

## BOARD OF MANAGEMENT

### NOTICE

There will be a meeting of the Board of Management on 1 June 2023 at 1730 hours via Microsoft Teams or in the Boardroom at South Lanarkshire College

### AGENDA

Agenda Item	Item	Paper (Yes or No)
1	<b>Apologies for Absence</b>	N PS
2	<b>Declaration of any potential Conflicts of Interest in relation to any Agenda items</b>	N All
3	<b>Minutes of Previous Meetings</b> Minutes of Board of Management 9 March 2023.	Y PS
4	<b>Matters Arising from the Previous Meeting</b>	N PS
5	<b>Reserved Item</b>	
	The 2021/22 Audit of South Lanarkshire College Draft Report Private and Confidential	N SM
6	Board Recruitment Update	V PS
	<b>Matters for Discussion</b>	
7	Education Scotland Annual Engagement Visit: His Majesty's Inspector of Education Report	Y JM
8	<a href="#">SQW</a> : South Lanarkshire Overview	GT
9	Chair's Update	N PH
10	Principal's Update Including Correspondence with Karen Watt, CEO Scottish Funding Council	Y SM
11	Governance Rolling Review	Y PS
12	Student Association Report	Y RC
	<b>For Approval</b>	
13	2023-24 South Lanarkshire College Budget	Y KMA/SM
14	Draft Report from the Audit and Risk Committee to the Board of Management and Audit Scotland	Y KMA
15	Fitness to Study Policy	Y SM
16	Safeguarding Policy	Y SM
	<b>Matters for Information</b>	
17	Financial Forecast and Cashflow	Y KMA
18	Risk Register	Y KMA
19	Reports by Chairs of Committees <ul style="list-style-type: none"> <li>• Curriculum, Quality and Development</li> <li>• HR</li> <li>• Audit and Risk</li> <li>• Finance and Resources</li> </ul>	V
20	Summation of Actions and Date of Next Meeting	Y PS
	Any Other Business	

Key: PS Peter Scott, JM Joe Mulholland (HMIE Education Scotland), GT Graham Thom (SQW) PH Paul Hutchinson, SM Stella McManus

## BOARD OF MANAGEMENT

### Minutes

Minutes of Meeting of the Board of Management on 9 March 2023 at 1730 hours via Microsoft Teams and in the Boardroom at South Lanarkshire College

Present	In Attendance
P Hutchinson (Chairing Member) D Morrison (Depute Chair) C Gibb (Chair of FRC) R Smith (Regional Chair) H Anderson R Calin (Student Member) A Doherty (Staff Member) T Robertson (Staff Member) F Whittaker A Sherry (Acting Principal)	S McManus (Depute Principal) K McAllister (Head of Finance) G McIntosh (Head of Human Resources)  P Scott (Governance Professional) as Clerk
1	<b>Apologies for Absence</b>  T Donnelly T Harris D Hogan F Mullen C McDowell C McLaughlin H Stenhouse
2	<b>Declaration of any potential Conflicts of Interest in relation to any Agenda Items</b> Some members advised of EIS/Fela membership and these would be minuted as appropriate if a conflict was identified
3	<b>Minutes of Previous Meetings</b> The Minutes of Board of Management 6 December 2022 were duly approved
4	<b>Matters Arising from the Previous Meeting</b>  None not covered under other heads
5	<b>Reserved Item – not publishable as containing personal data of named individuals</b>  Minutes of EGM 16 January 2023 These were considered and approved.
	<b>Matters for Decision</b>
6	<b>Staff Code of Conduct</b>  The Code of Conduct as circulated and as referred to for its terms was considered and approved. Board Members – which noted now closed off the last of the Azets Report recommendations. The Board was pleased to be assured that the terms had been agreed in consultation with the Trade Unions

	<b>For Approval</b>
7	<p><b>Mid-Year SFC Financial Forecast Report</b></p> <p>The Report as circulated and as referred to for its detailed terms was considered and approved.</p> <p>The Board noted that it contained two scenarios which would be dealt with in more detail under Item 16 but in essence one dataset was produced on the basis of the issued SFC assumptions and the other on what were felt to be more realistic assumptions as identified by the CDN Finance Directors Group. Members were reminded that they approved this approach to the submission of the Financial Forecast return at the October 2022 Board meeting.</p> <p>After discussion the Board directed that the submission of the Mid-Year Report include both datasets and recommended that the narrative be revisited to ensure that the reasoning for this was fully captured.</p>
8	<p><b>Trade Union Representation</b></p> <p>The paper as circulated was considered and approved subject to minor amendment with regard to confidentiality which would need to be agreed with the Unions</p> <p>It was felt that by inviting Trade Unions representatives to attend as observers in advance of the proposed change in the law regarding Trade Union Board Members this would lead to a better relationship with the Unions whose input would be greatly valued. The Clerk in his capacity as Governance Professional was tasked <b>as an action point</b> with setting up an Induction Event which would identify the role and function of Board Members as well as identifying the obligations incumbent on Charity Trustees .</p> <p>The Members were concerned that the proposal did not fully capture the requirement for confidentiality and as an <b>action point</b> required management to agree a minor change in that regard with the unions. The Governance Professional assured the Board that this would be covered fully in the Induction Session</p>
9	<p><b>Adoption of Committee Terms of Reference</b></p> <p>The Terms of Reference as issued and as referred to for their detailed terms were considered and approved. The wording had been circulated and accepted by the Committee Chairs and the Governance Professional confirmed that no changes had been made beyond those required by the new Code of Governance.</p>
10	<p><b>Ratification of Tender Acceptances</b></p> <p>The Clerk reported, for the record, that two tender acceptances had been issued on the written authority of a majority of the Board Membership. The details had been circulated to the full Board Membership for decision and the proposed contracts had already been approved in principle by the Board. The tender amounts had been recommended for acceptance by management but both had exceeded the delegated authority of the Acting Principal. One contract was in respect of the installation of solar panels and the other was in respect of refurbishment of workrooms. The Board, for the record, formally ratified the acceptances.</p>
11	<p><b>Annual Internal Audit Plan and Student Support Fund's Audit</b></p> <p>The Board considered the Internal Audit Report on Credit activity and student Support Funds which is referred to for its detailed terms.</p>

	<p>The credit activity audit, was timeously submitted was noted and approved.</p> <p>The Board noted however that the Student Support Funds Audit had been protracted into January 2023. This was partly due to a breakdown between the College Tequois software – a sector standard – and the SFC software. This breakdown was common to other colleges using the same standard software and this had led to reconciliation difficulties. The other difficulty had been in recording accurately the allocation of digital study and other expenses which management were putting in place revised procedures to ensure accurate allocation. In this regard the Board noted and approved the management responses .</p> <p>The Board also noted and approved the Internal Audit work scheduled for the current academic year.</p>
12	<p><b>Management Responses to Audit Recommendations Monitor (to endorse approval of ARC)</b></p> <p>The Governance Professional advised that although the last meeting of the Audit &amp; Risk Committee had been quorate, there had not, as required by the Code of Governance been a voting majority of non-executive members. This had meant that the Committee had been unable, formally, to approve an update of previous audit recommendation – albeit all members present and voting supported the paper as had been submitted.</p> <p>The Board accordingly considered the Audit Recommendations Monitor as originally submitted to the Committee and noted that significant progress had been made. Of 21 recommendations, 5 were complete and the remainder were partially complete or in progress. Two of the items in progress however were behind schedule, albeit partially completed, and a revised timetable had been submitted for approval.</p> <p>The Board, after due consideration, noted and approved the Monitor and agreed the adjustment to target dates as submitted</p>
13	<p><b>Annual Procurement Report</b></p> <p>The Board noted and approved the annual procurement report as issues and as referred to for its terms.</p> <p>The production of this Report though not a requirement is considered to be best practice. The Board noted that £156,000 of cash savings have been made by adopting advanced procurement techniques and efficiency savings of a further £163,000 of non-cash savings had been achieved.</p>
	<p><b>Matters for Discussion</b></p>
14	<p><b>Chair's Update</b></p> <p>The Chairing Member reported that he had met with Union representatives following the vote of no-confidence with a view to rebuilding relationships and that it had been a positive meeting.</p> <p>He also reported on ongoing dealings with MSPs, the Funding Council and the Regional Board.</p> <p>It was disappointing that the annual accounts had yet to be signed off but the delay was outwith the control of the College.</p> <p>Recruitment of a new Principal was well under way and he encouraged all Board Members, but especially staff and student members, to contact him regarding participation in the Selection Process.</p> <p>It was a matter of regret that Patricia Donnelly had decided to step down from the Board due to pressure of other business and he paid tribute to her service as both</p>

	<p>as a Board Member and as Senior Independent Member. In that last regard, he invited any member interested in taking over as Senior Independent Member to contact the Governance Professional who would then set in train the process for appointment to this key role.</p> <p>He also took the opportunity of thanking Alan Sherry for his very considerable contribution as Acting Principal.</p> <p>He also advised that there was an expression of interest from Fiona Mullen, currently a co-opted member, in becoming a full member now that she had retired from her full-time teaching post. She would clearly be a considerable asset to the College with such a wealth of local teaching experience. He would work with the Governance Professional to follow the appropriate process and procedure.</p> <p>He stressed that in the event of the anticipated dissolution of the Regional Boards, he would actively promote the continuation of close ties with New College Lanarkshire</p>
15	<p><b>Principal's Report &amp; Education Scotland Update</b></p> <p>The Acting Principal had earlier circulated his report and this was, accordingly, taken as read.</p> <p>The Depute Principal then delivered an update on the Education Scotland Inspection.</p> <p>The College was considered by HMIE to be a low risk college and indications are very much this will be a positive report with significant progress against actions from the Progress Visit in February 2022. The students were felt to be well supported and the College was agile in its approach to programme development. Middle Management have clearly been empowered and thanks were due to all staff. The Acting Principal pointed out that was truly a good news story and that a great deal of work had gone into the preparation of the suite of papers for the visit.</p>
16	<p><b>Mid-Year Progress Against Budget Review</b></p> <p>The Board discussed and noted the Paper as presented and which is referred to for it detailed terms .</p> <p>The Board noted that, on staff recruitment, the College was only recruiting where it needed to recruit and that although there is currently a small shortage in the total credits work is in hand to address the current gap. In that last regard, the SFC has now factored in some flexibility but the reduced HN activity inevitably results in reduced fee income.</p> <p>The projected deficit has now been significantly reduced below the June 2022 budget figure however as yet there had been no national salary agreement.</p>
17	<p><b>Annual Priorities Progress Update</b></p> <p>The Board noted that considerable progress had been made against the annual priorities – particularly with regard to curriculum, quality and MIS – with the purchase of a new HR system, a new website, a brand refresh and new learner records system. Key work to support staff through professional development and training has taken place and new policies have been developed with a view to modernising and upskilling staff.</p> <p>Looking ahead to the May Strategy Session, the Board suggested that, with the challenges ahead, what might be required was a strategic plan rather than a focus on current priorities and asked that management consider and advise as appropriate</p>
18	<p><b>Credit Projection – March 2023</b></p>

	<p>The Board considered and noted the paper in this regard which is referred to for its detailed terms and which was well received as being helpful and informative.</p>
19	<p><b>Learning Teaching &amp; Assessment</b></p> <p>The Board considered the paper as issued and which is referred to for its detailed terms.</p> <p>The Board noted that, although retention has dropped slightly and part time withdrawal rates are slightly higher than expected, nonetheless attainment targets are likely to be met if students continue to attend and follow their assessment plans.</p> <p>It was particularly noted that, of the 12 external verification visits which have taken place all have highlighted examples of best practice.</p>
20	<p><b>Quality Enhancement Plan – March 2023</b></p> <p>The Board considered the paper as issued and which is referred to for its detailed terms.</p> <p>The Board noted with particular approval the embedding of meta-skills</p>
21	<p><b>Risk Register Update</b></p> <p>The Board considered the paper as issued and which is referred to for its detailed terms.</p> <p>The main challenge for the sector as a whole was felt to be the proposed “flat cash settlement” which produces a high risk post-mitigation score of 12. Earlier concerns with credits targets appeared however to have been mitigated and the current post-mitigation score has dropped to 9 within the medium band. The Board noted however that the College was working closely with the Regional Strategic Board on Strategic Risk Management.</p>
22	<p><b>Matters for Information</b></p>
	<p><b>Verbal Reports from Chairs of Committees</b></p> <ul style="list-style-type: none"> <li>• <b><i>Curriculum, Quality and Development</i></b></li> </ul> <p>The papers as presented demonstrated the main business of the Committee but D Morrison reported on behalf of the Chair that there remained a concern with the Mental Health of Learners where, despite a clear Government commitment in this regard, there was no clarity as to how this was to be funded from April 2023</p> <ul style="list-style-type: none"> <li>• <b><i>Human Resources</i></b></li> </ul> <p>The papers as presented fully captured the ongoing work of the Committee</p> <ul style="list-style-type: none"> <li>• <b><i>Audit &amp; Risk</i></b></li> </ul> <p>The papers as presented fully captured the ongoing work of the Committee</p> <ul style="list-style-type: none"> <li>• <b><i>Finance and Resources</i></b></li> </ul>

	<p>In view of the ongoing financial challenges facing the sector, The Committee Chair provided a full briefing as follows:-</p> <ol style="list-style-type: none"> <li>1. The Forward Funding Plan as separately circulated is a best case scenario as it is based on SFC assumptions which do not echo the Finance Directors assumptive figures.</li> <li>2. After discussion it was agreed to retain the £300,000 overdraft at a cost of £4,500.</li> <li>3. With regard to management accounts and cashflow, the committee considered the assumptions versus expected reality were discussed, as for example the 3% salary increase budgeted versus potential settlements reported in the media. The accounts showed an increase in salary provision necessitated by the need for Interim cover during the investigation(s) to meet legal requirements to employ a Principal and Clerk to the Board.</li> <li>4. The committee had requested that future procurement reporting and activities continue to improve in terms of governance and accountability and be RAG rated to show contracts which are technically “non-compliant” – which might better be described in most cases as about to become fully compliant - as well as narrative to show progress toward full compliance status. It should be noted that procurement savings already have funded 2 APUC procurement posts.</li> <li>5. With regard to Facilities, Carbon Neutral Targets and the Circular Economy was discussed as well as renewables diversification. The non-destructive conditions survey has been received and shows that the built facilities are in reasonable condition. An intrusive cladding survey has been instructed. FRC noted with concern the potential retrospective action requirement in forthcoming legislation and the need to risk assess any “not to current standard” findings which may impact on buildings’ and occupants’ safety.</li> <li>6. The 5 year financial forecast had been circulated separately but the College Sector FFR was felt to be very much a best case scenario based on SFC assumptions, with which the Board considered unrealistic, in order to set the budget. For example, the SFC had proposed an assumption of a salary increase of 2%, the Board had agreed to budget for a 3% award however that too now appeared to be on the low side. Members were reminded that than settlements would be backed to August 20222. .</li> <li>7. A professional fees update, circulated separately as a reserved item, had been considered but the Committee Chair expressed concern that, no doubt essential, fees were still being incurred without consultation with FRC which meant that FRC could merely monitor rather than control expenditure. This was noted.</li> <li>8. State Aid rules were noted as having changed and the executive team had been requested to ensure that any risk to the College was identified and managed.</li> </ol>
23	<p style="text-align: center;"><b>Gender Pay Gap</b></p> <p>The paper as presented and as referred to for its terms was duly noted. There had been a slight improvement in terms reducing the gender pay gap</p>

	but this was not a problem area for the College which consistently met national targets
24	<p style="text-align: center;"><b>Interim Public Sector Equality Duty</b></p> <p>The paper as presented and as referred to for its terms was duly noted. This represented new guidance which the College would need consider and adopt as appropriate</p>
25	<p style="text-align: center;"><b>Congratulations Certificate for SLC's Support to Asylum Seekers and Refugees, from Scottish Government</b></p> <p>The Board was pleased to note this recognition of the College's Support for this humanitarian cause</p>
	<p><b>Summation of Actions and Date of Next Meeting</b></p> <p>The Clerk advised that the Actions identified had been duly recorded for minuting purposes</p> <p>The next scheduled meeting was a strategy session on 9<sup>th</sup> May but there would also need to be a special meeting to approve the Final Accounts – the drafts of which were in the hands of the external auditors.</p>
	<p><b>Any Other Business</b></p> <p>The Governance Professional advised that he had tendered his resignation but had allowed what he believed to be sufficient time to recruit a successor. It had never been his intention to apply for a permanent post and he believed that the time had come for him to move on. The Chairing Member confirmed that the College was now in a position to move forward to recruit a permanent post holder</p>

**BOARD OF MANAGEMENT**

<b>DATE:</b>	1 June 2023
<b>TITLE OF REPORT:</b>	Education Scotland Annual Engagement Visit Report
<b>REFERENCE</b>	07
<b>AUTHOR AND CONTACT DETAILS</b>	Stella McManus, Principal Stella.mcmanus@slc.ac.uk
<b>PURPOSE:</b>	To provide members with a summary of the positive Education Scotland His Majesty's Inspectorate Annual Engagement Visit Report.
<b>KEY RECOMMENDATIONS/ DECISIONS:</b>	Members are recommended to: <ul style="list-style-type: none"> <li>• note that there were no main points for action identified: and</li> <li>• note that Education Scotland stated that the College had made significant progress against the actions identified at the progress visit last February.</li> </ul>
<b>RISKS</b>	<ul style="list-style-type: none"> <li>• That the College does not make sufficient progress in enhancing the learner experience.</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 College had its Annual Engagement Visit in March 2023, which focused on progress made against the College's enhancement priorities.</li> <li>• The AEV was a very positive visit, with the inspection team thanking staff for their openness and honesty.</li> <li>• HMIE reported that the College had made significant progress against the actions identified at the progress visit last February and stated that the College had in fact moved beyond these, in particular they could now see the results of the processes implemented.</li> <li>• There were no main points of action identified.</li> <li>• Areas for development were reflective of the College's analysis of its position.</li> </ul>

## **1. INTRODUCTION**

1.1 This paper provides a summary of Education Scotland His Majesty's Inspector Annual Engagement Visit (AEV) Report that took place in March 2023. Annual Engagement Visits (AEVs) are planned collaboratively between the College, HM Inspectors, and the Scottish Funding Council (SFC).

1.2 During the AEV, a team of HM Inspectors evaluated progress made by the College towards its improvement priorities, and outcomes of previous engagement with HM Inspectors. During the visit, the team met with staff, learners and other stakeholders and explored the following overarching themes linked to the college's enhancement plan; priorities around COVID-19 recovery; learner recruitment; retention; attainment; and progression.

1.3 The data used throughout this report relates to SFC published data for academic year 2020/2021. The letter is being published on the Education Scotland website on 2 May 2023 and Joe Mulholland will present the findings of the annual engagement visit at the June 2023 Board of Management meeting.

## **2. AREAS OF POSITIVE PROGRESS**

2.1 The AEV visit focussed on following areas: Recruitment, Retention, Attainment, and Progression. Then under these headings the following sub areas were considered:

- 2.1.1 learner progress and outcomes;
- 2.1.2 curriculum, learning, teaching and assessment;
- 2.1.3 services to support learning;
- 2.1.4 learner engagement; and
- 2.1.5 evaluation to facilitate improvement.

2.2 The following key strengths were highlighted. Students articulated that they felt valued and supported, curriculum design was robust based on engagement with stakeholders and that middle managers showed autonomy in identifying and driving improvements in their curriculum areas.

2.3 The following statements provide key highlights from the areas of positive progress that Education Scotland identified across the College:

- 2.3.1 Partnership working with external stakeholders and staff involved in the delivery of ESOL provision, has significantly increased the recruitment of learners whose first language is not English.
- 2.3.2 All teaching departments work responsively and flexibly to meet the needs of employers and local communities. This has increased the levels of recruitment to part-time FE programmes and Modern Apprenticeships.
- 2.3.3 All curriculum teams make effective use of labour market intelligence (LMI), employer feedback and information from secondary schools to plan and adjust programmes to meet the needs of learners.

- 2.3.4 Curriculum managers have autonomy to design curriculum flexibly and ensure that programmes align with the requirements of learners and key stakeholders. They adjust programmes promptly to respond to changing needs.
  - 2.3.5 Learner feedback is used effectively by staff to inform and influence the redesign of college services including the college website and admission arrangements.
  - 2.3.6 Staff are making effective use of college data systems to better target support for learners that have protected characteristics or are experiencing hardship.
- 2.4 It was a very positive visit, with the inspection team thanking staff for their openness and honesty. HMIE reported that the College had made significant progress against the actions identified at the progress visit last February and stated that the College had in fact moved beyond these, in particular they could now see the results of the processes implemented.

### **3. AREAS FOR DEVELOPMENT**

- 3.1 There were no main points for action identified. Areas for development, which were highlighted, include:
- 3.1.1 that while there is good practice of embedding meta skills in a few areas such as, Childhood Practice and Health and Social Care, the College requires to roll this out across all curricular areas. The College is only one of two colleges in the sector delivering meta skills in this way.
  - 3.1.2 more students need to complete the mandatory external student surveys; and
  - 3.1.3 Further Education Full Time (FEFT) attainment rates are slightly under the national rates.

3.2 These development points reflect the College's analysis of the position currently.

### **4. RISK**

- 4.1 That the College does not make sufficient progress in enhancing 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. The College will continue to put in place strategies to support attainment levels in particular FE FT learners.

### **6. RECOMMENDATIONS**

- 6.1 Members are recommended to:
  - 6.1.1 note that there were no main points for action identified; and
  - 6.1.2 note that Education Scotland stated that the College had made significant progress against the actions identified at the progress visit last February.

2 May 2023

Stella McManus  
Principal and Chief Executive  
South Lanarkshire College

Dear Ms McManus,

A team of HM Inspectors from Education Scotland visited South Lanarkshire College in March 2023 to undertake an Annual Engagement Visit (AEV). During our visit, we talked to learners, staff, and stakeholders, and worked closely with the senior managers.

The team found the following major strengths in the college's work.

### **Recruitment**

Staff use recently revised admissions procedures to support learners well throughout the application process. Learners are encouraged to highlight support needs, and support staff work collaboratively with teaching departments to ensure support arrangements are in place at the start of programmes. Prior to the start of programmes, most curriculum teams provide good opportunities for learners to get to know teaching staff and other learners and familiarise themselves with the college facilities. Learner feedback is used effectively by staff to inform and influence the redesign and development of college services including the college website and admission arrangements. All curriculum teams make effective use of labour market intelligence (LMI), employer feedback and information from secondary schools to plan and adjust programmes to meet the needs of learners. All teaching departments work responsively and flexibly to meet the needs of employers and local communities. This has increased the levels of recruitment to part-time FE programmes and Modern Apprenticeships. Partnership working with external stakeholders has significantly increased the recruitment of learners whose first language is not English.

### **Retention**

The overall rate of learner withdrawal for full-time further education (FE) programmes is 5% lower than the sector norm. Curriculum teams make effective use of newly introduced college systems to monitor and evaluate learner performance. Staff make good use of this facility to intervene early and support learners to stay at college. Almost all learners value the flexibility, enthusiasm, and responsiveness of teaching staff to meet their individual needs. Staff in almost all curriculum areas make good use of the virtual learning environment (VLE) to support learners out with class times. Teaching departments make good use of opportunities to share effective practice in curriculum planning and design. Arrangements are in place to support learners experiencing significant financial hardship, including provision of free breakfasts and lunches. In all curriculum areas learners provide purposeful feedback on their learning experience. Support Services staff make good use of neurodiversity training to meet the varied needs of learners and provide good access to a range of services to support wellbeing.

## Attainment

The overall rates of attainment for part-time FE, and HE learners are high and above sector norms. Curriculum managers have autonomy to design curriculum flexibly and ensure that programmes align with the requirements of learners and key stakeholders. They adjust programmes promptly to respond to changing needs. All curriculum areas use alternative assessment arrangements effectively to ensure learners have the opportunity to successfully achieve their qualification. Most teaching staff are continuing to develop and use portfolio and project-based assessment methods to motivate learners and minimise any assessment burden. In a few curriculum areas, the incorporation of meta-skills within lessons is supporting learners well. Student services staff make effective use of a texting service to encourage those who may be at risk of withdrawal to continue on their programme. All learners have access to a class representative and learners undertaking this role benefit from the support they receive from the college. Learners provide useful feedback to staff on the delivery of summative assessments and staff adjust assessment strategies in response to learner views. Staff are making effective use of college data systems to better target support for learners that have protected characteristics or are experiencing hardship.

## Progression

Almost all learners enter a positive destination on completion of their college programme. Most teaching teams provide learners with well-planned opportunities for work-based experience to enable learners to gain hands-on experience in industry. All curriculum areas incorporate input from external partners to provide learners with insight into the range of industry and academic options. Staff support learners well to plan, apply, and prepare for progression to employment or further study at college or university. Learners draw productively on their engagement with external partners to increase their knowledge of work standards and practices and extend their awareness of career pathways. Learners report high levels of satisfaction with the quality of their learning and the guidance they receive from academic and support staff. Almost all curriculum teams draw constructively on feedback from industry to adjust the curriculum and support progression to employment.

The following areas for improvement were identified and discussed with the senior managers:

- The incorporation of meta skills within programmes is at an early stage of development in most curriculum areas.
- The overall rate of learner attainment on full-time FE programmes has declined and the number of learners completing with partial success has increased.
- The participation rate for the SFC Student Satisfaction and Engagement Survey (SSES) is lower than the sector norm. Satisfaction rates from learners who responded are below the sector norm.

## Main points for action

No main points for action were identified.

### What happens next?

We are confident that the college has the capacity to continue to improve. We will continue to monitor progress through on-going engagement with the college link HM Inspector.

Joe Mulholland  
HM Inspector

# Annual Engagement Visit Report

**South Lanarkshire College**

25 April 2023

<b>College Principal</b>	<b>Alan Sherry</b>
<b>Annual Engagement Visit Date</b>	<b>7 March 2023</b>
<b>College Nominee</b>	<b>Stella McManus</b>
<b>Lead HMI</b>	<b>Joe Mulholland</b>

## 1. Background

Annual Engagement Visits (AEVs) are planned collaboratively between the college, HM Inspectors, and the Scottish Funding Council (SFC).

During the AEV, a team of HM Inspectors evaluated progress made by the college towards its improvement priorities, and outcomes of previous engagement with HM Inspectors. During the visit, the team met with staff, learners and other stakeholders and explored the following overarching themes linked to the college's enhancement plan; priorities around COVID-19 recovery; learner recruitment; retention; attainment; and progression.

The data used throughout this report relates to SFC published data for academic year 2020/2021.

This report summarises the findings from the visit and highlights areas of positive progress, areas for development, and any associated main points for action. The report will be shared with the college Principal, college Board of Management, and/or Regional Strategic Body, and SFC. An accompanying short report will be published on Education Scotland's website.

## 2. The college and its context

South Lanarkshire College is one of two colleges within the Lanarkshire region overseen by the Lanarkshire Regional Strategic Board (LRSB). The region encompasses the local authority areas of North and South Lanarkshire, as well as parts of East Dunbartonshire.

South Lanarkshire College is a single campus college located in East Kilbride and offers a range of further education (FE) and higher education (HE) programmes and Modern Apprenticeships from Scottish Credit and Qualifications Framework (SCQF) levels 2 to 7. The college has 4,842 enrolled learners and employs approximately 360 staff.

The college works with local secondary schools in the region to provide taster programmes, skills for work programmes and Foundation Apprenticeships.

### 3. Summary of findings

#### 3.1 Recruitment

##### Areas of positive progress

##### Learner progress and outcomes

- Partnership working with external stakeholders and staff involved in the delivery of English for Speakers of Other Languages (ESOL) provision has significantly increased the levels of recruitment of learners whose first language is not English.
- All teaching departments work responsively and flexibly to meet the needs of employers and local communities. This has increased the levels of recruitment to part-time FE programmes and Modern Apprenticeships.

