BOARD OF MANAGEMENT

NOTICE
There will be a meeting of the Board of Management on 6 December 2022 at 1730 hours in the Boardroom or via Microsoft Teams.

AGENDA		
Agenda Item		**Paper**
01	**Apologies for Absence**	
02	**Declaration of any potential Conflicts of Interest in relation to any Agenda items**	
03	**Minutes of Previous Meeting – 4 October 2022**	Y
04	**Matters Arising from the Previous Meeting**	N
05	**Special Item** Honour & recognition of the Chairing Member's public service	Y
	Reserved Matter for Decision – Not publishable being a draft which will be published later in final form	
06	Annual Report & Accounts to 31 July 2022 (a) College Commentary (b) Draft Annual Report & Accounts (**see separate Binder**)	Y Y
	Matters for Decision	
07	Lanarkshire Regional Outcome Agreement	Y
08	Adoption of new Code of Governance For Formal Approval	Y
09	Governance Review (a) Front Sheet Summary (b) Internal Auditors Report on Governance (c) Proposed Template for Rolling Review	Y Y Y
10	Fees Policy (a) Front Sheet Summary (b) Proposed Fees Policy	Y Y
11	Credits Report (a) Front Page Summary (b) Credits Report for Approval	Y Y
12	Strategic Risk (a) Strategic Risk Register Commentary for approval (b) Risk Register	Y Y
13	SLC Self Evaluation 2021-22	Y
14	Draft Menopause Policy	Y
	Reserved Matter for Discussion – detail will be published later on publication of final accounts	
15	Professional Fees – verbal update	N
	Matters for Discussion	

16	Chairs Report	**N**
17	Acting Principal's Report	**Y**

18	Internal Auditors Report
	    (a) Front Page summary
	    (b) Internal Audit Report
		
		Y
		Y

19	Management Forecast
	    (a) F&R Management Forecast Nov 22
	    (b) Accounts Forecast for Qrt 1
		
		Y
		Y

20	College Self Evaluation Report	**Y**
21	High level metrics	**Y**
22	**Committee Reports** (a) Audit & Risk Chair's Report (b) Curriculum, Quality & Development Chair's Report (c) Finance & Resources Chair's Report (d) HR Chair's Report	 **N** **Y** **N** **Y**
	Matters for Information	
23	(a) SFC Strategic Plan (b) SDS Strategic Plan (c) Investors in Well-being Award (d) Police Scotland	**Y** **Y** **Y** **Y**
	Summation of Actions and Date of Next Meeting	
24	**Any Other Business**	
	(a) Paper on Trade Union Representation on Board	**Y**
	Summation of Reserved Items of Business	

BOARD OF MANAGEMENT	

Minutes
Meeting of the Board of Management on 4 October 2022 at 1730 hours via Microsoft Teams and in person within the Boardroom at South Lanarkshire College

Agenda Item	Item 03
	Attendance P Hutchinson K McAllister H Anderson G McIntosh R Calin S McManus A Doherty P Scott C Gibb C McLaughlin T Robertson A Sherry F Whittaker
1	**Apologies for Absence** T Donnelly D Hogan D Morrison F Mullen R Smith H Stenhouse
2	**Declaration of any potential Conflicts of Interest in relation to any Agenda items** No advance notice of any Declarations of Interest
3	**Minutes of Previous Meetings** The Minutes of the EGM of 23 August 2022 were duly approved The Minutes of the Board of Management Meeting of 7 June 2022 were duly approved
4	**Matters Arising from the Previous Meeting** There were no matters arising
	Reserved Item
5	*Financial Forecast Return* The papers as submitted were not publishable under explanation that the Financial Forecast is work in hand and will be published in its final form at a later date. The Board discussed the matter fully and noted that the SFC Planning assumptions were felt to be unrealistic and this presented challenges. For, example, Job Evaluation was work in hand but was likely to increase staff costs, possibly by around 6% and a significant increase in energy costs was projected.

	It was anticipated that any deficit for the current year would be capable of substantial mitigation but for future years the Board expressed the view that some form of national agreement within the sector would be necessary if a meaningful submission was to be possible. The Board specifically noted that the College had no control over staff salaries and had no control over teaching revenue. All options for additional income creation were being explored on the view that to support the local community the college would require to be agile - and in that regard Members were requested to pass on any ideas on income generation to the Depute Principal As an Action Point management were requested to work with New College Lanarkshire to produce a joint statement which could be supported by the Regional Board. This Action was delegated to the Acting Principal In the meantime, an Interim Submission would be made with the draft figures for 2022/2023.
	Matters for Decision
6	***Public Interest Disclosure Policy*** The Policy as submitted was duly considered and approved. The role of an independent Clerk in the processing and investigation of complaints was especially noted
7	***Attendance Management & Support Policy*** The Policy as submitted was duly considered and approved.
8	***Health and Safety Policy*** The revised and updated Health & Safety Policy was duly considered and approved. The Board was pleased to be assured that training and awareness would continue to be high profile.
9	***Learning Teaching and Assessment Strategy*** The Board considered the strategy as presented which they noted was an effectively a new Policy and as such was duly approved. The Board was particularly pleased to note the inclusion of meta-skills
10	***Governance Review*** The Acting Clerk spoke to the paper as presented and which is referred to for its terms It was noted that the Clerk was currently collating evidence to demonstrate that the College could now move on to replacing the Governance Improvement Plan with a rolling programme of ongoing review. The Clerk would discuss the evidence with the Internal Auditors with a view to presenting a firm proposal for such a programme at an appropriate opportunity
11	***Recruitment of New Board Members*** The Acting Clerk spoke to the Paper as presented and which is referred to for its terms. The Board directed, in accordance with their Terms of Reference, that the Appointments Committee set in train with the support of the Clerk the process and procedure for the recruitment of such additional members as may be necessary to fill any vacancies as might arise in the current academic year.
12	***Update and Delegation of HR Software Tender*** The Board confirmed that this matter had been delegated to the Chair's Committee for acceptance. Prior to that, however, a demonstration had been arranged and all Board Members were invited to attend and give feedback as appropriate.
	Matters for Discussion

13	**Chair's Update** The Chair delivered a verbal report on the ongoing challenges which the College was facing. Funding of the College Sector was really a matter where the sector as a whole needed to lobby for support. Reinvestment and Wellbeing was a concept under active ongoing consideration. Excellent progress had been made with Governance review and he felt that the College was now well paced to go forward. Given recent adverse press reportage he suggested that the College should consider a more pro-active approach – especially given that there was now no dedicated FE coverage and that good news tended therefore to be under-reported.
14	**Principal's Report** The Report had already been circulated. The Board was pleased to note that 4,000 students had already enrolled but accepted that was still early days with late applications and early withdrawals still to be considered - nonetheless the College appeared to be well on target. Particularly pleasing was the additional ESOL teaching which was not merely a revenue source but was delivering community benefit
15	**Purpose and Role of Post Compulsory Education Research and Skills** The Board considered the paper submitted on this important topic and which paper is referred to for its detailed terms. This had been a large-scale consultation and the Board noted particularly the factors identified by the Scottish Government as driving reform of the approach to Lifelong Learning and for development of the post-school ecosystem. This would greatly inform the College's strategic priorities
	Matters for Information
16	**Reports by Chairs of Committees:** **Curriculum, Quality & Development** In the absence of the Committee Chair, The Depute Principal spoke to the Report as presented and which is referred to for its detailed terms. The Board noted the invitation to attend a presentation on the proposed new HR system – this matter had been delegated to the Chair's Committee for approval, but all members were welcome to attend what promised to be a most informative presentation. The Staff Conference had been a very positive experience for all concerned – this had been the first on campus event for two years as a result of the Pandemic restrictions. **Human Resources** In the absence of the Committee Chair, Fiona Whittaker presented the report which is referred to for its detailed terms. The Acting Principal regretted that the College had again failed to meet an official deadline for submission of HR data. This appeared to be a long outstanding issue, but procedures were now in place to address this. **Audit and Risk** The Committee Chair presented his Report which is referred to for is detailed terms. **Finance and Resources** The Committee Chair presented her Report which is referred to for its detailed terms

	The Board was pleased to note that the financial affairs of the College were fully compliant with best practice and commended those concerned for all their work in what was clearly a challenging budget. The Board also noted the analysis of the investigations costs which were to be shared with the Funding Council
17	**Colleges Scotland** The Board noted the contents of the undernoted publications which had been issued for information:- • The Art of the Possible • Scottish Government Portfolio Asks • Programme for Government
18	**Audit Scotland Colleges Report** The Acting Principal spoke to the undernoted publication which had been issued for information. The Board noted that there was no timetable for dissolution of the Regional Strategic Board. The Chairing Member commented however that although the Board would need to consider carefully the options which might be available, this consideration should be postponed until such time as the outcome of the ongoing investigation was known. Scotland's colleges 2022	Audit Scotland (audit-scotland.gov.uk)
19	**Scottish Government Programme for Government** The Board noted that the undernoted link had been circulated for information. https://www.gov.scot/publications/stronger-more-resilient-scotland-programme-government-2022-23/pages/1/
20	**Students' Association Report** The Board was pleased to note the terms of this detailed Report and which is referred to for its terms. The Board especially noted the good progress made in enhancing student awareness of the Association – with 50 classes having already been attended by the Association. In this connection the 2nd edition of the Stakeholder Newsletter would profile the work of the Association. The feedback from the final submission on the Emily Test GBV Charter was not yet available but was expected in the near future. . It was especially noteworthy that the College and the Association had been invited to speak at the Think Positive Annual Conference in recognition of the excellent work the Association had delivered in this regard. The contribution of the Association in promoting Mental Health Awareness was laudable and hopefully could be capitalised upon The NUS Lead and Change Conference had been attended by SA representatives and had been a positive experience. The Board commended the Association for their involvement in the Community Open Day – their input had been invaluable
21	**Strategic Risk Register** The Board noted that the strategic risk analysis had been reviewed and approved in Committee. The Board noted in particular that the Strategic Risk Register recognised the risks associated with:- • The decrease in real terms in Grant in Aid • The reputational risk associated with ongoing adverse press coverage • The risks identified in the Regional Risk Register

