![South Lanarkshire College East Kilbride logo]

BOARD OF MANAGEMENT

AGENDA

Agenda Item	Item	Paper
1	**Apologies for Absence**	N
2	**Declaration of any potential Conflicts of Interest in relation to any Agenda items**	N
3	**Minutes of Previous Meetings** Minutes of EGM 23 August 2022 Minutes of Board of Management 7 June 2022.	Y PS Y PS
4	**Matters Arising from the Previous Meeting**	N
	Reserved Item	
5	Financial Forecast Return	Y AS
	Matters for Decision	
6	Public Interest Disclosure Policy	Y GMI
7	Attendance Management & Support Policy	Y GMI
8	Health and Safety Policy	Y SM
9	Learning Teaching and Assessment Strategy	Y SM
10	Governance Review	Y PS
11	Recruitment of New Board Members	Y PS
12	Update and Delegation of HR Software Tender	Y GMI
	Matters for Discussion	
13	Chair's Update	N PH
14	Principal's Report	Y AS
15	Purpose and Role of Post Compulsory Education Research and Skills	Y AS
	Matters for Information	
16	Reports by Chairs of Committees: *Curriculum, Quality and Development* *HR* *Audit and Risk* *Finance and Resources*	Y HS Y FW Y CMcL Y CG
17	Colleges Scotland • The Art of the Possible • Scottish Government Portfolio Asks • Programme for Government	AS Y Y Y

18	Audit Scotland Colleges Report Scotland's colleges 2022 | Audit Scotland (audit-scotland.gov.uk) Report by Acting Principal	Link KMI P AS
19	Scottish Government Programme for Government https://www.gov.scot/publications/stronger-more-resilient-scotland-programme-government-2022-23/pages/1/	Y AS Link
20	Students' Association Report	Y RC
21	Strategic Risk Register	Y KMI
22	Correspondence from the Scottish Funding Council Regarding Confirmation and Reconciliation of European Social Fund Activity/ Spend 2020-21	Y SM
23	Summation of Actions and Date of Next Meeting	PS
24	**Any Other Business**	

South Lanarkshire College
East Kilbride

Extraordinary Meeting of the Board of Management

Tuesday 23rd August 2022 @ 1630 hours

Unconfirmed Minutes	
Present	**Apologies**
P Hutchison	H Stenhouse
A Sherry	S McEwan
R Smith	C McDowall
C McLaughlin	
T Donnelly	**In attendance**
C Gibb	S McManus
H Anderson	K McAllister
F Whittaker (via Teams) D Hogan (via Teams)	P Scott
D Morrison	
A Doherty	
T Robertson	

AGENDA	
Agenda Item	
1.	Declaration of Members' Interest None declared
2.	Previous Minutes These would be dealt with at the October board
3.	**Matter for Information** The Board noted the contents of the Management Responses which had been issued for information. It was felt that this had achieved its prime objective which had been to learn lessons from the Azets Report The Acting Clerk spoke to the Governance Improvement Plan and suggested to the Board that they might wish to close the Report down as all actions had been substantially completed and only a few points would require to be carried into the academic year 2022/23. He recommended however that a new Plan be produced in line with Best Practice so that Governance Review be seen as an ongoing process. After discussion, the Board agreed with this in principle and requested that a firm proposal be brought to the October Board for a Rolling Programme of Governance Review. He was also instructed to ensure that such a proposal regarding a

	Rolling Programme would be supported by the Regional Board.
	Matter for Decision
4	Committee Terms of Reference The Acting Clerk spoke to the suite of Committee Terms of Reference which were presented for decision. He paid tribute to his immediate predecessor who had laid strong foundations upon which he had been able to build. The Board noted that this was now a comprehensive suite and one which reflected the proposal that all Committees should have Strategic Risk and Equalities as standing items. The full suite was duly approved.
5.	**Verbal update on Investigation** The Chairing Member updated the Board on progress. Costs were being monitored by the Chair of the Finance Committee to ensure Best Value. The delays were unfortunate but were totally out with the control of the College. An end, however, appeared to be in sight.
6.	**AOCB** The Five-Year Forecast had been distributed for information but had not been on the agenda for discussion. The Chairing Member suggested however that the Chair of the Finance Committee report on this matter. The Board noted that the changed economic circumstances were impacting adversely on the sector as a whole and meant, in real terms, there would be reductions in income from central funding. It was not felt that the SFC presumptions were reliable in that, for example, they assumed a cost of living increase well below the increase of 18% predicted by most commentators. In the first year there would be at first sight a deficit of £364,000 but there were mitigations which could be made to reduce this significantly. However, over the 5 years and using the SFC assumptions a total loss of £10M was projected – which was clearly not sustainable. Applying what were believed to be more realistic assumptions the 5-year deficit was projected as being much higher at around £14M. This was clearly unworkable, and the Scottish Government needed to accept this. The College would work with NCL to make a joint approach in line with the concerns being expressed throughout the sector.

	In the meantime, the Board approved the proposal from the Finance Committee to sign off the budget for the first of the 5 years subject to all steps being taken to mitigate the projected loss and would revisit the position regarding the remaining 4 years at the October Board.
	The Acting Principal took the opportunity of advising that the recent appointment of a Management Accountant allowed for an additional signatory for routine payments. This had been approved in principle by the Finance Committee subject to the formal processes being completed. The Board was happy, likewise, to approve this in principle.
	The Chair reported concerns from Board Members regarding late issue of Committee Papers and requested that where there was legitimate delay with some part of the paperwork, a partial set of papers should be issued with other papers to follow. The Acting Principal and the Acting Clerk agreed to act upon this.

BOARD OF MANAGEMENT

UNCONFIRMED MINUTES

Meeting of the Board of Management on 7 June 2022 at 17.30 hours via Microsoft Teams and in person in the Boardroom, South Lanarkshire College

Present	In Attendance
P Hutchinson (Acting Chair)	K McAllister
H Anderson	G McIntosh
A Doherty	S McManus
T Donnelly	P Scott (Acting Clerk)
C Gibb (Chair of FRC)	
C McLaughlin (Chair of ARC)	Joe Mulholland (Education Scotland)
D Morrison	Barbara Nelson (Education Scotland)
Tarryn Robertson	
A Sherry (Acting Principal)	
R Smith	
F Whittaker	

Agenda Item	
17-22	**Apologies for Absence** Chris McDowall Heather Stenhouse Gemma McClarence
18-22	**Declaration of any potential Conflicts of Interest in relation to any Agenda items** The Acting Principal declared a potential conflict of interest in Item 33-22 as the paper as presented identified an organisation of which he was **Chair.**
19-22	**Minutes of Previous Meetings** BOM – 10 March 2022 – The minutes were duly approved EBM – 16 May 2022 – The minutes were duly approved
20-22	**Matters Arising from the Previous Meeting** Any matters arising were covered under other matters
	Matters for Decision
21-22	Scheme of Delegation The draft as presented was approved subject to one minor change in the interests of clarity

Agenda Item	
22-22 (a)	**Draft Budget 2022/23** The Draft as presented was considered carefully and is referred to for its detailed terms It was noted that as the date of the meting the Regional Board had not confirmed the final allocations. The Board noted management advice that the demand for HE provision within the college was likely to decline as Universities increasingly were seeking to recruit direct into first year where before they had recruited students with advanced standing obtained by HNC/HND. It was also noted that the proposed Job Evaluation Scheme might make for difficult decisions and the Value for Money Group would need to address this matter as soon as appropriate.
22-22 (b)	**Funding Council final Letter of Grant** The Board also considered the implications of the SFC Final Funding Allocations and noted, broadly, that activity targets had been reduced across the sector which meant that allied to inflation was the reality of reduced income and the disappearance of ring-fenced money. The Acting Principal sounded a warning that despite every best endeavour the risk of a significant deficit could not be ignored. The challenge as ever was safeguarding the quality learning experience After due consideration the Board approved the draft budget.
23-22	**Capital Expenditure Plan** The plan was discussed in detail and is referred for its terms. The Board noted that the building itself is now 15 year old and costs will continue to be incurred in order to maintain the quality of the campus. The roof repairs had now been completed satisfactorily – albeit at a higher cost than originally anticipated. The Plan was duly approved with the caveat that the Board would like regular updates.

24-22
24-22a
24-22b
24-22c
	Policies Update
	  − Anti-Bribery Policy
	  − Free Issues and Donated Goods Policy
	  − Gifts and Hospitality Policy
	The Board noted that all three policies had been through the committee stages and were recommended for acceptance - and accordingly approved all three policies

25-22
25-22a
25-22b
25-22c
	HR Procedures
	  − Capability
	  − Disciplinary
	  − Grievance
	
	The Board noted that all three policies had been considered by the HR Committee and subject to consultation with Trade Union representatives and subject to one minor clerical change in the interests of clarity, all three were duly approved.
	
	The Board also noted that the new procedures would be supported as

Agenda Item	
	appropriate by briefing and/or training for staff. The Acting Principal informed the Board that Trade Union representatives would be offered the opportunity to attend this training.
26-22	**HR System Replacement** The Paper as presented and as referred to for its terms was considered. The Board noted that a new system would allow for more efficient and effective use of HR staff resources and commended HR for their efforts in such a comprehensive update. In response to a question from Ronnie Smith, the HR manager advised that he would be happy to work with New College Lanarkshire to share the SLC experience but the time limit did not permit exploration of the viability of developing a shared tender process. The Board also noted that it was anticipated that the outcome of the tender process was likely to result in costs beyond the delegated powers of the Principal but that contracts would need to be signed before the next available Board Meeting. In the circumstances the Board approved the HR Replacement System tender as proposed and delegated authority in that regard to the Chairs Committee.
	Matters for Discussion
27-22	**Acting Chair's Verbal Update** With regard to external matters, the Acting Chair advised that the costs of the Investigation were being monitored by the Chair of the Finance & Resources Committee. Despite adverse Press reports, the Board were assured that both the Scottish Government and the Funding Body were supportive of the various actions being taken by the College. He regretted that it had not been possible to conclude the investigation by the initial deadline but he would continue to press for an early conclusion and it was hoped that the outcomes could be implemented within the College's own processes. The Acting Chair also reported that the Senior Independent Member had indicated a wish to step down from the Board due to pressure of personal and professional circumstances but had agreed to remain in post for the time being so as to provide continuity over the coming months. He also took the opportunity of paying tribute to the Associate Principal Karen Phillips who had announced her retirement. She had proved herself to be a most capable officer whose contribution to the work of the College had been outstanding in every particular. She will be sorely missed by all who have benefitted from her skills and experience.
28-22	**Acting Principal's Report** The Acting Principal spoke to his written report.

Agenda Item	
29-22	**Industrial Relations** The Acting Principal updated the Board on progress with Industrial Relations. He was delighted to report that a national wages settlement appeared to have been agreed and that accordingly all industrial action was now at an end. He took the opportunity of thanking Rahela Calin of the Students Association who had facilitated meetings with students concerned about the potential impact on their studies .
30-22	**BOM Section 22** The Board considered the Joint Paper prepared by the Acting Principal and the Acting Clerk – and noted its terms. The Acting Principal advised the Bard that it was likely that the External Audit for the current academic year would lead to a further Section 22 Report. The Acting Clerk took the opportunity of reminding the Board in general and the new Board Member that he had prepared his own analysis of the Governance issues for the Audit & Risk Committee and, although this was not in the public domain it was available on the Board Portal. He reminded the Board that in his view the historic lapses in good governance should not properly be regarded as reportable as all governance issues had been fully addressed and, for the record as an Independent Clerk, he had no current concerns about either the governance or the management of the College.
	Matters for Information
	Reports by Chairs of Committees: *Curriculum, Quality and Development* *HR* *Audit and Risk* *Finance and Resources* Verbal reports were issued as follows: - In the absence of the Committee Chair, Stella McManus summarised the work of the CQD Committee over the course of the academic year to date and stressed the sterling efforts of staff to counter the impact of lockdown and address the very real issue of meeting credit targets. - In the absence of the Committee Chair, Gary McIntosh spoke to the Chair's report as submitted and which is referred to for its terms. He summarised the work of the HR Committee over the course of the academic year to date and drew attention to the ongoing programme overhauling and updating all of the HR Policies. - The Committee Chair summarised the work of ARC over the course of the academic year and advised that he was ready to meet with the External Auditors. He made reference to the demonstrable progress with the Governance Improvement Plan. In respect of the |committee's work on Risk Management he would welcome all contributions on any risks which members might feel need to be highlighted in these uncertain times. - The Committee Chair summarised the work of FRC over the course of the academic year to date and spoke to the Report as submitted and which is referred to fr its detailed terms. She confirmed that the College had renewed its overdraft provision as a safety net. She was also working on a draft report on expenditure but this could not be finalised as the

investigation had not yet been concluded – given the implications for governance she would ask the Acting Clerk for his input by way of comment and/or suggested amendments.

- She informed members that the Committee had recommended that the college make a donation of circa £500k to the insert name of ALF. Members endorsed that recommendation.

31-22

Report from the Students' Association

The Acting Principal spoke to the Report which is referred to for its detailed terms. He took the opportunity of congratulating the Student Observer on her election as President effect from July 2022. She had stepped into the breach when the two student members had both been absent on leave and her energy and enthusiasm had been a considerable asset to the Board already and he looked forward to her term of office as a full member

32-22

Education Scotland Progress and Safeguarding Visits

Note that this agenda item was taken early in the meeting to allow the Education Scotland representatives to make their contribution and then leave for the long drive home.

HMIe Barbara Nelson spoke to the Paper as submitted and which is referred to for its detailed terms – and also introduced HMIe Joe Mulholland who was taking over as the College Inspector for SLC.

Key themes going forward should be Collaboration, Innovation and skills enhancement. The culture in that last respect should be to develop a vocational skill set including meta-skills and the way forward would be to deliver the cohesive skill set which modern employers expected.

Although there were significant areas of progress as identified in the Report and evidence of excellent student support there were areas for further development.

Despite evidence of excellence, student support tended to be fragmented and the College was urged to ensure that no students should fall through the gaps. In that regard Stella McManus pointed out that funding changes could impact on the availability of provision of welfare support given the reduced capacity and the need to concentrate on the prime function which was to support education.

It was suggested that the way forward might be to encourage mutual student support.

It was also disappointing that student participation in the student satisfaction survey was low.

It was also felt that the student association lacked autonomy and so some extent was overly supported by well-meaning staff. In this regard, the Acting Clerk reminded the meeting that, from a governance perspective, the two principal student officers had been absent on leave for almost the entire academic year which inevitably had place additional burdens on staff.

Although there were good examples of best practice, these tended to be in pockets and, in some areas, performance had dropped. It was felt in this regard that a regional approach might be the way forward.

Agenda Item	
	Nonetheless the Board noted that this was overall an excellent outcome and took on board the areas for further progress

The acting Chair thanked staff for their efforts which resulted in two positive Education Scotland reports. |
| 33-22 | **Putting Learners at the Centre Report**

The Board noted the terms of the paper as submitted and which is referred to for its detailed terms.

The Board asked management to update the Board as appropriate with regard to progress in setting up the new Qualifications Scotland body. |
| 34-22 | **Credit Update and Forecast**

The Board noted the Paper as submitted and which is referred to for its detailed terms.

It was particularly noted that the sector as a whole had a downturn in full time and part time applications of 17% and 30% respectively as a result of more students proceeding direct to University.

It was also noted that the College was likely to be 718 credits under its overall credit target – a very significant movement from the shortfall of 3,772 credits projected in February 2022. Core and ESF targets had been met and it was felt that SFC clawback would therefore be unlikely.
Of particular concern was that the indicative 2022/23 allocation shows a 3.4% drop in the regional allocation which is likely to result in a reduction of 1,444 credits for the College – equating to approx. £414k in grant-in aid. |
| 35-22 | **Acting Clerk's Report on Membership**

The Acting Clerk reported that after running a Board Awareness Session open to all staff he had called an election for the appointment of a new academic staff board member. There had been multiple nominations for a single candidate and accordingly the vacancy for an academic staff member had now been filled.
He also reported that following student elections two new student board members had been appointed and they would take up office at the end of the current academic year.

The Acting Chair took the opportunity of advising the Board that both he and the Regional Chair were of the view that the process for consideration of extending the term of office of Andy Kerr should be deferred pending the outcome of the ongoing investigation. Andy Kerr had indicated a wish to have his term extended for both Board Membership and Chairmanship. The Regional Clerk and the Acting Clerk had been consulted and supported this course of action.

The Acting Clerk was accordingly instructed to relay this information to Andy Kerr in appropriate terms. |

Agenda Item	
36-22	**College Employers Scotland** The Report as submitted was duly noted.
37-22	**Annual Procurement Report** The Board considered and noted the Report which is referred to for its detailed terms. The goal was self-evidently Value for Money. The Board was pleased to note that there had been substantial input from line managers in developing the procurement process. The Head of Finance highlighted the key role played by the APUC staff member who worked with the College.
	Summation of Actions and Date of Next Meeting
	Approvals recorded under Items 21-22, 22-22, 23-22, 24-22and 25-22 26-22 - completion of contracts for HR System replacement approved and delegated to Chair's Committee 33-22 – Management requested to keep Board updated on progress with the new Qualifications Scotland body 35-22 Acting Clerk tasked with advising Andy Kerr of decision to defer recommendation for extension of term of office. Next Meeting 23rd August 2020 – Training Day
	Any Other Business
	There being no other business the meeting was declared closed

BOARD OF MANAGEMENT

DATE:	4 October 2022
TITLE OF REPORT:	Draft Public Interest Disclosure ("Whistleblowing") Policy and Procedure
REFERENCE:	06
AUTHOR AND CONTACT DETAILS	Gary McIntosh, Head of Human Resources gary.mcintosh@slc.ac.uk
PURPOSE:	Discussion and approval of the draft Public Interest Disclosure ("Whistleblowing") Policy and Procedure.
KEY RECOMMENDATIONS/ DECISIONS:	Members are recommended to: • note content of the draft Grievance Procedure. • review and approve the procedure. • Transfer the Public Interest Disclosure Policy to the Audit & Risk Committee
RISK	1. This will replace the current Whistleblowing Policy.
RELEVANT STRATEGIC AIM:	Highest Quality Education & Support – Valued & enthusiastic staff; high-quality support services; productive partnerships Sustainable Behaviours – effective leadership and management; excellent governance; appropriate risk management
SUMMARY OF REPORT:	The following is the draft Public Interest Disclosure ("Whistleblowing") Policy and Procedure.

PUBLIC INTEREST DISCLOSURE ("WHISTLEBLOWING") POLICY AND PROCEDURE

Hearing your public interest concerns

Version Number: 1.0

Document Information

Procedure Published/Created:	September 2022
Reviewed Date:	TBC
Owner:	Human Resources
Approved by:	HR Committee (pending)
Equality Impact Assessment:	TBC
Next Review Date:	TBC – propose review every 2 years

Version History

Version Number	Date	Author	Rationale
1.0	September 2022	G McIntosh	

Quick Links

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1.0 Introduction

South Lanarkshire College (the "College") is committed to the highest standards of openness, probity and accountability, as set out in the principles of Public Life defined by the Committee on Standards in Public Life (the Nolan Committee). A statement of these principles is contained in Appendix A to this Policy. The College will always seek to conduct its affairs in a responsible manner and to follow best practice in corporate governance.

Part of this commitment is the need to have a policy on Public Interest Disclosure (popularly known as "whistleblowing"). The Policy and associated Procedure should be available to all employees, and employees should feel confident to use them.

It is implicit in every contract of employment that an employee will not reveal confidential information about the employer's affairs. However, where an employee discovers information which he or she believes shows malpractice or wrongdoing within the organisation, then the employee should be confident that he or she can "*blow the whistle*" without fear of reprisal, and, if appropriate, can do so independently of line management.

The Public Interest Disclosure Act 1999 gives legal protection to employees against being dismissed or penalised by their employers as a result of publicly disclosing their serious concerns. The Act applies only to "workers", but the College believes it is important that this Policy and Procedure should apply to everyone officially connected with the College. The term "employees" where it appears in this Policy should therefore be understood as including students, learners, contract workers, partner organisations and members[1] of the Board of Management of the College.

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[1] It should be noted that Board Members are also charity trustees and any reference to Board Members in College policy and procedure documents also refers to that role.

2.0 Scope of the Policy

Every employee has a duty and responsibility not to disclose confidential information about their employer's affairs. Equally, if an employee discovers information which they believe shows malpractice or wrongdoing within the College, there is a duty and responsibility to disclose this information. In some instances, such as the need to maintain a healthy and safe working environment, there is a legal obligation to do so.

However, an employee must be confident that there will be no victimisation or reprisal as a result of making a disclosure.

In most situations, reporting concerns direct to line managers will be sufficient to prevent malpractice, but employees need a way to report concerns independently of line management where they have concerns that line management will not take their concern seriously, or may be involved in malpractice themselves.

This policy covers concerns which are in the public interest and are not appropriately dealt with under the Board's existing disciplinary and grievance policies and/or procedures. This policy is not designed to question financial or business decisions taken by the College.

Employees' concerns might include:
- financial or academic malpractice, impropriety or fraud;
- failure to comply with the Board's policies, financial regulations and associated procedures;
- failure to comply with a legal or statutory obligation, or with requirements of the Scottish Funding Council (SFC) or any other funding or regulatory body;
- corruption by a member of College staff or of the Board of Management or by a contract worker;
- improper use of College resources for personal gain or in the interests of relations or associates;
- dangers to health and safety and the environment;
- criminal activity;
- improper conduct or unethical behaviour; and
- attempts to conceal any of the above.

3.0 The College's Undertaking

The College offers protection to employees who disclose concerns in the public interest under this policy, provided that the disclosure is made:
- in good faith;

- in the reasonable belief of the employee making the disclosure that it reveals malpractice; and
- in accordance with the procedures set out in this document.

The College undertakes to investigate fully and appropriately any disclosure made under this policy.

The College will advise the employee making a disclosure of the action that will be taken to investigate it and of the outcome of any investigation.

The College will normally place in the public domain, any formal report into a Public Interest Disclosure which is substantiated after investigation and reported to the full Board of Management.

If an employee makes an allegation in good faith, which is not confirmed by subsequent investigation, the College will take no action against that employee. If, however, an investigation finds evidence that allegations have been raised for vexatious or malicious reasons, the College may take disciplinary action against the employee.

The College undertakes to protect employees against whom unfair, vexatious or malicious allegations have been made. Similarly, the College will seek to protect its own reputation and interests.

The College will treat all disclosures in a confidential and sensitive way. The identity of the person making the disclosure will initially be kept confidential. Depending on the nature of the investigation, it might, however, be impossible to keep the source of information confidential, and the person making the disclosure might need to provide a statement in order for the matter to be pursued effectively.

This policy encourages employees to put their names to any disclosures they make. Concerns expressed anonymously are much less powerful, but the College will consider and investigate them if they appear to be serious, credible and capable of being confirmed by other credible sources.

4.0 Procedure

The following sub-sections (4.1 – 4.4) detail the Public Interest Disclosure ("Whistleblowing") procedural steps.

4.1 Making a Disclosure

When deciding whether to make a disclosure, an employee may wish to seek advice from a trade union or professional body. Impartial external advice can also be obtained from the Employee Assistance Programme - PAM Assist who can help with personal and work-related issues. The service helps individuals by providing emotional support through telephone and face to face counselling, as well as providing information and access to specialist advice. Tel: 0800 882 4102.

Any employee who wishes to raise a concern under this policy should contact the College's Designated Public Interest Disclosure Officer, who is the Clerk to the Board of Management. The Clerk is a professional adviser appointed by the Board of Management and is required to act in a fully independent way.

Disclosures should be made to the Clerk to the Board of Management on a private and confidential basis in writing by e-mail or alternatively by phone call. Where possible, any documentary evidence in support of the information which the employee wishes to disclose should be included.

If an employee's concern relates to the activities or conduct of the Clerk to the Board of Management, the matters should be raised formally with the Chair of the Board of Management. If the concern involves the collective activities or conduct of the Chair of the Board and the Clerk, the matter should be raised with the College's appointed Internal Auditors. In either case, contact details may be obtained confidentially from the Principal and Chief Executive's office.

4.2 Decision to Investigate

On receipt of a disclosure, the Clerk to the Board of Management will:
- decide whether the matter should be treated under the terms of this Policy;
- decide whether there is a *prima facie* case to be investigated; and
- decide whether an investigation should be conducted and what form such an

investigation should take.

The Clerk to the Board of Management will acknowledge in writing receipt of the disclosure and advise the person making the disclosure of the decision on whether or not to investigate the matter, the reasons for this decision, what form the investigation is likely to take, and the expected time scale. This communication should normally be made within 10 College working days of receipt of the disclosure.

If the Clerk to the Board of Management decides that there is no case for an investigation under the Public Interest Disclosure policy, then he/she/them may advise the person making the disclosure to raise the concern more appropriately within the terms of the College's grievance or complaints procedures. In these circumstances, the Clerk will also advise the person making the disclosure that he/she/them has the right to repeat the disclosure to the Board Chair (or, if the disclosure refers to the actions of the Board Chair, to the Chair of the Audit and Risk Committee), who will make a final decision on an appropriate course of action based on the information made available and will instruct the Clerk accordingly.

The Clerk to the Board of Management will inform the Chair of the Board of Management (or, if a disclosure refers to actions of the Board Chair, the Chair of the Audit and Risk Committee) as well as the Chair of the Lanarkshire Regional Strategic Body, of the existence and nature of any disclosure, and of the Clerk's decisions relating to any investigation.

4.3 Investigation

If the Clerk to the Board of Management decides that a concern raised by an employee is worthy of investigation in the public interest under the terms of this policy, he/she/them shall initiate an investigation.

Unless advised not to do so by the police or other external investigating authority, the Clerk will formally advise any person(s) named in the disclosure of the existence and nature of any allegation(s) made against them.

After consulting the Board Chair (or, if the disclosure refers to the actions of the Chair, the Chair of the Audit and Risk Committee) the Clerk will instigate one or

more of the following actions:

- notify Police Scotland if there is evidence that a criminal act has or may have been or might be committed;
- notify the College Internal Auditors if there is evidence of fraud, financial misconduct, or other related matters;
- establish an ad hoc committee of the Board of Management to conduct hearings to consider the matters of concern. This Committee shall normally comprise the Chair of the Audit and Risk Committee (acting as Chair), 3 other Board Members (excluding the Principal and Chief Executive, Staff Board members and Student members) and the Clerk to the Board of Management who would act in an advisory capacity. The ad-hoc committee shall have the right to seek advice from external sources if required;
- make other appropriate arrangements to establish an independent or external investigation if internal conflicts of interest or other circumstances indicate that such action is appropriate; and
- notify the Chair of the Lanarkshire Regional Strategic Body and/or the Chief Executive of the Scottish Funding Council if appropriate to do so, or if the nature of the disclosure precludes all the above actions.

If the investigation is to be conducted by an ad hoc committee of the Board, the Clerk will determine the terms of reference of the investigation and any other parameters or procedures to be followed, including timescale. The College will seek to conduct the investigation as sensitively and speedily as possible.

The Principal and Chief Executive shall normally be advised, in his/her/their capacity as Accounting Officer, of any allegation of financial impropriety, unless the allegations concern directly his/her/their own conduct or actions.

If a disclosure is of a sufficiently serious nature, the Principal and Chief Executive (or the Board Chair if the disclosure relates to the Principal and Chief Executive), acting after consultation with the Clerk to the Board of Management, may suspend any employee on full pay during the investigation in accordance with College Disciplinary Procedures. Any such suspension will be a neutral act and will not impute any presumption of wrongdoing.

4.4 Outcome of Investigation

The Clerk to the Board of Management will promptly inform the employee making the disclosure about the progress and outcome of the investigation, and what, if any, action is to be taken. Similarly, any person about whom a disclosure is made will be kept informed about the progress and outcome of the investigation.

The Clerk to the Board of Management will make a written report of the outcome of an investigation (whether conducted internally or by an external adviser or regulatory or funding body) to the Chairs Committee of the Board, or, if the matter relates to financial impropriety and the College Internal Auditors have been involved, to the Audit and Risk Committee.

Once a report has been considered, the Chairs Committee or Audit and Risk Committee shall decide what further action might be required. Such a decision might include initiating further investigations, use of the College Disciplinary Procedure, or involving Police Scotland if criminal activity has been discovered or is suspected.

The outcome of any disclosure and investigation will be reported to the Board of Management as soon as possible after the matter is closed. Unless there are compelling reasons not to do so (such a decision being made by the Board after taking appropriate advice), reports on public interest disclosures will be matters of public record and placed in the public domain.

The College shall retain all documentation related to an investigation conducted under this Policy for a minimum of 3 years from the date of the conclusion of an investigation.

If no action is taken as a result of an investigation, the employee making the disclosure may, within 14 College working days of receipt of the notification from the Clerk to the Board of Management, submit a written request to the Board Chair (or, if the disclosure related to the Board Chair, to the Chair of the Audit and Risk Committee) that the decision be reviewed. The employee's request should explain why they are dissatisfied with the outcome of the investigation of their concern. The Chair will review the information considered by the investigation, the procedures that were followed, and the reasons for not taking any further action. The outcome of this will be either to confirm that no further action is required or to decide that further investigation is required in accordance with the procedures set out above.

5.0 External Disclosures

The aim of this Policy is to provide a robust internal mechanism for reporting, investigating and remedying any malpractice. In most cases employees should not find it necessary to report their concerns outside the College.

However, the College recognises that in some limited circumstances an employee might not wish to raise the matter with either the Clerk to the Board of Management (the Designated Person) or the Board Chair, and it might be more appropriate to report concerns to an external body.

Appendix 1 – The Nine Principles of Public Life

(extracted from Model Code of Conduct for Board members of devolved public bodies)

Public Service

You have a duty to act in the interests of the public body of which you are a member and in accordance with the core tasks of that body.

Selflessness

You have a duty to take decisions solely in terms of public interest. You must not act in order to gain financial or other material benefit for yourself, family or friends.

Integrity

You must not place yourself under any financial, or other, obligation to any individual or organisation that might reasonably be thought to influence you in the performance of your duties.

Objectivity

You must make decisions solely on merit when carrying out public business.

Accountability and Stewardship

You are accountable for your decisions and actions to the public. You have a duty to consider issues on their merits, taking account of the views of others and must ensure that the public body uses its resources prudently and in accordance with the law.

Openness

You have a duty to be as open as possible about your decisions and actions, giving reasons for your decisions and restricting information only when the wider public interest clearly demands.

Honesty

You have a duty to act honestly. You must declare any private interests relating to

your public duties and take steps to resolve any conflicts arising in a way that protects the public interest.

Leadership

You have a duty to promote and support these principles by leadership and example, to maintain and strengthen the public's trust and confidence in the integrity of the public body and its members in conducting public business.

Respect

You must respect fellow members of your public body and employees of the body and the role they play, treating them with courtesy at all times.

BOARD OF MANAGEMENT

DATE:	4 October 2022
TITLE OF REPORT:	Draft Attendance Management & Support Procedure
REFERENCE:	07
AUTHOR AND CONTACT DETAILS	Gary McIntosh, Head of Human Resources gary.mcintosh@slc.ac.uk
PURPOSE:	Discussion and approval of the draft Attendance Management and Support Procedure.
KEY RECOMMENDATIONS/ DECISIONS:	Members are recommended to: • note content of the draft Attendance Management and Support Procedure. • review and approve the procedure
RISK	1. This will replace the current Absence Procedure which requires to be updated to reflect current practice.
RELEVANT STRATEGIC AIM:	Highest Quality Education & Support – Valued & enthusiastic staff; high-quality support services; productive partnerships Sustainable Behaviours – effective leadership and management; excellent governance; appropriate risk management
SUMMARY OF REPORT:	The following is the draft Attendance Management and Support Procedure.

