2019.

2.2.10 Data Protection & Freedom of Information

We were suitably prepared for the introduction of the General Data Protection Regulation (GDPR), which came into force on 25th May 2018 and has since been superseded by the Data Protection Act 2018. We employ a Data Protection Officer under a shared service agreement, and our data protection activity is directed by the GDPR Steering Group chaired by the Director Organisational Development and HR.

In 2019, the College received 29 Subject Access Requests under the Data Protection Act and 29 Freedom of Information requests.
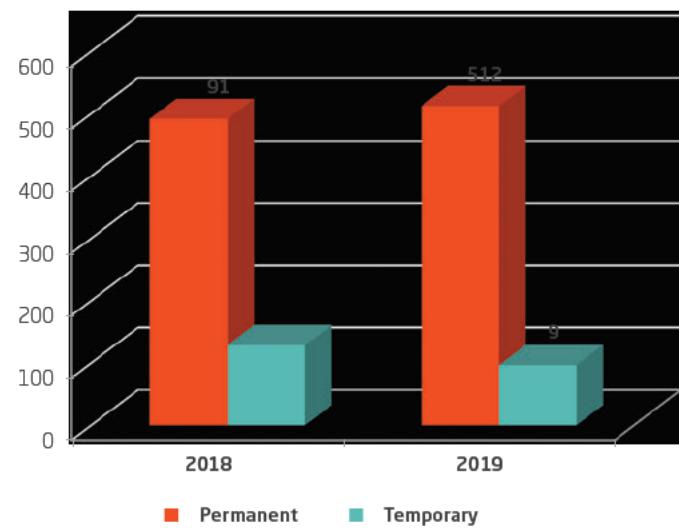
3. COLLEGE HR METRICS
3.1 COLLEGE STAFFING PROFILE

The staffing profiles shown below (Figures 1 and 2) compare 2018 and 2019 headcount figures for Teaching and for Support Staff.

Figure 1: Teaching Staff
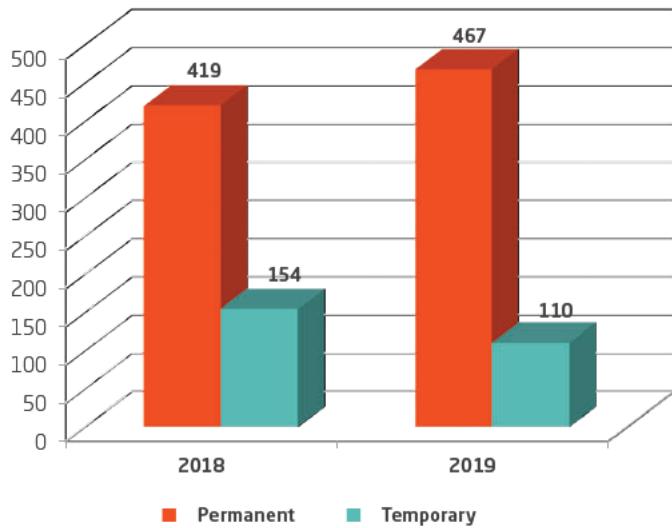
Figure 2: Support Staff

Notable increases in permanent staff are the result of an agreement under national bargaining to offer permanency to all temporary staff who have completed 2 years continuous service. The College had previously applied the statutory requirement of 4 years.

In 2019 the College released 24 members of permanent staff on Voluntary Severance, 7 Support Staff and 17 Teaching Staff through realignment of duties. Additional posts were introduced through Scottish Government funding for period poverty, which allowed the College to employ additional cleaners and Student Counsellors were employed by the College following a change to their employment status. The closure of a local training organisation offered a commercial opportunity for the College to transfer students and employ their Assessors on temporary contracts to service this contract.

3.2 EMPLOYEE TURNOVER

Based on headcount, the College average employee turnover (Figure 3) was 9.78% during 2019.

The retention of staff compares favourably with the average rate of employee turnover detailed in the XpertHR Survey 2019, which was 15.7%.

The sector is vocational, and the College's terms and conditions are extremely competitive. Both of these factors are likely to affect the turnover rate. The majority of turnover is attributable to employees choosing to leave and, in the last year voluntary severance has contributed significantly to turnover, with 26.97% of turnover being due to voluntary severance.

Figure 3: Employee Turnover
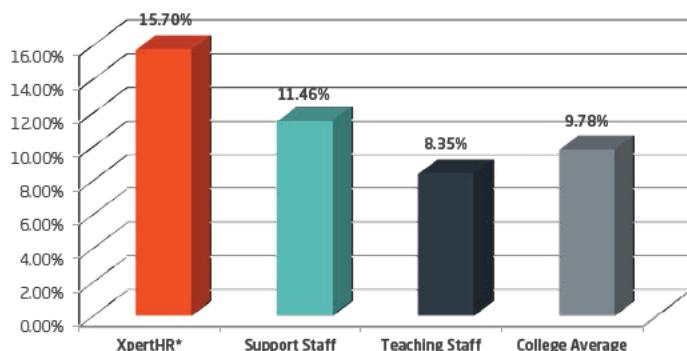
*XpertHR, 2019

The main reason for Teaching Staff leaving in 2019 was voluntary severance (VS) **(Figure 4).**

The main reason for Support Staff leaving in 2019 was resignation **(Figure 5).**

Figure 4:
Reasons for Teaching Staff leaving

Figure 5:
Reasons for Support Staff leaving
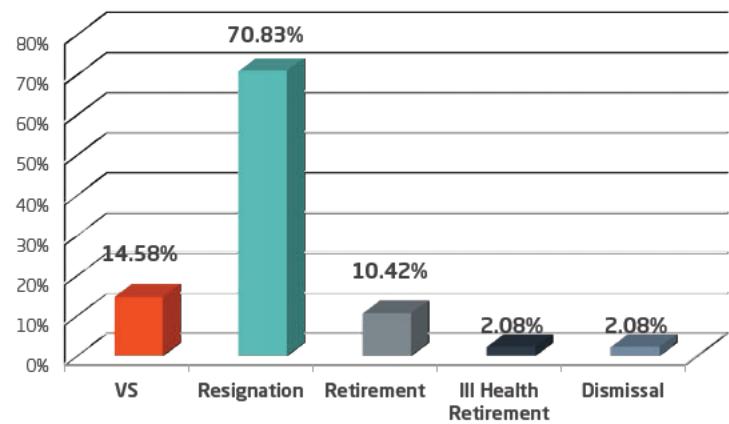
Through the continued implementation of our People Strategy 2016-2019 and the implementation of our Workforce Plan 2019-2024, the College wishes to ensure that it secures, develops retains and effectively manages sufficient Teaching and Support Staff to provide quality education to students and employer clients within the resources available. It wishes to attract and engage diverse, talented individuals from different background, heritages and lifestyles.

3.3 LENGTH OF SERVICE

The length of service of teaching and support staff are included as **Figures 6** and **7**. This relates to employment with WCS and so does not include previous public sector service. The length of service of the majority of staff is in excess of 10 years.

The relatively long service amongst WCS employees could be related to the vocational nature of the teaching profession as well as the competitive terms and conditions of employment in the College Sector such as pension, holidays and flexible working. Long service leads to an ageing workforce over time. Consequently, as an integral part of the College's workforce planning activity, the implications of the long service staffing profile are taken into account.

Figure 6:
Length of Service - Teaching Staff (%)
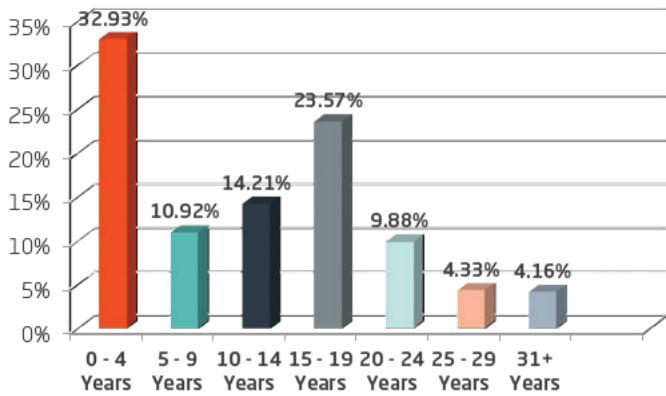
Figure 7:
Length of Service - Support Staff (%)
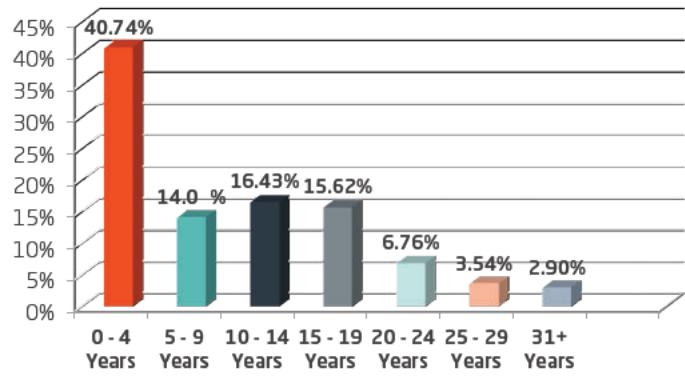
3.4 SICKNESS ABSENCE

3.4.1 Rates of Absence

In reporting on the levels of sickness absence within the College it is important to highlight the fact that less than half of staff have had no sickness absence at all in 2019. A total of 525 staff on permanent contracts have had no instances of sickness absence. The table below illustrates how many staff were affected by increasing instances of sickness absence.

Table 2: Instances of Sickness Absence

Instances of sickness absence	Total sick days lost	No. of permanent staff
0	0	525
1	4479	275
2	3990	153
3	1792	67
4	537	17
5	423	12
6	277	9

The average sickness absence for support staff has risen from 5.6% in 2018 to 6.4% in 2019. There seems to be a number of contributory factors accounting for this, including rises in the proportion of absences attributable to musculoskeletal, hospital and minor illnesses.