	All possible mitigation, however was being put in place.
22	***Correspondence from the Scottish Funding Council*** The correspondence from SFC regarding Confirmation and Reconciliation of European Social Fund Activity/ Spend 2020-21 was duly noted
23	***Summation of Actions and Date of Next Meeting*** The clerk summarised the business of the day and confirmed the various Actions as Minuted above. The next Scheduled Board meeting would take place on 6th December.
24	**Any Other Business** Attending staff left the meeting and the Board received a confidential update from Brian Baverstock as to the ongoing independent investigation. The Clerk confirmed that once the Final Report had been received, he would have a meeting with the solicitors so that he would be in position to brief the Board thoroughly on the Governance implications and advise on the way forward. He reminded the Board that lawyers could only advise and that any decisions would require to be taken by the Board on the basis of whatever professional advice they had received. He confirmed that, if need be, an EGM would be arranged.

Board of Management

The Board is invited to note and acknowledge the award of Reservist of the Year to the Chairing Member in respect of his contribution as a Reservist in HM Armed Forces.

This is both a significant personal honour and a recognition of the ongoing public service which so benefits the College Community which he continues to serve with such distinction

Peter f Scott LLB

Acting Clerk to the Board of Management

DR LISA CAMERON MP

East Kilbride, Strathaven & Lesmahagow
Email: lisa.cameron.mp@parliament.uk

East Kilbride Office: MP Offices, Civic Centre, Andrew street, G74 IAB Tel 01355587430 Strathaven Office: 32 Waterside Street, Strathaven, MLI 0 6AW Tel 01357520879

Paul Hutchison c/o South Lanarkshire College 1 College Way

East Kilbride

G750NE

Congratulations!

Dear Paul,

I am writing on behalf of our constituency from the House of Commons to personally congratulate you on your award for Reservist of the year,

What a fantastic and well deserved achievement for all of the work you undertake for the Army Reserves and also for the reserve skills that you implement in your civilian career.

I am delighted that South Lanarkshire College have signed the Armed Forces Covenant and will pass this information to Cllr Mark Horsham, South Lanarkshire Council's Veteran's Champion so that he can be in touch.

Wishing you the best for the year ahead,

Yours sincerely,

Dr Lisa Cameron MP

Winner MP of the Year Award 2021

SNP Spokesperson on Mental Health

Chair All Party Parliamentary Group Disability

House of Commons, London, SWIA OAA

South Lanarkshire College
East Kilbride

Board of Management

DATE	6 December 2022
TITLE OF REPORT	Annual Report and Financial Statements
REFERENCE	6 A
AUTHOR AND CONTACT DETAILS	Keith McAllister, Head of Finance keith.mcallister@slc.ac.uk
PURPOSE:	To present the draft Report and Financial Statements ("the Accounts") to the Board.
KEY RECOMMENDATIONS/ DECISIONS:	• The audit of the College's financial statements for the year to 31st July 2022 has been undertaken and the Report and Financial Statements produced (**attached in draft form as Item 6B**). • Any recommendations and amendments resulting from the audit have been incorporated into this current draft but there is no agreement with the external auditors (Mazars) as yet on the wording of the Governance Statement, which forms a central part of the narrative to the Statements. • Until the Governance Statement has been agreed, Mazars will not issue their own report which contains their opinion on both the audit itself and the Financial Statements. • That being the case, the Board are asked to review the draft version of the Financial Statements, noting that the Governance Statement will change. This review gives the Board the opportunity to raise initial questions and request clarifications where necessary. • The Board is asked to recommend that (a) the Audit and Risk Committee (ARC) meet again to consider the report of the external auditors once that is finalised and (b) that the Finance and Resources Committee meet subsequent to the above meeting of the ARC to consider the Financial Statements. • The Board is asked to note that there will have to be a subsequent meeting to consider the final version of the Financial Statements and the annual report from the external audit service.
RISKS	• That the College cannot demonstrate financial sustainability. • That there is a failure of financial controls • That there is a failure of corporate governance arrangements
RELEVANT STRATEGIC AIM:	• Successful students • Sustainable Behaviours

SUMMARY OF REPORT:	• The Financial Statements show more than one figure as the year's surplus or deficit, but the one which SFC uses as a comparator is the Adjusted Operating Surplus (AOS). For 2021/22, the College has delivered an AOS of £1,078k (page 15). It should be noted that this figure is arrived at after adding back the donation made to the Foundation.
	• Other indicators contained within the Financial Statements on Page 41 are:
	   ○ Deficit before taxation of £1,204k
	   ○ Actuarial gain of £9,403k
	   ○ Total comprehensive gain for the year of £8,199k
	• It should be noted that the actuarial gain above produces a notional asset which may still be removed prior to the finalisation of the accounts. At present, guidance from Mazars is that this does not need to be done.
	• It should be noted that the College transferred £500k to the arm's length foundation during the year, this being from profits generated. This transfer was approved by the FRC, and SFC has been informed of the transfer. See note 8 on page 48.
	• The College's cash holding at the end of the financial year was £3.6 million but it should be noted that £1 million has been earmarked for the Strategic Investment Fund and the College has to return unspent student support funds to SFC. It should also be noted that, recognising the age of the building and the potential investment required in maintaining and replacing plant and machinery and the fabric of the building, the College has commissioned an estates survey. This survey will indicate areas where the College will have to invest to ensure that staff and students are working and studying in appropriate surroundings, with state-of-the-art facilities and equipment.
	• Whilst the external auditors will produce a standalone annual report, it should also be noted that their report contained as pages 33 to 35 in the Accounts may also be subject to change.
	• The definition of "Key Management Personnel" has been amended from that which was the case in 2020/21, when only the Principal was included in this category (see note 6 on page 47). The Depute Principal has been added to the definition in 2021/22 and the 2020/21 figures have been amended from last year's figures to take this into account.

BOARD OF MANAGEMENT

DATE	6 December 2022
TITLE OF REPORT	The Lanarkshire College Region Regional Outcome Agreement 2022-23
REFERENCE	07 a
AUTHOR AND CONTACT DETAILS	Stella McManus
PURPOSE:	To request that the Board members approve the Lanarkshire Regional Outcome Agreement 2022-23
KEY RECOMMENDATIONS/ DECISIONS:	Members are recommended to note and approve the contents of this report.
RISK	There are no new risks arising as a consequence of considering this report.
RELEVANT STRATEGIC AIM:	- Successful Students - Highest Quality Education and Support - Sustainable Behaviours
SUMMARY OF REPORT:	Each year colleges or college regions complete an outcome agreement setting out how the Scottish Funding Council will be used, usually this is completed prior to the academic year. As per last academic year the session 2022-23 is being described as a transitional year, and the guidance for the outcome agreement was only published in October 2022. This transitional year Lanarkshire Regional Outcome Agreement aims to capture, at a high level, contributions, impact and outcomes, and provide assurance on and accountability for the use of allocated funding in Academic Year (AY) 2022-23. It follows the arrangements which were put in place for AY 2021-22 and is intended as a transitional arrangement to future approaches to accountability as signalled in the SFC report Coherent Provision and Sustainability: A Review of Tertiary Education and Research. In doing so, the Outcome and Impact Framework for AY 2022-23 will:

| | Maintain focus on the delivery of outcomes and impact for students. Ensure colleges and universities outline their contributions to a more focused set of priority issues. Promote and reflect individual and collective responses to recovery with narrative on commitments, deliverables, and expected impact. Advice from the SFC has been to ensure that this a high-level strategic document only, and no more than 15 pages in length. |

LANARKSHIRE REGION OUTCOME AGREEMENT

STATEMENT FROM THE REGIONAL CHAIR

INTRODUCTION

Welcome to the 2021-22 Outcome Agreement for the Lanarkshire College Region. Our region encompasses the local authority areas of North and South Lanarkshire, as well as parts of East Dunbartonshire. The region comprises New College Lanarkshire (NCL) as the regional college and South Lanarkshire College (SLC).

The Lanarkshire Regional Strategic Board (LRSB) is responsible for ensuring that college provision across the Lanarkshire region is coherent and aligned to regional and national strategy priorities, and that it reflects the needs of the regional economy and communities. The Lanarkshire Regional Strategic Board allocates funding to South Lanarkshire College to enable delivery of national and regional strategies and priorities, and it monitors the achievement of strategic goals and college performance.

The LRSB develops on an annual basis, an Outcome Agreement which sets out how the funding allocated by the Scottish Funding Council (SFC) will be used to fund an outstanding regional learning system which promotes a more equal society, a more successful economy, high-performing institutions and greater innovation in the economy. This document provides the constituent parts of the Lanarkshire Regional Outcome Agreement for 2022-2023 and contains:

A Programme of Action which sets out at a high-level regional commitments and planned outcomes for that academic year, reflecting LRSB's position as a Regional Strategic Body responsible for planning and funding college delivery. A mapping of planned outcomes to SFC strategic priorities is provided at Annex A demonstrating the strong alignment, and contribution, of LRSB's action to national goals.