ATTENDANCE MANAGEMENT & SUPPORT PROCEDURE

Supporting you with your attendance

Version Number: 1.0

Document Information

Procedure Published/Created:	September 2022
Reviewed Date:	
Owner:	Human Resources
Approved by:	HR Committee (pending)
Equality Impact Assessment:	TBC
Next Review Date:	TBC – propose review every 2 years

Version History

Version Number	Date	Author	Rationale
1.0	1 September 2022	G McIntosh	

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.

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1.0 Introduction

South Lanarkshire College ("the College) is committed to providing a working environment and support facilities which promote and support health and well-being. The College aims to take a supportive approach to employees who suffer ill health, physical or mental, and provide assistance and reasonable adjustments to employees with a disability, an underlying health condition(s), experiencing the menopause or pregnant. Reasonable adjustments will be made where appropriate. It is anticipated that a positive approach to employee health and well-being, will encourage employees to disclose their condition and help to assist the College ensure that appropriate support and reasonable adjustments are made at an early stage.

The College recognises its responsibility for the health, safety and welfare, mental health, and the well-being of its staff, and in conjunction with its other policies, this policy places great emphasis on the range of support mechanisms and services established to provide assistance and support.

The College is committed to managing attendance levels. Management, Trade Unions, and staff recognise that unsatisfactory levels and patterns of absence adversely place additional burden on other employees, affect employee morale, the efficiency and effectiveness of the service provided by the College and the quality of service available to learners and the community.

To promote and support health and well-being of employees the College has a range of policies, procedures, and support.

2.0 Scope

This procedure applies to all employees of South Lanarkshire College. The purpose of this procedure is to:

- maintain staff attendance;
- deal with absence related to illness or health conditions quickly and fairly;
- manage and assist individuals with a disability, underlying health condition, experiencing the menopause or pregnant to ensure that reasonable adjustments are made to support and maintain their health, well-being, and employment; and
- address individual problems caused by infrequent attendance both speedily and effectively with the opportunity for review of any decision.

3.0 Principles

The College will observe the following principles in all matters relating to absence due to sickness, ill health and disability and will:

- identify appropriate support and assistance to manage any potential problems both for the College and individuals;
- ensure managers/supervisors are trained in the control and monitoring of absence;
- ensure managers/supervisors are trained in equalities, in particular disability discrimination;
- observe the College Equality Policy in relation to this Procedure;
- make reasonable adjustments for employees with disabilities or an underlying health condition(s) as appropriate to ensure they maintain/retain employment;
- make reasonable adjustments for employees who experience the menopause or who are pregnant to support their health and wellbeing;
- liaise consistently and effectively with employees in dealing with long-term illness or disability and the on-going support which may be required;
- deal sympathetically and sensitively with all illness incapacity, disability, underlying health conditions, staff experiencing the menopause and pregnancy related illness;
- identify and address problems in the work environment and/or job factors which may be contributing to staff absence;
- treat employees who are absent from work due to illness fairly, equally, and consistently across the College;
- support all employees to be able to attend work and provide effective service, and consider all reasonable options to enable them to do so;

- not normally make any decisions in relation to formal action due to absence levels without first referring the matter to the College's appointed occupational health provider and subsequently receiving professional medical advice (there may be certain circumstances where this is not necessary, for example where there are no underlying health issues disclosed);
- consider phased returns to work where medical advice recommends it, or the manager, employee, or occupational health believe it would be appropriate and beneficial;
- advice received from occupational health will only be discussed with the manager(s) responsible for managing the employee or key personnel who require sufficient information on which to make an operational decision;
- allow employees to have a right of appeal against any formal action taken as a result of absence levels; and
- respect the need for confidentiality in employee absence issues in all cases.

An employee who fails to follow the correct absence reporting, certification, or other procedures set out in this policy may be managed under the College Disciplinary Procedure

4.0 Responsibilities

The emphasis throughout this process is not to force employees who are unfit back to work, but to take positive action to improve attendance and to maintain employment for those with a disability or long-term health condition through making reasonable adjustments and implementing well thought out rehabilitation programmes. Everyone has an individual responsibility to ensure high levels of attendance.

Responsibilities of individuals include:

Employees should:

- report any absence from work in accordance with the College Reporting Absence Notification Procedure outlined in section 5;
- cooperate with reasonable requests to attend Occupational Health for assessments to enable management to make informed decisions in the best interests of the employee and the College. Repeated refusal to

cooperate with the College attendance management and support processes, including attending Occupational Health, without the benefit of up-to-date Occupational Health or professional medical advice, may lead to action being taken under the College Disciplinary Procedure up to and including dismissal; and

- be aware that advice received from Occupational Health will only be discussed with the manager(s) responsible for managing them or any manager who may require sufficient information on which to make an operational decision.

It should be noted that the Health and Safety at Work Act 1974; Section 7 states the general duties of employees at work. The Act states that:

It shall be the duty of every employee while at work –

(a) to take reasonable care for the health and safety of himself and of other persons who may be affected by his acts or omissions at work; and

(b) as regards any duty or requirement imposed on his employer or any other person by or under any of the relevant statutory provisions, to co-operate with him so far as is necessary to enable that duty or requirement to be performed or complied with.

Managers should:
- take prime responsibility for managing attendance;
- maintain contact with absent employees with the assistance of the Human Resources Department;
- ensure that new employees are informed of the College sickness absence reporting procedure and that all employees follow this procedure;
- ensure that all absences are recorded, and that accurate attendance and non-attendance records are maintained by informing the Human Resources Department accordingly;
- conduct a return-to-work interview with the employee on their return to work, section 6, to discuss reasons for the absence, ascertain whether repetitive absence has an underlying medical cause, and, where necessary via the Human Resources Department, arrange an assessment with Occupational Health to identify the need for any action or reasonable adjustments;
- identify any occupational/work related causes of ill health, and trigger action to improve the situation such as a referral to Occupational Health, an Individual Stress Risk Assessment, or a referral to Employee Counselling Service;

- encourage and support a return to work as appropriate with reference to Occupational Health advice and expertise;
- ensure good communications especially during the early part of a rehabilitation programme;
- review regularly rehabilitation programme objectives, priorities, and end dates;
- where necessary, ensure that employees receive positive encouragement and support to improve attendance and to take action appropriate to the circumstances, or review previous support or reasonable adjustments; and
- encourage employees to involve their Trade Union representatives, as appropriate.

The College will work in partnership with its recognised Trade Unions to:
- explain and increase awareness of employees and understanding Occupational Health;
- assist and support employees' involvement in Occupational Health referrals at the employee's request;
- liaise with line management where appropriate to support employees;
- promote good communications between employee and the line manager; and
- ensure that employees are accompanied and represented where necessary.

Occupational Health should:
- provide professional occupational health advice to the employee and the College;
- provide support in planning an employees' return to work and rehabilitation programmes in partnership with the employee and the manager;
- make recommendations for specialist treatment when appropriate; and
- liaise with general practitioners and specialists in respect of managing the employee's case with the consent of the employee.

Human Resources should:
- keep managers informed in relation to the ongoing progress of staff absent on sick leave;
- ensure a consistent approach to absence management and ensure that rehabilitation is applied in conjunction with the line manager;
- support and advise line managers and employees regarding absence management and rehabilitation;
- monitor performance of occupational health service provider;

- liaise with the Health and Safety department to ensure a health surveillance programme for relevant staff; and
- provide attendance management reports to the College Human Resources Committee and Senior Leadership Team.

5.0 Reporting Absence Notification Procedure

All staff absences must be properly reported and recorded to ensure consistency and accuracy. A standard reporting and recording mechanism is in place to ensure that managers are appraised of full information to enable them to make arrangements to cover staff absence. This also enables the provision of accurate management reporting on absence levels and frequency across the College.

All staff must report absences from work by contacting a dedicated absence 'hotline', based in Human Resources. Managers will be advised directly by Human Resources when a member of staff has reported that they will be absent. Additionally, an employee may be requested by their line manager to contact them directly to ensure adequate cover.

The telephone number for absence reporting (01355 807707) has been communicated to all staff.

Human Resources staff are available to take calls on the absence hotline from 8.45am – 4.30pm Monday to Friday. Additionally, employees can leave a recorded message outside of these hours on the same hotline number.

Staff reporting absences will be asked to provide the following details:
- Name;
- Department/Curriculum;
- Line Manager name;
- Reason for absence;
- Likely duration of absence,
- Classes to be taught/priority tasks to be addressed if appropriate; and
- Location of materials for classes or plan of work, if appropriate.

Staff will also be advised that where the duration of absence is uncertain, they should continue to contact Human Resources daily to provide updates on their likely date of return and on their work which requires to be covered.

Human Resources staff will record absence details and communicate these to Managers. This will also enable the monitoring of medical or self-certificate returns to ensure that all absences are correctly certificated, and that sick pay is accurately calculated and paid.

6.0 Return to Work Meeting Process

6.1 Purpose of Return-to-Work Meeting

According to ACAS, return-to-work Meetings have been shown to be one of the most effective interventions in managing sickness absence.

A key advantage of conducting return-to-work Meetings on a regular and consistent basis is that they give line managers an opportunity to ascertain the possible underlying cause(s) of frequent absences at an early stage and provide staff with any required support or reasonable adjustments.

Frequent short-term absences for minor illness may mask worsening health, or stressful situations at work, abuse of alcohol or drugs or difficulties at home. These can lead to poor performance and more serious illness leading to longer absences if support or reasonable adjustments is not offered. A sensitive and non-judgmental approach can help bring out any underlying problems that a staff member may have or be experiencing. Staff who have medium to longer term absences may need support or assistance when they return to work or reasonable adjustments made. A return-to-work Meeting ensures that this support is offered at an early stage.

The purpose of a return-to-work Meeting is to:
- provide a forum for open discussion about any relevant issues that may have caused or be contributing to the employee's absence(s);
- convey that the College cares about an employee's health, welfare, mental health, and well-being after sickness absence of any kind;
- help ascertain any underlying pattern of absence or cause of absence, which can then be discussed, supported, and managed; and
- allow managers to establish, as accurately and as quickly as possible, the

reason(s) for absence(s).

The manager must complete a return-to-work meeting form after every period of sickness on the employee's first day of return to work or as soon after the date of return as possible. This ensures that all staff are managed consistently, and early intervention or support/assistance is provided where appropriate.

Where possible a face-to-face meeting should be held by the manager. The manager must however conduct a face-to-face meeting where there is concern about the level of absence; concern for the employee's health or wellbeing; where support or reasonable adjustments have been put in place; and/or after a period of long-term absence.

Although the employee does not have a legislative right to be accompanied by a Trade Union representative the College is willing to grant such a request if the employee feels that this would assist them through the process. The manager is encouraged to consider providing this support. An HR representative may also be present during the Return-to-Work Meeting under these circumstances.

The main aim is to offer help if appropriate and assess what action or support, if any, is required at this stage.

6.2. Return to Work Meeting Process

Where the Self-certificate / Return-to-Work Meeting form indicates previous absences or where the manager has any concerns about the employee's absences, they may wish to obtain information in relation to the employee's attendance record prior to the return-to-work meeting from the HR Department.

This will assist in the management of the employee's overall attendance and indicate if there is any underlying absence pattern.

Return-to-work Meetings should be held in private.

At the Meeting, the manager should:

- explain to the employee that the purpose of return-to-work Meeting is to manage and monitor their absence(s) so that any difficulties can be identified, and support offered where appropriate;
- ask the employee about the reason(s) for the absence, ensuring that the question is asked in a supportive way;
- ask the employee whether they consulted a doctor or attended hospital;
- avoid asking intrusive medical questions of the employee, while at the same time seeking to establish the basic underlying cause of the absence;
- check with the employee if they feel well enough to return to work, if they do not then the manager should risk assess the situation and make a decision as to whether the employee should be asked to reconsider their fitness to return to work;
- if there is any discrepancy between the employee's stated reason for the absence and the information given when notification of absence was originally provided, ask the employee to explain the discrepancy;
- where appropriate, ask the employee if the condition has resulted in any mobility issues which may require a personal egress evacuation plan (PEEP) in the event of an emergency evacuation of College buildings. If a PEEP is required the manager should contact the College Health and Safety team;
- if the absence is related to a disability or the employee is returning to work after a long-term absence then it may be appropriate for a Risk Assessment to be conducted. The manager should contact the Health and Safety department and make the necessary arrangements; and
- review and check the details on the self-certification form, make sure the return-to-work date is on the form, the employee has signed it, and the manager should countersign the form.

If a manager has any grounds on which to reasonably conclude that the employee's absence may not genuinely have been for the reason given, the manager should put the evidence to the employee directly to allow the employee the opportunity to respond and provide an explanation. If the manager is dissatisfied with the reason given by the employee, the manager should advise the employee accordingly and adjourn the meeting until further investigation can be undertaken. The employee should be advised of an estimated timescale when a further meeting will take place.

If a manager wishes to hold a Return-to-Work Meeting and a Formal Meeting, see section 8 below, simultaneously the manager should organise this with the HR Department. An HR representative will not normally be present during the Return-to-Work Meeting, unless specifically invited to provide support to the employee and/or the manager but will be present during the Formal Meeting process.

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7.0 Categories of Absence

A formal Meeting will be triggered when an employee falls into, including periods of industrial injury, the following categories:

- three self-certificates or Statement of Fitness for Work or a total of 8 working days (pro-rata for staff working less than 35 hours per week) absence inclusive within a 12-month period;
- a long-term period of absence of 12 consecutive working days or more; or
- any periods of unauthorised absence.

7.1. Disability Special Leave

Disability Special Leave will be granted to cover the absence of an employee who is considered as disabled within the legislative framework, confirmed by the employee and a professional medical advisor for the purposes of:

- scheduled treatment such as physiotherapy, counselling, e.g. hip replacement or depression;
- an employee who must attend a specialist centre for a check-up e.g. cancer, HIV, multiple sclerosis, diabetes, or epilepsy;
- an employee with a visual impairment who is no longer able to carry out the main tasks of their job due to deterioration of their disability and the recommendation is to install special software. This may also include if the employee is also required to attend any specialist training for the installed software or even unable to attend work until the software is installed;
- an employee who has been diagnosed with a disability by their GP or specialist and confirmed by the Occupational Health Service for an assessment to identify their specific work needs including a rehabilitation period to adjust to their changed circumstances. For example, deafness, physical disability;
- a visually impaired employee who needs training for new equipment and

or a guide dog including if the guide dog is ill, and the employee needs to make other arrangements to attend work; and

- an employee who uses a wheelchair or special equipment is unable to attend work when a part of the chair / equipment requires repair.

Please note that this list is not exhaustive, and any queries need to be directed to Human Resources.

Any required adjustments may also require an appropriate risk assessment by the Health and Safety department and/or involvement of the Occupational Health Service and/or Access to Work.

Supporting evidence will be required where the disability was previously not disclosed or known by the College.

Employees who require leave as a result of their disability should agree a Disability Leave Plan, with their manager and set out, if possible, their leave requirements for the next rolling 12-month period. This could include appointment, treatment, rehabilitation, or assessment related to their disability.

For Disability Special Leave the employee should advise his/her line manager of the proposed time of the appointment(s) as soon as possible and must produce an appointment card or letter if asked. Where there are a series of appointments for regular and ongoing treatment, acceptable arrangements need to be agreed with the line manager.

The Equality Act 2010, which replaced the Disability Discrimination Act (DDA), defines a disabled person as someone who has a "physical or mental impairment that has a substantial and long-term adverse effect on his or her ability to carry out normal day-to-day activities".

Where an individual is absent as a result of a circumstance (e.g. rehabilitation, training etc) related to their disability but not from actual sickness, then the absence should be considered as disability special leave and not recorded as sickness.

Each case will be considered on its own merits and according to the nature of the employee's individual disability and the circumstances. As the nature of an individual's disability can change over time, line managers will liaise with the employee and the Human Resources Department, with the support of the Occupational Health Service and the Health and Safety department, where appropriate.

Duration of the Disability Special Leave is dependent on each case. If rehabilitation or assessment is required on a continuous basis over a short-term period or immediately on a permanent basis, then alternative working patterns may need to be considered.

Where an employee has a recognised disability, they should make sure this is reflected on the HR system, otherwise consideration of appropriate support may not be possible. Disability Special Leave will be monitored as part of the attendance management and support process.

8.0 The Formal Meeting

8.1. Purpose of the Formal Meeting

The purpose of the Formal Meeting process is to discuss the employee's level of absence with the aim of improving attendance at work or to discuss/offer any support to the employee or make reasonable adjustments where a need is identified. It is a formal meeting to:

- review attendance and/or health situation;
- discuss the employee's absences or support requirements;
- identify if there are any support mechanisms that could be put in place or reasonable adjustments which could be made to assist the employee and help reduce or improve the level of absence(s) or support and assist the employee in the workplace; and
- look at the options available in line with College policies such as those which support attendance, wellbeing, flexible working, and equalities.

The employee should be encouraged actively to contribute to the process.

8.2. Formal Meeting Process

The Formal Meeting will:

- be held when an employee falls into a category of absence (section 7);
- be conducted by the manager;
- have a Human Resources representative present;
- have a work colleague or Trade Union representative, if the employee wishes to be accompanied;
- be aimed at offering support, assistance, or reasonable adjustments; and
- be aimed at improving levels of attendance.

A Formal Meeting will be held when any of the undernoted triggers occurs:

- 3 periods of absence, or a total of up to 8 working days inclusive within a 12-month period, or a long-term period of absence of 12 consecutive working days or more; and/or
- A further period of absence within a six-month period from the date of the last absence that resulted in a previous Formal Meeting.

Managers will:

- not have access to more information about an employee's health than is necessary for them to carry out their management responsibilities;
- as far as possible, confine the information collected to that necessary to establish the employee's fitness to work; and
- encourage employees to provide the College with as much information as possible to assist in the appropriate management of their case. It must be noted, however, that management decisions can only be based on the evidence available at that time.

The main aim of the Meeting process is to ensure that the employee is provided with support, assistance and/or reasonable adjustments where this is needed and will support to improve attendance.

8.2.1. Disability, Long-term Health Condition, Pregnancy or Menopausal Related Absence

The College may make reasonable adjustments such as accepting a higher rate of absence in cases where absences are related to:

- an employee's disability, as defined by the Equality Act 2010;
- long-term health condition (for cases where medical evidence suggests this may lead to a recognised disability longer term);
- the menopause; or
- pregnancy.

HR will advise on such cases.

8.2.2. Recording the Formal Meeting Process

The Formal Meeting should have a summary minute and then be agreed in writing between the manager and employee.

The employee has the right to be accompanied by a companion, either a Trade Union representative or a work colleague at all stages of the Formal Meeting process. The manager may be assisted by one other colleague who is familiar with the employee's area of work, if necessary.

The College may consider a request from the employee to be accompanied by someone other than a Trade Union representative or work colleague, such as a relative in cases where this will assist the employee with a particular difficulty as a result of a language barrier or a disability or long-term health condition. This person will be in addition to their chosen companion and each request will be considered on its own merit. The College will not accept a request from an employee to be accompanied by a legal representative or an individual who has a legal background.

On conclusion of the Formal Meeting the manager has two options available, they may:

- Confirm if a review meeting should be scheduled - where the employee is to be provided with an opportunity to improve their attendance; to review progress and/or where support or assistance has been put in place. A Formal Review Meeting to monitor or review progress should be held within a minimum three-month period.

or

- Confirm if there is no need for further review.

8.3. Formal Review Process

A Review meeting may be appropriate in certain circumstances, these include:

- as part of the rehabilitation process where no further absences have occurred. This is to offer continued support or review arrangements put in place to assist an employee;
- absences related to pregnancy;
- absences related to the menopause; and
- absences related to a disability as defined by the Equality Act 2010.

In cases involving absence(s) related to disability, pregnancy, menopause or a long-term health condition, ongoing Formal Review meetings may be arranged with the employee to discuss reasonable adjustments. Suggestions for reasonable adjustments are outlined in section 13. Depending on the circumstances, it may be necessary to convene further Formal Review meetings to monitor and review progress. The key purpose of these is to maintain the impetus to deliver required changes, to keep the employee informed on developments, to ensure the appropriate support is put in place and the reasonable adjustments continue to be appropriate.

It is expected that with reasonable adjustments and ongoing support, where appropriate, the employee can continue in their current job. It is accepted that there will be cases where it becomes obvious, during the process, that remaining in

employment or a return to work of any kind is not feasible or not desired by the employee. In such circumstances, the normal processes for handling long-term absence will apply. If there are a combination of disability and non-disability related absences, the employee Formal Meetings will be held where appropriate, meeting when the non-disability related absence fall into the categories specified in section 7 in accordance with the normal procedure.

8.4. Further Absences

If further absence(s) occur within a six-month period from the date of the last absence the manager may:

- conduct a further Formal Meeting to review the employee's attendance, to discuss support, assistance, or concerns. The same process as detailed above should be followed; or
- in certain circumstances, choose to monitor the employee's attendance record until a six (6) month period has passed without further absence occurring from the date of the last absence.

If a further Formal Meeting is necessary, the line manager should consider what steps may need to be taken in terms of managing the employee's attendance, where appropriate, as well as what other support that can be offered to the employee.

The employee should be advised that if further absences occur within a six-month period another Formal Meeting will be held.

If further absence(s) occur within a six-month period from the date of the last absence a Formal Meeting may be necessary, the manager should consider:

- what further action might be taken such as further advice or support being put in place; or
- more formal action if this is felt to be appropriate if there has been no improvement despite opportunities or support/assistance to improve.

8.5. Support Meeting

An employee who wishes to meet with their line manager, with or without a member of the Human Resources Team, to seek support or reasonable adjustments at work where there has been no absence(s), or the employee does not fall into the categories in section 7 may do so upon request. The meeting should be recorded as a support meeting. The purpose of this is to ensure that the employee is fully supported at work and that the support is monitored and reviewed as discussed and agreed between the employee and the manager.

9.0 Guidance on Managing Absence Categories

This section aims to provide guidance on the management of the main categories of absence.

9.1 Short / Medium Term Intermittent Absence

It is inevitable that employees may, on occasion, be off work through a short period(s) of sickness absence. Difficulties usually only arise when the level of attendance becomes unsatisfactory, and it affects the College's curriculum or service delivery.

Where short-term intermittent absence has been identified, a distinction should be made between an absence record which has:

- No long-term health problem; and
- Absence on grounds of illness or injury where there is an identifiable long-term health problem.

The manager is responsible for discussing the attendance levels with the individual with the aim of providing support to improve attendance.

During the discussion, the manager should seek to:

- provide the employee with details of their sickness absence and invite them to comment;
- identify the frequency and reasons for the absences and ensure that the employee is aware that the absence record is giving cause for concern as well as explaining the reason why. the employee will be invited to comment on this;
- advise any employee that discloses a long-term health problem to seek proper medical attention, if they have not yet done so, and provide appropriate support and/or make reasonable adjustments (section 13);
- consider any personal or domestic problems and possible ways of helping the employee resolve them or support them;
- identify any problems connected with work or the working environment which may be contributing to the absence level;
- if there is no underlying reason, specify the standard that should be reached and indicate clearly to the employee the next step if there is no improvement; and
- provide the employee with every opportunity and support / assistance to improve and maintain an acceptable level of attendance.

9.2 Managing Short / Medium-Term Intermittent Absence – No Underlying Health Problem

This involves a situation where:

- the employee has not achieved and/or maintained a satisfactory level of attendance despite being given a sufficient opportunity to improve and the appropriate support / assistance where required; or
- the manager does not find the explanation(s) offered by the employee on the self-certificate as acceptable.

The manager, in collaboration with HR, will:

- formally write to the employee to confirm the facts of the absence and any action / support taken to date or action / support to be taken;
- clearly inform the employee that persistent absence is unacceptable;
- make explicit the standards expected of the employee;
- inform the employee that any future failure to reach the standards and maintain acceptable level of attendance could result in the matter being dealt with under sections 15 and 16 of this Procedure which could lead to further action being taken against them, including putting their continued employment at risk; and
- confirm to the employee that their attendance will be closely monitored

and a review date for a further meeting to discuss and assess progress should be set.

A further formal review meeting should be arranged in three-months, or sooner if further absences occur. If no further absences have occurred, then the file may be suspended at this stage and reopened should further absences occur.

An employee will continue to progress through the formal meeting process. If the employee has a period of six (6) months where there had been no periods of absence from the date of their last period of sickness absence then the formal process will stop at this stage.

The main aim is to provide the employee with encouragement and an opportunity to improve their attendance level. This approach is in the best interests of the College and the employee. In the case of short-term intermittent absence where there is no identifiable, underlying health problem or acceptable explanation provided by the employee to account for their continuing level of non-attendance the matter will be considered under sections 15 and/or 16 of this Procedure.

9.3 Managing Short / Medium-Term Intermittent Absence – Underlying Health Condition

Where medical advice and / or information provided by a medical practitioner reveals an inherent underlying medical condition, the employee will usually receive medical treatment, physiotherapy, remedial surgery etc. This will often result in an acceptable rate of recovery and attendance level being achieved. Employees should be offered support and reasonable adjustments made where appropriate.

However, where the prognosis is such that frequent or prolonged absences will be a continuing feature, this should be discussed with the employee and options explored. The case may require to be treated as one of capability on the grounds of ill health.

If a disability or long-term health condition is confirmed, the College will seek to make reasonable adjustments to assist the employee to achieve and maintain an

acceptable level of attendance. The employee will be expected to fully assist the College in this aim. As a reasonable adjustment the College might accept a higher level of absence in the case of an employee with a disability or long-term health condition. Each case will be considered on its own merits and will fully consider the impact on service delivery. The College may also accept a higher level of absence for staff whose absences are related to pregnancy or who are experiencing the menopause.

9.4 Managing Long-Term Absence

If an employee is absent on a long-term basis, except in cases where it is deemed medically inappropriate, the manager with the assistance of Human Resources will contact the employee to arrange a meeting. This meeting can be held in the workplace, at the employee's home or at some other mutually agreed place. A number of meetings may be required over a period of time to monitor and review the employee's progress.

The purpose of such meetings is to:
- enable the manager to demonstrate the College's concern for the employee and establish the reasons for absence and its likely duration (considering any medical advice, if available);
- discuss what assistance and support might be appropriate to support the employee during their absence and to support their return to work (an agreed rehabilitation programme should be put in place neither the employees return to work date);
- discuss whether a referral to Occupational Health would be beneficial to the employee and the College at this stage, with the aim of obtaining advice, identifying a possible timescale for recovery, support or assistance, or reasonable adjustments;
- assess progress and recovery from the illness and offer any support to the employee, options for assistance and support to aid the employees return to work;
- discuss the remaining sick pay entitlement; and
- as a last resort, consider the likelihood of termination of employment on the grounds of:
- capability - should there be no potential of a return to duty and if no other acceptable alternative option(s) exists in accordance with sections 15 and

16 of this Procedure; or

- early retirement on the grounds of ill health (if applicable) and if no other acceptable alternative option(s) exist.

Upon notification that the employee is returning to work the manager and a representative from human resources will meet, where possible, with the employee at least one-week prior to their return-to-work date. The purpose of the meeting is to discuss what support and assistance or reasonable adjustments, where necessary, should be put in place to integrate the employee back into the workplace.

A rehabilitation programme should be discussed and agreed with the employee. Available options for reasonable adjustments are outlined in section 13.

If there is no possibility of the employee returning to duty or within the foreseeable future, the Principal or the Depute Principal will thereafter consider the effects of the long-term absence on the College's service and how long the service can be continued at an acceptable level.

Where the prognosis is such that a prolonged absence or absences are likely then the College may have no alternative but to consider terminating the contract of employment.

10.0 Support Mechanisms

10.1 Employee Assistance

The main aim of this procedure is to encourage and support employees to achieve and maintain a satisfactory level of attendance at work. A range of support mechanisms and assistance is available for employees. In addition from support from your line manager, the other options include:

- Human Resources department for advice and support;
- Occupational Health - professional medical advice to support the employee in the workplace and provide guidance and advice to the

College on how best to achieve this and ongoing health surveillance in certain areas;

- Individual Stress Risk Assessment (ISRA) - to consider areas or issues in the workplace which the employee feels are impacting on their health and well-being and how these might be addressed. This may involve a referral to Occupational Health to support the employee and the line manager;
- Health and Safety - undertake risk assessments and provide advice and support to employees and managers;
- Mental Health First Aiders - the College has a number of mental health first aid trained colleagues who can provide guidance and support;
- Access to Work Mental Health Support Service – delivered by Remploy; and
- Employee assistance programme - this is currently "PAM Assist" who can be contacted through the following means:
  Tel: 0800 882 4102 (24 hours a day, 365 days a year)

  Web: pamassist.co.uk

The support of internal and external sources should be offered by the manager with a view to assisting and supporting the employee to help improve the employee's attendance level or maintain their employment.

In circumstances where an individual has been referred to occupational health or the employee assistance programme a further meeting should be arranged as soon as the relevant report has been received from occupational health or a number of sessions have taken place with the employee assistance programme. The purpose of the meeting is to review the employee's progress and ensure that appropriate support is in place, or the impact of any reasonable adjustments is appropriately addressed.

10.2 Occupational Health Advice

Advice may be required from occupational health in cases where there is:

- a health condition, disability or advice is required on reasonable adjustments to support the employee in the workplace;
- a long-term period of absence to consider what support / assistance or reasonable adjustments may be appropriate;
- frequent periods of absence for similar reasons, where an absence or

absences are linked to a potential health condition or disability; and

- short term intermittent absence, however, there is no long-term health condition, disability, or underlying health problem(s). Whilst it is not always necessary to obtain medical advice it may be advisable to do so in some circumstances, if only to establish there is no underlying health condition.

The purpose of obtaining medical advice will be to establish:

- what the impact of work is on the employee's health;
- the likely recurrence or duration of absence;
- whether the employee is likely to make a partial or full recovery;
- what reasonable adjustments might be made, should these be permanent or temporary, and if temporary for what period of time;
- what support or assistance the College might reasonably provide to help the employee at work, aid a return to work if absent long term or assist the employee to undertake their role; and
- an appropriate approach on how to manage the employee's absence and make an informed decision which will support that approach.

This list is not exhaustive.

Any decision relating to the employee is the responsibility of management in consultation with human resource is. It is not the responsibility of occupational health to make the decision.

The College:

- may request that the occupational health provider contact the employee's General Practitioner and/or specialist and/or consultant for a report on any current illness, condition and/or disability. An appropriate consent form will be issued to the employee for authorisation by occupational health. The information will be obtained and assessed by the occupational health company. The College will not have direct access to this information. The occupational health provider will provide the College with advice and guidance on how the absences could be managed appropriately; and
- will normally follow reasonable recommendations of action made by occupational health. An employee is entitled to obtain an independent medical report if they so wish. The College will not be responsible for any such costs incurred.

If an employee chooses not to attend occupational health, it must be noted that management decision can only be based on the evidence available at that time. If relevant information becomes available after a decision has been taken, the decision may be reviewed. If an employee continues to fail to cooperate with the College in the management of their attendance the matter may be dealt with under the Disciplinary Procedure.