##### Curriculum, learning, teaching, and assessment

- Prior to the start of programmes, most curriculum teams provide good opportunities for learners to get to know teaching staff and other learners and familiarise themselves with the college facilities and resources.
- All curriculum teams make effective use of labour market intelligence (LMI), employer feedback and information from secondary schools to plan and adjust programmes to meet the needs of learners.

##### Services to support learning

- Staff use recently revised admissions procedures to support learners well throughout the application process. Learners are encouraged to highlight support needs, and support staff work collaboratively with teaching departments to ensure support arrangements are in place at the start of programmes.

##### Learner engagement

- The Students' Association (SA) contributes productively to events and activities to promote the college. This includes participating in open days for local schools and producing and sharing short videos of learner testimonials on social media to support recruitment of new learners. These activities have enhanced the profile of the college.
- All learners spoken to during the visit demonstrate a good awareness of college safeguarding arrangements.

##### Evaluation to facilitate improvement

- Learner feedback is used effectively by staff to inform and influence the design and development of college services including the college website and admission arrangements.

## Areas for development

- None identified.

## 3.2 Retention

### Areas of positive progress

#### Learner progress and outcomes

- The overall rate of learner withdrawal for full-time FE programmes is 5% than the sector norm.
- Recently introduced college-wide systems for capturing learner attendance and progress are enabling teaching and support staff to identify learners that may be at risk of withdrawal. Staff are making good use of this facility to intervene early and support learners to stay at college.

#### Curriculum, learning, teaching, and assessment

- Almost all learners value the flexibility, enthusiasm, and responsiveness of teaching staff to meet their individual needs.
- Staff in almost all curriculum areas make good use of the virtual learning environment (VLE) to allow learners to access feedback out with class times and view recorded lessons. This is helpful to learners who are revising or unable to attend classes due to caring or work commitments.
- Teaching departments make good use of opportunities to share effective practice in curriculum planning and design.

#### Services to support learning

- Support Services staff make good use of neurodiversity training to meet the wide and varied needs of learners. They deliver useful in-house training to curriculum teams to promote the range of support services available to learners.
- Learners have good access to a range of services to support wellbeing. These include access to yoga and mindfulness sessions and online support for mental health. Arrangements are in place to support learners experiencing significant financial hardship, including provision of free breakfasts and lunches.

#### Learner engagement

- In all curriculum areas learners provide purposeful feedback on their learning experience through end-of-unit questionnaires, learner surveys, focus groups and course team meetings. Teaching staff draw productively on learner views to adjust and amend programmes to meet the needs of learners.

## **Evaluation to facilitate improvement**

- Curriculum teams make effective use of newly introduced college systems to monitor and evaluate learner performance across programmes.

## **Areas for development**

- None identified.

## **3.3 Attainment**

### **Areas of positive progress**

#### **Learner progress and outcomes**

- The overall rate of attainment for part-time FE learners is high and is 3% above the sector norm.
- The overall rate of attainment for HE learners is high and above sector norm.

#### **Curriculum, learning, teaching, and assessment**

- Curriculum staff engage productively in arrangements to identify success criteria, for example by ensuring that summative assessments align with industry practice to enable learners to plan their learning effectively.
- Curriculum managers have autonomy to design curriculum flexibly and ensure that programmes align with the requirements of learners and key stakeholders. They adjust programmes promptly to respond to changing needs.
- All curriculum areas use alternative assessment arrangements effectively to ensure learners have the opportunity to successfully achieve their qualification.
- Most teaching staff are continuing to develop and use portfolio and project-based assessment methods to motivate learners and minimise any assessment burden.
- In a few curriculum areas, the incorporation of meta skills within lessons is supporting learners well, to develop skills and attributes for progression to employment or further learning.

#### **Services to support learning**

- Student services staff monitor online attendance and make effective use of a texting service to check in with learners and encourage those who may be at risk of withdrawal to continue on their programme.

## **Learner engagement**

- All learners have access to a class representative and learners undertaking this role benefit from the support they receive from the college to carry out their duties.
- Learners provide useful feedback to staff on the delivery of summative assessments and where possible, staff adjust assessment strategies in response to learner views.

## **Evaluation to facilitate improvement**

- Staff are making effective use of college data systems to better target support for learners that have protected characteristics or are experiencing hardship.

## **Areas for development**

- The incorporation of meta skills within programmes is at an early stage of development in most curriculum areas.
- The overall rate of learner attainment on full-time FE programmes has declined and the number of learners completing with partial success has increased.

## **3.4 Progression**

### **Areas of positive progress**

#### **Learner progress and outcomes**

- Almost all learners enter a positive destination on completion of their college programme.

#### **Curriculum, learning, teaching, and assessment**

- Most teaching teams provide learners with well-planned opportunities for work placements and work-based experience to enable learners to gain hands-on experience of industry.
- All curriculum areas incorporate input from external partners to provide learners with insight into the range of industry and academic options and pathways. Activities include engagement with industry representatives, involvement with community stakeholders and presentations from university partners.

#### **Services to support learning**

- Staff support learners well to plan, apply and prepare for progression to employment or further study at college or university.

#### **Learner engagement**

- Learners draw productively on their engagement with external partners to increase their knowledge of work standards and practices and extend their awareness of career pathways.

- Learners speak very highly of teaching staff. They report high levels of satisfaction with the quality of their learning and the guidance and encouragement they receive from academic and support staff.

### **Evaluation to facilitate improvement**

- Almost all curriculum teams draw constructively on feedback from employers and industry representatives to adjust the curriculum to support progression to work.
- Throughout their programme learners provide purposeful feedback to staff on the student experience that is used well by staff to improve programmes.

### **Area for development**

- The participation rate for the SFC Student Satisfaction and Engagement Survey (SSES) is lower than the sector norm. Satisfaction rates from learners who responded are below the sector norm.

## **4. Main Points for Action**

- There are no main points for action.

## **5. What happens next?**

We are confident that the college has made satisfactory progress and has the capacity to continue to improve. We will continue to monitor progress through regular engagement with the link HM Inspector.

**Joe Mulholland**  
**HM Inspector**

**BOARD OF MANAGEMENT**

<b>DATE</b>	1 June 2023
<b>TITLE OF REPORT</b>	Principal's Update
<b>REFERENCE</b>	10
<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 information not included on the Board of Management meeting agenda.
<b>KEY RECOMMENDATIONS/ DECISIONS:</b>	<ul style="list-style-type: none"> <li>Members are recommended to note and question the contents of this report.</li> </ul>
<b>RISK</b>	<ul style="list-style-type: none"> <li>That dissolution does not happen by 31 July 2024 and South Lanarkshire College continues to be impacted.</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>This paper provides information relating to the Lanarkshire Region's Indicative Funding Allocation for 2023-24. The allocation is slightly more than the rest of the sector, 10.75% with the exception of West College and SRUC, instead of 10%.</li> <li>Karen Watt has responded to the College's letter requesting a clarification to the allocation as well as an update on dissolution.</li> <li>The Board Development Day held in May focussed on strategic planning and risk appetite.</li> <li>Pay offers have been made to support and lecturing staff and at this stage they have not been accepted. Both groups have voted to participate in industrial action with EIS-FELA already undertaking Action Short of Strike Action.</li> <li>At the time of writing there was no agreement on pay increases for support or academic staff.</li> <li>The College has been successful in receiving further Scottish Government funding (£377k) this time for the installation of LED lighting.</li> <li>The Principal has met a range of stakeholders from across the sector.</li> </ul>

## **1. INTRODUCTION**

1.1 The purpose of this report is to provide members with information not included on the agenda of the Board Meeting scheduled for 1 June 2023.

## **2. REGIONAL OUTCOME AGREEMENT**

2.1 The Lanarkshire Regional Outcome Agreement submitted in December 2022 to the Scottish Funding Council has now been reviewed and signed off by the Deputy Director for Access, Learning and Outcomes, James Dunphy. It is expected that these will be published at some point.

## **3. INDICATIVE FUNDING ALLOCATION 2023-24**

3.1 The Scottish Funding Council announced the indicative funding allocations for the academic year 2023-23 on 13 April 2023. The Scottish Funding Council has rebased credit allocations for all colleges, lowering them by 10%, with a balancing price increase to ensure funding remains unchanged from academic year 2022-23. Note that the credit guidance document has not yet been issued by the Scottish Funding Council.

3.2 However, for the Lanarkshire Region, the reduction in the number of credits to be delivered is from 180,117 in 2022/23 to 160,890 in 2023/24, which is circa a 10.7% decrease. In addition, the Lanarkshire Region has received a funding reduction of 0.75% from £52,699,428 in this current year to £52,308,500 next year. This reduction has also been applied to West College and SRUC.

3.3 Following the current regional financial memorandum, the South Lanarkshire College (SLC) allocation arrangement is 27.1%. and New College Lanarkshire (NCL) 72.9%. This means the indicative credit allocation is circa 43,602 credits, a reduction of 5,210 credits in comparison to the 2022-23 academic year. This is slightly more than the 10% reduction expected, which would have been a reduction of approximately 4,882 credits. The unexpected funding reduction is circa £106k.

3.4 It should be noted that NCL colleagues agreed to split both capital and student support funds following the 27.1% rule and not a 20% split as it has been in previous years.

3.5 As the larger and unexpected teaching funding reduction in comparison to the rest of the sector could not be explained, I wrote to Karen Watt on 5 May 2023 requesting further clarification regarding the indicative allocation as well as update on timescales to dissolve the Lanarkshire Region. The full letter can be seen at Annex 1.

3.6 I met with Karen Watt on 12 May 2023 where a range of subjects were discussed such as business planning, the future of the college sector and challenges facing it. More importantly Ms Watt clarified that the further reduction in funding was due primarily to New College Lanarkshire (NCL) not hitting its funding target, which has resulted in the Lanarkshire Region as a whole not meeting the funding target.

3.7 According to The Lanarkshire Colleges Order 2014 as it is a regional allocation then the normal NCL and SLC split would apply, unless of course the Lanarkshire Regional Strategic Body (LRSB) decided otherwise.

3.8 As the LRSB is the same as the NCL Board of Management then an allocation increase of teaching funding would be unlikely due to NCL requiring revenue given its financial challenges. This reinforces the fact that dissolution must be progressed, and this was discussed with Ms Watt, in addition to improved ways of working with the Scottish Funding Council and the LRSB to include SLC. Colleagues at NCL have been very supportive regarding encouraging SFC staff to include SLC in communications. Ms Watt's letter can be viewed at Annex 2.

#### **4. STUDENT ASSOCIATION ELECTIONS**

4.1 The College is pleased to report that after a well fought campaign the following students have been elected:

- 4.1.1 President-Elect: Kayleigh Wither (Level 5 Professional Cookery)
- 4.1.2 Vice President-Elect: Ellie Hamilton (HND Social Science)

4.2 There will be a short handover period with the College's outgoing Student Association President Rahela Calin. The College would like thank Rahela for her hard work, dedication and enthusiasm during her time in post.

#### **5. COLLEGE RECRUITMENT UPDATE**

5.1 Members are aware that the College is currently recruiting for a Governance Professional, Board Members, and a Governance and Executive Manager. In addition, the Principalship will recruit for two Vice Principals to replace the Depute Principal and the Head of Finance roles. These will be Vice Principal for Learning, Teaching and the Student Experience and Vice Principal for Finance, Resources and Sustainability.

5.2 The Depute Principal postholder runs the College operationally and the remit includes everything from learning, teaching and quality, management information systems, student services and estates. As such the Depute Postholder is not always fully able to innovate and change regarding these areas, for example, the College still urgently needs an estates strategy linked to curriculum, to drive architect and estate projects as well as making a step change in learning, teaching and quality and driving a business development strategy and sustainability.

5.3 In addition, the VPs would form an Executive Leadership Team to support the Principal and SLT in driving strategy, transformation and change throughout the College. Note any recruitment being done is within the College's budget portfolio.

## **6. BOARD DEVELOPMENT DAY**

- 6.1 The College held a Board Development Day on 2 May 2023 where members, the Senior Leadership team and other College staff received briefing sessions on Cyber Security, an overview of the sector including the financial challenges as well as the College's Strategic Planning Process.
- 6.2 In addition, David Archibald, Henderson Loggie, Internal Auditors did a session on risk appetite, which was very useful. The Internal Auditors will bring a paper on how to progress this to the next Audit and Risk Committee.
- 6.3 The next Board Development Day in August 2023 will focus on setting revised strategic priorities.

## **7. NATIONAL COLLECTIVE BARGAINING UPDATE**

- 7.1 The following provides an update on current pay offers and the status of the College Sector Job Evaluation Project.

### ***7.2 Support Staff***

- 7.3 At a second dispute meeting the management side made an improved offer to the staff side of a two-year offer of 3.5% for 2022/23 and 3.5% for 2023/24. This offer mirrors the offer made to the EIS FELA.
- 7.4 The staff side advised that it could not take this offer to its members, and apparently it had been understood that there are a number of colleges budgeting for a higher pay increase than what has been offered. The staff side repeated its request for a flat cash payment for all staff in the sector, and they are more attracted by flat cash of £1,500 per FTE for both this year and next.
- 7.5 The staff side requested that further consideration be given to their requests for improvements in terms and conditions. The staff side was advised that a full response had already been provided on each of the requests and that work was being carried out within the Terms and Conditions Working Group on the areas identified as a priority.
- 7.6 The management side again requested the staff side consider the improved offer and advise of any movement on its current claim. Unison will likely undertake strike action after the summer.

### ***7.7 Lecturing Staff***

- 7.8 Following discussion at the College Employers Scotland (CES) Executive Group on 17 May, there was no movement on the current pay offer which remains at 3.5% for 2022/23 and 2023/24. However, the management side did acknowledge the desire to reach a two-year deal and to look at a flat cash settlement. The revised EIS-FELA pay claim is a consolidated flat cash pay rise of £7,000, over two years, on all national scale points for unpromoted and promoted lecturers.
- 7.9 The management side have stated that there is common ground with the two-year deal and flat cash arrangement, however, it recognised that the improved offer will not mirror the staff side's revised pay claim, but there is a genuine desire to recognise and reward the efforts of staff. A further meeting is planned for 1 June 2023.

7.10 Lecturing staff are currently undertaking industrial action in the form of “Action Short of Strike Action” which means they are not submitting students’ results into college systems. The College is trying to support students through this process.

## **8. SUSTAINABILITY**

8.1 The College has been successful in winning £377k of Scottish Government funding from the Directorate for Energy and Climate Change for the installation of LED lighting. The annual energy cost savings will be reinvested into future energy efficiency projects across the estate.

## **9. PARTNERSHIP WORKING**

9.1 The Principal has engaged in the following activities:

- had an introductory meeting with Shona Struthers, Chief Executive of Colleges Scotland;
- attended a “Think the Unthinkable” Apprenticeship meeting;
- College Principals Group meeting;
- met with Karen Watt, Chief Executive of the Scottish Funding Council;
- met with Stuart Brown, National Officer, EIS-FELA;
- met with the Principals of New College Lanarkshire, City of Glasgow College, Clyde College and Kelvin College to discuss socioeconomic Region Recovery & Development; and
- attended the National Good Governance Steering Group meeting.

## **10. EQUALITIES**

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

## **11. RISK**

11.1 That dissolution does not happen by 31 July 2024 and South Lanarkshire College continues to be impacted.

## **12. RECOMMENDATIONS**

12.1 Members are recommended to note the contents of this report.

## **ANNEX 1: LETTER FROM THE PRINCIPAL TO KAREN WATT**

Dear Ms Watt

Following on from the Indicative College Funding Allocation announcement by the Scottish Funding Council (SFC) for Academic Year 2023-24 on 14 April 2023, I seek further clarification on behalf of the Board of Management on the additional funding cut proposed for South Lanarkshire College.

The Indicative Funding Allocation document sets out (on pages 4 and 7) that,

*“We have then rebased credit allocations for all colleges, lowering them by 10%, with a balancing price increase to ensure that overall SFC funding is unchanged from AY 2022-23.”*

However, despite this assurance, the teaching funding allocation table shows that the Lanarkshire Region, SRUC and West College Scotland have received a higher credit reduction of circa 10.7%, which translates into a funding reduction of 0.75%. This results in a loss of approximately £400k for the Region and just over £100k for South Lanarkshire College in comparison to the 2022-23 academic year.

Whilst the Board appreciates that the reduction in public sector finances has impacted adversely on the funding allocations for the sector for the next academic year, there appears to be a lack of transparency as to how these further proposed reductions for South Lanarkshire College, the communities which it serves, were arrived at as the College has not participated in any discussions with you or your senior officers on the 2023/24 funding allocations.

No doubt you, and your senior staff, will be aware from detailed scrutiny of returns made by both Lanarkshire colleges that there are considerable differences between the institutions which may be lost in summary reports. For example, South Lanarkshire College has consistently met its core credit allocation (since 2009/10) and has returned a balanced budget.

The College is fully aware of its status as an assigned college to the Lanarkshire Regional Strategic Body, however, when the matter of engaging directly with South Lanarkshire College was raised at a joint meeting between you, and other senior SFC staff, New College Lanarkshire, and South Lanarkshire College on 31 October 2022, both colleges were left with the impression that, going forward, South Lanarkshire College would be involved in key discussions such as funding allocations both at a regional and college level. Regrettably this has not taken place despite repeated requests from the College for such meetings.

Furthermore, the recent Education, Children and Young People Committee Report (21 March 2023) on College Regionalisation sought an update from the Scottish Government and the SFC on the progress, including timescales, to-

- *“dissolve the Lanarkshire Strategic Regional Board”*

In addition, the Auditor General for Scotland made this comment in the Scotland’s Colleges Report July 2022

- *“The intention remains to dissolve the Lanarkshire RSB, with both colleges managing themselves as separate regional entities. A timetable for this is still to be agreed.”*

I appreciate that circumstances at South Lanarkshire College have resulted in delays to the dissolution process, however, all at the College are keen to look to the future and to continue delivering outstanding learning experiences, as evidenced by Education Scotland, to the South Lanarkshire community and the wider region as a free-standing body.

I would be grateful if you would provide the detailed working as to how the additional credit and funding reductions were realised for the Lanarkshire Region and the rationale behind such a proposal as a matter of urgency.

Furthermore, the Board have asked that I request that you provide an update and proposed timescales regarding the progress towards the dissolution of the Lanarkshire Regional Strategic Body.

As both these matters are of crucial importance, I would wish to invite you to attend the next scheduled meeting of the Board of Management meeting on 1 June 2023 in order that you can address members on these issues.

In addition, I would also wish to take this opportunity to invite you to visit the College in order that we can meet in my new role as Principal and Chief Executive.

Thank you, in anticipation, for a prompt response to this correspondence.

Yours sincerely

Stella McManus

Principal and Chief Executive

cc:

- Paul Hutchinson, Chair of the Board of Management, South Lanarkshire College
- Ronnie Smith, Chair of the Lanarkshire Regional Strategic Body
- Professor Christopher Moore, Principal and Chief Executive, New College Lanarkshire
- Richard Maconachie, Director of Finance, Scottish Funding Council
- James Dunphy, Director of Access, Learning and Outcomes

## ANNEX 2: LETTER FROM KAREN WATT



12 May 2023

**Stella McManus**

Principal and Chief Executive

South Lanarkshire College

Scottish Enterprise Technology Park

College Way

East Kilbride

G75 ONE

Dear Stella

My warmest congratulations on your recent appointment as Principal and Chief Executive.

Thank you for your letter of 5 May following our announcement of the Academic Year 2023-24 indicative college funding allocations. You asked for clarification about the way we determined the indicative allocation for the Lanarkshire region.

As set out in our indicative funding allocations publication, we have made some adjustments for AY 2023-24 to take account of recent performance and demographic trends. We have rebased credit allocations for all colleges, lowering them by 10%, with a balancing price increase to ensure that, overall, SFC funding is unchanged from AY 2022-23 and to provide colleges with greater flexibility in the use of funds.

We provide funding on a regional basis and where there is a Regional Strategic Body (RSB) the allocation of funding is made to the board of that body. It is then up to the RSB board to decide how that funding is allocated to its colleges. We have used the term "colleges" as shorthand to describe both colleges and regional boards but as you will see in the allocation tables, our teaching funding is allocated to Lanarkshire Region and not to the individual colleges in Lanarkshire. This arrangement has been in place since the establishment of the RSBs and I apologise if our terminology in this case has not been clear.



Scottish Funding Council  
Comhairle Maoineachaidh na h-Alba

The Lanarkshire Region, as a whole, has not met its credit target in recent years. That under-delivery relates primarily to New College Lanarkshire. However, our funding allocations, credit monitoring and liaison take place at the RSB level. We are happy to discuss further the way we work with you and the RSB, as we work together towards a recommendation to Scottish Government Ministers on the future of the Lanarkshire RSB.

Thank you for your invitation to attend the Board in June, which I must decline. However, I would be delighted to visit the college at a future date.

Yours sincerely

**Karen Watt**

Chief Executive

**Bord of Management**

<b>DATE:</b>	1 <sup>st</sup> June 2023
<b>AGENDA REF:</b>	11
<b>TITLE OF REPORT:</b>	Governance Rolling Review
<b>AUTHOR AND CONTACT DETAILS</b>	Peter Scott peter.scott@slc.ac.uk
<b>PURPOSE:</b>	To seek guidance from Members as to the suggested content of the Rolling Governance Review in the context of “Human Resources” so as to meet challenge and identify areas for improvement and/or potential improvement.
<b>KEY RECOMMENDATIONS/ DECISIONS:</b>	Members are recommended to note that: <ul style="list-style-type: none"> <li>the Rolling Review should build on the recommendation of the Internal Auditors, building on their recommendations and be informed by input from the Senior Leadership Team; and</li> <li>Best Practice suggests that a structured Governance Review should be linked to the Principles set out in the Code of Good Governance.</li> </ul> Members are asked to: <ul style="list-style-type: none"> <li>Suggest content for the Rolling Governance Review for the Staff Governance section.</li> </ul>
<b>RISK</b>	Governance is recognised as a potential strategic management risk and appropriate mitigating actions such as having a Governance Rolling Review which is best practice is required.
<b>RELEVANT STRATEGIC AIM:</b>	<ul style="list-style-type: none"> <li>Highest quality education and support.</li> <li>Sustainable Behaviors.</li> <li>Successful Students</li> </ul>
<b>SUMMARY</b>	<ul style="list-style-type: none"> <li>This report sets out a draft of the Rolling Governance Review and seeks to gain guidance from the members of the Human Resource Committee.</li> <li>It focuses on the principles of good governance with subheadings of importance relating to each principle.</li> <li>All Committee Members are being asked to input into the relevant section of the plan.</li> </ul>

## **1. INTRODUCTION**

1.1 This paper sets out a draft of the Rolling Governance Review and seeks to gain guidance from the members of the Human Resource Committee.

## **2. GOVERNANCE IMPROVEMENT PLAN**

2.1 The Governance Improvement Plan was established to address any identified or emerging issues identified in the ongoing review of Governance at South Lanarkshire College. This plan was completed, and the Board of Management agreed that there should now be a "Governance Rolling Review."

## **3. GOVERNANCE ROLLING REVIEW**

3.1 The principles of good governance are:

- 3.1.1 Leadership and Strategy
- 3.1.2 Quality of the Student Experience
- 3.1.3 Accountability
- 3.1.4 Effectiveness
- 3.1.5 Relationships and Collaboration

3.2 The Governance Rolling Review plan will focus on these areas, with subheadings of importance for HRC Members, including: staff governance, quality monitoring and oversight and partnership working.

3.3 Members are requested to provide content for the Rolling Governance Review.

## **4 RISK**

4.1 Governance is recognised as a potential strategic management risk and appropriate mitigating actions such as having a Governance Rolling Review, which is best practice, is required.

## **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 note that:

- 6.1.1 the Rolling Review should build on the recommendation of the Internal Auditors, building on their recommendations and be informed by input from the Senior Leadership Team; and
- 6.1.2 Best Practice suggests that a structured Governance Review should be linked to the Principles set out in the Code of Good Governance

6.2 Members are asked to:

- 6.2.1 Suggest content for the Rolling Governance Review for the Staff Governance section.

## ROLLING GOVERNANCE REVIEW DRAFT

The actions to deliver improvement contained in this plan will be developed and implemented to address any previously identified or emerging issues identified by way of Ongoing Review of Governance at South Lanarkshire College. This will proceed following consultation with Board Members and Senior Staff. A RAG system has been used to enable tracking of progress against actions and timescales.

Development Categories	Issue	Action	By Whom and When	Status and Progress Update as at *****
<b>Leadership &amp; Strategy</b>	Conduct in Public Life	Training in New Code of Governance to be provided	Governance Professional by Nov 2023.	Being drafted
	Vision & Strategy	Involve Trade Unions in forward planning		June 2023
	Performance	Refresh paperwork for self assessment and evaluation	GP for start of academic year	
	Corporate Social Responsibility	Improve dialogue & communication with all stakeholders	Principal / Chair	
		Classroom dialogues with Board Members subject to agreement with Teaching Staff	Chair / Principal	
<b>Quality of Student Experience</b>	Student Engagement	Identify mechanisms for recognising and rewarding input of student body to support quality		
	Relevant High-Quality Learning	Identify alternative learning & teaching initiatives and potential funding streams for same		
	Quality Monitoring & Oversight	Work with SA and Class Reps to improve Quality Monitoring feedback		
<b>Accountability</b>	Accountability & Delegation	Involve staff in discussions on facing challenge		
	Risk Management	Connect risk appetite to risk register		

	Audit Committee	Membership to be adjusted in line with New Code	Governance Professional	At Planning Stage
	Remuneration Committee	?		
	Financial & Institutional Sustainability	Identify opportunities and address challenges in context of "flat cash" settlement		
		Explore options for best use of resources to generate in come		
		Explore options for 3 <sup>rd</sup> sector partnerships		
		Explore possibility of identifying a university MBA research project for measuring cost -v- value efficiency		
	Staff Governance	Facilitate regular opportunities for Board members to engage with staff and staff representatives	Governance Professional	?
		Improve information flow to appointed staff representatives	Principal & Governance Professional	?
		Involve appropriately skilled staff by way of attendance at Committee Meetings and also participation in Strategy and Training days	Principal & Governance Professional	Considerable progress made but room for discussion on potential for improvement
<b>Effectiveness</b>	Board Chair			
	Senior Independent Member	Refresh Training & Support		
	Board Members			

	Principal & Chief Executive			
	Governance Professional	Recruit new postholder	Board	At planning Stage
	Appointment Induction & Training	New processes in anticipation of TU membership	GP	Ore Induction awareness sessions already taken place
	Board Evaluation	Revisit and refresh process and procedure	GP	
<b>Relationships &amp; Collaboration</b>	Partnership Working	Build Collaborative initiatives with Regional Partner	Clerks to Board	Projects identified for training & development
		Community Development		
<b>Other</b>		Equalities		
		Student Association Support & Recognition		





**South Lanarkshire College**

**Students' Association**

**Board Report**

**May 2023**

**YOUR COLLEGE**  
 **YOUR WAY**

## Contents

Overview .....	3
New Principal .....	4
LGBT History Month.....	4
Purple Friday – Friday 24 February.....	5
Focus on Student Poverty & the Cost-of-Living Crisis.....	6
SA Elections.....	7
Report and Support.....	8
EmilyTest .....	8
Events .....	9
Step into Future Careers Event – 8 March 2023 .....	9
International Women’s Day – 8 March 2023.....	10
Congratulations to our Foundation Apprentice Students .....	10
Forthcoming Events .....	11
Employer Engagement Event – 27 April 2023 .....	11
Mental Health Awareness Week – 15 May to 21 May 2023 .....	11
College Way Market – week beginning 15 May & 29 May.....	11

## Overview

It's been another busy period for the SA with lots of different events and activities taking place towards the end of the year.