The Lanarkshire Colleges aim to be Scotland's leading providers of College education and training, delivering a comprehensive, innovative curriculum that meets the needs of our students and the local economy. The Region's ambition is to ensure students are well prepared by providing future-oriented, high-quality learning for careers, life and success, and to support the people, businesses, economy and sustainable development of our communities and Scotland. As society continue to emerge from the Covid-19 pandemic, the region will continue its collaborative approach to working with each other and the SFC.

THE LANARKSHIRE REGION

Lanarkshire is the second largest college region in Scotland in terms of population, comprising the Local Authority areas of East Dunbartonshire, North Lanarkshire and South Lanarkshire and is only 30 minutes by road from Glasgow city centre and 40 minutes from Scotland's capital, Edinburgh. Its population exceeds 760,000.

New College Lanarkshire and South Lanarkshire College work in partnership with the three councils through Community Planning Partnerships and our schools/colleges programmes as well as other key strategic groupings in the local authority areas such as the local authority economic growth board and task forces to support sustainable local economic growth.

Key priority sectors in Lanarkshire include Health and Social Care, which holds 19.6% of total employment. This is followed by Construction at 13%, Engineering at 5% and Tourism at 4.5%. Key areas of specialism within the region include Civil Engineering as the percentage of employment is three times the national average.

Between 2021-2024 there will be a total of 36,800 job openings, however labour shortages are predicted due to people requiring higher level qualifications, 22% SCQF 5, 14% SCQF 6 and 44% SCQF 7-10. 7% of people in Lanarkshire hold no qualifications. There is an identified need for meta skills as 74% of employees need reskilled in areas such as complex analytical skills (40%), operational skills (54%) and digital skills (50%).

FAIR ACCESS AND TRANSITIONS

The Region deploys funds provided by SFC and the Scottish Government to support students from the most disadvantaged backgrounds. These funds include SFC student support funds, training allowances for SDS funded programmes, Educational Maintenance Allowance for students meeting the eligibility criteria, and discretionary funds for crisis support for students experiencing financial difficulties.

Both Colleges are committed to working with both South and North Lanarkshire Councils as our closest local authority partners to support young adults who wish to leave school at Christmas. Working collaboratively, the Colleges continue to develop and implement bespoke programmes to support pupils disengaged with school and looking to move to employment and/or further education or training. The young people receive wrap around

support from both the college and teams within each local authority to transition to a positive destination at the end of the programme.

There is a close working relationship with Skills Development Scotland (SDS) ensuring that the curriculum offer is continually reviewed to support pathways to employment for the young adults of Lanarkshire.

Both Colleges are fully committed to supporting the tertiary sector's targets of increasing the percentage of students from the 20% most deprived SIMD data zones entering degree programmes as set out in the Blueprint for Fairness. To do this, we recognise the important part we play in working in partnership with our higher education institution partners to bring higher education closer to our students and the pupils of Lanarkshire.

The Region works with several external stakeholders and partners to create a future-proof curriculum, designed to address the demands of Scotland's economic aspirations. The colleges use a host of relevant data, from publications such as the Regional Skills Assessment (RSA), to inform curriculum planning and content.

The Region is fully committed to widening access to higher education for our local communities. Across both colleges there are a variety of well-established articulation routes to a diverse range of universities across Scotland. Close working relationships with key university representatives ensures that these agreements are constantly reviewed, and further routes explored using relevant data. In addition to this, there are several degree programmes delivered by both colleges following a franchise model, ensuring that both colleges widen access to degree programmes for the people of Lanarkshire. The region's ambition is to continue to grow the degree programme provision so that every department, where appropriate, leads to the opportunity for students to maximise their potential and achieve the highest level of qualification possible within their chosen field.

SWAPWest is a partnership between colleges and universities in the West of Scotland which aims to support access to higher education for adults. SWAP programmes have been specifically developed for adults who have no or few qualifications and who have been out of education for some time. A range of Scottish Widening Access (SWAP) programmes are delivered in the region linked to regional priorities such as Nursing, Professional Health Care and Health Sciences.

The Region is committed to its responsibility as corporate parents and recognise the importance of supporting care-experienced students. Both Colleges are committed to

working in partnership with other agencies and stakeholders to meet this ambition. We have a strategic commitment to support the development of an inclusive, positive culture in relation to care-experienced students throughout the student journey.

The Region fully recognises that a holistic approach is needed when supporting care-experienced students and both colleges have a named staff contact who provides tailored one-to-one support before, during and after college. This flexible service seeks to support each student in line with their unique needs, issues, and circumstances. Having this point of contact ensures students can access support at the point they need it and lets them know there is always someone to turn to if they experience difficulties or issues.

The Region is committed to providing a range of student support services in order that care-experienced students can achieve their full potential whilst at college. This can include support with childcare arrangements, literacy or numeracy support, learning and study support, emotional support or counselling.

As well as this the Region is also committed to supporting students who have an unpaid caring responsibility outside of college that may impact on their learning experience and ability to make good progress on their course.

The Colleges continue to maintain a coherent, coordinated policy of fair access, with application systems, digital online open days and information sessions, student support and information sessions, online interviews and adherence to monitoring of performance indicators. Transitions are monitored to ensure that there are clear and accessible, with transitions with partial completion facilitated where appropriate and on-going support for all students to achieve the best possible outcomes.

HIGH QUALITY LEARNING, TEACHING & SUPPORT

Learning and teaching is monitored at individual college level with each college having robust approaches to self-evaluation and quality, including the use of business intelligence dashboards. At Board of Management level this is monitored via the relevant learning and teaching committees with representation from both colleges in attendance. Each College works closely with its respective Student Associations who also collaborate and share best practice, helping to nurture the student voice. Both individual colleges also monitor student voice via a series of surveys, class representatives and via their self-evaluation processes.

The Region moved the majority of learning back to a face-to-face model in order to support students who had struggled with social isolation and 'online fatigue'. The colleges are consulting with staff and students to establish a student-centred approach to digital learning.

The Colleges recognise the cost-of-living crisis along with the transition back to campus has meant that students require additional support in order achieve their qualifications. As such the Colleges are continuing to offer a free breakfast and lunch to all students. The Colleges are working with their local communities to provide warm spaces to mitigate the increase in energy costs. Support Services take an intersectionality approach, where the aim is to provide tailored support which best meets individual circumstances.

Both Colleges work collaboratively across the public and third sector and look to develop shared services and referral pathways to support students. For example, there is joint working with the Child Poverty Action Group (CPAG) to deliver training on student support and benefits to help support disadvantaged students.

To help support digital inclusion the Colleges continue to make laptops and other digital devices available for both long and short-term loan.

Increased resources continue to be made available to help support key vulnerable groups such as Care Experienced, Veterans and Service Leavers, Carers and Estranged Students. The Guidance and Support Advisors take a person-centred, trauma-informed approach when supporting students and understand the wider intersectionality circumstances that need to be taken into consideration when offering support.

The Colleges continue to focus on Staff Development delivering Continuous Professional Development activities, including supporting staff to achieve professional learning and teaching qualifications leading to General Teaching Council of Scotland status.

In addition, the Colleges have been selected to pilot a range of the NextGen Higher National qualifications in partnership with the Scottish Qualifications Authority (SQA). Areas include Childhood Practice., Computing and Television Production.

Both Colleges recognise that attending college can create many exciting opportunities, but there can also be challenges along the way. As a result of the pandemic, the Colleges working with their Student Associations recognise that the availability of support services to students is crucial. As such, the Colleges continue to be involved in a range of strategies

such as the NUS Think Positive initiative for 2022-23, to improve upon existing mental health support strategies.

PARTNERSHIP, PARTICIPATION AND STUDENT EXPERIENCE

Supporting and enhancing the 'student experience' throughout the student lifecycle is critical to success for both the student and the Colleges. Both Colleges have a strong commitment to engaging with students and use a wide variety of methods to facilitate feedback from students and applicants through student representation on college committees, including the Student Association (SA), and general feedback via focus group meetings, question time, student representative events, student surveys and feedback forms.

Students from both Colleges are also represented on several working groups including the LRSB and Board of Management Committees. Communication expectations have changed following the Pandemic and the Colleges have a range of new communication strategies to promote student mental health and wellbeing. The Student Associations have developed a collaborative working relationship leading to the sharing and development of best practice.

Joint College/Sparqs class representative training is provided annually to class representatives to ensure that class representatives are prepared and supported in their role. Student input into course team meetings continues to provide valuable feedback and impact on change, which is a vital part of the self-evaluation processes.

As Board of Management members, the four Student Association Presidents play an influential role within Governance structures, participating in Board strategy days and input into the strategic direction of the Colleges.

The Students' Association organise extensive events to support the sharing of ideas, feedback and information between students and the College senior team. The transfer of these sessions to online Q&As has operated effectively and have supported an expansion in engagements of this type which will be developed further as the year progresses.

Insert photos of Student Presidents.

LEARNING WITH IMPACT

Student progression and completion is supported through a combination of factors in addition to in-class support, including self-reflection and evaluation being embedded into the learner journey as part of guidance and progress review sessions to aid progress and

successful completion. Wider cross-college services available through the key support and learner engagement teams can be accessed and supports those students identified at risk of disengagement.