An appointment with occupational health shall be arranged by the human resources department and the employee shall be notified accordingly. If the employee is unable to keep the appointment the employee should contact the human resources department who will arrange an alternative appointment. Should the employee fail to attend an appointment without providing prior notification and/or a reasonable explanation the College reserves the right to charge the employee for the costs incurred. The charges will be detailed in the appointment letter to the employee.

10.3 Mental Health and Wellbeing

Mental health conditions may emerge suddenly, as a result of a specific event or incident, or gradually, over a period of time when the condition may worsen or improve. Some illnesses are persistent and may be classed as a disability.

Managers should be aware it is not just about absences and some employees may show signs of mental ill-health at some stage during their employment.

Common symptoms of mental ill health might include:
- an increase in unexplained absences or sick leave;
- changes in performance;
- changes in timekeeping;
- changes in decision-making;
- changes in energy;
- changes in communication;
- changes in behaviour; or
- changes in mental resilience.

The College is committed to providing a working environment and support facilities which promote and support health and well-being. Individual stress risk assessments are available for employees who feel that they are suffering stress, anxiety, or other ill health as a result of work-related issues.

10.3.1 Individual Stress Risk Assessment (ISRA)

Managers should seek to discuss and resolve work related matters through focused conversations with employees. The Individual Stress Risk Assessment (ISRA) Process should be applied when this is deemed appropriate by the manager, including on recommendation from occupational health. The ISRA process requires:

- The employee to record on the ISRA form what they feel is the issue or issues, and put forward any potential solutions to resolve the issue or issues which they feel might be considered by the College;
- the manager will consider what actions the College can or cannot take to resolve the concerns raised by the employee;
- the manager will meet with the employee to discuss the actions to be taken. If the solution is not feasible, the reason for this is discussed with the employee. The agreed changes which will be made or cannot be made will be recorded; and
- the completed ISRA form may be sent to the College's occupational health service for assessment, where appropriate. Occupational Health will provide advice and support for the employee and the manager. The main aim of the process is to ensure the well-being of the employee and minimise the impact on service delivery.

10.4 Menopause

Managers should acknowledge that there may be an additional need for absence by employees experiencing the menopause to manage their menopausal symptoms. Absence will be recorded as related to menopausal symptoms, where disclosed, and managers will consider such absence as an ongoing condition requiring the consideration of reasonable adjustments and flexibility in absence procedure triggers.

11.0 Occupational Sick Pay – Exhaustion of Entitlement

The employee should be informed in writing at least four weeks before the date when they have exhausted their entitlement to:

- full occupational sick pay - stating that their entitlement to full salary will reduce to half salary; and
- half occupational sick pay – stating that their salary entitlement will cease.

The College may consider termination of the contract of employment on the expiry of the employee's occupational sick pay. The College may consider granting a period of unpaid leave of absence in respect of a critical illness or disability.

12.0 Critical Illness or Disability

In circumstances where an employee has exhausted their entitlement to occupational sick pay and statutory sick pay, and they have been diagnosed with a critical illness or disability, the College will explore the option of holding open the employee's position. The conditions covered by the section will apply to those employees who are disabled as defined by the Equality Act 2010. The period of unpaid leave of absence beyond the period of occupational sick pay, granted to an employee by the College, should be sufficient to enable appropriate treatment and rehabilitation.

The period of time which the employees post may be held open will be determined by a panel consisting of three members of the Senior Leadership Team, including the Head of Human Resources.

The panel will consider such a request taking into account:

- the case put forward by the employee or their representative;
- the operational case put forward by their line manager;
- the reason for the absence;
- the medium to long term prognosis;
- any planned or future treatments available and the potential impact on the

health condition; and

- the employee's position with the College and the impact of the employee's absence on College services.

Each request will be considered on its own merits. If a decision is taken not to hold open the position, the case will be managed in accordance with sections 15 and 16 of this Procedure.

13.0 Reasonable Adjustments

Where there is an underlying health condition, a discussion should take place with the employee to assess progress, the prognosis, assistance, and support as outlined in this Procedure.

Managers should, in consultation with Human Resources, and the employee consider the following options:

- redeployment to alternative work on a temporary or permanent basis;
- temporary or permanent adjustment of duties and responsibilities;
- a redistribution of duties to other staff on a permanent or temporary basis, in discussion with the staff concerned;
- part-time hours on a temporary or permanent basis;
- a phased return to work;
- facilitating time-off during working hours for rehabilitation or treatment;
- purchasing suitable equipment or reasonable adjustments to facilities;
- supplying additional training or retraining; and
- other reasonable adjustments.

Where these options are not viable for the College or acceptable to the employee, options available are:

- For the employee - the option to apply for ill-health retiral, if appropriate;
- for the College - the option to terminate the contract on the grounds of capability or some other substantial reason.

Such actions should only be taken after all other options have been explored and exhausted. The employee will be fully involved in the discussions about their future

employment with the College and clearly advised of the possibility that the termination of their contract is being considered.

14.0 Annual Leave and Sickness Absence

14.1 Sickness During Annual Leave

An employee who becomes ill or is injured at the beginning of, or during a period of annual leave, may be entitled to claim back the period of annual leave for which they were ill or incapacitated providing that they:

- inform human resources of their illness or injury promptly in line with normal sickness reporting procedures; and
- provide a Fitness for Work note, or other formal medical certification, covering the full period of their illness or incapacity.

14.2 Use of Annual Leave Entitlement During Period of Sickness Absence

Where an individual is absent due to sickness, they may be able to use annual leave if they wish to do so. The use of annual leave during sickness absence is voluntary. Employees wishing to make use of this provision should request leave in writing to their line manager. The line manager should seek advice from human resources regarding requests to use annual leave during sick leave.

The total payment of annual leave and occupational sick leave will not exceed the normal monthly salary.

14.3 Carry Over of Annual Leave

Employees who are absent for an extended period may be eligible to carry over their annual leave entitlement. Annual leave will normally only be carried over for a maximum of 18 months at which point any outstanding leave will be forfeited.

An employee who is released from the College's employment through ill-health retirement or capability will receive payment for any outstanding annual leave for accrued entitlement over the period of their absence up to a maximum of 18 months.

15.0 Capability – Sickness Absence

Absence due to staff sickness can present challenges for the College, both operationally as well as financially. It is, therefore, important that absence is managed in line with College's procedures, whilst ensuring that staff that are experiencing difficulties with their health are appropriately supported.

15.1 Persistent Short-Term Sickness Absence

Persistent short-term sickness absence would normally be dealt with under the approach above, in the first instance. However, where the short-term absences are as a result of an underlying medical problem which is recurring, this section may apply.

15.2 Long-Term Sickness Absence

In the case of long-term sickness, a number of factors should be considered:
- length of employment;
- previous attendance and sickness recorded up to the present illness;
- the effect on the College of the individual's continued absence and the need to engage a replacement or cover for the duties;
- nature of the individual's job and their position within the organisation;
- opportunities for the College to make reasonable adjustments to work requirements, such as redeployment, flexible working, or a phased return to work;
- the nature and duration of the illness and the prospects for recovery (possibly with input from Occupational Health); and
- nature of ill-health, and whether any adjustments under the Equality Act 2010 are appropriate.

15.3 Supportive Steps

The following, non-exhaustive list provides steps to be considered to ensure support is provided to employees:

- follow a fair procedure;
- consider medical guidance;
- consider reasonable adjustments;
- allocating duties to another;
- transferring employees to fill an existing vacancy;
- altering the individual's working hours; and
- allowing the person to be absent during working hours for rehabilitation, assessment, or treatment.

15.4 Informal Capability Procedure – Sickness Absence

Where performance concerns are being raised due to an employee's wellbeing, the manager should, where possible, deal with the concerns informally in the first instance. The Manager should contact HR to request that a referral is made to Occupational Health to obtain more information on the employee's condition and fitness to undertake their role. In conjunction with HR, the Manager should consider if any reasonable adjustments can be made to enable the employee to return to work, and/or meet the requirements of their role.

During the initial informal discussion managers should:

- discuss performance levels with the employee concerned;
- provide examples/evidence of concerns;
- discuss the expected level/improvements in relation to the previous examples and agree on whether the employee deems it to be achievable;
- agree timelines for improvement;
- discuss what support you can provide, also consider support from colleagues or out with the Department. Consideration may be given to on-the-job training or a formal training course.
- set clear written performance targets for the staff member using a Performance Improvement Plan (PIP) and a realistic timescale for improvement. If a PIP is not the most appropriate and agreed method of detailing objectives/improvements required, then these should be detailed in a written Improvement Letter. The PIP or Improvement Letter should

be mutually agreed in writing between the employee and the manager. The employee's performance should be reviewed regularly until the performance targets are met.

Where an informal approach has not led to the required improvement within the agreed timescale, managers may initiate the Formal Capability process.

15.5 Undertaking a Formal Capability Review – Sickness Absence (after informal stage)

In some cases of long term continuous or intermittent sickness absence, the College may have to consider the employee's capability / fitness for working. This could occur when:

- there is no predicted date of return;
- medical evidence indicates that an individual is permanently unfit for work;
- a return to work may be unlikely within a reasonable timescale;
- there is a high level of intermittent absence; and
- the member of staff is not able to fulfil their job role effectively (after appropriate interventions/reasonable adjustments to facilitate their return or improve their attendance).

A capability review will consider whether:

- further investigation is required, for example, if recovery is taking longer than predicted or there has been a recent deterioration in relation to health or a disability. Further medical advice and relevant specialist reports may be requested to ensure any decision considers up-to-date medical information;
- reasonable adjustments have been made, where this is appropriate, and whether there are any further reasonable adjustments that can be made, such as changes to the job role, support through the Access to Work scheme;.
- a phased return, alternative duties, or flexible working have been discussed and considered, where appropriate;
- redeployment may be appropriate and if there are other suitable job opportunities, on a permanent or temporary basis, that the employee may fulfil; and
- early retirement or ill-health retirement may be an option if the employee is a member of an occupational pension scheme and meets the relevant criteria for retirement under the scheme rules.

A possible outcome of this meeting is that the employee will be invited to a capability hearing which will consider their future employment situation with the College.

15.6 Capability Hearing – Sickness Absence

The purpose of the capability hearing is to review and consider the employees sickness absence levels, and all the relevant information obtained regarding their wellbeing. The hearing, held by the line manager, should consider:

- the level of absence/duration of absence;
- any occupational health reports;
- the impact this has had on the service and work colleagues;
- the support, actions or adjustments which have been taken so far and the outcome of these;
- if any further adjustments can be made; and
- whether redeployment or early retirement has been discussed.

Reference can be made to the Capability Procedure and ACAS for additional guidance for this section.

16.0 Disciplinary Considerations

The manager may consider managing the absence under the disciplinary procedure where an employee's absence record is deemed to be unacceptable, for example:

- there is a breach of this procedure;
- a particular pattern of absence can be identified;
- despite being afforded an opportunity to improve and/or offered support and assistance, there has been no sustained improvement;
- the employee is unable to offer any mitigating reason(s) for the persistent and/or high levels of absence; and/or
- there is no identifiable underlying health problem.

In determining whether the matter should be managed in accordance with the Disciplinary Procedure, account should be taken of all the facts and how the absence has been managed. The above list of circumstances is not intended to be exhaustive.

The employee must be afforded every opportunity to improve upon their attendance-level and they must be fully aware that their attendance record is a cause for concern. The employee must be advised formally that their attendance record is unsatisfactory, what improvement is required, and the consequences should there be no improvement in the record of attendance.

Having taken these steps, should the employee's attendance record remain unsatisfactory, the employee will be advised that the matter will be managed in accordance with the Disciplinary Procedure.

BOARD OF MANAGEMENT

DATE	4 October 2022
TITLE OF REPORT	Health and Safety Policy 2022-23
REFERENCE	08
AUTHOR AND CONTACT DETAILS	Stella McManus, Depute Principal Stella.McManus@slc.ac.uk
PURPOSE:	To ask Members to approve the revised and updated Health and Safety Policy for 2022-23
KEY RECOMMENDATIONS/ DECISIONS:	Members are asked to: • approve the Health and Safety Policy 2022-23.
RISK	• That the staff do not follow the policy resulting in a breach of the College's statutory health and safety duties.
RELEVANT STRATEGIC AIM:	• Successful Students • The Highest Quality Education and Support • Sustainable Behaviours
SUMMARY OF REPORT:	• The College has updated its Health and Safety Policy for 2022-23 in order to ensure that it meets its statutory duties as set out by the Health and Safety at Work Act 1974. • Senior members of staff and the Board of Management including the Chair, the Chair of the HR Committee, the Principal and the Senior Leadership Team will be asked to sign the policy to ensure that they have understood their duties. This will also be the case for the Head of Facilities and Health and Safety. • The Policy has been updated to show the statutory responsibilities of all staff and students across the College as well as on site contractors. • Once the Board of Management approves this Policy, there will be a communication in place and training provided for all staff across the College. • This approach also has consideration for those staff and students with significant challenges and they would not be impacted negatively by this Policy. As such, there are no new matters for people with protected characteristics or from areas of multiple deprivation which arise from consideration of the report

HEALTH AND SAFETY POLICY

Version Number: 2.0

Document Information

Procedure Published/Created:	Health and Safety Policy
Reviewed Date:	August 2022
Owner:	Craig Ferguson
Approved by:	
Equality Impact Assessment:	Yes
Next Review Date:	May 2023

Version History

Version Number	Date	Author	Rationale
2.0	August 2022	Stella McManus	Statutory duty

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.

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To find out more about our Vision, Mission and Values click **HERE**

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STATEMENT OF GENERAL POLICY

The Board of Management, the Principal, and the Senior Leadership Team (SLT) recognise that provision of a safe and healthy working environment is essential to the well-being of staff and students and the success of South Lanarkshire College.

In line with the Health and Safety at Work Act 1974 the College is aware of its duty to ensure, so far as is reasonably practicable, the health, safety and welfare of all employees, students, visitors, contractors, and others who may be affected by its activities. The College understands its statutory duties to include:

a. the provision and maintenance of plant and systems of work that are, so far as is reasonably practicable, safe and without risks to health;
b. arrangements for ensuring, so far as is reasonably practicable, safety and absence of risks to health in connection with the use, handling, storage and transport of articles and substances;
c. the provision of such information, instruction, training and supervision as is necessary to ensure, so far as is reasonably practicable, the health and safety at work of his employees;
d. so far as is reasonably practicable as regards any place of work under the employer's control, the maintenance of it in a condition that is safe and without risks to health and the provision and maintenance of means of access to and egress from it that are safe and without such risks;
e. the provision and maintenance of a working environment for his employees that is, so far as is reasonably practicable, safe, without risks to health, and adequate as regards facilities and arrangements for their welfare at work.

(General Duties of Employers to Employees, Health and Safety at Work Act, 1974)

The effectiveness of the Board's Health and Safety Policy will be monitored regularly and reviewed, in consultation with employees and their representatives as well as other stakeholders such as internal auditors. The Board is committed to continual improvement in the management of health and safety and the development of a positive and robust health and safety culture. To support this policy the Senior Leadership Team will ensure adequate resources are provided to enable the aims of this policy.

The College will:

- aim to prevent accidents and cases of work-related ill health;
- provide adequate control of health and safety risks arising from work activities including systematically identifying hazards to assess and control risks.
- implement and maintain an effective and properly resourced health and management system;
- define and delegate specific health and safety responsibilities;
- on an annual basis set health and safety targets and objectives which will be reviewed periodically;
- provide adequate health and safety information, training and supervision;
- maintain effective systems of communications on health and safety matters;
- consult with employees and their representatives on health and safety matters; and
- comply with legal requirements, approved codes of practice, guidance, andrecognised sector best practice.

The Senior Manager with overall responsibility for Health and Safety is the Principal and the management appointee with responsibility for coordinating Health and Safety is the Facilities Manager.

Health and Safety responsibilities are included in job descriptions, as appropriate to eachpost. In addition, all employees, students, visitors, contractors and others on College premises have a duty to take reasonable care of themselves and all other persons who may be affected by what they do or fail to do.

Overall responsibility for effective Health and Safety lies with the Principal and SLT. All employees must co-operate with the College in fulfilling its statutory duties and the aims of the Health and Safety Policy.

To enable the College to meet its statutory duties and commitments set out above, a comprehensive management system will be operated, which will include written procedures and arrangements for all relevant areas of health and safety management. The management system covers all College activities on campus.   To ensure that the Health and Safety Policy is kept up to date it will be reviewed annually by the Health and Safety Group, the Senior Leadership Team (SLT)and the Board of Management to ensure that account is taken of any applicable legislative changes, new guidance or best practice and to identify and correct and deficiencies.

	Date	
Principal of South Lanarkshire College		
	Date	
Chair of Board of Management of South Lanarkshire College		

SPECIFIC POLICY AND SCOPE

The Board regards these health and safety obligations as a minimum standard to be achieved throughout all College activities and requires staff, at every level, and students to accept the promotion of high standards in health and safety as a core objective.

The College will provide a safe environment for all employees, students, contractors, andvisitors which comply with current health and safety legislation so far as reasonably practical, including, making reasonable adjustments to comply with College policy for equalities and inclusiveness.

The College will:

- provide and maintain places of work that are, safe and without undue risks to health. Ensure that all premises, means of access and egress, plant equipment and vehicles under College control are designed, constructed, maintained, and used, with due regard to health and safety;
- make arrangements for ensuring safety and absence of risks to health in connectionwith the use, handling, storage and transport of articles and substances. Assess the risks to health of harmful substances used by employees and students and introduce measures to remove/minimise such risk, so far as is reasonably practicable;
- ensure adequate information is available with respect to machinery and equipment used, detailing the conditions and precautions necessary to ensure they are used without risk to health and safety;
- provide information, instruction, training, and supervision as is necessary to ensure the health and safety at work of employees, students, contractors and visitors.
- adopt the 'hierarchy of risk management' approach, whereby hazards are eliminated or substituted where reasonably practicable before considering the need for engineering control and then segregation. Only where this cannot be reasonably achieved will Personal Protective Equipment (PPE) be considered;
- provide protective clothing and equipment as necessary and ensure that personnel are adequately trained in the correct use of this and that it is worn/used when required and that it is checked and maintained regularly;
- provide facilities as appropriate to enable staff's health and safety;
- support Trade Union and other staff representatives to perform their functions and consult with them in promoting and developing measures to ensure high standards of health and safety at work and promote, through the consultative machinery, joint consultation on health and safety matters and encourage effective participation in such matters by employees;
- always ensure that there is suitable training and retraining available for first aiders and arrange for the provision of first aid services to ensure, prompt and appropriate treatment of illness and injury occurring during the course of work;
- ensure that a satisfactory system is maintained for reporting, collecting, analysing, and presenting information on accidents, incidents, and sickness at work in order to facilitate all necessary investigative and corrective action;
- arrange for medical advice to be provided on any aspect of health at work including the rehabilitation of employees returning to work following illness or injury; and
- provide and maintain a health surveillance programme where appropriate.

THE ORGANISATION

Table 1: Reporting Structure for Health and Safety Concerns

Board of Management		
Principal and Chief Executive Officer		
Depute Principal		
Business Support and Curriculum Managers	Head of Facilities and Health and Safety	Associate Principals
Health and Safety Advisor		
Teaching and Support Staff		
Students		

It is the role of every member of staff, student and visitor to the College to ensure that all Health and Safety concerns, hazards, issues or incidents should be reported directly either to the appropriate line manager, the Health and Safety Advisor or the Head of Facilities and Health and Safety.

RESPONSIBILITIES AND ARRANGEMENTS

It is recognised that the successful management of health and safety requires the commitment of all people within the organisation. The purpose of this policy is, therefore, to define the health and safety roles, responsibilities, and accountability of College employees, from senior management throughout the management chain.

The College recognises that **all** individuals within the organisation have a responsibility to ensure their own safety and that of others. Consequently, all employees will have the potential to be held liable if their negligent acts or omissions result in harm being caused to any other persons. Those in positions of responsibility have additional obligations, by virtue of their 'managerial' functions. Indeed, the Health and Safety Executive (HSE) document *Enforcement Policy Statement*, HSE 41, Paragraph 43, notes the following on'Prosecution of individuals':

"*... enforcing authorities should identify and prosecute or recommend prosecution of individuals if they consider that a prosecution is warranted. In particular, they should consider the management chain and the role played by individual directors and managers and should take action against them where the inspection or investigation reveals that the offence was committed with their consent or connivance or to have beenattributable to neglect on their part, and where it would be appropriate to do so in accordance with this policy. Where appropriate, enforcing authorities should seek disqualification of directors under the Company Directors Disqualification Act 1986.*"

The following sections set out the principal health and safety related responsibilities of individuals within the organisation. These duties will be in addition to the general duty on all individuals to ensure the health, safety and welfare of themselves and all others who may be affected by their undertakings.

In addition to the *individual* liability of senior staff, the *Corporate Manslaughter and Corporate Homicide Act 2007* allow *companies* and *corporations* to be prosecuted for corporate homicide (in Scotland) where serious management failures result in death. Under this Act there is no longer the need to identify a 'controlling mind' (i.e., one individual whose negligence or recklessness caused the death) to convict an organisation of homicide, thus making it easier to prosecute organisations.

The management responsibilities defined within this Policy should ensure that adequate and appropriate managerial control is exercised over health and safety issues to prevent against prosecution for corporate homicide.

Responsibilities – The Board of Management

The Board of Management, headed by a chairperson, comprises non- executive members, the only exception being the College Principal and Chief Executive, who is the only executive member, provide professional, community and stakeholder representation and is accountable to the Scottish Government (SG) through the Lanarkshire Regional Board and Scottish Funding Council. They are the employer of College staff and have a duty of care for their employees. They are required to ensure the quality of the provision of health and safety across all College activities and locations.

It is recognised that the Board of Management, while not actively involved in the daily running of the College, has certain responsibilities in terms of health and safety and the following procedures will be adopted to ensure these responsibilities are effectively discharged. The Board of Management will:

- approve the vision and overall strategy for the direction of health and safety management within the College and drive forward continual health and safety improvements;
- consider health and safety under the risk standing item on the agenda of all Board of Management meetings;
- ensure that College management provides monitoring and reporting of health and safety performance to the Board of Management and/or an appropriate standing committee;
- review the College's health and safety performance annually against its health and safety team development plan;
- ensure that the College's Health and Safety Policy reflects current legislation and Board of Management priorities;
- review any significant health and safety failures and results of any subsequent independent investigations; and
- ensure that health and safety systems are in place and remain effective.

	Date:	
Chair of Board of Management of South Lanarkshire College		

Responsibilities – The Human Resources Committee

The Human Resources Committee will place Health and Safety as a standing item on the agenda of all general meetings. This will allow reporting on safety performance, funding requirements, safety failures and other health and safety related issues. The Committee will give all such issues due consideration and will make available all reasonable funding and support as may be required.

The Human Resources Committee will consider the findings of all internal and external health and safety audits carried out within the organisation and will authorise the use of all reasonable support required to rectify any significant non-compliance issues by such audits.

The Human Resources Committee will take an active interest in the investigation of any significant safety failure, making available all reasonable resources for a full investigation and for the taking of adequate measures to rectify any deficiencies in the existing arrangements.

Signature		Date	
Human Resources Committee Chair			

Responsibilities – The Principal and Chief Executive Officer

The Principal and Chief Executive Officer holds responsibility for the day to day running of the College and it is recognised that this function also incurs the overall responsibility for health and safety management within the organisation. The Principal and Chief Executive is responsible for ensuring the implementation of the policy and arrangements supported by the Head of Facilities and Health and Safety.

The Principal may be held liable where health and safety offences are committed with their consent or connivance or as a result of their negligence.

The Principal and Chief Executive will:

- approve the Health and Safety Policy and will sign the Health and Safety Policy along with the Chair of the Board of Management, where there is a change of Principal, the incoming Principal will sign the documentation upon appointment to demonstrate commitment and acceptance of responsibilities;
- approve the appointment of the Head of Facilities and Health and Safety (who will have accountability for the day-to-day health and safety management and performance) by ensuring that they have the requisite competence and are providedwith resources to effectively fulfil the role;
- be responsible for reviewing relevant reports, documentation and information provided by the Head of Facilities and Health and Safety and for taking appropriate action to ensure adequate resources are made available to rectify any safety failures and to improve health and safety performance;
- be responsible for the reporting of health and safety performance to the Board of Management but may delegate this task to the Depute Principal or the Head of Facilities and Health and Safety; and
- ensure that adequate resources are provided to achieve compliance with the Health and Safety Policy and associated arrangements and will take all appropriate action to rectify failures that require intervention above the management grade of the Head of Facilities and Health and Safety.

Signature		Date	
Principal and CEO of South Lanarkshire College			

Responsibilities – Head of Facilities and Health and Safety

The Head of Facilities and Health and Safety has been given specific responsibility for the performance of the College against the Health and Safety Policy and associated arrangements. Therefore, the Head of Facilities and Health and Safety will be responsible for implementing the policy and arrangements that have been approved by the Board of Management, the Principal and the Senior Leadership Team.

The Head of Facilities and Health and Safety may be held liable where health and safety offences are committed with her/his consent or connivance or as a result of his/her/their negligence.

The Head of Facilities and Health and Safety will:

- be responsible for reporting to the Principal health and safety performance, funding requirements, resource implications, safety failures and other health and safety related issues;
- ensure that health and safety considerations are taken into account for all new investment opportunities and in the organisation's purchasing policy. The objective will be to minimise risks as early in the purchasing chain as is reasonably practicable. Where required, the Head of Facilities and Health and Safety will refer decisions to the Principal;
- develop, review, and update annually the College Health and Safety Policy and Procedures;
- prompt and encourage the promotion of a positive health and safety culture across the College in order to secure the effective implementation of the Health and Safety Policy;
- be responsible for all health and safety planning including the setting of objectives and priorities;
- assist in identifying hazards, assessing risks, and identifying suitable means of control;
- implement plans and monitor control measures employing active and reactive techniques;
- review performance and ensure the routine auditing of the whole of the health and safety management system;
- maintain adequate information systems on relevant laws and safety management practices;
- provide interpretation of health and safety laws and their implicationsfor the organisation;
- assist in the establishment, development and maintenance of risk control standards relating to 'software' (such as procedures, systems and people);
- maintain the procedures for recording, reporting, investigation and analysis of accidents, incidents, and cases of ill-health;
- establish and maintain adequate and appropriate active monitoring and auditing systems;
- establish and develop professional relationships at all levels within and outside of the organisation (including the Health and Safety Executive, Trade Bodies, Colleges Scotland.);
- be responsible for dealing with all health and safety issues referred to him/her/them by managers, staff, students and trade union safety representatives and Committees;
- in conjunction with the Human Resources (HR) department be responsible for maintaining an adequate programme of staff training in health and safety, ensuring that all staff are given appropriate instruction, information and training to reduce the risks associated with their work to an acceptable level.
- in conjunction with HR, will be responsible for planning and approving all health and safety training;
- ensure that adequate communication channels exist throughout the entire organisation to allow health and safety issues to be dealt with in a timely andeffective manner;
- be responsible for reviewing all reports and documentation provided bydepartments and faculties in accordance with the Health and Safety policy and for taking appropriate action to rectify non- compliance and to achieve continual improvement;
- be responsible for reviewing and taking appropriate actions for any health and safety related issues raised via the appropriate channels;
- will ensure that where any amendment that is made to the text or other content of the Health and Safety Policy and supporting documents, it is duly authorised, referenced and communicated; and
- The Head of Facilities and Health and Safety will work with other staff such as the Health

and Safety Advisor to:

- -be responsible for maintaining records of all health and safety information provided to contractors;
- -be responsible for communicating with contractors in respect of health and safety and for arranging responses to any health and safety related questions and queries. Records of all communications will be retained by the Facilities area; and
- -be responsible for operating a 'Permit to Work' system for all contractors. Records of all such permits will be retained by the Facilities area.

Signature	Date
Head of Facilities and Health and Safety	

Responsibilities – The Senior Leadership Team

Due to the senior 'managerial' function performed by the Senior Leadership Team, it is recognised that they may be held liable where health and safety offences are committed with their consent or connivance or as a result of their negligence. The Senior Leadership Team will:

- ensure the active participation of their areas in the Health and Safety Committee. This will involve the identification of health and safety concerns within their areas, the raising of pertinent issues for consideration by the Committee and the actioning of all measures identified by the Committee and management staff as required;
- , so far as reasonably practicable, implement all relevant policies, procedures, and arrangements within their areas, as required by the Health and Safety Policy, Health and Safety Committee and other direction from senior staff and other relevant groups;
- so far as reasonably practicable ensure that adequate communication channels exist throughout their areas of responsibilities to allow health and safety issues to be dealt with in a timely and effective manner. All staff will be given the opportunity to raise any safety related queries with their line managers, or a member of the Senior Leadership Team;
- so far as is reasonably practicable, ensure that all departmental staff adhere to all relevant risk assessments, adopt safe working procedures, work in accordance with any training provided and properly use control measures, protective equipment or other health and safety materials, and that they are appropriate for the nature of the work carried out;
- raise without undue delay with the Head of Facilities and Health and Safety
- where the need for further training or any other form of risk control for staff is identified;
- where any significant breach of Health and Safety procedures is identified, ensure appropriate action is taken to reduce the immediate risk and report the issue to the Head of Facilities and Health and Safety without undue delay. All such incidents will be reported to the Health and Safety Committee; and
- the Senior Leadership Team will be responsible for the risk assessment process within their areas of responsibilities. This will include ensuring that all appropriate risk assessments are completed and reviewed in a timely and effective manner and that all identified risk control measures are implemented.

Signature		Date	
	Depute Principal		
Signature		Date	
	Associate Principal of Curriculum		
Signature		Date	
	Associate Principal of Curriculum		
Signature		Date	
	Head of Finance		
Signature		Date	
	Head of Human Resources		
Signature		Date	
	Head of Student Services and Marketing		

Responsibilities – Head of Human Resources (HR)

The Head of Human Resources will be responsible for ensuring that effective recruitment and selection processes are in place to ensure the competency of those selected for employment.

The Head of Human Resources will be responsible for ensuring that reference to staff health and safety responsibilities is contained within standard written statements of employment.

The Head of Human Resources is responsible for ensuring appropriate health and safety training is in place for all employees.

Responsibilities – Heads, Managers (including Curriculum Managers) Depute Heads, Supervisors, and Team Leaders

It is recognised that Heads, Managers (including Curriculum Managers) Depute Heads, Supervisors and TeamLeaders. may be held liable where health and safety offences are committed with their consent or connivance or as a result of their negligence.