For Teaching Staff there is a fall in the rate of absence from 4.70% in 2018 to 4.00 % in 2019. There has been significant reduction in the proportion of absences attributable to non-work-related anxiety/depression and a significant increase in absences attributable to non-work-related stress.

One area which has reduced for teaching staff is absences attributable to musculoskeletal conditions.

The average level of sickness absence for 2019 was 5.3%. The average level of sickness absence for 2018 was 5.2%. This indicates that the average sickness absence rate has increased by 0.1% in 2019.

The average level of employee sickness absence for the public sector based on the latest survey from XpertHR (2019) was 3.8%. Comparable statistics are not compiled within the Scottish College Sector.

The split in percentage absence for teaching and for support staff in 2018 and 2019 is shown in **Figure 8**.

Figure 8: Sickness Absence for 2018/19
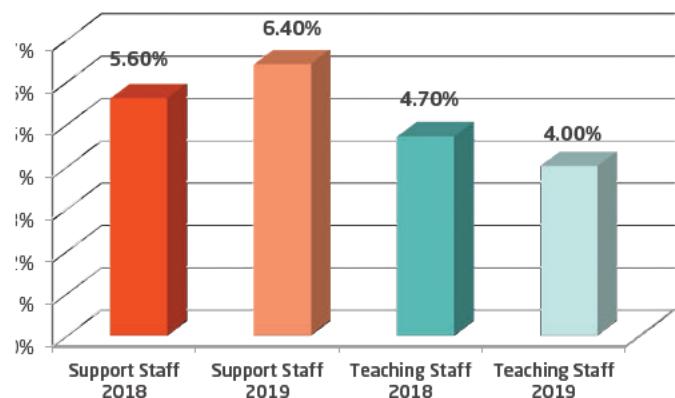
3.4.2 Causes of Absence

Short-term absence reasons for Teaching Staff and for Support Staff are shown in **Figures 9** and **10.**

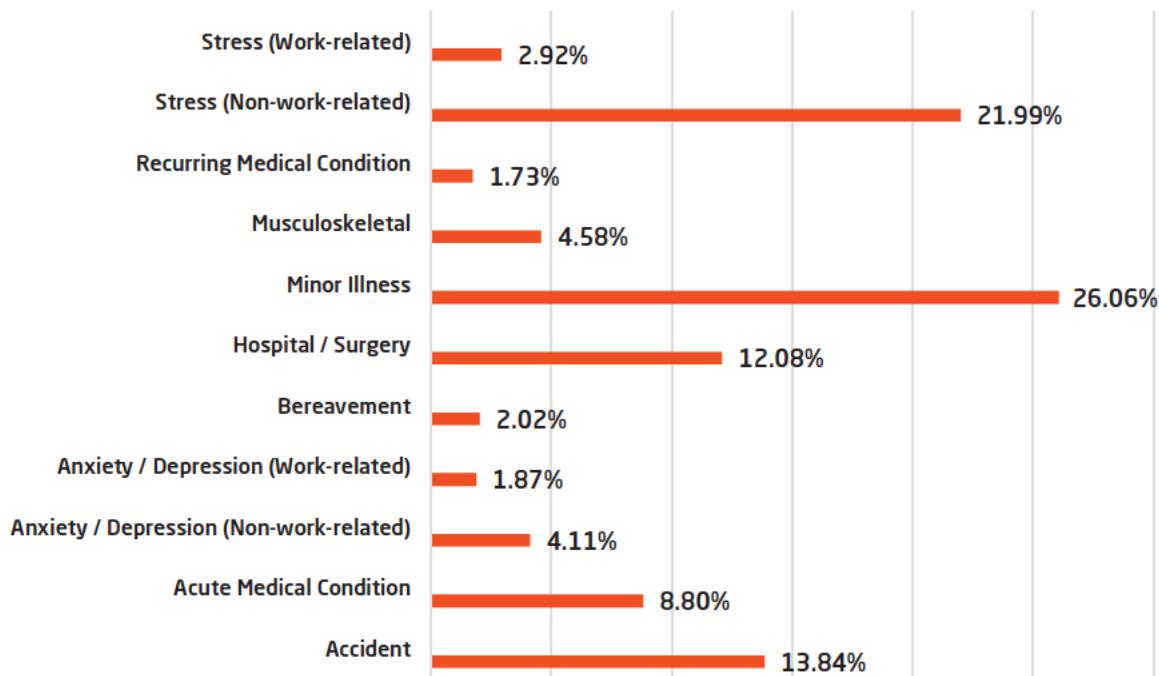### Figure 9: Short Term Absence (less than 4 weeks) – Teaching

Cause	Percentage
Stress (Work-related)	3.07%
Stress (Non-work-related)	1.97%
Recurring Medical Condition	5.00%
Musculoskeletal	10.63%
Minor Illness	62.46%
Hospital / Surgery	6.14%
Bereavement	7 24%
Anxiety / Depression (Work-related)	0.00%
Anxiety / Depression (Non-work related)	2.13%
Acute Medical Condition	0.04%
Accident	1.32%
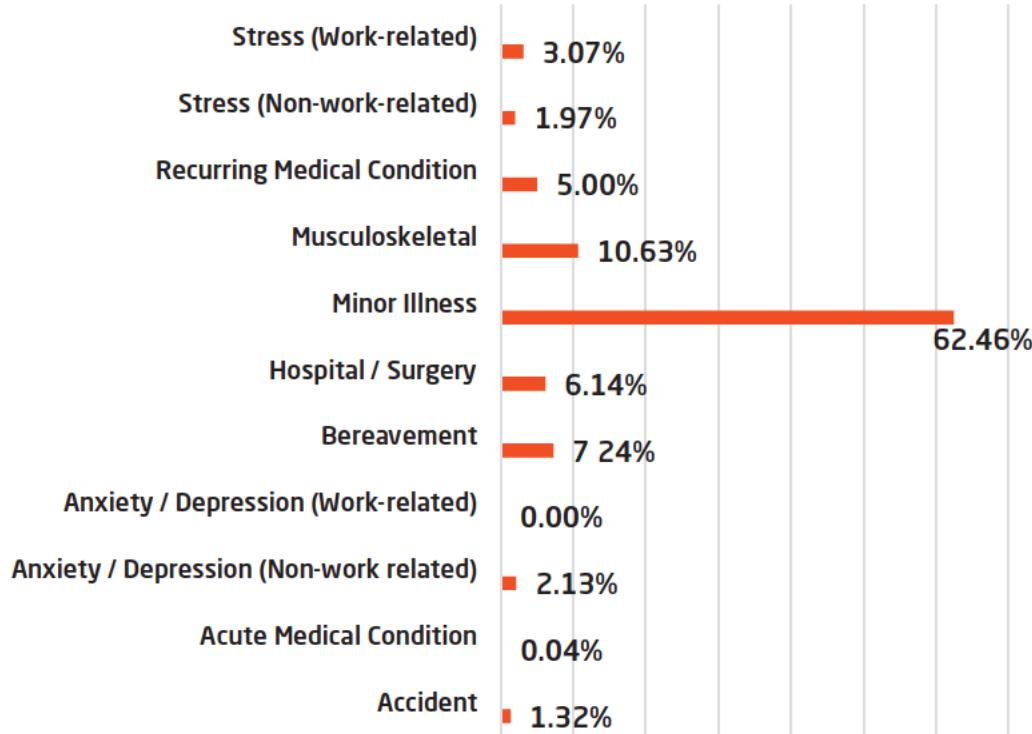
Figure 10: Short Term Absence (less than 4 weeks) – Support

Cause	Percentage
Stress (Work-related)	0.14%
Stress (Non-work-related)	4.51%
Recurring Medical Condition	2.54%
Musculoskeletal	16.88%
Minor Illness	62.09%
Hospital / Surgery	3.57%
Bereavement	4.08%
Anxiety / Depression (Work-related)	0.00%
Anxiety / Depression (Non-work-related)	4.55%
Acute Medical Condition	0.33%
Accident	1.31%
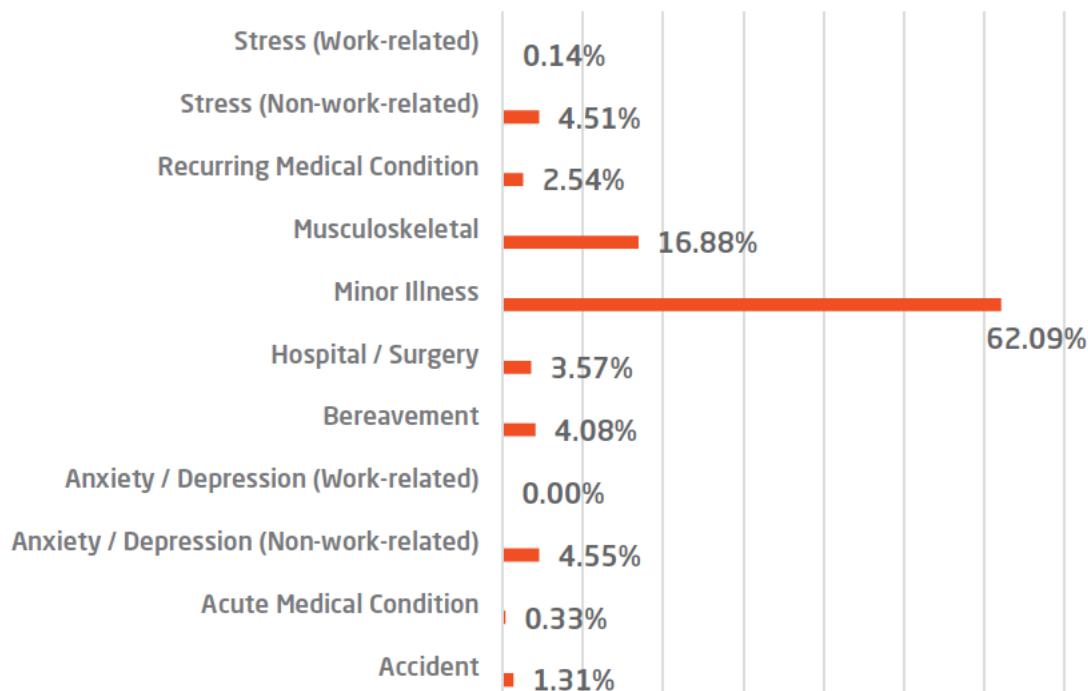
The main cause of short-term absence for both Support Staff and Teaching Staff was minor illnesses (for example colds/flu, stomach upsets, headaches and migraines) which is the case for most organisations according to the CIPD Health and Wellbeing Survey 2019. This survey also states that musculoskeletal injuries, including back pain, neck strains and repetitive strain) and stress are the top causes of short-term absence.

