

**West College Scotland  
Board of Management  
Monday 22 March 2021 at 4.00p.m. via the Teams link circulated by the Secretary  
Agenda**

**General Business**

- |                                                                                          |           |    |
|------------------------------------------------------------------------------------------|-----------|----|
| 1. Welcome                                                                               |           |    |
| 2. Apologies                                                                             |           |    |
| 3. Declaration of Interests                                                              |           |    |
| 4. Minutes of the meeting held on Monday 1 February 2021                                 | Enclosed  | WH |
| .1 Actions from the minutes                                                              | Enclosed  | WH |
| 5. Matters Arising from the minute<br>(not otherwise on the agenda)                      |           |    |
| 6. Student Association Report                                                            | Paper 6   | VT |
| 7. Chief Executive's Report                                                              | Paper 7   | LC |
| 8. Chair's Report                                                                        | Paper 8   | WH |
| .1 Board Committees – Update (inc revised Remits)                                        | Paper 8.1 | WH |
| .2 2021 Board Internal Effectiveness Review and<br>Development Action Plan 2021 - Update | Paper 8.2 | WH |
| .3 Dates of Proposed Board Meetings 2021/22                                              | Paper 8.3 | WH |

**Items for Decision / Approval**

- |                                                         |          |    |
|---------------------------------------------------------|----------|----|
| 9. Risk Management Strategy and Strategic Risk Register | Paper 9  | DA |
| 10. Modern Slavery Statement 2021                       | Paper 10 | DA |
| 11. People Strategy                                     | Paper 11 | DA |
| 12. Procurement Strategy 2021-2025                      | Paper 12 | DA |
| 13. [REDACTED] (Reserved Item)                          | Paper 13 | DA |
| 14. Review of Financial Regulations                     | Paper 14 | DA |

## Items for Discussion

15. Committee Chair Reports:
  - .1 LTQ Committee Paper 15.1 JH
  - .2 CD Committee Paper 15.2 JiH
  - .3 Audit Committee Paper 15.3 GB
  - .4 Remuneration Committee Paper 15.4 MN
16. Any Other Business
17. Date of Next Meeting:  
Monday 14 June 2021 at 4.00 p.m

## Items for Information / Noting

18. LTQ Committee - Minutes of the meeting held on Wednesday 24 February 2021
19. CD Committee - Minutes of the meeting held on Tuesday 9 March 2021
20. Board of Management – Membership and Schedule of Business 2020/21

Shirley Gordon  
Secretary to the Board

## BOARD OF MANAGEMENT

**Minutes:** Monday 1 February 2021.

**Present:** Waiyin Hatton (Chair), Sabira Akram, Nick Allan, Steven Cairney, Liz Connolly, Jim Hannigan, Jacqueline Henry, Linda Johnston, John Leburn, Angela Wilson, Fiona McKerrell, Gordon Hunt, Vanessa Thompson, David Watson, Graeme Bold, Mark Newlands, Grant Lyall, Stefana Margarint.

**Attending:** David Alexander (Vice Principal Operations), Shirley Gordon (Secretary to the Board), Stephanie Graham (Vice Principal Educational Leadership), Alan Ritchie (Director of Finance), Martin Joyce (Director of Infrastructure), Natalie Smith (Director of Organisational Development and HR).

**Apologies:** None received.

### **BM692 WELCOME**

The Chair welcomed everyone to the virtual Board meeting and thanked all in attendance for their participation. This being the first formal Board meeting of 2021, Dr Hatton wished everyone a Happy New Year.

Dr Hatton introduced the three new Board members (Grant Lyall, Gordon Hunt and Graeme Bold) whose first four-year term began today. She also introduced Natalie Smith recently appointed as Director of Organisational Development and HR.

### **BM693 DECLARATIONS OF INTERESTS**

The following declarations of interest were recorded and **noted**:

- Waiyin Hatton: Wai Beyond, People and organisational development consultancy; Harvey McMillan, People and organisational development consultancy; Action Against Stalking; Colleges Scotland (Board member).
- Liz Connolly: Trustee of the West College Scotland Foundation.
- Jim Hannigan: University of Strathclyde and National Manufacturing Institute Scotland (NMIS).
- David Alexander: Scottish Funding Council Board member and Chair of the SFC Audit and Compliance Committee.
- Angela Wilson: West Dunbartonshire Council.
- Sabira Akram: Scottish Qualifications Authority.
- Fiona McKerrell: Skills Development Scotland.

### **BM694 MINUTES OF PREVIOUS MEETINGS**

The minutes of the meeting held on Monday 14 December 2020 were **approved**.

### **BM695 ACTIONS FROM THE MINUTES**

The Board **noted** the actions taken since the last meeting.

### **BM696 MATTERS ARISING FROM THE MINUTES**

There were no matters arising not otherwise on the agenda.

**BM697 STUDENT ASSOCIATION REPORT**

The Board **noted** the report submitted by Vanessa Thompson (President, WCS Student Association) summarising the activities of the Student Association (SA) since the last Board meeting. Ms Thompson reported that the SA continued to work in partnership with the College to support students throughout the ongoing pandemic and extended her gratitude to students for their understanding and continued hard work despite the restrictions in place for many. Ms Thompson highlighted the following:

- Promoting equality and diversity within the College and making all students feel supported, valued, and engaged in LGBT values remained a focus for the SA. The SA was also planning to participate in Race Equality Week between 1 and 7 February 2021 to address barriers facing race equality.
- Continued working with NUS to ensure support for students in financial crisis. Weekly meetings had been taking place between NUS and Student Associations from Colleges and Universities Scotland-wide. The Scottish Government's announcement in December 2020 to provide new funding to help the NUS Scotland and more than 30 Student Associations to provide vital welfare support for students in colleges and universities had been welcomed. The money would help build online student communities, increase membership engagement, and develop public health and wellbeing messaging. The SA would work closely with College staff to ensure these activities complemented those already funded. Similarly, the Scottish Government's announcement in January 2021 to provide funding to students experiencing hardship as a result of Covid 19 and an allocation to universities and colleges for income lost in providing rent rebates had been positively received.
- Think Positive (a mental health campaign to offer support to students) continued to be a priority for the SA with key information and guidance offered to help and support students especially around stress and anxiety. This was promoted online using social media platforms.

The Board welcomed the commitment and engaging approach of the SA and the Chair thanked Ms Thompson and Ms Margarint for the update and the sterling work of the SA.

**BM698 CHIEF EXECUTIVE'S REPORT**

The Board received a written report from the Principal and Chief Executive, and Ms Connolly provided an update on the following:

- Covid 19 - following the First Minister's announcement on 19 January 2021 that a lockdown would be in place until at least the middle of February 2021, the College decided that it would continue with no on-campus face-to-face learning and teaching until at least the middle of February. That would be reviewed again in February 2021 in line with the Scottish Government's review of lockdown restrictions. Given that restricted environment, sector Heads were working on the assumption that there would be no face-to-face learning and teaching throughout February. Curriculum Teams were considering the implications of that for students and for planning later in the year and into the next academic session. Scenario planning of the impacts and need for a system-wide solution were also being carried out at a sector level. The College Mobilisation Group and the Executive Covid 19 Group both continued to

meet on a weekly basis to consider any emerging issues and new guidance in what continued to be a very fluid situation.

- Business Transformation Plan - [REDACTED]  
[REDACTED] {ACTION – LC}
- Young Persons Guarantee and Transitional Training Fund - the Educational Leadership Group and curriculum Heads were currently determining how best to utilise additional funding likely to be received in order to deliver the Young Persons Guarantee and the Transitional Training Fund to deliver the greatest impact.
- Student Mental Health and Wellbeing – in addition to the funding mentioned by the President, WCS Student Association earlier, the College was also notified that it would receive additional funding from the Scottish Government to support student mental health, wellbeing and welfare. There would be flexibility with this funding, and it was to be used where it would have the greatest impact for students. Ms Connolly reported that the College was considering investing this resource in additional staffing to provide support.
- National Bargaining - negotiations with the EIS for lecturers' salaries for the period 1 September 2020 – 31 August 2021 had previously been concluded with a consolidated award of 2% being agreed. Negotiations continued with support staff unions.
- Scottish Government's draft budget announcement on 28 January 2021 - the key points for the college sector in the draft budget for 2021-22 were that an increase in Revenue Funding and a reduction in Capital Funding had been indicated at a summary level. The detail on how this would be allocated to individual institutions would follow over the coming months.
- College Student Records IT system – the Vice Principal Operations described ongoing work with partners to find solutions and work through challenges following a requirement to take the College Student Records IT system offline for a week in mid-January. He reported that there had been minimal direct disruption to students and that a full report would be presented to the Audit Committee meeting scheduled for 11 March 2021.  
{ACTION – DA}

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

#### **BM699 CHAIR'S REPORT**

The Board received a written report from the Chair which summarised her recent activities and meetings including attendance at the Colleges Scotland Chairs Group meeting on 25 January 2021 which had focused on updates on the Scottish Funding

Council Review and meetings that Colleges Scotland had attended with Ministers on the budget for the sector.

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

**.1 Re-alignment of Board Committees** – Dr Hatton led the Board through the background resulting in proposals to reflect on the Board’s current standing Committee arrangements. She described the rationale to both realign and recast the current Committee structure, memberships, and focus; much of which had already been shared with Board members and the Executive team in her earlier discussion paper issued on 22 December 2020. She thanked those who had responded for their feedback and added that the proposals took account of Board member comments, discussions with current Chairs of Committees and Executive Team comments.

Dr Hatton summarised the proposed Committee structure, memberships, regularity of meetings and quorum arrangements which saw a streamlined Committee structure with balanced focus between the teaching and learning core purpose of the College and the corporate business as well as ensuring the Board and Committee remits were focused at a strategic, performance monitoring and governance level. The proposals would also see a consistency in the terms of Committee memberships (between 3 to a maximum of 5 years) providing systematic opportunities for Committee members to serve on another Committee as well as regularity of meetings being consistent across Audit; Corporate Development; and Learning, Teaching and Quality Committees.

The Board welcomed the balanced number of non-executive members across the Committees which would maximise Board members’ expertise and experience as well as provide an opportunity for Board members to have more in-depth understanding and knowledge on a wider range of issues.

In terms of next steps, Dr Hatton outlined the proposed transition to the new arrangements which would see her convening a meeting, in early February 2021, with the Chairs of the current Asset and Infrastructure Committee; Finance and General Purposes Committee; Human Resources and Corporate Development Committee; and Learning, Teaching and Quality Committee to identify key issues which needed to be transferred to the new structure. She would also populate memberships of the standing Committees, including the Chair and Vice-chair roles for consideration by the Nominations Committee (by email) and, following its approval, seek formal Board approval by email. That would allow the Board to move to the new structure as soon as possible and allow arrangements to be made for the first meetings of the new Committees. **{ACTION – WH}**

**The Board of Management considered and approved the proposals, including the draft remits of the Learning, Teaching and Quality Committee and Corporate Development Committee and for the Board to approve the recommendations of the Nominations Committee by email.**

**.2 Appointment to Senior Independent Board Member, Chair for the Audit Committee and Board representative on the WCS Foundation** - the Chair reported that, in the absence of a pre-scheduled Nominations Committee meeting before today's Board meeting, Nominations Committee members were agreeable to receiving nominations from her and provided their responses by email. The Committee unanimously supported the nomination for Senior Independent Board Member (Linda Johnston), Chair for the Audit Committee (Graeme Bold) and Board representative on the WCS Foundation (John Leburn).

**The Board of Management endorsed:**

- **Senior Independent Board Member – Linda Johnston**
- **Chair for the Audit Committee – Graeme Bold**
- **Board representative on the WCS Foundation – John Leburn**
- **The above three decisions being homologated at the next scheduled Nominations Committee meeting.**

**.3 Board Effectiveness Review** – the Chair reported that the Board was required to conduct an annual Internal Effectiveness Review 2021 as well as update its Development Action Plan for 2021. Dr Hatton led the Board through the proposed arrangements.

**The Board of Management considered and approved the proposals.**

**BM700 INTERIM REGIONAL OUTCOME AGREEMENT 2020-21 AND SELF EVALUATION REPORT 2019-20**

The Vice Principal Educational Leadership reported that, on 1 December 2020, the Scottish Funding Council published guidance for an Interim Regional Outcome Agreement for 2020-21 and a 2019-20 Self Evaluation Report. She explained that this set out a new framework for the Interim 2020-21 and Self Evaluation documents, with a submission date of the end of January, however, it had been confirmed that, due to the timing of this Board meeting, the College could submit both the Self Evaluation Report and Interim Outcome Agreement after the Board meeting.

The Vice Principal Educational Leadership explained that the Self Evaluation Report was required to briefly report of the progress of the 2019-20 ROA and the impact of COVID-19 on delivery and targets. The Interim Regional Outcome Agreement was required as an ongoing commitment / statement of intent to deliver on key sector priorities and to ensure an interim agreement was in place between the SFC and each university, college or college region which captured, at a high level, contributions, impact and outcomes, and provided assurance on use of allocated funding in AY 2020-21.

The Vice Principal Educational Leadership summarised the areas that reporting in the Interim ROA was required for.

The Board commended the innovation and ongoing pioneering response to the Covid pandemic. Members noted that the College had rapidly progressed all Corporate Strategy priorities, proved to be exceptionally agile and adapted quickly, collaborating with others, developing digital capacity and approaches, and had provided a more tailored and personal learning experience for students.

**The Board of Management considered and approved the 2019-20 Self Evaluation Report and Interim Regional Outcome Agreement 2020-21.**

**BM701 STRATEGIC RISK REGISTER**

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. Mr Alexander presented the current College Strategic Risk Register for consideration.

In response to a question, Mr Alexander reported that Colleges Scotland Employers Association continued to meet with the EIS in seeking to resolve the dispute that had been lodged by the trade union in relation to lecturer and instructor/assessor posts as arising at Forth Valley College. This matter and potential implications for the College was kept under review as part of Risk Number 10 (Staff Relations).

**The Board of Management reviewed and approved the current College Strategic Risk Register and in doing so considered:**

- **The risks identified within the register.**
- **The risk rating both pre and post mitigation.**
- **Whether any risks should be considered for removal.**
- **Whether any new risks should be considered for inclusion.**

**BM702 AUDIT COMMITTEE**

The draft minutes of the Audit Committee meeting held on Thursday 3 December 2020 were **noted**. Mr Bold highlighted key points of discussion.

**BM703 ASSET AND INFRASTRUCTURE COMMITTEE**

The draft minutes of the Asset and Infrastructure Committee meeting held on Tuesday 8 December 2020 were **noted**. The Committee Chair, Mr Allan, highlighted key points of discussion.

The Board welcomed hearing that over 1,700 Chromebook and laptop devices had been distributed from campus locations and acknowledged the exceptional effort from staff to bring that to fruition.

Mr Alexander reported that the internal refurbishment works to relocate activity from the Centre for Performing Arts to the Inchinnan Building on the main Paisley Campus was almost complete.

Mr Alexander outlined the current position in seeking to progress approval of the College OBC for development of a new build campus at the East India Dock site in Greenock and this positive news was welcomed.

**BM704 BOARD OF MANAGEMENT**

**Membership, Dates of Meetings and Schedule of Business 2020/21**

.1 The Board **noted** its membership, proposed schedule of business for 2020-21 and the dates of Board and Committee meetings for session 2020-21.



**BM705 ANY OTHER BUSINESS**

No other business items were raised.

**BM706 DATE OF NEXT MEETING**

Monday 22 March 2021 at 4.00 p.m

## Board of Management: Actions from the Minutes

Date of meeting	Min Ref	Matter for Action	Responsible Person	Action Taken	Timescale (where applicable)
<b>1 February 2021</b>	BM698	Given that the contract with the external provider (distance learning activity) was due to expire in March 2021, the Board was disappointed with the SFC delay in responding to the College and Ms Connolly agreed to convey the Board's frustration to the SFC.	L Connolly	The Principal emailed the Deputy Director at the Funding Council to convey the Board's message.	
	"	College Student Records IT system - a full report would be presented to the Audit Committee meeting scheduled for 11 March 2021.	D Alexander	Was considered by Audit Committee on 11 March and is included on Board agenda for 22 March 2021.	Complete
	BM699.1	Dr Hatton to proceed with the transition to the new Committee arrangements as summarised in full in the minute.	W Hatton	New arrangements duly in place.	Complete
<b>5 October 2020</b>	BM657	Summary report on the 1:1 Board Member / Chair discussions would be compiled for Board members on any follow-up actions to be taken forward.	W Hatton	Ongoing	
	BM658	The Nominations Committee meeting of 23 June 2020 considered risk in relation to the activities within its remit and agreed to raise its suggestion of the inclusion of some strategic governance risks. To help refine this further for the Risk Register, the Chair would work with	W Hatton	Ongoing	

		the Committee Chairs and provide further detail to Mr Alexander.			
<b>23 March 2020</b>	BM610	The presentation and discussion scheduled with two inspectors from Education Scotland on their College Progress Visit Report - postponed until a later date.	S Gordon	Will rearrange with Janet and John.	tbc
	BM616	Business Transformation Plan - Board to be kept informed of progress in discussions with SFC.	L Connolly	Ongoing	Ongoing Board updates via the CE Report
	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
<b>3 Feb 2020</b>	BM600	Greenock Campus - continue to report progress to Board meetings.	L Connolly	Ongoing	Ongoing Board updates via the CE Report
<b>7 Oct 2019</b>	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

**TITLE:** STUDENTS' ASSOCIATION REPORT

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

**Lead:** Vanessa Thompson, President, Students Association

**Status:** Open



## The Student Association Board March 2021

The Students' Association (SA) would like to thank the staff for all of their support and assistance during this difficult time. We would also like to extend our gratitude to the students for their understanding and continued hard work despite the restrictions in place for many.

The Student Association are delighted to announce that the Scottish Government has made funds available to the sum of £33,000. This funding is for college and university students' associations to provide support for students. Each students' association's needs and circumstances at this time are different, and for this reason we have asked for both students and staff to provide feedback on areas and programmes that they feel can enhance their experience with West College Scotland.

The student elections for 2021/22 session have taken place with nominations for President and also Vice President in Clydebank. The other Vice President roles did not receive any nominations and will be readvertised. The dates for the election are between Monday 15<sup>th</sup> March – Friday 19<sup>th</sup> March. The nominations for VP in Paisley and Greenock on the 8<sup>th</sup> March and close on 26<sup>th</sup> March. The elections will take place between 19<sup>th</sup> April and 23<sup>rd</sup> April. We wish all candidates the best of luck.

The Student Association are also delighted to support and promote upcoming campaigns;

**March:** Mental Health Day with Think Positive – 04/03 / Self-Injury Awareness Month

**April:** Stress Awareness month

**May:** National Walking Month

**July:** Talk to Us Month (Samaritans)

The Student Association is also concerned by the proposed lecturer strikes which are due to take place over the coming months. Whilst the SA understand the concerns of lecturers, our main concern is that of the students. This year has been incredibly difficult for students and we are concerned that this action may be extremely detrimental to students learning and well-being.

Think Positive continues to be a priority for the student association. The campaign is a mental health agreement with the college to offer much needed support to students. Key information and guidance will be offered to help and support students especially around stress and anxiety. This has been promoted online using our social media platforms and has been supported superbly by Kirsty McEwan who is the Health and Wellbeing officer for West College Scotland.

The SA continues to work in partnership with the college in order to support students through the ongoing COVID-19 pandemic. Over the past few weeks, the country has been placed in lockdown once again which has made it extremely difficult for everyone connected with the college. The SA will continue to update students on any changes to current regulations and will offer support and

guidance to anyone who requires it. We are available for all students through email, phone and social media platforms and continue to provide any support and guidance that is required.

Many thanks and we hope for better times ahead for us all.

Student Association.

**Board of Management**

**22.03.21**

**Paper 7**

**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 (with the exception of item 3)

## **1 Covid-19**

- 1.1 As members will be aware, on the 4<sup>th</sup> January the First Minister announced that for all of January there would be a lockdown across mainland Scotland that was similar to that in place from March of 2020. At this stage the College was planning to reopen on the 6<sup>th</sup> January under the Tier restrictions that had been in place during December.
- 1.2 Following Executive Team discussions it was decided that there would be no on campus delivery of face to face learning and teaching during January and that this would be reviewed in light of further decisions made by the Scottish Government. This decision was immediately communicated to staff and students.
- 1.3 Following the First Ministers announcement on 19<sup>th</sup> January that the lockdown would be in place until at least the middle of February, the College decided that we would continue with no on campus face to face learning and teaching until the middle of February. Very limited face to face teaching resumed on 22<sup>nd</sup> February.
- 1.4 On 23<sup>rd</sup> February the Scottish Government published their Coronavirus (Covid-19) Strategic Framework Update. This document highlighted that for Colleges face to face teaching would be limited to a maximum of 5% of the normal student cohort on any campus at any one time. In addition, face to face teaching should only be where it was time critical to the completion of the course, or essential for continued or new employment.
- 1.5 It is anticipated that the Scottish Government will make a further announcement regarding Colleges in week commencing 15<sup>th</sup> March. A further update will be provided at the Board meeting.
- 1.5 The Educational Leadership Team and sector Heads are continuing to review provision to ensure that we make best use of the capacity to deliver face to face teaching, and to consider the implications of limited numbers on campus for the remainder of this academic year and next academic year.
- 1.6 It is recognised that a system wide solution is needed to enable the maximum number of students to complete their qualification this year. A Ministerial Task Force has been established to enable this. The Task Force, which is Chaired by Richard Lochhead, Minister for Further Education, Higher Education and Science, includes representation from the college sector, the university sector, the Scottish Funding Council, Skills Development Scotland, SAAS and NUS. The College sector is represented on this group by Carol Turnbull, Principal of Ayrshire College and Chair of the College Principals Group and Shona Struthers, Chief Executive of Colleges Scotland.



## 2 College Mobilisation Group and Executive Covid 19 Group

2.1 The College mobilisation group and the Executive Covid 19 group both continue to meet on a weekly basis to consider any emerging issues and new guidance in what continues to be a very fluid situation. The Executive Group is the decision making forum to progress any recommendations that come from the Mobilisation Group which considers the operational implications of return to campus.

## 3 Business Transformation Plan

3.1 [Redacted]

[Redacted]

[Redacted]

[Redacted]

[Redacted]

[Redacted]

[Redacted]

3.5

[REDACTED]

■

[REDACTED]

■

[REDACTED]

#### **4 SFC Sustainability Funding**

4.1 The SFC at a meeting of the sectors Finance Directors on 5 February 2021, announced that it would be distributing £13m of additional Sustainability Funding to assist with the negative impacts of Covid-19. This funding is to be distributed in line with the initial core teaching grant allocations for 2020-21. For West College Scotland this should result in an additional allocation of £1.2m to core grant funding. To date no SFC circular has been received with the SFC indicating that it will be issued in the first two weeks of March.

#### **5 Additional Funding Allocations**

5.1 Since the last Board meeting the College has received additional funding as outlined below.

- £265,430 of additional student support discretionary funding to support winter payments for further education students in hardship due to COVID-19.
- £500,802 of repurposed unspent student support funds to enable additional discretionary funding for COVID-19 related support. Uses can include tackling digital poverty and providing more students with necessary IT equipment and technology to succeed in the current online learning environment.
- £38,250 to provide access to free sanitary products.

## **6 New Greenock Campus**

- 6.1 As the Board is aware, since the submission of the Greenock Outline Business Case in late 2018 the College has maintained a detailed ongoing dialogue with Inverclyde Council, the SFC and wider partners in order to secure a change in the Local Development Plan to support educational use, and therefore a new campus at the East India Dock site.
- 6.2 Inverclyde Council commenced a further review of the Local Development Plan for the area encompassing the East India Dock site in 2020. Council officers advised elected members in January 2021, in presenting the main issues report, that a change to the Local Development Plan was likely to be proposed in support of educational usage at the East India Dock Site.
- 6.3 Following on from this development the SFC wrote to the College on 16<sup>th</sup> February with an offer of: 'funding of up to £84,000 (including VAT) from SFC's non-core programme funds for an update to the College's Greenock Outline Business Case, and also progressing to a greater level of detail aspects of the business case relating to progressing the preferred option – a new build campus at East India Dock site, in preparation for the development of a Full Business Case'.
- 6.4 A copy of the SFC grant letter detailing the conditions of the funding award is provided at this [link](#) as an annex to this paper. The College has formally accepted the grant funding and requested further dialogue to clarify some aspects of the funding conditions as provided.

## **7 Potential Industrial Action**

- 7.1 EIS FELA have been in dispute with the sector since last summer. The genesis of the dispute was around the recruitment of instructor and tutor posts to replace lecturers which appeared to happen in a couple of Colleges. On 26<sup>th</sup> January EIS wrote to the College giving notice of a ballot on industrial action. The ballot asked 'Are you prepared to take part in industrial action consisting of strike action in pursuit of the national dispute on the use of instructors instead of lecturers'.
- 7.2 On 25<sup>th</sup> February EIS wrote again to the College to confirm that the result of the ballot was that on a turnout 2,966 (61% of those eligible to vote) 2,690 (91%) had voted yes.
- 7.3 On the 1<sup>st</sup> March EIS wrote again to the College giving notice of 15 days of discontinuous strike action, the first of these on Tuesday 16<sup>th</sup> March. As at Friday 12<sup>th</sup> March dispute discussions continue with a view to resolving the issue and avoiding strike action. A further update will be provided at the Board meeting.

**TITLE:** Chair's Report

**Action:** The Board is invited to note the update from the Chair.

**Lead:** Dr Waiyin Hatton, Chair of Board of Management

**Status:** Open

### **Chair's Report**

Since the last Board meeting, my focus has been on the implementation of the 'Realignment of Board Committees' following Board approval of the proposal. Please see Paper 8.1 for a separate report.

The Board Effectiveness Review is underway, again following Board approval of the process at the last meeting. Please see Paper 8.2 for a separate report.

I attended the Colleges Scotland Board development session to review the organisation's function in the light of changing landscape facing the sector. I will be participating in one of the three follow-up Vision Clarity workshops, in advance of the Board Planning sessions (25/26 March).

In the context of the Scottish Funding Council review on the further and higher education sector, Colleges Scotland Board is contributing to a better understanding of *"The Role of Scotland's Colleges in their Regional Economies"*. In support of this, WCS has been invited to host one of the Regional Economic Recovery Clinics with key partners in our region at the end of March/April 2021. The Executive Team is progressing this.

Dr Waiyin Hatton  
Chair, WCS Board of Management  
12 March 2021

**TITLE: BOARD COMMITTEES – UPDATE (INC REVISED REMITS)**

**Background:** Following approval of the realignment of the Board’s standing Committees at the Board meeting held on 1 February 2021 (Chair’s Report - Paper 8.1), it was agreed that, in terms of next steps, the Chair would convene a meeting, in early February 2021, with the Chairs of the current Asset and Infrastructure Committee; Finance and General Purposes Committee; Human Resources and Corporate Development Committee; and Learning, Teaching and Quality Committee to identify key issues which needed to be transferred to the new structure. This meeting duly took place on 10 February 2021.

It was also agreed that the Chair would populate memberships of the standing Committees, including the Chair and Vice-chair roles for consideration by the Nominations Committee (by email) and, following its approval, seek formal Board approval by email. That would allow the Board to move to the new structure as soon as possible and allow arrangements to be made for the first meetings of the new Committees.

With regard to populating the memberships of the Committees, the Nominations Committee remit states *“To make recommendations to the Board of Management regarding the appointment or reappointment of the Vice Chair of the Board of Management, the Senior Independent Member, as well as the Chairs and members, including co-opted members, of its standing committees”*.

With this in mind, the Chair sought Nominations Committee approval on proposed memberships, Chairs and Vice-chairs of the Committees by email on 2 February 2021 and this was received with all members fully supportive. The Chair then contacted all nominees to ensure they were happy to serve on the respective Committees and advised them that nominations were subject to Board endorsement. All members responded positively and that let the Chair seek formal Board endorsement of the Nominations Committee recommendations by email on 10 February 2021. This was duly received with all members responding in the affirmative.

This allowed a move to the new structure and arrangements to be made for the first meetings of the new Committees (the first CDC on Tuesday 9 March, an Audit on Thursday 11 March and a LTQC on Wednesday 24 February).

The Board’s Standing Orders and Scheme of Delegation as well as all the standing Committee remits have been revised to incorporate the new practices. The following are attached for approval:

- 1 - Board Standing Orders – change made to paragraph 5.1.
- 2 - Board Scheme of Delegation - change made to paragraph 6.
- 3 - Board Articles of Governance – no changes required.
- 4 - LTQC Remit
- 5 - CDC Remit
- 6 - Audit Committee Remit
- 7 - Nominations Committee Remit
- 8 - Remuneration Committee Remit
- 9 – Summary showing Board and Committee memberships
- 10 – Dates of Board and Committee meetings for the remainder of the 2020 /21 session

Meetings of the CDC (on Tuesday 9 March), Audit Committee (on Thursday 11 March) and LTQC (on Wednesday 24 February) have already taken place with each approving its revised remit. The next meetings of the Nominations and Remuneration will similarly consider theirs.

**Action:** The Board is asked to approve the Board’s Standing Orders and Scheme of Delegation as well as all the standing Committee remits, memberships and dates of meetings.

**Lead:** Waiyin Hatton, Chair of the Board of Management.  
Shirley Gordon, Secretary to the Board of Management.

**Status:** Open



## **WEST COLLEGE SCOTLAND**

### **STANDING ORDERS**

#### **Version Control**

- Revised November 2017
- Approved by the Board of Management - 5 February 2018
- Approved by the Board of Management – 5 October 2020
- Approved by the Board of Management – 22 March 2021



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# **Standing Orders for Regulating the Meetings and Proceedings of West College Scotland's Board of Management and its Committees**

## **1. Application**

Paragraph 11 of Schedule 2 to the Further and Higher Education (Scotland) Act 1992 states that a Board may regulate its own proceedings and those of any Committees established by it. The purpose of these Standing Orders is to ensure the orderly and effective conduct of the meetings of the Board of Management (“the Board”) and its Committees. These Standing Orders apply to all meetings of the Board of Management and its Committees. The Terms of Reference of Standing Committees and any *ad hoc* Committees that may be established from time to time shall determine the specific remits and quorum of these bodies.

The Standing Orders were approved by the Board at its meeting on **22 March 2021** and replace all other Standing Orders previously adopted by the Board. The Standing Orders will be periodically reviewed by the Board and at least every 3 years.

The Standing Orders apply to all meetings whether held remotely or in person.

## **2. Authority of Chair**

2.1 The Chair will be responsible for leading the meeting and for the general conduct of the meetings and will

- preserve order and ensure that the members obtain a fair hearing;
- decide on all matters of order, competency or relevance;
- determine all questions of procedure.

The ruling of the Chair on all matters within his or her jurisdiction as Chair is final.

2.2 At the meetings of the Board of Management the Chair, or in his/her absence the Vice Chair, will take the Chair. In the absence of the Chair and the Vice Chair, the Chair will nominate another Board member to Chair the meeting or, failing such action, the members present will appoint one of their number to be Chair for the meeting. This will normally be a non-executive member of the Board.

2.3 Members shall address the Chair and the Chair will be heard without interruption.

2.4 The Board will normally make decisions on the basis of agreement by consensus. However, in certain circumstances a vote may be conducted – see Section 9.

## **3 Conduct**

3.1 All meetings will be conducted in accordance with legislation, terms and conditions of grant, the Board's Scheme of Delegation and these Standing Orders. All Board and Committee members are bound by the College's Code of Conduct.

3.2 If any member disregards the authority of the Chair, or is guilty of obstructive or offensive conduct, a motion may be moved and seconded to suspend the member for the remainder of the meeting, and the member will then immediately leave the meeting.

## **4 Schedule of Meetings**

- 4.1 Ordinary meetings of the Board shall be held at least four times per calendar year, according to a schedule which the Board shall determine.
- 4.2 All meetings shall be called by a notice to attend the meeting specifying the business to be transacted thereat which shall be issued by the Secretary at least five working days before the meeting of the Board.
- 4.3 Extraordinary meetings of the Board may be called on the instructions of the Chair, or by agreement by a majority of the members entitled to vote at such a meeting. The meeting shall be held as soon as practicable.

## **5 Quorum**

- 5.1 **A quorum will be no less than 50% of Board members.**
- 5.2 If, fifteen minutes after the time appointed for a meeting of the Board, a quorum of members is not then present the meeting shall stand adjourned and the Chair shall close the meeting.
- 5.3 Notwithstanding 5.2 above, where there is not a quorum present at a meeting of the Board or a Board Committee the members present may determine that the scheduled business be considered informally, and recommendations noted. Such recommendations would not be effective until ratified or amended at a subsequent meeting of the Board or Committee.
- 5.4 In exceptional circumstances, such as for matters requiring urgent attention, and when the approval of the Board or Committee is required, decisions can be taken, with the prior agreement of the Chair, by written procedure. That is, decisions can be taken without calling a physical meeting of the Board or Committee. In such circumstances:
  - the Board Secretary shall email all Board or Committee members outlining the decision required, together with relevant briefing information;
  - a quorum, as defined in 5.1, must have replied to the email;
  - the Board Secretary shall ensure that the deadline for response is clearly specified and Board, or Committee, members shall endeavour to respond within that timeframe;
  - any decisions taken in this way shall be homologated at the next quorate meeting of the Board or Committee.
- 5.5 A quorate meeting shall be adjourned if, by virtue of members absenting themselves during proceedings, the number falls below the previously stipulated quorum. In such event unfinished business shall be placed on the agenda for the next scheduled meeting of the Board or Committee; or the remaining members present may determine that scheduled business is dealt with in accordance with 5.3 or 5.4 above.

## **6 Adjournment of Meeting**

- 6.1 The Board of Management may adjourn any meeting to such a time as the Chair may then, or afterwards decide.

- 6.2 When an adjourned meeting is resumed, proceedings will commence at the point which they concluded at adjournment.

## **7 Business of Meetings**

- 7.1 At a meeting of the Board no business other than that specified in the notice shall normally be considered. An item of business not appearing on the agenda for the meeting may be considered as “any other competent business” at the discretion of the Chair.
- 7.2 The order of business will be determined at the start of the meeting, but generally will follow the format contained in the agenda issued with the papers.
- 7.3 The Chair, by agreement with the Board, may at any meeting vary the order of business so as to give precedence to business of special urgency.

## **8 Approval of Minutes**

- 8.1 The Board of Management and each of its Committees will ensure that proper minutes of its proceedings are kept; the minutes will contain all resolutions and proceedings and will be conclusive evidence of the matters to be decided.
- 8.2 At each Board and Committee meeting the minutes of the previous meeting will be submitted for approval as a correct record of the meeting to which they relate.
- 8.3 Copies of the approved minutes and any supporting reports or other statements considered will be available on the College website as appropriate.

## **9 Voting at Meetings**

- 9.1 Subject to any provision of the legislation or the Articles of Governance or Scheme of Delegation, a motion passed by the majority shall be declared to be the decision of the meeting and shall bind the Board.
- 9.2 At the discretion of the Chair, a vote may be taken by a show of hands. In the event of a tie the Chair shall have both a deliberative and a casting vote.
- 9.3 A member may have his/her dissent from a decision recorded in the minutes at the meeting.

## **10 Attendance of Officers**

The Chair, in consultation with the Principal and Chief Executive or Vice Principal as appropriate, may invite members of the Senior Management Team or other individuals to the meeting of the Board, or any of its Committees, to provide specialist or other information to assist the deliberations of the members.

## **11 Conflict of Interest**

- 11.1 The principles set out in Section 5 of the College's Code of Conduct shall apply in relation to conflicts of interest. Where, whether before or during any meeting of the Board or any Board Committee, any member of the Board or any Committee becomes aware that he or she or any person connected with him or her has an interest in or relating to any matter to be or being considered by the Board or a Committee he or she shall declare such interest and, unless the Chair of the Board or the Committee declares otherwise, withdraw from the meeting during such consideration and shall not vote on any question relating to the matter.
- 11.2 Board and Committee members are themselves responsible for declaring that they have an interest in any matter under consideration whether or not such interest has been declared in the register of interests maintained by the Secretary.

## **12. Confidentiality of Information**

- 12.1 Any information obtained by any person as a member of the Board or a member of a Board Committee, other than information which the Board or the Committee has agreed should be made public, shall be treated as confidential to the Board or Committee. This provision also applies to any other person, including College staff, attending Board or Committee meetings or dealing with matters delegated to them by the Board or Committee.

## **13 Meetings of Committees and Sub-Committees of the Board**

- 13.1 A Committee or Sub-Committee shall hold such meetings as the Board may from time to time prescribe but the Secretary shall call additional meetings of a Committee or Sub-Committee at any time on being required to do so either by:
- i. the Committee or Sub-Committee concerned,
  - ii. the Chair of the Committee or Sub-Committee concerned,
  - ii. or on receiving a requisition in writing for that purpose specifying the business proposed to be transacted at the meeting and signed by a majority of members entitled to vote at the Committee or Sub-Committee concerned.
- 13.2 The Board shall determine the quorum for each of its Committees and the Committees shall determine the quorum for each of its Sub-Committees.
- 13.3 All meetings of a Committee or Sub-Committee shall be called by an invitation to attend the meeting specifying the business to be transacted thereat, which shall normally be issued by the Secretary at least five working days before the meeting to which it relates.

## **14 Suspension of Standing Orders**

- 14.1 The Standing Orders may be suspended when the Chair and two-thirds of the members present entitled to vote agree to such a motion.



## **WEST COLLEGE SCOTLAND**

## **SCHEME OF DELEGATION**

### **Version Control**

- Revised November 2017
- Approved by the Board of Management – 5 February 2018
- Approved by the Board of Management – 5 October 2020
- Approved by the Board of Management – 22 March 2021

## **SCHEME OF DELEGATION**

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- 4 Delegations to the Principal**
- 5 Delegations to the Board Secretary**
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## **SCHEME OF DELEGATION**

### **1 Introduction**

1.1 In accordance with paragraph 12(4) of the Further and Higher Education (Scotland) Act 1992 the Board may delegate the performance of any of its functions to:

- (a) the Chair; or
- (b) any committee appointed by them; or
- (c) any member of the College staff (which may include the Principal);
- (d) or a combination thereof as the Board shall determine.

In accordance with paragraph C.8 of the Code of Good Governance for Scotland's Colleges delegation of responsibilities from, and matters reserved to, the Board and its Committees must be clarified through a Scheme of Delegation, including the functions delegated by the Board to the Chair, Committees, the Principal and the Board Secretary.

1.2 Only a committee or the persons or the holders of posts specifically named in this scheme may exercise the function delegated to them.

1.3 This Scheme of Delegation must be approved by the Board before it comes into effect, and any subsequent amendments must also be approved by the Board. Once approved this Scheme replaces all other Schemes of Delegation adopted by the Board.

### **2 Authority Reserved to the Board**

The following matters are reserved to the Board and therefore excluded from any delegation:

- (a) the determination of the objectives of the Board;
- (b) Final approval of the College's Strategic Plan and Regional Outcome Agreement;
- (c) the determination of the risk appetite of the Board and approval and monitoring of the Strategic Risk Register;
- (d) the approval of the year-end Annual Report and Accounts, the Annual Budget, College financial plans, forecasts, delegations and regulations;
- (e) Final consideration of the Annual Audit Report;
- (f) Acquisition and disposal of heritable property, subject to the approval of the Scottish Funding Council;
- (g) the appointment, extension of appointment, and removal of Board members subject to approval by the Chair of the Board and the Scottish Ministers;
- (h) monitoring the conduct of Board members and, where necessary taking such action as deemed appropriate;
- (i) the appointment and removal of the Principal, as well as the instigation of disciplinary action against the Principal;
- (j) The appointment and removal of the Board Secretary;
- (k) Approval of the Students' Association Constitution and Annual Budget for the Students' Association;
- (l) delegation of functions of the Board, including remits of the Committees;
- (m) the making, amendment and revocation of the Articles of Governance, this Scheme of Delegation, and the Standing Orders of the Board;



- (n) the acceptance of endowments, gifts of money, land or other property and determining their application to any of the activities which the Board has the power to carry on.

### **3. Delegations to the Chair of the Board**

3.1 In exercising any delegated function the Chair will take into account:-

- (a) the legislation and any further provisions set out in the Articles of Governance or Scheme of Delegation of the Board;
- (b) guidance issued by the Scottish Ministers and/ or the SFC, including the Scottish Public Finance Manual and the Financial Memorandum with SFC;
- (c) any potential conflict of interest as explained in the Code of Conduct;
- (d) the provisions of The Ethical Standards in Public Life etc (Scotland) Act 2000 and the Code of Conduct adopted by the College.

3.2 Functions delegated to the Chair shall not be exercised by any other person acting in place of the Chair.

3.3 The Chair of the Board is authorised –

- (a) to take such measures as may be required in emergencies, subject to reporting to the relevant Committee or to the Board as soon as possible thereafter on any items for which approval of that Committee or the Board would normally be necessary;
- (b) to deal with urgent items of business after consultation with the Chair to the relevant Committee and with the Principal;
- (c) following Board approval to sign and date the Annual Report and Accounts (in terms of the accounts direction given by SFC under paragraph 18 of Schedule 2 to the 1992 Act), and other documents as may be required;
- (d) to represent the Board within the College and externally;
- (e) in the event of the Principal not being available, to act in the Principal's stead in fulfilling as required any function that may not be delegated to any other member of staff, with due regard to any relevant provisions in the Financial Memorandum;
- (f) to ensure that each Board member participates in an annual development meeting, facilitated by either the Chair or the Vice Chair;
- (g) to monitor, review and record the Principal's performance at least annually against the performance measures agreed by the Board;
- (h) to monitor, review and record the Board Secretary's performance at least annually against performance measures agreed by the Board;
- (i) to initiate action further to a decision of the Board to take disciplinary action against, or suspend, the Principal or Board Secretary;
- (j) to initiate action further to a decision of the Board to appoint a new Principal or Board Secretary.

### **4 Delegation to the Principal**

4.1 The Principal, as Chief Executive of the College, is responsible for the management of the College subject to strategic and policy direction by the Board and the terms of any specific authority reserved to the Board.

4.2 In exercising any delegated function the Principal will take into account:-

- (a) the legislation and any further provisions set out in the Articles of Governance and this Scheme of Delegation of the Board from time-to-time in force;
- (b) guidance issued by the Scottish Ministers and/or the SFC, including the Scottish Public Finance Manual and the Financial Memorandum with SFC;
- (c) any potential conflict of interest as explained in the Code of Conduct;
- (d) the provisions of The Ethical Standards in Public Life etc (Scotland) Act 2000, the Code of Good Governance for Scotland's Colleges, and codes of conduct as may exist and be adopted from time to time.

### **4.3 General Management**

- (a) to take such measures as may be required in emergencies subject to advising the Chair where possible and reporting to the appropriate Committee or to the Board as soon as possible thereafter on any items for which approval of the Committee or the Board would normally be necessary;
- (b) to delegate responsibilities to other members of staff as appropriate for the exercise of particular functions, while retaining overall responsibility to the Board for reporting on, and for performance against, the College's strategic objectives;
- (c) to engage the services of outside persons, firms or organisations and to enter into contracts and to sign all deeds and other documents binding the Board for all purposes except those where the power to engage such services is delegated to a Committee or is reserved to the Board;
- (d) to ensure the provision of courses as required by outside agencies and to negotiate appropriate charges thereof.

### **4.4 Staff Management**

- (a) to determine an appropriate staff structure for the College and, where appropriate, consultation with representatives of recognised trade unions;
- (b) to consult and negotiate with representatives of recognised trade unions on behalf of the Board;
- (c) to represent the Board in negotiating and implementing conditions of service in relation to relevant College staff, including participation in National Bargaining;
- (d) to ensure appropriate procedures are in place for the human resources and organisational development of the College;
- (e) to establish any other procedures required for the orderly management of employees of the College.

### **4.5 Student Management**

- (a) to arrange for the provision of appropriate curriculum and support services for students and clients;
- (b) to administer in accordance with any policy of the Board the provision to students of the College of financial or other assistance;
- (c) to set and amend as necessary the level of tuition fees, examination expenses, maintenance and contribution scales for all courses offered by the College and to waive or grant remission of such fees or expenses in accordance with guidelines set by the Board;

- (d) to authorise students, and to make grants to students, to enable them to attend courses and conferences and to undertake educational visits and excursions at home or abroad within the approved estimates and policies of the Board;
- (e) to take appropriate disciplinary action including expulsion against students in accordance with any policies of the Board;
- (f) to provide financial and other assistance to the Students' Association of the College within the terms of any scheme of establishment or policy of the Board.

#### **4.6 Property Management**

- (a) to allocate accommodation within the College in order to meet student and staff needs and to arrange for any necessary alterations or adaptations to College property;
- (b) to grant the use of College accommodation to outside bodies or persons for the purpose of holding meetings and functions on such terms and conditions as are reasonable in the circumstances and in accordance with any policies of the Board;
- (c) to apply to the appropriate authority for any necessary statutory consents.

#### **4.7 Financial Management**

- (a) to take personal responsibility for ensuring the proper and effective operation of financial, planning and management controls, and for giving effect to the Board's policies for securing the efficient, economical and effective management of all the College's income, assets and expenditure;
- (b) to act at all times in compliance with the Financial Memorandum with the SFC and the Scottish Public Finance Manual, and to follow the College's Financial Regulations taking particular account of the Delegated Financial limits;
- (c) enter into and negotiate contracts and other binding arrangements for the supply of goods and services (whether bought, leased, hired or otherwise acquired) to the College or to authorise another to enter into such contracts up to a value of the relevant EU Procurement threshold or Board approved budgetary limits and all in accordance with the College's financial regulations;
- (d) terminate contracts, when it is in the best interests of the College to do so;
- (e) to dispose of assets as set out in the Financial Regulations and in line with the requirements of the Scottish Public Finance Manual;
- (f) to take out any necessary insurances to protect the interests of the Board;
- (g) to spend public funds only for the purposes for which they were given and in accordance with any terms and conditions attached to them;
- (h) to arrange for presentation to the Board for approval an Annual Budget of income and expenditure, and to give regular updates on income and expenditure account, balance sheet and cash flow statements;
- (i) to arrange for the preparation, audit and presentation to the Board the Accounts following the end of each financial year in compliance with the requirements of the Accounts Direction and encompassing Audit Scotland and the Scottish Funding Council direction;
- (j) to report to the SFC should the Board adopt a policy or commission an action which is incompatible with the terms of the Financial Memorandum or the Scottish Public Finance Manual, or which would infringe the requirements of propriety or regularity, and to report to the Board in writing on such matters being considered, and advise the Board that, should it choose to continue with the policy

or action, then as accounting officer he or she must report the Board's intentions to SFC in writing.

#### **4.8 Absence of the Principal**

In the absence of the Principal, the Executive Team shall ensure that the essential functions and delegated authorities of the Principal are carried out with due regard to any relevant provisions of the Financial Memorandum or the Scottish Public Finance Manual.

After a period of four weeks unplanned continuous absence of the Principal, the Board shall designate a Vice Principal as the accountable officer for the duration of the Principal's absence, ensuring that the Scottish Funding Council is advised of such arrangements at the earliest opportunity.