The SA was delighted that students were involved in the interview process to appoint a new Principal for the College. It was important to the students that their voice was heard, and they were grateful to be given such a valuable opportunity to be part of this process. We would like to pass on our congratulations to Stella in her new post as Principal!

The SA has been busy conducting class visits to our January starts. We also celebrated Purple Friday (24 February), as part of LGBTQ History month and had lots of fun activities for students to get involved in, including coffee and cake mornings, nail painting, glitter tattoos, and fun stalls on the ground floor.

We helped to promote the Love Scotland Colleges campaign, and students were more than happy to share their thoughts with us, which we promoted on our social media channels.

We had lots of fun celebrating International Woman's Day by creating love hearts with encouraging messages written on them and making engaging video content for TikTok with our female students and staff members. On the same day, the SA and their Student Ambassadors supported the Step into Future Careers event hosted by our Construction team. Our Student Ambassadors led tours for students looking to find out more about careers involving sustainability.

The 2023/24 SA Election campaign is well under way for a new SA President and Vice President. We have promoted this with posters being distributed around the College, posts on social media, newsletters, and class visits. The Student President has also been carrying out class visits and had a stall in the Atrium promoting this at lunch time to answer any students may have.

We are incredibly proud of the work that's been undertaken so far and very much look forward to implementing lots of fun and engaging activities for our students throughout the remainder of the academic year!



## New Principal

We are very grateful that students were invited to participate in the recruitment process to appoint a new Principal. They interviewed all the candidates' asking questions of each of them to make sure the student experience continues to be of a high quality for themselves and future students. It was a great opportunity for our students to have the experience of being on an interview panel and having the student voice heard.

Thank you to all our wonderful students for taking the time to be involved. We are delighted to have Stella as our new Principal and very much look forward to working with her.



## LGBT History Month

Throughout the month of February, the SA and the College celebrated LGBT History Month. SLC is a community where everyone should feel they are treated with respect, fairness and understanding and hosting events such as this helps to create such an environment.

Throughout LGBT History Month the SA hosted several events such as free coffee, cake, and chat sessions for students in The Study Restaurant. These took place on Thursday 23 February and Monday 27 February. We would like to extend our thanks to the College's fantastic Hospitality lecturers and students for providing the cakes and setting to help us to host such a great event.



## Purple Friday – Friday 24 February

Alongside this we took part in Purple Friday on Friday 24 February! On this day we encouraged everyone to wear something purple to show their support for LGBT+ equality. Rainbow badges were available to pick up at the SA stall in the Atrium and we invited different organisations in to provide advice and support to anyone who wants to have a chat with them.

Our fantastic Beauty Students provided free purple nail painting, glitter tattoos and face painting.



## Focus on Student Poverty & the Cost-of-Living Crisis

We continue to ensure our students are fully supported during the current cost of living crisis by providing free soup and sandwich, as well as a healthy breakfast. As detailed in the last SA Board Report, we expanded this provision and the uptake has increased even further. In March 2023 we provided 1,087 servings of free soup and sandwich and 2,309 servings of breakfast! As always, we are grateful to Inspire for their support in helping us provide this much needed service to our students.

The SA are also delighted to have been allocated a further £10,000 from the SLC Foundation, in addition to the previous £3,000 already provided. This will enable us to support students who are experiencing poverty by providing free soup and sandwich and free breakfast throughout the rest of the academic year. They have also generously provided these funds to help students at the start of AY 2023/24 and to ensure the incoming SA President and Vice President can continue to provide this support.

We would like to express our sincere thanks to the SLC Foundation for these funds. This support is having a real and positive impact on our students by allowing them to focus on their coursework and not worry about how to afford lunch or breakfast throughout the week. As part of the bid to the Foundation, the SA collated student feedback of this service, with the following statements being provided by students directly:

*“I think the free soup and sandwich and the breakfast is a great idea, it is a massive help. Money is tight for all students, especially being a mature learner buying breakfast and lunch is too expensive every day. It is a struggle having enough time to make breakfast before coming out as I am getting my daughter sorted for school whilst getting ready myself and taking her to school before coming to college, so the days the free breakfast is on is great as I know I don't need to worry about trying to grab breakfast before I go or going without and having to decide between lunch or breakfast. It is also the same for the soup and sandwich as I don't then need to spend time making lunch the night before, which relieves stress and money worries.”*

*“Free soup and a sandwich helped me out when I was not able to buy anything from the cafe”*



*“Many students struggle with funds here at South Lanarkshire College and the food larder provides students with food and essentials. During my break and lunch, I have been able to comfortably use the food larder without feeling any stigma, the food larder also includes a variety of different foods and snacks including vegan options and more”.*



The SA Food Larder also continues to be heavily used with students regularly visiting the office to access foods and toiletries. We've received the following positive feedback from students on this:

*"I think the food larder is a great way for students to feel comfortable with getting something to eat while not being able to afford lunch money. Or even forgetting money or packed lunch, it's a good way to help give that energy boost during the days of college."*

*"The food larder has helped me multiple times when I have forgot my lunch or money for the cafe, I am very comfortable using the food larder as it is located in an office out the way from everything else and the college provide bags so I can walk home without everyone being able to see what I have took."*



## SA Elections

The promotion of the SA elections for AY 2023/24 is now fully underway. We have promoted the elections through the student newsletter, social media, emails to all Curriculum Areas, stalls in the Atrium, posters, and class visits. The timeline for elections has been promoted to both staff and students and is outlined below:

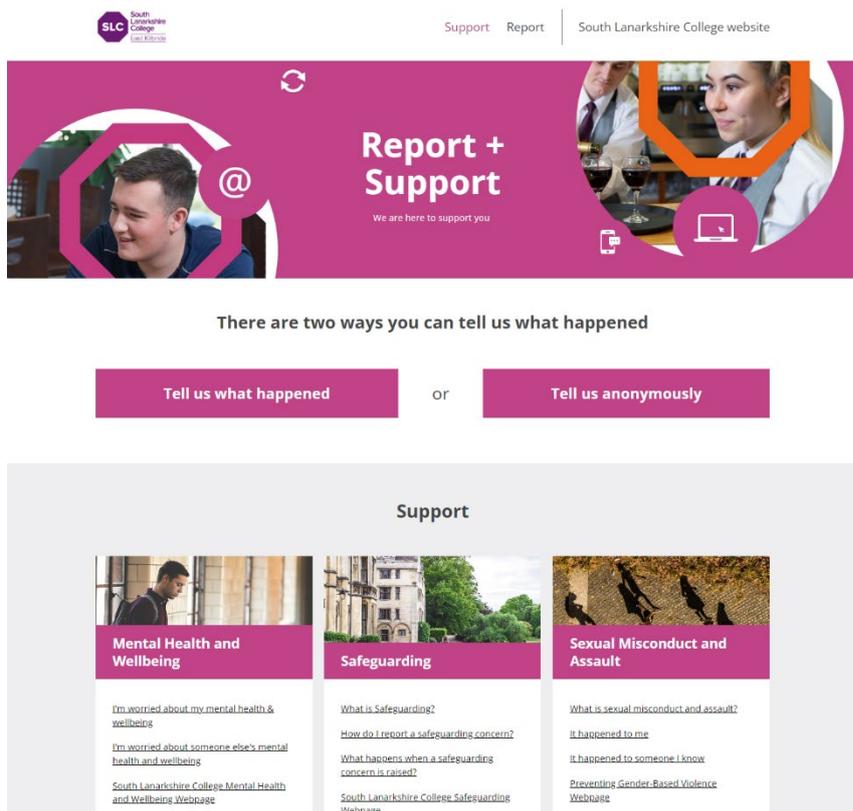
- **Mon 3 – Fri 28 April Nominations:** Open Nomination packs will be available from 3 April on the SLC website or on request from Karen Pirie. Packs must be completed and submitted no later than Friday 28 April.
- **Tue 2 May Candidates Briefing:** Candidates will be given information on how the election will run and how they can campaign for votes.
- **Wed 3 May – Wed 17 May Voting:** Voting will take place online on Moodle, and all students will have one vote for their preferred candidates.
- **Thu 18 May Checking & Counting:** SLC Staff will check and count all votes.
- **Fri 19 May Results:** Results will be announced.



The deadline for nomination packs is Friday 28 April. The current SA President looks forward to working with the College to ensure a smooth handover to the incoming SA for 2023/24.

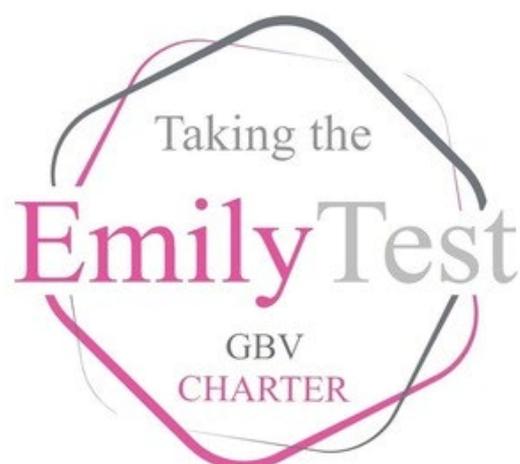
## Report and Support

The SA were involved in recently promoting the College's new Report and Support software to all students. This new addition to the support services available at the College means that students can now make a formal report to the Student Services team directly through the software on the Student Portal. This report can be created either by providing contact details or choosing to make an anonymous report. We will provide support in directing students to this new feature, as well as signposting to our Student Services team as required by students. Further promotion of this will take place throughout the year and into the next academic term.



## EmilyTest

We are delighted that the final submission of the EmilyTest GBV Charter took place on Monday 17 April. The College and SA have worked incredibly hard over the last couple of years to raise discussions surrounding gender-based violence and put in place strategies to help tackle this. The SA have been involved in multiple focus groups, along with students to ensure their voice is heard and to help shape the work that is taking place. We look forward to receiving the update on our submission on 26 May. Looking ahead the SA will continue to be heavily involved in GBV prevention work and we already have several initiatives planned for go forward, including a GBV



prevention survey for students, reviewing an e-module by Lanarkshire Rape Crisis that may be rolled out to students and also participating in annual events such as the 16 Days of Action against GBV.

We would like to acknowledge the fantastic support provided by EmilyTest in creating this submission and thank them for the excellent partnership opportunity provided. We look forward to seeing the work conducted by them going from strength to strength in the future.

## Events

### Step into Future Careers Event – 8 March 2023

We had a great time working with our Construction team in partnership with DYW (Developing the Young Workforce) to host the Step into Future Careers Event on 8 March! The event attracted over 100 visitors and 25 employers with the aim of providing secondary school pupils, and anyone looking for a new career, with a wider understanding of the future green and sustainable jobs sector and industries.

Our Student Ambassadors did a fantastic job of welcoming visitors and employers to the event. They also took tours around the Low Carbon House to showcase the sustainable technologies and skills available to learn at the College. After the event we arranged a thank you session for the students and gave them each a certificate for volunteering.



## International Women's Day – 8 March 2023

Wednesday 8 March was a busy time for the College with our Step into Future Careers Event and celebrating International Women's Day! Throughout the day we had stalls in the Atrium and SA volunteers wrote out positive messages to share with staff across the College, celebrating the amazing work they do!



## Congratulations to our Foundation Apprentice Students

Our Foundation Apprentice students celebrated completing their apprenticeship courses in partnership with South Lanarkshire Council and placements with local employers. Students spoke about their positive experiences of choosing to undertake an apprenticeship course while at secondary school. The skills they have learned have helped towards being accepted into university, college and employment and the value of experiencing college life before leaving school.

The SA had a fantastic time celebrating with our students. Thank you to our lecturers for supporting our students and the commitment from local employers to help make our students such a success. Congratulations to all our students and we wish them good luck in what they decide to do next!



## Forthcoming Events

### Employer Engagement Event – 27 April 2023

The SA and Student Ambassadors will be providing volunteer support for the Employer Engagement Event on 27 April. The College has invited a host of Built Environment companies to visit the College, which is being organised by Nicola Murray and the Employability team.

We look forward to meeting with all the employers taking part and encouraging students to network and engage with them on the night.

### Mental Health Awareness Week – 15 May to 21 May 2023

Mental Health Awareness Week, now in its 23rd year, runs from 15-21 May and is hosted by the charity, Mental Health Foundation.

This year, the theme is 'anxiety'. Across the UK, people are encouraged to get involved by sharing their experience of anxiety and the things that can help with the hashtag #ToHelpMyAnxiety. As part of the campaign, the Mental Health Foundation will be publishing guidance on how we can manage and improve feelings of anxiety and prevent them from developing into a more serious mental health problem.

For more information about this year's Mental Health Awareness Week visit [www.mentalhealth.org.uk/mhaw](http://www.mentalhealth.org.uk/mhaw)

The SA will work in partnership with the College to promote the event and host activities during the week.

### College Way Market – week beginning 15 May & 29 May

The SA is helping to promote the upcoming College Way Market Pop-Up Shop during May. This event is being organised by our Supported Programme students and lecturers to encourage sustainable practices. They are asking students to donate clothes for everyday use and workwear and then during the market students will be able to choose 5 items of clothing each for free!

The SA are helping to highlight the clothing recycling bins that are located around college and promoting the event through our social media channels and student newsletter.

**THE BOARD OF MANAGEMENT**

<b>DATE:</b>	01 June 2023
<b>TITLE OF REPORT:</b>	Draft Budget for 2023-24
<b>REFERENCE</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 request members to approve the draft budget for 2023-24.
<b>KEY RECOMMENDATIONS/ DECISIONS:</b>	<p>Members are recommended to:</p> <ul style="list-style-type: none"> <li>• consider and note the assumptions made regarding income, non-salary expenditure and payroll for 2023-24;</li> <li>• note that the budget presented is a forecast as the pay increases for 2022-23 and 2023-24 have not been settled for academic or support staff;</li> <li>• note and question the budget options presented;</li> <li>• approve a deficit draft budget for 2023-24; and</li> <li>• instruct the College management to actively seek further savings in year and present a plan to reduce the deficit budget for 2024-25.</li> </ul>
<b>RISK</b>	<ul style="list-style-type: none"> <li>• That the College cannot maintain financial sustainability which would impact on staff as well as providing a robust learning experience for the community of South Lanarkshire.</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 has sustained a significant reduction in teaching activity which means a reduction in courses and learning activity.</li> <li>• The income, non-salary and payroll expenditure commentary is provided in relation to the flat cash funding allocation for 2023-24.</li> <li>• Curriculum teams have meticulously planned the course portfolio for next year, reducing the temporary staffing and seeking to deploy under utilised staff to cover absence where possible.</li> <li>• The challenge setting the budget for the next academic year is that the pay increases for staff have not as yet been agreed nationally which means that the College has to provide three possible deficit budgets.</li> <li>• The College recognises that the deficit budgets are significant but is confident that appropriate actions can be taken to address this in preparation for the 2024-25 academic year.</li> </ul>

	<ul style="list-style-type: none"><li>• This would also provide the College with some stability and reassure staff given the challenges faced over the past few years as well as to allow for any potential Scottish Funding Council flexibilities.</li></ul>
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## **1. INTRODUCTION**

1.1 This paper sets out draft deficit budget scenarios for the academic year 2023-24, as the pay increases for the sector have not yet been agreed for 2022-23 and 2023-24. It seeks to inform Board members of different scenarios to demonstrate the best and possible worst case deficit budgets for the academic year ahead.

## **2 BACKGROUND**

2.1 The Board approved a deficit budget for 2022/23 with management committed to pursuing savings and efficiencies to reduce this deficit.

2.2 For its 2023/24 interim allocation of activity and associated grant in aid, the Scottish Funding Council (SFC) has reduced the activity target across the sector by 10% but will distribute the same financial allocation as in 2022/23, i.e., “flat cash”. However, the Lanarkshire Region has suffered an additional 0.75% decrease in activity and associated income. This results in a decrease in cash terms of £105k for South Lanarkshire.

2.3 The SFC will issue its budget guidance later this month and this should give an indication of financial settlements for the sector for 2024/25 and 2025/26. It is anticipated that this will remain at “flat cash”, which is a significant concern for the sector.

## **3 2023-24 INCOME COMMENTARY**

3.1 The income for the 2023-24 academic year can be seen in Annex A, and the following points provide further explanation regarding the income.

3.2 The Lanarkshire Region Grant in Aid (GIA) allocation has been split as per previous years, 27.1% / 72.9%. SLC has suffered via the additional 0.75% decrease in the Region’s allocation, so will have less GIA in cash terms than in 2022/23.

3.3 South Lanarkshire College (SLC) has retained funds in case of European Social Funds (ESF) clawback and will release this in the year should the retention no longer be required. This is not incorporated into the draft budget as yet.

3.4 SFC capital allocations have increase in 2023/24 to compensate for the loss of Backlog Maintenance. The sector is still to hear what restrictions there may be in relation to allowable expenditure.

3.5 The Salaries Contribution relates to the Job Evaluation Scheme for support staff. It is assumed that there will not be any additional College contribution to the existing liability in 2023/24.

3.6 The SFC normally makes additional ring-fenced allocations in the year for the likes of digital inclusion and period poverty, however, as yet this has not been communicated. The sector should hear if there are to be such additional allocation by early June.

- 3.7 Flexible Workforce Development Funds (FWDF) activity will decrease significantly in 2023/24 unless there is a Government commitment to maintain the scheme at its current funding level.
- 3.8 The decrease in activity, including the continuing fall in full time Higher National numbers, which is being reflected across the college sector, will result in a decrease in fee income. It is anticipated, that CITB activity will be maintained at the current level (c. £500k). Some non-core contracts run from April to March and thus forecasting income from this source for the College's financial year can be challenging.
- 3.9 Fee income has not been matched to the income as forecast in the Curriculum Plan as yet, but this will be done and monitored throughout the year, as will initiatives to ensure that fees are paid prior to enrolment.
- 3.10 "Alternative Funding" is also often allocated on an April – May basis and forecasting for the full College year is not as robust as "core" course income. Modern Apprenticeship contracts remain healthy as does the activity which the College contracts with South Lanarkshire Council re Foundation Apprenticeships.
- 3.11 Other income is expected to be at the level of the current year.

#### **4 NON-SALARY EXPENDITURE COMMENTARY**

- 4.1 Property costs are very much dependent on market forces as regards utility costs, but it is anticipated that the budget has made adequate provision. A provision has been made to incorporate savings via procurement. The increased SFC allocation regarding capital will give scope for utilising these funds to offset increases in estates-related costs.
- 4.2 Net depreciation should be as budget based on predicted asset purchases.
- 4.3 The budget re Central Services has been maintained at the 2022/23 levels after reductions in the original budgeted allocations were incorporated mid-year.
- 4.4 With Marketing being concentrated on less expensive social media outlets, costs have been kept at 2022/23 levels, but with investment in the website and allied developments being part of a separate budget.
- 4.5 The allocation of Academic Supplies reflects a blended approach to learning, with investment in digital provision being funded centrally. This category of expense also incorporates assessment work previously carried out by the CITB. The allocation assumes that bursary-funded study expenses are maximised.
- 4.6 Cross College costs incorporates no subsidy of the refectory now that all students have returned to campus. Income is now anticipated to be at such a level as to producing a modest return.

## 5 PAYROLL COMMENTARY

- 5.1 Lecturing costs are based on the Curriculum Plan, which has been meticulously planned given the reduction in course hours and also factors in a 5% early withdrawal rate. The draft budgets assume a 30% reduction in temporary staffing and the under-utilisation of lecturing staff across some curriculum areas. Staff who are under-utilised will be used for sickness cover as far as possible.
- 5.2 Support staff costs are based on current staffing as amended for known leavers. No overtime or additional temporary staffing (outside of the budget) will be provided without approval from the Senior Leadership Team, other additional controls that are applied include providing evidence that all academic staff are fully deployed and/or additional income is being used to offset the costs.
- 5.3 In addition, the Principal has engaged with EIS-FELA to start a process for a potential local agreement on a case-by-case basis to allow academic staff to work over their contracted weekly hours for part of the year and this will then be reduced at a later date. This allows for additional flexibility especially when delivering school contracts and would also greatly support the College in keeping within the planned budget. This has not as yet been agreed.
- 5.4 The College has engaged additional staffing regarding procurement until December 2023 to bring forward anticipated savings as part of the College's value for money agenda. Note that the annual procurement report, which details in year savings, will be presented at the first Board meeting of the 2023-24 academic year.
- 5.5 The salary award due at 1 September 2023 has been incorporated into the forecast at the budgeted level of 3.0%. It should be noted that any salary award over and above that included in the budget will impact by £125k per 1.0%. Note that the salary base for 2023/24 incorporates a salary award of 3.0% as at 1 September 2022.

## 6 SCENARIO PLANNING

- 6.1 The scenarios below demonstrate the impact of the potential pay increases and settlements above the budgeted 3%, and can also be seen in Annexes A, B and C. (Note that the job evaluation exercise for all support staff has not been completed and no further accrual of costs to be borne by the College in this regard have been incorporated into the 2023/24 forecast.)

### 6.2 Scenario Planning

- (a) 3.0% at 1 Sep 2022 and 3.0% at 1 Sep 2023

- Recurrent Salary costs    £13,507k            Deficit £761k

- (b) 5.0% at 1 Sep 2022 and 5.0% at 1 Sep 2023

- Recurrent Salary costs    £14,086k            Deficit £1,340k

- (c) Flat cash settlement - £3,500 for lecturing staff at both award dates; £1,500 for support staff at both award dates

- Recurrent Salary costs    £14,526k            Deficit £1,780k

- 6.3 The College does have reserves that it can draw upon to offset any cash deficit; provided there is no call on funds that management are not aware of, £500k could be utilised in this regard by prioritising known investment projects.

6.4 At present, those reserves have been earmarked, in part, for asset replacement and investment in infrastructure. If salary settlements are in the region of what has been incorporated into the budget (3.0% at 1 September 2022 and 3.0% at 1 September 2023), the College will be able to absorb the impact. The second scenario (settlements of 5.0% and 5.0%) would require utilising approximately £700k of cash reserves. The third scenario (the two flat cash salary awards) would require a significant drawdown of cash reserves in the region of £1,000k and would seriously impact investment to the point of limiting it beyond what would be acceptable.

6.5 The College is requesting the Board of Management to allow the College to carry a further deficit budget for the 2023-24. This is first and foremost to provide stability to the staff at the College in light of the challenges faced over the past few years. In addition, the newly appointed Principal is requesting time to review the best structure for the College in light of the change in the demographic of the students, i.e. a decrease in young students and an increase in adult and part time provision, and the services required to support them, and to do this in conjunction with the proposed new Vice Principals to support driving these changes.

6.6 The College would seek to address this deficit budget in year and in preparation for the start of the 2024-25 academic year. In addition, there may also be further flexibilities being given from the Scottish Funding Council, which are as yet unknown at this time.

## **7 EQUALITIES**

7.1 The College recognises that due to a reduction in provision this may impact on the community of South Lanarkshire because there has been a reduction in the number of courses being offered at the College. There are no new matters for people with protected characteristics as a specific group.

## **8 RISK AND ASSURANCE**

8.1 That the College cannot maintain financial sustainability which would impact on staff as well as providing a robust learning experience for the community of South Lanarkshire.

## **9 RECOMMENDATIONS**

9.1 Members are recommended to:

9.1.1 consider and note the assumptions made regarding income, non-salary expenditure and payroll for 2023-24;

9.1.2 note that the budget presented is a forecast as the pay increases for 2022-23 and 2023-24 have not been settled for academic or support staff;

9.1.3 note and question the budget options presented;

9.1.4 approve a deficit draft budget for 2023-24; and

9.1.5 instruct the College management to actively seek further savings in year and present a plan to reduce the deficit budget for 2024-25.

**ANNEX A: BUDGET SCENARIO A 3% for 2022-23 and 3% for 2023-24**

<b>South Lanarkshire College</b>		<b>For Board of Management</b>		
<b>Draft Budget</b>				<b>June 2023</b>
<b>Year to 31st July 2024</b>				
<b>As at 24 May 2023</b>		<b>Year 2022/23</b>		<b>Year 2023/24</b>
	Note	<b>As at May 2023</b>		<b>At 23 May 23</b>
		<u>Forecast</u>	<u>Budget</u>	<u>Draft Budget</u>
		<u>£'000</u>	<u>£'000</u>	<u>£'000</u>
<b>INCOME</b>				
SFC - Grant in Aid	1	13,773	13,724	13,724
SFC - ESF	2	147	0	0
SFC - Capital	3	433	433	870
SFC - Salaries Contribution	4	239	239	177
SFC - Other	5	189	81	0
<b>Total SFC income</b>		<b>14,781</b>	<b>14,477</b>	<b>14,771</b>
FWDF	6	243	200	51
Fees	7	1,913	2,040	1,728
Alternative Funding	8	921	1,045	889
Other income	9	54	54	69
<b>Total Income</b>		<b>17,912</b>	<b>17,816</b>	<b>17,508</b>
<b>EXPENDITURE</b>				
<b>Wages &amp; Salaries</b>				
Recurrent	10	13,833	13,867	13,507
SFC - salaries contribution	4	239	239	177
Pension Provision		30	30	30
		14,102	14,136	13,714
<b>Non Salary Expenditure</b>				
Property	11	1,019	1,069	960
SFC - Capital	Contra	433	433	870
SFC - Other	Contra	81	81	0
Net Depreciation	12	620	620	620
Central Services	13	1,100	903	950
Marketing	14	130	150	130
Academic supplies	15	875	878	970
Cross College Costs	16	55	86	55
		4,313	4,220	4,555
<b>Total Expenditure</b>		<b>18,415</b>	<b>18,356</b>	<b>18,269</b>
<b>Surplus / (Deficit)</b>		<b>(503)</b>	<b>(540)</b>	<b>(761)</b>

3.0% and 3.0%

**ANNEX B: SCENARIO B 5% for 2022-23 and 5% for 2023-24**

<b>South Lanarkshire College</b>		<b>For Board of Management</b>		
<b>Draft Budget</b>		<b>June 2023</b>		
<b>Year to 31st July 2024</b>				
<b>As at 24 May 2023</b>		<b>Year 2022/23</b>		<b>Year 2023/24</b>
	Note	<b>As at May 2023</b>		<b>At 23 May 23</b>
		<u>Forecast</u>	<u>Budget</u>	<u>Draft Budget</u>
		<u>£'000</u>	<u>£'000</u>	<u>£'000</u>
<b>INCOME</b>				
SFC - Grant in Aid	1	13,773	13,724	13,724
SFC - ESF	2	147	0	0
SFC - Capital	3	433	433	870
SFC - Salaries Contribution	4	239	239	177
SFC - Other	5	189	81	0
<b>Total SFC income</b>		<b>14,781</b>	<b>14,477</b>	<b>14,771</b>
FWDF	6	243	200	51
Fees	7	1,913	2,040	1,728
Alternative Funding	8	921	1,045	889
Other income	9	54	54	69
<b>Total Income</b>		<b>17,912</b>	<b>17,816</b>	<b>17,508</b>
<b>EXPENDITURE</b>				
<b>Wages &amp; Salaries</b>				
Recurrent	10	13,833	13,867	14,086
SFC - salaries contribution	4	239	239	177
Pension Provision		30	30	30
		14,102	14,136	14,293
<b>Non Salary Expenditure</b>				
Property	11	1,019	1,069	960
SFC - Capital	Contra	433	433	870
SFC - Other	Contra	81	81	0
Net Depreciation	12	620	620	620
Central Services	13	1,100	903	950
Marketing	14	130	150	130
Academic supplies	15	875	878	970
Cross College Costs	16	55	86	55
		4,313	4,220	4,555
<b>Total Expenditure</b>		<b>18,415</b>	<b>18,356</b>	<b>18,848</b>
<b>Surplus / (Deficit)</b>		<b>(503)</b>	<b>(540)</b>	<b>(1,340)</b>