The Colleges work with Skills Development Scotland (SDS), employers and local authorities to understand the needs of business and industry, to ensure there is a pipeline of appropriately skilled students going out into the labour market. They offer vocationally based courses incorporating work placements, and all courses focus on the necessary employability and meta skills required for students to progress onto their chosen destinations.

The Region works with a variety of employers spanning the central belt and beyond across a wide range of sectors. Students are supported to progress onto their chosen destinations

Emerging from the pandemic has created new opportunities to support local communities within the Region and the Colleges are reviewing a range of labour market intelligence data including from Skills Development Scotland to make informed choices about their curriculum offer. Examples include

- North and South Lanarkshire Councils delivering senior phase activity including Foundation Apprenticeships.
- Glasgow Caledonian University, Strathclyde University and the University of the West of Scotland offering articulation routes into key priority sectors such as Nursing and Education and Social Services Degrees.
- NCL have recently launched the UWS University Centre at Cumbernauld campus for Advanced Skills.
- SLC have re engaged with community partners and working to create a multi-agency referral plan for South Lanarkshire and beyond.

Emerging from the pandemic has created new opportunities to support local communities within the Region and the Colleges are reviewing a range of labour market intelligence data including from Skills Development Scotland to make informed choices about their curriculum offer. For example, NCL's enhanced partnership with the University of the West of Scotland and SLC's closer working relationship with its local community learning and development teams.

EQUALITIES AND INCLUSION

Across the Region equalities and inclusion measures are monitored closely and discussed, as well as being reported relevant committees. Wherever possible planned coherent interventions are put in place to mitigate adverse impact, including partnership working with other agencies to provide tailored support to students. Equality Impact Assessment approaches are in place across the region.

The Region recognises its role as an anchor institution in improving life chances by ensuring access to high quality education that is appropriate to Lanarkshire's priorities enabling its residents to reach their full potential and equipping them with the vocational and essential skills necessary to move onto their chosen destinations.

The Colleges are longstanding 'Disability Confident' employers and offer a range of flexible support and opportunities to support engagement within the workforce.

Both Colleges are active supporters of the Gender Based Violence (GbV) campaign delivering their GbV strategies and policy guidance for staff and students on preventing and eradicating gender -based violence.

Mental health issues are a significant issue for the Colleges and remain one of the main reasons cited for students withdrawing from their studies. Effective use has been made of the additional funding for mental health allowing the Colleges to add further resource to their core teams such as additional counsellors. Togetherall, an anonymous posting service that provides a community for shared experiences and mutual support has enabled students to access specialist support services. The platform promotes a sense of belonging and connection through community and is accessible 24 hours.

RESPONSIVE INSTITUTIONS

The Region continues to deliver on Scottish Government's economic transformation and labour market strategic drivers to upskill/reskill Scotland's existing workforce through the development and delivery of Flexible Workforce Development Fund (FWDF) and Modern Apprenticeship (MA) opportunities. The Colleges consult with employers to understand their business ambitions and skills needs to develop and deliver on a workforce development plan to address skills gaps, increase business productivity and economic growth.

The Region actively seeks to develop effective pathways for individuals furthest from the labour market supporting them into education and employment.

For example, SLC is engaging with unemployed residents in rural South Lanarkshire through the Rural Academy. A team of dedicated employability experts have supported an average of 100 participants every year since 2018 progress to positive destinations. Working from premises in Lanark, the Rural Academy provides employability support and delivers accredited courses linked to job opportunities.

NCL have developed a close partnership with the Department of Work and Pensions and have established a regular presence at Job Centres across Lanarkshire and East Dunbartonshire, working together to raise awareness of and match needs to the various progression opportunities available.

The Region has adopted fair work practices which are captured under responsible procurement and forms part of the invitation to tender process. This also is part of the technical scoring, and both organisations include the following seven criteria of Fair Work:

- appropriate channels for effective voice;
- investment in workforce development;
- no inappropriate use of zero hours contracts;
- action to tackle the gender pay gap and create a more diverse and inclusive workplace;
- providing fair pay for workers (for example, payment of the real Living Wage);
- offer flexible and family friendly working practices for all workers from day one of employment; and
- oppose the use of fire and rehire practices.

Therefore, organisations submitting a tender to must demonstrate their organisation's commitment to fair work practices and support for Fair Work first for workers (including any agency or sub-contractor workers) engaged in delivery. They must include information such as addressing the Fair Work First criteria in delivery and providing fair pay for workers, taking a positive approach to rewarding staff at a level that helps tackle inequality (e.g., through a commitment to paying at least the Living Wage) and action to tackle the gender pay gap and create a more diverse and inclusive workplace.

CONFIDENT AND HIGHLY CAPABLE WORK READY GRADUATES

The Colleges have sought to identify emerging skills gaps across the Region and have effective support in place, in partnership with SDS, for students to receive advice and

guidance helping them to make informed choices on their future careers. They work closely with university partners to facilitate coherent pathways to advanced level study.

Vocational courses all have work placements to ensure that students become industry ready meeting the needs of employers. The vast majority (XX%) of students across the Lanarkshire region progress onto positive destinations.

In partnership with the University of the West of Scotland (UWS), NCL has opened The University Centre for Advanced Skills in the Cumbernauld Campus. This development provides a flexible learning and teaching facility to support the delivery of the wide range of validated and franchise degree programmes delivered in partnership between the two institutions. The launch of this new facility coincides with the introduction of four new degree awards validated by UWS: BA Business, BA Music Performance, BA Music Industries and BA Sound Production.

At SLC, the Life Science students are now able to articulate directly onto year two of the undergraduate degree in Life Sciences at Glasgow University after completion of the HNC in Applied Science. In addition, there is a new articulation route for Health and Social Care students where they can articulate onto year two of the University of Strathclyde's Degree in Education and Social Services.

KNOWLEDGE EXCHANGE AND INNOVATION / CLIMATE EMERGENCY

Climate change is globally recognised as the greatest environmental and economic threat faced by national governments and individuals, and the Region is determined to play a full part in delivering on our collective responsibility to reduce carbon emissions.

The Colleges are signatories to the University & Colleges Climate Change Commitment for Scotland, a member of the EAUC and also a signatory to the Official Global Climate Letter and part of the 'Race to Zero' and have pledged to become net-zero by 2042. We plan to do this by contributing to Scottish Government carbon reduction targets, monitored by measuring the Gross Carbon footprint of both Colleges and reported annually in the Public Bodies Climate Change Duties (PBCCD), stemming from the Scottish Climate Change Act.

In addition, the Region works with the Energy Skills Partnership to support the development of a strong supply chain to deliver on the Scottish Government's decarbonisation ambitions.

The Colleges are committed to effective staff and student engagement, partnership working through internal and external networks, and ensuring students develop the understanding of environmental and social sustainability required for the world and workplaces of tomorrow.

The Region's priorities include:

- Next stages:
- Solar Car Ports with Battery Storage.
- Additional Heat Pumps to take over 100% heat provision.
- Battery Wall Storage.
- Water Conservation via Taps, Cisterns etc.
- Air Tightness of building.
- Central BMS system.
- Introduction of ground source/air source heat pumps to contribute towards the phasing out of fossil fuels for heating/hot water.
- Installation of LED lighting
- Installation of more Photovoltaic (PV) panels
- Heat de-carbonisation across all campuses

Examples of the Region's commitment to the Net Zero agenda include:

The SLC main building has been adapted to incorporate 70Kwp solar Photovoltaic system, Air Source and Ground Source Heat Pumps within the construction area over the last eight years. In 2022 it has secured funding from the Scottish Government Energy and Climate Change Directorate for the installation of 150Kwp Photovoltaic panels as part of the drive towards Net Zero. In addition, as part of sustainability plans and reducing waste going to landfill the College has installed equipment which takes waste wood and turns it into briquettes. These are being sold to with 60% of proceeds going to charities.

SLC is key host to an exciting new venture in partnership with the Energy Skills Partnership and Energy Savings Trust to deliver a remote training and assessment facility to reach rural Scotland in meeting the demands of domestic renewable energy targets. The purpose of this mobile training facility is to increase the number of qualified heat pump installers across Scotland with particular emphasis in the remote and rural areas of the country, which in turn will develop a strong supply chain to deliver on Scottish Government's decarbonisation ambitions.

This resource provides additional flexibility to the supply chain and colleges where there are clear gaps in heat pump training across Scotland. This will be a shared resource available to all Scottish colleges, giving priority to those colleges that do not currently have heat pump training facilities (e.g. Highlands and Islands) to support the development of supply chains in rural and remote areas of Scotland. Colleges who are currently delivering heat pump training

may also use this resource as an expansion to their current training facilities when their demand for heat pump training has been exceeded.

NCL has committed to the installation of reverse vending machines (RVMs) within each of its main campuses. The early adoption of this technology prior to the Deposit Return Scheme being implemented in August 2023 represents an important step forward in the College's recycling ambitions.

COLLABORATION

The Region is firmly focussed on partnership and collaboration, and this is at the centre of both Colleges' strategic priorities. The Colleges have an established reputation across Lanarkshire for delivering high quality vocational education and training including senior phase provision which provides a platform for meaningful engagement with a wide range of partners.

Key examples include the excellent work with Developing the Young Workforce, via the STEM Lanarkshire Group, which has reintroduced the Step into STEM events for young people across Lanarkshire following the pandemic. In addition, the Colleges shared staff on a BA Accounting Programme and worked together to support the upskilling of employees to deliver SmartMeter training.