### **5 Delegation to the Board Secretary**

5.1 The Board Secretary has delegated authority to:

- (a) administer, circulate, retain and publish as appropriate the records of all Board and Committee business;
- (b) undertake appropriate actions to ensure that the Board is sufficiently informed of its obligations as defined in legislation, the terms and conditions of grant, the Scottish Public Finance Manual, the Code of Good Governance and the Standing Orders;
- (c) administer staff elections to the Board and act as Returning Officer;
- (d) act as Standards Officer in accordance with Advice on the Role of a Standards Officer (issued by the Standards Commission for Scotland);
- (e) maintain a register of interests as provided by the Code of Conduct so adopted by the Board;
- (f) maintain a register of members' attendance at Board and Committee meetings;
- (g) in accordance with the Code of Good Governance, report any unresolved concerns about the governance of the College to the Scottish Funding Council.

### **6. Delegation to Committees**

The Board currently has five committees, these being:

- (a) Audit
- (b) Corporate Development
- (c) Learning, Teaching and Quality
- (d) Nominations
- (e) Remuneration

The Board approves the detailed remit and membership of each of these Committees. This information is available on the College website or from the Secretary.



## **WEST COLLEGE SCOTLAND**

## **ARTICLES OF GOVERNANCE**

### **Version Control**

- Revised November 2017
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# ARTICLES OF GOVERNANCE

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## **ARTICLES OF GOVERNANCE**

### **1 Introduction**

These Articles of Governance are consistent with the legislation, i.e. the Further and Higher Education (Scotland) Act 1992 (the 1992 Act), as amended by the Further and Higher Education (Scotland) Act 2005 (the 2005 Act) and the Post-16 Education (Scotland) Act 2013 (the 2013 Act), and any such legislation as may replace or supplement such provisions and be adopted from time to time.

These Articles of Governance must be approved by the Board of Management before they come into force, and any changes or amendments to them must be approved by the Board before they become effective. Once approved by the Board they replace all other Articles of Governance previously adopted by the Board.

### **2 Appointment of Board Members**

#### **2.1 Composition of Board**

Under the terms of the legislation the composition of the Board of Management is as follows:

- (a) A person appointed by the Scottish Ministers to chair meetings of the Board
- (b) The Principal of the College
- (c) 2 members of staff: 1 elected by the teaching staff from among their own number; and 1 elected by the support staff from among their own number
- (d) 2 students nominated by the Students Association
- (e) Up to 12 non-executive members.

#### **2.2 Appointment of the Chair**

The Chair is appointed by the Scottish Ministers for a period of up to 4 years, and may be re-appointed for a further period of up to 4 years.

#### **2.3 Appointment of Vice Chair**

2.3.1 The Board may appoint any of its members who is not:

- (a) a student of the College,
- (b) an employee of the College,
- (c) the Principal,

to act as Vice Chair and who may substitute for the Chair in the conduct of Board meetings but who may not discharge any other duty delegated to the Chair.

2.3.2 The Board shall determine the period of appointment of the Vice Chair (if one has been appointed) and may remove the Vice Chair from office.

#### **2.4 Appointment of Senior Independent Member**

2.4.1 The Board will appoint any of its members who is not:

- (a) a student of the College,
- (b) an employee of the College,
- (c) the Principal,

to act as the Senior Independent Member (as defined in A14 of the Code of Good Governance for Scotland's Colleges). This person may be the Vice Chair or may be another member of the Board as defined above.

- 2.4.2 The Board shall determine the period of appointment of the Senior Independent Member (if one has been appointed) and may remove him/her from office.

## **2.5 Codes of Conduct and Good Governance**

- 2.5.1 It is a condition of appointment of each Board member that he or she accepts to be bound by the provisions of The Ethical Standards in Public Life etc (Scotland) Act 2000 and any such legislation and codes of conduct as may replace and supplement such provisions and be adopted from time to time, including the Code of Conduct adopted by the Board.

- 2.5.2 Each member of the Board undertakes to maintain his or her entry in the register of interests as provided in the Code of Conduct adopted by the Board.

- 2.5.3 It is also a condition of appointment that each Board member agrees to abide by the Code of Good Governance for Scotland's Colleges.

## **2.6 Appointment of Teaching and Non-Teaching (Support) Staff Members**

- 2.6.1 Appointments of the Teaching staff member shall proceed as follows:

- (a) One member may be appointed by the Teaching staff from among their own number. The appointment is made by election administered by the Returning Officer (the Returning Officer is normally the Secretary to the Board unless the Board appoints another person – see 2.9.4);
- (b) The Returning Officer shall send a notice to each member of the Teaching staff of the College requesting nominations for membership of the Board;
- (c) Such nominations must be received by the Returning Officer by the date specified in the notice, being not less than seven days from the date of the notice.
- (d) Each nomination must be signed by the nominee, the proposer and one other person all being members of the Teaching staff.
- (e) If more than one nomination is received the Returning Officer shall thereafter arrange for an election to be conducted normally using an appropriate electronic system and shall notify each member of the Teaching staff of the College of the names of the nominees and the process to be followed.



- (f) The election shall be completed by the date and time specified in the notice issued by the Returning Officer being not less than seven days from the date of issue of the notice of the election.

2.6.2 Appointment of the Non-Teaching (Support) staff member shall proceed as follows:

- (a) One member may be appointed by the Non-Teaching (Support) staff from among their own number. The appointment is made by election administered by the Returning Officer (the Returning Officer is normally the Secretary to the Board unless the Board appoints another person – see 2.9.4);
- (b) The Returning Officer shall send a notice to each member of the Non-Teaching (Support) staff of the College requesting nominations for membership of the Board;
- (c) Such nominations must be received by the Returning Officer by the date specified in the notice, being not less than seven days from the date of the notice.
- (d) Each nomination must be signed by the nominee, the proposer and one other person all being members of the Non-Teaching (Support) staff.
- (e) If more than one nomination is received the Returning Officer shall thereafter arrange for an election to be conducted normally using an appropriate electronic system and shall notify each member of the Non-Teaching (Support) staff of the College of the names of the nominees and the process to be followed.
- (f) The election shall be completed by the date and time specified in the notice issued by the Returning Officer being not less than seven days from the date of issue of the notice of the election.

2.6.3 The following rules will be followed as regards counting votes:

- (a) The Returning Officer shall offer each nominee the opportunity to be present or represented at the counting of votes.
- (b) The counting of votes shall normally take place within 24 hours of the time set for the close of the election and shall be done by the Returning Officer in the presence of such nominees or their representatives as have chosen to attend.
- (c) The nominee receiving the most votes shall be declared elected.
- (d) In the event of a tie the election shall be decided by lot among the nominees with the most numbers of votes.
- (e) In the event of elections for Teaching staff and Non-Teaching (Support) staff members being held concurrently, the counting of votes shall be done as a separate and consecutive process for each election.
- (f) The Returning Officer may use such staff of the College as may be necessary to assist in the election process.

- (g) The names of the persons elected shall be reported to the next meeting of the Board after the election.

2.6.4 The following rules will apply in the event of a vacancy arising in respect of the appointment for a staff member:

- (a) In the event of an election requiring to be held because of the expiry of the periods of office of the respective members of the Board the procedures set out in paragraphs 2.6.1 and 2.6.2 as the case may be and paragraph 2.6.3 shall be completed normally not later than one month prior to the date of expiry.
- (b) In the event of a casual vacancy arising at any time more than six months prior to the expiry of the member's period of office, the procedures set out in paragraph 2.6.1 or 2.6.2 as the case may be and paragraph 2.6.3 shall be completed as soon as may be but normally not more than six weeks after the vacancy occurs.

## **2.7 Appointment of Student Members**

The nomination and appointment to the Board of two persons from among the students of the College will proceed as follows:

- (a) The Secretary shall, prior to 31 July, invite from the Students' Association of the College nominations for appointment to the Board from among the students of the College. The Secretary shall report such nominations to the Board.
- (b) In the event of a casual vacancy arising in the office(s) of such person(s) then the Secretary shall, within 3 weeks of the vacancy occurring, seek from the Students' Association of the College a nomination of such a person(s) as member of the Board unless a nomination of such a person(s) to fill the casual vacancy has already been made by the Students' Association.

## **2.8 Appointment of Non-Executive Board Members**

2.8.1 Under the terms of the legislation the Board must have regard to any guidance issued by the Scottish Ministers in relation to the making of such appointments.

2.8.2 The Scottish Ministers have issued guidance under Section 6 of the 2013 Act, which amends the provisions of the 1992 Act, and which sets out the process to be followed when appointing Non-Executive Board members. This is set out in the 'College Sector Board Appointments: 2014 Ministerial Guidance'. The Board will follow this Guidance, and any subsequent revisions or updates that are made to it, when making such appointments.

2.8.3 The Board shall appoint a relevant committee to nominate Board member appointments and extensions of appointments to the Board of Management.

2.8.4 The Board shall determine the length (of up to 4 years) of a Board appointment or extension based on the needs of the Board, having regard to the desirability of avoiding a substantial number of Board appointments potentially ending around the same time.

2.8.5 Before the Board may appoint a non-executive Board member or extend a non-executive Board member's period of appointment, the Board must obtain the approval of both its Chair and the Scottish Ministers.

## **2.9 Board Secretary**

2.9.1 The Board will appoint a person of appropriate experience and standing to discharge the functions of Board Secretary (as referred to in the 1992 Act). The Board Secretary shall have oversight of all Board and Committee meetings in order to ensure meetings are conducted in accordance with legislation, terms and conditions of grant (including in relation to its Financial Memorandum, the Scottish Public Finance Manual, the Code of Good Governance for Scotland's Colleges), the Board's Scheme of Delegation and Standing Orders, and in order to ensure a record is kept of proceedings. The appointment and removal of the Board Secretary is a decision of the Board.

2.9.2 The Board Secretary should be independent and report directly to the Chair of the Board

2.9.3 The Board shall ensure that the Secretary obtains suitable training as and when necessary to allow him or her to perform his or her functions effectively.

2.9.4 In the absence of the Board Secretary, the Board shall agree temporary arrangements that can be put in place by making such other arrangements as may be required.

## **3. Committees**

3.1 In accordance with the legislation the Board may establish Committees for any purpose. Each Committee shall have a clearly defined remit which sets out the duties and responsibilities. The Board must approve the remit of each Committee and any subsequent change or amendment to the remit.

3.2 The Board reserves the right to review the Committees required and the authority delegated to them as and when it is deemed appropriate to do so.

3.3 The minutes of each Committee meeting will be submitted to the Board for information at the next appropriate meeting.

3.4 The Board may appoint persons who are not members of the Board to be members of committees established by it.

## West College Scotland

### Board of Management

#### Learning, Teaching and Quality Committee

#### Statement of Purpose

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

The main purpose of the Learning, Teaching and Quality Committee is to:

- Have strategic oversight of all learning, teaching, training and skills development within the College, ensuring the highest quality of student experience and the development of a sustainable and innovative curriculum to meet the current and future skills needs of students, employers and the Region.
- Advise on the strategic direction for the allocation and development of College resources to best meet the needs of learning, teaching and students.
- Ensure the College meets the Scottish Government and Scottish Funding Council requirements relating to Learning, Teaching and Quality in the Regional Outcome Agreement and monitor associated targets and performance indicators.
- Advise on the strategic implementation, review and development of required strategies and policies that reflect best practice and improve the student experience

#### 1. Remit

- a) To consider and advise the Board on strategic matters relating to the student experience, including:
  - Fair access and transitions for all
  - Student participation and engagement, including reporting on Student Association activities
  - Safeguarding and student wellbeing
  - Guidance and support for the diversity of student groups
  - Access to resources to support learning, including IT and Estates.
- b) To consider and advise the Board on strategic matters relating to the curriculum, including:
  - the planning, development and delivery of the College curriculum, alternative income and commercial provision to meet student, employer and Regional needs.
  - Student enrolments and changes in curriculum delivery impacting on the utilisation of resources, including staffing, IT and estates.
  - Initiatives, innovation and partnerships to support the delivery of the College curriculum and commercial portfolio.

- c) To consider and advise the Board on strategic matters relating to teaching and learning including:
  - the delivery and development of skills to meet student, employer and Regional current and future needs.
  - Innovations and the enhancement of the Learning and Teaching delivery and associated development of staff.
  - the use of digital technology and resources to enable and enhance learning.
- d) To consider and advise the Board on strategic matters relating to quality and performance including;
  - College quality assurance, improvement and enhancement strategies.
  - Trends and achievement of Quality performance indicators (PIs), including student retention, attainment, progression and satisfaction.
  - the development of the College's Annual Evaluative Report and Enhancement Plan for Education Scotland and the Scottish Funding Council
  - Performance in External Body quality reviews and reports
- e) To consider and advise the Board on the current and future external factors and initiatives which may strategically impact upon the College curriculum, partnerships, income generation and Committee remit.
- f) To monitor and advise the Board on the progress in delivering the curriculum and the student experience elements and targets in the West Region Outcome Agreement.
- g) To monitor and advise the Board on the progress in delivering the College's Digital Strategy
- h) To receive reports from College Committees and work groups related to the Committee remit.
- i) To monitor expenditure of the annual budget of the Students' Association, based on reports received from the Student President, and to confirm to the Board that these are in line with the plans of the Students' Association.
- j) 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

### Category

The Principal and a minimum of four members of the Board of Management, one of whom will Chair.

One Staff member (teaching)

One Student member

The Committee is empowered to co-opt additional members, subject to approval by the Nominations Committee. Such members will normally be appointed for one year, will be subject to annual review, and may be re-appointed annually up to a maximum of 8 years.

### In Attendance

Vice Principal Educational Leadership

Secretary

### **Directors / Senior Management Team as Required**

Assistant Principal, Performance and Skills  
Assistant Principal, Student Life and Skills  
Assistant Principal Creativity and Skills  
Assistant Principal Technology and Skills  
Assistant Principal Enterprise and Skills

The Chair and Vice Chair of the Committee will be members of the Board of Management.

Chair, Vice Chair, and members appointments to the Committee will be between 3 to a maximum of 5 years, providing systematic opportunities for Committee members to serve on another Committee.

Members of the Audit, Corporate Development and Learning and Teaching Quality Committees can request to attend other Committees' meetings as observers, providing opportunities to gain more understanding of the respective Committees' issues.

The Committee is empowered to co-opt additional members, subject to approval by the Nominations Committee. Such members will normally be appointed for one year, will be subject to an annual review, and may be re-appointed annually for up to a maximum of 8 years.

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

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

### **3. Frequency of Meetings**

The Committee will meet at least four times per year.

### **4. Quorum**

A quorum will be no less than 50% of Board members on the Committee.

### **5. Secretariat**

The Secretary to the Board of Management.

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

## West College Scotland

### Board of Management

#### Corporate Development Committee

##### Statement of Purpose

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

The main purpose of the Corporate Development Committee is to:

- Have strategic oversight of finance, procurement, human resources and organisational development, communications, marketing and matters of a general nature that do not fall to other standing Committees, ensuring solvency, sustainability, efficiency, and innovation.
- Advise on the strategic implementation, review and development of required strategies and policies that reflect best practice and improve organisational performance, ensuring appropriate and effective controls and processes are in place.
- Ensure the College manages all assets and resources in accordance with Scottish Government and Scottish Funding Council requirements.

##### 1. Remit

- a) To have strategic oversight of the overall management of the College's resources – finance, people, procurement, information technology and property.
- b) To consider and advise the Board of Management on the development and implementation of College policy and strategy, including but not limited to the following areas:
  - Communication and Marketing
  - People
  - Health and Safety
  - Estate
  - Carbon management and sustainability
  - Information Technology
  - Finance
  - Procurement

Ensuring progress is monitored in delivering strategic outcomes in these areas.

##### **Finance**

- c) To consider and advise the Board of Management on key strategic financial and management matters including:
  - solvency of the College
  - cashflow
  - effectiveness and appropriateness of the utilisation of College resources
  - financial strategy, budgeting, financial monitoring and forecasts
  - banking arrangements and approval of bank signatories

- investments and borrowing
  - taxation
  - pension arrangements
  - approval of contracts between the values of £250,000 and £500,000
- d) To consider and recommend the College's annual financial statements and associated reports for approval to the Board of Management at a joint meeting with the Audit Committee.
- e) 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) and to provide the Board of management with assurance on these matters.
- f) To review College Financial Regulations on an annual basis, or more frequently if required and recommend these to the Board of Management for approval.

#### **Human Resources and Organisational Development**

- g) To have strategic responsibility for oversight of and compliance with employment, health and safety, data protection and freedom of information legislation, advising the Board of Management on the operation and implementation of effective and efficient policies and systems in the following areas, advising the Board of Management on these areas as required:
- equality, diversity and inclusion
  - learning and development
  - employee relations
  - health, safety and wellbeing
  - workforce planning
  - payroll
  - voluntary severance schemes
  - freedom of information and data protection

#### **Assets and Infrastructure**

- h) To consider and advise the Board of Management on key strategic infrastructure matters including:
- monitoring and review of the overall management and development of College property and information technology, ensuring that a comprehensive register of land, buildings and infrastructure assets is maintained and assurance is given to the Board of Management that the correct procedures are followed in respect of Exchequer funded assets.
  - maintenance of estate and information technology in an efficient and effective manner, in accordance with a planned maintenance programme which is consistent with approved strategy and associated financial projections.
  - the implementation and development of carbon management and sustainability plans to address Scottish Government climate change requirements and ensure awareness of local, national, and global environmental matters.
  - consideration and approval of information technology initiatives and innovations as required and the promotion of the effective and efficient use of IT services and assets.



### **Marketing and Communications**

- i) To consider and advise the Board of Management on key strategic matters relating to marketing and communications including:
  - the implementation, development and review of marketing and communication strategies
  - policies which enable the College to build its reputation.
- j) 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.
- k) Any other matters as required by the Board of Management.
- l) The Committee can request representatives of other organisations to attend meetings if/as required.

## **2. Membership**

### **Category**

The Principal and a minimum of four members of the Board of Management, one of whom will Chair.

One Staff member (non-teaching)

One Student member

The Committee is empowered to co-opt additional members, subject to approval by the Nominations Committee. Such members will normally be appointed for one year, will be subject to annual review, and may be re-appointed annually up to a maximum of 8 years.

### **In Attendance**

Vice Principal Operations

Secretary

### **Directors / Senior Management Team as Required**

Director of Finance

Director of Infrastructure

Director of Communications, Policy & Planning

Director Organisational Development & HR

Internal Auditor (Wylie Bisset)

External Auditor (Mazars)

The Chair and Vice Chair of the Committee will be members of the Board of Management.

Chair, Vice Chair, and members appointments to the Committee will be between 3 to a maximum of 5 years, providing systematic opportunities for Committee members to serve on another Committee.

Members of the Audit, Corporate Development and Learning and Teaching Quality Committees can request to attend other Committees' meetings as observers, providing opportunities to gain more understanding of the respective Committees' issues.

The Committee is empowered to co-opt additional members, subject to approval by the Nominations Committee. Such members will normally be appointed for one year, will be

subject to an annual review, and may be re-appointed annually for up to a maximum of 8 years.

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

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

### **3. Frequency of Meetings**

The Committee will meet at least four times per year.

### **4. Quorum**

A quorum will be no less than 50% of Board members on the Committee.

### **5. Secretariat**

The Secretary to the Board of Management.

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

## **West College Scotland**

### **Board of Management**

#### **Audit Committee**

#### **Statement of Purpose**

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

The role of the Audit Committee is to support the Board in its responsibilities of risk, control and governance by reviewing the comprehensiveness of assurances in meeting the assurance needs of the Board, and by reviewing the reliability and integrity of these assurances through a process of constructive challenge.

#### **1. Remit**

##### **.1 General**

- To provide advice to the Board on the strategic processes for risk, control and governance.
- To develop and review the assurance framework and receive reports relating to it in order to provide the necessary assurances to the Board or determine any further action or assurances required.
- 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).
- To advise the Board on the adequacy of the anti-fraud policy and processes, and on the whistle blowing process, and to receive an annual report on any matters raised through these processes.
- To consider and advise the Board accordingly on any arrangements for special investigations and the outcomes of such investigations.
- 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.
- To consider the College's Annual Financial Statements at a joint meeting with the Corporate Development Committee, and to recommend to the Board for approval.
- To provide an annual report to the Board, timed to support the finalisation of the accounts and the Statement on Internal Control, and summarising its conclusions from the work it has done during the year.
- To report to the Board after each meeting.
- To review its own effectiveness at least annually and to report the results of that review to the Board.

##### **.2 Internal Audit**

- To advise the Board on the selection, appointment or re-appointment and remuneration, or removal of the Internal Auditors. The responsibility for selection of

the Internal Auditor may be delegated to a Selection Committee as agreed by the Committee.

- To advise the Board on the terms of reference for the Internal Auditors.
- To review the scope, efficiency and effectiveness of the work of the Internal Auditors and to advise the Board on these matters.
- To agree the Internal Audit Plan and review the Internal Audit Annual Report.
- To review the Internal Audit reports, the management response to them and to review implementation of the actions required.
- To review the Rolling Audit Action Plan at each meeting.
- To encourage appropriate liaison and co-ordination between internal and external audit.
- To establish appropriate performance measures and indicators to monitor the effectiveness of the Internal Auditors.

### **.3 External Audit**

- To receive information on the general terms and conditions of appointment of the External Auditors who are engaged by Audit Scotland to provide audit services to the College.
- To consider the External Auditors report on the Financial Statements and the management letter prior to submission to the Board, and to review the implementation of the recommendations.
- To review the Statement of Corporate Governance prior to finalisation and incorporation into the Financial Statements.
- To review the External Audit strategy and plan.
- To establish appropriate performance measures and indicators to monitor the effectiveness of the External Auditors.
- To consider the objectives and scope of any non-statutory audit work to be undertaken by the External Auditors firm and advising the Board of any potential conflict of interests.

### **.4 Risk**

- To review the Risk Management Strategy and recommend to the Board for approval.
- To consider the Strategic Risk Register and to advise the Board accordingly.
- To consider matters of risk at each meeting and to satisfy itself that risks are being managed, including seeking assurances from internal and external audit on the adequacy of their management, and to report to the Board.

### **.5 Other**

- To receive annual reports on Freedom of Information and Data Protection Acts requests; Register of Interests; and Hospitality/Gifts Registers.
- To request any member of the College staff to attend and/or to provide a written report on any matter that falls within the remit of the committee.
- To procure ad-hoc specialist advice at the expense of the College as appropriate and when necessary, subject to budgets being agreed by the Board.

## **2. Membership**

### **Category**

A minimum of three Members of the Board of Management, one of whom will Chair. The Committee is empowered to co-opt additional members, subject to approval by the Nominations Committee. Such members will normally be appointed for one year, will be subject to annual review, and may be re-appointed annually up to a maximum of 8 years.

## In Attendance

Principal  
Vice Principal Operations  
Director of Finance  
Secretary  
Internal Auditor (Wylie Bisset)  
External Auditor (Mazars)

At least one member should have a background in finance, accounting, or auditing but membership should not be drawn exclusively from people with such a background.

The Committee will **not** include any of the following as members:

- The Principal or other senior post holders.
- The Chair of the Board of Management.
- Members of the Corporate Development Committee.
- Connected parties such as the employee, partner, spouse or family member of the College's solicitors, bankers, auditors, insurers, or other professional advisers.

Committee members may sit privately without any non-members present for all or part of a meeting if appropriate.

Audit Committee members will annually meet with the Internal and External Auditors without the Executive Management Team present.

External and Internal Auditors will have the right to unrestricted and confidential access to Chair of the Audit Committee.

The Chair and Vice Chair of the Committee will be members of the Board of Management.

Chair, Vice Chair, and members appointments to the Committee will be between 3 to a maximum of 5 years, providing systematic opportunities for Committee members to serve on another Committee.

Members of the Audit, Corporate Development and Learning and Teaching Quality Committees can request to attend other Committees' meetings as observers, providing opportunities to gain more understanding of the respective Committees' issues.

The Committee is empowered to co-opt additional members, subject to approval by the Nominations Committee. Such members will normally be appointed for one year, will be subject to an annual review and may be re-appointed annually for up to a maximum of 8 years.

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

### 3. Frequency of Meetings

The Committee will meet at least four times per year.

The Committee will also hold an annual joint meeting with the Corporate Development Committee to consider the Financial Statements and audit reports. Additional meetings will be convened as necessary.

#### **4. Quorum**

A quorum will be no less than 50% of Board members on the Committee.

#### **5. Secretariat**

The Secretary to the Board of Management.

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

## **West College Scotland**

### **Board of Management**

#### **Nominations Committee**

#### **Statement of Purpose**

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

The purpose of the Nominations Committee is to consider and make recommendations to the Board on Board appointments ensuring due process is followed, to consider matters of succession planning, and to consider processes in place for the induction, training and development of Board members.

#### **1. Remit**

- a. To manage the process for identifying individuals for nomination to membership of the Board of Management, using appropriate search and recruitment methods and following good practice, and to nominate such Board member appointments and extensions of appointments to the Board of Management, all in accordance with the guidance issued by the Scottish Ministers as amended or updated from time to time.
- b. To review and consider the composition and balance of the Board of Management in relation to equality of representation as well as particular skill sets.
- c. To make recommendations to the Board of Management regarding the appointment or reappointment of the Vice Chair of the Board of Management, the Senior Independent Member, as well as the Chairs and members, including co-opted members, of its standing committees.
- d. To develop and keep under review succession planning arrangements taking into account the challenges and opportunities facing the College and the impact these have on the skill and expertise required by the Board of Management.
- e. To develop and keep under review procedures for the induction, training, development and evaluation of Board members.
- f. To review the attendance of members of the Board of Management and its standing committees and to take follow up action as appropriate.
- g. 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

### Category

Chair of the Board of Management

The Vice Chair of the Board of Management

The Chairs of each of the standing Committees of the Board

A minimum of 1 member of the Board of Management

One Staff Member (The Staff members will serve for 2 years each (in succession), so that both the Teaching staff member and the Support staff member will have the opportunity to join this committee during their period of membership of the Board).

The Student President

### In Attendance

Secretary

The Chair and Vice Chair of the Committee will be members of the Board of Management with the Chair of the Board of Management being Chair of the Committee.

The Staff members will serve for 2 years each (in succession), so that both the Teaching staff member and the Support staff member will have the opportunity to join this committee during their period of membership of the Board.

The Principal will not be a member of, nor attend meetings of the Nominations Committee.

Vice Chair and members appointments to the Committee will be between 3 to a maximum of 5 years, providing systematic opportunities for Committee members to serve on another Committee.

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

## 3. Frequency of Meetings

The Committee will meet as required and should be at least annually.

## 4. Quorum

A quorum will be no less than 50% of Board members on the Committee.

## 5. Secretariat

The Secretary to the Board of Management.

Papers for the meeting will be sent out electronically 7 days in advance of the 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 by the Committee annually.



## West College Scotland

### Board of Management

### Remuneration Committee

#### Statement of Purpose

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

The purpose of the Remuneration Committee is to determine the remuneration and terms and conditions of the Principal, all other members of the Senior Management Team (SMT) including the College Executive and Heads, and the Secretary to the Board, and to ensure due process is followed.

#### 1. Remit

- a. The Committee will review and determine the remuneration and terms and conditions and, where appropriate, the severance conditions of the Principal, all other members of the Senior Management Team including the College Executive and Heads, and the Secretary to the Board, on behalf of the Board of Management.
- b. To assist the Committee to make salary awards it will receive performance appraisal reports on the Principal, all other members of the College Executive, and the Secretary to the Board.
- c. The Chair of the Board of Management will conduct the annual performance appraisal of the Principal and of the Secretary to the Board.

The annual performance appraisal of the College Executive will be consistent with the recommendations in the College's HR Policy.

#### 2. Membership

##### Category

The Chair of the Board of Management

The Vice Chair of the Board of Management

The Chairs of each of the standing Committees of the Board

**A minimum of 1** member of the Board of Management

##### In Attendance

Principal

Director of Organisational Development & HR

Secretary

The Chair and Vice Chair of the Committee will be members of the Board of Management. The Vice Chair of the Board of Management or the Chair of one of the standing Committees of the Board of Management will Chair the meetings. If the Chair is not available to chair the meeting, then the members of the Remuneration Committee will appoint a Chair from amongst those members present but the Chair of the Board of Management may not chair meetings of the Remuneration Committee.

Chair, Vice Chair, and members appointments to the Committee will be between 3 to a maximum of 5 years, providing systematic opportunities for Committee members to serve on another Committee.

The Principal will not be present when her / his salary, severance conditions or performance is being considered.

Other members of the Executive Management Team and the Secretary to the Board, will not be present when their salary, severance conditions or performance is being considered.

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

### **3. Frequency of Meetings**

The Committee will meet twice per year.

### **4. Quorum**

A quorum will be no less than 50% of Board members on the Committee.

### **5. Secretariat**

Secretary to the Board of Management.

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

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

### **6. Review**

The remit will be subject to review annually.

## Board and Committee Membership Breakdown

### Board Composition (Para 2.1 of the Articles of Governance)

**Meetings – at least 4 per annum (Remaining Meetings for 2020 / 21 – Monday 22 March and Monday 14 June)**

Category	Name
A person appointed by the Scottish Ministers to chair meetings of the Board.	Dr Waiyin Hatton
The Principal of the College.	Liz Connolly
2 members of staff: 1 elected by the teaching staff from among their own number; and 1 elected by the support staff from among their own number.	Teaching - David Watson Non-Teaching - Steven Cairney
2 students nominated by the Students Association	Vanessa Thompson Stefana Margarint
Up to 12 non-executive members.	Sabira Akram Nick Allan Graeme Bold Jim Hannigan Jacqueline Henry ( <b>Vice Chair</b> ) Gordon Hunt Linda Johnston ( <b>Senior Ind Member</b> ) John Leburn ( <b>Board representative on the WCS Foundation</b> ) Grant Lyall Fiona McKerrell Mark Newlands Angela Wilson

In Attendance	Name
Vice Principal Operations	David Alexander
Vice Principal Educational Leadership	Stephanie Graham
Secretary	Shirley Gordon

Directors / Senior Management Team as Required	Name
Director of Finance	Alan Ritchie
Director Organisational Development & HR	Natalie Smith
Director of Infrastructure	Martin Joyce

<b>Quorum</b>	<b>A quorum will be no less than 50% of Board members.</b>
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**Audit Composition (Para 2 of the Remit)**  
**Meetings – 4 per annum plus 1 Joint Audit / CDC (Remaining Meetings for 2020 / 21 – Thursday 11 March and Thursday 20 May)**

Category	Name
<b>A minimum of three</b> Members of the Board of Management, one of whom will Chair.	Sabira Akram ( <b>Vice Chair</b> ) Graeme Bold ( <b>Chair</b> ) Grant Lyall
The Committee is empowered to co-opt additional members, subject to approval by the Nominations Committee. Such members will normally be appointed for one year, will be subject to annual review, and may be re-appointed annually up to a maximum of 8 years.	Wai Wong

In Attendance	Name
Principal	Liz Connolly
Vice Principal Operations	David Alexander
Director of Finance	Alan Ritchie
Secretary	Shirley Gordon
Internal Auditor (Wylie Bisset)	Graham Gillespie Stephen Pringle
External Auditor (Mazars)	Lucy Nutley Joanne Buchanan

<b>Quorum</b>	<b>A quorum will be no less than 50% of Board members on the Committee</b>
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Chair, Vice Chair and members appointments to the Committee will be between 3 to a maximum of 5 years, providing systematic opportunities for Committee members to serve on another Committee.

Members of the Audit, Corporate Development and Learning and Teaching Quality Committees can request to attend other Committees' meetings as observers, providing opportunities to gain more understanding of the respective Committees' issues.

**Corporate Development Committee Composition (Para 2 of the Remit)**  
**Meetings – 4 per annum plus 1 Joint Audit / CDC (Remaining Meetings for 2020 / 21 – Tuesday 9 March and Tuesday 1 June)**

Category	Name
The Principal and <b>a minimum of four</b> members of the Board of Management, one of whom will Chair.	Nick Allan ( <b>Vice Chair</b> ) Liz Connolly, Principal Jim Hannigan ( <b>Chair</b> ) Linda Johnston John Leburn Angela Wilson
One Staff member (non-teaching)	Steven Cairney - Support Staff
One Student member	Stefana Margarint
The Committee is empowered to co-opt additional members, subject to approval by the Nominations Committee. Such members will normally be appointed for one year, will be subject to annual review, and may be re-appointed annually up to a maximum of 8 years.	David Mark

In Attendance	Name
Vice Principal Operations	David Alexander
Secretary	Shirley Gordon

Directors / Senior Management Team as Required	Name
Director of Finance	Alan Ritchie
Director of Infrastructure	Martin Joyce
Director of Communications, Policy & Planning	
Director Organisational Development & HR	Natalie Smith
Internal Auditor (Wylie Bisset)	Graham Gillespie Stephen Pringle
External Auditor (Mazars)	Lucy Nutley Joanne Buchanan

<b>Quorum</b>	<b>A quorum will be no less than 50% of Board members on the Committee.</b>
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Chair, Vice Chair and members appointments to the Committee will be between 3 to a maximum of 5 years, providing systematic opportunities for Committee members to serve on another Committee.

Members of the Audit, Corporate Development and Learning and Teaching Quality Committees can request to attend other Committees' meetings as observers, providing opportunities to gain more understanding of the respective Committees' issues.

**LTQ Composition (Para 2 of the Remit)**

**Meetings – 4 per annum (Remaining Meetings for 2020 / 21 – Wednesday 24 February and Wednesday 19 May)**

Category	Name
The Principal and <b>a minimum of four</b> members of the Board of Management, one of whom will Chair.	Liz Connolly – Principal Gordon Hunt Jackie Henry ( <b>Chair</b> ) Fiona McKerrell Mark Newlands ( <b>Vice Chair</b> )
One Staff member (teaching)	David Watson - Teaching Staff
One Student member	Vanessa Thompson - Student President
The Committee is empowered to co-opt additional members, subject to approval by the Nominations Committee. Such members will normally be appointed for one year, will be subject to annual review, and may be re-appointed annually up to a maximum of 8 years.	Ruth Binks Mark Hamilton

In Attendance	Name
Vice Principal Educational Leadership	Stephanie Graham
Secretary	Shirley Gordon

Directors / Senior Management Team as Required	Name
Assistant Principal, Performance and Skills	Cathy MacNab
Assistant Principal, Student Life and Skills	Iain Forster-Smith
Assistant Principal Creativity and Skills	Angela Pignatelli
Assistant Principal Technology and Skills	Rob Aitken
Assistant Principal Enterprise and Skills	Sara Rae

<b>Quorum</b>	<b>A quorum will be no less than 50% of Board members on the Committee.</b>
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Chair, Vice Chair and members appointments to the Committee will be between 3 to a maximum of 5 years, providing systematic opportunities for Committee members to serve on another Committee.

Members of the Audit, Corporate Development and Learning and Teaching Quality Committees can request to attend other Committees' meetings as observers, providing opportunities to gain more understanding of the respective Committees' issues.

**Remuneration Composition (Para 2 of the Remit)**  
**Meetings – 2 per annum (Remaining Meetings for 2020 / 21 – None left to be scheduled)**

<b>Category</b>	<b>Name</b>
The Chair of the Board of Management	Dr Waiyin Hatton
The Vice Chair of the Board of Management	Jacqueline Henry ( <b>Vice Chair</b> )
The Chairs of each of the standing Committees of the Board	LTQ Chair - Jacqueline Henry Audit Chair – Graeme Bold CD Chair – Jim Hannigan ( <b>Chair</b> ) Nominations Chair – Dr Waiyin Hatton
<b>A minimum of 1</b> member of the Board of Management	Angela Wilson

<b>In Attendance</b>	<b>Name</b>
Principal	Liz Connolly
Director of Organisational Development & HR	Natalie Smith
Secretary	Shirley Gordon

<b>Quorum</b>	<b>A quorum will be no less than 50% of Board members on the Committee.</b>
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**Nominations Composition (Para 2 of the Remit)**

**Meetings – 1 per annum (Remaining Meetings for 2020 / 21 – one meeting – date TBC)**

<b>Category</b>	<b>Name</b>
Chair of the Board of Management	Dr Waiyin Hatton ( <b>Chair</b> )
The Vice Chair of the Board of Management	Jacqueline Henry
The Chairs of each of the standing Committees of the Board	LTQ Chair - Jacqueline Henry ( <b>Vice Chair</b> ) Audit Chair – Graeme Bold CDC Chair – Jim Hannigan Remuneration – Jim Hannigan
<b>A minimum of 1</b> member of the Board of Management	Linda Johnston
One Staff Member (The Staff members will serve for 2 years each (in succession), so that both the Teaching staff member and the Support staff member will have the opportunity to join this committee during their period of membership of the Board).	David Watson (1.04.18 – 31.03.20) Steven Cairney (1.04.20 – 31.03.22)
The Student President	Vanessa Thompson

<b>In Attendance</b>	<b>Name</b>
Secretary	Shirley Gordon

<b>Quorum</b>	<b>A quorum will be no less than 50% of Board members on the Committee.</b>
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## 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
<b>BOARD</b> (at least 4) Mondays at 4.00 p.m.		5		14		1	22			14
<b>Audit</b> (at least 4) Thursdays at 4.00 p.m.	3			3			11		20	
<b>Joint Audit &amp; Finance</b>			24							
<b>CD</b> (will meet four times) Tuesdays at 4.00 p.m.							9			1
<b>LTQ</b> (at least 3 times) Wednesdays at 4.00 p.m.			11			24			19	
<b>Remuneration</b> (twice per year) Note (2)		5				1		27		
<b>Nominations</b> (at least annually)									11	

### 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.

**TITLE: 2021 BOARD INTERNAL EFFECTIVENESS REVIEW AND DEVELOPMENT ACTION PLAN 2021 - UPDATE**

**Background:** Following approval of the proposals, at the Board meeting held on 1 February 2021 (Chair's Report - Paper 8.3), to conduct the Board Internal Effectiveness Review and update its Development Action Plan for 2021 the Board agreed to:

- **Conduct a survey similar to the one in 2018 and 2019** – a link to this Survey Monkey questionnaire was circulated to all Board members on 1 March 2021 and was live until 19 March 2021. Thanks to those Board members who completed the survey. The results from the survey, together with the outputs from the Chair and Board members 1:1 discussions in 2020, will be used to inform the 2021 Board of Management Development Action Plan.
- **Circulate the planned timescales for the analysis of the survey results which would ultimately see the Board Internal Effectiveness Review and its Development Action Plan for 2021 being presented for approval to the Board at its meeting in June 2021** – the planned timescales were duly circulated by the Secretary to all Board members by email on 2 February 2021.
- **A Session for the Board being held to discuss the results and analysis report and formulation of a finalised 2021 Board of Management Development Action Plan** – a session has been confirmed for Monday 26 April 2021 (2 till 4pm)

**Action:** The Board is asked to note the update on its Board Internal Effectiveness Review and Development Action Plan for 2021.

**Lead:** Waiyin Hatton, Chair of the Board of Management.  
Shirley Gordon, Secretary to the Board of Management.

**Status:** Open

**TITLE: PROPOSED DATES OF MEETINGS IN SESSION 2021/2022**

**Background:** Consideration has been given to the proposed dates of Board meetings for session 2021/22 and these have been agreed with the Chair.

It is proposed that the Board continue to schedule 5 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 2021/22 are therefore:

Monday 4 October 2021  
Monday 13 December 2021  
Monday 7 February 2022  
Monday 21 March 2022  
Monday 13 June 2022

Once approved, consideration will be given to the dates of the various Committee meetings to be scheduled for session 2021/22.

**Action:** The Board is asked to approve the proposed dates of its meetings in session 2021/22.

**Lead:** Waiyin Hatton, Chair of the Board of Management.  
Shirley Gordon, Secretary to the Board of Management.

**Status:** Open

**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:

- A revised Risk Management Strategy
- an updated on the development of the College Risk Management Strategy
- presents the current College Strategic Risk Register for the consideration of the Board of Management

**Action:** The Board of Management is requested to:

- approve the revised Risk Management Strategy
- note the update on the development of the College Risk Management Framework
- review and approve the Strategic Risk Register and in doing so consider:
  - The risks included in the register
  - The revised risk rating both pre and post mitigation
  - Whether any other risks should be considered for removal
  - Whether any new risks should be considered for inclusion

**Lead:** David Alexander, Vice Principal Operations

**Status:** Open

## 1. Risk Management Strategy

- 1.1 The Risk Management Strategy details and communicates the College's approach to risk management and assurance. It is an integral part of the College's internal control and corporate governance arrangements. The Risk Management Strategy was approved in December 2020 and is updated annually to reflect required changes.
- 1.2 The December 2020 Risk Management Strategy has subsequently been updated to reflect:
- an expansion of the Risk Mitigation Measures (section 4.33) to:
    - align the specific statement within the College Financial Regulations that '*The Board of Management requires that the Risk Management Strategy and supporting documentation include: a decision on the level of risk to be covered by insurance*'
    - provide readers of the Strategy with a more expansive narrative regarding the use of these mitigation measures
  - The change in the composition of the Board Committee structure (section 4.39)
- 1.3 The 9 March 2021 Audit Committee approved the updated Risk Management Strategy for presentation to the Board of Management and it is attached at *Appendix A* for consideration.

## 2. Development of the College Risk Management Framework

- 2.1 The Strategic Risk Register has now been fully migrated to the Pentana Management System with all members of the Senior Management Team (SMT) having access to the online register. Each risk has been assigned to a member of the Executive who is responsible for maintaining the overall risk. All the mitigating controls have been assigned to a member of the SMT, who are responsible for maintaining the control and ensuring it is operating as intended.

### **Operational Planning and Risk**

- 2.2 The College has launched its Operational Planning cycle for 2021 and beyond, and as part of that work, risk will play a key role. The Sectors/Departments will be required to identify if any of their planned activities are likely to either impact upon the current strategic risks or if the activities are likely to create a new strategic risk. The SMT will consider the output from the Operational Plans during the summer of 2021 and make any required amendments to the Strategic Risk Register for the start of 2021-22 academic year.
- 2.3 In addition, the Sectors/Departments will be requested to identify where their planned activities could be considered as a mitigating control to any of the Strategic Risk currently faced by the College.

### **Internal Audit Recommendation**

- 2.4 As part of the work they carried out in 2019-20 on Assurance Mapping, the College internal auditors recommended that *'The College consider including a section on its risk register relating to actions to improve/mitigate the risk further. We also recommend that the College considers, as a longer-term goal, including a target status for the risk.'*
- 2.5 The SMT and Audit Committee have previously considered this recommendation and agreed to proceed as follows:
- a) While responsibility for the management and mitigation of an overall risk remains with a member of the College Executive, mitigating controls have been assigned to a member of the SMT and it is for that member to ensure that the control is updated and operating as required. The SMT review these on a quarterly basis, in advance of the Committee cycle, and consider the operation of the allocated controls. Should any actions be required these will be undertaken by the relevant member of the SMT.
  - b) Regarding the setting of a target status for the risk, it was agreed that the current control and review processes that are in place are sufficient to ensure a robust risk management process. The setting of target risk may be considered in future.

### **3. College Strategic Risk Register Update and Considerations**

- 3.1 The College Strategic Risk Register was approved at the December 2020 Board of Management meeting. A copy of the current register is attached at *Appendix B*.
- 3.2 The SMT has continued to review the Strategic Risk Register.
- 3.3 In carrying out the review process, the following removals, additions and amendments have been made to the Strategic Risk Register:

#### **3.3.1 Removal of Risks**

- **Brexit (WCS11) – previous risk register ranking (5)**

*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.*

On reviewing the Strategic Risk Register the SMT were of the view that this risk related to the impending Brexit timeline, which has now passed. The view is that any impacts post 1 January 2021 will now form part of the normal operations of the College and be managed in that way. As such the mitigating controls have been transferred in the main to (1) SFC Funding and Funding Methodology and (5) Alternative Income Growth, with the overall risk of Brexit impacts now being removed from the register.

- **General Data Protection Regulations – previous risk register ranking (13)**

*Inability to ensure a holistic response to data and information governance, including compliance with the General Data Protection Regulations (GDPR).*

On reviewing the Strategic Risk Register the SMT were of the view that the College has a successful track record of dealing with data requests and compliance matters. The GDPR Working Group has had ongoing oversight of the College data management governance arrangements and it has no issues to report. The operation of responding to information requests is now a core part of the College business. Based on these factors the SMT considers that this risk should be removed from the register.

### 3.3.2 New Risks

- **Risk 10 - Cyber Resilience (WCS15)**

*The College fails to properly prepare for either an internal or external cyber-attack due to poor procedures or system failures resulting in a loss of data, funding and/or stakeholder trust.*

Gross Risk Score	15	Impact 3 x Probability 5
Net Risk Score	12	Impact 3 x Probability 4

The recent cyber-attack on the College highlighted the ongoing and increasing risk threat faced by the College to its operations. The SMT believe this risk should be recorded separately whereby previously it was encapsulated within the 'Business Continuity / Cyber Resilience Planning (WCS07)' risk.

The College has included the current mitigating actions which are being undertaken to address this risk including the renewal of the Cyber Essentials Plus accreditation along with the work being carried out following the recent cyber-attack. The gross risk score of 15 places the risk at the top of the medium risk faced by the College, the work being undertaken to mitigate the probability of a future attack is believed to reduce the net score to 12.



### 3.3.3 Amendment to Risks

- **Risk 03 - Estates and IT Investment (WCS02)**

- a) **Previous Risk Register Entry**

- (04) Estates maintenance / capital funding (WCS02)**

- Failure to secure adequate estates maintenance / capital funding for future investment or refurbishment of IT and physical infrastructure.*

- Gross Risk Score 20
    - Net Risk Score 16

- b) **Revised Risk Register Entry**

- (03) Estates maintenance / capital funding (WCS02)**

- Failure to secure adequate estates maintenance / capital funding for future investment or refurbishment of IT and physical infrastructure resulting in increased maintenance costs or loss of students due to failing facilities.*

- Gross Risk Score 20 Impact 4 x Probability 5
    - Net Risk Score 16 Impact 4 x Probability 4

- The risk description has been revised to include the impact of an increase in maintenance costs (both estate and IT related) and the potential loss of students due to poor facilities. This point was highlighted in the Financial Statements Annual Audit Report. The mitigating actions have been updated to reflect the actions being taken by the College to address this overall risk.

- **Risk 04 - Impact upon Business Continuity Planning of Covid-19 pandemic (WCS07)**

- a) **Previous Risk Register Entry**

- (01) Business Continuity / Cyber Resilience Planning (WCS07)**

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

- Gross Risk Score 24
    - Net Risk Score 24

**b) Revised Risk Register Entry**

**(04) Impact upon Business Continuity Planning of Covid-19 pandemic (WCS07)**

*A material interruption to the service delivery of the College caused by inadequate business continuity planning, resulting in failure to delivery learning and teaching and achievement of required funding outcomes.*

Gross Risk Score	24	Impact 4 x Probability 6
Net Risk Score	15	Impact 3 x Probability 5

The previous Strategic Risk Register had as the top risk faced by the College ‘*Business Continuity / Cyber Resilience Planning*’. However, due to the continuing and potentially long-lasting impact of the Covid-19 pandemic on the operations of the College, the SMT felt that the impact of the pandemic further impacting the College warranted the risk to be included.