Figure 11: Long Term Absence (20 days+) – Teaching

Category	Percentage
Stress (Work-related)	2.92%
Stress (Non-work-related)	21.99%
Recurring Medical Condition	1.73%
Musculoskeletal	4.58%
Minor Illness	26.06%
Hospital / Surgery	12.08%
Bereavement	2.02%
Anxiety / Depression (Work-related)	1.87%
Anxiety / Depression (Non-work-related)	4.11%
Acute Medical Condition	8.80%
Accident	13.84%

Figure 12: Long Term Absence (20 days+) – Support

Category	Percentage
Stress (Work-related)	10.84%
Stress (Non-work-related)	1.07%
Recurring Medical Condition	1.16%
Musculoskeletal	21.08%
Minor Illness	18.32%
Hospital / Surgery	22.17%
Bereavement	1.50%
Anxiety / Depression (Work-related)	3.78%
Anxiety / Depression (Non-work-related)	9.21%
Acute Medical Condition	5.37%
Accident	5.50%
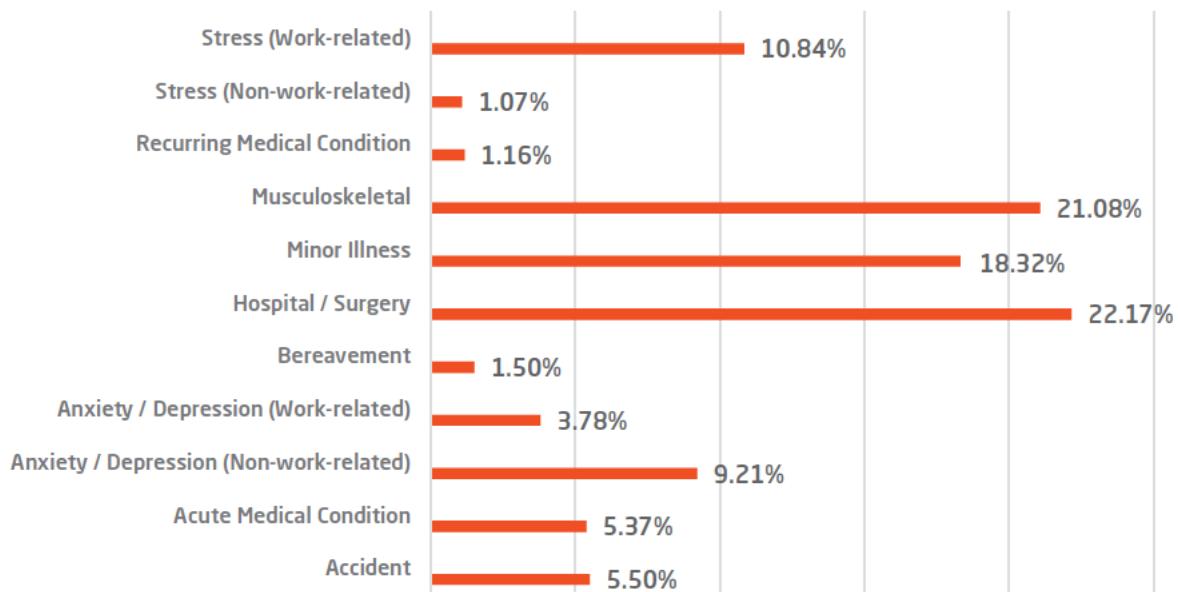
The most significant cause of long- term absence for teaching staff was minor illness followed by non- work-related stress. We know from research and occupational health reports that non-work-related stress can be associated with caring for dependents within an ageing workforce.

There was a significant reduction in work related stress for teaching staff reducing from 10.09% in 2018 to 2.92% in 2019.

The most significant cause of long-term absence for Support Staff was hospital/surgery followed by musculoskeletal injuries. This is consistent with what would be expected with an ageing workforce based on research.

3.4.3 Stress and Mental Ill Health

The reduction in the proportion of Support Staff absence attributable to both non-work-related stress and non-work-related anxiety/depression is very notable compared to what was reported in 2018 (when non-work-related anxiety/depression accounted for the biggest proportion of long-term absence).

There was no significant change in the level of work- related stress for Support Staff which was 10.86% in 2018 and 10.84 % in 2019

A total of 13 individuals were absent with work related stress for a total of 911 working days during 2019. A total of 8 individuals out of the 13 were absent for 640 days out of 911 days (70%) due to work related stress attributed to their involvement in complex and time- consuming formal grievance and disciplinary procedures.

It has not always been possible to adhere to timescales in complex cases because of the workload of Investigating Managers, availability of witnesses and of representatives.

The stress and anxiety staff suffer from their involvement in formal proceedings has been recognised by Management and trade unions. As such employee counselling and Occupational Health support is always made available to staff during the formal proceedings. The Director Organisational Development and HR also prepared and implemented a Grievance Procedure in 2017 in consultation with trade unions which focused on grievance resolution rather than a prior more formal approach.

 Management have proposed the use of independent external Investigating Managers in complex time- consuming disciplinary cases in order to make every effort to complete the investigations within agreed timescales. and agreement has been reached with the trade unions to amened the Disciplinary Procedure on an interim basis.

Mental ill-health (stress/anxiety/depression) has been a key focus for the College through 2019 and therefore we are optimistic that the range of activity in that area has produced tangible results including immediate involvement of our Occupational Health Provider. Following the identification of stress or other mental health issues we refer the individual for an occupational health consultation. In the case of work- related stress this normally results in the completion of an individual stress risk assessment (ISRA).The employee is invited   to detail the reasons for the work- related stress and requires the line manager in discussion with the employee to indicate what action has been taken to address the issues. The Occupational Health Physician also provides the employee with advice on self- help stress management techniques.

In overall terms, like most organisations, mental ill-health is still a significant cause of sickness absence amongst all College employees. However, the proportion of absence attributable to mental ill-health has reduced since 2018. **(Table 3).**

Table 3: Proportion of absence due to mental ill health

		2018	2019
Teaching	**Short-Term**	9.65%	7.17%
Support		8.78%	9.2%
Teaching	**Long-Term**	37.36%	30.89%
Support		41.28%	24.9%

The College remains committed to reducing levels of sickness absence. We are continuing to work closely with our occupational health provider and with our employee assistance programme provider develop ever more effective strategies which relate to our Employee Health and Wellbeing Strategy.

The CIPD Survey Health and Wellbeing Survey 2019 states that mental ill health, musculoskeletal injuries and acute medical conditions are the top causes of long-term absence.

# 4. EQUALITY, DIVERSITY AND INCLUSION

PEOPLE STRATEGY

"The College aims to continue being an inclusive organisation which respects and encourages diversity in all activities. In achieving this aim the College will be proactive in removing barriers for its staff and students to enable them to achieve their potential."

4.1 INTRODUCTION

Staff are asked to disclose equality data in relation to all protected characteristics. This report focuses on gender, age, race and disability as these are the categories which we find staff are most comfortable disclosing. We do encourage staff to disclose information about all of the categories and explain what is done with this information; namely, to consider what more the College can do to attract underrepresented groups, and measure performance of our Equality Outcomes.

Figure 13: Gender Profile

All Staff

Teaching Staff

Support Staff
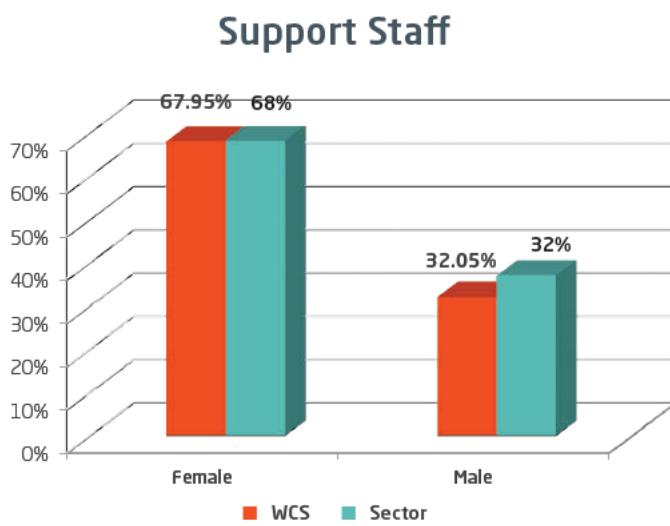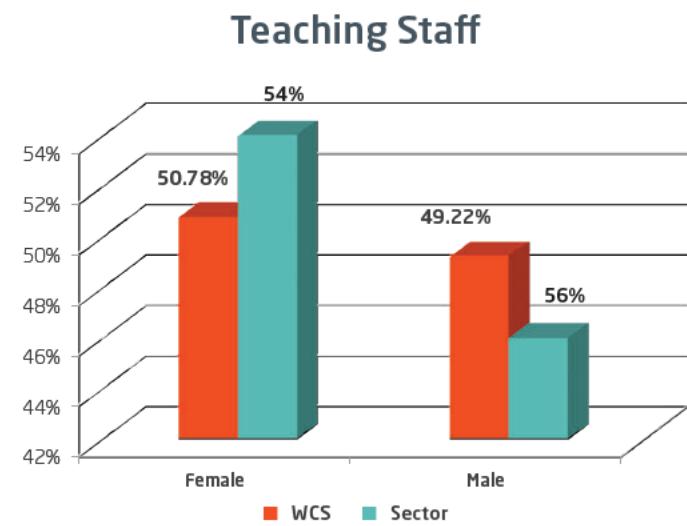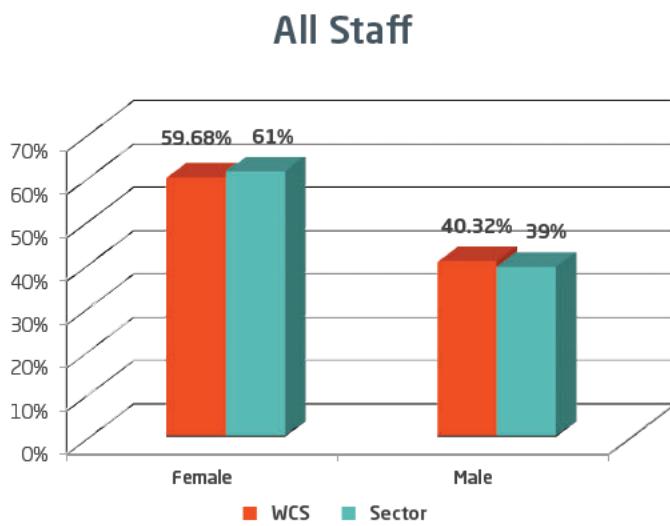
- There has not been a significant change in the overall gender balance of staff, with 59.68% female. This can be compared with national sector data where females account for 61% of headcount. There has been a slight decrease in the percentage of male Support Staff (1.01 %).