Heads, Managers (including Curriculum Managers) Depute Heads, Supervisors and TeamLeaders have responsibilities which are listed below. All managers.:

- must be conversant with the Board's safety policies and procedures;
- will ensure that staff, students, or visiting workers for whom they are responsible receive suitable induction training and information about emergency procedures;
- will ensure the necessary risk and Control of Substances Hazardous to Health (COSHH) assessments have been carried out and are reviewed routinely and that the safety provisions relating to the work discussed with those conducting the activity;
- will ensure that relevant safety documentation is readily available for reference to auditors and/or regulating authorities;
- are to ensure that personnel for whom they are responsible have received training appropriate to their needs and that all such training is documented;
- will ensure that they conduct regular Health and Safety 'toolbox talks' with staff for whom they are responsible. These 'toolbox talks' can be carried out during routine staff / team meetings;
- should ensure that the work environment and equipment are safe and well maintained, identifying, and correcting hazardous conditions;
- may be required, after consultation with the Head of Facilities and Health and Safety or the Health and Safety Advisor, to assist in the investigation of accidents or incidents revising risk assessments, where necessary;
- will assist the Head of Facilities and Health and Safety and/or the Health and Safety Advisor in the identification of relevant staff for occupational health surveillance. Further, they will ensure that these individuals, who are registered with the Occupational Health Service, attend health surveillance appointments as and when required;
- will monitor staff compliance with risk assessment and COSHH control measures and censure those who fail to comply;
- will ensure proper disposal of waste materials in accordance with College procedures;
- will ensure that the levels of supervision provided are influenced by the severity of risk in the workplace and the competence of the employees/students involved;
- will ensure that the levels of supervision provided are sufficient to accommodate the particular needs of:
  - those who undertake high risk tasks;
  - new employees;
  - young persons (A young person is anyone under 18);
  - new or expectant mothers; and

- o Lone workers.
- will ensure that the levels of supervision are suitable and sufficient to accommodate staff handovers;
- should recognise and promote the benefit of on-the-job coaching and team building to develop a positive health and safety culture within their area of responsibility;

Responsibilities – Employees

All staff have general duties to ensure their own safety and that of others. The Health and Safety at Work Act 1974 notes the following in respect of staffs' duties:

"*It shall be the duty of every employee while at work –*

a) to take reasonable care for the health and safety of himself/herself/themselves and of other persons who may be affected by his/her/their acts or omissions at work;and
b) as regards any duty or requirement imposed on his/her/their employer or any other person by or under any of the relevant statutory provisions, to co- operate with him/her/them so far as is necessary to enable that duty or requirement to be performed or complied with."

The following procedures will, therefore, be adopted by all staff to ensure these duties are adequately discharged. Staff will comply with the policies, procedures and arrangements and with any information, instruction and training provided. In addition, any risk control measures, and equipment provided to ensure safe working practices will be properly used. All staff:

- shall report immediately any identified breaches of health and safety procedures, any accidents or safety related incidents and any aspect which appears to them to give rise to a significant risk to the Health and Safety of staff or other persons to the Head of Health and Safety and to their line-management;
- will inform their line-manager, the Head of Facilities and Health and Safety or the appropriate member of the Senior Leadership Team without undue delay where they believe that further training or other risk control measures would be beneficial. Where the employee believes significant risk to be present those tasks will not be carried out and the Head of Facilities and Health and Safety or the Health and Safety Advisor should be informed without delay;
- will co-operate in all safety programmes, training, risk assessments and other initiatives that are intended to reduce risk and are to actively implement any control measures identified to them as being required; and
- will not participate in horseplay, practical jokes or other acts which may result in harm being caused to themselves or to other individuals.

Responsibilities – Students

Safety is an integrated function of College management and each manager is responsible for safety performance in his/her/their sphere. The active co-operation and understanding of safety procedures by students is a vital element of the College safety approach. The avoidance of accidents is a common interest of all employees and students.

The Board of Management requires all students to:

- comply with the letter and spirit of current Health and Safety legislation, Approved Codes of Practice, authoritative guidance, and College Health and Safety Rules;
- recognise that each person is responsible not only for his or her own safety but also for the safety of anyone else who could be affected by his or her acts or omissions;
- support actively and co-operate with the pursuit and maintenance of standards of health, safety and welfare that are exemplary to the education sector;
- not interfere with or misuse anything which has been provided by the College in the interest of health, safety or welfare;
- use any safety equipment and safe systems of works as instructed by academic and management staff; and
- not participate in horseplay, practical jokes or other acts which may result in harm being caused to themselves or to other individuals, and /or result in situations with the potential to cause harm.

Responsibilities – Health and Safety Committee

The Health and Safety Committee will provide an open forum for the discussion of all health and safety related issues raised by members of the Committee and by any other relevant sources. The Committee allows representation from health and safety representatives appointed by recognised trades unions and individual employees, thus allowing access to all employees and employee groups.

- The Committee will meet at regular intervals throughout the academic year with meeting dates published at the commencement of each academic year;
- Other than the absence of the Head of Facilities and Health and Safety or the Health and Safety Advisor, a meeting should not be cancelled or postponed except in exceptional circumstances with the rearranged date being announced as soon as is practicable;
- If a member of the Committee is unable to attend a meeting, the member should nominate a named substitute;
- The quorum for the Health and Safety Committee will be five members;
- All Committee members will undergo suitable training, which will include as a minimum 'Health and Safety Awareness'. This will ensure that all members have a working knowledge of the topic, commensurate with their role in the Committee and within the organisation as a whole;
- The Head of Facilities and Health and Safety and / or the Health and Safety Advisor will present a Health and Safety update report to the Committee at each meeting. The Committee will review routinely health and safety performance, analyse accident statistics, reported breaches of policy and procedures, audit and inspection reports and data from other information gathering exercises. Recommendations on options to improve safety performance will be made to the Principal and Chief Executive Officer without undue delay;
- The Committee will propose via meeting minutes and subject to the Principal's approval, members and to other appropriate persons within the organisation, actions required to be taken to implement policies, procedures, arrangements, and any other initiatives; and
- The Committee will suggest solutions and initiatives for issues arising, which will be minuted and presented to the Senior Leadership Team following each meeting, without undue delay and will form part of the Health and Safety report presented to the Human Resources Committee. Where appropriate, the Committee will propose policy revisions, procedures, and arrangements, for ultimate approval by the Board of Management.

Responsibilities – Contractors

A contractor is an individual or company that the College does not employ but who is commissioned/contracted, to carry out a set task or tasks during the duration of contract, whether or not this is on a formal contract basis.

Contractors shall:

- always comply with the Health and Safety at Work etc. Act 1974 (HSAWA)and all subordinate legislation;
- adhere to the Construction (Design and Management) Regulations 2015(CDM);
- at all times, whilst engaged on a contract, ensure that their operationsare executed under the controlled supervision of a named individual onsite;
- inform the Head of Facilities and Environmental Sustainability of the named individuals on site; and
- prior to commencing work undertake appropriate risk assessments and provide the Head of Facilities and Health and Safety with both completed risk assessments and method statements for the work to be carried out;
- inform the Head of Facilities and Health and Safety of any changes to the method statements or risk assessments provided;
- comply with all safety instructions issued by the College;
- work to a permit-to-work system for certain operations indicated or arising from the initial method statement and risk assessment stage which are considered to pose high risks; and
- at all times use their own equipment and tools unless it has been pre- arranged with the Head of Facilities and Environmental Sustainability.

Accidents, First Aid and Work-Related Ill Health

The Head of Facilities and Health and Safety in co-operation with the Human Resources Team will be responsible for:

- maintaining an Occupational Health provision with suitable external consultancy;
- maintaining a recording keeping system for all Health and Safety surveillance records which relate to individual employees. This record keeping system should include the effective reporting of near misses as well as a clear explanation on what constitutes a near miss.
- assisting Managers conduct Individual Stress Risk Assessments; and
- maintaining records of work-related ill health.

The College has undertaken a risk assessment related to the provision of First Aid and First Aiders. This will be reviewed on an annual basis. The risk assessment has identified the number and spread of First Aiders required by the College.

A list of appointed First Aiders will be maintained by the Head of Facilities and Health and Safety and will be displayed in appropriate places in the College estate. First-aiders will be responsible for:

- administering first-aid in line with their training, competence, and confidence where situations dictate;
- recording all accidents on the College accident report form.
- recording all incidents/near misses on the College incident form.
- Incident forms are kept on the intranet and hard copies will be kept at the reception area; and
- Informing Head of Health and Safety with regards accidents resulting in injury so that they be entered onto the College Accident Management System.

Responsibility for reporting all RIDDOR-reportable occurrences to the enforcing authority lies with:

- The Head of Facilities and Health and Safety
- The Head of Human Resources

First Aid rooms are located at:
- Lower ground floor LG63
- 1st Floor Room 141

Distribution of the Health and Safety Policy

The College Health and Safety Policy will be available as follows:

- College Website and staff intranet
- Issue to all new staff through the induction process with appropriate training being provided.

BOARD OF MANAGEMENT

DATE	4 October 2022
TITLE OF REPORT	Learning, Teaching and Assessment Strategy
REFERENCE	09
AUTHOR AND CONTACT DETAILS	Stella McManus, Depute Principal Stella.McManus@slc.ac.uk
PURPOSE:	To ask Members to approve the Learning, Teaching and Assessment Strategy 2022-23
KEY RECOMMENDATIONS/ DECISIONS:	Members are asked to: • Approve the Learning, Teaching and Assessment Strategy; • Approve and support a working group to review the College's approach to learning and teaching.
RISK	• That the learning and teaching staff are not aligned to the aims of the strategy impacting on student success.
RELEVANT STRATEGIC AIM:	• Successful Students • The Highest Quality Education and Support • Sustainable Behaviours
SUMMARY OF REPORT:	• The College has never had a Learning, Teaching and Assessment Strategy. This strategy aims to provide an overview of South Lanarkshire College's approach to learning, teaching and assessment for students, all staff involved in providing learning and other stakeholders. • This first strategy provides a foundation for the strategic direction of learning and teaching at the College which is working towards creating a culture of reflective practitioners focussed on creating the best possible outcomes for their students. • This paper will need to be revised due to the Scottish Funding Council's Review of Coherent Provision and Sustainability, which includes developing a single quality assurance and enhancement framework for tertiary education. • The management team is committed to setting up a working group to support the ongoing development of high-quality learning and teaching at the College. • There are no new matters for people with protected characteristics or from areas of multiple deprivation which arise from consideration of this policy.

LEARNING, TEACHING AND ASSESSMENT STRATEGY

We believe everyone regardless of identity or background - should have access to learning opportunities that enable them to always keep achieving.

Version Number: 1.0

Document Information

Procedure Published/Created:	Aug 2022
Reviewed Date:	Aug 2023
Owner:	Stella McManus
Approved by:	SLT Aug 2022 Curriculum, Quality and Development Committee August 2022 Board of Management
Equality Impact Assessment:	Yes
Next Review Date:	Aug 23

Version History

Version Number	Date	Author	Rationale
One	August 2022	Stella McManus	To provide the College with a foundation for the strategic direction for its learning and teaching in the 21st century.

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.

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Learning, Teaching and Assessment Strategy

INTRODUCTION

South Lanarkshire College (SLC) has set clear, ambitious, goals through our vision to be Scotland's Leading College Delivering Excellence. Our mission of *"Preparing students well for their future, in an outstanding learning environment and inclusive community,"* makes the College distinctive in its focus on student progression and destinations, and the way in which the College engages students' future employers in the design and delivery of its curriculum.

All of the College quality assurance and enhancement efforts including work on staff training, development and career reviews, are aligned with our strategy. The Board has set clear, high, expectations for our provision under the following headings:

- Successful Students.
- Highest Quality Education and Support
- Sustainable Behaviours

These priorities help the College to ensure that its strategy is apparent in the effective support that it provides for its students. They also ensure that the College is meeting the requirements of the "*How Good Is Our College?"* framework and the Curriculum for Excellence, whilst embracing the key themes of the Adult Learning Strategy 2022 to 2027, Skills Development Scotland's "Skills 4.0" 2018 report – and preparing our students for the world of work. The College provides a learning environment where students are equipped with the specific skills required to progress onto their chosen destinations. As well as these students are supported to reflect on their skills and are able to build on developing, cultivating and executing other skills. Through our learning teaching and assessment approaches our students are empowered to be successful students, confident individuals, responsible citizens and effective contributors.

Our approach also reflects our values:

- Inclusive and Diverse
- Passionate About Our Roles and Responsibilities
- Continually Improving
- High Achieving
- Reducing Our Environmental Impact
- Delivering Community and Social Value
- Committed to Health and Well Being
- Creative and Innovative

Learning, Teaching and Assessment Strategy

- A Listening Organisation

OUR APPROACH

South Lanarkshire College's main aim is that all staff are involved in delivering and supporting learning for students across all provision types are able to flourish as expert practitioners and transform the lives of all students, including those with Additional Support Needs (ASN). The College believes that the learning process is an equal partnership between both students and learning professionals and that high-quality learning, teaching and assessment results in increased success and progression for students. Success is determined by the development of citizenship, vocational and technical knowledge and skills, which are directly linked to current practices within their chosen industry and their role in society.

The College upholds the Curriculum for Excellence (CfE) four fundamental capacities of successful learners, confident individuals, responsible citizens and effective contributors. Ambitious progression results from students being able to take advantage of the opportunities, responsibilities and experiences that prepare them for their next stage in education, training or employment.

South Lanarkshire College's approach to learning, teaching and assessment is to:
- provide high quality learning opportunities for individuals to progress onto further study and/or into employment that promote equality of opportunity and lead to continuously improving attainment rates by our students;

- provide high quality academic, social and personal support to individuals to enable success and progression;

- ensure students are equipped with the skills for life in general, including meta skills, leading to success in citizenship, employment and progression to further education and training and higher education; and

- in accordance with the College's widening participation values, it recognises that many students will come from non-traditional academic pathways, and this is reflected in how we work with students which encourages differentiation and active learning within its pedagogy.

South Lanarkshire College aims to:
- encourage students to take responsibility for their learning, to become effective students and to achieve their desired outcomes;

- establish and continually develop a learning culture that has clear direction and purpose, has high expectations, that is flexible, and that seeks to meet the needs of all students;

- promote student involvement and engagement to bring about continuous improvement in learning, teaching and assessment;

- develop Core Skills including communication, numeracy and digital skills of students;

- develop students' wider employability, entrepreneurial and meta skills;

- develop the skills for active citizenship;

- develop students' understanding and commitment to sustainability and Scotland's role in reaching net zero emissions by 2045.

- develop and enhance lecturers' and other support staff's expertise in learning, teaching and assessment by providing appropriate continuous professional development;

- support staff to maintain occupational competence, currency and pedagogy;

- promote the use of assessment for learning as part of teaching and training practice; and

- demonstrate an open and caring approach to students to foster an inclusive community where all are treated as responsible and equal individuals.

South Lanarkshire College will seek to create a learning culture in which there is:

- comprehensive planning of learning programmes to meet individual needs and aspirations;

- thorough planning of learning sessions;

- differentiation of activities to meet the individual needs of students;

- sharing of good practice;

- technology is used highly effectively to support and stimulate learning;

- promotion of independent learning producing expert students;

- respect for, and engagement with students and their views;

- high levels of success;

- celebration of success by students and staff;

- promotion of safeguarding and safe working practices;

- development of employability and of personal and social skills; and

- good levels of progression into further study, training or employment

PROFESSIONAL STANDARDS

South Lanarkshire College recognises the "Professional Standards for Lecturers in Scotland's Colleges" as central to its aspirations that all students develop a wide range of skills and capacities. These standards have been developed jointly by the College Development Network and the General Teaching Council Scotland and are designed to support and encourage lecturers and all staff who contribute to learning and teaching to develop a clear understanding of their role and how they contribute to wider student outcomes.

The standards, which can be found here, are developed around three interdependent elements which describe:

PROFESSIONAL VALUES   PROFESSIONAL KNOWLEDGE AND UNDERSTANDING   PROFESSIONAL PRACTICE

(Professional Standards for Lecturers in Scotland's Colleges, College Development Network, 2020)

These standards, detail expected/indicative content for teacher training/education programmes and also set out the professional standards for lecturers in relation to:

- guidance and support;
- planning and preparing the learning experience;
- teaching/facilitating learning;
- assessment;
- quality and standards; and
- professional practice and development.

The College will seek to use these standards as a basis for promoting consistently high-quality practice, which goes beyond initial teacher training. It is committed to:

Learning, Teaching and Assessment Strategy

- give learning and teaching issues and priorities an effective voice in long term discussion, debate and planning across the organisation;
- create a team that can lead / coordinate learning, teaching and assessment through focussed initiatives to support a high-quality learning and teaching;
- follow up on learning, teaching and assessment development work to investigate the impact on staff and students and share those findings to inform future planning;
- act as a link to the wider world of learning, teaching and assessment through reading, research, policy, practitioner insights and case studies and networking with other institutions to bring current theory and practices back into the College for consideration;
- develop a culture, and ethos of critically reflective practice, through allowing lecturers to collaborate and share, and gauge what impact their practice has on students;
- promoting professional dialogue about teaching and learning, and consistently taking a corporate approach to tackling issues to ensure high quality; and
- act as change agents or champions for ensuring that College culture is more focussed on learning, teaching and assessment.

SUPPORTING THE APPROACH

The College explicitly supports its Learning, Teaching and Assessment Strategy in a number of ways:

- The Quality Forum
- The Quality Audit Group
- The Quality Enhancement Group
- Professional Discussion of Learning and Teaching
- Professional learning arrangements which have a strong focus on learning and teaching, and supporting staff to obtain teaching qualifications which reflect the professional standards for lecturers;
- Quality enhancement processes involving staff teams reflecting on how programmes have been delivered and, on the changes, to learning and teaching which can improve retention, attainment and enhance the development of skills.
- The Course Tutor / Guidance Lecturer roles ensure that each student is supported to plan their learning and assessment, and review their progress helping to develop their learning skills ensuring they receive regular and meaningful feedback;
- Dedicated information, advice and guidance support services are available to respond to specific individual needs of students;

- Professional Development and Review processes enable staff to work with line managers to plan activities to enhance their learning, teaching and assessment practice.

BOARD OF MANAGEMENT

DATE	4 October 2022
TITLE OF REPORT	Governance Improvement & Review
REFERENCE	10
AUTHOR AND CONTACT DETAILS	Peter Scott Peter.scott@slc.ac.uk
PURPOSE:	To provide the Board with an updated version of the Governance Improvement Plan and consider replacing it with a rolling Governance Review Update
KEY RECOMMENDATIONS/ DECISIONS:	- The Board of Management should now recognise that the July 2022 version of the GIP shows that the Action Points have now been sufficiently addressed to permit the GIP to be closed off. - Best Practice suggests that Governance should be a matter for ongoing review and accordingly that it should be replaced with a structured Governance Review by specific reference to the principles set out in the Code of Good Governance and identifying areas for review and / or potential improvement - Accordingly, the Clerk should be instructed to liaise with the appropriate Funding Bodies to agree a suitable way forward and thereafter work with the Principal and the Chair of ARC to produce a suitable model which can be presented to the Board at the first available opportunity
RISK	Governance is now recognised as a potential strategic management risk and as such appears on the current College Risk Register.
RELEVANT STRATEGIC AIM:	- Highest quality education and support. - Sustainable Behaviors. - Successful Students
SUMMARY of Key Points:	The GIP was originally considered by the Board of Management at its meeting on 1 February 2022. It has since been regularly reviewed and updated. The attached version of the GIP represents the situation as at the end of the academic year 2021/2022. It will be noted that the majority of the action points are now in the green as being completed, that there are none in the red and only a few in the amber as being items which can safely be carried

	forward to a successive academic year
	It would be consistent with the Code of Good Governance that there be a process in place to monitor ongoing review of Governance.

GOVERNANCE IMPROVEMENT PLAN 2021-2022

The actions to deliver improvement contained in this plan will be developed and implemented to address any previously identified or emerging issues identified in the ongoing review of Governance at South Lanarkshire College. This could be as a result of a review by an external body, a Board of Management self-evaluation, Board member feedback or other expert advice received by the Board of Management.

A RAG system has been used to enable tracking of progress against actions and timescales

Development Issue Emerging from Recommendation or Evaluation	Source	Action	By Whom and When	Status and Progress Update as at 31st July 2022
1. Board and committees remit and workplan should be aligned with the College Strategic Framework (2020-25)	SFC Review (Camm Report) CDN EER	- Review remits of board and committees in line with code of good governance	Chairing Member and Acting Clerk to the Board with the Acting Principal 31/3/22	Revised remits have been approved by the Committee Chairs and will be presented to the Board for approval at an EGM on 23rd August 2022 and this will conclude this Action. A new Model Standards Code was approved by the Board and is now on the College website.
		- Review the governance manual containing remits and standing orders	Acting Clerk to the Board 31/1/22	This document is fully up-to-date and includes the Code, the Standing Orders and full documentation including the Guide for Public Boards and Guidance on Ethics and Behaviours
		- Devise a set of KPI's and monitoring system linked to the strategic	SLT with Board by 30/6/22	Many KPI's are already monitored and regularly

		framework and annual operational plans		reported to the Board. This will be further reviewed during the Spring cycle of meetings. At the March 2022 Board meeting top line KPIs were agreed.
		- Hold a joint Board and SLT workshop to determine required levels of reporting	SLT and Board 31/3/22	Initial discussion held at Board Development Event on 1st February 2022. Further reporting discussions to be held at each Board Committee during the Spring Cycle of meetings. Strategy Day involvement on 16 May.
		- Create an annual work plan for the board and review mid-year.	Acting Clerk to the Board by 31/3/22	This was reviewed at the Strategy Session on 16th May and the final workplan will be presented at the next available Board – which will conclude this action
2. Improved clarity is required in the balance of operations particularly regarding the boundary between the role of executive and non-executive functions.	SFC Review (Camm Report)	- Board training and development session to be held to include induction for new members and refresh training for existing members	Chairing Member and Acting Clerk to the Board with the Acting Principal 31/1/22	Board Development Event held on 1st February 2022, including discussion on further training needs for the Board and for individual members
		- A session dedicated to this subject to be included in the Board Development Event in February 2022	Acting Principal and Chairing Member	An introductory discussion was held, and a new Scheme of Delegation was approved by the Board on 16th May. This has now been placed on the college website and this action point is now complete

3.	Conflicts of interest need to be declared, identified and acted upon appropriately in the operation of the Board and all committees	SFC Review (Camm Report)	- To be a particular focus of the Board training and development session	Chairing Member and Acting Clerk to the Board with the Acting Principal 31/1/22	Included in Board Development Event on 1st February 2022
			- Ensure that procedures relating to the recording of conflicts of interest and the handling of this matter during meetings adheres to the Governance Manual	Chairing Member and Acting Clerk to the Board with the Acting Principal 31/1/22	New procedures are now in place and apply to all committee and board meetings and this action point was complete as at June 2022.	
4.	Positive and meaningful relationships should be developed between members of the Board and the executive team	SFC Review (Camm Report)	- Board training and development session to consider how the Board would like to interact with the executive, including agreed behaviours	Chairing Member and Acting Clerk to the Board with the Acting Principal 31/1/22	Included in the Board Development Session for 1st February 2022
			- Joint board workshop with SLT to consider reporting, information sharing and the alignment with the Strategic Framework	SLT with Board by 30 June 2022	Initial discussion on KPI's held at Board Development Session on 1st February 2022. The evaluation of KPI monitoring will be reviewed annually through the Board self-evaluation process.	
			- Arrange a series of informal meetings between board members and executive team members based on a portfolio approach to role and remit linked to the committee structure	SLT and Board by 30 June 2022	A portfolio approach has now been adopted, with benefits now being seen on all sides. Members of the Executive now meet with their respective Committee Chairs prior to the meetings to discuss agendas and plans of work.	
5.	Board Training and Development should be considered as a priority.	SFC Review (Camm Report)	- Board Induction and Refresh Session to include training needs analysis	Chairing Member and Acting Clerk to the Board with the Acting Principal	Board Development Session held on 1st February 2022 to provide initial induction

				31/1/22	
6. New Board Members should attend the National Board Induction Training delivered by CDN	CDN EER	-	Workshop on working together with the SLT	Chairing Member with Acting Principal by 1/2/22	Included in Board Development Event on 1st February 2022
		-	Board member training and development plan to be created and updated annually		A new CPD approach to ongoing training was introduced in March 2022 and this action point is now completed
		-	Information on this training to be provided to new members by the Clerk to the board -	Acting Clerk to the Board by 15/02/22	Completed at the May Strategy Session
7. Membership of committees to be considered to ensure appropriate levels of quorum and to allow for co-option of experienced external members	SFC Review (Camm Report) CDN EER	-	Increase the quorum requirement	Chairing Member and Acting Clerk to the Board by 31/3/22	One educationalist has been elected and another co-opted with terms of reference now amended to allow for an increase in the quorum.
		-	Refresh committee membership in line with recent recruitment -	Chairing Member and Acting Clerk to the Board by 31/3/2022	This was achieved following the recruitment of new members
		-	Arrange co-option of committee members from school and university sectors	Chairing Member and Acting Clerk to the Board by 31/3/2022	This was achieved in the Autumn of 2021
8. The Board should consider the issue of diversity	SFC Review (Camm Report)	-	Create a recruitment plan for upcoming board vacancies including elections for staff and student members	Chairing Member and Acting Clerk to the Board with the Board and the Acting Principal by 30/06/22	All staff and student elections are now complete. Consideration of the extension of one post has been held in abeyance pending the outcome of an ongoing investigation but is part of an overarching plan.
		-	Access sector wide resources to support recruitment strategies which provide opportunities for a more diverse board.	Acting Clerk to the Board by 28/02/22	CDN resources are available to all Board members and any Selection Committee will require to evidence awareness of diversity criteria
		-			

9.	The role of the Clerk to the Board should be reviewed to allow for an appropriate long-term solution to be found in line with the Code of Good Governance	SFC Review (Camm Report)	- Appoint a temporary Clerk to the Board	Chairing Member and Board by 31/3/22	Temporary Clerk appointed January 2022
			- Consider the extent to which an independent Clerk would be appropriate -	Chair and Board by 30/06/22	This is an ongoing matter with deliberations to be concluded no later than the end of the term of office of the current Acting Clerk to the Board. In the interests of clarity, the current postholder was appointed was appointed as an Independent Clerk
			- Review and revise the job description of the Clerk to the Board	Chair and Board by 30/06/22	This will be an ongoing matter to be considered at the end of the term of office of the current Acting Clerk to the Board
10.	Engagement with staff and students should be improved	SFC Review (Camm Report)	- A Board 'Leading and Learning' Scheme should be developed and introduced to create relationships between board members and college faculties and departments.	Principal with Clerk to the Board and Chair, with the Students' Association for Board approval by 30/6/22	The May Strategy Session was driven by working groups comprising both Board and Staff and has now been adopted as the template for future meetings. This concludes the action point.
			- The Students' Association to be consulted and involved in the creation of the scheme	Principal with Clerk to the Board and Chair, with the Students' Association for Board approval by 30/6/22	This discussion was delayed due to unavoidable absences within the Students' Association, but this will be taken forward in 2022-23
11.	The College approach to policies and procedures should be reviewed, updated and effectively managed. In particular focus should be given to policies for the handling of complaints, disciplinary, grievance	SFC Review (Camm Report)	- Review the status of all current college policies	Principal with SLT and for Board Approval – to be commenced January 2022	This work has been proceeding apace and process is almost complete
			- Create a 'Policy on Policies' which clearly identifies those policies for which the Board has responsibility -	Principal with SLT and for Board Approval by June 2022	The new Scheme of Delegation means that this action point has now been completed
			- Allocate responsibility and timescales to policy authors for the updating and	Acting Principal By 28/02/22	Completed

and other significant HR policies ensuring clarity of roles of individuals within these vital policies.		refresh of all college policies on a rolling basis.		
12. Board Committee Papers should contain a more strategic focus and be in a standard format	CDN EER	- Acting Principal to Review all committee papers before Feb/March 2022 cycle of committee meetings	Acting Principal with Acting Clerk to the Board and SLT	Completed
		- Board committee members to be asked for feedback on papers at the end of each committee meeting	Acting Clerk to the Board by 30th June 2022	Clerk summarises Actions and Decisions and there is an opportunity for comment. This action is now complete.
13. Board should undertake a stakeholder engagement mapping exercise leading to a stakeholder engagement plan.	CDN EER	- Stakeholder map to be produced and shared with the Board	SLT by 30 April 2022 Board by May 2022	In progress, plans for Bi-annual newsletters will go forward in session 2022/23
		- Board discussion at Development Event in May 2022		Discussed but see above for future actions
14. Student Association Report should be moved further up the agenda to emphasise the importance of the student voice.	CDN EER	- Agendas to be ordered to facilitate this going forward	Acting Clerk to the Board (ongoing)	Implemented in Autumn 2021
15. Closer working relationships to be developed between the Board of Management of SLT and the Regional Strategic Body	Camm Report RSB	- Agreement to be reached on attendance at RSB meetings by board member and executive team members from SLC	Regional Chair Chairing Member Acting Clerk to the Board	Appropriate individuals identified and invitations to meetings now issued routinely
16. Improved alignment of timings of Board and Committee meetings of the RSB and SLC	Camm Report RSB External Audit	- Clerks to the respective Boards to liaise to ensure planning is done together and aligned schedules are produced	Clerk to the RSB Acting Clerk to the Board SLC	Initial contact has been made and discussions are ongoing. Work in progress.

BOARD OF MANAGEMENT

DATE	4 October 2022
TITLE OF REPORT	Recruitment of New Board Members
REFERENCE	11
AUTHOR AND CONTACT DETAILS	Peter Scott peter.scott@slc.ac.uk
PURPOSE:	To set in train the process and procedure for appointing additional Board Members.
KEY RECOMMENDATIONS/ DECISIONS:	- The Board of Management launched a successful recruitment drive in 2021 leading to the appointment of well qualified new Board Members in November 2021. - It seems likely however that at least one vacancy will arise in the near future as a result of changing circumstances, and it is appropriate to plan for that eventuality - Accordingly, the Board should direct the Appointments Committee, in accordance with the delegated authority set out in their Terms of Reference, to set in train, with the support of the Clerk, the process and procedure for recruitment of such additional members as may be necessary to fill any vacancies and to make such recommendations to the Board as the Committee may deem appropriate - The criteria for selection should follow the pattern established in the most recent appointments round unless otherwise directed by the Board - always with a view to securing a Board Membership which has the balance of skills and experience necessary for effective governance
RISK	Without a balanced and suitably qualified and experienced Board of Management, the standard of Governance set out in the Code of good Governance might be at risk
RELEVANT STRATEGIC AIM:	- Highest quality education and support. - Sustainable Behaviors. - Successful Students

KEY POINTS:	The duties of the Board of Management are prescribed by Section 12 of the Further & Higher Education (Scotland) Act 1972 [as amended]. In terms of Schedule 2 Para. 3 (1) a Board shall comprise no fewer than 15 nor more than 18 members. The current membership comprises 16 full members and 1 co-opted member

BOARD OF MANAGEMENT

DATE:	4 October 2022
TITLE OF REPORT:	HR System Update
REFERENCE:	12
AUTHOR AND CONTACT DETAILS	Gary McIntosh, Head of Human Resources gary.mcintosh@slc.ac.uk
PURPOSE:	Provide the HR Committee with an update on the HR System situation.
KEY RECOMMENDATIONS/ DECISIONS:	Members are recommended to: 1. Note the update on the HR System Tender activity. 2. Agree to delegate to the Chair's Committee the power to approve the outcome of the tender exercise.
RISK	1. Failure to automate HR procedures will impact adversely on the ability of the College to implement successfully the Board's HR & People Strategy and Strategic Priorities. 2. Additional staff may be required to continue with manual procedures at a time of budget reductions. 3. Automation will contribute to compliance with Data Protection legislation and reduce the possibility of a data breach.
RELEVANT STRATEGIC AIM:	Successful Students – skilled & knowledgeable staff Highest Quality Education & Support – Valued & enthusiastic staff; high-quality support services; productive partnerships Sustainable Behaviours – effective leadership and management; excellent governance; continuing professional learning and development; appropriate risk management
SUMMARY OF REPORT:	The report will provide insight into each of the following areas: • Update of the HR System Tender activity

1 INTRODUCTION

1.1 This paper provides an update on the HR System tender exercise.

2 BACKGROUND

2.1 Members will recall that they approved a proposal that the College should move to tender for software providers to provide a new HR System which would automate existing practices in line with the sector norm. Out of an initial engagement with 12 suppliers only one supplier submitted a tender by the due date of 5th September 2022.