The mitigation actions have been updated to reflect the work undertaken by staff across the College to ensure that core learning and teaching continues to be effectively delivered despite the impacts of Covid-19. As the College has now been operating effectively for a year it was felt that the mitigating actions have worked as planned, and the probability and impact of future challenges should be reduced.

• **Risk 05 - Alternative Income Growth (WCS11)**

**a) Previous Risk Register Entry**

**(11) Alternative Income Growth (WCS11)**

*Ability to generate consistent levels of alternative income or to grow alternative income streams*

Gross Risk Score	12
Net Risk Score	9

**b) Revised Risk Register Entry**

**(05) Alternative Income Growth (WCS11)**

*An inability to generate consistent levels of alternative income or to grow alternative income streams due to impact of external factors impacting College delivery plans results in loss of income and failure to deliver College ROA objectives.*

Gross Risk Score	24	Impact 4 x Probability 6
Net Risk Score	15	Impact 3 x Probability 5

The ability of the College to generate consistent levels of alternative income is core to the delivery of the College adjusted operating surplus each year. With the ongoing and recurring impact of the global pandemic affecting both domestic and international funding streams, the SMT have therefore revised the gross risk score to the highest score available highlighting the critical nature of this risk.

The mitigating controls have been updated to reflect the work being undertaken by the College to address this risk.

- **Risk 8 - Digital Ambitions and IT Systems (WCS06)**

- a) **Previous Risk Register Entry**

- (08) IT Systems and Infrastructure (WCS06)**

- Failure to maintain or acquire and use IT systems and infrastructure to support the digital ambitions of the College.*

- b) **Revised Risk Register Entry**

- (08) Digital Ambitions and IT Systems (WCS06)**

- Failure to adequately maintain or acquire and use IT systems and infrastructure effectively results in a failure to deliver / support the digital ambitions of the College.*

The risk wording has been updated to include the word *adequately*. The gross and net risk scores have not been changed.

- **Risk 13 - Estates Investment Works (WCS14)**

*Normal business activities are unduly affected due to the complexity of sequencing estates investment works.*

Gross Risk Score	8	Impact 4 x Probability 2
Net Risk Score	4	Impact 2 x Probability 2

The SMT have reviewed the net risk score of this risk and have reduced it from 6 to 4. Given the reducing level of estate maintenance funding and the past position of the Estates Team in delivering estate works without unduly affecting normal College operations, the reduction in the impact score from 3 to 2 was acceptable.

- **Overall Mitigating Controls**

The mitigating controls across all risks have been reviewed by the responsible member of the Senior Management Team and where appropriate the controls have been updated or removed.

#### **4 Conclusion**

4.1 The Board of Management is requested to:

- approve the revised Risk Management Strategy
- note the update on the development of the College Risk Management Framework
- review the Strategic Risk Register and in doing so consider:
  - The risks included in the register
  - The revised risk rating both pre and post mitigation
  - Whether any other risks should be considered for removal
  - Whether any new risks should be considered for inclusion

<b>Policy &amp; Procedure</b>	Risk Management Strategy
<b>Policy Area</b>	Finance
<b>Version Number</b>	03. <u>1</u>
<b>Approved by</b>	Board of Management
<b>Date of Approval</b>	<del>December 2020</del> <u>March 2021</u>
<b>Date of Equality Impact Assessment</b>	December 2020
<b>Date of Review</b>	<del>December 2021</del> <u>March 2022</u>
<b>Responsible Senior Manager</b>	Director of Finance

## History of Amendments

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 Strategy for approval
V2.0	04-12-17	A Ritchie	Strategy document review
V3.0	24-11-20	A Ritchie	Updated following Board of Management approval of risk appetite levels; style updated, and content amended to reflect current operations
V3.0	14-12-20	A Ritchie	<del>Approved by</del> <del>To be presented to</del> the Board of Management <del>for approval</del>
<u>V3.1</u>	<u>11-03-21</u>	<u>A Ritchie</u>	<u>Amended for new committee names</u>

### Policy Statement

The College Risk Management Strategy is to apply best practice in the identification, evaluation, and cost-effective control of risk to ensure that risks are managed, eliminated or reduced to an acceptable level. The strategy support opportunity risk and do not look to inhibit innovation but to deliver change in a well-managed and controlled way. The College recognises that it has a responsibility to manage hazards and risks and this strategy supports a structured and focused approach to managing them. In this way the College will better achieve its corporate objectives and enhance the value of services it provides to the community.

It is acknowledged that some risks will always exist and will never be eliminated. All employees must consider risk and accept responsibility for risks associated with their area of authority.

### Equality Statement

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

Please note this document is available in other formats, to request another format please email [info@wcs.ac.uk](mailto:info@wcs.ac.uk)

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## 1. Introduction from Chair of Board of Management and the Principal

1.1 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 Financial Memorandum 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.

1.2 The College is also required to comply with the requirements of the Scottish Public Finance Manual (SPFM). The SPFM requires that the College must *'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.'*

1.3 This Risk Management Strategy has therefore been written taking account of the requirements of both the Financial Memorandum with the SFC and Scottish Public Finance Manual.

1.4 In addition to the above requirements the internal auditor must produce an Annual Report to the Board of Management 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. This Strategy therefore forms a key



component in allowing the internal auditors to be able to report without qualification that the College is complying with these requirements.

1.5 The Risk Management Strategy is a key document in ensuring that the four Strategic Priorities of Personalisation, Collaboration, Agile and Adaptive and Digital contained within the College Strategy 2019-205 are delivered. The Risk Management Strategy aims to ensure that the College community is aware of the level of risk that the organisation is willing to accept; that some risks will always exist and will never be eliminated, however mitigation can be put in place to minimise their impacts.

1.6 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 its four strategic priorities and enhance the value of services it provides to the wider community.

1.7 The approach of the Risk Management 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 Risk Management Strategy aims to ensure that the Strategic Risk Register will be informed by the College Operational Planning process and from all Board of Management Committees with the objective of being outward facing and strategically focused.

1.8 The College's Risk Management Strategy objectives are to:

- Integrate risk management into the culture of the College;
- Manage risk in accordance with best practice;
- Anticipate and respond to changing requirements;
- Prevent injury, damage, losses and reduce the cost of risk; and

- Raise awareness of the need for risk management by all those connected with delivering the College's Strategic Priorities.

1.9 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.

1.10 The Risk Management Strategy aligns with the Regional Outcome Agreement (ROA) and will be reviewed and presented to the Board of Management every three years for approval.

1.11 The Board of Management and Senior Management Team are fully committed to the principles of risk management and the approach outlined within this Strategy.

Approved by:

**Dr Waiyin Hatton**

**Chair of the Board of Management**

**Liz Connolly**

**Principal**

## 2. Risk Management Overview

### Purpose

2.1 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.

### Objectives

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

- To undertake a review every three years 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;
- To develop operational planning guidance on risk identification and its translation into strategic risk where appropriate;
- To monitor and report on risk management arrangements to the Board of Management Audit Committee;
- To continue to integrate risk management into the culture of the College and to raise awareness of the need to manage risk effectively throughout the College; and

- To comply with corporate governance requirements and integrate effective processes to allow the Board of Management to approve the annual Accountability Report including the section on Risk Management and Internal Controls.

## Definitions

2.3 The following represents the meaning of terminology that is used throughout the Strategy document:

- **Risk Management:** The coordinated activities, systems and processes in place to direct and control the College regarding the management of risk.
- **Risk:** The potential ‘effect of uncertainty on objectives’, where an effect is a deviation from an intended or expected outcome. A risk will be considered as either a threat (negative) to the College’s ability to achieve any given objective or as uncertainty resulting from an opportunity (positive) which offers potential benefits to the institution.
- **Issue:** A certain event which is known and will impact upon the achievement of the College’s Priorities and Objectives.
- **Risk Appetite:** 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.
- **Risk Owner:** this is the person, persons or entity in authority who is accountable for the effective management of a risk.

## Roles and Responsibilities

2.4 To be effective, the risk process is recognised as the responsibility of the Board of Management and of all members of staff and will integrate with College operating requirements.

Owner	Role
<p><b><u>Board of Management</u></b></p> <ul style="list-style-type: none"> <li>• <i>Has a fundamental role to play in the management of risk</i></li> </ul>	<ul style="list-style-type: none"> <li>• Provide authority and responsibility for the establishment, maintenance, support and evaluation of the Risk Management Strategy</li> <li>• Set the tone and promote a positive risk culture within the College</li> <li>• Delegate the overall implementation of risk management to the SMT</li> <li>• Have knowledge of the significant risks facing the College</li> </ul>
<p><b><u>Audit Committee</u></b></p> <ul style="list-style-type: none"> <li>• <i>Has a fundamental role to play in the review and management of risk</i></li> </ul>	<ul style="list-style-type: none"> <li>• To ensure compliance with corporate governance requirements</li> <li>• To review the Strategic Risk Register and approve for presentation to the Board</li> <li>• To review internal processes and systems and work closely with internal and external auditors to obtain reports on these</li> </ul>
<p><b><u>Senior Management Team</u></b></p> <ul style="list-style-type: none"> <li>• <i>Support and implement policies approved by the Board of Management.</i></li> <li>• <i>The Senior Management Team consists of the Principal, Vice Principals, Assistant Principals and Directors.</i></li> </ul>	<ul style="list-style-type: none"> <li>• Implementation of Risk Management Strategy</li> <li>• Overall co-ordination of risk management</li> <li>• Promotion of a holistic approach to risk management</li> <li>• To review the probability and impact assessments of risks on a regular basis</li> <li>• Ensure appropriate levels of awareness throughout the College</li> </ul>
<p><b><u>College Management Team</u></b></p> <ul style="list-style-type: none"> <li>• <i>Encouraging and embedding good risk management practice</i></li> </ul>	<ul style="list-style-type: none"> <li>• Co-ordinating and ensuring that the operational objectives are implemented in line with the Risk Management Strategy</li> </ul>

Owner	Role
<p><i>within their area of activity.</i></p> <ul style="list-style-type: none"> <li><i>The College Management Team consists of all those managers who are directly line managed by SMT.</i></li> </ul>	<ul style="list-style-type: none"> <li>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</li> <li>Report any new risks identified or failures of existing control measures to SMT</li> <li>Report on current 'active' risks highlighting mitigating actions and effect towards risk reduction</li> </ul>
<p><b><u>College Staff</u></b></p> <ul style="list-style-type: none"> <li><i>Encouraging and embedding good risk management practice within their area of activity</i></li> </ul>	<ul style="list-style-type: none"> <li>Understand their accountability for individual risks</li> <li>Understand how they can enable continuous improvement of risk management and risk awareness</li> <li>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</li> </ul>
<p><b><u>Internal/External Audit</u></b></p> <ul style="list-style-type: none"> <li><i>Ensuring the effectiveness of organisational and financial control systems, including monitoring performance against quality assurance standards.</i></li> </ul>	<ul style="list-style-type: none"> <li>To review risks and limitations of existing control measures</li> <li>To review the adequacy of internal control systems designed to minimise risk</li> <li>To make appropriate recommendations following on from any internal / external audit reports to the SMT, which will effectively improve systems of control</li> </ul>

## Partnership and Projects

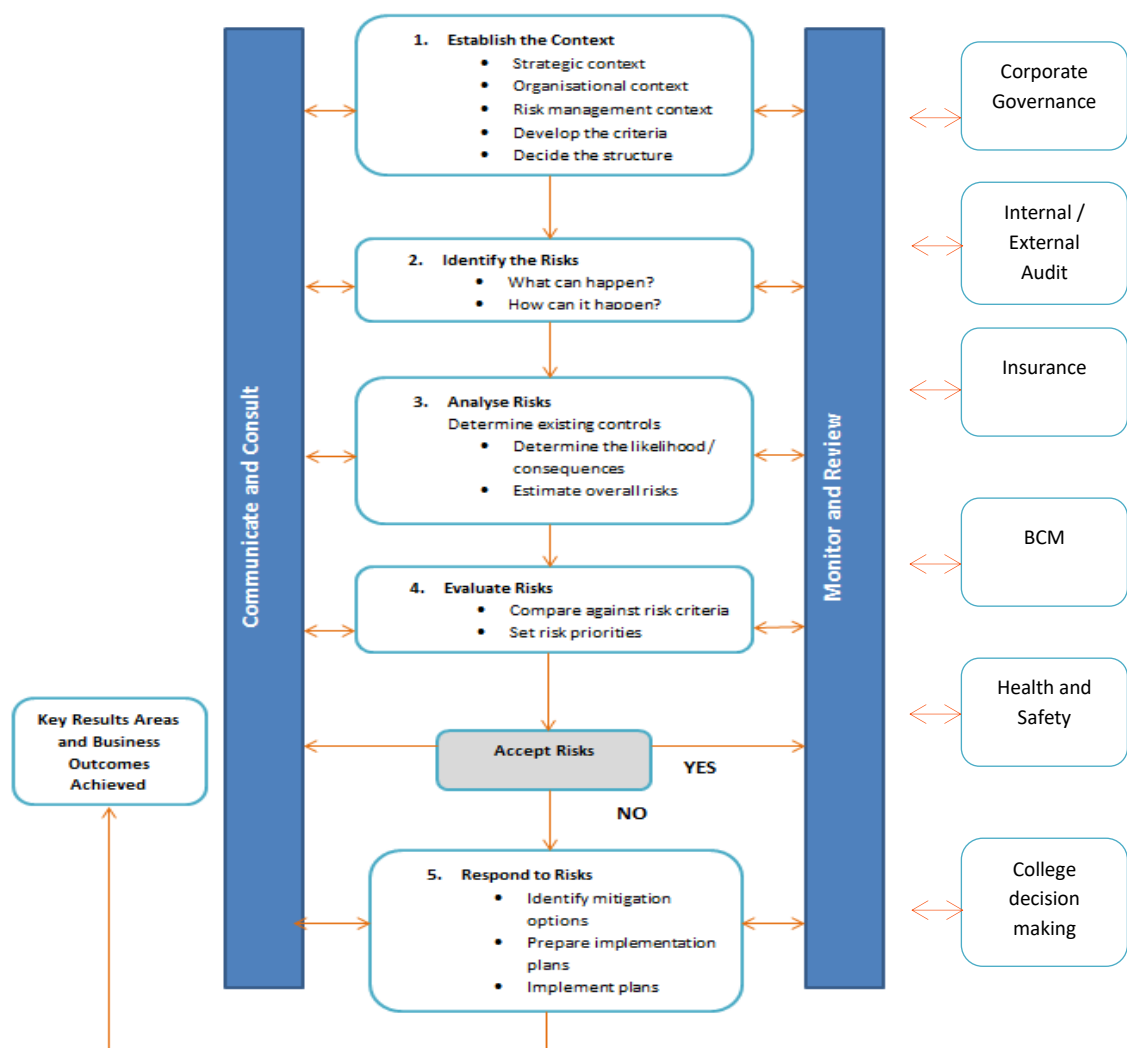
2.5 For the College, it is important to ensure partnerships and projects are considered in a Risk Management context, as well as core services. Where the College is involved in strategic projects and partnerships, it will look to develop joint risk management practices with relevant partners as required.

### 3. Risk Management Framework

3.1 The overall responsibility for ensuring the College has effective risk management framework is with the Board of Management but this is implemented and co-ordinated by the College Senior Management Team (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 plays a key role in scrutinising the mitigations and controls implemented by the College.

Figure 1 below summarises the overall College risk management framework:

**Figure 1 - Risk Management Framework**



## **Code of Corporate Governance**

3.2 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 the College strategic priorities and can only provide reasonable and not absolute assurance against material misstatement or loss.

3.3 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.

## **Internal / External Audit**

3.4 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 on the Strategic Risk Register to inform their annual audit plan.

3.5 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.

## **Insurance**

3.6 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.



## **Business Continuity Management (BCM)**

3.7 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.

## **Health and Safety**

3.8 There are clear and well-established links between the 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.

3.9 The College will use the guidance in Managing for Health and Safety at Work (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.

3.10 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 arrangements.

## **Risk Implications – Decision Making Process**

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

3.12 The nature, impact and probability of these risks will vary depending on a wide range of circumstances or potential outcomes.

## 4. Risk Management Process and Approach

4.1 Risk management is a cyclical process – new risks emerging while old risks become obsolete – and is based upon the following basic workflow:

- a) Identification of Risks
- b) Risk Assessment and Evaluation
- c) Plan Mitigations
- d) Monitor and Control

4.2 The following sections explain in detail what each of the above steps require the College to undertake.

### Identification of Risks

4.3 The first step in the risk management process is risk identification. The process of risk identification will vary depending on context and the level at which risks are being assessed. For example, at organisational level, strategic risks should correlate with the key college objectives linked to the College Strategy 2019-2025 and should therefore be identified as part of the College planning process, which is cyclical. Similarly, at departmental level, risks should align with the key objectives set out in Operational Plans and should therefore be identified early as part of the planning process. Within a project setting, key risks should be identified at the start of the project lifecycle, during the project initiation/planning phase.

4.4 A variety of methods can be used for identifying risks. For example, sessions or workshops involving key stakeholders are common approaches. At project level, risk identification may be carried out using standardised checklists which identify risks commonly associated with project-based work, or by benchmarking against similar projects undertaken in the past.

4.5 The risk management process is cyclical and therefore risk identification is not a one-off exercise; it is a continuous process which is necessary to identify new risks that had not previously arisen, but which might affect the College's ability to achieve its objectives in the area under consideration.

### **Recording the Identified Risks**

4.6 All identified risks will be recorded in the Strategic Risk Register using the College's standardised risk register template (Appendix 2). Within the Strategic Risk Register there are several fields to populate.

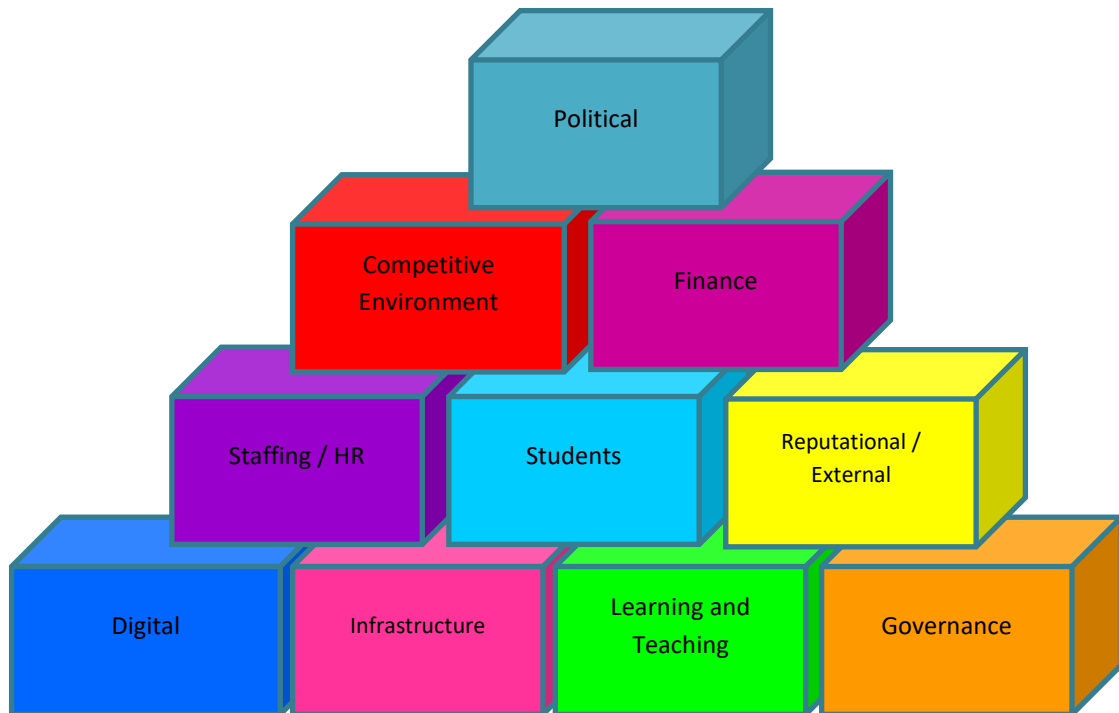
4.7 Each risk should have:

- a) A risk number and a title which should be concise but contain enough information to distinguish it from the others.
- b) A risk description containing 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>.

- c) A list of which of the College Strategic Objectives is impacted by the identified risk.
- d) A specific risk category. The College classifies each risk according to one of ten categories as noted in figure 2 and Appendix 2 contains a full definition of each category.

**Figure 2 – Risk Categories**



Ideally, each risk will be allocated to only one category, according to its main criteria. For example, a risk associated with carbon management might be Governance or Infrastructure depending on the College's stated priority.

- e) An indication of the proximity of the risk occurring ranging from immediate through to medium or long term.
- f) A risk owner who 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.

4.8 The risk category is linked to the risk appetite that the College is willing to be exposed to and the methodology for arriving at the risk appetite is explained below.

4.9 The information collected and recorded within the Strategic Risk Register to this point should enable initial assessment and scoring of the risk.

### **Risk Assessment and Evaluation**

4.10 Risk assessment and evaluation takes account of various key components.

## Risk Appetite

4.11 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.

4.12 The College accepts that it must take risks, to some extent, in order to achieve its Priorities and to realise expected benefits. The College is committed to ensuring that all risks taken will be proactively controlled and exposure will be kept to an acceptable level. The College acknowledges that the level of exposure carried by different activities will vary and its 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.

4.13 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 these might endanger the College's ongoing viability, its ability to achieve its key strategic priorities or its ability to meet its regulatory and/or legal obligations.

4.14 The College defines Risk Appetite based on the following categories:

<b>Classification</b>	<b>Description</b>
<b>AVERSE</b>	Avoidance of risk and uncertainty is a key organisational objective.
<b>MINIMALIST</b>	Preference for ultra-safe business delivery options that have a low degree of inherent risk and only have a potential for limited reward.
<b>CAUTIOUS</b>	Preference for safe delivery options that have a low degree of residual risk and may only have limited potential for reward.
<b>OPEN</b>	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.)
<b>HUNGRY</b>	Eager to be innovative and to choose options offering potentially higher business rewards, despite greater inherent risk.

4.15 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 Priorities, albeit with a preference for options or activities that limit exposure, even if the rewards are likely to be similarly limited.

4.16 A full definition of the College risk appetite for each category of risk can be found at Appendix 3.

4.17 While a general appetite of cautious to open is in place, it is recognised that risk appetite will vary according to the Priorities 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; acceptance of risk, irrespective of risk appetite, should always take account of the likely benefits an activity will deliver.

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

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

4.19 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, the College may be prepared to accept higher levels of risk for a project that will feasibly deliver transformative change or bring significant rewards.

### **Risk Scoring**

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

4.21 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		

4.22 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.

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

4.24 Each risk should be allocated two risk scores, as follows:

- Gross Risk Score
- Net Risk Score

4.25 The Gross Risk Score is populated and refers to the level of risk an activity would pose if no controls or mitigating actions were in place.

4.26 The Net Risk Score refers to the level of risk remaining after controls and mitigating actions are considered and should ideally reflect the applicable risk appetite.

4.27 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 exposure below the upper boundary.

**Figure 4 - Risk Probability Impact Grid**

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

4.28 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.

### **Plan Mitigations**

4.29 When considering the appropriate risk response, the controls already in place should be recorded under Controls in the Strategic Risk Register and potential mitigating actions should be identified, where applicable (i.e. where a risk requires treatment).

4.30 Mitigations actions should change or reduce either the probability of a risk materialising, or its impact if it does (or both) and they should also be recorded in the Strategic Risk Register assigned a responsible person/lead and set a target date for completion.

4.31 Taking account of the mitigations the Gross Risk Score should be re-assessed and revised, and a Net Risk Score agreed. The Net Risk Score should not be higher than the Gross Risk Score (either in terms of impact, or probability, or both), because again, it refers to the level of risk remaining after controls and mitigating actions are considered.

4.32 After mitigations and risk scores have been identified, the planning process is effectively complete, and the agreed plans should be taken forward for implementation.

4.33 Control strategies / plans may align with the categories below:

**Figure 5 – Risk Mitigation Measures**

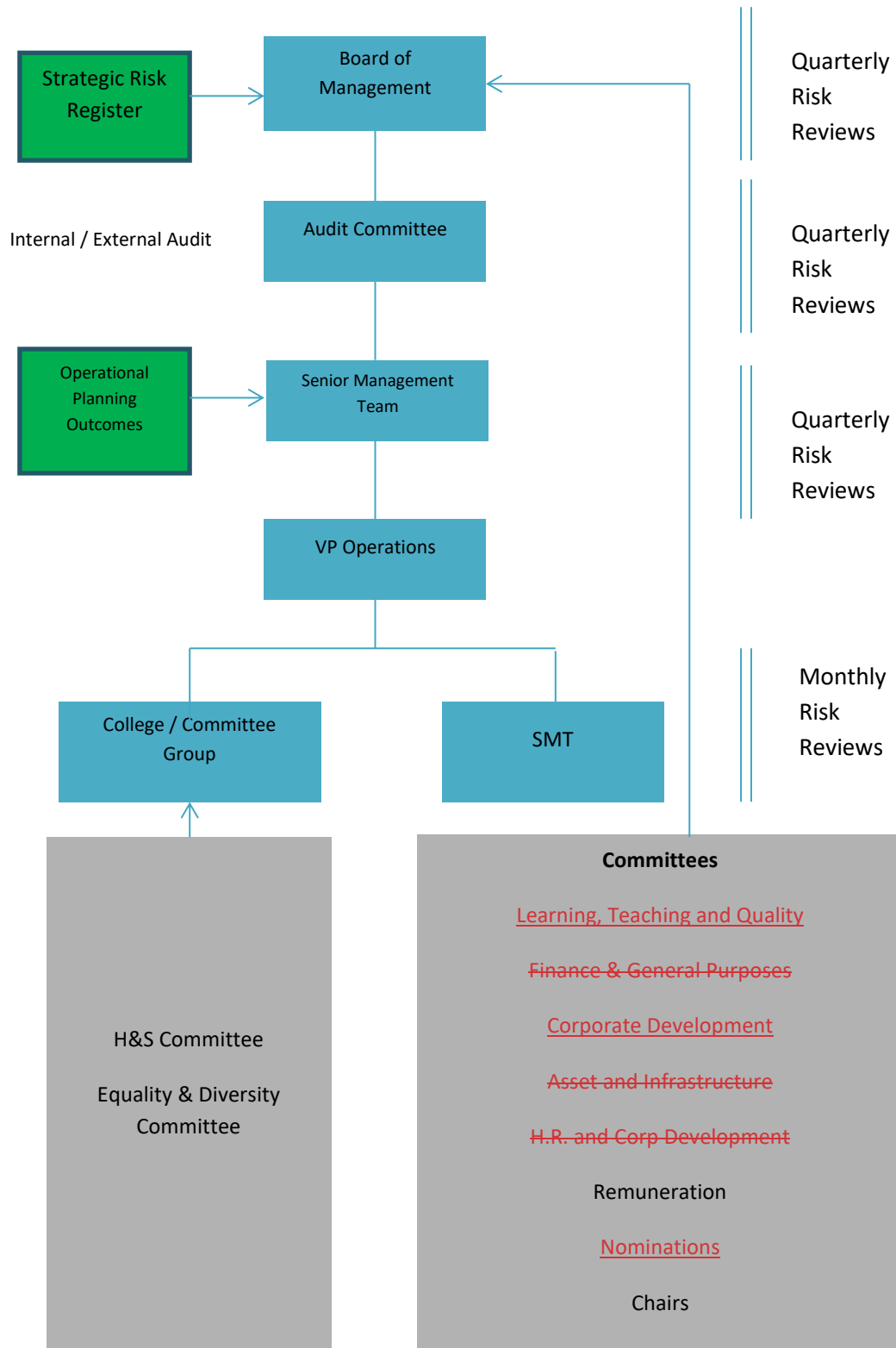
Risk Response	Commentary
<p><u>Tolerating or Accepting the Risk:</u></p>	<p><del>The exposure may be tolerable without any further action being taken. It may be supplemented by contingency planning for handling the impacts that will arise if the risk is realised</del></p> <p><u>It is rarely possible or economically desirable to remove all risks entirely and, unless Terminated, all risks will eventually be accepted at some level. In addition, there are some risks over which the College has little or no control and some for which any management actions would be prohibitive in terms of resource; yet for valid reasons the College will continue with the activity. The important point is that these risks are identified, clearly understood and monitored. This option is frequently accompanied by a contingency plan for dealing with the impact that will arise if the risk is realised.</u></p>
<p><u>Transfer or sharing the Risk:</u></p>	<p><del>Transfers the risk to a third party. Be aware that the entirety of a risk is practically impossible to transfer</del></p> <p><u>Some risks can be transferred to another body or organisation, for example- insurance, contractual arrangements, outsourcing and, partnerships.. Realistically, transferring all of a risk is extremely difficult to achieve effectively and is often confused with action ownership (where the risk is owned by entity A (who feels the pain if the risk comes about) but action to mitigate or control the risk lies with entity B. If the risk is Transferred, then care needs to be taken that the risk is actually transferred. However, some risks (for example reputation) cannot be transferred. It is important that how (to whom) the risk has been transferred.</u></p>

<p><b><u>Terminating or Avoiding the risk:</u></b></p>	<p><del>Some risks are only treatable by terminating an activity. Alternative plans and/or processes will require developing. Although unusual, it may be that a particular risk cannot be adequately controlled or transferred and the consequence or likelihood of such a risk being realised is such that it cannot be accepted. In this case the only course of action may be to eliminate the risk by ending all or part of a particular activity. In some instances, this may involve temporary suspension of an activity until the likelihood and/or impact of the risk has reduced for external reasons.</del></p>
<p><b><u>Treating or Controlling the Risk:</u></b></p>	<p><del>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. It is usually possible to control a risk to an acceptable level and this is achieved by building control mechanisms into operational activities. Whichever strategy is adopted it is important that the controls are proportionate and cost effective. Where the decision is taken to mitigate a risk by introducing control measures it is also important that the operation is not impeded by over controlling in an attempt to completely eliminate a threat risk or realise an opportunity.</del></p>
<p><b><u>Take</u></b></p>	<p><del>Implement actions to exploit the identified opportunity</del></p>

## **Monitor and Control**

- 4.34 Risks should be monitored and controlled on an ongoing basis as part of the Risk Management Process. Responsibility for monitoring and control lies with the Risk Owner and should be ongoing at the appropriate levels.
- 4.35 Each of element of the Strategic Risk Register should be revisited on an ongoing basis; for example, mitigating actions should be regularly reviewed for their impact and effectiveness in controlling the risk and in reducing the risk score. Where a mitigating action is complete, it should be removed from the relevant column and where appropriate, referred to under Controls. Where a risk score has escalated, action should be taken to identify and implement control measures in order to reduce the risk score.
- 4.36 Reporting arrangements also provide an additional level of monitoring and control. At College level, the Board of Management will receive a high-level report on risk at each meeting. The report will provide a summary update on the risks included in the Strategic Risk Register, giving current risk scores and notification of any significant changes.
- 4.37 Each Board Committee will receive a report on all strategic risks for their consideration and review based upon the business undertaken at each Committee meeting.
- 4.38 The College Senior Management Team will receive reports on risk for the Strategic Risk Register. Risks at departmental level will be monitored and controlled as part of the operational planning process.

4.39 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:



## 5. Measuring the Effectiveness of the Risk Management Process

### Internal Audit

5.1 As indicated, the Audit Committee must be satisfied as to the College's risk management arrangements and will receive the Strategic Risk Register at each of its meetings. The overall College risk management framework (of which this document is part) is also subject to review by the College's internal auditors both formally through the internal audit process and through the auditor's reliance on the College Strategic Risk Register in formulating Audit Needs Assessment. The College's external auditor also take account of the College Strategic Risk Register in planning their work.

### Review of Procedures

5.2 This Strategy will be reviewed at every three years and presented to the Board of Management for approval.

## Appendix 1: Categories of Risk

<u>Category</u>	<u>Description of Risk</u>
<b>1) Political</b>	Those affecting the College Strategic Priorities normally at a national political level.
<b>2) Competitive Environment</b>	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.
<b>3) Finance</b>	Those related to financial planning and control and the adequacy of insurance cover.
<b>4) Staffing and HR</b>	Those affecting the recruitment, retention and morale of staff.
<b>5) Students</b>	Those affecting the recruitment, retention, attainment and morale of students.
<b>6) Reputational / External</b>	Those affecting the reputation of the College and/or external partnerships / projects / community in which the College is involved.
<b>7) Digital</b>	Those affecting the ability of the College to deliver the objectives set out in its Digital Strategy.
<b>8) Infrastructure</b>	Those affecting the College's physical assets including buildings and IT systems.
<b>9) Learning and Teaching</b>	Those affecting the successful delivery of the College's curriculum including student experience, performance and associated ROA targets.
<b>10) Governance</b>	Those that impose requirements on the College which could affect priorities / funding / reputation.

## Appendix 2 – Example of Format - College Strategic Risk Register Entry

<b>Risk number</b>	<b>05</b>	<b>WCS 4</b>
<b>Risk description</b>	<b><u>SFC Regional Outcome Agreement</u></b> Failure to deliver SFC Regional Outcome Agreement targets at a time of limited resource results in future credit and/or funding adjustments.	
<b>Link to the Strategic Priority</b> <i>Refers to the relevant Strategic Priority.</i>	1.2 2.1 3.2 3.4	
<b>Risk category / appetite</b>	Learning and Teaching	Open
<b>Proximity</b>	Long-term	
<b>Impact/Likelihood</b>	5 x 4	
<b>Gross Risk Score</b>	<b>20</b>	
<b>Controls</b> <i>A control is a framework in place to mitigate the risk.</i>	1) Positive engagement with SFC in relation to ROA development and monitoring for current and future years. Internal audit of ROA process indicated robust planning arrangements in place regarding development of ROA.	
	2) Effective internal monitoring and reporting procedures in place, including operational planning process, and monitoring through the Board of Management and all Committees.	
	3) Good working relationships with local authorities and schools in order to access attainment funding in support of College activities in this area.	
	4) Detailed curriculum development planning and review process which has been subject to positive review by internal audit.	
<b>Net Risk Score</b>	<b>12</b>	
<b>Trend</b>	↔	
<b>Risk Owner</b>	Principal	



## Appendix 3 – 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 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.

## Appendix 4 – Equality Impact Assessment

**Name of policy/procedure/decision: Risk Management Strategy**

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

This Strategy has been developed to Integrate risk management into the culture of the College and to manage risk in accordance with best practice.

**Assessed By:** Clare Fraser **Date:** 21 December 2020

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

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

This Strategy has limited relevance to equality, diversity and inclusion and there is no indication of a differential impact on protected groups.

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

There is no likelihood of an adverse impact – equality neutral.

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

In the event of any risks involving equality and diversity, the Director OD & HR and/or the EDI Manager will be involved to ensure that best practice guidelines are followed.



# **Strategic Risk Register**

**Proximity:** when might the risk occur.

Description	Timing
Immediate	Now
Medium-term	Within three to six months
Longer-term	Greater than six months

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

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

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

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

**Risk Score:** Impact x Probability

Impact		Result			
Almost certain	6	6	12	18	24
Very likely	5	5	10	15	20
Likely	4	4	8	12	16
Possible	3	3	6	9	12
Very unlikely	2	2	4	6	8
Remote Chance	1	1	2	3	4
		1	2	3	4
<b>Probability</b>		Negligible	Marginal	Critical	Catastrophic

**Risk Score:** the overall risk level.

Risk level	Score	Description
High	16 - 24	Unacceptable level of risk exposure that requires a review of controls and immediate mitigating action
Medium	6 - 15	Acceptable level of risk exposure subject to regular monitoring
Low	1 - 5	Acceptable level of risk exposure subject to periodic monitoring

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

**Trend:** after controls and mitigating actions are considered

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

## Risk Appetite

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

Classification	Description
<b>AVERSE</b>	Avoidance of risk and uncertainty is a key organisational objective.
<b>MINIMALIST</b>	Preference for ultra-safe business delivery options that have a low degree of inherent risk and only have a potential for limited reward.
<b>CAUTIOUS</b>	Preference for safe delivery options that have a low degree of residual risk and may only have limited potential for reward.
<b>OPEN</b>	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.).
<b>HUNGRY</b>	Eager to be innovative and to choose options offering potentially higher business rewards, despite greater inherent risk.



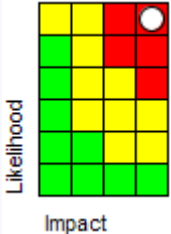

# Top 5 Strategic Risk Summary

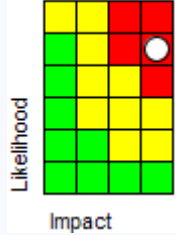
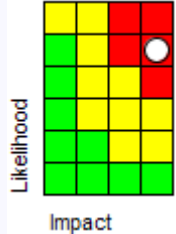

Risk No.	Risk Title	Risk Description	Proximity	Prior	Current	Trend since last report
01 WCS01	SFC Funding and Funding Methodology	Inability to clearly forecast the volatility and impact of SFC funding and funding methodology changes in relation to core-grant-in-aid, credit activity model; reduction in European funding; student support funding and estates maintenance.	Immediate	24	24	
02 WCS03	Estate Strategy	Failure to deliver Estate Strategy 2016-2026 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.	Longer-term	20	20	
03 WCS02	Estate and IT Investment	Failure to secure adequate estates maintenance / capital funding for future investment or refurbishment of IT and physical infrastructure resulting in increased maintenance costs or loss of students due to failing facilities.	Medium-term	20	16	
04 WCS07	Impact upon Business Continuity Planning of Covid-19 pandemic	A material interruption to the service delivery of the College caused by inadequate business continuity planning, resulting in failure to delivery learning and teaching and achievement of required funding outcomes.	Medium-term	24	15	
05 WCS11	Alternative Income Growth	An inability to generate consistent levels of alternative income or to grow alternative income streams due to impact of external factors impacting College delivery plans results in loss of income and failure to deliver College ROA objectives.	Longer-term	18	15	

# Corporate Strategic Risk Register

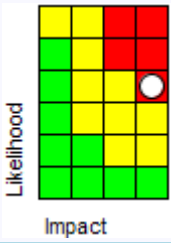

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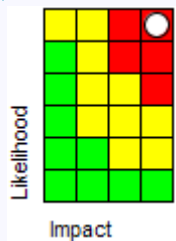
<b>Risk Code &amp; Title</b>	01 WCS01 SFC Funding and Funding Methodology	
<b>Risk Summary</b>	Inability to clearly forecast the volatility and impact of SFC funding and funding methodology changes in relation to core-grant-in-aid, credit activity model; reduction in European funding; student support funding and estates maintenance.	
<b>Risk Category</b>	Finance	
<b>Risk Appetite</b>	Minimalist	
<b>Proximity</b>	Immediate	
<b>Probability &amp; Impact</b>	6	4
<b>Gross Risk Score</b>	24	 <p>A 5x5 grid risk matrix with 'Likelihood' on the vertical axis and 'Impact' on the horizontal axis. The grid is color-coded: green for low risk, yellow for medium risk, and red for high risk. A white circle is placed in the top-right cell (High Likelihood, High Impact).</p>
<b>Mitigating Controls</b>	Detail of 2020–21 SFC core funding for teaching, estate and student funding confirmed. Ongoing engagement with SFC on funding for estate investment and support for voluntary severance programme.	
	College Transformation Plan agreed with SFC to take effect from 2020–21 onwards and funding / credit level confirmed by SFC to support this. Requirement for College to deliver 2020–21 curriculum activity in accordance with the agreed Business Transformation Plan. Further discussions to take place with the SFC regarding the curriculum delivery model required for 2021–22 in order to meet Transformation Plan requirements.	
	Estates Strategy 2016–2026 includes objective to improve / rationalise the College estate utilising estate maintenance funding. Annual Estate Strategy update provided to the relevant Board Committee which includes progress towards achievement of objectives. The Estates Strategy is currently being refreshed and the current plan is that an update will be provided to the Corporate Development Committee later in 2021, assuming lockdown restrictions ease and enable engagement with staff and students to take place.	
	Commercial Development and Credit Group monitor current and future curriculum delivery plans including credit delivery and staffing requirements. Report provided to each SMT meeting on credit activity.	
	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.	

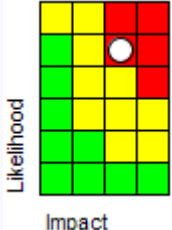
	<p>During 2020 the College undertook a review of the possible impacts of Brexit on College operations. This review was discussed at senior management level and with relevant Board Committees. At this early stage the Brexit transition has not immediately impacted on College funding, however this will require to be kept under review as EU funding streams will expire over the coming period and alternative funding and the nature of it remains to be confirmed by Government.</p> <p>The College is a member of a sector working group on Brexit allowing access to latest intelligence specific to the College sector. The College continues to consider and review developments especially in relation to students / staff and access to exchange programme funding.</p> <p>On-going liaison with SFC on future funding arrangements post 31 July 2023 when current ESF funding is due to end.</p> <p>Break-even adjusted operating position (excluding the costs of voluntary severance) budget approved for 2020-21 by the Board of Management on 20 July 2020 along with 3-year financial scenario plan. 2020-21 forecast is monitored by SMT and quarterly by the Board of Management through provision of management accounts.</p>	
<b>Probability &amp; Impact Scores</b>	6                      4	
<b>Net Risk Score</b>	24	
<b>Trend</b>		
<b>Managed By</b>	Vice Principal Operations; Vice Principal Educational Leadership	

<b>Risk Code &amp; Title</b>	02 WCS03 Estate Strategy	
<b>Risk Summary</b>	Failure to deliver Estate Strategy 2016–2026 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.	
<b>Risk Category</b>	Infrastructure	
<b>Risk Appetite</b>	Open	
<b>Proximity</b>	Longer-term	
<b>Probability &amp; Impact</b>	5	4
<b>Gross Risk Score</b>	20	
<b>Mitigating Controls</b>	Board approved Estate Strategy 2016–2026, with the relevant Board Committee receiving an annual implementation update which highlights the need for required estate investment for consideration by SFC and Scottish Government on an ongoing basis. The Estate Strategy is currently being refreshed and the current plan is that an update will be provided to the Corporate Development Committee later in 2021, assuming lockdown restrictions ease and enable engagement with staff and students to take place.	
	Outline Business Cases for Paisley and Greenock estate submitted to the SFC. Update on progress made in relation to OBCs made to each Corporate Development Committee meeting including engagement with SFC and local councils. The College has now received funding from the SFC to undertake a refresh of the Greenock OBC during 2021. During February 2021 SFC have also provided the College with a draft scope and timeline for a curriculum review exercise to be undertaken with partners, with this being stated as a requirement by SFC to progress the Paisley OBC further – the scope is currently under review.	
	Update report provided to each meeting of the Corporate Development Committee which indicates how the College has prioritised the use of SFC estate maintenance funding to address the College 2019 Estate Condition Survey results.	
	Corporate Development Committee receive an Update Report at each meeting on College engagement with stakeholders including SFC, Scottish Futures Trust, local councils and other key stakeholders.	
<b>Probability &amp; Impact Scores</b>	5	4
		
<b>Net Risk Score</b>	20	
<b>Trend</b>		
<b>Managed By</b>	Vice Principal Operations	


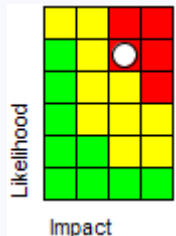
<b>Risk Code &amp; Title</b>	03 WCS02 Estate and IT Investment	
<b>Risk Summary</b>	Failure to secure adequate estates maintenance / capital funding for future investment or refurbishment of IT and physical infrastructure resulting in increased maintenance costs or loss of students due to failing facilities.	
<b>Risk Category</b>	Infrastructure	
<b>Risk Appetite</b>	Open	
<b>Proximity</b>	Medium-term	
<b>Probability &amp; Impact</b>	5	4
<b>Gross Risk Score</b>	20	
<b>Mitigating Controls</b>	Corporate Development Committee receive reports on levels of SFC estate maintenance funding and planned level of expenditure compared to need, and how the College is prioritising the use of the amount allocated to it.	
	The College regularly engages both formally and informally with both Renfrewshire and Inverclyde Councils and wider partners to discuss opportunities for development of College facilities. Update report on progress provided to Corporate Development Committee at each meeting.	
	The College completed an estate condition survey in 2019 to provide up to date information of the investment required to bring the estate to Condition B status and to maintain it at this level. A presentation on the 2019 results was made to March 2020 A&I Committee and the detail of this provided to the Board of Management. SFC have received a copy of the condition survey report and presentation for their information as well as being updated by the Vice Principal Operations. A Board of Management development session to consider estates challenges and opportunities was undertaken on 28 October 2020 with the outcomes being reported to the December 2020 A&I Committee along with the next steps.	
	Outline Business Cases for Paisley and Greenock submitted to the SFC following Board of Management approval. College has agreed in principle with the SFC to proceed with wider curriculum horizon scanning exercise to allow the College to provide holistic approach to curriculum delivery across the regions it serves. The College has now received funding from the SFC to undertake a refresh of the Greenock OBC during 2021. During February 2021 SFC have also provided the College with a draft scope and timeline for a curriculum review exercise to be undertaken with partners, with this being stated as a requirement by SFC to progress the Paisley OBC further – the scope is currently under review.	
	College Estate Strategy 2016–2026 submitted to SFC highlighted significant need of investment in College. Annual update report on implementation and progress provided to Corporate Development Committee. SFC formally updated at least twice a year on estate challenges faced by the College.	