- There is a higher rate of proportionality of gender with Teaching Staff compared with Support Staff. The current rates are very similar to national demographics, where 51% of the people in Scotland are female.

- The gender imbalance with regards to Support Staff mirrors national College Sector data, whereby females account for 68% of non-teaching staff. The Scottish Funding Council (SFC) report that nationally the proportion of females has remained the same since 2015.

- The gender pay gap is the difference between average full-time equivalent salaries of male and female permanent staff presented as a percentage.

- The College's gender pay gap has increased by 2.3%. Nationally, Scotland's pay gap has decreased by 1.1%. The increase may be attributable to the fact that there is a comparatively higher proportion of male Teaching Staff who were subject to national harmonisation of salaries (compared with the pay award allocated to Support Staff where the majority are female).

- While the College pay gap compares well with the national pay gap, the Equality and Human Rights Commission advise than any pay gap which exceeds 5% is regarded as "significant". The College has included action to address this gap in its Equality Outcomes, including initiatives to address barriers to career development for female staff and the promotion of flexible working.

Figure 14: Equal Pay Gap

Figure 15: Age Profile

All Staff

- 18-29
- 30-49
- 50-59
- 60+
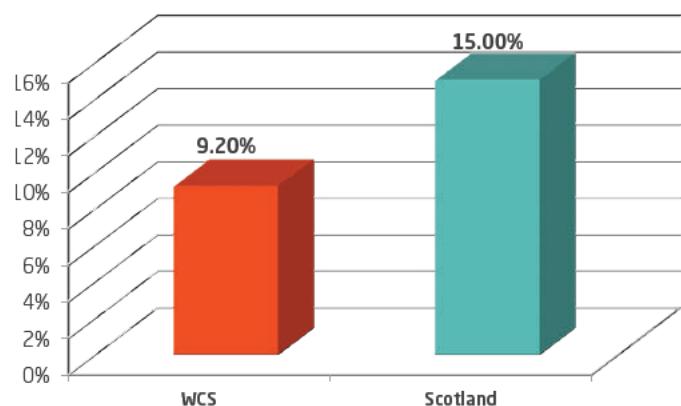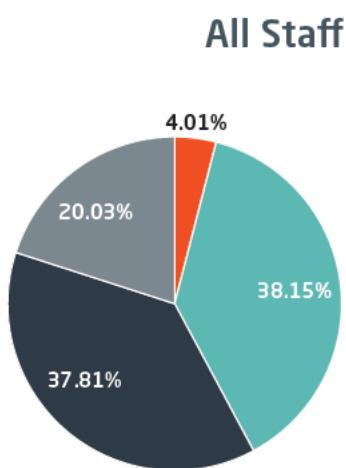
50+ Sector Comparison

- WCS
- Sector
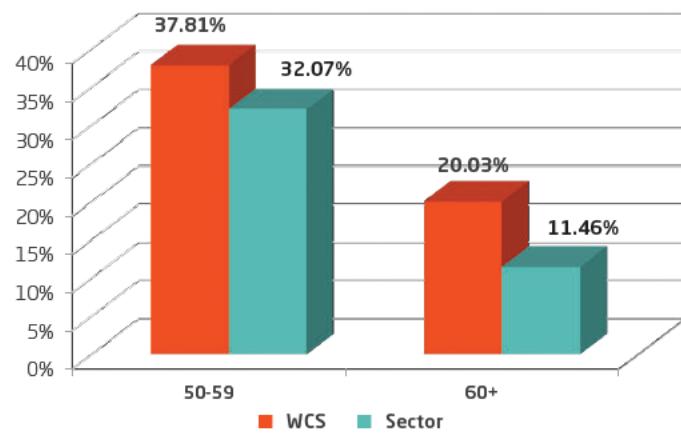
- The age data shows similar patterns for Teaching and Support staff. The age bracket with the highest number of staff in both areas is between 30-49 (38.15%) The second largest age group is aged between 50-59 (37.81%). The overall age profile has remained largely unchanged since last year.

- There has been a slight increase in the percentage of younger people working in both staff groups.

- Merging the older age groups shows that 57.84 % of the headcount are aged over 50. This is 14.27 % higher than the sector mean, whereby 43.53 % of staff are aged over 50. The percentage of staff aged over 60 at WCS is significantly higher than the sector average. We continue to anticipate the implications of the age profile using succession planning and the development of a Multigenerational Workforce Strategy.

Figure 16: Ethnic Profile

Bar chart showing: WCS 1.50%, Sector 2.10%
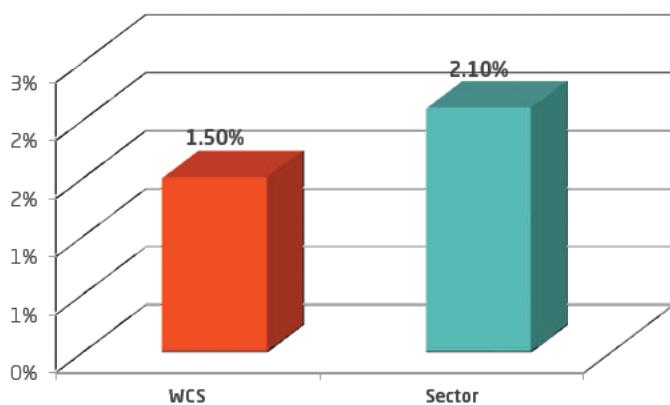
- Teaching and Support staff have been combined given the relatively low amount of ethnic minority staff. Overall, 1.50 % of staff are from a Black, Asian and Minority Ethnic (BAME) background. This is a slight increase from last year, where 1.33 % of staff were BAME.

- This can be compared with the demographics of the campus local council areas of West Dunbartonshire, Inverclyde and Renfrewshire, where between 1-3% of residents are BAME. The sector benchmark is 2.1%.

- Equality training is delivered to managers involved in Recruitment and Selection which raises awareness of good practice in attracting diverse candidates, and in recognising unconscious bias.

Figure 17: Profile of Staff with Disability

Bar chart showing: WCS 6.95%, Sector 5.90%
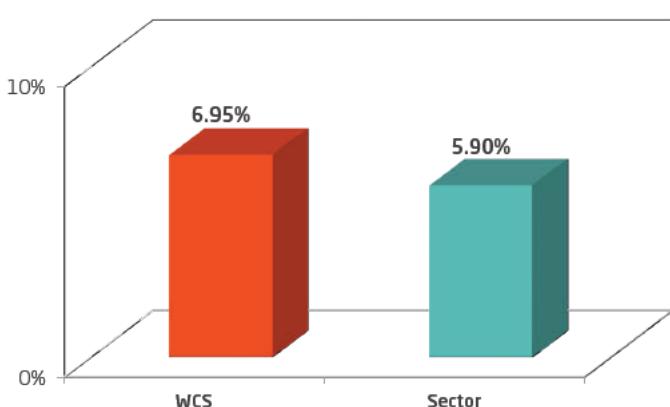
- As the number of staff with a disability is comparatively small, and in order to protect the confidentiality of staff, Figure 17 shows an overall staff profile.

- The percentage of staff who have declared that they have a disability has risen incrementally but steadily since 2017 when it was 5.16%.

- The proportion of staff who have declared a disability is lower than national indicators. The Scottish Government estimate that approximately 10% of the population who are economically active have a long-term activity limiting health problem. The College's proportion is slightly higher than the sector benchmark of 5.9%.

- The College will continue to encourage staff to disclose disabilities through initiatives planned in its Equality Outcomes and promotion of the Disability Confident symbol.

4.2 PROGRESS TO DATE

The College has made considerable progress on its equality, diversity and inclusion agenda in the past year. In particular:

4.2.1 Continuous Professional Development

A new EDI online training package for all staff has been launched. The product was tested by the EDI Committee members, who noted an increased variety of content and level of user engagement. Our Equality, Diversity and Inclusion Manager has also designed and delivered practice updates to our Board of Management, Heads of Sector, CQLs and Operational Managers. Other CPD activities which have been available in the past year include An Introduction to British Sign Language, Mental Health First Aid and Dyslexia Awareness.