5.0% and 5.0%

**ANNEX C: SCENARIO C FLAT CASH FOR BOTH 2022-23 and 2023-24**

<b>South Lanarkshire College</b>		<b>For Board of Management</b>		
<b>Draft Budget</b>		<b>June 2023</b>		
<b>Year to 31st July 2024</b>				
<b>As at 24 May 2023</b>		<b>Year 2022/23</b>		<b>Year 2023/24</b>
	Note	<b>As at May 2023</b>		<b>At 23 May 23</b>
		<u>Forecast</u>	<u>Budget</u>	<u>Draft Budget</u>
		<u>£'000</u>	<u>£'000</u>	<u>£'000</u>
<b>INCOME</b>				
SFC - Grant in Aid	1	13,773	13,724	13,724
SFC - ESF	2	147	0	0
SFC - Capital	3	433	433	870
SFC - Salaries Contribution	4	239	239	177
SFC - Other	5	189	81	0
<b>Total SFC income</b>		<b>14,781</b>	<b>14,477</b>	<b>14,771</b>
FWDF	6	243	200	51
Fees	7	1,913	2,040	1,728
Alternative Funding	8	921	1,045	889
Other income	9	54	54	69
<b>Total Income</b>		<b>17,912</b>	<b>17,816</b>	<b>17,508</b>
<b>EXPENDITURE</b>				
<b>Wages &amp; Salaries</b>				
Recurrent	10	13,833	13,867	14,526
SFC - salaries contribution	4	239	239	177
Pension Provision		30	30	30
		14,102	14,136	14,733
<b>Non Salary Expenditure</b>				
Property	11	1,019	1,069	960
SFC - Capital	Contra	433	433	870
SFC - Other	Contra	81	81	0
Net Depreciation	12	620	620	620
Central Services	13	1,100	903	950
Marketing	14	130	150	130
Academic supplies	15	875	878	970
Cross College Costs	16	55	86	55
		4,313	4,220	4,555
<b>Total Expenditure</b>		<b>18,415</b>	<b>18,356</b>	<b>19,288</b>
<b>Surplus / (Deficit)</b>		<b>(503)</b>	<b>(540)</b>	<b>(1,780)</b>

Flat settlement:  
£3500 Lect  
£1500 Support

**BOARD OF MANAGEMENT**

<b>DATE</b>	1 June 2023
<b>TITLE OF REPORT</b>	Report of the Audit and Risk Committee to the Board of Management and Audit Scotland
<b>REFERENCE</b>	14
<b>AUTHOR AND CONTACT DETAILS</b>	Craig McLaughlin Chair Audit and Risk Committee of the Board of Management
<b>PURPOSE:</b>	<ul style="list-style-type: none"> <li>To summarise the work undertaken by the Audit and Risk Committee for the period from 1 August 2021 to 31 July 2022;</li> <li>To provide a synopsis of the work undertaken by the internal and external audit functions of the College.</li> </ul>
<b>KEY RECOMMENDATIONS/ DECISIONS:</b>	<ul style="list-style-type: none"> <li>The Board is asked to review the draft Report and, if appropriate, to recommend that it is forwarded to Audit Scotland, the Scottish Funding Council and the Regional Strategic Board.</li> </ul>
<b>RISK</b>	<ul style="list-style-type: none"> <li>That the College fails to identify risks and appropriate controls during day-to-day operations.</li> <li>That the College does not meet governance requirements because of poor risk management and controls. In particular, that the College does not comply with the requirements of the Code of Good Governance and other requirements of it as a college.</li> </ul>
<b>RELEVANT STRATEGIC AIMS:</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>Whilst being a challenging process, the financial statements were signed off later than was anticipated, with a positive report from the external audit service providers. 2021/22 was their last year of an extended 6-year contract.</li> <li>As noted in the prior year's Report, the College had not complied with the Code of Good Governance for Scotland's Colleges (the Code) at the start of the 2021/22 financial year but had made strides to correct the situation and was compliant at 31 July 2022 and beyond.</li> <li>The College was the subject of an Audit Scotland Section 22 report re its non-compliance with elements of the Code, and this will be followed up with a further Section 22 report. This latter report will allow the College to detail improvements made to its internal governance.</li> <li>The internal audit service gave a positive opinion on all of its work throughout the year;</li> <li>The College had participated in the National Fraud Initiative in the year and no issues of concern had arisen;</li> <li>The Chairs of the South Lanarkshire and RSB Audit and Risk Committees are invited to the meetings of the other to provide</li> </ul>

	an additional level of assurance; this complements the reports presented to the RSB Audit and Risk Committee by South Lanarkshire College management.
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## **1. INTRODUCTION**

This paper provides an overview of the work undertaken by the Audit and Risk Committee covering the period of the financial year 2021/22 taking account of events after this period which will provide context.

## **2 BACKGROUND**

The Audit and Risk Committee is the one Committee that the College is obliged to have. To help maintain independent integrity, the Principal and Chair cannot be members of the Committee and there has to be a majority of members who are not members of staff.

The Committee has to produce an annual report on the work undertaken during the year to be forwarded to the Board of Management and Audit Scotland. The College will also forward the Report to the Scottish Funding Council and the Regional Strategic Board.

## **3 THE REPORT**

The Report is attached below and the Committee is asked to review the contents and approve it as a fair and accurate representation of the work undertaken by the Committee and the reports made to it during the year. The Committee should also satisfy itself that work undertaken to improve governance is summarised appropriately.

## **4 EQUALITIES**

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

## **5 RISK AND ASSURANCE**

The Report should assist in giving the College and Regional Boards, Audit Scotland and the Scottish Funding Council the assurance that matters relating to risk, audit and wider governance are being monitored on behalf of the Board and the wider range of College stakeholders. The Report should also note that recommendations are followed up by management.

## **6 RECOMMENDATION**

The Board is asked to review the draft Report, note the work undertaken in the year, and, if appropriate, to recommend that it is forwarded to Audit Scotland, the Scottish Funding Council and the Regional Strategic Board.

**Report of the Audit and Risk Committee to the Board of Management  
for the year ended 31st July 2022  
(Approved at the May 2023 Audit Committee meeting)**

## **Introduction**

The particular circumstances of the year, and the delay to the approval of the Financial Statements, resulted in this report being similarly delayed. These circumstances also necessitate comment on the period following the year of review to give context.

## **Meetings and Composition of the Committee**

The Audit and Risk Committee met on five occasions during the year and minutes and associated papers were presented to the Board of Management.

The dates of the meetings were:

17 November 2021, 24 February 2022, 30 March 2022, 9 May 2022. There was also a joint meeting of the Regional and South Lanarkshire College Boards on 16 November 2021 to review Audit Assurance.

The delay in the appointment of Board members in the summer of 2021 resulted in the cancellation of the meeting due to be held on 6th September 2021.

Ms Lesley Glen chaired the Committee until her resignation from the Board on 7 September 2021. She did, though Chair the meeting with the RSB on 16 November as she had been a party to the agreement to have the meeting.

Mr Craig McLaughlin was appointed to the Board on 4 November 2021 and became Chair of the Audit and Risk Committee on 30 November 2021. Mr Paul Hutchinson assumed the position of the Chair of the Committee in the intervening period, i.e. from 7 September to 30 November 2021.

Mr Paul Hutchinson was a member of the Committee throughout the year. Due to his move to assume the position of Chair the Board of Management on 7 September, he had to step down from the Audit and Risk Committee as the Chair of the Board cannot sit on the Audit and Risk Committee.

Ms Fiona Whittaker and Mr Declan Hogan were both elected to the Board on 4 November 2021 and became members of the Audit and Risk Committee on 30 November 2021. Ms Anne Doherty became a member of the Committee on 25 March 2022.

It should thus be noted that whilst the College fulfilled its obligations re Audit and Risk Committee membership to allow it to comply with the Code of Good Governance 2016 for the year to 31 July 2021, it did not have the required numbers of Committee members to make it quorate for the period 7 September to 30 November 2021. This was noted in the Financial Statements for the year to 31 July 2021.

**Report of the Audit and Risk Committee to the Board of Management  
for the year ended 31st July 2022  
(Approved at the May 2023 Audit Committee meeting)**

The Committee attendance record for the year was as follows:

Board member	17 Nov 21	24 Feb 22	30 Mar 2022	9 May 22
C. McLaughlin	N/A	X	X	X
F. Whittaker	X	X		X
P. Hutchinson **	X	N/A	N/A	N/A
H. Anderson	X	N/A	N/A	N/A
D. Hogan				
A. Doherty	N/A	X	X	X
C Gibb (as Chair of Finance & Resources Committee)	N/A	X	N/A	N/A
<b>Also attending:</b>				
Chair / Acting Chair of the Board **	X	X	X	X
Principal / Acting Principal	X	X	X	X
Depute Principal	X	X	X	X
Head of Finance	X	X	X	X
Financial Accountant	N/A	X	N/A	N/A
Chair of the RSB ARC	N/A	N/A	X	X

\*\* Mr Hutchinson attended the last three of these meetings as Acting Chair.

The Financial Statements for the year to 31<sup>st</sup> July 2021 were presented to the February 2022 meeting of the Committee. Ms Clare Gibb, as Chair of the Finance and Resources Committee, attended the meeting as a representative of that Committee. In addition, Mr Craig McLaughlin also attended the February 2022 meeting of the Finance and Resources Committee which recommended approval of the audited Financial Statements to the Board of Management. He attended this meeting as a representative of the Audit and Risk Committee.

At the joint meeting of the two Lanarkshire Region Audit and Risk Committees on 16 November 2021, it was agreed that the Chairs of the respective Committees would be invited to the ARC meetings of the other.

**Report of the Audit and Risk Committee to the Board of Management  
for the year ended 31st July 2022  
(Approved at the May 2023 Audit Committee meeting)**

### **Terms of Reference**

The remit of the Committee was not amended during the year but was reviewed in early 2023.

### **Internal Audit**

#### **Azets**

As part of the last year under their contract which ended in 2021, Azets performed the mandatory audits for activity and student support in the academic year 2020/21 in September / October of 2021. The reports on these audits were presented to the Committee in February 2022.

They also performed audits on

- **Student Experience**
- **Curriculum Planning, and**
- **Follow Up to Previous Recommendations**

The Committee noted that of the two reports issued which contained control objective assessments, none had grading issues which were assessed to be the higher risks of “Grade 4” or “Grade 3”, whilst 4 were assessed as “Grade 2” and one was assessed to be “Grade 1”. The **Follow Up** report noted that 4 actions were complete, 4 were partially complete and 1 was not yet due.

#### **Henderson Loggie**

The firm of Henderson Loggie was appointed as internal audit service providers in November 2021 following a tender process for the three academic years to 31 July 2024. The Annual Audit Plan was agreed on 30 March 2022.

Three reviews were undertaken as part of the plan agreed with the Audit and Risk Committee and all were presented to the ARC meeting dated 7 November 2022.

- **Risk Management**
- **Cyber Security**
- **Health and Safety**

All were graded as “Satisfactory”, which is the highest grading.

The audit re the **Follow-up of Prior Recommendations** was presented to the ARC on 7 November 2022.

**Report of the Audit and Risk Committee to the Board of Management  
for the year ended 31st July 2022  
(Approved at the May 2023 Audit Committee meeting)**

**Internal Audit** (continued)

The two mandatory audits for the 2021/22 academic year were the **Collection of Student Activity Data** (Credits), which was presented to the ARC on 7 Nov 2022, and **Student Funding & Educational Maintenance Allowances** (EMAs), which was presented to the ARC on 6 February 2023.

The Committee noted that of the three reports issued by Henderson Loggie during the year which contained control objective assessments, none had grading issues which were assessed to be “Priority 1”, one was assessed to be “Priority 2” and eighteen were assessed to be “Priority 3”. The report on **Student Activity** (Credits) noted five Priority 3 recommendations.

The **Follow Up** report noted that eight of the nine brought forward recommendations had been cleared.

Henderson Loggie also undertook an additional review of the College’s **Governance Improvement Plan** which it presented to the meeting of November 2022. This identified two recommendations for follow up.

**Annual Report**

A summary of all internal audit work undertaken during the year 2021/22 is dated November 2022 and contained in the Annual Report, which was presented to, and approved by, the Audit and Risk Committee on 7 November 2022, and is attached as Appendix 1.

To summarise their findings, they stated:

***In our opinion, the College has adequate and effective arrangements for risk management, control and governance. Proper arrangements are in place to promote and secure Value for Money. This opinion has been arrived at taking into consideration the work we have undertaken during 2021/22.***

**Report of the Audit and Risk Committee to the Board of Management  
for the year ended 31st July 2022  
(Approved at the May 2023 Audit Committee meeting)**

### **Audit Scotland Technical Bulletins**

Audit Scotland produces quarterly bulletins which include details of audit and finance-related matters and Circulars issued by the Funding Council. Relevant extracts from these Bulletins are presented to Audit Committee meetings for the benefit of members.

### **Other Audits Presented to the Committee**

Financial and non-financial audits, such as those undertaken by the College's own Quality Audit Group and external bodies such as Skills Development Scotland (SDS) are presented to the Committee for review.

### **National Fraud Initiative**

The National Fraud Initiative (NFI) is an exercise that matches electronic data within and between public and private sector bodies to prevent and detect fraud. The College duly submitted their data for the 2020/21 exercise and 114 matches were reported. These have all been investigated and closed satisfactorily with no further action being required.

The Committee noted that the College participated in the 2022/23 exercise, submitting data in October 2022.

### **External Audit**

From 2001/02, the responsibility for arranging and monitoring the external audit of the further education sector passed to Audit Scotland. Following a tendering exercise undertaken by that organisation, Audit Scotland appointed Mazars LLP as external auditors for the five years commencing with financial year 2016/17. Due to the COVID pandemic, Audit Scotland have extended Mazars' contract by a further 12 months which means that they will be in place to audit the 2021/22 financial year. It is noted that the contract for the service for the 5 years from 2022/23 has been awarded by Audit Scotland to themselves.

**Report of the Audit and Risk Committee to the Board of Management  
for the year ended 31st July 2022  
(Approved at the May 2023 Audit Committee meeting)**

**External Audit** (continued)

**Report on the Financial Statements for the year to 31<sup>st</sup> July 2022**

Due to the complications and the implications of the investigation work undertaken into the Principal, Clerk to the Board and the Chair of the Board, the Financial Statements were not signed off until April 2023.

**Compliance with the 2016 Code of Good Governance**

The College reported in the Governance Statement that it had not complied with the Code of Good Governance for the entire year in four areas: Legal minimum membership; availability of minutes and the service of a clerk to the Board; induction; and engagement with internal auditors. However, it reported that compliance was in place at 31 July 2022. These matters are detailed in the Financial Statements and in the Annual Audit Report prepared by Mazars.

**Section 22 Report**

The situation re governance resulted in the College being the subject of an Audit Scotland Section 22 report re the 2020/21 accounts. The College will have the opportunity to report on its progress in addressing the issues raised.

**Audit Opinion**

The external auditors are required to provide opinion in four areas. The opinions expressed in those four areas were as follows:

**Opinion on financial statements**

In our opinion the accompanying financial statements:

- give a true and fair view in accordance with the Further and Higher Education (Scotland) Act 1992 and directions made thereunder by the Scottish Funding Council of the state of the college's affairs as at 31 July 2022 and of its deficit for the year then ended;
- have been properly prepared in accordance with United Kingdom Generally Accepted Accounting Practice; and
- have been prepared in accordance with the requirements of the Further and Higher Education (Scotland) Act 1992 and directions made thereunder by the Scottish Funding Council, the Charities and Trustee Investment (Scotland) Act 2005, and regulation 14 of The Charities Accounts (Scotland) Regulations 2006 (as amended).

**Opinion on regularity**

In our opinion in all material respects the expenditure and income in the financial statements were incurred or applied in accordance with any applicable enactments and guidance issued by the Scottish Ministers.

**Report of the Audit and Risk Committee to the Board of Management  
for the year ended 31st July 2022  
(Approved at the May 2023 Audit Committee meeting)**

**External Audit** (continued)

**Opinion prescribed by the Auditor General for Scotland on audited part of the Remuneration and Staff Report**

We have audited the parts of the Remuneration and Staff Report described as audited. In our opinion, the audited part of the Remuneration and Staff Report has been properly prepared in accordance with the Further and Higher Education (Scotland) Act 1992 and directions made thereunder by the Scottish Funding Council

**Opinions prescribed by the Auditor General for Scotland on Performance Report and Governance Statement**

In our opinion, based on the work undertaken in the course of the audit:

- the information given in the Performance Report for the financial year for which the financial statements are prepared is consistent with the financial statements and that report has been prepared in accordance with the Further and Higher Education (Scotland) Act 1992 and directions made thereunder by the Scottish Funding Council; and
- the information given in the Governance Statement for the financial year for which the financial statements are prepared is consistent with the financial statements and that report has been prepared in accordance with the Further and Higher Education (Scotland) Act 1992 and directions made thereunder by the Scottish Funding Council.

A copy of the Mazars Annual Audit Report for the year to 31 July 2022 is attached as Appendix 2.

**Consolidated Financial Statements for The Lanarkshire Board**

South Lanarkshire College is a legal entity with a Board of Management which is responsible for the governance and management of the College. In addition, it has been determined that each region should produce regional consolidated financial statements in addition to individual college audited accounts. In order to effect the production of Regional accounts, SLC provides the relevant information to New College Lanarkshire.

The governance issues at South Lanarkshire College delayed the approval of the consolidated Financial Statements for the year to 31<sup>st</sup> July 2022. These were approved in May 2023 and were unqualified.

**Report of the Audit and Risk Committee to the Board of Management  
for the year ended 31st July 2022  
(Approved at the May 2023 Audit Committee meeting)**

### **Regional Assurance**

The Principal, as the Chief Executive Officer of South Lanarkshire College, is required to give an annual Certificate of Assurance to the Accountable Officer of the Lanarkshire Region which is then forwarded to the Funding Council.

SLC staff members attend Regional Board and Committee meetings as felt appropriate. In particular, this arrangement applies to the appropriate Audit, Finance and full Board meetings of the Regional Strategic Body to provide information as required.

It has also been agreed that the two respective Chairs of the Regional College Audit and Risk Committees and Finance and Resources Committees shall be invited to attend the meetings of the other.

### **Risk Management**

The College has continued to develop its Risk Management processes, with the Risk Management Group being expanded to include membership from middle management and with the Register itself being reviewed by the Senior Management Team prior to its presentation to the Committee.

The Head of Finance attends the Regional Strategic Risk Group, to present the South Lanarkshire College Strategic Risk Register.

### **Meeting of the Audit Committee and the Internal and External Audit Providers**

In line with best practice, and included in the remit of the Audit and Risk Committee, an opportunity for the internal and external audit service providers to discuss any matters which were pertinent members of the Committee, but without the presence of College management, was given at the February 2022 and April 2023 meetings of the Committee. There were no matters of concern raised and both sets of auditors gave positive feedback.

**Report of the Audit and Risk Committee to the Board of Management  
for the year ended 31st July 2022  
(Approved at the May 2023 Audit Committee meeting)**

**Opinion**

The Committee has overseen the internal and external audits of the College based on audit needs and appropriate guidance from bodies such as the Scottish Funding Council, Colleges Scotland and Audit Scotland.

Based on reports received from the College's internal and external auditors, and on information received from College management, the Committee is of the opinion that the College's internal financial and management systems are adequate and effective. Its arrangements for securing economy, efficiency and effectiveness are also considered adequate and effective. The Committee does, though, recognise the recommendations that have flowed from the Azets investigation and the more general issues with governance that have affected the College in the post-July 2021 period.

The Committee is also of the opinion that there is an ongoing process for identifying, evaluating and managing the College's significant risks and this can be reported in the Annual Report and Financial Statements.

However, whilst, for the year of review (i.e. to 31<sup>st</sup> July 2021), the Committee is of the opinion that the Board of Management's duties, as described in the Statement of the Board of Management Responsibilities (pages 18 and 19 of the Financial Statements), were satisfactorily discharged and that Audit Scotland's Code of Audit Practice and the relevant parts of the Scottish Public Finance Manual had been complied with, the events subsequent to the year-end have to be recognised and commented upon in this Report..

The Committee has acknowledged the issues that led to difficulties in meeting the requirements of the Code of Good Governance in the latter part of 2021 (i.e., after the year end of 31<sup>st</sup> July 2021) which resulted in a delay in the production and approval of the Financial Statements for 2020/21. It also recognises that these issues will also have to be reported in the 2021/22 Financial Statements.

The Committee and College management are working closely with the external auditors to mitigate the effects of the issues with a view to bringing the production and approval of the Financial Statements back to the original deadline of 31<sup>st</sup> December. The Committee is also working with College management to ensure that any governance issues are appropriately addressed, and it will be reporting on progress to each meeting of the Board.

**Craig McLaughlin**  
**Chair**

Audit and Risk Committee of the Board of Management  
15 May 2022

**BOARD OF MANAGEMENT**

<b>DATE:</b>	1 June 2023
<b>TITLE OF REPORT:</b>	Fitness to Study Policy and Procedure
<b>REFERENCE</b>	15
<b>AUTHOR AND CONTACT DETAILS</b>	Stella McManus Stella.mcmanus@slc.ac.uk
<b>PURPOSE:</b>	To ask the Board of Management to approve the Fitness to Study Policy and Procedures as recommended by the Curriculum, Quality and Development Committee.
<b>KEY RECOMMENDATIONS/ DECISIONS:</b>	Members are asked to: <ul style="list-style-type: none"> <li>• note and question the new Fitness to Study Policy and associated procedures;</li> <li>• approve the new Fitness to Study Policy and associated procedures.</li> </ul>
<b>RISK</b>	<ul style="list-style-type: none"> <li>• That despite the College going beyond its statutory duty of care to learners and staff, a learner with significant barriers to learning may be a risk to learners and staff at the College.</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 has a moral and statutory duty to promote the health and welfare of those receiving education and training at the College.</li> <li>• There has been an increase in the number of students presenting with significant complex barriers to learning which has had considerable impact on other learners and staff at the College.</li> <li>• This policy, and associated procedure, is intended to support learners to continue with their studies and/or provide the opportunity for them to pause attendance at College until they are more able to engage effectively in their course.</li> <li>• This procedure is intended for use where the behaviour, disruption or risk presented by the learner is perceived to be of a serious or potentially serious nature and is not a matter which should be dealt with under the Code of Student Conduct or any other College process.</li> </ul>

## **1. INTRODUCTION**

1.1 This paper outlines the purpose of the new Fitness to Study Policy and the associated procedures.

## **2. PURPOSE AND AIM**

2.1 South Lanarkshire College is committed to providing a safe and supportive learning environment for all and complies fully with legislation and national guidance to ensure the safety of staff and students, whilst widening access and promoting inclusiveness and diversity. The College recognises that it has a moral and statutory duty to promote the health and welfare of those receiving education and training through the College.

2.2 This policy and associated procedures sets out how the College will respond when a learner is either in significant distress, has a medical condition which results in health and safety concerns or exhibits behaviours which may impact adversely on their personal wellbeing.

2.3 This policy, and associated procedure, is intended to support learners to continue with their studies and/or provide the opportunity for them to pause attendance at College until they are more able to engage effectively in their course. There has been an increase in learners at the College with significant barriers to learning where the start date of their course should have been deferred or medical leave taken in order for them so ensure that they can achieve their qualification.

## **3. USE OF THE FITNESS TO STUDY PROCEDURE**

3.1 This procedure is intended for use where the behaviour, disruption or risk presented by the learner is perceived to be of a serious or potentially serious nature and is not a matter which should be dealt with under the Code of Student Conduct or any other College process.

3.2 This will include situations where a learner appears unaware of the consequences of their behaviour, as a consequence of a medical condition, on others. This includes causing disruption or distress, and/or where concerns exist about the safety of the learner or of others including staff and visitors at the College.

3.3 The College will seek to protect the interests of the learner while considering the needs of other learners, staff and visitors to the College campus.

## **5 RISK**

5.1 That despite the College going beyond its statutory duty of care to learners and staff, a learner with significant barriers to learning may be a risk to learners and staff at the College.

## **6 EQUALITIES**

6.1 During the application of this policy and procedures the College will seek to ensure that no learners with protected characteristics or from areas of multiple deprivation or have diagnosed conditions will not be disadvantaged in any way.

## **7 RECOMMENDATIONS**

7.1 Members are asked to:

- note and question the new Fitness to Study Policy and associated procedures;
- approve the new Fitness to Study Policy and associated procedures.



South  
Lanarkshire  
College  

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East Kilbride

# FITNESS TO STUDY POLICY AND PROCEDURES

## Document Information

<b>Procedure Published/Created:</b>	April 2023
<b>Reviewed Date:</b>	April 2023
<b>Owner:</b>	Head of Student Services
<b>Approved by:</b>	SLT CQD Committee Board of Management
<b>Equality Impact Assessment:</b>	April 2023
<b>Next Review Date:</b>	April 2024

## Version History

Version Number	Date	Author	Rationale
1.0	April 2023		

## 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](#)



Need help with accessibility? Click [HERE](#) to view our accessibility pages.

# Table of Contents

<b>1. PURPOSE AND AIM</b>	<b>4</b>
<b>2. USE OF THE FITNESS TO STUDY PROCEDURE</b>	<b>4</b>
<b>3. INVOKING FITNESS TO STUDY PROCEDURES</b>	<b>4</b>
<b>4. PROCEDURES</b>	<b>5</b>
<b>5. STAGE ONE: INFORMAL</b>	<b>5</b>
<b>6. STAGE TWO: FITNESS TO STUDY CONCERN</b>	<b>6</b>
<b>7. STAGE THREE: FITNESS TO STUDY REVIEW</b>	<b>6</b>
<b>8. RIGHT OF APPEAL</b>	<b>7</b>
<b>APPENDIX A – REQUIREMENT FOR MEDICAL ASSESSMENT</b>	<b>7</b>

# 1. PURPOSE AND AIM

South Lanarkshire College is committed to providing a safe and supportive learning environment for all and complies fully with legislation and national guidance to ensure the safety of staff and students, whilst widening access and promoting inclusiveness and diversity. The College recognises that it has a moral and statutory duty to promote the health and welfare of those receiving education and training through the College.

South Lanarkshire College seeks to create an inclusive environment which enables all students to engage positively with their learning. Part of that inclusive learning environment requires the College to provide for the health, safety and wellbeing of all learners. Fitness to Study, as a term, encompasses the ability of a learner to engage positively with studying and not to have an adverse impact on themselves, other learners and/or staff.

This policy and associated procedures sets out how the College will respond when a learner is either in significant distress, has a medical condition which results in health and safety concerns or exhibits behaviours which may impact adversely on their personal wellbeing.

This procedure is intended to support learners to continue with their studies and/or provide the opportunity for them to pause attendance at College until they are more able to engage effectively in their course.

## 2. USE OF THE FITNESS TO STUDY PROCEDURE

This procedure is intended for use where the disruption, risk or impact presented by the learner is perceived to be of a serious or potentially-serious nature and is not a matter which should be dealt with under the Code of Student Behaviour. Furthermore, it should be used when reasonable adjustments made by the College have been exhausted and there is a potential for business operations to be affected. All matters relating to this procedure will be assessed according to the individual circumstances. In exceptional cases for example when violence to persons or property is involved, the College may adjust aspects of this procedure to ensure health and safety, equality and fairness are adhered to in every case.

Cases can be raised in several ways, such as through College staff (e.g. lecturers, support staff, etc), other students, or third parties (such as GPs, other healthcare providers, placement providers, criminal justice system, etc). This procedure aims to provide early intervention, consistency, and collaboration between staff, the student, and any necessary third parties. Each individual circumstance will be dealt with sensitively, compassionately, and in a timely, coordinated manner.

In implementing this procedure, the College maintains its commitment to its duty of care, and any obligations towards learners under The Equality Act 2010, including any reasonable adjustments.

The College will seek to protect the interests of the learner while considering the needs of other learners, staff and visitors to the College campus.

In the first instance consideration should be given as to how student support services could be deployed in order to maintain active engagement by the learner in their studies.