3 NEXT STEPS

3.1 Members should note that the College will now evaluate the tender submission against the specification using the procurement framework provided by APUC. Should the tender meet the criteria the College will invite the provider to make a presentation to the Chair of the Human Resources Committee and appropriate senior staff. The date for this meeting has yet to be arranged as it is subject to the review of the tender.

3.2 Should the tender submission meet the requirements of the College it is proposed that a report will be considered on the agenda of the Board of Management meeting scheduled for 4 October 2022 seeking authority to proceed with the contract.

4 EQUALITIES

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

5 RISK

The failure to automate the College HR systems presents a number of risks to the College including the failure to meet deadlines require by statute for external bodies.

6 RECOMMENDATION

Members are recommended to note the contents of this report.

South Lanarkshire College
East Kilbride

BOARD OF MANAGEMENT

DATE	4 October 2022
TITLE OF REPORT	Acting Principal's Update
REFERENCE	14
AUTHOR AND CONTACT DETAILS	Alan Sherry Alan.Sherry@slc.ac.uk
PURPOSE:	To provide members with information not included on the Board of Management meeting agenda.
KEY RECOMMENDATIONS/ DECISIONS:	Members are recommended to note the contents of this report.
RISK	• There are no new risks arising as a consequence of considering this report.
RELEVANT STRATEGIC AIM:	• Successful Students • The Highest Quality Education and Support • Sustainable Behaviours
SUMMARY OF REPORT:	• The College has met its core credit and European Social Fund targets, however, the recent audit has resulted in the removal of 210 credits for its deferred student places. • Recruitment is slightly down in comparison to this time last year, but the College is making headway towards its credit target of 48,811 as currently the College stands at 39,262 credits. This figure does not include withdrawals. • Retention is 1.8% lower than the previous academic year at 86.4%. • The College has secured a grant of £326k over a three-year period from the UK Government Shared Prosperity Fund. • Much improved collaboration with New College Lanarkshire with both Principals meeting regularly and the Deputies now attending the relevant committees at each college.

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 4th October 2022.

2 CREDIT TARGET

2.1 Prior to the funding audit the College had met its credit target of 50,035 for academic year 2021-22. This figure includes the core credit allocation, European Social Fund (ESF) activity and deferred student places. At the time of writing the credit audit was taking place and 258 credits (deferred places) had been removed, which equates to circa £71k, which may be clawed back by the Scottish Funding Council.

2.2 However, Karen Watt's letter dated 21 March 2022 mentions some discretion on the recovery of this funding, but this will be considered on a college-by-college basis. Members will be kept updated. The achievement of the core and ESF targets is due to the considerable efforts of Curriculum Teams.

2.3 Due to the over delivery of ESF in 2020-21 the College will receive a payment of £82,015 which will support with any clawback of funding from the audit.

3 ACADEMIC YEAR 2022-23 RECRUITMENT

3.1 At the date of writing this report, the College had 3,937 enrolled students which compares to a figure of 3,777 for the previous academic year. Note that the current year figure does not include withdrawals. To date the College has achieved 39,262 credits against its target of 48,811, again this does not account for potential withdrawals.

3.2 There remains sustained demand in a number of curricular areas including, Construction, Early Years and Childcare, Health and Social Care and Life Science. However, the drop in demand in a few curriculum areas including Make-up Artistry and Beauty Therapy continues while there has been a small increase in Hairdressing numbers.

3.3 As anticipated, following Brexit and the national approach to grading in Higher Qualification subjects, recruitment to Higher National qualification programmes in some areas has declined. Regrettably, members should note, that there were no applicants for Professional Cookery with Management.

3.4 Following renewed engagement with South Lanarkshire Council, the College has increased demand for English as a Second or Other Language (ESOL) provision and this has led to an expansion of the number of courses in this area.

3.5 A review of the College curriculum offer is scheduled to take place in the current academic year.

4 ACADEMIC YEAR 2021-22 RETENTION

4.1 Retention in session 2021-22 fell by 7.3% across all College programmes which has resulted in a College retention figure of 86.4%. This represents a decrease of 1.8% compared to the previous academic year.

4.2 Members should note that the College will put in place actions which seek to improve retention during the current academic year

5 HIS MAJESTY'S INSPECTORATE OF EDUCATION (HMIe) ANNUAL ENGAGEMENT VISIT

5.1 The College has been informed that as a consequence of the positive outcome of the HMIe Progress Visit in the Spring term of academic year 2021/22 that it will only be subject to a one-day Annual Engagement Visit which will take place during week commencing 20 February 2023. Members should note that HMIe operate a risk based model in evaluating the level of external scrutiny required and have concluded that on the evidence available the College is a low risk therefore a one day visit is sufficient.,

6 ALTERNATIVE FUNDING

6.1 The College has secured a grant of £326k over a three-year period from the UK Government Shared Prosperity Fund. This funding will enable the College to deliver community-based numeracy courses

7 COLLABORATION WITH THE LANARKSHIRE REGION

7.1 There have continued to be a series of positive meetings regarding matters of interest to both colleges within the Lanarkshire Region. These have included:
7.1.1   financial sustainability;
7.1.2   curriculum development; and
7.1.3   raising the profile of the Lanarkshire College Region out with Scotland.

7.2 Both Depute Principals have also attended the Curriculum, Learning and Teaching Committees at each other's institution.

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

8 PARTNERSHIP WORKING

8.1 The Acting Principal has attended a number of external meetings including:
8.1.1   the College Employers Scotland;
8.1.2   a joint meeting of Chairs and Principals; and
8.1.3   the College Principals Group

9 NATIONAL MEETINGS

9.1 During the period of this report, the Acting Principal attended:

9.1.1   the Jobs and Business Glasgow Board; and

9.1.2   the Scottish Education Council

10 EQUALITIES

10.1   There are no equalities issues for people with protected characteristics or from areas of multiple deprivation which arise as a consequence of consideration of this report

11 RISK

11.1   There are no new risks arising as a consequence of considering this report.

12 RECOMMENDATIONS

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

BOARD OF MANAGEMENT

DATE:	4 October 2022
TITLE OF REPORT:	**Purpose and Principles for Post School Education, Research and Skills Development Ecosystem: Scope and Approach**
REFERENCE	15
AUTHOR AND CONTACT DETAILS	Alan Sherry, Acting Principal. Members can obtain further information this report from the Acting Principal on alan.sherry@slc.ac.uk
PURPOSE:	The purpose of this report is to inform members of the Scottish Government consultation exercise on purpose principles of post-school education, research and skills development ecosystem.
KEY RECOMMENDATIONS/ DECISIONS:	Members are recommended to: i) note the contents of this report and its attachment; ii) note that the SG intends to publish a document setting the Purpose and Principles for Post School Education in Spring 2023; and iii) require the Acting Principal to bring forward an update report on the Scottish Government exercise to an appropriate future meeting of the Board
RISK	The failure to consider changes to the environment in which the College operates, may lead to the Board establishing inappropriate strategic priorities
RELEVANT STRATEGIC AIM:	• Successful students • High quality education and support
SUMMARY OF REPORT:	The report sets out how the Scottish Government will conduct the above consultation exercise.

1. **Introduction**
   As members will be aware the Scottish Government (SG) has commenced a programme of educational reform. To date the focus has been on the schools' sector however the Scottish Government has recognised that it is also necessary to consider how the post school sector contributes to the future success of both society and the economy.

   The purpose of this paper is to provide members with an overview of how the Scottish Government will undertake a review of the role of the post school and skills environment.

   The Scottish Government report is available at www.gov.scot/publications.

2. **Purpose and Principles for Post School Education, Research and Skills Development: Ecosystem: Scope and Approach.**

   a) **Lifelong Learning**
      The review of the post school ecosystem is based on the recognition that to create a successful Scotland, there is a need for a Lifelong Learning environment which provides access to learning which develops skills, knowledge, values and attitudes to enable individuals to achieve their potential in order that they may have fulfilling lives.

      The Scottish Government recognises that there are a number of factors which drive the need for reform including:
      - the move to a net zero economy;
      - rapid technological change;
      - the post pandemic world; and
      - demographic change.

      Furthermore, the Scottish Government accepts that the pace of technological change is so rapid that the current system for post school education does not provide an appropriate 21st Century Lifelong Learning environment. Therefore, this review is intended to consider the role and purpose of post school education in meeting the rapidly changing world while addressing the priorities set out in the National Performance Framework.

   b) **Approach**
      In order to set out how the Scottish Government will identify the purpose and principles for the post school sector, it has set out a number of tasks including:
      - developing a clear purpose and set of principles for post school ecosystem;
      - mapping and reflecting on the current ecosystem and how it relates to both the economy and society; and
      - exploring the responsibility and roles of all involved in the ecosystem.

c) Outcomes

In addition, the SG intends to deliver the following outcomes from this exercise:

- a succinct purpose and set of principles to guide decision-making; and
- a dependable evidence base which will identify areas for development and an implementation plan linked to the National Impact Framework being developed by the Scottish Funding Council (SFC).

d) Evidence Base

The paper sets out how the Scottish Government will conduct this review process including citing a number of key documents which have been produced in recent years, on aspects of the post school ecosystem. Both the SFC and Skills Development Scotland (SDS) will provide data to support this work. The intention is to analyse a range of information sources including the recent report by Professor Ken Muir, (which was considered at the June 2022 Board meeting). In addition, post school education systems in other countries will be evaluated.

e) Consultation

There will be engagement with a range of key stakeholders, including learners, as part of the consultation process using a workshop approach to stimulate discussion.

f) Connectivity

This work is an element of the National Discussion on Education which involves matters such as the reform of Inspection, the setting of strategic priorities for Early Learning and Childcare, the evolution of Curriculum of Excellence and the reform of qualification and assessment.

g) Timeline

During the Spring of 2022, the Scottish Government commenced work on this exercise by undertaking the following:

- working with internal and external stakeholders to agree the scope and range of the work;
- analysing existing data
- developing communication and engagement plans; and
- establishing an internal Education Reform Group.

It is anticipated that the next phase of the work will be conducted during the Summer and Autumn of 2022 with the final report being published in Spring 2023.

3. Equalities

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

4. Risk

The failure to consider changes to the environment in which the College operates, may lead to the Board establishing inappropriate strategic priorities.

5. Recommendations

Members are recommended to:

i)   note the contents of this report and its attachment;

ii) note that the SG intends to publish a document setting the Purpose and Principles for Post School Education in Spring 2023; and

iii) require the Acting Principal to bring forward an update report on the Scottish Government exercise to an appropriate future meeting of the Board

6. Further information

Members can obtain further information on the contents of this report and its attachment from Alan Sherry, Acting Principal at Alan.Sherry@slc.ac.uk

AS
South Lanarkshire College
July 2022

BOARD OF MANAGEMENT

DATE	4 October 2022
TITLE OF REPORT	Audit and Risk Committee Chair's Report
REFERENCE	16
AUTHOR AND CONTACT DETAILS	Craig McLaughlin Craig.Mclaughlin@slc.ac.uk
PURPOSE:	To provide the Board with a report from the Chair of the Audit and Risk (ARC) Committee.
KEY POINTS	- The Acting Clerk to Board and I met with the auditors in Glasgow. We have agreed a timeline for work to ensure that we will meet the December signing requirement. The audit to date is progressing well. - The committee reviewed the first of the internal audit reports, that showed positive outcomes and a few minor recommendations which are in the process of being actioned. Internal audit will continue to report to the committee. - Discussion was held both within the region and ARC about bringing the Governance Improvement Plan (GIP) to an end and this has been agreed. As a Board we always need to remain focused on demonstrating best practice in Corporate Governance and therefore a newly named but similar structured document will be produced. As the GIP is being ended, the committee asked Henderson Loggie (HL) to being forward work on corporate governance and we will agree a scope with HL and the region before completing this work this calendar year.

BOARD OF MANAGEMENT

DATE	4 October 2022
TITLE OF REPORT	Curriculum, Quality and Development Committee Chair's Report
REFERENCE	16
AUTHOR AND CONTACT DETAILS	Heather Stenhouse Heather.Stenhouse@slc.ac.uk
PURPOSE:	To provide the Board with a report from the Chair of the Curriculum, Quality and Development (CQD) Committee
KEY POINTS	The Board is asked to approve: • The new Learning, Teaching and Assessment Strategy, which is the first time the College has had one. It provides a foundation for the College to build on and a strategic direction for the College. Board Members are asked to note: • An updated version of the Attendance and Behaviour procedure was approved. Board Members are asked to note the following updates from the reports presented for discussion and information. ***Student Association Report*** • Excellent start to the new Academic Year supporting the return of students to campus. • The SA are finalising their operational, strategic and social media plans for the year. The three priorities of the SA are: empowering the student voice, supporting the well being of our students and organising games and activities to ensure students have fun. • The SA and the College were invited to speak at the upcoming Think Positive Annual Conference on 31 Aug 2022 due to their excellent work on the Student Mental Health Agreement. • College hoodies as voted for by the students are being sold to students at a low price as part of their strategy to support student poverty. • The Student President is part of the Young Persons Guarantee Panel allowing for greater partnership working with the Scottish Government and local authorities. ***Curriculum, Quality and Development Update*** • The College has achieved its credit target pending the audit and student record return. The regional funding allocation

for AY 2022-23 is 3.4% lower than the previous year. The College credit target for academic year 2022/23 is 48,812 including Foundation Apprenticeships.

- Recruitment is on a par with last year at this time. As anticipated recruitment is mixed across HN provision, and curriculum areas will review provision in areas with consistently low recruitment this year.
- Re-engagement with the South Lanarkshire Council Community Learning and Development team has resulted in a significant increase in ESOL students, as well as that an ESOL strategy group will lead to an ESOL plan for South Lanarkshire.
- Retention remains slightly higher than year end 2020-21 at 86.4% for 2021-22.
- SQA national qualification results were published and results were mixed, however, colleges have been discouraged from comparing them to previous years due to the pandemic.
- The Alternative Funding team have secured UK Shared Prosperity Funding of £360k over 3 years to deliver numeracy programmes in community settings.
- Bids have been submitted to the South Lanarkshire Council Training and Employability Framework to provide employability training.
- The Depute Principal is now part of the curriculum planning work stage as part of the new Pathfinders group initiated by the Scottish Funding Council (SFC) as part of their Review of Coherent Provision and Sustainability.
- A suite of excellent work has taken place across the curriculum areas with students being selected for World Skills and a new collaborative agreement with the University of Strathclyde for 2023 for a BA in Education and Social Services.

Adult Learning Strategy Report
- A new Adult Learning Strategy for 2022-2027 was published in May 2022 and seeks to provide opportunities for adults to learn through their lives.
- There is a requirement for the sector to strengthen links with community-based provision.
- The College will continue to enhance and develop its work with community groups whilst awaiting details of the Scottish Government's proposed Adult Learners Advisory Group.

Developing the Young Workforce Update
- This year's College funding allocation for new Foundation Apprenticeship provision has decreased by half to 221 credits, however, the current funding level will allow the Creative and Digital Media framework to continue
- Senior Phase Independent Options are still offered to St Ninian's High school

	- The College continues to infill small number of pupils from East Renfrewshire - The College continues to engage with schools to showcase SLC as a viable next step in their education and attends a range of school events where possible. - The College has re-engaged with our DYW regions stakeholders. **Marketing and Communications Update** - The Marketing and Communications Manager met with all Skills Development Scotland Careers Advisors for Lanarkshire in May 2022. There is now a closer link between the College and advisors to help promote the College and enhance customer service for those looking to apply - The website update and brand articulation projects are progressing well and on track to be completed. - The first ever community open day in the College was a success with over 400 people attending. - The Marketing team have been shortlisted for the UK Social Media Awards for its digital campaigns. - Improvements made to engaging with stakeholders through the first stakeholder newsletter and an updated database. - Planning in train for the first in person graduation ceremonies since 2019 on 2nd and 3rd November 2022.

BOARD OF MANAGEMENT

DATE:	4 October 2022
TITLE OF REPORT:	Chair Report Finance & Resources Committee Meeting Held on 22nd August 2022
REFERENCE	16
AUTHOR AND CONTACT DETAILS	Clare Gibb Chair of Finance and Resources Committee Clare.gibb@slc.ac.uk
PURPOSE:	To provide the Board with an update of FRC actions and discussions

KEY POINTS:	The Board is asked to note:
	• Forward Funding Plan Projections: -
	    o SFC
	    o Finance Director
	• The 2022/23 budget was approved in principal but subsequent FFP projections were noted as projecting significant deficits and as such could not be approved.
	• Head of Finance advised that the Finance Director's Group noted that FFD deficits were affecting all college network members

1. **INTRODUCTION**

The Board is requested to note the minutes of the FRC Meeting held on 22nd August 2022.

Forward Funding Plans show considerable deficits under guidance issued by SFC and increased deficits when know cost and expenditure items, identified by the Finance Directors Group, College Network, were used to more accurately forecast.

The Chair of the Committee attended the Strategic Regional Board's Finance Committee and it was confirmed that New College Lanarkshire is also facing these same issues but on a much larger scale due to their size and historic deficits.

1. **DRAFT BUDGET**

The two FFP projections (SFC and FDGroup) were discussed in detail and the following were noted: -

- Finance Director Group figures were to be submitted to SFC on a "for information" basis as the projected increasing deficit could not be "approved" by FRC or by the Board
- These figures are a best case scenario as they do not include increasing energy costs, cost of living crunch and centralised collective bargaining agreement
- It was noted that these were known unknowns and that figure are likely to be further skewed if and when other issues come to light
- The 5 year FFP was NOT approved and the Board is also recommended not to approve same
- The draft budget for 2022/23 was approved in principle and the Board is requested to note the projected deficit.

2. **QUARTERLY MANAGEMENT ACCOUNT FORECAST**

FRC wished to extend congratulations to the Executive and Staff Team as it would appear (subject to final audited accounts) that 2021/22 activities have been delivered within budget.

It was agreed to wait till FRC and ARC recommend approval of the Annual Audit to Board and issue appropriate comms.

3. **QUARTERLY PROCUREMENT UPDATE**

Our procurement reporting and activities continue to improve in terms of governance and accountability. The Board agreed that the Procurement Officer on secondment should continue to be retained as she continues to procure significant value for money improvements

4. QUARTERLY FACILITIES UPDATE

Facilities continue to be managed effectively, with detailed responses forthcoming to any technical query.

5. FIVE YEAR FINANCIAL FORECAST / PLAN

The Board is requested to note that the plan was prepared as per SFC request and it is difficult reading as it forecasts increasing deficits over the 5 year period.

An open letter to the Funding Council has been circulated to the Board. As hair of FRC I consider that SLC should sign.

6. PROFESSIONAL FEES UPDATE

A report by FRC Chair was circulated immediately before the meeting. Member s requested time to read and digest.

Following this period the Chair of FRC formally issued the report to the Board Chair was FRC's request that the paper was issued to Karen Watt at SFC

7. MATTERS FOR DISCUSSION AND INFORMATION

FRC Committee discussed and noted the additional papers and would request that Members can download and read as these are available online.

BOARD OF MANAGEMENT

DATE	4 October 2022
TITLE OF REPORT	Human Resources Committee Chair's Report
REFERENCE	16
AUTHOR AND CONTACT DETAILS	Fiona Whittaker fiona.whittaker@slc.ac.uk
PURPOSE:	To provide the Board with a report from the Chair of the Human Resources Committee
KEY POINTS	The Board is recommended to approve: • the new Attendance Management and Support Procedure (in replacement of the Absence Procedure); • an updated Public Interest Disclosure ("Whistleblowing") Policy and Procedure; • an updated Health & Safety Policy; and • the delegation to the Chair's Committee the power to approve the outcome of the HR System tender exercise. Board Members are asked to note the following updates from the reports presented for discussion and information. ***Disciplinary Summary*** • The College was informed of allegations that a member of staff was involved in conduct which risked student safeguarding, student success and misuse of College property. • The Disciplinary Procedure was invoked with an immediate suspension, investigation, and subsequent disciplinary hearing. The Hearing concluded immediate termination on the grounds of Gross Misconduct. An Appeal Hearing was received from the employee and progressed in accordance with the Procedure. ***SPPA Pension Return*** • An update on the failure to return the SPPA pension data on time. • Noted the implications of the failure of the College to submit the necessary data to the SPPA by the required deadline; • Noted the correspondence from the Acting Principal to lecturing staff who are pension scheme members; and • Required the Head of Human Resources to provide update reports on progress against the action plan to scheduled

meetings of the Committee during the academic year 2022-23.
- Noted a new HR System should allow the automation of this reporting.

Quarterly HR Report
Reviewed the regular updates of the following items.
- Headcount Management.
- Health & Wellbeing.
- Employee Engagement.
- Learning & Development.
- Employee Relations.
- Maintenance of Accreditations.

Noted an additional employee engagement activity where the Acting Principal and Depute Principal met with all staff over two meetings to respond to questions raised about the College.

Quarterly Health & Safety Report
- Doig and Smith have completed the building conditioning survey, and while the building is in a good condition for its age there is remedial work needed. They have recommended further intrusive investigations focussing on the structural elements of the building.
- The College has agreed and implemented an approach to managing COVID-19 post the removal of legislative requirements and following the publication of the Scottish Government's 8 Guiding Principles. This document has since been updated.
- A replacement has been recruited to replace the previous Deputy Head of Facilities which supports the management of the area.
- Refresher health and safety training has been completed for staff.
- There have been 13 minor incidents reported in the period April to June 2022, which is a significant decrease from the last quarter. There were no RIDDOR incidents.
- All 120 CO2 monitors have now been installed.
- Actions from the fire risk assessment report are in the process of being completed which are being monitored by the Health and Safety Committee. There were two unplanned fire activations in the April to June 2022 reporting period.

Health & Safety Audit
- As part of the College's internal audit programme for 2022-23 Henderson Logie carried out a review of its health and safety arrangements.
- The audit was found to be satisfactory, and key areas of improvement include: updating the Health and Safety Policy and other relevant procedures, clarification around what constitutes a near miss, refresher training on health and safety, monitoring and regular updating of master spreadsheet to demonstrate actions have been completed and provide

priorities and targets for upcoming year to the Human Resources Committee.
- The report also includes a significant number of strengths such as the risk assessment process, training including Mental Health First Aiders, a weekly inspection rota with walkabouts including Trade Union representatives and the Health and Safety Committee which monitors health and safety in the College.
- There are dates in place for the completion of the actions and further information will be provided to Members on the completion of these.

EIS-FELA Pay Claim
- EIS-FELA has submitted a salary increase claim of £5,000 per annum for all Lecturing employees.
- College Employers Scotland will now engage in discussions with EIS-FELA.

Staff Conference
- The College holds an all-staff conference which takes place at the start of each academic year. This is an opportunity to engage people with the College and sector as well as welcome them back for the new academic year.
- The College was delighted to host the first in person all staff conference since 2019 on Tuesday 9th August 2022. The theme was 'Successful Students' and the day had a range of presentations, speakers, panels and group activities. The Keynote speakers were: Jim Metcalfe Chief Executive of CDN, Inspirational speaker and Educationalist, Lou Mycroft, the College HMI Inspector, Joe Mulholland, and Marion Allison, Director of Community Learning Development Council for Scotland. All external visitors joined the Acting Principal in a Questions for the Panel session covering a range of sector wide issues and developments. The breakout rooms provided the opportunity to engage staff in ideas generation and continuous improvement of College cultures, processes and procedures as well as a fun team building session.
- Member should note that taking account of the financial challenge faced by the College expenditure on the conference was reduced by circa 75% compared to previous years.

Absence Management
- Reviewed the 5-year rolling trend. Noted that the had been a quarterly decrease, however numbers remained higher than available benchmark data. Noted that long-term absences continue to drive the absence numbers at more than three times the average trend.
- Reviewed the departmental absence data.
- Agreed to review additional, available data at the next HR Committee to provide further insight.

	Senior Staffing Report – Reserved Item
	• Noted the Senior Staff Salary Report which was submitted to College Employers Scotland. This is a reserved item, not for publishing.

Propositions – the Art of the Possible – August 2022

How Have We Got Here?

Background to this Document

Following the submission of evidence to Scottish Government and the Scottish Funding Council (SFC) on the impact of the financial settlement for 2022/23 on the college sector, discussions were held with both Shirley-Anne Somerville MSP, Cabinet Secretary for Education and Skills and Jamie Hepburn MSP, Minister for Higher Education and Further Education, Youth Employment and Training.

As part of these discussions, it was agreed to hold informal conversations around the transition required within the college sector to position it ready for the future. The intention of this is to avoid managed (or even unmanaged) structural and funding contraction within the college sector at a time where the function and services of colleges will be vital to the ambitions of the Scottish Government and to maximise impact on:

- Economic transition and growth
- Poverty
- Climate emergency.

Context

The Covid-19 pandemic has exacerbated and highlighted a number of structural and funding weaknesses within the college sector. This has been clearly articulated within a number of recent Audit Scotland reports.

There is now a need to recalibrate the approach to resource for the college sector, in order to avoid further contraction of the college sector to a point where it cannot deliver what is required of it for economic growth or to deliver the ambitions of the Scottish Government.

This paper outlines some propositions for further discussion, which have the intention of bringing some stability, and then to aim for longer-term sustainability, to the sector. This will allow the continuation of the college sector in order for it to be available as a public asset for delivery of what emerges from the current work around Principles and Purpose for Tertiary Education. Colleges Scotland will continue to engage with Scottish Government around the Purpose and Principles work, including setting out its own statement of intent for discussion.

It is imperative that within the range of consultations and reviews across the educational landscape in Scotland happening at this time, that the Scottish Government has a clear and deliverable plan to move the college sector towards a place of 'equity of funding', when compared to other sectors.

Format of Discussions

Colleges Scotland is suggesting that future discussions around these propositions are tripartite in nature, involving Colleges Scotland / college sector representatives, Scottish Government and the SFC.

We are seeking agreement to this approach.

Purpose of Discussions

The purpose of these discussions is to identify the Art of the Possible within the current landscape and financial restrictions. However, it should be noted that nothing in this paper prevents Colleges Scotland pursuing an ask around additional funding in parallel.

Outcomes from Discussions

The outcomes that Colleges Scotland are suggesting include, but are not limited to:

- Ensure an appropriate Statement of Intent, through the development of the Purpose and Principles, that provides the policy landscape for colleges to deliver what is required
- Gain agreement of what is possible ahead of the next Draft Budget (working assumption – December 2022)
- Identify what actions would help the current college sector resource work more effectively, for:
  - Learners
  - Regional economy
  - Employers and industry
- Provision of a narrative for what success looks like, to replace the hard 116k target
- Agreement of some high-level principles to direct the work of reviewing the current Funding Model
- Agreement around the stages (Academic Years) for baselining the agreed flexibilities into college funding
- To agree a mechanism for capital investment into college sector estate and digital infrastructure needs, including work to identify additional vehicles for investment
- Agree the positioning of a shared approach to digital learning provision through the establishment of a Future Technology Partnership
- Raise awareness, identify, and maximise funding for the college sector from other portfolios
- Identify and scope out duplication and inefficiencies within the education landscape
- A clear understanding of what the evolution of SQA needs to deliver to ensure benefit to Scotland.

Specific Propositions

The following specific propositions are outlined to start addressing some of the elements identified above.

Future Technology Partnership (FTP)

The FTP will expand Scotland's digital talent to provide employers with the skills pipeline they need as we move towards a more digitised economy. The FTP is a strategic collaboration of colleges from across Scotland with a shared goal of increasing and improving pathways for learners into the Digital Tech sector.

It seeks to coalesce existing and future activity around a shared purpose and create an efficient solution to providing digital talent for Scotland's economy. The FTP will engage with industry and other education partners to deliver digital skills and increase gender balance and equalities across the digital workforce in Scotland.

Appendix 1 outlines a Business Case where the FTP will add value and make impact for the benefit of learners, economies, and Scottish Government policy priorities. The Business Case provides a clear timeline for action, in addition to a governance structure which will oversee the sustainable and successful implementation of the FTP in practice within a three-year period.

The case for the benefits of establishing a FTP also sets out how this can be delivered within current budgets by streamlining different cost centres and avoiding inefficiencies within the current educational landscape.

Ask: for the Scottish Government to provide the college sector with the resource to establish the FTP, as outlined in the table below, the funding being provided by offsetting some of the inefficiencies in the system (examples highlighted in the document) by re-focusing the duplicate funding.

Item	Notes	2022/23 £m	2032/24 £m	2024/25 £m
20 Regional Staff	At average cost of £70k each, including oncosts, adjusted for inflation	1.40	1.53	1.67
Support costs for FTP	For support of the work of the partnership, adjusted for inflation	0.10	0.11	0.12
TOTAL	Using inflation figure of 9% across the period, but to be reviewed each year	**1.50**	**1.64**	**1.79**

Managing Agents – Inefficiency in Spend

The college sector's Modern Apprenticeship Working Group undertook calculations on average income and costs associated with training a class of both electrical engineers and plumbers, through the contracts provided through the respective Managing Agents, the Scottish Electrical Charitable Training Trust (SECTT) and the Scotland and Northern Ireland Plumbing Employers Federation (SNIPEF) whom in turn receive their funding from Skills Development Scotland (SDS).

Appendix 2 outlines the results of these calculations and shows significant disparity between the income received by a college to undertake the training and the costs. SECTT and SNIPEF, as the sector / industry-specific bodies, hold contracts with SDS for the delivery of Modern Apprenticeships in their particular industry. SECTT and SNIPEF pay a proportion of the SDS income to the colleges, at an average of 33% and 42% of the SDS income respectively. In this current system, less than 45% of every £ provided by Scottish Government is actually being spent on training the learner at a college.

Discussions are currently ongoing between the Modern Apprenticeship Working Group and SDS regarding issues concerning funding, sub-contractor relationships and processes for centre approval, for the ability of a college to operate the Electrotechnical Modern Apprenticeship outside of an arrangement with SECTT.

Ask: that Scottish Government undertake a review of the value gained from public spend of resource received by SDS to provide training through the route of various Managing Agents.

Funding Model and Flexibilities

Due to the exacerbation of existing and underlying structural problems with college sector funding and rules due to Covid-19, the college sector has in recent years proposed a number of actions and steps to provide flexibilities in order to support learners, colleges, and the achievement of overall sector / SFC outcomes.

Whilst a number of these have been accepted, more can be done to bring the necessary flexibility for colleges to operate more dynamically and efficiently within the existing resource. Colleges Scotland is also seeking that this does not need to be an annual conversation and agreement as has been the case up to now.

Appendix 3 outlines a number of flexibilities, both short and longer term, which in each case are measured and proportionate steps, that recognise and reflect the impact that the pandemic is having. Whilst some of these proposals have been adopted, the sector has had to propose and seek them on an annual basis.

Ask: that the Scottish Government works with the SFC in order to baseline all of the proposed flexibilities, which would then create a clearer and more sustainable platform within which colleges can plan and deliver the outcomes needed for learners, communities, and Scotland's economic and social recovery.

