

## BOARD OF MANAGEMENT

### NOTICE

There will be a meeting of the Board of Management on 9 March 2023 at 1730 hours via Microsoft Teams or in the Boardroom at South Lanarkshire College

### AGENDA

Agenda Item	Item	Paper
1	<b>Apologies for Absence</b>	N
2	<b>Declaration of any potential Conflicts of Interest in relation to any Agenda items</b>	N
3	<b>Minutes of Previous Meetings</b> Minutes of Board of Management 6 December 2022.	Y
4	<b>Matters Arising from the Previous Meeting</b>	N
5	<b>Reserved Item</b>	
	Minutes of EGM 16 January 2023	Y PS
	<b>Matters for Decision</b>	
6	Staff Code of Conduct	Y GMI
	<b>For Approval</b>	
7	Mid-Year SFC Financial Forecast Report (to follow)	Y KMA
8	Trade Union Rep Papers	Y AS
9	Adoption of Committee terms of Reference	Y PS
10	Ratification of Tender Acceptances	Y PS
11	Annual Internal Audit Plan and Student Support Fund's Audit	KMA
12	Audit Monitor Report	KMA
13	Annual Procurement Report (to follow)	KMA
	<b>Matters for Discussion</b>	
14	Chair's Update	N PH
15	Principal's Report Deputy Principal's Report on HMle Inspection	Y AS V SM
16	Mid-Year Progress Against Budget Review	Y KMA
17	Annual Priorities Progress Update	Y SM
18	Credit Projection – March 2023	Y SM
19	Learning, Teaching & Assessment	Y SM
20	Quality Enhancement Plan – March 2023	Y SM
21	Risk Register Update	Y KMA
22	<b>Matters for Information</b>	
	Reports by Chairs of Committees: <i>Curriculum, Quality and</i>	V

	<i>Development</i> <i>HR</i> <i>Audit and Risk</i> <i>Finance and Resources</i>	V CMcD V CMcL V CG
23	<ul style="list-style-type: none"> <li>Gender Pay Gap</li> </ul>	GMI
24	<ul style="list-style-type: none"> <li>Interim Public Sector Equality Duty</li> </ul>	GMI
25	<ul style="list-style-type: none"> <li>Congratulations Certificate for SLC's Support to Asylum Seekers and Refugees, from Scottish Government</li> </ul>	Y AS
	Summation of Actions and Date of Next Meeting	PS
	<b>Any Other Business</b>	

**BOARD OF MANAGEMENT**

**MINUTES**

Minutes of meeting of the Board of Management on 6 December 2022 at 1730 hours in the Boardroom and via Microsoft Teams.

<b>Present</b>	P Hutchinson – Chairing Member D Morrison – Vice Chair H Anderson R Calin - Student President A Doherty T Donnelly C Gibb – Chair FRC C McDowall – Chair HRC C Mclaughlin – Chair ARC T Robertson A Sherry – Acting Principal R Smith (Regional Chair) H Stenhouse -Chair CQD	In Attendance K McAllister – Head of Finance S McManus – Depute Principal P Scott – Acting Clerk
<b>Agenda Item</b>		
01	<b>Apologies for Absence</b>	
	D Hogan S McEwan F Whittaker	
02	<b>Declaration of any potential Conflicts of Interest in relation to any Agenda items</b>	
	None tendered	
03	<b>Minutes of Previous Meeting – 4 October 2022</b>	
	Approved unanimously	
04	<b>Matters Arising from the Previous Meeting</b>	
	The Acting Principal updated the Board on progress with the national Job Evaluation exercise which was considerably behind schedule and realistically it may be January or February 2023 before a report would be available to the College for review.	
05	<b>Special Item</b>	
	The Board congratulated the Chairing Member both on his award as Reservist of the Year and the concurrent recognition of his record of public service	

	<b>Reserved Matter for Decision – Not publishable being a draft which will be published later in final form</b>
06	<p><b>Annual Report &amp; Accounts to 31 July 2022</b></p> <p>In course of discussion, the Board noted, with thanks, the help and support from both the Regional Chair and from Yvonne Finlayson, Chair of the Regional Strategic Body Audit and Risk Committee.</p>
	<b>Matters for Decision</b>
07	<p><b>Lanarkshire Regional Outcome Agreement</b></p> <p>The Depute Principal spoke to the Paper as presented and which is referred to for its detailed terms. This was felt be an excellent document which addressed both Quality &amp; Inclusion particularly well. This was duly <b>approved</b> subject to one amendment namely that the Board suggested that it might be helpful to make more detailed reference to the Gender Action Plan. It was agreed that management would take this forward as an <b>action point</b>. Members noted that the draft Outcome Agreement would also be considered at the Lanarkshire Regional Strategic Body (LRSB) board meeting scheduled for 12 December 2023.</p>
08	<p><b>Adoption of new Code of Governance</b></p> <p>The Acting Clerk presented this for formal approval. He advised that although the Board required to make a decision to adopt the new Code, the reality was that future funding was conditional upon its adoption. He had earlier circulated a summary of the principal changes and advised that provisionally he would be leading a training session on this and related topics towards the end of January 2023. He had already agreed with the Clerk to the Regional Board that this should be a joint session attended by all Board members of SLT, NCL and the Regional Strategic Board. This was noted as an <b>action point</b></p> <p><b>The new Code was duly approved</b></p>
09	<p><b>Governance Review</b></p> <p>The Internal Auditors Report, as presented and as referred to for its terms, was duly considered. The Board noted that this was favourable report and confirmed that the Governance Improvement Plan was now capable of being signed off as substantially complete. There were a few recommendations which had yet to be completed but significant progress had been made and it was anticipated that these would discharged timeously. Members noted that this report would now be placed on the agenda of the LRSB Audit and Risk Committee as agreed previously.</p> <p>The Board also considered a suggested template for a governance rolling review and <b>approved</b> this – noting that it was not intended to be an end in itself but should identify areas for ongoing improvement so as to achieve best practice. The remaining Internal Audit Recommendations would be incorporated as also any areas where training need had been identified. The Board considered that, in the light of the new Code of Governance, it would be necessary, for example, to revisit the Committee Terms of Reference and there was clearly a lot of detail which would require to be fleshed out</p>

	After discussion it was agreed to instruct the Acting Clerk as an <b>action point</b> to refer this to the principal Committees for their suggestions and input before returning to the Board with a draft for detailed approval
10	<p><b>Fees Policy</b></p> <p>The paper as submitted, and as referred to for its detailed terms was <b>considered and approved</b></p>
11	<p><b>Credits Report</b></p> <p>The Internal Auditors Report on Credit Activity was <b>considered and approved</b> and the Board noted in particular that the recommendations had been marked at the lowest level of grading. The Board fully accepted that these recommendations were to help the College improve wherever possible and were not taken as a fault-finding exercise</p>
12	<p><b>Strategic Risk</b></p> <p>The Board considered the Paper as submitted and as referred to for its terms. The main challenge continued to be the central cash settlement. As a result of the successful progress with the Governance Improvement Plan and the positive review by the Internal Auditors, Governance had now been encompassed in Risk 13 of the chart attached to the Paper. The Chairing Member advised the Board that Principals and Chairs Group are actively lobbying through Colleges Scotland for a more realistic central cash settlement for 2023/24. The Paper as submitted was duly <b>approved</b></p>
13	<p><b>SLC Self Evaluation 2021-22</b></p> <p>The Board <b>noted with approval</b> the Paper as submitted and as referred to for its detailed terms. The Board was pleased to note the reported progress towards Net Zero as part of the Policy on Climate Change and with the Learning Teaching &amp; Assessment Strategy. The attainment rates showed a slight decrease which reflected the reality that students performed better when on Campus. The Student President reported that now that the students were back on Campus there was a student led ethos with positive feedback from students. The Board actively encouraged the use of Media Scanner software as there were good news stories which deserved to be highlighted.</p>
14	<p><b>Draft Menopause Policy</b></p> <p>The Board <b>considered and approved</b> the national Menopause Policy. This was a national initiative, but it was pleasing to note the continuing adoption of significant national policies.</p>
	<b>Reserved Matter for Discussion – detail will be published later on publication of final accounts</b>
15	<p><b>Professional Fees</b></p> <p>The Board heard and considered a verbal update.</p>

	It was recognised that due process came at a price but the Board was assured that the costs had not been at the expense of delivery of the college mission
	<b>Matters for Discussion</b>
16	<p><b>Chairs Report</b></p> <p>The Chairing Member delivered a verbal report on the academic year to date. These were undeniably challenging times but he had been active in representing and promoting the best interests of the College wherever and whenever possible</p>
17	<p><b>Acting Principal's Report</b></p> <p>The Acting Principal spoke to the Paper as issued and which is referred to for its detailed terms. In particular, he summarised the Core Credit Target, reported on the HMle visit, updated the Board on engagement with the Funding Council in partnership with the Regional Strategic Board and praised all those concerned with the successful graduation event. In common with the Chairing Member, he had been active in representing and promoting the best interests of the college wherever and whenever possible</p>
18	<p>Internal Auditors Annual Report</p> <p>The Board considered and <b>approved</b> the Report as submitted and as referred to for its detailed terms.</p> <p>Over all the College had made very good progress with implementation of past recommendations and there were only a few technical issues outstanding but where full implementation was well in hand.</p> <p>It had to be borne in mind that the College was not master of either its income or delivery costs and although there was a slightly higher deficit than originally projected this was being addressed by appropriate mechanisms such as recruitment planning., There was however no obvious source of additional income. There were clearly very challenging financial times ahead but the Board expressed its commitment to protecting the learners and addressing their needs. The Depute Principal advised that she was actively looking to see what benefit might accrue from the College's pro-active engagement with the Climate Emergency Initiative</p>
19	<p><b>Management Forecast</b></p> <p>The Board considered the updated forecast as submitted and which is referred to for its detailed terms</p>
20	<p><b>College Self Evaluation Report</b></p> <p>This had already been Addressed in Item 13 above.</p>
21	<p><b>High Level Metrics</b></p> <p>The Depute Principal spoke to the high-level metrics produced in the Key Performance Indicators data set.</p>

	This had been particularly asked for by the Board and was found to be most valuable.
22	<p><b>Committee Reports</b></p> <p>(a) The Chair of the Audit &amp; Risk Committee reported briefly on the work of the Committee. Work was in hand with a view to finalising the Annual Report and this remained the primary focus</p> <p>(b) The Chair of the Curriculum, Quality &amp; Development Committee spoke to the detailed report as submitted and which is referred to for its terms. The Student Association Report was very positive and it was good to see the empowerment of the student voice. The work on Mental Health was particularly to be applauded. The Student President took the opportunity to report that as we now had evening classes for ESOL students, they were now being paired with native English speakers to encourage their progress. The Board noted that this was very full and encouraging summary of the College's core activity</p> <p>(c) The Chair of the Finance &amp; Resources Committee presented a brief verbal report. Most of what she had to say had already been covered in other agenda items but it was important to note that, whatever challenges might lie ahead, the figures for the year to 31<sup>st</sup> July 2022 were sound.</p> <p>(d) The Chair of the Human Resources Committee spoke to the Report as presented and which is referred to for its detailed terms. The Board noted progress in all areas but commented especially on good progress with development of a Employee Code of Conduct.</p>
	<b>Matters for Information</b>
23	<p>The Board noted the following namely:-</p> <ul style="list-style-type: none"> <li>• The SFC Strategic Plan</li> <li>• The SDS Strategic Plan</li> <li>• The Investors in Well-being Award</li> <li>• The Police Scotland report which had specifically advised that there was no evidence of historic criminal use of college resources and that their investigations were now closed</li> </ul>
	<b>Summation of Actions and Date of Next Meeting</b>
	The Clerk summarised the proceedings and identified the Action Points as above minuted and highlighted.
24	<b>Any Other Business</b>
	<p><b>Paper on Trade Union Representation on Board</b></p> <p>This was a late item which had only just come to hand but was felt by the Acting Clerk to require immediate attention. In essence, a Consultation Document on Trade Union Board Membership had been received. The consultation period was felt to be very short and while had had no view on the merits, he was concerned that there might be matters of detail which needed to be considered.</p> <p>The Board had no issue with the proposal but were concerned that some clarification as to the detail should be sought. The Acting Principal and the Acting Clerk were tasked with drafting an appropriate response to be approved by the Chairing Member and submitted as a response on behalf of the College</p>

	<p><b>Date of next meeting</b></p> <p>The Clerk reported that he had been able to reconcile the meeting diary for the balance of the Academic Year with the LRSB diary and would circulate details in early course.</p>
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## BOARD OF MANAGEMENT

<b>DATE:</b>	March 2023
<b>TITLE OF REPORT:</b>	Draft Employee Code of Conduct
<b>REFERENCE:</b>	06
<b>AUTHOR AND CONTACT DETAILS</b>	Gary McIntosh, Head of Human Resources <a href="mailto:gary.mcintosh@slc.ac.uk">gary.mcintosh@slc.ac.uk</a>
<b>PURPOSE:</b>	Discussion and approval of the draft Employee Code of Conduct.
<b>KEY RECOMMENDATIONS/ DECISIONS:</b>	<i>Members are recommended to:</i> <ul style="list-style-type: none"><li>• note content of the draft Employee Code of Conduct; and</li><li>• approve the draft Code of Conduct.</li></ul>
<b>RISK</b>	Implementing an Employee Code of Conduct was a recommendation from the Azets report and subsequently an action on the Governance Improvement Plan.
<b>RELEVANT STRATEGIC AIM:</b>	Highest Quality Education & Support – Valued & enthusiastic staff; high-quality support services; productive partnerships  Sustainable Behaviours – effective leadership and management; excellent governance; appropriate risk management
<b>SUMMARY OF REPORT:</b>	The following is the draft Employee Code of Conduct which takes account of the revision proposed by members of the HR Committee at the meeting held on 21 <sup>st</sup> November 2022, reviewed and endorsed by the HR Committee on 23 <sup>rd</sup> February 2023, and following consultation with local Trade Union representatives.



South  
Lanarkshire  
College  

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East Kilbride

# **EMPLOYEE CODE OF CONDUCT**

**The values, standards  
and behaviours we  
expect from you**

Version Number: 1.0

## Document Information

<b>Procedure Published/Created:</b>	March 2023
<b>Reviewed Date:</b>	n/a
<b>Owner:</b>	Human Resources
<b>Approved by:</b>	Board of Management
<b>Equality Impact Assessment:</b>	TBC
<b>Next Review Date:</b>	March 2026

## Version History

Version Number	Date	Author	Rationale
1.1	March 2023	G McIntosh	Creation of Code

## Quick Links

We are inclusive and diverse, and this is one of our values.

We are committed to the FREDIE principles of Fairness, Respect, Equality, Diversity, Inclusion and Engagement.



To find out more about FREDIE click [HERE](#)

To find out more about our Vision, Mission and Values click [HERE](#)



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## 1.0 Introduction

This document outlines the values, standards and behaviours we expect of South Lanarkshire College (the College) working community and is not intended as a complete listing of all the College policies, procedures, regulations and standards.

The relationship between the College and its employees is based upon mutual respect, trust and confidence. This Code of Conduct sets out the standards upon which this relationship is to be based. Employees are expected to behave in a way that demonstrates the College values. This includes being professional at all times, treating students, colleagues and stakeholders with respect while taking responsibility for their own behaviour and actions.

## 2.0 Objectives

The objectives of this Code are to:

- provide transparency on the values, standards and behaviours we expect of our working community.
- ensure everyone demonstrates these expectations in their work.
- clarify implications for non-compliance.

## 3.0 Scope

This Code of Conduct applies to all employees of the College and anyone working within it on a voluntary or placement basis.

It is the responsibility of all members of the College working community to familiarise themselves with, and adhere to, all the College policies and procedures.

Failure to comply with the standards of performance and behaviour outlined in this document may result in disciplinary action in accordance with the College disciplinary procedure. Such disciplinary action may include dismissal depending on the circumstances.

All employees will be made aware of the Code of Conduct and will sign to confirm their understanding and acceptance of the standards set out within it.

## 4.0 Governance

The College is a public body and a registered charity, with a Board of Management who are responsible for setting the strategic direction, vision and values for the College. The Board is responsible for all aspects of Corporate Governance. The College Values are:

- Inclusive and diverse
- Passionate about our roles and responsibilities
- Continually improving
- High achieving
- Reducing our environmental impact
- Delivering community and social value
- Committed to health, safety and wellbeing
- Creative and innovative
- A listening organisation

### 4.1 Board of Management

The Board of Management is composed of twelve non-executive members who are appointed through open application, the Chair of the Lanarkshire Regional Strategic Body two elected staff members, two elected student members and the Principal. The Board meets a minimum six times per year and each of its 4 committees meet a minimum four times per year. The Committees are:

- Audit & Risk Committee
- Curriculum, Quality & Development Committee
- Finance & Resources Committee
- Human Resources Committee

In addition, there is a Remuneration Committee, which meets on an ad-hoc, as-required basis for those staff not included in the current national collective bargaining arrangements.

The Board employs an independent Clerk who provides advice and support to all members on Corporate Governance and other matters relating to its work.

For further information about the Board and its committees, employees are encouraged to review the Board section on the College website which contains information on members and papers from all meetings.

## **4.2 Nolan Principles – The Principles of Public Life**

Members of the Board of Management are expected to uphold the *Seven Principles of Public Life* (often referred to as the “Nolan Principles”) as set out by the Committee on Standards in Public Life (the Nolan Committee).

## **4.3 Code of Good Governance for Scotland’s Colleges**

A Code of Good Governance was published in December 2014 for Scotland’s Colleges, and was further reviewed and updated in 2016, by the Good Governance Steering Group. A further updated version was published in September 2022.

The College complies fully with the Code and promotes good governance, accountabilities and continuous improvement as detailed in this Code, including the Staff Governance Standard, which is acknowledged by Scotlands Colleges and the Scottish Trade Union Congress (STUC).

A copy of the Code is available on the College Development Network website.

## **4.4 Safeguarding Responsibilities**

The Board has put in place policies and procedures to safeguard the welfare of the children, young people and vulnerable adults who attend the College. Members of staff have a duty of care to prevent physical, sexual or emotional abuse and to report any suspicion of abuse. All staff undergo enhanced Protecting Vulnerable Group (PVG) disclosure and undertake mandatory safeguarding and child protection training.

## 4.5 Corporate Parenting

The College offers a broad curriculum and works in partnership with many employers in the region, as well as other colleges and universities throughout Scotland.

College courses can be studied on a full-time, part-time, day release and evening basis with around 5,500 students accessing programmes in outstanding facilities, delivered by well qualified, highly trained staff.

Care experienced students often face barriers which prevent them from accessing College or from successfully completing their courses for example, financial and housing issues and challenges around emotional health and wellbeing. The College recognises the needs of care experienced students and provides various services to help students achieve their goals.

Therefore, it is vital that the College is able to identify who care experienced learners are to ensure they are aware of the range of services on offer and how to access this support.

As a Corporate Parent, the College evaluates how well it has discharged its duties under the Children and Young People (Scotland) Act 2014. The needs of care experienced young people have been formally recognised by Sections 58 to 65 of the Act and in particular Section 58: Part 9 which came into effect on 1st April 2015. This legislation outlines the duties which should be undertaken by Scotland's 'Corporate Parents' who are expected "... to uphold the rights and safeguard the wellbeing of a looked after child or care leaver, and through which physical, emotional, spiritual, social and educational development is promoted". (Scottish Government, August 2015).

The term 'wellbeing' within the Act is defined using eight 'SHANARRI'<sup>1</sup> indicators of Safe, Healthy, Achieving, Nurtured, Active, Respected, Responsible and Included.

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<sup>1</sup> <https://www.gov.scot/policies/girfec/wellbeing-indicators-shanarri/>

The College is aware that our success as a corporate parent is dependent on our duty to collaborate with other corporate parents to ensure that care experienced young people achieve the same positive outcomes as their peers.

## **5.0 Standards at Work**

In order to maintain a professional, supportive and respectful working environment, the following sections set out expectations of what will ensure a positive working environment.

### **5.1 Attendance and Timekeeping**

Employee attendance at work is expected to be punctual. Instances of lateness should be explained by the employee concerned with their Line Manager, who will monitor the situation and take action as appropriate in accordance with College procedures.

It is the responsibility of Line Managers to agree and approve any variations (including any short-term variations) to normal hours of work in consultation with the employee. Individuals should not vary their normal hours of work without prior, written management approval. Guidance is available within the Flexible Working Policy and the Reasonable Adjustments policy.

The College's Attendance Management and Support Procedure outlines the standards that are expected of all employees and the procedures that should be followed during any period of absence. It also provides details of how the College will address and manage all issues related to employee absence.

### **5.2 Leave Requests**

Annual Leave periods for those teaching staff covered by national collective bargaining arrangements are agreed within the College Joint Negotiating Committee.

All staff are required to follow the procedures detailed in the Annual Leave Policy (add link to policy) for requesting annual leave or time off in emergency circumstances. Staff are required to provide Management with appropriate notice (minimum 2 weeks) of any leave request. All leave will be subject to ensuring operational requirements are met.

In addition to annual leave, the College has a comprehensive and supportive range of leave options which are detailed in the Adoption Policy, New & Expectant Mothers Policy, Parental & Family Leave Policy and the Personal & Domestic Leave Policy.

### **5.3 Alcohol, Drug and Substance Abuse**

Employees must not attend work under the influence of any substance, including alcohol, illegal drugs and/or solvents. Employees who have been prescribed medication by a healthcare professional must inform their Line Manager immediately if that medication has, or could, have an adverse effect on the employee's ability to carry out their duties or may have implications with regard to the health and Safety of themselves or others.

The Alcohol, Drug & Substance Abuse policy outlines the standards expected of the working community in relation to alcohol, drug and substance use and abuse, and provides guidance on managing issues related to such use and abuse, including and the action that will be taken by the College in instances of non-compliance.

### **5.4 Bullying and Harassment**

The College is committed to creating and maintaining a working environment free from discrimination, harassment, bullying, intimidation and victimisation.

To clarify, bullying and/or harassment is verbal, non-verbal or physical conduct which is unsolicited or unwelcome and which another individual considers violates their dignity or creates an intimidating, hostile, degrading, humiliating or offensive environment.

Instances of bullying and or harassment at work, or outside work if it has a bearing on the working relationship, is unacceptable and will not be tolerated. All instances of bullying and/or harassment will be managed through the Dignity at Work Policy and the Disciplinary Procedure, as appropriate.

Examples of bullying / harassing behaviour could include:

- spreading malicious rumours, or insulting someone
- exclusion or victimisation
- unfair treatment
- deliberately undermining a competent worker by constant criticism.

Under the Equality Act 2010, harassment is unwanted conduct which is related to one of the following: age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation and is therefore unlawful.

## **5.5 Personal Relationships at Work**

The College recognises that employees who work together may form personal friendships and, in some cases, close personal relationships. The College acknowledges that personal relationships are a normal part of working life and it does not wish to interfere with the personal lives of its employees. However, it does encourage employees to be open and honest about them for the protection of the employees themselves and the organisation.

Whilst the College does not wish to prevent or deter personal relationships at work, the organisation is required to protect its interests and minimise any risks. For example, there may be a potential for a conflict of interest, including favourable treatment where there is a manager and direct report relationship, or unfavourable treatment where a relationship breaks up.

The College also requires to minimise the potential risk of any breach of trust and confidentiality or fraudulent activity where the individuals have access to confidential

information and there may be a risk of this being revealed as a result of a close personal relationship.

The following principles apply to all employees regardless of their job or level of seniority:

- A confidential declaration must be made by each employee to their respective line managers where such a close personal relationship exists or develops between employees who either work together in the same department or location or, where one employee is in a position of managerial authority.
- A meeting with each employee and their line manager will be held to determine whether there is a potential or actual conflict of interest and if so, to determine what, if any, steps may need to be taken to mitigate any organisational risk or potential conflict of interest. Managers are asked to liaise with the Human Resources department in these circumstances.

In the unlikely event that a potential risk or conflict is determined, the College will take a consultative approach with the parties involved to reach an amicable solution that respects the employees' privacy whilst protecting the interests of the College. The College will explore all options, such as a change in reporting/line management arrangements, or agreement to transfer one or both of the employees involved in the relationship to a post in another department or location.

## **5.6 Equality, Diversity and Inclusion**

The College is committed to ensuring equality of opportunity for its employees and learners alike. The College has a responsibility under the public sector equality duty, an outcome of the Equality Act 2010.

The general duty requires the College to have due regard in decision-making to the need to:

- Eliminate unlawful discrimination, harassment and victimisation;
- Advance equality of opportunity between different groups; and
- Foster good relations between different groups.

The public sector equality duty covers those with "relevant protected characteristics" which are:

- Age
- Disability

- Sex
- Gender re-assignment
- Pregnancy and maternity
- Race
- Religion or belief
- Sexual orientation

The specific duties for the College are:

- report on mainstreaming the equality duty
- publish equality outcomes and report progress
- assess and review policies and practices
- gather and use employee information
- publish information on board diversity and succession planning
- publish gender pay gap information
- publish statements on equal pay
- consider award criteria and conditions in relation to public procurement
- publish required information in a manner that is accessible.

All employees have an individual responsibility to uphold and apply in practice the Equality Policy, the public sector equality duty, and to conduct themselves in a manner consistent with that Policy and with relevant legislation.

Discrimination and prejudice will not be tolerated by the College and such conduct may result in disciplinary action being taken in accordance with its disciplinary procedure.

## **5.7 Protecting Vulnerable Groups**

As part of your employment with the College, you will require to join the Protecting Vulnerable Groups (PVG) scheme, which is managed by Disclosure Scotland. The PVG scheme helps to ensure that people who are unsuitable to work with children and protected adults cannot undertake regulated work with these vulnerable groups.

Disclosure Scotland carries out criminal record checks and will shared these with the College. Disclosure Scotland also keeps a list of people who are barred from working with children and protected adults.

Disclosure Scotland reviews routinely suitability of all on its register to continue work with children or protected adults. If in the unlikely case Disclosure Scotland acquire new information with regard to a College employee which results in that individual being deemed unsuitable to work with children or protected adults that person will be disqualified from regulated work. Disclosure Scotland are required to inform the employer of any individual removed from the PVG scheme.

Should a staff member be removed from the PVG scheme the College will undertake appropriate action within its Disciplinary Procedures.

The College also has a duty to report harmful behaviour to Disclosure Scotland.

The PVG Scheme Records includes the following details:

- Convictions – certain spent convictions and any unspent convictions including the date of conviction and the sentence you received.
- Cautions – unspent cautions.
- Court Orders & Notification.

## **5.8 Allegations against Staff (Safeguarding)**

Any allegations of abuse against staff (to students, other staff or people in the community) must immediately refer to the disciplinary procedure. In addition, the Depute Principal must immediately be informed, as the Lead Safeguarding Officer for the College.

In line with the College Disciplinary Procedure, Police Scotland and/or other local authorities may be informed where appropriate.

If the person against whom allegations have been made resigns or ceases to provide their services, this will not prevent the College from taking any action it deems necessary in accordance with the appropriate legislation.

## **5.9 Dress Code**

The College requires employees to dress in a professional manner which is appropriate to their role and upholds the image of the College as a high-quality learning institution. As a minimum, employees are expected to dress in a manner that is commonly referred to as “business like” i.e. a relaxed version of formal wear e.g. business attire but without a tie, suit jacket, etc. This ensures that all employees still look professional and appropriate for our work environment, whilst being cognisant of comfort, individuality, time and money.

Should there be a specific reason (e.g. a formal meeting), you are expected to dress in line with those requirements, such as in business professional attire or formal wear.

Clothing should be solid colours, subtle patterns or designs and should not contain distracting or offensive images or words. Other items, such as visible tattoos and jewellery should also not cause reasonable offense to others.

Sports-related clothing is not permitted other than for the purpose of participating in sporting activities. Clothing should also support the College Values and not breach the Equality Policy.

Employees should inform their manager if there are legitimate reasons requiring the wearing of certain garments/jewellery e.g. on the grounds of medical or religious reasons particularly if the wearing of such items may have implications for Health and Safety of the individual or others.

Some roles necessitate employees to wear items of protective clothing in the interests of health and safety. Such items should be worn at all times when required.

## **5.10 No Smoking**

The College does not allow smoking within its premises and vehicles, outwith designated smoking and vaping areas.

For the avoidance of doubt, smoking includes tobacco, e-cigarettes, personal vaporisers (PVs) and electronic nicotine delivery systems (ENDS).

Any breach of this will be dealt with under the College Disciplinary Procedure and, in serious cases, may be treated as gross misconduct, leading to summary dismissal.

## **5.11 Outside Employment**

The College understands that some employees may have additional employment, outside of the College. To ensure the legitimate, business interests of the College, employees are prohibited from engaging in any activity which interferes with their performance or responsibilities at the College or is otherwise in conflict with or prejudicial to the College. If an employee has any concerns about the potentially impact of additional employment, including on health & safety and working time considerations, on their College role they should contact the Human Resource department. The College recognises that some employees may gain “industry upskilling” through additional employment.

## **5.12 Jury and Witness Service**

From time to time, the College recognises that employees may be required to attend jury or witness service. In order to support this civic duty, the College requires that employees provide as much advance notification as possible to your line manager.

This is important as there are some circumstances in which jury service may be deferred for business reasons. If it is possible employees should seek to schedule the giving of evidence for a time which fits in with work commitments. Where required the College will make arrangements to cover your work in your absence.

It is necessary liaise with Payroll in order to manage your salary payment during periods of jury or witness service.

## 6.0 Information Technology (IT) and Data Security

College systems are intended to promote effective communication, learning and working practices, as well as to support effective data security. The College relies on the integrity and availability of its IT systems and infrastructure to support data security and meet its legitimate business and commercial needs. Improper use of IT systems and/or failure to adhere to College policies and procedures may have an adverse impact on systems, time and resources in addition to increase the risk of data breaches which may result in legal liability, potential reputational and negative financial impact for the College and employees.

All employees are required to be familiar with all College IT policies and procedures, and to adhere to these.

### 6.1 Non-Permitted Use

The following table provides three areas of non-permitted use of College IT systems, including those not owned by the College but are used for College business and/or which the College may carry vicarious liability. This is indicative and not an exhaustive list.

Inappropriate Material	Employees should be aware that any person loading, downloading, printing, storing or receiving (without reporting to their Line Manager), any material of a sexual, abusive or potentially discriminatory or lewd nature, or which is otherwise offensive via electronic means or otherwise, may be subject to disciplinary action including summary dismissal for gross misconduct.
Discrimination & Harassment	Employees must not use the College computer systems in any way that may be considered detrimental or offensive to others. Rude, offensive and detrimental messages and files can have a

	<p>serious impact on the recipient and may constitute harassment or discrimination under local employment legislation relating to equality and discrimination.</p> <p>The College will investigate any complaint of harassment or discrimination, including invoking the Disciplinary Procedure, up to and including dismissal.</p>
<p>Electronic Games, Jokes and Similar Material</p>	<p>Electronic games, jokes, greeting cards, chain letters, non-work-related videos and pictures can take up large amounts of server space and adversely impact the Colleges systems. Accessing such material also increases the risk of introducing computer viruses.</p> <p>For these reasons, the College regards the loading, downloading, sending, storing, printing or receiving without deleting of electronic games, jokes, chain letters, executables, non-work-related videos and pictures as a violation of this Code.</p>

## 6.2 Personal Data

Data protection legislation aims to control personal data relating to individuals by ensuring it is used only for the specific purposes it was collected and is accurate, kept up-to-date and, above all, is secure.

Any data which refers to an individual by name or provides enough information to enable an individual to be identified may be subject to data protection legislation. Employees must adhere to data protection legislation and ensure that all personal data is safeguarded against loss or disclosure to unauthorised parties. Employees must follow the data protection requirements as highlighted in College Policies and Procedures.

The College will provide regular updates on data protection matters including appropriate Continuous Professional Development sessions.

### **6.3 Accuracy and Confidentiality information**

All information that relates to individuals, the College, firms or companies, including other Colleges and clients, must be recorded accurately. Employees must not breach any confidentiality obligations regarding information.

Employees should not use College systems to disclose to unauthorised parties confidential information, trade secrets, patents and other restrictive documents which either belong to or are the property of the College, other Colleges or a client, contractor or any consultant.

Whilst maintaining the confidentiality of information is paramount, there will be situations in which information is shared with trusted third parties, who also have obligations to treat information confidentially. Information may be shared, or made available, in restricted circumstances, according to the necessary purpose and in line with the law and College policy.

### **6.4 Introduction of Viruses**

The malicious spreading of computer viruses is subject to prosecution under the Computer Misuse Act 1990. The greatest risk from viruses lies in downloaded programmes, executable and files. Employees must not, therefore, copy or download software without prior written approval of their Line Manager.

Line Managers should seek approval from the Head of Management and Information Systems before agreeing to the downloading of any software not provided by the College IT Team.

### **6.5 Data Retention & Disposal**

All employees are responsible for the retention and disposal of personal data they handle, in accordance with data protection legislation. Employees should follow the relevant College data protection policies and procedures.

## **6.6 Social Media**

Employees may use social media, which directly and/or indirectly reflects their role at the College. In terms of definition, social media includes, but is not limited to, Facebook, LinkedIn, Twitter, Google+, Wikipedia, Instagram, Vine, Tumblr, WhatsApp, Snapchat and all other social networking sites, internet postings and blogs.

The College recognises the important role of social media in promoting ideas, information and comment. However the use of unprofessional or inappropriate content, may not comply with College Policies and Procedures and may result in disciplinary action.

Inappropriate use of social media sites can pose risks to College confidential data, reputation and can jeopardise compliance with its legal obligations. The following, non-exhaustive list, details prohibited use of social media:

- You must not post any social media communications that could damage College interests or reputation, directly or indirectly;
- You must not use social media to defame or disparage the College, its Board, learners, staff or any third party; to harass, bully or unlawfully discriminate against the Board, learners, staff or third parties; to make false or misleading statements; or to impersonate colleagues or third parties; and
- You must not express opinions on behalf of the College via social media, unless authorised to do so by the Principal.

Breach of these may result in disciplinary action up to and including summary dismissal.

## **6.7 Prohibited Activities**

The following uses of the College Systems are expressly prohibited. This list is not exhaustive:

- Engaging in defamatory, illegal, fraudulent or malicious conduct;
- Loading, downloading, sending, storing, printing or receiving without reporting any offensive, obscene, indecent or defamatory material including any sexual material such as sexually explicit images, messages

or cartoons and any material which amounts to harassment or discrimination on the grounds of protected characteristics;

- Loading, downloading, sending, storing, printing or receiving without deleting any electronic games, jokes, chain letters, executables, non-work-related videos and pictures;
- Engaging in unauthorised monitoring, hacking, or intercepting of files or electronic communications of workers or other parties;
- Using another user's login ID and password;
- Obtaining unauthorised access to any Computer System; and
- Attempting to test and circumvent or defeat security or auditing systems of the College or any other organisation.

## **7.0 Compliance Matters**

The following sections details the matters of compliance that all our employees must adhere with in order to ensure we conduct our business in an honest and ethical manner. There are underlying policies and/or procedures for all of these items, which you must become familiar with.

### **7.1 Bribery and Corruption**

The College takes a zero-tolerance approach to bribery and corruption, and we are committed to acting professionally, fairly and with integrity in all our business dealings and relationships.

Specifically, no colleague should:

- give or offer any payment, gift, hospitality or other benefit in the expectation that a business advantage will be received in return, or to reward any business received;
- accept any offer from a third party that you know, or suspect, is made with the expectation that we will provide a business advantage for them or anyone else;
- give or offer any payment (sometimes called a facilitation payment) to a government official in any country to facilitate or speed up a routine or necessary procedure; or
- threaten or retaliate against another person who has refused to offer or accept a bribe or who has raised concerns about possible bribery or corruption.

## **7.2 Gifts and Hospitality**

The College understands that giving or accepting of reasonable and appropriate hospitality for legitimate purposes such as building relationships, maintaining our image or reputation, or marketing our products and services.

A gift or hospitality will not be appropriate if it is unduly lavish or extravagant or could be seen as an inducement or reward for any preferential treatment e.g. during contractual negotiations or a tender process.

## **7.3 Money Laundering**

Money laundering is the processing of concealing the origin of money, obtained from illicit activities such as drug trafficking, corruption, etc. The College has in place a comprehensive and robust financial management approach to manage and mitigate risks of money laundering.

Any employee, directly or indirectly, who have been involved in actual or suspected money laundering will be investigated and appropriate action will be taken, which could include informing Police Scotland. In addition, disciplinary action may be considered against those involved in the matter and well as those whose negligence has aided the facilitation of money laundering. Both categories of offence may be held to constitute gross misconduct and lead to disciplinary action, up to and including summary dismissal.

## **7.4 Fraud**

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 or organisation of something by deceit, which may involve the misuse of funds or other resources, or the supply of false information.

All employees must be familiar with the College's Policy regarding Fraud and report signs of fraud, theft or corruption to their line manager.

All cases of actual and suspected fraud will be investigated and appropriate action will be taken, which could include informing Police Scotland. In addition, disciplinary action may be considered against those who may have perpetrated fraud and also against managers whose negligence is held to have facilitated the fraud. Both categories of offence may be held to constitute gross misconduct and lead to disciplinary action, up to and including summary dismissal.

## **7.5 Trafficking and Modern Slavery**

The College is committed to carrying out the procurement of goods and services in an environmentally, socially, ethically and economically responsible manner and to enter into agreements and contracts with suppliers that share and adhere to this commitment.

The College will use best endeavours to ensure the procurement of goods and services is carried out through APUC Ltd of which they are members.

APUC leads collaborative tendering activity and has a wide range of framework agreements across a variety of category areas. All the categories for APUC frameworks that the Colleges has used have already undergone an analysis of the specific commodity areas and supply chains to assess potential risks of modern slavery.

Where it is not possible to use a collaborative framework agreement, a standard Invitation to Tender template is used with applicable terms and conditions requiring contractors to comply with current legislation in relation to the Equality Act 2010, National Minimum Wage Act 1998 (as amended), Health & Safety at Work Act 1974 (as amended) and the Modern Slavery Act 2015.

Recruitment checks are carried out by Human Resources to ensure that the College adhere to the provisions of the Immigration, Asylum and Nationality Act 2006, which state that at the time of recruitment an employer must be able to demonstrate that

the person to be appointed has permission to work in this country. Therefore, all external candidates invited to attend interview for a post in the Colleges must produce evidence of their entitlement to work in the United Kingdom.

Offers of employment are also subject to a satisfactory PVG Scheme Record and references satisfactory to the College.

## **8.0 Health, Safety and Wellbeing**

The College is committed to promoting and implementing all relevant health, safety and wellbeing legislation and recognises that the highest priority must be given to safe methods of work at all times.

Employees must familiarise themselves with the Health and Safety Policy approved by the Board of Management annually and the specific health and safety procedures, including risk assessments relating to their role. Employees must not, under any circumstances, behave in a way which could endanger their own health and safety or the health and safety of others.

Any breach of College Health and Safety Policy and procedures will be viewed extremely seriously and may constitute gross misconduct in accordance with its disciplinary policy and procedures.

## **9.0 Raising Concerns**

Should you have any concerns during your employment with the College, you are encouraged to initially raise this with your line manager or with an appropriate department.

Should you wish to formalise your concerns or progress them further, you are able to do so through the Grievance Procedure.

In certain circumstances, the Whistleblowing Policy and Procedure may be the appropriate route to make a disclosure. Employees should refer to the Whistleblowing Policy and Procedure for full information on making a disclosure and, if required, obtain advice from the Clerk to the Board.

If you believe that you or another employee's behaviour contravenes the Code of Conduct, it is vital that you raise the issue with your line manager or another senior manager.

## **10.0 Concerns About You**

Should the College have any concerns about your performance, capability or conduct, we will initially address these with line management interventions. We recognise that this may not always be successful or appropriate, and therefore we may need to invoke the Capability Procedure for performance-related matters or the Disciplinary Procedure for conduct-related matters.

You should refer to these procedures to gain further understanding or speak with your line manager or a member of the human resources team.

## **11.0 Leaving our Employment**

Employees should continue to observe their duties of confidentiality after they leave the employment of the College. All documents, materials, resources and property of the College must be returned when leaving our employment.

## 12.0 Further Guidance

No code of conduct can hope to spell out the appropriate behaviour for every situation, nor should it seek to do so. The College relies on each member of staff to make a judgement of what is right and good practice in any particular situation. The College also requires all employees to comply with all policies and procedures and to follow reasonable management instruction(s).

If an employee is unsure determining what action is appropriate in any given situation, they should seek clarification their Line Manager.

An individual who is not satisfied with an outcome arising from a decision reached in relation to their employment has the right to appeal using the stages outlined in the grievance procedure.



South  
Lanarkshire  
College

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East Kilbride

### BOARD OF MANAGEMENT

<b>DATE</b>	09 March 2023
<b>TITLE OF REPORT</b>	SFC Mid-Year Return (MYR) Update on Financial Forecast Return 2022/23
<b>REFERENCE</b>	7
<b>AUTHOR AND CONTACT DETAILS</b>	Alan Sherry, Acting Principal <a href="mailto:Alan.Sherry@slc.ac.uk">Alan.Sherry@slc.ac.uk</a>  Keith McAllister, Head of Finance <a href="mailto:Keith.McAllister@slc.ac.uk">Keith.McAllister@slc.ac.uk</a>
<b>PURPOSE:</b>	To report to members the progress against the Financial Forecast Return for the period 2022/23, as contained in the Mid-Year Return required by the Scottish Funding Council
<b>KEY RECOMMENDATIONS/ DECISIONS:</b>	Members are recommended to: i) note the contents of this report and its Appendices; ii) require the Acting Principal to submit scenarios One and Two, set out in the Mid-Year Return documentation to the Funding Council; and iii) note the financial position as detailed in the MYR document
<b>RISK</b>	The projected reduction in Scottish Government funding for the College Sector, coupled with the current and projected rate of non-staff of inflation, places the financial sustainability of the College at risk while reducing the quality of the learner experience. The limitation on institutional level mitigating actions, reduces the ability of the Board to produce a balanced budget over the period of the Financial Forecast Return.
<b>RELEVANT STRATEGIC AIM:</b>	<ul style="list-style-type: none"> <li>• Successful Students</li> <li>• The Highest Quality Education and Support</li> <li>• Sustainable Behaviours</li> </ul>
<b>SUMMARY OF REPORT:</b>	<ul style="list-style-type: none"> <li>• The Financial Forecast Return (FFR), together with a full commentary, in respect of the 2022/23 – 2026/27 monitoring period, was submitted to the Board on 4<sup>th</sup> October 2022. The Board approved a deficit budget for 2022/23 but would not do so for the remaining years of the submission. This was a situation that was mirrored by other colleges in the sector.</li> <li>• The Funding Council requires the College to update its forecast as against the FFR. As with the FFR, two scenarios are provided, and both will be returned to the Funding Council.</li> <li>• Scenario 1 incorporates a 3.0% salary award at 1<sup>st</sup> September 2022; this is attached as <b>Appendix A</b> and incorporates the SFC assumptions for the FFR.</li> <li>• Scenario 2 will assume a 5.0% award and this will be forwarded to SFC using the second version of the FFR budget that is more realistic.</li> <li>• Members should also refer to the Management Forecasts for the 6 months which feed into these Appendices.</li> </ul>

## 1. Introduction

As the Board will be aware, the College is required by the Funding Council to provide a Mid-Year Report (MYR) to report progress that has been made against the original Financial Forecast Return which was submitted following the October 2022 Board meeting. .

A copy of the MYR guidance is available at <https://www.sfc.ac.uk/publications-statistics/calls-information/2023/SFCCI012023.aspx>

## 2. Financial Forecast Return – Planning

As members will recall, the Funding Council provided colleges with a series of planning assumptions to inform the completion of the FFR. Members will also be aware that colleges have previously expressed concern with regard to the appropriateness of these assumptions and their impact of the robustness of the financial projections which they provide. Members should note that the Auditor General for Scotland, has, in the past, been critical of the quality of the financial data provided by colleges to assist in SFC planning.

### i. SFC Planning Assumptions

The Funding Council provided the following key assumptions:

- core funding for academic year 2022/23 should be based on the final allocations announced on 26 May 2022;
- that the Flexible Workforce Development Fund will be reduced from 2023/24;
- the Young Person’s Guarantee Funding will cease at the conclusion of the current academic year;
- funding for counsellors beyond 2022/23 has yet to be confirmed;
- free period provision funding will continue but at 2021/22 levels;
- funding for deferred student credits, which are not required, will be subject to clawback;
- student support requirements will be met;
- capital maintenance funding will be based on the 2022/23 allocation and that funding to address digital poverty will decline;
- the impact of the National Bargaining job evaluation scheme for support staff should be taken account of (as yet the College has no data on the outcome of this exercise, therefore it has assumed a 6% uplift in support staff baseline salaries from 2023/23, in line with Colleges Scotland thinking)
- Scottish Government public sector pay policy should be applied;
  - from 2023/24 onwards, 2% pay awards for all staff should be assumed;
- efficiency savings should be demonstrated where appropriate;
- there will be no funding for voluntary severance from SFC;
- inflation rates of 3.7% for 2022/23, 2.3% for 2023/24 and 2.0% for the period to 2026/27 should be applied; and
- forecasts should reflect the savings required to balance income and expenditure over the period of the FFR.

Members will be aware that a number of the assumptions above have been overtaken by events and, as was anticipated in October, have proved to be unrealistic

## ii. Finance Directors Network – Planning Assumptions

Members will recall that SFC accepted the case made by the college Finance Directors' Network (FDN) that there was a need to consider an alternative scenario based on a different set of planning assumptions.

The key differences in the FDN assumptions are set out below:

- a reduction in Flexible Workforce Development Fund resources of 20% in 2022/23, 10% in 2023/24 and 10% in 2024/27;
- pay award increases of 5% for years 1 and 2 of the forecast period and 3% for the last three years.;
- non-staff inflation increases (excluding utilities) of 9% in 2022/23 with a figure of 7% for the remaining period;
- increases in gas unit costs of 230% in 2022/23, 8% in 2023/24 and 7% each year until 2027; and
- increases in electricity unit prices of 27% in 2022/23, 54% in 2023/24 and 17% for the remainder of the FFR period.

It was the view of the College that it would be prudent for the Board to consider and submit both scenarios to the Funding Council in order to inform their planning processes. The two scenarios were duly presented to, and approved at, the Board of Management meeting on 4 October 2022.

The College remains of the view that a similar approach should be taken when submitting the MYR.

## 3. March 2023 Mid-Year Return

Due to the severity of the financial challenge facing the College Sector and the uncertainty surrounding financial allocations from the Scottish Government from 2023/24 onwards, coupled with the current economic environment, it was the view of the College that it is not possible to provide realistic mitigating actions to reduce the projected deficits which arise in both scenarios beyond 2022/23. As members will be aware, 78% of College costs are associated with staffing, therefore, to balance the budget over the FFR period would require such reductions in headcount that it would not be possible to provide a meaningful learner experience. This position has informed the development of the MYR.

Members should note that the Value for Money Group has operated during session 2022/23, with a focus on producing efficiencies, whilst the Senior Leadership Team (SLT) considers all staffing requests and requires justification for any additional appointments or increases to current contracts.

### i. Scenario One: SFC Assumptions

Attached as **Appendix A** is the MYR document comparing (a) the FFR using the assumptions provided by the Funding Council with (b) the forecast showing progress in 2022/23 as at the six-month point and a 3.0% salary award at 1<sup>st</sup> September 2022.

## ii. Scenario Two: FDN Assumptions

The College will also be making a Scenario 2 return to SFC which will incorporate (a) the (more realistic) assumptions provided by the FDN and adapted by the College with (b) the forecast showing progress in 2022/23 as at the six-month point but incorporating the 5.0% salary award. This will show an increased deficit of £260k. Members should refer to the Management Forecasts.

Members will recall that, as part of development of the FFR, the College considered a number of mitigations which would provide some financial headroom though not necessarily produce a balanced budget by 2026/27. Members noted at the October 2022 Board meeting that many of those mitigations which would produce the greatest efficiencies related to matters which are covered by national collective bargaining and are still not yet under discussion. Furthermore, there whilst there had been some limited discussion with regards to providing a range of services nationally though currently no proposals had been brought forward in October 2022. There is no substantive update to this as at March 2023.

It is still the view of the College that to address the financial challenge faced by the College Sector, a national solution is required as it does not appear to be realistic that individual institutions can generate sufficient savings and efficiencies, while maintaining a high-quality learner experience, to produce a balanced budget over the period of the FFR. The College has, to date, delivered efficiencies in a number of areas by the stringent monitoring of staffing and the production of savings via enhanced procurement procedures. Despite these actions a management forecast deficit of £381k remains for 2022/23 though this is less than the £540k contained in the budget approved by the Board at its June 2022 meeting. This however, may change depending on the outcome of the national collective bargaining for the salary award at 1st September 2022.

Members should note that these efficiencies and savings would not fundamentally address the impact of proposed 'flat cash' grant in aid settlements for the remaining period of the 2022/23 – 2026/27 period. Members should also note that the scope for generating further efficiencies and saving has become more limited without a detrimental impact on the quality of the learner experience.

At the February 2023 meeting of the Finance and Resources Committee, members noted the update to the forecast for the period against the FFR, and whilst members were content with the progress being made, they did note that a deficit was still being forecast. Members also noted that further working was being undertaken to provide the Board with the Mid-Year Progress against Budget report which is considered elsewhere on this agenda.

### Salary Award Note

As members will be aware there has as yet been no agreement with teaching or support staff on a pay award for 2022/23. In these circumstances the College has produced two scenarios; one incorporating an award of 3.0% and a second scenario which incorporated an award of 5.00%. However, both these may prove to be optimistic in the existing industrial relations environment.

As 1.0% of the College payroll is costed at approximately £130k for the 11 months of 2022/23, therefore a 2.0% differential between the two scenarios will result in an additional cost of £260k. Unless additional resources were provided by either the Scottish Government or the Scottish Funding Council the College would be required to make further savings in order to remain financially sustainable.

#### 4. Mid-Year Return Comparisons to FFR

There are four items for comparison.

- a) Original FFR for 2022/23 using SFC assumptions
- b) Original FFR for 2022/23 using FDN assumptions
- c) Mid-year return incorporating 3.0% salary award
- d) Mid-year return incorporating 5.0% salary award

In tabular form, the deficits reported in the four above are:

Original FFR for 2022/23 using SFC assumptions	£(333)k	Mid-year return incorp. 3.0% salary award	£(175)k
Original FFR for 2022/23 using SFC assumptions	£(333)k	Mid-year return incorp. 5.0% salary award	£(435)k
Original FFR for 2022/23 using FDN assumptions	£(540)k	Midyear return incorp. 3.0% salary award	£175)k
Original FFR for 2022/23 using FDN assumptions	£(540)k	Midyear return incorp. 5.0% salary award	£(435)k

The narrative to the 6 month forecast details the reasons for the differences from budget. There are two MYR forecasts; one with the 3.0% salary award and one with the 5.0% salary award. The College is assuming that the award will be in the region of 5.0% and is thus planning on this basis. The first line in the table (shaded yellow) above is reflected in the attached document, **Appendix A**.