4.2.2 Focus on Preventing Gender Based Violence

Our EDI Manager has been working closely with Student Services and Communities to develop an effective response to Gender Based Violence (GBV). An internal working group has been formed to oversee the implementation of Equally Safe, and awareness raising sessions have been delivered to key groups. We welcomed Fiona Drouet to each campus to understand more about Emily's Test, and how we can better support survivors of GBV. Our EDI Manager has also worked with the Student's Association to enhance their support and to develop action points for an effective response. Additionally, we developed a Domestic Abuse Support Policy for staff.

4.2.3 Meeting the Statutory Duties

We published our comprehensive statutory Equality Report in April 2019, which reflects on progress made halfway through the duration of our four yearly Equality Outcomes, and reports equality data on staff recruitment and retention. Due to an increase in disclosures from students, we were also able to analyse information on characteristics such as sexual orientation.

4.2.4 Sharing Practice

Our proposal to present a case study at the Advance HE national conference has been successful. Entitled "Board Diversity : A Multi-Dimensional Perspective", this case study will enable participants from across the UK to learn about the work of the WCS Board's Short Life Working Group (SLWG) on increasing diversity, and to reflect on how governance can be enhanced through the use of the National Standards for Community Engagement.

4.2.5 Scottish Funding Council Regional Outcomes Agreement Strategic Guidance

Our EDI Manager and Vice Principal Educational Leadership joined an SFC project group which commenced in 2018. The Group was responsible for assisting Advance HE and the SFC in developing guidance to enhance a strategic response to assessing the equality impact of Regional Outcomes Agreements. The Group's task was completed in June 2019 and WCS approach to the assessment of strategic outcomes was identified as good practice by Advance HE.

5. LEARNING AND DEVELOPMENT

5.1 TEACHING QUALIFICATIONS

A total of 2 lecturers successfully completed the TQFE programme through the University of Dundee last session 2018/19. A further 10 lecturers are currently undertaking the TQFE programme with the University of Dundee. These increased numbers follow remission from class contact arrangements being introduced through National Bargaining.

The Teaching in Colleges Today programme (TiCT) is now well embedded within WCS. This programme is for College staff who are new to teaching or do not hold a recognised teaching qualification. This is an online qualification that has been developed by CDN. Staff are able to access the course materials through the CDN LearnOnline site. The programme certification is supported and administered by WCS.

Twenty staff members have now successfully completed the Teaching in Colleges Today (TiCT) programme.

5.2 LEADERSHIP DEVELOPMENT

A further 2 cohorts of the West College Scotland Leadership Development Programme were successfully delivered by CDN. Twenty-nine staff members completed the programme in June 2019. The programme objectives are:

- To build understanding of your role as a leader in shaping the future of West College Scotland.
- To work with structured groups to develop your leadership and management style and plan for the future of your area of responsibility.
- To explore frameworks and techniques to integrate culture, performance management and operations.
- To develop your skills as a reflective practitioner and your personal approach to leadership.
- To build your capacity for self-awareness and authentic leadership.

CDN have been commissioned to deliver a further two cohorts of the Leadership Development Programme commencing in January 2019. There will be 15 participants in each cohort identified through the Senior Management Team. The target group will be Curriculum and Quality Leaders, Support Managers, Team Leaders and aspiring Managers.

5.3 CPD ACTIVITY 2019

A total of 938 delegates attended 129 internal and 162 external staff development events. A number of CPD/ Curriculum and Development Days have also taken place over the last year. A comprehensive programme of staff development was available for staff to participate in during the various CPD Days and throughout the year. Sector Days have also continued to run for staff in curriculum areas to share best practice and focus on particular topics relating to learning and teaching. Staff have also been supported in attending and participating in external events and courses following approval through the Staff Development procedures. A new online booking system has been introduced for staff requesting to attend any external courses or conferences. This allows managers to approve requests online and makes it easier for staff to track the progress of their request.

A range of internal workshops, short courses and awareness sessions took place last year including:

5.3.1 Learning and Teaching

- Teaching in Colleges Today
- TLC Prep for Education Scotland
- Managing Projects
- Helping Learners with Mental Health Problems
- Resilience & Workplace Coping Strategies
- Approaches to Blended Learning & Assessment Training
- SQA Solar Training
- Promoting Positive Classroom Behaviour Strategies Including Trauma & ACE's

5.3.2 Learning Technologies / IT

- Making the most of Outlook
- MS OneNote
- Introduction to OneNote
- Microsoft Excel 2016 Intermediate
- Microsoft Outlook
- Intermediate Excel

5.3.3 Policy and Legislative

- The Active Bystander
- Recruitment and Selection
- Social Media Training
- Change Management
- Preventing Gender Based Violence Workshop

5.3.4 General

- Complaints Investigation Skills
- Leadership Development Programme
- Taking Minutes
- Heritage Training
- Time Management
- FEDRA Training (HR Managers)
- Job Evaluation - HR Information Session
- Understanding Child Sexual Exploitation
- Promoting Understanding of Behaviour and Autism Spectrum Disorders
- iTrent People Manager Electric Theme Training

5.3.5 Health, Safety and Wellbeing

Throughout the year various health, safety and wellbeing training sessions were delivered covering topics such as:

- First Aid at Work
- Mindfulness Workshop
- Asbestos Awareness
- Mental Health First Aid
- Love Food Hate Waste
- REHIS Food Hygiene
- Epilepsy Awareness
- IOSH Managing Safely
- IPAF - Scissor Lift Training
- Stress Management Techniques
- We All Have Mental Health
- British Sign Language/Deaf Awareness

5.4 Continuing Professional Development Review Procedure

The Continuing Professional Development Review (CPDR) Procedure has been reviewed and relaunched in February 2020. The CPDR Procedure aims to identify individual learning and development needs by adopting a planned and prioritised approach. The CPDR Form completed online in SharePoint and the information recorded is managed electronically with a built-in approval process. The professional development requirements identified through this process will help to formulate the Learning and Development programme for next session.

5.5 eLearning Online Training Courses

There are five mandatory eLearning online courses that all staff are required to complete in Moodle. Staff members have direct access to these courses via the Staff Room area in Moodle which can be accessed from the Staff Intranet page or from outside the College.

- Safeguarding Essentials
- Equality and Diversity Essentials
- Health and Safety Awareness Essentials
- General Data Protection Regulation (GDPR)
- Information Security Essentials

The following eLearning programmes are also available for relevant staff to undertake.

- Personal Safety and Conflict Awareness
- Supporting Student Mental Health and Wellbeing

6. EMPLOYEE RELATIONS

PEOPLE STRATEGY

"The College wants to maintain positive employee relations in a challenging financial environment that will be significantly influenced by the introduction of national bargaining."

6.1 LOCAL EMPLOYEE RELATIONS

The College has maintained good working relations with local trade union representatives from the recognised trade unions (EIS/FELA, Unison and Unite) based on the values of mutual respect and trust during a period of volatile industrial relations at a national level.

Formal channels of consultation and negotiations were based on the Local Recognition and Procedure Agreements, which include provision for monthly Committee meetings with trade union representatives during term time, chaired by the Principal or another member of the College Executive. Agreed minutes of these meetings were posted on the staff intranet. Board members were provided with copies of the agreed minutes at meetings of the Organisational Development and HR Committee.

These formal collective arrangements were complemented by regular informal, open agenda meetings with local trade union representatives.

6.2 NATIONAL BARGAINING

All negotiations took place through the National Joint Negotiating Committee (NJNC) and the college had representatives from both the management and staff sides on this forum. The key outcomes and developments during the fourth full year of national bargaining were as follows:

Date	Outcome/Development
19 December 2018	EIS provided notification of the outcome of a Statutory Ballot, which gave a mandate for industrial action
20 December 2018	EIS gave notification of a programme of discontinuous strike action on 16 January, 5 February, 6 March and 21 March 2019
16 January 2019	Strike Action
24 January 2019	Management side presented a revised pay offer to EIS for consideration which was rejected
5 February 2019	Strike Action
26 February 2019	EIS gave notice of statutory ballot for industrial action short of strike action
28 February 2019	Management side presented a revised pay offer to EIS for consideration which was rejected
6 March 2019	Strike Action
21 March 2019	Strike Action
28 March 2019	EIS provided notification of the outcome of statutory ballot which gave a mandate for action short of industrial action
3 April 2019	EIS gave notification of a programme of discontinuous strike action on 8 May 2019, 15 May and 16 May 2019
3 May 2019	Notification from EIS that strike action on 8 May 2019 was suspended
15 May 2019	Strike Action
16 May 2019	Strike Action
29 May 2019	Management side provided a revised pay offer to the EIS
31 May 2019	EIS/FELA Executive recommended to its members that they accept the pay offer made by the Colleges Scotland Employers' Association
10 June 2019	EIS/FELA Executive Committee accept pay offer following the outcome of a ballot of members

Support Staff

A three year pay offer for Support Staff (1 April 2018- 31 August 2020) was agreed in October 2018. As part of the pay settlement the National Job Evaluation process was launched the week commencing 25 March 2019.

7. RESOURCING AND TALENT PLANNING

PEOPLE STRATEGY

"The College wishes to ensure that it secures, develops, retains and effectively manages sufficient Teaching and Support Staff to provide quality education to students and employer clients within the resources available. It wishes to attract and engage diverse and talented individuals from different backgrounds, heritages and lifestyles. The College wishes to be an "Employer of Choice" by becoming recognised for its positive working environment and conditions of service."

7.1 JOB EVALUATION

In 2019 WCS completed the first phase of the national scheme of job evaluation for support staff in Colleges. This was a considerable undertaking and involved groups of staff, with the same job roles, coming together to jointly agree responses to a detailed questionnaire, which was used to collect information on each job role, for the purpose of job evaluation.

All job evaluation questionnaires were then countersigned by nominated line managers, and all of the information, as well as job descriptions, were coded and sent on to Colleges Scotland for analysis.