Over the past twelve months both Colleges have reinvigorated their strategic relationship through developing closer working relationships with Board members and senior leadership teams. This has laid the foundations for future partnership work to best serve the people of Lanarkshire. This includes:

- Potential expansion of curriculum portfolio for the care sector and working more closely with local and national providers of care services.
- Co-creation and collaboration in relation to the development of a digital curriculum offering.
- Corporate initiatives such as procurement and shared services.

Board of Management
6th December 2022

Adoption of New Code of Governance

DATE:	December -2022
AGENDA REF:	08
TITLE OF REPORT:	**Revised Code of Governance**
AUTHOR AND CONTACT DETAILS	Peter Scott – peter.scott@slc .ac.uk
PURPOSE:	To present the new Code of Governance for approval and adoption
KEY RECOMMENDATIONS/ DECISIONS:	That the Board formally adopt the attached Code of Governance and notes the attached Summary.
RISK	Failure to adopt the new National Code of Governance for Scotland's Colleges would result in sanctions by the Scottish Ministers
RELEVANT STRATEGIC AIM:	• Highest standard of Governance. • Sustainable behaviours.

Rationale	Adoption of the new Code of Governance is mandatory for status as a centrally funded College.

New Governance Code for Scotland's Colleges – Summary of Changes

Context

The September 2022 Code replaces the 2014 version and makes some significant changes. All Board members are required to be familiar with the new Code.

This Summary is for guidance only and is not a substitute for reading the Code itself .

Governance & the Code

Part 3 of the Code contains no substantive change and provides:-

- The definition includes processes and procedures
- Compliance is a condition of funding
- The underlying ethos is essentially unchanged, but the emphasis is on thinking about compliance deeply, thoroughly and on a continuing basis
- Frankness and openness of mind are important
- Both the letter and spirit of the Code must be honoured
- Not only must the Board state its adoption of the Code but the Chairing Member must produce an annual **Statement of Compliance** as to how the principles have been applied and inconsistencies must be rationally explained / mitigated – the 2016 required a statement in the Annual Report that the Board was compliant with the Code of Conduct and the Code of Conduct itself required compliance with the Governance Code so this is not an entirely new concept.

Principles

Part 4 of the Code provides for:-

A. Leadership & Strategy

- Conduct in Public Life – this section builds on the New Code of Conduct already adopted by the Board in May 2022
- Vision & Strategy – the old A7 on Performance has been removed and ***Performance is now a separate sub-heading*** – otherwise there is no substantive change
- Performance – this is now a new A.9 and is unchanged except that the ***performance measurement system must be clearly linked to the regional strategic framework***
- Corporate Social Responsibility – no substantive change except that the role of the ***Senior Independent Member is now a separate sub heading*** under the heading Effectiveness

B. Quality of the student experience

- Student Engagement   - no change
- Relevant & High-Quality Learning - no change

C. Accountability

- Accountability & Delegation – an important change is that the Scottish Ministers have ***power to suspend as well as remove board members***. In addition, Clause C.6 is ***considerably expanded in respect of recording any disclosure of interests*** by reference to the objective test. In considering a quorum, <u>preferably</u> ***at least 50% of those attending should be non-executive members which term specifically excludes staff and student members.***
- Risk Management – no substantive change
- Audit Committee – where the benchmark of best audit practice is stated to be the ***Audit and Assurance Committee Handbook.*** A specific point now is that the ***majority must comprise non-executive members***
- Remuneration Committee – no change but members must still undertake the CDN training module within 1 month of appointment
- Financial & Institutional Sustainability – no change
- Staff Governance – no change.

D. Effectiveness

- Board Chair – no change
- Senior Independent Member – the ***role has been expanded to require the SIP to appraise the Chair's Performance*** previously considered to be the role of the Vice Chair
- Board Members – no change
- Principal & Chief Executive – no change
- ***Governance Professional –*** the legislation refers to Secretary and some individual colleges use the term Clerk but the re-badging of the title may suggest a change in emphasis which may need to be reflected in the job evaluation process
- Appointment Induction & Training – no change
- Board Evaluation – ***formerly every 3 years and now required every 3 to 5 years*** but new Guidelines have been issued and should be reflected in a Rolling programme of Governance Review.

E. Relationships & Collaboration

- Partnership Working – no change

Annex 1

There is only one significant change which is that a board quorum (which includes a committee of the board) should always require a non-executive majority – the chair of any board is always considered to be a non-executive post.

The only other change is a rationalisation of the UHI status which does not affect SLC.
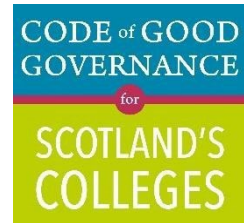
Code of Good Governance for Scotland's Colleges

1. **Background**

2. **Foreword**

3. **Code of Good Governance for Scotland's Colleges**
   - Governance and the Code
   - Statement of Compliance with Good Governance

4. **Principles**

   Section A: Leadership and Strategy
   - Conduct in Public Life
   - Vision and Strategy
   - Performance
   - Corporate Social Responsibility

   Section B: Quality of the Student Experience
   - Student Engagement
   - Relevant and High-Quality Learning
   - Quality Monitoring and Oversight

   Section C: Accountability
   - Accountability and Delegation
   - Risk Management
   - Audit Committee
   - Remuneration Committee
   - Financial and Institutional Sustainability
   - Staff Governance

   Section D: Effectiveness
   - The Board Chair
   - Senior Independent Member
   - Board Members
   - Principal and Chief Executive
   - Governance Professional
   - Board Member Appointment, Induction and Training
   - Board Evaluation

Section E: Relationships and Collaboration

- Partnership Working

Annex 1: References and Definitions
1. Background

The original *Code of Good Governance for Scotland's Colleges* was published in December 2014. The Code has been periodically updated by the Good Governance Steering Group over the last few years to take into account the Cabinet Secretary's Good Governance Task Group recommendations which were published in 2016 and new governance practices and processes.

Colleges Scotland will act as custodian for any future reviews and in keeping with the way that the Code was created, the broad range of stakeholders who developed the Code will be engaged fully with any revisions.

This Code refers to regional colleges, assigned colleges and regional strategic bodies.

2. Foreword

Colleges in Scotland thrive in the heart of their communities, serving the interests of those communities, students, employers, governments and their agencies and other stakeholders. They have an essential and valuable role in Scottish society. Colleges deliver 70 million hours of learning each year, and 95% of these learning hours lead to a recognised qualification. Across Scotland colleges employ 11,000 staff and deliver education, skills and training to 240,000 students, 11,000 apprentices and 52,000 school pupils.

Colleges and regional strategic bodies receive substantial public funding and also operate in an increasingly commercial and enterprising way. We value the significant contribution college board members make to governing our colleges and regional strategic bodies, and to their stewardship of taxpayer's money, ensuring its efficient and effective use.

Boards are expected to innovate, pursue new opportunities, and take measured risks in delivering what is best for their stakeholders.

Against this background, it is right and proper that the highest standards of governance and propriety are expected of our boards and those individuals who serve them. This Code of Good Governance codifies the principles of good governance for learners and learning that already exist in our colleges and promotes accountability and continuous improvement in how colleges and regional strategic bodies are governed.

The Code is based on key principles and has been written in a way that is mandatory and anticipates compliance. All colleges that receive funding from the Scottish Funding Council (SFC) or from a regional strategic body must comply with the Code as a term and condition of grant. Exceptions should be rare and must be explained publicly.

In addition to demonstrating good governance, colleges and regional strategic bodies must also ensure compliance with their statutory and other obligations. The governance professional role is vital in providing guidance to the board on its legal and other obligations.

Colleges have an important individual and collective role to play in promoting economic, social and cultural well-being. We expect this Code to provide the essential underpinning to help discharge that role to the highest standards possible.

Waiyin Hatton, Chair of the Good Governance Steering Group September 2022

3.   Code of Good Governance for Scotland's Colleges

Governance and the Code

Corporate governance:

- is the way in which organisations are directed and controlled within a legislative and regulatory framework
- defines the distribution of rights and responsibilities among the different stakeholders and participants in the organisation
- determines the rules and procedures for making decisions on corporate affairs including the process through which the organisation's objectives are set
- provides the means of achieving those objectives and monitoring performance.

Scotland's colleges refer to colleges either funded by SFC or by a regional strategic body for the provision of education.   Such colleges can be incorporated or non-incorporated. The overarching purpose of good governance for Scotland's colleges is to:

- lead the college, region or regional strategic body and set its strategic direction and values
- ensure effective management and financial controls to support the student experience within a framework of public accountability and transparency
- deliver high quality learning and outcomes.

The *Code of Good Governance for Scotland's Colleges* has been developed and is owned by the college sector. Colleges are required to comply with it as a condition of grant from either SFC or their regional strategic body. It establishes standards of good governance practice for all boards and provides the essential foundations for compliance within the legislative framework.

Boards must not only follow the letter but also the spirit of the Code to ensure good governance.   Boards must think deeply, thoroughly and on a continuing basis about their overall tasks and the implications of these for the roles of their individual members. Key to this is the leadership of the chair, the support given to and by the principal, and the frankness and openness of mind with which issues are discussed and tackled by all board members.

Statement of Compliance with Good Governance

Each board must state its adoption of the Code in the corporate governance statement contained in its annual financial statement. The chair, on behalf of the board, is expected to report as to how the principles have been applied by the board. Where, for whatever reason, a board's practice is not consistent with any principle of the Code, it should make this known to SFC or, if it is an assigned

college, the regional strategic body. This should be done immediately they become aware of an inconsistency and, without exception, in advance of publishing the information. An explanation for that inconsistency must be clearly stated in its corporate governance statement. Boards will be expected to offer a clear rationale for exceptions in the context of their college's operational model and to identify mitigations.