As noted above, the College will also submit a Return using the fourth set of figures above (shaded blue). This will show an amended set of FFR budget figures (£540k deficit) and a Mid-Year prediction of the deficit of £435k.

#### 5. Grant in Aid Allocation for 2023/24

SFC will publish its indicative grant in aid allocations for 2023/24 at the end of March, but it has already indicated that a flat cash settlement, perhaps with a reduction in credit target, is the best case scenario for the sector.. This reduction in activity has been mooted at 10% of the current credit target. However, in order to be sustainable the College would require to make a similar reduction in its cost base which equates to a saving of circa £1.5 million. Should this speculation about the reduction the credit target prove accurate this would leave the College facing years 2 to 5 of the original period of the FFR with no real improvement in its financial position which would therefore mean that further action would be required to ensure its financial stability..

#### 6. Equalities

The reduction in funding available to the College Sector is anticipated to have a disproportionate adverse impact on people with protected characteristics.

#### 7. Risk

The projected reduction in Scottish Government funding for the College Sector coupled with the current and projected rate of non-staff of inflation places the financial sustainability of the College risk while reducing the quality of the learner experience. The limitation on institutional level mitigating actions, reduces the ability of the Board to produce a balanced budget over the period of the FFR.

## 8. Recommendations

Members are recommended to:

- i) note the contents of this report and its Appendices;
- ii) note the planning assumptions provided by the Scottish Funding Council;
- iii) note the planning assumptions provided by the Financial Directors Network;
- iv) note the two salary award outcomes being considered by the College;
- v) note the comparison between the FFR using the FDN assumptions and the forecast assuming a 5.0% salary award, as highlighted in the table in section 4, further noting that this is the comparison seen as most likely by management;
- vi) require the Acting Principal to submit this paper and the attached MYR documentation to the Scottish Funding Council

## 9. Further information

Members can obtain further information on the contents of the report from Alan Sherry, Acting Principal on [alan.sherry@slc.ac.uk](mailto:alan.sherry@slc.ac.uk) or Keith McAllister, Head of Finance on [keith.mcallister@slc.ac.uk](mailto:keith.mcallister@slc.ac.uk) or Stella McManus, Depute Principal on [stella.mcmanus@slc.ac.uk](mailto:stella.mcmanus@slc.ac.uk).

**Mid-Year Return 2022-23**

College:

Contact:

Telephone:

Email:

<b>DECLARATION:</b>	The attached worksheets represent an update on the financial forecasts for the College, based on the actual financial results for the year to date and other relevant information. I consider the revised forecasts to be a reasonable assessment of the College's projected financial position at the end of this academic year in the light of the information available to me.
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**FFR prepared using SFC planning assumptions, October 2022**

Signed:   
Principal

Date:

## Appendix A

The figures reported in this document are referred to in the narrative as Scenario 1.

Scenario 2 will incorporate a 5.0% salary award at 1st September 2022 (as compared to the 3.0% award incorporated in the figures on this document. This will result in an increase to the deficit reported from £175k to £435k

South Lanarkshire College ~ SFC Planning Assumptions

	FFR 2022-23	MYR 2022-23	Variance	Variance	Explanation for variance
	£000	£000	%	£	
<b>Statement of Comprehensive income and expenditure (Consolidated)</b>					
<b>INCOME</b>					
Tuition fees and education contracts	3,210	2,990	-6.9%	-220	
Funding council/RSB grants	15,299	15,613	2.1%	314	
Research grants and contracts	0	0		0	
Other income	328	328	0.0%	0	
Investment income	0	0		0	
<b>Total income before donations and endowments</b>	<b>18,837</b>	<b>18,931</b>	0.5%	94	
Donations and endowments	0	0		0	
<b>Total income</b>	<b>18,837</b>	<b>18,931</b>	0.5%	94	
<b>EXPENDITURE</b>					
Staff costs	14,381	14,456	0.5%	75	
Staff costs - exceptional restructuring costs	0	0		0	
Exceptional costs - non-staff	0	0		0	
Other operating expenses	3,393	3,343	-1.5%	-50	
Donation to Arms Length Foundation	0	0		0	
Depreciation	1,306	1,306	0.0%	0	
Interest and other finance costs	90	1	-98.9%	-89	
<b>Total expenditure</b>	<b>19,170</b>	<b>19,106</b>	-0.3%	-64	
<b>Surplus/(deficit) before other gains and losses and share of operating surplus/deficit of joint ventures and associates</b>	<b>(333)</b>	<b>(175)</b>	-47.4%	158	
Gain/(loss) on disposal of fixed assets	0	0		0	
Gain/(loss) on investments	0	0		0	
Share of operating surplus/(deficit) in joint venture(s)	0	0		0	
Share of operating surplus/(deficit) in associate(s)	0	0		0	
<b>Surplus/(deficit) before tax</b>	<b>(333)</b>	<b>(175)</b>	-47.4%	158	
Other taxation	0	0		0	
<b>Surplus/(deficit) for the year</b>	<b>(333)</b>	<b>(175)</b>	-47.4%	158	
Unrealised surplus on revaluation of land and buildings	0	0		0	
Actuarial (loss)/gain in respect of pension schemes	0	0		0	
Other comprehensive income	0	0		0	
<b>Total comprehensive income for the year</b>	<b>(333)</b>	<b>(175)</b>	-47.4%	158	

## South Lanarkshire College ~ SFC Planning Assumptions

INCOME	FFR 2022-	MYR	Variance	Variance	Explanation for variance
	23	2022-23			
	£000	£000	%	£	
<b>1 Tuition fees and education contracts</b>					
a) FE - UK	1,435	1,330	-7.3%	-105	Slight offset of activity in this area to "Education contracts" category
b) FE - EU	0	0		0	
c) HE	1,015	920	-9.4%	-95	HE recruitment reduced from plan.
d) Non-EU	0	0		0	
e) SDS contracts	340	344	1.2%	4	
f) Education contracts	280	363	29.6%	83	Additional contracts won in the year.
g) Other	140	33	-76.4%	-107	Assumed income from Shared Prosperity Fund not realised.
<b>Total tuition fees and education contracts</b>	<b>3,210</b>	<b>2,990</b>	<b>-6.9%</b>	<b>-220</b>	
<b>2 SFC / RSB Grants</b>					
a) SFC / RSB FE recurrent grant (including fee waiver)	13,724	13,773	0.4%	49	
b) UHI recurrent grant - HE provision	0	0		0	
c) FE Childcare funds	393	393	0.0%	0	
d) Release of SFC / RSB deferred capital grants	760	760	0.0%	0	Assumption that capitalisation of grants & subsequent release will be as per plan.
e) SFC capital grant	0	0		0	
f) SFC grant for NPD	0	0		0	
g) Other SFC / RSB grants - FE provision	422	687	62.8%	265	In-year additional grants - YPG, Counsellors, Period Products. Prior year adjustments (ESF) not accrued in 2021/22.
h) Other UHI grants - HE provision	0	0		0	
<b>Total SFC / RSB Grants</b>	<b>15,299</b>	<b>15,613</b>	<b>2.1%</b>	<b>314</b>	
<b>3 Research grants and contracts</b>					
a) European Commission	0	0		0	
b) Other grants and contracts	0	0		0	
<b>Total research grants and contracts</b>	<b>0</b>	<b>0</b>		<b>0</b>	
<b>4 Other Income</b>					
a) Catering and residences	0	0		0	
b) Other European Income	0	0		0	
c) Other income generating activities	0	0		0	
d) Grants from ALF	100	100	0.0%	0	Not received as but expected prior to the end of the year
i) Revenue	0	0		0	
ii) Capital	100	100	0.0%	0	
e) Non-government capital grant	0	0		0	
f) Other grant income	0	0		0	
g) Release of non-SFC government deferred capital grant	99	99	0.0%	0	
h) Other income	129	129	0.0%	0	
<b>Total other income</b>	<b>328</b>	<b>328</b>	<b>0.0%</b>	<b>0</b>	
<b>5 Investment income</b>					
a) Investment income on endowments	0	0		0	
b) Investment income on restricted reserves	0	0		0	
c) Other investment income	0	0		0	
d) Other interest receivable	0	0		0	
e) Net return on pension scheme	0	0		0	
<b>Total investment income</b>	<b>0</b>	<b>0</b>		<b>0</b>	
<b>6 Donations and endowment income</b>					
a) New endowments	0	0		0	
b) Donations with restrictions	0	0		0	
c) Unrestricted donations	0	0		0	
<b>Total donation and endowment income</b>	<b>0</b>	<b>0</b>		<b>0</b>	

South Lanarkshire College ~ SFC Planning Assumptions

EXPENDITURE

	FFR 2022-23	MYR 2022-23	Variance	Variance	Explanation for variance
	£000	£000	%	£	
<b>STAFF COSTS</b>					
1 Teaching departments	8,563	8,541	-0.3%	-22	
2 Teaching support services	1,950	1,960	0.5%	10	
3 Other support services	255	255	0.0%	0	
4 Administration and central services	2,700	2,800	3.7%	100	Additional temporary staffing re Procurement service; additional costs re
5 Premises	913	900	-1.4%	-13	Principalship
6 Catering and residences	0	0		0	
7 Other income generating activities	0	0		0	
8 Other staff costs	0	0		0	
9 Impact of FRS 102 pensions reported costs (less contributions paid included above)	0	0		0	
<b>Normal staff costs</b>	<b>14,381</b>	<b>14,456</b>	0.5%	75	
10 Exceptional restructuring costs	0	0		0	
<b>Total staff costs</b>	<b>14,381</b>	<b>14,456</b>	0.5%	75	

Additional breakdown of staff costs					
Salaries	11,149	11,208	0.5%	59	
Social security costs	1,090	1,095	0.5%	5	
Pension contributions	2,142	2,153	0.5%	11	
Non-cash pension adjustments - net service cost	0	0		0	
Non-cash pension adjustments - early retirement provision	0	0		0	
Severance payments	0	0		0	
<b>Total staff costs</b>	<b>14,381</b>	<b>14,456</b>	0.5%	75	

NON-STAFF COSTS

1 Exceptional costs - non-staff		0	0		0	
<b>2 Other operating expenses</b>						
a) Teaching departments	783	730	-6.8%	-53	In-year reduction in Budget allocation to departments	
b) Teaching support services	286	256	-10.5%	-30	In-year reduction in Budget allocation to departments	
c) Other support services	0	0		0		
d) Administration and central services	753	798	6.0%	45	Additional professional fees accrual off set by in-year reduction in Budget allocation to departments.	
e) General education	0	0		0		
f) Premises	1,028	1,039	1.1%	11		
(i) Maintenance	420	380	-9.5%	-40		
(ii) Utilities	436	500	14.7%	64	Expected further increase in utility costs in second half of the year	
(iii) Other	172	159	-7.6%	-13		
g) Catering and residences	0	0		0		
h) Other income generating activities	0	0		0		
i) Overspend on student support funds *	0	0		0		
j) Planned maintenance	0	0		0		
k) Movement on early retirement pension provision	0	0		0		
l) NPD	0	0		0		
m) Other	543	520	-4.2%	-23		
<b>Total other operating expenses</b>	<b>3,393</b>	<b>3,343</b>	-1.5%	-50		
<b>3 Depreciation</b>						
a) Government funded assets	1,063	1,063	0.0%	0	Assuming no material variance from FFR.	
b) Non-government funded assets	243	243	0.0%	0	Assuming no material variance from FFR.	
c) NPD funded assets	0	0		0		
<b>Total depreciation</b>	<b>1,306</b>	<b>1,306</b>	0.0%	0		
<b>4 Interest</b>						
a) On bank loans, overdrafts and other loans	1	1	0.0%	0		
b) Finance lease interest	0	0		0		
b) Other	0	0		0		
c) Net charge on pension scheme	89	0	-100.0%	-89	No assumption for MYR; cell locked	
d) NPD interest	0	0		0		
<b>Total interest</b>	<b>90</b>	<b>1</b>	-98.9%	-89		

\* Includes any overspend on bursaries, discretionary funds, and student funds received from SAAS, but excludes childcare funds.

South Lanarkshire College ~ SFC Planning Assumptions

ADJUSTED OPERATING RESULT	FFR 2022-23 £000	MYR 2022-23 £000	Variance %	Variance £	Explanation for variance
<b>Surplus/(deficit) before other gains and losses and share of operating surplus/deficit of joint ventures and associates</b>	<b>(333)</b>	<b>(175)</b>	-47.4%	158	
<b>Add:</b>					
Total depreciation (Government-funded, privately funded and NPD-funded assets) net of deferred capital grant release ( <i>incorporated colleges only</i> )	447	447	0.0%	0	
Exceptional non-restructuring items (e.g. impairment costs)	0	0		0	
Donation to Arms-Length Foundation (incorporated colleges only)	0	0		0	
Non-cash pension adjustment - net service cost	0	0		0	
Non-cash pension adjustment - ERP	0	0		0	
Non-cash pension adjustment - net interest costs	89	0	-100.0%	-89	
<b>Deduct:</b>					
Non-Government capital grants (e.g. ALF capital grant)	100	100	0.0%	0	
Exceptional income (if disclosed as exceptional in accounts)	0	0		0	
CBP allocated to loan repayments and other capital items ( <i>incorporated colleges only</i> )	0	0		0	
NPD payments to reduce NPD balance sheet debt	0	0		0	
<b>Adjusted operating result</b>	<b>103</b>	<b>172</b>	67.0%	69	
<b>Cash budget for priorities (<i>incorporated colleges</i>):</b>					
<b>Revenue priorities</b>					
Student support funding	0	0			
2015-16 pay award	0	0			
Voluntary severance	0	0			
Estates costs	0	0			
Other - please describe	0	0			
<b>Total impact on operating position</b>	<b>0</b>	<b>0</b>			
<b>Capital priorities</b>					
Loan repayments	0	0			
NPD / PFI repayments	0	0			
Estates costs	0	0			
Provisions pre 1 April 2014	0	0			
<b>Total capital</b>	<b>0</b>	<b>0</b>			
<b>Total cash budget for priorities spend</b>	<b>0</b>	<b>0</b>			

Balance Sheet		FFR	MYR	Variance	Variance	Explanation for variance
		2022-23	2022-23			
		£000	£000	%	£	
1 Non-current assets	a) Intangible assets	0	0			0
	b) Fixed assets	52,000	52,000	0.0%		0
	c) Investments	0	0			0
<b>Total non-current assets</b>		<b>52,000</b>	<b>52,000</b>	0.0%		0
2 Current assets	a) Stock	8	8	0.0%		0
	b) Debtors	1,900	1,900	0.0%		0
	c) Investments	0	0			0
	d) Cash and cash equivalents	2,239	2,239	0.0%		0
	e) Other (e.g. assets for resale)	0	0			0
<b>Total current assets</b>		<b>4,147</b>	<b>4,147</b>	0.0%		0
3 Creditors: amounts falling due within one year	a) Bank loans and external borrowing	0	0			0
	b) Bank overdrafts	0	0			0
	c) Lennartz creditor	0	0			0
	d) Obligations under finance leases and service concessions	0	0			0
	e) Payments received in advance	0	0			0
	f) Amounts owed to Funding Council	100	100	0.0%		0
	g) Obligations under PFI/NPD	0	0			0
	h) Deferred capital grant	760	760	0.0%		0
	i) Other creditors and accruals	1,323	1,164	-12.0%		-159
<b>Total creditors &lt; 1 year</b>		<b>2,183</b>	<b>2,024</b>	-7.3%		-159
<b>Share of net assets/(liabilities) in associate</b>		<b>0</b>	<b>0</b>			0
<b>NET CURRENT ASSETS/LIABILITIES</b>		<b>1,964</b>	<b>2,123</b>	8.1%		159
<b>TOTAL ASSETS LESS CURRENT LIABILITIES</b>		<b>53,964</b>	<b>54,123</b>	0.3%		159
4 Creditors: amounts falling due after more than one year	a) Local authority loans	0	0			0
	b) Bank loans and external borrowing	0	0			0
	c) Lennartz creditor	0	0			0
	d) Finance leases and service concessions	0	0			0
	e) Obligations under PFI/NPD	0	0			0
	f) Deferred capital grant	22,000	22,000			0
	g) Amounts repayable to Funding Council	0	0			0
	h) Other creditors	0	0			0
<b>Total creditors &gt;1 year</b>		<b>22,000</b>	<b>22,000</b>	0.0%		0
5 Provisions	a) Pension provisions	0	0			0
	b) Other	0	0			0
<b>Total provisions</b>		<b>0</b>	<b>0</b>			0
<b>TOTAL NET ASSETS</b>		<b>31,964</b>	<b>32,123</b>	0.5%		159
9 Restricted Reserves	a) Endowment Reserve	0	0			0
	b) Restricted Reserve	0	0			0
10 Unrestricted reserves	a) Income and Expenditure Reserve	7,722	7,881	2.1%		159
	b) Revaluation reserve	24,242	24,242	0.0%		0
11 Non-controlling interest		0	0			0
<b>TOTAL RESERVES</b>		<b>31,964</b>	<b>32,123</b>	0.5%		159

**SOUTH LANARKSHIRE COLLEGE**  
**TRADE UNION REPRESENTATION AT BOARD MEETINGS**  
**Report by Acting Principal**

Item 8

**1. Introduction**

As members will be aware the Scottish Government has proposed that recognised Trade Unions should have membership of college Boards of Management. However, as yet there is no timescale for the implementation of the necessary legislation which will be published following a review of the outcome of the recent consultation exercise conducted by the Scottish Government.

In these circumstances, and to develop further engagement with both EIS/Fela and Unison members, it is proposed that both recognised unions should be offered the opportunity to be *in attendance* at Board meetings subject to the approach set out below.

**2. Trade Union Attendance at Board Meetings**

As members will be aware the legislative framework for Incorporated Scottish Colleges provides for elected staff Board members but currently makes no specific provision for trade union representation on Boards of Management. Therefore, the Board will be required to consider if it wishes to provide Trade Union representatives with representation at its meetings and, if so, what form that representation would take.

The benefit of such an approach would be a further means of promoting a collegiate approach to the development of South Lanarkshire College at a time of radical change and providing Members with the opportunity to gain an additional perspective on a range of matters while strengthening Board/ staff relations.

In addition, agreeing to Trade Union representation on the Board would be a further demonstration of its commitment to transparency and openness in corporate governance.

Should the Board agree to Trade Union representation at its meetings it is proposed that the following principles should apply:

- i) the South Lanarkshire College EIS/FELA branch would nominate an individual to attend Board meetings on an annual basis (annually at the commencement of the academic year);
- ii) Unison members employed by South Lanarkshire College would nominate an individual from their number to attend Board meetings on an annual basis (annually at the commencement of the academic year);
- iii) the EIS/FELA and Unison nominees would undertake to work in a collegiate manner with all Board members for the greater good of South Lanarkshire College;
- iv) the EIS/FELA and Unison nominees would undertake not to raise matters at Board meetings which should more properly be considered within the consultation and negotiation procedures established by the College or under the auspices of national collective bargaining;
- v) the EIS/FELA and Unison nominees would be '*in attendance*', receiving papers for the meeting, speaking at the invitation of the Chair but having no voting rights;
- vi) the EIS/FELA and Unison nominees would be required to complete a Register of Interest pro forma which would be published on the College website in accordance with Board procedures; and
- vii) the EIS/FELA and Unison nominees would be required to undertake an induction programme delivered by the Acting Clerk to the Board and participate in other Board development events.

The Chair and Acting Principal have discussed these principles with EIS/FELA branch officials and Unison representatives who have endorsed them. It was agreed that as an interim measure both recognised trade unions would nominate an *in attendance* member for the period 9 March- 31 July 2023.

It is further proposed that should the Board agree to this proposal that the contribution which this representation makes to the work of the Board be reviewed by the Clerk to the Board and a report considered by members prior to the conclusion of academic year 2023/24.

### **3. Recommendations**

Members are recommended to:

1. note the contents of this report;
2. endorse the proposal to grant EIS/FELA and Unison nominees '*in attendance*' status at Board of Management meetings within the principles set out in section 2 of this report subject to the interim arrangement set out for the remainder of the current academic year;
3. request the Acting Clerk to the Board to inform EIS/FELA South Lanarkshire College branch officials of this decision;
4. request the Acting Clerk to the Board to inform the Unison South Lanarkshire College representative of this decision;
5. request the Acting Clerk to the Board/Governance Professional to arrange an appropriate induction programme for the EIS/FELA and Unison nominees; and
6. request the Acting Clerk to the Board/Governance Professional bring forward a paper on the contribution which this representation has made to the work of the Board prior to the conclusion of academic year 2023/24.

### **4. Formal Declaration of Interest**

This paper contains a formal declaration of interest on behalf of Anne Docherty as a consequence of her membership of Unison and S McManus as a consequence of her membership of EIS/Fela

**BOARD OF MANAGEMENT**

<b>DATE</b>	9 March 2023
<b>TITLE OF REPORT</b>	<b>TRADE UNION REPRESENTATION AT BOARD MEETINGS</b>
<b>REFERENCE</b>	
<b>AUTHOR AND CONTACT DETAILS</b>	Alan Sherry <a href="mailto:Alan.Sherry@slc.ac.uk">Alan.Sherry@slc.ac.uk</a>
<b>PURPOSE:</b>	To propose interim arrangements for Trade Union representation on the Board of Management
<b>KEY RECOMMENDATIONS/ DECISIONS:</b>	<p>Members are recommended to:</p> <ol style="list-style-type: none"> <li>1. note the contents of this report;</li> <li>2. endorse the proposal to grant EIS/FELA and Unison nominees '<i>in attendance</i>' status at Board of Management meetings within the principles set out in section 2 of this report subject to the interim arrangement set out for the remainder of the current academic year;</li> <li>3. request the Acting Clerk to the Board to inform EIS/FELA South Lanarkshire College branch officials of this decision;</li> <li>4. request the Acting Clerk to the Board to inform the Unison South Lanarkshire College representative of this decision;</li> <li>5. request the Acting Clerk to the Board/Governance Professional to arrange an appropriate induction programme for the EIS/FELA and Unison nominees; and</li> <li>6. request the Acting Clerk to the Board/Governance Professional bring forward a paper on the contribution which this representation has made to the work of the Board prior to the conclusion of academic year 2023/24.</li> </ol>
<b>RISK</b>	<ul style="list-style-type: none"> <li>• There are no new risks arising as a consequence of considering this report.</li> </ul>

<b>RELEVANT STRATEGIC AIM:</b>	<ul style="list-style-type: none"><li>• To engage, involve and support staff in the delivery of annual priorities through collaboration, professional development and wellbeing.</li></ul>
<b>SUMMARY OF REPORT:</b>	<ul style="list-style-type: none"><li>• The report sets out a proposal for interim arrangements for Trade Union representation on the Board of Management until the Scottish Government introduces legislation for Trade Union Board members.</li></ul>



Board of Management  
9<sup>th</sup> March 2023

**Adoption of New Code of Governance**

<b>DATE:</b>	December -2022
<b>AGENDA REF:</b>	09
<b>TITLE OF REPORT:</b>	<b>Revised Committee Terms of Reference</b>
<b>AUTHOR AND CONTACT DETAILS</b>	<a href="mailto:peter.scott@slc.ac.uk">Peter Scott – peter.scott@slc.ac.uk</a>
<b>PURPOSE:</b>	To present revised Committee Terms of Reference for approval and adoption.
<b>KEY RECOMMENDATIONS/ DECISIONS:</b>	That the Board formally adopt the attached revised Terms of Reference which reflect the mandatory change in voting majorities of the Audit & Risk Committee required by the New Code of Governance and give effect to the recommendations of the New Code of Conduct in respect of the other lead committees.
<b>RISK</b>	Failure to implement the new National Code of Governance for Scotland's Colleges would result in sanctions by the Scottish Ministers.
<b>RELEVANT STRATEGIC AIM:</b>	<ul style="list-style-type: none"> <li>• Highest standard of Governance.</li> <li>• Sustainable behaviours.</li> </ul>
<b>Rationale</b>	Compliance with the Code of Governance is mandatory for status as a centrally funded College.

### Board of Management

<b>DATE:</b>	February 2023
<b>TITLE OF REPORT:</b>	Contracts – 2 Tender Acceptances Item 10
<b>AUTHOR AND CONTACT DETAILS</b>	peter.scott.slc.ac.uk Governance Professional
<b>PURPOSE:</b>	To confirm and ratify two decisions of the Board
<b>KEY POINTS :</b>	<p>The Board is asked to:</p> <ul style="list-style-type: none"> <li>• Confirm and ratify the decision of the Board on 2<sup>nd</sup> February 2023 to authorise the Acting Principal to accept a tender to supply and instal Solar PV Systems</li> <li>• Confirm and ratify the decision of the Board on 22<sup>nd</sup> February 2023 to authorise the Acting Principal to accept a tender for workroom refurbishment</li> </ul>

### Background

Both tenders exceeded the delegated authority of the Principal and, to enable the works to proceed, the Governance Professional circulated the Board of Management with details of both contracts and obtained the consent of a clear majority of the Board to authorise the Acting Principal to accept both tenders on their behalf.

The tendering process for both had been fully compliant with the College's Procurement Policies and with earlier approval in principle.

**AUDIT and RISK COMMITTEE**

<b>DATE:</b>	6 February 2023
<b>TITLE OF REPORT:</b>	Agenda item 11 ~ Internal Audit
<b>AUTHOR AND CONTACT DETAILS</b>	Keith McAllister Keith.mcallister @slc.ac.uk
<b>PURPOSE:</b>	To present reports on internal audit assignments and the proposed internal audit plan for 2022/23.
<b>KEY RECOMMENDATIONS/ DECISIONS:</b>	<ul style="list-style-type: none"> <li>• Board to note and approve the management responses to the internal audit report on student support funds.</li> <li>• Board to review and, if appropriate, approve the work scheduled for the current year.</li> </ul>
<b>RISK</b>	<ul style="list-style-type: none"> <li>• That funds supplied to the College to support students are not accounted for appropriately</li> <li>• That there is a failure of financial controls</li> </ul>
<b>RELEVANT STRATEGIC AIMS:</b>	<ul style="list-style-type: none"> <li>• Highest quality education and support.</li> <li>• Sustainable behaviours.</li> </ul>
<b>SUMMARY OF REPORT:</b>	<p>The internal audit providers audited credit activity and the student support funds in September / October 2022. Despite there being an ongoing problem with the Funding Council's online FES software which caused a delay, the credits activity audit was concluded promptly and the report on this area of the audit was presented to the November ARC meeting.</p> <p>However, there were several issues with the student support funds audit which resulted in an audit process that was protracted into January. This was partly due to a breakdown in the link between the College's own student support funds software (Tequois) and SFC's own software. This was a problem that did cause issues with other colleges who also use this College's student support software.</p> <p>Whilst the audit did not reveal any problems with the assessment and payment of student support, there were issues concerning the reconciliation of the study expenses as recorded on the Tequois system to those journalled to the general ledger. The College will reconcile this on a regular basis in 2022/23 to ensure that the student support software reflects actual, rather than planned, expenditure.</p> <p>There was also an issue with the allocation of digital study expenses to bursary funded students. The College will be liaising with SFC to arrive at an acceptable method of allocation for 2022/23.</p>

# South Lanarkshire College

**Student Support Funds 2021/22**

**Internal Audit report No: 2022/09**

**Draft Issued: 27 January 2023**

**Final Issued:**



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# Management Summary

## Introduction

Colleges receive **Discretionary Funds** from the Scottish Funding Council (SFC) and the Student Awards Agency for Scotland (SAAS) to provide financial help for students where access to, or continuance in, further or higher education would otherwise be denied due to financial hardship. The maximum payable from both the Further Education Discretionary Fund and the Higher Education Discretionary Fund is normally £4,000 however, as in 2019/20 and 2020/21, this limit was relaxed for 2021/22 to allow additional support to be given to students financially impacted by COVID-19.

**Childcare Funds** sit alongside the Discretionary Funds to provide assistance with the cost of formal childcare expenses. From academic year 2011/12, childcare funds for higher education students formerly allocated to colleges by SAAS, were transferred to the SFC who now allocates childcare funding direct to colleges for all eligible further and higher education students. No limit is placed on the amounts individuals can access and colleges have the flexibility to determine award levels themselves. Priority must however be given to lone parents, part-time students and mature students when allocating funds from the Further Education Childcare Fund.

The Discretionary and Childcare Funds must be administered, and payments made, in accordance with SFC and SAAS guidelines.

**Bursary** funds are given to students at the discretion of a college to help maintain that student in their education beyond their compulsory school leaving date. An award can include allowances that cover a student's maintenance, travel and study costs. Colleges can also use bursary funds for allowances to cover costs incurred by a student due to an additional home, their dependants and / or special education needs.

Colleges must apply the terms of the National Policy for Further Education Bursaries, together with applicable legislation and supplementary letters issued by the SFC, when using the funds allocated to them for bursary purposes. The policy sets out the minimum criteria, maximum rates and minimum contribution scales that a college must apply in allocating bursary funds, however, a college may vary the terms of the policy by imposing additional eligibility criteria or conditions. Figures used within the policy to calculate a student's award may be varied, but only in order to reduce the value of an award, although where a college chooses to supplement bursary funds from its own resources it may use the additional resources as it sees fit.

**Education Maintenance Allowances (EMAs)** provide financial support for 16- to 19-year-olds from low income households who are attending non-advanced full-time education at school, college or are home educated. Eligible students receive £30 per week, which is targeted at young people from the lowest income families.

EMAs must be administered, and payments made, in accordance with SFC and Scottish Government guidelines.

## Audit Scope

For the 2021/22 academic year three specific fund statements were required for audit:

- Further Education Discretionary Fund, Further and Higher Education Childcare Fund and Bursary Return;
- Higher Education Discretionary and Childcare Fund; and
- Education Maintenance Allowance Return.

### Audit Objectives

The audit objectives were to ensure that:

- The College complies with the terms, conditions and guidance notes issued by SFC, SAAS and the Scottish Government;
- Payments to students are genuine claims for hardship, bursary or EMA, and have been processed and awarded in accordance with College procedures; and
- The information disclosed in each of the returns for the year ending 31 July 2022, is in agreement with underlying records.

### Audit Approach

The audit approach included:

- Reviewing new guidance from SFC, SAAS and the Scottish Government, including additional guidance issued in response to the COVID-19 pandemic, and identifying internal procedures;
- Agreeing income to letters of award;
- Reconciling expenditure through the financial ledger to returns, investigating reconciling items;
- Reviewing College analysis spreadsheets for large or unusual items, obtaining explanations where necessary; and
- Carrying out detailed audit testing, on a sample basis, on expenditure from the funds.

Audit guidance issued by the SFC was utilised.

### Action Plan

The action that we consider necessary on each issue is highlighted in the text for clarity and an action plan for implementation of these recommendations can be found in section 2.

To aid the use of the action plan, our recommendations have been graded to denote the level of importance that should be given to each one. These gradings are as follows:

<b>Priority 1</b>	Issue subjecting the College to material risk and which requires to be brought to the attention of management and the Audit Committee.
<b>Priority 2</b>	Issue subjecting the College to significant risk and which should be addressed by management.
<b>Priority 3</b>	Matters subjecting the College to minor risk or which, if addressed, will enhance efficiency and effectiveness.

### Findings and Conclusions

#### ***FE Discretionary Fund, FE & HE Childcare Fund and Bursary Return***

In our covering letter to the SFC enclosing the audited FE Discretionary Fund, FE & HE Childcare Fund and Bursary Return we made a number of observations as noted below.

#### **FES Return**

In general, our audit work noted weaknesses in the College’s administration of the support funds. Our initial reconciliation of the FES data to the ledgers noted significant differences for each of the funds. FES data integrity issues were a factor in those differences, which the College noted as being issues with the Tequois system. The College advised that they escalated the issues to the SFC and the software supplier prior to the end of the year. However, other factors giving rise to the differences included transfers between funds and mis-postings of materials costs in the ledger not initially disclosed at the time of audit.



### Findings and Conclusions (continued)

After submitting the original FES data for audit and to the SFC in October 2022, the College identified that the data reported was incomplete and that expenditure of £317,024 had been omitted due to an internal system error. The breakdown of this is as follows:

- Bursary Maintenance £73,375;
- Bursary Study expenses £10,909;
- Bursary Travel expenses £23,016;
- FE Discretionary Fund £181,370;
- Childcare, lone parent £21,554; and
- Childcare, Other award £6,800.

The College then further identified that HE travel awards of £289,820 had also been incorrectly included in the FES data for Bursary Travel expenses. Our understanding is that both errors were reported to the SFC after the FES system had been closed and therefore the SFC was unable to generate a new FES summary report. The College has provided the SFC with the data files relating to both issues. The SFC accepted the original FES summary report manually amended by the College with the new values in November 2022, as supported by the additional data files sent to SFC.

However, after additional checks undertaken by the College a further £39,654 additional Childcare expenditure not included in the original FES data (lone parent £15,570, other award £24,084) was then reported to the SFC in December 2022.

Our audit testing of Bursary awards identified that expenditure of £6,600 had been counted twice in the FES data in error for one Special Educational Needs (SEN) student, both within SEN and Travel.

The final FES summary report signed by the Depute Principal on 11 January 2023 has been further manually amended by the College to include additional Childcare of £31,923 (lone parent £15,570, Other award £16,353) and to deduct the £6,600 from Travel as noted above. The balance of the £39,654 Childcare noted above (£7,731 Other award) has been omitted from the January 2023 manual adjustment in error.

#### Bursary Study Expenses

Our audit testing noted a difference of £25,786 between study costs awarded to students per the FES and study costs paid per the ledger (total awarded being higher than the ledger). Through our audit testing we were unable to identify the exact nature of the additional study awards or confirm how the amount was apportioned to individual students. On discussion with the College, and following an internal review, the College identified that this related to digital study materials (e.g. systems software licensing and digital application) used by the College. These are resources purchased centrally by the College for use by all students. As the College was unable to provide a robust basis for apportioning costs to Bursary students the College has agreed that the Bursary share of this expenditure is overstated by £25k and will make arrangements to repay this to the SFC during 2022/23. The College will discuss with the SFC how best to account for the Bursary share of centralised digital resources in future years.

For audit year 2020/21, the College's previous internal auditors noted in their report *Review of Student Support Funds and EMA 2020/21*, that the year-end reconciliation of bursary funding revealed the College had overclaimed bursary funding by £59,951, due to the amount submitted on the return being higher than the expenditure actually incurred. It was recommended that the College perform regular reconciliations of the amounts claimed in respect of Student Support Funds to reflect actual expenditure. Our audit findings for 2021/22, summarised in the covering letter extracts reproduced above, noted that similar reconciliation issues occurred in 2021/22.

#### Recommendation

**R1** As part of the preparation for the submission of the FES Return for academic year 2022/23, the College should ensure that a full and complete reconciliation of the FES return to the underlying FES data and ledgers is undertaken in advance of the FES submission to the SFC and in preparation for the audit start.



## Findings and Conclusions (continued)

### Recommendation

**R2** The College should undertake a review to identify digital study materials and determine a basis for apportioning costs to Bursary students, ensuring that the cost of any core teaching materials that should be covered by the core grant and any costs relating to non-Bursary students are excluded.

In addition to the points raised in our covering letter to the SFC, the following issue was noted during the course of our audit:

As part of our audit testing of Bursary study material costs, we sample tested unit costs of study materials per purchase invoices to the amounts awarded to students for study as part of the total Bursary awards and noted that distribution lists of the students receiving study materials purchased centrally by the College were not always available for audit.

### Recommendation

**R3** The College should ensure that distribution lists identifying Bursary students in receipt of study materials are maintained for each purchase invoice charged to the Bursary fund.

### *HE Discretionary and Childcare Fund*

In our covering letter to SAAS enclosing the audited HE Discretionary and Childcare Fund Return we noted one observation arising from our audit work. The College does not operate a separate interest bearing bank account for the HE Discretionary Fund and all transactions are through the College's main bank account. The College uses the Government banking service for all of its financial transactions, on instruction from the Scottish Funding Council, and this account does not pay interest.

### *EMA Return*

A reservation was made in our Auditors' Report to the SFC for the EMA Return. The College has made Admin claims totalling £3,150 on the monthly EMA returns for 2021/22, which agrees to the year-end statement. We established that the College had 125 accepted EMA students for the year and therefore the total Admin claim should only have been £1,875, giving rise to an over-claim of £1,275. The error arose due to the Admin claims made in December 2021 and January 2022 being duplicated on the monthly return for February 2022.

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Copies of the fund statements and audit certificates are provided at appendices I to III of this report.

## Acknowledgments

We would like to take this opportunity to thank the staff at the College who helped us during our audit.



## Action Plan

Page Ref.	Recommendation	Grade	Management Comments	Agreed Y/N	Responsible Officer For Action	Agreed Completion Date
3	<p><b>FE Discretionary Fund, FE &amp; HE Childcare Fund and Bursary Return</b></p> <p><b>FES Return</b></p> <p><b>R1</b> As part of the preparation for the submission of the FES Return for academic year 2022/23, the College should ensure that a full and complete reconciliation of the FES return to the underlying FES data and ledgers is undertaken in advance of the FES submission to the SFC and in preparation for the audit start.</p>	2	This will be undertaken in February 2023 and monthly thereafter.	Y	Head of MIS	28 Feb 2023
4	<p><b>Bursary Study Expenses</b></p> <p><b>R2</b> The College should undertake a review to identify digital study materials and determine a basis for apportioning costs to Bursary students, ensuring that the cost of any core teaching materials that should be covered by the core grant and any costs relating to non-Bursary students are excluded.</p>	2	The College will analyse digital study costs and prepare a system of apportionment that differentiates between support provided to bursary-funded and non bursary-funded students.	Y	Head of Finance	31 Mar 2023
4	<p><b>R3</b> The College should ensure that distribution lists identifying Bursary students in receipt of study materials are maintained for each purchase invoice charged to the Bursary fund.</p>	3	The College will analyse all study costs mid-year and reconcile back to Cost of Course forms, adjusting the Tequios system where required, and reconciling this to the general ledger	Y	Head of Finance	31 Mar 2023



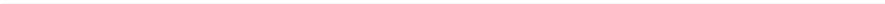
**Appendix I - Further Education Discretionary Fund,  
Further and Higher Education Childcare Fund and  
Bursary Return and Audit Certificate**



**Appendix II - Higher Education Discretionary and  
Childcare Fund Return and Audit Certificate**



**Appendix III – Education Maintenance Allowance Return and Audit Certificate**



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Our ref: SOUT348/DA/STI

Your ref:

Student Awards Agency for Scotland  
Saughton House  
Broomhouse Drive  
Edinburgh  
EH11 3UT

21 December 2022

Dear Sirs

**South Lanarkshire College  
Higher Education Audited Fund Accounts Return 2021/22**

On behalf of our above named client, we attach the audited HE Fund Accounts Return for the academic year 2021/22.

Although we have not raised any reservations in our Auditor's Report we have one observation to make arising from our audit work. The College does not operate a separate interest bearing bank account for the HE Discretionary Fund and all transactions are through the College's main bank account. The College uses the Government banking service for all of its financial transactions, on instruction from the Scottish Funding Council, and this account does not pay interest.

For clarification, please note that the 'Virements / transfer from other funds' totalling £49,600.00 in row e of the Return relates to a transfer made by the College from Further Education Coronavirus Discretionary Funds.

Should you have any queries regarding the attached please do not hesitate to contact us.

Yours faithfully



Stuart Inglis  
Director  
For and on behalf of Henderson Loggie LLP  
Chartered Accountants  
Dundee Office  
stuart.inglis@hlca.co.uk

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**AUDITED FUND ACCOUNTS RETURN 2021/22**  
**DISCRETIONARY FUND AND/OR CHILDCARE FUND (if appropriate)**

**Income and Expenditure**

Name of institution: South Lanarkshire College

	Undergraduate Discretionary Fund	Postgraduate Discretionary Fund	Childcare Fund (HE only)	COVID-19 Discretionary Fund	TOTAL	ADVICE NOTES
	£	£	£	£	£	
a	-	-	-	-	-	
b	140,070.00	-	-	-	140,070.00	Received in two payments 70% (Jul 21) and 30% (Feb 22)
c	-	-	-	153,035.00	153,035.00	Received June 2021
d	-	-	-	-	-	
e	5,955.00	-	-	43,645.00	49,600.00	
f	146,025.00	-	-	196,680.00	342,705.00	

**Validity Checks**

	Undergraduate Discretionary Fund	Postgraduate Discretionary Fund	Childcare Fund (HE only)	COVID-19 Discretionary Fund	TOTAL
	£	£	£	£	£
g	146,025.00	-	-	196,680.00	342,705.00
h	-	-	-	-	-
i	-	-	-	-	-
j	-	-	-	-	-
k	146,025.00	-	-	196,680.00	342,705.00

NAME: A. Slony SIGNED:  DATE: 14/12/22  
 (Principal)

**AUDITOR'S REPORT**

We have examined the books and records of the above institution and have obtained such explanations and carried out such tests as we considered necessary. On the basis of our examination and of the explanations given to us we report that ~~the reservations set out in our letter dated~~ the information set out above is in agreement with the underlying records and in our opinion is in accordance with the relative statutory requirements. We are satisfied that the systems and controls of the administration and disbursement of these funds are adequate, and that an interest bearing account or accounts was in operation for the Funds which are separate from the institution's account.

\* Delete if not applicable

APPOINTED AUDITOR: HENDERSON LOGGIE LLP SIGNED:  DATE: 21 DECEMBER 2022

DIRECTOR  
 FOR AND ON BEHALF OF HENDERSON LOGGIE LLP, CHARTERED ACCOUNTANTS

# AUDITED FUND ACCOUNTS RETURN 2021/22

## REPORT ON FUNDS EXPENDITURE

Name of institution: South Lanarkshire College

	Undergraduate Discretionary Fund		Postgraduate Discretionary Fund		Childcare Fund Full Time	COVID-19 Fund	TOTAL
	Full Time	Part Time	Full Time	Part Time			
	£	£	£	£	£	£	£
a General living expenses	146,025.00	-	-	-	-	196,680.00	342,705.00
b Travel	-	-	-	-	-	-	-
c Childcare	-	-	-	-	-	-	-
d Bursary /scholarship	-	-	-	-	-	-	-
e Short-term loans not repaid in the academic year	-	-	-	-	-	-	-
f Disability diagnosis costs	-	-	-	-	-	-	-
g Equipment	-	-	-	-	-	-	-
h Audit	-	-	-	-	-	-	-
i Advertising and publicity	-	-	-	-	-	-	-
j Other administration costs	-	-	-	-	-	-	-
<b>k Total (= grand total of (i) from the Income &amp; Expenditure accounts return)</b>	<b>146,025.00</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>196,680.00</b>	<b>342,705.00</b>

*Validity Checks*

NAME: Alan Skerry SIGNED: *Alan Skerry* DATE: 14/12/22  
 (Principal)

# AUDITED FUND ACCOUNTS RETURN 2021/22

## REPORT ON STUDENT NUMBERS

Name of institution: South Lanarkshire College

	Undergraduate Discretionary Fund		Postgraduate Discretionary Fund		Childcare Fund (HE only)		COVID-19 Fund		TOTAL
	Full Time	Part Time	Full Time	Part Time	Full Time	Part Time	Full Time	Part Time	
a Total number of students applying for assistance (= b+c)	111	-	-	-	-	-	88	88	199
b Total number of students assisted	76	-	-	-	-	-	88	88	164
c Total number of students refused assistance (= a-b)	35	-	-	-	-	-	-	-	35

For COVID Fund only: of the students in b above, how many were:

d International Students									
e Nursing Students									

### DETAIL OF STUDENT NUMBERS

f General living expenses	76	-	-	-	-	-	88	88	164
g Travel	-	-	-	-	-	-	-	-	-
h Childcare	-	-	-	-	-	-	-	-	-
i Bursary /scholarship	-	-	-	-	-	-	-	-	-
j Short-term loans not repaid in the academic year	-	-	-	-	-	-	-	-	-
k Disability diagnosis costs	-	-	-	-	-	-	-	-	-
l Equipment	-	-	-	-	-	-	-	-	-

Validity Checks

NAME: Alan Sherry SIGNED:  DATE: 14/12/22

*Please note, a student may be assisted in more than one category therefore the total number of students assisted may not equal the sum of students shown in individual categories.*

Our ref: SOUT348/DA/STI

Your ref:

Scottish Funding Council  
Apex 2  
97 Haymarket Terrace  
Edinburgh  
EH12 5HD

27 January 2023

Dear Sirs

**South Lanarkshire College  
Discretionary Fund, Childcare Fund and Bursary Return 2021/22**

On behalf of our above named client, we attach the audited Discretionary Fund, Childcare Fund and Bursary Return for the academic year 2021/22.

We have the following observations to make as referred to in our audit report.

**FES Return**

In general, our audit work noted weaknesses in the College's administration of the support funds. Our initial reconciliation of the FES data to the ledgers noted significant differences for each of the funds. FES data integrity issues were a factor in those differences, which the College noted as being issues with the Tequois system. The College advised that they escalated the issues to the SFC and the software supplier prior to the end of the year. However, other factors giving rise to the differences included transfers between funds and mis-postings of materials costs in the ledger not initially disclosed at the time of audit.

After submitting the original FES data for audit and to the SFC in October 2022, the College identified that the data reported was incomplete and that expenditure of £317,024 had been omitted due to an internal system error. The breakdown of this is as follows:

- Bursary Maintenance £73,375;
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The College then further identified that HE travel awards of £289,820 had also been incorrectly included in the FES data for Bursary Travel expenses. Our understanding is that both errors were reported to the SFC after the FES system had been closed and therefore the SFC was unable to generate a new FES summary report. The College has provided the SFC with the data files relating to both issues. The SFC accepted the original FES summary report manually amended by the College with the new values in November 2022, as supported by the additional data files sent to SFC.

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The final FES summary report signed by the Depute Principal on 11 January 2023 has been further manually amended by the College to include additional Childcare of £31,923 (lone parent £15,570, other award £16,353) and to deduct the £6,600 from Travel as noted above. The balance of the £39,654 Childcare noted above (£7,731 other award) has been omitted from the January 2023 manual adjustment in error.

#### **Bursary Study Expenses**

Our audit testing noted a difference of £25,786 between study costs awarded to students per the FES and study costs paid per the ledger (total awarded being higher than the ledger). Through our audit testing we were unable to identify the exact nature of the additional study awards or confirm how the amount was apportioned to individual students. On discussion with the College, and following an internal review, the College identified that this related to digital study materials (e.g. systems software licensing and digital application) used by the College. These are resources purchased centrally by the College for use by all students. As the College was unable to provide a robust basis for apportioning costs to Bursary students the College has agreed that the Bursary share of this expenditure is overstated by £25k and will make arrangements to repay this to the SFC during 2022/23. The College will discuss with the SFC how best to account for the Bursary share of centralised digital resources in future years.

Should you have any queries regarding the attached please do not hesitate to contact us.

Yours faithfully

Stuart Inglis  
Director  
For and on behalf of Henderson Loggie LLP  
Chartered Accountants  
Dundee Office  
stuart.inglis@hlca.co.uk

# South Lanarkshire College

## Internal Audit Annual Plan 2022/23

Internal Audit Report No: 2023/01

Draft issued: 26 January 2023

Final issued:



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## Introduction

- 1.1 The purpose of this document is to present for consideration by management and the Audit & Risk Committee the annual operating plan for the year ended 31 July 2023. The plan is based on the proposed allocation of audit days for 2022/23 as set out in the Internal Audit Strategic Plan 2021 to 2024. The preparation of the Strategic Plan involved dialogue with senior management and the Chair of the Audit and Risk Committee.
- 1.2 A copy of the Internal Audit Strategic Plan is included at Section 2 of this report.
- 1.3 At Section 3 of this report we have set out the outline scope and objectives for each audit assignment to be undertaken during 2022/23, together with the proposed audit approach. The outline scopes will be refined and finalised after discussion with responsible managers in each audit area prior to each audit.
- 1.4 At the meeting of 5 September 2022, it was agreed by the Audit & Risk Committee that one of the six days allocated for Corporate Governance in 2022/23 should be accelerated to allow a report on the Governance Improvement Plan to be produced and therefore this day has been moved from 2022/23 to 2021/22.
- 1.5 Separate reports will be issued for each assignment with recommendations graded to reflect the significance of the issues raised. In addition, audit findings will be assessed and graded on an overall basis to denote the level of assurance for the area reviewed and therefore the priority that should be given to each report.



## Strategic Plan 2021 to 2024

	Category	Priority	Actual 21/22 Days	Planned 22/23 Days	Planned 23/24 Days
<b>Reputation</b>					
<i>Publicity and Communications</i>	Gov	M/H		5	
<i>Health and Safety / Wellbeing</i>	Gov	H	5		
<b>Student Experience</b>					
<i>Curriculum</i>	Perf	M			
<i>Quality</i>	Perf	M		6	
<i>Student support</i>	Perf	M			5
<i>Student recruitment and retention</i>	Fin/Perf	M			
<i>Student welfare – Duty of Care</i>	Perf	M			
<i>Students Association</i>	Gov	L			
<b>Staffing Issues</b>					
<i>Staff recruitment and retention</i>	Perf	L/M		5	
<i>Staff development</i>	Perf	M			
<i>Payroll</i>	Fin	M/H			6
<i>Teaching staff utilisation</i>	Perf / Fin	M			
<b>Estates and Facilities</b>					
<i>Building maintenance</i>	Fin/Perf	M			
<i>Estates strategy / capital projects</i>	Fin/Perf	M			
<i>Space management / room utilisation BPR</i>	Perf	M			6
<i>Asset / fleet management</i>	Perf	M			
<b>Financial Issues</b>					
<i>Budgetary control</i>	Fin	M/H		5	
<i>Student invoicing and debt management</i>	Fin	M			
<i>General ledger</i>	Fin	L			
<i>Procurement and creditors / purchasing</i>	Fin	M/H			5
<i>Debtors / Income</i>	Fin	M			
<i>Cash &amp; Bank / Treasury management</i>	Fin	M			
<i>Fraud Prevention, Detection and Response</i>	Fin	M			
<i>Financial sustainability</i>	Fin	M			



# Strategic Plan 2021 to 2024

## Proposed Allocation of Audit Days

	Category	Priority	Actual 21/22 Days	Planned 22/23 Days	Planned 23/24 Days
<b>Commercial Issues</b>					
Business Development	Fin/Perf	M			
External Activities	Gov/Fin/Perf	M			
<b>Organisational Issues</b>					
Risk Management	Perf	H	5		
Business Continuity	Perf	M			
Corporate Governance	Gov	M	1	5	
Corporate Planning	Perf	M			
Performance reporting / KPIs	Perf	M			
Partnership Working	Gov/Perf	M			
Equalities	Gov	L			
Environmental Sustainability	Gov/Perf	M			
<b>Information and IT</b>					
Cyber security	Perf	M/H	5		
Data protection / records management	Gov	H			
FOI	Gov	M			
ICT and Digital Transformation	Perf	M/H			
Strategy implementation					
Licencing	Perf	L			
<b>Other Audit Activities</b>					
Credits Audit	Required		6	6	6
Bursary, Childcare and Hardship	Required		5	5	5
Funds Audit					
EMA Audit	Required		2	2	2
Management and Planning )			3	3	3
External audit / SFC )					
Attendance at A&R Committee )					
Follow-up reviews			2	2	2
Audit Needs Assessment			2		
<b>Total</b>			36	44	40
			=====	=====	=====

### Key

**Category:** Gov – Governance; Perf – Performance; Fin – Financial

BPR = Business process review



# Outline Scope and Objectives

<b>Audit Assignment:</b>	Publicity and Communications
<b>Priority:</b>	High
<b>Fieldwork Timing</b>	TBC
<b>Audit &amp; Risk Committee Meeting:</b>	TBC
<b>Days:</b>	5

### Scope of the Audit

This audit will focus on the systems in place within the College for the management of positive and negative publicity externally, and internal communication.