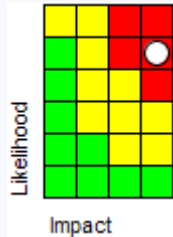
<b>Probability &amp; Impact Scores</b>	4                      4	
<b>Net Risk Score</b>	16	
<b>Trend</b>		
<b>Managed By</b>	Vice Principal Operations	

<b>Risk Code &amp; Title</b>	04 WCS07 Impact upon Business Continuity Planning of Covid-19 pandemic	
<b>Risk Summary</b>	A material interruption to the service delivery of the College caused by inadequate business continuity planning, resulting in failure to delivery learning and teaching and achievement of required funding outcomes.	
<b>Risk Category</b>	Reputational/External	
<b>Risk Appetite</b>	Open	
<b>Proximity</b>	Medium-term	
<b>Probability &amp; Impact</b>	6	4
<b>Gross Risk Score</b>	24	
<b>Mitigating Controls</b>	<p><a href="#">Business Continuity Planning Documents on Intranet</a> and available to all staff. College incident management plan reviewed annually and updated as required. Quarterly scenario testing involving teaching and support staff facilitated by external professional risk manager from Zurich Municipal.</p>	
	<p>Under normal circumstances business continuity scenario planning sessions are undertaken on a quarterly basis with involvement from both teaching and support staff. These sessions are externally facilitated by Zurich Municipal risk staff and the sessions and lessons learned shared with staff via the Business Continuity Team page.</p>	
	<p>The impact of Covid-19 has seen the creation of a College Covid-19 response group along with an operational Mobilisation Group. Both groups include members from teaching and support staff, unions and student representatives. The work of these groups has superseded the quarterly scenario sessions for the 2020-21 year.</p>	
	<p>College Mobilisation Group continues to operate to oversee operational issues related to Covid-19. Group is chaired by the Director of Infrastructure and has representatives from staff, unions and Student Association. The Group meets weekly and reports to an Executive Group led by the Principal who oversees the overall College Covid-19 response.</p>	
	<p>Good interaction with staff, trade unions and Student Associations with regular meetings taking place and information being supplied to all parties on a timely basis normally via the College intranet, with the use of the Homeworking Times publication being key.</p>	
	<p>Continued engagement with Scottish Funding Council, Skills Development Scotland and other funding bodies to gain clarity on future funding and determine impacts upon College financial sustainability.</p>	
<p>The College has complied with the third lockdown requirement as from 26 December 2020. Actions taken in response to the lockdown include:</p> <ul style="list-style-type: none"> <li>- continued development of online materials across all areas of learning and teaching;</li> <li>- continued dispersal of IT equipment to support students where there is an identified need;</li> <li>- engagement with SFC and awarding bodies to assess the impact of the deferral of teaching activity on student achievement of qualifications; and</li> <li>- on-going monitoring of supply chains based upon risk analysis supplied by APUC.</li> </ul>		

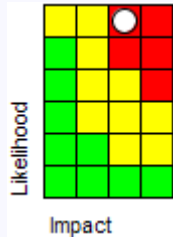
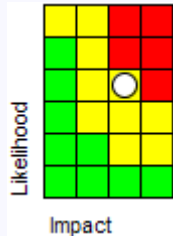

	<p>The delivery of the work streams associated with the College Digital Strategy will ensure that the needs of both students and staff are addressed in relation to learning and teaching and delivery of support services.</p> <p>The College has a strategic approach to health and wellbeing provision, in order to structure our holistic approach to health promotion we have developed the PROSPER framework. The PROSPER framework has been formed to be the backbone of our Employee and Student Health and Wellbeing Strategies launched in December 2019. The PROSPER framework is at the core of everything that we do as a College and we are confident that we have a sustainable and strategic approach which recognises different dimensions of health promotion.</p> <p>The College has a wealth of health improvement initiatives in place and through the Healthy Lives Working Group continue to have a proactive response linked to the our operating environment. The group reports to both the Equality, Diversity and Inclusion Committee and Health &amp; Safety Committees.</p> <p>Student Health and Wellbeing strategy: <a href="https://www.westcollegescotland.ac.uk/media/213570/student-health-wellbeing-strategy.pdf">https://www.westcollegescotland.ac.uk/media/213570/student-health-wellbeing-strategy.pdf</a></p> <p>Student Intranet pages for HWL: <a href="http://student.westcollegescotland.ac.uk/index.php/advice/corona-virus/">http://student.westcollegescotland.ac.uk/index.php/advice/corona-virus/</a></p> <p>Staff Health and Wellbeing strategy: <a href="https://intranet.westcollegescotland.ac.uk/reference/reference/Health%20and%20Wellbeing%20Strategy.pdf#search=prosper">https://intranet.westcollegescotland.ac.uk/reference/reference/Health%20and%20Wellbeing%20Strategy.pdf#search=prosper</a></p>
<b>Probability &amp; Impact Scores</b>	<p>5                      3</p> 
<b>Net Risk Score</b>	<p>15</p>
<b>Trend</b>	<p>↓</p>
<b>Managed By</b>	<p>Vice Principal Operations</p>



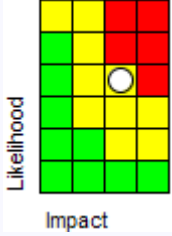

<b>Risk Code &amp; Title</b>	05 WCS11 Alternative Income Growth	
<b>Risk Summary</b>	An inability to generate consistent levels of alternative income or to grow alternative income streams due to impact of external factors impacting College delivery plans results in loss of income and failure to deliver College ROA objectives.	
<b>Risk Category</b>	Competitive Environment	
<b>Risk Appetite</b>	Open	
<b>Proximity</b>	Longer-term	
<b>Probability &amp; Impact</b>	6	3
<b>Gross Risk Score</b>	18	
<b>Mitigating Controls</b>	Alternative income plans, targets and activities developed annually as part of the Operational Planning Process and shared across the College. Income plans and ambitions are in response to requirements of College Transformation Plan objectives. Reporting and monitoring on activity and progress is subject to review by HR and Corporate Development Committee.	
	2020-21 alternative income budget and forecast agreed and monitored by the HR and Corporate Development Committee.	
	Operation planning combined with Curriculum Development Planning procedure used to identify potential opportunities for income growth.	
	The College has a detailed Budget and 3 Year Financial Plan in place in accordance with Audit Scotland requirements. The budget is reviewed monthly and the annual forecast is updated based upon the latest intelligence.	
	Commercial Development and Credit Group meet twice a month to review budget / create forecast and address challenges of delivering alternative income.	
	Update report provided to HR and Corporate Development Committee on partnership working with local employers and stakeholders.	
<b>Probability &amp; Impact Scores</b>	5	3
		
<b>Net Risk Score</b>	15	
<b>Trend</b>	↑	
<b>Managed By</b>	Vice Principal Educational Leadership	


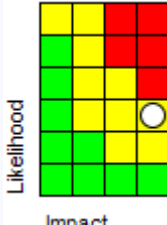

<b>Risk Code &amp; Title</b>	06 WCS04 SFC Regional Outcome Agreement	
<b>Risk Summary</b>	Failure to deliver SFC Regional Outcome Agreement targets at a time of limited resource, competition and challenging economic environment due to Covid-19, results in future credit and/or funding adjustments.	
<b>Risk Category</b>	Learning and Teaching	
<b>Risk Appetite</b>	Open	
<b>Proximity</b>	Longer-term	
<b>Probability &amp; Impact</b>	5	4
<b>Gross Risk Score</b>	20	
<b>Mitigating Controls</b>	During 2020 the College undertook a review of the possible impacts of Brexit on College operations. This review was discussed at senior management level and with relevant Board Committees. At this early stage the Brexit transition has not immediately impacted on College funding, however this will require to be kept under review as EU funding streams will expire over the coming period and alternative funding and the nature of it remains to be confirmed by Government.	
	The College is a member of a sector working group on Brexit allowing access to latest intelligence specific to the College sector. The College continues to consider and review developments especially in relation to students / staff and access to exchange programme funding.	
	On-going liaison with SFC on future funding arrangements post 31 July 2023 when current ESF funding is due to end.	
	Effective ROA monitoring and reporting procedures in place, including operational planning process, and monitoring through the Board of Management and all Committees.	
	Regular contact and review meetings with local authorities and schools to access attainment funding in support of College activities.	
	Detailed curriculum development planning and review process which was subject to positive review by internal audit.	
	Blended approach to delivery of teaching and learning including online learning allowing College to address changes in recruitment and delivery.	
	Curriculum offering is reviewed to ensure employer and student needs are met and appropriate courses delivered.	
	2020-21 Interim ROA finalised following receipt of revised SFC guidance on monitoring of 2020-21 outcomes given impact of Covid-19. Board of Management approved Interim 2020-21 ROA at February 2021 meeting and document submitted to SFC. Changes to ROA have been reported to Board of Management and individual Committees made aware of ROA objectives relevant to their remit.	
College Marketing Plan ensures that the College is seen as the place to come to be educated. Internal communication plans subject to internal audit review with limited number of recommendations for		

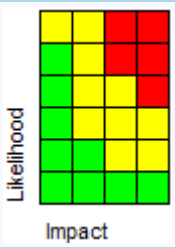
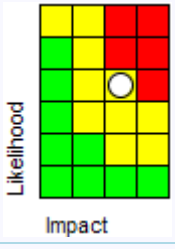
	improvement. External communications plan will be subject to an internal audit review as part of 2020-21 audit plan.	
<b>Probability &amp; Impact Scores</b>	4	3
<b>Net Risk Score</b>	12	
<b>Trend</b>	■	
<b>Managed By</b>	Chief Executive and Principal	

<b>Risk Code &amp; Title</b>	07 WCS05 National Pay Bargaining	
<b>Risk Summary</b>	Impact and outcome of National Pay Bargaining for both teaching and support staff has an adverse effect on either efficiency of delivery or budget.	
<b>Risk Category</b>	Staffing and HR	
<b>Risk Appetite</b>	Open	
<b>Proximity</b>	Medium-term	
<b>Probability &amp; Impact</b>	6	3
<b>Gross Risk Score</b>	18	
<b>Mitigating Controls</b>	College representation and involvement at senior level in national Employers Association and national joint negotiating committee (NJNC). Update reports provided to both SMT and Board of Management Committees.	
	Financial impact assessment / planning scenarios on the impacts of National Bargaining included within the planning of 2020–21 budget and three-year forecast. Senior staff (David Alexander / Alan Ritchie) active participants in the teaching and support national bargaining groups and therefore fully informed of impacts of national bargaining.	
	The College <a href="#">Business Continuity Plan Team Page</a> contains full information of the Policies and Practices undertaken by the organisation to address threats to the continuation of business as normal. As part of these considerations the impact of industrial action has been considered and specific action plans are in place to address any direct impacts.	
	Local trade union consultation and negotiating committees for support and teaching staff continuing to meet on a regular basis to maintain positive College industrial relations.	
	Workforce planning being carried out at departmental level based on national agreements. Results of latest round of planning incorporated into Human Resources Annual Report 2019.	
<b>Probability &amp; Impact Scores</b>	4	3
		
<b>Net Risk Score</b>	12	
<b>Trend</b>		
<b>Managed By</b>	Chief Executive and Principal	

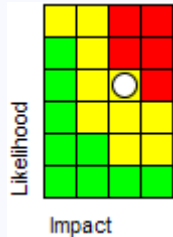
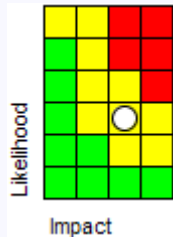

<b>Risk Code &amp; Title</b>	08 WCS06 Digital Ambitions and IT Systems	
<b>Risk Summary</b>	Failure to adequately maintain or acquire and use IT systems and infrastructure effectively results in a failure to deliver / support the digital ambitions of the College.	
<b>Risk Category</b>	Digital	
<b>Risk Appetite</b>	Hungry	
<b>Proximity</b>	Medium-term	
<b>Probability &amp; Impact</b>	4	4
<b>Gross Risk Score</b>	16	
<b>Mitigating Controls</b>	IT Strategy, Policies / Procedures and system access processes in place. The Asset and Infrastructure Committee review progress achieved in delivering the IT Strategy on an annual basis.	
	Staff and student feedback and evaluation procedures in place. Action planning in place to address issues raised through feedback mechanisms.	
	IT Contingency Plan in place with regular review and update undertaken.	
	College is renewing Cyber Essentials Plus accreditation as required. Work commencing on updating the Scottish Government Cyber Resiliency Framework.	
	The College Digital Strategy sets out our digital ambitions for the College, presented and approved by the Board of Management. Update reports are provided to Learning, Teaching and Quality Committee with regular updates provided to SMT and monthly Digital Strategy Core Group Meetings. The WCS Digital Strategy Core Group provide a basis for College digital developments and a basis for seeking required levels of Scottish Government and SFC funding to support this.	
	College is supportive of staff involvement in national negotiations and has open dialogue with trade unions at local and national levels as to how staff can be supported.	
	The College involvement in the national digital group has concluded for phase 1 generating a National Digital Ambition for Scotland's Colleges and a Route Map. In addition, one-off SFC funding of £221k in late 2020 utilised to fund purchase of IT devices for students. The National Digital SLWG phase 2 will recommence February 2021.	
	Data from major IT systems reviewed on ongoing basis to ensure that information upon which strategic decisions are based is robust and up to date.	
Systems are in place for early identification and monitoring of provision deemed to be at risk of non-completion. Enhanced internal quality assurance on qualifications progress has been in place for the whole session 2020-21. This incorporates monthly BRAG rating and selected Internal Quality Assurance panels which monitor the correct application of awarding body guidance against qualifications and will provide early flags for student groups where deferral of their qualification into 2021-22 may be deemed necessary.		

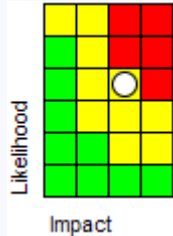
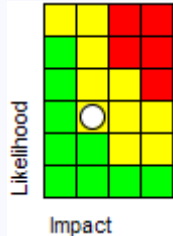

	<p>'At risk' groups are identified through course evaluation processes at curriculum level and involves scrutiny of student's outcomes for all protected characteristics and special interest groups. Monitoring of progress against targets for improvement has been strengthened during 2020–21 with the introduction of a curriculum level ROA sub report. This enables performance benchmarking at College and national level and facilitates sharing of good practice and outcomes across our teaching areas.</p> <p>The College student feedback mechanisms incorporate the mandatory SFC survey, internal thematic surveys and focused discussions with special interest groups. For example, a recent survey with care experienced students was conducted via Teams discussions and the responses influence the strategy for support for this year and for future cohorts.</p>
<b>Probability &amp; Impact Scores</b>	<p>4                      3</p> 
<b>Net Risk Score</b>	<p>12</p>
<b>Trend</b>	<p></p>
<b>Managed By</b>	<p>Vice Principal Operations</p>

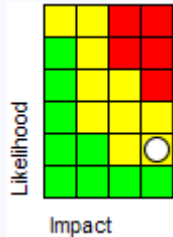
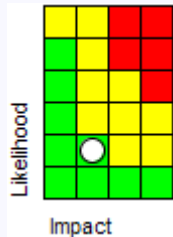
<b>Risk Code &amp; Title</b>	09 WCS15 College Transformation Plan	
<b>Risk Summary</b>	Failure to deliver the financial and/or non-financial objectives outlined in the College Transformation Plan "Future Proofing Our College".	
<b>Risk Category</b>	Governance	
<b>Risk Appetite</b>	Cautious	
<b>Proximity</b>	Longer-term	
<b>Probability &amp; Impact</b>	4	4
<b>Gross Risk Score</b>	16	
<b>Mitigating Controls</b>	<p>Transformation Plan has been developed by the College and discussed in detail with the SFC. Plan formally agreed and funding provided by SFC from 2020-21 to support this. Requirement for College to deliver the Transformation Plan from 2020-21 and reduce the level of third-party distance learning.</p> <p>Board of Management have approved the Plan and financial objectives are monitored through the F&amp;GP Committee. Board of Management monitor overall plan achievement.</p>	
<b>Probability &amp; Impact Scores</b>	3	4
		
<b>Net Risk Score</b>	12	
<b>Trend</b>		
<b>Managed By</b>	Chief Executive and Principal	

<b>Risk Code &amp; Title</b>	10 WCS16 Cyber Resilience	
<b>Risk Summary</b>	The College fails to properly prepare for either an internal or external cyber-attack due to poor procedures or system failures resulting in a loss of data, funding and/or stakeholder trust.	
<b>Risk Category</b>	Digital	
<b>Risk Appetite</b>	Cautious	
<b>Proximity</b>	Immediate	
<b>Probability &amp; Impact</b>		
<b>Gross Risk Score</b>		
<b>Mitigating Controls</b>	IT Strategy, Policies / Procedures and system access processes in place. The Asset and Infrastructure Committee review progress achieved in delivering the IT Strategy on an annual basis.	
	IT Contingency Plan in place with regular review and update undertaken.	
	College is renewing Cyber Essentials Plus accreditation as required. Work commencing on updating the Scottish Government Cyber Resiliency Framework.	
	Data from major IT systems reviewed on ongoing basis to ensure that information upon which strategic decisions are based is robust and up to date.	
	The College is currently working towards the completion of the Scottish Government Cyber Resiliency Toolkit. The toolkit will assist the College in addressing the cyber risks faced by the College. The toolkit is split into 9 areas of focus (Preparation, Identification, Reporting, Analyse and Investigate, Containment, Eradicate, Recovery, Reporting, Lessons Identified). Once complete it will generate an action plan of work to be taken to help the College implement the Scottish Public Sector Action Plan on Cyber Resilience.	
<b>Probability &amp; Impact Scores</b>	4	3
		
<b>Net Risk Score</b>	12	
<b>Trend</b>		
<b>Managed By</b>	Vice Principal Operations	



<b>Risk Code &amp; Title</b>	11 WCS09 Staff Relations	
<b>Risk Summary</b>	Inability to maintain positive staff relations due to internal or external factors resulting in loss of staff trust, less efficient delivery and potential industrial action.	
<b>Risk Category</b>	Staffing and HR	
<b>Risk Appetite</b>	Open	
<b>Proximity</b>	Longer-term	
<b>Probability &amp; Impact</b>	4	3
<b>Gross Risk Score</b>	12	
<b>Mitigating Controls</b>	Approved Workforce Plan in place and implementation reviewed by the HR and Corporate Development Committee.	
	Clear procedures for communication and engagement with Trade Unions and College staff verified by 2018-19 internal audit on internal communications.	
	Staff engagement sessions and staff surveys undertaken on regular basis allowing matters to be raised and issues to be addressed early.	
	Local trade union consultation and negotiation committees in place for teaching and support staff. Minutes of the meetings are provided to staff via the College intranet.	
<b>Probability &amp; Impact Scores</b>	3	3
		
<b>Net Risk Score</b>	9	
<b>Trend</b>		
<b>Managed By</b>	Chief Executive and Principal	

<b>Risk Code &amp; Title</b>	12 WCS10 Workforce Planning	
<b>Risk Summary</b>	Failure to embed Workforce Plan resulting in lack of appropriate resources and skills being developed to achieve College strategic objectives and outcomes	
<b>Risk Category</b>	Staffing and HR	
<b>Risk Appetite</b>	Open	
<b>Proximity</b>	Longer-term	
<b>Probability &amp; Impact</b>	4	3
<b>Gross Risk Score</b>	12	
<b>Mitigating Controls</b>	Board of Management approved College Workforce Plan in place and annual update report provided to HR and Corporate Development Committee.	
	Detailed teaching resource planning through use of curriculum mapping tool (CMAP)	
	Resourcing of support staff structures reviewed on an ongoing basis by Executive Management Team to ensure alignment with operational and strategic priorities.	
	ITrent HR and payroll software developed to provide staff data and reports including a College establishment report.	
	Professional Development Policies are aligned to strategic priorities.	
	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.	
	Results from staff skills survey being used to allow the College to identify and address future skills gaps.	
<b>Probability &amp; Impact Scores</b>	3	2
		
<b>Net Risk Score</b>	6	
<b>Trend</b>		
<b>Managed By</b>	Chief Executive and Principal	

<b>Risk Code &amp; Title</b>	13 WCS14 Estates Investment Works	
<b>Risk Summary</b>	Normal business activities are unduly affected due to the complexity of sequencing estates investment works	
<b>Risk Category</b>	Learning and Teaching	
<b>Risk Appetite</b>	Open	
<b>Proximity</b>	Longer-term	
<b>Probability &amp; Impact</b>	2	4
<b>Gross Risk Score</b>	8	
<b>Mitigating Controls</b>	Detailed resource planning involving all relevant parties at stage to address any issues in advance of project start date.	
	Staff resource increased though recruitment of additional Project Manager to address the significant increase in level of expenditure and complexity of projects being undertaken.	
	Well embedded project / estate team with knowledge base that allows issues to be identified and addressed.	
	Use of external professional advisors to provide oversight and critical review of proposed activities / plans.	
<b>Probability &amp; Impact Scores</b>	2	2
		
<b>Net Risk Score</b>	4	
<b>Trend</b>	↓	
<b>Managed By</b>	Vice Principal Operations	

**TITLE: MODERN SLAVERY STATEMENT 2021**

**Background:** The Board of Management previously approved the College Modern Slavery Statement in December 2018 and there is a requirement for this to be reviewed annually. The 2021 Statement has been updated with tracked changes shown and was approved by the 9 March 2021 Corporate Development Committee for consideration by the Board of Management meeting on 22 March 2021.

There are minimal changes to the statement, namely an update to the title from 'APUC Supply Chain Code of Conduct' to 'Sustain Supply Chain Code of Conduct' and to enhance the section on the approach taken by the College regarding Disclosure Scotland's Protecting Vulnerable Groups scheme.

**Action:** The Board of Management are asked to consider the refreshed Modern Slavery Statement to approve publication of this.

**Lead:** David Alexander, Vice Principal Operations

**Status:** Open

# MODERN SLAVERY STATEMENT

The Modern Slavery Act 2015 requires the College to produce a statement setting out the steps they have taken to ensure that there is no modern slavery in their own organisation and in— their supply chains.

This statement is made pursuant to section 54(1) of the Modern Slavery Act 2015 and constitutes our slavery and human trafficking statement for the financial year ending 31 July 202019. ~~This statement was approved by the College Board of Management on 4 February 2019. We will review this statement annually.~~

## OUR COMMITMENT

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West College Scotland (WCS) adopts a zero-tolerance approach to slavery and human trafficking and is committed to protecting human rights. We will act ethically and responsibly in ~~all of all~~ our relationships by working with suppliers that share and adhere to this commitment. We will also put in place reasonable measures to ensure that slavery and human trafficking does not occur within our own organisation or our supply— chains.

## OUR POLICIES ON SLAVERY & HUMAN TRAFFICKING

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We operate ~~a number of several~~ policies which support our commitment to human rights and which set out ways that we will minimise the risk of slavery and human trafficking. These policies include our Sustainability and Social Responsibility Statement and Equal Opportunities Procedure.

## OUR SUPPLY CHAINS

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We are committed to ensuring that there is no modern slavery or human trafficking in our supply chains or in any part of our business. Our procedures reflect our commitment to acting ethically and with integrity in all our business relationships and to implementing and enforcing effective controls to ensure slavery and human trafficking is not taking place anywhere in our supply chains.

We purchase a wide range of goods and services from suppliers —including:

- ◆ ICT equipment and services
- ◆ Professional services
- ◆ Estates and facilities management goods and services
- ◆ Food and catering supplies
- ◆ Books and printing
- ◆ Teaching supplies
- ◆ Furniture and stationery
- ◆ Waste and recycling services

Procuring goods and services from suppliers linked to supply chains across the world presents risks of slavery and human trafficking. —We have put in place the following measures to mitigate this risk:

## Advanced Procurement for Universities and Colleges (APUC)

The College ~~is a member of~~ ~~utilises the services of the sector collaborative procurement body,~~ ~~Advanced Procurement for Universities and Colleges (APUC) and utilises this expertise in to~~ procure goods and services, ~~and of which WCS is a member.~~ APUC requires all suppliers to ~~sign a~~ ~~commit to the Sustain~~ Supply Chain Code of Conduct confirming that ~~they~~ ~~it~~ does not use forced, involuntary or underage labour, provides suitable working conditions and treats employees fairly. APUC is a Founder Member of Electronics Watch, an independent monitoring organisation working to achieve respect for labour rights in the global electronics industry through socially responsible public purchasing in Europe.

~~The College WCS Procurement Team~~ currently utilises and is committed to the ~~APUC Sustain~~ Supply Chain Code of ~~Code Conduct and this~~ ~~to~~ underpins all tendering activity and supplier ~~adoption~~.

## Regulated Procurements

Every regulated procurement process conducted by the ~~C~~college requires tenderers to disclose whether the bidder or any member of their organisation with decision-making powers has been convicted in the last five years of any offence under Part 1 of the Human Trafficking and Exploitation (Scotland) Act 2015, or under any provision referred to in the Schedule to that Act. Tenderers that confirm such a conviction will be excluded from the process unless they can successfully demonstrate that they have self-cleansed. The Sustainable Public Procurement Prioritisation tool has been used to review high-risk categories including estates, food and catering, information and communication technology, laboratories and travel.

## Modern Slavery Statement

For procurement that does not take place through the APUC or other purchasing organisation frameworks (exceeding £50,000 for goods and services and £2,000,000 for works), this statement is included with all tender documents and potential suppliers are required to complete and sign our modern slavery certificate. This certificate requires tendering suppliers to set out the measures that they take to ensure that slavery and human trafficking does not take place in their own organisation or supply ~~chains~~

## OUR PEOPLE

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We have put in place the following measures to mitigate the risk of slavery or human trafficking taking ~~place~~ directly within our organisation:

### Recruitment Practices

We carry out rigorous right to work checks for all new members of staff. When it is necessary to engage agency workers, we ~~encourage all staff to~~ use recruitment agencies who have met our rigorous procurement procedures.

All staff members and agency workers are required to be ~~in~~ members of Disclosure Scotland's Protecting Vulnerable Groups (PVG) ~~s~~Scheme. A PVG certificate contains all unspent and certain spent conviction information. It also contains any other non-conviction information that the police or other government bodies think is relevant. This information is checked during the recruitment process and the College will be made aware of any new convictions whilst an individual is working with the College.

### Pay

We comply with all pay related legislation and the College is a Living Wage ~~Employer~~.

### Working Conditions

Our Health and Safety Team oversee the College's compliance with health and safety legislation across our campuses. We are committed to fair working practices and publish a range of policies and procedures setting out our approach to health and safety, well-being at work and family friendly- ~~arrangements,~~ ~~rights~~.

### Whistleblowing

All employees are encouraged to raise concerns about possible wrongdoing or malpractice within the College and will be protected from any reprisals should they choose to make such a disclosure. This commitment is set out in the College's Public Interest Disclosure Policy.

## ADDITIONAL INFORMATION

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### Training

The College requires all procurement and HR managers to complete training on modern slavery as a module. This training will include Colleges purchasing practices, how to assess / identify the risk of slavery and human trafficking, what external assistance is available and what steps to take if manager suspects human trafficking and slavery to be taking place.

### Awareness-raising Programme

As well as training relevant staff, the College has raised awareness of modern slavery issues by advertising the issues it raises -on -the -staff -and student- intranet sites.

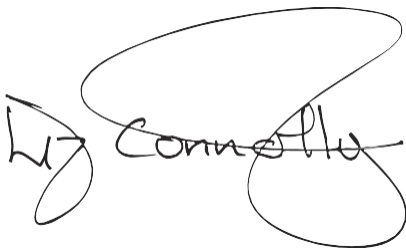
### Breaches

Any alleged violations of human rights by our employees will be fully investigated and disciplinary action, up to and - including dismissal, will be taken where appropriate. We will take action to address any human rights breaches identified in our supply chain, which may include terminating a supplier's contract where serious violations are -discovered.

### Our Effectiveness in Combatting Slavery and Human Trafficking

We will regularly review the effectiveness of the measures set out in this statement in combatting slavery and human trafficking.

This statement was approved on ~~4 February 2019~~ 22 March 2021 by the College's Board of Management who review and update it annually.

A handwritten signature in black ink that reads "Liz Connolly". The signature is written in a cursive style with a large, looping flourish at the end.

### Liz Connolly

Principal and Chief Executive

**TITLE: PEOPLE STRATEGY**

**Background:** The Board of Management previously approved the College People Strategy 2016-2019. It was agreed that the previous Director, Organisational Development and HR would review and update the Strategy prior to retirement in February 2021 and this has been completed. The refreshed People Strategy document is now provided for review and consideration and incorporates tracked changes.

The five core objectives of the Strategy remain the same, and the focus over the next 12 months will be on the delivery an operational plan.

It is proposed that a report be provided to the March 2022 Corporate Development Committee meeting outlining progress in delivering the People Strategy over the 12 month period - and that an updated People Strategy covering the period to 2025 - in line with overall the College Strategy – also be presented at that time.

**Action:** Following consideration at the 9 March 2021 Corporate Development Committee, the Board of Management are requested to consider:

- the refreshed 2021-22 People Strategy; and
- the proposed approach to reporting progress on the People Strategy and updating this in March 2022

**Lead:** David Alexander, Vice Principal Operations

**Status:** Open



# West College Scotland

## People Strategy

2021-2022



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# People Strategy 2021 -2022

## 1. Introduction

West College Scotland delivers learning and vocational training to the West Region of Scotland, a catchment area of 1.2 million people, representing 23% of the resident population of Scotland. We have an important presence and deep roots in our main towns of Paisley, Clydebank and Greenock. Our 'footprint' stretches from Oban to Barrhead.

West College Scotland is committed to taking a leadership role in the West of Scotland and, together with partners and stakeholders, tackling significant social and economic deprivation which still characterises many of the towns and communities across the region. The College works across local authority boundaries and engages formally with seven authorities.

As one of Scotland's largest Regional Colleges, we provide education and training to over 20,000 students. The College manages total funds of ~~almost~~ £70m and we employ ~~1120~~ almost 1,200 staff.

The College is one of the Region's largest employers and is uniquely placed to help shape the West Region's educational landscape and contributes to its social and economic development. The College adds £13m to the region's annual economic output and spends £4~~7~~<sup>3</sup>m in salaries every year.

At West College Scotland, we recognise the key role that Organisational Development and HR plays in the development, improvement and success of our College.

## 2. Strategic Priorities

~~Our vision of a "Collective ambition, pride and passion to be a vibrant and dynamic College – providing excellent education, training opportunities and services for our students, customers and communities" will be achieved by implementing the College's 11 Strategic Priorities. At the heart of our strategic priorities are our Ambitions, which include:~~

- ~~• To have an engaged, flexible and modern workforce that is proud to work for West College Scotland~~

~~This People Strategy is specifically aligned to and supports the implementation of the following Corporate level Strategic Priorities:~~

### ~~2.1. Inspirational and Innovative~~

### **Strategic priority 1**

We will provide education and training in inspirational and innovative ways to engage and meet the diverse needs of our students.

#### **Strategic Objectives 1 & 2:**

- To ensure a culture of inclusiveness is embedded throughout the College, promoting equality, appreciating diversity and giving every student the chance to reach their full potential.
- To develop a culture of continuous self-evaluation, involving staff and students, which will focus on improvement and development.

## **2.2. Supporting Success**

### **Strategic priority 4**

We will support the development of our staff to achieve successful outcomes for ourselves, our students and the college.

#### **Strategic Objectives 3, 4 & 7:**

- To promote the continual professional development of staff, enhancing their capacity, capabilities, skills and expertise
- To support staff to work successfully with digital technologies
- To be an employer of choice, with positive staff relations at the heart of what we do, working in partnership with staff who are determined to make a difference and are committed to the purpose of the College.

## **2.3. Securing our future**

### **Strategic Priority 8**

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

#### **Strategic Objective 3:**

- To ensure staffing and resources match curriculum development and support needs and meet activity targets effectively and efficiently.

The People Strategy will support the Strategic Priorities and Objectives through the following core Organisational Development and HR professional areas:

- Equality, Diversity and Inclusion: Strategic Priority 1
- Learning and Development: Strategic Priority 4
- Employee Relations: Strategic Priority 4
- Resourcing and Talent Planning: Strategic Priority 8
- Health Safety and Wellbeing: Strategic Priority 4

We are an innovative and ambitious College that wants to play an increasing role in a new landscape that will be re-shaped by changes in technology, demographics, digitisation and automation. We have identified 4 key strategic priorities:

- **PERSONALISATION**

We will deliver the skills solutions that employers are looking for and the learning outcomes that students want, in a way that suits individual students

- **COLLABORATION**

We will build the immersive relationships and make the connections that enhance value for customers and stakeholders by creating learning pathways, developing new delivery partnerships and integrating learning into wider local strategies.

- **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

- **DIGITAL**

We will ensure that the College has the digital capacity and capabilities to deliver in a modern economy

The People Strategy will be implemented and delivered through the following core Organisational Development and Human Resources professional areas:

- Equality, Diversity and Inclusion
- Learning and Development
- Employee Relations
- Resourcing and Talent Planning
- Health, Safety and Wellbeing

### 3. Regional Outcome Agreement

The People Strategy also supports the implementation of the College Regional Outcome Agreement ~~2014-2017~~ 2020-21 in respect of the following ~~objectives~~ areas:

- ~~Efficient and Sustainable Regional Structures~~
- ~~High Quality and Efficient Learning~~
- ~~A Developed Workforce~~
- Health and Wellbeing
- Equalities and Inclusion
- Public Health Emergency

### 4. Organisational Development and HR Strategic Objectives

#### 4.1. Equality, Diversity and Inclusion

#### 4.1.1. Where are we now?

~~Equality is a fundamental principle which underpins College Strategy, procedures and processes.~~

Equality is a fundamental part of everything that we do. We are committed to creating a positive environment where everyone is treated with dignity and respect, and where stakeholders have an equal opportunity to reach their potential.

The College systematically mainstreams equality, diversity and inclusion in its relationship with staff and students. All policies are Equality Impact Assessed. The College assesses the fairness and effectiveness of equality policies through workforce monitoring. All staff have a sound understanding of equality and diversity through mandatory training.

#### 4.1.2. Where do we want to be?

We aim to cultivate and maintain an inclusive ~~organisation~~ environment which respects and encourages diversity in all of its activities, as well as ensuring access regardless of an individual's protected characteristics.

#### 4.1.3. How do we get there?

The College will be proactive in removing barriers ~~for its staff and students to enable them to achieve their potential~~ to enhance a personalised approach which supports how we adapt and respond to our diverse stakeholders. We will survey staff and students to prioritise actions we may need to take.

#### 4.1.4. How will we recognise success?

The College will systematically review and monitor the advancement of equality, diversity and inclusion in all its processes for staff and students. The outcomes will be reported in the ~~Organisational Development and HR~~ Annual HR Report using recognised metrics.

### 4.2. Learning and Development

#### 4.1.5.4.2.1. Where are we now?

The College has a comprehensive learning and development programme which meets short term business critical requirements ~~but needs to take a more structured longer term approach~~ and year-on-year is building a long-term structured approach to building the skills capacity of the workforce. This work needs to continue to ensure we create an environment and culture where individuals and teams can achieve their potential and ultimately the success of our students.

#### 4.1.6.4.2.2. Where do we want to be?

As national policies, student and employer demand, and patterns of provision change, the College needs to be able to proactively identify a range of up-to-date and flexible courses which reflect the needs and meet the changing expectations of students and employers, enabling reskilling and upskilling for the future of work and a more digital world. Adapting to such changes in demand poses challenges for staff and managers who need to take responsibility for their own continuing professional development.

~~The challenges of “Putting Learners at the Centre — Delivering our ambitions for Post 16 Education” — and further working with joint partner organisations, will mean that staff need to continue to develop new skills and different ways of working.~~

We need to ensure that people at all levels of the organisation are motivated to learn, grow and prosper and that they possess and develop the skills, knowledge and experience required to fulfil ~~short and long term~~ the ambitions of the College. We support the delivery of the College’s strategy through the identification of strategic learning priorities and put plans in place to address them. ~~and are motivated to learn, grow and prosper.~~

The College recognises the need to develop the leadership potential of its managers in order to continue to succeed in an increasingly complex and financially constrained environment and equip them with the necessary skills and behaviours to achieve their potential ~~and maximise their talent~~, ensuring their effective leadership enables all employees to perform to the best of their capability.

#### 4.1.7.4.2.3. **How do we get there?**

##### a) **Identification of strategic learning priorities**

- Determine strategic learning priorities through assessing gaps in workforce ability to deliver against College strategic objectives.

##### a)b) **Develop Learning and Development Plans**

- Collect and analyse data on learning needs and tailor learning offer as appropriate
- ~~Ensure career management process provides fair access of opportunity to all.~~
- Develop an action plan to address agreed strategic learning priorities
- Identify any reskilling or upskilling required for the future of work and put plans in place to address.

##### b)c) **Design and Delivery of Learning and Development Interventions**

- Ensure best use of innovative learning solutions to improve capability
- Provide a diverse learning approach to meet group and individual requirements across the organisation
- Manage learning and a training records system to highlight retraining requirements and safety critical skills in compliance areas.

##### c)d) **Leadership Development**

- Promote a culture in which leadership skills are valued and encouraged and are aligned to the strategic vision and values
- Develop approaches to enhancing leadership and management skills, with an emphasis on change management and preparing for the future of work
- Design and deliver leadership training and other interventions to ensure senior and potential leaders have appropriate experience and capability as individuals and as a Leadership-Senior Management Team to fulfil the Organisation's strategic ambitions.

#### e)e) Talent Management

- Work with employees and management to ensure talent management procedures are embedded at work appropriately
- Identify key roles, determine any gaps in succession planning and put plans in place to address them.
- Ensure succession processes provides fair access of opportunity to all

#### f) Digital

- Make the JISC Discovery Tool available to all staff in order to self-assess digital capability
- Ensure appropriate training, including online learning, is available to all staff in order to maximise the digital capability of the workforce and to support the delivery of the College Digital strategy
- Provide appropriate pedagogical digital training to facilitate the integration of digital platforms into curriculum offerings
- Embed the JISC Discovery Tool into the Continuing Professional Development Review (CPDR) process

#### e)g) Professional Standards

- Embed the Professional Standards for Lecturers into the (CPDR) process for teaching staff
- Source and develop appropriate pedagogical training for teaching staff
- Build further on the Development Journey for Lecturers
- Revise the CPDR process and embed frameworks such as JISC Discovery, Professional Standards for Lecturers, WCS Leadership Standards and a framework for Support Staff development within WCS.

#### 4.1.8.4.2.4. How will we recognise success?

We will evaluate the learning impact. This shall be done by capturing and analysing data from learning and development interventions and through external accreditation.

We will also look for indicators of improvement in Staff Survey feedback.

We will monitor candidates appointed internally and externally.



### **4.3. Employee Relations**

#### **4.1.9.4.3.1. Where are we now?**

The College has good working relations with recognised trade unions based on the values of mutual respect and trust. Formal channels of consultation and negotiation are based on Local Recognition and Procedure Agreements which include monthly Consultation and Negotiation meetings with trade union representatives during term time. Agreed Committee minutes are posted on the College intranet. ~~Board members are provided with copies of the minutes at meetings of the HR and Corporate Development Committee.~~ These formal arrangements are complemented by regular informal, open agenda meetings with trade union representatives. The College engages with trade unions at an early stage when proposing changes to procedures, practices and organisational design.

#### **4.1.10.4.3.2. Where do we want to be?**

The College wants to maintain positive employee relations at a local level in a challenging financial environment that has been significantly influenced by ~~the introduction of~~ national bargaining. The culture of the College reflects the ambitions and expectations outlined in the Building our Collective Future Framework, and this is demonstrated through employee behaviours and actions at all levels in the College.

#### **4.1.11.4.3.3. How do we get there?**

Formal collective arrangements complemented by regular informal, open agenda meetings with local trade union representatives will continue. Informal resolutions to disagreements and grievance will always be considered in the first instance.

The College will continue to share sensitive information with trade union representatives in the confidence that they will recognise the best interests of the College and their members.

We work with our recognised trade unions to build and influence the culture in line with the Building our Collective Future Framework.

#### **4.1.12.4.3.4. How will we recognise success?**

The College will measure the success of their approach to employee relations by monitoring the use of collective and individual procedures. This will be analysed in the Annual HR Report made available to the Board of Management and staff.

### **4.4. Resourcing and Talent Planning**

#### 4.1.13.4.4.1. Where are we now?

As a ~~publically~~publicly funded body, the College has ensured that its recruitment ~~and workforce planning procedures and workforce planning procedures~~ reflect good practice. The College operates a fair and objective recruitment and selection procedure which places emphasis on individual skills, abilities and experience. The College has been awarded the ~~“Two Tick Positive About Disability”~~Disability Confident Status, whereby candidates who meet the essential criteria are guaranteed an interview. Selection criteria are reviewed regularly to ensure that it is justifiable and essential for effective performance of the role.

#### 4.1.14.4.4.2. Where do we want to be?

The College wishes to ensure that it secures, develops, retains and effectively manages enough 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 backgrounds, heritages, generations and lifestyles. We want to ensure that applicant behaviours and values are given equal importance to qualifications and skills during the recruitment and selection process.

The College wishes to be an “Employer of Choice” by becoming recognised for its ~~positive working environment and conditions of employment strong and participative culture, attractive conditions of employment and as an employer who cares about the health and wellbeing of its people.~~

The College wishes to develop and fully implement a strategic workforce planning framework to underpin and inform the future review and development of curriculum and support functions, taking account of all external and internal factors.

We want our staff to embrace digital technologies and new innovations for enhanced service delivery and effective working practices.

#### 4.1.15.4.4.3. How do we get there?

The College will deliver a comprehensive and developmental induction programme to all new recruits which fully integrates people into our culture and quickly makes new recruits effective employees.

~~The College will review local terms and conditions of employment to ensure that it continues to attract and retain well-qualified, experienced and motivated staff and will promote the benefits including non-monetary rewards.~~

In particular the College recognises that many staff have domestic and other caring responsibilities which means they cannot commit to traditional working patterns. The College will ensure that its employment practices promote provisions for flexible working, part time working and other family

friendly procedures in order that staff may achieve an appropriate work life balance.

The College will develop an employer brand by identifying and articulating the organisation's core values and behavioural expectations. Existing and prospective employees will be advised about the organisations values and behavioural expectations. The college will ensure that the values and behavioural expectations permeate the College procedures and processes. It will develop ongoing communication and engagement plans to ensure that employees and other stakeholders understand and respect the organisations values and behavioural expectations; disseminating key messages. The College will utilise survey feedback tools and software to gather feedback from employees on their experiences, using the information gathered to make evident changes that improve the working lives of our staff. ~~listen to feedback from staff to inform decisions.~~ The College will assess the overall current and future resource and talent levels within ~~Faculties Sectors~~ and Departments through workforce planning. This will result in planning to fulfil resourcing and talent needs across the College.

The College will implement a Workforce Plan which complies with best practice as defined in Audit Scotland's Public Sector Workforce Good Practice Guide.

The Workforce Plan will be monitored by the College Executive and HR and the Corporate Development Committee.

The College will implement the outcomes of the National Job Evaluation Scheme for Support staff to ensure an equitable approach to reward management.

#### **4.1.16-4.4.4. How will we recognise success?**

~~The College will provide reliable and relevant management information by analysing resource data such as turnover, retention, new starts. This will be compared against national benchmarks. The information will be analysed in an Organisational Development and HR Annual Report which will be made available to the Board and staff. The College will collect and analyse responses from employee surveys.~~

The College will provide accurate, easily accessible real time management information through developing the full capacity of the iTrent Payroll and HR System. This will enable less manual analysis of resource data such as absence, turnover, retention, new starts, length of service and age profile. This will be compared against national benchmarks. The information will be analysed in an Annual HR Report which will be made available to the Board of Management and staff.

## **4.5. Health, Safety and Wellbeing**

#### **4.1.17.4.5.1. Where are we now?**

The College is committed to maintaining a safe and healthy environment for students, staff, contractors and visitors in accordance with its statutory responsibility.

A Health and Safety Committee chaired by the Director, Organisational Development and HR is in place ~~has been established since merger~~ and includes both trade union and student representatives. Minutes are posted on the College intranet. Health and Safety Sub Committees have been established at ~~each of~~ the three College Campuses and these are chaired by an Assistant Principal.

~~The College commissioned Zurich Risk Engineering to carry out a review of current health and safety systems and processes against the key elements of the HSE Guidance HSG 65 "Managing Health and Safety" to assist with identifying good practices that can be replicated across the College and areas that may require further attention. Zurich submitted the report to the College in February 2015.~~

-The College has also been accredited with the Scottish Government's Healthy Working Lives Gold Award. This scheme is an outcome focused approach to support employers and employees to achieve a healthier and safer environment.

#### **4.1.18.4.5.2. Where do we want to be?**

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 College will maintain the Healthy Working Lives Gold Award accreditation and will continue to support wellness and wellbeing as well as providing supporting mechanisms when employees are unwell. Health and wellbeing initiatives will be provided in partnership with the Student's Association.

People managers are confident to discuss wellbeing matters with their employees and take appropriate action.

Employees believe that their wellbeing is important to, and supported by, the College.

#### **4.1.19.4.5.3. How do we get there?**

~~The College has developed an Action Plan to implement the Zurich Report and progress will be reported to the Organisational Development and HR Committee. The health and safety structure, policy and arrangements will be developed in line with the Health and Safety HSG 65 Guidance adopting the principles of Plan, Do, Check, Act. The College will continue to promote healthier life styles improving physical and mental health.~~

The health and safety structure, policy and arrangements will be developed in line with the Health and Safety HSG 65 Guidance adopting the principles of Plan, Do, Check, Act.

We will support managers and staff in maintaining and achieving appropriate levels of competency and knowledge in health and safety to enable effective risk management.

The College will implement the Employee Health and Wellbeing Strategy to support the delivery of health and wellbeing programmes and initiatives, including upskilling of managers to be more confident to initiate conversations relating to physical, social and mental wellbeing.

#### **4.1.20.4.5.4. How will we recognise success?**

The College will successfully ~~implement the Zurich Report and~~ maintain the Healthy Working Lives Gold Award ~~and. It will also~~ use recognised metrics to measure the success of the approach to health, safety and wellbeing. This will be analysed in ~~an Organisational Development and HR~~ the Annual HR Report made available to the Board and staff.

## **5. Implementation of People Strategy**

~~The People Strategy will be implemented through the Annual College Operational Planning process. Ordinarily Plans will be drafted during January and February of each year. The Executive will approve the Plans in April of each year.~~

The People Strategy will be underpinned by a detailed implementation plan which sets out clear actions, timescales and measures of success.

## **6. Monitoring and Review of People Strategy**

The ~~Organisational Development and HR Committee~~ Corporate Development Committee will be responsible for monitoring the implementation of the People Strategy on an Annual basis.

When reviewing progress, the Committee should:

1. Ensure that activities are kept within the parameters of the agreed strategic priorities;
2. Ensure that activities are consistent with the College's vision, ambitions, culture and values;
3. Keep under review internal and external changes which may require adjustments to the People Strategy or affect the ability to achieve the objectives.

**TITLE:** **PROCUREMENT STRATEGY 2021-2025**

**Background:** The purpose of this report is to present to the Board of Management the revised Procurement Strategy 2021-2025. The document was considered and approved for presentation to the Board of Management by the Corporate Development Committee on 9 March 2020.

**Action:** The Board of Management is requested to approve the Procurement Strategy 2021-2025.

**Lead:** David Alexander - Vice Principal, Operations

**Status:** Open

## 1. Introduction

- 1.1 In December 2016 the College Board of Management approved the College Procurement Strategy 2016-2020. The Board of Management has through the Annual Strategy and Procurement Update Report been kept informed of the progress that the College has made in regard its procurement activities and the changes to the legislative regime. These annual reports provided an update on the developments and achievements of the Procurement Department, and the wider College, in embedding the strategic procurement objectives set within the Procurement Strategy.
- 1.2 The Procurement Strategy 2021-2025 builds on the developments and innovations achieved to date, resets the procurement vision for the College and provides an understanding of the strategic objectives and priorities and how these will be achieved. The document supports the delivery of the College Corporate Plan 2019-2025, achievement of Regional Outcome Agreement priorities and improvements arising from the 2019 Procurement and Commercial Improvement Programme (PCIP) review.
- 1.3 The revised Strategy is based upon the latest guidance issued by the Scottish Government and by Advanced Procurement for Universities & Colleges (APUC). It identifies several on-going requirements and key outcomes going forward, focusing upon the importance of a College wide collaborative approach that is technology and process driven combined with performance management to deliver the required procurement improvements.
- 1.4 One of the key changes in the procurement landscape is the UK exit from Europe as from 31 December 2020. The latest Scottish Public Procurement Notice (11/2020) made it clear that the previous procurement procedures (to advertise contracts, observe minimum timescales and follow rules on technical specifications and award criteria) to which the College operates will remain fundamentally unchanged:
- Whilst public bodies will no longer be required to publish notices in the Official Journal of the European Union (OJEU), these notices will need to be published on a new UK e-notification system called Find a Tender Service (FTS[3]) instead
  - Procurement threshold values for contracts subject to procurement legislation and for publishing notices, sometimes referred to as OJEU thresholds, remain unaltered. The next review of the thresholds will be implemented by January 2022
  - The requirement to afford equal treatment to bidders from countries which are signatories to the World Trade Organisation's Government Procurement Agreement will also remain

1.5 Another change in the procurement landscape is the increased emphasis on how the College is utilising procurement to address longer term sustainability issues including the climate change crisis. The requirement to comply with the sustainable procurement duty has always been there and requires that before the College buys anything, it must think about how it can improve the social, environmental and economic wellbeing of the area in which it operates, with a particular focus on reducing inequality. These requirements were already built into the College operating procedures and the revised Procurement Strategy emphasises how going forward the College will continue to engage and address these requirements.