## 3. INVOKING FITNESS TO STUDY PROCEDURES

Fitness to Study procedures should be used, when:

- There is a concern that suggests that the behaviours or disruptions demonstrated poses a serious risk of harm to the learner, other learners, staff and visitors to the College.
- If previous reports of concerns have resulted to offers of welfare and wellbeing support but the learner does not respond by engaging and concerning behaviours continue or escalate.
- When medical or health conditions prevents the learner from participating actively in their learning.

- If there is reason to believe that behaviours are due to a serious mental health condition which is impacting the health, safety, and wellbeing of the learner or of others.
- If the Fitness to Study Procedure has been previously used, but concerns have returned or continue to escalate.
- If a learner has engaged with the College or external specialist support services and a risk assessment indicates a serious risk of harm to self or others that cannot be adequately supported and managed through internal and external support frameworks.

## 4. PROCEDURES

Where practicable the initial stages of intervention should be through the normal College procedures in relation to attendance, performance, and concerns about a learner's fitness to study. At all stages, the College will be committed to maintaining a duty of care to learners and staff.

Outlined in the remainder of this document is clear guidance for each stage. This includes Stage One: Informal, Stage Two: Fitness to Study Concern and Stage Three: Fitness to Study Review.

The purpose of this procedure is:

- To ensure the learner is aware of the concerns.
- To enable the views of the learner to be heard and considered.
- To consider any relevant medical evidence.
- To agree an action plan to manage risks or bring about changes in identified behaviour.
- To explore possible alternative attendance modes to allow for a learner to recuperate.
- To explain possible outcomes if serious concerns remain.

At any point in the procedure the College may require the consideration of suspending a learner where there are serious concerns about the health, safety, and wellbeing of the learner or those around them, or serious disruption to the College activities. At the agreement of the Chair of the Fitness to Study meeting, the learner can also bring an advocate to provide additional support.

## 5. STAGE ONE: INFORMAL

Once concerns have been raised about a learner's fitness to study, the Course Tutor will meet with them and explain that concerns about their fitness to study have been raised. The learner will be made aware of the precise nature of the concern. The Course Tutor, supported by their Curriculum Manager (College Safeguarder) will attempt to resolve the matter by informal discussions with the learner.

The learner should be encouraged to explain their situation and views on the matter and will be encouraged to use one or more of the support services offered by the College if appropriate, such as:

- A referral may be made to internal support services or an external organisation, such as a healthcare professional, if this is deemed appropriate.
- Course Tutor/Curriculum Manager should consider with the learner whether any specific academic arrangements or other types of support could be applied to help them study more effectively.
- The meeting outcomes will be logged on the learner's Personal Learning Support Plans.
- The Curriculum Manager will, where appropriate, contact the learner's parents/carers if they are aged 16-18 and ensure that they are fully aware of the concerns raised and any actions arising from the meeting.
- A review period will be set of no more than two College weeks from the date of the meeting. There may be scope to include an additional review period to ensure access to support services, as required.

Depending on the concerns raised it may be appropriate to move immediately to Stage Two, as detailed below, to ensure the health, safety, and wellbeing of the learner.

## 6. STAGE TWO: FITNESS TO STUDY CONCERN

If the issues raised are of sufficient concern, or if informal actions have not resulted in the improvement needed, the Curriculum Manager will agree a Learning Contract which seeks to enable the student to continue with their studies. This contract will be recorded formally on the learner's Personal Learning Support Plans (PLSP) and will contain:

- Details of the concerns around the learner's fitness to study
- Current actions by the College, learner, parents/carers, healthcare professionals or other relevant bodies in relation to the current fitness to study concerns
- A timescale for review and resolution. This should normally be no more than four College weeks from the date of the meeting.

Additional interim meetings may also be scheduled to monitor the situation and progress made by the learner. The Curriculum Manager, and other relevant College staff, should help the learner access the support available to them to enable them to continue with their studies as agreed. The expectation is, however, that the learner will take personal responsibility and engage with the support plan put in place by all parties.

If additional advice and guidance is required, the relevant College Safeguarder will collate the existing case notes for presentation to the Safeguarding Lead/Head of Student Services. In circumstances where the Safeguarding Lead is unavailable staff should follow the appropriate safeguarding structure (available within Safeguarding Policy and Procedure). At this point, senior safeguarding staff may take a decision as to whether to proceed to Stage Three.

## 7. STAGE THREE: FITNESS TO STUDY REVIEW

If concerns remain despite previous stages of intervention, a review panel meeting will be requested by the Curriculum Manager (College Safeguarder) to be held to determine the next course of action. Attendees at this meeting will include:

- An Associate Principal, Chair
- A Curriculum Manager from another area
- Any external organisations where support is provided to the learner, (only if agreed by the Chair)

The purpose of the review panel is to assess the learner's fitness to study in the context of their current study programme and decide on the next course of action in the best interest of all parties. The College may seek additional information in the form of assessments from medical professionals or other relevant bodies where appropriate. The learner and learner's parents/carers/advocate may be invited to attend the meeting should this be deemed necessary by the Chair.

The outcomes of the meeting will be communicated to the learner and parents/carers. These are (but not limited to):

- No further action required
- To recommend specific further academic or pastoral support arrangements are put in place to assist with on-going support at College
- To implement a revised study programme for the learner
- A suspension or an agreed break in learning with a resumption or restart of their programme at an appropriate point in the future
- Withdrawal of College place

## 8. RIGHT OF APPEAL

The learner may appeal against the outcomes of the Fitness to Study Review. A letter or email setting out the grounds of appeal should be addressed to [complaints@slc.ac.uk](mailto:complaints@slc.ac.uk) to be received within 10 days of the date on which the panel outcomes were made.

The procedure of an appeal will be the same as that set out under the Complaints Policy and Procedure.

## APPENDIX A – REQUIREMENT FOR MEDICAL ASSESSMENT

An outcome of either the Fitness to Study Meeting or the Fitness to Study Support Plan may be a requirement for the learner to seek medical assessment to enable the College to address the learner's circumstances in the most effective manner possible and make an accurate assessment of risk.

The medical assessment may be used to determine:

- The nature and extent of any medical condition.
- Their prognosis.
- The extent to which it may affect their fitness to study and manage the demands of learner life.
- Any impact it may have on the learner or risk it may pose to others.
- Whether any additional steps should be taken by the College in light of this information, to enable the learner to study effectively.
- Whether the learner will be receiving any on-going medical treatment or support.

Medical evidence/assessment submitted should be from a recognised health professional who has sufficient knowledge of the nature and extent of the learner's medical situation to be able to make an informed statement of the learner's fitness to study.

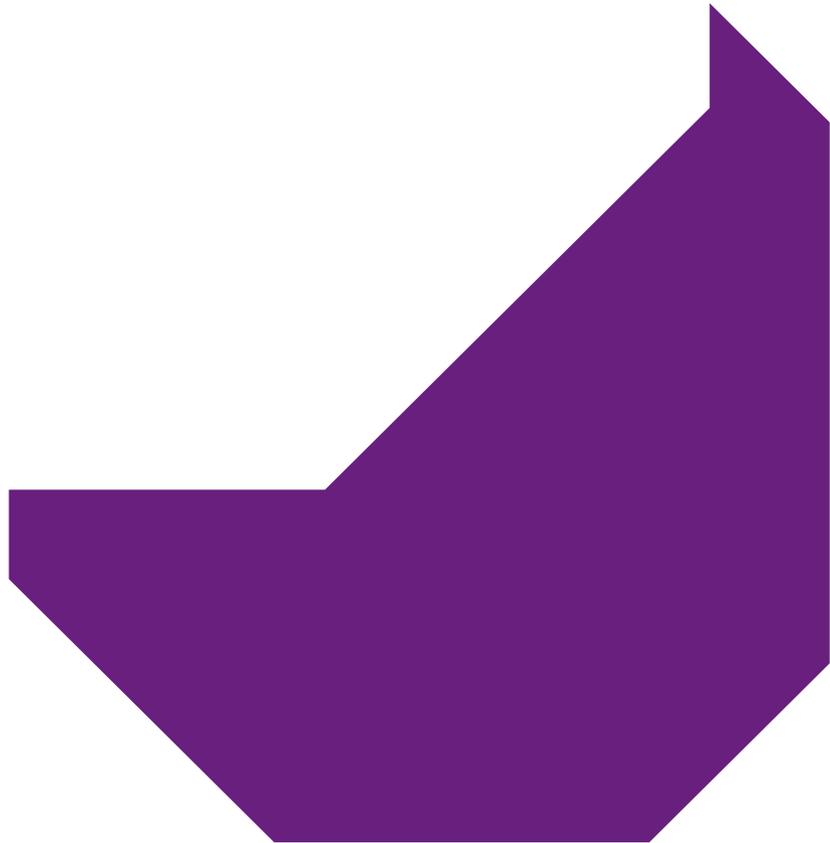
The learner will be asked to authorise full disclosure to the relevant College Safeguarders of the results of any assessment. The College recognises that any such information disclosed will constitute "sensitive data" for the purposes of GDPR to ensure it is handled, processed and stored in-line with Data Protection legislation.

Should the learner decline to undertake a medical assessment, the College may decide to continue this procedure based on the information available to it.



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**BOARD OF MANAGEMENT**

<b>DATE:</b>	1 June 2023
<b>TITLE OF REPORT:</b>	Updated Safeguarding Policy and Procedures
<b>REFERENCE</b>	16
<b>AUTHOR AND CONTACT DETAILS</b>	Rose Harkness, Head of Student Services <a href="mailto:rose.harkness@slc.ac.uk">rose.harkness@slc.ac.uk</a>
<b>PURPOSE:</b>	To request Board of Management to approve the revised Safeguarding Policy and Procedures.
<b>KEY RECOMMENDATIONS/ DECISIONS:</b>	Members are asked to: <ul style="list-style-type: none"> <li>• approve the updated Safeguarding Policy and Procedures (Appendix 1) is referred to the Board of Management for approval; and</li> <li>• note that the policy and procedures are applicable to staff and students to ensure the safety and health and wellbeing of the College community.</li> </ul>
<b>RISKS</b>	<ul style="list-style-type: none"> <li>• The College does not comply with child protection / safeguarding legislation and national guidelines.</li> <li>• Instances of safeguarding are not dealt with appropriately leaving the College at risk of legal challenge and reputational damage.</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>• Updated Safeguarding Policy and Procedures for approval.</li> <li>• The legislative framework within which the College operates.</li> <li>• Current safeguarding evaluation activity.</li> <li>• College safeguarding training and support framework.</li> </ul>

## **1. INTRODUCTION**

This paper provides an update on the revised Safeguarding Policy and Procedures. The College is committed to providing a safe and supportive learning environment for all and complies fully with legislation and national guidance to ensure the safety of staff and students, whilst widening access and promoting inclusiveness and diversity. The College recognises that it has a moral and statutory duty to promote the health and welfare of those receiving education and training through the College.

## **2. LEGISLATION AND NATIONAL GUIDANCE**

- 2.1. The College is guided by The National Guidance for Child Protection in Scotland 2021 and adheres to key legislation such as The Children (Scotland) Act 1995, The Adult Support and Protection (Scotland) Act 2007, The Children and Young People Act (Scotland) Act 2014 and Section 26 of the Counter–Terrorism and Security Act 2015.
- 2.2. It also takes due cognisance of other legislation as listed in the policy and national guidance such as the updated Getting It Right For Every Child (GIRFEC) Framework.
- 2.3. The College works effectively with a wide range of partners and agencies to help inform safeguarding arrangements.

## **3. SELF EVALUATION AND EDUCATION SCOTLAND**

- 3.1. An update to the College's existing safeguarding policy and procedures was identified as part of the College's self-evaluation process and is a recommended action in the Safeguarding and Child Protection Action Plan.
- 3.2. The Safeguarding and Child Protection Action Plan was shared with Education Scotland as part of the recent Annual Engagement Visit (AEV).
- 3.3. The College Safeguarding Group monitor safeguarding activity across the College and have ownership of the Safeguarding and Child Protection Action Plan to ensure actions are progressed and reported to the Senior Leadership Team (SLT).

## **4. SAFEGUARDING TRAINING AND SUPPORT**

- 4.1. To ensure staff continually keep knowledge and skills up to date, the College ensures all employees complete a mandatory safeguarding training programme, with refresher training every three years. College managers systematically monitor this training and update the contents regularly to comply with the most recent legislation.
- 4.2. Comprehensive safeguarding information forms part of the learner induction process which includes Safeguarding and Mental Health and Wellbeing videos.
- 4.3. The College offers a range of support services to class groups and on a one-to-one basis, which can be accessed online, in-person, or via telephone. Access to support services and peer support is also available for staff members.

## **5. RISK**

- 5.1. That the College does not meet its legislative statutory duties.
- 5.2. That the College does not meet its attainment targets due to increased safeguarding and mental health and wellbeing withdrawals.

## **6. EQUALITIES**

- 6.1. The College acknowledges that students with Protected Characteristics are at greater risk of having a serious mental health and wellbeing concern.
- 6.2. Having a long-term mental health condition is recognised under equality legislation (Equality Act 2010) and that the College has a duty to make reasonable adjustments to help support learners, with which it is compliant.

## **7. RECOMMENDATIONS**

Members are asked to:

- approve the updated Safeguarding Policy and Procedures (Appendix 1) is referred to the Board of Management for approval; and
- note that the policy and procedures are applicable to staff and students to ensure the safety and health and wellbeing of the College community..



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# SAFEGUARDING POLICY AND PROCEDURES

## Document Information

<b>Procedure Published/Created:</b>	April 2023
<b>Reviewed Date:</b>	April 2023
<b>Owner:</b>	Rose Harkness (Head of Student Services) Karen Pirie (Mental Health, Safeguarding and Wellbeing Manager)
<b>Approved by:</b>	SLT CQD Committee Board of Management
<b>Equality Impact Assessment:</b>	April 2023
<b>Next Review Date:</b>	April 2024

## Version History

Version Number	Date	Author	Rationale
1.0	April 2023	Rose Harkness Karen Pirie	

## 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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# Table of Contents

<b>1. Purpose &amp; Aim</b>	<b>4</b>
<b>2. Scope</b>	<b>4</b>
<b>3. Context</b>	<b>5</b>
<b>4. Policy Statement</b>	<b>6</b>
<b>5. Key Principles</b>	<b>6</b>
<b>6. Responsibilities</b>	<b>7</b>
<b>7. Safeguarding Staff</b>	<b>8</b>
<b>Appendix A – Legislation and National Guidance</b>	<b>10</b>
<b>Appendix B – College Policies and Procedures</b>	<b>11</b>
<b>Appendix C – Definition of Abuse and Safeguarding Situations</b>	<b>12</b>
<b>Appendix D – Safeguarding Procedures</b>	<b>17</b>
<b>Appendix E – Safeguarding Flowchart</b>	<b>22</b>
<b>Appendix F – Gender-Based Violence Flowchart</b>	<b>24</b>
<b>Appendix G – Safeguarding Reporting Forms</b>	<b>25</b>

# 1. Purpose & Aim

South Lanarkshire College is committed to providing a safe and supportive learning environment for all and complies fully with legislation and national guidance to ensure the safety of staff and students, whilst widening access and promoting inclusiveness and diversity. The College recognises that it has a moral and statutory duty to promote the health and welfare of those receiving education and training through the College.

Safeguarding is everyone's responsibility, and all staff are committed to recognising and reporting all concerns related to child protection, welfare and wellbeing and are appropriately trained to remain vigilant and spot signs of all forms of abuse and maltreatment.

As such, we promise to:

- Be observant and alert to signs of all forms of abuse.
- Be curious and question explanations offered by parents / carers / learners / staff and visitors.
- Be compassionate, honest and clear.
- Ask for support when we feel there is a limit of our experience / skills.
- Follow College policies and procedures linked to safeguarding referrals.
- Work together with other agencies when appropriate to ensure support for young people and their families is effective and helps improve person-centred outcomes.

The purpose of this policy is to safeguard and promote the welfare of children, young people and adults at risk at South Lanarkshire College.

## 2. Scope

This Policy pertains to the safety and wellbeing of children, young people and adults at risk. While child protection procedures may be considered for a person up to the age of 18, the legal boundaries of childhood and adulthood are variously defined. There are overlaps.<sup>[1]</sup>

- Children, as defined by current legislation, are those under 18 years of age.<sup>[2]</sup>
- Young People or Adults at Risk, are those over the age of 16 and could incorporate staff members, volunteers, visitors, partner representatives and designated persons. An 'adult at risk' is someone who is unable to safeguard their own wellbeing, property, rights or other interests; is at risk of harm and because they are affected by disability, mental disorder, illness or physical or mental infirmity, are more vulnerable to being harmed than adults who are not so affected.<sup>[3]</sup>

It should be noted that a person may have a disability, physical and/or mental health condition and be fully capable of safeguarding their personal wellbeing and interest. It is the whole of an adult's at risk particular circumstances which can combine to make them more vulnerable to harm than others and a proportionate response to the situation should always be taken.

Safeguarding and promoting the welfare of children, young people and adults at risk is defined for the purposes of this policy as:

- Protecting from maltreatment.
- Preventing impairment of children's mental and physical health or development.
- Ensuring that children grow up in circumstances consistent with the provision of safe and effective care.
- Taking action to enable all young people to have the best outcomes.
- Ensure the College approach is person-centred, and trauma-informed, considering always what is in the best interest of the person involved.
- Safeguard both preventatively and responsively;

[1] National Guidance for Child Protection in Scotland 2021

[2] Children (Scotland) Act 1995

[3] The Adult Support and Protection (Scotland) Act 2007

- Ensure the suitability of adults who have contact with children.
- Promote good health, effective management of medical conditions, and the development of self-care in children, young people and adults at risk.
- Have clear standards of behaviour for staff / volunteers and children / young people.
- Manage behaviour by anticipating possible concerns, prevention strategies, and clear, fair responses to challenging behaviour.
- Maintain records that document safeguarding concerns over time, including low-level worries about a child, young person or adults at risk that together may paint a picture of concern
- Work effectively and collaboratively with child protection and safeguarding statutory agencies.
- Ensure that all policies and procedures relating to safeguarding and wellbeing are updated in collaboration with the Board of Management.

## Vulnerable Groups

To ensure that all College students receive equal protection the College will give special consideration to children, young people and adults at risk who are particularly vulnerable, especially:

- Mental health concerns
- Carers
- Transgender children / young people
- Affected by parental substance misuse, domestic violence or parental mental health needs
- Looked after Children (LAC) or care experienced
- Asylum seekers
- Lone Parents
- Learners who identify as LGBTQ+
- Living away from home
- Estranged from family
- Homelessness
- Vulnerable to being bullied, or engaging in bullying
- Living in temporary accommodation
- Live transient lifestyles
- Living in chaotic and unsupportive home situations
- Vulnerable to discrimination on the grounds of race, ethnicity, religion, disability or sexuality
- At risk of sexual exploitation
- Do not have English as a first language
- Veterans and Service Leavers
- At risk of female genital mutilation (FGM)
- At risk of forced marriage
- At risk of being drawn into extremism

This list provides examples of additional vulnerable groups and is not exhaustive.

Staff with concerns about a student, staff member or receive a disclosure regarding actions or behaviour of a third party should complete the appropriate Safeguarding Reporting Forms (Appendix G) and contact the Safeguarding Lead, Depute or appointed Safeguarding Contacts as detailed in Section 7 – Safeguarding Staff.

## 3. Context

The College will be guided by the [National Guidance for Child Protection in Scotland 2021](#) and adhere to key legislation, [The Children \(Scotland\) Act 1995](#), [The Adult Support and Protection \(Scotland\) Act 2007](#), [The Children and Young People Act \(Scotland\) Act 2014](#) and [Section 26 of the Counter –Terrorism and Security Act 2015](#) and take cognisance of other legislation, national guidelines (Appendix A) as well as relevant College policies and procedures (Appendix B).

Where relevant, applicants, employees and volunteers at the College will be members of the Protection of Vulnerable Groups Scheme (the PVG Scheme) which has been introduced by [The Protection of Vulnerable Groups \(Scotland\) Act 2007](#). Students on placement as part of their course who require to be members of the PVG scheme will be processed by the College.

What does the College mean by Child Protection and Safeguarding?

- Child Protection - The processes involved in consideration, assessment and planning of required action, together with the actions themselves, where there are concerns that a child may be at risk of harm from abuse, neglect or exploitation.
- Safeguarding - This is a much wider concept than child protection and refers to promoting the welfare of children, young people and adults at risk. It encompasses protecting from maltreatment, preventing impairment of their health or development, ensuring that they are growing up in circumstances consistent with the provision of safe and effective care, and taking action to enable all children, young people and protected adults to have the best outcomes. Child protection is part of this definition and refers to activities undertaken to prevent children suffering, or likely to suffer, significant harm.

There is a distinctive approach to safeguarding in Scotland linked to [Getting It Right for Every Child \(GIRFEC\)](#) which promotes action to improve the wellbeing of every child and young person. Safeguarding is a golden thread that runs through the curriculum. The aim is to support the development of learners' knowledge, skills and resilience to keep themselves safe and protected, and to develop an understanding of the world so that they can respond to a range of issues and potential risky situations arising throughout their lives. As such, it permeates many features of the education experience including leadership, values, vision, the curriculum, learning and teaching, positive relationships and building learner resilience.

The College safeguarding approach is directed by [The Human Rights Act 1998](#) (HRA) which sets out the fundamental rights and freedoms that everyone in the UK is entitled to and contains the Articles and protocols of the [United Nations Convention on the Rights of the Child \(Incorporation\)\(Scotland\) Bill](#). It compels public organisations to respect and protect an individual's human rights when they make individual decisions about them. In addition, Colleges have obligations under the [Equality Act 2010](#). According to the Equality Act, colleges must not unlawfully discriminate against people because of their sex, race, disability, religion or belief, gender reassignment, pregnancy and maternity, or sexual orientation (protected characteristics).

## 4. Policy Statement

South Lanarkshire College believes that everyone has a responsibility to promote and safeguard the welfare of children, young people and adults at risk and that all college users should have a safe and supportive environment within which they can prosper and thrive. The College is committed to providing staff with the training, knowledge and understanding required to achieve this. The College actively promotes equality and is committed to eliminating discrimination, harassment and victimisation. It also recognises that some children, young people and adults at risk are additionally vulnerable as a result of, for example, past experiences, the impact of discrimination, their communication needs or other circumstances. The College is, therefore, also committed to ensuring explicit consideration is given to the diverse needs of College students and staff in relation to all safeguarding decisions.

## 5. Key Principles

South Lanarkshire College will promote the safeguarding of all college users and in particular children, young people and adults at risk from harm, abuse, exploitation or radicalisation.

The College will achieve this by:-

- Listening to children, young people and adults at risk, respecting them and providing support to those involved in a referral in adherence to this policy.
- Ensuring that all adults have a clear understanding of their legal and moral obligations to safeguard and protect children, young people and adults at risk from harm, abuse and exploitation.
- All reasonable steps being taken to prevent foreseeable harm to children, young people and adults at risk.
- Ensuring robust staff recruitment practices are in place and all adults with access to children and adults at risk are deemed fit to work with them.

- Being pro-active in promoting good lines of communication and ensuring that all students, parents, carers and partner agencies are familiar with the College's Safeguarding Policy and Procedures.
- Providing effective and ongoing staff development opportunities for all staff to develop their skills and knowledge in relation to the safeguarding and protection of children and adults at risk.
- Working effectively with key partners and other agencies.
- Ensuring clear reporting procedures are in place and that all adults understand their obligations to report concerns about a child or adult at risk to South Lanarkshire College's Safeguarding Lead or Depute Safeguarding Lead.
- Building a safeguarding culture where staff, students and all other College users know how they are expected to behave and know how to, and feel comfortable with, sharing concerns.
- Adopting a proactive approach to prevent inappropriate behaviour and working to ensure that all adults understand the boundaries of appropriate behaviour. Reference: Staff Code of Conduct and Good Practice; Gender-Based Violence Prevention and Support Policy; Student Behaviour, Attendance and Punctuality Policy and Code of Conduct.

## 6. Responsibilities

The South Lanarkshire College Board of Management has overall strategic responsibility for this Policy and for ensuring the College meet all legislative requirements pertaining to children, young people and adults at risk and that related policies and procedures are implemented and maintained.

All staff, as part of their normal duties and activities, have a safeguarding responsibility and will be made aware of their obligation to understand and adhere to the policy and engage in mandatory training.

The College has appointed a senior member of staff to take overall responsibility for the policy (Principal) and has also appointed a nominated Safeguarding Lead (Head of Student Services) and Depute Safeguarding Lead (Curriculum Manager Learning Development) to manage the College Safeguarding Team and oversee operational practice of the policy.

The Safeguarding Lead is responsible for:

- the oversight of safeguarding and child protection issues within the College;
- instituting any investigation into safeguarding issues or allegations of child abuse;
- determining the means of making an appropriate College response to any safeguarding issues or allegations of child abuse which may include:
  - making a recommendation to the Principal / Depute Principal of suspension of a person against whom allegations have been made;
  - Referral of the allegation to an external agency (e.g. Social Work or Police Scotland);
  - Informing parents, guardians or carers of any allegations of abuse or, in those cases where the matter has been referred by an external agency, deciding in conjunction with that agency what information will be conveyed to the parents, guardians or carers and at what stage;
  - keeping records relating to safeguarding and child protection issues;
  - designating other full-time members of the College staff to cover for absences or to act on behalf of the Lead and Depute;
  - support staff development in College safeguarding procedures; and
  - support the Safeguarding Team and act as the Chair of the College Safeguarding Group to support safeguarding and child protection activity across the College.

## 7. Safeguarding Staff

The following members of staff have overall responsibility for Safeguarding:

Senior Safeguarding Staff			
Name:	Stella McManus	Email:	stella.mcmanus@slc.ac.uk
Job Title:	Principal & Chief Executive Safeguarding Senior Manager in Charge		
Name:	Rose Harkness	Email:	rose.harkness@slc.ac.uk
Job Title:	Head of Student Services Safeguarding Lead		
Name:	Pauline Heeley	Email:	pauline.heeley@slc.ac.uk
Job Title:	Curriculum Manager Learning Development Depute Safeguarding Lead		

### College Safeguarding Team

In addition, the College has a network of safeguarders who act as a point of contact for providing safeguarding and child protection expertise and advice to help support staff and students. This includes the Curriculum Manager for each curriculum area and a designated safeguarder in each of the College departments.