### Objectives of the Audit

The objectives of the audit will be to ensure that:

- policies, procedures and systems in place assist the College to maximise the benefits from positive publicity and effectively manage negative publicity, reducing the potential risk of damage to the College’s reputation; and
- appropriate strategies, procedures, ICT and other systems are in place to assist and encourage internal communication and joint working between campuses and Academic Faculties / Support Services.

### Our audit approach will be:

The senior managers who oversee marketing and communications activity within the College, and a sample of other College managers and staff, will be interviewed to determine current working practices.

The College’s internal and external communication strategies, policies and procedures will be reviewed, and their content benchmarked against good practice, identifying any areas requiring improvement.

The results of recent staff surveys relevant to internal communication will be reviewed to ensure that issues raised are being addressed where appropriate.



**Internal Audit Annual Plan 2022/23 - DRAFT**

<b>Audit Assignment:</b>	Quality assurance
<b>Priority:</b>	Medium
<b>Fieldwork Timing</b>	TBC
<b>Audit Committee Meeting:</b>	TBC
<b>Days:</b>	6

**Scope**

Internal verification is a crucial element of both the College’s and awarding bodies quality assurance processes. It ensures that all candidates entered for the same qualification are assessed fairly and consistently to the specified national standard.

The College must ensure that internally-assessed qualifications are credible with staff, students, partner organisations, and regulatory bodies. This requires an effective quality assurance system within the College. The College is responsible for operating an effective and documented internal quality assurance system. This is an essential requirement of awarding bodies, including the Scottish Qualifications Authority (SQA).

The scope of this assignment will be to carry out a review of the SLC quality procedures for internal assessment and verification of units and programmes made on behalf of awarding bodies, with a view to providing assurance that the procedures reflect good practice, and identifying opportunities for procedural improvements and efficiencies.

**Objectives**

The objective of this review will be to ensure that the College can demonstrate that:

- the internal verification model is valid and accords with guidance and good practice published by awarding bodies such as the SQA;
- the assessment process ensures that sufficient evidence is obtained in order to demonstrate that students have met the national standard for the qualification;
- all assessors have access to awarding bodies standards, are familiar with the standards and can evidence that they have been applied;
- assessors reach accurate and consistent assessment judgements for the same qualification for all candidates in line with the national standard of the qualification;
- systems are in place which facilitate collaboration between assessors and internal verifiers, ensuring that standards are met across the College, whilst maintaining appropriate segregation and access to results;
- systems are in place which allow quality concerns to be captured and addressed; and
- record-keeping and resulting of students is accurate.

**Our audit approach will be:**

Through one-to-one interviews with key staff, review of the College’s quality procedures and internal verification documentation we will identify:

- internal stakeholder needs;
- opportunities for removing inefficiencies from the internal verification process; and
- ways to improve the process to maintain compliance with awarding bodies guidance, where appropriate.



<b>Audit Assignment:</b>	Staff Recruitment, Retention and Succession Planning
<b>Priority:</b>	Medium / High
<b>Fieldwork Timing</b>	TBC
<b>Audit Committee Meeting:</b>	TBC
<b>Days:</b>	5

**Scope**

This audit will consider the adequacy and effectiveness of policies and procedures for staff recruitment and selection and the processes in place that contribute to the retention and engagement of staff, and arrangements for succession planning.

**Objectives**

The objective of our audit will be to obtain reasonable assurance that systems are sufficient to ensure that:

- there are appropriate formal policies and procedures relating to recruitment and selection which meet legal requirements, including those regarding equality and diversity, and these are being followed in practice;
- the College has appropriate policies and processes in place that contribute to the retention of staff, including good internal communication and employee engagement, reward and recognition, and ongoing training which are in line with good practice and being effectively implemented; and
- appropriate succession planning arrangements are in place.

**Our audit approach will be:**

The College’s policies and procedures will be reviewed, and the Head of Human Resources and other relevant managers and staff will be interviewed. Walk through and detailed compliance testing will be carried out to consider the overall efficiency and effectiveness of the procedures and the extent to which risks are being identified and managed regarding the above objectives.



**Internal Audit Annual Plan 2022/23 - DRAFT**

<b>Audit Assignment:</b>	Budgetary Control
<b>Priority:</b>	Low / Medium
<b>Fieldwork Timing</b>	TBC
<b>Audit Committee Meeting:</b>	TBC
<b>Days:</b>	5

**Scope**

This audit will look at the College’s budgetary control practices and protocols. It will specifically consider budget monitoring procedures in place centrally and within a sample of Academic Schools and Support Services, and also cash flow reporting to senior management and the Board, and SFC.

**Objectives**

The objectives of the audit will be to ensure that:

- budgets are controlled in accordance with the Financial Regulations and Procedures;
- budget setting is linked to corporate and operational planning processes and budgets are revisited when plans change or funding targets are not achieved;
- information is available to management in Academic Schools and Support Services which is up-to-date and in a format that can be easily understood;
- budget holders have the necessary skills for managing budgets;
- budget variations are reported and acted upon;
- there is accurate cash flow reporting; and
- senior management and the Board regularly review the College’s overall financial position.

**Our audit approach will be:**

The Head of Finance and a sample of budget holders in Academic Schools and Support Services will be interviewed, and reports reviewed, to determine current working practices in budget monitoring, and the information and training provided to budget holders.

The processes used to prepare cash flow reports for senior management, the Board, and the SFC will be determined through discussion with Finance staff and review of supporting working papers.

We will also establish and review the budget monitoring information provided to the College Management Team and Board.



**Internal Audit Annual Plan 2022/23 - DRAFT**

<b>Audit Assignment:</b>	Corporate Governance
<b>Priority:</b>	Low / Medium
<b>Fieldwork Timing</b>	TBC
<b>Audit Committee Meeting:</b>	TBC
<b>Days:</b>	5

**Scope**

The Code of Good Governance for Scotland’s Colleges (‘the Code’), published in August 2016, contains the following requirement:

“The board must keep its effectiveness under annual review and have in place a robust self-evaluation process. There should also be an externally facilitated evaluation of its effectiveness at least every three years. The board must send its self-evaluation (including an externally facilitated evaluation) and board development plan (including progress on previous year’s plan) to its funding body and publish them online”.

The scope of this review will be to conduct an independent review of the work completed by the College to progress issued raised in the Externally Facilitated Effectiveness Review described in the Code, in line with the Guidance Note issued by the College Development Network (CDN). The review will cover the five sections of the Code namely:

- Section A - Leadership and Strategy
- Section B - Quality of the Student Experience
- Section C - Accountability
- Section D - Effectiveness
- Section E - Relationships and Collaboration

**Objectives**

The objective of this review will be to complement the work already completed by the College, through discussions with Board members, in order to meet the requirements of the CDN Guidance Note which sets out the specific requirement to provide a ‘basic level of assurance relating to core governance requirements plus an agreed list of actions on areas that board members wish to develop their governance further’.



Audit Assignment:

Corporate Governance (Continued)

***Our approach will be:***

We will conduct interviews with key senior managers and a selection of Board Members to assess the extent to which the College is discharging the duty to provide a 'basic level of assurance relating to core governance requirements plus an agreed list of actions on areas that board members wish to develop their governance further'.



<b>Audit Assignment:</b>	Credits Audit
<b>Priority:</b>	Required annual audit
<b>Fieldwork Timing</b>	August / September 2023
<b>Audit &amp; Risk Committee Meeting:</b>	November 2023
<b>Days:</b>	8

**Scope**

Credits Audit Guidance, issued by SFC, requests that colleges obtain from their auditor’s assurances as to the reasonableness of procedures used in the compilation of the Credits related element of the student activity data for the academic year (FES return).

**Objectives**

To obtain reasonable assurance that:

- the student data returns have been compiled in accordance with all relevant guidance;
- adequate procedures are in place to ensure the accurate collection and recording of the data; and
- the FES return on student activity data contains no material misstatements.

**Our audit approach will be:**

Through discussion with College staff, and review of relevant documents, we will record the systems and procedures used by the College in compiling the returns to SFC and assess and test their adequacy. We will carry out further detailed testing, as necessary, to enable us to conclude whether the systems and procedures are working satisfactorily as described to us.

Detailed analytical review will be carried out obtaining explanations for significant variations from previous year’s activity.

Our testing will be designed to cover the major requirements for recording and reporting fundable activity identified at Annex C to the SFC Credits Audit Guidance and the key areas of risk identified in Annex D of the guidance.

We will also review the final error report from the FES on-line checks.



**Internal Audit Annual Plan 2022/23 - DRAFT**

<b>Audit Assignment:</b>	Bursary, Childcare and Hardship Funds Audit
<b>Priority:</b>	Required audit
<b>Fieldwork Timing</b>	August / September 2023
<b>Audit &amp; Risk Committee Meeting:</b>	November 2023
<b>Days:</b>	6

**Scope of the Audit**

We will carry out an audit on the College’s student support funds for the year ended 31 July 2023 and provide an audit certificate.

**Objectives of the Audit**

The audit objectives will be to obtain reasonable assurance that:

- the College complies with the terms, conditions and guidance notes issued by the SFC and SAAS;
- payments to students are genuine claims for hardship, childcare or bursary, and have been processed and awarded in accordance with College procedures; and
- the information disclosed in each of the returns for the year ended 31 July 2023 is in agreement with underlying records.

**Our audit approach will be:**

- Reviewing new guidance from the SFC and SAAS and identifying internal procedures through discussion with College staff, and review of relevant documents;
- Agreeing income to letters of award;
- Reconciling expenditure through the financial ledger to returns, investigating reconciling items;
- Reviewing for large or unusual items, obtaining explanations where necessary; and
- Carrying out detailed audit testing, on a sample basis, on expenditure from the funds.

Audit guidance issued by SFC will be utilised. This includes ‘Areas of risk and audit considerations’ for bursaries and for the discretionary funds and childcare.



**Internal Audit Annual Plan 2022/23 - DRAFT**

<b>Audit Assignment:</b>	EMA Audit
<b>Priority:</b>	Required audit
<b>Fieldwork Timing</b>	August / September 2023
<b>Audit &amp; Risk Committee Meeting:</b>	November 2023
<b>Days:</b>	2

***Scope of the Audit***

Guidance on the audit requirements for Education Maintenance Allowances (EMAs), issued by SFC, includes the requirement to have a separate audit of EMAs on an academic year (August to July) basis.

***Objectives of the audit***

To obtain reasonable assurance that:

- the information set out in the EMA returns is in agreement with the underlying records;
- the College used the funds in accordance with SFC’s conditions and the principles of the EMA programme; and
- the systems and controls for the administration and disbursement of the funds are adequate.

***Our audit approach will be:***

Through discussion with Finance staff, and review of relevant documents, we will record the systems and procedures used by the College in compiling the EMA returns and assess and test their adequacy. We will carry out further detailed testing, as necessary, to enable us to conclude that the systems and procedures are working satisfactorily as described to us.



**Internal Audit Annual Plan 2022/23 - DRAFT**

<b>Audit Assignment:</b>	Follow-Up Reviews
<b>Priority:</b>	Various
<b>Fieldwork Timing</b>	July/August 2023
<b>Audit &amp; Risk Committee Meeting:</b>	September 2023
<b>Days:</b>	2

**Scope**

This review will cover reports from the 2021/22 internal audit programme and reports from earlier years where previous follow-up identified recommendations outstanding.

**Objectives**

To establish the status of implementation of recommendations made in previous internal audit reports.

**Our audit approach will be:**

- for the recommendations made in previous reports ascertain by enquiry or sample testing, as appropriate, whether they have been completed or what stage they have reached in terms of completion and whether the due date needs to be revised; and
- prepare a summary of the current status of the recommendations for the Audit & Risk Committee.



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## BOARD OF MANAGEMENT

<b>DATE</b>	9 March 2023
<b>TITLE OF REPORT</b>	Audit Monitor Report
<b>REFERENCE</b>	<b>Agenda item 12</b>
<b>AUTHOR AND CONTACT DETAILS</b>	Keith McAllister – Head of Finance keith.mcallister@slc.ac.uk
<b>PURPOSE:</b>	To present an update on the work that has been undertaken by the College to address previous audit recommendations.
<b>KEY RECOMMENDATIONS/ DECISIONS:</b>	The Board is asked to: <ul style="list-style-type: none"> <li>• Note the work that has been done to address the recommendations to date;</li> <li>• Note that whilst two items are outstanding, these are partially completed and that there is a timetable to address both.</li> </ul>
<b>RISKS</b>	<ul style="list-style-type: none"> <li>• That the College does not have appropriate internal controls to safeguard its staff, students and assets</li> <li>• That the College does not have adequate risk management processes and procedures in place.</li> </ul>
<b>RELEVANT STRATEGIC AIM:</b>	<ul style="list-style-type: none"> <li>• Successful Students</li> <li>• The Highest Quality Education and Support</li> <li>• Sustainable Behaviours</li> </ul>
<b>SUMMARY OF REPORT:</b>	<ul style="list-style-type: none"> <li>• The monitor now incorporates the internal audit work as presented to the Committee in November 2022.</li> <li>• The College has made significant progress in addressing the recommendations made in previous audit assignments. The attached report details the progress and, where appropriate, has amended target dates.</li> <li>• There are 21 recommendations on the monitor. 5 are complete; 16 are partially complete or in progress. Where appropriate, target dates have been amended.</li> </ul>

							Audit and Risk Committee
							Feb-23
							Agenda item 8
Report / Action	Recommendation	Action Owner	Grade	Original timescale	Status at 31 Jan 2023	Expected Completion Date	South Lanarkshire College management update as at 27 January 2023
<b>2019/20</b>							
Payroll and Expenses	The College should review and, if necessary, update the Expense Procedural Manual in line with its version control information.	Head of Finance	1	Oct-20	Partially complete	Nov-22	The College's Financial regulations were updated and was approved by the Finance and Resources Committee in April 2022. The controls in this document will flow into an updated Expense Procedure Manual which will be presented to the SLT as per the new procedures for policy approvals in February 2023 before being presented to the Finance Committee later that month.
<b>2019/20</b>							
Strategic Planning	SLC should conduct a structured and documented analysis of stakeholders and key groups to record and assess the level of influence and interest each has with the SLC's operations.	Depute Principal	2	To be confirmed – for the next round of Strategic Planning	Partially complete	Nov-22	Post Covid the College has undertaken a proactive role to re-establish stakeholder engagement. A stakeholder newsletter has been issued in May / June and November and is intended to be a quarterly activity. The College and Board members have held meetings with a range of key stakeholders including elected members, employers and Local Authority senior officers.. The College has also been engaging pro-actively with the
<b>2020/21</b>							
<b>No recommendations outstanding</b>							
<b>2021/22</b>							
Cyber Security	Formally document the College's specific cyber security risks and vulnerabilities, along with controls and mitigations, within an IT or cyber risk register. Format should be in line with the College's strategic risk register.	Heads of IT and Finance	3	31-Dec-22	Partially complete	Mar-23	The cyber risks detailed in the NCSC 10 things have been collated into a framework that will be demonstrated to the Committee and auditors. New framework template is currently being discussed with the HEFESTIS cyber security shared service and progress has been made to ensure all risks have been mitigated or progress has been made towards the mitigation
Cyber Security	To effectively communicate the College's risk management approach to management and Board members, so that they understand how cyber security risks should be managed and to help them make decisions about them, updates on the cyber threat landscape, events, actions, and plans surrounding cyber security within the College and the sector should be reported to the Management Team and to the Board regularly. Reporting should include a summary of the top-rated risks on the College cyber risk register (see R1) and details of mitigations already in place and those further required.	Head of IT and Clerk to the Board	3	31-Dec-22	In progress	Mar-23	This follows on from the risk register setup above. The SLT receive routine updates on cyber security at its weekly meetings. Following confirmation by HEFESTIS on the robustness of the above framework this document will be considered by the ARC routinely. The current risk register already has a cyber security standing item and is regularly reviewed in the risk management group.
Cyber Security	Ensure that a formal programme of refresher training is established for staff users with a risk-based approach adopted in identifying the frequency of refresher training requirements	Heads of IT and HR	3	30-Jun-23	In progress	30-Jun-23	Between now and June 2023 a programme that has been written up by the Head of IS and the HEFESTIS shared service will have been implemented, this involves training on key cyber security issues and aligns to the risk stated in the register.  Cyber security training has been purchased as part of a suite of e-learning materials and training will be rolled out in the coming months to all staff.
Cyber Security	Review and reconfigure the cyber training compliance reporting parameters to ensure that data reported consists of current users only. The data reported can then be used more meaningfully by Organisational Development, departmental line managers, and the Head of Information Systems and Services to monitor staff compliance rates.	Heads of IT and HR	3	30-Jun-23	In progress	30-Jun-23	The effectiveness of the training and the training materials will be reviewed following the staff training activities.

							Audit and Risk Committee
							Feb-23
							Agenda item 8
Report / Action	Recommendation	Action Owner	Grade	Original timescale	Status at 31 Jan 2023	Expected Completion Date	South Lanarkshire College management update as at 27 January 2023
Cyber Security	A programme of information security training should be developed for students to mitigate information security risks covering: •the organisation's IT security policies and procedures. •cyber security risks and strategies for defence, covering internet safety, mobile and home working, phishing, and prevention against malware. •regular updates and training on the security risks to the College. •monitoring the effectiveness of security training through incident monitoring and mock scenario testing; and •promoting an incident reporting culture.	Heads of IT and Student Services	3	28-Feb-23	Partially complete	28-Feb-23	This programme is associated with the comments mentioned in the last two rows. This will include students and staff in the schedule. The schedule will be complete before the end of Feb 2023 (and sharable), the implementation will follow as will the data on the effectiveness. The College is planning to review its student induction programme for August 2023 and will develop further the cyber security element.
Cyber Security	Mechanisms should be established for testing the effectiveness and value for money of the security training provided to staff. The areas of the organisation that regularly feature in security reports, or achieve the lowest feedback from information security questionnaires, should be targeted for further tailored training activity.	Head of IT and Clerk to the Board	3	30-Jun-23	In progress	30-Jun-23	As above, discussion to be had with SLT around phishing and cyber security exercises in the next few months
Cyber Security	Explore how guidance for staff on how to manage their digital footprints safely and reduce the risk of becoming a target for attackers, both in a professional and personal capacity, and particularly through use of social media platforms can be made more widely available to staff and Board members.	Heads of IT and HR	3	31-Dec-22	Partially complete	Mar-23	Social media guidance is already in place, with follow up sessions and the impact of staff actions planned to form part of the training schedule detailed in the comments above.
Cyber Security	It is recommended that an audit of cloud and third-party systems in use across the College estate, which are not directly linked to College Active Directory or Office365 accounts, is undertaken to identify instances of staff using College logins and email accounts and put in place procedural guidance for line managers to revoke user access to such accounts, and for staff on good password management. Development of a digital asset register which combines the details of College hardware and software assets, as well as third party services operated by staff would provide clearer visibility of the College cyber and data risk profile. Any identified risks should then be included on the cyber risk register	Heads of IT and HR	3	31-Jan-23	Partially complete	Mar-23	The College has fully implemented account tracking for 3rd party apps via the Microsoft 365 security dashboard. Anyone attempting to use college accounts for signing up to 3rd party apps require to go through an approval process which the Head of IS has sign off. Any existing 3rd party app used as also been recorded.  Office 365 has guidance to users as this happens but it is recommended to improve overall guidance documents for this, something that can be communicated with the staff over the coming months.
Cyber Security	The Incident Response Process, and supporting playbooks, should be tested by way of a scenario-based desktop exercise to ensure staff know how to respond during an incident, and to also highlight any problem areas in the planned response.	Heads of IT and HR and the Clerk to the Board	2	31-Mar-23	In progress	31-Mar-23	Incident response process desktop exercises are planned in the next few months with next steps to planned based on the outcome of those desktop exercises are complete.
Cyber Security	Establish mandatory requirements within procurement procedures for relevant suppliers to provide evidence of current cyber security certifications. Also ensure that relevant suppliers provide copies of recertifications when these are due.	Head of Finance	3	31-Oct-22	Complete	N/A	Procurement now have it their remit to discover any documentation relating to cyber security matters as part of the procurement process. SLC can request this information at any point following a tender or purchase of a software.
Health & Safety	We recommend that a timetable for Health and Safety Policy / Procedure Approval should be developed to ensure the timely update of the Occupational Health and Safety Policy (and related policies, procedures and guidance) and a timeline for consideration by the Health and Safety Committee and ultimately formal approval by the Board. This timetable should include an action to develop a Communications plan which will ensure a planned launch and roll out of the new policy framework and procedures so that all staff and students are aware of the new Policy and procedures and know where to find the information which sets out their respective responsibilities.	Depute Principal	3	30-Nov-22	Complete	N/A	The Health and Safety Policy was approved by the Board of Management in November 2022. The policy is now live and all staff are required to read and accept the policy upon sign in. The Health and Safety Coordinator is developing a series of briefing sessions to advise staff of the main changes.
Health & Safety	The wording around the reporting of near misses in the new Policy should include specific wording which clearly defines the types of near misses which should be reported and those which do not need to be reported.	Depute Principal	3	31-Oct-22	Complete	N/A	This has been added to the First Aid Policy and training to support will follow.
Health & Safety	We recommend that a programme of refresher training for staff should be developed to coincide with the launch of the revised Occupational Health and Safety Policy and associated procedures. Attendance at this refresher training should be mandatory for all members of staff and completion of the training should be monitored by HR to ensure full attendance.	Head of HR	3	31-Dec-22	Partially complete	Jul-23	This will be done in association with the Health and Safety team as per the the launch of the policy.  HR will provide generic H&S training as part of the e-learning suite.

Report / Action	Recommendation	Action Owner	Grade	Original timescale	Status at 31 Jan 2023	Expected Completion Date	South Lanarkshire College management update as at 27 January 2023
Health & Safety	An exercise should be completed to update the master spreadsheet to demonstrate the number of issues identified and to record the remedial action taken. Once the master spreadsheet has been updated, the location of the master document on the server should be communicated to managers so that they can review and provide updates on any remedial action taken.	Heads of HR and Estates	3	31-Dec-22	Partially complete	Feb-23	The master log is being updated and any outstanding items pursued to provide an update. This will be shared with all relevant managers. This will be actioned W/C 30th January 2023
Health & Safety	We recommend the reporting of an Annual Health and Safety Report be incorporated into the forward workplan for the Human Resources Committee to ensure that Board Members have the opportunity to consider and approve the annual report and the forward workplan for health and safety activity for the coming year.	Heads of Health & Safety and Estates	3	31-Dec-22	Partially complete	Jul-23	An annual report will be produced reporting on what has been completed during the year and set out the priorities and targets for the coming year. This will be carried out at the end of term in July 2023 and will be presented to the first meeting of the Board in academic year 2023/24.
Risk Management	Operational leads should be reminded of their roles and responsibilities in relation to risk management and use of the AIR Logs for the documentation of risks identified.  On reinstating the RMG, its remit should be updated and arrangements for the reporting of Operational Risk Registers to the group clearly defined.  The future RMG standing agenda should include the review of emerging risks arising from projects and capital works.	Head of Finance	3	31-Oct-22	Complete	N/A	Review of the Strategic Risk Register is now a standing item on the Senior Leadership Team agenda with the Register being reviewed prior to being considered by the Risk Management Group. SLT business now includes review of the College's AIRlog and consideration of major items of spend.
Risk Management	The College's risk appetite for differing risk categories requires to be set by the Board so that resources (people, time and money) can be aligned to mitigating actions for risks that are approaching or exceed the College's agreed risk appetite levels.  Risk appetite should also be reviewed annually or when there are significant changes in Board membership. Risk appetite for risk categories should be documented on the Strategic Risk Register to allow comparison against residual risk levels.  Treatment of risks should also be considered as part of this exercise. Risk appetite and risk treatment arrangements should be documented in the Risk Management Policy and Procedures to ensure organisational knowledge and transparency on arrangements.	Head of Finance	3	31-Oct-22	Partially complete	May-23	Risk appetite to be considered by the Audit and Risk Committee in May 2023 and the Board of Management in June 2023
Risk Management	All risks should be linked to strategic objectives to ensure there is a golden thread from the College's strategy and performance requirements to the risks identified at a strategic and operational level.  All risks and (associated mitigating actions) should have a single delegated owner to allow effective assessment of the appropriateness of the resource deployed to maintain mitigating controls and progress mitigating actions required to manage individual risks.	Head of Finance	3	30-Sep-22	Complete	N/A	All risks now linked to strategic objectives and all have a single dedicated owner.

							Audit and Risk Committee
							Feb-23
							Agenda item 8
Report / Action	Recommendation	Action Owner	Grade	Original timescale	Status at 31 Jan 2023	Expected Completion Date	South Lanarkshire College management update as at 27 January 2023
Risk Management	<p>A session on risk management should be included as part of the programme of Board Member Strategy Days with the leadership team. This will allow greater understanding on how the risks link to the College's strategic aims and objectives and the impact failure to manage these risks will have on future success.</p> <p>To support Board assurance, management should conduct an assurance mapping exercise on the internal and external reporting arrangements in place against the current risks on the risk register. This will allow for a central analysis of the arrangements in place and allow any gaps to be identified and appropriate supplementary reporting arrangements determined. Assurance mapping can be completed by adding additional columns to the existing risk register detailing the following sources of assurance established:</p> <ul style="list-style-type: none"> <li>•Internal - management reporting and quality assurance arrangements; and</li> <li>•External - internal audit, external audit, Education Scotland etc.</li> </ul> <p>Assurance reporting can then be brought into the forward planning for Board and committee agendas</p>	Clerk to the Board, Principal	3	31-Aug-22	Partially complete	May-23	<p>Internal audit providers Henderson Loggie presented a seminar on Strategic Risk Management at the Board training day in August 2023. The session incorporated separate workshops on setting the tone for risk management and risk assurance.</p> <p>To follow this up, assurance mapping exercise will be undertaken at the Audit and Risk Committee meeting in May 2023.</p>

**BOARD OF MANAGEMENT**

<b>DATE</b>	01 March 2023
<b>TITLE OF REPORT</b>	Annual Procurement Report
<b>REFERENCE</b>	Agenda item 13
<b>AUTHOR AND CONTACT DETAILS</b>	Sue Hampshire Sue.hampshire@slc.ac.uk  Keith McAllister, Head of Finance <a href="mailto:Keith.McAllister@slc.ac.uk">Keith.McAllister@slc.ac.uk</a>
<b>PURPOSE:</b>	To report to members the work undertaken in respect of Procurement in the year to July 2022
<b>KEY RECOMMENDATIONS/ DECISIONS:</b>	Members are recommended to:  i) note the contents of this report and its Appendices; ii) note the progress being made in respect of increasing compliance of procurement iii) note the community benefits that have been secured iv) note the level of tenders that are dealt with via the procurement service v) note the cash and non-cash savings that have been generated via enhanced procurement vi) approve the Report
<b>RISK</b>	The College has aims set by the Scottish Government to maximise its compliance to set procurement guidance.
<b>RELEVANT STRATEGIC AIM:</b>	<ul style="list-style-type: none"> <li>• Successful Students</li> <li>• Sustainable Behaviours</li> </ul>
<b>SUMMARY OF REPORT:</b>	<ul style="list-style-type: none"> <li>• The College's annual spend means that it is not required to produce an annual procurement report but it does so as good practice.</li> <li>• The Report contains a list of regulated and non-regulated expenditure and compliant and non-complaint spend. It should be noted that non-compliance can occur simply when the spend on that particular item reaches a certain level. This is identified by the College's procurement professional on a rolling basis and that rea is added to the list of procurement to be addressed.</li> <li>• The College made cash savings of £156k during the period via the use of advanced procurement techniques</li> <li>• The College also generated £163k of non-cash savings, by way of less time being spent on procurement and benefitted from an enhanced overview and monitoring of the suppliers that it deals with.</li> </ul>



# South Lanarkshire College

## Annual Procurement Report

**2021-2022**

Reporting Period 1<sup>st</sup> August 2021 – 31<sup>st</sup> July 2022

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# South Lanarkshire College - Annual Procurement Report (APR)

## Executive Summary

The Procurement Reform (Scotland) Act 2014 (PRA) requires any public organisation which has an estimated annual regulated<sup>1</sup> spend of £5 million or more to develop a Procurement Strategy and then review it annually. This requirement took effect from 31 December 2016. Organisations (including HE and FE institutions) required to develop and publish a Procurement Strategy were also required to publish an Annual Procurement Report (APR), reflecting on the relevant reporting period of the Procurement Strategy. South Lanarkshire College's annual regulated spend falls below £5 million and is not legally required to publish a Procurement Strategy or Annual Procurement Report however in the interest of transparency, the College has chosen to do so.

This report covers the period of 1<sup>st</sup> August 2021 to 31<sup>st</sup> July 2022 and addresses performance and achievements in delivering South Lanarkshire's organisational Procurement Strategy<sup>2</sup>. The Procurement Strategy was developed in consultation and discussion with the Head of Finance, and internal & external stakeholders who have an interest in the institutional approach to procurement and its impact. Stakeholder engagement will also feature in the annual assessments of the achievement of regulatory compliance, strategic objectives of the College, value for money [defined as the best balance of cost, quality and sustainability] and delivery against the College's broader aims and objectives, in line with [Scotland's National Outcomes](#). This process of review and reporting will inform any adjustments to the Procurement Strategy deemed necessary to secure future performance improvements and to respond to the economic, political, and financial influences on which the College may need to adjust.

South Lanarkshire College has completed the following procurements during the reporting period:

- Regulated procurements [goods and services worth more than £50,000(excluding VAT); works worth more than £2,000,000 (excluding VAT<sup>3</sup>) amounted to £1,503,576 (excluding VAT). There were 8 such procurements completed<sup>4</sup>.
- Below regulated procurements [goods and services worth lower than £50,000 (excluding VAT), works worth lower than £2 million (excluding VAT)] amounted to £296,611 (excluding VAT). There were 16 such procurements completed.

More detailed information on the regulated and below regulated procurements, sorted into procurement categories, is provided in Sections 2 and 3 and in Annex B of this report.

South Lanarkshire has 327 active suppliers with whom the College did business in the reporting period and the total procurement expenditure excluding VAT was £2,137,577. This comprises of £1,221,150 (57%) of regulated expenditure and £916,655 (43%) of below regulated expenditure.

The College seeks to optimise use of national, sectoral, local, or regional C1 collaborative contracts and frameworks. As well as bringing leverage-based savings, the burdens of risk, contract and supplier management are shared and the number of resource-intensive formal local tenders that need to take place is reduced significantly.

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<sup>1</sup>'Regulated' procurements are those with an estimated value equal to or greater than £50k (≥ £12,500 per annum over a four-year contract period excluding VAT) for goods & services (or £2,000,000 excluding VAT for a public works contract)

<sup>2</sup> <https://www.south-lanarkshire-college.ac.uk/about-us/procurement/>

<sup>3</sup> Current public contracts thresholds

<sup>4</sup> Completed when the award notice is published or where the procurement process otherwise comes to an end - covers contracts and framework agreements.

**70%** of the total procurement expenditure is through a compliant procurement process. This is made up of approximately **43%** of the College's contracted spend which is through local contracts and quotations managed by departments and approximately **45%** is through Collaborative Framework Agreements. The overall percentage of Collaborative Framework Spend has yet to be qualified by APUC Ltd.

This report comprises six sections, the first five cover mandatory reporting with the sixth discretionary.

- Section 1: Compliance to the Strategic Objectives
- Section 2: Summary of Regulated Procurements Completed
- Section 3: Review of Regulated Procurement Compliance
- Section 4: Community Benefit Summary
- Section 5: Supported Business
- Section 6: Future Regulated Procurements
- Section 7: Other Content for Consideration

MANDATORY

**Report Approved**

**By:**

**Signed:**

**Position:**

## Section 1: Compliance to the Strategic Objectives

South Lanarkshire College aims to conduct its procurements in an open and inclusive manner with procurement objectives. Aligning to the Procurement Strategy update 2021-2022, each objective was mapped to the five strategic areas as defined below by the Public Procurement in Scotland (PPS) 2016-2020 work plan<sup>5</sup>, this is owned by the Public Procurement Group (PPG) and the members are of the heads of the four Centres of Expertise along with senior Scottish Government procurement officials. This group sets the direction for public procurement for Scotland, which provides strategic direction, support, and monitors progress on the procurement reform agenda:

Sustainability;

Access;

Efficiency and collaboration;

Savings and benefits; and

Capability.

The objectives in turn were aligned with the College's Strategic Framework 2020-2025<sup>6</sup> and as further detailed in Lanarkshire's Regional Outcome Agreement 2019-22<sup>7</sup>. Annex E shows the Strategic Priorities, Strategic Objectives, and the College's commentary on compliance to the objectives.

## Section 2: Summary of Regulated Procurements Completed

The detailed summary of regulated procurements completed is set out in Annex B. That information, coupled with the publication of the College Contracts Register <https://www.apuc-scot.ac.uk/#!/institution?inst=35> and the systematic use of Public Contracts Scotland and Quick Quotes, provides complete visibility of the College's procurement activity over the reporting period.

Annex B shows the regulated and procurements completed by the College. These are separated into contract categories and distinguish collaborative contracts from college only ones. For each completed procurement the information provided shows:

- the expected date of notice
- the date of award
- the start dates
- the end dates
- the category subject matter
- the name of the supplier
- estimated value of the contract – total over contract period

In the interest of transparency, we have included below regulated procurements. These are procurements which are low value, below £50k, where Procurement has still influenced the process.

## Section 3: Review of Regulated Procurement Compliance

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<sup>5</sup> Undergoing review at time of strategy update 2021-2022

<sup>6</sup> <https://www.slc.ac.uk/media/hwj2tq/strategy-2020-25.pdf>

<sup>7</sup> [http://www.sfc.ac.uk/web/FILES/outcome-agreements-1920/Lanarkshire\\_Outcome\\_Agreement\\_2019-20.pdf](http://www.sfc.ac.uk/web/FILES/outcome-agreements-1920/Lanarkshire_Outcome_Agreement_2019-20.pdf)

Where appropriate, South Lanarkshire College has made use of collaborative contracts to deliver improved contract terms, supported contract and supplier management, sustainable procurement outcomes and value for money (the best balance of cost, quality, and sustainability).

In making its regulated procurements every care has been taken to ensure that the College awards the business to suppliers who are capable, reliable and who can demonstrate that they meet high ethical standards and values in the conduct of their business.

In the period covered by this report the College has conducted all its regulated procurements in compliance with the principles of the World Trade Organisation (WTO) Agreement on Government Procurement (GPA) Principles of non-discrimination, transparency, and procedural fairness.

Successful delivery against the Procurement Strategy objectives is part of a customer valued, Operational Procurement Review (OPR), that seeks incremental improvements to procurement processes and outcomes over time. The most recent assessment was carried out in March 2020 and the College received a score of 61%. This is the first year that the OPR has been scored. The intention is to improve upon this score with a target of 67% for the next assessment due in 2024.

#### **Section 4: Community Benefit Summary**

The Procurement Reform (Scotland) Act 2014 (PRA) requires that for every procurement over £4m, South Lanarkshire College must consider how it can improve the economic, social, or environmental wellbeing of its area through inclusion of community benefit clauses, to assist with achieving sustainability in contracts activity, including targeted recruitment and training, small business and social enterprise development and community engagement. Where possible, where relevant and proportionate and where they are considered not to have a negative impact on the delivery of value for money, such clauses may be included in regulated procurements valued at below £4m.

The general College policy on identifying community benefit requirements is to conduct risk and opportunities assessments through stakeholder consultation and engagement – on a case-by-case basis the question is asked, ‘could a community benefit clause be usefully included?’

Where applicable to the subject matter of the procurement, the requirement is then built into the procurement specification and/or technical questions and into the eventual conditions of contract performance.

As a small institution, South Lanarkshire College has not tendered for any procurements over £4m in the reporting period (in line with legislation) however has included Community Benefits Clauses in other tenders which fall below the £4m threshold.

## **Section 5: Supported Business**

Regulated procurements (between £50k and OJEU threshold and those equal to and above the GPA thresholds) are conducted in line with Routes 2 and 3 respectively of the Procurement Journey. Route 3 mandates the use of the Single Procurement Document (SPD (Scotland)) and it is used as good practice for Route 2. The SPD covers exclusion, selection and award criteria and includes questions relating to companies self-certifying themselves in terms of size (micro, small or medium), or whether they are Supported Businesses.

The College reviews each regulated procurement to determine whether it could be fulfilled by a Supported Business, whilst remaining compliant with Scottish Procurement Legislation and ensuring value for money for the institution.

The College did not reserve any contracts for supported businesses in this period however did procure goods through Hey Girls, a social enterprise, at a value of £2.5k.

## **Section 6 – Future Regulated Procurements**

South Lanarkshire College is keen to encourage competition by promoting optimal participation in its procurement process and achieve better value for money in its procurements. One method of achieving this is to give notice to suppliers of tendering opportunities that are expected to commence over the next two financial years after the period covered by this report.

In preparing this forward projection of anticipated regulated procurements, it is difficult to be precise about providing details of actual requirements. Over a forecast period of two years, it is very probable that circumstances and priorities will change so the list of projected individual regulated procurement exercises outlined in Annex D should be viewed with this caveat in mind.

The information provided in Annex D covers:

- the subject matter of the anticipated regulated procurement
- whether it is a new, extended or re-let procurement
- expected award date
- expected start and end date
- the estimated value of the contract.
- contract category A, B, C or C1

In the interest of transparency, we have included below regulated procurements. These are procurements which are low value, below £50k, where Procurement has still influenced the process.

## **Section 7 –Other Content for Consideration**

### **Contract Review**

The College will undertake a review of contract in 2022/23; this will include a review of community benefits that were offered.

### **Covid-19 impact**

Demand for skills has shifted due to the impact of the pandemic, and SLC continue to invest in developing vocational areas where there is identified demand.

Data from Skills Development Scotland (SDS) job postings highlights that employers within the region are seeking softer skills as well as technical knowledge; requirement for customer service and teamwork/collaboration ability are prominent, as well as job-specific skills.

In addition, Covid-19 and the resulting rise of homeworking has highlighted the importance of digital skills, particularly for those in rural areas for whom opportunity may correspond with connectivity.

## Responding to Climate Emergency

### Remote Assessment Facility Vehicle

SLC are now working with Energy Skills Partnership as part of the ESP- Driving Net Zero Skills – Mobile Microgeneration and are hosting a mobile assessment centre that will be used to upskill the supply chain in Air/Ground Source Heat Pump technologies that will be accessible to all colleges in Scotland.

This training centre will be used for:

- Industry up-skilling/re-skilling AS/GS HP
- Public and private awareness
- Community projects
- Schools / STEM projects
- Industry Events

The Scottish Government has accepted that the pathway to net zero for Scotland requires a very rapid large-scale decarbonisation of heat. To facilitate this a Heat in Building Strategy was drafted and sets out the Scottish Governments ambition to *double the number of zero emission heating systems installed in Scotland every year for the next 5 years and for the numbers of installations to reach 200,000 per year towards the end of this decade*<sup>8</sup>.

A majority of these will be individual heat pumps so, this initiative is a very forward-thinking approach to reducing carbon to meet the strategic aims targeted in 2030.

### FNT2030

The Supply Chain Manager has collated data for From Now To 2030 (FNT2030) under the distinct categories below, which is the sustainability strategic aims targeted at 2030, linked to the UC Sector Climate Strategy (May 2022) signed by all College Principals.

FNT2030 has been broken into distinct categories that are required to be reported on to the Scottish Government as follows:

- Energy
- Food
- Furniture
- IS
- Labs and
- Travel

However, there are other sustainability targets throughout all the Universities and Colleges aimed at 2038 which are currently being reported back to the Scottish Government so the collated information will be combined to prevent a duplication of effort.

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<sup>8</sup> Heat in Buildings Strategy 7<sup>th</sup> October 2021

## Annex A - Annual Procurement Summary

NOTE: reference to contract is also to be construed as meaning a Framework Agreement

<b><u>1. Organisation and report details</u></b>	
a) Contracting Authority Name	South Lanarkshire College
b) Period of the annual procurement report	1 <sup>st</sup> August 2021- 31 <sup>st</sup> July 2022
c) Required by s18 Procurement Reform (Scotland) Act 2014 to prepare an annual procurement report? (Yes / No)	No
<b><u>2. Summary of Regulated Procurements Completed</u></b>	
a) Total number of regulated contracts awarded within the report period	8
b) Total value of regulated contracts awarded within the report period	£1,503,576
c) Total number of unique suppliers awarded a place on a regulated contract awarded during the period	8
i) how many of these unique suppliers are SMEs	6
ii) how many of these unique suppliers how many are Third sector bodies	0
<b><u>3. Review of Regulated Procurements Compliance</u></b>	
a) Number of regulated contracts awarded within the period that complied with your Procurement Strategy	8
b) Number of regulated contracts awarded within the period that did not comply with your Procurement Strategy	0
<b><u>4. Community Benefit Requirements Summary</u></b>	
<b>Use of Community Benefit Requirements in Procurement:</b>	
a) Total number of regulated contracts awarded with a value of £4 million or greater.	0
b) Total number of regulated contracts awarded with a value of £4 million or greater that contain Community Benefit Requirements.	0
c) Total number of regulated contracts awarded with a value of less than £4 million that contain a Community Benefit Requirement	2

**Key Contract Information on community benefit requirements imposed as part of a regulated procurement that were fulfilled during the period:**

d) Number of Jobs Filled by Priority Groups ( <i>Each contracting authority sets its own priority groups</i> )	0
e) Number of Apprenticeships Filled by Priority Groups	0
f) Number of Work Placements for Priority Groups	0
g) Number of Qualifications Achieved Through Training by Priority Groups	0
h) Total Value of contracts sub-contracted to SMEs	0
i) Total Value of contracts sub-contracted to Social Enterprises	0
j) Total Value of contracts sub-contracted to Supported Businesses	0
k) Other community benefit(s) fulfilled	0

**5. Fair Work and the real Living Wage**

a) Number of regulated contracts awarded during the period that have included a scored Fair Work criterion.	2
b) Number of unique suppliers who have committed to pay the real Living Wage in the delivery of a Regulated contract awarded during the period	0
c) Number of unique suppliers who are accredited Living Wage employers and were awarded a regulated contract awarded during the period.	1
d) Number of unique suppliers who have signed up to the Scottish Business Pledge and were awarded a regulated contract awarded during the period.	0

**6. Payment performance**

a) Number of valid invoices received during the reporting period.	3600
b) Percentage of invoices paid on time during the period (“On time” means within the time period set out in the contract terms.)	96%

c) Number of regulated contracts awarded during the period containing a contract term requiring the prompt payment of invoices in public contract supply chains.	8
d) Number of concerns raised by sub-contractors about the timely payment of invoices within the supply chain of public contracts.	0
<b><u>7. Supported Businesses Summary</u></b>	
a) Total number of regulated contracts awarded to supported businesses during the period	0
b) Total spend with supported businesses during the period covered by the report, including:	£0.00
i) spend within the reporting year on regulated contracts	£0.00
ii) spend within the reporting year on non-regulated contracts	£0.00
<b><u>8. Spend and Savings Summary</u></b>	
a) Total procurement spend for the period covered by the annual procurement report.	£2,137,577
b) Total procurement spend with SMEs during the period covered by the annual procurement report.	£777,866
c) Total procurement spend with Third sector bodies during the period covered by the report.	£0.00
d) Percentage of total procurement spend through collaborative contracts.	*46%
e) Total targeted cash savings for the period covered by the annual procurement report	0
i) targeted cash savings for Cat A contracts	0
ii) targeted cash savings for Cat B contracts	0
iii) targeted cash savings for Cat C contracts	0
f) Total delivered cash savings for the period covered by the annual procurement report	*£156,893
i) delivered cash savings for Cat A contracts	*£38,258
ii) delivered cash savings for Cat B contracts	*£42,512
iii) delivered cash savings for Cat C contracts	£76,123
g) Total non-cash savings value for the period covered by the annual procurement report	*£163,819

**9. Future regulated procurements**

- a) Total number of regulated procurements expected to commence in the next two financial years
- b) Total estimated value of regulated procurements expected to commence in the next two financial years

17
£2,199,000

\*Figure still to be verified by APUC Ltd

## Annex B List of Regulated Procurements Completed in the Reporting Period 1/1/21 – 31/7/22

### Compliant

### Regulated

Agreement Title	Supplier Name	Date of Award	Owner	Contract Start Date	Contract End Date	Extension Period (Months)	Indicative Value over Contract Period	SME Status	Supported Business
Waste Management Services	Biffa Waste Services Ltd	25/10/2021	C1	17/01/2022	16/01/2025	12	£157,680	No	No
Internal Audit Services	Henderson Loggie	08/11/2021	B	08/11/2021	07/08/2025	12	£83,600	No	No
Provision of Timber	MGM Timber (Scotland) Ltd	09/11/2021	B	13/12/2021	12/12/2025		£160,000	Yes	No
Onsite Assessment Services for SVQ Construction Courses	Competence Matters Ltd	23/12/2021	C	23/12/2021	23/12/2025	12	£568,000	Yes	No
Grounds Maintenance	IPSUM Drainage (Scotland) Limited	11/01/2022	C	31/01/2022	30/01/2026		£84,828	Yes	No
Website Services	Bright Digital Marketing Limited	19/01/2022	C	19/01/2022	18/01/2025	24	£58,860	Yes	No
Nursery Services	Bertram Group - Thrive Childcare	20/07/2022	C	20/07/2022	19/07/2026		£147,508	Yes	No
Insurance Services	Education Protect Scotland Limited	21/07/2022	B	01/08/2022	31/07/2024	24	£243,100	Yes	No
						<b>Total (ex vat)</b>	<b>£1,503,576</b>		

### Below regulated

The following below regulated contracts were placed where Procurement influenced the expenditure:

Agreement Title	Supplier Name	Date of Award	Owner	Contract Start Date	Contract End Date	Extension Period (Months)	Indicative Value over Contract Period	SME Status	Supported Business
Mechanical and Electrical Consultant - Plant Room Assessment and Report	Hawthorn Boyle	06/10/2021	C	07/10/2021	06/12/2021		£2,000	Yes	No

Provision of ESXi Servers and Database Server	XMA Ltd	16/10/2021	B	05/01/2022	04/01/2023		£48,616	No	No
Server Maintenance	Park Place Technologies	01/11/2021	C	01/11/2021	30/10/2022		£527	Yes	No
Plagiarism Software	Turnitin LLC	13/12/2021	B	13/12/2021	12/12/2023	12	£14,250	Yes	No
Provision of Branding Services	Bright Digital Marketing Limited	19/01/2022	C	19/01/2022	18/01/2023		£28,890	Yes	No
Confidential Waste	Shredall SDS Group	26/01/2022	B	26/01/2022	25/01/2025	12	£2,000	Yes	No
Lift Shaft Strengthening Works (design and build)	ARV Design Ltd/ Loaninghill Fabrication Company Ltd	21/02/2022	C	21/02/2022	20/04/2022	0	£35,880	Yes	No
Partition Maintenance	Style Scotland Limited	23/02/2022	C	23/02/2022	22/02/2025		£9,300	Yes	No
SITS System - Upgrade - Consultant	Bhola IT Ltd	07/03/2022	C	07/03/2022	06/04/2022		£9,000	Yes	No
Defibrillators including Pads	St John's Ambulance	25/04/2022	C	25/04/2022	24/05/2022		£4,646	No	No
Mobile Voice and Data Services	Vodafone Group Plc	24/05/2022	B	24/05/2022	23/05/2024		£30,552	No	No
Lift Maintenance	Kone PLC	25/05/2022	B	26/05/2022	25/05/2025		£6,733	Yes	No
Beauty Products and Kits	College Kits Direct Ltd	27/06/2022	B	01/08/2022	31/07/2026		£32,000	Yes	No
Hair Kits and Barber Kits	College Kits Direct Ltd	22/06/2022	B	01/08/2022	31/07/2026		£30,000	Yes	No
Media Make Up Kits	Freestyle Hair Co Ltd t/a Treasure House of Makeup	27/06/2022	B	01/08/2022	31/07/2026		£17,100	Yes	No
						<b>Total (ex vat)</b>	<b>£296,611</b>		

## Non-Compliant Spend

Any procurements carried out this financial year were carried out compliantly however analysis of 21/22 spend is indicating several areas where the historical value over a period of 4 years is above regulated threshold (>£50k). These areas have been prioritised alongside other contracts requiring renewals and incorporated into a long term forward plan.