## 2. Procurement Strategy 2021-2025

2.1 Efficient and effective procurement has been identified as a key priority in seeking to meet best value requirements, achieve efficiencies and deliver required outcomes. The Procurement Strategy 2021-2025 applies to all goods, services and works which are procured throughout West College Scotland, and seeks to ensure procurement practices are developed on a continuous basis to meet the challenges ahead in line with strategic requirements.

2.2 The Strategy at *Appendix A* has been written based on the legislative requirements of the Procurement Reform (Scotland) Act 2014 and other relevant legislation.

2.3 The Strategy addresses in full the key elements of the legislation:

- To publish a Procurement Strategy and Action Plan
- To maintain a public contracts register on the College external website
- To increase the scope of College regulated procurements
- To publish an Annual Procurement Report
- To meet the sustainable procurement duty

2.4 The College has over the life of the previous Strategy achieved much, and it is upon these achievements that this Strategy is presented to the Board of Management for consideration. Over the course of the last 5 years the College has:

- Created a professional Procurement Team who have embedded themselves into the operation of the College
- Moved from a 2014 Procurement Capability Assessment (PCA) score of 49% to 76% (Gold standard) under the 2019 Procurement and Commercial Improvement Plan (PCIP) assessment
- Reduced the level on non-regulated expenditure from 43% to the current level of 31% with the aspiration to reduce this even further
- Delivered financial savings of £80,000 per annum each year over the life of the Strategy
- Increased the general awareness of staff of the requirement and benefits of undertaking compliant procurement exercises
- Delivered a range of community benefits to the College including offer of IT equipment to students, provision of speakers from external organisations, student visits to suppliers' premises, on-site training by suppliers and reductions in packaging and transport impacts



2.5 The next PCIP review is due to be completed by December 2021. The College plans to make progress following on from the 2019 assessment with emphasis on areas where further improvement can be made. These areas include the following:

- Further embedding of sustainable procurement
- Continued development of contract and supplier management across all significant contracts
- Development in the measuring of contract performance
- Further increase of contract coverage for potential influenceable spend

2.6 The Strategy sets four objectives with each one having several related actions enabling progress to be monitored. These actions along with the related timescale will be set out in an Action Plan which will be created for the start of the new academic year in August 2021.

2.7 The objectives identified in the Strategy are to:

**1) Robust and Transparent Contract Renewal, Monitoring and Supplier Management Process**

*To adhere to the Scottish Government Procurement Journey guidance and ensure full compliance through application of the Procurement Reform (Scotland) Act 2014, the Public Contracts (Scotland) Regulations 2015 and the Procurement (Scotland) Regulations 2016.*

**2) Efficiency and Effectiveness**

*To secure value for money by working closely with the people who use the goods, services and supplies that the College requires to: (a) articulate their requirements early in the process; (b) deliver financial savings; (c) generate community and other benefits; and (d) identify and promote collaborative and shared services opportunities.*

**3) Sustainable Procurement**

*To embed sound ethical, social and environmental policies within the procurement function and to comply with relevant Scottish, UK and EC legislation in performance of the sustainable procurement duty. The College will treat all suppliers fairly, equally and without discrimination through making procurement transparent and accessible to all businesses especially Small and Medium Sized Enterprises (SMEs), the third sector and supported businesses.*

**4) Skills Enhancement**

*To seek out professional development opportunities to enrich and enhance experience and capability of procurement practitioners and to work with the supply chains to ensure continued value, managed performance and minimal risk throughout the life of contracts for the benefit of customers and students.*

- 2.8 The key to the successful implementation of this Strategy is the continued engagement with all staff who are involved in the procurement of goods and services on behalf of the College. The Strategy is not only about the Procurement Department working in partnership with our staff but also requires collaboration with key partners across the wider education and public sector.
- 2.9 Through working together, the Procurement Strategy will significantly contribute to the future sustainability of the College through the reinvestment of resulting savings and efficiencies from procurement activities to enhance our students learning experiences and outcomes and to meeting the strategic objectives / priorities as set out in the College's, Mission, Vision, Values and Ambitions.

### **3. Next Steps**

- 3.1 The Board of Management is requested to approve the Procurement Strategy 2021-2025.
- 3.2 Following approval of the Procurement Strategy 2021-2025 the College will:
- a) Transfer the objectives and actions onto the Pentana Management system for monitoring and reporting purposes
  - b) Create the required Action Plan based upon the approved four strategic priorities including key performance indicators. This action plan will also be transferred onto the Pentana Management system for review and monitoring purposes.
  - c) Engagement and publicity with staff on the objectives of the new Strategy will be key and several meetings will be held with key stakeholder groups
  - d) The Board of Management will be kept up to date through the Annual Strategy Update Report and the Annual Procurement Report
  - e) Participate in the PCIP review due to be undertaken by December 2021



# Procurement Strategy

## 2021-2025



# **COLLEGE CORPORATE PLAN 2019-2025**

## **Our Vision**

Collective Ambition

Pride and Passion

Inspirational and Innovative

## **Our Mission**

Providing excellent education and training opportunities and services for our students, customers and communities

## **Our Strategic Objectives**

Personalisation

Collaboration

Agile and Adaptive

Digital

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## 1. Executive Summary

- 1.1 Recognising that effective and efficient procurement will positively support the College in achieving its priorities, this Procurement Strategy provides a corporate vision, direction and focus for all procurement activities in the College.
- 1.2 The College's vision for procurement is *'To provide a professional customer focused service, driving legislative compliance, maximising the use of resources, promoting efficiencies and innovation, improving teamwork and communication across the College, capturing savings and adopting sustainable practices which enhance equality and diversity.'* The Procurement Strategy will therefore assist the College in demonstrating best value, continuous improvement, sound performance management, partnership working, community benefits and sustainable development.
- 1.3 The Procurement Strategy has been developed in line with College's Corporate Plan 2019-2025 which sets the College's strategic direction and priorities. The Strategy identifies the outcomes that the College aim to achieve, explains how it will deliver these outcomes and sets out the main challenges that the organisation will face across the next four years to July 2025.
- 1.4 As with all public sector organisations, the College is facing significant financial pressures. Procurement activity will be paramount in delivering service provision that has the greatest positive impact upon the students, staff and other stakeholder of the College.
- 1.5 The Procurement Strategy provides a clear and well-structured approach to the College's procurement activities outlining what will be done, how and when it will be achieved. In developing the Procurement Strategy, the following four strategic objectives have been set:

### **1) Robust and Transparent Contract Renewal, Monitoring and Supplier Management Process**

*To adhere to the Scottish Government Procurement Journey guidance and ensure full compliance through application of the Procurement Reform (Scotland) Act 2014, the Public Contracts (Scotland) Regulations 2015 and the Procurement (Scotland) Regulations 2016.*

## **2) Efficiency and Effectiveness**

*To secure value for money by working closely with the people who use the goods, services and supplies that the College requires to: (a) articulate their requirements early in the process; (b) deliver financial savings; (c) generate community and other benefits; and (d) identify and promote collaborative and shared services opportunities.*

## **3) Sustainable Procurement**

*To embed sound ethical, social and environmental policies within the procurement function and to comply with relevant Scottish, UK and EC legislation in performance of the sustainable procurement duty. The College will treat all suppliers fairly, equally and without discrimination through making procurement transparent and accessible to all businesses especially Small and Medium Sized Enterprises (SMEs), the third sector and supported businesses.*

## **4) Skills Enhancement**

*To seek out professional development opportunities to enrich and enhance experience and capability of procurement practitioners and to work with the supply chains to ensure continued value, managed performance and minimal risk throughout the life of contracts for the benefit of customers and students.*

- 1.6 This Procurement Strategy has been informed by Scottish Government statutory guidance with the support of the Further Education Centre of Procurement Excellence - Advanced Procurement for Universities and Colleges (APUC). It will be subject to an annual progress update which will be reported to the Board of Management.
- 1.7 The effectiveness and impact of this Strategy will also be measured via the Scottish Government Procurement and Commercial Improvement Programme (PCIP) which is currently undertaken every two years, thereby ensuring a culture of continuous improvement.
- 1.8 The Strategy was approved by the Board of Management on the 22 March 2021 and was subsequently published on the College website.

## 2. Introduction

- 2.1 As Scotland's second largest Regional College, West College Scotland provides education and training to almost 20,000 students. The College manages total funds of £70m and employs approximately 1,200 staff.
- 2.2 The College delivers learning and vocational training to the West Region of Scotland, a catchment area of 1.2 million people, representing 23% of the resident population of Scotland. The College has an important presence and deep roots in our main towns of Paisley, Clydebank and Greenock, and our footprint stretches from Oban to Barrhead. The College is committed to taking a leadership role in the West of Scotland and, together with partners and stakeholders, tackling significant social and economic deprivation which still characterises many of the towns and communities across the region.
- 2.3 The College is one of the Region's largest employers and is uniquely placed to help shape the West region's educational landscape and contribute to its social and economic development. The College wishes to exploit its scale and capacity to maximise its impact as a leader and influencer across the region and the wider College sector. While students are at the heart of what it does, the College wants to attract business at home and from abroad, and it seeks to build a reputation which is recognised for being innovative, enterprising and modern.
- 2.4 The College recognises the key role that procurement has in underpinning the development, improvement and success of the College. The successful implementation of this Strategy will only be achieved by those involved in the procurement of goods, services and works working in partnership internally, and externally, working collaboratively with partners across the wider education and public sector. Collaborative working will contribute to the future sustainability of the College activities and allow the reinvestment of the resultant savings and benefits to enhance student learning experiences and meet the College Corporate Plan objectives.
- 2.5 All public bodies, including colleges, have been tasked by the Scottish Government to develop their own net-zero plans to meet its key pledge to end the nation's contribution to the climate crisis by 2045. The College along with the wider public sector has significant purchasing power through which it can influence products, services, supply chains and investment decisions. Sustainable procurement is a key consideration for the College. The statutory [sustainable procurement duty](#) was introduced by the Procurement Reform (Scotland) Act 2014. This duty requires the College to consider how it can use the procurement process to improve the



economic, social, and environmental wellbeing of the College's area; to facilitate the involvement of small and medium enterprises, third sector bodies and supported businesses in the process; and to promote innovation.

- 2.6 This Procurement Strategy states how the College intends to comply with the sustainable procurement duty and will through the [Annual Procurement Report](#) show how its procurement policies and activities have taken into consideration or contributed to carbon emissions reduction targets, climate change adaptations and how the College is ensuring that its procurement activity is sustainable.
- 2.7 This Strategy provides the framework and direction to ensure that procurement is at the heart of addressing the Scottish Government policy objectives, and that the Procurement Department continues to develop and comply with all legislative requirements.

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### 3. Procurement Vision

*'To provide a professional customer focused service, driving legislative compliance, maximising the use of resources, promoting efficiencies and innovation, improving teamwork and communication across the College, capturing savings and adopting sustainable practices which enhance equality and diversity.'*

- 3.1 The role of the Procurement Department is to provide professional, qualified procurement expertise, advice and services for all spend with external suppliers. This will be undertaken in compliance with the Procurement Reform Act 2014, the Public Contract (Scotland) 2015 Regulations, the Procurement (Scotland) Regulation 2016 and any other legislative requirements.
- 3.2 The Department will procure all goods, services and works, with high ethical standards focussed on social, economic and environmental considerations by applying principles of sustainable procurement. As part of that role the Department will:
- Develop, promote and implement the Procurement Strategy, individual commodity procurement strategies and procedures.
  - Comply with all equality legislation as it applies to procurement practices.
  - Deliver value for money and quality to meet the end user's requirement.
  - Maintain or enhance previous PCIP ranking scores.
  - Monitor that modern slavery and human trafficking is not taking place in any parts of the College's supply chain.
  - Embed relevant and proportionate sustainability requirements in the development of frameworks and contracts.
  - Promote and engage in the implementation of relevant technology solutions, including e-procurement, to minimise purchase to pay costs.
  - Engage effectively with Centres of Expertise and Scottish Government in relation to issues of policy, practice, information sharing and collaboration.
  - Act as a central point of contact for College staff and our external suppliers in relation to all procurement and supply chain related topics.
  - Maintain a comprehensive Contract Register.
  - Maximise Community Benefits where appropriate and measure and monitor result.
  - Compliance to Supplier Charter and promote Workforce Matters (Living Wage) in alignment to statutory guidance.

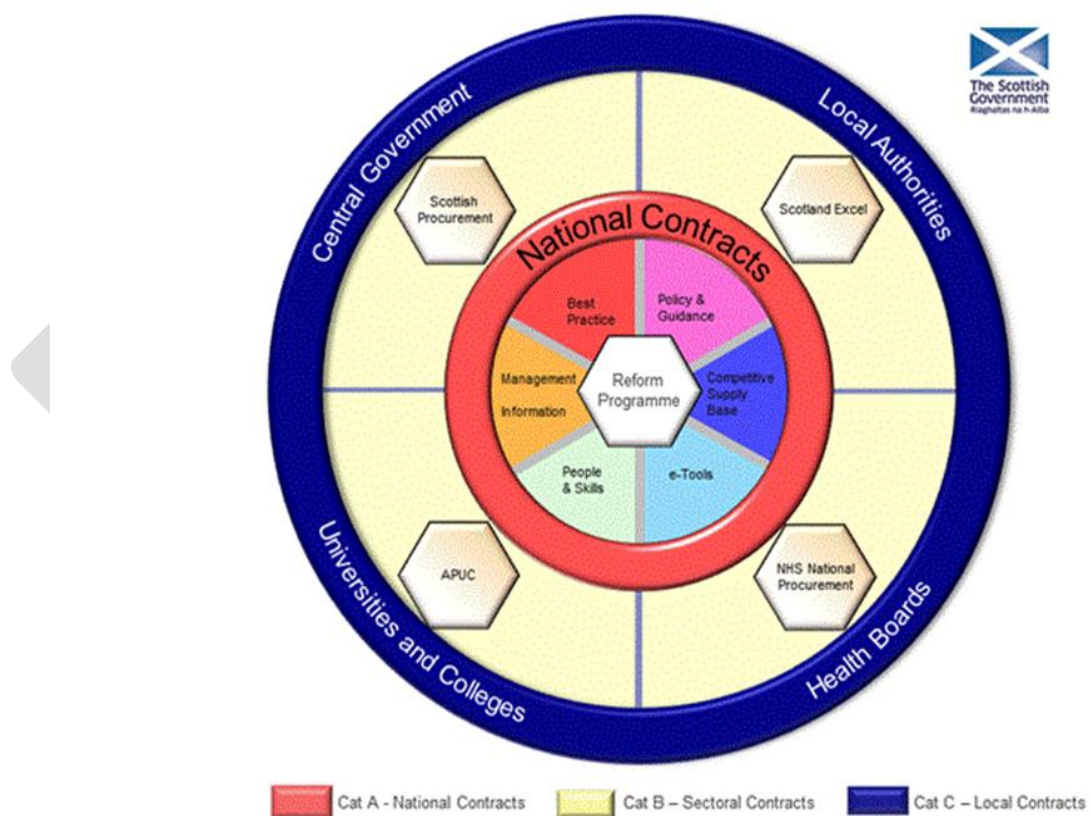
## 4. Strategy Context

4.1 Procurement is the process of acquiring goods, services or works. The process spans the whole life cycle of whatever is being purchased:

- From identification of needs and formation of a sourcing Strategy
- To options and supplier appraisals
- Through to the end of the contract or the useful life of an asset

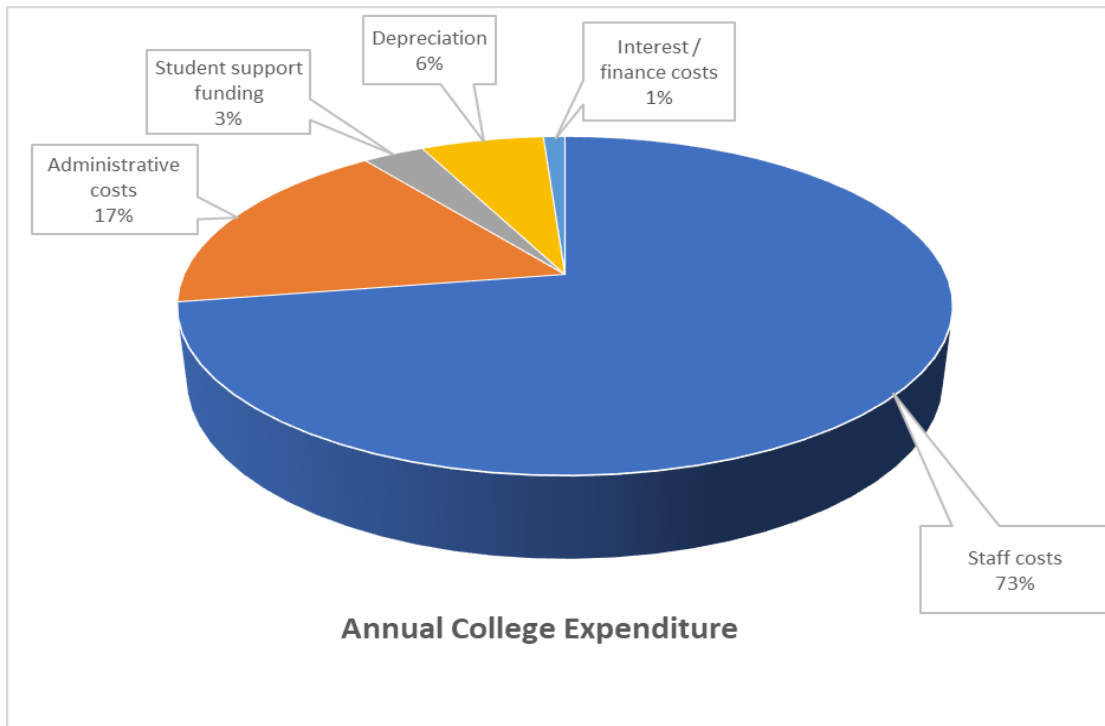
4.2 [Scottish Procurement and Property Directorate](#) is responsible for developing and overseeing a range of procurement activity, including implementing policy and setting up contracts and framework agreements for itself and the wider public sector in Scotland.

4.3 The diagram below shows the inter-relationship between the different public procurement organisations and their respective responsibilities.

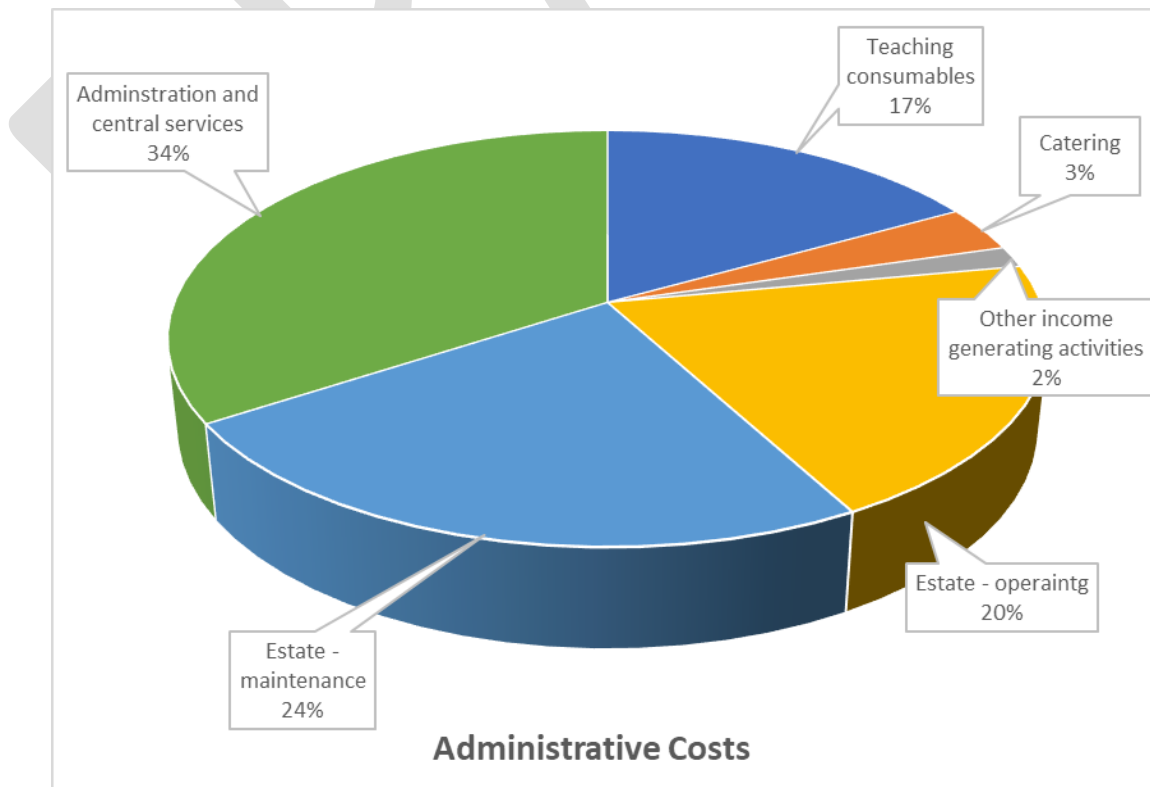


4.4 The Scottish Government in 2020 passed legislation which made the necessary changes to procurement regulations due to the UK leaving the European Union. The College will, in conjunction with APUC, continue to monitor and adapt to any further changes to procurement legislation over the life span of this Strategy.

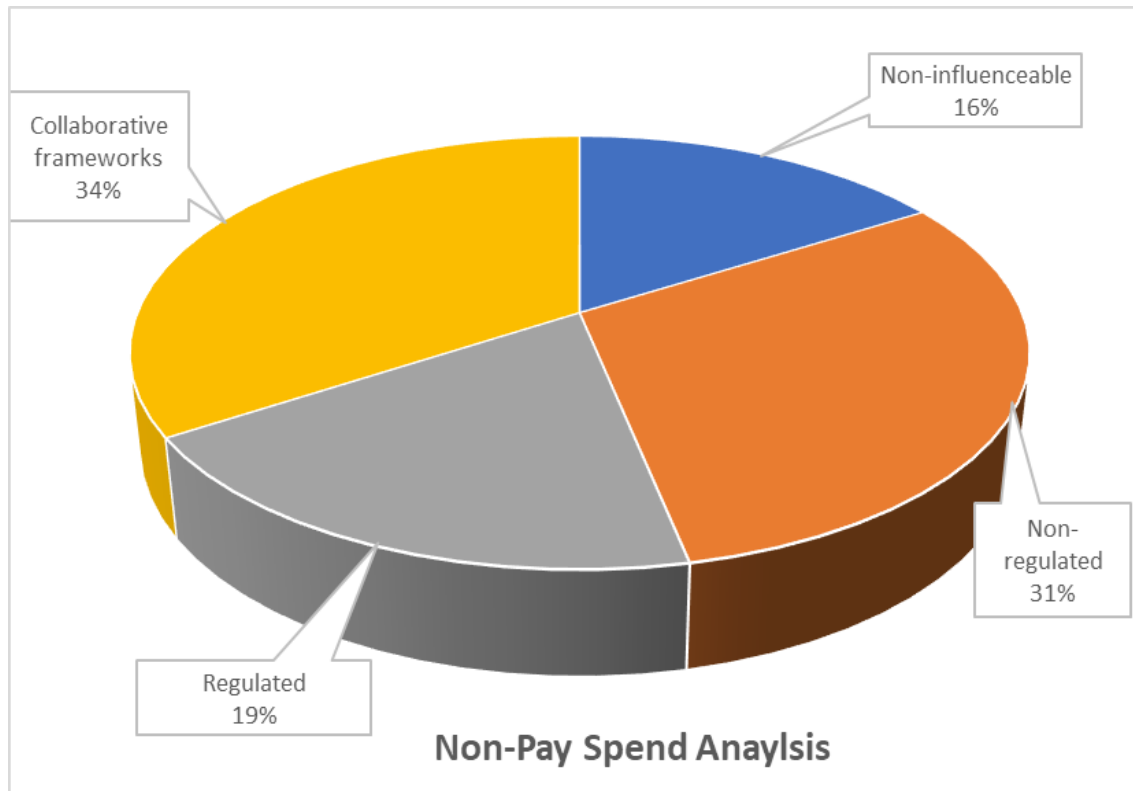
4.5 The College annually expends approximately £65m, with 100% of all spend processed through the finance system 'BluQube'. This expenditure is split as follows



4.6 The focus of this Procurement Strategy is to primarily influence the administrative costs incurred by the College which are split as follows:



4.7 Regarding how that College procures its goods and services the following chart provides an overview of the contractual arrangements in place:



4.8 As can be seen from chart at 4.7 above, 34% of non-pay expenditure is undertaken through collaborative contracts (operated by APUC or other centres of excellence and include national contracts for the provision of utilities). The College continues to increase the number and value of contracts which it creates with 19% of College spend now categorised as regulated. 16% of non-staff related expenditure is classified as non-influenceable spend and includes such items as exam fees, property rent and rates and VAT payments. For the College 69% of non-staff related expenditure is therefore subject to a form of contractual arrangement.

4.9 Non-regulated expenditure has been decreasing and now accounts for 31% of non-pay spend. This is due to the increasing levels of procurement engagement with stakeholders with key areas of development over the last Strategy being in relation to estates projects, catering supplies, recruitment services and IT software/hardware contract areas. This Strategy aims to continue and increase this level of procurement engagement thereby reducing the level of non-regulated procurement activity across the life of this Strategy.

4.10 The College will continue to use these policies, processes and procedures in delivering the Procurement Strategy objectives:

- [Scottish Model of Procurement](#)
- [Changes to European Directives](#)
- [Public Procurement Reform Programme](#)
- [Suppliers Charter](#)
- [EU Procurement Thresholds](#)
- [Procurement Journey](#)
- [PCIP](#)
- [Public Contracts Scotland](#)
- [Public Contracts Scotland – Tender](#)
- [Information Hub](#)

4.11 As a public sector body, the College advertise all contract opportunities with a lifetime value of £50,000 and above on the Scottish public sector portal (PCS). Suppliers must register with PCS to receive notification of possible contract opportunities. The supplier journey gives guidance and advice on tendering for public sector contracts in Scotland.

## 5. Strategic Objectives and Key Priorities

5.1 The four strategic procurement objectives which form the core of this Strategy are as follows and these will be fully embedded into all aspects of College operations:

### 1) Robust and Transparent Contract Renewal, Monitoring and Supplier Management Process

*To adhere to the Scottish Government Procurement Journey guidance and ensure full compliance through application of the Procurement Reform (Scotland) Act 2014, the Public Contracts (Scotland) Regulations 2015 and the Procurement (Scotland) Regulations 2016.*

This objective will be achieved by progressing the following key priorities:

- Developing and enhancing tools, templates, information and guidance for College staff involved in procurement, so skills will be further developed.
- Continuing to ensure that staff throughout the college continue to develop their procurement skills and training through provision of regular procurement awareness training to the Finance Team and to the wider College thereby developing working relationships within the College.

Success will be measured by:

- A reduction in non-regulated contractual spend.
- Production of an Annual Procurement Report including an update on how the College has complied with the Scottish Government's sustainable procurement duty.
- Ensuring procurement practices complies with legislation and good practice, as noted in the bi-annual PCIP review.

### 2) Efficiency and Effectiveness

*To secure value for money by working closely with the people who use the goods, services and supplies that the College requires to: (a) articulate their requirements early in the process; (b) deliver financial savings; (c) generate community and other benefits; and (d) identify and promote collaborative and shared services opportunities.*

This objective will be achieved by progressing the following key priorities:

- Developing and deploying procurement tools so that every procurement exercise continues to generate value for money.
- Ensuring feedback is secured from all procure exercises to inform improvements to process and practices

- Participating in the Scottish Government's Procurement and Commercial Improvement Programme (PCIP).
- Developing processes which make sure contracts are robust and robustly managed.
- Creating and having approved by the Senior Management Team a future year action plan and contract renewal calendar.

Success will be measured by:

- Reduced contract prices, without reduction in service, or getting more for the same price.
- Evidence maximising both cash and non-cash benefits from existing contracts and identifying new benefits like social and community benefits for any future contract opportunities.

### 3) Sustainable Procurement

*To embed sound ethical, social and environmental policies within the procurement function and to comply with relevant Scottish, UK and EC legislation in performance of the sustainable procurement duty. The College will treat all suppliers fairly, equally and without discrimination through making procurement transparent and accessible to all businesses especially Small and Medium Sized Enterprises (SMEs), the third sector and supported businesses.*

Complying with the College duties for sustainable procurement assists the College comply with other legislation that affects procurement, for example:

- The Equality Act 2010.
- The Climate Change (Scotland) Act 2009.
- The Climate Change (Duties of Public Bodies: Reporting Requirements) (Scotland) Order 2015.

The College will use the [sustainable procurement tools](#) to support all procurement. This will assist the College to:

- Identify risks and opportunities before commissioning suppliers.
- Understand the scope for sustainability outcomes.
- Optimise our ability to influence sustainable outcomes.

This objective will be achieved by progressing the following key priorities:

- Continued development of individual commodity strategies to embed sustainability into contracts, for example energy efficient product specifications.



- Maximising opportunities for SMEs, the third sector and supported businesses to participate in procurement.
- Develop internal training and guidance to reduce demand for goods and services by cutting down on waste and encouraging reuse and re-cycling and use of the least environmentally damaging goods and services.

Success will be measured by:

- Increase the number and value of contracts with sustainability objectives and criteria embedded in them.
- Embedding the sustainable procurement duty in processes to take full consideration of whole life costs, environmental and social impacts in assessment of value for money.
- Increased delivery of sustainable, environmental and social benefits.

#### **4) Skills Enhancement**

*To seek out professional development opportunities to enrich and enhance experience and capability of procurement practitioners and to work with the supply chains to ensure continued value, managed performance and minimal risk throughout the life of contracts for the benefit of customers and students.*

This objective will be achieved by progressing the following key priorities:

- Having in place a high calibre procurement team with a competency-based training and a skills development programme.
- Assess procurement team competencies and conduct staff / skills gap analysis and address any identified gaps by encouraging involvement with or attendance at training and development courses and events with results monitored and recorded.
- Through expenditure analysis, identify supplier risk levels and determine appropriate tactical and strategic approaches to supply markets and management.
- Continued development of procurement risk register using high/medium and low risk assessment methodology.
- Developing guidance to help all staff involved in procurement to understand roles and processes.
- Obtain regular customer input/feedback on contract and obtain regular supplier input/feedback on contracts to secure optimum value and opportunities.
- Continued promotion of the use of e-procurement tools.

Success will be measured by:

- Increased number of staff undertaking formal training and development in the year.
- Maintaining or improving PCIP score, currently at 76% (Gold Standard).
- Evidence of increased use of centrally procured frameworks.
- Evidence of maximising goods and services obtained through shared service arrangements.
- Evidence of increasing participation in Scottish Government user groups and intelligence gathering forums.

5.2 These objectives are measured and supported in three ways; through the Procurement Action Plan which will be developed each year, through the College involvement in the Scottish Government's Procurement and Commercial Improvement Programme (PCIP) and through the publication of an Annual Procurement Report.

- 5.3 Each of the four procurement objectives has been mapped to:
- a) the five strategic areas as defined by the Scottish Governments' Public Procurement Reform Agenda - Table (1)
  - b) the College Strategic Plan 2019-2025 priorities – Table (2)

Table (1): Procurement objectives mapped to Public Reform Strategic Areas

	(1) Contract renewal and Monitoring	(2) Efficiency and Effectiveness	(3) Sustainable Procurement	(4) Skills Enhancement
Access	√	√		
Sustainability			√	√
Efficiency and Collaboration	√	√	√	
Savings and Benefits		√		
Capability	√		√	√

Table (2): Procurement objectives mapped to College Strategic Plan 2019-2025 Priorities

	(1) Contract renewal and Monitoring	(2) Efficiency and Effectiveness	(3) Sustainable Procurement	(4) Skills Enhancement
<b>Personalisation</b>				
Developing Bespoke solutions, Fast	√	√		
Raising Aspirations and Enabling Students to achieve outcomes		√		
Recruiting and Retaining Talented People	√	√		√
<b>Collaboration</b>				
Creating Learning Pathways		√		
Immersive Partnerships		√	√	
Delivering Inclusive Growth				√
<b>Agile and Adaptive</b>				
Developing new income opportunities				
Developing the Market	√	√		
Utilising Specialist Capabilities		√		
Managing for Resilience	√		√	√
<b>Digital</b>				
Using Data				√
Inspirational Learning			√	√
Developing the skills base				√

## 6. Strategy Compliance with the Procurement Reform (Scotland) Act 2014

6.1 To comply with Procurement Reform (Scotland) Act 2014, the College must observe several general duties and some specific measures which will be embedded in the Strategy Action Plan but are detailed below for clarity:

- **Contribute to the effective achievement of the college function and purpose**

The College will analyse its third-party expenditure and identify 'EU regulated procurements' and also 'Reform Act regulated procurements'. In addition, the College will identify all procurements above £25,000 in accordance with the Financial Memorandum with the Scottish Funding Council (SFC). The College will consider appropriate contract and supplier management to monitor and improve the regulated procurement outcomes.

- **Deliver Value for Money**

Value for money is not about buying the cheapest but is the balance between the lifetime cost of the purchase and the quality or performance of that product or service. Competition is a key component in demonstrating that a purchase represents value for money. When buying expensive items, e.g. high value equipment or specialist consultancy services, the need to demonstrate value for money is more important than for lower value purchases. It is for this reason that the College has in place many pre-tendered deals, and approved suppliers, across a wide range of product areas. Value for money comes as standard when you use these. This does not mean that they will always provide the very cheapest price but it does provide an assurance that you will get the best price available across the whole institution and a consistent quality from a reputable supplier with an interest in working with the College.

The College through its procurement processes and practice will consistently apply this principle.

- **Consult and engage with stakeholders affected by College procurement.**  
 Where appropriate the Department will work with people who use College services, potential suppliers and others to help it design procurement activities. This can vary from market research to supplier engagement days or the design and piloting of services. For larger contracts the Department may involve people who use the services through ‘user intelligence groups’, and for other contracts the Department will match the involvement of people to the specific circumstances.
- **Negotiate with current suppliers to ensure payment of a Living Wage to their employees and throughout the supply chain**  
 Living Wage payment and workforce matters will be encouraged in all relevant future contracts. West College Scotland became an accredited Living Wage employer in September 2017. This means that the College has made a commitment to pay at least the ‘real’ Living Wage to all directly employed staff and to address the payment of the ‘real’ Living Wage to contractors working on College premises.
- **Promote compliance with the Health & Safety at Work Act 1974 by contractors and subcontractors**  
 West College Scotland wants to prevent or reduce any workplace factors that may cause ill health and injury and by managing risk proportionately, sensibly and practically. The College believes that it is important that those bidding for contracts are also able to show that they are responsible and respect any health and safety obligations. That is why it is a standard condition of College contracts that the contractor must keep to all laws that apply, all requirements of regulatory organisations and industry good practice. This includes any relevant health and safety law. Also, whenever a contractor’s staff are on College premises, under the terms of our standard contracts, they must keep to the College health and safety requirements.
- **Include community benefit clauses where possible in any contract opportunities.**  
 The Department will consider community benefit opportunities at the development stage of all regulated procurements and handle these in one of two ways:
 
  - *Mandatory or contractual* – In this scenario the College will ask bidders to deliver community benefits (for example, targeted training, recruitment and other opportunities in the supply chain) as part of a contract specification. These requirements then form part of the tender evaluation and may be scored.

- *Voluntary* – The College will use this approach in cases where it is not appropriate to make community benefits a mandatory requirement for all bidders. The College will ask that voluntary community benefits are only offered where these do not place too much of a burden on the bidder but may result in the contract delivering extra value. Bidders will be asked to consider what community benefits they can offer as part of their bid. In this scenario community benefits are not part of the tender evaluation. Where a bid is accepted, any offer of community benefits is included in the contract to be signed by the bidder.
  
- **Ensure that the goods and/or services procured by contractors and subcontractors are fairly and ethically purchased.**

The College will continue to develop its contract and supplier management practices which are key to addressing this issue. The College will also continue to engage with APUC to monitor practices and mitigate potential risks associated with human rights and/or ethical procurement risks in the supply chain. Also, in line with legislative requirements the College will update our standard contract terms and conditions to allow for contract termination in the event of failure by a contractor to comply with its legal obligations in the fields of environmental, social or employment law.
  
- **Ensure that all contracts involving food are aimed at improving the health, wellbeing and education of the College community and promote the highest standards of animal welfare.**

The College buys a significant level of food directly through a range of catering frameworks to achieve a range of benefits. The College approach is to make sure that this keeps to government policies on healthy eating and nutrition, promoting fresh, seasonal, fairly traded and local produce and to UK buying standards. These standards take account of factors including, production, traceability, authenticity, origin, ethical trading, animal welfare, environmental standards and health and waste.

- **Ensure that the College pays invoices in 30 days or less to contractors**

The College are committed to prompt payment of invoices to contractors. The College are committed to paying valid invoices within 30 days of receipt and, as a condition of contract, will require this commitment to apply through the supply chain relating to the contract. This condition, when applied throughout the supply chain, must also make clear that if a subcontractor believes that invoices are not being paid within 30 days they can raise the issue directly with the College.

- The Procurement Manager will design a training programme to make sure all within the department are fully compliant with Scottish Government legislation and best practice.

DRAFT

## 7. Implementation, Monitoring, Reviewing and Reporting

- 7.1 The Strategy objectives and priorities will be monitored via an Annual Procurement Action Plan. Performance against the Annual Procurement Action Plan will be reviewed, reported and monitored annually by the Board of Management.
- 7.2 In accordance with requirements of the Procurement Reform Act, the College will publish an Annual Procurement Report as soon as practicable after the financial year end and this will describe how the College has discharged its obligations under the Act. The Annual Procurement Report will be reported to the:
- Board of Management
  - Wider public via publication on the College website and to the Scottish Government
- 7.3 In line with the statutory guidelines under the Procurement Reform (Scotland) Act 2014, the College will review the Strategy annually and will make such revisions as it considers appropriate to ensure continued alignment with College Strategic Plan 2021-2025. Any significant changes will be reported to the Board of Management.
- 7.4 The strategy owner is the Director of Finance. The Procurement Team is led by the Procurement Manager who is responsible to the Head of Finance and Student Funding. Further details of the procurement arrangements at the College can be found on the College [Procurement Hub](#) page of the intranet or on the [Procurement Section](#) of the internet.



## Appendix 1 – Glossary

The categorisations of College procurement expenditure referred to within this Strategy are defined as follows:

- **Non-Pay Expenditure** – all College expenditure – both influenceable and non-influenceable – that does not include remuneration costs.
- **Non-Influenceable Spend** – expenditure that relates to fixed and statutory requirements – such as irrecoverable VAT, property rent and rates and examination fees.
- **Influenceable Spend** – all expenditure that the College has an ability to influence.
- **Framework Category A** - commodities used across the public sector, such as utility contracts / insurance / IT supplies, and which are negotiated under collaborative contracts at national level.
- **Framework Category B** - commodities such as food/cooking supplies and curriculum support materials, with the procurement being undertaken through framework arrangements with Advanced Procurement for Universities and Colleges (APUC), Scotland Excel (the Centre of Procurement Expertise for the local government sector) and other similar centres of procurement expertise.
- **Contract Category C** - those supplies and services sourced through procurement exercises undertaken by the College (WCS Local) and not associated with any collaborative framework.
- **Regulated and Non-Regulated Procurement** – under the Procurement Reform (Scotland) Act 2014 the definition of regulated procurement is contracts valued at £50,000 or above, excluding VAT for goods and services and £2,000,000 for works. Non-regulated procurements are those contracts below the £50,000 threshold.

**TITLE:** [REDACTED]

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[REDACTED]

[REDACTED] [REDACTED]

**Status:** Restricted























**TITLE: REVIEW OF FINANCIAL REGULATIONS**

**Background:** The Board of Management approved the College Financial Regulations in October 2020, following an annual review by the Finance and General Purposes Committee in September 2020.

However, following approval by the Board of Management on 1 February 2021 to amend Committee structure and remits, there is a need to update the College Financial Regulations further. This report therefore presents an updated set of College Financial Regulations for approval by the Board of Management.

This matter was considered by the 9 March 2021 Corporate Development Committee and the recommendation noted below was approved for consideration by the Board of Management.

**Action:** The Board of Management are requested to approve:

- the updated College Finance Regulations
- the proposed revision to College accounting policy as applying to depreciation and capitalisation

**Lead:** David Alexander – Vice Principal, Operations

**Status:** Open

## **Review of Financial Regulations**

### **1. Introduction and Background**

- 1.1 The Board of Management approved the College Financial Regulations in October 2020, following an annual review by the Finance and General Purposes Committee in September 2020.
- 1.2 On 1 February 2021 the Board of Management approved a revised Committee structure and remits. Given this, there is a need to update the Financial Regulations further to reflect these changes and to revise the document for other revisions that are now required. This report therefore presents an updated set of College Financial Regulations for consideration by the Board of Management.

### **2. College Financial Regulations – Proposed Amendments**

- 2.1 A tracked change version of the College Financial Regulations is appended to this covering report to enable Board members to clearly see where amendments are proposed. Page, section, and paragraph numbering will be updated/finalised once the document revisions have been concluded.
- 2.2 It is proposed to make the following general amendments to the Financial Regulations:
- revisions to reflect the new Board Committee structure where these are required throughout the document;
  - updating web links to provide direct access to relevant current guidance and operational documents;
  - including reference where required to the college sector wide insurance derogation which has recently been extended by the Scottish Government to 31 July 2024; and
  - minor changes to the text where these improve presentation.
- 2.3 It is proposed to make changes to the following specific areas within the College Financial Regulations:
- Capitalisation and depreciation (pages 29 and 30)
  - Senior Staff Authorisation (pages 46, 52 and 58)
  - Scheme of Delegation/Financial Authorities (page 51)

More detail in relation to the changes proposed within each of these areas is provided in the sections which follow.

## 2.4 Capitalisation and Depreciation

### 2.4.1 The current Financial Regulations include the following statement:

*'Grouped items - for example a suite of computers - with a group value of £5,000 or more, will also be capitalised.'*

Following the SFC announcement in August 2020 '*Additional capital funding to support digital provision in AY 2020-21(Ref: SFC/AN/12/2020)*' which provided additional capital funding to the College for use in purchasing IT equipment for students, the College sought to engage with auditors on the above statement and the associated accounting policy currently in place to enable the necessary purchase of IT equipment to be capitalised in line with SFC requirements.

### 2.4.2 Following discussion with the College external auditors and advice received by the sector from Audit Scotland, it is proposed to change the accounting policy in this area regarding the capitalisation of equipment - and to expand the guidance relating to this area within the Financial Regulations in order that it outlines in slightly more detail:

- criteria for grouping assets together;
- the rationale for why the College would consider grouping assets together;
- the value of the expenditure that will be required before a grouping of assets is considered – now proposed as £20,000; and
- examples of when the College will group assets together.

### 2.4.3 The current accounting policy note relating to this area as stated in the College Financial Statements is as follows:

#### 4) Equipment

*Equipment costing less than £5,000 per individual item and motor vehicles costing less than £5,000 are written off to expenditure in the year of acquisition. All other equipment and vehicles are capitalised and carried at depreciated historical costs, which is used as a proxy for fair value. Capitalised equipment is depreciated over its useful economic life ranging from between 3 and 10 years on a straight-line basis. Depreciation methods, useful lives and residual values are reviewed at the date of preparation of each balance sheet.*

It is proposed to amend the College accounting policy wording as follows:

#### 4) Equipment

*Equipment costing less than £5,000 per individual item and motor vehicles costing less than £5,000 are written off to expenditure in the year of acquisition. All other equipment and vehicles are capitalised and carried at depreciated historical costs, which is used as a proxy for fair value. Assets of lesser value may be capitalised where they form part of a group of similar assets purchased in the same financial year and costing over £20,000 in total. Capitalised equipment is depreciated over its useful economic life ranging from between 3 and 10 years on a straight-line basis. Depreciation methods, useful lives and residual values are reviewed at the date of preparation of each balance sheet.*

2.4.4 The impacts arising from this proposed change are likely to be minimal. This is the first occasion in which the College has been specifically asked by the SFC to specifically capitalise expenditure in this way, and making the amendment to the Financial Regulations and accounting policy will enable the College to meet specific SFC funding and associated expenditure capital requirements where these arise. As outlined the above, these proposed changes relating to capitalisation and depreciation have been discussed and agreed with the College auditors.

## 2.5 Senior Staff Authorisation

2.5.1 The current College Financial Regulations refer at the following sections to the Vice Principal Operations having the authority to undertake certain authorisations:

- P45 Write off of bad debt
- P52 Purchase order authorisation levels
- P56/58 Authorisation of tender procedures

2.5.2 It is not proposed that the authorisation levels are changed. It is proposed to amend the current wording within the Financial Regulations to enable the same level of authorisation for both the Vice Principal Operations and the Vice Principal Educational Leadership, thus enabling both post holders to approve the same level of transactions.

## 2.6 Scheme of Delegation/Financial Authorities

2.6.1 In line with the Government's long-term commitment to ensure that Public Sector exit payments are fair and proportionate to employers, employees and taxpayers, *The Restriction of Public Sector Exit Payments Regulations 2020 ("the Regulations")* came into effect on 4 November 2020. This legislation set a £95,000 limit on exit payments ("the cap") for public sector authorities and officers as listed in the *Regulation*. The College Financial Regulations had been amended to reflect the £95,000 limit.

2.6.2 Following a review of the application of the £95,000 limit, the UK Government has concluded that it may have unintended consequences and thus the Regulations should ultimately be revoked. The regulations had originally been brought in to tackle the perceived issue of high earners in the public sector receiving significant, and sometimes repeat, severance payments only to be soon re-hired into a senior position elsewhere and to ensure prudent use of public money. Concerns were raised by employment lawyers and unions during consultations with the UK Government that the proposed cap of £95,000 would catch a much broader range of public sector workers. The cap was to be applied to pension entitlements, which, when combined with redundancy and notice payments, meant that a broad group of workers risked exceeding the £95,000 cap.

2.6.3 Treasury Directions have been published that now disapply the £95,000 limit until the Regulations have been revoked, therefore the College is proposing that the section within the Financial Regulations referring to this should be amended.