Individual board members have a duty to act on serious concerns about the governance of their body. Information on who board members can approach is included in *The Guide for Board Members in the College Sector*.

4.   Principles

Section A: Leadership and Strategy

Conduct in Public Life

A.1 Every college and regional strategic body must be governed by an effective board that is collectively responsible for setting, demonstrating and upholding the values and ethos of the organisation.

A.2 Every board member must ensure that they are familiar with and their actions comply with the provisions of their board's Code of Conduct.

A.3 The *Nine Principles of Public Life in Scotland*, which incorporate the seven Nolan principles, must be the basis for board decisions and behaviour. These key principles, which apply individually and collectively, are:

• Duty/Public Service
• Selflessness
• Integrity
• Objectivity
• Accountability and Stewardship
• Openness
• Honesty
• Leadership
• Respect

Vision and Strategy

A.4 The board is responsible for determining their institution's vision, strategic direction, educational character, values and ethos. Regional strategic bodies must also determine the regional strategy for colleges assigned to them. The board of an assigned college must have regard to the strategy determined by

the regional strategic body. Board members have a collective leadership role in fostering an environment that enables the body to fulfil its mission and meet Scottish Government priorities, for the benefit of students and the community it serves.

A.5 The board must develop and articulate a clear vision for the region or college. This should be a formally agreed statement of its aims and desired outcomes which should be used as the basis for its overall strategy and planning processes.

A.6 The board provides overall strategic leadership of the region or college. The board is responsible for formulating and agreeing strategy by identifying strategic priorities and providing direction within a structured planning framework.

A.7 The board (except in the case of assigned college boards) is responsible for overseeing the negotiation of its outcome agreement with SFC, to meet the needs of the college or region and make best use of available funding, consistent with national strategy. The board must ensure effective engagement with all relevant stakeholders in the development of its outcome agreement and monitor performance in achieving the agreed outcomes.

A.8 The roles and responsibilities of the boards of assigned colleges should be undertaken in the context of the roles and responsibilities of their regional strategic body. Assigned college boards must contribute constructively to the development of the outcome agreement led in its region by the regional strategic body and support the regional strategic body to monitor performance in achieving the agreed outcomes.

Performance

A.9   The board must ensure that a comprehensive performance measurement system is in place which is clearly linked to the regional strategic framework and identifies key performance indicators. It must ensure that it scrutinises performance measures and reports these on their website in a manner that is both timely and accessible to stakeholders. This will allow the board to determine whether or not the vision and mission of the region or the college are being fulfilled and that the interests of stakeholders are being met.

Corporate Social Responsibility

A.10 The board must demonstrate high levels of corporate social responsibility by ensuring it behaves ethically and contributes to economic development while seeking to improve the quality of life of the local community, society at large and its workforce.

A.11 The board must exercise its functions with a view to improving economic, cultural and social wellbeing in the locality of the college or region. It must have regard to social and economic needs and social inclusion.

A.12 The board must provide leadership in equality and diversity.

A.13 The board must seek to reflect in its membership, the make-up of the community through offering maximum opportunity of membership to a range of potential members and removing potential barriers to membership, in partnership with its regional strategic body, as appropriate.

Section B: Quality of the Student Experience

Student Engagement

B.1 The board must have close regard to the voice of its students and the quality of the student experience should be central to all board decisions.

B.2 The board must lead by example in relation to openness, by ensuring that there is meaningful on-going engagement and dialogue with students, the students' association and as appropriate staff and trade unions in relation to the quality of the student experience. Consultation is essential where significant changes are being proposed.

B.3 The board must consider the outcome of student surveys and other student engagements and monitor action plans that could impact on the quality of the student experience.

B.4 The college board must have regard to the [Framework for the Development of Strong and Effective College Students' Association in Scotland](). It must put in place robust partnership procedures (e.g. partnership agreement) to work together to achieve change and which are supported by regular and open communications.

B.5 The college board must encourage a strong and autonomous students' association and ensure that the students' association is adequately resourced.

B.6 The college board must ensure that the students' association operates in a fair and democratic manner and fulfils its responsibilities.

B.7 The college board should review the written constitution of its students' association at least every five years.

Relevant and High-Quality Learning

B.8 The board must seek to secure coherent provision for students, having regard to other provision in the region or college's locality. The board must be aware of external local, national and international bodies and their impact on the quality of the student experience, including community planning partners, employers, skills development and enterprise agencies and employer bodies. The board must seek to foster good relationships and ensure that the body works in partnership with external bodies to enhance the student experience, including employability and the relevance of learning to industry needs.

Quality Monitoring and Oversight

B.9 The board must ensure appropriate mechanisms are in place for the effective oversight of the quality and inclusivity of the learning experience in the college or region. The board must ensure that the college works in partnership with sector quality agencies and other appropriate bodies to support and promote quality enhancement and high-quality services for students.

Section C: Accountability

Accountability and Delegation

C.1 The board is primarily accountable to its main funder, either SFC or its regional strategic body. Through the chain of funding, the body is ultimately responsible to the Scottish Ministers who are accountable to the Scottish Parliament.

C.2   The board must ensure delivery of its outcome agreement or in the case of an assigned college, its agreed contribution to the region's outcome agreement.

C.3 The board must ensure it fulfils its statutory duties and other obligations on it, and that the terms and conditions of its grant are being met.

C.4 Scottish Ministers have powers to suspend or remove by order any or all board members of an incorporated college (except the principal) or a regional board for serious or repeated breaches of a term and condition of grant.

C.5 The board also has a wider accountability to a range of stakeholders including students (both current and prospective), its staff, the wider public, employers and the community it serves, for the provision high quality education that improves people's life chances and social and economic well-being.

C.6 Incorporated colleges and regional boards must maintain and publicly disclose a current register of interests for all board members. Board members have a personal responsibility to ensure any changes to their register of interests are notified timeously to the governance professional and to declare any specific conflicts of interest in the business of the meeting prior to the commencement of each meeting of the board and its committees and withdraw from meetings as appropriate. See section D.6 for the 'objective test' for judging if there is a conflict of interest.

C.7 The board must ensure that its decision-making processes are transparent, properly informed, rigorous and timely, and that appropriate and effective systems of financial and operational control, quality, management of staff, risk assessment and management are established, monitored, continuously improved and appropriately impact assessed. This includes:

a) the prompt production, dissemination and online publication of board/committee agendas, minutes and papers to the public
b) every board meeting and every committee meeting having a well-structured agenda circulated timeously in advance
c) the retention of all key documentation which help justify the decisions made by the board and its committees
d) setting quorum for board and committee meetings in line with good practice and preferably at 50% or higher are non-executive members. A board should satisfy itself that adequate arrangements are in place to

ensure that decisions it has delegated to a committee are taken with a non-executive majority. When determining a quorum, the chair of the board may be considered to be a non-executive member. (see Annex 1 for the definition of non-executive).

C.8 The board may delegate responsibilities to committees for the effective conduct of board business. As a minimum the committees required are Audit, Remuneration, Finance and Nominations/Appointments. Delegation of responsibilities from and matters reserved to the board and its committees must be set out in a scheme of delegation including the functions delegated by the board to the chair, committees, the principal and the governance professional (and any other members of staff).
Incorporated college boards and regional boards have no powers to delegate functions to an individual board member (except the chair who has no authority to act out with their delegated powers).

C.9 The board must ensure every board committee has a specified member of the management team to provide objective, specialist advice to support it to discharge its remit, including by explaining in an accessible way the matters under discussion and the possible implications of different options.

C.10 The board must consider and have in place procedures to ensure effective working relationships and constructive dialogue amongst the board as a whole and ensure there are effective reporting and two-way communications between committees and the board. The board must ensure that discussions and decisions of every committee are accurately recorded and reported to the board, no later than the next meeting of the board.

Risk Management

C.11 The board of a college or a regional body is responsible for the overall management of risk and opportunity. It must set the risk appetite of the body and ensure there is an appropriate balance between risk and opportunity and that this is communicated via the principal to the body's management team.

C.12 The board must ensure that sound risk management and internal control systems are in place and maintained. It must ensure there is a formal on-going process for identifying, reporting, evaluating and managing the body's significant risks and review the effectiveness of risk management, business continuity planning and internal control systems.

Audit Committee

C.13 The Audit Committee must support the board and the principal by reviewing the comprehensiveness, reliability and integrity of assurances including the body's governance, risk management and internal control framework. The Scottish

Government Audit and Assurance Committee Handbook promotes the development of an assurance framework to aid the Committee in fulfilling this role. See [Audit and](#) [Assurance Committee Handbook](#)

C.14 The scope of the Audit Committee's work must be defined in its terms of reference and encompass all the assurance needs of the board and the principal. The Audit Committee must have particular engagement with internal and external audit, and must work with management and auditors to resolve any issues in relation to financial reporting.

C.15 The Audit Committee must promptly pursue recommendations arising from audit reports and must monitor their implementation.

C.16 The membership of the Audit Committee cannot include the board chair or the principal and, in line with the Audit and Assurance Committee Handbook, 'executive members of the organisation should not be appointed to the Audit and Assurance Committee', and the majority of members must be non-executive. The role of the college executive is to attend meetings at the invitation of the committee chair and to provide information for particular agenda items.

C.17 The Audit Committee terms of reference must provide for the committee to sit privately without any non-members present for all or part of a meeting if they so decide. The Audit Committee members should meet with the internal and external auditors without the executive team present at least annually.