Category Subject	Supplier Name	Owner Cat A/B or C	Value over Contract Period (4 Years – excl VAT)	Compliance Issue	Proposed Solution
Estates – Mechanical Maintenance	ECG Building Maintenance	C	£219,305	Historical Spend	On Forward Plan.
Estates – Electrical Services	Docherty Electrical Contractors	B	£109,980	Historical Spend	On Forward Plan. Investigate Framework.
Estates Cleaning Services	Interface Environment Management	C	£112,011	Historical Spend	On Forward Plan.
Marketing Advertising	Phoenix Outdoor Advertising Ltd	C	£82,950	Historical Spend	On Forward Plan
Estates - Catering Equipment Services	React Catering Services	B	£58,333	Historical Spend	On Forward Plan. Investigate Framework.
Construction Painting Materials	Dulux Decorators Paints	B	£82,050	Historical Spend	On Forward Plan. Investigate Framework.
Estates Door Maintenance	Dorma UK	B	£60,446	Historical Spend	On Forward Plan. Investigate Framework.
Estates and Building	MKM Building Supplies Ltd	B	£55,363	Historical Spend	On Forward Plan
Estates Pest Control	Environmental Pest Control	B	£53,679	Historical Spend	On Forward Plan. Investigate Framework.
Estates ID Badges	Digital ID	C	£57,730	Historical Spend	On Forward Plan.
Professional and Bought in Services including Consultancy	IHS	C	£53,815	Historical Spend	On Forward Plan
Alarms	Connolly Security Systems	C	£80,387	Historical Spend	On Forward Plan

## Annex C List of Regulated Procurements with Community Benefit Requirements Fulfilled

The following Community Benefits are being provided via the following Contracts:

Contract Title	Supplier	Community Benefit
Catering Services	Inspire in conjunction with SLC and the Students Association.	As part of the community benefit requirement Inspire provide the following: <ul style="list-style-type: none"> <li>• Free Breakfast for the Students (porridge)</li> <li>• Subsidised Soup and Rolls</li> <li>• Surplus food given away to students at the end of every week.</li> </ul>
Hair and Barber Kits Beauty Products and Kits	College Kits Direct (Previously Capital Hair & Beauty)	<p><b>Training budget rebate</b></p> <p>CKD will provide the college with a rebate of 5% of the total spend, which can be used to purchase training courses.</p> <p><b>Student Spend Rebate</b></p> <p>In addition to the above college spend rebate, CKD have given the college an additional 3% rebate.</p> <p><b>Free of charge products for prizes</b></p> <p>Up £250 per department</p> <p><b>Access to supplier Masterclasses</b></p>
Internal Audit	Henderson Loggie	<p>The Contractor will work with the College to deliver added value services, community benefits or other aspects which shall contribute to achieving social or added value which may not be explicitly required as part of this tender.</p> <p>The College runs a varied curriculum of Accounting Courses from a Modern Apprenticeship in Accounting to a Batchelor of Accounting, Students on these courses may benefit from external insight from the profession such as career talks or work experience, Although not an exhaustive list, other added value or community benefits may include apprenticeships, training opportunities, placements, charity contributions, support for community projects or other relevant benefits.</p>
Website Services	Bright Digital Marketing Ltd	One half-day digital marketing best practice seminar hosted at our office Studio in Glasgow

Annex D List of Regulated Procurements planned to commence in next two F/Ys 22/23 & 23/24

**Regulated**

Agreement Title	New, Extension or re-let	Category	Expected Date of Contract Notice	Expected Date of Award	Expected Start Date	Expected End Date (inc extensions)	Estimated Value over Contract Term (inc extensions)
Multi-Functional Devices	Re-let	A	01/12/2022	28/01/2023	31/03/2023	31/03/2028	£112,000
Solar Photovoltaic System	New	C	01/12/2022	01/02/2023	01/03/2023	31/03/2023	£216,000
Building Maintenance	New	C	05/01/2023	01/06/2023	01/07/2023	30/06/2028	£325,000
Electrical Services	New	C	23/01/2023	01/03/2023	03/04/2023	31/03/2028	£75,000
Door Planned Preventative Maintenance	New	B	01/02/2023	01/05/2023	01/07/2023	30/06/2027	£60,000
Access Control incl ID Badges and System	New	C	01/03/2023	01/07/2023	01/09/2023	31/08/2027	£244,000
Kitchen Deep Clean	New	C	01/04/2023	01/06/2023	01/07/2023	30/08/2027	£50,000
Alarms including fire alarms	New	C	01/05/2023	01/08/2023	01/10/2023	30/09/2027	£100,000
Catering Services	Re-let	C	01/05/2023	01/06/2023	01/08/2023	31/07/2028	£100,000
Trade Framework (Materials)	New	C	01/06/2023	01/09/2023	01/10/2023	30/09/2027	£120,000
Estates Cleaning Services inc Washroom	New	B	01/07/2023	07/09/2023	21/09/2023	20/09/2027	£113,000
Catering Equipment Repair and Servicing	New	C	01/08/2023	01/11/2023	01/12/2023	30/11/2027	£71,000
Waste Management Services	Extension Available	B	01/02/2024	01/08/2024	17/01/2025	16/01/2028	£160,000
CCTV Maintenance	New	C	01/03/2024	01/07/2024	01/09/2024	31/08/2028	£75,000
Insurance Services	Extension Available	B	01/03/2024	01/06/2024	01/08/2024	31/07/2028	£240,000
Window Cleaning Services	New	C	01/03/2024	01/06/2024	01/07/2024	30/06/2028	£60,000
Adobe Software	Re-let	B	01/05/2024	01/06/2024	01/07/2024	30/06/2027	£78,000
						<b>Total</b>	<b>£2,199,000</b>

## Below Regulated

Agreement Title	New, Extension or Re-let	Category	Expected Date of Contract Notice	Expected Date of Award	Expected Start Date	Expected End Date (inc extensions)	Estimated Value over Contract Term (inc extensions)
Gutter Works	New	C	05/01/2023	23/01/2023	01/02/2023	31/03/2023	£50,000
Workroom Restructure	New	A	05/01/2023	23/01/2023	01/02/2023	31/03/2023	£100,000
Mobile Phone, Wifi and Mifi Services	Re-let	B	01/02/2023	05/03/2023	05/04/2023	04/04/2025	£32,000
Backup Software Renewal	Re-let	B	01/02/2023	20/02/2023	01/03/2023	28/02/2026	£17,000
Firewalls incl Support	Re-let	B	19/06/2023	01/08/2023	01/08/2023	31/07/2026	£25,000
Blended Learning Consortium	New	C	03/07/2023	21/09/2023	21/09/2023	20/09/2026	£14,000
Legal Services	Re-let	B	01/09/2023	01/12/2023	12/01/2024	11/01/2027	£40,000
Plagiarism Software	Extension Available	B	01/09/2023	01/11/2023	13/12/2023	12/12/2026	£14,000
F- Secure - Antivirus	Re-let	B	01/10/2023	01/11/2023	01/12/2023	30/11/2026	£24,000
Azure Offsite Backup Services	Re-let	B	27/02/2024	30/03/2024	01/04/2024	31/03/2027	£10,000
Psychological Testing Services	Re-let	C	18/03/2024	08/05/2024	10/06/2024	09/06/2028	£36,000
Cyber Essentials Plus Audit	Re-let	B	26/03/2024	03/04/2024	04/04/2024	03/04/2027	£18,000
Inisoft - tequios	Re-let	B	01/05/2024	03/06/2024	05/06/2024	04/06/2027	£26,000
Water Coolers	New	B	12/06/2024	04/08/2024	04/09/2024	03/09/2027	£30,000
Franking Machine	Extension Available	B	20/06/2024	12/09/2024	14/10/2024	13/10/2028	£13,000
						Total	£449,000

\*The dates and values on this annex are indicative and subject to change. By the time of publishing, some contracts may have been advertised.

\*\*For extensions available, as it is unknown whether extensions will be taken up, the dates reflect the end of the initial contract. If extensions are taken up, these dates shall push out.

**Annex E Annual Report Commentary on Strategic Statements and Objectives**

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STRATEGIC

Highest Quality Education and Support  
(College)

Inspirational Learner Journey  
(Regional)

An outstanding system of Learning. A more successful economy and society  
(SFC)

1

To work with internal academic budget holders professional support service colleagues and suppliers to deliver innovation and best value to the learning research and service support communities through the development of an effective and co-ordinated purchasing effort within the College.

Successful Students  
(College)

Develop & Nurture  
(Regional)

A more equal society.  
A culture of enterprise and innovation  
(SFC)

2

To seek out professional development opportunities 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 the contracts for the benefit of customers and students.

To sustain and further develop partnerships within the sector, with other publicly funded bodies, with professional bodies and appropriately with supply markets that will yield intelligence, innovation and deliver value to users of procurement services.

Highest Quality Education and Support  
(College)

Effective & Efficient  
(Regional)

A more successful economy and society  
(SFC)

3

To promote the delivery of value for money through good procurement practice and optimal use of the procurement collaboration opportunities.

To develop sound and useful procurement management information in order to improve procurement and supplier performance in support of corporate planning conducted through fair and transparent process.

Sustainable Behaviours  
(College)

Strong & Sustainable  
(Regional)

High Performing institutions  
(SFC)

4

To embed sound and ethical social and environmental policies within the College's procurement function and to comply with relevant Scottish and UK Legislation in performance of the Sustainable Procurement Duty.

To promote the delivery of value for money through good procurement practice and optimal use of the procurement collaboration opportunities.

STRATEGIC PROCUREMENT OBJECTIVES

Procurement Strategy Objective	Procurement Strategy Statement	Annual Report Commentary on Strategy Delivery
<p>To work with internal budget holders, professional support service colleagues and suppliers to deliver innovation and best value to the teaching and learning, and service support communities, through the development of an effective and co-ordinated purchasing function</p>	<p>How the College intends to ensure that its regulated procurements will contribute to the carrying out of its functions and achievement of its purposes</p> <p>The College's general policy on consulting and engaging with those affected by its procurements</p>	<p>The Supply Chain Manager has worked with the internal stakeholders on all procurements carried out in 2021/2022 to ensure that the specification meets requirements with evaluation criteria and weightings included which align to the College's needs.</p> <p>The College follows the Scottish Government's Procurement Journey as standard procedure with its own internal governance and threshold levels &lt;£50k for Goods and Services and &lt;£2m for Works.</p> <p>The Supply Chain Manager supported by the Senior Supply Chain Manager has worked with Faculties and Depts to implement contracts in specific areas aligned to the College's priorities. A Project Strategy has been completed with the input from relevant stakeholders for the following contracts let within the period: These included:</p> <ul style="list-style-type: none"> <li>- Waste Services</li> <li>- Internal Audit Services</li> <li>- Insurance Services</li> <li>- On-Site Assessment Services</li> </ul> <p>Completion of a Project Strategy allows us to assess any risks associated with the procurement and the relevance of key areas such as UK GDPR, Cyber Security, Health &amp; Safety, Sustainability and Community Benefits. Key Performance Indicators were included in these contracts</p>
<p>To develop sound and useful procurement management information to measure and improve procurement and supplier performance conducted through fair and transparent process</p>	<p>How the College intends to ensure that its regulated procurements will contribute to the carrying out of its functions and achievement of its purposes</p> <p>How the College intends to ensure that its regulated procurements will be carried out in compliance with its duty to treat economic operators equally and without discrimination</p> <p>How the College intends to ensure that its regulated procurements will be carried out in compliance with its duty</p>	<p>The College submits its annual expenditure to APUC Ltd where the data is coded allowing the Supply Chain Manager to analyse the data. This identifies any areas of regulated spend and high-risk areas. The College has a full set of data over a period of 4 years which provides clarity on areas that require to meet the Procurement Reform Act obligations. Areas of expenditure have been prioritised and are on the Procurement Forward Plan. These procurements shall follow the Scottish Government's Procurement Journey and shall be advertised through PCS with appropriate evaluation criteria and weightings in line with the process carried out for completed procurements in 2021/2022.</p> <p>The College uses the Pecos System for the placing of Purchase Orders. This Supply Chain Manager will undertake a review of Pecos to understand the current usage status with a view to maximising usage within the College.</p> <p>Savings are recorded where the College has used collaborative framework agreements and where savings have been achieved through local tender activity.</p>

	to act in a transparent and proportionate manner	A public facing, current contracts register where contracts are logged through the Hunter Database is available on SLC's procurement section of the website providing full transparency of the College's contracts.
To embed sound ethical, social and environment policies within the College's procurement function and to comply with the relevant Scottish, UK, and EU legislation in performance of the sustainable duty	<p>How the College intends to ensure that its regulated procurements will be carried out in compliance with the Sustainable Procurement Duty</p> <p>The College's general policy on the payment of a living wage to persons involved in producing, providing, or constructing the subject matter of regulated procurements</p> <p>The College's general policy on promoting compliance by contractors and sub-contractors with the Health &amp; Safety at Work Act 1974 and any provision under that Act</p> <p>The College's general policy on the procurement of fairly and ethically traded goods and services</p> <p>The College's general policy on how it intends it approach to regulated procurements involving the provision of food to:</p> <ul style="list-style-type: none"> <li>- improve the health, wellbeing, and education of communities in the College's area</li> <li>- promote the highest standards of animal welfare</li> </ul> <p>How the College intends to ensure that, as far as is reasonably practicable, the</p>	<p>SME engagement is imperative to the College, and we continue to offer SME support in the tender process. Although limited in 2021/2022, the Supply Chain Manager will continue to attend events to support SMEs providing advice and a key contact for upcoming opportunities.</p> <p>Consideration of environmental, social, and economic issues and benefits is made, where appropriate, on a contract-by-contract basis during the planning stage of a regulated procurement. The College always considers use of a framework in the first instance. Using framework agreements means that where appropriate, these areas have already been considered and assessed as part of the award criteria where relevant.</p> <p>Although not a legal requirement, South Lanarkshire College complies with the duties under the Modern Slavery Act publishing an annual Modern Slavery Statement on the website. All Invitation to Tender documents for APUC framework agreements and local tenders have the Sustain Supply Chain Code of Conduct. Tenderers are asked to sign up to the ethos of the code as part of their bid committing to assurance that they do not use forced, involuntary or underage labour, that they provide suitable working conditions and terms, that they treat workers fairly and that they comply with all laws and regulations relating to ethical and environmental compliance.</p> <p>The College's standard Terms and Conditions were used in all local tenders. By the supplier signing to the College's terms and conditions, this minimises contractual risk to the College. They require all contractors to meet all obligations in the compliance with anti-slavery, human trafficking laws, discrimination law, the Equality Act 2010, and health and safety law. These terms also include a clause for a minimum payment term of 30 days of which the College must pay the supplier and a clause for the supplier to meet this term with any sub-contractors engaged as part of the contract. The College paid 96% of invoices within 30 days in year 2021/2022.</p> <p>The Supply Chain Manager attends the College Sustainability Group. The group meetings will resume and will be held monthly. The College is participating in the Sector's FNT2030 Sustainability plans. This project will develop a set of goals for individual Colleges and the sector as a whole to address the Climate Emergency through its supply chain.</p>

	<p>following payments are made no later than 30 days after the invoice is presented:</p> <ul style="list-style-type: none"> <li>- payments due by the College to a Contractor</li> <li>- payments due by a contractor to a sub-contractor</li> <li>payments due by a sub-contractor to a sub-contractor</li> </ul>	<p>The College is a Living Wage employer. Where relevant and proportionate, as part of the regulated procurement process, a fair working practices evaluation question is included to assess suppliers and their level of compliance in this area.</p> <p>The College through APUC Ltd, is affiliated member of Electronics Watch, an independent monitoring organisation of the electronics industry which monitors ethical issues in the first, second and third tier supply chains.</p> <p>The College has access to the EcoVadis sustainability ratings agency. This tool allows the College to review sustainability audits within our supply chain.</p>
<p>To sustain and further develop partnerships within the sector, with other publicly funded bodies, with professional bodies and appropriately with supply markets that will yield intelligence, innovation and deliver value to users of procurement services.</p>	<p>How the College intends to ensure that its regulated procurements will deliver value for money</p>	<p>The Supply Chain Manager continues to develop relationships with internal and external stakeholders.</p> <p>The updated Procurement Thresholds were agreed and circulated on 01 April 2022</p> <p>Further training and exposure to internal procurement processes for internal stakeholders is required within the College.</p> <p>The Supply Chain Manager has worked with Faculties and Depts to ensure that appropriate evaluation criteria and weightings and where appropriate, key performance indicators were included in procurements completed this year.</p> <p>We continue to offer support and direction to SMEs as required for specific tenders. The procurement section of the College website provides information for suppliers. This is currently under review.</p> <p>The Supply Chain Manager attends the Procurement Strategy Group for Colleges hosted by APUC Ltd and is a valuable peer network for advice, guidance, and information exchange.</p> <p>The Supply Chain Manager is part of the Central and South Regional Team which incorporates 5 Colleges across the Central Scotland Region where an APUC shared service is delivered. Regional Team Meetings are held and facilitated by our Senior Supply Chain Manager responsible for this team. This enables the team to exchange information and discuss regional collaborative opportunities.</p> <p>South Lanarkshire College and New College Lanarkshire work closely to share best practice, align procurement processes and collaborate where possible.</p>

<p>To promote the delivery of value for money through good procurement practice and optimal use of procurement collaboration opportunities</p>	<p>How the College intends to ensure that its regulated procurements will deliver value for money</p>	<p>The Supply Chain Manager has worked with the internal stakeholders on all procurements carried out in 2021/2022 to ensure that the specification meets requirements with evaluation criteria and weightings included which align to the College's needs. The internal stakeholders have been part of an evaluation panel which contributes to a value for money decision for the College.</p> <p>Through expenditure analysis, the Supply Chain Manager identifies where there is non-compliant spend and opportunities for utilising collaborative agreements or placing a local contract. The College seeks to use framework agreements where they deliver value for money.</p> <p>Where a collaborative framework agreement is not available or unsuitable, the College will seek competitive offers via an open tender. Regulated procurements are carried out in conjunction with the Supply Chain Manager. Evaluation criteria including price and quality aligned to a scoring methodology are stated on the Contract Notice and Tender Documents. Where relevant, a sustainability test is used to assess the relevance of areas such as environmental impact, fair work, equality, and social impact. Evaluations are initially carried out individually by tender panel members then a conclusion reached by consensus.</p> <p>The College works closely with New College Lanarkshire and has collaborated on a Waste Services Contract this year.</p> <p>The Supply Chain Manager contributes to the Procurement Strategy Group for Colleges which holds an annual Contracting Priorities Workshop where APUC Ltd seek input on future collaborative opportunities across the FE Sector.</p> <p>The College is increasing its collaborative expenditure on an annual basis (final figures have still to be confirmed).</p>
<p>To seek out professional development opportunities 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 the contracts for the</p>	<p>The College's general duty on the procurement of fairly and ethically traded goods and services.</p> <p>How the College ensures that all its regulated procurements will be carried out in compliance with its duty to act in a transparent</p>	<p>The Supply Chain Manager attends the annual Procurex Conference, the APUC Procurement Network Conference, sectoral events and has access to training to develop skills to benefit the service provided to South Lanarkshire College. Training is assessed as part of a continual performance review and development process.</p> <p>A procurement awareness session was delivered to the college as part of the staff development day.</p> <p>The College actively supports the sourcing of goods that are fairly, ethically, and sustainably sourced. We consider risks as part of the Project Strategy which also includes a</p>

<p>benefit of customers and students.</p>	<p>and proportionate manner.</p>	<p>sustainability assessment prior to commencing the procurement process.</p> <p>The supplier management and performance measurement route are determined at the Project Strategy stage of the process. Segmentation of the level of spend and supply risk determines which appropriate route of Strategic, Managed or Routine processes will be applied to monitor the performance.</p> <p>Key Performance Indicators for strategic contracts are monitored to ensure the objectives of the service delivery is achieved. Contract Management is also a means of sharing best practice within the marketplace and delivering innovation throughout the term.</p>
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South Lanarkshire College has a procurement process and sign off arrangements that are consistent with the guidelines set out in the Procurement Journey. These have met the objectives and obligations set out immediately above.

## Annex F – Glossary of Terms

### A, B, C and C1 Contracts (Who buys what?)

**Category A** Collaborative Contracts available to all public bodies

- Scottish Procurement

**Category B** Collaborative Contracts available to public bodies within a specific sector

- Scottish Procurement
- APUC Ltd
- Scotland Excel
- NHS National Procurement

**Category C** Local Contracts for use by individual bodies

**Category C1** Local or regional collaborations between public bodies

**Below Regulated Procurements** are low value procurements with an estimated total value of less than £50k (ex vat) for goods and services and less than £2m for works. These are conducted in line with the College's internal procurement procedures.

**Category Subject** is a collection of commodities or services sourced from the same or similar supply base, which meet a similar consumer need, or which are inter-related or substitutable.

**Centres of Expertise** are the procurement support and advisory bodies to the Public Sector. They are: Central Government Procurement, Advanced Procurement for Universities and Colleges (APUC Ltd), NHS National Procurement and Scotland Excel (Local Authority).

**Collaborative Procurement** is an effective way for more than one College/University, contractor, consultant, or supplier to join together to procure works, goods, or services, share expertise, promote efficiency, and deliver value for money savings in the form of a contract.

**Community Benefits** are requirements which deliver wider benefits in addition to the core purpose of a contract. These can relate to social- economic and or environmental. Benefits. Community Benefits clauses are requirements which deliver wider benefits in addition to the core purpose of a contract. These clauses can be used to build a range of economic, social, or environmental conditions into the delivery of institutional contracts.

**Contracts Registers** these typically provide details of the procurement exercise to capture key information about the **contract** (the goods and services, values, date started, expiry date, procurement category etc).

**Contract management** or contract administration is the management of contracts made with customers, suppliers, partners, or employees. Contract management activities can be divided into three areas: service delivery management; relationship management; and contract administration.

**EcoVadis** is global CSR assessment tool which is based on international standards to conduct individual sustainability performance assessments across all relevant areas of the supply chain. Suppliers assessed by EcoVadis will receive a sustainability scorecard with detailed insights into their strengths along with opportunities for improvement.

**GPA** - The Agreement on Government Procurement is a plurilateral agreement within the framework of the World Trade Organisation (WTO).

**GPA Thresholds** are the thresholds of the Agreement of Government Procurement which apply to public authorities from 1 January 2021. The current thresholds applicable are (net of VAT):- for Supply, Services and Design Contracts, £177,897, for Work Contracts, £4,447,447. The GPA thresholds are revised every 2 years. The next threshold change will occur on 1 January 2024.

**Hunter** - Hunter has been developed by the eSolutions team. It is a database solution which uses standard Microsoft packages (Access and SQL Server) enabling organisations to effectively monitor and report on collaborative contracting activities.

**Institution** refers to College or University.

**Leverage Based Savings** - use of economies of scale to secure improved value.

**Lotting** - the Public Contracts (Scotland) Regulations 2015 encourage the use of lots (regulation 47), to promote competitiveness and to facilitate the involvement of SMEs in the public procurement market, by considering the appropriateness of dividing contracts into lots to smaller contracts.

**Non-Influenceable Spend** – This spend includes goods/services that can only be procured from one source, for example Scottish Qualification Authority.

**Non-Pay Influenceable Spend** – This is non-payroll spend that the procurement team can influence to Tender for Goods/Services/Works.

**Operational Procurement Review (OPR)** – Procurement assessment type for institutions with an annual Procurement spend of less than £2m.

**Prioritisation** - the Sustainable Public Procurement Prioritisation Tool which is a tool to aid all procuring organisations across the Scottish Public Sector designed to bring a standard structured approach to the assessment of spend categories.

**Procurement Journey** is public procurement toolkit with guidance and templates on the procurement process to facilitate a standardised approach to the market and contract and supplier management.

**PCS (Public Contracts Scotland)** is the national advertising portal used to advertise all public sector goods, services or works contract opportunities.

**PCS-Tender** is the national eTendering system and is centrally funded by the Scottish Government. The system is a secure and efficient means for buyers and suppliers to manage tender exercises online. The standard templates enable buyers to create consistent tender documentation.

**Regulated Procurements** are those whose values are greater than £50k for goods and services and greater than £2m for works. They require to be conducted in compliance with the Public Contracts (Scotland) Regulations 2015, the Procurement (Scotland) Regulations 2016 and the Procurement Reform (Scotland) Act 2014.

**Real Living Wage** is a voluntary hourly rate that is set by the Living Wage Foundation. The hourly rate level is set annually and is based on the cost of living in the UK with the aim to help support a minimum acceptable quality of living.

**Segmentation** the division and grouping of suppliers or contracts in relation to spend and its criticality to business.

**Small and Medium Sized Enterprises (SMEs)** encompass –

Micro enterprises: enterprises which employ fewer than 10 persons and whose annual turnover and/or annual balance sheet total does not exceed £1.57 million.

Small enterprises: enterprises which employ fewer than 50 persons and whose annual turnover and/or annual balance sheet total does not exceed £7.86 million.

Medium enterprises: enterprises which are neither micro nor small, which employ fewer than 250 persons and which have an annual turnover not exceeding £39.28 million, and/or an annual balance sheet total not exceeding £33.78 million.

**Supply Chain** encompasses all activities, resources, products etc. involved in creating and moving a product or service from the supplier to the procurer.

**Supported business** means an economic operator whose main aim is the social and professional integration of disabled or disadvantaged persons, and where at least 30% of the employees of the economic operator are disabled or disadvantaged persons.

**Sustain Supply Chain Code of Conduct** - APUC and its client community of colleges and universities is committed to carrying out procurement activities in an environmentally, socially, ethically, and economically responsible manner and to entering into agreements and contracts with suppliers that share and adhere to its vision. To demonstrate this commitment, current and potential suppliers are asked to acknowledge their compliance with the principles of the Sustain Supply Chain Code of Conduct with respect to their organisation and their supply chain.

**Sustainable Procurement** - a process whereby organisations meet their needs for goods, services, works and utilities in a way that achieves value for money on a whole life basis and generates benefits, not only for the organisation but also to society, the economy, and the environment.

**World Trade Organisation (WTO)** is the global international organisation dealing with the rules of trade between nations.



## BOARD OF MANAGEMENT

<b>DATE</b>	9 March 2023
<b>TITLE OF REPORT</b>	Acting Principal's Update
<b>REFERENCE</b>	<u>15</u>
<b>AUTHOR AND CONTACT DETAILS</b>	Alan Sherry <a href="mailto:Alan.Sherry@slc.ac.uk">Alan.Sherry@slc.ac.uk</a>
<b>PURPOSE:</b>	To provide members with information not included on the Board of Management meeting agenda.
<b>KEY RECOMMENDATIONS/ DECISIONS:</b>	Members are recommended to note the contents of this report.
<b>RISK</b>	There are no new risks arising as a consequence of considering this report.
<b>RELEVANT STRATEGIC AIM:</b>	
<b>SUMMARY OF REPORT:</b>	<ul style="list-style-type: none"> <li>• His Majesty's Inspectorate of Education (HMIE) Engagement Activities</li> <li>• Collaboration with the Lanarkshire Board</li> <li>• Partnership Working</li> <li>• National Meetings</li> </ul>

## **1. Introduction**

The purpose of this report is to provide members with information not included on the agenda of the Board Meeting scheduled for 9 March 2023. .

## **2. Credit Target 2022-23**

## **3. His Majesty's Inspectorate of Education (HMIE) Engagement Activities.**

HMI Mulholland and HMI Sarah Halliwell visited the College on 10 February as part of routine engagement activities. During this visit HMI Mulholland and HMI Halliwell held meetings with senior staff, Curriculum Managers and Student Association representatives. The focus of the visit was on the College approach to curriculum development.

## **4. Collaboration with the Lanarkshire Board**

Both colleges met senior staff from Skills Development Scotland to discuss approaches to collaborative working with a particular emphasis on strategic planning. A number of actions were agreed including the establishment of a working group to explore greater emphasis on regional skills planning.

There have been a series of meetings between senior staff at both colleges covering curricular and financial developments. Work remains ongoing with regard to the contents of the Regional Consolidated Accounts. A joint meeting with the Regional Outcome Manager has been held to discuss the Lanarkshire Outcome Agreement. .

In addition, the Acting Principal has met routinely with Professor Moore, Principal, New College Lanarkshire.

## **5. Partnership Working**

The Acting Principal attended a number of external meetings including:

- a series of Colleges Scotland policy development events;
- College Employers Scotland meetings;
- College Principals Group meeting;
- meeting with EIS Local Organiser;
- meetings with Colette Stevenson, MSP and Graham Simpson, MSP ;
- meetings of General teaching Council for Scotland College Expert Group;
- meeting Jim Metcalfe Chief Executive, College Development Network;
- the Depute Principal represented the College at the latest Colleges Scotland *Think the Unthinkable* seminar and
- South Lanarkshire Community Planning Partnership Progress Group.

## **6. National/Regional Meetings**

During the period of this report the Acting Principal attended:

- the Scottish Education Council; and
- the board of Jobs and Business Glasgow.

## **7. Equalities**

There are no new issues for people with protected characteristics which arise from consideration of the report.

## **8. Risk**

There are no new risks which arise from consideration of this report.

## **9. Recommendations**

Members are recommended to note the contents of this report.



## Board of Management

<b>DATE</b>	9 March 2023
<b>TITLE OF REPORT</b>	Mid-Year Progress Against Budget 2022/23
<b>REFERENCE</b>	Agenda item 16
<b>AUTHOR AND CONTACT DETAILS</b>	Keith McAllister, Head of Finance keith.mcallister@slc.ac.uk
<b>PURPOSE:</b>	To provide narrative to the Mid-Year Progress Against Budget Report and projected outturn for the year to 31 <sup>st</sup> July 2023
<b>KEY RECOMMENDATIONS/ DECISIONS:</b>	The Board is asked to note: <ul style="list-style-type: none"><li>• the progress to date in managing the College budget;</li><li>• note that the projected deficit is now £381k compared to £540k as set out in the budget approved at the June 2022 Board meeting;</li><li>• note the assumptions made re the salary award pending from 1<sup>st</sup> September 2022;</li><li>• note the other assumptions made re new in-year restrictions made on non-salary expenditure; and</li><li>• note the assumptions made re income.</li><li>• Note the impact of the different salary award scenarios.</li></ul>
<b>RISK</b>	<ul style="list-style-type: none"><li>• That the College cannot demonstrate financial sustainability.</li></ul>
<b>RELEVANT STRATEGIC AIM:</b>	<ul style="list-style-type: none"><li>• Sustainable Behaviours</li></ul>
<b>SUMMARY OF REPORT:</b>	<ul style="list-style-type: none"><li>• Further controls introduced at the six month point in the year are forecast to reduce the budget deficit by approximately £150k.</li><li>• The College is working actively to meet its credit target of 48,812 and is seeking to address the current gap of circa 1,300 credits. As reported elsewhere on the agenda, additional activity is being planned to meet the target, although the Funding Council has allowed for more flexibility with a 2% negative or positive tolerance being applied.</li><li>• The lower fee income levels reflect the decrease in HN activity. The lower Alternative Income figure reflects anticipated income flows that are either delayed or no longer at the level that was initially anticipated.</li><li>• There is no indication that the salary award claims from 1<sup>st</sup> September 2022 will be settled in the near future. The cash position at the College will be a mitigation in the financial performance of the year.</li></ul>

## Summary

Members will recall that at the June 2022 Board meeting they approved a deficit budget of £540k. During the academic/financial year to date College managers have been striving to mitigate this loss through close review of salary and non-salary expenditure. In addition, all curricular areas are striving to maximise income-generation opportunities, whether that be in areas of revenue or contributions to the asset base.

Furthermore, all vacancies and amendments to existing roles are the subject of review by the Senior Leadership Team.

The initial review at the six-month point appeared to highlight an increase in the projected deficit. To bring the projected position back in line with the approved Budget the College has instituted savings in the areas of Property and Estates, Central Services, Marketing and Academic Supplies for the remaining six months of the year. A version of this amended forecast was presented to the Finance and Resources Committee in February 2023. However, subsequently positive movements in income have crystallised since that February forecast was produced and this has resulted in a projected deficit of £381k. Despite this improvement the savings introduced from the February 2023 review will continue to be made and these are detailed in the commentary below.

It should be noted that the forecast assumes a budgeted salary award at 1<sup>st</sup> September 2022 of 3.0%; this is reflected in the paper headed **Scenario 1**, which is attached. Also attached is an alternative paper, **Scenario 2**, which factors in a salary award of 5.0%, which the College feels is more realistic. This produces a deficit of £641k. The two respective award figures are the only differences in the two documents.

Whilst some income lines are anticipated to be below budget, Foundation Apprenticeship and Flexible Workforce Development Fund income has been verified and are included the revised forecast which accounts for the difference from the report considered at the February 2023 the Finance and Resources Committee.

As Members will be aware that whilst Depreciation is built into the Forecast, this does not represent a cash spend.

## Income

1. As noted in the Summary, the College is working actively to close the current credit gap, as it did in 2021/22. With there being no ESF target to meet the College does have a tolerance factor of 2.0% that it can utilise should this be required. However, the College will seek to achieve the activity target for the year. There has been a minor increase in the income level and this has been incorporated into the Quarter 2 figures.
2. The College overdelivered slightly on its 2020/21 ESF activity target and SFC has decided to allocate an additional £82k to the College in this respect. This has been incorporated into the Quarter 2 figures.

Although the college sector no longer receives ESF activity and income, audits on prior year activity delivery continues. The College has made provision for potential clawbacks and was required to repay £34k in respect of 2016/17 activity. This, though, was considerably less than the £100k originally provided for as a consequence of additional work on reconciliation and audit work undertaken by College staff. The difference has been released this quarter.

These two situations increase the College SFC income by £147k for the year.

3. SFC capital allocations continue to be more modest than in previous years. These funds have been added to the existing College funds and will be utilised in line with the

capital investment plans approved by the Board. There is an SFC allocation of what is termed “revenue” estates funds, and these will be utilised to offset the costs of more recurrent annual estates and digital investment projects.

Expenditure supported via SFC income allocations are currently shown as a contra in Non-Salary Expenditure however these resources will be filtered through the relevant expenditure lines during the remainder of the academic year or will be capitalised A draft allocation has been drawn up as part of the half year accounts preparation.

4. SFC has made an annual allocation in relation to the job evaluation exercise for support staff; this will be backdated to 1<sup>st</sup> September 2018 and each years allocation has been retained by SFC until the exercise is completed. The allocation is shown as a contra in Wages & Salaries.
5. SFC has made four additional ring-fenced allocations within the last quarter. The allocations are now:
  - a. Digital inclusion £81k (as included in the original budget)
  - b. Period poverty £8k
  - c. Counselling £25k (to support the College counselling service for the period to 31<sup>st</sup> March 2023). Whilst the sector is hopeful that this support will be extended until the end of the academic year no confirmation has been received as yet.
  - d. Young Person’s Guarantee £85k (to provide additional support for students who meet the criteria set out in the circular)
6. Flexible Workforce Development Funds (FWDF) activity is proving difficult to deliver. Companies are signing up for training but not following through due to issues with releasing staff. A conservative estimate of income has been incorporated in the projected outturn to flag up the extent of the difficulty. The College has submitted a further claim in respect of 2021/22 activity and this figure is now incorporated into the 2022/23 forecast.
7. Income from HN courses will decrease from that anticipated in June 2022 as a consequence of the failure to recruit to this provision. The reasons for this are considered elsewhere on the agenda for this meeting. This accounts for a reduction in income of circa £90k. The College is taking action to seek to increase its income in other areas over the remainder of the academic year to compensate for this reduction.
8. Income from Alternative Funding has been affected adversely by three factors:
  - a. The Shared Prosperity Fund has not started as a consequence of the UK Government not yet signing off the approved bid. Therefore, it is anticipated that an element of this grant will be rephased into 2023/24. Income projection will be reviewed later in the year, but the current forecast of £140k has been decreased by £120k.
  - b. The College has not yet been informed if its funding for the Rural Energy Academy project, which is delivered as part of a contract with South Lanarkshire Council, will be extended beyond 31<sup>st</sup> March 2023. Without confirmation of this extension, projected income has been reduced by £100k.
  - c. As with the Rural Academy programme, no extension to the College’s partnership with the local Council on schools’ provision has been reached. Conversely, a £90k claim for Foundation Apprenticeship income relating to 2021/22 has now been submitted and is included in this Forecast.
9. Other income is expected to be on budget.

## Payroll

10. Based on the payroll for the first six months of the year, recurrent salaries are over budget by approximately £75k. This is primarily due to the Acting Principal being in post for longer than anticipated. The cost of this postholder for the period August 2022-March 2023 equates to around £40k. A line-by-line comparison of budgeted salaries and, actual postholder costs has identified savings and has been used to review all departments. This review has highlighted savings in a two Depute AP positions that have not been filled;

The College has engaged additional staffing re procurement for one year to bring forward anticipated savings as part of the College's value for money agenda. It is anticipated that the savings produced by this investment will offset the costs.

11. It should be noted that any salary award over the 3% included in the budget will add £130k of costs per 1.0%.
12. The Pension Provision relates to the pension costs that are to be borne by the College relating to early retirements.

## Non-Salary Expenditure

The College is seeking to reduce non salary expenditure by between 5 and 10% wherever possible. The Management Accountant is working with all budget holders to identify savings to this end.

13. Property costs are very much dependent on market forces as regards utility costs however it is anticipated that the budget has made adequate provision for the cost increases to date. A provision has been made to incorporate savings via procurement. Following an initial review of costs in February 2023, the College will be seeking to save £100k in this area.  
That said, the College has just been informed of potential sectoral price rises and is working through the implications of this Net depreciation should be as budgeted based on predicted asset purchases. This is not, of course, a cash cost but is indicative of the costs of future replacement. The six-month review and the capital spend planned for the remainder of the financial year record net depreciation and these are incorporated in the quarter 3 review that will be presented to the next scheduled meeting of the Finance and Resources Committee.
14. The College is seeking to reduce costs in Central Services by 5%.
15. The projected outturn assumes modest costs attached to the Board investigation as this matter is concluded.
16. Marketing has been concentrated on less expensive social media outlets but additional efforts into boosting January 2023 recruitment has increased costs. It is anticipated, however, that further savings can be achieved.
17. The allocation of Academic Supplies reflects a blended approach to learning, with investment in digital provision being funded centrally. The initial review at the start of February 2023 seeks to reduce costs in this category by 10% via a combination of reducing spend in general and ensuring that all appropriate study expenses are allocated to Bursaries funding as per the Funding Council guidance, The Management Accountant is currently engaging with Curriculum Managers and the Head of IT in a review of all costs that can be attributed to bursary-funded students. This forecast assumes that all appropriate costs can be attached to the student funding costs.
18. Cross College costs incorporated a modest subsidy of the refectory now that all students have returned to campus. These costs are anticipated to be on budget.

## **Budget Savings**

Management reported to the Board that it would seek to make savings of £500k in the year to reduce the projected deficit. Inflationary costs are making this increasingly challenging however progress has been made in the following areas:

### *Wages and Salaries*

- Savings of £200k were incorporated into the Budget. Indications are that the savings will be circa £125k with the narrative above detailing the reasons for any variance. Curriculum areas have been merging classes and all vacancies and requests for staff are being reviewed by the Senior Leadership team with a view to produce additional savings.
- The Budget assumes a salary award as at 1<sup>st</sup> September 2022 of 3.0%. To date, no agreement has been reached between the Employers' Association and the relevant trades unions on this. Each 1.0% additional to 3.0% will result in an extra recurring cost of £130k to the staffing budget.

### *Savings via enhanced procurement*

- The annual report currently being compiled by the College Procurement Manager will be available for the Board of Management meeting in March. At this point the College will be better able to quantify savings.
- The College was successful in bidding for Scottish Government support to purchase additional solar panels. This will assist in controlling utility costs.

**Mid Year Progress**  
**against Budget**

**Board of Management**  
**March 2023**

**as at March 2023**  
**Year to 31st July 2023**

**Scenario 1**

Note

**INCOME**

		<b>12 Months to July 2023</b>		
		<b>2022/23</b>		
		<u>Forecast</u>	<u>Budget</u>	<u>Variance</u>
		<u>£'000</u>	<u>£'000</u>	<u>£'000</u>
SFC - Grant in Aid	1	13,773	13,724	49
SFC - ESF	2	147	0	147
SFC - Capital	3	433	433	0
SFC - Salaries Contribution	4	239	239	0
SFC - Other	5	199	81	118
<b>Total SFC income</b>		<b>14,791</b>	<b>14,477</b>	<b>314</b>
FWDF	6	243	200	43
Fees	7	1,860	2,040	(180)
Alternative Funding	8	962	1,045	(83)
Other income	9	54	54	0
<b>Total Income</b>		<b>17,910</b>	<b>17,816</b>	<b>94</b>
<b><u>EXPENDITURE</u></b>				
<b><u>Wages &amp; Salaries</u></b>				
Recurrent	10	13,942	13,867	(75)
Award - Scenario 2	11	0	0	0
SFC - salaries contribution	Contra	239	239	0
Pension Provision	12	30	30	0
		14,211	14,136	(75)
<b><u>Non Salary Expenditure</u></b>				
Property	13	969	1,069	100
SFC - Capital	Contra	433	433	0
SFC - Other	Contra	199	81	(118)
Net Depreciation	14	620	620	0
Central Services	15	863	903	40
Marketing	16	120	150	30
Academic supplies	17	790	878	88
Cross College Costs	18	86	86	0
		4,080	4,220	140
<b>Total Expenditure</b>		<b>18,291</b>	<b>18,356</b>	<b>94</b>
<b><u>Surplus / (Deficit)</u></b>		<b>(381)</b>	<b>(540)</b>	<b>159</b>

**Mid Year Progress**  
**against Budget**

**Board of Management**  
**March 2023**

**as at March 2023**  
**Year to 31st July 2023**

**Scenario 2**

Note

**INCOME**

		<b>12 Months to July 2023</b>		
		<b>2022/23</b>		
		<u>Forecast</u>	<u>Budget</u>	<u>Variance</u>
		<u>£'000</u>	<u>£'000</u>	<u>£'000</u>
SFC - Grant in Aid	1	13,773	13,724	49
SFC - ESF	2	147	0	147
SFC - Capital	3	433	433	0
SFC - Salaries Contribution	4	239	239	0
SFC - Other	5	199	81	118
<b>Total SFC income</b>		<b>14,791</b>	<b>14,477</b>	<b>314</b>
FWDF	6	243	200	43
Fees	7	1,860	2,040	(180)
Alternative Funding	8	962	1,045	(83)
Other income	9	54	54	0
<b>Total Income</b>		<b>17,910</b>	<b>17,816</b>	<b>94</b>
<b><u>EXPENDITURE</u></b>				
<b><u>Wages &amp; Salaries</u></b>				
Recurrent	10	13,942	13,867	(75)
Award - Scenario 2	11	260	0	(260)
SFC - salaries contribution	Contra	239	239	0
Pension Provision	12	30	30	0
		14,471	14,136	(335)
<b><u>Non Salary Expenditure</u></b>				
Property	13	969	1,069	100
SFC - Capital	Contra	433	433	0
SFC - Other	Contra	199	81	(118)
Net Depreciation	14	620	620	0
Central Services	15	863	903	40
Marketing	16	120	150	30
Academic supplies	17	790	878	88
Cross College Costs	18	86	86	0
		4,080	4,220	140
<b>Total Expenditure</b>		<b>18,551</b>	<b>18,356</b>	<b>94</b>
<b><u>Surplus / (Deficit)</u></b>		<b>(641)</b>	<b>(540)</b>	<b>(101)</b>



South  
Lanarkshire  
College

East Kilbride

## BOARD OF MANAGEMENT

<b>DATE:</b>	9 March 2023
<b>TITLE OF REPORT:</b>	Annual Priorities Progress update
<b>REFERENCE</b>	17
<b>AUTHOR AND CONTACT DETAILS</b>	Stella McManus <a href="mailto:Stella.mcmanus@slc.ac.uk">Stella.mcmanus@slc.ac.uk</a>
<b>PURPOSE:</b>	To provide members with an update on progress against the annual priorities which were approved by the Board of Management in March 2022.
<b>KEY RECOMMENDATIONS/ DECISIONS:</b>	Members are recommended to: <ul style="list-style-type: none"><li>• note the progress made against the priorities to date;</li><li>• consider and note that an updated three-year plan should be considered at the June 2023 Board meeting; and</li><li>• note that in some areas the target dates may require to be extended due to operational reasons.</li></ul>
<b>RISK</b>	<ul style="list-style-type: none"><li>• That the College does not fully implement the annual priorities impacting on the learner experience.</li></ul>
<b>RELEVANT STRATEGIC AIM:</b>	<ul style="list-style-type: none"><li>• Successful Students</li><li>• Highest Quality Education and Support</li><li>• Sustainable Behaviours</li></ul>
<b>SUMMARY OF REPORT:</b>	<ul style="list-style-type: none"><li>• Considerable progress has been against the annual priorities particularly with regard to the curriculum, quality and management information systems such as the purchase of the new HR system, a new website and brand refresh in addition to the project initiation approval of a new learner records system.</li><li>• key work to support staff through professional development and training has taken place.</li><li>• New policies have been developed aimed at modernising and upskilling staff.</li></ul>

## 1. INTRODUCTION

1.1 This paper outlines College progress against the annual priorities as agreed by the Board of Management in March 2022.

## 2 ANNUAL PRIORITIES PROGRESS

ANNUAL PRIORITIES MARCH 2022-JULY 2023	
PRIORITY	PROGRESS
1. To deliver higher rates of learner success through an integrated approach to the provision of student support, the use of enhanced learner engagement, improved quality assurance systems and increased use of business intelligence.	<p>This is also part of the Quality Enhancement Plan. There has been much progress to date which includes: new Business Intelligence dashboards, new approach to self-evaluation including strengthening the learner voice, a closer relationship between the Student Association and the class representatives.</p> <p>Target Completion Date: June 2023</p>
2. To engage, involve and support staff in the delivery of annual priorities through collaboration, professional development and wellbeing.	<p>Progress and actions to date include:</p> <ul style="list-style-type: none"> <li>• Achievement of Investors in People “<i>We Invest in People</i>” Standard</li> <li>• Achievement of Investors in People “<i>We Invest in Wellbeing</i>” Platinum.</li> <li>• Engaging staff conference</li> <li>• Ongoing Principalship engagement sessions with all teams</li> <li>• SLT and line manager engagement with team members.</li> <li>• Ongoing training and development for employees.</li> <li>• Ongoing e-Newsletter to communicate consistent messaging to all employees</li> </ul> <p>The College seeks to continue this work through the action plan provided by the outcome of the Investors in People accreditation work.</p>
3. To create and deliver a targeted, college-wide change management programme to drive modernisation and improvement.	<p>Progress and actions to date include:</p> <ul style="list-style-type: none"> <li>• Updating of key HR policies and appropriate training undertaken and scheduled.</li> <li>• Protected time for curriculum managers to meet and provision of training as appropriate.</li> </ul>
4. To develop and implement a range of strategic documents in support of the College Strategic Framework 2020-2025 to include strategies for HR, Finance, Estates, Digital, Learning and Teaching, Marketing and	<p>This is in progress with new strategies in place for:</p> <ul style="list-style-type: none"> <li>• Learning, Teaching and Assessment</li> <li>• Human Resources</li> <li>• Marketing and Communications</li> </ul>

<p>Communications and Business Development</p>	<p>Work is still required to support the development of a Business Development, Estates, Finance and a Digital Strategy.</p> <p>Target Completion Date: June 2023</p>
<p>5. To deliver, through the learning and teaching and digital strategies, an approach to digital learning which builds on the progress achieved during the pandemic.</p>	<p>While there are some curriculum teams that deliver a blended model to students, more work is required on reviewing and developing a College approach to Digital Learning, as it is necessary to understand which student cohorts and curriculum areas are best supported through a blended approach. Research shows that College students prefer to learn on campus. However, there is some evidence that adult evening part time learners in a number of curriculum areas engage effectively with blended learning.</p> <p>The Scottish Funding Council is supporting this development for the sector with a new partnership project commissioned to explore the most effective means of learning and teaching in the digital age. The partnership comprises Education Scotland, QAA Scotland, sparqs and the College Development Network.</p> <p>In addition, a national model is being explored through a “<i>Digital College</i>” Approach.</p> <p>The College aims to review the curriculum for August 2024 in line with the national approaches being utilised as appropriate for South Lanarkshire students.</p>
<p>6. To undertake a research-based review of our curriculum offer and delivery modes - engaging with employers regarding the design and delivery of our programmes, delivering a costed curriculum and retaining our track record of high-quality education and training.</p>	<p>This work is in progress through a revised approach to curriculum planning and has resulted in the removal of 14 HN programmes for August 2023. Employers are involved in the design and delivery of programmes.</p> <p>Approval was given at the Curriculum, Quality and Development Committee to undertake a further deep dive to seek to inform the curriculum offer.</p> <p>Target Completion Date: January 2024</p>
<p>7. To revise our approach to business development and employer engagement to support the workforce skills agenda and to generate alternative funding streams for the College.</p>	<p>As part of a curriculum review for August 2023 areas have been identified to provide full cost recovery income as well as generating alternative funding streams. Further work is required on a clear Business Development Strategy.</p> <p>Target Completion Date: August 2023</p>
<p>8. To develop a revised and refreshed overarching strategic</p>	<p>Working with the Board of Management the SLT has set out its approach to Strategic</p>

<p>plan for the College which responds to the changing world of work, the emerging skills crisis and which supports economic recovery.</p>	<p>Planning. This approach includes a minimum of three SLT organised development meetings a year and includes the College Management Team, two representatives from the Student Association and two Trade Union representatives.</p> <p>It is proposed that the refreshed strategy work commences from April 2023.</p>
<p>9. To streamline and modernise key college systems and processes to enhance the user experience for learners, staff and stakeholders.</p>	<p>To date the College has:</p> <ul style="list-style-type: none"> <li>• Launched a new website and refreshed its branding.</li> <li>• Purchased a new HR system.</li> <li>• Approved a new learner management system.</li> </ul> <p>Roll out date: August 2024</p>
<p>10. To develop an approach to student recruitment and admissions which optimises achievement of the credit target and funding allocation.</p>	<p>This is also part of the Quality Enhancement Plan and seeks to provide an on-entry referral process for Full Time Further Education learners who require core skills development or have additional support needs/</p> <p>Target Completion Date: July 2023</p>
<p>11. To review college management structures to ensure effective delivery of services and to support talent management and succession planning.</p>	<p>Career Review process now includes career discussions to ensure readiness of future opportunities. Training and objectives are developed as a result of these discussions.</p> <p>The College is now seeking to create a competency framework which sets out transparent, specific criteria for every job role.</p>
<p>12. To maintain financial security and sustainability in the face of a challenging budget settlement and external economic environment.</p>	<p>The College is seeking to review its curriculum offer whilst maximising additional income streams. The Value for Money Group has been tasked with reviewing the college approach. To date the College is predicting a reduced forecast deficit to £381k, instead of £540k.</p>
<p>13. To develop and deliver a Climate Emergency Action Plan for the college in line with legislative requirements</p>	<p>This is currently in draft.</p> <p>Target Completion Date: June 2023 for Board of Management Approval</p>
<p>14. To develop an enhanced approach to partnership working, collaboration and regional coherence with New College Lanarkshire and the Regional Strategic Board</p>	<p>This has been completed. Much progress has been made on working collaboratively with NCL, South Lanarkshire CPP, and South Lanarkshire Council. Next steps include the re-establishment of the Lanarkshire Transition Group to address dissolution.</p>

### 3 SUMMARY

3.1 There remains work to be undertaken to deliver the Board's priorities for 2023 while seeking to develop a strategic plan for the period 2023/2026.