Safeguarding Team			
College Safeguarders – Curriculum Areas			
Name:	Kirsteen Newman	Email:	kirsteen.newman@slc.ac.uk
Job Title:	Curriculum Manager Health & Social Care		
Name:	Joanne Warwick	Email:	joanne.warwick@slc.ac.uk
Job Title:	Curriculum Manager Beauty Therapy		
Name:	Angela Reid	Email:	angela.reid@slc.ac.uk
Job Title:	Curriculum Manager Early Education & Childcare		
Name:	Margaret Campbell	Email:	margaret.campbell@slc.ac.uk
Job Title:	Curriculum Manager Hairdressing		
Name:	Rhona Keys	Email:	rhona.keys@slc.ac.uk
Job Title:	Curriculum Manager Social Services & Care		
Name:	Catherine Purcell	Email:	catherine.purcell@slc.ac.uk
Job Title:	Curriculum Manager Hospitality/Events & Travel		
Name:	Karen Cleary	Email:	karen.cleary@slc.ac.uk
Job Title:	Curriculum Manager Accounting & Legal		
Name:	Liz Woods	Email:	liz.woods@slc.ac.uk
Job Title:	Curriculum Manager Business & Media		
Name:	James Jamieson	Email:	james.jamieson@slc.ac.uk
Job Title:	Curriculum Manager Building Service Engineering		
Name:	Nicola Murray	Email:	nicola.murray@slc.ac.uk
Job Title:	Curriculum Manager Built Environment		
Name:	Alisdair McTavish	Email:	alisdair.mctavish@slc.ac.uk
Job Title:	Curriculum Manager Carpentry & Joinery/Timber		

Name:	Fraser Waugh	Email:	fraser.waugh@slc.ac.uk
Job Title:	Curriculum Manager Wet Trade		
<b>College Safeguarders – Services to Support Learners &amp; Departments</b>			
Name:	Mandy Murray	Email:	mandy.murray@slc.ac.uk
Job Title:	Depute Head of Student Services		
Name:	Karen Pirie	Email:	karen.pirie@slc.ac.uk
Job Title:	Mental Health, Safeguarding and Wellbeing Manager (Designated person for care experienced learners, carers, estranged and veterans and their family)		
Name:	Gary McIntosh	Email:	gary.mcintosh@slc.ac.uk
Job Title:	Head of Human Resources		
Name:	Chris Sumner	Email:	chris.sumner@slc.ac.uk
Job Title:	Head of Management Information Systems		
Name:	Craig Ferguson	Email:	craig.ferguson@slc.ac.uk
Job Title:	Head of Facilities		
Name:	Karen McFarlane	Email:	karen.mcfarlane@slc.ac.uk
Job Title:	Rural Academy Alternative Funding		
Name:	Natalie Black	Email:	natalie.black@slc.ac.uk
Job Title:	Finance Assistant		
Name:	Rahela Calin	Email:	rahela.calin@slc.ac.uk
Job Title:	Student President		

# Appendix A – Legislation and National Guidance

## UNRC

[United Nations Convention on the Rights of the Child \(Incorporation\)\(Scotland\) Bill](#)

### Legislation defining certain offences against children

- [Children and Young Persons \(Scotland\) Act 1937, section 12](#)
- [Prohibition of Female Genital Mutilation \(Scotland\) Act 2005](#)
- [Female Genital Mutilation \(Protection and Guidance\) \(Scotland\) Act 2020](#)
- [Sexual Offences \(Scotland\) Act 2009](#)
- [The Protection of Children and Prevention of Sexual Offences \(Scotland\) Act 2005](#)
- [Human Trafficking and Exploitation \(Scotland\) Act 2005](#)
- [Civic Government \(Scotland\) Act 1982](#)
- [Children \(Equal Protection from Assault\) \(Scotland\) Act 2019](#)

### Legislation on managing adults who may pose a risk to children.

- [Criminal Justice and Licensing \(Scotland\) Act 2010](#)
- [Domestic Abuse \(Scotland\) Act 2011](#)
- [Domestic Abuse \(Scotland\) Act 2018](#)
- [Protection from Abuse \(Scotland\) Act 2001](#)
- [Abusive Behaviour and Sexual Harm \(Scotland\) Act 2016](#)

### Legislation on criminal proceedings and witness supports

- [Criminal Procedure \(Scotland\) Act 1995](#)
- [Victims and Witnesses \(Scotland\) Act 2014](#)
- [Age of Criminal Responsibility \(Scotland\) Act 2019](#)
- [Forensic Medical Services \(Victims of Sexual Offences\)](#)

### Additional Legislation

- [Children \(Scotland\) Act 2020](#)
- [Children \(Scotland\) Act 1995](#)
- [Children’s Hearings \(Scotland\) Act 2011](#)
- [Children and Young People \(Scotland\) Act 2014](#)
- [Counter Terrorism and Security Act 2015 \(section 26\)](#)
- [Disclosure \(Scotland\) Act 2020](#)
- [Mental Health \(Care and treatment\) \(Scotland\) Act 2003](#)
- [Anti-Social Behaviour \(Scotland\) Act 2004](#)
- [Adult Support and Protection \(Scotland\) Act 2007](#)
- [Adoption and Children \(Scotland\) Act 2007](#)
- [Equality Act 2010](#)
- [The Forced Marriage etc \(Protection and Jurisdiction\) \(Scotland\) Act 2011](#)
- [General Data Protection Regulation \(GDPR\)/Data Protection Act 2018](#)

### Emergency legislation under regular review

- [Coronavirus \(Scotland\) Act 2020 – Guidance on looked after children and children’s hearings provisions](#)

### Proposed legislation currently being considered by the Scottish Parliament

- [Domestic Abuse \(Protection\) \(Scotland\) Bill](#)

### National Guidelines

- [Protecting Children: A Shared Responsibility: A Guidance on Inter-agency Cooperation – Scottish Office, 1998](#)
- [It’s everyone’s job to make sure I’m alright’ – Scottish Executive, November 2002](#)
- [Legislation outlined Annex C of ‘Protecting Children and Young People Framework for Standards’ – Scottish Executive, March 2004](#)
- [National Guidance for Child Protection Scotland 2021](#)
- [Getting it right for every child \(GIRFEC\) National Practice Model – 2022](#)

# Appendix B – College Policies and Procedures

## College Policies and Procedures

- Bullying and Harassment Policy
- Confidentiality Policy
- Code of Conduct & Good Practice
- Data Protection – CCTV Policy
- Disclosure of Criminal Convictions Policy
- Freedom of Information Policy
- Gender-Based Violence Prevention & Support Policy
- Health and Safety Policy
- ICT Email & Internet Policy
- ICT Policy
- Learner Support Policy
- Physical Intervention Code of Conduct & Good Practice
- Recruitment and Selection Policy
- Student Code of Conduct
- Student Carer Policy & Support Plan
- Student Behaviour, Attendance and Punctuality Policy
- Staff Disciplinary Policy

# Appendix C – Definition of Abuse and Safeguarding Situations

## General Definition of Abuse <sup>[4]</sup>

Abuse and neglect are forms of maltreatment. Abuse or neglect may involve inflicting harm or failing to act to prevent harm. Children, young people and adults at risk may be maltreated at home; within a family or peer network; in care placements; institutions or community settings; and in the online and digital environment. Those responsible may be previously unknown or familiar, or in positions of trust. They may be family members. Children may be harmed pre-birth, for instance by domestic abuse of a mother or through parental alcohol and drug use.

## Categories of Abuse

The College recognises there are many types of abuse. These include:-

### Physical Abuse

Physical abuse is the causing of physical harm to a child or young person or adult at risk. Physical abuse may involve hitting, shaking, throwing, poisoning, burning or scalding, drowning or suffocating. Physical harm may also be caused when a parent or carer feigns the symptoms of, or deliberately causes, ill health to a child they are looking after.

### Emotional Abuse

Emotional abuse is persistent emotional ill treatment that has severe and persistent adverse effects on a child's emotional development. 'Persistent' means there is a continuous or intermittent pattern which has caused, or is likely to cause, significant harm. Emotional abuse is present to some extent in all types of ill treatment of a child, but it can also occur independently of other forms of abuse.

### Neglect

Neglect consists of persistent failure to meet a child's basic physical and/or psychological needs, which is likely to result in the serious impairment of the child's health or development. There can also be single instances of neglectful behaviour that cause significant harm. Neglect can arise in the context of systemic stresses such as poverty and is an indicator of both support and protection needs. 'Persistent' means there is a pattern which may be continuous or intermittent which has caused or is likely to cause significant harm. However, single instances of neglectful behaviour by a person in a position of responsibility can be significantly harmful. Early signs of neglect indicate the need for support to prevent harm.

### Child Sexual Abuse

Child sexual abuse (CSA) is an act that involves a child under 16 years of age in any activity for the sexual gratification of another person, whether or not it is claimed that the child either consented or assented. Sexual abuse involves forcing or enticing a child to take part in sexual activities, whether or not the child is aware of what is happening.

### Child Sexual Exploitation

Child sexual exploitation (CSE) is a form of child sexual abuse. It occurs where an individual or group takes advantage of an imbalance of power to coerce, manipulate or deceive a person under 18 into sexual activity in exchange for something the victim needs or wants, and/or for the financial advantage or increased status of the perpetrator or facilitator. The victim may have been sexually exploited even if the sexual activity appears consensual. Child sexual exploitation does not always involve physical contact. It can also occur through the use of technology. Children who are trafficked across borders or within the UK may be at particular risk of sexual abuse.

### Online Abuse

Online child abuse is any type of abuse that occurs in the digital environment and the internet, facilitated through technology and devices such as computers, tablets, mobile phones, gaming devices and other online-enabled devices.

### Criminal Exploitation

Criminal exploitation refers to the action of an individual or group using an imbalance of power to coerce, control, manipulate or deceive a child or young person under the age of 18 into any criminal activity in exchange for something the victim needs or wants, or for financial or other advantage of the perpetrator or facilitator. Violence or the threat of violence may feature. The victim may have been criminally exploited, even if the activity appears

[4] National Guidance for Child Protection in Scotland 2021

consensual. Child criminal exploitation may involve physical contact and may also occur through the use of technology. It may involve gangs and organised criminal networks. Sale of illegal drugs may be a feature. Children and vulnerable adults may be exploited to move and store drugs and money. Coercion, intimidation, violence (including sexual violence) and weapons may be involved.

### **Female Genital Mutilation (FGM)**

This extreme form of physical, sexual and emotional assault upon girls and women involves partial or total removal of the external female genitalia, or other injury to the female genital organs for non-medical reasons. Such procedures are usually conducted on children and are a criminal offence in Scotland. FGM can be fatal and is associated with long-term physical and emotional harm.

### **Forced Marriage**

A forced marriage is a marriage conducted without the full and free consent of both parties and where duress is a factor. Duress can include physical, psychological, financial, sexual, and emotional abuse. Forced marriage is both a child protection and adult protection matter. Child protection processes will be considered up to the age of 18. Forced marriage may be a risk alongside other forms of so called 'honour-based' abuse (HBA). HBA includes practices used to control behaviour within families, communities, or other social groups, to protect perceived cultural and religious beliefs and/or 'honour'.

### **Child Trafficking**

Child trafficking involves the recruitment, transportation, transfer, harbouring or receipt, exchange or transfer of control of a child under the age of 18 years for the purposes of exploitation. Transfer or movement can be within an area and does not have to be across borders. Examples of and reasons for trafficking can include sexual, criminal and financial exploitation, forced labour, removal of organs, illegal adoption, and forced or illegal marriage.

### **Recognition of Abuse**

Staff, both teaching and support, because of their day-to-day contact with individuals, are well placed to observe outward symptoms of abnormality or change in appearance, behaviour, learning pattern or development. Such symptoms may be due to a variety of other causes, including bereavement, domestic violence or other changes in family circumstances, or drug, alcohol or solvent misuse. Sometimes, however, they may be due to child abuse.

For example, the following may be noticeable:

- Bruises, particularly bruises of a regular shape which may indicate the use of an implement such as a strap, or the marks of a hand, lacerations, bite marks or burns.
- Possible indicators of physical neglect, such as inadequate clothing, poor growth, hunger, poor hygiene.
- Possible indicators of emotional abuse, such as excessive dependence, attention seeking, self-harming.
- Possible indicators of sexual abuse – physical signs such as bruises, scratches or bite marks, or behavioural such as precocity, withdrawal or inappropriate sexual behaviour.

Other possible signs are:

- Withdrawn behaviour.
- Agitated or anxious behaviour.
- Student being isolated by other students.
- Student isolating him/herself from fellow students.
- Inappropriate/improper dress.
- Unkempt, unwashed, smelly.
- Overly anxious to please.
- Bruising and minor injuries.
- Frequent absences for admission to hospital.
- Atypical incidence of absence from college.
- Sudden changes in behaviour, eg secretiveness.
- Atypical aggressive, acting-out behaviour.
- Precocious sexual behaviour.

Any of the above may be accompanied by marked deterioration in performance or increased absenteeism – both of which can in themselves be indicators of abuse. No list of symptoms can be exhaustive. Also, alternative medical, psychological or social explanations may exist for the signs and symptoms described.

## Gender-based Violence (GBV)

For the purpose of this policy, we use the Scottish Government's definition of gender-based violence. Gender-based violence describes a range of behaviours that includes: intimidation, harassment, online abuse, intimate image sharing, domestic abuse, physical and emotional abuse, stalking, sexual assault and murder. The term also includes commercial sexual exploitation and so-called 'honour based' violence, including, female genital mutilation, forced marriages and 'honour' crimes.<sup>[5]</sup>

GBV is a function of gender inequality. It takes the form of actions that result in physical, sexual, and psychological harm or suffering to women and girls, or affront to their human dignity, including threats of such acts, coercion or arbitrary deprivation of liberty, whether occurring in public or private life. It is men who predominantly carry out such violence, and women who are predominantly the victims of such violence. By referring to violence as 'gender based' this definition highlights the need to understand violence within the context of women's and girl's subordinate status in society. Such violence cannot be understood, therefore, in isolation from the norms, social structure and gender roles within the community, which greatly influence women's vulnerability to violence.<sup>[6]</sup>

Although gender-based violence affects more women and girls, it also impacts men and boys, and those in the LGBTQ+ community. We recognise that gender-based violence is an issue across all of society and we are fully committed to ensuring our campus is safe for everyone. In addition, the College seeks to provide a caring and timely response to those who have been impacted by gender-based violence. In everything that we do, the College will consistently send out a strong message that gender-based violence has no place in our college community or wider society.

These can include, but are not limited to:

- Physical, sexual and psychological violence (for example physical assault and sexual assault, coercive control etc.)
- Unwanted and unwelcome, sexual or gender-based verbal, written, online and/or physical conduct.
- Sexual harassment and intimidation at college, work and in the public areas
- Threatening or causing physical harm, extreme verbal abuse, or other conduct which threatens or endangers the health and safety of any other person.
- Discrimination, as defined as actions that deprive other members of the community of educational or employment access, benefits or opportunities on the basis of gender.
- Intimidation, defined as implied threats or acts that cause an unreasonable fear of harm in another.
- Bullying, defined as repeated and/or severe aggressive behaviour likely to intimidate or intentionally hurt, control or diminish another person, physically or mentally.
- Violence between those in an intimate relationship (this includes romantic relationships, dating, domestic, and/or relationship violence). Intimate relationship violence is a pattern of abusive behaviour in any relationship that is used by one partner to gain or maintain power and control over intimate partners. Intimate partner violence can be physical, sexual, emotional, economic, or psychological actions or threats of actions that influence another person.
- Stalking, defined as a pattern of repeated and unwanted attention, harassment, contact, or any other course of conduct directed at a specific person that would cause a reasonable person to feel fear of their safety or the safety of others e.g. unwanted gifts, sms messages, through social media.
- Dowry related violence – Dowry includes gifts, money, goods or property given from the bride's family to the groom or in-laws before, during or any time after the marriage. Dowry is a response to explicit or implicit demands or expectations of the groom or his family.
- Forced and Child Marriages – Forced marriage is when a person faces physical pressure to marry (e.g. threats, physical violence or sexual violence) or emotional and psychological pressure (e.g. made to feel like they are bringing shame on their family).
- Honour crimes involve physical, emotional, psychological, financial and sexual abuse, including murder, committed by people who want to defend the reputation of their family or community.
- FGM (Female Genital Mutilation), also known as female genital cutting and female circumcision, is the ritual removal of some or all of the external female genitalia.

Signs that indicate someone may have been impacted by gender-based violence. These can include, but are not limited to:

- There may be obvious effects of physical violence e.g. bruising
- Explanations for injuries/incidents that occur that are 'explained away' by the victim

[5] <https://www.gov.scot/publications/equally-safe-scotlands-strategy-prevent-eradicate-violence-against-women-girls/>

[6] Equally Safe: Scotland's strategy for preventing and eradicating violence against women and girls

- Poor attendance or presenteeism
- Changes in behaviour
- Interruptions at college, e.g. repeated upsetting calls/texts/emails
- May cry or be very anxious
- Uncharacteristic distraction, problems with concentration
- Depression/suicidal ideation
- Fear of partner/references to anger
- Expresses fear about leaving children home alone with partner
- Appears to be isolated from friends and family
- Needing regular time off for 'appointments'

It is important not to make assumptions as some of the above indicators may be indicative of other concerns unrelated to abuse. The context within which they occur is therefore an important consideration.

For further information and support, visit the College's designated webpage for [Preventing Gender-Based Violence](#).

### **Prevention of Radicalisation**

As of July 2015, the [Counter-Terrorism and Security Act 2015](#) placed a new duty on education providers. Under section 26 of the Act, colleges are required, in the exercise of their functions, to have due regard to the need to prevent people from being drawn into terrorism. This duty is known as the Prevent Duty.

In Scotland, this duty is met through Prevent Multi-Agency Panels (PMAP). The term 'Prevent Multi-Agency Panels' (or 'PMAP') refers to the local authority led support and the duty as set out in section 36 of the CTSA 2015. This is separate and distinct from police-led Prevent case management. This programme aims to work with the individual to address their specific vulnerabilities, prevent them becoming further radicalised and possibly entering the criminal justice system because of their actions. The PMAP process forms a key part of Prevent. The process adopts a multi-agency approach to identify and provide support to individuals who are at risk of being drawn into terrorism. There is no fixed profile of a terrorist, so there is no defined threshold to determine whether an individual is at risk of being drawn into terrorism.

It is recognised that radicalisation can occur to an individual from any section of society and is not particular to any racial, ethnic or social group. It is further recognised that in many instances the process of radicalisation is essentially one of grooming by others.

Possible signs of radicalisation include:

- The individual's views become increasingly extreme regarding another section of society or government policy
- The individual becomes increasingly intolerant of more moderate views
- The individual expresses a desire/intent to take part in or support extremist activity
- They are observed downloading, viewing or sharing extremist propaganda from the web
- They become withdrawn and focused on one ideology
- The individual may change their appearance, their health may suffer (including mental health), and they may become more isolated from family, friends, peers or social groups.

### **Mental Health and Wellbeing**

The College has an important role to play in supporting the mental health and wellbeing of students and staff.

Mental health problems can, in some cases, be an indicator that a person has suffered or is at risk of suffering abuse, neglect or exploitation.

All staff should also be aware that mental health problems can, in some cases, be an indicator that someone has suffered or is at risk of suffering abuse, neglect or exploitation. Where children have suffered abuse and neglect, or other potentially traumatic adverse childhood experiences (ACE's), this can have a lasting impact throughout childhood, adolescence and into adulthood. It is key that staff are aware of how these children's experiences, can impact on their mental health, behaviour, and education.

Only appropriately trained professionals should attempt to make a diagnosis of a mental health concern. Staff, however, are well placed to observe on a day-to-day basis and identify those whose behaviour suggests that they may be experiencing a mental health concern or be at risk of developing one. Immediate action should be taken in response to any mental health concerns and a referral made to a College Safeguarder. Action should also be taken where there is a safeguarding concern already present, through reporting the concern to Student

Services staff in the Student Advice Centre or in serious circumstances the Safeguarding Lead / Depute Safeguarding Lead as with any other safeguarding concern.

The College has a number of staff trained in Mental Health First Aid and ASIST (Applied Suicide Intervention Skills Training) providing immediate help and support to those who need it.

For help and support at the College during office hours telephone: 01355 807780 (ask for Student Services or an ASIST trained member of staff) or email [student.support@slc.ac.uk](mailto:student.support@slc.ac.uk). For staff specific support contact Human Resources by emailing [humanresources@slc.ac.uk](mailto:humanresources@slc.ac.uk)

Students and staff experiencing issues with mental health and/or be in crisis can be supported to contact their GP or emergency services as well as information and advice on external specialist support agencies. This includes concerns with health and psychological difficulties, anxiety, depression, self harm, or suicide ideation.

For information and support, contact Student Services by emailing [student.support@slc.ac.uk](mailto:student.support@slc.ac.uk). Visit the College's designated webpage for [Mental Health and Wellbeing](#). To find out more about the support available at the College, use the links below:

- [Student Mental Health and Wellbeing - Supported Pathways to Wellness](#)
- [Student Mental Health Agreement 2020/2022](#)
- [Student Support Pocket Guide](#)
- [Student Mental Health Strategy](#)

# Appendix D – Safeguarding Procedures

## INTRODUCTION

The purpose of these safeguarding procedures is to ensure that concerns about the welfare of children, young people and adults at risk in the College are dealt with sensitively, effectively and efficiently.

They will provide step-by-step guidance on how to respond to a concern.

South Lanarkshire College will ensure that every member of staff:

- Reads and understands the Safeguarding Policy and Procedures that include the mandatory reporting duty of all child protection and safeguarding concerns.
- Knows the names of the Safeguarding Lead / Depute Safeguarding Lead and wider Safeguarding Team.
- Will undergo mandatory safeguarding training as part of the staff induction process and through refresher training. The training will cover:
  - Their personal responsibility/Staff code of conduct/teaching standards.
  - Understand the definitions of all forms of abuse, physical abuse, emotional abuse, sexual abuse and neglect etc.
  - The need to be vigilant in identifying cases of abuse at the earliest opportunity.
  - How to support and respond to a child, young person or adults at risk who discloses significant harm (either actual or likely).
  - Prevent referral process.
  - Their understanding of professional boundaries and what constitutes inappropriate behaviour.
- Knows their duty linked to unsafe practices, regarding young people or adult at risk, by a colleague.
- Undertakes appropriate discussion with parents and carers.
- Monitor internet usage in classrooms and knows how to recognise and respond to inappropriate internet use.
- Respects and adheres to the South Lanarkshire College Code of Conduct.

The Safeguarding Lead / Depute Safeguarding Lead will disclose any information about a learner to other members of staff on a need-to-know basis.

All staff should be able to reassure individuals that they are being taken seriously and that they will be supported and kept safe. A victim should never be given the impression that they are creating a problem by not reporting any form of abuse and/or neglect. Nor should they ever be made to feel ashamed for making a report.

All staff should be aware that young people and vulnerable adults may not feel ready or know how to tell someone that they are being abused, exploited or neglected, and/or they may not recognise their experiences as harmful. For example, children may feel embarrassed, humiliated, or being threatened. This could be due to their vulnerability, disability and/or sexual orientation or language barriers. This should not prevent staff from having a professional curiosity and speaking to their Safeguarding Lead / Depute Safeguarding Lead if they have concerns about a young person or adult at risk as it is also important that staff determine how best to build trusted relationships with young people and vulnerable adults which facilitate communication.

Concerns may arise because:

- Abuse is disclosed;
- There are suspicions or indicators that a child, young person or adult at risk is being abused;
- There are observable changes in behaviour that may relate to abuse;
- A young person may abuse or radicalise another young person;
- The behaviour of a member of staff towards a young person causes concern or there is suspicion that a staff member or volunteer is harming a child/young person/adult at risk.

**These procedures apply to everyone in the College.**

The procedures are mandatory. Child protection is the responsibility of every adult. The publication [It's everyone's job to make sure I'm alright](#) Scottish Executive, 2002 and subsequent updated guidelines published in 2017 [It's still everyone job to make sure I'm alright](#) emphasises the need for all of us to take responsibility in order to protect children and young people.

## HOW TO RESPOND IF SOMEONE DISCLOSES ABUSE, GBV OR RADICALISATION

All staff are expected to do the following:

**LISTEN** carefully and remain calm; do not express shock or embarrassment.

**DO NOT** guarantee confidentiality and be clear that you will act sensitively and explain what will happen next.

**GIVE REASSURANCE** that you are taking the information seriously.

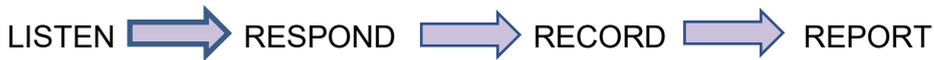
**DO NOT** ask leading questions.

**DO NOT** examine any physical injuries.

**DO NOT** attempt to investigate the allegations yourself.

**NEVER JUDGE** even if the allegation is against a colleague.

**RECORD** what was said, also note the date, time and place that the conversation took place.



All staff must follow College procedures for recording and storing sensitive information.

If an allegation is brought to your attention as a member of staff, you should:

- Be honest and transparent in relation to your professional responsibilities, for example, make it clear that you may have to share any information with others.
- Allow the child/young person/adult at risk to speak without interruption.
- Listen to what the child/young person/adult at risk says and show that you take them seriously.
- Consult/inform the Safeguarding Lead/Depute Safeguarding Lead ensuring that you communicate all the information accurately.
- Stay calm – do not rush into inappropriate action.
- Reassure the child/young person/adult at risk – confirm that you know how difficult it must be to confide.
- Ensure that you clearly understand what the child/young person/adult at risk has said – so that you can refer.

In all cases, go straight to the Safeguarding Lead / Depute Safeguarding Lead.

### ALLEGATIONS AGAINST STAFF

A student may make an allegation against a member of staff. If an allegation is made, the member of staff receiving the allegation will immediately inform the Safeguarding Lead / Depute Safeguarding Lead.

Whenever an allegation against any member of staff is received by the Safeguarding Lead, advice should be sought from Head of Human Resources and the Principal's Office.

If the allegation involves the Safeguarding Lead the matter should be reported to the Principal (Senior Safeguarding Manager in Charge) and Head of Human Resources.

If the allegation is against the Principal, the concerns must be reported to the Clerk to the Board of Management, and the Safeguarding Lead.

The Safeguarding Lead should be alerted to all cases in which it is alleged that a person has:

- Behaved in a way that has harmed, or may have harmed a child, young person or adult at risk.
- Possibly committed a criminal offence against or related to a child, young person or adult at risk.
- Behaved towards a child or children in a way that indicates they may pose a risk of harm to children.
- Behaved or may have behaved in a way that indicates they may not be suitable to work with children, young people or adults at risk.

This applies to paid employees, volunteers, casual/agency staff and self-employed workers who will have contact with children, young people and adults at risk as a part of their role.

The Safeguarding Lead ensures that all allegations or concerns about professionals or adults working or volunteering with children are recorded appropriately, monitored and progressed in a timely and confidential way.

The Safeguarding Lead is involved from the initial phase of the allegation through to the conclusion of the case.

The Safeguarding Lead provides advice and guidance to employers and voluntary organisations, liaising with the police and other agencies and monitoring the progress of cases to ensure that they are dealt with as quickly as possible, consistent with a thorough and fair process.

Any allegations or concerns must be reported to the Safeguarding Lead / Depute Safeguarding Lead within 24 hours (or one working day) of it coming to notice.

Low level concerns should always be undertaken in consultation with the Safeguarding Lead / Depute Safeguarding Lead. The consultation process allows for concerns to be evaluated objectively and to ascertain whether similar concerns may have been raised but not met the threshold for investigation.

### **CONTACT WITH PUPILS IN PARTNER SCHOOLS / ON OUTREACH**

It is normal practice that school pupils will be taught in discrete groups and where this is not the case a risk assessment will be undertaken.

If you are working in a school at the time the allegation of abuse is made, the school's child protection procedures should be followed, and you should advise the Safeguarding Lead that you have filed a report with the School's Child Protection Practitioner.

If you are working in College or in a College outreach base, the College Safeguarding Procedures should be followed.

### **RECORDING INFORMATION**

Complete appropriate Safeguarding Reporting Forms within acceptable timescales (see example proforma at Appendix G) which can also be found in the Documents section of the Staff Portal).

Observe standard guidelines for holding sensitive information in accordance with current legislation.

All recorded information must be handled sensitively. All conventions of confidentiality must be adhered to at all times.

Storage and access of information will be managed by the Safeguarding Lead. Records will be retained for a period of three years.

### **REFERRING INFORMATION TO RELEVANT AGENCIES**

External referrals for example to Police Scotland or Social Work would normally be made by either the Safeguarding Lead / Depute Safeguarding Lead or a member of the wider Safeguarding Team. If the staff member suspects that the child, young person or adult at risk is in immediate danger, they will contact the Police straightaway by dialling 999. All incidents and actions will be reported to the Safeguarding Lead / Depute Safeguarding Lead in a timely manner

In line with the requirements of the PVG (Scotland) Act 2007, if the College is made aware of criteria for referral being met or previously having been met before the PVG Act came into force, the Safeguarding Lead or Head of Human Resources will make a referral to Disclosure Scotland.

### **CONFIDENTIALITY**

In accordance with current legislation, the welfare of the child, young person or adult at risk is paramount.