Evolution of SQA

The creation of a new 'Curriculum and Assessment' agency presents an opportunity for a reset in the relationship between the national qualifications awarding body in Scotland and the distinct sectors it is designed to serve (i.e. schools and colleges).

Appendix 4 outlines the views from the college sector of what is critical to be delivered within this space, and also articulates a concern that our national education bodies have followed a 'schools first' approach for a sustained period of time. This has been evidenced in significant SQA focus on implementation and management of the Curriculum for Excellence, then, the school impact of Covid-19 ahead of delivery of innovative and ambitious college products. At Education Scotland, this has been evidenced in a schools-led development programme, with college function reduced to 'inspection' elements.

Ask: that Scottish Government, in the evolution of SQA, ensure that all stakeholders (including colleges) have an equal say and consideration in what emerges from the various reviews, and to ensure that the solutions are not just focused on delivering for schools.

Other Elements

Three other key areas that the college sector would like to explore with Scottish Government and other key stakeholders are around:

Remit of the Scottish Education Council (SEC)

Whilst Shona Struthers, in her capacity as Chief Executive of Colleges Scotland, has a place on the SEC, the remit only mentions colleges within the context of school – college partnerships. Given the range of reviews across the educational landscape taking place, and the clear benefits (and Scottish Government policy desire) of a more seamless education system, which promotes opportunity for all and removes barriers and unnecessary duplication, the limited scope of the SEC to consider the college sector is an impediment.

Colleges Scotland is keen to work with Scottish Government on scoping out an updated remit and working model for the SEC.

Replacement for the 116k Target

Colleges Scotland is keen to work on an updated narrative around how success within the college sector can be better defined, in order to move away from the existing 116k target.

Capital Investment

Colleges Scotland is keen to work on developing both an understanding of the need of colleges for capital investment (in both estate and digital infrastructure), and the structural reform needed to identify a suitable investment vehicle for sustainable investment in the college sector.

Colleges Scotland
August 2022

Future Technology Partnership Business Case for Strategic Investment from the Scottish Government – August 2022

Executive Summary

Colleges Scotland, working with Joanna Campbell and Simon Hewitt as the Lead Principals for Digital on behalf of the College Principals' Group, representing all twenty-six of Scotland's colleges, is submitting this Business Case for strategic investment from the Scottish Government for a Future Technology Partnership (FTP). **The FTP will expand Scotland's digital talent to provide employers with the skills pipeline they need as we move towards a more digitised economy**.

The FTP is a strategic collaboration of colleges from across Scotland with a shared goal of increasing and improving pathways for learners into the Digital Tech sector. It seeks to coalesce existing and future activity around a shared purpose and create an efficient solution to providing digital talent for Scotland's economy. The FTP will engage with industry and other education partners to deliver digital skills and increase gender balance and equalities across the digital workforce in Scotland.

This Business Case outlines the current context and where the FTP will add value and make impact for the benefit of learners, economies and Scottish Government policy priorities. This includes a specific outcomes and key performance indicators framework.

The Business Case provides a clear timeline for action, in addition to a governance structure which will oversee the sustainable and successful implementation of the FTP in practice within a three-year period and the delivery of the following outcomes in practice:

- **Outcome One** – We will enable the development of a highly skilled and adaptable digital workforce for Scotland, with a view to delivering 25,000 skilled workers for the sector by 2025.
- **Outcome Two** – We will increase diversity in the digital skills pool in Scotland.
- **Outcome Three** – We will increase the number of post-sixteen leavers moving into digital courses at college.
- **Outcome Four** – We will work with colleges to extend and strengthen their connections with employers in order to reinforce regional digital skills pipelines, whilst strengthening staff capacity and capability.
- **Outcome Five** – We will work with our partners to enable alignment of purpose in the digital skills space, with colleges playing a recognised leading role in simplifying the digital skills landscape and ensuring a focus on continuous delivery for learners, employers and economies.

Introduction

Colleges are one of the key providers of the talent pipeline for digital skills, liaising with the wider digital and tech sectors, and as such the college sector is ready and willing to continue to build on the part it plays to ensure Scotland has the skilled workforce that is required to ensure economic recovery, growth and transformation. Colleges already provide opportunities, with over 26,500 students enrolled in digital skills, of these 14% study at higher education level, with the evidence suggests Scotland still needs to increase and accelerate these skills.

The college sector has a great track record of working with employers to increase the digital skills of employees, which is contributing towards addressing Scotland's deficit in levels of digital knowledge

and understanding. Colleges also facilitate pathways into employment for neurodiverse learners and those learners from socially disadvantaged backgrounds, key areas of delivery that colleges have proved they are at the forefront of over many years.

The FTP will move forward on a tightly defined remit, composed of the following key objectives:

- Set the vision and strategy for digital skills and education requirements across the tertiary sector
- Provide a skills and talent pipeline to industries in Scotland, ensuring learner journeys and voices are aligned with current and future digital talent, building on existing school-college-universities learner pathways and short sharp intensive working with industries.
- Explore an operating model and governance arrangement that support long term sustainability.
- Ensure collaborative actions complement/enhance the Digital Strategy for Scotland and other relevant strategies and plans, including the National Strategy for Economic Transformation and the Digital Economy Skills Action Plan.
- Scope and define a programme of work to be taken forward by the FTP aligned to national policy
- Play a pivotal role in establishing cohesion and coherence across the variety of Digital related groups and initiatives throughout Scotland.
- Provide a strategic link with ScotlandIS and employers, building pipeline employment opportunities and ensuring course content aligns with industry need.
- In return for strategic investment, the FTP will lead the work of the college sector in increasing the number of learners and support the future skills pipeline for Scotland.

Statement of the Problem – What We Are Trying to Solve?

Why Does Scotland Need a Future Technology Partnership?

There is currently a major digital skills shortage in Scotland, as evidenced by the Scottish Technology Ecosystem Review which highlighted an estimated 13,000 vacancies in the provision of suitably skilled digital workers for the Scottish economy.

Despite the growing plethora of initiatives and groups operating in the digital space, Scotland is still witnessing skills gaps in the digital space. It is clear that what we are doing as a nation currently is not working and that an effective new approach is required. The FTP will deliver on that approach, and in doing so, will also work to provide parity of opportunity for college students, school learners and university level students, complementing the investment provided for computing science in schools by the Scottish Government.

In doing so the FTP will look to resolve some of the current challenges in this space around duplication of activity and effort across existing agencies and actors, which have been noted by college sector leaders, and will simplify the digital skills landscape. For example, in June 2022 it was announced that Skills Development Scotland tendered for a contract to deliver a Digital Economy and Climate Emergency Training Framework on a unilateral basis, without any consultation or engagement to date with the college sector. This is one example where existing funding can be re-focused to support the delivery of the Scottish Government's objectives. The FTP will seek to evidence value for the public purse by working collaboratively and actively engaging with existing stakeholders to mitigate the risk of missed opportunities, and in doing so evidence the work that the college sector can, and is doing, to drive value from existing public sector investment.

The college sector is uniquely placed to do this, through school-college partnerships and articulation agreements with universities, and to facilitate the digital future skills pipeline, whilst ensuring this pipeline is inclusive and inspiring to all learners. On that basis, the FTP will have following core objectives:

1. To attract more entrants to study digital courses
2. To broaden the representation of the digital workforce, with particular emphasis on targeting girls, women and other under-represented groups.

Scottish Government spending in the medium-term will be almost exclusively directed towards three priorities: Child Poverty, Climate Emergency and Economic Transformation. The FTP would be aligned around economic transformation strand, providing the structure to ensure the college sector can fully support these three priorities.

The FTP would be the clear actor in driving opportunities, delivering practical solutions in collaboration with the digital sector (incorporating industry, employers, schools, universities and public sector digital strands). Across these solutions there will be a sharp focus on reskilling, with a plan for identifying candidates for reskilling together with the wrap around support needed for career changers, in line with the principles of the Careers Strategy. The FTP will be the voice of success in communicating the opportunities delivered by colleges.

In addition, The FTP will build on the work of the Digital Skills Partnership (DSP), created by ScotlandIS in 2017 and funded by Skills Development Scotland and the Scottish Funding Council. This successful partnership connected industry with colleges and universities to meet the rapidly growing and changing skills needs of the digital economy.

Supporting Scottish Government Policy Priorities

The FTP will be clearly aligned with the National Strategy for Economic Transformation and the associated Policy Programmes of Action around Entrepreneurial People and Culture and Skilled Workforce. The FTP will share the same relentless focus on delivery as outlined in the strategy.

The FTP will build on the college sector's engagement, to date, with the Computing Science in Schools agenda, following on from the publication of the Scottish Technology Ecosystem Review. It is our intention for Professor Mark Logan of the University of Glasgow to be engaged on the FTP to ensure that delivery aligns with the work being taken forward by the Computing Science in Schools Working Group. It is also our intention to engage with the National Digital Academy as these plans are further developed by the Scottish Government. We will also ensure that the FTP can complement the activity underway in relation to the Digital Health and Care Strategy and through the Digital Health and Care Innovation Centre.

Similarly, the Digital Strategy for Scotland as published in March 2021 will be a key touchpoint document for the FTP, ensuring that digital knowledge and skills have a place in FTP supported education. We have also formed a strong working relationship with the Scottish Digital Academy, with Lee Dunn, Head of the Scottish Digital Academy, involved in the development and design of the FTP to date. This is also true for Scotland's AI Strategy, with Sandra Ripley of Data Lab a member of the FTP Working Group.

Through engagement with Skills Development Scotland, who have representation on the FTP Working Group, the FTP will incorporate the objectives of the Digital Economy Skills Action Plan in recognising that the need for digital skills cut across all sectors of the economy and is multi-faceted, requiring a combination of Digital Enablement Skills, Hybrid Digital Tech Professionals and Digital Tech Professionals.

The definition of "Digital" in the scope of this paper refers to Digital, Data and Technology (DDaT) professionals in line with the UK defined capability framework and job roles within the following 7 groupings; cyber security and information assurance, data, IT operations, product and delivery, quality assurance testing, technical and user centred design.

Outcomes

In return for investment the FTP will deliver against the following outcomes framework. This framework has been aligned to the strategic outcomes of the National Strategy for Economic Transformation and the Digital Strategy for Scotland, to ensure the FTP supports the delivery of Scottish Government policy priorities in practice. These outcomes are also aligned to the National Performance Framework.

Outcome One – We will enable the development of a highly skilled and adaptable digital workforce for Scotland, with a view to delivering 25,000 skilled workers for the sector by 2025.

This will include the following actions informed by industry:

A. We will develop digital talent with technical know-how, including both learners on core college courses and employees on short-sharp interventions for upskilling and reskilling
B. We will equip learners with entrepreneurial skills to support the achievement of the vision for Scotland to be internationally recognised as a nation of tech-entrepreneurs and innovators
C. We will develop digital thinking and digital leadership skills as a core competency in all post 16 qualifications
D. We will develop specific upskilling and reskilling packages for those curriculum areas and learners who have had significant disruption to learning as a result of the pandemic

National Performance Framework Alignment:

- Economy – We have a globally competitive, entrepreneurial, inclusive and sustainable economy.
- Education – We are well educated, skilled and able to contribute to society
- Fair Work and Business – We have thriving and innovative businesses, with quality jobs and fair work for everyone

Outcome Two – We will increase diversity in the digital skills pool in Scotland

We will broaden and increase the diversity of the digital workforce to ensure that more girls and women are engaged in this sector, as well as continuing to increase opportunities for neuro-diverse learners and ethnic minority learners. We project an increase of 3% of learners in these cohorts by 2025

The FTP will deliver the following actions:

A. We will broaden and increase the diversity of the digital workforce to ensure that more girls and women are engaged in this sector
B. We will increase opportunities for neuro-diverse and ethnic minority learners
C. We will, in partnership with industry, develop opportunities to provide pathways for those furthest away from the workplace as well as those from socially disadvantaged backgrounds

National Performance Framework Alignment:

- Education – We are well educated, skilled and able to contribute to society
- Poverty – We tackle poverty by sharing opportunities, wealth and power more equally
- Fair Work and Business – We have thriving and innovative businesses, with quality jobs and fair work for everyone

Outcome Three – We will increase the number of post-sixteen leavers moving into digital courses at college, through the delivery of the following actions:

A. We will increase the number of places on digital courses available through colleges across Scotland by 10%
B. We will create and deliver a specific digital course recruitment program to be rolled out to schools to market the opportunities colleges provide to young people and career changers
C. We will create and deliver opportunities for teachers to be fully versed in local and national college digital offers by building systemic and sustained engagement channels between schoolteachers and college lecturers, in addition to university lecturers to support articulation pathways

National Performance Framework Alignment:

- Economy – We have a globally competitive, entrepreneurial, inclusive and sustainable economy.

- Education – We are well educated, skilled and able to contribute to society
- Fair Work and Business – We have thriving and innovative businesses, with quality jobs and fair work for everyone

Outcome Four – We will work with colleges to extend and strengthen their connections with employers in order to reinforce regional digital skills pipelines, whilst strengthening staff capacity and capability. This will focus on the below actions:

A. We will oversee the development of training in how to deliver "Codeclan" style matchmaking workshops to be rolled out to all college staff engaged in digital courses to ensure they have the ability to work effectively with local employers
B. We will support colleges locally and across regions to undertake mapping and gapping of employer needs, linking in with Skills Development Scotland and Scottish Government where helpful. This will enable upskilling and reskilling of existing staff at low-cost and efficiently for the employer's needs, on a similar model as successfully applied for the Flexible Workforce Development Fund.
C. Colleges in the provision of digital courses co-ordinated by the FTP will support the creation of a world class entrepreneurial infrastructure of institutions and programmes providing a high intensity pathway for high growth companies.
D. We will promote the benefits and role of apprenticeships to employers

National Performance Framework Alignment:

- Economy – We have a globally competitive, entrepreneurial, inclusive and sustainable economy.
- Fair Work and Business – We have thriving and innovative businesses, with quality jobs and fair work for everyone

Outcome Five – We will work with our partners to enable alignment of purpose in the digital skills space, with colleges playing a recognised leading role in simplifying the digital skills landscape and ensuring a focus on continuous delivery for learners, employers and economies. The following actions will be delivered:

A. We will work with FTP partners on simplifying and streamlining the landscape over the lifetime of the FTP, and in line with changing employment and demographic trends
B. We will ensure that the college sector, at the centre of the digital learning pathway between school and university level study and employment is fully recognised by all stakeholders
C. We will work with partners to encourage more businesses to take on college graduates from computing courses and to raise business awareness of the college sector's role in supporting digital upskilling and reskilling, whilst widening and smoothening access for college learners into employment and meaningful work experiences
D. We will maintain engagement with the Scottish Government and the digital sector to ensure we are responsive to changing levels of employment and skills demands

National Performance Framework Alignment:

- Economy – We have a globally competitive, entrepreneurial, inclusive and sustainable economy.
- Education – We are well educated, skilled and able to contribute to society

Timeline for Activity

To ensure the delivery of these outcomes, the FTP will work to the following timeline of activity.

- Year One – Staff employed, operational delivery commencing, strategy established
- Year Two – Delivery of Outcomes 1-3
- Year Three – Delivery of Outcomes 4-5, reaching point of sustainability and setting out clear future ambitions

Year	Target (Strategic)	Outcome (Operational)
2022/23	Operational Systems in Place	Successful Project Initiation, through delivery of at least 5,000 Skilled Workers
2023/24	Delivery of Outcomes 1-3	Building towards 12,500 Skilled Workers
2024/25	Delivery of Outcomes 4-5	Delivering 25,000 Skilled Workers
	Reaching point of Sustainability	Develop alternative funding and delivery model to ensure ongoing sustainability
	Setting out clear future ambitions	Clearly understood purpose and ongoing aims that continue to delivery the role of the FTP

Future Technology Partnership Governance Framework

The delivery of these outcomes and the completion of activity against the timeline will be overseen by a Management Board model, as already employed by ESP in a college sector context, which will improve and enhance accountability and impact of the work of the FTP.

This Management Board will consist of College Principals and representatives from all relevant stakeholders, similar to those represented on the current FTP Working Group. The Board will provide guidance and focus for the FTP so it operates effectively and will ensure that the FTP will be well placed to deliver and maximise future opportunities in a fast-changing environment.

Overview of Investment

The FTP would be funded for a period of three years, during which time work would take place to enable the development of an alternative funding and delivery model, to ensure ongoing sustainability for delivery of the FTP. A host college would be identified to administer and oversee the funding, staffing, reporting and performance of the FTP to deliver on both immediate skills requirements and longer-term needs.

The funding over the period 2022/23 to 2024/25 is primarily for additional staffing resource across all regions, who will work within and between all colleges to coordinate the work to:

- Deliver in line with the 5 Outcomes
- Develop the sustainability model
- Collate and set out the longer-term future ambitions and deliverables of the FTP

The funding required has been calculated as below to enable each college region to have at least one dedicated role, with some of the larger regions benefitting from a larger number. These costs have been calculated based on the requirement to have a staff member in a promoted post (e.g. a Curriculum Leader, although this will vary from college to college) to drive this work to a successful conclusion.

Item	Notes	2022/23 £m	2032/24 £m	2024/25 £m
20 Regional Staff	At average cost of £70k each, including oncosts, adjusted for inflation	1.40	1.53	1.67
Support costs for FTP	For support of the work of the partnership, adjusted for inflation	0.10	0.11	0.12
TOTAL	Using inflation figure of 9% across the period, but to be reviewed each year	**1.50**	**1.64**	**1.79**

Conclusion and Recommendations for Cabinet Secretaries

A new approach to enable colleges to grow their contribution to tackle the digital skills pipeline issues that Scotland faces is required – the FTP is the model that is best placed to address this.

The opportunity cost for the Scottish Government if the Future Technology Partnership is not taken forward is that as a nation, we will not address the Digital Skills gap quickly enough to meet the workforce needs required by the Digital sector and Scotland will lag behind in performance and productivity in this sector as a result.

Colleges, being closer to the communities that they serve can reach individuals that other education providers, such as universities, would struggle to reach and have particular expertise here that will ensure that the FTP delivers on the Scottish Government priority of equality – evidenced by the disproportionate number of learners from the most socially deprived backgrounds and that 90% of those learners from these areas that went to university did so through colleges.

The impact of colleges, working collaboratively under the leadership of the FTP will realise the Scottish Government's ambitions of supporting learners, widening access to education, closing the attainment gap, and providing a platform of skills provision for truly inclusive growth. The elements of this Business Case will also support wider Scottish Government policy drivers and strategies, and the National Strategy for Economic Transformation and the Digital Strategy for Scotland in particular.

Colleges Scotland
August 2022

Modern Apprenticeship Working Group – Overview of Costing Analysis – February 2022

Introduction

This briefing paper provides an overview of the analysis completed by the Modern Apprenticeship Working Group (MAWG) in reviewing existing arrangements with the Scottish Electrical Charitable Training Trust (SECTT) and the Scottish and Northern Irish Plumbing Employers Federation (SNIPEF) to identify and develop more sustainable business models in the delivery of Modern Apprenticeships in Electrical Engineering and Plumbing and Gas.

Contract Delivery Analysis

A full analysis of data relating to Scotland's' colleges' contracts with SECTT and SNIPEF was undertaken by the MAWG. This compared contractual terms between each college and SECTT and SNIPEF including:

- MA start volumes
- Payment amount and profile
- Maximum class sizes agreed
- SFC credits claimed.

This process evidenced significant differences between college contract holders for each of the above terms, with average credit values applied to calculate the revised fee structure.

An analysis of the cost of delivery was undertaken in order to assess the gap between the income and costs. The analysis demonstrated that the current fees paid do not cover the costs associated with the delivery of the Modern Apprenticeships and an increase in fees is required to achieve a breakeven position. The following variables were factored into the analysis:

- An average credit value from across the sector was applied to the costing model
- Class size over the 3-year duration of the frameworks
- Average retention – based on the national Construction MA success rate of 79%
- Lecturer costs based on the nationally negotiated model
- Registration costs
- Materials costs across the 4 years
- Non-teaching staff cost
- Organisational overhead.

Key Points

From this analysis, the following key points can be taken:

Electrotechnical Apprenticeships

- For a class size of 12, out of a total income of £102,914, £71,100 is met through SFC Taught Credit Income, with just £29,444 being provided from the managing agent. (*Fees based on class of 12 with 720 hours funding in year 1 (595 hours actual face to face delivery)*).

- Total costs for a class size of 12 at the time of calculation equated to £124,224.94. This left the college sector with a deficit of -£21,310.94.

Plumbing and Heating Apprenticeships

- For Plumbing and Heating, for a class size of 12, out of a total income of £117,128, £78,921 is met through SFC Taught Credit Income, with just £38,207 being provided from the managing agents. *(Based on £3,473 as the current fee at time of calculation).*
- Total costs for a class size of 12 at the time of calculation equated to £140,819.81. This left the college sector with a deficit of -£23,691.41.

Across both sets of calculations the following criteria were factored in:

- Taught Delivery
- Material Costs
- Registration Cost
- Indirect non-teaching staff costs including teaching staff additional workload (Includes prep or reviews, reports, updates, administration of the contract)
- Overheads.

Both sets of calculations were modelled on assumed class sizes of 12 students, as within the current contractual arrangements the MA providers stipulate that class sizes should have an upper limit of 12. There has been some exceptions to this over the years by some colleges, but where this has occurred, colleges have to seek approval from the MA provider.

Whilst these costs could be open to some degree of interpretation, the college sector is facing increasing cost pressures for materials and energy and overhead costs and is also looking at the possibility of increasing teaching costs as well, subject to the outcome of National Bargaining discussions.

It is also important to caveat that these calculations were completed before the emergence of the Covid-19 pandemic, meaning the costs of delivery have been exacerbated by the need to adhere to Covid-19 guidance in the delivery of learning and teaching activity on site for modern apprentice cohorts.

Colleges Scotland
February 2022

Additional Flexibility to Support Students in AY 2021/2022

Omicron Context

Following on from the correspondence issued by Karen Watt, Chief Executive of the Scottish Funding Council, on 30 November 2021, it is clear that the issues and impacts of the COVID-19 pandemic have become even more pronounced and more severe for colleges. Throughout the pandemic, the College sector has worked tirelessly with the Scottish Government and public health agencies to prioritise the health, safety and wellbeing of our staff, students, and wider communities. As such, we been operating at a 'beyond 0' level whilst the rest of society has seen more relaxed restrictions.

The arrival of the Omicron variant, and the requirement to further reduce on-campus numbers and activities at one of the most critical points in the learning journey, has also had a major impact on the engagement, motivation, and retention of learners. Colleges are expending significant effort to support learners and to encourage and support retention and re-engagement in challenging circumstances.

It is also increasingly evident that the uncertainty created by the Omicron variant and associated required mitigations has also impacted on the confidence of potential learners, with a number of colleges reporting a direct impact on interest and applications for course opportunities starting in January/February 2022. This is in addition to the previously highlighted August 2021 recruitment impacts and is therefore creating a worrying picture at institution and sector level in terms of the achievement of core and additional credit targets.

To support learners, colleges, and the achievement of overall sector/SFC outcomes, the following further actions and steps are proposed. In each case these are measured and proportionate steps that recognise and reflect the impact that the pandemic is having. Adoption of these flexibilities, alongside those already given, will help to create a clearer and more sustainable platform within which colleges can plan and deliver the outcomes needed for learners, communities, and Scotland's economic and social recovery.

Providing Short Term Support and Flexibilities

As a sector we ask that quick and serious consideration is given to these further flexibilities, both for the reminder of the 21/22 academic year, and subsequent years moving forward.

1. Notwithstanding the letter on re-distribution of activity dated 28 January 2022, that urgent confirmation that credits and all related funding will not be reclaimed by SFC in the event of failure to meet target activity levels. This is now a pressing requirement to give clarity and assurance for boards and to support future financial, workforce and operational planning, particularly in light of potential financial constraints in future years.

2. Support to ensure that core credit targets will be met in full for colleges and the sector as a whole (to ensure that ESF and other dependent funding is secured). This can be achieved by supporting further flexibility in respect of credit guidance in areas including:
   - Increase in allowable claim for activity for full-time learners, with basic credit claim of 20 credits per full-time learner and continued allowance for 'one-plus' activity where required and justified. This will recognise the additional time inputs required (in addition to learning hours) to engage with support learners and more complex learning journeys through the pandemic.

- Allow college discretion on all short-time activities and allow credit claims for smaller pieces of learning and engagement (<10 hours) to support shorter engagement for individuals impacted by COVID and unable/unwilling to commit to more substantive learning or with those requiring additional support to enable them to consider and plan for entering more substantial learning. This would be over and above the current guidance, which allows these claims when it is an accredited qualification or can evidence it leads to employment. This should be extended to include the ability to claim for low level college-based learning <10 hours that enhance broader progression and/or skills.
- Recognise the substantial impact that the pandemic is having on learner progress and wellbeing and allow college discretion to claim for additional time and activity input required via personal learning/support plans to support learners to maintain their learning journey and continue to progress. This would be over and above the revised basic credit claim of 20 credits per full-time learner. Colleges have seen a very significant increase in learner needs and activity to support this, and this is not recognised or supported within the current credit or funding model.

3. Given the increased levels of support for learners throughout the pandemic and the need to focus and enhance that support much earlier in their learning journey, the 25% cut-off date for full time courses sees colleges put in place significant amounts of support for no recognition if a learner decides to leave early.

   Given the current pressures on learners, we are experiencing a higher number withdrawing before the 25% cut off point and propose that this cap is either removed or brought in line with our University colleagues who receive funding if the student attends for more than five weeks, where length of course is greater than or equal to 20 weeks, or attends for more than a quarter of the length of the course, where length of course is less than 20 weeks.

   There may also be the opportunity to analyse this further in specific subject areas, such as Construction, where a learner has withdrawn and has gained relevant employment.

4. In recognition of the increased costs of delivery due to wage uplifts and other inflationary cost pressures, the price per credit should be increased so that income per learner aligns to input delivery costs. Although the overall, sector budget may not increase in 2022-23, College delivery costs will continue to increase and this needs to be reflected in the price per Credit. This will reduce overall College Credit targets, but this is unavoidable with a real-terms cut in sector funding levels.

5. Increase in allowable claims for Foundation Apprenticeships (FA) to create a minimum claim of 10 credits for all FA frameworks. This will better support consistency between frameworks, alleviate concerns around gender equality and address the funding gap created by the transfer from SDS contract to SFC credit funding.

   As you know, colleges have been responsive and flexible to meet the needs of learners in the most challenging circumstances. Whilst recruitment has been impacted, and retention remains an incredibly significant challenge, this is not a reflection of the time, effort, or expenditure that colleges are committing.

   The sector is committed to working with SFC to find effective and simple ways in which to implement the flexibilities suggested.

   The adoption of the current flexibilities in line with those suggested above will assist colleges to continue to deliver excellent learning but will also support the sector, SFC and ultimately the Scottish Government to continue to deliver on its funding commitments, national targets and the outcomes needed for learners, communities, and Scotland's economic and social recovery.

Participation in Shaping Longer Term Changes to our Funding Model

The sector would like to reinforce its full commitment to supporting learners through these challenging times however we are aware that a number of the flexibility requests are focused on how the sector meets its overall core and credit ESF targets and not what is right for our region, communities and learners. This is fundamentally flawed and demonstrates a funding methodology that is not robust or flexible enough to deal with significant disruption like we have faced.

The SFC Review of Coherence and Sustainability highlighted the need to strengthen our focus on expected outcomes and impacts. Critical to delivering on this aim is the establishment of a funding model which provides the flexibility for institutions to effectively meet learner, employer and stakeholder needs within an appropriate accountability framework.

This is a significant opportunity to step back, review this and work collectively to co-create a funding model and methodology that will meet the needs of learners, our colleges, and the sector.

We believe it is essential that we get the opportunity to be part of these conversations and to work in partnership to co-design a model that works for all.

Colleges Scotland
January 2022

Reform of the Scottish Qualifications Authority (SQA) and Education Scotland: Sector perspectives and comments – December 2021

Key Points

- The creation of a new 'Curriculum and Assessment' agency presents an opportunity for a reset in the relationship between the national qualifications awarding body in Scotland and the distinct sectors it is designed to serve (i.e., schools and colleges).
- Colleges will retain the ability and flexibility to set their own curricula, therefore, the scope of curriculum responsibility of the new agency will not cover colleges. There will, however, be beneficial co-creation opportunities for assessment with the national qualifications awarding body.
- Appropriate agency and governmental recognition of the experience and maturity of the college sector in delivering and assessing unitised frameworks.
- The need for localised and regionalised flexibility in delivery that recognises and aligns with outcome agreements for learning and for skills.
- Colleges will have increased autonomy to react appropriately to employer-industry demands for suitable qualifications, whilst also addressing professional and curriculum development needs required to drive economic recovery.
- Responsiveness and realistic timeframes linked to industry practice is needed from the reformed agencies versus a perceived 'business as usual' approach that does not, currently, encapsulate the nimbleness required in this area nor the post-COVID requirements for agile delivery.
- A partnership model is the expected mode of engagement from the reformed agencies and there is a clear opportunity to get it right for all learners through such partnership working, to remove points of duplication, and to have a clear understanding of and engagement with the roles and responsibilities of the reformed agencies.
- There is scope to explore whether the accreditation element of qualifications and corresponding awards should be separated in order to ensure objectivity and independence.
- Following recent Scottish Funding Council recognition of the work colleges do with schools and the funding flexibility introduced to facilitate this, school-college partnerships should be strengthened to offer broader pathway choices to learners.
- Extending the point above, discussion needs to take place around the school-college-employment model as an equally valid, economically advantageous pathway that the consultation can take into consideration.

Conclusion

The college sector has articulated a concern that our national education bodies have followed a 'schools first' approach for a sustained period of time. This has been evidenced in significant SQA focus on implementation and management of CfE, then, the school impact of COVID-19 ahead of delivery of innovative and ambitious college products. At Education Scotland, this has been evidenced in a schools-led development programme, with college function reduced to 'inspection' elements.

There are many key areas in which the college sector can be meaningfully involved and provide the necessary expertise to assist colleagues working with CfE. Future engagement with this consultation review affords both the Advisory Group and school colleagues the opportunity to utilise the experience of the college sector in areas beyond an evolving National Curriculum, such as internal verification and quality assurance. Equally, this sits well alongside the delivery and certification of qualifications based on internal continuous assessment. As review and consultation proceed, the enablement of all partners in the education system – to create and deliver qualifications which are fully fit for purpose in the 21st century – should remain the primary focus.

There is significant opportunity for rearticulating of the key roles and responsibilities of Scotland's colleges: the national importance of technical and vocational education and training (TVET); effective quality assurance alongside a clearly articulated tertiary sector, and a streamlined and sharply focused set of national supporting bodies with unambiguous delineated roles and responsibilities.

Colleges Scotland
November 2021

Scottish Government Portfolio Asks – August 2022

Introduction

Colleges Scotland is the collective voice for the college sector in Scotland, representing its interests and ensuring that colleges are at the heart of a word class education sector that is recognised, valued and available to all. Colleges Scotland, as the membership body, represents all 26 colleges and regional strategic bodies in Scotland, which deliver both further education and around a quarter of all higher education in Scotland.

This briefing provides an overview of the Scottish Government Cabinet and the respective sector asks to be made of the respective Cabinet Secretaries across their policy portfolios in order to achieve outcomes and make an impact for the sector. These asks will be made through the Cabinet Secretary for Education and Skills, the Minister for Higher Education, Further Education, Youth Employment and Training, the Permanent Secretary of the Scottish Government, whom Colleges Scotland met with in Spring 2022, and the respective Directors of Advanced Learning and Science.