3.2 Despite considerable challenges, there has been substantial progress made this year which include:

- 3.2.1 the purchase of a new HR system;
- 3.2.2 approval and work on a tender for a new learner management system;
- 3.2.3 revised strategies and policies as well as training for staff;
- 3.2.4 continued efficiency drives to support with reduced levels of recruitment and funding;
- 3.2.5 enhance and improve the range of business intelligence reports;
- 3.2.6 curriculum development and review; and
- 3.2.7 significant improvements made in working collaboratively with the region and New College Lanarkshire leading to the re-establishment of the Lanarkshire Transition Group.

#### **4 RISK**

4.1 That the College does not fully implement the annual priorities impacting on the learner experience.

#### **5 EQUALITIES**

5.1 There are no new matters for people with protected characteristics or from areas of multiple deprivation which arise from consideration of the report.

#### **6 RECOMMENDATIONS**

6.1 Members are recommended to:

- 6.1.1 note the progress made against the priorities to date;
- 6.1.2 note that an updated three-year strategic plan will be considered at the June 2023 Board meeting; and
- 6.1.3 note that in a few areas the target dates may need to be extended for operational reasons.



**BOARD OF MANAGEMENT**

<b>DATE:</b>	9 March 2023
<b>TITLE OF REPORT:</b>	Mid-Year Credit Update and Projection
<b>REFERENCE</b>	18
<b>AUTHOR AND CONTACT DETAILS</b>	Stella McManus <a href="mailto:Stella.mcmanus@slc.ac.uk">Stella.mcmanus@slc.ac.uk</a>
<b>PURPOSE:</b>	To provide members with an update against College credit target.
<b>KEY RECOMMENDATIONS/ DECISIONS:</b>	Members are recommended to: <ul style="list-style-type: none"> <li>• note progress against the 2022-23 credit target and recruitment update.</li> <li>• note the work being undertaken by curriculum areas to meet the credit target; and</li> <li>• consider and note College recruitment trends and the additional work being taken by curriculum teams to address recruitment challenges through reviewing the curriculum offer.</li> </ul>
<b>RISK</b>	<ul style="list-style-type: none"> <li>• That the College does not meet its overall credit target due to recruitment challenges.</li> </ul>
<b>RELEVANT STRATEGIC AIM:</b>	<ul style="list-style-type: none"> <li>• Successful Students</li> <li>• Highest Quality Education and Support</li> <li>• Sustainable Behaviours</li> </ul>
<b>SUMMARY OF REPORT:</b>	<ul style="list-style-type: none"> <li>• The College is working hard to meet its credit target of 48,812 and is seeking to address the current gap of circa 1,383 credits. In a similar way to last year additional activity is being planned to meet the target. Although the SFC has allowed for more flexibility with a 2% negative or positive tolerance being applied it is not anticipated that this flexibility will be required.</li> <li>• It is not clear as yet if the additional positive recruitment of Foundation Apprenticeships can be included in the overall core target as this would reduce the overall gap.</li> <li>• There has been a decrease of approximately 300 students since 2019-20., which can be seen across Higher Education programmes in particular.</li> </ul>

## 1 INTRODUCTION

1.1 This paper sets out the progress being made against the credit target amongst the backdrop of recruitment challenges.

## 2 CREDIT ACTIVITY

2.1 For the 2022-23 academic year the College has a core credit allocation of 48,591 and 221 credits for Foundation Apprenticeships totalling 48,812 credits.

2.2 As members will recall the Scottish Funding Council (SFC) has also provided colleges with a 2% positive or negative threshold tolerance against their credit target, however, should colleges consistently be 2% under their credit targets then clawback of funding should be assumed.

2.3 As reported at the Curriculum, Quality and Development Committee in February 2023, the College had a gap of circa 3,000 credits. As of 27 February 2023, there were 5,078 enrolled students which is circa 81 students lower than at the same time last year.

2.4 The College is working hard to address the credit gap as shown in table 1 below through the provision of further programmes in curriculum areas such as ESOL and providing additional skills to a number of courses in order to support learners.

2.5 Table 1: SLC Credit Forecast 27 February 2023

Activity Area	Credit Allocation	Actual Credits To Date	Difference to Target Including Current Planned Activity	Further Additional Activity Credits	Gap	Comments
Total Credit Target (not including FAs)	48,591	44,847	-2,731	1,357 total	-1,374	Teams continue to plan additional activity.
Foundation Apprenticeships (FAs)	221	410	+189	0	0	
<b>Total</b>	<b>48,812</b>	<b>45,257</b>	<b>-2,542</b>	<b>-</b>	<b>-1,168</b>	
<b>-2% Tolerance</b>	<b>47,836</b>	<b>45,257</b>	<b>-1,376.7</b>	<b>-</b>	<b>-19.76</b>	

2.6 This additional work includes which is linked to adding value to our students includes:

2.6.1 Being able to add additional to support Modern Apprenticeship students as they have been impacted with loss of learning in a similar way to full time programmes.

2.6.2 Additional ESOL courses which is in response to demand in the local community.

2.6.3 *Keeping Warm* courses to support with recruitment, Preparatory short 4-week Study Skills Programme for students who have offers for August 2023 courses.

- 2.6.4 Additional personal and social development courses for Graduate and Foundation Apprenticeship students.
- 2.6.5 Completion of additional online Open University courses for a number of HE students to enhance employment and progression transition.

2.7 The MIS team are currently reviewing all courses in order to ensure that the College has implemented the revised SFC guidance.

2.8

The Curriculum, Quality and Development Committee will continue to consider regular detailed updates on progress against the credit target.

2.9 The College had previously positive year on year recruitment trends, however, the impact of the pandemic, Brexit and universities accepting more home students has led to a decrease in students enrolling at further education colleges and South Lanarkshire College is no different. The table below demonstrates this, in particular, the clear decrease in Full Time and Part Time Higher Education students.

Mode of Attendance	2019/20		2020/21		2021/22		2022/23 (To Date)	
	Starts	Starts %	Starts	Starts %	Starts	Starts %	Starts	Starts %
FT FE	1,474	28%	1,368	23%	1,423	25%	1,442	28%
FT HE	1,127	22%	1,263	21%	1,001	18%	864	18%
PT FE	2,205	42%	2,790	47%	2,897	51%	2,212	48%
PT HE	397	8%	574	9%	355	6%	304	6%
<b>Grand Total</b>	<b>5,203</b>	<b>100.0</b>	<b>5,995</b>	<b>100</b>	<b>5,676</b>	<b>100.0</b>	<b>4,822</b>	<b>100%</b>

2.10 Furthermore, there has been a decrease in the number of young people in South Lanarkshire, and school leavers progress to higher education courses if they choose to continue their studies. There has been a 5% decrease in school leavers entering FE across Scotland in between 2019-20 and 2020-21

2.11 Analysis of current 2022-23 College learners show that 71% of students come from the South Lanarkshire Council area with the rest mainly coming from Glasgow 10.5%, North Lanarkshire 9% and East Renfrewshire 3.3%. Further analysis of SIM areas shows that:

- 26% of learners are from the SIMD 5 datazone;
- 14% of learners are from the SIMD 10 datazone and
- 7.4% of learners are from the SIMD 20 datazone.

2.12 As part of its curriculum planning approach the is operating a gradual move towards diversifying the curriculum by introducing a wider range of entry level courses in a range of subject areas.. Each curriculum area has been tasked with putting together an offer which sets out clearly the rationale for the curriculum offer and to demonstrate how this supports learner progression.

2.13 As a result, the College will not offer 14 Higher National qualifications from August 2023 The College is aware that there is a requirement for a comprehensive review of it operational and policy environment in order to inform the curriculum offer to support its

long-term sustainability while meeting the needs of the communities it serves. Approval was given at the CQD Committee in February 2023 for the use of an external agency to undertake a detailed operational environmental review to inform the development of the College curriculum.

### **3 RISK**

3.1 That the College does not meet its overall credit target due to recruitment challenges.

### **4 EQUALITIES**

4.1 There are no new matters for people with protected characteristics or from areas of multiple deprivation which arise from consideration of the report.

### **5 RECOMMENDATIONS**

5.1 Members are recommended to:

- 5.1.1 note progress against the 2022-23 credit target and recruitment update.
- 5.1.2 note the work being undertaken by curriculum areas to meet the credit target; and
- 5.1.3 consider and note College recruitment trends and the additional work being taken by curriculum teams to help to address recruitment challenges through reviewing the curriculum offer.



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## BOARD OF MANAGEMENT

<b>DATE:</b>	14 February 2023
<b>TITLE OF REPORT:</b>	Learning, Teaching and Quality Progress Update
<b>REFERENCE</b>	19
<b>AUTHOR AND CONTACT DETAILS</b>	Stella McManus <a href="mailto:Stella.mcmanus@slc.ac.uk">Stella.mcmanus@slc.ac.uk</a>
<b>PURPOSE:</b>	To provide members with an update against the College's academic key performance indicators.
<b>KEY RECOMMENDATIONS/ DECISIONS:</b>	Members are recommended to: <ul style="list-style-type: none"><li>• note the retention and withdrawal figures to date;</li><li>• note the progress against the key performance indicators for the 2022-23 academic year;</li><li>• note the external verification activity taken place to date; and</li><li>• note the progress of those students from key groups.</li></ul>
<b>RISK</b>	<ul style="list-style-type: none"><li>• That the quality of learning, teaching and assessment declines impacting on the student experience and key performance indicators.</li></ul>
<b>RELEVANT STRATEGIC AIM:</b>	<ul style="list-style-type: none"><li>• Successful Students</li><li>• Highest Quality Education and Support</li><li>• Sustainable Behaviours</li></ul>
<b>SUMMARY OF REPORT:</b>	<ul style="list-style-type: none"><li>• Retention has dropped slightly to circa 91%, with curriculum teams working hard to support learners to remain on course. Full Time Higher Education and Part Time Higher Education early withdrawal rates are slightly higher than target.</li><li>• Forecast attainment targets are likely to be met if students continue to attend their courses and follow their assessment plans.</li><li>• There are 41 External verification visits scheduled with 12 having taken place to date. These have highlighted examples of good practice.</li></ul>

## 1. INTRODUCTION

1.1 This paper outlines progress against College academic key performance indicators as set out in the key performance indicator (KPI) table.

## 2 RETENTION AND WITHDRAWALS

2.1 The table below shows the retention and withdrawal figures as of 27 February 2023. Retention remains positive at 91%, and through intervention and support actions the aim is to continue to keep this above 86% by the end of the academic year. Retention rates were 86% and 88% respectively for academic years 2021/22 and 2020/21.

2.2 Overall early withdrawal rates for 2022-23 are 0.4% lower than the previous academic year and further withdrawal rates are currently standing at 4.4% under that of the previous session. FT HE (Full Time Higher Education) and PT HE (Part Time Higher Education) programmes have above target early withdrawal rates at 6.4%, against a target of 5%, and 8.2% against a target of 8% respectively. FT HE rates have been impacted adversely by early withdrawals on the HN in counselling, hair and make-up artistry and business management and media.

2.3 PT HE rates are slightly higher than the target of 8%, due to low starts on courses in Learning and Development (HN Counselling) and Wet Trades, with withdrawals of 3 and 4 students respectively which makes the data look higher overall.

2.4 Enrolments have also significantly increased by 775 with more students starting courses in January 2023. The key focus remains to improve attainment rates especially for those students on FT FE (Full Time Further Education) and FT HE (Full Time Higher Education) programmes.

2.5 *Table 1: Enrolments, Retention, Early and Further Withdrawals February 2023*

Mode	No. of Enrolments	Early Withdrawals	%	No. of Further Withdrawals	%	Retention %
FT FE	1,442	102	8	81	6.5	85
FT HE	864	50	6.5	54	6.9	86
PT FE	2,212	32	1.5	33	1.5	97
PT HE	304	22	8.2	6	2.3	89
<b>Overall</b>	<b>4,822</b>	<b>206</b>	<b>4.6</b>	<b>174</b>	<b>3.9</b>	<b>91</b>

(A full breakdown by curriculum area can be seen in Annex 1)

## 3 FORECAST ATTAINMENT

3.1 The College seeks to focus on improving its attainment rates across all modes of delivery. If students that remain on courses all achieve, then this is likely to be the case for session 2022/23. The curriculum teams continue to focus on working with their students to continue to attend well, submit their assignments on time and work with any identified at-risk students.

3.2 Table 2 below shows the College's overall unconfirmed attainment rates for 2021-22.

3.3 Table 2: 2021-22 Summary of Unconfirmed Performance Indicators as of November 2022

Mode	No. Completed Successful	%	Partial Success	%	Withdrawals	%	Retention	%	2020-21 National Rates %
FE FT	722	58.4	253	20.5	261	21	976	79	61.3
FE PT	1,966	74	267	10	204	7.7	2,454	92.3%	76.3
HE FT	620	68	267	10	197	22	713	78.4	72.1
HE PT	204	72	28	9.9	20	7.1	263	92.9	81.3

3.4 The College is aiming to improve these rates to those set out in the KPI table which are:

3.4.1 Full Time Further Education 61%

3.4.2 Part Time Further Education 76%

3.4.3 Full Time Higher Education 72%

3.4.4 Part Time Higher Education 81%

#### 4 OVERVIEW OF EXTERNAL QUALIFICATION VERIFICATION ACTIVITY

4.1 The table below shows an overview of external qualification verification activity as of 27 February 2023.

4.2 Table 3 Overview of Completed and Planned Activity for 2022-23.

Category	No.
Scheduled	41
Completed Successfully	11
Development	1

4.3 All completed activities were for SQA qualifications.

4.4 To date SQA External Verifiers have noted 12 “Good Practices”, and 4 “Recommendations”. The examples of good practice and recommendations are shared cross-curricula via the Quality Forum.

#### 5 RISK

5.1 That the quality of learning, teaching and assessment declines impacting on the student experience and key performance indicators.

#### 6 EQUALITIES

6.1 The College continues to support its care experienced students and has fewer students than last year, approximately half, with enrolments standing at 42. Retention for this group is 79% which is 7% higher than at the end of the last academic year.

6.2 There are slightly more students who identify as being of an ethnic minority and retention for these students is strong at 93% which is 6% higher than at the end of last academic year.

6.3 Those students who have declared a disability (154) in this academic year have slightly lower retention (-4%) than at the end of last year. Retention currently stands at 81%.

6.4 Students who have caring responsibilities have 4% higher retention than at the end of last year at 89%.

6.5 Retention rates for those students from the Scottish Index of Multiple Deprivation (SIMD) top 20% data zones is currently 2% higher than at the end of last academic year.

## **7 RECOMMENDATIONS**

7.1 Members are recommended to:

- note the retention and withdrawal figures to date;
- note the progress against the key performance indicators for the 2022-23 academic year;
- note the external verification activity taken place to date; and
- note the progress of those students from key groups.

## ANNEX A

*Table 4: Overall Curriculum Area Enrolments, Retention, Early and Further Withdrawals  
February 2023*

Mode	No. of Enrolments	Early Withdrawals	%	No. of Further Withdrawals	%	Retention %
Accounting and Legal	319	18	6.5	20	7	86
Beauty Therapy	352	20	6.3	8	2.5	91
Building Service Engineering	420	7	1.7	5	1	97
Built Environment	452	28	7.2	15	3.8	89
Business Management and Media	465	21	5.3	11	2.8	91
Carpentry and Joinery	360	2	0.6	3	0.8	98
Early Education and Childcare	324	11	3.5	26	8.3	
Hairdressing and Make Up Artistry	244	28	13	20	9.5	77
Health and Social Care	598	15	2.7	26	4.7	92.5
Hospitality, Events and Tourism	270	16	6.7	6	2.5	91
Learning Development	388	11	3.2	7	1.9	94
Life Sciences	297	17	6.5	20	7.6	86
Wet Trades	333	12	3.6	7	2.1	94



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### BOARD OF MANAGEMENT

<b>DATE:</b>	9 March 2023
<b>TITLE OF REPORT:</b>	Quality Enhancement Plan
<b>REFERENCE</b>	20
<b>AUTHOR AND CONTACT DETAILS</b>	Stella McManus <a href="mailto:Stella.mcmanus@slc.ac.uk">Stella.mcmanus@slc.ac.uk</a>
<b>PURPOSE:</b>	To provide members with an update of the Quality Enhancement Plan (QEP).
<b>KEY RECOMMENDATIONS/ DECISIONS:</b>	Members are recommended to: <ul style="list-style-type: none"><li>• Consider and note progress against the QEP actions.</li></ul>
<b>RISK</b>	<ul style="list-style-type: none"><li>• That the quality of learning, teaching and assessment declines impacting on the student experience.</li></ul>
<b>RELEVANT STRATEGIC AIM:</b>	<ul style="list-style-type: none"><li>• Successful Students</li><li>• Highest Quality Education and Support</li><li>• Sustainable Behaviours</li></ul>
<b>SUMMARY OF REPORT:</b>	<ul style="list-style-type: none"><li>• The College is working through the self-evaluation process to continually improve and enhance practice.</li><li>• Key aims of the QEP is to improve retention and attainment rates, further review the curriculum, review the curriculum to identify embedded specific skills development opportunities, including meta skills and also review Student Services to provide early intervention and support.</li></ul>

**QUALITY ENHANCEMENT PLAN MARCH 2023**

<b>QUALITY ENHANCEMENT PLAN (QEP) 2022-23</b>			
<b>AREA</b>	<b>ENHANCEMENT</b>	<b>KEY ACTIONS</b>	<b>PROGRESS</b>
<p><b>1. FT FE Attainment Rates</b></p>	<p>To focus on improving all attainment rates but in particular FE FT attainment rates, where possible, through our continued rigorous intervention and support.</p> <p>Attainment Targets            FE FT 61%            FE PT 76%            HE FT 72%            HE PT 81%</p>	<p>1.1. Move to Power BI reporting with achievement and retention report allowing drill down to course level for improved tracking and monitoring.</p> <p>1.2. Curriculum Progress Reviews implemented instead of Academic Boards to allow for deep dives into course tracking.</p> <p>1.3. The reinstatement of course team reporting cycle, with impact reviewed by CMs and overall at Curriculum Reviews.</p> <p>1.4. Continued wraparound support provided by Student Services and curriculum teams to keep students on track to achieve.</p> <p>1.5. Pre-entry services should be developed further to promote recruitment and enrolment and should include initial core skills/ELS assessments by August 2023.</p>	<p>1.1 Completed.</p> <p>1.2 Completed. Periodic Curriculum Progress Reviews in place for 2022-23.</p> <p>1.3 Completed</p> <p>1.4 Ongoing, intervention through support and counselling working with curriculum teams.</p> <p>1.5 In-progress</p>

<p><b>2 Curriculum Planning</b></p>	<p>To start to review the curriculum intent at SLC and to clearly identify our key curriculum strategic priorities by January 2024, which will help to ensure all areas have clear progression pathways.</p>	<p>2.1 Revised college wide approach to curriculum planning based on up to date LMI and national priorities. 2.2 Further deep dive required into curriculum to mitigate risks to under recruitment. This will involve a more thorough analysis of under recruiting courses.</p>	<p>1.1 Completed, revised process in place for 2022-23. 1.2 Deep dive Curriculum Progress Reviews concluded in Dec. and focussed 2023-24 Curriculum Planning session conducted in January 2023. On-going – extensive review planned for 2023-24 AY.</p>
<p><b>3 Learning and Teaching</b></p>	<p>Lecturing staff should continue to develop and implement a wider range of differentiated learning techniques and assessment approaches, relating to remote and blended learning to effectively meet students' needs.</p>	<p>3.1 Continue to share best practice and use digital champions within areas. 3.2 Training &amp; Development plans for each area to be created focussing specifically on learning and teaching support required, with use being made of national sessions. 3.3 To consider the use of supported experiments with a focus on collaboration and sharing, and how coaching can be further used to enhance learning and teaching. 3.4 To implement an improved professional learning pathway for academic staff to support progress towards TQFE. 3.5 Digital Champion Teams to be further promoted. 3.6 Sharing good practice HN Next Gen methodology. 3.7 Wider application of differentiation practice in learning, teaching and assessment by course teams and lecturers.</p>	<p>3.1 In progress. Sharing of best practice happens formally through staff development days. CPD to be offered in 2022-23 and 2023-24. 3.2 Incorporated into curriculum self-evaluations and planning documents. 3.3 On-going. 3.4 Learning, Teaching and Assessment Strategy published. Pathway developed to include TiCT @SCQF L7. Individual lecturer pathways to be supported, and communication and numeracy development required, if appropriate. 3.5 In-progress. Teams in operation – further development/engagement to be promoted via CM forum. 3.6 To be planned for 2022-23 via CM forum. 3.7 In-progress. Further review in Block 2.</p>

<p><b>4 Learner Voice</b></p>	<p>To make better use of results from student surveys and student feedback to effect improvements the learner experience.</p>	<p>4.1 Collation of actions has started so that feedback can be provided to students on progress being made with their requests.  4.2 Student Voice, Lecturer and Curriculum Manager working groups started to promote wider engagement and enhance the action planning processes.  4.3 Learner participation in surveys is too low, post COVID work with the class representatives and Student Association (SA) to increase.  4.4 Revised process for SE.</p>	<p>4.1 Revised processes in place for 2022-23. Ongoing. Learner Voice embedded on the quality enhancement and evaluation activities, and feedback via Class Reps, Student Association and Quality Teams.  4.2 Ongoing and can be seen in reviews. Further development  4.3 Completed. Periodic review planned.  4.4 Completed. Periodic review planned.</p>
<p><b>5 The use of systems to monitor and drive performance are not fully embedded across the College.</b></p>	<p>To implement a suite of Power BI reporting to allow all staff to have improved data insights allowing for earlier intervention and planning.</p>	<p>5.1 New achievement and retention report to be established to focus performance against key indicators, including the ability to monitor achievement gaps.  5.2 Curriculum planning system developed.  5.3 Credit projection report established.  5.4 IT Strategy Group to be re-established to review college wide systems.  5.5 Staff training to support system changes.</p>	<p>5.1 Completed  5.2 Completed  5.3 Completed  5.4 Partially completed - College wide systems have been reviewed by Head of MIS, learner records system approved. Continued enhancement of Power BI Dashboard. New HR system purchased. Further developments to be discussed with the IT group and SLT. Completion of the JISC Digital evaluation tool to drive.  5.5 On-going. Power BI sessions rolled out to staff with protected CM time used for items such as curriculum planning.</p>

<b>6 Credit Realignment</b>	Credit delivery to be realigned across the college to take into account changes in recruitment patterns by March 2022.	6.1 Realign curriculum delivery for 2022-23. The college has changed its in year credit delivery due to having to make changes in order to meet its credit target. The line management changes now give an opportunity to review this for each curriculum area.	6.1 Completed. Curriculum planning for 2022-23 was concluded. 6.2 Finalising of the credit allocation in line with the 2023-24 is in train. Awaiting allocation of indicative budget in March 2023 for final agreement.
<b>7 Skills Development</b>	To review the curriculum to identify embedded specific skills development opportunities, including meta skills.	7.1 To develop and agree an approach to skills development across the college through focussed training sessions for academic staff, by December 2022. 7.2 FE curriculum design to include explicit development of meta- and core-skills and provide appropriate certification of a broad range of skills. 7.3 HE curriculum design should include explicit development of IT skills for learning and work, academic writing and meta-skills, and provide appropriate certification.	7.1 On-going. Identification of meta and core skills signposted in curriculum offer. College-wide process to further develop for 2023-24. 7.2 In Block 1 staff were asked to identify the opportunities for meta skills development. In Blocks 2 and 3 these opportunities will be reviewed to provide a focussed plan. 7.3 This is part of the wider review of support for learning and Student Services and will feed into the review for August 2023 start.
<b>8 Student Support Services</b>	To further a process to provide a holistic picture of individual learners and their support needs.	8.1 Implement a Student Services Strategy by December 2022. 8.2 Student funding processes should be reviewed to promote retention. 8.3 Information, advice and guidance processes should be developed further to promote retention, progression and achievement.	8.1 Draft strategy developed post the ES progress visit. After further analysis more work required (part of self-evaluation) to provide a different approach to on entry students and how their support needs are met.

		<p>8.4 Develop a college-wide standardised induction programme, which includes signposting to appropriate SCQF level ESOL, communication and/or numeracy skills development.</p> <p>8.5 Early intervention strategies should be implemented to support students with additional learning support needs and students should be identified at pre-entry guidance where possible. Learners should be sign-posted to relevant drop-in or support sessions as early as possible after starting their course.</p>	<p>8.2 QEG to agree the approach by end of Block 2.</p> <p>8.3 Review in-progress.</p> <p>8.4 Induction group due to start in April 2023.</p> <p>8.5 Part of the wider student services and learning support review for on entry intervention.</p>
<b>9 Student Association</b>	To support the Student Association and Class Representatives to work more closely together, share thinking and agree actions.	9.1 Work with the Student Association to support additional times for the class reps, and them, to meet throughout the year. Link to learner voice actions.	9.1 Collective Teams forum and Quality & SA – joint promotion of Class Rep. Training. SA/SOs have wider engagement with volunteers and Class Reps, involved in event planning, e.g., Refreshers, open nights etc. Student President actively visits classes to promote the class rep process and to engage collaboratively.
<b>10 Professional Discussion on Learning and Teaching (PDLT)</b>	To share the findings of the PDLT overview with lecturing staff to support the dissemination of emerging practice.	10.1 Links to sharing of best practice across the college as noted in section 3, by August 2022.	10.1 PDLT forum training was delayed due to depletion of observers, training session from ES is required. Plan is to disseminate best/good practice via the Quality Forum.
<b>11 Staff CPD</b>	New action from Block 1 Self Evaluation. To deliver further staff development in response	11.1 HR to plan additional staff CPD in mental health awareness	11.1 Not yet started. 11.2 Not yet started.

	<p>the Block 1 self-evaluation activity. This action has arisen from the increase in students presenting with complex issues and the abolition of the counselling funding from 31 March 2023.</p>	<p>and expand the pool of Mental Health First Aiders. 11.2 Plan to develop curriculum staff to support wider application of differentiation practice in L, T and A.</p>	
<b>12 Business Development</b>	<p>New action from Block 1 Self Evaluation. Revised approach to business development and the College's commercial offer required. .</p>	<p>12.1 Alternative Finding to implement a business development strategy.</p>	<p>12.1 Progress has started on this with a new strategy expected by July 2023.</p>

**Board of Management**

<b>DATE</b>	9 March 2023
<b>TITLE OF REPORT</b>	Strategic Risk Register and Commentary
<b>REFERENCE</b>	<b>Agenda item 21</b>
<b>AUTHOR AND CONTACT DETAILS</b>	Keith McAllister <a href="mailto:keith.mcallister@slc.ac.uk">keith.mcallister@slc.ac.uk</a>
<b>PURPOSE:</b>	To inform members of the movement in strategic risk assessment in the College.
<b>KEY RECOMMENDATIONS/ DECISIONS:</b>	Members are asked to: <ul style="list-style-type: none"> <li>• review and approve the strategic risk analysis; and</li> <li>• note that the SLC Head of Finance attends the meetings of the Regional Risk Group and presents the SLC Strategic Risk Register to that meeting.</li> </ul>
<b>RISK</b>	<ul style="list-style-type: none"> <li>• That College strategic risks are not identified, and mitigating actions are not being taken to mitigate those risks.</li> </ul>
<b>RELEVANT STRATEGIC AIM:</b>	<ul style="list-style-type: none"> <li>• Highest quality education and support.</li> <li>• Sustainable behaviours.</li> </ul>
<b>SUMMARY OF REPORT:</b>	<ul style="list-style-type: none"> <li>• The main challenge for the College continues to be the central cash settlement, particularly as the sector has been informed to expect a flat cash settlement for the following three financial years. Risk 1, dealing with financial stability, shows a post-mitigation score of 12 which translates to a “High” risk.</li> <li>• The Risk Management Group meeting held on 19<sup>th</sup> January flagged up a concern over meeting the credits target in 2022/23 resulting in an initial risk rating moving to “High” (see risk 3). There are mitigations being put in place, and it was felt that the post-mitigation score could be dropped to 9 (Medium).</li> <li>• An additional risk re Reputational Damage was added to the Strategic Risk Register in January 2023.</li> <li>• The Risk Register and associated commentary was further reviewed at the Senior Leadership Team meeting of 24<sup>th</sup> January. This version has been forwarded to the February meeting of the Regional Risk Management Group; a member of SLC staff is invited to this meeting. The SLC Risk Register is also forwarded to the RSB Audit &amp; Risk Committee; a member of SLC management is also present at this meeting.</li> <li>• The Regional Risk Register is completed and maintained by NCL staff, reviewed at a meeting of the Regional Risk Management Group and is presented to SLC Board meetings for information. This document is presented as item 11B on the Agenda.</li> </ul>

## STRATEGIC RISK REGISTER – 19 JANUARY 2023

### 1. INTRODUCTION

1.1. This paper provides a commentary on the College's strategic risk register.

### 2 RISK ONE - FINANCIAL SUSTAINABILITY

2.1 The College's audited financial statements for the year to 31st July 2022 show an operating surplus and current projections show a level of cash holding that is sufficient for the current year's ring-fenced projects and adequate working capital for this financial year.

2.2 The Regional Grant in Aid allocation for 2022/23 is effectively a decrease in funding, albeit to deliver slightly less activity. Whilst the College can flex its temporary lecturing staff complement and non-salary expenditure to an extent, there are fixed elements within the cost base which limit the capacity of the College to reduce expenditure. With inflation increasing to double figures in 2023, and salary award increases from 1 Sept 2022 potentially at a rate well above the anticipated levels six months ago, coping with a decrease in funding this year and flat cash settlements in the following four years, as the College has been told by the SFC to assume, leaves the financial forecast projecting increasing deficits if no mitigating actions are taken. This has been reported to the Board and SFC

2.3 As noted previously, the Board of Management was content to approve a deficit budget for 2022/23. However, the Board sought an assurance from management that all possible avenues would be explored to move the deficit nearer to break even. The Board, however, followed the proposal made by the Finance and Resources Committee not to approve the significant deficits that were forecast for the four years from 2023/24 to 2026/27. This is the period of review that is covered by the SFC financial forecast return (FFR).

2.4 It was also noted at the Board of Management meeting in November 2022 that that whilst SFC had proposed a modest rate of inflation and salary award, the college sector was asked to prepare a separate FFR with what it felt were more realistic assumptions, provided by the college Financial Directors, on both inflation and salary awards. SFC has not yet made comment to the College on either set of figures submitted.

2.5 It was considered to score the unmitigated risk at the maximum of 16, but it was considered that as almost all colleges will be reporting similar significant deficits, the SFC and Scottish Government will require to provide a national solution in order to support the financial sustainability of the Sector therefore it would be acceptable to reduce the unmitigated risk scoring for "Probability" from a 4 to a 3 and the overall score to 12. This is, though, still within the range of critical concern. As background, the sector finance directors have surmised that given all colleges will be reporting similar significant deficits then it was expected that the SFC would require to offer increased funding or develop more radical proposals for the structure of the sector going forward.

2.6 The latest discussions with SFC have considered that future activity targets may be reduced for the sector by approximately 10 – 15%, with individual colleges having an input as to what their own target should be. However, that reduction in activity alone without a reduction in the cost base may not be sufficient.

2.7 It is also noted that the Funding Council will accept a 2.0% tolerance level in meeting credit targets in 2022/23, but that failure to meet credit targets in successive years may result in either clawback or a reduction in targets going forward.

### **3 RISK TWO - FAILURE OF FINANCIAL CONTROLS**

3.1 The College is aware of the added scrutiny on the organisation re financial controls but management is confident that the significant amount of work that has been undertaken by the Governance Professional, the Board of Management and the Senior Leadership Team on reviewing relevant policies and procedures and updating as necessary is putting the College onto an excellent footing for moving forward. The external audit report to be presented to the Board will reflect this.

### **4 RISK THREE - CREDIT TARGET**

4.1 The College met its core credit target for 2021/22. Going forward, colleges have been informed that a tolerance level of 2%-has been allowed for in terms of core credit activity. The College aims to reach this activity target in the 2022/23 session and no provision for clawback has been built into the financial forecast. Current enrolments and the resultant credit activity are the subject of constant review, with targets being set for each curricular area in terms of activity to be completed before the end of the year.

4.2 It should be noted that the College has accrued for any potential clawback in respect of ESF projects in previous years in its 2021/22 accounts and will continue to hold these potential liabilities until confirmation is received from SFC that they are no longer required.

### **5 RISK FIVE - CAPITAL FUNDING REQUIREMENTS**

5.1 Although the College has ring fenced its own funds for capital replacement and more general investment via the Strategic Investment Fund, the capital allocation via the SFC Backlog Maintenance Fund for 2022/23 is only £75k'

5.2 The SFC has reported that it does not envisage increases in the ring-fenced, formulaic capital funds in future years. This increases the risk that there be very limited, if any, resources available to support major maintenance in the medium to long term. The College has introduced a robust system of review for all capital / investment proposals to ensure that funds are appropriately utilised.

5.3 As mitigation, and as reported previously, the College has earmarked funds via its Strategic Investment Fund. It has also commissioned a Quantity Surveyor report on the fabric of the building in order to ascertain if further work is required related to the cladding of the main campus building.

### **6 RISK EIGHT - DAMAGE TO THE INTEGRITY OF MANAGEMENT INFORMATION SYSTEMS**

6.1 The College reapplied for its annual Cyber Essentials Plus certification and successfully passed Part 1. The assessment of Part 2 will take place in February 2023 and the College anticipates that it will be successful in retaining its Cyber Essentials Plus status.

## **7 RISK NINE – FAILURE TO ACHIEVE ACCEPTABLY HIGH LEVELS OF LEARNING AND TEACHING**

7.1 The College is deemed low risk by HMIE so will only have a one-day annual engagement visit in March 2023.

## **8 RISK TEN - THERE IS A FAILURE TO PROVIDE AN ENGAGING AND EFFECTIVE EMPLOYEE JOURNEY**

8.1 With staff and students returning to campus in August 2022, the previously higher ranking for this risk was decreased. In addition, the Board has approved a new HR Strategy which seeks to further improve the employee journey.

## **9 RISK ELEVEN - THERE IS A FAILURE TO SAFEGUARD THE HEALTH AND WELLBEING OF STAFF AND STUDENTS**

9.1 The College is mindful of the particular strain on staff and students over the COVID period and beyond and the current cost of living challenges will add to the issues that both staff and students may experience. Additional resources have been brought in to assist both staff and students. As reported previously, the HR Department has been involved in tendering for a new HR management system which will assist with the management of employee wellbeing and development; the tender is in its final period of consideration, this involving the review of terms and conditions of the chosen provider. This will allow the planning and implementation process to be commenced in February 2023.

9.2 As regards student welfare, the SFC did provide increased funding in 2021/22 to assist in this regard and the College has increased its counselling staff. A similar level of funding has recently been announced for 2022/23, although it has been highlighted that this may be the last year of such centralised ring-fenced support. The College has a Health and Safety Group which meets quarterly and has also recently employed a Health & Safety officer.

9.3 The College is in receipt of additional ring-fenced funding from SFC to expand its counselling services to staff and students but notes that there is no indication that this additional funding will be continued beyond July 2023.

## **10 RISK THIRTEEN - FAILURE OF CORPORATE GOVERNANCE**

- 10.1 A review of the actions taken to strengthen further corporate governance has resulted in the overall risk rating in this area to be reduced. This was supported by the internal audit provider review of the Governance Improvement Plan which was considered and approved by the Audit and Risk Committee at its November 2022 meeting. The report was rated "Good" in terms of level of assurance, this being the highest rating possible, with only two low grade recommendations which are in the process of being addressed.
- 10.2 The investigations into the Principal, the Interim Clerk to the Board and the Chair had been concluded, with the Board meeting in January 2023 agreeing that the former two postholders be dismissed. The tenure of the Chair had expired in April 2022.

## **11 RISK FOURTEEN – ADVERSE REPUTATIONAL RISK**

- 11.1 An additional risk has been incorporated during this review to address the impact of any adverse reputational risk. The College acknowledges that there are potential reputational issues that may impact adversely the standing of the College and / or its financial sustainability and is actively engaged in mitigation.

## **12 EQUALITIES**

- 12.1 There are no new matters for people with protected characteristics which arise from consideration of the report.



Strategic Risk Register	Dated reviewed by Senior Leadership Team	24 January 2023
	Dated reviewed by Risk Management Group	19 January 2023
	Next date of review	27 April 2023

No.	Date Raised	Link to Quality Indicators	Description	Impact Rating (1-4)	Probability Rating (1-4)	Risk Score	Previous submission risk score	Movement since last submission	Implications	Mitigation Action	Post-mitigation impact	Post-mitigation probability	Post-mitigation score	Previous submission mitigation score	Movement since last submission	Progress To Green: Key Actions	Comments
1	26/04/2021	3.1, 3.5, 3.6	That the College cannot maintain financial stability	4	3	12	8	4	That the College would not be able to meet its financial obligations and/or that investment in student activity could not be maintained to an appropriate level.	SFC funding in 2020/21 was increased from previous years and was in excess of budget, allowing the College to meet, and more, any additional requirements. The College also reached its credit target in 2020/21, so no clawback of central funding will occur.  Increased scrutiny of spend and improved approaches to budgetary management introduced. Enrolments and consequent fee income currently below budget level. Current cash holding is, though, sufficient to sustain a one-year drop in income.  Note that the College's current cash holding balance is higher than anticipated, which creates a risk of SFC clawback. This is being actively managed, including via providing clarity to the SFC about funds ring-fenced for repayment to SFC (cf. bursary funds) or for committed estates investment; as well as the funding earmarked for our Strategic Investment Plan, currently being drafted.  SFC May 2022 Indicative allocations have now been issued, which show a -3.4% decrease for the region.  August 2022 The College is fully aware of its flat cash allocation for the next year, and the SFC planning process means the College plans over a 5 year cycle so is aware of its financial forecast. College has also planned based on realistic assumptions. Key actions include: Establishment of the value for money group Budget assumptions in terms of proposed savings have been approved by the June 2022  Jan 2023 Awaiting indicative funding for the next academic year in March 2023. Indications are flat cash funding scenarios relating a real cut. Value for Money Group meeting on 25th January 2023.	4	3	12	6	6	Facilities actively planning for January recruitment and enhanced budgetary controls will ensure that spend and income is monitored closely to allow action to be taken swiftly, as required. On the higher than anticipated cash holding, the College has reported to SFC that some of this is earmarked for current spend, and that it will be utilised to support its Strategic Investment Plan, which will incorporate a refreshed Estates Strategy.  Jan 2022 Risk score now being impacted by: SFC informed the sector of the flat cash budget for next year, which is a decrease of £52m for the sector; Increase of energy costs; Addition NI contributions cost; Recruitment shortfall across the sector and the college.  May 2022 Increased risk due to SFC indicative allocation for 2022-23 and "flat cash" situation. Inflation will be anywhere between 2.5% and 3%; Risk of pay awards; Pay awards beyond college control; Additional professional costs being incurred.  August 2022 The College is aware that the current flat cash allocations, affecting the entire sector, has resulted in progress to green being curtailed over the next possible 5 year period; College as part of its forecasting has included realistic forecasting with the information available to date; Confirmation that the College has met its credit target for academic year 2021-22.  October 2022 College has met its core and ESF targets for the year 2021-22 after completing the FES return; The FFR has been completed with both the SFC and Finance Directors options to provide realistic planning assumptions for the next 5 years. Year 1 of this has been agreed by the Board of Management;  January 2023 College has to continue working to make efficiencies and savings.	College reporting surplus for 2021/22 and the years of modest surpluses have allowed the College to build up a cash balance that is sufficient to maintain short term financial stability  Finance Action Jan 2022: Undertake scenario planning and modelling to look at the impact of the funding against our costs.  May 2022 Modelling of college budget now in progress.  August 2022 Realistic planning assumptions being presented to the Board of Management as part of its 5 year forecasting.  October 2022 Value for Money format agreed and on agenda for the unions for the next meeting. Work will now start in earnest with a view to reporting back to the FRC in March 2023. More robust monitoring of the budget in place due to additional appointment of a management accountant.  January 2023 Await update from the Value Money group on 26 January 2023
2	26/04/2021	3.1, 3.2 3.5, 3.6	That there is a failure of financial controls	4	3	12	12	0	Inefficient or incorrect information available to senior management and the Board of Management; potential for fraud.	Programme of internal and external audit, overseen by Audit and Risk Committee. Ongoing review of financial controls, policies and processes in train. Management response to IA review in relation to improvements to financial and other controls. Introduction of a new approach to control, assurance and risk management arrangements now in train. College to institute its own rolling review of audit recommendations to ensure that all IA recommendations are followed through according to timetable. This to be reviewed by the Audit and Risk Committee at each meeting. College is undertaking a fundamental review of its procurement arrangements, supported by a College-wide training programme to ensure that (a) the College's arrangements for procurement are appropriate, and (b) all relevant staff are fully aware of these arrangements and their responsibilities. College is looking at the feasibility of introducing stock control systems.  August 2022 Update Updated and Revised Financial Regulations have been approved by the Board. New position of Management Accountant appointed in June 2022 and part of their remit will be to ensure that policies and procedures, particularly re procurement, are being followed and that spend variances are followed up. Anti-Bribery Policy and Procedures revised and updated approved by the Board of Management.  October 2022 Internal Auditor programme of work has now commenced with 3 audits completed to date. On track with External Auditors to complete the financial statements for 2021/22.	3	3	9	9	0	Closer scrutiny of previous internal audit recommendations, both via senior management and the Audit and Risk Committee. Introduction of new approach to control, assurance and risk management arrangements.  May 2022 New auditors appointed. Internal audit plan approved.  August 2022 Management Response to Assets report has almost completed its actions. Audit process is fully underway with three audits to date including, cybersecurity, risk and health and safety. With a further 2 planned in the next couple of weeks. Board strategy day is also planned for 23 August 2022 which is centred on risk.  October 2022 Extensive work being done on budget to improve is in year monitoring  January 2023 All management information is being checked to review credit activity. Curriculum teams are working to take appropriate mitigating actions.	Introduction of formal ARC monitoring on an ongoing basis.
3	26/04/2021	1.6, 2.2, 2.4	That there is failure to meet Credit target and/or failure to retain major public and private contracts.	4	3	12	9	3	Clawback of SFC activity funding and shortfall in income. Failing to meet credit targets on a consistent basis may affect annual activity allocation. Failure to meet maintain ESF records to substantiate our claim is likely to affect income	Student activity is monitored on a weekly basis by senior management via the SLT meetings, with those weekly reports being made available to faculty and admissions staff. Additional enhanced reporting in use through Power BI to monitor real time information.  August 2022 Credit reporting for 2022-23 has now started. Credits to date are: ESF records are owned by Head of Alternative Funding and meticulously maintained; MIS team submit monthly FES returns with excellent relationships with the SFC and data is cleansed monthly so there are no surprises; Community Open Day planned for 20 August 2022; Clearing Day took place on 8 August 2022.  October 2022 Met core credit and ESF targets for 2021-22; Power BI reporting allows for weekly credit reports and forecasting in progress for 2022/23; College switching on January start courses to work to meet the credit target.  Jan 2023 All credit activity to up on the by 27 January and checks to made on this. Plans are being put in place to meet the gap, such as the preparing to study courses.	3	3	9	6	3	Marketing campaign now live for January 2022 courses with recruitment event planned for 25 November. National request from sector to SFC still awaiting response, on last year's flexibilities being carried over into 2021-22. For example, increase of 16-18 credits across all FT courses.  Jan 2022 Additional Flexibilities granted and applied. Credit Gap Current risk is the shortfall of 400 FA credits, which was a late allocation impacting on planning. There is a strong partnership model already in place for FA with the local authority.  May 2022 Additional work taking place to meet credit gap. Forecast gap is 285, however this is a projected with actual gap being -1,813. Financial mitigation in budget. SFC 30 March 2022 letters emphasises that there may not be clawback for deferred credits of 866.  August 2022 Add in credit information  October 2022 Scenario planning and forecasting under way for the 2022/23 academic year. New website being launched in November 2022 to support with recruitment and learner journey.	College reached activity target for 2021/22 but enrolments are currently short of target in some areas. Target this year is 48,814. There is now a 2% tolerance on target so will not face clawback if under. All Jan 23 in train.
4	26/04/2021	2.1, 2.5, 3.4, 3.6	That there is a breach of legislation and associated regulations (incl. GDPR)	2	3	6	6	0	Breach or leak of sensitive data impacting on college reputation.	Data Protection Officer in place to advise on general Data Protection Regulation; Staff mandatory training and policies in place and actively marketed to heighten awareness; Compliance/audit checks in place; GDPR policies currently being updated as part of College-wide policy refresh exercise; Training planned for all staff on legislative and regulatory issues, including conflict of interest, bribery and corruption and security of assets.  August 2022 A suite of new policies have been developed and/or updated; Multi factor authentication in train; Cyber security Essentials status obtained; Training completed on conflict of interest etc as above and data protection and GDPR.  October 2022 Cybersecurity audit completed satisfactorily. College is now undertaking penetration testing; All staff conference in August; all staff completed mandatory training on GDPR; Data Protection portal is now live.	2	2	4	4	0	Info Asset Register links to be finalised to incorporate information required for ROPA.  Records Retention Schedule and Policy to be compiled and signed-off.  Data Protection Policy has been updated, final sign off required.  October 2022 Updated Retention Policy in progress and due for sign off at SLT and the Board of Management.  Jan 2023 Due to go to next Audit Committee in February 2023.	Data protection team have worked through a number of ROPA with each area and are currently pulling together Info Asset Register. Records Retention Policy in progress.
5	26/04/2021	2.1, 2.2, 2.6, 3.5	That there are insufficient funds for capital project and maintenance requirements	4	2	8	8	0	The College estate is reaching an age that will require constant monitoring and an appropriate level of funding to address major issues (e.g. roof, air handling, lifts, CCTV, etc.)	SFC undertook a condition survey and has allocated funds over a five year period to address backlog maintenance and dilapidation works. The College appointed professional advisors to assist in the management of the projects which have been undertaken. College has enhanced its procurement arrangements to ensure that all major items of expenditure are reviewed by a senior management committee, thus ensuring value for money as well as an additional level of control over non salary spend. As part of our approach to the introduction of a Strategic Investment Plan, the College is currently considering introducing its own estate condition survey, given the age of the building and the number of significant repairs now being required.  August 2022 The College has a capital works plan which is in progress. A building conditioning survey has just been completed and once final reports an estates plan of works will be progressed, informing the estates strategy.  October 2022 CAPEX is available for all works. Capital works program continues incl Gutter works Phase 1 of building survey completed, intrusive survey work now in train.	3	2	6	6	0	Current planning is to utilise cash holding to fund an infrastructure investment programme; Additionally, the college is planning to undertake an estate condition survey to ensure that a clear plan for any additional work is captured; The air conditioning units and the roof are all currently being replaced; Air Conditioning replacement completed. Roof project almost completed, snagging being undertaken. Building is weather proofed.  May 2022 Building conditioning survey taking place to identify work plan. Risk is that further urgent work is required post survey.  August 2022 Both roof and air conditioning work have been completed; Building conditioning survey in progress.  October 2022 Work on condition reports has commenced (early stages)  Jan 2023 Update on capex progress to date at VIM group on 25th January 2023.	Central funding received in 2020/21 and 2021/22 allowed the College to address major repairs and renewals sooner than originally planned. This includes a major upgrade to the fabric of the roof, which would be most vulnerable to possible issues associated with the natural lifespan of the building.  Next steps are progression of lift shaft work and plant room project.  August 2022 Plant room maintenance in progress Lift work has been completed.  October 2022 Multiple works in early stages of taking place
6	26/04/2021	1.1, 1.2, 1.3, 1.4, 2.1, 3.1, 3.3	That there is a failure to meet statutory and legislative health and safety as well as safeguarding requirements.	3	3	9	9	0	Impacts on safety of all employees and students leading to serious injury or death. Unable to protect our most vulnerable students.	Health and Safety Committee meet regularly to monitor health and safety arrangements and any issues are raised. Staff induction in place on H&S; Separate COVID risk register in place to monitor operational arrangements; Facilities Teams and H&S Officer ensure all risk assessments are updated annually; Regular reporting on Health and Safety to HR Committee as part of their remit requirements; Full review of Health and Safety Policy and Procedures being undertaken; Lead Safeguarding Officers in place and appropriate training in place; Safeguarding group meets regularly.  August 2022 Robust HMI Safeguarding report received in April 2022; Refresher training and reissue of safeguarding cards. Expanded the network of safeguarding officers; Health and Safety audit completed, with no major recommendations; Refreshed health and safety policy will go to the Board in October 2022; Appointment of 2 permanent health and safety staff members.  October 2022 Health and Safety Audit completed satisfactorily. Health and Safety Policy approved by the Board of Management.  January 2023 Health and Safety Policy launched and names of those who have read it.	3	2	6	6	0	Full review of H&S policy and procedure in train. Review of safeguarding processes in place for staff and students as part of our continual improvement cycle.  May 2022 Review of Health and Safety policy is in train; Review of health and safety training; More regular health and safety catch ups now taking place with the regular Committee Meeting; Education Scotland Safeguarding progress visit planned for 16 May 2022.  August 2022 Health and Safety Policy will go to Board in October 2022.  October 2022 Health and Safety Policy Approved. First Aid Procedures renewed and due for sign off by SLT in October 2022.  January 2023 Training sessions now being scheduled.	
7	26/04/2021	2.1, 2.5, 2.6, 3.5, 3.6	That there is business interruption due to major disaster, IT failure etc	4	2	8	8	0	Impacts on the college's ability to provide a service to its users as well as potential financial and performance impacts.	Business Continuity Plan for College in place. Business interruption insurance in place. Member of HEFESTIS and benefit from shared intelligence.  August 2022 Internal audit for cybersecurity completed. Updated Microsoft Licence of AS allows for enhanced protection.  October 2022 AS licence in place and multi factor authentication in place.	3	2	6	6	0	Existing business continuity arrangements being reviewed in light of recent events. Key estates risks now been identified and have been or are being resolved.	The College had a developed Business Continuity Plan embedded prior to the COVID pandemic and has built on that via infrastructure improvements and additions utilising additional SFC ring-fenced funding.  Update of Business Continuity Planning Documentation is planned.