Only a restricted number of people within the institution should have access to information that involves child protection and safeguarding issues.

Information should be shared on a 'need to know' basis in accordance with current legislation and Codes of Practice.

[Data Protection Act \(DPA\) 2018](#) controls how personal information is used by organisations, businesses or the government and is the UK's implementation of the General Data Protection Regulation (GDPR).

The DPA (2018) does not prevent the sharing of information for the purposes of keeping children safe. Fears about sharing information must not be allowed to stand in the way of the need to promote the welfare and protect the safety of children, young people or adults at risk. This falls under a common law duty of care where the College deem the circumstances to be in the public interest necessary to protect students and staff.

When deciding whether information needs to be shared with staff within the setting or with other agencies, staff should take account of the following principles, bearing in mind that the most important consideration is whether sharing information is likely to support the safeguarding and protection of a child, young person or adult at risk:

- Necessary and Proportionate
- Relevant
- Adequate
- Accurate
- Timely
- Secure
- Recorded

Staff should consider when they share information, how and how much they share, and where possible they should be transparent about the fact that they're sharing. It is important to acknowledge that sharing of all information that could be regarded big or small is essential for the protection of the child, young person or adult at risk.

Although the process for deciding whether to share information is the same within and outside the setting, in terms of proportionality and the need to know, sharing information with practitioners from other agencies needs to be documented. It is reasonable for staff to discuss day-to-day concerns about students with colleagues in order to ensure that general needs are met in college. However, staff should report all child protection and safeguarding concerns to the Safeguarding Lead. The person receiving the referral will then decide who else needs to have the information and they will disseminate it on a 'need-to-know' basis.

The Safeguarding Lead / Depute Safeguarding Lead will normally obtain consent from the student/or parents to share sensitive information within the College or with outside agencies. Where there is good reason to do so, the Safeguarding Lead / Depute Safeguarding Lead may share information without consent, and will record the reason for not obtaining consent. If any member of staff receives a request from a student / parent to see child protection / safeguarding records, they will refer the request to the Data Protection Officer. Every effort will be made to prevent unauthorised access to sensitive information.

### **ONLINE SAFETY / REMOTE LEARNING**

Staff and students commonly use electronic equipment including mobile phones, tablets and computers daily to access the internet and share content and images via social networking sites such as Facebook, Twitter, MSN, Tumblr, Snapchat, TikTok and Instagram. Those technologies and the internet are a source of fun, entertainment, communication and education. Unfortunately, however, some adults and young people will use those technologies to harm children and the use of technology has become a significant component of many safeguarding issues. Child sexual exploitation; radicalisation; sexual predation: technology often provides the platform that facilitates harm.

The breadth of issues within online safety is considerable, but can be categorised into four areas of risk:

- Content: being exposed to illegal, inappropriate or harmful material; for example, pornography, fake news, racist or radical and extremist views;
- Contact: being subjected to harmful online interaction with other users; for example, commercial advertising as well as adults posing as children or young adults; and
- Conduct: personal online behaviour that increases the likelihood of, or causes, harm; for example, making, sending and receiving explicit images, or online bullying;
- Commerce: risks such as online gambling, inappropriate advertising, phishing and or financial scams.

The College's online IT Acceptable Use Policy explains how we try to keep students and staff safe in college and protect and educate learners in the safe use of technology. The College has appropriate filters and monitoring systems in place to protect children from potentially harmful online material. We will complete an annual review of our online safety policy which will be supported by an annual risk assessment. This will consider and evaluate any emerging risks our students face when participating in online activity.

Cyberbullying and sexting by learners will be treated as seriously as any other type of bullying and will be managed through the Attendance, Behaviour and Punctuality Policy, Student Code of Conduct and the GBV Prevention and Support Policy.

It is essential that information is shared with parents and carers which outlines how online learning is being delivered. This should include explicit details of sites that will be accessed, staff that pupils will interact with, and how this is being monitored. There must also be robust strategic oversight to ensure that monitoring systems are effective, and that staff are able to identify and report concerns.

### **HOW TO KEEP PEOPLE INFORMED AND INVOLVED IN THE PROCESS**

In accordance with the principles of current legislation, the views of the child/young person/adult at risk will be taken into account when considering risk, adversity and protective factors. Cultural sensitivity and competence is necessary in considering the family reference point

All students will be provided with information on the College's safeguarding procedures during induction and in appropriate college publications.

The Safeguarding Lead / Depute Safeguarding Lead will keep the child/young person/adult at risk informed while the matter is within the jurisdiction of the College.

The Safeguarding Lead / Depute Safeguarding Lead will take account of the views of the child/young person/adult at risk involved in the process.

### **SUPPORT AND STAFF DEVELOPMENT**

The College will provide initial, on-going and appropriate training to all staff members on the Safeguarding policy and associated procedures.

The College will support staff by providing an opportunity to talk through any concerns with the Safeguarding Lead / Depute Safeguarding Lead and offer reasonable appropriate support from external agencies if requested.

The College will offer support to the wider College Safeguarding Team if requested.

# Appendix E – Safeguarding Flowchart

In the College there are a number of key groups of staff who are likely to receive a safeguarding disclosure.

Those in key roles may include:

- Student Support Services, Health and Wellbeing
- Academic Staff
- Reception and Library Staff
- Student Association Officers
- Facilities Staff
- Human Resources Staff

There are also a number of mechanisms in place for staff and students to make a safeguarding / GBV / mental health and wellbeing disclosure which include:

- Report and Support
- Student support email – [student.support@slc.ac.uk](mailto:student.support@slc.ac.uk)
- Staff support email – [humanresources@slc.ac.uk](mailto:humanresources@slc.ac.uk)
- Academic guidance meeting
- Staff support meeting
- Tell Us @ SLC
- Student Advice Centre

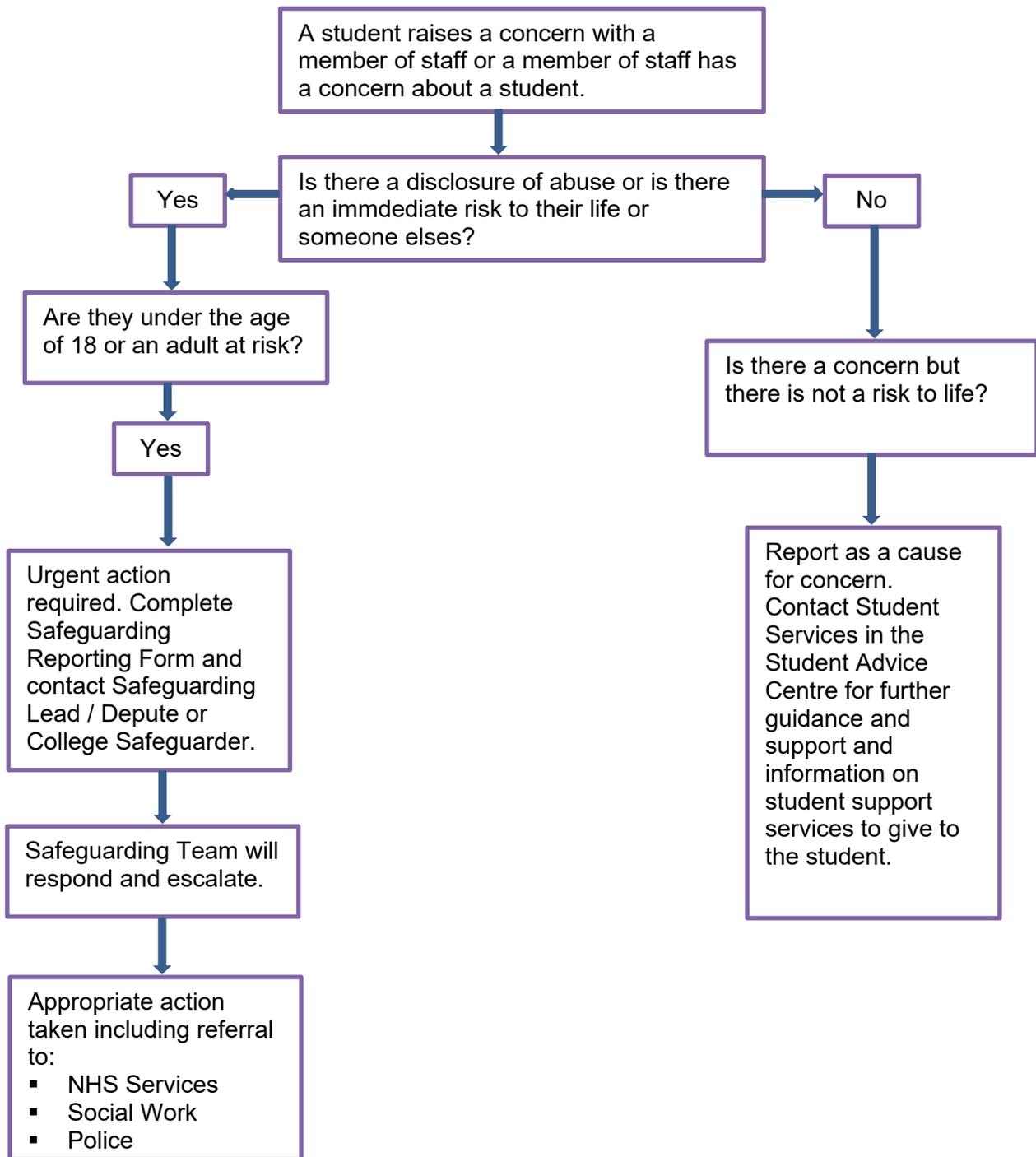
Once a disclosure is made, and the member of staff has collated the appropriate information (Safeguarding Reporting Forms – Appendix G) this will be then passed to the Safeguarding Lead / Depute Safeguarding Lead for further investigation and action. In most cases, when a disclosure is made this will be passed directly to the Safeguarding Lead / Depute Safeguarding to take forward.

College Safeguarders include:

- Principal & Chief Executive (Senior Safeguarding Officer)
- Head of Student Services (Safeguarding Lead)
- Curriculum Manager for Support for Learning (Depute Safeguarding Lead)
- Depute Head of Student Services
- Safeguarding, Health and Wellbeing Manager
- Curriculum Manager for each curriculum team
- Head of Human Resources
- Head of Facilities
- Head of MIS
- Student President (Student Association)
- Designated safeguarder for each of the following functional areas: Finance, Alternative Funding

College Safeguarders do not respond in isolation and will work collaboratively when responding to safeguarding disclosures. We will take a holistic, trauma informed approach to ensure the College responds effectively in the most appropriate way to fully support the individual.

The following flowchart provides the key elements of the safeguarding response pathway.



#### References

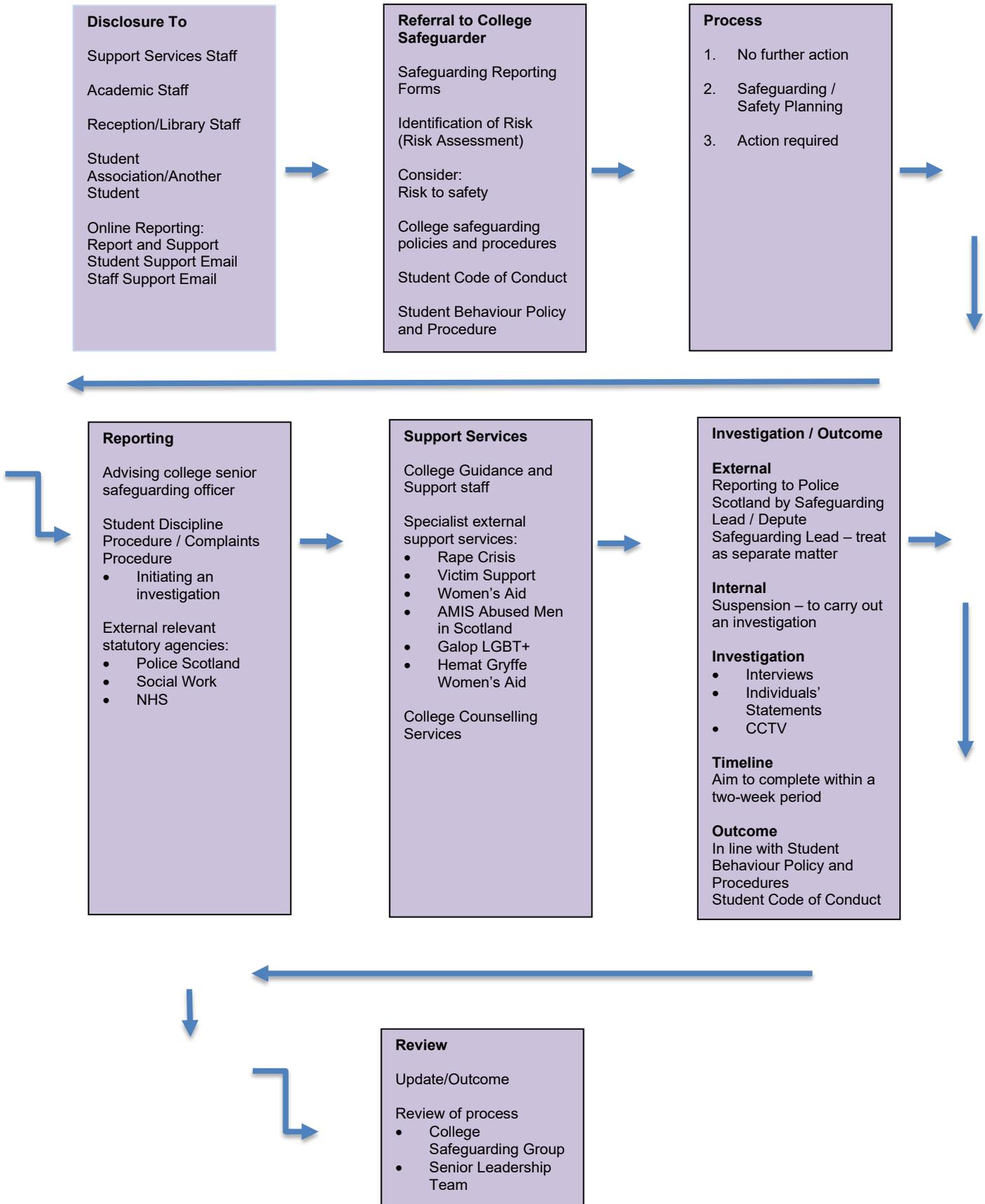
- Examples of abuse – Physical, Emotional, Financial, Sexual and Neglect.
- Risk to life – When someone has a suicide plan or is in the process of ending their life.
- Risk to life by threatening violence

A Protected Adult is defined as someone over the age of 16 and,

- is unable to safeguard themselves, their property, rights or other interests, and is at risk of harm, and
- because they are affected by disability, mental disorder, illness or physical or mental infirmity, are more vulnerable to being harmed than others who are not so affected.

# Appendix F – Gender-Based Violence (GBV) Flowchart

The following flowchart provides the key elements of the GBV response pathway.



## Appendix G – Safeguarding Reporting Forms

Remember to maintain strict confidentiality and store this form securely.

### Section A: Reporter's Name and Information

<b>Your Name</b>	
<b>Your Position</b>	
<b>Office Location</b>	
<b>Phone Number</b>	
<b>Email Address</b>	
<b>What is your reason for completing this form? Select one option below.</b>	
Concerns about a student	<input type="checkbox"/> <i>Now complete Section B</i>
Disclosure from a student	<input type="checkbox"/> <i>Now complete Section C</i>
Concerns about someone responsible for students	<input type="checkbox"/> <i>Now complete Section D</i>

### Section B: Concerns for or about a student

<b>Student's Name</b>		
<b>Student's Date of Birth</b>		
<b>Student's Reference Number</b>		
<b>Student's Contact Number</b>		
<b>Name of School (if applicable)</b>		
<b>Is the student a child, a vulnerable adult or neither?</b>	A child	<input type="checkbox"/>
	A vulnerable adult	<input type="checkbox"/>
	Neither	<input type="checkbox"/>
<b>Your Concerns</b> (Include as much relevant detail as possible including reasons for concern, name(s) of person(s) involved, dates and times, any discussion that has taken place.)		

**Please now pass the form to the Safeguarding Lead**

## Section C: Disclosure from a student

<b>Student's Name</b>		
<b>Student's Date of Birth</b>		
<b>Student's Reference Number</b>		
<b>Student's Contact Number</b>		
<b>Name of School (if applicable)</b>		
<b>Is the student a child, a vulnerable adult or neither?</b>	A child	<input type="checkbox"/>
	A vulnerable adult	<input type="checkbox"/>
	Neither	<input type="checkbox"/>
<b>Date and time of disclosure</b>		
<b>What did the student tell you?</b> Record exactly what the student said in their own words and any questions you asked if the situation needed clarified. Continue on separate sheet if necessary.		
<b>Provide any additional relevant information.</b> Examples may include changes in the student's behaviour, any observations prior to the disclosure etc.		
<b>Please now pass the form to the Safeguarding Lead</b>		

## Section D: Concerns about someone responsible for students

<b>Person of Concern's Name</b>	
<b>Person of Concern's Position</b>	
<b>Your Concerns</b> (Include as much relevant detail as possible including reasons for concern, name(s) of person(s) involved, dates and times, any discussion that has taken place.)	
<b>Please now pass the form to the Safeguarding Lead</b>	

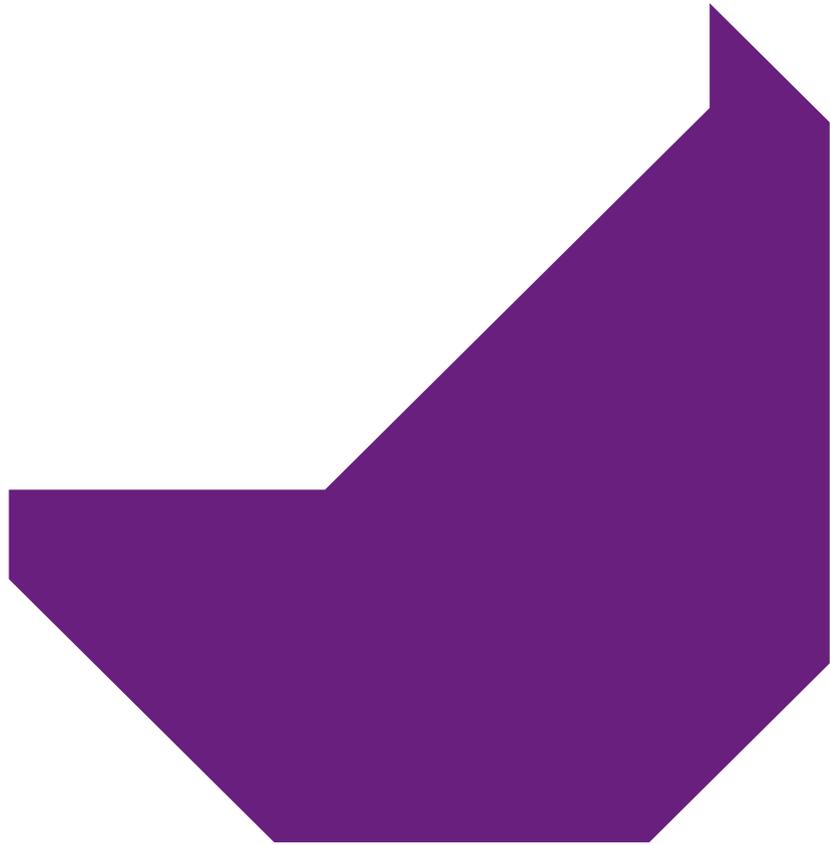
## Section E: Safeguarding Lead

<b>Safeguarding Lead's Name</b>		
<b>Consultation Undertaken</b>		
<b>Decision Made</b>	No further action	<input type="checkbox"/>
	Continued monitoring	<input type="checkbox"/>
	Formal referral	<input type="checkbox"/>
<b>Rationale for Decision</b>		
<b>Formal Referral Details</b> Include details of which agency has been informed, including name and contact number where possible.		
<b>Formal Referral Date</b>		
<b>Senior Management Liaison</b> Include details of which member of Senior Management has been made aware of the situation, any discussions that took place and the date the exchanges took place.		
<b>Safeguarding Lead's Signature</b>		
<b>Date of Reporting Form Closure</b>		



South  
Lanarkshire  
College

East Kilbride



**BOARD OF MANAGEMENT**

<b>DATE</b>	1 June 2023
<b>TITLE OF REPORT</b>	Quarter 3 ~ 2022/23 Management Forecast and Cashflow
<b>REFERENCE</b>	17
<b>AUTHOR AND CONTACT DETAILS</b>	Keith McAllister, Head of Finance keith.mcallister@slc.ac.uk
<b>PURPOSE:</b>	To provide narrative to the forecast for the year to 31 July 2023 and to highlight the anticipated cashflow position at that date.
<b>KEY RECOMMENDATIONS/ DECISIONS:</b>	The Forecast has been approved by the Finance and Resources Committee; the Board is recommended to note: <ul style="list-style-type: none"> <li>• the financial position for the year and the narrative that supports the figures; and</li> <li>• the latest cashflow forecast as notified to SFC</li> </ul>
<b>RISK</b>	<ul style="list-style-type: none"> <li>• That the College cannot maintain financial sustainability which would impact on staff as well as providing a learning experience for the community of South Lanarkshire.</li> <li>• There are insufficient funds for capital maintenance and maintenance requirement which could result in the building not being adequately maintained leading to health and safety issues as well as a poor learning environment.</li> </ul>
<b>RELEVANT STRATEGIC AIM:</b>	<ul style="list-style-type: none"> <li>• Sustainable Behaviours</li> </ul>

**SUMMARY OF REPORT:**

- The College is confident of meeting its credit target of 48,812 and thus there is no potential for clawback. It should be noted that the Funding Council has allowed for more flexibility with a 2% negative or positive tolerance being applied in any case.
- Following the Forecast produced for the February meeting of the Committee, a revised forecast was produced for the March meeting of the Board. This fed into the Mid-Year Return produced for the Scottish Funding Council. This revised forecast contained two scenarios, both of which contained targeted savings. One of the scenarios incorporated a salary award equal to that which was contained in the original budget. This scenario showed a target deficit of £381k.
- Whilst the actions being pursued by College management have led to savings, the forecast deficit is, at £503k, higher than the better of the two March scenarios. It does, though, show a deficit approximately £37k better than Budget.
- 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. However, the latter situation has improved over the last quarter, with the likes of Modern Apprenticeships showing a significant increase in projected income.
- There is no indication that the salary award claims from 1 September 2022 will be settled in the near future; the forecast reflects the award as contained within the budget.  
The cash position at the College will be a mitigation in the financial performance of the year.

## 1. INTRODUCTION

1.1 This paper sets out the forecast for the year to 31 July 2023 (Annex A) and to highlight the anticipated cashflow position at that point.

## 2 FORECAST OVERVIEW

2.1 The College is confident of meeting its credit target of 48,812 and thus there is no potential for claw back. It should be noted that the Scottish Funding Council (SFC) has allowed for more flexibility with a 2% negative or positive tolerance being applied in any case.

2.2 Two papers were presented to the Board of Management in March 2023, subsequent to the meeting of the Finance and Resources Committee in February 2023, which supported the Mid-Year Return to the SFC. The differences between the two scenarios was that one assumed that the outstanding salary award would be as per the College's budgeted figure, whilst the other assumed a further two per cent would be included in the award. This would add £260k to the 2022/23 salary cost figure.

2.3 In both cases, management had costs savings via decreases in budgeted spend of between 5% and 10% in all relevant departments. The forecasts were:

2.3.1 Scenario 1 - deficit of £381k

2.3.2 Scenario 2 - deficit of £641k.

2.4 It should be noted that the current forecast shows £503k as the deficit, which incorporates the same estimated salary award as Scenario 1 above. This is a variance of £122k in comparison to March 2023, which is still £37k better than Budget. The main factors which contributed to this variance are:

2.4.1 accrued holiday pay costs in relation to the closing salaries paid to the erstwhile Principal and Clerk to the Board;

2.4.2 higher utility bills than anticipated;

2.4.3 additional costs incurred re the review of the investigation by the external audit providers; and

2.4.4 costs relating to external assessment for apprentices at a higher level than anticipated due to a backlog following on from COVID.

2.5 However, savings sought and incorporated into Scenario 1 in terms of both salary and non-salary costs have been achieved. Recruitment is subject to full scrutiny by the Senior Leadership Team and the curriculum areas have been particularly rigorous in terms of deployment and staff utilisation.

### **3 DETAILED COMMENTARY**

- 3.1 The initial review of the financial situation at the time of writing showed a small decrease to the expected deficit. There are some ups and downs in respect of income, with an unforeseen increase in European Social Funds (ESF) income related to previous years being offset against shortfalls in fees and alternative income, although the latter has rallied over the past quarter with increases to contracts being negotiated by the College.
- 3.2 It was noted at the last quarter end that salaries were under tight review, and this has resulted in a significant decrease in the forecast for the year. This, however, does depend on whether the current pay claim is met at a level above the amount set in the budget. It has to be noted that salary costs have been constrained over the quarter.
- 3.3 Board members are asked to note that whilst Depreciation is built into the Forecast, this does not represent a cash spend.

#### **3.4 Income**

- 3.4.1 As noted, the College is confident of closing the credit activity gap as reported at the last quarter. This gives an assurance that core income is not at risk. With there being no ESF target to meet (ESF activity had to be delivered or there would be a clawback in funding), the College does have a tolerance factor of 2.0% that it can utilise.
- 3.4.2 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 was incorporated into the Quarter 2 figures. Although the college sector no longer receives ESF activity and income, audits on prior year activity deliveries continues.
- 3.4.3 The College has made provision for potential clawbacks and was required to repay £34k in respect of 2016/17 activity. This, though, was less than the £100k originally provided for as a consequence of additional work on reconciliation and audit work undertaken by College staff. The difference was released last quarter. These two situations increase the College SFC income by £147k for the year.
- 3.4.4 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 capital investment plans. There is an allocation of what are termed “revenue” estates funds, and these will be utilised to offset normal annual estates and digital investment projects. Capital allocations are shown as a contra in Non-Salary Expenditure and will be filtered through the relevant expenditure lines throughout the year or will be capitalised.
- 3.4.5 SFC has made an annual allocation in relation to the job evaluation exercise for support staff; this will be backdated to 1 September 2018 and each year’s allocation has been retained by SFC until the exercise is completed. The allocation is shown as a contra in Wages & Salaries.
- 3.4.6 SFC has made two additional ring-fenced allocations in the year to date. 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)
  - d. Young Person’s Guarantee £85k (to provide additional support for students)
  - e. The sector was hoping that a further allocation re counselling would be made to cover the period April – July 2023. This has not been confirmed as yet
- 3.4.7 Flexible Workforce Development Funds (FWDF) activity was proving difficult to deliver; clients are signing up for training but not following this through due to issues

with releasing staff. However, this situation has been the subject of additional staff input and the results are positive, allowing the estimate of income to be incorporated with more surety.

3.4.8 Income from HN courses will decrease from that anticipated, which was based on student numbers on those courses in June 2022. This is a situation reflected across the college sector. This accounts for a deficit of circa £60k.

3.4.9 Income from Alternative Income has recovered somewhat from the adverse variance reported in Quarter two:

- On the downside, activity re the Shared Prosperity Fund has still 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.
- To counter this, prior uncertainty with regard to the extension of the Rural Academy project has been resolved satisfactorily and the College has been successful in negotiating an increased Modern Apprenticeship contract.

3.4.10 Other income is expected to be on budget.

### **3.5 Payroll**

3.5.1 Based on the payroll for the first nine months of the year, salaries look to be on budget. There have been some ups and downs affecting the pay bill, such as the Acting Principal being in post for longer than anticipated, August 2022-March 2023, which equates to around £40k. However, to counter this, the level of recurrent staff costs, including temporary lecturing costs, have been held in check, resulting in a decrease in the forecasted spend for the year.

3.5.2 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.