In light of the challenging funding situation for Scotland's colleges, members of Colleges Scotland have endorsed an approach to explore where additional funding and opportunities may be available from different portfolios within the Scottish Government. Our members have been advised and understand from the outset that any additional funding is likely to be ringfenced, with a significant reporting duty included around these funds.

Our members are also aware that the Scottish Funding Council (SFC) has been advised and informed of this approach in securing additional funding from alternative portfolios, so that any distinct and new funding is kept separate from core allocations delivered to colleges.

Two key drivers for this piece of work is that the college sector will be required to play a vital role in both the successful delivery of the National Strategy for Economic Transformation (NSET) and in implementation of the recommendations from the SFC Review of Coherent Provision and Sustainability. In particular, the following will be critical areas to ensure that the policy and funding landscape provided for by the Scottish Government supports full and meaningful college participation:

1) Recognising the college role and capacity for innovation
2) Responding to employers and industry
3) Providing resource and structure for delivery of infrastructure
4) Responding to the climate emergency and delivering net zero and green jobs.

Executive Summary

The summary table below shows how each of the Portfolio asks links into these four critical areas.

Portfolio Ask	Key area(s) this would deliver
Deputy First Minister: John Swinney MSP 1. Public Sector Reform 2. Resilience 3. National Performance Framework	• Recognising the college role and capacity for innovation • Responding to employers and industry • Providing resource and structure for delivery of infrastructure • Responding to the climate emergency and delivering net zero and green jobs
Cabinet Secretary for Education and Skills: Shirley-Anne Somerville MSP 1. Sustainable Funding 2. Statement of Intent 3. Digital Inclusion Other Topics for Consideration – Foundation Apprenticeships	• Recognising the college role and capacity for innovation • Responding to employers and industry • Providing resource and structure for delivery of infrastructure • Responding to the climate emergency and delivering net zero and green jobs
Cabinet Secretary for Health and Social Care: Humza Yousaf MSP 1. Sustained investment in Mental Health Services for the College Sector 2. College Sector Role in Supporting National Care Service Expansion 3. College Sector Ability to Support the National Health Service 4. Social Prescribing	• Recognising the college role and capacity for innovation • Responding to employers and industry
Cabinet Secretary for Finance and the Economy: Kate Forbes MSP 1. Multi-Year Investment in Colleges to meet Scottish Government Priorities 2. Sustainable Funding Model for the College Sector 3. Investment in College Sector Infrastructure Other Topics for Consideration – Digital and Innovation	• Recognising the college role and capacity for innovation • Responding to employers and industry • Providing resource and structure for delivery of infrastructure • Responding to the climate emergency and delivering net zero and green jobs
Cabinet Secretary for Justice: Keith Brown MSP 1. College Sector Partnership with Scottish Prison Service 2. Building the Justice Workforce of the Future 3. College Sector Role in Engaging Young People	• Recognising the college role and capacity for innovation • Responding to employers and industry

Cabinet Secretary for Rural Affairs and Islands: Mairi Gougeon MSP 1. Skills Action Plan for Rural Scotland and College Sector Delivery Role in Rural Economies 2. College Sector Role in Supporting Rural Communities and Populations 3. Sustainable Colleges for Sustainable Rural Communities – Distant Islands Allowance	• Responding to employers and industry • Responding to the climate emergency and delivering net zero and green jobs
Cabinet Secretary for the Constitution, External Affairs and Culture: Angus Robertson MSP 1. Access to Erasmus and Turing Scheme 2. Brexit and International Student Migration 3. College Links to Communities and Culture Links – Broadcasting, Drama	• Responding to employers and industry
Cabinet Secretary for Net-Zero, Energy and Transport: Michael Mathieson MSP 1. Access for the College Sector into Scottish Government Funding 2. Recognition for the Role of the College Sector 3. College Sector Net-Zero Requirements Other Topics for Consideration – Strategic Transport Projects Review 2	• Recognising the college role and capacity for innovation • Responding to employers and industry • Providing resource and structure for delivery of infrastructure • Responding to the climate emergency and delivering net zero and green jobs
Cabinet Secretary for Social Justice, Housing and Local Government: Shona Robison MSP 1. Mitigating Student Poverty 2. Housing Challenges for Students 3. Supply of Workers to the Housing Sector	• Responding to employers and industry • Providing resource and structure for delivery of infrastructure

Scottish Government Cabinet

Deputy First Minister and Cabinet Secretary for Covid Recovery: John Swinney MSP

Colleges Scotland had strong engagement with Mr Swinney during his tenure as Cabinet Secretary for Education and Skills from 2016-2021 with dialogue around Scottish Government Budgets and the role of colleges in supporting the Scottish Government's focus on attainment.

Sector Asks

1) Public Sector Reform

Colleges Scotland is seeking engagement with Mr Swinney regarding Public Sector Reform. The SFC Review of Coherent Provision and Sustainability published in June 2021 made clear that colleges would remain a part of the public sector.

On that basis, Colleges Scotland would welcome the opportunity to engage with Mr Swinney around the possibilities of greater flexibilities for the college sector as it works through the legacy challenges associated with Covid-19 and as work is taken forward on delivering on the recommendations of the SFC Review of Coherent Provision and Sustainability.

2) Resilience

(To be taken forward through Justice portfolio following Mr Swinney's additional Finance portfolio responsibilities)

Colleges Scotland would also wish to explore with Mr Swinney what the concept of resilience looks like for colleges. Colleges have demonstrated throughout the last two years their key role as civic anchors in communities across Scotland and their own institutional / organisational resilience in moving responsively to a hybrid learning and teaching delivery model. These adaptations could be of tremendous value to the Scottish Government and in ensuring that Scotland as a nation is resilient against future challenges.

As part of this discussion we would look to engage with Mr Swinney in his capacity as Covid Recovery Secretary around the Covid (Recovery and Reform) Bill as this legislation is enacted from September 2022 onwards.

3) National Performance Framework

As the Cabinet Secretary with lead responsibility for the National Performance Framework, Colleges Scotland wishes to engage with Mr Swinney around where the college sector can add the most value in supporting the Scottish Government in the delivery of the National Outcomes, especially in contributing to the delivery of the ambitions outlined in the National Strategy for Economic Transformation.

Whilst the college sector delivers against the National Outcomes relating to Economy, Education, Children and Young People, Communities and Fair Work and Business, Colleges Scotland would welcome engagement on how colleges can be directed to support the delivery of National Outcomes around Health and the Environment, in addition to others. Engagement on this topic would be valuable in facilitating and shaping engagement with Mr Swinney's fellow Cabinet Secretaries.

Cabinet Secretary for Education and Skills: Shirley-Anne Somerville MSP

Colleges Scotland has met with Ms Somerville on two occasions during her tenure as Cabinet Secretary for Education and Skills, building on previous historical engagement with her in her previous role as Minister for Further Education, Higher Education and Science.

Sector Asks

1) Sustainable Funding

Colleges Scotland is seeking to move to the provision of a sustainable core budget for the college sector, one that provides a streamlined and simplified approach to funding on a multi-year basis. This echoes the recommendations for systems change as outlined in the SFC Review of Coherent Provision and Sustainability.

This will allow clarity over levels of resource, reduce unnecessary bureaucracy so that resources are maximised for the learner at the frontline, increase our ability to plan effectively, as well as dealing with the inherently unfair funding of different sectors across the education system. This is work that could be taken forward through the Statement of Intent currently being progressed by the Scottish Government.

2) Statement of Intent

Colleges Scotland welcomes the opportunity to engage with the Scottish Government in developing the Purpose and Principles for Colleges in Scotland, but concerns have been expressed regarding the timescales of this work. The Cabinet Secretary must be advised that a report in May 2023, as per the current timescales, will be too late for incorporation into academic year 2023/24 as colleges will be commencing the planning cycle for academic year 2023/24 at a far earlier point in time.

This work must take cognisance of the current operating climate for colleges and the challenges of the current financial situation. Against this context, the college sector has developed a range of proposals to advise and inform the work being taken forward under Cabinet Secretary direction regarding the role and purpose of the college sector in the short-medium term which would assist college chairs and principals, supported by finance directors and other critical professionals, with decision making.

Colleges Scotland would also want this work to reflect the recommendations and themes as expressed through the SFC Review of Coherent Provision and Sustainability, whilst also ensuring that the Purpose and Principles established for the college sector reflect the vital role colleges will play in delivering the ambitions outlined in the National Strategy for Economic Transformation and the ongoing work in relation to the Innovation Strategy.

3) Digital Inclusion

To continue the move to a fully supported and readily available online learning, actions and resource around the following areas are required:

- Allow digital inclusion for all through provision of equipment and free data access
- Resource for the increased licensing costs associated with the equipment provided
- Resource and time for staff to undertake course development
- Appropriate spaces for learners to have a safe and conducive environment in which to learn
- Additional support for student development to ensure they can embrace digital learning.

In addition to the above, fast, secure, and consistent connectivity throughout Scotland is required.

Digital Device Pack

The college sector is seeking a funding commitment to allow a 'digital device pack' of appropriate equipment and data connection for each non-school based learner who does not have access to a laptop and/or data.

Meeting this demand would:

- Enable more learners from SIMD10 and SIMD20 postcodes to be able to connect
- Supports people access training or retraining
- Provides equity of access to digital learning.

Through publicly available data, Colleges Scotland has estimated the number of non-school based learners at college who do not have access to a laptop and/or data provision to be just over 11,000. The investment required from Scottish Government to help deliver the digital device pack approach for the college sector is as follows:

- Cost of standard specification laptop – £400 each
- Cost of 12 months data package – £300 each
- Total cost per learner – £700.

Total investment required to ensure all non-school based learners in digital poverty have adequate access to a laptop and data is £7.8m per annum.

Other Topics for Consideration

Foundation Apprenticeships

Engagement with Ms Somerville should also look to incorporate a discussion regarding the future funding sustainability of the Foundation Apprenticeship model. Whilst funding is in place for academic year 2022/23, no confirmation on funding beyond academic year 2022/23 is available on what is a two-year model and which incorporates notable additional costs for colleges to deliver. Scottish Government are only currently providing the baseline, topped up by additional European Social Fund.

Cabinet Secretary for Health and Social Care: Humza Yousaf MSP

Colleges Scotland has not met previously with Mr Yousaf.

Sector Asks

1) Sustained Investment in Mental Health Services for the College Sector

Since 2019, colleges have benefited from Scottish Government investment for counsellors to support student mental health and wellbeing. At present, colleges are almost at a financial cliff edge, given the lack of certainty at this stage around whether there will be continued funding for counsellors beyond the end of financial year 2022/23. Colleges also previously received £4.4m for additional mental health initiatives, through Covid-19 consequentials, which was only in place for one year.

As a result of the investment to date, as well as the further investment from the Scottish Government in the form of student association funding, there will be raised expectations from learners across colleges around the levels of mental health support available to them. Research is also currently underway with the Mental Health Foundation around surveying the mental health of college students, which will underline the need for further investment.

2) College Sector Role in Supporting National Care Service Expansion

As the Scottish Government takes forward the proposals for a National Care Service, it is crucial that the college sector is designated and recognised by the Scottish Government as a key partner of the delivery of this service in practice. The college sector is the largest provider for the care

workforce in Scotland and has evidenced with the Early Years and Childcare expansion its ability to pivot and respond to key policy drivers. As such it should be brought into early-level discussions to actively input into the design and delivery of the National Care Service.

3) College Sector Ability to Support the National Health Service

Across early 2022 Colleges Scotland has been engaging with the NHS Academy to have initial conversations around how colleges can proactively support the additional training being planned and undertaken to deal with backlog of procedures due to Covid-19. It would be helpful for the Scottish Government to establish a clear and robust structure that encourages the college sector to work across portfolios and more closely support the NHS to ensure maximum impact is delivered for the public purse.

4) Social Prescribing

There are also opportunities to bring colleges into the social prescribing sphere through GPs and public health networks given the value of adult education for mental health and wellbeing, to ensure colleges can champions for the benefits of learning beyond qualifications.

Cabinet Secretary for Finance and the Economy, Kate Forbes MSP

Colleges Scotland has met with Ms Forbes previously in relation to previous Scottish Government Budgets, whilst also having opportunities for engagement through local college representatives in her MSP capacity.

(In light of Ms Forbes maternity leave, asks to be taken forward in interim through engagement with the Deputy First Minster who is providing maternity cover)

Sector Asks

1) Multi-Year Investment in Colleges to meet Scottish Government Priorities

For the period 2023-27 colleges are looking for stability and sustainability. Investment will deliver significant gains for the Scottish Government on the three priorities identified for the Resource Spending Review:

- Support progress towards meeting child poverty targets
- Address climate change
- Secure a stronger, fairer, greener economy, in line with the National Strategy for Economic Transformation.

Lack of investment will harm the chances of Scotland's children and families, create the conditions where addressing climate change becomes very challenging if the workforce is not in place, and damages learners of all ages in their ability to take up opportunities in supporting the delivery of a fairer, greener economy.

2) Sustainable Funding Model for the College Sector

Colleges Scotland is seeking to move to the provision of a sustainable core budget for the college sector, one that provides a streamlined and simplified approach to funding, reflecting the recommendations outlined in the SFC Review of Coherent Provision and Sustainability. This will allow clarity over levels of resource, reduce unnecessary bureaucracy so that resources are maximised for the learner at the frontline, increase our ability to plan effectively, as well as dealing with the inherently unfair funding of the different sectors across the education system. This is work

that could be taken forward through the Statement of Intent being progressed by the Scottish Government.

3) Investment in College Sector Infrastructure

Separate investment is required for college estates, some of which are in a dire state of repair, with students learning in inequitable conditions compared to schools and universities. This investment need sits separately to the headline figures for the Resource Spending Review. There is, in short, no immediate solution to adequate renewal of Scotland's college estate as a key part of public sector infrastructure, with hundreds of millions of pounds required to bring buildings up to wind and watertight conditions, with additional funding required to bring the estate in line with net zero requirements.

Colleges Scotland, and the sector Infrastructure Investment Group, is awaiting the publication of the College Sector Infrastructure Strategy, following on from the recommendation in the SFC Review that the Scottish Government should work with SFC and the sector to develop a national vision and strategy for the college estate that prioritises areas for collaboration (between institutions, and potentially with industry) and between regional partners.

Once published, the college sector would welcome focused dialogue with the Scottish Government to explore how colleges can work with the SFC to secure a sustainable funding mechanism which enables institutions to invest in estates and infrastructure.

Other Topics for Consideration

Digital

As the Scottish Government Cabinet Secretary with oversight for the Digital Strategy for Scotland and the AI Strategy for Scotland, Ms Forbes should also be engaged on the role of the college sector in supporting Digital Upskilling and Reskilling activity. Colleges Scotland has commenced initial engagement with Ms Forbes in relation to the Future Technology Partnership proposal paper, further to endorsement by the College Principals' Group in April 2022.

Funding for the Future Technology Partnership would cost £5m and would deliver significant return on investment and would strongly support the Scottish Government's policy objectives.

Innovation

Engagement with Ms Forbes will also allow for the college sector to raise the work completed to date through the College Innovation Fund, and around the opportunities available across the sector to expand this work and build a stronger balance of future funding in this space across the tertiary sector, given the current imbalance as highlighted by the Cumberford-Little Report, which demonstrated that between 2013/14 and 2019/20 that the universities sector received £105m in Innovation related funding, whereas the college sector only received £1m.

Please see the successful return on investment evidenced by West College Scotland working with James Frew Ltd with Innovation Funding, as referenced in the Cumberford-Little Report. (Page 51-52). As stated in this report, we urge a paradigm shift in how we promote and fund innovation, supporting opportunities for colleges to fully collaborate in both skills and industry-focused innovation. This includes taking forward the recommendation as outlined in the SFC Review of Coherent Provision and Sustainability that the SFC works with the Scottish Government to create a new Knowledge Exchange and Innovation Fund for universities and colleges.

These points have been reiterated in the college sector submission to the Call for Evidence Innovation Strategy, which established the key and vital role around innovation that colleges have

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within the wider context of delivering the ambitions of Scotland's National Strategy for Economic Transformation, the Innovation Strategy and a number of other interconnected work programmes.

Cabinet Secretary for Justice and Veterans: Keith Brown MSP

Colleges Scotland have not met previously with Mr Brown.

Sector Asks

1) College Sector Partnership with Scottish Prison Service

To maximise the value of the public pound and to support employability and transitions to positive destinations for people involved in offending behaviour, the Scottish Government, working with Colleges Scotland, should explore a national partnership model between the college sector and the Scottish Prison Service, building on the local and regional partnerships in place to date with the sector, including with Fife College and West Lothian College. This could incur competition from Private Training Providers (PTPs), but the college sector has evidenced through the Flexible Workforce Development Fund its ability to meet Scottish Government policy directives ahead of PTPs.

2) Building the Justice Workforce of the Future

Colleges are the powerhouse of Scotland's recovery from the Covid-19 pandemic and are already providing skilled graduates in critical industries including cyber-crime, forensic accounting, private security services, introductory and access courses in policing and other emergency services, administrative and para-legal services within our criminal justice and social work systems.

College funding for academic year 2022/23 is being cut by £51.9m, which will have a profound impact on college sustainability, and on the ability of colleges to maintain the skills pipelines to these crucial sectors for Scotland. Many of these services are undergoing their own digital transformations which require skilled college graduates with the appropriate training who are ready to apply their skills in the workplace.

3) College Sector Role in Engaging Young People

As the Cabinet Secretary with oversight for Youth Justice, Mr Brown should be made aware of the role of the college sector in supporting young people and supporting transitions from schools to colleges and into workplaces, ensuring young people in often disadvantaged communities reach positive destinations. The ask should be made of Mr Brown that the Scottish Government continues to provide investment in core college provision as well as key policy priorities such as the Young Person's Guarantee and National Transition Training Fund.

Cabinet Secretary for Rural Affairs and Islands: Mairi Gougeon MSP

Colleges Scotland has not met previously with Ms Gougeon.

Sector Asks

1) Skills Action Plan for Rural Scotland and College Sector Delivery Role in Rural Economies

Colleges Scotland has been engaged with the Skills Action Plan for Rural Scotland Implementation Steering Group, as supported by Skills Development Scotland (SDS) for the last three years. Through engagement with this group the college sector is aware of the challenges facing rural skills pipelines and is keen to support the Scottish Government and Ms Gougeon in successfully

delivering this plan and futureproofing these pipelines for the benefit of rural employers and economies.

The college sector would particularly welcome views from Ms Gougeon around where it can add the most value in the delivery of the plan, and in delivering against her own Cabinet Secretary responsibilities.

2) College Sector Role in Support Rural Communities and Populations

Colleges, in their role as anchor institutions in rural communities across Scotland, will play a key role in supporting rural communities in the post-pandemic period and in mitigating the impact of Brexit and urban pull on the rural workforce, especially in areas around food and drink production. Colleges Scotland would welcome the opportunity to engage with Ms Gougeon to identify what the sector can do to support rural communities and mitigate the impact of rural population decline most effectively. This could include engagement with the Island Communities Fund.

3) Distant Islands Allowance

The additional costs related to Distant Islands Allowance impacts the budgets of some colleges within the UHI region. The impact of structural changes made over recent years means that resource to cover the additional costs related to DIA is no longer recoverable through the relevant Local Authority. This has the consequence of reducing the budget of these specific colleges for teaching and learning. As well as ensuring that this situation is appropriately covered by an Impact Assessment, additional resource is required to ensure parity of provision given the increased costs faced.

Cabinet Secretary for the Constitution, External Affairs and Culture: Angus Robertson MSP

Colleges Scotland has not met previously with Mr Robertson.

Sector Asks

1) Access to Erasmus and Turing Scheme

Colleges Scotland would be keen to engage with Mr Robertson on his ongoing work around re-securing access into the Erasmus scheme for Scotland's students. Historically, colleges have engaged to a strong extent with the Erasmus scheme, with staff and students from Scottish colleges having the opportunity to participate and to learn in locations across Europe. Colleges across Scotland have also hosted European students and staff through reciprocal agreements of that scheme.

Whilst Colleges Scotland is supportive of colleges seeking opportunities through the Turing Scheme, we would welcome moves towards closer engagement with European partners through Erasmus which would benefit college students and staff. For instance, Erasmus engagement would re-connect the institutional relationships and staff engagement channels as previously in place.

2) Brexit and International Student Migration

Colleges Scotland would wish to explore how the college sector can add the most value to the Scottish Government, and to Mr Robertson as the Cabinet Secretary with responsibility for migration, in mitigating the impact of Brexit and subsequent migration effects on key economic sectors for Scotland.

As part of this we would want to identify how the college sector can best support the Scottish Government in its ongoing work in supporting Ukrainian families and students. This engagement would also ensure Mr Robertson is aware of the ongoing impact to the sector of the drop in EU students and collaborate on solutions.

3) College Links to Communities and Culture Links – Broadcasting, Drama

As Mr Robertson holds lead responsibility for culture policy, Colleges Scotland would be keen to raise with him the role of the college sector in supporting the current and future skills pipelines for Scotland's cultural workforce, ensuring it is diverse and providing access to those from SIMD backgrounds.

Colleges provide a wealth of courses across broadcasting, dance, drama, music, events management and heritage management as well as community level provision and also provide articulation pathways for students to university level study across a wider range of arts and cultural courses. We would be keen to liaise with Mr Robertson on how best the college sector can support the Scottish Government's cultural ambitions.

Cabinet Secretary for Net Zero, Energy and Transport: Michael Mathieson MSP

Colleges Scotland have not met with Mr Mathieson previously; however he has a strong relationship with Forth Valley College as his local institution and is well aware of the work completed by Forth Valley College in supporting learners and the local economy, including with Grangemouth Refinery.

Sector Asks

1) Access for the College Sector Into Scottish Government Funding

In response to the Climate Emergency, the Scottish Government has developed a number of funding streams, namely a Just Transition Fund for the North East of Scotland, in addition to a Green Jobs Fund.

Sustainable and strategic investment of Net-Zero and Just Transition funding in colleges is required to provide the opportunity for colleges as anchor institutions in communities to support the changing economy and bring people of all ages and all backgrounds into tackling climate change with the skills and qualifications which are required. Colleges played their part in the 1980's and 90's by taking students whose previous working lives had disappeared from under them in a changing industrial landscape, and now face the same challenge in trying to support people move into the green economy. The opportunity for people to learn at college must be there.

As outlined in the SFC Review of Coherent Provision and Sustainability, "*colleges…are key in the achievement of the green economic recovery, a just transition to a net-zero economy that is fair for all, and a sustainable future, through the provision of educated and skilled people to take up new and emerging jobs, jobs affected by the transition to net-zero, and existing jobs that will be needed in greater numbers*".

Similarly, investment in colleges will fully maximise the ability of colleges to provide the skilled workforce that will be required to deliver upon the ambitions outlined by the Scottish Government in the National Strategy for Economic Transformation with regards to the transition to net-zero.

On this basis, we would strongly advise Mr Mathieson to provide strategic level funding from his own portfolio budget, to be provided in addition to the SFC budget for the college sector, to maximise the role of colleges in supporting the skills-based Just Transition.

2) Recognition for the Role of the College Sector

Investing in the protection and restoration of our natural environment, decarbonising our homes, industries and transport and leading the way in renewable energy and green technology will be impossible without providing geographic 'whole of Scotland' opportunities alongside digital opportunities to build the new workforce, including retraining existing workers and responding to existing workforce requirements, to service any of these goals.

Colleges are already engaged in training the green, skilled workforce of the future and with clear, unequivocal focus could service all of these ambitions. They will not be able to play their full part in this without a defined, agreed, accepted role across Scottish Government portfolios, and sustainable and strategic funding to deliver results.

The work of ESP in working with industry and playing a leading role in supporting the development of a future-proofed workforce in areas across automotives, wind and renewable technologies, in addition to core apprenticeships across Electrical Engineering and Plumbing and Heating should also be highlighted, recognised and built upon.

3) College Sector Net-Zero Requirements

Colleges, as part of the public sector, also need investment to get to net-zero by 2045 and there is insufficient investment for this at present. Colleges are looking to work in partnership with the Scottish Government in relation to the college net-zero agenda as part of the public sector.

Other Topics for Consideration

Strategic Transport Projects Review 2

Colleges Scotland has engaged and submitted evidence to the Strategic Transport Projects Review 2, for which Mr Mathieson has Ministerial oversight, conveying the key role of colleges in providing the maintaining the skilled workforce that will be required to support the Scottish Government's ambitions regarding Transport and associated infrastructure.

Cabinet Secretary for Social Justice, Housing and Local Government: Shona Robison MSP

Colleges Scotland have not met previously with Ms Robison.

Sector Asks

1) Mitigating Student Poverty

The NUS Poverty Report evidenced significant challenges for students across Scotland, including homelessness, financial pressures, and insufficient levels of student support access and/or levels of funding. Discussions with the Cabinet Secretary should have a key focus on how the college sector can work with the Scottish Government to mitigate student poverty in the first instance with a view to reducing levels of student poverty over time.

Discussions should also focus on how best the college sector can contribute to the delivery of the national mission outlined in the Best Start, Bright Future - Tackling Child Poverty Delivery Plan 2022-26 as announced by the Cabinet Secretary in March 2022.

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2) Housing Challenges for Students

College students face great risk of rent and housing related insecurity and face challenges in accessing accommodation. Colleges Scotland want to work with the Scottish Government on developing an action plan which will enable colleges to provide advice, information, and guidance, whilst exploring how to enhance access for college students into quality housing.

Colleges Scotland would make the specific ask of Ms Robison for the Scottish Government to commit to ensuring, through legislation, that college students cannot be evicted from their accommodation during their term of study.

3) Supply of Workers to the Housing Sector

Ms Robison is engaged on the Heat in Buildings Strategy, given the ambition of achieving net-zero emissions in Scotland's buildings to identify a role for colleges in driving this strategy forward, as well as ensuring that the sector's own requirements are met.

Discussions are also required with SDS and Scottish Renewables as to ensure colleges are fully involved in the Heat in Buildings Workforce Assessment Project.

Conclusion

Across all of this proposed engagement, we wish to raise with Cabinet Secretaries that college funding for academic year 2022/23 is being cut by £51.9m, which will have a profound impact on college sustainability, and on the ability of colleges to maintain the skills pipelines to crucial sectors for Scotland.

We would ask each of the respective Cabinet Secretaries to make a strong case for sustainable funding for the college sector in the coming years given the financial fragility faced by many colleges, at a time when these crucial institutions are recovering from the pandemic.

We would warmly welcome the opportunity to engage with the Scottish Government and Cabinet Secretaries, working through respective Scottish Government Directors, to explore how we can best collaborate on the delivery of these portfolio asks in practice.

Colleges Scotland
August 2022

Colleges Scotland

Friday, 29 July 2022

Shirley Anne Somerville MSP
Cabinet Secretary Education and Skills
The Scottish Government

John Swinney MSP
Cabinet Secretary for Finance and the Economy
The Scottish Government

Ref: SS/TH

Dear Cabinet Secretaries,

RE: Colleges Scotland Sector Requests for Programme for Government 2022/23

Colleges Scotland is pleased to provide the following points for consideration for the forthcoming 2022/23 Programme for Government.

Implementation of the following positive changes will support the delivery of the Scottish Government's wider policy objectives and bring efficiencies for the public purse. Students will benefit from the inclusion of these policy proposals.

We would warmly welcome the opportunity to engage with yourselves and the Minister for Higher Education, Further Education, Youth Employment and Training to explore how we can best collaborate on the delivery of these changes in practice.

As we have recently discussed with Ms Somerville, the college sector is coming forward with proactive solutions which align with the National Strategy for Economic Transformation and the wider Covid-19 recovery agenda. This work will also complement the development of the Purpose and Principles for Post-School Education, Research and Skills Development Ecosystem.
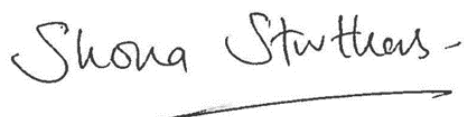
The conversation with Ministers will continue, but for the 2022/23 Programme for Government Colleges Scotland makes the following suggestions for inclusion by Ministers:

- Support colleges to be able to play their vital role in the delivery of the National Strategy for Economic Transformation and remain at the forefront of our economic recovery. Colleges should be recognised as leading partners in the new and emerging low carbon skills pipeline which the net zero transition will rely on.

- Commit to ensuring that public sector education and training is undertaken at a suitable college, where that education and training is able to be provided and to develop strategic options for which other public services could best be delivered from college premises, to ensure maximum use of publicly funded assets.

- Commit to an independent review of the use of public money in the funding and delivery of Modern Apprenticeships, through the current network of Managing Agents, to identify where efficiencies and value for money can be achieved.

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- Commit to working with the Scottish Funding Council (SFC) to deliver the Investment Plan for Scotland's college estates, which will fully fund the forthcoming SFC Infrastructure Strategy for the college sector, and to work with the Scottish Futures Trust to identify potential future investment vehicles for the college sector.

- Commit adequate funding to enable colleges to provide a 'digital device pack' of appropriate equipment and data connection for each college learner who does not have access to a laptop and/or data. This will enable more learners from SIMD10 and SIMD20 postcodes to be able to connect, providing equity of access to digital learning, training, or retraining.

- Commit to strategic funding for the establishment of the Future Technology Partnership, which will enable colleges to play a national leading role in the delivery of digital upskilling and reskilling activity. This will address the national skills gap and to expand Scotland's digital talent to provide employers with the skills pipeline they need as we move towards a more digitised economy.

- Deliver a fully funded and sustainable multi-year Student Mental Health Action Plan, building on previous Scottish Government commitments.

- Commit to a percentage increase in articulation, building on the strong progress already made in helping students from poorer backgrounds articulate from college into university, through implementing the recommendations of the Commissioner for Fair Access and removing barriers by recognising all appropriate prior qualifications and removing duplication of both effort by learners and public spend.

- Deliver a new International Education Strategy, with a clearly articulated and recognised role for Scotland's colleges as part of Scotland's education offer globally.

We would be happy to expand on these points should this be helpful and please do get in touch should any of these points require further clarification.

Yours sincerely,

Shona Struthers
Chief Executive

CC: Jamie Hepburn MSP, Minister for Higher Education, Further Education, Youth Employment and Training, and Katherine Peskett and Stephen Pathirana, Directors of Advanced Learning and Science, Scottish Government

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Board of Management

Audit and Risk Committee

DATE:	**4 October 2022**
TITLE OF REPORT:	**Auditor General for Scotland: Scotland's Colleges 2022**
REFERENCE:	18
AUTHOR AND CONTACT DETAILS	Alan Sherry, Acting Principal. Members can obtain further information this report from the Acting Principal on alan.sherry@slc.ac.uk
PURPOSE:	The purpose of this report is to inform members of the findings of the Auditor General for Scotland report on Scotland's Colleges 2022

KEY RECOMMENDATIONS/ DECISIONS:	Members are recommended to:
	    i) note the contents of this report and its attachment; and
	    ii) note key findings/recommendations set out in the report by the Auditor General for Scotland.