Strategic Risk Register

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Dated reviewed by Risk Management Group 19 January 2023  
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8	26/04/2021	2.1, 2.5, 2.6, 3.5, 3.6	That there is a theft of, or damage to, Management Information System (incl. cyber-crime)	3	2	6	8	-2	Impacts on the college's ability to provide a service to its users as well as potential financial and performance impacts.	Shared sector approach in place through HEFESTIS and advanced intelligence. Robust and regular testing of IT systems Business continuity plans in place for IT and MIS areas. certification with Cyber Essentials Plus Incident response training	3	2	6	2	4	October 2022 Cyber Essentials audit in progress. Jan 2023 Cyber Essentials Basic has been complete and college is compliant. Cyber Essentials Plus to be completed FEB 2023 Close off from H&L Cyber audit actions by the summer, which should change the position of this task.	College successfully completed its Dec 2022 Cyber security audit with no issues. Incident Response Policy Updated Pen testing to be reviewed and purchased in the next few months
9	26/04/2021	1.1, 1.2, 1.3, 1.4, 1.5, 1.6, 1.7, 2.3	That there is a failure to achieve acceptably high standards of learning and teaching.	4	2	8	8	0	Impacts on the student experience, the college's reputation and Education Scotland risk ratings. Impacts on student recruitment leading to financial risk.	2021-22 monitor of teaching KPIs across all subject areas and action taken to address areas of concern; Quality mechanisms undertaken through annual cycle including self-evaluation and internal and external verification processes. Lots of activity has been undertaken by quality with course teams on new arrangements for assessment during COVID period; Review of quality processes in train to improve reporting against KPIs. Faculty staff work with students association, class reps and student feedback mechanisms to monitor feedback on quality and follow up on any issues; Enhance the monitoring of a range of KPI data on an ongoing basis to quickly identify any emerging negative trends in student performance. May 2022 Education Scotland progress visit was very positive. August 2022 Learning and Teaching policy going to CDQ Committee in August 2022; Reviewed approach to the quality processes which included the Progress Reviews instead of the previous academic board; Commitment to ongoing professional development through staff development sessions; Commitment to TQFE; Focus on career review process allows for reflection on practice. Improved reporting mechanisms allowing curriculum teams to plan more efficiently and to intervene in a more timely manner; Robust quality enhancement plan presented to Board and will be monitored at Committee level. October 2022 College deemed low risk by HMIE so will only have a one day annual engagement visit in February 2023. All quality processes in place and agreed by SLT, unions etc and in progress for the 2022/23 academic year. Full self-evaluation in progress for the College for a thorough analysis of Pi and College progress in 2021-22 January 2023 First self-evaluation cycles completed and progress reviews have taken place. Ongoing engagement and campus visits from HMIE. Audit cycle in train. Robust learner online processes which are acted on promptly.	2	2	4	6	-2	Transitional quality cycle in place for the pandemic years. Self-Evaluation completed for Faculties and for college. Continued utilisation of improved reporting to support business insight and action. Course Team Reports completed for block 1. Jan 2022 Risk to attainment especially for FE FT students as they are the most at risk due to not being on campus due to COVID; Action: to ensure that the college does not lose the learning from COVID for example what should the SLC blended model of the future look like. May 2022 Education Scotland visit positive, demonstrates progress against actions. October 2022 Mitigating actions in place. External assessors being used to assess Construction MAAs, now part of the Quality Audit process to provide assurance that work is of a high standard and does not impact on direct claims status.	Annual Engagement Visit from Education Scotland taking place Feb 2023.
10	26/04/2021	2.1, 2.3, 2.6, 3.1, 3.3, 3.4	That there is a failure to provide an engaging and effective employee journey.	4	2	8	8	0	Impact on the employee experience and could result in high turnover, high absence rates, disengagement, poor employee relations and industrial relations matters, poor performance of employees and subsequently a poor experience for students and negative impact on college reputation.	Ongoing, effective development of people managers to ensure the enablement of engagement, management and leadership practices; Response to the 2021 Employee Survey in progress; Re-launch and automation of the Career Review process, including manager training on performance feedback and coaching. Further staff engagement in train via the IP and LID re-accreditation processes, including surveys and focus groups, will provide further intelligence to support organisational response. HR support provided locally to support staff absence management; Regular meetings with JNC, which take place every 3 weeks. August 2022 HR Strategy approved by the Board of Management in June 2022; Career Review launched successfully. October 2022 Accreditations achieved to date include: Disability Confident Employer and Leaders in Diversity. The re-accreditations of Investors in People and We Invest in Wellbeing are currently being progressed; Ongoing review of the employee journey, process optimisation and automation. Consideration for a new HR System; Refreshed policies and procedures include: Attendance Management and Support Procedure; Disciplinary Procedure; Grievance Procedure and the Public Interest Disclosure Policy and Procedure. January 2023 Employee Journey being mapped out and associated procedures being drafted, with a view of lean process management and consideration of both automation and employee experience. People Managers being trained on disciplinary, grievance and investigations by ACAS. Review of payroll and pensions process.	3	2	6	4	2	College accreditations are being refreshed.	
11	04/02/2022	2.1, 2.3, 2.5, 2.7, 3.1, 3.2, 3.4, 3.6	That there is a failure to safeguard the health and wellbeing of staff and students.	3	3	9	8	1	Impacts on the health and wellbeing of staff and students. This could result in high absence, disengagement and higher withdrawal rates for students. Risk of serious harm to the individual if the appropriate safeguarding action is not taken. This would significantly impact the student and staff experience leading to potential risk of legal action, complaints and having a negative impact on the college reputation.	August 2022 Ongoing effective development of safeguarding and health and wellbeing support for staff and students. Safeguarding / GBV Prevention / Corporate Parenting / Carers Support policies and procedures in place. Specialised staff in Student Services and HR responding to concerns or issues. Criminal Convictions and PVG is undertaken as part of the employee recruitment process. Safeguarding, Prevent and Corporate Parenting training is mandatory as part of the staff induction process. Safeguarding including Prevent, Corporate Parenting, Mental Health & Wellbeing information and videos part of the Learner Induction process. College Safeguarding Group is a cross-college group which has both student and staff membership - this groups meets quarterly. GBV Prevention Strategy and Action Plan / Corporate Parenting Plan in place which is monitored by the Safeguarding Group. Other mitigations include: •Student Support email address. Same day response, including responses to financial and emotional crisis support. •Guidance and support staff available on campus for in person support on same day appointment basis. •Staff are trained in Mental Health First Aid and ASIST •Dissemination and attendance of external safeguarding training opportunities, such as those provided by CDN, •Counselling Service for staff and students. •Weekly Yoga and Mindfulness classes for staff and students •Online Togetherall resource for staff and students •Same day response provided via dedicated student support email, including responses to financial and emotional crisis support. •Guidance and support / line management staff available on campus for in person support on same day appointment basis. •Annual safeguarding, health and wellbeing calendar of events •College Mental Health Group and LGBT Champion Group in place •Peer support groups for staff and students	3	2	6	6	0	Full review of Safeguarding policy and procedure planned for AY 2022-23 Review of safeguarding processes in place for staff and students as part of our continual improvement cycle. New safe guarder role and training remit produced with plans to create a network of safe guarders across the college that would feed into the College Safeguarding Group. May 2022 Additional training being put in place for August 2022 staff conference. August 2022 Mitigating actions are robust. All staff and students are on campus from August 2022, and sessions on well-being and mental health continue to be delivered and staff are able to self October 2022 Additional staff in Students Services to help support well-being. Student Support Strategy in progress. Remploy an organisation to facilitate staff return to work is now being used to support. "We invest in wellbeing" survey issued to staff as part of Investors in People application with action plan formulated to deal with results..	
12	26/04/2021	1.1, 1.2, 1.3, 1.4, 1.5, 1.6, 1.7, 2.5, 2.6, 2.7, 3.1, 3.3	That the College cannot provide a robust learner experience supporting them onto their final destinations.	4	2	8	8	0	Relates to application and recruitment experience, students not receiving the appropriate or accurate information or the necessary access to support such as financial or health and wellbeing. Recruitment impacted by outdated systems impacting the experience. Also any delays to bursaries, additional IT equipment and discretionary support may impact.	Applications are monitored by the Student Services Team, review of application and enrolment system in train. Financial and emotional support offered by the Team. Team undertake regular training to provide the best possible service and to keep up to date with changes. Power BI now being used for curriculum planning and to ensure a more efficient application process. Other mitigations include •Same day response provided via dedicated student support email, including responses to financial and emotional crisis support. •Guidance and support staff available on campus for in person support on same day appointment basis. •Ongoing review of new Admissions electronic system to ensure smooth transition from application to enrolment. Additional work to be undertaken in this area via regular working group meetings. •Staff attendance at new Mental Health First Aid training, as provided by SLT. •Dissemination and attendance of external training opportunities, such as those provided by CDN, etc. •Review potential increase in counselling and guidance/support provision to ensure reduction in waiting times for emotional support. •Bursary software under review with developers. •Support being provided to SA including additional recruitment of new VP. •Provision of long term laptop loans via Library service to facilitate engagement in class and coursework. Jan 2022 •Robust electronic innovative induction process in place for Aug 2022 starts as well as refreshers in Jan 2022 includes video content. August 2022 Online application process now in place, with additional modules to be added. Barriers to progression removed for students. Curriculum planning process started the work of focussing on the pathways within the College highlighting the increased focus on destinations.	3	2	6	9	-3	Additional central funding has been received to allow additional resources to be brought in to address particular issues that may be exacerbated due to the COVID pandemic. Website refresh now out to tender. Power BI being used to for applications and curriculum planning. Review taking place regarding staffing resources to meet student needs of financial and emotional support. This includes reviewing the possibility of additional recruitment within student funding, guidance and support, etc, including student placements for counselling. May 2022 Current strike action by EIS is having a negative impact on the learning experience. EQA activity at risk due to lecturers potentially not engaging and resulting learners as well. August 2022 Mitigating actions have allowed this risk to be reduced due to the completion of the key system updates, removal of barriers to progress and clearer focus on supporting students to achieve their destinations. October 2022 Work in progress on reviewing business support functions supporting the learner recruitment journey. January 2023 Longer term review required.	A

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Next date of review 27 April 2023

No.	Date Raised	Link to Quality Indicators	Description	Impact Rating (1-4)	Probability Rating (1-4)	Risk Score	Previous submission risk score	Movement since last submission	Implications	Mitigation Action	Post-mitigation impact	Post-mitigation probability	Post-mitigation score	Previous submission mitigation score	Movement since last submission	Progress To Green: Key Actions	Comments
13	26/04/2021	3.1, 3.2, 3.4, 3.5, 3.6	That there is a failure of Corporate Governance arrangements	4	3	12	12	0	That the College would fail in its duties as a public body and charity to adhere to statutory expectations. Risk to business delivery; risk to reputation; risk to effective relations between SLC and NCL e.g. given journey towards dissolution and risk of distraction or tension and ensuing impact on operational delivery.	Effective training and development for all staff, including in relation to compliance; Effective T&D for the Board, given 10 new members, building on the recommendations of the EER and including consideration of culture and values of Board. Advice sought from appropriate bodies (SFC, IA, Good Governance Steering Group). Planning for the transition to dissolution will be important to ensure that we have the right systems, processes and relationships in place to take up position as a Regional college. Work already in train to identify agreed actions; SFC has established a liaison group involving themselves, Scottish Government and the two colleges. The Audit and Risk Committee are overseeing a formal, quarterly review of all audit recommendations on a rolling basis to ensure that all actions agreed are completed appropriately and according to timetable.  August 2022 The College has robust corporate processes in place; New scheme of delegation approved by the Board; Clerk has revised all Terms of Reference for the Committees; 2 Board Strategy days completed with a third in planned for 23 August 2022; Government Improvement Plan and Management Response to the Azets plans almost completed; New approach to register of interest; Revitalised and reinvigorated relationships with the regional board.  October 2022 Governance Audit is in train. Government Improvement Plan signed off by the Board of Management and agreed to incorporate this into the usual Board of Management Evaluation and Enhancement Plan. Strategy Day held with the Board of Management on Risk and Equality and Diversity held in Sept 2022 External Auditors content that regional board members and/ staff attend committee meetings.	3	2	6	9	-3	Awaiting finalisation of Board member induction programme. Board discussion on SFC report to progress recommendations. Awaiting clarification from SFC/SG on timeframe for dissolution to allow for planning.  Jan 2022 Governance Improvement Plan established post the SFC Governance review as well as input from internal auditors is now being actioned. Governance training and induction session taking place on 1st Feb 2022 which addresses the majority of actions.  May 2022 Board members have been inducted. Key policies have been updated, financial regulations and bribery have all been updated and approved by Committee. Disciplinary, capability and grievance also due to be signed off at next HR Committee meetings. Governance improvement plan shows progress against key actions. Board strategy day planned for 16 May 2022. Acting Principal now in place until investigation has been resolved. Risk now of reputational damage due to increase in press coverage. Challenges in recruiting key staff and risks around staff being able to leave for additional positions.  August 2022 Strategy Day planned for August 2022 Clerk to the Board reviewed key documentation New staff and student members appointed through the Clerk's successful recruitment. Significant progress made on Government Improvement and Management Response Plans. The College adheres strictly to the Code of Good Governance for Scottish Colleges.  October 2022 Mitigating actions supporting progress to green.	Acting Chair and Acting Principal in place. The latter of which has extensive experience of corporate governance and was part of the group responsible for the drafting and review of the Code of Good Governance for Scottish Colleges.  Recommend decoupling corporate governance risk with the ongoing investigations. This would include: Reputational damage risk Financial Risk.  Both the Clerk to the Board and the Chair of Audit and Risk Committee to be consulted.
14	24/01/2023	2.3, 3.2, 3.3	That there is a reputational risk to the College.	2	3	6	N/A		• That potential students, staff or Board members are deterred from enrolling / joining the College. • That the College suffers financial loss from a decrease in activity or loss of access to potential income streams.	• Staff development sessions on, for example, inclusiveness and diversity being part of mandatory training for staff; • Regular staff meetings including annual all-staff conference; • College has complaints procedure, clearly highlighted on website; • Extensive governance training for senior staff and Board members being delivered as part of a rolling programme of development	2	3	6	N/A	• Strategy being developed to ensure that "good news" stories are gathered centrally and distributed accordingly, particularly via social media; • The implications of impending decrease in allocation of central funding or activity to be managed accordingly in terms of publicity and student / staff perception and morale; • Action plan being formulated to address issues raised in staff survey	Acting Chair and Acting Principal in place. The latter of which has extensive experience of corporate governance and was part of the group responsible for the drafting and review of the Code of Good Governance for Scottish Colleges.  Recommend decoupling corporate governance risk with the ongoing investigations. This would include: Reputational damage risk Financial Risk.	

Risk Key  
Low 1-4  
Medium 5-11  
High 12-16

Risk Key  
1-4  
5-11  
12-16

### BOARD OF MANAGEMENT

<b>DATE</b>	March 2023
<b>TITLE OF REPORT</b>	Gender Pay Gap Report
<b>REFERENCE</b>	23
<b>AUTHOR AND CONTACT DETAILS</b>	Gary McIntosh, Head of Human Resources <a href="mailto:gary.mcintosh@slc.ac.uk">gary.mcintosh@slc.ac.uk</a> Elaine Ballantyne, Equality Officer <a href="mailto:elaine.ballantyne@slc.ac.uk">elaine.ballantyne@slc.ac.uk</a>
<b>PURPOSE:</b>	For members to review the Gender Pay Gap Report.
<b>KEY RECOMMENDATIONS/ DECISIONS:</b>	Members are recommended to note the content of the Gender Pay Gap Report.
<b>RISK</b>	The College is required to publish the Gender Pay Gap Report.
<b>RELEVANT STRATEGIC AIM:</b>	Highest Quality Education & Support – valued & enthusiastic staff; high-quality support services; productive partnerships  Sustainable Behaviours – effective leadership and management; excellent governance; continuing professional appropriate risk management
<b>SUMMARY OF REPORT:</b>	The Gender Pay Gap Report, reviewed and endorsed by the HR Committee on 23 <sup>rd</sup> February 2023.

# Gender Pay Gap

2023

## Document Information

<b>Procedure Published/Created:</b>	30 March 2023
<b>Reviewed Date:</b>	Not Applicable
<b>Owner:</b>	Human Resources Team
<b>Approved by:</b>	
<b>Equality Impact Assessment:</b>	
<b>Next Review Date:</b>	March 30 <sup>th</sup> 2025

## Version History

<b>Version Number</b>	<b>Date</b>	<b>Author</b>	<b>Rationale</b>
1.0	30 March 2023	Human Resources	

## Quick Links

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## Foreword by Acting Principal and Chief Executive

As one of Scotland's top performing Colleges, South Lanarkshire College is proud to be an organisation that values equality, diversity and inclusion. This is reflected in our impressive collection of accreditations in recent years, including:

- Leaders in Diversity
- Disability Confident Employer
- LGBT Youth Charter Silver
- Carer Positive Engaged Employer
- We Invest in Wellbeing Platinum
- We Invest in People Standard

Our key values guide us daily, and our "we are inclusive and diverse" value extends to ensuring equality across our remuneration practices, and minimising or mitigating bias in our pay systems on the grounds of protected characteristics including gender.

We recognise that it is good business practice and in the best interests of the College to ensure that there are fair and just pay systems in place. It is important that staff are aware of our commitment to ensuring that there is no bias in the pay systems.

Finally, we are committed to making full use of this Gender Pay gap report, to help us understand the size and causes of pay gaps, to identify any issues that need to be addressed.

Alan Sherry  
**Acting Principal and Chief Executive**



Leaders  
in Diversity  
Award

Achieved.  
Valid Until  
December 2023

## 1.0 Introduction

South Lanarkshire College is committed to the provisions of the Equality Act 2010 and aims to constantly promote equality in its work. The College strives to eliminate any gender bias or discrimination of any kind in its pay and grading structure. We recognise that equal pay across gender, race and disability is a legal right under the Equality Act 2010 (Specific Duties) (Scotland) Regulations 2012.

The objectives of South Lanarkshire College are to:

- Eliminate any unfair, unjust or unlawful practices that impact on pay
- Reduce the gender pay gap
- Ensure that all staff have fair access and opportunities in relation to recruitment, training and development

The purpose of this report is to outline the progress South Lanarkshire College has made in meeting the specific duties to publish an update on our gender pay gap information.

The College notes increasing under-representation of males across the national Further-Education College sector.

The requirements to report progress on mainstreaming equality can be found in the Public Sector Equality Duty, Interim Equality Mainstreaming Report 2023, within the Equality section of the College website.

## 2.0 Gender Pay Gap – Overview

The gender pay gap differs from equal pay. Equal pay deals with the pay differences between men and women who carry out the same jobs, similar jobs or work of equal value.

South Lanarkshire College understands the importance of gender pay gap reporting in assessing levels of equality within the workplace. The six measures of the Gender Pay Gap are:

### Mean Gender Pay Gap

- The difference between the mean hourly rate of pay of male full-pay relevant employees and that of female full-pay relevant employees

### Median Gender Pay Gap

- The difference between the median hourly rate of pay of male full-pay relevant employees and that of female full-pay relevant employees.

### Mean Bonus Gap

- The difference between the mean bonus pay paid to male relevant employees and that paid to female relevant employees.

### Median Bonus Gap

- The difference between the median bonus pay paid to male relevant employees and that paid to female relevant employees.

### Bonus Proportions

- The proportions of male and female relevant employees who were paid bonus pay during the relevant period

### Quarter Pay Bands

- The proportions of male and female full-pay relevant employees in the lower, lower middle, upper middle and upper quarter pay bands

### 3.1 Gender Pay Gap

The table below shows the difference in the Mean and Median Gender Pay Gaps.

<b>Difference between men and women</b>	<b>Mean (Average)</b>	<b>Median (Middle)</b>
Gender Pay Gap 2023	9.30%	4.72%
Gender Pay Gap 2021	9.48 %	9.65 %
Gender Pay Gap 2019	13.24 %	6.04 %
Gender Pay Gap 2017	16.67 %	27.63 %

The table above shows our overall mean and median gender pay gap based on hourly rates of pay as at the snapshot date (31 March 2022) for 352 staff within our workforce: 216 women (61%) and 136 men (39%)

The mean provides the overall indication of the size of the gender pay gap. This is our fourth report which shows a continuous improvement in the Mean Gender Pay Gap.

The median pay gap is the difference between the midpoints in the ranges of hourly earnings of females and males. It takes all salaries in the sample, lines them up in order from lowest to highest, and picks the middle salary.

The main reason for the difference between the mean and median pay gap is that on the snapshot date there was a shift in gender, with a proportion of males replacing female roles in the upper quarter and upper middle quarters, compared to previous years. In addition, we continue to have a high percentage of females in the lower quarter pay band.

### 3.2 Gender Pay Bonus Gap

The table below shows the difference in the Mean and Median Gender Bonus Gaps.

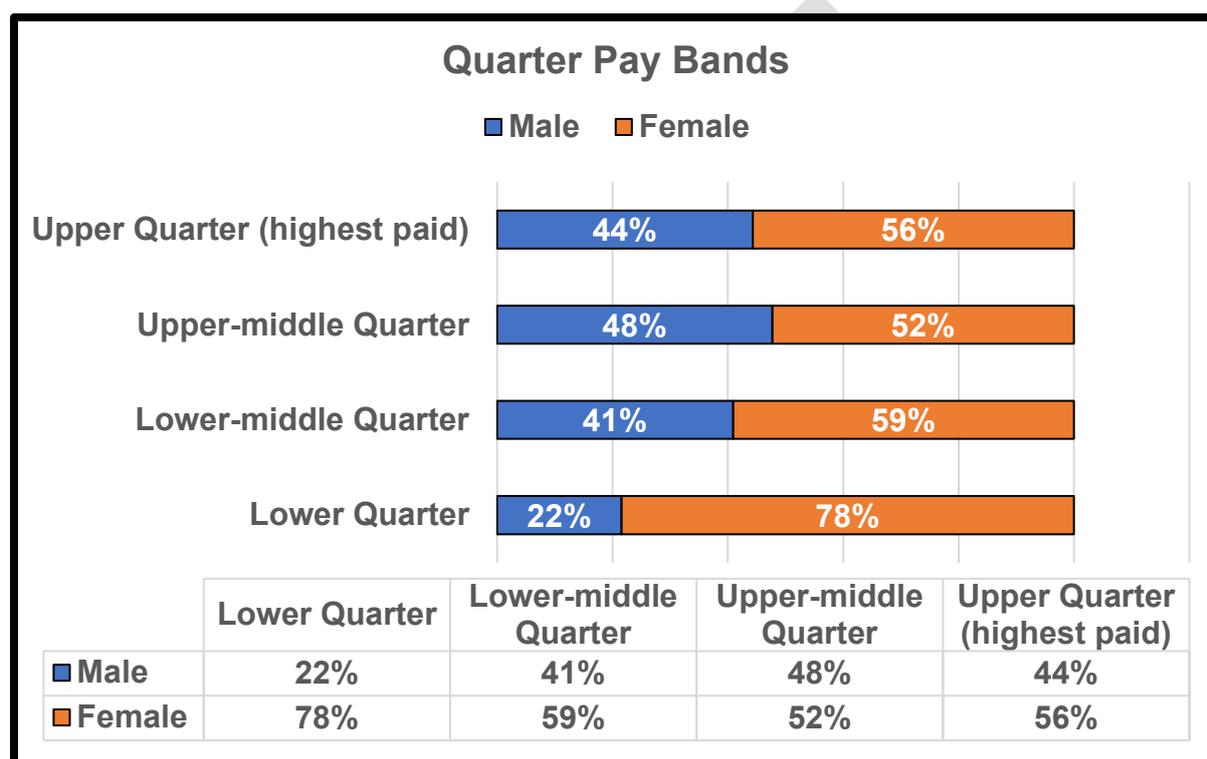
<b>Difference between men and women</b>	<b>Mean (Average)</b>	<b>Median (Middle)</b>
Gender Bonus Gap 2023	0%	0%

The College does not make bonus payments and therefore this gap is zero, including the Bonus Proportions between men and women.

### 3.3 Quarter Pay Bands

The College Quarter Pay Bands are the proportion of male and female full-pay relevant employees in the lower, lower middle, upper middle and upper quarter pay bands. Each pay quarter represents 25% of our total workforce ranked by pay.

The relative proportions of male and female employees in each quarter pay band is demonstrated below:



The graphs and table show what males and females are paid across the College-wide salary range. This includes women representing 56% of employees in the highest salary quarter across the College highlighting that there is no glass ceiling for the earning of females within the College.

The College fixed salary points for Lecturing staff have a significant number of Lecturing staff on the same salary point, due to tenure and experience in the Upper Quarter and Upper Middle Quarter. Upon examination of this, there is no disadvantage to female colleagues at either of these salary bandings.

The lower quarter has a significant proportion of female colleagues. This quarter has impacted the overall mean and median scores and has resulted in lower rates for female employees for both metrics.

Therefore, we know that our gender pay gap is not a pay issue but rather down to occupational segregation, caused by a lack of representation in certain roles.

### 3.4 Gender Balance Action Plan

Attract & nurture the widest possible gender talent pool:

- Continue to attract women into the Construction Faculty.
- Seek to diversify further in roles where there is a gender imbalance through positive recruitment steps.

Continue to reinforce “diversity & inclusion” as key values of the College:

- Continued collaboration with employment & diversity partnerships.
- Ensure “diversity & inclusion” are embedded across all conversations and throughout the employee journey.
- Continue to Equality Impact Assess all policies, procedures and processes across the College.

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### BOARD OF MANAGEMENT

<b>DATE</b>	March 2023
<b>TITLE OF REPORT</b>	Public Sector Equality Duty Interim Report
<b>REFERENCE</b>	24
<b>AUTHOR AND CONTACT DETAILS</b>	Gary McIntosh, Head of Human Resources <a href="mailto:gary.mcintosh@slc.ac.uk">gary.mcintosh@slc.ac.uk</a> Elaine Ballantyne, Equality Officer <a href="mailto:elaine.ballantyne@slc.ac.uk">elaine.ballantyne@slc.ac.uk</a>
<b>PURPOSE:</b>	For members to review the Public Sector Equality Duty Interim Report.
<b>KEY RECOMMENDATIONS/ DECISIONS:</b>	Members are recommended to note the content of the Public Sector Equality Duty Interim Report.
<b>RISK</b>	The College is required to publish the Public Sector Equality Duty Interim Report failure to do would be a statutory breach.
<b>RELEVANT STRATEGIC AIM:</b>	Highest Quality Education & Support – valued & enthusiastic staff; high-quality support services; productive partnerships  Sustainable Behaviours – effective leadership and management; excellent governance; continuing professional appropriate risk management
<b>SUMMARY OF REPORT:</b>	The Public Sector Equality Duty Interim Report, reviewed and endorsed by the HR Committee on 23 <sup>rd</sup> February 2023.

# Public Sector Equality Duty

Equality Mainstreaming Report

Published date: April 2023

## **Executive Summary**

The Board is proud of its commitment to, and progress of, Equality as a core value. This interim report is designed to meet the legal responsibilities under the Equality Act 2010 meeting the requirements of the Public Sector Equality Duty. This report should be read in conjunction with the Gender Pay Gap Report and the Equality Outcomes for the period 2021-2025.

The Board has sought to embed equality across all aspects of its work through its strategy, leadership and values. The 3 General Duties are embedded in College working practices. These duties are:

- General Duty 1: Eliminate Unlawful Discrimination, Harassment and Victimisation;
- General Duty 2: Advance Equality of Opportunity; and
- General Duty 3: Foster Good Relations

Work is ongoing to progress the 4 Equality Outcomes with the support of the Equality Group.

The College reviews routinely employee data, as well as data for job applicants, those who progressed to employment and for people who left employment during this period. The College equality data demonstrates that people across all protected characteristic groups have equality of opportunity for gaining employment and developing their careers with the College.

The College recognise the potential for further developments to meet the needs of both our employee and student populations and, therefore, the Outcomes set for 2021-2025 are focussed on this ambition.

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## 1.0 Introduction

At South Lanarkshire College, we are proud of our commitment to ensuring equality, diversity and inclusion for our entire College community and for this to be enshrined in our core values. This interim report provides the opportunity for the College to articulate that commitment, demonstrate our equality outcomes progression, and to outline how it meets the general and specific duties of the Public Sector Equality Duty (PSED) of the Equality Act 2010.

This report provides information on the Public Sector statutory reporting duties and equality activities as an employer, education provider and member of our community.

The report contains the following sections:

- The legal context
- Equality mainstreaming
- Progress of equality outcomes
- Employee information

Copies of this report are available via:

- The College website: <https://www.slc.ac.uk/about-us/equality-and-inclusion/>

To request this document in an alternative format please contact: [equality@slc.ac.uk](mailto:equality@slc.ac.uk) or Equality Officer – 01355 807382.



## 2.0 The Legal Context

The following sections details the legal context of this report.

### 2.1 The Equality Act 2010

The Equality Act 2010 came into force in October 2010 to protect legally people from discrimination in the workplace and in wider society. It replaced previous anti-discrimination laws with one single Act, making the law easier to understand and strengthening protection in some situations. It sets out the different ways in which it is unlawful to treat someone.

The Equality Act 2010 requires all public authorities to fulfil the requirements set out in the Act in the Public Sector Equality Duty (PSED).

### 2.2 The Public Sector Equality Duty

The Public Sector Equality Duty, created as part of the Equality Act 2010, consists of a general duty and specific duties. The PSED came into force in April 2011, replacing previous separate equality duties for disability, gender and race. It requires the College to have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Equality Act 2010
- Advance equality of opportunity between people from different protected characteristic<sup>1</sup> groups, considering the need to:
  - Remove or minimise disadvantages suffered by people due to their protected characteristics
  - Meet the needs of people with protected characteristics
  - Encourage people with protected characteristics to participate in public life or other activities where their participation is low
- Foster good relations between people from different protected characteristics groups, tackling prejudice between people from different groups

The PSED has specific duties for the College to better meet the general duties. They are:

1. Report on progress on mainstreaming the general duty into all functions every two years
2. Publish and deliver a set of equality outcomes that cover all protected characteristics every four years
3. Assess the impact of new and revised policies and practices against the needs of the general duty on an ongoing basis
4. Gather and publish information on the protected characteristics of employees to inform progress and action towards the mainstreaming duty every two years
5. Publish gender composition of the governing body and the steps taken towards diversity among the governing body members as part of the mainstreaming duty every two years
6. Publish gender pay gap information every two years
7. Publish statements on equal pay for gender, race and disability every four years
8. Have due regard to the general duty of procurement
9. Publish the above information in a manner that is accessible

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<sup>1</sup> Protected characteristics from the Equality Act are: age, disability, gender reassignment, marriage and civil partnership (in employment), pregnancy and maternity, races (includes nationality), religion and belief (including no religion or belief), sex & sexual orientation.

## 2.3 Protected Characteristics Defined

South Lanarkshire College takes full account of the protected characteristics as defined in the Equality Act 2010.



It is against the law to discriminate against someone because of any of the following nine protected characteristics:

- **Age** - A person belonging to a particular age (for example 32-year-olds) or range of ages (for example 18 to 30 year olds).
- **Disability** - A person has a disability if they have a physical or mental impairment which has a substantial and long-term adverse effect on that person's ability to carry out normal day-to-day activities.
- **Gender reassignment** - The process of transitioning from one gender to another.
- **Marriage and civil partnership** – Marriage is a union between a man and a woman or between a same-sex couple. Same-sex couples can also have their relationships legally recognised as 'civil partnerships'. Civil partners must not be treated less favourably than married couples (except where permitted by the Equality Act).
- **Pregnancy and maternity** - Pregnancy is the condition of being pregnant or expecting a baby. Maternity refers to the period after the birth and is linked to maternity leave in the employment context. In the non-work context, protection against maternity discrimination is for 26 weeks after giving birth, and this includes treating a woman unfavourably because she is breastfeeding.
- **Race** - Refers to the protected characteristic of race. It refers to a group of people defined by their race, colour, and nationality (including citizenship) ethnic or national origins.
- **Religion and belief** - Religion refers to any religion, including a lack of religion. Belief refers to any religious or philosophical belief and includes a lack of belief. Generally, a belief should affect your life choices or the way you live for it to be included in the definition.
- **Sex** – A man or a woman.
- **Sexual Orientation** - Whether a person's sexual attraction is towards their own sex, the opposite sex or to both sexes.

Further information on Protected Characteristics can be found on the Equality and Human Rights Commission website: <https://www.equalityhumanrights.com/en/equality-act/protected-characteristics>

## 3.0 Equality Mainstreaming

Mainstreaming equality within the College is how the approach to equality, diversity and inclusion are included with everyday activities and processes. The College community seeks to embrace equality in all aspects of its work. This is evidenced in the following sections:

- Equality from our Strategy, Leadership and Values
- General Duty 1: Eliminate Unlawful Discrimination, Harassment and Victimisation
- General Duty 2: Advance Equality of Opportunity
- General Duty 3: Foster Good Relations

### 3.1 Equality from our Strategy, Leadership, Policies, Procedures

This section reviews the impact of Equality across Strategy, Leadership, Policies and Procedures.

#### 3.1.1 Equality from our Strategy

The Vision and Mission statements set out the high level ambitions for the College Community, how approaches to promote student success are planned and engagement with the wider College Community. These statements are supported by a set of Values which govern outline expected behaviours.

These are shown below:

##### Vision

- To be Scotland's leading college delivering excellence

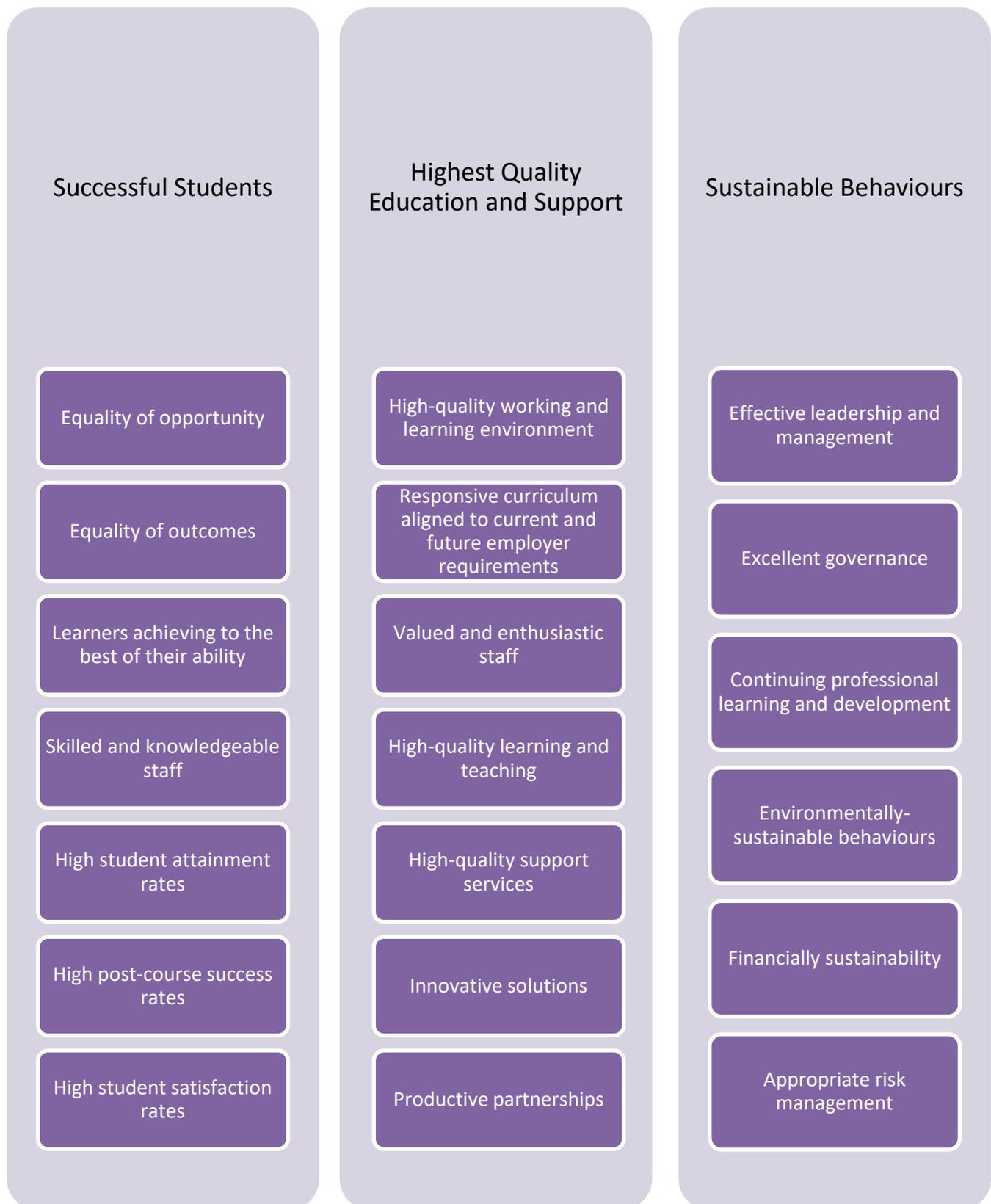
##### Mission

- Preparing learners well for their future, in an outstanding learning environment and inclusive community

##### Values

- Inclusive and diverse
- Passionate about our roles and responsibilities
- Continually improving
- High achieving
- Reducing our environmental impact
- Delivering community and social value
- Committed to health, safety and wellbeing
- Creative and innovative
- A listening organisation

The Value of being “*inclusive and diverse*” is central to all College activities and to the achievement of the three strategic priorities below:



The strategic priorities seek to ensure that College values are central to creating equality of opportunity and outcomes for our student and employees, recognising the importance of inclusive student support; of effective stakeholder engagement and of effective leadership and management. <https://www.slc.ac.uk/media/hwjea2tq/strategy-2020-25.pdf>

### 3.1.2 Equality from Leadership

The approach to Equality is empowered by Leadership as follows:

- The Board of Management has an integral role in ensuring that the College fulfils the requirements set for all public authorities by the Equality Act 2010, including the Public Sector Equality Duty and Scottish specific duties. The Board of Management includes voluntary commitment of 16 members, plus a co-opted member, with a wealth of experience from the public, private and third sectors. <https://www.slc.ac.uk/about-us/our-board/>
- The Board of Management has an integral role in supporting equality and diversity in the College, by ensuring the College meets its legal responsibilities and in helping to build a diverse and representative governing body.
- The Principal, as the Chair of the College Equality Group, has delegated authority from the Board for the executive responsibility for equality, diversity and inclusion and is responsible for ensuring that all staff across the College understand their important responsibilities in terms of equality.
- The Equality Group incorporates members from across the College, inclusive of employees and our student body. The Group meets on a regular basis to examine and consider equality related issues. This Group also provides a central focus for distributing information to appropriate groups for dissemination and action.
- The Equality Officer supports and promotes the integration of equality and diversity initiatives into the provision of all services by liaising with internal and external partners.

### 3.1.3. Equality from Policies and Procedures

The Board has the following policies that provide the framework for equality:

- Attendance Management and Support Procedure
- Admissions Policy and Procedure
- Adoption Policy
- Bursary Appeals Policy
- Capability Procedure
- Caring for Carers Guidance
- Carers Policy
- Code of Practice on Whistleblowing
- Dignity at Work Policy
- Disciplinary Procedure
- Employee Wellbeing Policy
- Equality Policy
- Further Education Bursary/Educational Maintenance Allowance Guidelines
- Gender-Based Violence Prevention and Support Policy
- Grievance Procedure
- Induction Policy
- Managers Charter
- Maternity, Paternity and Adoption Policy
- Menopause Policy
- New and Expectant Mothers Policy
- Parental and Family Leave Policy
- Personal & Domestic Leave Policy
- Protecting and Safeguarding Policy
- Retirement Policy

- Shared Parental Leave Policy
- Student Mental Health Agreement
- Whistleblowing Policy



### 3.1.4. Equality Impact Assessments

All policies, processes and plans within the College are Equality Impact Assessed to ensure that they support those with protected characteristics. A full list of these is available on the Equality Section of the College Website:

<https://www.south-lanarkshire-college.ac.uk/about-us/equality/>

The College meets the requirements of the Duty to mainstream equality by continuing to assess the impact of policies, practices and plans. The College continually gathers and considers evidence relating to different equality groups and ensures that, through consultations and involvement, that plans are progressed based on evidence. The College provides staff training on conducting impact assessments and hosts briefing and feedback sessions.

### 3.1.5 Equality from our plans and strategies

#### Access and Inclusion Strategy

- The Access and Inclusion Strategy outlines the steps taken, and will continue to take, to demonstrate the Board's commitment to ensuring equalities remains an integral part of College life. The College is committed to reviewing regularly and refocusing priorities to ensure that they continue to support progress in this key area. The Strategy was last reviewed and updated in 2020 and due for review during 2023.
- <https://www.south-lanarkshire-college.ac.uk/about-us/equality/access-inclusion/>

#### British Sign Language Plan

- In accordance with the BSL (Scotland) Act 2015, all colleges, universities, NHS Boards, local authorities and other public bodies, were required to publish their own BSL Plans by October 2018.
- The plan for South Lanarkshire College aligns with the current BSL National Plan 2017 – 2023 and supports our 20/20 vision.
- [British Sign Language Plan](#)

#### Carers

- South Lanarkshire College works to ensure that student carers can gain qualifications in a learning environment that is rewarding and ensures equal opportunities with no barriers to entitlement or success. To support the commitment to taking the necessary steps to identify, support and report on student carers, the Board has put in place a Student Carers Policy and Student Care Support Plan which outlines the support available. The College is a 'Carer Positive' Engaged Employer. And, in 2020, the College was awarded *the Going Further for Student Carers: Recognition Award*, in recognition of the significant effort and energy which is invested to support our student carers to achieve their full potential.

- [Student Carers Policy](#)
- [Carer Support Plan](#)
- [SLC Statement of Intent](#)
- [Supporting our Student Carers](#)
- [Strategic Outcomes](#)
- [Supporting our Student Carers – Action Plan](#)

## Corporate Parenting Plan

As part of the Children and Young People (Scotland) Act 2014 Part 9, the College is identified as a 'corporate parent'. These duties and responsibilities ensure the attention and resources of the College are focused on the supporting, promoting and the wellbeing of looked after children and young people. A college-wide approach to supporting all students is promoted and the necessary actions are taken to support the health and wellbeing of this student group to ensure they can fulfil their potential and move to a positive outcome.

The College has developed a strategy and action plan to facilitate this support and has reporting measures in place to allow for performance review, including by the Safeguarding Group, which is responsible for review of the Corporate Parenting Plan.

- [Corporate Parenting Plan](#)
- [Corporate Parenting Action Plan](#)

## Gender Based Violence

As part of the vision for all staff and students to prosper and flourish in a safe, supportive, inclusive learning environment. The has approved a Gender Based Violence Prevention & Support Policy, Strategy and Action Plan to underpin activity in this area. These documents are available on the dedicated GBV webpage: <https://www.slc.ac.uk/students/www-slc-ac-uk-support/gender-based-violence/>

- [Gender-based Violence Prevention Strategy](#)
- [Gender-based Violence Prevention Action Plan](#)
- [Student & Staff Gender-based Violence Prevention & Support Policy](#)

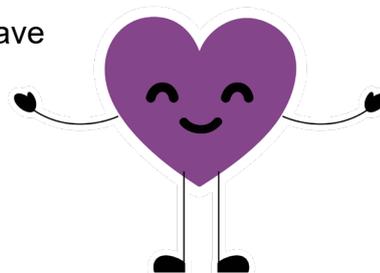
College work in this area has been recognised by its inclusion as one of only 4 Scottish institutions to take part in the Emily Test GBV Charter Pilot. Following on from the completed Pilot, the College successfully applied to undertake the full Emily Test Charter and is currently working towards this standard. To date the College has implemented a range of actions and will continue to review these as part of the Charter process.

In addition, the College has recently engaged with White Ribbon Scotland as it seeks to develop its approach to tackling GVB.

### 3.1.6 Communication and Involvement

The College has launched two enabling resources to encourage understanding, engagement and commitment to equality, diversity and inclusion. These are:

- Data disclosure animation: video animation strategically placed to capture both student and staff protected characteristics, ensuring that they understand why we collect this information. [FREDIE - Equality for all](#)
- FREDIE icon: as a Leader in Diversity accredited organisation, we have embraced the six FREDIE principles: Fairness, Respect, Equality, Diversity, Inclusion and Engagement. We have created an icon to promote these principles across the employee and student journeys.



### **3.2 Eliminate Unlawful Discrimination, Harassment and Victimisation**

The general duty to eliminate unlawful discrimination, harassment and victimisation is fundamental to the way we operate as an employer, education provider and member of community.

The College continues to meet this duty through:

#### **Training:**

- To ensure all staff fully understand, comply and engage with the College policy in relation to equalities, equality, diversity and inclusion focused training plays a key part of our continuous professional development.
- There are five staff development days delivered in each academic year that all staff are invited to attend.
- Continuing professional development opportunities are regularly offered.
- In addition, the College introduced an online mandatory training package which includes Equality and Diversity Training.

#### **Communication**

- The College uses various forms of communication to highlight the importance of prevention in relation to discrimination, harassment, and victimisation.
- To ensure the College community can recognise and challenge injustice, promotional and awareness campaigns are provided on social media, electronic screens, and posters throughout campus and on toilet doors.
- These campaigns provide an opportunity to raise awareness and to signpost to external organisations.

Examples include:

- Covid Respect Campaign
- Mental Health Awareness
- Scotblood Blood Donation
- LGBT Helpline (confidential information and support)
- LGBT Youth Scotland – Stand up, speak out! (silence helps homophobia)
- The College is a third-party Hate Crime Reporting Centre with staff trained in supporting people to report crimes if they do not want to go to the police.

### **3.3 Advance Equality of Opportunity**

The general duty of advancing equality of opportunity is important to both students and employees. This is identified at a strategic level within the College and is cascaded throughout its activities

- The College has implemented a range of approaches and assistive technologies to support equality of opportunity, including: Reachdeck – adds text to speech functionality to web-sites
- ClaroRead – helps with reading, writing, studying
- Induction loops to support hearing

The College has received a number of accreditations and accolades in recognition of our efforts to advance equality of opportunity including:

- LGBT Youth Scotland Silver Award
- Leaders in Diversity Accreditation
- Investors in People Accreditation
- We Invest in Wellbeing Platinum Accreditation
- Carer Positive Engaged Employer

- Disability Confident Employer

### **3.4 Foster Good Relations**

The general duty of fostering good relations is part of how the College conducts its daily business.

All protected characteristics are taken into consideration during the creation, development, and evaluation of the curriculum to ensure the three needs of the general duty are considered. This includes an analysis of the protected characteristics in relation to enrolment, early withdrawal, further withdrawal, partial success and completed successfully.

The College organises regularly community events in partnership with a wide range of community organisations. These events provide the College with opportunities has to continue to promote awareness and understanding between people with different protected characteristics.

- Freshers and Refreshers
- World Mental Health Day – PostiviTea Event
- Mental Health Awareness Week
- Health & Wellbeing Event
- Promoting Positive MENTAL Health Campaign
- LGBT History Month and Purple Friday
- Equality & Choices Event
- Switching Gears Festival – Inclusive Cycling Event
- Regular student care-experienced lunches
- 16 Days of Action against GBV
- Movember
- Estranged Students Solidarity Week
- Care Experienced Week
- Carers Week
- Loaves and Fishes Foodbank Collection

## 4.0 Progress of Equality Outcomes

South Lanarkshire College has made progress with the implementation of our Equality Outcomes for 2021 – 2025. This section details progress made by the College.

### 4.1 Overview of Equality Outcomes

The Board of Management approved four equality outcomes to be achieved by 2025 (see Appendix A). The Equality Group manages the progression of these outcomes which are regularly reviewed by Human Resources Committee (a sub-committee of the Board of Management).

The Equality Group, through workshops, considered each of the equality outcomes and identified key milestones for each. These are shown below.

The following identifies colour-coded key represent the progress status for each equality outcomes.

	On Track
	Not started
	Behind schedule / Concern

The following is a status update on each of the equality outcomes:

Status	Outcome
	Outcome 1 – Develop the engagement of underrepresented students and staff groups through an increase in tailored peer support groups.
	Outcome 2 - Annual engagement with three organisations to enable and progress our recruitment and management of employee and students across identified underrepresented groups.
	Outcome 3 – Use proactive marketing and communicating during recruitment, onboarding and throughout the student and employee journey to increase awareness and promote the fostering of good relations, tolerance and respect for diversity. Ensure that at least 90% of these populations have awareness of equality and diversity practices.
	Outcome 4 – Ensure at least 90% of staff undertake equality, diversity and inclusion training and that all students offered training to ensure awareness and understanding of legal and College expectations for everyone in our community.

#### 4.2 Develop the engagement of underrepresented student and staff groups through an increase in tailored peer support groups

The following is a status update on each of the milestones for this equality outcome:

Status	Action	Comments
	Agree Action Plan & Ownership	Agreed at Equality Group Workshop on 28 <sup>th</sup> September 2022
	Identify peer support groups for employees	Already identified and established needs for each group
	Identify peer support groups for students including: understanding the greatest support requirements for disabled people; and support for ESOL (English to speakers of other languages) students	Already identified and established needs for each group
	Regular peer support group activities for employees	
	Regular peer support group activities for students	

#### 4.3 Annual engagement with three organisations to enable and progress our recruitment and management of employees and students across identified underrepresented groups

The following is a status update on each of the milestones for this equality outcome:

Status	Action	Comments
	Agree Action Plan & Ownership	Agreed at Equality Group Workshop on 28 <sup>th</sup> September 2022
	Identify organisations to partner with to improve our recruitment and management of employees	Already identified
	Identify organisations to partner with to improve our recruitment and management of students	Already identified
	Implement action plans to improve our recruitment and management of employees in the identified, underrepresented groups	
	Implement action plans to improve our recruitment and management of Students in the identified, underrepresented groups	

4.4 Use proactive marketing and communicating during recruitment, onboarding and throughout the student and employee journey to increase awareness and promote the fostering of good relations, tolerance and respect for diversity

The following is a status update on each of the milestones for this equality outcome:

Status	Action	Comments
	Agree Action Plan & Ownership	Agreed at Equality Group Workshop on 28 <sup>th</sup> September 2022
	Create and implement a marketing and communication plan for students and employees to ensure an awareness of our Equality and Diversity practices, including the updating of employee and student induction material and implementing a FREDIE calendar	Marketing plan in progress.  Employee and student journeys are being redesigned to capture this outcome.  FREDIE calendar in progress.
	Measure the awareness and understanding of employees around our Equality and Diversity practices	
	Measure the awareness and understanding of students around our Equality and Diversity practices	

4.5 Ensure at least 90% of staff undertake equality, diversity and inclusion training and that all students offered training to ensure awareness and understanding of legal and College expectations for everyone in our community

The following is a status update on each of the milestones for this equality outcome:

Status	Action	Comments
	Agree Action Plan & Ownership	Agreed at Equality Group Workshop on 28 <sup>th</sup> September 2022
	Identify training solution for employees	Training identified and purchased.
	Identify training solution for students	Training option being reviewed
	Include tailored training to the Learning Management System and communicate the learning requirement to all employees	In progress, working with vendors and internal colleagues
	Include tailored training to the Learning Management System and communicate the optional learning requirement to all student	
	Promotion of training courses throughout the year	
	Review the completion rates and achievement levels for all employees	
	Review the completion rates and achievement levels for all students	

## 5.0 Employee Information

To give full consideration to equality related issues, the College systematically gathers data relating to all protected characteristics<sup>2</sup> for staff, as well as during the recruitment, development and retention stages. This is split into the following sections, starting with the Board of Management Equality Data, then into Staff, Recruitment, Development and Retention data.