C.18 At least one member of the Audit Committee should have recent relevant financial or audit experience.

Remuneration Committee

C.19 It essential that members of the Remuneration Committee understand their role and responsibilities. Members must undertake the online training module for Remuneration Committees provided by College Development Network within one month of appointment.

C.20 The board must have a formal procedure in place for setting the remuneration of the principal by a designated committee of non-executive members. The board may wish to supplement this by taking evidence from a range of sources. In particular, staff and students should have a role in gathering and submitting evidence in relation to the college principal to the relevant committee.

C.21 The board chair cannot be the chair of the Remuneration Committee (but they can be a member of it).

Financial and Institutional Sustainability

C.22 The board is responsible for ensuring the financial and institutional sustainability of the body. The board must ensure compliance with its Financial Memorandum (either with SFC or the regional strategic body, depending on which is funding it), including in relation to incorporated colleges and regional boards, relevant aspects of the Scottish Public Finance Manual.

C.23 The board must ensure that:

- funds are used as economically, efficiently and effectively as possible
- effective monitoring arrangements are in place
- college staff report relevant financial matters to it.

C.24 For colleges that are charitable organisations, board members are also charity trustees. The board of a college that is a charity must ensure its members are aware of their responsibilities under charity legislation and for complying with relevant provisions as set out by the Office of the Scottish Charity Regulator. See *OSCR Guidance and Good Practice for Charity Trustees*.

Staff Governance

C.25 The college board as the employer, is responsible for promoting positive employee relations and for ensuring effective partnership between recognised trade unions and management.

C.26 The board must have a system of corporate accountability in place for the fair and effective management of all staff, to ensure all legal obligations are met and all policies and agreements are implemented and identify areas that require improvement and to develop action plans to address them.

C.27 The board must comply with the nationally agreed college sector *Staff Governance Standard*.

C.28 The college board must comply with collective agreements placed on it through national collective bargaining for colleges.

Section D: Effectiveness

The Board Chair

D.1 The chair is responsible for leadership of the board and ensuring its effectiveness in all aspects of its role. The chair is responsible for setting the board's agenda and ensuring that adequate time is available for discussion of all agenda items, particularly strategic issues. The chair must promote a culture of openness and debate by:

- encouraging the effective contribution of all board members
- fostering constructive challenge and support to the principal, executive team and fellow board members
- effective team-working
- positive relations between board members.

The chair must engage with the principal and the governance professional in a manner which is both constructive and effective.

D.2 The board and its committees must have the appropriate balance of skills, experience, independence and knowledge of the body to enable them to discharge their respective duties and responsibilities effectively.

Senior Independent Member

D.3 The board must appoint one of the non-executive members to be the senior independent member to provide a sounding board for the chair and to serve as an intermediary for the principal, other board members and the governance professional when necessary (see Annex 1 for the definition of 'non-executive'). The senior independent member should also be available where contact through the normal channels of chair, principal or governance professional has failed to resolve an issue or for which such contact is inappropriate. The senior independent member is also responsible for holding annual meetings with Board members, without the Chair, to appraise the Chair's performance and provide the Chair with relevant feedback Further information on the role of the senior independent member can be found in *The Guide for Board Members in the College Sector*.

Board Members

D.4 Each board member is collectively responsible and accountable for all board decisions. Board members must make decisions in the best interests of the college and/or region as a whole rather than selectively or in the interests of a particular group.

D.5 Staff and student board members are full board members and bring essential and unique, skills, knowledge and experience to the board. Staff and student board members must not be excluded from board business unless there is a clear conflict of interest, in common with all board members.

D.6 Where the college is a charity, all board members, as charity trustees, including staff and student board members, have legal duties and responsibilities under the Charities Act 2005. This includes registering any personal interests that could be seen as conflicting with the interests of the body. The 'objective test' for judging if there is a conflict of interest is:

"… whether a member of the public, with knowledge of the relevant facts, would reasonably regard the interest as so significant that it is likely to prejudice your decision making in your role as a member of a public body".

Principal and Chief Executive

D.7 The college board must appoint the principal as chief executive of the college, securing approval for the appointment and terms and conditions of the appointment from the regional strategic body if necessary.

D.8 The college board must ensure there is an open and transparent recruitment process for the appointment. Students and staff must have an opportunity to contribute to the recruitment process.

D.9 The college board must delegate to the principal, as chief executive, authority for the academic, corporate, financial, estate and human resource management of the college, and must ensure the establishment of such management functions are undertaken by and under the authority of the principal.

D.10 The college board must ensure a clear process is in place to set and agree personal performance measures for the principal. This process should seek the views of students and staff. The chair, on behalf of the board, should monitor, review and record the principal's performance, at least annually, against the agreed performance measures.

D.11 The principal, as a board member, shares responsibility for good governance with the chair and all other members of the board, supported by the governance professional. The principal also enables good governance through supporting effective communication and interaction between the body and the rest of the college including staff and students.

D.12 The board provides strategic direction for the region and/or college, and the chair provides leadership to the board. The principal provides leadership to the staff of the body.

D.13 The board must provide a constructive challenge to the principal and executive team and hold them to account.

Governance Professional

D.14 The board must appoint a governance professional who is responsible to it and reports directly to the chair in their governance professional capacity. The governance professional may be a member of the senior management

team in their governance professional capacity, but they cannot hold any other senior management team position at the same time. The appointment and removal of the governance professional is a decision of the board.

D.15 All board members must have access to the governance professional who has an important governance role in advising the board, the committees and individual board members and supporting good governance. The distinctive governance professional role includes:

- facilitating good governance and advising board members on:

  o the proper exercise of their powers, including in relation to relevant legislation o the board's compliance with its Financial Memorandum, the Code for Good

    Governance, its Standing Orders and Scheme of Delegation o their behaviour and conduct in relation to the board's Code of Conduct.

- providing clear advice to the chair and the board/committees on any concerns the governance professional may have that board members have not been given:

  o sufficient information o information in an appropriate form
  o sufficient time to monitor, scrutinise or make informed and rigorous decisions in an open and transparent way.

- attending and providing support to every board meeting and every meeting of every board committee. Where the governance professional is unable to attend, while the governance professional retains overall responsibility, proper arrangements must be made to cover the role with a person who is fully able to discharge the role effectively.

- having an unambiguous right to speak at board and committee meetings to convey any concerns they may have about governance. This extends to someone substituting for the governance professional.

- reporting any unresolved concerns about the governance of the body to the relevant funding body (i.e., SFC or the regional strategic body).

D.16   The board must ensure the governance professional:

- has suitable skills, knowledge and behaviours to carry out their role effectively
- receives appropriate induction, and if new to the role, is mentored by a more experienced governance professional for at least their first year
- has adequate time and resources available to undertake their role effectively.

D.17 The board must ensure arrangements are in place to deal with a governance professional's potential or real conflicts of interest.

Board Member Appointment, Induction and Training

D.18 For boards with responsibility for board appointments, the board must ensure a formal and open procedure is in place for recruiting and selecting new non-executive board members. Boards must have regard to current Ministerial Guidance on board appointments.

D.19 The board is responsible for ensuring appropriate arrangements are in place for the conduct of student elections and nominations, and elections and nominations of staff members to the board.

D.20 The chair must ensure that new board members receive a formal induction on joining the board, tailored in accordance with their individual and collective needs. The governance professional should support the chair in the provision of relevant induction for new board members.

D.21 The board must ensure all board members undertake appropriate training and development in respect of their governance role. The governance professional should support the chair in the provision of relevant training and development opportunities for board members, which should be tailored to meet board members skills and needs. The governance professional must keep records of the development activity of board members, including the chair.

D.22 The board must ensure that new committee members receive a committee induction and have their specific training needs assessed and met.

Board Evaluation

D.23 Extension of the term of office of board appointments requires evidence and the board must ensure appropriate mechanisms are in place to support this.

D 24 The board must keep its effectiveness under annual review and have in place a robust self-evaluation process. There should also be an externally facilitated evaluation of its effectiveness every three to five years. The board should determine the timing for this externally facilitated review as part of the annual effectiveness review. The board must send its self-evaluation (including an externally facilitated evaluation) and board development plan (including progress on previous year's plan) to its funding body and publish them online.

D.25 The board must agree a process for evaluating the effectiveness of the board chair and the committee chairs. The evaluation of the board chair should normally be led by the senior independent member.

D.26 The board must ensure all board members are subject to appraisal of their performance, conducted at least annually, normally by the chair of the board.

D.27 The performance of regional college chairs will also be evaluated by the Scottish Government, as regional college chairs are appointed by the Scottish Ministers and are personally accountable to them.

D.28 The performance of assigned, incorporated college chairs will also be evaluated by the regional strategic body, as they are appointed by the regional strategic body and are personally accountable to them.

Section E: Relationships and Collaboration

Partnership Working

E.1 The board must work in partnership to secure the coherent provision of high quality fundable further and higher education in their localities.

E.2 The board must ensure effective consultation, local and regional planning and must follow the principles of effective collaborative working: mutual respect, trust and working towards commonly agreed outcomes.

E.3 The board must ensure effective partnership working with local and national bodies including businesses, public and third sector organisations to

develop commonly agreed priorities following the principles of effective collaborative working.

E.4 The board must encourage and support effective partnership working and collaboration within and across regions to address local needs and meet national priorities and specialisms.

Annex 1

References and Definitions

- "**college**" means a college funded by either SFC or a regional strategic body.