### **3. Conclusion and Next Steps**

3.1 The Board of Management are requested to approve:

- the updated College Finance Regulations
- the proposed revision to College accounting policy as applying to depreciation and capitalisation

<b>Policy &amp; Procedure</b>	Financial Regulations
<b>Policy Area</b>	Finance
<b>Version Number</b>	<del>1312</del>
<b>Approving Committee</b>	Board of Management
<b>Date of Approval</b>	<del>September 2020</del> <u>March 2021</u>
<b>Date of Equality Impact Assessment</b>	September 2020
<b>Date of Next Review</b>	<del>September 2022</del> <u>March 2022</u>
<b>Responsible Senior Manager</b>	Director of Finance

## History of Amendments

Date	Version	Summary of changes
November 2019	11	Updated to current operating procedures and clarification of procurement operations.
August 2020	12	Changes to reflect new structure and updated operating procedures
<a href="#">March 2021</a>	<a href="#">13</a>	<a href="#">Revised Committee structure names amended; links to documents updated</a>

## Policy Statement

The current approved version of the College Financial regulations is published on the West College Scotland staff intranet. Any revised version becomes effective as soon as it is published on the staff intranet.

Template documents and procedures associated with these Regulations can be accessed through the staff intranet.

## Equality Statement

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

Please note this document is available in other formats, which can be requested by sending an email to – [finance@wcs.ac.uk](mailto:finance@wcs.ac.uk)

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## Relevant Documents and Organisations

Noted below are several documents and organisations referred to throughout the Financial Regulations. The relevant weblink is also included to ensure the most up to date documents are available to the users of these Regulations.

Relevant Documents	
FM	<b>SFC Financial Memorandum with Fundable Bodies in the College Sector</b> <a href="http://www.sfc.ac.uk/web/FILES/Guidance_Governance/Financial_Memorandum_with_the_College_Sector_-_1_December_2014.pdf">http://www.sfc.ac.uk/web/FILES/Guidance_Governance/Financial_Memorandum_with_the_College_Sector_-_1_December_2014.pdf</a>
FReM	<b>Financial Reporting Manual</b> <a href="https://www.gov.uk/government/publications/government-financial-reporting-manual-2020-21">https://www.gov.uk/government/publications/government-financial-reporting-manual-2020-21</a>
SPFM	<b>Scottish Public Finance Manual</b> <a href="https://www.gov.scot/Topics/Government/Finance/spfm/Intro">https://www.gov.scot/Topics/Government/Finance/spfm/Intro</a>
Audit Code	<b>Audit Scotland Code of Audit Practice</b> <a href="https://www.nao.org.uk/code-audit-practice/wp-content/uploads/sites/29/2020/01/Code_of_audit_practice_2020.pdf">https://www.nao.org.uk/code-audit-practice/wp-content/uploads/sites/29/2020/01/Code_of_audit_practice_2020.pdf</a>
SORP	<b>Statement of Recommended Practice (SORP): Accounting for Further and Higher Educational Institutions</b> <a href="https://www.universitiesuk.ac.uk/policy-and-analysis/reports/Pages/statement-of-recommended-practice-2019.aspx">https://www.universitiesuk.ac.uk/policy-and-analysis/reports/Pages/statement-of-recommended-practice-2019.aspx</a>
Risk Management Strategy	<b>College Risk Management Strategy</b> <a href="risk-management-strategy-v30-final2-4221.pdf">risk-management-strategy-v30-final2-4221.pdf</a> (westcollegescotland.ac.uk)
Whistleblowing Policy	<b>Public Interest Disclosure (Whistleblowing) Policy and Procedure</b> <a href="https://www.westcollegescotland.ac.uk/media/151856/public-interest-disclosure-policy-and-procedure-approved-sept-2017.pdf">https://www.westcollegescotland.ac.uk/media/151856/public-interest-disclosure-policy-and-procedure-approved-sept-2017.pdf</a>
Procurement Journey	<b>Scottish Government Procurement Journey</b> <a href="https://www.procurementjourney.scot/">https://www.procurementjourney.scot/</a>
Procurement Thresholds	<b>Procurement Thresholds</b> <a href="https://www.gov.scot/publications/new-eu-procurement-thresholds-from-1-january-2020/">https://www.gov.scot/publications/new-eu-procurement-thresholds-from-1-january-2020/</a>
Relevant Organisations	
SFC	<b>Scottish Further and Higher Education Funding Council</b> <a href="http://www.sfc.ac.uk/">http://www.sfc.ac.uk/</a>
ONS	<b>UK Office of National Statistics</b> <a href="https://www.ons.gov.uk/">https://www.ons.gov.uk/</a>
SG	<b>Scottish Government</b> <a href="https://www.gov.scot/">https://www.gov.scot/</a>
OSCR	<b>Office of Scottish Charity Regulator</b> <a href="https://www.oscr.org.uk/">https://www.oscr.org.uk/</a>

## **A GENERAL PROVISIONS**

### **1 Introduction**

- 1.1** The College was created under the provisions of the Further and Higher Education Act (Scotland) 1992 and was designated a Regional College under the Post-16 Education (Scotland) Act 2013. The College structure of governance is laid down in the instrument and articles of government, which may only be amended by application to the First Minister for Scotland. The College is accountable through its Board of Management which has ultimate responsibility for the effectiveness of its management and administration.
- 1.2** The College is an exempt charity by virtue of the Charities and Trustees Investment (Scotland) Act 2005. The College charity number is SCO21185 as registered with the Office of the Scottish Charity Regulator (OSCR).
- 1.3** The Scottish Funding Council (SFC) is the national strategic body which is responsible for funding teaching and learning provision, research and other activities in Scotland's colleges, universities and higher education institutions.
- 1.4** The Financial Memorandum between the SFC and the College sets out the terms and conditions under which grant funding is made available. The Board of Management is responsible for ensuring that SFC conditions of grant are met. As part of this process, the College must adhere to the SFC's Regional Outcome Agreement (ROA); the SFC Financial Memorandum (FM); the Scottish Government's Scottish Public Finance Manual (SPFM) (except where any special actions or derogations have been agreed with Scottish Ministers) and the SFC's Audit Code of Practice, which requires sound systems of financial and management control. The Financial Regulations of the College form part of this overall system of accountability and control and more information on wider regulatory documents is contained in Section 2.7.

## 2 Financial Regulations – Status and Context

- 2.1** To conduct business effectively, the College needs to ensure that it has sound financial management systems in place and that these systems are strictly adhered to. Part of this process is the establishment of Financial Regulations which set out the financial policies of the College.
- 2.2** The purpose of the Financial Regulations is to provide control over the totality of College resources and provide management with assurances that these are being properly applied in an accountable manner which:
- Maintains financial sustainability;
  - Achieves value for money;
  - Fulfils the responsibility for the provision of effective financial controls over the use of public funds;
  - Ensures compliance with all relevant legislation; and
  - Safeguards the assets of the College.
- 2.3** The Financial Regulations of the College form part of the overall organisational system of accountability and are subordinate to the College’s instruments and articles of government and to any restrictions contained within the SFC FM. The SFC’s interpretation of the FM will be final.
- 2.4** Compliance with College Financial Regulations is compulsory for all College staff, members of the Board of Management and members of Board of Management Committees. Any non-compliance with the Financial Regulations may be subject to disciplinary action. The Board of Management will be notified of such breaches as required through the Audit Committee.
- 2.5** The ~~Finance and General Purposes~~Corporate Development Committee is responsible for reviewing the College Financial Regulations, through the Director of Finance, and for advising the Board of Management of any changes necessary.

**2.6** In exceptional circumstances the ~~Finance and General Purposes~~Corporate Development Committee may authorise a departure from the detailed provisions herein. Such departure must be reported to the Board of Management at the earliest opportunity.

**2.7** The Financial Regulations should be read in conjunction with relevant guidance on accountability and propriety issued by the following bodies:

- The SFC – Financial Memorandum; Regional Outcome Agreement and wider funding guidance
- Audit Scotland – Audit Code of Practice; Internal Audit Manual
- National Audit Office or the Scottish Parliament Public Audit and Post-legislative Scrutiny Committee
- The UK Government - Financial Reporting Manual
- SORP Board - Statement of Recommended Practice (SORP): Accounting for Further and Higher Educational Institutions
- Scottish Government – Scottish Public Finance Manual.

Page 8 of this document provides links to the relevant guidance issued by these bodies.

## **B CORPORATE GOVERNANCE**

### **3 The Board of Management**

**3.1** The Board of Management will meet the principles of good governance set out in the Good Governance Code for Scotland's Colleges, and the wider principles identified within these Financial Regulations.

**3.2** The Board of Management is responsible for the management and administration of the College to ensure the provision of education that meets the needs of students, communities and partners. College financial responsibilities are to ensure that:

- Public funds are used in accordance with relevant legislation, the requirements of the SFC Financial Memorandum and for the purpose(s) which they are intended. Strategic, capital and other grant funding should only be used for the purposes for which it is provided by SFC;
- Subject to any legal requirement to observe confidentiality, the College will be open and transparent with the SFC and other stakeholders, and will give, or be prepared to give, a public justification of its decisions in relation to the use of public funds.
- The College strives to achieve best value and is economical, efficient and effective in the use of public funding;
- There is effective planning and delivery of the institution's activities in accordance with its mission and its Regional Outcome Agreement agreed with SFC;
- The College plans and manages its activities to remain sustainable and financially viable. A College is being managed on a sustainable basis if, year on year, it generates enough income to cover its costs and allow for maintenance of and investment in its infrastructure (physical, human and intellectual) at a level which enables it to maintain adaptive capacity necessary to meet future demands.
- The College has a sound system of internal management and control, including an audit committee, an effective internal audit service, and adequate procedures to prevent fraud or bribery;
- The College has an effective policy of risk management and risk management arrangements;

- The College has regular, timely, accurate and adequate information to monitor performance and account for the use of public funds. Such information will be made available to SFC on request, as necessary, for the exercise of its functions and to gain assurance;
- The College is engaged actively in continuously enhancing the quality of its activities and involves students and other stakeholders in these processes.

**3.3** The Board of Management’s financial responsibilities are also to:

- approve the College strategic plan and SFC Regional Outcome Agreement;
- approve the annual audit report and financial statements;
- appoint, grade and determine the pay and conditions of service of the Principal;
- approve the appointment of the internal audit service;
- approve an annual budget, financial plans and regulations;
- approve the acquisition and disposal of property, subject the SFC approval; and
- determine tuition fees.

## **4 The Principal and Chief Executive**

**4.1** The Principal is accountable directly to the Board of Management for the proper conduct of the College's affairs. The Principal is also accountable directly to the SFC's Accountable Officer for the College's proper use of funds deriving from Scottish Ministers and compliance with the requirements of the SFC's Financial Memorandum. The Principal may be required to justify any of the College's financial matters to the Scottish Parliament Public Audit and Post-Legislative Scrutiny Committee. In particular, the College Articles of Governance charge the Principal with responsibility:

- for ensuring the proper and effective operation of financial, planning and management controls, and for giving effect to the Board's policies for securing the efficient, economical and effective management of all the College's income, assets and expenditure;
- arranging for presentation to the Board for approval an Annual Budget of income and expenditure, and to give regular updates on income and expenditure account, balance sheet and cash flow statements; and
- arranging for the preparation, audit and presentation to the Board the Accounts following the end of each financial year in compliance with the requirements of the Accounts Direction and encompassing Audit Scotland and the Scottish Funding Council direction.

**4.2** The Principal shall demonstrate oversight of financial matters by signing the Statement of Corporate Governance, the College Annual Report and Financial Statements and the declaration pages of the Financial Forecast Return (FFR) and Financial Statement Return submitted to the SFC.

**4.3** The Principal must inform the SFC's Accountable Officer without delay of any circumstance that is having, or is likely to have, a significant adverse effect on the ability of the College to deliver its education programmes, and other related activity, including delivery of the Regional Outcome Agreement with the SFC. The Principal must also notify SFC's Accountable Officer of any serious weakness, such as a significant and immediate threat to the institution's financial position, significant fraud or major accounting breakdown or any material non-compliance with any requirement of the SFC's Financial Memorandum.

## 5 Committee Structure

5.1 The Board of Management has ultimate responsibility for College financial matters but has delegated specific powers and processes to College Committees as detailed below. These Committees are accountable to the Board of Management and are as follows:

- Audit Committee
- ~~Human Resources and Corporate Development Committee~~
- ~~Asset and Infrastructure Committee~~
- ~~Finance and General Purposes~~Corporate Development Committee
- Learning, Teaching and Quality Committee
- Nominations Committee
- Remuneration Committee

5.2 The College Articles of Governance outline the purpose and scope of these Committees.

A full listing of these Board Committees, their remits and respective delegated authority is available on the College intranet (<https://www.westcollegescotland.ac.uk/college/about-us/board-of-management/>) or from the Secretary to the Board who can be contacted at [Shirley.gordon@wcs.ac.uk](mailto:Shirley.gordon@wcs.ac.uk)



## **6 Financial Responsibility of Staff**

### **6.1 Executive Team**

The Executive Team of the College – which incorporates the Principal and Vice Principals - is responsible for the operational and financial management of the areas and activities they manage and control. They are advised by the Director of Finance on financial matters. The Executive Team is ultimately responsible for establishing and maintaining clear lines of responsibility within the areas they manage for all operational and financial matters including the delegation of day to day budget control to other budget managers and team leaders. The Executive Team shall provide the Director of Finance with such information as may be required to enable:

- compilation of the College's financial statements;
- implementation of financial planning and budgeting; and
- implementation of audit and financial reviews, projects and value for money

### **6.2 Vice Principal Operations**

The Vice Principal Operations is responsible for strategic financial management and direction and advice to the Board, Principal and the Senior Management Team.

### **6.3 Director of Finance**

Day-to-day financial administration is managed and controlled by the Director of Finance, who is responsible to the Vice Principal Operations for:

- preparing annual revenue and capital budgets and financial plans;
- preparing monthly and/or quarterly accounts, management information, monitoring and control of expenditure against budgets and all financial operations;
- preparing the College's annual accounts and other financial statements which the College is required to submit to other authorities;
- ensuring that the College maintains satisfactory financial systems;
- providing professional advice on all matters relating to financial strategy and planning,
- providing cash and resource returns to the SFC; and
- liaising with the internal and external auditors to implement audit strategies.

The Director of Finance will be assisted in carrying out these duties by the Head of Finance and Student Funding.

#### **6.4 Assistant Principals and Directors**

These budget holders are responsible to the Vice Principals or Principal (depending on the reporting structure of their roles) for the financial management of the areas and activities they manage and control. They are advised by the Director of Finance in executing their financial duties. The Director of Finance will also supervise and approve the financial systems operating within their departments, including the form in which accounts and financial records are kept. Assistant Principals and Directors are responsible for establishing and maintaining clear lines of responsibility within their departments for all financial matters. Where resources are devolved to other budget holders, they are accountable to their Director or Manager for their own budget.

#### **6.5 All members of staff**

All members of staff should:

- be aware of and have a general responsibility for the security of College property, for avoiding loss and for due economy and best value in the use of resources.
- ensure they are aware of the College's delegated authority limits, the value of purchases for which quotations and tenders are required and the associated procurement procedures;
- make available any relevant records or information to the Director of Finance or their authorised representative in connection with the implementation of College financial policies, these Financial Regulations and the system of financial control;
- provide the Director of Finance and/or Vice Principal Operations with such financial and other information as they may deem necessary, from time to time, to carry out the requirements of the Board of Management; and
- immediately notify the Director of Finance whenever any matter arises which involves, or is thought to involve, irregularities concerning, *inter alia*, cash or property of the College. The Director of Finance shall take such steps as considered necessary by way of investigation and report.

## 7 Risk Management

**7.1** The delivery of College objectives is surrounded by uncertainty which poses both threats to success and offers opportunity for improved outcomes. Risk is defined as uncertainty of outcome, whether positive opportunity or negative threat of actions and events.

**7.2** In considering risk, the College must recognise the environment within which it operates as a non-departmental public body. This environment includes compliance with the Scottish Public Finance Manual 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.*”

**7.3** The SFC Financial Memorandum requires that the Board of Management 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 risks before accepting any contingent liability.

**7.4** The College Risk Management Strategy therefore takes account of the requirements of the SFC Financial Memorandum and SPFM and is subject to independent review by auditors.

**7.5** A detailed College strategic risk register is maintained to record risks and how they may be mitigated. In line with the College Corporate Strategy, the Board of Management requires that the Risk Management Strategy and supporting documentation include:

- the adoption of common terminology in relation to the definition of risk and risk management;

- the establishment of College-wide criteria for the measurement of risk, linking the threats to their potential impact and the likelihood of their occurrence, together with a sensitivity analysis;
- a decision on the level of risk to be accepted (risk appetite), together with tolerance levels expressed in terms of measurable outcomes;
- a decision on the level of risk to be covered by insurance;
- regular review at Teaching and Support Department level to identify significant risks associated with the achievement of key objectives and other relevant areas;
- development of risk management and mitigation plans for all significant risks, to include a designated 'risk owner' who will be responsible and accountable for managing the risk in question;
- regular reporting to the Board of Management of all identified risks; and
- an annual review of the implementation of risk management arrangements.

## 8 Whistleblowing

**8.1** Whistleblowing in the context of the Public Interest Disclosure Act is the disclosure by an employee (or other party) about malpractice or potential instances of malpractice in the workplace. An individual can raise matters about a crime, civil offences (including negligence and breach of contract), miscarriage of justice, danger to health and safety or the environment, breach of the financial regulations and/or the cover-up of any of these matters. It does not matter whether the information is confidential, and the whistleblowing can extend to malpractice occurring in the United Kingdom and any other country or territory.

**8.2** Normally, any concern about a workplace matter at the College should be raised by a member of staff with their line manager(s). However, the College recognises that the seriousness or sensitivity of some issues, together with the identity of the person the member of staff thinks may be involved, may make this difficult. If the member of staff does not wish to raise the matter in this way, it may be raised with a member of the SMT. If the concern relates to a member of the SMT the concern can be reported to the Principal. Any concerns that relate to the Principal can be raised with the Chair of the Board of Management via the Secretary to the Board who can be contacted via email at [shirley.gordon@wcs.ac.uk](mailto:shirley.gordon@wcs.ac.uk)

**8.3** Detailed guidance on this is provided by the College Public Interest Disclosure (Whistleblowing) Policy and Procedure

<https://www.westcollegescotland.ac.uk/media/151856/public-interest-disclosure-policy-and-procedure-approved-sept-2017.pdf>  
[public-interest-disclosure-october-2019.pdf \(westcollegescotland.ac.uk\)](#)

## **9 Code of Conduct**

The College is committed to the highest standards of openness, integrity and accountability. It seeks to conduct affairs in a responsible manner, having regard to the principles established by the Committee on Standards in Public Life adopted and advocated by the Scottish Government. All Governing Body members and members of staff are expected to observe these principles as set out at Appendix 1.

Board members are also charity trustees and as such are subject to obligations imposed by charity legislation and Office of Scottish Charity Regulator (OSCR).

Members of the Board of Management and all staff members are also required to disclose interests in the College Register of Interests maintained by the Secretary to the Board and the Director of Finance. It is the responsibility of individual Board of Management members and staff to ensure that entries in the register relating to them are kept up to date regularly and promptly as required.

No person shall participate in a College procurement or be a signatory to a College contract where they have an interest in the activities of the other party.

### **9.1 Receiving and Making of Gifts or Hospitality**

A gift is something voluntarily given or donated without the expectation of receiving anything in return and generally without preconditions. In the context of this guidance gifts received can be defined as the donation of cash or other resources or invitations to events with a current market value.

It is an offence under the Prevention of Corruption Act 1906 and the Bribery Act 2010 for Board members, members of Board Committees and members of staff to accept any gift or consideration as an inducement or reward for doing, or refraining from doing, anything in an official capacity or showing favour or disfavour to any person in an official capacity.

The guiding principles to be followed by Board members, members of Board Committees and all members of staff are:

- the conduct of individuals should not create suspicion of any conflict between their official duty and their private interest; and
- the action of individuals acting in an official capacity should not give the impression to

any member of the public, to any organisation with whom they deal or to their colleagues - that they have been, or may have been, influenced by a benefit to show favour or disfavour to any person or organisation.

Thus, Board of Management members, Board of Management Committee members and staff should not accept any gifts, rewards or hospitality - or have them given to members of their families - from any organisation or individual with whom they have contact in the course of their work that would cause them to reach a position whereby they might be, or might be deemed by others to have been, influenced in making a business decision as a consequence of accepting such gifts, rewards and/or hospitality. When it is not easy to decide between what is and what is not acceptable in terms of gifts or hospitality, the offer should be declined, or advice sought from the Director of Finance.

All Board of Management members, Board of Management Committee members and staff in receipt of gifts or hospitality are obliged to promptly notify, by email, the Director of Finance where the value of any gift or hospitality is more than £25.

Before any gifts with a value over £25 are made by the College or members of College staff, prior written approval requires to be obtained from the Principal or a Vice Principal.

## C FINANCIAL MANAGEMENT AND CONTROL

### 10 Financial Planning

#### 10.1 Responsibility

The Director of Finance is responsible for preparing annually a rolling medium term strategic financial forecast for approval by the Board of Management and for submitting a financial forecast return and cash forecast to the SFC. Financial plans should be consistent with the strategic plans approved by the Board of Management.

#### 10.2 Budget Objectives

The Board of Management will from time to time, set budget objectives for the College. These will assist the Vice Principal Operations and the Director of Finance in preparing the financial plans for the College.

#### 10.3 Resource Allocation

Resources are allocated annually by the Board of Management on the recommendation of the ~~Finance and General Purposes~~Corporate Development Committee and based on the above objectives (10.2). The Senior Management Team is responsible for the economic, effective and efficient use of resources allocated to them.

#### 10.4 Budget Process

The Director of Finance is responsible for preparing annually:

- a detailed budget for the forthcoming financial year, for approval by the Board of Management on the recommendation of the ~~Finance and General Purposes~~Corporate Development Committee;
- a 12-month cash flow forecast, and balance sheet based on the annual SFC funding allocation and the 12-month budget;
- a list of major assumptions used in arriving at the budget and forecast;
- scenario plans to address potential material movements in the above assumptions and how the College would respond to these movements;
- a Financial Forecast Return (FFR) for submission to the SFC; and
- a medium term financial forecast.



Financial plans should be consistent with the SFC Regional Outcome Agreement, the College Corporate Plan and any other relevant College strategy documents as approved by the Board of Management. Following approval by the Board of Management the budget will be communicated to budget holders as soon as possible.

### **10.5 Budget Review**

During the year the Director of Finance is responsible for submitting a revised Statement of Comprehensive Income and Expenditure Profit and Loss account forecast, cash flow forecast and projected year-end balance sheet to the ~~Finance and General Purposes~~ Corporate Development Committee for consideration before submission to the Board of Management for approval as required.

### **10.6 Capital Expenditure**

Capital expenditure includes all expenditure on land, buildings, equipment, furniture and associated costs, whether they are funded from capital grants or capitalised for inclusion in the College's financial statements.

Where the College receives capital grant funding from the SFC, the Director of Infrastructure in conjunction with the Director of Finance will establish protocols with the College Executive for the inclusion of capital projects in a capital programme for approval by the Board of Management. These protocols will set out the information that is required for each proposed capital project as well as the financial criteria that they are required to meet.

The Director of Infrastructure will also establish procedures for the approval of any variations arising in relation to capital projects, including the notification of variations to the Scottish Funding Council, as laid down in Scottish Funding Council guidelines. The Director of Infrastructure is responsible for providing regular statements concerning all capital expenditure to the Board of Management for monitoring purposes.

Following completion of any major capital project with a value in excess of £500,000, a post-project evaluation requires to be submitted to the Board of Management including the actual expenditure against budget and reconciling funding arrangements where a variance has occurred as well as any other issues affecting completion of the project.

Where a project has a value more than £3m the SFC requires a formal post occupancy evaluation to be undertaken and submitted for review. Further guidance on the form and content of this type of review can be found at:

<http://www.sfc.ac.uk/web/FILES/Guidance/Post-Occupancy-Evaluation-Guidance.pdf>

### **10.7 Estate Development Programme**

The estate development programme includes all expenditure on land, buildings, equipment, furniture and associated costs normally funded by SFC maintenance grants or from College funds. Expenditure of this type is approved by the Senior Management Team normally at the start of each year.

The Director of Infrastructure will establish protocols with the College Executive for the creation of the estate development programme. These will set out the information that is required for each proposed project as well as the financial criteria that they are required to meet. The Director of Infrastructure is responsible for providing regular statements concerning all estate development expenditure to the Senior Management Team, for monitoring purposes.

### **10.8 Other Major Developments Including Overseas Activity**

Any new aspect of business, or proposed establishment of a company or joint venture, which will require an investment of more than £250,000 must be presented for approval to the ~~Finance and General Purposes~~ Corporate Development Committee. The College must have due regard to the relevant guidelines issued by the SFC.

The Director of Finance will establish protocols for any such major developments proposed, to enable them to be considered for approval. These will set out the information that is required for each proposed development including a business plan, using a risk-based approach which considers matters of ownership, accountability and governance, as well as the financial criteria that requires to be met.

## 11 Financial Control

### 11.1 Budgetary control

The control of income and expenditure within an agreed budget is the responsibility of the budget holder, who must ensure that monitoring is undertaken effectively. Budget holders are responsible to their Director/Assistant Principal for the income and expenditure appropriate to their budget. The Accountant allocated to the budget holder will ensure that they receive training in the use of the [College finance system](#) to allow them to actively monitor income and expenditure. Significant variances from agreed budgetary targets must be reported immediately to the Director of Finance by the budget holder concerned and, if necessary, corrective action taken.

A budget holder may delegate their overall budget or a proportion of it to delegated budget holders, subject to the approval of the Director of Finance. In this situation the budget holder and the delegated budget holder are both responsible for ensuring they have awareness of the requirements of the Financial Regulations.

### 11.2 Financial information

Budget holders are assisted in their duties by management information provided by the Finance Department. The Vice Principal Operations is responsible for supplying budgetary reports on all aspects of College finances to the ~~Finance and General Purposes~~[Corporate Development](#) Committee. These reports are then presented to the Board of Management as required, which has overall responsibility for College finances.

### 11.3 Changes to the approved budget

Changes proposed to the approved overall College budget surplus / (deficit) will be first considered by the ~~Finance and General Purposes~~[Corporate Development](#) Committee, which will make proposals to the Board of Management as required.

#### 11.4 Virement

The virement of budgets must not lead to any net change in the overall annual budget for the College. Virement between budgets is permitted as set out below:

<b>Movement</b>	<b>Authority</b>
Between staff and non-staff budgets	Director of Finance and or Head of Finance and Student Funding.
Non-staff budgets under a budget holder	Accountant
Between non-staff budgets <£25,000	Principal Accountant
Between non-staff budgets >£25,000 to £100,000	Principal Accountant and Head of Finance and Student Funding
Between non-staff budgets >£100,001	Director of Finance and Head of Finance and Student Funding

#### 11.5 Carry forward of budgets

The carry forward of balances of any budget from one year to another is not permitted.

## **12 Accounting Arrangements**

### **12.1 Financial Year**

The College financial year will run from 1 August until 31 July the following year.

### **12.2 Basis of accounting**

The annual consolidated College financial statements are prepared on the historical cost basis of accounting modified by the revaluation of certain fixed assets, and in accordance with applicable accounting standards, the SFC Annual Accounts Directions and the Scottish Government SPFM.

The Accounts Direction issued by the Scottish Ministers via the SFC require that the annual accounts for a financial year shall:

- comply with the accounting principles and disclosure requirements of the edition of the Government Financial Reporting Manual (FReM), as approved by the Financial Reporting Advisory Board, which is in force for the financial year for which the accounts are prepared; and
- give a true and fair view of the state of the affairs of the College as at the end of the financial year, and of the net resource outturn, resources applied to objectives, recognised gains and losses, and cash flow.

### **12.3 Format of the financial statements**

The financial statements are prepared in accordance with the current Statement of Recommended Practice (SORP): *Accounting for Further and Higher Education* and in accordance with applicable Accounting Standards, subject to any specific requirements of the SFC, and in accordance with the provisions of the Companies Act, as appropriate.

## 12.4 Capitalisation and depreciation

Assets are recorded in the Balance Sheet at depreciated replacement cost for land and buildings and at historic cost less depreciation for equipment in accordance with the Financial Reporting Manual. Buildings will be depreciated in equal instalments over their estimated remaining useful life, but subject to periodic revaluation. Land will not be depreciated.

Expenditure incurred on repair, refurbishment or extension of existing buildings will not be capitalised unless it can be demonstrated that the resultant value of the building, based on depreciated replacement value, is greater than the current book value.

Expenditure incurred on the acquisition of assets other than land and buildings will be recorded in the balance sheet where the acquisition cost including VAT per item is £5,000 or more.

~~Grouped items – for example a suite of computers – with a group value of £5,000 or more, will also be capitalised.~~

'Grouped assets' are a collection of assets which individually may be valued at less than £5,000 but which together form a single collective asset with a group value in excess of £20,000 because the items fulfil all the following criteria:

- the items are functionally interdependent;
- the items are acquired at about the same date within the same financial year and are planned for disposal around the same date; and
- each individual asset thus grouped has a value of over £250.

Examples of such a grouping of assets are:

- Assets acquired during the initial setting up of a new building or on refurbishment may also to be treated as 'grouped' for capitalisation purposes.
- Networked systems - Large collective networked system developments where individual items of computer hardware and/or software are purchased as part of a larger system and which will be used as a part of that system for the duration of their asset life.

The rationale for permitting such a form of 'grouping' is that:

- a) smaller items of expenditure ~~may~~ should be recognised as having a useful life ~~, in relation to the overall College Corporate Strategy~~ over several years, and as a result should be capitalised rather than written off in the current year; and
- b) the College will from time to time receive specific capital grant funding from such bodies as the Scottish Funding Council which it is likely to expend on smaller items of equipment. To comply with such grant conditions and treat these items as capital for accounting purposes, the College must be able to group such items together.

To justify the adoption of this approach, the items should all be purchased within a reasonable time frame (no more than ~~one~~ financial year), and the total combined cost of the individual assets should be no less than £20,000.

Capitalised assets other than land and buildings will be depreciated in accordance with the College's accounting policy on capitalised assets and depreciation.

Certain tangible assets will be revalued, normally land and buildings. Where such a policy is adopted it will be applied consistently to all tangible fixed assets of the same class, and the carrying amount should be the current asset value. A full valuation of land and buildings will take place at least every 5 years with an interim valuation in year 3.

Where an asset is found to have suffered impairment, the prospective impairment and background must be communicated to the SFC at the earliest opportunity. Valuation advice as to the amount of the prospective impairment must be obtained from a suitably qualified Valuer who has enough current local and national knowledge of the market and the skills and understanding to undertake the valuation competently. In all cases, the Valuer used must be a professional member of an appropriate body, such as the Royal Institution of Chartered Surveyors or the Institute of Revenues Rating and Valuation.

Depreciation periods will be set as follows:

Asset Class	Depreciation period
Land	Nil

Buildings	5 to 50 years
Leasehold property	Length of lease
Plant and equipment	3 to 10 years
Computers	3 years
Motor vehicles	3 years

### **12.5 Accounting Records**

The Director of Finance is responsible for the retention of financial records. These should be kept in a form that is acceptable to the relevant authorities. Guidance on the retention of financial records which may be required in connection with the preparation and audit of accounts is set out in the SPFM.

The College is required by law to retain certain key documents for six years plus the current year. This list is not exhaustive but includes:

- official purchase orders
- paid invoices /cheques
- accounts raised
- bank statements
- copies of receipts
- payroll records

The Director of Finance will make appropriate arrangements for the retention of electronic financial records. Staff should ensure that retention arrangements comply with any specific requirements of external funding organisations. For auditing and other purposes, all financial documents should be retained for at least three years.



## **12.6 Public Access**

Under the terms of the Freedom of Information (Scotland) Act 2002, the Board of Management is required to supply any person with a copy of the College's most recent financial statements within twenty working days of a request after such date as which the financial statements have been laid before and approved by the Scottish Parliament. The College will also make available the Annual Report and Financial Statements on the College's website. A printed copy will be available on request to the College. Previous annual financial statements are also available on the College website or by request to the Secretary to the Board who can be contacted via email at Shirley.gordon@wcs.ac.uk

## **12.7 European Structural Funds Funded Projects**

An important aspect of European Structural Funds is the retention of all project records, in order to demonstrate a clear and transparent audit and procurement trail. Documentation relating to ESF funded projects will be retained by the relevant College department for the prescribed period.

## **12.8 Taxation**

The activities of government and public bodies can give rise to tax liabilities, either directly on their own account or through contracts with other bodies where the tax system influences the terms of contracts. In assessing cost effectiveness in activities where tax considerations might be important, it should be borne in mind that savings arising from tax mitigation may arise at the expense of other taxpayers, or other parts of the public sector.

All individuals who qualify as employees for tax purposes must be paid through the College payroll system with tax deducted at source. No payment arrangements should be put in place that could be perceived, reasonably, as seeking to minimise the tax liability of either the individual or the paying organisation concerned.

Proposals to put in place non-standard tax management arrangements must be approved in advance by the SFC. The Director of Finance is responsible for advising managers, in the light of guidance issued by the appropriate bodies and relevant legislation as it applies, on all taxation issues, to the College. Therefore, the Director of Finance will issue guidance and instructions to departments as required on compliance with statutory requirements, including those concerning VAT and other corporate taxes. The Director of Organisational Development and HR is responsible for guidance on PAYE and National Insurance.

The Director of Finance is responsible for maintaining College tax records, making all tax payments, receiving tax credits and submitting tax returns by their due date as appropriate.

## 13 Audit Requirements

### 13.1 General

External auditors and internal auditors have authority to:

- access College premises at reasonable times;
- access all assets, records, documents and correspondence relating to any financial and other transactions of the College;
- require and receive such explanations as are necessary concerning any matter under examination;
- require any employee of the College to account for cash, stores or any other College property under their control; and
- access records belonging to third parties, such as contractors, when required.

The Director of Finance is responsible for drawing up a timetable for the audit of the financial accounts and will advise the staff and the external auditors accordingly. A joint meeting of the Audit and ~~Finance and General Purposes~~Corporate Development Committees, chaired by the Chair of the Audit Committee, will review the annual College Financial Statements. On their recommendation, the annual College Financial Statements will be submitted to the Board of Management for approval.

### 13.2 SFC

Where appropriate, the College must provide data returns requested by the SFC in accordance with the deadlines and standards specified.

### 13.3 External audit

Under the terms of the Public Finance and Accountability (Scotland) Act 2000, the Auditor General for Scotland is responsible for the appointment of the external auditors for the College. The primary role of external audit is to report on the institution's financial statements and to carry out such examination of the statements and underlying records and control systems as are necessary to reach their opinion on the statements and to report on the appropriate use of funds.

The external auditor is entitled to receive all notices of and other communications relating to any meeting of the governing body which any member of the governing body is entitled to receive. They are also entitled to attend any such meeting and to be heard at any meeting which they attend, on any part of the business which concerns them as auditors.

The external auditor must also be entitled to attend the meeting of the governing body or other appropriate committee at which the College annual report and financial statements are presented. The College's appointed external auditor has the right of direct access to the Principal, Chair of the Board of Management and the Audit Committee.

The external auditor is expected to attend, as a minimum, any meetings of the Audit Committee where relevant matters are being considered, such as planned audit coverage, the audit report on the financial statements and the audit management letter. It is the responsibility of the Secretary to the Board of Management to notify the external auditor of such meetings.

The external auditors, notwithstanding responsibilities to their clients, are expected to co-operate fully with any enquiries or routine monitoring that the SFC undertakes. The College must not in any way limit SFC's access to the College's external auditors.

#### **13.4 Internal audit**

The internal auditor is appointed by the Board of Management on the recommendation of the Audit Committee.

Internal audit provides an independent, objective assurance and consulting activity designed to add value and improve an organisation's operations. Internal audit provides an appraisal of the College's internal control system and takes the actions required to provide the Principal with a continuing assurance that College risk management, control and governance arrangements are adequate and effective. Internal audit assists the College accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes. The operation and conduct of the internal auditors require to comply with Public Sector Internal Audit standards.

The Principal is responsible for ensuring that appropriate internal control systems exist within the College, and for deciding whether to accept and implement internal audit findings and recommendations. The Principal has overall responsibility for ensuring that prompt and effective action is taken on audit recommendations, and that the risks resulting from any inaction are recognised and accepted. The College's appointed internal auditor has the right of direct access to the Principal, Chair of the Board of Management and the Audit Committee.

Internal audit evaluates compliance with the College's internal control system - including relevant regulations, guidance and procedures - as part of the review process. However, the primary responsibility for monitoring compliance rests with operational areas and their line management, up to and including the Principal.

Entities or individuals involved in the external audit of the College should undertake non-external audit related work for the College only in exceptional circumstances.

The College must have in place an effective internal audit service. The operation and conduct of the internal audit service must conform to the professional standards of the Chartered Institute of Internal Auditors. For incorporated colleges and Regional Boards, the operation and conduct of internal audit must comply with Public Sector Internal Audit Standards and, where relevant, the SPFM.

The College must inform the SFC when an internal auditor is appointed and must inform SFC immediately if the internal auditor is removed or departs before the end of their term of office.

The internal audit service 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.

The internal audit service must extend its review over all financial and other management control systems, identified by the audit needs assessment process. Internal audit must cover all activities in which the College has a financial interest, including those not funded by SFC. It must include review of controls that protect the College in dealings with organisations such as subsidiaries or associated companies, arms-length foundations, the Student Association, collaborative ventures and/or joint ventures with third parties.

The College appointed internal auditor will produce an annual report for the governing body on its' 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 subsequently to the Board of Management, and a copy sent to the SFC.

The internal auditor is expected to attend, as a minimum, any meetings of the Audit Committee where relevant matters of internal reporting and control are being considered.

### **13.5 Other audit services**

The College, subject to the prior approval of the Audit Committee, can procure other audit services as required to comply with external funding or other stakeholder audit requirements.

### **13.6 Fraud, Bribery and Corruption**

The College has made a clear commitment to ethical standards in public life through its [Anti-Bribery and Corruption Policy](https://intranet.westcollegescotland.ac.uk/reference/policiesprocedures/Anti-Bribery%20and%20Corruption%20Policy.pdf). A copy of this policy can be found on the College intranet.:- <https://intranet.westcollegescotland.ac.uk/reference/policiesprocedures/Anti-Bribery%20and%20Corruption%20Policy.pdf>

Fraud can be perpetrated by persons outside as well as inside an organisation and by collusion. The term fraud is commonly used to describe a wide variety of dishonest behaviour such as deception, forgery, false representation, and concealment of material facts. It is usually used to describe the act of depriving a person of something by deceit, which may involve the misuse of funds or other resources, or the supply of false

information. Computer fraud covers the use of information technology equipment to manipulate programs or data dishonestly – for example by altering, substituting or destroying records, or creating spurious records - or where the use of an IT system was a material factor in the perpetration of a fraud. The fraudulent use of computer time and resources is included in this definition.

All staff have a responsibility in relation to the prevention and detection of fraud, but the prime responsibility for designing, operating and reviewing control systems rests with the managers involved. Managers should consult the College finance function and internal audit where new control procedures are being set up or significant changes to existing procedures are being proposed.

Procedures set up to prevent and detect fraud must be carefully followed and monitored. Many frauds are due to failure to comply with existing control systems.

It is the duty of the Board of Management, Senior Management and all members of staff to notify the Director of Finance immediately whenever any matter arises which involves, or is thought to involve, irregularity, including fraud, corruption or any other impropriety. Further details can be found in the [Fraud and Corruption Policy](#) ~~and Procedure~~ and the Public Interest Disclosure (Whistleblowing) Policy and Procedure.

The Director of Finance shall immediately invoke the fraud response plan, which incorporates the following key elements:

- the Principal and the Audit Committee (through its Chair) will be notified of the suspected irregularity and shall take such steps as considered necessary by way of investigation and report;
- the Principal shall inform the [Police Scotland](#) if a criminal offence is suspected of having been committed;
- any significant cases of fraud or irregularity shall be reported to the Scottish Funding Council in accordance with their requirements as set out in the audit code of practice;
- the Audit Committee shall commission any such investigation as may be necessary of

the suspected irregularity, by the College, internal audit service or others, as appropriate; and

- the internal audit service, or others commissioned to carry out an investigation, shall prepare a report for the Audit Committee on the suspected irregularity. Such report shall include advice on preventative measures.

If the suspected fraud is thought to involve the Principal, Vice Principal and/or the Director of Finance, the member of staff shall notify the Chair of the Audit Committee directly of their concerns regarding irregularities.

Under the terms of the SFC FM, the College is required to submit a report to SFC of each incidence of fraud loss that exceeds £5,000.

### **13.7 Value for Money**

Value for Money provides a common framework for continuous improvement in public services in Scotland and is a key foundation of the Scottish Government's Public Service Reform agenda. The Principal has a specific responsibility to ensure that arrangements have been made to secure Value for Money. In addition, the Board of Management has a corporate responsibility for promoting the efficient and effective use of staff and other resources by the College in accordance with the principles of Value for Money. Under the terms of the Public Finance and Accountability (Scotland) Act 2000 the implementation of the Value for Money duty by relevant public service organisations is subject to scrutiny by the Auditor General for Scotland.

Guidance for Accountable Officers on Value for Money is available on the Scottish Government website. The guidance identifies the themes which an organisation needs to focus on in order to deliver the duty of Value for Money and provides detail on what organisations should be aiming for and points to related support and guidance material. Value for Money should be appropriate to, and proportionate to, an organisation's priorities, operating environments and scale/nature of business and should be implemented accordingly.



It is a requirement of the FM between the SFC and the College that the Board of Management is responsible for delivering value for money from public funds. The Board of Management should keep under review arrangements for managing all the resources under its control, considering guidance on good practice issued from time to time by the SFC or other relevant bodies. The College has a Value for Money Policy which sets out the arrangements in place.

The College, as part of its internal audit arrangements, must obtain a comprehensive appraisal of management arrangements for achieving value for money. This forms part of the Audit Committee annual report.

### **13.8 Other Auditors**

The College may, from time to time, be subject to audit or investigation by external bodies such as the SFC, Accounts Commission, European Court of Auditors, HM Revenue and Customs. They have the same rights of access as external and internal auditors.

## 14 Cash Management

### 14.1 Cash Management Policy

All bodies to which the SPFM is directly applicable are required to have their core bank accounts with the Government Banking Service (GBS).

The College should take appropriate steps to prevent bank account fraud. Banking operations should be annually reviewed.

Cash on site should be kept to minimum levels agreed by the Head of Finance and Student Support Funding. Cash reserves held during the year should be kept to the minimum level consistent with the efficient operation of the College and the level of funds required to meet any relevant liabilities at the year-end. Grant-in-aid shall not be paid into any restricted reserve held by the College. Transfers to arms-length-foundations are permitted and will require the agreement of the SFC.

### 14.2 Borrowing

All borrowing will require the approval of the Scottish Ministers. Requests to borrow must be submitted to the SFC for consideration in the first instance.

### 14.3 Banking Arrangements

The Director of Finance is responsible, on behalf of the Board of Management ~~Finance and General Purposes~~ Corporate Development Committee, for liaising with the College's bankers in relation to bank accounts and the issuing of cheques. All cheques shall be ordered on the authority of the Director of Finance, who shall make proper arrangements for their safe custody.

The following conditions will apply to the operation of the College banking arrangements:

- Only a combination of two from the Principal, Vice Principals and/or the Director of Finance may open or close a bank account for dealing with College funds. All bank accounts shall be in the name of the College.
- All automated transfers on behalf of the College, such as BACS or CHAPS, must be authorised by two persons drawn from the Principal, Vice Principals, the Director of Finance, Head of Finance and Student Funding, Finance Manager, Principal Accountant

and/or Accountant/System Accountant.

- All BACS payment reports must be approved for payment by either the Head of Finance and Student Funding, Finance Manager, Student Funding Manager and/or the Principal Accountant.
- All cheques drawn on behalf of the College must be signed by two authorised persons.
- Details of authorised persons and limits shall be provided for in the College's banking mandates, copies of which are available from the Finance Department and will be reported annually to the ~~Finance and General Purposes~~Corporate Development Committee.

**14.4** The Head of Finance and Student Funding is responsible for ensuring that all bank accounts are subject to regular reconciliation and that large or unusual items are investigated as appropriate.

#### **14.5 Investments**

The College must not make any investments without the prior written approval of the SFC.

## **15 Income**

### **15.1 General**

The Director of Finance is responsible for ensuring that appropriate procedures are in operation to enable the College to receive all income to which it is entitled. All receipt forms, invoices, tickets or other official documents in use and electronic collection systems must have the prior approval of the Director of Finance.

The Director of Finance is responsible for:

- the prompt collection, security and banking of all income received;
- ensuring that all grants notified by funding bodies are received and appropriately recorded in the College accounts; and
- ensuring that all claims for funds are made by the due date.

### **15.2 Repayment of SFC Grant**

If the College fails to comply with the requirements of the SFC FM, or any other specific terms and conditions attached to the payment of grant from the SFC, it may be required to repay the SFC any sums received from it and to pay interest in respect of any period during which a sum due to the SFC remains unpaid. If, in the reasonable opinion of the SFC, any provision set out in the FM is not observed by the College, the SFC will be entitled to take the following action:

- In the case of funding by way of SFC grant: to require immediate repayment of any and all grants or any part or parts of any grants at any time after the SFC becomes aware of such failure to observe (without prejudice to further demands until the whole of all sums made available by way of grant shall have been paid in full); and
- In the case of funding by way of loan (notwithstanding the terms of any agreement attached to the same): to require immediate repayment of the whole or part of each such loan at any time after SFC becomes aware of such failure to observe (without prejudice to further demands until the whole of all sums made available by way of loan shall have been repaid in full).

### **15.3 Maximisation of Income**

It is the responsibility of all staff to ensure that revenue to the College is maximised by the efficient application of agreed procedures for the identification, collection and banking of income. This requires the prompt notification to the Finance Department of sums due so that collection can be initiated.

### **15.4 Tuition Fees**

Except for those which are set by SFC or Student Awards Agency for Scotland (SAAS) the College must charge student tuition fees at the levels prescribed within the Fee Policy document. A copy of the Fee Policy can be found on the College internet.

### **15.5 Receipt of Cash and Cheques**

All monies received within departments from whatever source must be recorded by the department daily together with the form in which they were received, for example cash, debit/credit cards, cheques, and other negotiable instruments.

All monies received must be paid to the Finance Department promptly, and in accordance with any timetable stipulated by the Finance Manager. The custody and transit of all monies received must comply with the requirements of College insurers.

All sums received must be paid in and accounted for in full and must not be used to meet miscellaneous departmental expenses or be paid into the departmental petty cash float. Personal or other cheques must not be cashed out of money received on behalf of the College.

### **15.6 Receipts by credit or debit card**

The College can receive payments by debit or credit card in person, over the telephone using merchant terminals or through a hosted payment facility. The terminals support primary account number (PAN) truncation where the card number is partially obscured on the customer receipt. A copy of the receipt should be retained to support evidence of payment.

In operating this facility, the College is bound by the Payment Card Industry Data Security Standard (PCI DSS), which is designed to ensure cardholder information is stored, processed and transmitted securely.