Note that the Gender Pay Gap Report is published separately on our website at:

<https://www.slc.ac.uk/about-us/equality-and-inclusion/>

Copies can also be obtained from: [equality@slc.ac.uk](mailto:equality@slc.ac.uk) or by contacting the Equality Officer on 01355 807382.

Recognising the sensitivity of the data, employees always have an option to “*not declare*” any or all of their protected characteristics during any data gathering milestone.

During the data collection stage this year the response rate of staff submitting equality data remained high at 72%.

### 5.1 Board of Management Equality

The Board of Management has a voluntary commitment of 16 members, plus a co-opted member, including two staff representatives, two student representatives and the Principal. Further information on the Board of Management can be found on the College website: <https://www.south-lanarkshire-college.ac.uk/about-us/about-the-board-of-management/>

The College gathers anonymised equality data from the Board across all protected characteristics. Collecting this data helps to support future diversity as part of workforce planning.

The Board gender balance is currently 50% female and 50% male which support the Scottish Government policy of promoting greater boardroom diversity.

### 5.2 Staff Equality Data

As at 31<sup>st</sup> March 2022, the College employed 352 staff in a range of lecturing and support roles. This is an increase in headcount of 6 staff since 31<sup>st</sup> March 2021. Staff are employed, as required, on a full-time, part-time, permanent or temporary basis and a significant range of flexible working arrangements are provided.

Staff equality data is collected for the full range of protected characteristics. Some technical challenges with our monitoring system have resulted in higher levels of non-disclosure. The College is aware of these issues and is taking action to improve data recording and processing. Overall, the College is encouraged by the level of response and disclosure.

The data below provides an overview the two-year period: 2020 – 2022 This data is an analysis of responses to the annual staff equality monitoring process.

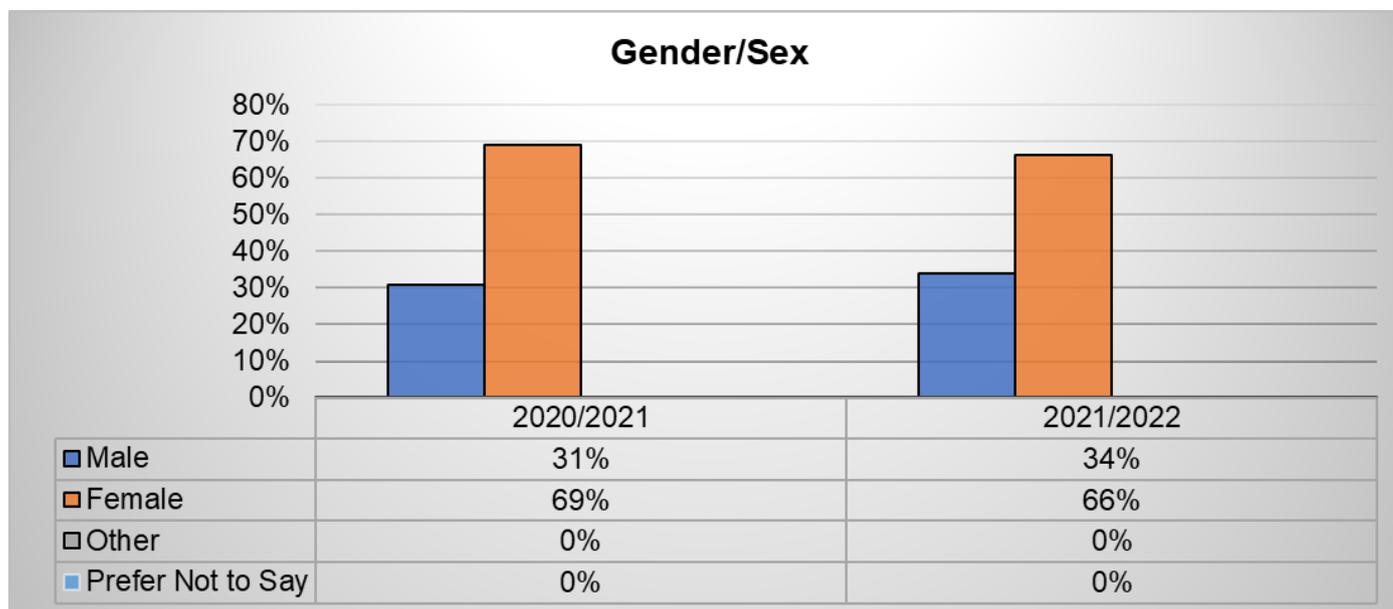
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<sup>2</sup> Protected Characteristics as per the Equality Act 2010 and the Public Sector Equality Duty are: Age; Disability; Gender Reassignment; Marriage & Civil Partnership; Pregnancy & Maternity; Race / Ethnicity; Religion or Belief; Sex / Gender; and Sexual Orientation

To ensure confidentiality, where the number of staff with a particular protected characteristic is numerically low, we have chosen to replace the chart and table with a statement. This will be highlighted by FREDIE.



### 1: Staff Gender/Sex



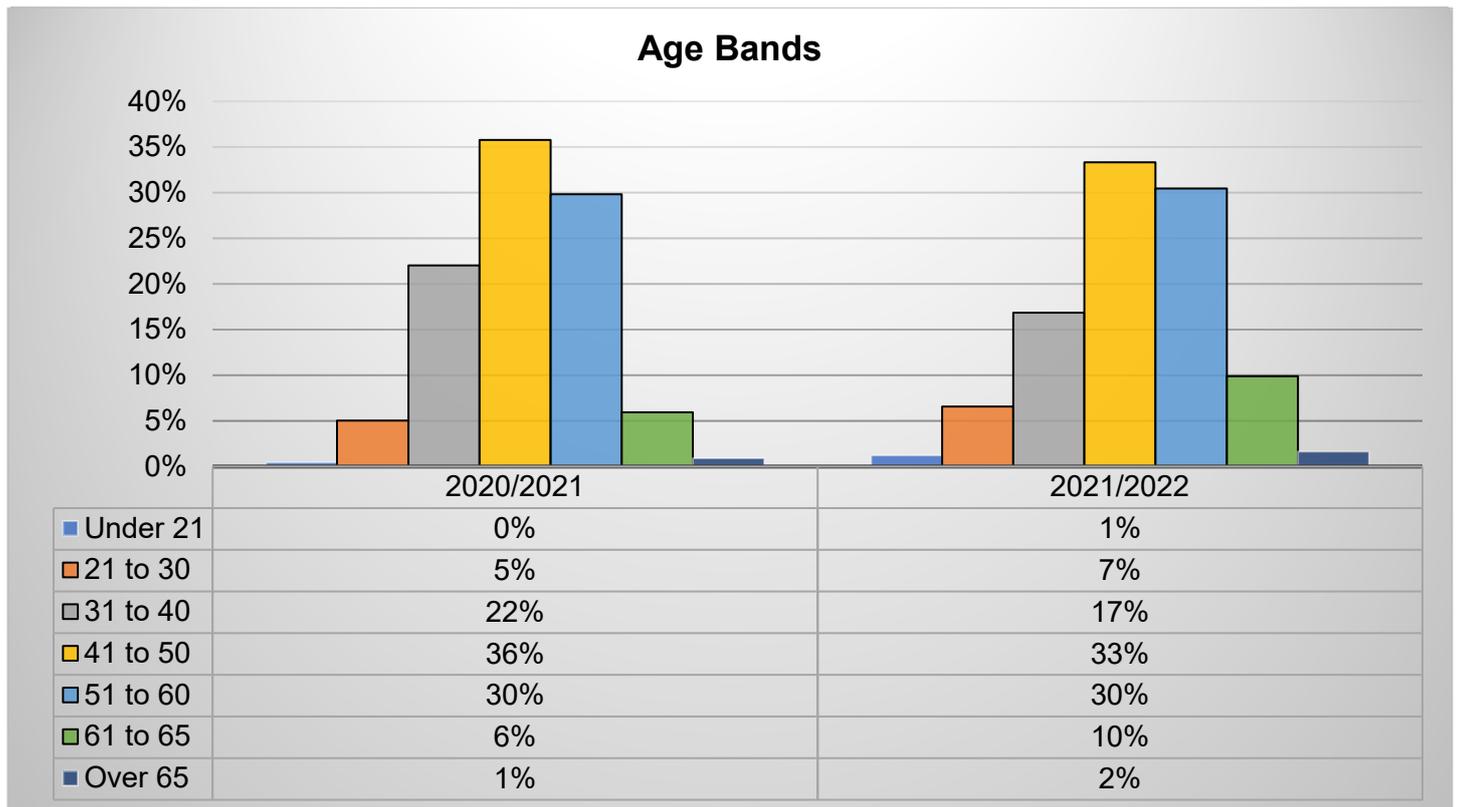
Two-thirds of staff continue to be female, which is driven by occupational segregation and the nature of courses run by the College.

### 2: Staff Gender – Same as Assigned at Birth

Almost all staff disclosed that their gender was the same as assigned at birth. There continues to be around one-fifth choosing to prefer not to say.



### 3: Staff Age Bands



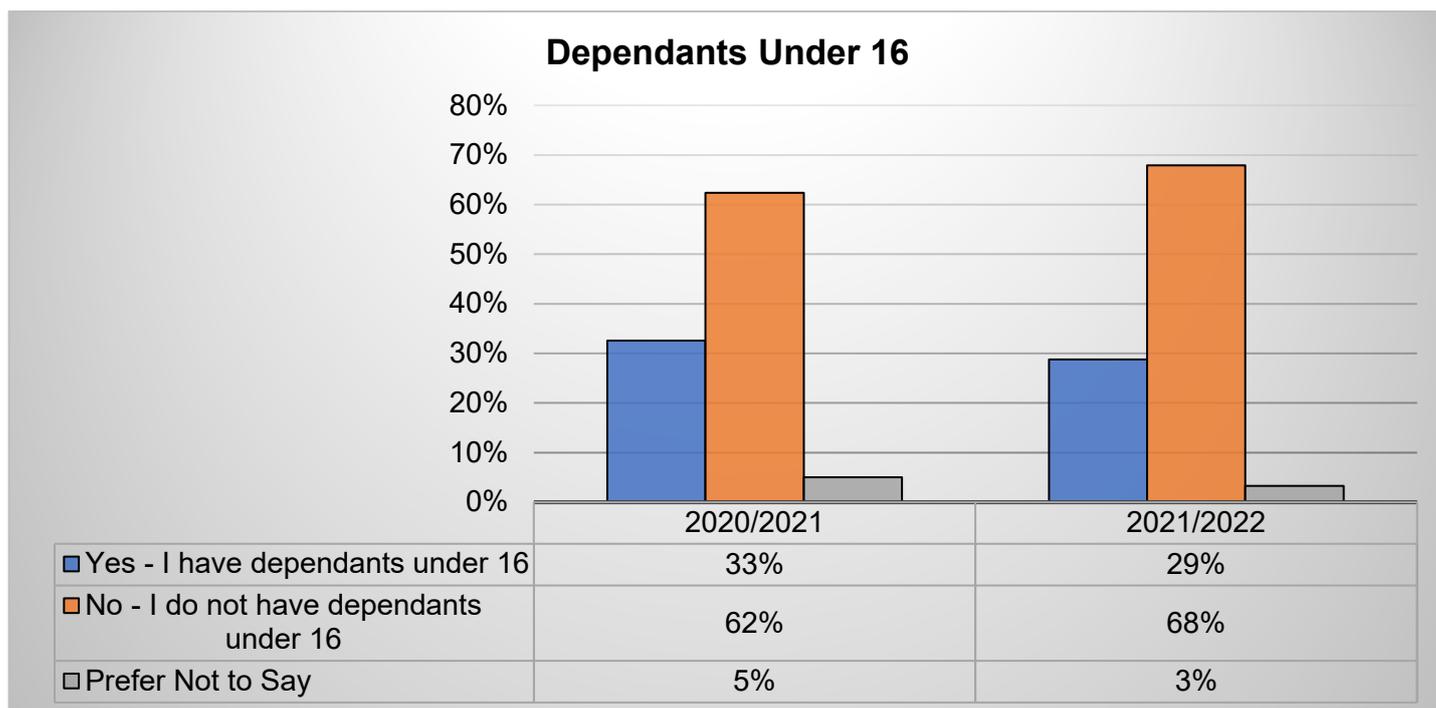
The significant majority of employees are in the 31 to 60 age categories.

### 4: Staff Sexual Orientation

Most employees are heterosexual, with a small number of LGBTI+ colleagues.

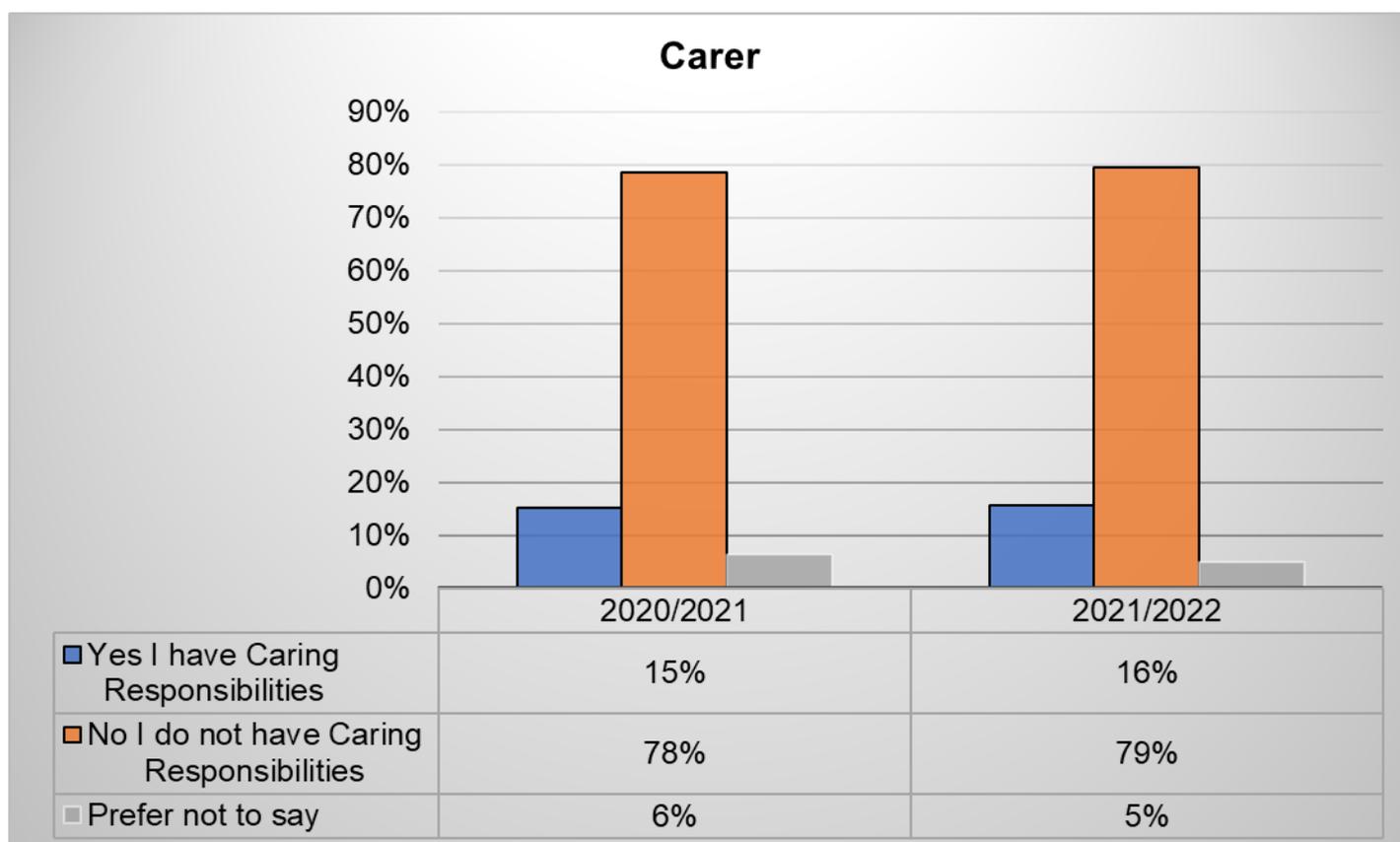


## 5: Staff with Dependents Under 16-Years Old



One-third of employees are either a parent or guardian with a child under the age of 16. A small number of respondents preferred not to say.

## 6: Staff with Caring Responsibilities



Sixteen percent of employees have Caring responsibilities. As a Carer Positive employer, we will continue to raise awareness of the definition of a 'carer' and support offered by the College.

## 7: Staff Pregnancy

At the time of completion, a small number of staff reported that they were pregnant.



## 8: Given Birth – in the Last Year

At the time of completion and over consecutive years, a small number of staff reported that they had given birth in the last year.

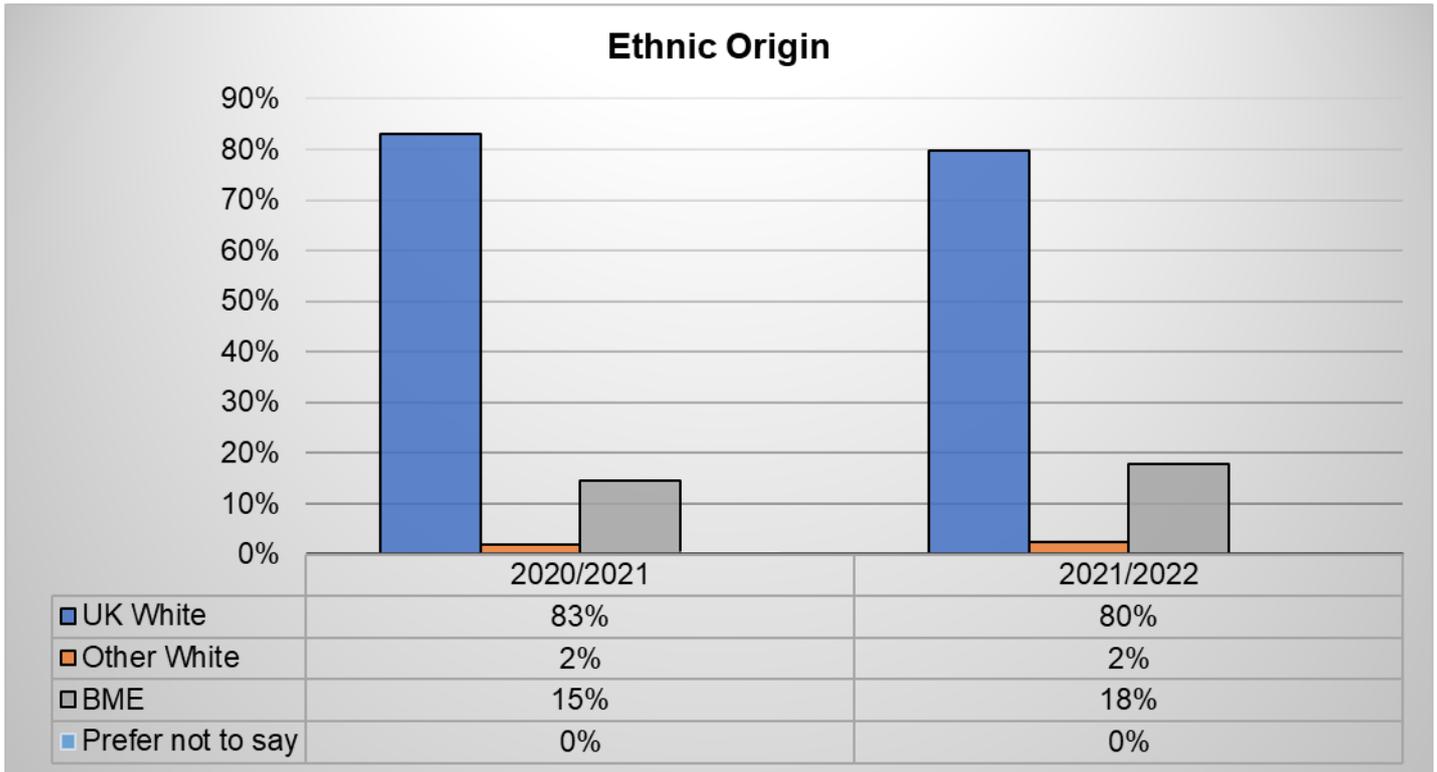


## 9: Staff Family Leave – Past 12 Months

Less than 4% of staff reported that they had taken family leave in the last 12 months including maternity, maternity support and shared parental leave. We will continue to ensure staff are aware of their parental rights at work.



## 10: Staff Ethnic Origin



The data across the two reporting periods demonstrate around 80% of employees have a “UK White” ethnic origin, with 2% and 15% respectively identifying as “other white” and “BAME”<sup>3</sup>

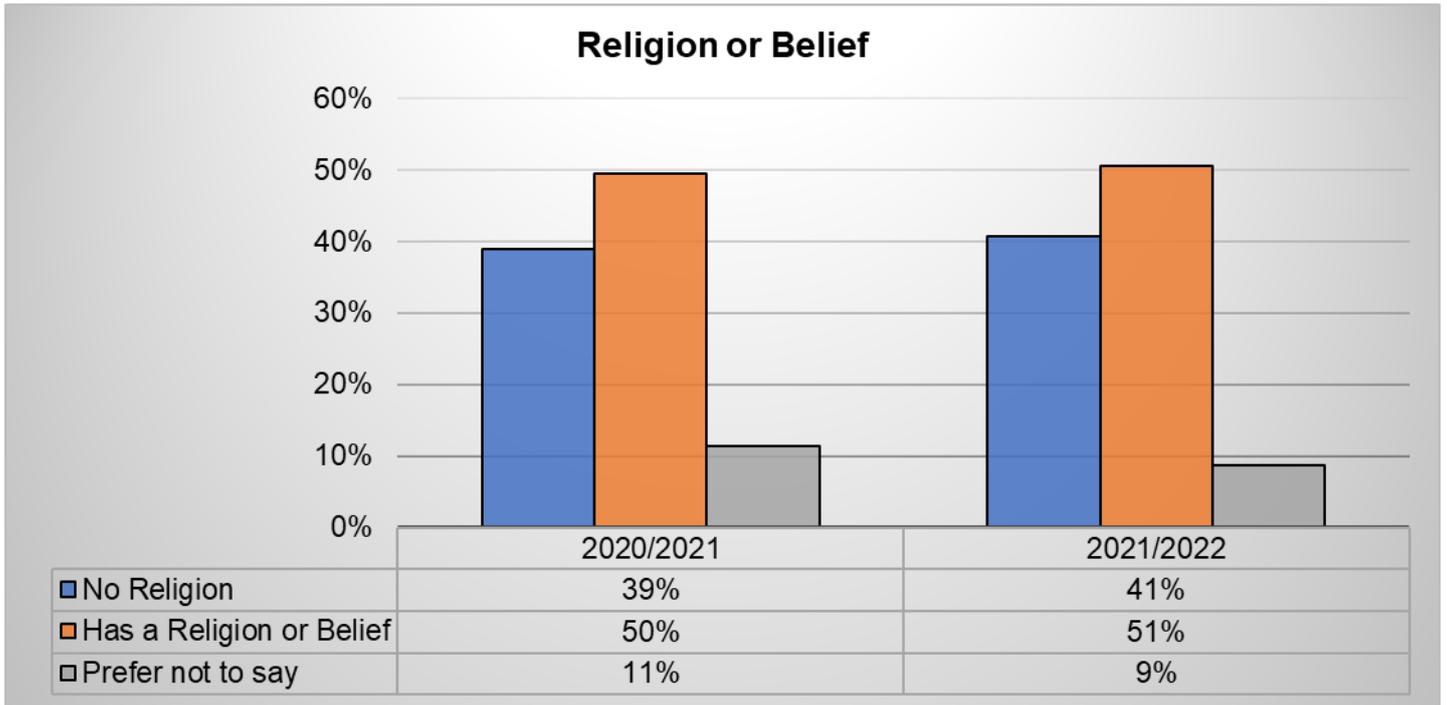
## 11: Staff Nationality

The majority proportion of College staff by nationality is 69% Scottish followed by 19% British



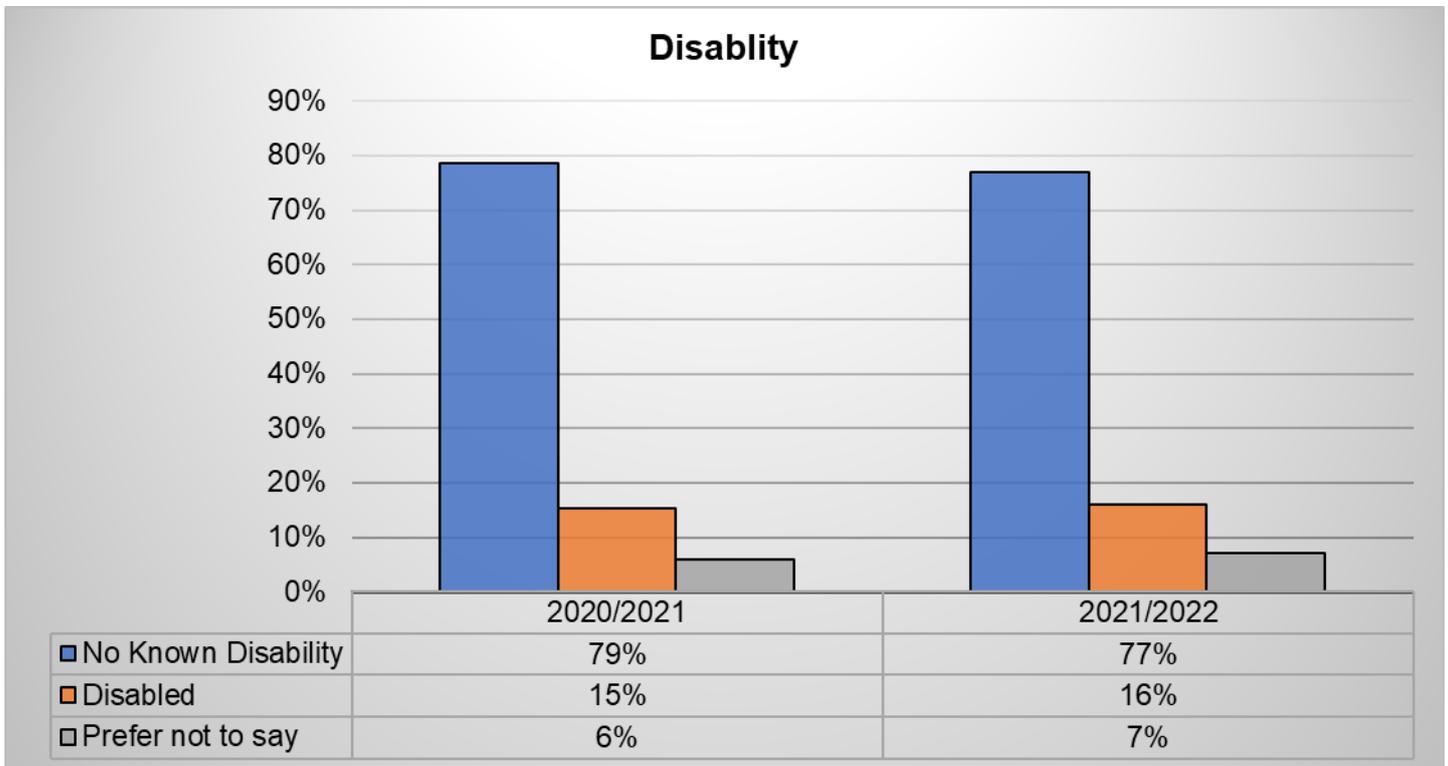
<sup>3</sup> The acronym BAME stands for Black, Asian and Minority Ethnic (BAME) and is an umbrella term used to incorporate a range of minority communities living in the UK.

## 12: Staff Religion or Belief



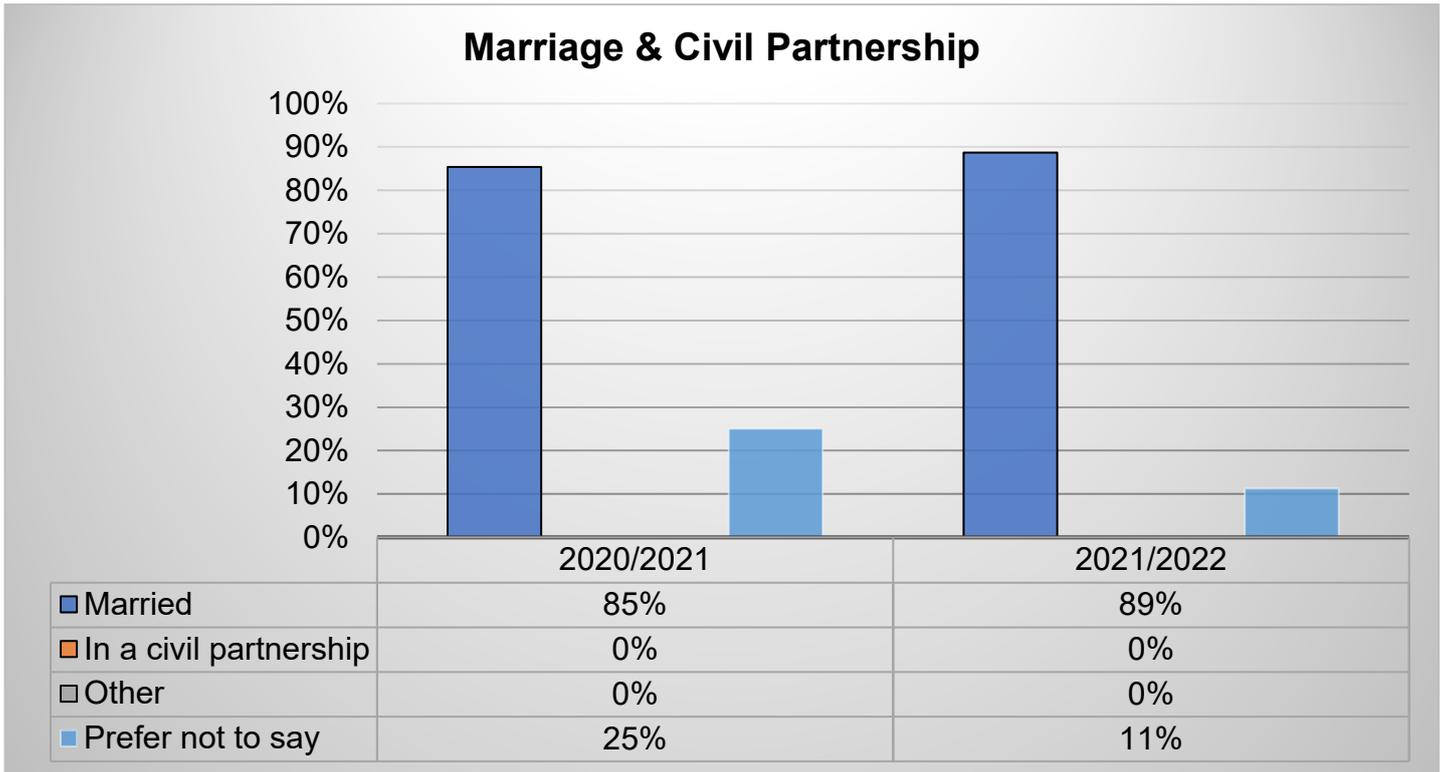
Over 50% of staff identify themselves as having a Religion and/or Belief. There were 41% of staff who did not identify with a Religion and/or Belief.

## 13: Staff Disability



Currently 16% of staff have disclosed at least one disability. As a Disability Confident Employer, the College is committed to recruiting and retaining disabled people.

## 14: Staff Marriage and Civil Partnership



89% of staff are married.

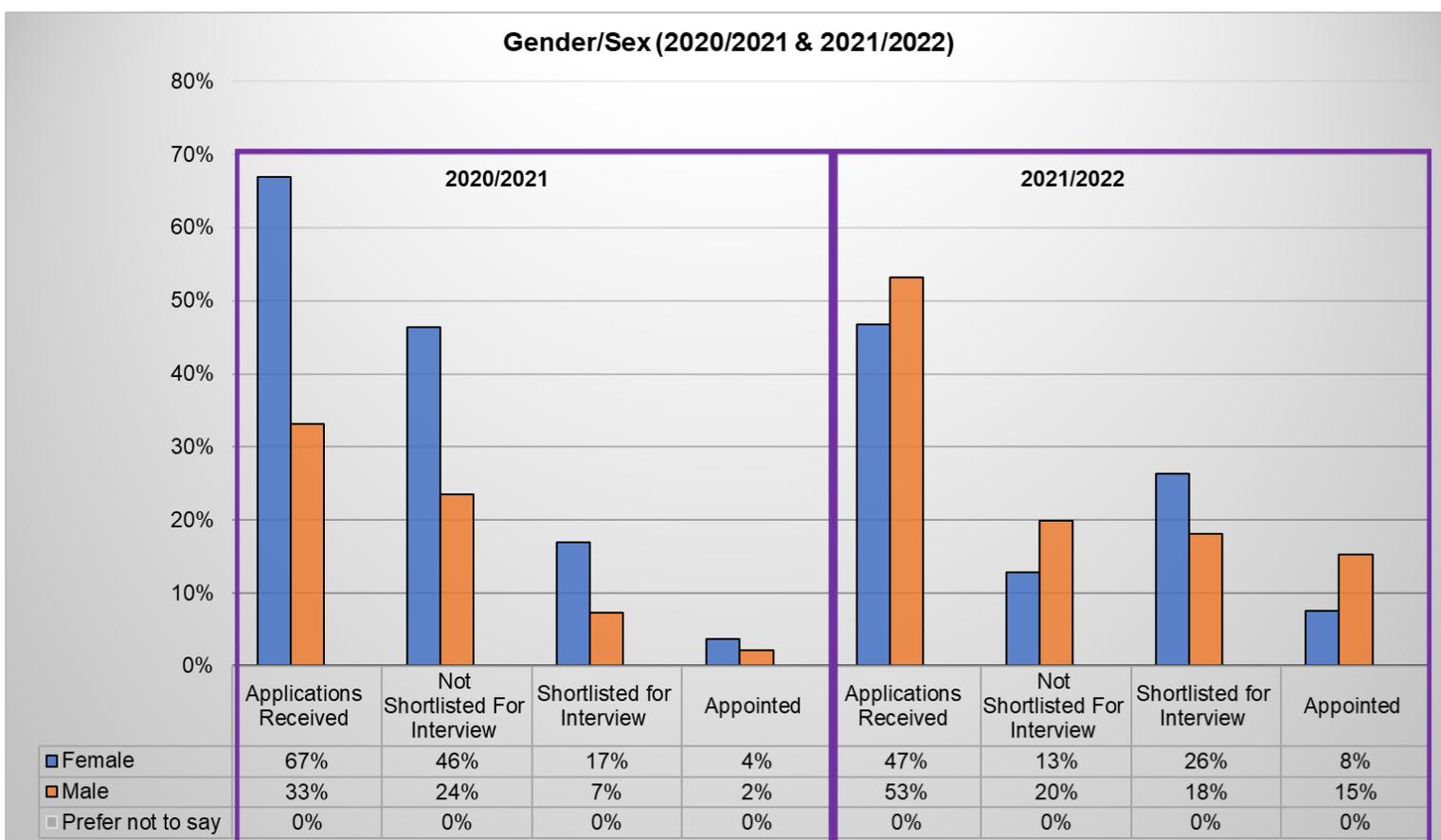
### 5.3 Recruitment Equality Data

The recruitment equality data is based on externally and/or internally advertised vacancies for roles across all college faculties and departments and contract types.

The disclosure of equality monitoring information takes place at the stage of application. South Lanarkshire College operates an equal opportunities approach to recruitment through the process of blind recruitment by removing any and all identification details at the application stage. Whilst this does not guarantee a more diverse workforce, it is a step to eliminate possible bias.

The data below provides an overview of the two -year period from 2020 – 2022.

#### 15: Staff Recruitment – Gender/Sex

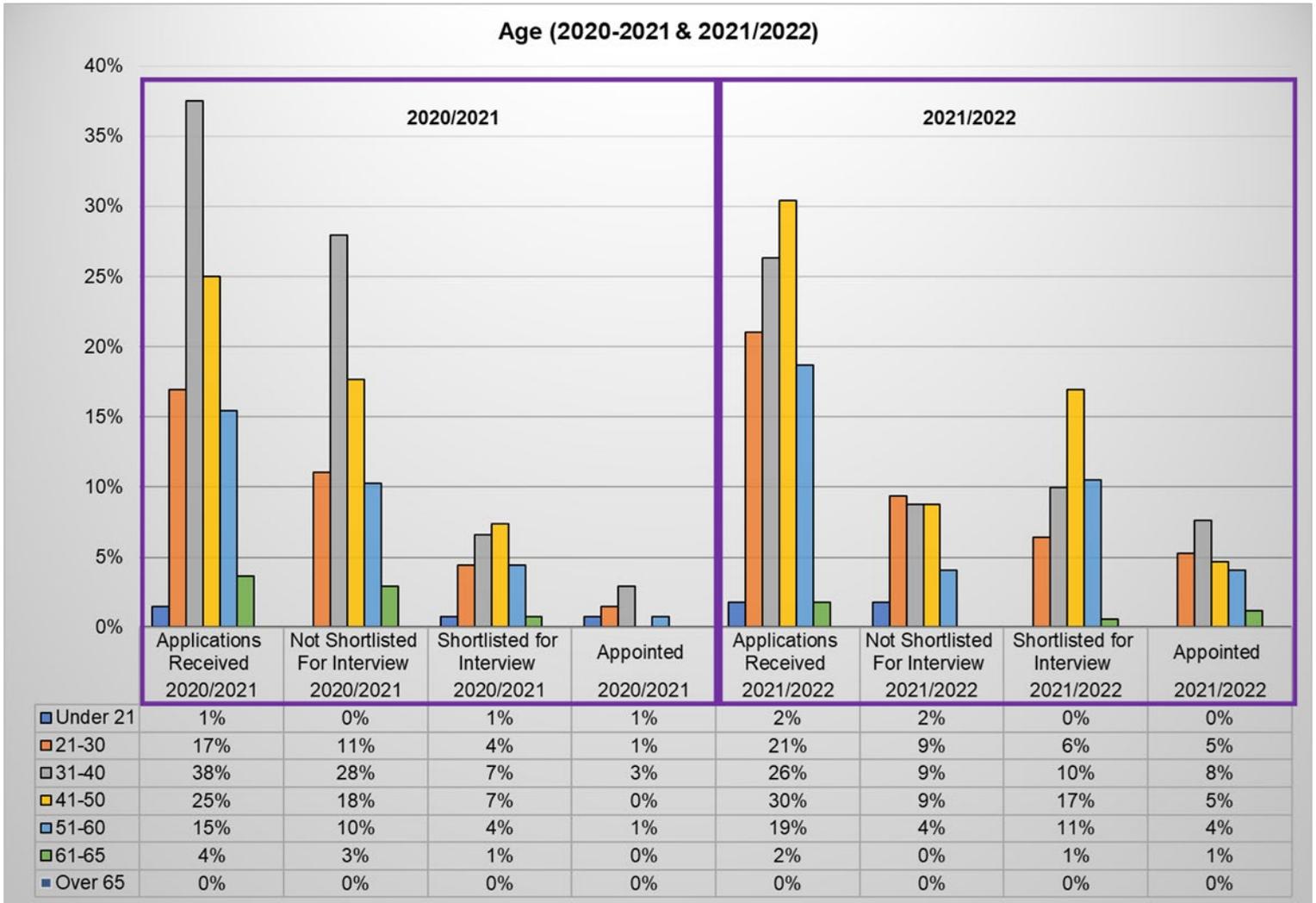


#### 16: Staff Recruitment – Gender Identity

The majority of applicants identify with the same gender as is assigned at birth. Some applicants did not disclose this information.



## 17: Staff Recruitment – Age Bands



A small number of applications were received from people in the under 21 category and those aged 61 and over. A high percentage of appointments from the 31 – 40 and 41 – 50 categories.

## 18: Staff Recruitment Sexual Orientation

Whilst the majority of applicants are Heterosexual, the College has continued to attract a similar number of LGBTQ+ applicants to previous years.



## 19: Staff Recruitment Pregnancy

No applicants disclosed that they were currently pregnant. There were a high number of non-disclosures for this question.



## 20: Staff Recruitment Maternity – Given birth in the last year

No applicants disclosed that they had given birth in the last year. There were a high number of non-disclosures for this question.

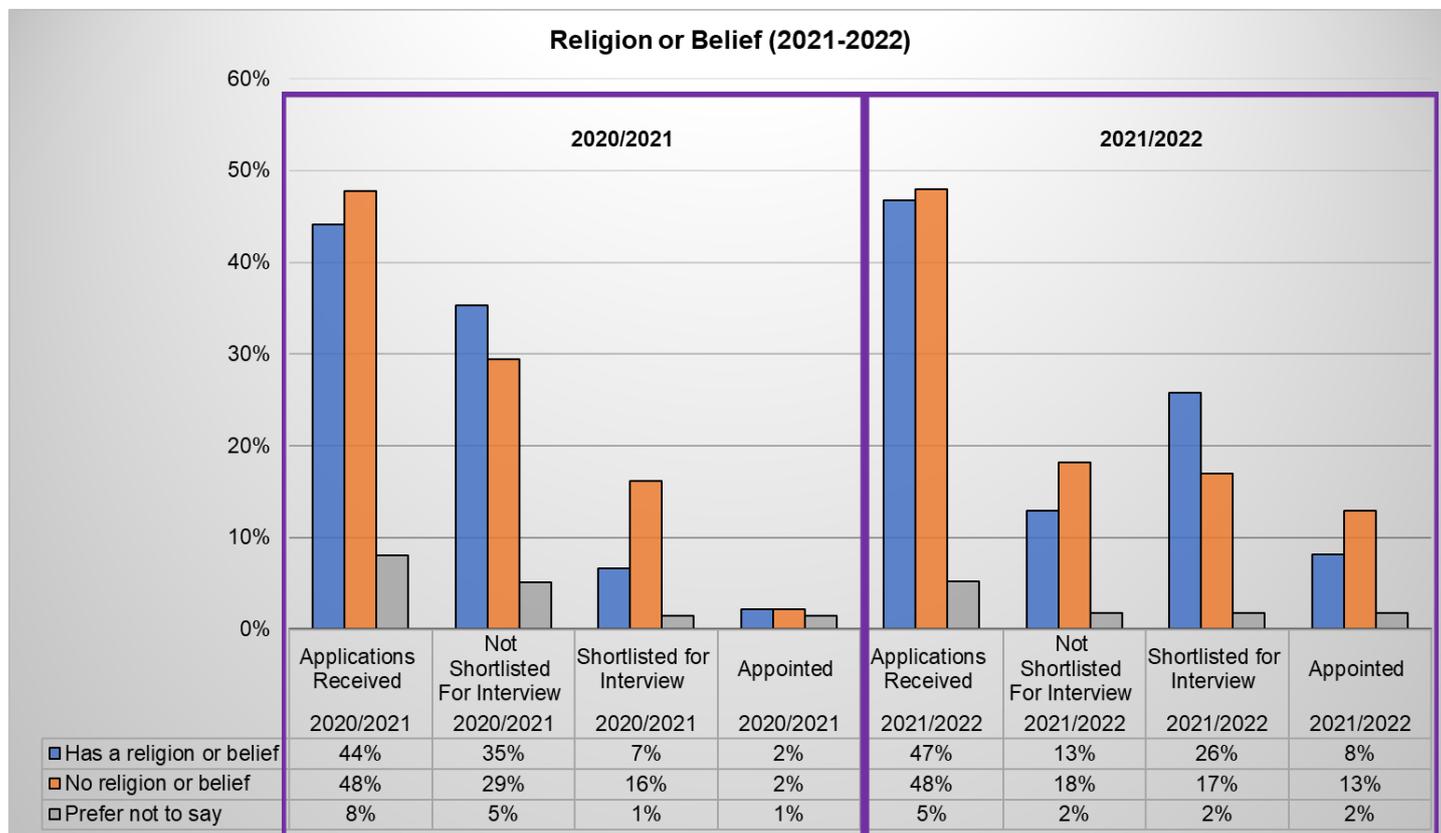


## 21: Staff Recruitment Ethnicity

The majority of applicants are UK White. The gap between application and appointment for BAME candidates was wider than other ethnicities.

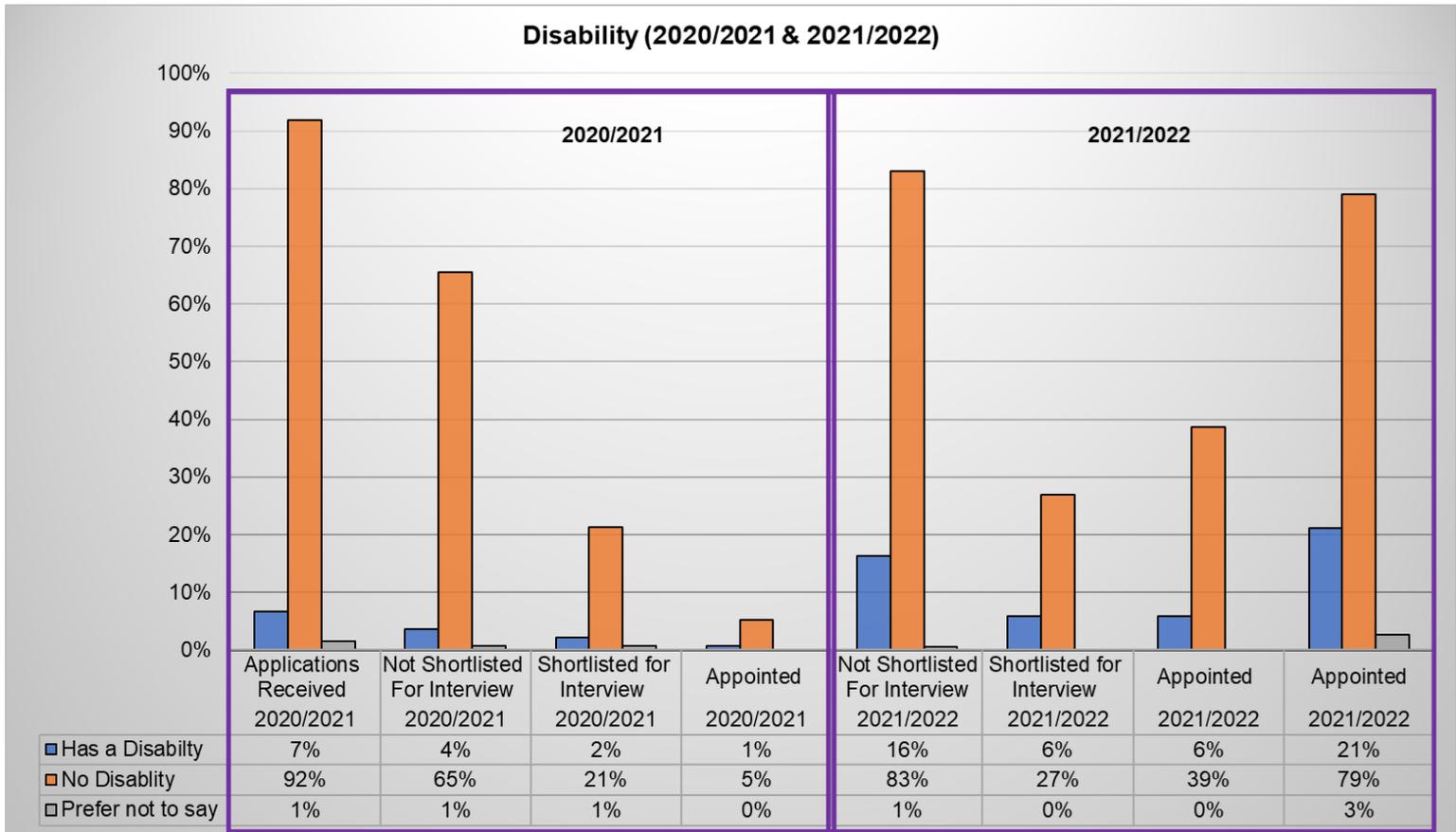


## 22: Staff Recruitment Religion or Belief



There continues to be a high percentage of applicants and people appointed who have and do not have a religion of belief. There is a slight skew towards the appointment of people with no religion or belief in 2021/22.

### 23: Staff Recruitment Disability



The College commits to offering disabled people an interview if they meet the minimum criteria for the role applied for. Disclosure rates for disability are high. Six percent of people appointed had a disability compared with the higher figure of 13% of applicants and the workforce. As a Disability Confident Employer, the College is committed to continue recruiting and retaining disabled.