Following a period of training, a group of Role Analysts (representatives from management and trade unions) commenced the National Role Analysis process on 6 January 2020.

The process takes place remotely and WCS was one of the Colleges to be evaluated.

7.2 WORKFORCE PLANNING

Much of the activity relating to the Workforce Plan 2019-2024 approved by the Board of Management in December 2018 has been at a strategic level Therefore, towards the end of 2019, we sought to bring the workforce planning activity down to an operational level by closely consulting with Curriculum and Support Heads. Each Head completed a workforce planning proforma and met with the Director Organisational Development and HR and the Head of Organisational Development and HR to feed back their specific priorities. What has emerged from this exercise is certain key priorities which we will want to address as part of our workforce planning activity. In particular:

- **The digital literacy of staff members and digital skills generally amongst staff.**
- **The ageing workforce in some curriculum areas where groups of staff in particular areas are approaching retirement within similar timeframes.**
- **Improved presentation of "bank" adverts to promote the attractiveness of applying to be on the bank of teaching staff in terms of future permanent employment opportunities**

7.3 ITRENT HUMAN RESOURCES MANAGEMENT SYSTEM

In 2019 MHR (formerly Midland HR) announced a new "electric theme" for iTrent which improves the functionality of the "People Manager" aspect of iTrent. A project managed transition to the new theme has been put in place. The project included face-to-face training from members of our Payroll Team.

Our Senior Payroll Advisor established a College and University iTrent User Group (towards the end of 2019). The User Group has immediately become well supported and extremely active in sharing good practice and ensuring that the vendor provides adequate development and support to the members.

7.4 GTCS COLLEGE REGISTRATION AND PROFESSIONAL STANDARDS FOR LECTURERS

In June 2019 a professional validation event took place in the College led by the Chair of the General Teaching Council for Scotland (GTCS). This resulted in WCS registration with GTCS. This was first step in formalising a process of mandatory GTCS registration for College Lecturers taken forward as part of national bargaining (note that lecturers could previously register with GTCS on a voluntary basis). This represents a significant development in standardising the profession of lecturer as registration with the GTCS requires evidenced CPD, observation and reviews of performance. Together with the new Professional Standards for Lecturers we perceive an opportunity to further improve and to standardise the development of our teaching staff.

8. HEALTH SAFETY AND WELLBEING

PEOPLE STRATEGY

"The College will demonstrate that there is a robust system for managing health, safety and risk with clear accountability, to ensure compliance with statutory requirements .The health and safety structure, policy and arrangements will be developed in line with Health and Safety HSG 65 Guidance adopting principles of Plan, Do, Check, Act."

8.1 HEALTH AND WELLBEING STRATEGY: CDN AWARD

The WCS Health and Wellbeing Strategy, which was developed at the end of 2018 to be implemented in 2019, is called PROSPER. There are seven pillars to the approach, which are:

- **Promote** health and wellbeing.
- **Respond** appropriately to concerns affecting the health and wellbeing of individuals.
- **Observe** signs highlighting health and wellbeing issues, such as trends in absence data.
- **Support** people in the College community who are experiencing difficulties affecting their health and wellbeing.
- **Practice** open and honest discussion around health and wellbeing, especially mental health, to reduce the stigma and encourage preventative action.
- **Educate** by providing appropriate information and training to improve awareness and enhance responses.
- **Review** actions on an annual basis to continuously improve support for health and wellbeing.

The Action Plan associated with the Health and Wellbeing Strategy was successfully implemented in 2019. Of particular note was the mental health awareness month which ran throughout May 2019. This was a whole month of health promotion and wellbeing activity which was run in conjunction with the Student's Association. This joint approach was so successful that the Student Life and Skills area of the College took the decision to adopt the "PROSPER" approach and create a Student Health and Wellbeing Strategy.

This joint approach was recognised with a "Highly Commended" CDN (College Development Network) Award in November 2019.

8.2 HEALTHY WORKING LIVES

WCS has an excellent record of health promoting activity with the Healthy Working Lives Gold Award and CDN Awards for "Health Promoting College" (Winner in 2017 and Highly Commended in 2019).

In 2019 we decided to reinvigorate our Healthy Working Lives activity by joining with the student side in terms of health promotion and expanding the membership of the HWL Steering Group. The President of the Student's Association is now a member of the group.

Our forward plans will maintain a focus on mental health and wellbeing and an increase in physical activity such as walking clubs.

8.3 INCIDENTS

For this report and going forward we have recategorized Accidents and Other Incidents for ease of analysis, for example to distinguish between work-related minor injuries and minor injuries not connected with work. Table 4 gives a breakdown of accidents and other incidents for 2019.

Table 4: Accidents and other Incidents 2019	2019
Minor Injury (Work Activity)	57
Minor Injury (Other College Activity)	19
Illness/First Aid	138
RIDDOR Reportable	2
Near Miss	3
Total	**219**

A total of 76 accidents were reported to the Health and Safety Team in 2019.

The College continues to experience very few incidents resulting in major injuries. There were 2 accidents reportable to the Health and Safety Executive under RIDDOR (Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013). Both accidents related to doors closing and remedial action has been taken to prevent future occurrences.

A total of 3 near misses were reported. Remedial action was taken in each case to remove/eliminate the hazard.

There were 37 more First Aid /Illness related calls than in 2018. Many were due to Mental Health issues. The college has been working hard to address these issues by offering Mental Health First Aid training, providing more mental health supports for students and employing more Student Counsellors.

All other accidents required minor first aid treatment. These are predominantly attributed to the period at the start of an academic session when students are learning to use potentially hazardous equipment such as sharp hand tools in construction, knives within the hospitality department, hammers in the joinery department and hot irons in hairdressing.

Figure 18: Breakdown of accidents by group

- **Students**
- **Staff**
- **Other**
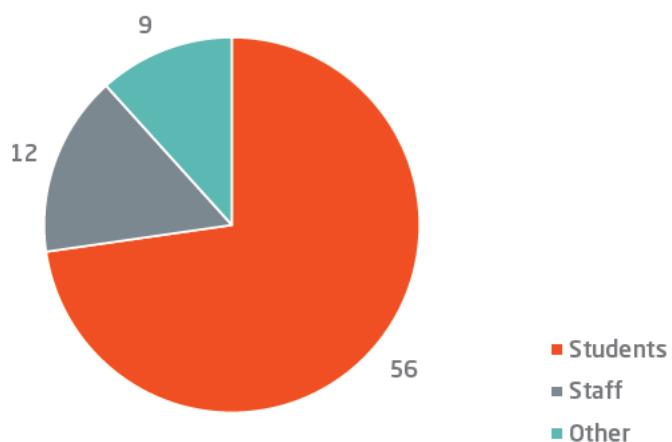
Figure 19: Injuries to Body

- **Face, head, neck**
- **Arms, wrists, fingers,**
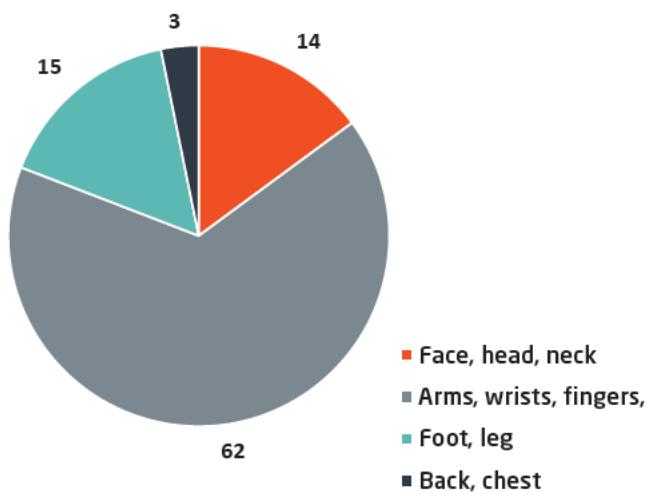- **Foot, leg**
- **Back, chest**

Figure 18 gives a breakdown of accidents by group – the majority being associated by the largest category on Campus i.e. the students.

Figure 19 shows the parts of the body most affected, with arms wrists and fingers most affected. This ties in with the fact that most minor injuries are sustained by students learning to use hand held work tools

Table 5 compares our annual incident numbers since 2016. The numbers are small for the purpose of statistical analysis. Nonetheless, it would appear that we have a downward trend in the number of accidents reported over the years. Note however, the increasing "illness" figure which we know has been accompanied by an increase in first aid calls associated with students' mental health. The College has increased supports to students (including increased counselling, health and wellbeing initiatives and online supports) in response to this trend.

Table 5: Annual Incident Numbers Since 2016

	2016	2017	2018	2019
Non-Reportable Accidents	104	119	90	76
Reportable Accidents	1	1	4	2
Illness	77	84	110	138
Near Miss	5	3	5	3

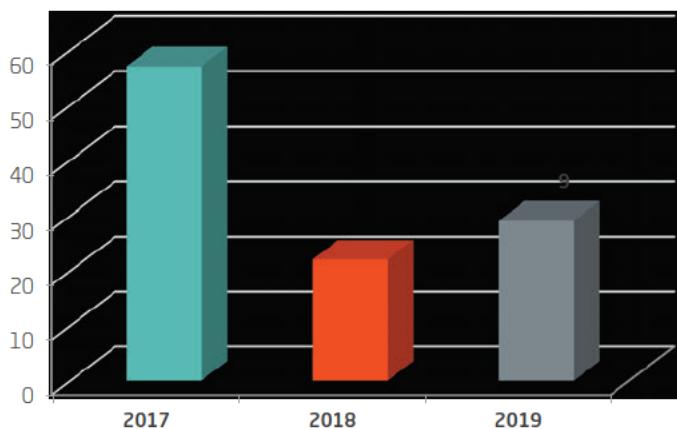# 9. DATA PROTECTION AND FREEDOM OF INFORMATION

9.1 DATA PROTECTION

The General Data Protection Regulation (GDPR) and the Data Protection Act 2018 (DPA 2018) have now been in force for over 18 months. Statutory authorities have been applying enforcement measures and fines across the EU, and in the UK the Information Commissioner's Office have fined companies both large and small; with higher profile companies (e.g. BA, Marriot, Facebook) attracting most of the publicity. Reporting of serious data breaches has become more common across mainstream media.