RISK	The failure to consider to reports by the Auditor General for Scotland on Scotland's Colleges may result in the failure to identify risk and/or identify the necessary mitigating actions
RELEVANT STRATEGIC AIMS:	• Successful students • High quality education and support • Sustainable Behaviours

SUMMARY OF REPORT:	The report provides members with an over of the findings contained within the report produced by the Auditor General for Scotland.
	It highlights the key findings in a number of areas including: • Financial Sustainability • Student Outcomes • Remote Learning • Capital Investment • Multi-college regions. In addition, the report sets out the recommendations made by Audit Scotland for the College Sector.

SUMMARY OF REPORT:	The report provides members with an over of the findings contained within the report produced by the Auditor General for Scotland.
	It highlights the key findings in a number of areas including: • Financial Sustainability • Student Outcomes • Remote Learning • Capital Investment • Multi-college regions.

SOUTH LANARKSHIRE COLLEGE

Board of Management

Audit & Risk Committee

4 October 2022

Auditor General for Scotland: Scotland's Colleges 2022

Report by Acting Principal

1. **Introduction**

   As members will be aware, the Auditor General for Scotland (AGS) produces routinely summary reports on the College Sector.

   The purpose of this paper is to provide members with a summary of the *Scotland's Colleges 2022* report published in July 2022. A copy of the report is available at www.audit-scotland.gov.uk

2. **Scotland's Colleges 2022**

   The AGS reports focusses on the following key messages:

   i) **Financial Sustainability**

   As a consequence of additional resources provided by the Scottish Funding Council (SFC) and the UK Government via the Coronavirus Job Retention Scheme, colleges are in a healthier financial position in 2020-21 that anticipated. This additional funding reversed the trend of increasing deficits across the Sector. However, this funding has now ceased.

   All other income fell during the pandemic, particularly commercial income, which has resulted in colleges becoming more reliant on SFC grant funding. Grant funding now accounts for 79% of college income.

   In addition, there has been a reduction in the resources held by Arm's Length Foundations (ALF) with most colleges having little or no access to this funding stream.

   For academic/financial year 2022-23, college funding will be reduced by 5% compared to 2021-22 and the impact of this reduction will be exacerbated by inflationary pressures. Furthermore, most colleges spend circa 70% of their overall budget on staffing costs, which continue to rise due to increases in pension contributions, National Insurance and cost of living pay awards. Members should note the staff costs are circa 78% of the South Lanarkshire College budget.

   Currently half the colleges in Scotland are considering or are in the process of considering staffing reductions in order to deliver the necessary savings to balance the budget. The AGS highlights staffing reductions have potential to impact adversely on learner outcomes and increase the risk of further industrial unrest.

In addition, the Scottish Government Resource Spending Review paper sets out, at best, a flat cash settlement for the College Sector over the period 2022-26. As a minimum, this will result in an 8% reduction in funding in real terms.

The AGS concludes that colleges face very challenging years ahead.

Members will be aware that the Board has established a Value for Money Working Group which will seek to identify measures which will ensure financial sustainability while maintaining a high-quality learning experience. This Working Group will report routinely to the Finance and Resources Committee.

ii) **Student Outcomes**
The report highlights the increase to 27.7% of students in full-time further education who failed to complete their course. Members should note that the figure for the College was 23%. While recognising the negative impact which early withdrawal has on individuals, the AGS also highlights that this does not represent value to the public purse.

It is acknowledged that the reasons for withdrawal are varied and complex with colleges seeking to take action to address this issue.

There is a stark contrast in learners moving to positive destinations with 90.3% of the HE students progressing positively compared to 74.3% of FE learners.

It is worth noting that fewer students progressed to employment while there was an increase in those entering university.

Unsurprisingly, the AGS highlights that the pandemic exacerbated existing inequalities. This was particularly the case for learners from the most deprived data-zones and those with a disability. The report identifies that colleges have been taking steps to address inequalities in attainment and progression however it recognises that much remains to be done.

There are further concerns that the disruption to learning has had a significant impact on those studying vocational qualifications, particularly those courses with practical elements, which may result in future skills gaps in the labour market.

iii) **Remote Learning**
While remote (digital) learning presented a number of challenges to colleges, particularly with regards to digital poverty, it brought a number of benefits to learners and in the main they were fairly satisfied with this approach. Again, HE students were more likely to engage positively with digital learning than those on FE Courses.

It is acknowledged that digital learning was not effective for those courses where practical skills were required to be developed, nor in those programmes with substantial placement elements.

3. **Audit Scotland Recommendations for the College Sector.**

    The report identifies a number of recommendations which are intended to address the key findings set out in the report.

    In order to support colleges in medium and long-term planning, the AGS highlights that the Scottish Government and SFC require to clarify their expectations for the Sector. Therefore, it recommends that:

    - the Scottish Government sets out clear and consistent expectations for the sector;
    - the SFC, with the Scottish Government and College Sector, determines the most appropriate funding model which supports the delivery of national policies and contributes to long-term financial sustainability;
    - the Scottish Government and SFC establish criteria which demonstrates the impact of changes which support the sustainability of the College Sector and improve learner outcomes; and
    - any changes to governance, accountability, roles and responsibility are clearly understood by all stakeholders.

4. **Capital Investment**
    The report highlights the need for further capital investment in the College Sector to tackle the issue of backlog maintenance and the Climate Emergency. However, it notes that the Scottish Government did not announce any additional capital funding in the multi-year spending document published in May 2022.

5. **Multi College Region Reform**
    The report highlights that the recommendations set out in the SFC review of colleges to reform multi-college regions have not yet been implemented despite these recommendations being endorsed by the Scottish Government in October 2021.

    Members should note that the AGS highlights that a timetable for the dissolution of the Lanarkshire Regional Strategic Board has yet to be agreed.

6. **Equalities**
    There are no new matters for people with protected characteristics which arise from consideration of the report.

7. **Risk**
    The failure to consider external reports which analyse the performance of the College Sector may lead to Board establishing inappropriate strategic priorities.

8. Recommendations

Members are recommended to:

iii)   note the contents of this report and its attachment; and

iv)   note key findings/recommendations set out in the report by the Auditor General for Scotland.

9. Further Information

Members can obtain further information on the contents of their report and its attachments from Alan Sherry, Acting Principal, at alan.sherry@slc.ac.uk.

AS/TB
South Lanarkshire College
August 2022

South Lanarkshire College
East Kilbride

BOARD OF MANAGEMENT

DATE	4 October 2022
TITLE OF REPORT	Scottish Government: Programme for Government 2022-23
REFERENCE	19
AUTHOR AND CONTACT DETAILS	Alan Sherry, Acting Principal Alan.Sherry@slc.ac.uk
PURPOSE:	To provide members with an overview of those elements set out within the Programme for Government which are likely to impact on the work of the College.
KEY RECOMMENDATIONS/ DECISIONS:	Members are recommended to note the contents of this report.
RISK	There are no new risks arising as a consequence of considering this report.
RELEVANT STRATEGIC AIM:	• Successful Students • The Highest Quality Education and Support • Sustainable Behaviours
SUMMARY OF REPORT:	• The Programme of Government focuses on the challenges posed by the current economic situation. • Measures which will impact on the work of the College include: • the Education Reform Bill; • the appointment of a new Widening Access Commissioner; • continued investment in student support funding; • taking forward the obligations contained in the National Strategy for Economic Transformation including an independent review of the skills landscape; • a larger focus on entrepreneurship, productivity and skills; and • a new mental health and well-being strategy with a refreshed suicide prevention strategy.

1. Introduction

As members will be aware the Scottish Government brings forward its Programme for Government at the commencement of the parliamentary year.

The purpose of this report is to provide members with an overview of those elements set out within the Programme for Government which are likely to impact on the work of the College. Members can access the Programme for Government at https://www.gov.scot/publications/stronger-more-resilient-scotland-programme-government-2022-23/pages/1/

2. Programme for Government 2022-23

The Programme for Government 2022-23 focuses on the challenges posed by the current economic situation. The Scottish Government estimates that due to the current rate of inflation circa £1.7 billion has, in effect, been removed from its budget since February 2022.

There is no specific legislation proposed for the College Sector however, a number of measures will impact on the work of the College.

These include:
- the Education Reform Bill;
- the appointment of a new Widening Access Commissioner;
- continued investment in student support funding;
- taking forward the obligations contained in the National Strategy for Economic Transformation including an independent review of the skills landscape;
- a larger focus on entrepreneurship, productivity and skills; and
- a new mental health and well-being strategy with a refreshed suicide prevention strategy.

Members should note that the Programme for Government contains a commitment to consider the increase costs for schools of heating and food as part of the Emergency Budget Review, including the impact of higher costs on wider commitments. Regrettably no such commitment has been made to the College Sector.

3. Next Steps

The College will take appropriate account of the Programme for Government in its planning processes.

4. Equalities

There are no new equalities matters which arise as a consequence of considering this report.

5. Risk

The failure to consider the policy framework of the Scottish Government is likely to have an adverse impact on strategic planning.

6. **Recommendation**

   Members are recommended to note the contents of this report and its attachment.

7. **Further information**

   Members can obtain further information on the contents of this report from Alan Sherry, Acting Principal on alan.sherry@slc.ac.uk.

8. **Equalities**

   There are no equalities matters for people with protected characteristics which arise as a consequence of consideration of this report.

9. **Risk**

   There are no new risks arising as a consequence of considering this report.

10. **Recommendations**

    Members are recommended to note the contents of this report.

11. **Further information**
    Members can obtain further information on the contents of this report from Alan Sherry, Acting Principal on alan.sherry@slc.ac.uk.

South Lanarkshire College

Students' Association

Board Report

August 2022

YOUR COLLEGE
YOUR WAY

Contents

Overview

Student Engagement

The SA is very excited to welcome students back on campus this year and, to offer more on-campus activities. We will be working hard to raise awareness of the Student Association with students and promoting the services that are available to them. This will include hosting more activities and events on campus, visiting classes, working in partnership with Curriculum Areas and Departments, and being more involved in the Class Reps process.

We are currently working on our Operational Plan for this year, along with our Social Media and Strategic Plan. Additionally, we will be refreshing our Student Mental Health Agreement and looking at ways of how we can make this more accessible for all students. We are committed to empowering the student voice and this will impact on the documents we are creating, as well as the activities we will have planned.

As this report will highlight, 2021-22 was a busy year for the SA and we look forward to building on this for the upcoming academic year.

Emily Test Gender-Based Violence (GBV) Charter

The final submission for the Emily Test GBV Charter took place on Friday, 5 August, with the panel meeting on Monday, 8 August to begin the review process of all the evidence submitted.

The SA have been proud to be a part of this important work throughout the last year and are looking forward to receiving feedback in September 2022. We will continue to work closely with the College to promote preventative work and support students experiencing (or who have experienced) GBV.

Student Poverty/Cost of Living

The SA is aware that the cost-of-living crisis will have a very direct impact on students attending SLC. We are committed to supporting our students and signposting them to Student Services and relevant agencies to ensure they are supported throughout their course. We will continue to provide free soup and sandwich and the agreement with Inspire for this has already been confirmed. As before we will also incorporate a free breakfast for all students.

Alongside this we will be looking to see if there are other partnerships that can be put in place to help ease the financial burden for students. For example, this might be working with Money Matters to provide budgeting workshops or creating content for the SA newsletter that will help signpost to discounted services/updates from NUS. We will also work closely with our colleagues in Student Services to signpost students to discretionary funding throughout the year.

2022-23 Operational Plan

The SA is currently working on the 2022-23 Operational Plan, Strategic Plan and Social Media Plan.

Our focus for the upcoming year is the following three priorities:

➢ empowering the student voice;
➢ supporting the wellbeing of our students;
➢ organising games and activities to make sure our students have fun.

We have prepared a SA Induction Powerpoint and have sent emails to all departments to book class visits. We want to be as visible as possible and have created an induction video for our social media accounts. This will help us to make sure all students know who we are and the support we offer.

We want to bring the fun back for our students, so we have planned fun activities and games for Freshers'.

Think Positive Conference

Due to our annual work on the Student Mental Health Agreement, the SA and the College has been invited to speak at the upcoming Think Positive Annual Conference on Wednesday, 31 August. We will be discussing the work that was involved in creating the 2020-22 Student Mental Health Agreement, including discussion on our recent Positivity event in May of this year. We are looking forward to networking and engaging with other organisations as part of our planning and preparation for the 2022-23 Student Mental Health Agreement.

College Hoodies

SLCSA is continuing to work with our local supplier to provide hoodies for students this year. We believe it is important to provide these fantastic products to our students and to maintain the low price of only £5 per hoodie. This initiative is important as part of our commitment to tackling student poverty and providing a high-quality garment at a subsidised cost to students.

For this academic year, we decided to include new hoodies, based on student opinion. We posted a question on our social media channels about what students would prefer and they decided to change colours. As a result, we chose peppermint, beige, rose and black. We also asked if they would prefer a hoodie or crew necks, students voted for zipless hoodies, and this is what we ordered.
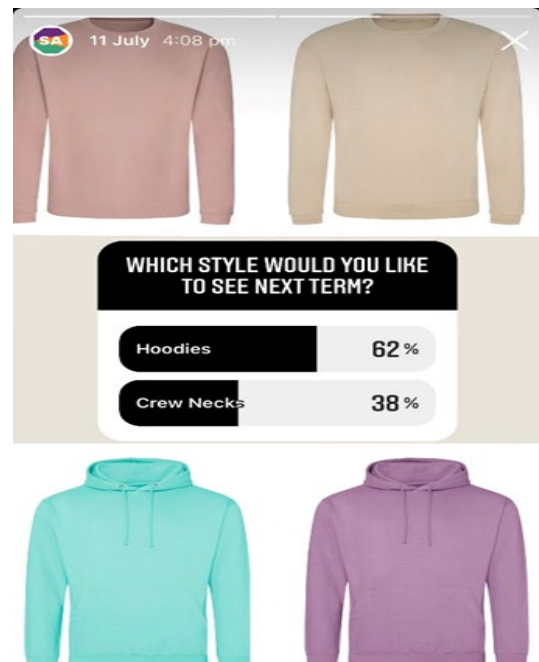
We are empowering the student voice by making sure they are included in the changes the SA staff suggest. We posted on our media a 'poll and post' where students could vote and have their voice heard, thereby helping build their confidence, trust, and a relationship within they can freely express themselves. We are very proud and excited of the feedback we received on this and building on the relationship going forward.

NUS Lead & Change

During the summer period we attended the Lead & Change event, which was productive and enjoyable. We learned more about adopting a balanced lifestyle focusing on mental, physical, and sociological wellbeing. This is key to our roles because if we take good care of ourselves, it will enable us to take greater care of our students. This will also help us maintain our passion by always reflecting and remembering our values and what we stand for.

We have also learned about barriers, the importance of saying 'NO' without feeling guilty for it because its self-love/care. We discussed and learned about our values, i.e. what we stand for, goals in life, aspirations, etc.

We had the opportunity to meet SA representatives from across all of Scotland and it was great to see what other institutions are doing. We were able to share ideas and we found out that SLC is doing great at supporting the SA! This has resulted in us having much more appreciation for the support we have from the College!

Overall, we learned a great deal and enjoyed our time. We made friends and gained a wider perspective on what it means to be a great, caring, successful leader.

Upcoming Partnerships and Opportunities

The SA are delighted to have the opportunities the Lead and Change event offered as it has enabled us to explore different areas and provide a sense of direction on what we are building for our futures. For example, the SA President recorded a podcast with NUS about their experience working with them. We hope it will encourage young people to step up and have their voice heard.

The President also has the honour to be working with Young Scot by being part of the panel on the Young Persons Guarantee Project. We believe this is a fantastic opportunity for the SA because it will allow partnership working with the Scottish Government and local authorities, resulting in a deeper insight of what young people are facing and how we can support them.

Events

Staff Conference

Tuesday 9 August

The SA had a fantastic time at the recent All Staff Conference. We really appreciated the positive message by Acting Principal, Alan Sherry. It was a great opportunity the team to meet new staff from across the College and work with them as a team within workshops, such as the t-shirt competition (which our team won!). We look forward to taking part in more of these events and building our partnerships with colleagues throughout the College.

Forthcoming Events

Freshers'

Monday 12 – Friday 16 September

Freshers' Week is a fantastic opportunity for us to engage directly with students and talk to them about what support the SA can offer. We are delighted to be hosting Freshers' on campus this year and can't wait to meet students in person.

The College Atrium will be full of different stalls being hosted by external organisations including Covey Befriending, LAMH, Money Matters, Police Scotland, MCR Pathways, Who Cares? Scotland, Capital Hair & Beauty and many more. We will be hosting fun activities, including having a caricaturist on campus for one of the days. We are also hoping to provide freebies on the day from companies such as Walkers, Dominos and Tunnocks, etc.

To create a vibrant atmosphere a local radio station DJ will be playing music in the College atrium. We are very much looking forward to getting a chance to speak with students and highlight awareness of the SA.

Community Open Day

Saturday 20 August

The SA is delighted to be taking part in the College's Community Open Day in August. This will be a chance for us to showcase the support the Student Association provides for anyone thinking of coming to college, as well as the wider community. We are also involved in helping to organise student volunteers for the day to ensure the event runs as smoothly as possible.

BOARD OF MANAGEMENT

DATE:	4 October 2022
REFERENCE	21
TITLE OF REPORT:	Strategic Risk Register
AUTHOR AND CONTACT DETAILS	Keith McAllister keith.mcallister@slc.ac.uk
PURPOSE:	To inform members of the movement in strategic risk assessment in the College and the Region.
KEY RECOMMENDATIONS/ DECISIONS:	Committee to • review and approve the strategic risk analysis and • to note the Regional Strategic Risk Register.
RISK	• That College strategic risks are not identified, and mitigating actions are not taken. • That the Region is not identifying strategic risks and mitigating actions are not taken.
RELEVANT STRATEGIC AIMS:	• Highest quality education and support. • Sustainable behaviours.
SUMMARY OF REPORT:	• The indicative Grant in Aid allocation to the Region for 2022/23 is a decrease in money terms and the four following years which the College has to forecast for SFC are to incorporate "flat cash" settlements, which in real terms is a funding cut. • The College continues to suffer reputational risk through continued adverse press coverage. • Members are asked to note the risks identified in the Regional Risk Register. Members should note that the SLC Head of Finance attends the meetings of the Regional Risk Group and presents the SLC Strategic Risk Register. The Regional Risk Register is completed and maintained by NCL staff and is presented to SLC Board meetings for information.

Commentary on movements to risk scores

Risk 1, Financial Sustainability:

The College is currently working on the financial statements for the year to 31st July 2022 and it is anticipated that the outturn will be a relatively small deficit. The College does have funds in hand, but these are ring-fenced for specific projects leaving adequate working capital.

The Region has received its indicative Grant in Aid allocation for 2022/23 and this is effectively a decrease in funding, albeit to deliver slightly less activity. Whilst the College can flex its temporary lecturing staff complement and non-salary expenditure to an extent, the cost base is not as easy to control as we would like. With inflation increasing to a possible 18% in 2023 and salary awards from 1 Sept 2022 potentially at a rate well above the anticipated levels six months ago, coping with a decrease in funding this year and flat cash settlements in the following four years, as we have been told by SFC to assume, leaves the financial forecast showing an alarming set of deficits.

This was considered by the Finance and Resources Committee in August and members were content to propose approval of a small deficit to the Board for 2022/23, with an assurance from management that all possible avenues will be explored to move the deficit nearer to break even. However, the Committee would not 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 forecasting return (FFR).

The Head of Finance has contacted SFC for their comments prior to the Financial Forecast Return being completed and submitted to them.

The unmitigated risk has been scored at the maximum of 16, but it was felt that, given that all colleges will be reporting similar huge deficits, the situation of flat cash settlements is not feasible and that SFC will have to offer increased funding for the years 2023/24 to 2026/27 and thus it would be acceptable to reduce the mitigated risk scoring for Probability from a 4 to a 3 and the overall score to 12. This is, though, still within the range of critical concern.

Risk 2, Failure of Financial Controls

The score should decrease for the next review. We have now had three internal audits this year and another two, plus the external audit, will take place before the end of the year. It is not anticipated that there will be problems with any of them in terms of financial controls. Added to this, a significant amount of work has been undertaken by the Clerk to the Board and the SLT on reviewing and updating policies & procedures and Board governance.

Risk 3, Credit target:

The College will meet its activity target for the year, subject to audit. It is not anticipated that any SFC clawback will apply for either 2021/22 or previous years.

Risk 5, Capital funding requirements:

Although the College has ring fenced its own funds for capital replacement and more general investment via the **Strategic Investment Fund**, the capital allocation via the Backlog Maintenance Fund for 2022/23 is only £75k, and SFC have indicated that there will not be an allocation thereafter. SFC has also indicated that they do not envisage increases in the ring-fenced, formulaic capital funds in future years. This gives the increased risk from the last review that there be very limited resources available to support major maintenance in the medium to long term. The College has brought in a robust system of review for all capital / investment proposals which should help to ensure that funds are appropriately directed.

Risk 8, Damage to integrity of MIS systems:

The College has recently achieved Cyber Essentials Plus certification and the recent internal audit on Cyber Security gave a positive report.

Risk 10, There is failure to provide an engaging and effective employee journey:

With staff and students returning to campus in August, 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 and approved.

Risk 11, There is failure to safeguard the health and wellbeing of staff and students:

The College is mindful of the particular strain on staff and students over the COVID period and has placed an increased focus on addressing this. The College has enhanced its wellbeing programme and a recent survey looked for feedback from staff. This will be analysed, and an action plan produced. The HR Department is also engaged in tendering for a new HR management system which will assist with the management of employee wellbeing and development.

As regards student welfare, SFC did provide increased funding in 2021/22 to assist in this regard and the College has increased its counselling staff, both funded and unfunded.

Risk 13, Failure of Corporate Governance:

It was decided to split the risk re corporate governance with one risk (new Risk 14) to concentrate on the particular challenges currently faced re Governance with the intention to close this risk off when appropriate. This would allow Risk 13 to contain details of the ongoing risk in this area and allow the focus to be on the enhancement of current arrangements that are being brought in by the College. A review of these enhancements has allowed the overall risk to decrease slightly and to bring this scoring out of "red" into "amber". The College is looking to introduce a new Governance Improvement Plan (GIP) which will concentrate on the implementation of improvements with a forward emphasis, rather than dealing with previous issues. A comprehensive review of policies and procedures is also underway, and this will feed into the new GIP.

Risk 14, The College does not comply with the requirements of the Code of Good Governance for Scotland's Colleges

The College was subject to an Audit Scotland Section 22 Report for failing to meet all the requirements of the Code of Good Governance for the period immediately after the 2020/21year end. As noted previously, issues with Governance were quickly identified and are being addressed via a Governance Improvement Plan, which the College is hopeful of closing off successfully in the very near future. The Board are monitoring the situation closely and have been fully informed of the Plan and its progress.

Strategic Risk Register

Date of review by Risk Management Group	15 August 2022
Date of review by Senior Leadership Team	23 August 2022
Date of review by Audit & Risk Committee	05 September 2022
Next date of review	06 October 2022

No.	Date Raised	Link to Quality Indicators	Description	Impact Rating (1-4)	Probability Rating (1-4)	Risk Score	Previous submission risk score	Movement since last submission	Implications	Mitigation Action	Post-mitigation impact	Post-mitigation probability	Post-mitigation score	Previous submission score	Movement since last submission	Progress To Green Key Actions	Comments	Risk Owner
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 …	4	3	12	6	6			Head of Finance
2	26/04/2021	3.1, 3.2 3.5, 3.6	That there is a failure of financial controls	4	3	12	12	0	Insufficient or incorrect information available to senior management and the Board of Management; potential for fraud.	Programme of internal and external audit …	3	3	9	9	0			Head of Finance
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.	3	3	9	9	0	Clawback of SFC activity funding and shortfall in income. Failing to meet credit targets on a consistent basis may affect annual activity allocation.	Student activity is monitored on a weekly basis …	3	2	6	6	0			Depute Principal
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.	2	2	4	4	0			Head of IT
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 …	3	2	6	1	5			Head of Finance / Head of Estates
6	26/04/2021	1.1, 1.2, 1.3, 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 …	3	2	6	6	0			
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	8	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.	3	2	6	6	0			Chris Sumner
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)	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.	Shared sector approach in place through HEFESTIS and advanced intelligence.	2	3	6	2	4			Chris Sumner
9	26/04/2021	1.1, 1.2, 1.3, 1.4, 1.5, 1.6, 1.7, 2.3	That there is a failure to achieve acceptably high standards of learning and teaching.	4	2	8	8	0	Impacts on the student experience, the college's reputation and Education Scotland risk ratings. Impacts on student recruitment leading to financial risk.	2021-22 monitor of teaching KPIs …	2	3	6	8	-2			Depute Principal
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.	Ongoing, effective development of people managers …	2	2	4	4	0			Head of HR
11	04/02/2022	2.1, 2.3, 3.1, 3.2, 3.4, 3.6	That there is a failure to safeguard the health and wellbeing of staff and students.	3	3	9	9	3	Impacts on the health and wellbeing of staff and students. This could result in high absence, disengagement and higher withdrawal rates for students.	Ongoing effective development of safeguarding …	1	2	6	6	0			Head of Student Services
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 a lack of clarity of the learner journey means that there is a failure to provide an appropriate learner experience and support to students.	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.	Applications are monitored by the Student Services Team …	3	2	6	6	0			Head of Student Services
13	26/04/2021	3.1, 3.2, 3.4, 3.5, 3.6	That there is a failure of Corporate Governance arrangements	4	3	12	12	0	That the College would fail in its duties as a public body and charity to adhere to statutory expectations. Risk to business delivery, risk to reputation; risk to effective relations between SLC and NCL e.g. given journey towards dissolution and risk of distraction or tension and ensuing impact on operational delivery.	Effective training and development for all staff, including in relation to compliance.	3	3	9	9	0			Principal
14	15/08/2022	3.1, 3.2, 3.4, 3.5, 3.6	The College does not comply with the requirements of the Code of Good Governance for Scotland's Colleges in the financial year 2021/22	4	3	12	N/A	N/A	The College was subject to a report made under Section 22 of the Public Finance and Accountability (Scotland) Act 2000 by Audit Scotland re the 2020/21 financial statements. The issues that resulted in this happening occurred in financial year 2021/22 prior to the signing off of the 2020/21 financial statements.	Appropriately experienced and qualified appointments made by Board …	3	2	6	N/A	N/A			Principal

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

Strategic Priority Quality Indicators

Risk Register at 4 February 2022

Strategic Priority 1 - Successful Students
1.1 Equality of Opportunity
1.2 Equity of outcomes
1.3 Learners achieving to the best of their ability
1.4 Skilled and knowledgeable staff
1.5 High student attainment rates
1.6 High post-course success rates
1.7 High student satisfaction rates
Strategic Priority 2 - Highest Quality Education and Support
2.1 High-quality working and learning environment
2.2 Responsive curriculum aligned to current and future employer requirements
2.3 Valued and enthusiastic staff
2.4 High -quality learning and teaching
2.5 High -quality support services
2.6 Innovative solutions
2.7 Productive partnerships
Strategic Priority 3 - Sustainable Behaviours
3.1 Effective leadership and management
3.2 Excellent governance
3.3 Continuing professional learning and development
3.4 Environmentally-sustainable behaviours
3.5 Financial sustainability
3.6 Appropriate risk management

Indicator	Risk Number												
	1	2	3	4	5	6	7	8	9	10	11	12	13
1.1						■			■			■	
1.2						■			■			■	
1.3						■			■			■	
1.4						■			■			■	
1.5						■						■	
1.6			■						■			■	
1.7									■			■	
2.1				■						■	■		
2.2			■		■				■		■		
2.3													
2.4			■						■				
2.5				■			■				■		
2.6					■					■	■		
2.7											■		
3.1	■									■	■		
3.2		■								■	■		■
3.3				■						■	■		
3.4				■				■					
3.5	■						■					■	
3.6	■	■		■			■					■	■

Risk Score Reference Grid

Score	Risk Level	
1	Low	Green
2	Low	Green
3	Low	Green
4	Low	Green
5	Medium	Amber
6	Medium	Amber
7	Medium	Amber
8	Medium	Amber
9	Medium	Amber
10	Medium	Amber
11	Medium	Amber
12	High	Red
13	High	Red
14	High	Red
15	High	Red
16	High	Red

Scottish Funding Council
Comhairle Maoineachaidh na h-Alba

European Union | gov.scot

EUROPE & SCOTLAND
European Social Fund
Investing in a Smart, Sustainable and Inclusive Future

Ref: 884426016-87103
22 September 2022

Professor Christopher Moore
Principal & Chief Executive
New College Lanarkshire
(Sent by email)

Dear Christopher

CONFIRMATION OF ESF ACTIVITY/SPEND IN AY 2020-21

Following a reconciliation of additional European Social Fund (ESF) activity delivered by colleges in Lowlands & Uplands Scotland (LUPS) in AY 2020-21 under the 'Developing Scotland's Workforce' (DSW) programme, I am writing to confirm that the Lanarkshire Region delivered 5,676 ESF credits against a target of 11,099. I can also confirm that the sector achieved the HE baseline target.

The Region's revised allocation, taking into account this under-delivery, is set out in the tables below. We plan to recover the funds associated with undelivered ESF credits in September.

In accepting SFC's offer of grant dated 31 August 2020, the Region confirmed the following college split of activity/funding:

College/Region	ESF credit allocation for AY 2021-22	ESF funding allocation for AY 2021-22	Price per ESF credit
New College Lanarkshire	5,714 credits	£1,608,495	£281.50
South Lanarkshire College	5,385 credits	£1,515,679	£281.46
Total Lanarkshire Region	**11,099 credits**	**£3,124,174**	**£281.48**

Based on the above split, the Region's ESF delivery is broken down as follows:

College/Region	ESF allocation for AY 2020-21	Revised ESF allocation for AY 2020-21	Balance of credits / funds due
New College Lanarkshire	5,714 credits	0 credits	**- 5,714 credits**
	£1,608,495	£0	**(£1,608,495)**
South Lanarkshire College	5,385 credits	5,676 credits	**+ 291 credits**
	£1,515,679	£1,597,694	**£82,015**
Total Lanarkshire Region	**11,099 credits**	**5,676 credits**	**- 5,423 credits**
	£3,124,174	**£1,597,694**	**(£1,526,480)**

An initial list of the Region's ESF students that form the basis of the ESF credits delivered by each of the colleges has already been made available on 'Secure Share'. The filenames are:

- 'NCL AY 20-21 Student List'
- 'SLC AY 20-21 Student List'

Each of the colleges have been asked to upload all remaining evidence for those students flagged as ESF for full review by SFC. There will be a second reconciliation once our evidence review is complete, which will establish whether the participant files provided by the colleges are compliant and eligible for inclusion in an ESF claim.

The colleges must retain all records and documentation for these students until at least 2032 for Scottish Government/European Commission audit requirements.

Should you have any queries, please contact Gavin Bruce, Assistant Director (Funding), tel: 0131 313 6585, email: gbruce@sfc.ac.uk or Rebecca Fairgrieve-Stewart, Senior Policy/Analysis Officer (ESF), tel: 0131 313 6687, email: rfairgrievestewart@sfc.ac.uk.

Yours sincerely

Richard Maconachie FCCA
Director of Finance

cc   Dugald Craig, Interim Head of Funding & International Activity, New College Lanarkshire
Julie McKenna, External Funding Manager, New College Lanarkshire
Alan Sherry, Acting Principal, South Lanarkshire College
Anne Doherty, Head of Alternative Funding, South Lanarkshire College
Louise Lauchlan, Outcome Agreement Manager, SFC