The Director of Finance is responsible for ensuring the College maintains PCI DSS compliance, which is monitored by the merchant services unit.

### **15.7 Collection of Debts**

The Head of Finance and Student Funding should ensure that:

- debtor's invoices are raised promptly on official invoices, in respect of all income due to the College
- invoices are prepared with care, recorded in the ledger, show the correct amount due and are credited to the appropriate income account
- any credits granted are valid, properly authorised and completely recorded
- VAT is correctly charged where appropriate, and accounted for
- monies received are posted to the correct debtors account
- swift and effective action is taken in collecting overdue debts, in accordance with the protocols noted in the financial procedures
- outstanding debts are monitored, and reports prepared for management
- correction of an error using a credit note requires Finance Manager approval i.e. posting/text/coding/amount/VAT/withdrawal of student

The Director of Finance will implement procedures for the collection of debts including any instalment arrangements the periods in which different types of invoice must be paid.

A bad debt is a debt that is not collectable. A bad debt can also arise where the cost of pursuing the debtor is more than the amount that can be collected. Debt write off must be carried out in line with the authorisation levels stated below:

Value of Debt	Authorising Official
Up to £1,000	Finance Manager
£1,001 to £5,000	Head of Finance and Student Funding
£5,001 to £50,000	Director of Finance or Vice Principal <del>Operations</del>
Over £50,000	<del>Finance and General Purposes</del> <u>Corporate Development</u> Committee

### 15.8 Student Fees

The [Policy for collecting tuition fees](#) must be approved annually by the Senior Management Team. The Director of Finance is delegated to ensure that all student fees due to the College are received.

Any student who has not paid an account for fees or any other item owing to the College may not receive the certificate for any degree, diploma or other qualification awarded by the College until all outstanding debts have been cleared. Such students may be prevented from re-enrolling at the College and from using any College facilities until appropriate arrangements have been made.

The College seeks to minimise any possibility of money laundering in accordance with the Money Laundering Regulations. For further advice and guidance see [the Governments advice page at https://www.gov.uk/topic/business-tax/money-laundering-regulations](#) → Where refunds are required, they should be made to the original payer and follow the method by which the money was received.

## 16 Other Income-Generating Activity

### 16.1 Private Consultancies and Other Paid Work

Unless otherwise stated in the contract of employment of a staff member:

- outside consultancies or other paid work may not be accepted without the consent of the Principal and Chief Executive.
- outside consultancies must not conflict with the work of the College.
- applications for permission to undertake work as a purely private activity must be submitted to the Principal, as appropriate, and include the following information:
  - the name of the member(s) of staff concerned;
  - the title of the project and a brief description of the work involved;
  - the proposed start date and duration of the work;
  - any remuneration received for the outside consultancy or paid work;
  - full details of any College resources required (for the calculation of the full economic cost); and
  - an undertaking that the work will not interfere with the teaching and normal College duties of the member(s) of staff concerned.
- any outside consultancy or other paid work may require to be listed in the College Register of Interest.

### 16.2 Off-Site Collaborative Provision

If the off-site collaborative arrangement goes beyond the provision of premises, physical resources and administrative support a formal partnership and course delivery agreement may be required. This is especially relevant for any arrangement whereby the College provides education to students away from College premises with the assistance of persons other than the College's own staff or with independent contractors/partner organisations. The following procedure must be followed:

- There shall be a signed contract in place setting out the responsibilities of each party to the agreement before any educational provision is delivered.
- The impact of any collaborative contract shall be subject to scrutiny and considered by the appropriate College Committee. They shall consider the risk factors associated with the proposed partnership.



- Where the partnership would represent a significant departure from the College strategic plan, the Board of Management shall approve the departure and the Principal shall inform the SFC and seek their view.

### **16.3 European Union (EU) and other Matched Funding**

Any such project requires the approval of the appropriate Vice Principal or member of SMT prior to any commitment being entered. Such approval shall be dependent upon the relevant Manager being able to demonstrate that eligible matching funds are available and that the project is financially viable by the application of the College's costing and pricing policy.

Individual applications for funds in excess of £250,000 shall be the subject of a report to the ~~HR and~~ Corporate Development Committee which will set out the potential risks and opportunities generated by the project. If the College agrees such EU contacts for provision the relevant member of SMT shall ensure that:

- this is based on a written contract which allows for full audit access to detailed records;
- appropriate monitoring procedures are in place to ensure that the outputs are achieved, and the provision is of suitable quality; and
- payments are only made against detailed invoices.

The SPFM also provides guidance on funding from the European Union (EU) and related expenditure and the College requires to take cognisance of this.

### **16.4 Profitability and Recovery of Overheads**

All other income-generating activities must be self-financing or surplus-generating unless it is intended that a new course is to be launched as a loss leader. If that is the case, the reason for it must be specified and agreed by the relevant Assistant Principal / Director.

Other income-generating activities organised by members of staff must be costed and agreed with the relevant Assistant Principal / Director and the Director of Finance before any commitments are made. Provision must be made for charging both direct and indirect costs, for the recovery of overheads.

### **16.5 Donation of surplus funds to arms-length foundations**

The College may donate any surplus on its income and expenditure account as at 31 March each year to an arms-length foundation. The donation must take place in the fiscal year in which it arises and is subject to sufficient cash and resource cover being available.

Authorisation for any donation to a Foundation requires the approval of the Board of Management and the SFC.

### **16.6 Deficits**

Any unplanned deficits incurred on other income-generating activities will be charged against the respective departmental budget.

### **16.7 Additional Payments to Staff**

Any proposal which involves additional College payments to members of staff should be supported by a schedule of names and values and must be approved by the appropriate Assistant Principal / Director / Vice Principal and the Director of Organisational Development and HR. Any payment to a Vice Principal or the Principal must be approved by the Chair of the Board of Management. The tax treatment of such proposals must be confirmed with the Finance Department in advance of the agreement being signed off.

## **17 Expenditure**

### **17.1 General**

The Director of Finance is responsible for making payments to suppliers for goods and services supplied to the College. External business and Management Consultancies greater than £100,000 and operating leases (non-property) greater than £250,000 require SFC approval.

### **17.2 Scheme of Delegation/Financial Authorities**

Budget holders are responsible for purchases within their department. In exercising this delegated authority, budget holders are required to observe these Financial Regulations. The Director of Finance shall maintain a register of authorised signatories. Under procedures agreed by the Director of Finance, central control shall be exercised over the creation of requisitioners and authorisers and their respective limits (for electronic systems). Any changes to the authorities to commit expenditure must be notified to the Head of Finance and Student Funding immediately.

The Head of Finance and Student Funding is authorised to approve payments, regardless of value, in respect of:

- payroll and VAT returns, this includes payments to HMRC, pension funds and other outside bodies in respect of deductions made from employees' pay;
- capital and interest repayments made to financial institutions in respect of loan agreements taken out by the College; and
- transfers between College bank accounts and investment accounts.

These payments will be validated and authorised by the Finance Manager or Principal Accountant before seeking the Head of Finance and Student Funding authorisation.

The SPFM requires the College to seek prior approval from the SFC for:

- Any new voluntary severance scheme;
- Any change to a previously approved voluntary severance scheme;
- Any payment, forming part of any scheme, considered to be sensitive or high profile;
- Any use of settlement agreements; and

- Any payment to an individual in excess of contractual entitlement out with an approved voluntary severance scheme.

Subject to the payments being made in relation to an approved voluntary severance scheme, the Director of Organisational Development and HR is authorised to approve severance payments made to employees, except for the Principal and Vice Principals. Any severance payment to the Principal or Vice Principals must be authorised by the Chair of the Board of Management and approved by the SFC. There is a delegated limit of up to £1,000 for special severance payments and any value above £1,000 requires prior SFC approval.

~~The Scottish Government have placed a £95,000 limit on termination payments. This limit includes both contractual and non-contractual elements of any settlement agreed. Where the proposed payment exceeds £95,000, it must be capped at £95,000. Where this is not possible, a business case will require to be discussed with the SFC. The approval of the SFC must be obtained before any agreement in excess of £95,000 is finalised. The view of the Scottish Government must also be obtained as and when appropriate, including in relation to any potentially high profile/high value cases or where it is proposed that the £95,000 limit is not applied.~~

~~In addition to the above limit of £95,000 t~~The Scottish Government have also stipulated that:

- where appropriate, it is expected that notice should be worked rather than a payment being made in lieu of notice;
- a maximum payback period of 24 months will apply in all cases (i.e. the time taken to recover the compensation costs against normal salary costs). This will be applied at an individual rather than scheme level; and
- an individual leaving because of a voluntary severance resignation secured by a financial consideration may not return to employment within the same employer for a period of at least 12 months, including as a temporary agency worker or via a procurement route.

### 17.3 Purchase Orders

College orders must be placed for the purchase of all goods or services. Only in exceptional circumstances should petty cash be used to purchase goods or services.

Purchase orders may not be split to lower the value per order with a view to reducing the authorisation level required.

Budget holders are not authorised to commit the College to expenditure without first reserving enough funds to meet the purchase cost.

Purchasing directly from online sites is not advised as the College has limited protection when purchasing from this source. Purchasing from eBay and Amazon is prohibited unless authorised in advance by either the Head of Finance and Student Funding or the Director of Finance.

The following purchase order approval limits for individual items of expenditure will be applied within the [finance system](#):

Expenditure	Authoriser
£0 to £250	Budget Holder/delegated budget holder
£251 to £10,000	Principal Accountant
£10,001 to £50,000	Director of Finance/Head of Finance and Student Funding
£50,001 to £250,000	Vice Principal <del>Operations</del> / Principal
£250,001 to £500,000	<del>Finance and General Purposes</del> <a href="#">Corporate Development</a> Committee
➤ £500,000	Board of Management

A request for a special payment is used to make payments to suppliers without the requirement to set up full supplier details on the [finance system](#), and may only be used under the following conditions:

- For non-recurring purchases up to £1,000 (including VAT) where the supplier does not accept bank or credit card payments; or
- For payments to groups of individuals, who may only ever be paid once. This

includes nursery or specific membership refunds.

It is the responsibility of the Director of Finance to ensure that all purchase orders refer to the College's conditions of contract.

The College will not utilise on-line payment transaction systems – such as PayPal - for payment of on-line goods and services as there is limited recourse against the provider of the goods/services.

#### **17.4 Credit Cards**

Where appropriate, the Principal and the Vice Principal Operations may approve the issuing of College credit cards to senior staff. The operation and control of the College's credit cards is the responsibility of the Director of Finance. There will be appropriate oversight of the distribution of such cards and the associated card limits provided by the Vice Principal Operations.

Holders of credit cards must use them only for the purposes for which they have been issued and within the authorised purchase limits. Such cards shall be used for the payment of valid business expenses only, and the misuse of such cards shall be grounds for disciplinary action. Cards must not be loaned to another person, nor should they be used for personal or private purchases.

Cardholders should obtain approval to purchase from the relevant budget holder and should ensure that there is sufficient budget available to meet the costs. The Director of Finance shall determine what information is required on purchases made with cards from cardholders and deadlines for receipt in the Finance Department to enable financial control to be maintained. There should be appropriate segregation of duties, with those reviewing and reconciling cards not holding and using those cards.

All items purchased on the College credit card must have an approved purchase order before the goods or services are procured. The Director of Finance/Head of Finance and Student Funding will approve and sign credit card reconciliations at least quarterly.

## 17.5 Procurement

The College requires all budget holders, irrespective of the source of funds, to obtain supplies, equipment and services at the most economically advantageous cost (MEAT). This should be consistent with quality, delivery requirements, sustainability and equalities legislation and in accordance with the [College's Procurement Strategy](#) considering procurement framework agreements as appropriate. Budget holders should engage with the College procurement function at the earliest possible opportunity.

The Director of Finance is responsible for:

- ensuring that the College procurement procedures and requirements are known and observed by all involved in purchasing for the College;
- advising all stakeholders on matters of College procurement process and practice;
- advising and assisting departments on specific departmental purchases;
- developing appropriate standing supply arrangements on behalf of the College to assist budget holders in meeting their value for money obligations;
- the drafting and negotiation of all large-scale purchase contracts undertaken by the College, in collaboration with the responsible department; and
- ensuring that the College complies with all relevant public procurement policies.

Guidance on procurement matters is available on the [procurement area](#) of the College intranet. College procurement processes reflect the relevant guidance issued by [Advanced Procurement for Universities and Colleges](#) (APUC); relevant policy and advice issued by the Scottish Procurement and Commercial Directorate; and European Union directives

Any proposal to award a contract without competition (non-competitive action) at a level above £25,000 must be approved in advance by SFC.

Goods and services should firstly be sourced through APUC and Government framework agreements, prior to any alternative procurement route being taken.

## Strategy Development and Authorisation

The Procurement Department will create a procurement strategy for all tendering activities above £25,000 total contract value in line with best practice. This procurement strategy will detail the methodologies applied when tendering a commodity or category including the suggested route to procurement and tendering approach.

Procurement strategies will be authorised by the following staff for estimated contract values of:

Estimated Contract Value	Authorised By
£25,000 to £50,000	Budget Holder and Head of Finance and Student Funding
£50,001 to £100,000	SMT Member and Director of Finance
>£100,000	SMT Member and Vice Principal Operations

### 17.6 Scottish and EU Procurement Regulations

The Director of Finance is responsible for ensuring that the College complies with its legal obligations concerning Scottish and EU procurement legislation. Scottish and EU procurement regulations apply to written contracts for all forms of procurement, purchase or hire with a total value exceeding the EU threshold value.

The Director of Finance will advise Senior Management Team on the financial thresholds that are currently in operation. Any breach of these Scottish and EU regulations could be liable to action by a supplier or potential supplier.

It is the responsibility of Senior Management Team to ensure that their members of staff comply with the Scottish and EU procurement regulations by notifying the Director of Finance of any purchase that is likely to exceed the thresholds. This will need to be done well in advance where tenders are of a higher value in order to permit advertisements in journals such as the Official Journal of the European Union (OJEU) if this is required.



## 17.7 Quotations and Tenders

Delegated budget holders must comply with the College's procurement [guidance contained within these Regulations-Policy](#) and the Scottish Government Procurement Journey. Tendering procedures ~~as follows~~ for the contract values [noted below require to be followed](#): ~~of:~~

### Goods and Services

Total Contact Value	Action	Responsibility / Notes	Contract Authorisation
<£5,000	At least 2 written quotations where no current contract / framework is in place.	<u>Department</u> A balanced approach being undertaken based on the nature and level of the transaction involved. Value for money must always be achieved.	The Budget Holder
£5,001 to £25,000	Endeavour to obtain at a minimum 3 written quotations where no current contract / framework is in place.	<u>Department</u> The procurement must demonstrate best value, due diligence and transparency in the selection process in line with corporate and statutory regulations.	A member of SMT and Head of Finance and Student Funding
£25,001 to £50,000	At a minimum 3 quotes via PCS 'quick quote' require to be obtained where no current contract / framework is in place.	<u>Procurement</u> The procurement must demonstrate best value, due diligence and transparency in the selection process in line with corporate and statutory regulations.	A member of SMT and Director of Finance and / or Head of Finance and Student Funding
£50,001 to £250,000	Open tender via PCS / PCS-T endeavouring to obtain at least 3 responses.	<u>Procurement</u> Where a suitable procurement framework exists, a mini competition or direct award may be carried out. If no suitable framework is available, it will be necessary to carry out an open tender exercise. The exercise should also be carried out in a manner that will allow any resulting contract to be formed on the Colleges' terms and conditions.	Director of Finance and Vice Principal <del>Operations</del> / Principal
£250,001 to £500,000	Open tender via PCS-T	<u>Procurement</u> Where a suitable framework exists, a mini competition or direct award	<del>Finance and General Purposes</del> <u>Corporate Development</u>

Total Contact Value	Action	Responsibility / Notes	Contract Authorisation
		may be carried out. If no suitable framework is available, it will be necessary to carry out an open tender exercise. Procurements falling into this category must be advertised as per the current relevant procurement regulations.	Committee
>£500,000	Open tender via PCS-T	<u>Procurement</u> Where a suitable framework exists, a mini competition or direct award may be carried out. If no suitable framework is available, it will be necessary to carry out an open tender exercise. Procurements falling into this category must be advertised as per the current relevant procurement regulations.	Board of Management

The College is required to include a Community benefits clause where the contract value is in excess of £4m as per the current procurement regulations. For all contracts above the OJEU limit the College will seek ~~to~~ a community benefits clause where considered relevant and appropriate.

## For Works

Works are defined as under Schedule 2 of the Public Contracts (Scotland) Regulations 2015.

Total Contact Value	Action	Responsibility / Notes	Contract Authorisation
<£25,000	Endeavour to obtain at least 3 written quotations where no current contract / framework is in place.	<u>Department</u> A balanced approach being undertaken based on the nature and level of the transaction involved. Value for money must always be achieved.	The Head of Estates
£25,001 to £250,000	Written quotations require to be obtained via PCS / PCS-T where no current contract / framework is in place. Where an open tender is not conducted a minimum of 5 suppliers will be invited to respond and it is expected that a minimum of three bids will be assessed.	<u>Procurement</u> The procurement must demonstrate best value, due diligence and transparency in the selection process in line with corporate and statutory regulations.	Director of Infrastructure, Director of Finance and / or Vice Principal <del>Operations</del>
£250,001 to £500,000	Open tender via PCS / PCS-T	<u>Procurement</u> If no suitable framework is available, it will be necessary to carry out a competitive exercise. The exercise should also be carried out in a manner that will allow any resulting contract to be formed on the Colleges' terms and conditions. Advertising for procurements falling into this category is compulsory except when using a framework.	<del>Finance and General Purposes</del> <u>Corporate Development</u> Committee

Total Contact Value	Action	Responsibility / Notes	Contract Authorisation
>£500,001	Open tender via PCS-T	<u>Procurement</u> An open tender exercise must be carried out if a framework is not available. Where a suitable framework does exist, a mini competition or direct award may be carried out in accordance with the framework rules. Advertising for procurements falling into this category is compulsory except when using a framework. Tenders for works above a total contract value of £4m must include provision for achieving Community Benefits as part of their outcomes.	Board of Management

The College is required to include a Community benefits clause where the contract value is in excess of £4m as per the current procurement regulations. For all contracts above the OJEU limit the College will look to include a community benefits clause where considered relevant and appropriate.

### 17.8 Building Contracts

Building contracts in excess of £250,000 are the approval responsibility of the ~~Finance and General Purposes~~ Corporate Development Committee, with contracts above £500,000 requiring Board of Management approval, with advice provided by the Vice Principal Operations, Director of Infrastructure and Director of Finance and where necessary external professional advisors.

Proposals will be initiated as a result of required and planned capital developments. Managing consultants may be appointed if the project is of a scale or specialism that requires this. All such appointments shall be subject to tendering and other procurement procedures as appropriate.

Proposals for building contracts that require Board of Management approval shall be presented in the form of an options appraisal including relevant costings as appropriate, prepared by the Vice Principal Operations and Director of Infrastructure. Option appraisals should comply with Scottish Funding Council guidance.

Following consideration, and approval by the Board of Management, option appraisals should be forwarded to the Scottish Funding Council where appropriate. If the required agreement is secured from the Scottish Funding Council, the relevant procedural rules should be followed. Scottish Funding Council guidance on best practice should be followed even when Scottish Funding Council approval is not required.

The achievement of value for money will be an objective in the awarding of all contracts.

#### **17.9 Receipt of Goods and Services**

All goods received shall be checked for quantity and/or weight and inspected for quality and specification. A delivery note shall be obtained from the supplier at the time of delivery and signed by the person receiving the goods. All persons receiving goods on behalf of the College must be independent of those who negotiated prices, its terms and placed the official order.

All goods and services received shall be entered onto the [finance system](#) as soon as practicable after receipt or delivery. If goods are deemed to be unsatisfactory, the record shall be marked accordingly, and the supplier immediately notified so that they can be collected for return as soon as possible. Where goods are short on delivery, the record should be marked accordingly, and the supplier immediately notified.

#### **17.10 Payment of invoices**

The procedures for making all payments shall be in a form specified by the Director of Finance.

Payments to UK suppliers will normally be made by BACS transfer and will only be varied after consulting with the Head of Finance and Student Funding.

Budget Holders are responsible for ensuring that expenditure within their departments does not exceed funds available.

Suppliers should be instructed by the budget holder to submit invoices for goods or services directly to the Finance Department by electronic means where possible.

Care must be taken by the budget holder to ensure that discounts receivable are obtained.

Payments will only be made by the Finance Manager against invoices that have been certified for payment by the appropriate budget holder and that can be matched to a receipted order. Certification should be done electronically through the [finance system](#).

Certification of an invoice or receipting of an electronic order will ensure that:

- the goods have been received, examined and approved for quality and quantity, or those services rendered, or work done is satisfactory;
- where appropriate, it is matched to the order;
- invoice details (quantity, price discount) are correct;
- the invoice is arithmetically correct;
- the invoice has not previously been passed for payment;
- where appropriate, an entry has been made on a stores record or departmental inventory; and
- an appropriate cost centre is quoted; this must be one of the cost centre codes included in the budget holder's area(s) of responsibility and must correspond with the types of goods or service described on the invoice.

### **17.11 Staff Reimbursement**

The College's purchasing and payments procedures are in place to enable most non-pay supplies to be procured through the purchase ledger system without staff having to incur any personal expense. However, on occasion, staff may incur expenses, most often in relation to travel, and are entitled to reimbursement. Where such purchases by staff are planned, Senior Management Team members may approve advances to staff that are going to incur expenditure on the College's behalf. Advances by bank transfer may be requested from the Finance Team.

Upon completion of the travel or project to which the advance relates, a staff expenses claim must be prepared to demonstrate how the advance was disbursed and any unspent balance repaid and returned to the Finance team. Under no circumstances will a second advance be approved when the final accounting for an earlier advance to an individual is still outstanding.

For all other expense reimbursement, the College Travel and Subsistence Procedure applies, and this document is available on the [College staff intranet page](#).—

<https://intranet.westcollegescotland.ac.uk/reference/policiesprocedures/Travel%20and%20Subsistence%20Procedure.pdf>

### **17.12 Late Payment Rules**

The Late Payment of Commercial Debts (Interest) Act 1998 as amended by the Late Payment of Commercial Debts Regulations 2002 gives businesses the statutory right to claim interest on late payments from large organisations and public authorities, including the College. Key points in relation to this are:

- small businesses can charge interest on overdue invoices
- the rate of interest is currently 8% per annum above the official daily rate of the Bank of England
- late payment compensation of £40 per invoice

In view of the penalties in this Act, the Board of Management requires that invoices must be passed for payment when received, and payment made in accordance with the Prompt Payment Code (<http://www.promptpaymentcode.org.uk/>).

### **17.13 Losses and Special Payments**

In principle, the College will always attempt to pursue the recovery of overpayments, irrespective of how they came to be made. In practice, however, there will be both practical and legal limits to how cases should be handled. Each case will therefore be dealt with on its individual merits.

The College will only take a decision not to seek recovery of an overpayment based on a cost benefit analysis of the options. A decision not to pursue recovery will be exceptional and will only be taken after a careful appraisal of the relevant facts. A Vice Principal or the Director of Finance must authorise the non-pursuance of an overpayment. The decision not to pursue an overpayment must consider the guidance in the section of the SPFM on Losses and Special Payments. Any decision not to pursue recovery, or not to pursue recovery in full, should be defensible in the public interest.

Losses should only be written off after careful appraisal of the facts. All reasonable action must have been taken to affect the recovery of losses. Where there is a request to write off a loss or make a special payment exceeding £250,000 this will require to be authorised by the SFC prior to instigating the write off or making the payment.

Losses and special payments have been grouped into several different categories and include the following:

- Cash and bookkeeping losses
- Losses of assets, stores and equipment
- Extra-contractual payments.

These are payments which, although not legally due under the original contract or subsequent amendments, appear to place an obligation on a public sector organisation which the courts might uphold. Such obligations will usually arise from administrative action or inaction in relation to the contract. A payment is regarded as extra-contractual even where there is doubt whether the organisation is liable to make it, for example, where the contract provided for arbitration, but a settlement is reached without recourse to arbitration. A payment made as a result of an arbitration award is contractual.

Compensation payments are ones made in respect of unfair dismissal or in respect of personal injuries, traffic accidents, and damage to property suffered by staff. Ex gratia payments are payments made where there is no legal obligation to pay.



There must always be good public policy grounds for making such payments. Within this category may fall out of court settlements, such as cases where the pursuer has no legal case, but the College wishes to stop the litigation because it may be costly in time and resources. Other examples of ex gratia payments would be payments as compensation for distress or loss arising from a perceived failure of the College but where there was no legal obligation to pay, or awarding a dismissed office holder a gratuity, that goes beyond any legal entitlement by virtue of his/her employment.

Losses incurred by the College in excess of £3,000 each year should be reported annually to the SFC. The report should detail the number of such losses and the total cost.

#### **17.14 Bankruptcy / Liquidation / Receivership**

When the College learns of a bankruptcy / liquidation or receivership, it will stop all payments pending confirmation of the individual / organisation status. Once the bankruptcy / liquidation or receivership has been confirmed it is essential for the College to ensure that any payment due by them is made only to the proper person, and that any claim by them is properly lodged. The College should also consider, in consultation with legal advisers as required, whether any contract should be terminated. Any amounts to be written off as a result of bankruptcies will be subject to the SPFM guidance on Losses and Special Payments.

## 18 Petty Cash, Floats and Project Advances

### 18.1 Cash Requests

Where a single item is for less than £25 and is not an existing supplier it should be paid from petty cash if possible. The reimbursement must be supported by receipts or vouchers.

A [petty cash claim form](#) is available on the College intranet—

<http://intranet.westcollegescotland.ac.uk/request/finance/SitePages/Home.aspx> and must be used for recording all petty cash transactions. The Director of Finance shall make available to departments float imprests as considered necessary for the disbursements of incidental expenses. However, it is important for security purposes that imprest floats are kept to a minimum. All expenses must be supported by receipts and vouchers.

Requisitions for reimbursements must be sent to the Finance Department, together with appropriate receipts or vouchers, before the total amount held has been expended, in order to retain a working balance pending receipt of the amount claimed.

### 18.2 Floats

The member of staff granted a float is personally responsible for its' safe keeping. The petty cash box must be kept locked in a secure place in compliance with the requirements of College insurers when not in use and will be subject to periodic checks by the Finance Manager or another person nominated.

College float reconciliation sheets are supplied by the Finance Department and must be used for recording all imprest accounts.

Interim annual audits will be undertaken by the Finance Department of floats and certificate of the balances held should be completed by the member of staff responsible for the float and counter-signed by the budget holder. At the end of the financial year all floats must be returned to Finance and requested again at the start of the new financial year.

## **18.2 Project Advances**

The Head of Finance and Student Funding and the relevant budget holder may jointly approve project cash advances where projects are carried out away from the College. These specifically relate to situations where cash expenditure may be unavoidable, especially in relation to student day trips.

Other forms of payment will be expected to be used wherever possible, such as an official purchase order and subsequent payment or a College credit card. College purchasing and payments procedures are in place to enable most non-pay supplies to be procured through the [finance system](#) without staff having to incur any personal expense.

Advances will not be issued to cover normal staff expenditure incurred in relation to travel and subsistence. Reimbursement for this will be sought in accordance with the College Travel and Subsistence Procedure with reimbursement through payroll.

Receipts or paid invoices will be retained for all sums expended in this way. Upon completion of the project to which the advance relates, within one month a final account must be prepared to demonstrate how the advance was disbursed and any unspent balance repaid. Under no circumstances will a second advance be approved when the final accounting for an earlier advance to a project or individual is outstanding.

Where cash advances in excess of £250 are requested, then these require to be further approved by a member of SMT. If a member of SMT is making the request the approval should be sought from their line manager.

## **19 Checking Financial Transactions**

The responsibility for the propriety, regularity and accuracy of financial transactions cannot be avoided by relying on the work of internal or external auditors. The College will carry out appropriate reviews at operational area level as/if required. This includes checking the arithmetical accuracy of invoices raised / received; claims or other vouchers; fulfilment of the terms of a contract; professional verification for validity; physical checking of goods invoiced; checking of invoices against orders; and application of VAT. Any reviews will be undertaken by finance staff who will have no direct involvement in entering into commitments for related goods and services.

In order to ensure that the review/checking procedures are both effective and economical they must be monitored. At operational area level records should be analysed regularly in order to identify the underlying reasons for any errors - such as the need for improvements in form design or training - and to take remedial action as necessary. In addition, internal audit should report on cases of excessive or ineffective financial checking and where appropriate checking procedures should be adjusted considering any findings.

Reviews will consider the extent of and the need for checks carried out in operational areas. Analysis of the results may suggest underlying inadequacies in the procedures or supporting systems which need to be addressed separately.

## 20 Pay Expenditure

### 20.1 Remuneration Policy

All College staff will be appointed to College salary scales in accordance with appropriate conditions of service. All letters of appointment must be issued by the Organisational Development and HR Department.

The salary and other benefits for the Principal and Vice Principals will be determined by the Remuneration Committee set up by the Board of Management but will have due regard to Public Sector Pay Policy. The salary and other benefits for Assistant Principals, Directors and Heads will be determined by the Principal but will have due regard to Public Sector Pay Policy.

### 20.2 Appointment of Staff

All contracts of service shall be concluded in accordance with College approved HR practices and procedures. All offers of employment with the College shall be made in writing by the Director of Organisational Development and HR. Budget holders shall ensure that the Director of Finance and the Head of Organisational Development and Human Resources are provided promptly with all information they may require in connection with the appointment, resignation or dismissal of employees.

All permanent posts/contracts require to be authorised by a Vice Principal and then by the Director of Organisational Development and HR prior to the position being advertised.

### 20.3 Salaries and Wages

The College must have regard to Public Sector Pay Policy set by the Scottish Ministers. The Director of Organisational Development and HR is responsible for all payments of salaries and wages to all staff including payments for overtime or services rendered. All timesheets and other pay documents, including those relating to fees payable to external examiners and visiting lecturers will be in a form prescribed or approved by the Director ~~Head~~ of Organisational Development and HR.

The Director of Organisational Development and HR will also be responsible for keeping the Director of Finance informed of all matters relating to personnel for budgeting and forecasting purposes. These include:

- appointments, resignations, dismissals, supervisions, secondments and transfers;
- absences from duty for sickness or other reason, apart from approved leave;
- changes in remuneration other than normal increments and pay awards; and
- information necessary to maintain records of service for superannuation, income tax and national insurance.

The Director of Organisational Development and HR is responsible for the monthly BAC's payments to employees and non-employees (pay over of payroll deductions). The Director of Organisational Development and HR is responsible for informing the appropriate authorities of such payments.

All employees will be included on the College payroll.

The Director of Organisational Development and HR shall be responsible for keeping all records relating to payroll including those of a statutory nature. All payments must be made in accordance with the College's detailed payroll financial procedures and comply with HMRC regulations.

#### **20.4 Pension Schemes**

The Board of Management is responsible for undertaking the role of employer in relation to appropriate pension arrangements for employees. The College provides access to two defined benefit pension schemes. Support staff are eligible to join the Local Government Pension Scheme administered by the Strathclyde Pension Fund. Teaching staff are eligible to join the Scottish Teachers Superannuation Scheme administered by the Scottish Public Pensions Agency.

The Director of Organisational Development and HR is responsible for day-to-day superannuation matters, including:

- paying contributions to various authorised superannuation schemes;

- preparing the annual return to various superannuation schemes; and
- administering the College's pension fund.

The Director of Organisational Development and HR is responsible for administering eligibility to pension arrangements and for deciding when deductions should begin or cease for staff.

## **20.5 Travel, Subsistence and Other Allowances**

All claims for payment of subsistence allowances, traveling and incidental expenses shall be completed and submitted electronically or in exceptional circumstances – for example a failure of the IT system - on the forms available on the HR system. These claims must be made in accordance with the requirements of the [College Travel and Subsistence Procedure](#).

<http://intranet.westcollegescotland.ac.uk/reference/SitePages/Policies%20and%20Procedures.aspx>

## **20.6 Non-salary Rewards**

The College may make non-salary rewards.

When making such awards care will be taken to avoid any criticism of unfair preference being given. The recipient of the reward will be given some choice or third-party suppliers will be used where, for example, voucher schemes are introduced.

In making the award the College will actively consider whether the non-salary reward schemes represent an appropriate use of public funds.

The College will be open and transparent in the way it deals with non-salary rewards. Should the College introduce such awards, a clear policy on disclosure of information about the awards which have been made and the procedures adopted for making those awards will be approved and widely disseminated.

## 20.7 Overseas Travel

All arrangements for overseas travel must be approved by a Vice Principal in advance of committing the College to those arrangements or confirmation of any travel bookings. Arrangements for overseas travel by Vice Principals will require to be approved by the Principal. Arrangements for overseas travel by the Principal or members of the Board of Management shall be approved by the Chair of the Board of Management. Arrangements for travel by the Chair of the Board of Management shall be approved by the ~~Finance and General Purposes~~ Corporate Development Committee.

Where spouses, partners or other persons unconnected with the College intend to participate in a trip, this must be clearly identified in the approval request. The College must receive reimbursement for the expected costs it may be asked to cover for those persons in advance of confirming travel bookings.

## 20.8 Travel and Expenses for Members of the Board of Management

Claims for members of the Board of Management will be authorised by the Secretary to the Board. Claims for the Chairperson will be authorised by the Chair of the Remuneration Committee. Only reasonable expenses can be reimbursed for attending meetings.

## 20.9 Severance and Other Non-Recurring Payments

In considering terms for severance, early retirement or redundancy packages - whether compulsory or voluntary - public bodies to which the SPFM is directly applicable – including the College - should ensure that issues of legal and regulatory compliance, propriety and value for money are fully considered, alongside employee relations issues. Specifically:

- public funds must not be used wastefully or to underwrite inequitable or over- generous conditions of service, including severance;
- notice of termination of appointments should not be delayed in order to generate compensation payments in lieu of notice;
- where appropriate, ex-gratia severance or redundancy packages should be based on the arrangements set out within relevant extant terms and conditions of employment. Prior consideration should be given to the availability of pension and compensation benefits within these conditions;



- any special payments should be transparent and negotiated in such a way as to avoid conflicts of interest;
- offers of subsequent employment or consultancy work should be exceptional and only made where they represent value for money; and
- any undertakings about confidentiality should leave transactions open to proper public scrutiny.

In line with the requirements of the SPFM, the College's severance scheme must be approved by SFC. The SFC issued 'Guidance on seeking approval for severance schemes and settlement agreements' (SFC/GD/01/2016) which incorporates the SPFM requirements. Provided a severance payment is within the parameters of a scheme, which has been approved by the SFC, there will be no need for the College to seek approval to the individual payment from SFC. Approval lasts for the duration of the scheme.

The College must follow the requirements of the SPFM and the SFC in determining settlement agreements, severance, early retirement and redundancy arrangements and payments.

Special severance payments in excess of £1,000 must be approved by SFC, except where provision for such payments has been included in a severance scheme approved by SFC.

Under the terms of the FM, the College is required to submit an annual report to SFC of any compensation payments that exceed £5,000 or ex- gratia payments that exceed £1,000. The report should describe the number of instances and total cost.

## **21 Assets**

### **21.1 Overall Responsibility**

The Board of Management has a duty to ensure that the assets for which they are responsible such as land, buildings or other property - including stores and equipment - are properly and well managed. Robust systems should be put in place to ensure that the accuracy and integrity of information held on registers, databases and inventories is safeguarded and readily available for inspection.

## **21.2 Land, buildings, fixed plant and machinery**

The purchase of land, buildings or fixed plant can only be undertaken with authority from the Board of Management and with reference to SFC requirements where exchequer-funded assets or exchequer funds are involved. Lease or rental agreements with a total agreement value of £250,000 or more must be approved by the ~~Asset and Infrastructure Committee and the Finance and General Purposes~~ Corporate Development Committee. Lease or rental agreements with a total agreement value of £500,000 or more will require the approval of the Board of Management.

Expenditure should be incurred in a way which represents value for money, considering potential risks to regularity and propriety. Effective control over payments must be maintained at all stages. Expenditure should be authorised in the operational area which entered into the commitment, with due consideration to separation of duties.

## **21.3 Fixed Asset Register**

The Director of Finance is responsible for maintaining the College register of land, buildings, fixed plant and machinery. Managers will provide the Director of Finance with any information required to maintain the register.

Under resource accounting and budgeting, asset registers are a key part of financial management systems and must be capable of delivering the accounting requirements of the Government Financial Reporting Manual. The registers should contain details of all assets (both current and non-current) owned, whose value or original purchase price is in excess of the College's capitalisation threshold. The College asset register is computerised and the minimum detail held is:

- purchase price and date;
- asset accounting code;
- asset identification number;
- a physical description of the asset (where appropriate) together with details of serial or registration number;
- locations;
- evidence of physical verification of the asset's existence; and

- a depreciation profile.

#### **21.4 Inventories**

Managers are responsible for maintaining inventories, in a form prescribed by the Director of Finance, for all plant, equipment, furniture and stores in their departments. The inventory must include items donated or held on trust and must be checked at least annually.

The IT Department must maintain an inventory register of all ICT equipment.

When transferring equipment and plant between departments, a transfer record must be kept, and the inventories amended accordingly.

#### **21.5 Stocks and Stores**

Managers are responsible for establishing adequate arrangements for the custody and control of stocks within their departments. The systems used for stock accounting in departments must have the approval of the Director of Finance.

Managers are responsible for ensuring that regular inspections and stock checks are carried out. Stocks and stores of a hazardous nature should be subject to appropriate security checks.

Those Managers whose stocks require valuation in the balance sheet must ensure that the stock-taking procedures in place have the approval of the Director of Finance and those instructions to appropriate staff within their departments are issued in accordance with advice contained in the College's detailed financial procedures.

#### **21.6 Safeguarding Assets**

Managers are responsible for the care, custody and security of the buildings, stock, stores, furniture, and cash under their control. They will consult the Director of Finance in any case where security is thought to be defective or where it is considered that special security arrangements may be needed.

High value assets owned by the College shall, so far as is practical, be effectively marked to identify them as College property.

### **21.7 Personal Use**

Assets owned or leased by the College shall not be subject to personal use without proper authorisation.

### **21.8 Asset Disposal**

Holdings of property, plant and equipment should be kept under constant review with a view to disposing of surplus assets as quickly as possible.

Disposal of equipment and furniture must be in accordance with procedures agreed by the Director of Finance. In disposing of plant and equipment assets which is surplus to requirements due consideration should be given to value for money. Payment should normally be required to be made before goods are released for collection or delivery. The law implies that any goods sold are of merchantable quality and fit for the purpose for which they are sold. If there is any reason to believe that goods are faulty or sub-standard, it should be made clear that they are sold as seen and without any implied warranties as to quality or fitness.

Disposal of land and buildings must only take place with the authorisation of the Board of Management. SFC consent may also be required if exchequer funds were involved in the acquisition of the asset. Holdings of land and buildings should be limited to the minimum needed to meet present and planned future requirements.

Land and buildings identified for disposal should be valued professionally. The District Valuer or suitably qualified private sector valuers - and in some exceptional cases in-house valuers - may be used. Advice should also be sought on development potential where required.

In disposing of exchequer funded assets, the College must follow the guidance contained within the SPFM and the relevant procedure notes issued by the SFC website.

### **21.9 Impairments, Provisions and Write-Offs**

Assets must be recorded in the Balance Sheet at Depreciated Replacement Cost for Land and Buildings and at Historic Cost less depreciation for Equipment in accordance with the Financial Reporting Manual (FRM). Where an asset, including investments, suffers impairment, it is important that the prospective impairment and background is communicated to the SFC at the earliest possible point in the financial year to determine the budget implications. Any significant movement in existing provisions or the creation of new provisions must be discussed with the SFC.

### **21.10 All Other Assets**

Managers are responsible for establishing adequate arrangements for the custody and control of all other assets owned by the College, whether tangible, such as stock, or intangible, such as intellectual property, including electronic data.

## **22 Funds Held on Trust**

### **22.1 Gifts, Benefactions and Donations**

The Director of Finance is responsible for maintaining financial records in respect of gifts, benefactions and donations made to the College and initiating claims for recovery of tax where appropriate.

### **22.2 Student Support Funds**

The Director of Finance will prescribe the format for recording the use of student support funds. Records of support funds will be maintained according to funding body requirements. The College must follow SFC's Student Support Guidance.

## 23 Other

### 23.1 Maladministration

The College has a set of clear standards and an accessible complaints procedure which can be found at <https://www.westcollegescotland.ac.uk/college/about-us/complaints/>. If College services have been found to be deficient the College has a clearly defined procedure in place to ensure that, so far as reasonably practicable, the identified deficiencies are addressed to prevent recurrence.

Any payments of financial redress qualify as ex gratia payments and are therefore subject to the guidance on Losses and Special Payments. Any such payment will require to be authorised in advance by either the Principal or a Vice Principal. Payment on grounds other than actual financial loss or costs should only arise in exceptional circumstances.

### 23.2 Insurance

Insurance arrangements of all bodies to which the SPFM is applicable should be reviewed from time to time in the context of Risk Management. However, under the Scottish Ministerial policy of self-insurance constituent parts of the Scottish Administration and self-insuring SG sponsored bodies would be justified in taking out commercial insurance only in specified circumstances or if the cost of claims, including in-house and contracted-out administration costs, was calculated as likely to exceed the cost of insurance premiums. All the expected costs and benefits should be considered in establishing a value for money case for commercial insurance. Detailed guidance on conducting a cost-benefit analysis is provided in the Green Book. In order to show that commercial insurance provides value for money the cost-benefit analysis must show a positive net benefit.

Commercial insurance must be taken out by SG sponsored bodies where there is a legal requirement to do so. The Scottish Ministers have agreed a derogation whereby Colleges can extend their current commercial insurance arrangements for three years to 31 July 202~~14~~<sup>14</sup>.

The Director of Finance is responsible for College insurance arrangements, including the provision of advice on the types of cover available. As part of the overall risk management strategy, all risks will have been considered and those most effectively dealt with by

insurance cover will have been identified. This is likely to include important potential liabilities and provide enough cover to meet any potential risk to all assets.

The Director of Finance is responsible for effecting insurance cover as determined by the ~~Finance and General Purposes~~Corporate Development Committee. He or she is therefore responsible for obtaining quotes, negotiating claims and maintaining the necessary records. The Director of Finance will keep a register of all insurances effected by the College and the property and risks covered and will also liaise with College insurers and advisers about specific insurance matters.

Managers must ensure that any agreements negotiated within their departments with external bodies cover any legal liabilities to which the College may be exposed. The Director of Finance advice should be sought to ensure that this is the case. Directors and Managers must give prompt notification to the Director of Finance of any potential new risks and additional property and equipment that may require insurance and of any alterations affecting existing risks. Managers must advise the Director of Finance immediately of any event that may give rise to an insurance claim. The Director of Finance will notify the College's insurers and, if appropriate, prepare a claim in conjunction with the head of department for transmission to the insurers.

The Director of Finance ~~and Planning~~ is responsible for keeping suitable records of plant which is subject to inspection by an insurance company and for ensuring that inspection is carried out in the periods prescribed.

All staff using their own vehicles on behalf of the College shall maintain appropriate insurance in accordance with the requirements of the College Travel and Subsistence Procedure.

### **23.3 Companies and Joint Ventures**

In certain circumstances it may be advantageous to the College to establish a company or a joint venture to undertake services on behalf of the College. Any member of staff considering the use of a company or a joint venture should first seek the approval of the Director of Finance who will consult and seek approval from the Board of Management.



Approval from the SFC will also be required.

It is the responsibility of the Board of Management to establish the shareholding arrangements and appoint directors of companies wholly or partly owned by the College. These and other arrangements will be set out in a memorandum of understanding. The directors of companies where the College is a shareholder must submit, via the Finance and General Purposes Corporate Development Committee, an annual report to the Board of Management. They will also submit business plans or budgets as requested to enable the Committee to assess the risk to the College.

Where the College is the majority shareholder in a company, the SFC requires that the company's financial year must be consistent with that of the College.

#### **23.4 Security**

Keys to safes or other similar containers are to be retained securely. The loss of such keys must be reported to the Director of Finance immediately.

The Director of Infrastructure shall be responsible for maintaining proper security and privacy of information held on the College's computer network. Appropriate levels of security will be provided, such as passwords for networked personal computers together with restricted physical access for network servers. Information relating to individuals held on computer will be subject to the provisions of the relevant data protection legislation. A College Data Protection Officer shall be nominated to ensure compliance with relevant legislation and the safety of documents.

The Principal's Office is responsible for the safekeeping of official and legal documents relating to the College. The Principal's Office will make the necessary arrangements to ensure the safe keeping of such documents as copies of deeds, leases, agreements and contracts. All such official and legal documents shall be held in an appropriately secure location.

#### **23.5 Contingent Commitments**

The College must seek SFC's prior written consent if it intends to lend or give a guarantee, indemnity or letter of comfort. The value of the guarantee should be equal to the total contingent liability over the term of the guarantee. In all cases, the College must take steps to restrict the contingent liability to a minimum and should undertake a careful appraisal of the risks before accepting any contingent liability.

The College should also provide assurance that, in the event of the contingent liability arising, it can be met from College resources, or that appropriate insurance cover has been arranged.

SFC written consent is not required for such arrangements if the indemnity is of a standard type contained in contracts and agreements for day-to-day procurement of goods and services in the normal course of business.

### **23.6 Students' Association**

The Students' Association is a separate legal entity from the College and is recognised as fulfilling a valuable role in supporting and representing the student community. Subject to any constraints imposed by the SFC, the Board of Management shall determine the level of grant to be paid annually to the Students' Association.

The Board of Management requires the Students' Association to provide for information including details of its' proposed budget to assist in determining the appropriate level of grant in accordance with an agreement between the College and the Students' Association. The College's internal / external auditor shall have access to records, assets and personnel within the Students' Association in the same way as other areas of the College. At the year end the Students' Association financial statements will be independently examined by an appropriately qualified member of staff or firm of auditors and will be presented to the Board of Management for information.

The College will assist the Students' Association by maintaining its financial records and assisting in preparing its annual financial report to the Board of Management.

### **23.7 Provision of Indemnities**

Any member of staff asked to give an indemnity, for whatever purpose, should consult the Director of Finance before any such indemnity is given.

## **24 Intellectual Property Rights and Patents**

### **24.1 General**

Certain activities undertaken including research and consultancy may give rise to ideas, designs and inventions which may be patentable. These are collectively known as intellectual property.

### **24.2 Patents**

The Board of Management is responsible for establishing procedures to deal with any patents accruing from inventions and discoveries made by staff during their research.

### **24.3 Intellectual Property Rights**

Intellectual Property is the product of thought, creativity, and intellectual effort. During their studies at the College, students may generate Intellectual Property which is of some commercial value. A variety of legal rights protect applications of ideas and information that may be of commercial value. Those most relevant to the College's activities include patents, registered designs, copyright and 'know how'. The law is clear that intellectual property created by staff 'in the course of their employment' belongs to the College. Students are not normally employees of the College. Any assignment of student Intellectual Property must be done by a specific contract. Colleges must seek to strike a balance between a duty of care to the student and a duty not to exploit (e.g. sell, transfer, assign or license) Intellectual Property for the College's good, this balance being best achieved by selective assignment arising out of a specific contract in cases where the College's input in the creation of the Intellectual Property is very clear.