9.1.1 Subject Access Requests (SARs)

Table 6: SAR Statistics

<table>
<tr><td rowspan="2"></td><td colspan="5" align="center">Nature of Request</td></tr>
<tr><td>Student Personal Data</td><td>Student - General Personal Stats</td><td>Staff Personal Data</td><td>CCTV request</td><td>Total</td></tr>
<tr><td>**Police Scotland**</td><td>6</td><td></td><td></td><td>2</td><td>8</td></tr>
<tr><td>**SAAS**</td><td>5</td><td></td><td>1</td><td></td><td>6</td></tr>
<tr><td>**Solicitors**</td><td>1</td><td></td><td></td><td></td><td>1</td></tr>
<tr><td>**Staff Member**</td><td></td><td></td><td>3</td><td></td><td>3</td></tr>
<tr><td>**Student**</td><td>6</td><td></td><td></td><td></td><td>6</td></tr>
<tr><td>**Local Council**</td><td>1</td><td></td><td>1</td><td></td><td>2</td></tr>
<tr><td>**DWP**</td><td>1</td><td></td><td></td><td></td><td>1</td></tr>
<tr><td>**NHS**</td><td>1</td><td></td><td></td><td></td><td>1</td></tr>
<tr><td>**CEOP**</td><td>1</td><td></td><td></td><td></td><td>1</td></tr>
<tr><td>**Total**</td><td>22</td><td></td><td>5</td><td>2</td><td>29</td></tr>
</table>

Requested By

Figure 20: SARs by Year

9.1.2 GDPR Compliance

The GDPR Steering Group continues to oversee compliance within the College, and significant progress has been made since 2018 in terms of accountability, and incorporation of 'privacy by design'. The College is now in a phase to prepare for detailed audit process, and to ensure that data protection requirements are not only in place but can also be referenced from the College GDPR Toolkit which has been created for that specific purpose.

A GDPR Steering Group sub-group project looked at College storage and communications methodology across the College in 2019 and made recommendations which will be implemented by a Working Group.

The HE/FE Shared Technology and Information Services (HEFESTIS) Shared Service Data Protection Officer ensures that developments across the FE/HE sector are shared, and resources are pooled wherever possible to minimise compliance work.

9.2 FREEDOM OF INFORMATION (SCOTLAND) ACT 2002

The Freedom of information (Scotland) Act 2002 came into force on 1st January 2005 and covers public authorities in Scotland. Under the Act a person who requests information from a Scottish Public authority which holds it is entitled is entitled to be given it by the Authority. The right is subject to certain conditions and exemptions. The Act is enforced by the Scottish Information Commissioner.

As well as responding to requests, Public Authorities must publish certain information on their website.
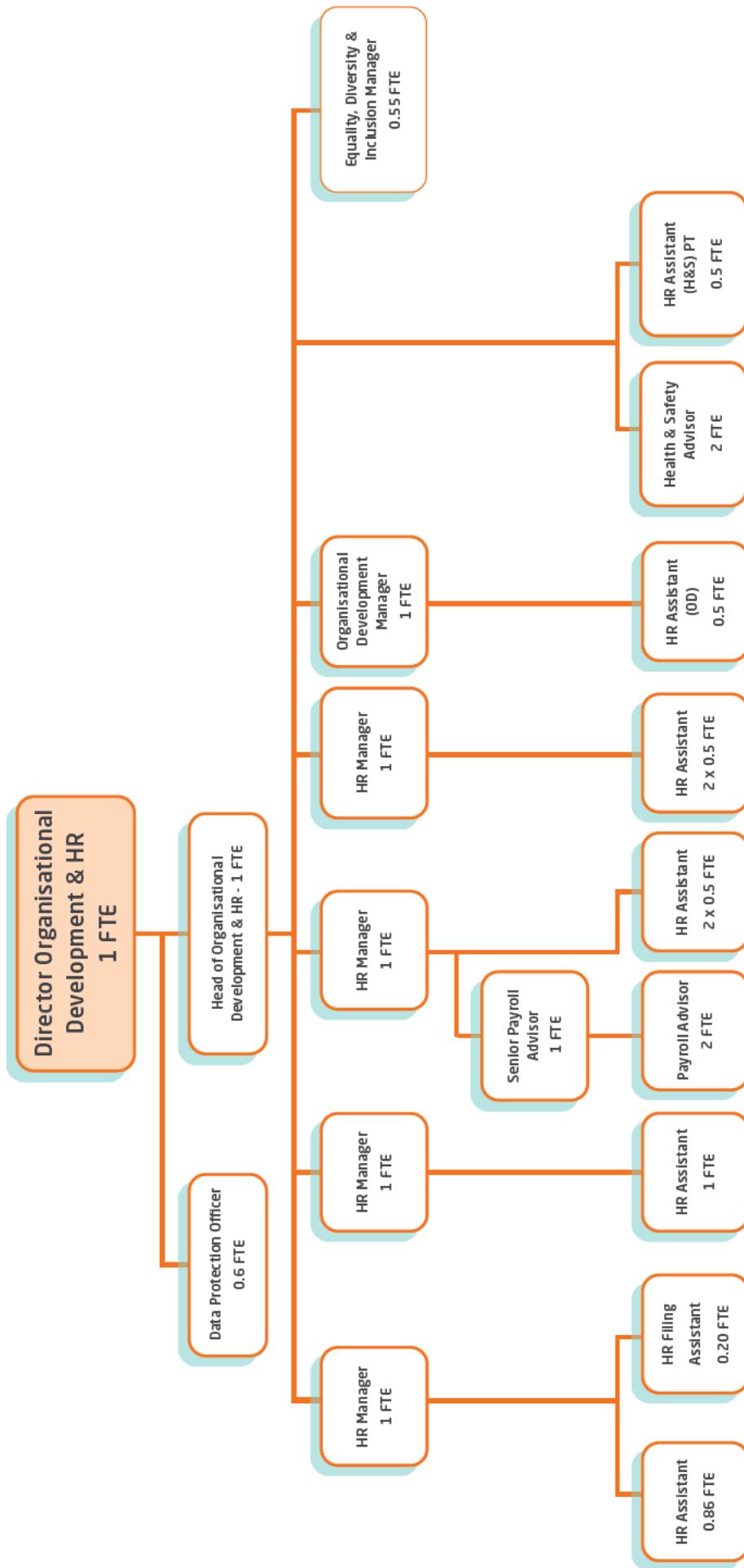
Public Authorities must provide the information, or tell requestors why they will not provide it, within 20 working days.

The College received 29 FOI requests during 2018. This is significantly less than the 44 requests the previous year with a notable decrease in requests from trade unions. Table 7 provides an indication of the broad areas the requests covered.

Table 7: FOI Requests

Nature of Request

Requested By	Commercial Activities	Procurement Issues	Student Issues and Numbers	Estates and Buildings	HR and Staff Issues	IT Provision and use	Other	Financial Information	Total
Commercial Organisations	1	4	1						6
Journalists			1						1
Solicitors			1						1
MPs / Political Parties				1	1				2
Own Students			1						1
Researchers from other institutions							1		1
Trade unions			1		5			1	7
Not provided			4	2	3	1			10
Total	1	4	9	3	9	1	1	1	29

10. APPENDIX: ORGANISATION CHART

Director Organisational Development & HR
1 FTE

Head of Organisational Development & HR - 1 FTE

Equality, Diversity & Inclusion Manager
0.55 FTE

HR Assistant (H&S) PT
0.5 FTE

Health & Safety Advisor
2 FTE

Organisational Development Manager
1 FTE

HR Assistant (OD)
0.5 FTE

HR Manager
1 FTE

HR Assistant
2 x 0.5 FTE

HR Manager
1 FTE

HR Assistant
2 x 0.5 FTE

Senior Payroll Advisor
1 FTE

Payroll Advisor
2 FTE

Data Protection Officer
0.6 FTE

HR Manager
1 FTE

HR Assistant
1 FTE

HR Manager
1 FTE

HR Filing Assistant
0.20 FTE

HR Assistant
0.86 FTE

TITLE: **BOARD MEMBERSHIP, PROPOSED SCHEDULE OF BUSINESS 2020/21 AND DATES OF MEETINGS IN 2020/21**

Background: The Board is asked to note:

1. **Current Board membership** – see Annex 1.

2. **Proposed Schedule of Business for 2020/21** – see Annex 2. This will be subject to review and adjustment in light of business coming forward but has been drafted based on the 2019/20 business cycle to give a guide.

3. **Dates of meetings in 2020/21** – see Annex 3. The proposed dates of meetings of the Committees is attached.

Action: The Board is asked to note the information.