3.5.3 The salary award due at 1 September 2022 has been incorporated into the forecast at the budgeted level of 3.0%. It should be noted that any salary award over and above that included in the budget will impact by £125k per 1.0%.

3.5.4 The job evaluation exercise for all support staff has not been completed and no further accrual of costs to be borne by the College in this regard have been incorporated into the 2022/23 forecast.

### **3.6 Non-Salary Expenditure**

3.6.1 Property costs are very much dependent on market forces as regards utility costs, but it is anticipated that the budget has made adequate provision. A provision has been made to incorporate savings via procurement. Following an initial review of costs in February 2023, the College was seeking to save £100k in this area. This may have to be moderated to £50k.

3.6.2 Net depreciation should be as budget based on predicted asset purchases.

3.6.3 Unfortunately, the costs attached to the investigation work have been higher than expected, partly as a result of additional work requested by the College's external audit provider, and thus out of the College's hands. This will push the spend in Central Services over budget. It should also be noted that the fee for the external audit, a costs not within the control of the College, will increase by approximately £50k over the two years of review which will be invoiced in 2022/23

3.6.4 Marketing has been concentrated on less expensive social media outlets and costs have been kept below budget.

3.6.5 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 sought 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, and thus do not impact the P& L. Work still needs to be done on the latter. This category of expense also incorporates assessment work previously carried out by the CITB and is at a level higher than anticipated.

- 3.6.6 Cross College costs incorporated a modest subsidy of the refectory now that all students have returned to campus. Income is now anticipated to be at such a level as to producing a modest return.

## **4 CASHFLOW**

- 4.1 The College makes a cashflow return to the Funding Council each month. This incorporates its required drawdown, based on the grant in aid allocation, and it also incorporates a cashflow forecast for the year.
- 4.2 Annex B covered the College's April drawdown and forecast and contains assumptions on the phasing of major capital expenditure spends. It highlights that the College will have adequate working capital at the end of the financial year, although the amount will depend on the utilisation of the sums ringfenced for those capital works.
- 4.3 The College continues to monitor its cashflow on a daily basis, but it should be noted that there is little opportunity for income generated from the balance held.

## **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 RISK AND ASSURANCE**

- 6.1 That the College cannot maintain financial sustainability which would impact on staff as well as providing a learning experience for the community of South Lanarkshire.
- 6.2 There are insufficient funds for capital maintenance and maintenance requirement which could result in the building not being adequately maintained leading to health and safety issues as well as a poor learning environment.

## **7 RECOMMENDATIONS**

- 7.1 Members are recommended to:
- 7.1.1 review the updated forecast and note that, whilst a deficit is still expected, there has been an increase in anticipated income and a reduction in previous forecasts of salary costs;
- 7.1.2 note that the salary award for 1 September 2022 has not been agreed and that every 1.0% increase over the rate already incorporated would result in additional costs of £125k; and
- 7.1.3 the impact of a settlement and potential cost to the College of the Job Evaluation scheme has not been factored into the forecast.

**ANNEX A: MANAGEMENT FORECAST TO 31 JULY 2023**

		<b>Finance &amp; Resources Committee</b>		
		<b>May 2023</b>		
		<b>Agenda Item 6.1B</b>		
<b>Management Forecast</b>		<b>12 Months to July 2023</b>		
<b>Year to 31st July 2023</b>	Note	<b>2022/23</b>		
		<u>Forecast</u>	<u>Budget</u>	<u>Variance</u>
		<u>£'000</u>	<u>£'000</u>	<u>£'000</u>
<b><u>INCOME</u></b>				
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	189	81	108
<b>Total SFC income</b>		<b>14,781</b>	<b>14,477</b>	<b>304</b>
FWDF	6	243	200	43
Fees	7	1,913	2,040	(127)
Alternative Funding	8	921	1,045	(124)
Other income	9	54	54	0
<b>Total Income</b>		<b>17,912</b>	<b>17,816</b>	<b>96</b>
<b><u>EXPENDITURE</u></b>				
<b><u>Wages &amp; Salaries</u></b>				
Recurrent		13,833	13,867	34
SFC - salaries contribution		239	239	0
Pension Provision		30	30	0
	10	14,102	14,136	34
<b><u>Non Salary Expenditure</u></b>				
Property	11	1,019	1,069	50
SFC - Capital	Contra	433	433	0
SFC - Other	Contra	81	81	0
Net Depreciation	12	620	620	0
Central Services	13	1,100	903	(197)
Marketing	14	130	150	20
Academic supplies	15	875	878	3
Cross College Costs	16	55	86	31
		4,313	4,220	(93)
<b>Total Expenditure</b>		<b>18,415</b>	<b>18,356</b>	<b>96</b>
<b>Surplus / (Deficit)</b>		<b>(503)</b>	<b>(540)</b>	<b>37</b>

## ANNEX B: MONTHLY CASHFLOW FORECAST

South Lanarkshire College

Apr 23 to be updated by the college for actual expenditure. May 23-July 23 to be completed with forecast (best estimate of outturn) figures. All figures to the nearest £ (whole numbers only)

	Actual							Current		Forecast			Totals	
	Aug-22 Actual	Sep-22 Actual	Oct-22 Actual	Nov-22 Actual	Dec-22 Actual	Jan-23 Actual	Feb-23 Actual	Mar-23 Actual	Apr-23 Current	May-23 Forecast	Jun-23 Forecast	Jul-23 Forecast	Total FY 2022- 23	Total AY 2022- 23
<b>RDEL</b>														
Income from foundation (revenue) Other Income excluding EMA (revenue) RSB funding	167,936	149,045	211,402	120,000	325,000	300,000	170,000	650,000 246,199	300,000 0	300,000 0	100,000 0	50,000 0	3,096,438 246,199	2,843,383 246,199
<b>Total RDEL income (excluding drawdown)</b>	<b>167,936</b>	<b>149,045</b>	<b>211,402</b>	<b>120,000</b>	<b>325,000</b>	<b>300,000</b>	<b>170,000</b>	<b>896,199</b>	<b>300,000</b>	<b>300,000</b>	<b>100,000</b>	<b>50,000</b>	<b>3,342,637</b>	<b>3,089,582</b>
Wages and Salaries	987,606	1,198,643	1,112,926	1,144,266	1,123,555	1,133,617	1,143,090	1,097,549	1,150,000	1,150,000	1,120,000	1,500,000	13,447,061	13,861,252
restructuring costs													0	0
Other Operating Expenditure excl' EMA NPD Unitary charges (paid by colleges)	205,812	206,575	469,076	320,000	320,000	350,000	475,000	400,000	400,000	300,000	300,000	300,000	3,850,191	4,046,463
Donation to Foundation													500,000	0
High priority backlog- resource							66,750						66,750	66,750
Lifecycle maintenance resource			18,000	20,625	21,000	21,000	21,000						150,625	101,625
Student Support expenditure (excluding EMA)		116,270	482,000	560,000	450,000	400,000	540,000	450,000	575,000	525,000	380,000	200,000	4,581,705	4,678,270
<b>Total RDEL expenditure</b>	<b>1,193,418</b>	<b>1,521,488</b>	<b>2,082,002</b>	<b>2,044,891</b>	<b>1,914,555</b>	<b>1,904,617</b>	<b>2,245,840</b>	<b>1,947,549</b>	<b>2,125,000</b>	<b>1,975,000</b>	<b>1,800,000</b>	<b>2,000,000</b>	<b>22,596,332</b>	<b>22,754,360</b>
<b>Net RDEL expenditure (a)</b>	<b>-1,025,482</b>	<b>-1,372,443</b>	<b>-1,870,600</b>	<b>-1,924,891</b>	<b>-1,589,555</b>	<b>-1,604,617</b>	<b>-2,075,840</b>	<b>-1,051,350</b>	<b>1,825,000</b>	<b>1,675,000</b>	<b>1,700,000</b>	<b>-1,950,000</b>	<b>-19,253,695</b>	<b>-19,664,778</b>
<b>CDEL</b>														
Income from foundation (capital) Proceeds of sale of fixed assets Other income (capital)													0	0
<b>Total CDEL income</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>							
Backlog maintenance capital													0	0
Lifecycle maintenance capital			18,000	15,000				20,000		129,765			235,621	182,765
Digital poverty										41,410			0	41,410
Other capital expenditure (land, buildings, fixtures, IT)										200,000	250,000	250,000	0	700,000
Work in Progress (Assets Under Construction) Surrender of proceeds												150,000	0	150,000
<b>Total CDEL expenditure</b>	<b>0</b>	<b>0</b>	<b>18,000</b>	<b>15,000</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>20,000</b>	<b>0</b>	<b>371,175</b>	<b>250,000</b>	<b>400,000</b>	<b>235,621</b>	<b>1,074,175</b>
<b>Net CDEL expenditure (b)</b>	<b>0</b>	<b>0</b>	<b>-18,000</b>	<b>-15,000</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>-20,000</b>	<b>0</b>	<b>-371,175</b>	<b>-250,000</b>	<b>-400,000</b>	<b>-235,621</b>	<b>-1,074,175</b>
<b>ODEL</b>														
<b>Capital Loan/Lennartz Repayments (c)</b>													0	0
<b>EMA</b>														
EMA income	6,600		4,380	2,400	8,500	5,000	5,000	8,500	8,000	8,300	8,000	6,000	62,660	70,680
EMA expenditure		4,380	4,500	8,460	6,000	5,000	8,500	8,000	8,300	8,000	6,000	3,000	67,460	70,140
<b>Net EMA (d)</b>	<b>6,600</b>	<b>-4,380</b>	<b>-120</b>	<b>-6,060</b>	<b>2,500</b>	<b>0</b>	<b>-3,500</b>	<b>500</b>	<b>-300</b>	<b>300</b>	<b>2,000</b>	<b>3,000</b>	<b>-4,800</b>	<b>540</b>
<b>Total Net Outflows/(Inflows) (a)+(b)+(c)+(d)</b>	<b>-1,018,882</b>	<b>-1,376,823</b>	<b>-1,888,720</b>	<b>-1,945,951</b>	<b>-1,587,055</b>	<b>-1,604,617</b>	<b>-2,079,340</b>	<b>-1,070,850</b>	<b>1,825,300</b>	<b>2,045,875</b>	<b>1,948,000</b>	<b>-2,347,000</b>	<b>-19,494,116</b>	<b>-20,738,413</b>
<b>Opening Bank Balance</b>	<b>3,624,870</b>	<b>3,505,988</b>	<b>2,486,834</b>	<b>1,885,114</b>	<b>1,765,573</b>	<b>1,791,450</b>	<b>1,823,833</b>	<b>1,698,411</b>	<b>3,250,188</b>	<b>3,129,888</b>	<b>2,788,449</b>	<b>2,412,214</b>		
<b>Net Cash Available</b>	<b>2,605,988</b>	<b>2,129,165</b>	<b>598,114</b>	<b>-60,837</b>	<b>178,518</b>	<b>186,833</b>	<b>-255,507</b>	<b>627,561</b>	<b>1,424,888</b>	<b>1,084,013</b>	<b>840,449</b>	<b>65,214</b>		
<b>SFC Cash Drawdown Total</b>	<b>900,000</b>	<b>357,669</b>	<b>1,287,000</b>	<b>1,826,411</b>	<b>1,612,932</b>	<b>1,637,000</b>	<b>1,953,918</b>	<b>2,622,627</b>	<b>1,705,000</b>	<b>1,704,436</b>	<b>1,571,765</b>	<b>1,468,464</b>	<b>19,310,338</b>	<b>18,647,222</b>
<b>Closing Bank Balance</b>	<b>3,505,988</b>	<b>2,486,834</b>	<b>1,885,114</b>	<b>1,765,573</b>	<b>1,791,450</b>	<b>1,823,833</b>	<b>1,698,411</b>	<b>3,250,188</b>	<b>3,129,888</b>	<b>2,788,449</b>	<b>2,412,214</b>	<b>1,533,678</b>		

### BOARD OF MANAGEMENT

<b>DATE</b>	1 June 2023
<b>TITLE OF REPORT</b>	Risk Management – Risk Register
<b>REFERENCE</b>	18
<b>AUTHOR AND CONTACT DETAILS</b>	Keith McAllister Keith.McAllister@slc.ac.uk
<b>PURPOSE:</b>	To provide members with an update to the risk management arrangements of the College.
<b>KEY RECOMMENDATIONS/ DECISIONS:</b>	Members are asked to note the updated Strategic Risk Register, including the moments in scoring, and the commentary. Members should also note that these papers were approved by the Audit and Risk Committee and that the Register and Commentary were presented to the RSB ARC.
<b>RISK</b>	<ul style="list-style-type: none"> <li>• That College strategic risks are not identified, and mitigating actions are not taken.</li> <li>• That the Region is not identifying strategic risks and mitigating actions are not taken.</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 main challenge for the College continues to be the central cash settlement which, as recently announced for 2023/24, is a level lower than 2022/23. Most recent guidance from the Scottish Funding Council is that this crucial funding stream will not increase over the short term, with ring-fenced allocations being similarly constricted.</li> <li>• It should be noted that the College’s financial statements for the year ended 31 July 2022 have now been signed and approved by the Board and the external auditors, with the confirmation that the College was compliant with the Code of Good Governance at that date.</li> <li>• The commentary to the College’s Strategic Risk Register is attached as document 18A below.</li> <li>• The College’s Strategic Risk Register is attached as document 18B.</li> </ul>

## **18.A SLC Strategic Risk Register Commentary**

### **1. INTRODUCTION**

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

### **2 RISK ONE - FINANCIAL SUSTAINABILITY**

2.1 The latest financial forecast shows a projected deficit for 2022/23 but at a lower level than was initially anticipated due to, in the main, robust controls over staffing costs. That said, the salary award as at 1<sup>st</sup> September 2022 has still not been settled and is expected to be at a level higher than budget. This will affect the current financial forecast accordingly.

2.2 As noted previously, the Board of Management was content to approve a small deficit 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's financial forecast return (FFR).

2.3 Whilst the College can flex its temporary lecturing staff complement and non-salary expenditure to an extent, there are significant items within the wider cost base not as easy to control. With inflation showing little signs of abating from its double figure level yet and with salary award increases from 1 Sept 2022 likely to be above budget levels, the implications for the current year, and future years, are very challenging.

2.4 At the time of writing Management is confident that the credit target for 2022/23 can be met, so there is minimal risk regarding clawback.

2.5 The Region's indicative Grant in Aid allocation for 2023/24 shows a decrease in activity and in funding. The Scottish Funding Council have cut activity across the board in the sector by 10.00% but have increased the funding per credit. This is intended to give colleges the same amount of cash but, theoretically, give the sector the opportunity to reduce its costs by delivering less. Additionally, the Region has had a 0.75% decrease in credit target (and associated funding) imposed on it.

2.6 There is no provision for inflation in the indicative allocation, currently running over 10%.

2.7 It is noted that there has been no settlement on salaries from 1<sup>st</sup> September 2022 and the next settlement date is looming. Taking the possibility of awards made above the initial budget with the possibility of flat cash settlements extending beyond 2023/24, the financial prospects are concerning.

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

3.1 The College is conscious of the added scrutiny on the organisation regarding 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.

3.2 The Annual Audit Report (AAR) of the external auditors for 2021/22 has been agreed and passed by the Board of Management. All opinions expressed were unqualified and the Report noted that there were no misstatements that had be recorded or made.

3.3 The internal audit service will be undertaking a review of corporate governance in the summer of 2023.

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

4.1 The College is confident of meeting its core credit target for 2022/23 and anticipates that there is no exposure to a clawback from the Scottish Funding Council (SFC) in this regard. This is also pending a clean audit. Going forward, the sector has a reduction in credit target of 10.0% and may be subject to a further decrease in target once it has been agreed within the Region as regards the additional 0.75% of activity that has been lost.

4.2 Colleges have been informed that a tolerance has been allowed for in terms of core credit activity. That said, the College aims to reach its reduced activity target in the 2023/24 session without reference to the provision for clawback will be built into the financial forecast.

4.3 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, there is no capital allocation via the Backlog Maintenance Fund.

5.2 There is no increase in the ring-fenced, formulaic capital funds for 2023/24 and it is anticipated that there will be no increase in following years.

5.3 As mitigation, and as already reported, the College has earmarked funds via its Strategic Investment Fund. It has also commissioned a QS report on the fabric of the building. This will allow funds to be directed to the more appropriate areas.

#### **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. Part 2 took place in February 2023 and the College was successful in achieving the Cyber Essentials Plus status.

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

7.1 The College had a very successful Education Scotland 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 as it will be easier to deliver a more effective HR service, particularly with a new HR Strategy having been formulated, approved and in the process of being implemented.

8.2 The purchase of a new HR system will support the delivery of the strategy.

## **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 challenges regarding inflation 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 was awarded in April 2023 and the process to implement the enhanced service is well under way.

9.2 As regards student welfare, the Board has noted the impact of the loss of funding for counsellors. Whilst additional funding was received in 2022/23, the future of this ring-fenced funding is not secure. If it is agreed that this enhanced level of support is required, the College may have to investigate how it will be funded

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

10.1 A review of the enhancements in corporate governance has allowed the overall risk rating in this area to be downgraded over the last two periods of review. 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 level recommendations. A review of Governance will be undertaken by the internal audit service providers in the summer of 2023.

10.2 With a newly appointed Principal in place, and a recruitment process underway for the new Governance Professional position, the College is confident that the enhanced level of Governance will be maintained and further improved.

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

11.1 An additional risk was incorporated during the previous review to address the impact of any adverse reputational risk. The College acknowledged that there were potential reputational issues that may adversely affect the standing of the College and / or its financial sustainability and actively engaged in mitigation. With the appointment of a new Principal, who has the advantage of continuity, together with the establishment of a new permanent Governance Professional post, the College is confident that risk will soon be mitigated entirely.

## **12 EQUALITIES**

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

## **13 RISK AND ASSURANCE**

13.1 That College strategic risks are not identified, and mitigating actions are not taken.

13.2 That the Region is not identifying strategic risks and mitigating actions are not taken.

## **14 RECOMMENDATIONS**

14.1 Members are recommended to:

- review and approve the strategic risk analysis contained in the College's Strategic Risk Register and the commentary thereto;
- to note the risks identified in the Regional Risk Register; and
- note that the SLC Head of Finance attends the meetings of the Regional Risk Group and presents the SLC Strategic Risk Register.

## APPENDICES

### Document 18B: The College's Strategic Risk Register - Summary

Strategic Risk Register		Dated reviewed by Senior Leadership Team		27/04/2023		Audit and Risk Committee						
Summary Schedule		Dated reviewed by Risk Management Group		02/05/2023		Item 05.2						
		Next date of review		TBC		15 May 2023						
Risk No.	Description	Link to College Strategic Objectives	Impact Rating (1-4)	Probability Rating (1-4)	Risk Score	Previous submission risk score	Movement since last submission	Post-mitigation impact	Post-mitigation probability	Post-mitigation score	Previous submission mitigation score	Movement since last submission
1	That the College cannot maintain financial stability	3	4	3	12	12	⇒ 0	4	3	12	12	⇒ 0
2	That there is a failure of financial controls	3	4	2	8	12	↑ -4	3	2	6	9	↑ -3
3	That there is failure to meet Credit target and /or failure to retain major public and private contracts.	1,3	4	3	12	12	⇒ 0	3	3	9	9	⇒ 0
4	That there is a breach of legislation and associated regulations (incl. GDPR)	2,3	2	3	6	6	⇒ 0	2	2	4	4	⇒ 0
5	That there are insufficient funds for capital project and maintenance requirements	1,3	4	2	8	8	⇒ 0	3	2	6	6	⇒ 0
6	That there is a failure to meet statutory and legislative health and safety as well as safeguarding requirements.	2	3	3	9	9	⇒ 0	3	2	6	6	⇒ 0
7	That there is business interruption due to major disaster, IT failure etc	3	4	2	8	8	⇒ 0	3	2	6	6	⇒ 0
8	That there is a theft of, or damage to, Management Information System (incl. cyber-crime)	2,3	3	2	6	6	⇒ 0	3	2	6	6	⇒ 0
9	That there is a failure to achieve high standards of learning and teaching.	1,2	4	2	8	8	⇒ 0	2	2	4	4	⇒ 0
10	That there is a failure to provide an engaging and effective employee journey.	1,2	4	2	8	8	⇒ 0	3	2	6	6	⇒ 0
11	That there is a failure to safeguard the health and wellbeing of staff and students.	1,2,3	3	3	9	9	⇒ 0	3	2	6	6	⇒ 0
12	That the College cannot provide a robust learner experience supporting them onto their final destinations.	1,2	4	2	8	8	⇒ 0	3	2	6	6	⇒ 0
13	That there is a failure of Corporate Governance arrangements	2,3	4	3	12	12	⇒ 0	3	2	6	6	⇒ 0
14	That there is a reputational risk to the College.	3	2	3	6	New risk		2	3	6	New risk	
College Strategic Objectives:								Risk Key	Low	1-4		
1	Successful students								Medium	5-11		
2	Highest quality education and support								High	12-16		
3	Sustainable behaviours											

Document 18B: SLC Strategic Risk Register in detail– pdf attached

Strategic Risk Register

Dated reviewed by Senior Leadership Team / RMG 27 April 2023  
 Dated reviewed by Regional Risk Management Group 02 May 2023  
 Next date of review TBC

No.	Date Raised	Link to Quality Indicators / Strategic Aim	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	12	→ 0	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.  Apr 2023 Value for Money Group focus on staffing efficiencies and more robust Curriculum Planning model for 2023/24. Flat cash Grant in Aid settlement confirmed, but with additional cut in activity & funding for the Region.	4	3	12	12	→ 0	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; Additional 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.  April 2023 Interim budget to be drawn up for approval of the Board on 1st June 2023. Detailed budget to be prepared for additional meeting of the Finance and Resources Committee before completion of the SFC return (FFR).	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  April 2023 Indicative grant in aid allocation received; expectation of flat cash settlement confirmed. Budgeting exercise already commenced on this assumption.
2	26/04/2021	3.1, 3.2 3.5, 3.6	That there is a failure of financial controls	4	2	8	12	↑ -4	Insufficient 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	2	6	9	↑ -3	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 Azets 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 in year monitoring  January 2023 All management information is being checked to review credit activity. Curriculum teams are working to take appropriate mitigating actions.  April 2023 Review of governance to be undertaken by internal auditors in summer of 2023	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	12	→ 0	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.  April 2023 Additional activity running and planned to meet credit target.	3	3	9	9	→ 0	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.  April 2023 Progress being made, but dependent on planned activity.	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.  April 2023 New retention policy has been agreed and published. Cyber Essentials plus was successfully completed in Feb	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.  Apr 2023 Retention Documentation has been issued, further actions will be completed including communication of this guide for all managers to control the documentation Cyber risk framework is being updated in June this year to ratify the score in this sheet. (Cyber risk can be escalated if important issues arise in that review)	Data protection team have worked through a number of ROPA with each area and are currently pulling together Info Asset Register. Records Retention Policy now complete and published, actions will follow this publication via communication of this policy to improve document governance.
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.  April 2023 College has funding for capex projects to support with the estate and its maintenance and upkeep. Funding has been earmarked for the external building inspection.	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.  April 2023 Funds have been committed to support the key changes to the building.	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 recorded.  April 2023 Progress made against internal audit plan and Health and Safety Committee meets regularly to keep on top of action and key issues. Policy and procedures updated.	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 outwith 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.  April 2023 Significant progress made with policy and procedures.	

No.	Date Raised	Link to Quality Indicators / Strategic Aim	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
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 benefits 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.  April 2023 Board briefing for cyber security due on the 2nd of May, satisfying cyber audit points.	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.  Further training for incident response for board members needs to be considered and scheduled (Scenario training)  A review of BCDR documentation is to be completed in the next few months to update mitigation controls.	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.
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	6	0	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. Annual certification with Cyber Essentials Plus Incident response training	3	2	6	6	0	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.  April 2023 Cyber Essentials complete, Cyber training planned for the Board on the 2nd of May. Planned asset tracking update due in July 2023 to ratify the buildings equipment checks.	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 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 COD 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 HMI 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 HMI. Audit cycle in train. Robust learner voice processes which are acted on promptly.  April 2023 The College now has We Invest in Well Being Platinum	2	2	4	4	0	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 MAs, 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.  April 2023 Education Scotland annual engagement visit report received which did not contain any main points of action.	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.  April 2023 The College now has We Invest in Well Being Platinum	3	2	6	6	0	The College is working on the implementation of a new HR system that will enhance experience, automate manual tasks.  April 2023 New HR system is in the process of implementation.	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 / Aim 1	That there is a failure to safeguard the health and wellbeing of staff and students.	3	3	9	9	0	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 Safeguarding Group is a cross-college group which has both student and staff membership - this groups meets quarterly. 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  April 2023 The new Safeguarding Policy and Procedure for staff and students has been updated and will go to the main board in June 2023.	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 guardian role and training remit produced with plans to create a network of safe guardians 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 support.  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 SLC. • 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.  October 2022 Course team self-evaluations and student surveys in place Reinforced links between the student association, class reps and quality team so directly links back to the learner More opportunities for students to undertake study skills in this academic year and it has now been introduced into twilight sessions.	3	2	6	6	0	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.	

No.	Date Raised	Link to Quality Indicators / Strategic Aim	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 SLG and NCL e.g. given journey towards dissolution and risk of distraction or tension and ensuring 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.  April 2023 The AAR report stated that the College was now fully compliant with the Code of Good Governance for Scotland's Colleges as at July 2022.	3	2	6	6	0	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.  January 2023 To date corporate governance is robust, with no breach of the Code for the 2022-23 year.  April 2023 AAR from external audit providers confirmed that College was compliant with the Code at July 2022 and at the date of signing of the accounts (April 2023). Audit of governance to be undertaken by Henderson Loggie in summer 2023.	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	6		• That potential students, staff or Board members are deterred from enrolling / joining the College. • That the College suffers financial loss from a	• 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	6	• 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 5-8  
 Medium 9-11  
 High 12-16

Risk Key  
 5-8  
 9-11  
 12-16

**BOARD OF MANAGEMENT  
SCHEDULE OF MEETINGS – AY 2023 -2024**

<b>Board of Management</b>	Tuesday 22 August 2023 Tuesday 26 September 2023 Tuesday 5 December 2023 Thursday 7 <sup>th</sup> March 2024 Tuesday 30 <sup>th</sup> April 2024 Thursday 6 <sup>th</sup> June 2024	<b>(1330 hrs Board Training Day)</b>    <b>(Board Planning Day)</b>
<b>Audit &amp; Risk Committee</b>	Monday 28 August 2023 Monday 27 November 2023 Tuesday 20 <sup>th</sup> February 2024 Tuesday 21 <sup>st</sup> May 2024	<b>(*Joint with FRC)</b>
<b>Finance &amp; Resources Committee</b>	Monday 21 August 2023 Monday 14 <sup>th</sup> November 2023 Tuesday 20 <sup>th</sup> February 2024 Tuesday 14 <sup>th</sup> May 2024	<b>(*Joint with ARC Provisionally 1630 start)</b>
<b>Curriculum, Quality &amp; Development</b>	Tuesday 29 <sup>th</sup> August 2023 Wednesday 1 <sup>st</sup> November 2023 Tuesday 13 <sup>th</sup> February 2024 Tuesday 7 <sup>th</sup> May 2024	
<b>Human Resources Committee</b>	Thursday 14 September 2023 Thursday 16 <sup>th</sup> November 2023 Thursday 15 <sup>th</sup> February 2024 Thursday 14 <sup>th</sup> March 2024	
<b>Remuneration Committee</b>	Dates to be confirmed as required.	

***All meetings will commence at 1730 hours unless alternative time stated.***

***ARC meeting times are still to be confirmed.***

\* Note that the Joint Meeting would normally take place in November and that this would still be a target provided the work of the External Auditors is sufficiently advanced

***Construction Awards – tbc  
Graduation Ceremony – tbc***