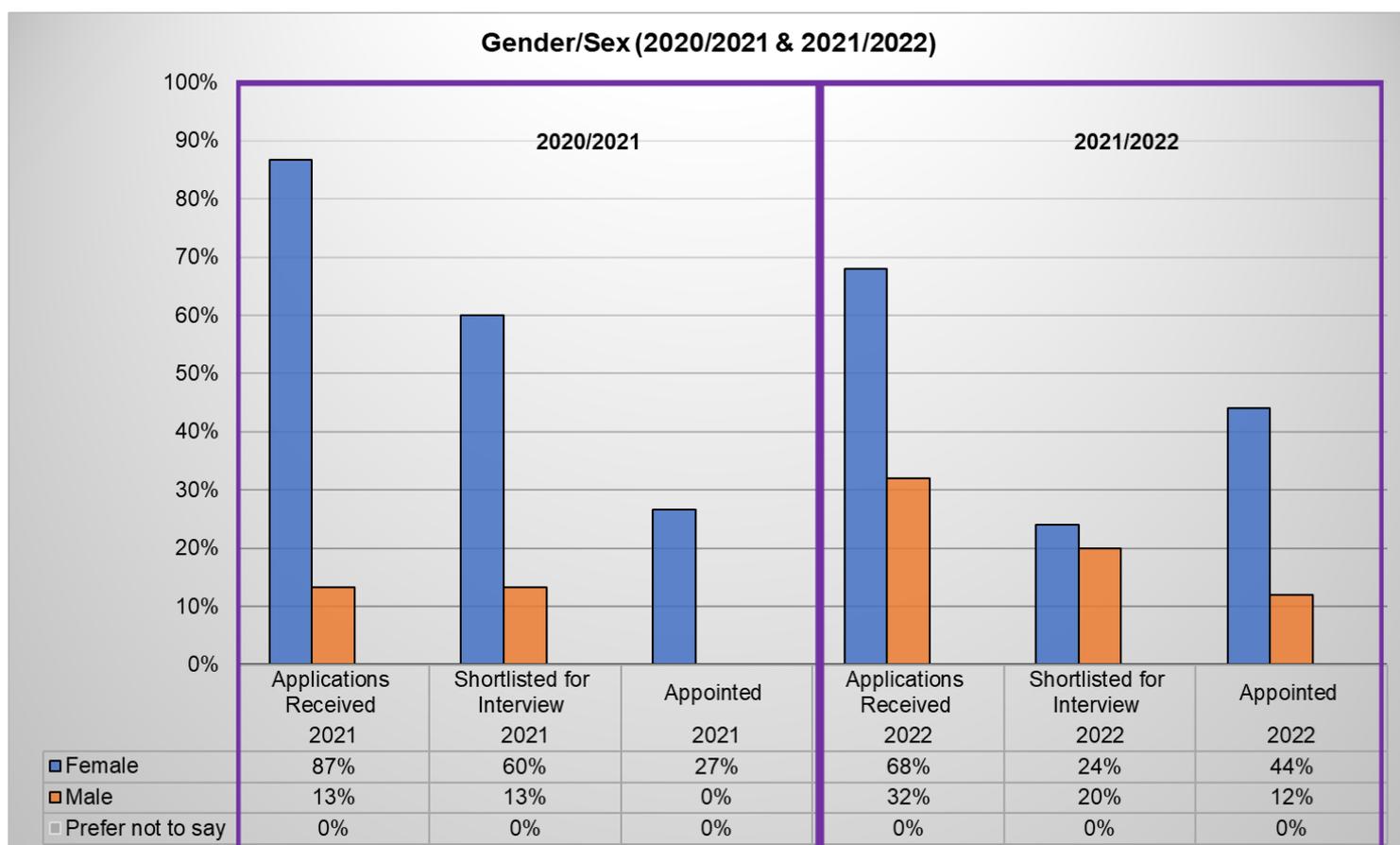
## 5.4 Development Equality Data

Development equality data relates to information about staff development and career progression.

The tables represent internal applicants and appointments for roles across all college departments and faculties. The information relates to both horizontal and vertical progression.

The data below provides a snapshot update over a two-year period: 2020 and 2022.

### 24: Staff Development Gender/Sex



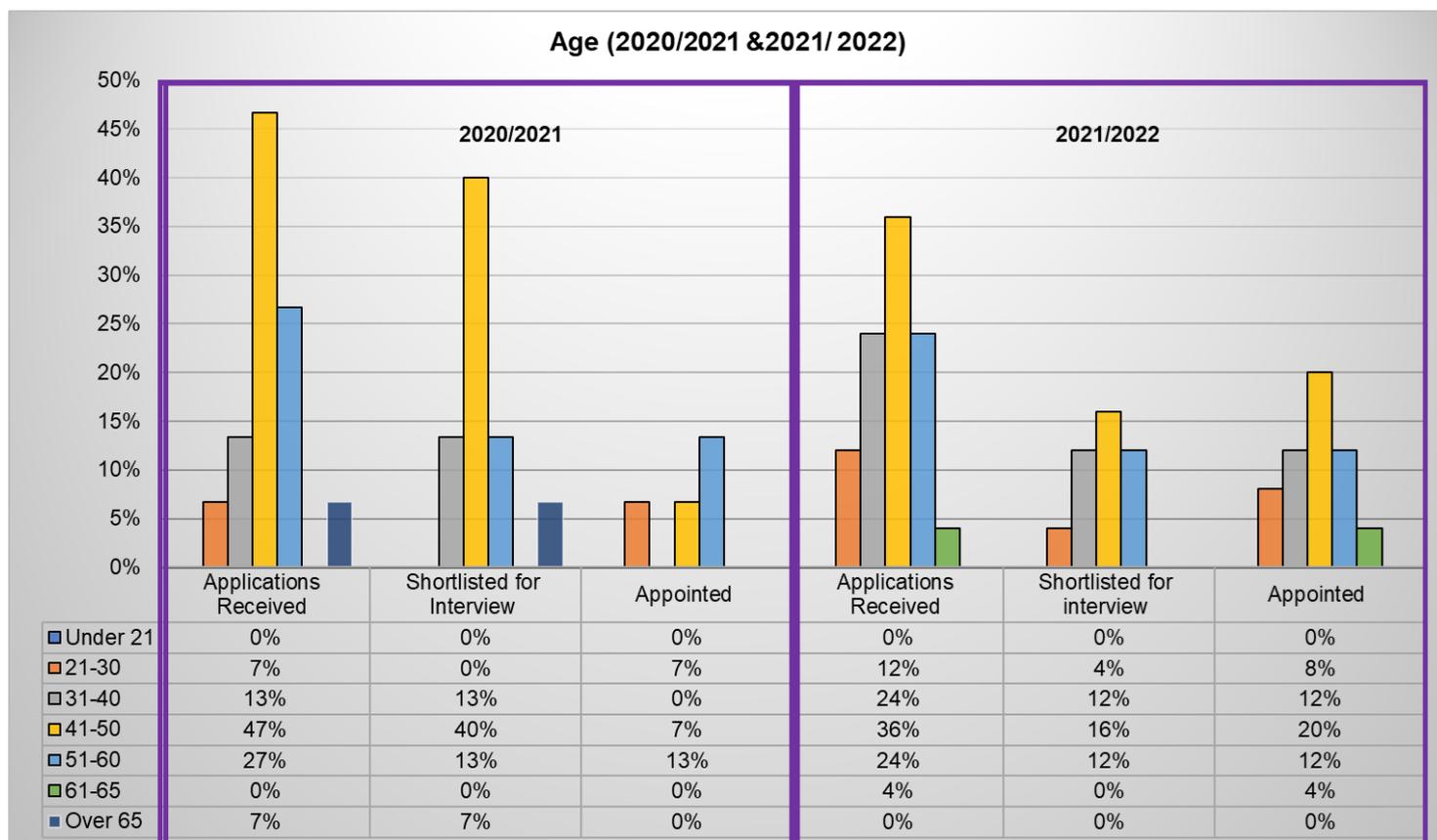
There is a significantly higher number of females who have progressed. The figure relates to occupational segregation that results in females having a higher number of progression opportunities

### 25: Staff Development Gender – Same as Assigned at Birth

The majority of applicants identify with the same gender as is assigned at birth. Some applicants did not disclose this information.



## 26: Staff Development Age Bands



No applications received in the under 21 age category. A high percentage of appointments from people in the 31 - 60 categories.

## 27: Staff Development Sexual Orientation

Most applicants disclosed that they were Heterosexual. There were a high number of Prefer not to say for this question.



## 28: Staff Development Pregnancy

No applicants disclosed that they were currently pregnant. There were a high number of Prefer not to say for this question.

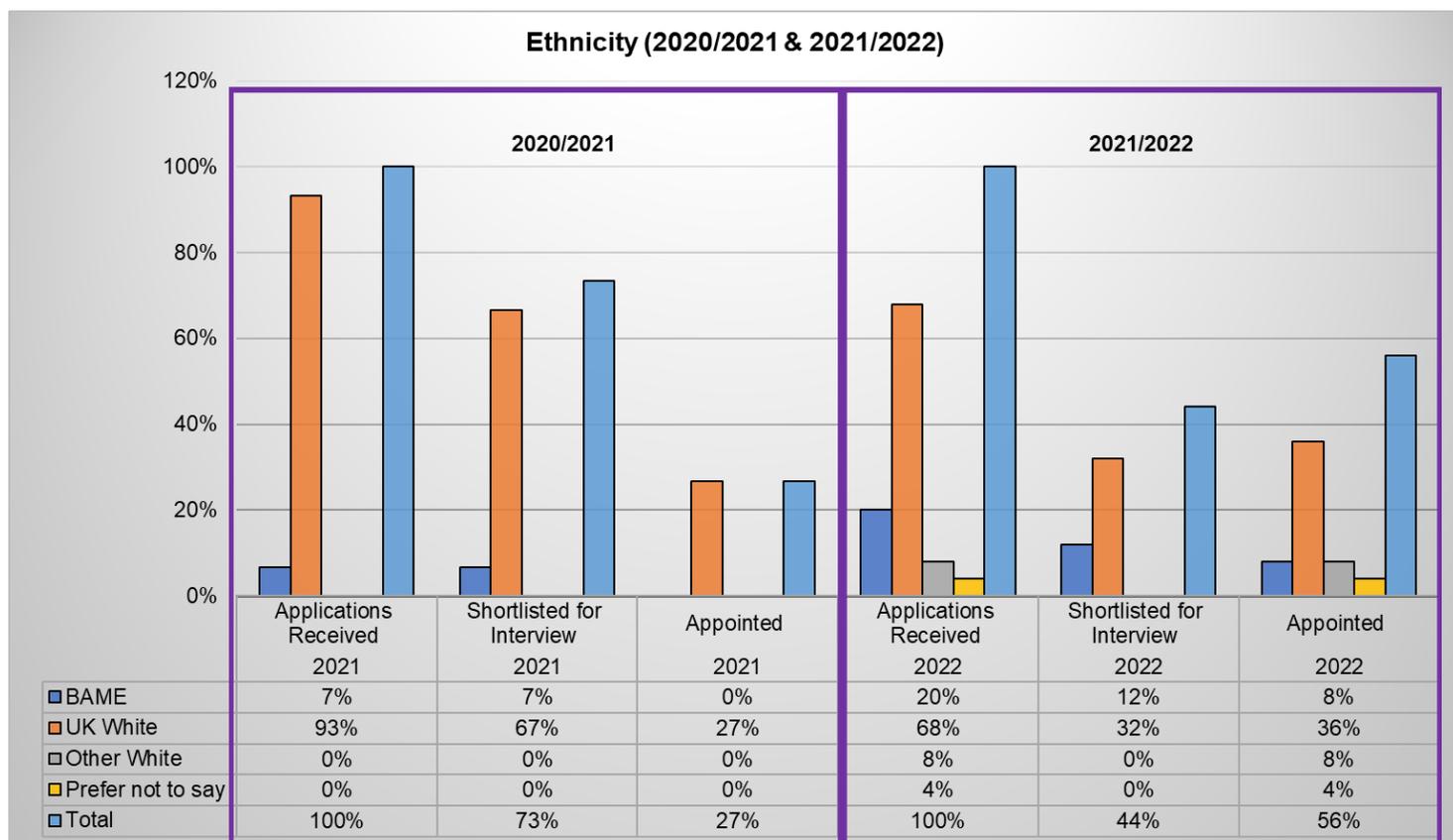


## 29: Staff Development – Given Birth in the last year

No applicants disclosed that they had given birth in the last year. There were a high number of non-disclosures for this question.

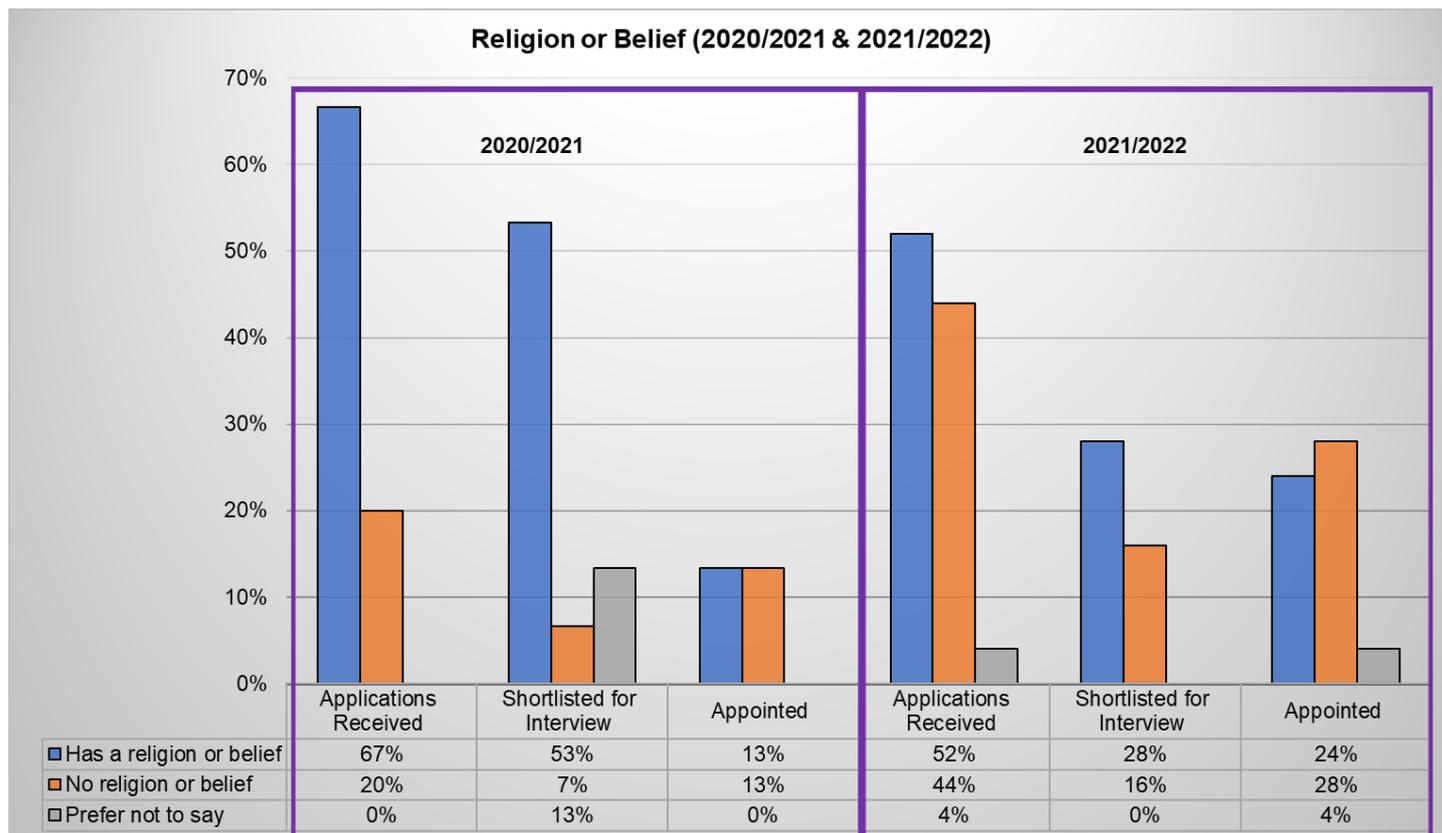


### 30: Staff Development Ethnicity



A large proportion of staff progression were UK White. There was an increase in progression of BAME and Other White staff from previous years.

### 31: Staff Development Religion or Belief



There was a similar level of progression for staff with and without a religion or belief.

## 32: Staff Development: Disability

The data highlights that disabled staff have progressed, the gap between those progressing who have a disability and those who have not widened in 2021/2022. As a Disability Confident Employer the College is committed to ensuring that there are no barriers to the development and progression of disabled staff, therefore we will continue to monitor the data closely.

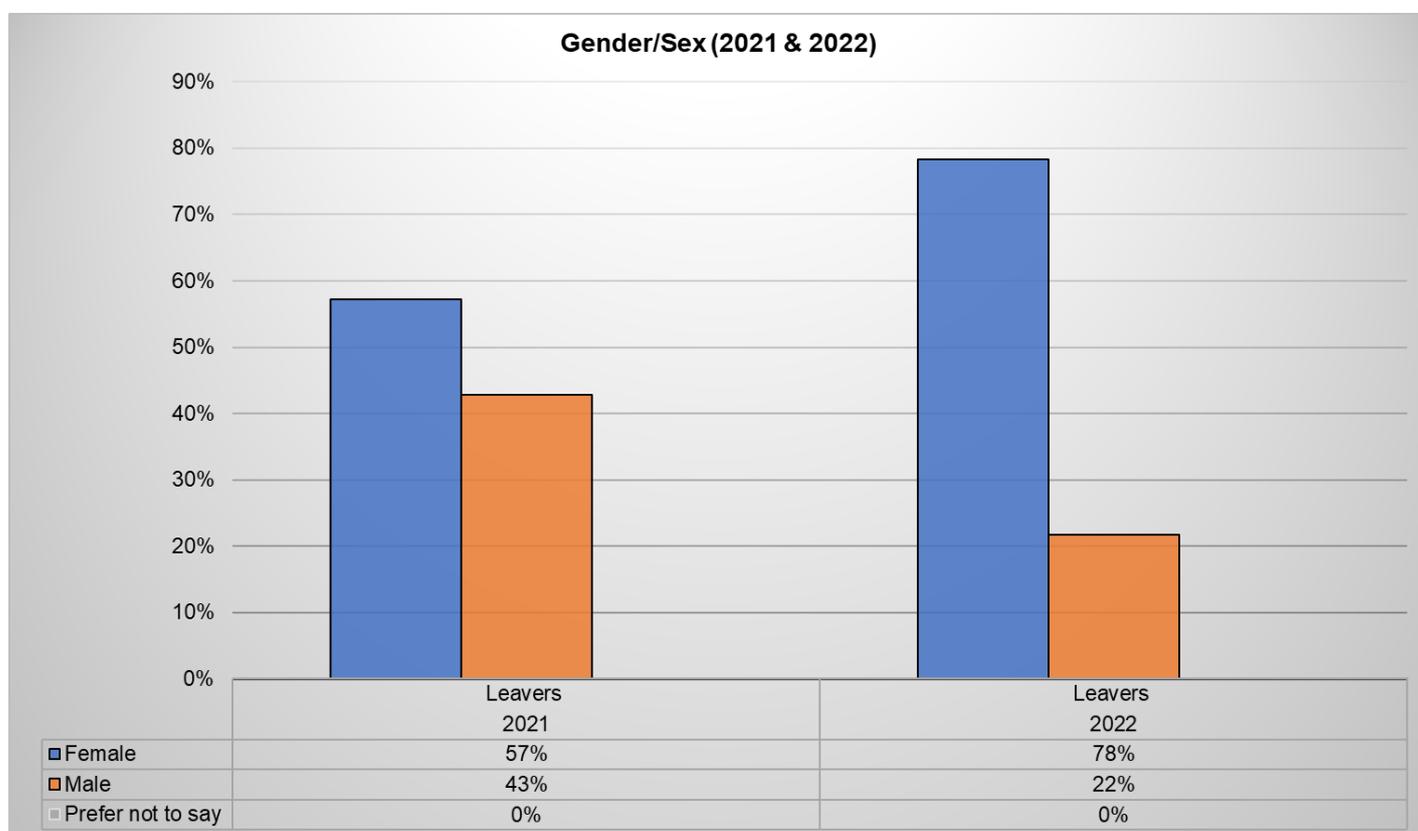


### 5.5 Staff Retention Equality Data

The data includes those who left voluntary as a result of alternative employment and personal circumstances as well as staff who intended to access their pension income. Information is gathered from staff equality data.

The data below provides an overview of the two-year period 2021 ~2022.

## 33: Staff Retention Gender/Sex



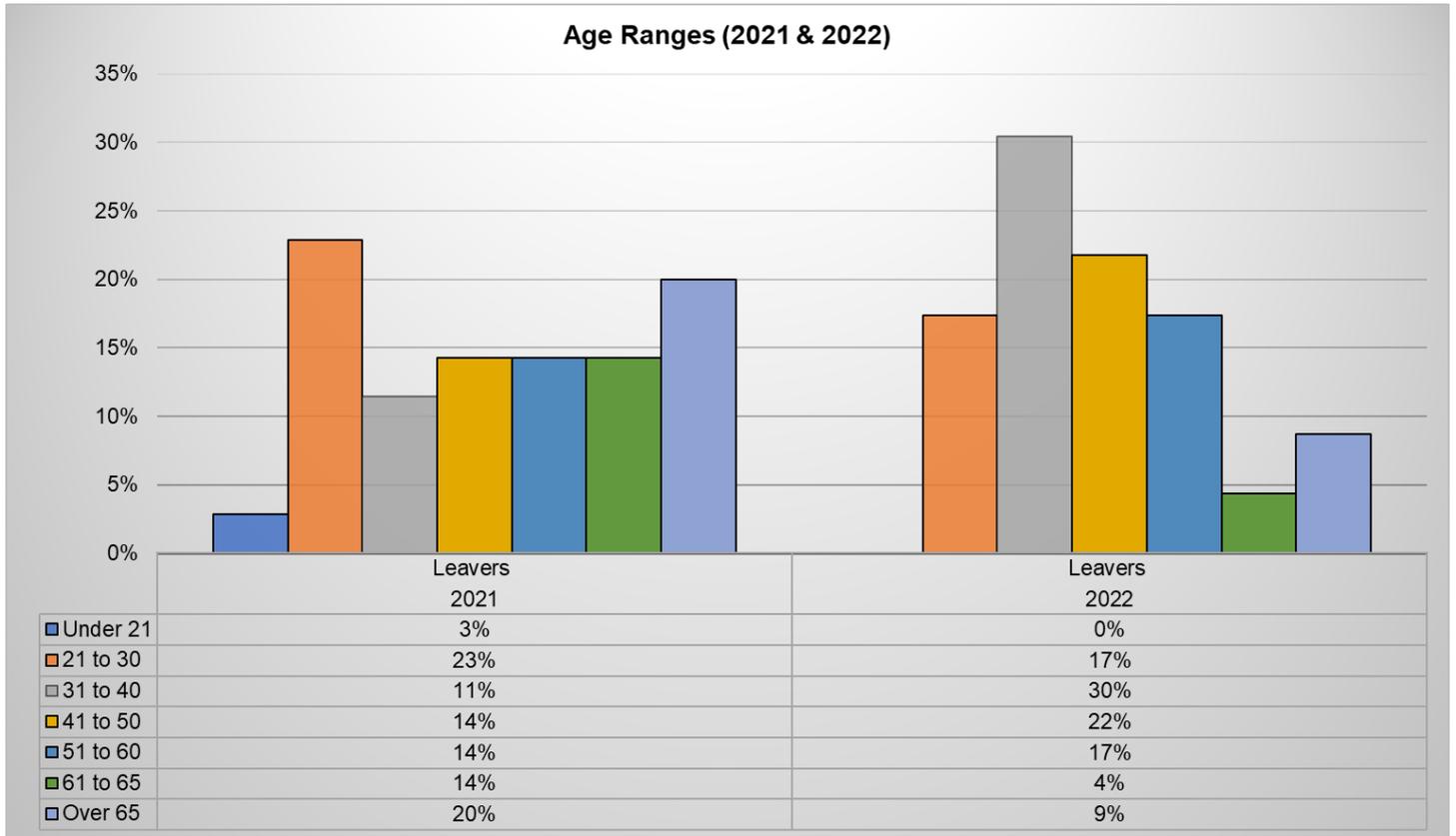
Retention Equality data based on gender recognises the higher proportion of female to male colleagues who remain with the College.

## 34: Staff Retention Gender Identity

Most staff disclosed that their gender was the same as assigned at birth.



### 35: Staff Retention Age



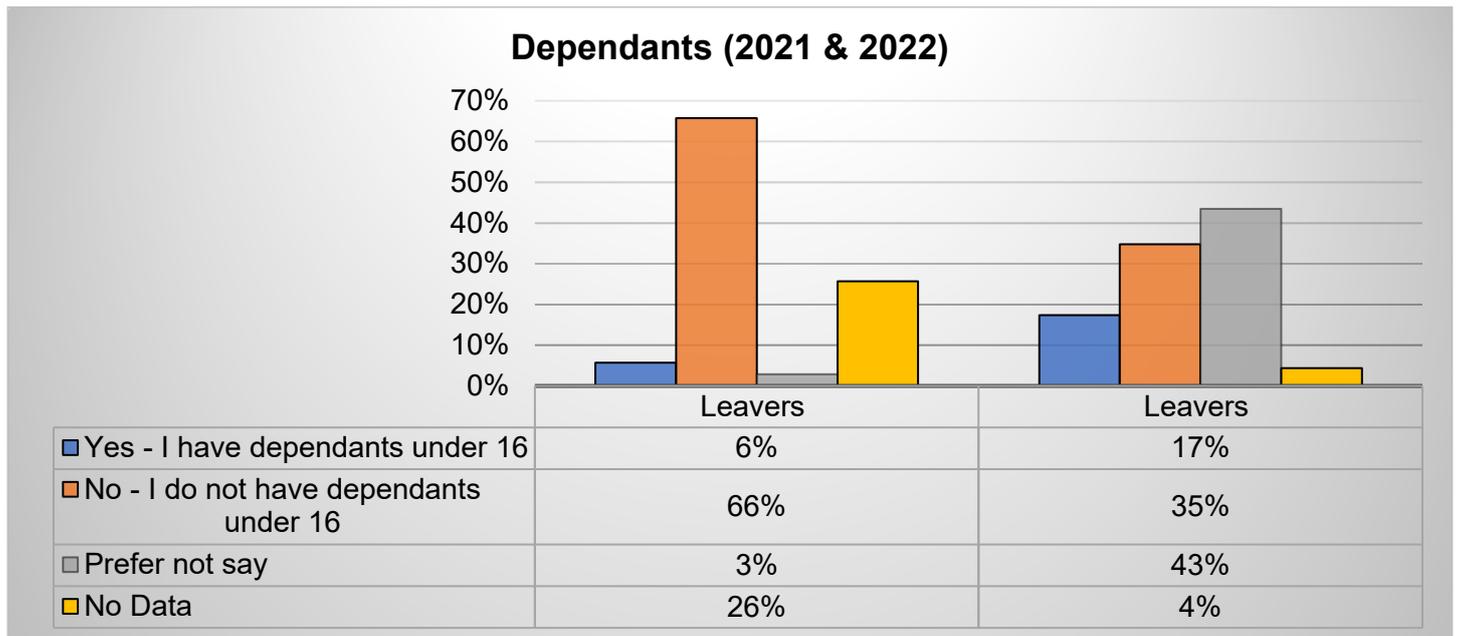
The highest percentage of leavers in 2021 was from the 21-30 age group. In 2022 this was the 31-40 age group.

### 36: Staff Retention Sexual Orientation

Most leavers were Heterosexual, with a small number of LGBTI+ leavers.

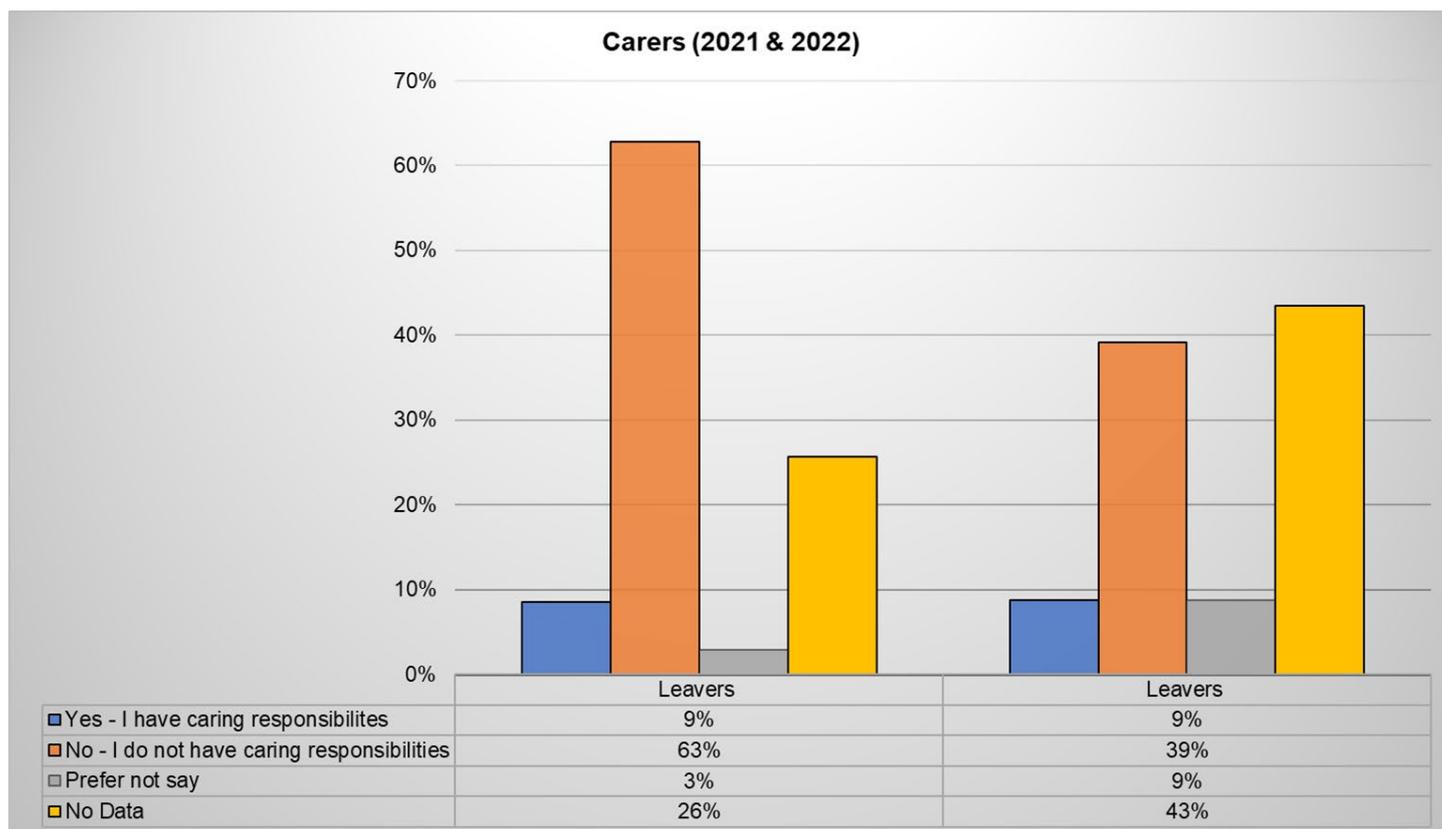


### 37: Staff Retention Dependants



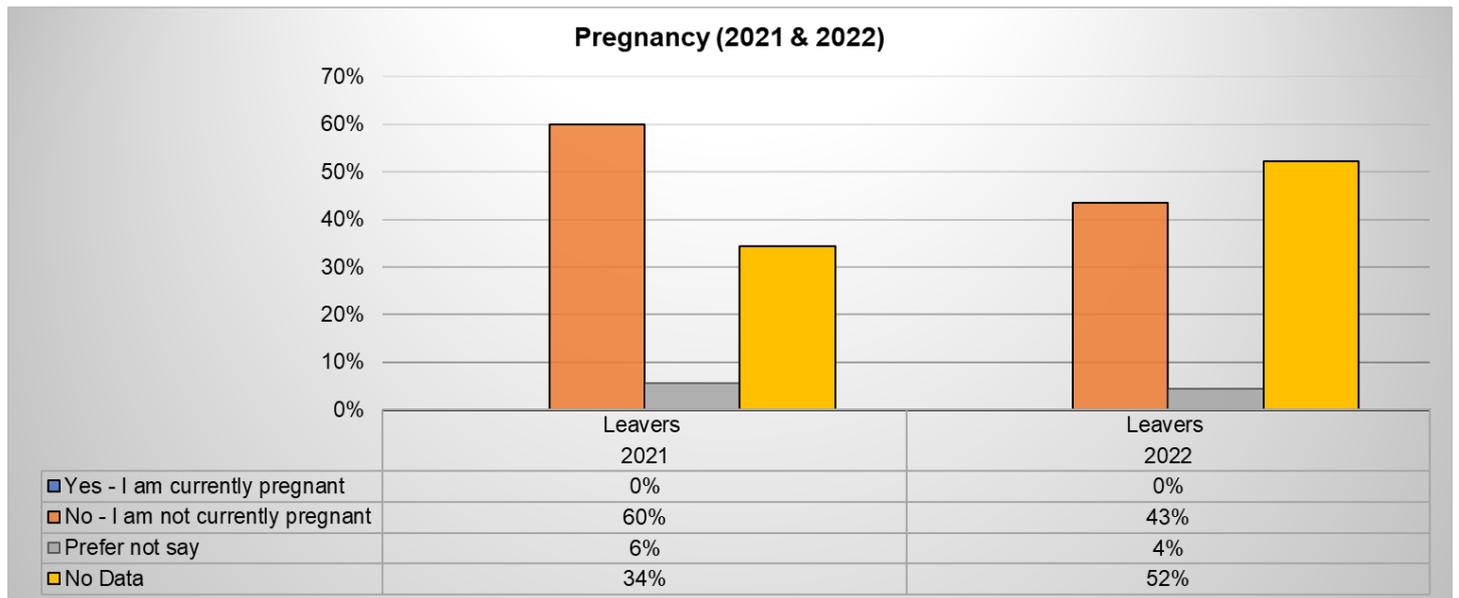
The majority of leavers do not have dependants under 16 years of age. Some technical challenges with our monitoring system have resulted in higher levels of non-disclosure for this category. The College is aware of these issues and is taking action to improve data recording and processing.

### 38: Staff Retention Carers



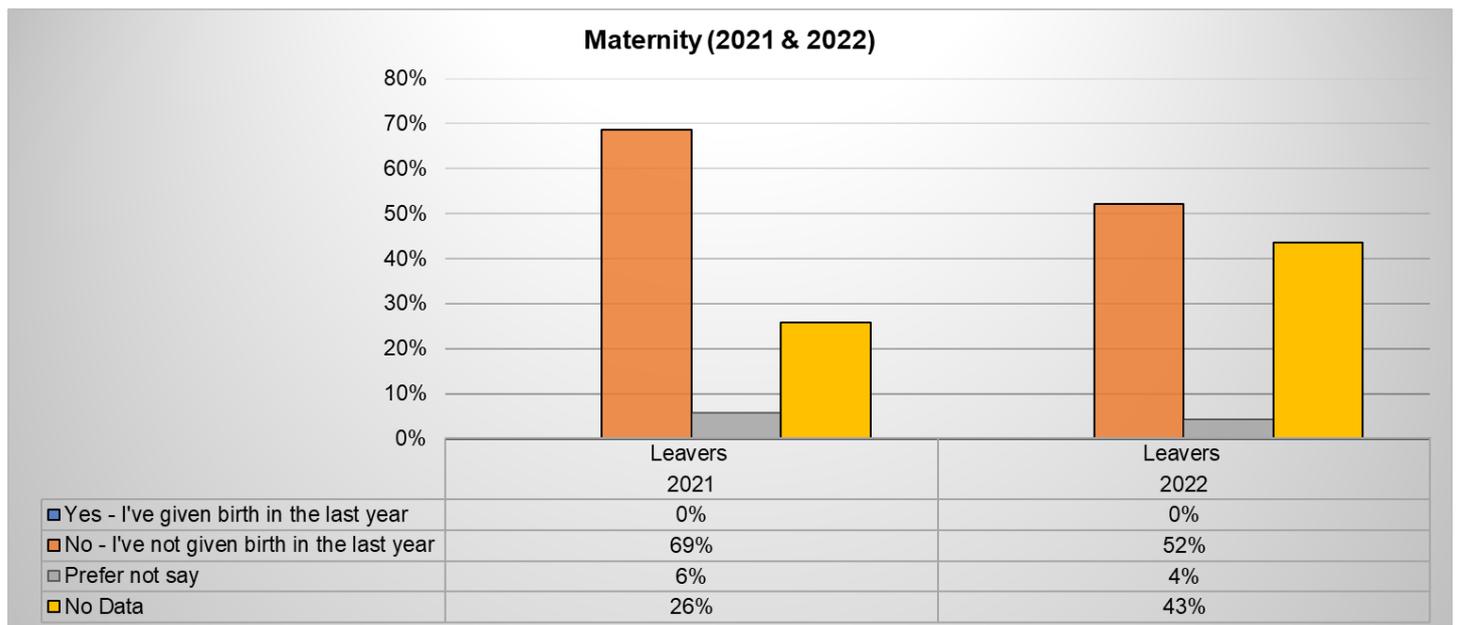
A larger proportion of leavers did not have caring responsibilities. As a Carer Positive employer, the College will continue to raise awareness of the definition of a 'carer' and of the support available. Some technical challenges with the monitoring system have resulted in higher levels of non-disclosure for this category. The College is aware of these issues and is taking action to improve data recording and processing.

### 39: Staff Retention Pregnancy



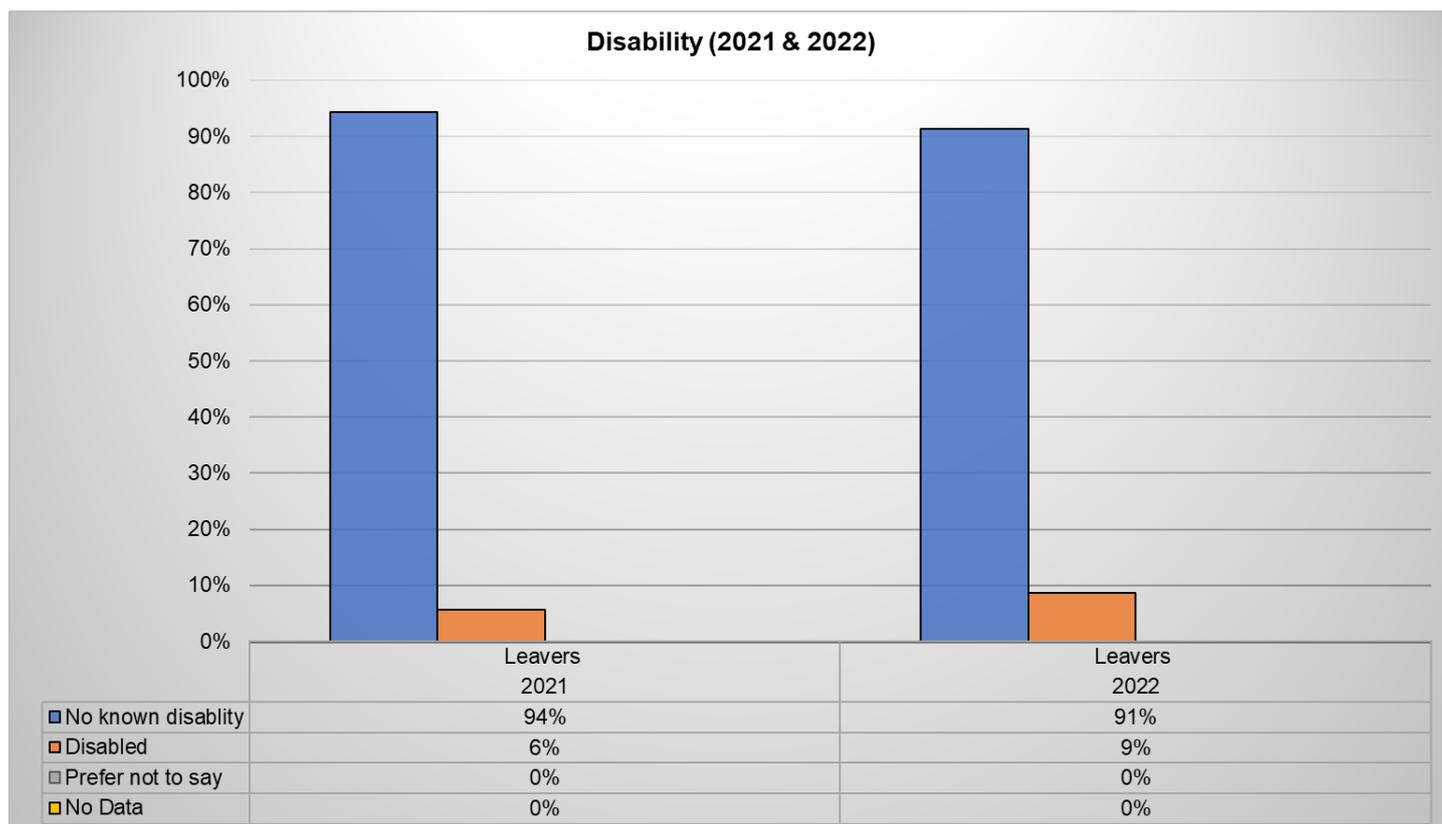
At the time of completion no leavers reported that they were pregnant.

### 40: Staff Retention Maternity



At the time of completion no leavers reported that they were had given birth in the last year.

## 41: Staff Retention Disability



A high proportion of leavers did not have a disability. There was a higher proportion of leavers who were disabled in 2022 than 2021. As a Disability Confident Employer, the College is committed to recruiting and retaining disabled people and will continue to monitor this data closely.

## 42: Staff Retention Ethnic Origin

The data across the two reporting periods reports that 89% and 87% respectively were UK White. A smaller proportion of leavers were BAME and Other White.



## 6.0 Gender Pay Gap

South Lanarkshire College understands the importance of gender pay gap reporting in assessing levels of equality within the workplace. A full report on the gender pay gap at South Lanarkshire College can be found in the Equality section of the College website and is published on an annual basis as required by regulations. Further information is available on the College website.

<https://www.slc.ac.uk/about-us/equality-and-inclusion/>

## **Appendix A**

### **Equality Outcomes 2021 - 2025**

The current Equality Outcomes are:

1. Develop the engagement of underrepresented student and staff groups through an increase in tailored peer support groups.
2. Annual engagement with three organisations to enable and progress our recruitment and management of employees and students across identified underrepresented groups.
3. Use proactive marketing and communicating during recruitment, onboarding and throughout the student and employee journey to increase awareness and promote the fostering of good relations, tolerance and respect for diversity, ensuring that at least 90% of these populations have awareness of our Equality and Diversity practices.
4. Ensure at least 90% of staff undertake training and that all students are offered training on Equality, Diversity and Inclusion to ensure awareness and understanding of legal and College expectations for everyone in our community.

The following sections provide further insight into each of these Equality Outcomes.

## 7.1 Outcome 1

<b>Equality Outcome 1</b>	Develop the engagement of underrepresented student and staff groups through an increase in tailored peer support groups.
Evidence of need (baseline position)	Underrepresentation of specific protected characteristics of students and staff during recruitment, progression and retention stages of their journey with the College.
Indicators of success and how progress will be measured, including short, medium and long-term	Short term – identify specific groups and get them established. Medium term/Long term – regular activities within each group to increase engagement.
Which part/s of the PSED is covered?	Advance Opportunity Between Different Groups
Which protected characteristics are covered?	Disability, Gender, Sexual Orientation, Age, Ethnicity
How it aligns with institutional priorities (e.g. outcome agreement and strategic plan)	This outcome relates directly to our 3 strategic priorities: <ol style="list-style-type: none"> <li>1. Successful Students</li> <li>2. Highest Quality Education and Support</li> <li>3. Sustainable Behaviours</li> </ol>
Summary of planned action and who will lead on each action	<ol style="list-style-type: none"> <li>1. Identify peer support groups for employees – Human Resources</li> <li>2. Identify peer support groups for students – Student Services</li> <li>3. Regular peer support group activities for employees – Human Resources</li> <li>4. Regular peer support group activities for students – Student Services</li> </ol>
Who is responsible for overseeing its delivery?	Equality Officer

## 7.2 Outcome 2

<b>Equality Outcome 2</b>	Annual engagement with three organisations to enable and progress our recruitment and management of employees and students across identified underrepresented groups.
Evidence of need (baseline position)	Lack of representation across certain protected characteristics during recruitment, progression and retention during both the employee and student journeys with the College.
Indicators of success and how progress will be measured, including short, medium and long-term	<p>Short term – identify organisations to partner with to improve our recruitment and management of employees and students.</p> <p>Medium term/Long term – agree an action plan to improve our recruitment and management of employees and students in the identified, underrepresented groups.</p>
Which part/s of the PSED is covered?	Advance Opportunity Between Different Groups
Which protected characteristics are covered?	Disability, Gender, Sexual Orientation, Ethnicity
How it aligns with institutional priorities (e.g. outcome agreement and strategic plan)	<p>This outcome relates directly to our 3 strategic priorities:</p> <ol style="list-style-type: none"> <li>1. Successful Students</li> <li>2. Highest Quality Education and Support</li> <li>3. Sustainable Behaviours</li> </ol>
Summary of planned action and who will lead on each action	<ol style="list-style-type: none"> <li>1. Identify organisations to partner with to improve our recruitment and management of employees – Human Resources</li> <li>2. Identify organisations to partner with to improve our recruitment and management of students – Student Services</li> <li>3. Implement action plans to improve our recruitment and management of employees in the identified, underrepresented groups – Human Resources</li> <li>4. Implement action plans to improve our recruitment and management of Students in the identified, underrepresented groups – Student Services</li> </ol>
Who is responsible for overseeing its delivery?	Equality Officer

### 7.3 Outcome 3

<b>Equality Outcome 3</b>	Use proactive marketing and communicating during recruitment, onboarding and throughout the student and employee journey to increase awareness and promote the fostering of good relations, tolerance and respect for diversity, ensuring that at least 90% of these populations have awareness of our Equality and Diversity practices.
Evidence of need (baseline position)	There is a natural, potential gap in awareness of Equality and Diversity practices for our students and also a need to ensure new and existing employees retain an awareness of our practices.
Indicators of success and how progress will be measured, including short, medium and long-term	<p>Short term – create a marketing and communication plan for students and employees</p> <p>Medium term – implement the marketing and communication plan across the student and employee journeys to increase awareness</p> <p>Long term – feedback confirming awareness and understanding of our Equality and Diversity practices from students and employees.</p>
Which part/s of the PSED is covered?	Fostering good relations & Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Equality Act
Which protected characteristics are covered?	All protected characteristics
How it aligns with institutional priorities (e.g. outcome agreement and strategic plan)	This outcome relates directly to our 3 strategic priorities: <ol style="list-style-type: none"> <li>1. Successful Students</li> <li>2. Highest Quality Education and Support</li> <li>3. Sustainable Behaviours</li> </ol>
Summary of planned action and who will lead on each action	<ol style="list-style-type: none"> <li>1. Create and implement a marketing and communication plan for students and employees to ensure an awareness of our Equality and Diversity practices – Marketing &amp; Communications.</li> <li>2. Measure the awareness and understanding of employees around our Equality and Diversity practices – Human Resources.</li> <li>3. Measure the awareness and understanding of students around our Equality and Diversity practices – Student Services.</li> </ol>
Who is responsible for overseeing its delivery?	Equality Officer

## 7.4 Outcome 4

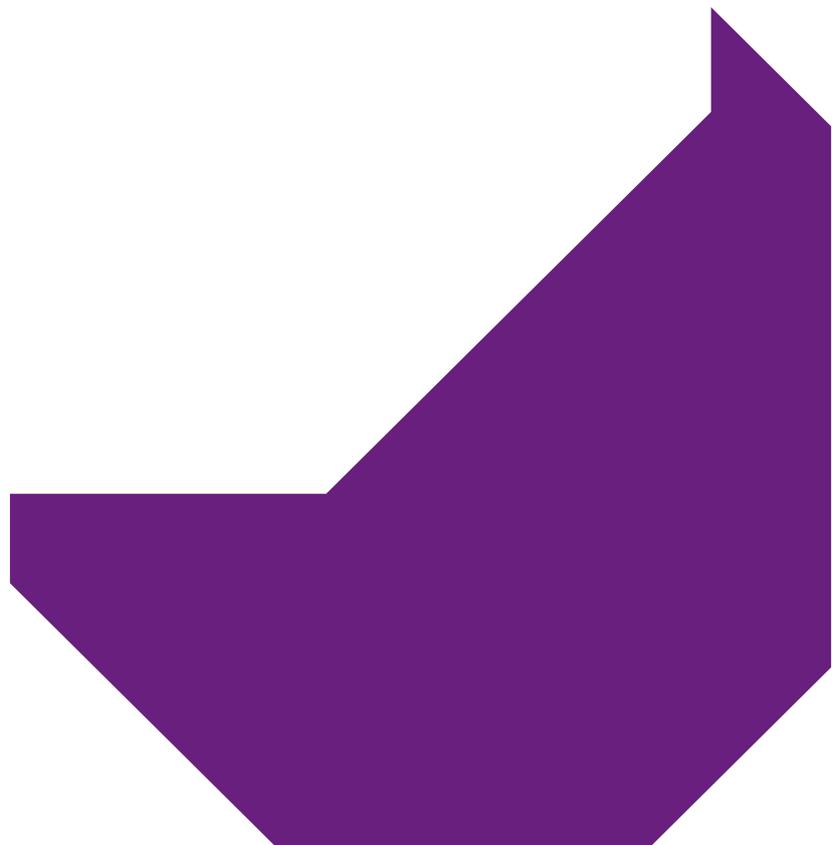
<b>Equality Outcome 4</b>	Ensure at least 90% of staff undertake training and that all students are offered training on Equality, Diversity and Inclusion to ensure awareness and understanding of legal and College expectations for everyone in our community.
Evidence of need (baseline position)	There is a natural, potential gap in awareness of Equality and Diversity practices for our students and also a need to ensure new and existing employees retain an awareness of Equality, Diversity and Inclusion in the College.
Indicators of success and how progress will be measured, including short, medium and long-term	Short term – Ensure training is tailored and available for both students and staff  Medium term – Ensure training is available  Long term – Completion of Equality, Diversity and Inclusive training and therefore a good understanding of the impact of this on their role within the College community.
Which part/s of the PSED is covered?	Fostering good relations & Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Equality Act
Which protected characteristics are covered?	All protected characteristics
How it aligns with institutional priorities (e.g. outcome agreement and strategic plan)	This outcome relates directly to our 3 strategic priorities: <ol style="list-style-type: none"> <li>1. Successful Students</li> <li>2. Highest Quality Education and Support</li> <li>3. Sustainable Behaviours</li> </ol>
Summary of planned action and who will lead on each action	<ol style="list-style-type: none"> <li>1. Include tailored training to the Learning Management System and communicate the learning requirement to all employees – Human Resources.</li> <li>2. Include tailored training to the Learning Management System and communicate the learning requirement to all student – Student Services.</li> <li>3. Review the completion rates and achievement levels for all employees – Human Resources.</li> <li>4. Review the completion rates and achievement levels for all students – Student Services.</li> </ol>
Who is responsible for overseeing its delivery?	Equality Officer



South  
Lanarkshire  
College  

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East Kilbride





The Scottish Parliament  
Pàrlamaid na h-Alba

Motion S6M-07911

## Congratulates South Lanarkshire College for its Work in Supporting Asylum Seekers and Refugees Coming to Scotland

Lodged 16 February, 2023 by Collette Stevenson MSP, East Kilbride

That the Parliament congratulates South Lanarkshire College for its work in supporting asylum seekers and refugees coming to Scotland; understands that the College has recently expanded its English Speakers of Other Languages (ESOL) provision to enrol 134 students from countries from across the world including Ukraine, Syria, Pakistan, Afghanistan, Poland, Hong Kong, Iran and beyond; believes that this has helped ensure that refugees and asylum seekers coming to South Lanarkshire have opportunities to learn English and improve their prospects for the future, and applauds Vladyslava Poshkova, a refugee from the Ukraine, who, following attendance on an ESOL course, has been successful in gaining a place to study a degree in dancing at the Royal Conservatoire of Scotland.