Lead: Shirley Gordon, Secretary to the Board

Status: Open

WEST COLLEGE SCOTLAND
BOARD OF MANAGEMENT

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

Chair
Dr Waiyin Hatton

Vice Chair
Jacqueline Henry

Principal
Elizabeth Connolly (*ex officio*)

Teaching staff – 1 elected
David Watson

Non-Teaching staff – 1 elected
Steven Cairney

Students Association (2)
Vanessa Thompson
Priya Kaur

Non-Executive Members
Nick Allan
Jim Hannigan
Andrew Hetherington
Jenifer Johnston
Linda Johnston
John Leburn
John McMillan
Mark Newlands
Angela Wilson
Sabira Akram
Fiona McKerrell

In Attendance
Stephanie Graham, Vice-Principal Educational Leadership
David Alexander, Vice-Principal Operations

Shirley Gordon, Secretary to the Board

BOARD OF MANAGEMENT
PERIOD OF APPOINTMENT AND MEMBERSHIP OF COMMITTEES 2019/20

Name	Status	Period of appointment	Committee
Dr Waiyin Hatton	Chair	3.02.2020 – 02.03.24	Chair of Board and Nominations. Member of Remuneration. *Ex officio* – Estates, Finance & GP, LTQ HRCDC
Elizabeth Connolly	Principal	*Ex officio*	Board Estates Finance & GP LTQ HR&CD
Nick Allan	Non-Executive	4 + 4 years 1.02.15 – 31.01.19 1.02.19 – 31.01.23	Board Estates (Chair) Nominations Remuneration
Jim Hannigan	Non-Executive	3 +4 years 1.02.15 – 31.01.18 1.02.18 – 31.01.22	Board Finance & GP (Chair) HR&CD (Vice-Chair) Nominations Remuneration
Jacqueline Henry	Non-Executive	3 +4 years 1.02.15 – 31.01.18 1.02.18 – 31.01.22	Board Vice Chair LTQ (Chair) Nominations Remuneration
Andrew Hetherington	Non-Executive	2 + 4 years 1.02.15 – 31.01.17 1.02.17 – 31.01.21	Board Audit Estates (Vice Chair)
Jenifer Johnston	Non-Executive	4 + 4 years 1.02.15 – 31.01.19 1.02.19 – 31.01.23	Board Estates
Linda Johnston	Non-Executive	4 years 1.01.17 – 31.12.20	Board HR&CD
John Leburn	Non-Executive	4 years 1.01.17 – 31.12.20	Board Finance & GP
Fiona McKerrell	Non-Executive	4 years 1.12.19 – 30.11.23	Board LTQ
Sabira Akram	Non-Executive	4 years 1.12.19 – 30.11.23	Board HRCDC
John McMillan	Non-Executive	2 + 4 years 1.02.15 – 31.01.17 1.02.17 – 31.01.21	Board Audit (Chair) Estates

			Nominations Remuneration
Mark Newlands	Non-Executive	4 +4 years 1.02.15 – 31.01.19 1.02.19 – 31.01.23	Board HR&CD (Chair) Remuneration (Chair) Nominations
Angela Wilson	Non-Executive	4 years 1.09.17 – 31.08.21	Board Finance & GP
David Watson	Teaching Staff	4 years 13.09.17 – 12.09.21	Board LTQ Nominations (1.04.18 – 31.03.20)
Steven Cairney	Support Staff	4 year 18.09.19 – 17.09.23	Board LTQ Nominations (1.04.20 – 31.03.22)
Vanessa Thompson	Student President	1 year 1.08.19 – 31.07.20	Board LTQ Nominations
Priya Kaur	Student rep	1 year 1.08.19 – 31.07.20	Board LTQ Nomination

CO-OPTED MEMBERS PERIOD OF APPOINTMENT AND MEMBERSHIP OF COMMITTEES 2019/20

Name	Status	Period of appointment	Committee
Ruth Binks	Co-opted	1 year 1.03.19 – 29.02.20 1.03.20 – 29.02.21	LTQ
Mark Hamilton	Co-opted	1 year 1.11.19 – 31.10.20	LTQ
Graeme Bold	Co-opted	1 year 1.07.17 – 30.06.19 1.07.19 – 30.06.20	Audit
Wai Wong	Co-opted	1 year 1.03.19 – 29.02.20 1.03.20 – 29.02.21	Audit
David Mark	Co-opted	1 year 1.03.19 – 29.02.20 1.03.20 – 29.02.21	HR&CD

fPROPOSED SCHEDULE OF BUSINESS 2020/21 - BOARD OF MANAGEMENT

This will be subject to review and adjusted in light of business coming forward but has been drafted based on previous business cycles to give a guide.

Date of meeting	Agenda items	Papers will be circulated

Monday 5 October 2020
?? Campus
	Standing Items of Business
	• Chair's Report.
	• Chief Executive's Report.
	• Students Association Report.
	• Strategic Risk Register.
	• Board of Management:
	  ❖ Membership;
	  ❖ Dates of Meetings;
	  ❖ Proposed Schedule of Business 2020/21;
	  ❖ Any appointment matters to consider;
	  ❖ October Board agendas annually need to include the Articles, Scheme of Delegation and SOs to approve.
	• Report on Delegated Action Taken since last meeting.
	Main Items of Business
	• Budget 2020/21 and 5-Year Financial Forecast.
	• External Board Effectiveness Review – (carried out every 3 years – last done and submitted to February 2020 Board meeting. Next review due to be carried out by February 2023).
	• Staff Survey Outcomes.
	Committee Reports
	• Audit (September minute and any approval of policies).
	• Estates (September minute).
	• Finance & General Purposes (September minute and any contract approvals).
	• HR & Corporate Development (September minute).
		Monday 28 September 2020

Monday 14 December 2020
==?? Campus==
	Standing Items of Business
	• Chair's Report.
	• Chief Executive's Report.
	• Students Association Report.
	• Strategic Risk Register.
	• Board of Management:
	  ❖ Membership;
	  ❖ Dates of Meetings;
	  ❖ Proposed Schedule of Business 2020/21;
	  ❖ Any appointment matters to consider.
	• Report on Delegated Action Taken since last meeting.
	Main Items of Business
	• Regional Outcome Agreement Review Report 2020/21?
	• Financial Statements for the year ending 31 July 2020.
	• Report from External Auditor.
	• Annual Report from Audit Committee.
	• Annual Report from Internal Auditor.
	Committee Reports
	• Finance & General Purposes (November minute and any contract approvals):
	  ❖ Management Accounts to 31 October 2020;
	  ❖ Financial Regulations Annual Review.
	• Joint Audit & Finance and General Purposes Committee (November minute)
	• HR & Corporate Development (November minute):
	  ❖ Staff Survey Results.
	• LTQC (November minute):
	  ❖ Regional Outcome Agreement Update.
	• Audit (December minute and any approval of policies).
	• Estates (December minute).
	• Remuneration (October minute).
		Monday 7 December 2020

Monday 1 February 2021 ==?? Campus==	**Standing Items of Business** • Chair's Report. • Chief Executive's Report. • Students Association Report. • Strategic Risk Register.	**Monday 25 January 2021**

	• Board of Management:
	  ❖ Membership;
	  ❖ Dates of Meetings;
	  ❖ Proposed Schedule of Business 2020/21;
	  ❖ Any appointment matters to consider.
	• Report on Delegated Action Taken since last meeting.
	Main Items of Business
	• Board Development Action Plan Update?
	• Draft Regional Outcome Agreement 2020-?
	• Review of Modern Slavery Statement?
	Committee Reports
	• HR & Corporate Development (February minute and any update on the Employee Health and Wellbeing Strategy).	

Monday 22 March 2021
?? Campus
	Standing Items of Business
	• Chair's Report.
	• Chief Executive's Report.
	• Students Association Report.
	• Strategic Risk Register.
	• Board of Management:
	  ❖ Membership;
	  ❖ Dates of Meetings;
	  ❖ Proposed Schedule of Business 2020/21;
	  ❖ Any appointment matters to consider.
	• Report on Delegated Action Taken since last meeting
	Main Items of Business
	• Final Regional Outcome Agreement 2020 - ?
	• HR Annual Report 2020.
	• Key Performance Indicators update?
	• Proposed dates of Board meetings 2021/22.
	• Board Internal Effectiveness Review (outlining what will happen and when).
	Committee Reports
	• Audit (March minute and any approval of policies).
	• Estates (March minute).
	• Finance & General Purposes (March minute and any contract approvals).
		Monday 15 March 2021

	• Learning, Teaching & Quality (February minute). • Remuneration (February minute).	

Monday 14 June 2021
?? Campus
	Standing Items of Business
	• Chair's Report.
	• Chief Executive's Report.
	• Students Association Report.
	• Strategic Risk Register.
	• Board of Management:
	  ❖ Membership;
	  ❖ Dates of Meetings proposed for 2021/22;
	  ❖ Proposed Schedule of Business 2021/22;
	  ❖ Any appointment matters to consider.
	• Report on Delegated Action Taken since last meeting.
	Main Items of Business
	• Management Accounts.
	• Budget 2021/22 and Financial Strategy (including budget for Students Association).
	• Review of Board Development Action Plan?
	• Outcomes from Board Internal Effectiveness Review.
	• Committee Reports on Progress against Regional Outcome Agreement?
	Committee Reports
	• Audit (May minute and any approval of policies).
	• Estates (May minute).
	• Finance & General Purposes (June minute and any contract approvals).
	• Learning, Teaching & Quality (May minute).
	• HR & Corporate Development (May minute and HR Annual Report?).
	• Nominations (May minute).
		Monday 7 June 2021

Dates of Meetings in 2020-21

Committee	September 2020	October 2020	November 2020	December 2020	January 2021	February 2021	March 2021	April 2021	May 2021	June 2021
BOARD (at least 4) Mondays at 4.00 p.m.		5		14		1	22			14
Audit (at least 4) Thursdays at 4.00 p.m.	3			3			11		20	
Joint Audit & Finance			24							
Finance and GP (Normally will meet 4 times per year, but at least 3 times per year) Tuesdays at 4.00 p.m.	8		24				2			1
HR & CD (will meet four times) Wednesdays at 4.00 p.m.	Tues 15		4			10			12	
LTQ (at least 3 times) Wednesdays at 4.00 p.m.			11			24			19	
Estates (at least 3 times) Tuesdays at 4.00 p.m.	Wed 16			8			9		11	
Remuneration (twice per year) Note (2)		5				1				
Nominations (at least annually)										

NOTES

1) The venue for the Board and some Committee meetings will alternate between different Campuses as indicated above.
   C = Clydebank; G = Greenock; P = Paisley

2) To be held before the Board of Management meeting.

3) No formal business meetings are held in July or August.