In the event of the College deciding to become involved in the commercial exploitation of inventions and research, guidance should be sought from the College legal advisors. The Director of Finance requires to authorise any agreement between the College and the students concerned.

#### **24.4 Intellectual Property Rights by Students**

Where a student generates Intellectual Property, the student has a duty to promptly inform the College of the Intellectual Property. The College will explain to the Student the matter of ownership in respect of all types of Intellectual Property through the development of appropriate documentation. When considering any Intellectual Property generated by one of its students, the College will seek to strike a balance between fulfilling its duty of care to the student and exploiting intellectual property for the good of the College. In each case the College will be mindful of protecting any third-party rights that may be relevant in the generation of the Intellectual Property.

## **Appendix 1: The Seven Principles of Public Life**

### **Selflessness**

Holders of public office should take decisions solely in terms of public interest. They should not do so in order to gain financial or other material benefits for themselves, their family, or their friends.

### **Integrity**

Holders of public office should not place themselves under any financial or other obligation to outside individuals or organisations that might influence them in the performance of their official duties.

### **Objectivity**

In carrying out public business, including making public appointments, awarding contracts, or recommending individuals for rewards and benefits, holders of public office should make choices on merit.

### **Accountability**

Holder of public office should be as open as possible about all the decisions and actions that they take. They should give reasons for their decisions and restrict information only when the wider public interest clearly demands.

### **Openness**

Holders of public office should be as open as possible about all the decisions and actions that they take. They should give reasons for their decisions and restrict information only when the wider public interest clearly demands.

### **Honesty**

Holders of public office have a duty to declare any private interests relating to their public duties and to take steps to resolve any conflicts arising in a way that protects the public interest.

### **Leadership**

Holders of public office should promote and support these principles by leadership and example.

## **Appendix 2: Summary of Protocols for Proposed Projects**

The proposal should be supported by a plan for a period relevant to the size of the project which sets out:

- a demonstration of the proposal's consistency with the strategic plans approved by the Board of Management and with the College's powers under current legislation
- details of the market need and the assumptions (based on reference data) of the level of business available
- details of the business and what product or service will be delivered
- an outline plan for promoting the business to the identified market and achieving planned levels of business
- details of the staff required to deliver, promote and manage the business, together with any re-skilling or recruitment issues
- details of any premises and other resources required
- a financial evaluation of the proposal together with its impact on revenue and surplus, plus advice on the impact of possible alternative plans and sensitivity analyses in respect of key assumptions
- contingency plans for managing adverse sensitivities
- consideration of taxation and other legislative or regulatory issues
- a financial forecast for the proposal including a monthly cash flow forecast and details of the impact on the College cash flow forecast for the financial years in question.

**Name of policy/procedure/decision:**

Financial Regulations

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

The overall aim of this Policy is to ensure that West College Scotland has sound financial management systems in place and that these systems are strictly adhered to. This should lead to effective control over the totality of the College's resources and provide management with assurances that the resources are being properly applied for the achievement of the College's strategic plan and business objectives, namely:

- financial viability
- achieving value for money
- fulfilling its responsibility for the provision of effective financial controls over the use of public funds
- ensuring that the College complies with all relevant legislation
- safeguarding the assets of the College.

**Assessed By:**

Clare Fraser

**Date:** 24 September 2020

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

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



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

Ultimately all stakeholders – students, staff, partners and the general public will benefit from these Regulations given that they provide for good financial management and proper use of public funds. It is not anticipated that there will be any differential positive impact, that is, each group should benefit equally.

**2. Is there likely to be an adverse impact on people who share protected characteristics? If so, who may be affected and why? Or is it clear at this stage that it will be equality “neutral”? There is little likelihood that this Policy will have an adverse impact on people who share protected characteristics. In fact, the policy itself could advance equality and prevent discrimination due to the fact that it focuses on robust and transparent systems and processes. Such transparency and openness could reduce the risk of unfairness.**

It is also noted that the policy refers to ethical standards which are synonymous with good practice in equality, diversity and inclusion. Additionally, given that the nine Principles of Public Life include specific reference to integrity, objectivity, openness, and respect, and the fact that equal opportunity arrangements are a characteristic of Best Value, there is evidence that this Policy mainstreams good practice in equality.

Finally, this Policy sets out responsibility for ensuring that the College complies with legislation, which includes the Equality Act 2015 and the Specific Equality Duties. This should also reduce the risk of unfairness or discrimination taking place.

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

Any complaints about the implementation of this Policy will be monitored, and we will also review monitoring information relevant to each of the separate activities/areas referred to within this Policy.

**TITLE: LTQ COMMITTEE - meeting held on Wednesday 24 February 2021**

**Action:** The draft LTQC minutes from the meeting held on Wednesday 24 February 2021 are attached for information later in the agenda. They will be formally approved at the next Committee meeting scheduled for Wednesday 19 May 2021. The Committee Chair, Jacqueline Henry highlights the following for the Board to note:

- Whilst the Committee has no recommendations for the Board, there were issues discussed at the meeting to which the Committee wanted to bring the Board's attention.
- The Committee welcomed its new remit and expanded membership. The plan for meetings to have a particular theme – e.g. curriculum review, quality – was welcomed and there was discussion as to how this could be recorded on minutes or a matrix to ensure that Committee members were covering all aspects of the remit over the course of the session. The presentation of the work of the Enterprise and Skills Directorate by the Assistant Principal was particularly welcomed and interrogated by Committee members.
- The Assistant Principal Performance and Skills informed the Committee of the negative impact of the Covid -19 pandemic on assessment of students. The Committee was reassured of the robustness of the College's procedures, proactive interaction with awarding bodies, and participation in sector attempts to address issues that have arisen, however, the assessment information provided by awarding bodies has been uneven across subjects. The College and sector are addressing this, and it is hoped that assessments will be carried out for current awards by the summer.
- The Vice Principal informed the Committee that the annual review and planning of the curriculum was underway. As teaching and learning have changed during the pandemic, with the switch to remote learning, staff are reviewing curricular benefits that can be retained and practices that should be changed. This has led to staff identification of the need for sufficient digital capacity and staff ITC skill development. The Vice-Principal also informed the Committee about the lower retention of school students in some authorities and the pressure on accommodation for increased demand for engineering and construction.
- The Committee commended the work of the Student's Association on mental health issues and particularly the Think Positive campaign.

**Lead:** Jacqueline Henry, Chair, LTQ Committee

**Status:** Open

**TITLE:** Corporate Development Committee - meeting held on Tuesday 9 March 2021

**Action:** The draft Corporate Development Committee minutes from the meeting held on Tuesday 9 March are attached for information later in the agenda. They will be formally approved at the next Committee meeting scheduled for 1 June 2021. The Committee Chair, Jim Hannigan, highlights the following for the Board to note:

- **CD 7 - PEOPLE STRATEGY REFRESH 2021**
- **CD 8 - MODERN SLAVERY STATEMENT 2021**
- **CD 9 - EQUALITY, DIVERSITY & INCLUSION MAINSTREAMING REPORT 2021**
- **CD 11 - [REDACTED] (Restricted)**
- **CD 13 - MANAGEMENT ACCOUNTS TO 31 JANUARY 2021**
- **CD 15 - [REDACTED] (Restricted)**

**Lead:** Jim Hannigan, Chair, Corporate Development Committee

**Status:** Open (**EXCEPT FOR MINUTE Nos CD 11 & CD15 which are restricted**)

## **CD7 PEOPLE STRATEGY REFRESH 2021**

The refreshed People Strategy was provided for review and consideration and it was reported that the five core objectives of the Strategy remained the same, and the focus over the next 12 months would be on the delivery of the Organisational Development and HR operational plan.

It was proposed that a report be provided to the March 2022 Corporate Development Committee meeting outlining progress in delivering the People Strategy over the 12-month period and that an updated People Strategy (covering the period to 2025 in line with the overall College Corporate Plan) also be presented at that time.

### **The Corporate Development Committee:**

- **Considered the refreshed 2021-22 People Strategy**
- **Considered the proposed approach to reporting progress on the People Strategy and updating this in March 2022**
- **Agreed that the Board of Management be requested to approve this**

## **CD8 MODERN SLAVERY STATEMENT 2021**

The Director, Organisational Development & HR explained that the Board of Management previously approved the College Modern Slavery Statement in December 2018 and there was a requirement for this to be reviewed annually.

It was reported that the 2021 Statement had been updated and presented it for consideration prior to approval being sought at the Board of Management meeting on 22 March 2021. There were minimal changes to the statement, namely an update to the title from 'APUC Supply Chain Code of Conduct' to 'Sustain Supply Chain Code of Conduct' and to enhance the section on the approach taken by the College regarding Disclosure Scotland's Protecting Vulnerable Groups scheme.

**The Corporate Development Committee considered the refreshed Modern Slavery Statement and requested that the Board of Management approve publication of this.**

## **CD9 EQUALITY, DIVERSITY & INCLUSION MAINSTREAMING REPORT 2021**

Section 149 of the Equality Act 2010 places a general duty (known as the Public Sector Equality Duty) on public authorities to have due regard to eliminating discrimination, harassment and victimisation; advancing equality of opportunity; and fostering good relations between persons who shared a protected characteristic and those who do not. The legislation requires the College to publish a report every two years on the progress it had made with regard to the equality duty.

The 2021 report was currently being prepared for publication by 30 April 2021. Given the timescales required for publication of the Report it was, therefore, proposed that the:

- Corporate Development Committee seek delegated authority from the Board of Management to approve the 2021 College Equality Report for publication by 30 April 2021
- Draft College Equality Report 2021 be circulated to members of the Corporate Development Committee by email during April for review, to enable finalisation and publication by the required deadline of 30 April 2021

The Corporate Development Committee agreed to seek delegated authority from the Board of Management to approve the 2021 College Equality Report for publication by 30 April 2021.

**CD13 MANAGEMENT ACCOUNTS TO 31 JANUARY 2021**

The Management Accounts for the period to 31 January 2021 were presented.

Covid-19 pandemic continued to have a material impact on ongoing business operations and the January 2021 financial forecast to 31 July 2021 was based on the current information available to the College. That would require to be updated as further clarification was received from the Scottish Funding Council (SFC) and other key stakeholders.

**The Corporate Development Committee:**

- **Noted the revised 2020-21 adjusted operating position**
- **Noted the detailed impact that Covid-19 had had on the operations and financial position of the College**
- **Noted the cash flow position**
- **Agreed the scheduling of a one-hour budget brief session to enable a more detailed consideration of the financial environment within which the College operated to be undertaken**

The committee approved the Management Accounts for the period to 31 January 2021

**RESTRICTED ITEMS**

CD11

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

CD15

[Redacted]

[Redacted]

[Redacted]

[Redacted]


[Redacted]

[Redacted]

- [Redacted]
- [Redacted]

**TITLE: AUDIT COMMITTEE - meeting held on Thursday 11 March 2021**

**Action:** The Audit Committee met on Thursday 11 March 2021. The Committee Chair, Graeme Bold highlights the following for the Board to note:

- 
- Internal audit reports were received on Financial Controls and Sickness, Absence and HR, and noted rating of strong from our Internal Auditors and that there were no recommended actions for management.
- Progress on the rolling Internal Audit plan with the removal of 2 actions and approval of 2 extensions requested for actions on CPD and Fraud Awareness training. The Committee noted that fraud training already occurs in key functions within the College where this risk could arise and that the action will be completed by 30<sup>th</sup> June.
- The Committee agreed an approach for the Annual Review of effectiveness of the Committee and Internal Auditors and will report back on the outcome of the review in future sessions.
- Significant progress has been made on the Assurance Mapping with the College's strategic risks mapped against 3 Lines of Defence model. This is an evolving piece of work and will provide a strong level of assurance that the work of the Audit Committee does to ensure we manage against our strategic risks. The assurance map will continue to develop over the coming year and be used as an input to set the Audit plan.
- The updated Risk Management Strategy was approved for presentation to the Board and the Committee.
- The Risk Register was reviewed and the Committee considered and agreed the removal of two risks for Brexit and GDPR, the addition of a new risk for Cyber Resilience, and revision to a further 5 risks.

**Lead:** Graeme Bold, Chair, Audit Committee

**Status:** Open

**TITLE: COMMITTEE CHAIR REPORT - REMUNERATION COMMITTEE**  
**Report of the meeting held on Monday 1 February 2021**

**Action:** A report of the Remuneration Committee meeting held on Monday 1 February 2021 will be provided by the Committee Chair, Mark Newlands. The minute will be formally approved at the next Committee meeting scheduled for Tuesday 27 April 2021.

The Committee Chair, Mark Newlands will lead the Board through key matters discussed at the meeting and decisions made.

**REVIEW OF THE PRINCIPAL 2020/21 - The Committee:**

- Resolved that the Principal be awarded a settlement in line with the public sector pay policy.

**REVIEW OF THE EXECUTIVE, SMT AND HEADS 2020/21 - The Committee:**

- Resolved to implement the public sector pay policy to the Executive and other senior staff.

**REVIEW OF SECRETARY TO THE BOARD 2020/21 - The Committee:**

- Resolved to implement the public sector pay policy to the Secretary to the Board.

**Lead:** Mark Newlands, Chair, Remuneration Committee

**Status:** Open



## LEARNING, TEACHING AND QUALITY COMMITTEE

**Minutes:** Wednesday 24 February 2021

**Present:** Jacqueline Henry (in the Chair), Gordon Hunt, Mark Newlands, Mark Hamilton, Vanessa Thompson, Liz Connolly, Ruth Binks, Fiona McKerrell.

**Attending:** Stephanie Graham (Vice Principal Educational Leadership), Cathy MacNab (Assistant Principal Performance and Skills), Sara Rae (Assistant Principal Enterprise and Skills), Shirley Gordon (Secretary to the Board).

**Apologies:** David Watson, Waiyin Hatton (Chair of the Board).

### LM394 WELCOME

The Chair welcomed everyone to the newly constituted LTQC meeting and noted apologies.

### LM395 DECLARATIONS OF INTERESTS

- Liz Connolly: Trustee of West College Scotland Foundation.
- Waiyin Hatton: Wai Beyond, People and organisational development consultancy; Harvey McMillan, People and organisational development consultancy; Action Against Stalking; Colleges Scotland (Board member).
- Fiona McKerrell: Skills Development Scotland.

### LM396 MINUTES

The minutes of the meeting held on Wednesday 11 November 2020 **were approved.**

### LM397 ACTIONS FROM THE MINUTES

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

### LM398 MATTERS ARISING FROM THE MINUTES

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

### LM399 PRESENTATION ON THE WORK OF THE ENTERPRISE AND SKILLS DIRECTORATE PREVIOUSLY REPORTED TO THE HRCD COMMITTEE

The Assistant Principal Enterprise and Skills delivered a presentation on the work of the Enterprise and Skills Directorate previously reported to the HRCD Committee. Ms Rae led the Committee through the presentation highlighting activity in the following sectors within her area of responsibility:

- Business Development and Innovation.
- Enterprise and Employability.
- Hairdressing, Beauty and Makeup Artistry.

Ms Rae summarised the breadth of the work undertaken by the Directorate including: the strategy and approach to business development, industry engagement, work-based learning, and innovation. A significant aspect of the Enterprise and Skills remit was leading on the generation of commercial and alternative income which had, over the last number of years, been increasing steadily across a number of new streams. The strategic development and planning associated with this would now be reported in this Committee.

The Assistant Principal Enterprise and Skills went on to describe how the work of the Directorate aligned with not only the key strategic aims of the College but national strategies such as Scotland’s Economic Strategy, the Digital Strategy for Scotland and the Innovation Action Plan for Scotland.

The Committee welcomed the detail in the presentation and, in particular, the updates on each of the above areas as well as seeing the ambition and direction of travel in which the College was clearly positioning itself to best support staff, students, communities and employer partners.

The Committee welcomed the efforts of the College to best place itself to help support partner organisations, stakeholders, and local communities now and in the future whilst operating within its own challenging position. The detail and ensuing discussion clearly illustrated the flexibility and adaptability to be responsive to handling the College curriculum now and going forward.

**The Chair thanked the Assistant Principal Enterprise and Skills for the insightful summary and presentation which was noted.**

#### **LM400 .1 REVISED LTQC REMIT AND MEMBERSHIP**

The Secretary asked the Committee to consider and approve the LTQC Remit and Membership List. She explained that, following approval of a Committee restructure at the Board meeting held on 1 February 2021, changes had been made to the LTQC remit, membership, quorum and number of annual meetings (now 4 rather than 3) in accordance with the principles approved by the Board.

The Chair advised it was the intention of the Board that its standing committees had an increased strategic focus. With this in mind, the LTQC remit had been revised to ensure such oversight but Mrs Henry suggested the Committee had a settling-in period to see how that evolved. If modifications were required at a later date to the LTQC remit, such a recommendation could be made to the Board. That approach was welcomed.

**The Committee considered and approved its revised remit and membership.**

#### **.2 SCHEDULE OF BUSINESS FOR THE COMMITTEE**

The Vice Principal Educational Leadership explained that the new LTQC remit provided an opportunity to theme Committee meetings through the year with a main focus for each of its four meetings. She led the Committee through a suggested schedule which linked into the normal College cycle of business. Ms Graham added that, having a main focus at each meeting did not preclude other relevant business being addressed but would ensure the Committee covered the full remit and the five Assistant Principals could schedule their attendance across the year, in line with the themes and their responsibilities. It also meant that the LTQC meetings had a more strategic focus as discussed earlier with operational matters kept to a minimum.

The Committee welcomed the well-structured suggested approach for LTQC business and the Chair alluded to the Board’s intention to plan some thematic / deep dive sessions where some topics / areas may benefit from a broader Board discussion and debate rather than sitting solely with a standing committee. Some early suggestions for such topical sessions so far included Estates Strategy and Development and College Financial Management. Mrs Henry suggested that all members consider this Board programme and forward any such LTQC proposals to the Vice Principal Educational Leadership.

**{ACTION – ALL MEMBERS / StG}**

**The Committee considered and approved the LTQC revised schedule of business and reporting.**

**LM401 COVID IMPACT ON CURRICULUM DELIVERY AND QUALIFICATIONS ACHIEVEMENT 2020-21**

The Assistant Principal Performance and Skills reported that the ongoing nature of the pandemic during the current session 2020-21, had negatively impacted the College's ability to deliver internal assessment within the confines of assessment conditions in some SQA, and other awarding bodies qualifications frameworks. She described the context in which internal assessment decisions were made and quality assured and the College's current position on the likelihood of students successfully completing their award.

Mrs MacNab led the Committee through the main challenges for the College and explained that student progress towards completion of awards was varied. She summarised the support from Awarding Bodies that had been provided and modifications to assessments that had been introduced.

Mrs MacNab outlined the decision tree model that would apply to all SQA HNVQ qualifications from February 2021 until the end of August 2021, and would ensure that, where possible, students in this session would be able to complete their awards as planned, usually by the end of June 2021. The generic decision tree model was supported by subject specialism guidance, some of which had already been made available and some which was still in development. She went into detail about the application of the decision tree model and how this was applied to the College BRAG (Blue, Red, Amber, Green) ratings for qualifications in each department explaining that the ELT and Heads met monthly to review the status of qualifications and ensure the prioritisation of commitment to enable current students to complete successfully.

The Principal reassured the Committee that College sector joint representation, national collaboration and negotiation on assessment adjustments had taken place over the last few months. Colleges Scotland and the College Development Network (CDN) had been instrumental in liaising with the SQA and providing network opportunities for college staff to share experiences and benefit from economies of scale. A Ministerial Taskforce, chaired by the Minister for Further Education, Higher Education and Science, had also been established.

The Committee recognised the complexities of managing the delivery of internal assessment within the confines of the assessment conditions of qualifications frameworks but also within a constantly changing landscape. Members recorded their appreciation of the Performance and Skills Directorate and those staff managing the situation.

**The Committee noted the report.**

**LM402 STUDENTS ASSOCIATION (SA) UPDATE**

Vanessa Thompson outlined the varied workload of the Students Association over recent months particularly in liaison with students, lecturers / guidance lecturers and the College Executive and highlighted the following:

- Think Positive (a mental health campaign to offer support to students) continued to be a priority for the SA with key information and guidance

offered to help and support students especially around stress and anxiety. This was promoted online using social media platforms. The Principal added that the College was notified that it would receive additional funding from the Scottish Government to support student mental health, wellbeing, and welfare. There would be flexibility with this funding, and it was to be used where it would have the greatest impact for students. Ms Connolly reported that the College was considering investing this resource in additional staffing to provide support.

- The Scottish Government's announcement, in December 2020, to provide new funding to help the NUS Scotland and more than 30 Student Associations to provide vital welfare support for students in colleges and universities had been welcomed. The money would help build online student communities, increase membership engagement, and develop public health and wellbeing messaging. The SA would work closely with College staff to ensure these activities complemented those already funded.

**The Committee commended the Think Positive campaign. The Chair thanked the Students Association President for her drive and passion in progressing the work of the Association and the update was noted.**

#### **LM403 SUMMARY OF CURRICULUM PLANNING AND REVIEW 2020-21**

The Vice Principal Educational Leadership explained that, as reported to the last Committee meeting, the annual Curriculum Planning and Review process in the autumn followed an evaluation closer aligned to the Corporate Plan and a focus on curriculum change in response to the COVID pandemic. Whilst the CPR planning was for 2021-22 and beyond, in light of the COVID situation, there was also identification of factors impacting on the current session.

Ms Graham described the process involved and reported that actions from the CPR would feed into the operational planning process. Evaluation was undertaken against the 4 key Corporate Priorities (Personalised / Collaborative / Agile and Adaptive / Digital) and key issues were identified across the sectors, particularly around new ways of delivering courses in the future following the COVID experience. In addition, particular College and sector related actions were identified for improvement.

Ms Graham explained that, unlike last session where equipment and accommodation were some of the most significant concerns, for obvious reasons the 2020 CPR discussions focused more on digital equipment and skills. Accommodation pressures in the future were identified, however, in engineering and construction due to growth in these areas. That also impacted technician support and equipment. Aims to develop provision in new areas included:

- The Green Economy which required investment in equipment, including electric vehicles.
- Early Years required the development of outdoor learning spaces in order to deliver the curriculum.
- Continued investment in digital equipment and the development of staff skills would be critical across all curriculum.

During discussion, Ms Graham clarified the following points:-

- Ongoing partnership working was continuing with employers to identify specific needs for up skilling and supporting economic recovery post COVID.
- Current methods of delivering courses online and the rapid development of staff skills and positive peer support approaches were key strengths identified in the Digital corporate priority. While this was evident across all areas, it was particularly positive in Learner Development with very high learner engagement. The development of online resources and online courses including Fire Sprinkler training across the UK and development of e-portfolios was to be celebrated.

**The Committee noted the report and thanked the Vice Principal Educational Leadership for the excellent helpful summary. Members particularly welcomed the illustration of how developments linked to the 4 corporate priorities.**

#### **LM404 UPDATE FROM EDUCATIONAL LEADERSHIP TEAM (ELT)**

The Vice Principal Educational Leadership's report updated the Committee on developments in the following key areas since the last meeting:

- Credits and student activity.
- Winter start courses.
- Applications 2021-22.
- Digital Strategy.
- Student Services, Schools and Community.
- Curriculum (general).

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

#### **LM405 QUALITY STANDARDS COMMITTEE MINUTES**

Minutes from the meetings of the Quality Standards Committee were submitted for the Committee's consideration including:

- 22 October 2020.
- 11 February 2021.

**The Committee noted the 2 sets of minutes.**

#### **LM406 STRATEGIC RISK REGISTER**

The Vice Principal Educational Leadership explained that the Committee considered risk in relation to the activities within its remit. Risk was considered by the Board and all the Board Committees at each of the meetings. This meant that emerging risks were quickly identified, and mitigating actions agreed. In relation to the risks pertinent to its remit, the Committee must be confident that these have been identified and mitigating actions agreed.

She presented the College Strategic Risk Register for the consideration and provided an update on the actions taken by the College to embed risk management across the organisation. The latest update of the Strategic Risk Register was considered by the Board at its meeting held on Monday 1 February 2021 and she led the Committee through that. Ms Graham added, however, that since 1 February, the SMT had made some revisions to the

register and these would be presented for consideration to the 11 March 2021 Audit Committee meeting and, thereafter the Board on 22 March 2021.

**The Committee reviewed and noted the current strategic risk register and did not propose any amendments and / or additions, or any re-phrasing, required to be made at this point.**

**LM407 ANY OTHER BUSINESS**

- The Chair referred to the CDN Virtual College Awards which took place on Thursday 3 December 2020. She congratulated WCS winners for receiving three awards - Essential Skills Award; Health Promoting College Award; and Marketing and Communications Award.
- The Chair thanked everyone for contributing to excellent discussion and, looked forward to reviewing strategic issues facing the LTQC over the academic session.
- Date of next meeting - Wednesday 19 May 2021 – 4 till 6pm

## CORPORATE DEVELOPMENT COMMITTEE

**Minutes:** Tuesday 9 March 2021

**Present:** Jim Hannigan (Chair), Nick Allan, Steven Cairney, Liz Connolly, Linda Johnston, John Leburn, Angela Wilson, Stefana Margarint, David Mark.

**Attending:** Shirley Gordon (Secretary to the Board), Alan Ritchie (Director of Finance), Martin Joyce (Director of Infrastructure), Natalie Smith (Director of Organisational Development and HR), Brian Stobbs (Head of IT), Waiyin Hatton (Board Chair), Vivienne Mulholland (Head of Finance and Student Funding).

**Apologies:** David Alexander (Vice Principal Operations).

### CD1 WELCOME

The Chair welcomed everyone to the virtual first CDC meeting and thanked all in attendance for their participation.

### CD2 DECLARATIONS OF INTERESTS

The following declarations of interest were recorded and **noted**:

- Waiyin Hatton: Wai Beyond, People and organisational development consultancy; Harvey McMillan, People and organisational development consultancy; Action Against Stalking; Colleges Scotland (Board member).
- Liz Connolly and John Leburn: Trustees of the West College Scotland Foundation.
- Jim Hannigan: University of Strathclyde and National Manufacturing Institute Scotland (NMIS).
- David Alexander: Scottish Funding Council Board member and Chair of the SFC Audit and Compliance Committee.
- Angela Wilson: West Dunbartonshire Council.

### CD2 MINUTES OF PREVIOUS MEETINGS

The minutes of the following meetings were **approved**:

- HRCDC Committee – 4 November 2020
- FGP Committee – 24 November 2020
- Joint FGP and Audit Committee – 24 November 2020
- Asset and Infrastructure Committee – 8 December 2020

### CD3 ACTIONS FROM THE MINUTES

The Committee **noted** the actions taken as a result of the last four meetings noted above.

### CD4 MATTERS ARISING FROM THE MINUTES

There were no matters arising not otherwise on the agenda.

### CD5 REVIEW OF COMMITTEE REMIT

The Secretary asked the Committee to consider and approve the CDC remit and membership. She explained that, following approval of a Committee restructure at the Board meeting held on 1 February 2021, the CDC remit was formulated, and its membership populated.

The Chair advised it was the intention of the Board that its standing committees had an increased strategic focus. With this in mind, the CDC remit had been drafted to ensure such oversight, but Mr Hannigan suggested the Committee had a settling-in period to see how that evolved. If modifications were required at a later date to the CDC remit, such a recommendation could be made to the Board. That approach was welcomed.

**The Committee considered and approved its revised remit and membership.**

**CD6 VICE PRINCIPAL UPDATE REPORT**

The Director of Finance provided an overview of the report on behalf of the Vice Principal Operations highlighting updates in relation to the following:

- 2020-21 Scottish Funding Council circulars received since the last Committee meeting. In addition, Mr Ritchie referred to the Management Accounts to 31 January 2021 which incorporated an additional £1.2m of Sustainability Funding arising from an announcement from the SFC who had as yet not issued a circular in regard to this matter.
- The College voluntary severance scheme
- Ongoing engagement with the SFC
- National bargaining and job evaluation for support staff
- Human Resources - including recent Trade Union meetings, meetings of the College Mobilisation Group, the latest Health and Safety Committee meeting and the UK Government Job Retention Scheme
- Infrastructure - including the response to a fire alarm activation at the College Paisley campus on Friday 5 February 2021
- Implementation of the Pentana system

**The Committee noted the report.**

**CD7 PEOPLE STRATEGY REFRESH 2021**

The Director, Organisational Development & HR explained that the Board of Management previously approved the College People Strategy 2016-2019. It was agreed that the previous Director, Organisational Development and HR would review and update the Strategy prior to retirement in February 2021 and Mrs Smith reported that this had been completed.

The refreshed People Strategy was provided for review and consideration and Mrs Smith reported that the five core objectives of the Strategy remained the same, and the focus over the next 12 months would be on the delivery of the Organisational Development and HR operational plan.

It was proposed that a report be provided to the March 2022 Corporate Development Committee meeting outlining progress in delivering the People Strategy over the 12-month period and that an updated People Strategy (covering the period to 2025 in line with the overall College Corporate Plan) also be presented at that time.

**The Corporate Development Committee:**

- **Considered the refreshed 2021-22 People Strategy**
- **Considered the proposed approach to reporting progress on the People Strategy and updating this in March 2022**
- **Agreed that the Board of Management be requested to approve this**

**CD8 MODERN SLAVERY STATEMENT 2021**

The Director, Organisational Development & HR explained that the Board of Management previously approved the College Modern Slavery Statement in December 2018 and there was a requirement for this to be reviewed annually.

Mrs Smith reported that the 2021 Statement had been updated and presented it for consideration prior to approval being sought at the Board of Management meeting on 22 March 2021. Mrs Smith added that there were minimal changes to the statement, namely an update to the title from 'APUC Supply Chain Code of Conduct' to 'Sustain Supply Chain



Code of Conduct’ and to enhance the section on the approach taken by the College regarding Disclosure Scotland’s Protecting Vulnerable Groups scheme.

**The Corporate Development Committee considered the refreshed Modern Slavery Statement and requested that the Board of Management approve publication of this.**

**CD9 EQUALITY, DIVERSITY & INCLUSION MAINSTREAMING REPORT 2021**

The Director, Organisational Development & HR explained that Section 149 of the Equality Act 2010 placed a general duty (known as the Public Sector Equality Duty) on public authorities to have due regard to eliminating discrimination, harassment and victimisation; advancing equality of opportunity; and fostering good relations between persons who shared a protected characteristic and those who do not. The legislation required the College to publish a report every two years on the progress it had made with regard to the equality duty.

In line with statutory requirements, Mrs Smith reported that the 2021 report was currently being prepared for publication by 30 April 2021. She added, however, that it was not currently possible to present the 2021 draft report for consideration as the data for inclusion was in the process of being collated for initial review by the College Equality, Diversity and Inclusion Committee. Given the timescales required for publication of the Report it was, therefore, proposed that the:

- Corporate Development Committee seek delegated authority from the Board of Management to approve the 2021 College Equality Report for publication by 30 April 2021
- Draft College Equality Report 2021 be circulated to members of the Corporate Development Committee by email during April for review, to enable finalisation and publication by the required deadline of 30 April 2021

**The Corporate Development Committee agreed to seek delegated authority from the Board of Management to approve the 2021 College Equality Report for publication by 30 April 2021.**

**CD10 PROCUREMENT STRATEGY**

The Director of Finance presented the updated Procurement Strategy 2021-2025.

Mr Ritchie explained that the Procurement Strategy 2021-2025 built on the developments and innovations achieved to date, reset the procurement vision for the College and provided an understanding of the strategic objectives and priorities and how these would be achieved. He added that the strategy supported the delivery of the College Corporate Plan 2019-2025, achievement of Regional Outcome Agreement priorities and improvements arising from the 2019 Procurement and Commercial Improvement Programme (PCIP) review.

The Committee noted that the updated Strategy was based on the latest guidance issued by the Scottish Government and by Advanced Procurement for Universities & Colleges (APUC). It identified several ongoing requirements and key outcomes going forward, focusing upon the importance of a College-wide collaborative approach that was technology and process driven combined with performance management to deliver the required procurement improvements.

Mr Ritchie described one of the key changes in the procurement landscape was the UK exit from Europe as from 31 December 2020. The latest Scottish Public Procurement Notice (11/2020) made it clear that the previous procurement procedures (to advertise

contracts, observe minimum timescales and follow rules on technical specifications and award criteria) to which the College operated would remain fundamentally unchanged.

The Committee welcomed the increased emphasis on how the College was utilising procurement to address longer term sustainability issues including the climate change crisis. The requirement to comply with the sustainable procurement duty had always been there and required that before the College bought anything, it must think about how it could improve the social, environmental and economic wellbeing of the area in which it operated, with a particular focus on reducing inequality. These requirements were already built into the College operating procedures and Mr Ritchie added that the revised Procurement Strategy emphasised how, going forward, the College would continue to engage and address these requirements.

**The Corporate Development Committee approved the Procurement Strategy 2021-2025 for presentation to the Board of Management.**

CD11

[REDACTED]

CD12

**REVIEW OF FINANCIAL REGULATIONS**

The Director of Finance explained that the Corporate Development Committee remit included the requirement ‘to review College Financial Regulations on an annual basis, or more frequently if required and recommend these to the Board of Management for approval.’

Mr Ritchie reported that the Board of Management approved the current College Financial Regulations in October 2020, following an annual review by the Finance and General Purposes Committee in September 2020. However, following approval by the Board of Management on 1 February 2021 to amend the Committee structure and remits, there was a need to update the College Financial Regulations further. He presented an updated set of College Financial Regulations for consideration.

**The Corporate Development Committee considered the:**

- **Updated College Finance Regulations**
- **Proposed revision to College accounting policy as applying to depreciation and capitalisation**

**and requested that the Board of Management approve these.**

**CD13 MANAGEMENT ACCOUNTS TO 31 JANUARY 2021**

The Director of Finance presented the Management Accounts for the period to 31 January 2021.

Mr Ritchie reported that the Covid-19 pandemic continued to have a material impact on ongoing business operations and the January 2021 financial forecast to 31 July 2021 was based on the current information available to the College. That would require to be updated as further clarification was received from the Scottish Funding Council (SFC) and other key stakeholders.

Mr Ritchie led the Committee through the Management Accounts for the period to 31 January 2021 highlighting:

- An overview of those factors with a potential to impact the accounts
- The Statement of Comprehensive Income and Expenditure
- An analysis of key variances providing detail of the movement between the budgeted and forecast position for 2020-21
- The Balance Sheet reflecting the assets and liabilities of the College
- The cashflow analysis showing the actual cash position to date and forecasts the cashflow to 31 July 2021
- The student funding analysis providing a summary of the budgeted and forecast income and expenditure to 31 July 2021 resulting from the processing of student bursary, childcare and discretionary expenditure
- The financial graphs and performance indicators providing background information about income and expenditure and highlight the main indicators of financial sustainability
- The aged debt analysis showing a summary of the age of the sales ledger along with a split between corporate and student debt

**The Corporate Development Committee:**

- **Noted the revised 2020-21 adjusted operating position**
- **Noted the detailed impact that Covid-19 had had on the operations and financial position of the College**
- **Noted the cashflow position**
- **Agreed the scheduling of a one-hour budget brief session to enable a more detailed consideration of the financial environment within which the College operated to be undertaken**
- **Approved the Management Accounts for the period to 31 January 2021**

CD14

[REDACTED] (RESTRICTED ITEM)  
[REDACTED]  
[REDACTED]  
[REDACTED]

CD15

[REDACTED] (RESTRICTED ITEM)  
[REDACTED]  
[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

**CD16 STRATEGIC RISK REGISTER REVIEW**

The Director of Finance explained 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. Mr Ritchie provided:

- An update on the development of the College Risk Management Strategy
- The current College Strategic Risk Register for consideration

Mr Ritchie reported that the College Strategic Risk Register was approved at the December 2020 Board of Management meeting and the SMT continued to review that. In carrying out the review process, he led the Committee through a summary of removals, additions and amendments that had been made to the Strategic Risk Register.

**The Corporate Development Committee:**

- **Noted the update on the development of the College Risk Management Strategy**
- **Reviewed the current Strategic Risk Register and in doing so considered:**
  - 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**
  - o **Whether any new risks should be considered for inclusion**

**CD17 ESTATES AND SUSTAINABILITY 2020/21 UPDATE**

The Director of Infrastructure provided an update in relation to Estates developments, projects and funding encompassing the following:

- Wider Estates Developments including the:
  - o Scottish Government National Infrastructure Mission
  - o Clydebank District Heating System Update
  - o Golden Jubilee Hospital, Clydebank
- Catering update
- Estate project and budget updates
- Leasing agreements

- College Estate Strategy update
- Sustainability

**The Corporate Development Committee reviewed and noted the report for information.**

**CD18 INFORMATION TECHNOLOGY 2020/21 UPDATE**

The Director of Infrastructure provided an update in relation to IT developments, projects and funding encompassing the following areas:

- Service developments
- Support for teaching and learning
- Infrastructure developments
- Security and resilience
- IT Project and associated budget updates
- College IT Strategy

**The Corporate Development Committee reviewed and noted the report for information.**

**CD19 SCHEDULE OF BUSINESS 2020-21**

The Committee **noted** its schedule of business for 2020-21 as summarised by the Director of Finance.

**CD20 ANY OTHER BUSINESS**

The Committee thanked senior officers for the quality and content of all Committee papers.

Given this was the first meeting of the Corporate Development Committee, the Chair suggested members reflect on the agenda item timings / depth of debate / rigour given and provide him with any feedback directly. **{ACTION – All Members}**

**CD21 DATE OF NEXT MEETING**

Tuesday 1 June 2021 at 4.00 p.m.

**TITLE:** **BOARD MEMBERSHIP AND PROPOSED SCHEDULE OF BUSINESS  
2020/21**

**Background:** The Board is asked to note:

1. **Current Board membership**
2. **Proposed Schedule of Business for 2020/21** - this will be subject to review and adjustment in light of business coming forward but has been drafted based on previous business cycles to give a guide.

**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

Stefana Margarint

### **Non-Executive Members**

Sabira Akram

Nick Allan

Graeme Bold

Jim Hannigan

Gordon Hunt

Linda Johnston

John Leburn

Grant Lyall

Fiona McKerrell

Mark Newlands

Angela Wilson

### **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 2020/21**

Name	Status	Period of appointment	Committee (s)	Period of appointment (as Chair / Vice Chair / member from Feb 2021 Committee Restructure)
Dr Waiyin Hatton	Chair	03.03.20 – 02.03.24	Board Nominations Remuneration CDC LTQC	Chair Chair Member Ex officio Ex officio
Jacqueline Henry	Non-Executive	3 +4 years 1.02.15 – 31.01.18 1.02.18 – 31.01.22	Board LTQC Nominations Remuneration	Vice Chair from 01.01.17 Chair – from Feb 2021 Vice Chair - from Feb 2021 Vice Chair - from Feb 2021
Elizabeth Connolly	Principal	01.09.18	Board CDC LTQC Audit Remuneration	Member Member Member In attendance In attendance
David Watson	Teaching Staff	4 years 13.09.17 – 12.09.21	Board LTQC Nominations	Member Member - from Feb 2021 Member - 01.04.18 – 31.03.20
Steven Cairney	Support Staff	4 years 18.09.19 – 17.09.23	Board CDC Nominations	Member Member - from Feb 2021 Member - 01.04.20 – 31.03.22



Vanessa Thompson	Student President	1 year 1.08.19 – 31.07.20 Re-elected - 1.08.20 – 31.07.21	Board LTQC Nominations	Member Member – from Feb 2021 Member - from Feb 2021
Stefana Margarint	Student rep	1 year 1.08.20 – 31.07.21	Board CDC	Member Member - from Feb 2021
Sabira Akram	Non-Executive	4 years 1.12.19 – 30.11.23	Board Audit	Member Vice Chair - from Feb 2021
Nick Allan	Non-Executive	4 + 4 years 1.02.15 – 31.01.19 1.02.19 – 31.01.23	Board CDC	Member Vice Chair – from Feb 2021
Graeme Bold	Non-Executive	4 years 1.02.21 – 31.01.25	Board Audit Nominations Remuneration	Member Chair – from Feb 2021 Member - from Feb 2021 Member - from Feb 2021
Jim Hannigan	Non-Executive	3 +4 years 1.02.15 – 31.01.18 1.02.18 – 31.01.22	Board CDC Nominations Remuneration	Member Chair – from Feb 2021 Member – from Feb 2021 Chair – from Feb 2021
Gordon Hunt	Non-Executive	4 years 1.02.21 – 31.01.25	Board LTQC	Member Member - from Feb 2021
Linda Johnston	Non-Executive	4 + 4 years 1.01.17 – 31.12.20 1.01.21 – 31.12.24	Board CDC Nominations Senior Independent Member	Member Member – from Feb 2021 Member - from Feb 2021 Nominee – from Feb 2021
John Leburn	Non-Executive	4 + 4 years 1.01.17 – 31.12.20 1.01.21 – 31.12.24	Board CDC WCS Foundation	Member Member - from Feb 2021 Nominee – from Feb 2021
Grant Lyall	Non-Executive	4 years 1.02.21 – 31.01.25	Board Audit	Member Member - from Feb 2021

Fiona McKerrrell	Non-Executive	4 years 1.12.19 – 30.11.23	Board LTQC	Member Member - from Feb 2021
Mark Newlands	Non-Executive	4 +4 years 1.02.15 – 31.01.19 1.02.19 – 31.01.23	Board LTQC	Member Vice Chair - from Feb 2021
Angela Wilson	Non-Executive	4 years 1.09.17 – 31.08.21	Board CDC Remuneration	Member Member - from Feb 2021 Member - from Feb 2021

**CO-OPTED MEMBERS PERIOD OF APPOINTMENT AND MEMBERSHIP OF COMMITTEES 2020/21**

Name	Status	Period of appointment	Committee
Ruth Binks	Co-opted	1 year 1.03.19 – 29.02.20 1.03.20 – 29.02.21 1.03.21 – 29.02.22	LTQ
Mark Hamilton	Co-opted	1 year 1.11.19 – 31.10.20 1.11.20 – 31.10.21	LTQ
Wai Wong	Co-opted	1 year 1.03.19 – 29.02.20 1.03.20 – 29.02.21 1.03.21 – 29.02.22	Audit
David Mark	Co-opted	1 year 1.03.18 – 29.02.19 1.03.19 – 29.02.20 1.03.20 – 29.02.21 1.03.21 – 29.02.22	CDC

**WCS BOARD - SCHEDULE OF BUSINESS**

WHAT	WHEN				
	Meeting – 5/10/20 Papers dist – 28/10/20	Meeting – 14/12/20 Papers dist – 7/12/20	Meeting – 1/2/21 Papers dist – 25/1/21	Meeting – 22/3/21 Papers dist – 15/3/21	Meeting – 14/6/21 Papers dist – 7/6/21
<b>Standing Items of Business</b>					
Chair’s Report	✓	✓	✓	✓	✓
Chief Executive’s Report	✓	✓	✓	✓	✓
Student Association Report	✓	✓	✓	✓	✓
Strategic Risk Register	✓	✓	✓	✓	✓
Board of Management:					
• Membership	✓	✓	✓	✓	✓
• Dates of Meetings	✓	✓	✓	✓	✓
• Proposed Schedule of Business	✓	✓	✓	✓	✓
• Any appointment matters to consider?	✓	✓	✓	✓ All remits and m’ships	
• Other	✓ October Board agendas include the Articles, SofD and SOs to approve	None	Start of Board Dev Plan and Int Eff Review discussions	None	
Report on Delegated Action Taken since last meeting (if any)	None	None	None	None	
Approval of any Policies?	None	None	None	None	
Approval of any contracts?	None	None	None	Yes - Associate Trainers	

**WCS BOARD - SCHEDULE OF BUSINESS**

WHAT	WHEN				
	Meeting – 5/10/20 Papers dist – 28/10/20	Meeting – 14/12/20 Papers dist – 7/12/20	Meeting – 1/2/21 Papers dist – 25/1/21	Meeting – 22/3/21 Papers dist – 15/3/21	Meeting – 14/6/21 Papers dist – 7/6/21
<b>Main Items of Business</b>					
Budget and 5-Year Financial Forecast	(DAX note - was signed off at the July Board meeting and there is no specific paper required – assuming any points arising at the FGP meeting would be picked up through the update from the FGP meeting when the Chair presents the FGP minutes). <b>NOTE 1</b>				✓
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).	Not required in 2020				
Financial Regulations Annual Review	✓				
Staff Survey Outcomes	X - (DG note - removed – for Dec Board agenda instead).	X - (DG Note – removed - delayed from Oct agenda – not for Dec either as still under discussion at SMT).		X - Survey was undertaken before lockdown - now outdated. New survey will be run because so	

WHAT	WHEN				
	Meeting – 5/10/20 Papers dist – 28/10/20	Meeting – 14/12/20 Papers dist – 7/12/20	Meeting – 1/2/21 Papers dist – 25/1/21	Meeting – 22/3/21 Papers dist – 15/3/21	Meeting – 14/6/21 Papers dist – 7/6/21
				much time has passed since the last one.	
Regional Outcome Agreement Review Report		✓			
Financial Statements for the year end		✓			
Report from External Auditor		✓			
Annual Report from Audit Committee		✓			
Annual Report from Internal Auditor		✓			
Management Accounts to quarter end		✓			✓
Review of Board Development Action Plan			✓	✓	✓
Draft Regional Outcome Agreement			✓		
Review of anti-Modern Slavery Statement			<b>Defer to March</b>	✓	
Final Regional Outcome Agreement}				<b>Defer</b> - Final ROA and associated KPIs item. Board approved the Interim ROA 2020-21 at the Feb 21 meeting – No SFC guidance out yet for writing the 2021-22 one.	
Key Performance Indicators update}				<b>Defer</b> – as above	
HR Annual Report				<b>Defer</b>	✓
Proposed dates of Board meetings for following year				✓	

## WCS BOARD - SCHEDULE OF BUSINESS

WHAT	WHEN				
	Meeting – 5/10/20 Papers dist – 28/10/20	Meeting – 14/12/20 Papers dist – 7/12/20	Meeting – 1/2/21 Papers dist – 25/1/21	Meeting – 22/3/21 Papers dist – 15/3/21	Meeting – 14/6/21 Papers dist – 7/6/21
Internal Board Annual Effectiveness Review			✓	✓	✓
Update on the Employee Health and Wellbeing Strategy				Defer	
Budget and Financial Strategy (including budget for Students Association)					✓
Committee Reports on Progress against Regional Outcome Agreement					✓
<b>Committee Reports</b>					
Audit	✓ Sept minute		✓ Dec minute		March and May minutes
CDC				✓ March minute	June minute
Joint Audit - FGPC		✓ Nov minute			
LTQC		✓ Nov minute		✓ Feb minute	May minute
Nominations	✓ June minute				May minute
RemCo		Oct minute		✓ Feb minute	April minute

**NOTE 1** - The 5-year forecast would normally be signed off at the May/June FGP and approved at the June Board meeting – 2020 is the only year this hasn't happened due to COVID and so was signed off in July. The management accounts go to the Board twice a year (at December and June meetings) and that provides an update on the in-year financial position. The 5-year forecast would only be presented once a year at the June Board meeting when we roll it forward a year and provide an update on it.