- "**incorporated college**" means a college with a board of management under part 1 of the Further and Higher Education (Scotland) Act 1992.

- "**assigned** college" means a college assigned to a regional strategic body.

- "**regional board**" means a regional strategic body that has no other functions. There is one regional board – Glasgow Colleges' Regional Board.

- "**board**" means the governing body of the college or to the regional strategic body.

- "**body**" means the organisation in question, i.e., a college or regional strategic body.

- "**principal**" includes where appropriate in the context, the chief officer or equivalent person of a regional strategic body.

- '**non-executive**' means a member who is not the chair of the board and who does not otherwise hold a specific position on the board i.e., is not a student member or a staff member; and in the case of a college board, is not the principal; and in the case of a regional board is not the chair of an assigned college.

- The reference to a non-executive majority under C.7(d) reflects the underlying governance principle of ensuring an appropriate degree of independence and objectivity in all board decision-making. A board quorum should always require a non-executive majority. When determining a quorum, the chair of the board may be considered to be a non-executive member.

- In the context of the regional strategic body in the Highlands and Islands, the board means the Court of the University of the Highlands and Islands (UHI).

- New College Lanarkshire is the designated regional college and regional strategic body with South Lanarkshire College as an assigned college.

- Glasgow Colleges' Regional Board: this is the only part of Scotland with a regional strategic body which has been established as an organisation with only this role.

LEVEL OF ASSURANCE

Good

South Lanarkshire College

Corporate Governance - Governance Improvement Plan

Internal Audit report No: 2022/07

Draft issued: 4 November 2022

Final issued: 4 November 2022

Henderson Loggie

Contents

Level of Assurance

In addition to the grading of individual recommendations in the action plan, audit findings are assessed and graded on an overall basis to denote the level of assurance that can be taken from the report. Risk and materiality levels are considered in the assessment and grading process as well as the general quality of the procedures in place.

Gradings are defined as follows:

Good	System meets control objectives.
Satisfactory	System meets control objectives with some weaknesses present.
Requires improvement	System has weaknesses that could prevent it achieving control objectives.
Unacceptable	System cannot meet control objectives.

Action Grades

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

Management Summary

Overall Level of Assurance

Good	System meets control objectives.

Risk Assessment

This review focused on the controls in place to mitigate the following risks on the South Lanarkshire College ('the College') Strategic Risk Register:

Risk 13 - "That there is a failure of Corporate Governance arrangements." (Residual risk level: High).

Risk 14 - "The College does not comply with the requirements of the Code of Good Governance for Scotland's Colleges re the financial year 2021/22." (Residual risk level: High).

Background

As part of the Internal Audit programme at the College for 2021/22, we carried out a review of the organisation's arrangements to progress the Governance Improvement Plan.

Our Audit Needs Assessment identified this as an area where risk can arise and where Internal Audit can assist in providing assurances to the Board and the Principal that the related control environment is operating effectively, ensuring risk is maintained at an acceptable level.

This work was injected in to the 2021/22 internal audit programme at the request of the College, and the decision to accelerate time from the Corporate Governance budget, which was already included within the 2022/23 programme of work, was endorsed by the September 2022 meeting of the Audit and Risk Committee.

Scope, Objectives and Overall Findings

Following discussion at the Audit and Risk Committee meeting on 5 September 2022 it was agreed that one of the internal audit days earmarked for work on Corporate Governance in the 2022/23 internal audit Annual Plan would be accelerated into the 2021/22 programme of internal audit work so that a focused review could be carried out to independently verify the accuracy of the status attached to each of the actions in the Governance Improvement Plan developed by the College.

The table below notes the objective for this review and records the results:

Objective	Findings			
The objective of our audit was to confirm that:		**1**	**2**	**3**
		No. of Agreed Actions		
1. To examine the evidence which supports the status attached to each of the actions in the governance Improvement and confirm that the status attached to each of the actions is accurate.	**Good**	-	-	2
Overall Level of Assurance	**Good**	-	-	**2**
		System meets control objectives.		

Audit Approach

Through discussion with the Acting Clerk to the Board and the Head of Finance, and review of procedural documentation, we reviewed the latest iteration of the Governance Improvement Plan 2021/22 presented to the Board (dated August 2022) to independently verify that the RAG status assigned to each of the 16 actions was supported by the available evidence.

Summary of Main Findings

Strengths

- Our review of the comprehensive bank of evidence presented confirms that 13 of the 16 actions on the Governance Improvement Plan can be classified as completed;
- Since the production of the August 2022 iteration of the Governance Improvement Plan progress has been made on two of the improvement actions (11 and 13) which would improve the RAG status from the previous amber status;
- For action point 11, it is our view that the production of a schedule, which tracks the status of College policies and procedures, fulfils the requirement to review College policies, albeit that the work to update these policies is an ongoing task; and
- For action point 13 we have confirmed that the first of the bi-annual stakeholder newsletter was issued in August 2022, following a stakeholder analysis exercise. In our view this completes this action.

Opportunities for improvement

- With regard to Improvement Point 6, which relates to the creation of a development plan for Board members, we were satisfied that agendas for training events, which include staff and student board member presentations, have been produced and that a refreshed skills matrix and CPD log has been developed. It is our view that this delivers the requirements set out within the original improvement point. However, it was noted that although a process is now in place, to identify the development needs of Board members, the level of engagement by some Board Members is impacting on the effectiveness of these arrangements. Therefore, further work to encourage a higher level of engagement would help to deliver the intended benefits; and
- Given the relatively small number of improvement actions ongoing within the Governance Improvement Plan we would recommend that the remaining actions are subsumed into a rolling Governance Action Plan, which will be topped up by any actions arising from the annual self-evaluation exercise conducted against the Code of Good Governance for Scotland's Colleges, and any actions arising from the periodic externally facilitated effectiveness reviews. The status of the rolling Governance Action Plan should be reported to the Board of management annually.

Acknowledgments

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

Main Findings and Action Plan

1. **To examine the evidence which supports the status attached to each of the actions in the governance Improvement and confirm that the status attached to each of the actions is accurate.**

Our review of the comprehensive bank of evidence presented confirms that 13 of the 16 actions on the Governance Improvement Plan can be classified as completed. This includes evidence to confirm the progress made in the areas such as:

- Review of Board committee remits
- Work to discuss and develop a suite of KPIs
- Delivery of Board/SLT workshop events
- Summaries produced of key business for Committees to aid forward planning
- Scheme of delegation and Conflict of Interests details published
- Adoption of a new Code of Conduct
- Training days and pre meetings introduced to enhance relationships between the Board and Executive
- Creation of a development plan for Board members, which include staff and student board member presentations, have been produced and that a refreshed skills matrix and CPD log
- Committee membership and attendance list produced
- Diversity Paper delivered at a Board development event
- Appointment of an Acting Clerk to the Board
- Strategy day to inform the development of the Leading and Learning Scheme
- Production of a schedule of all College policies and procedures to allow status to be tracked
- Scheme of delegation around policies
- Revised standard approach for the layout of Board agendas and papers
- Work to develop a bi-annual stakeholder newsletter, following a stakeholder analysis exercise informed by the discussion at the May 2022 Board development event
- Increased prominence attached to the Student Association Report when compiling agendas
- Work to improve engagement with the Regional Strategic Body
- Enhanced sharing of committee dates with the regional strategic body to allow movement towards alignment of meeting schedules.

Corporate Governance - Governance Improvement Plan

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1. **To examine the evidence which supports the status attached to each of the actions in the governance Improvement and confirm that the status attached to each of the actions is accurate. (Continued)**

Since the production of the August 2022 iteration of the Governance Improvement Plan progress has been made on two of the improvement actions (11 and 13) which would improve the RAG status from the previous amber status. For action point 11, it is our view that the production of a schedule, which tracks the status of College policies and procedures, fulfils the requirement to review College policies, albeit that the work to update these policies is an ongoing task; and
For action point 13 we have confirmed that the first of the bi-annual stakeholder newsletter was issued in August 2022, following a stakeholder analysis exercise. In our view this completes this action. Although no formal Stakeholder Engagement plan was evidenced the specific discussions at the May 2022 Board development event has informed a stakeholder analysis which will shape the bi-annual stakeholder engagement bulletins going forward.

The improvement actions which are not fully completed are Improvement Actions 9, 10 and 16.

Improvement action 9 relates to the need to review the role of the Clerk to the Board to provide a long term solution which fulfils the requirement sets out in the Code of Good Governance. We were advised that this is an ongoing matter to be considered at the end of the term of office of the current Acting Clerk to the Board and that the new iteration of the Code of Good Governance will inform this discussion. Therefore, it is our view that this improvement action cannot be closed off at this time.

Improvement action 10 relates to improved engagement with staff and students and although the May 2022 Strategy session was driven by working groups which consisted of both Board and College staff and has been adopted as the template for such meetings, the engagement with the Students' Association in consulting on the creation of a Board 'Leading and Learning' Scheme has been delayed and will be progressed during the current academic year.

Improvement action 16 relates to the improved alignment of timings of Board and Committee meetings of the RSB and the college. Although the RSB meeting schedule has been obtained up until 31 December 2023, further work is required to synchronise meeting schedules, which will involve dialogue with Committee Chairs.

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Corporate Governance - Governance Improvement Plan

1. To examine the evidence which supports the status attached to each of the actions in the governance Improvement and confirm that the status attached to each of the actions is accurate. (Continued)			
Observation	**Risk**	**Recommendation**	**Management Response**
With regard to Improvement Point 6, which relates to the creation of a development plan for Board members, we were satisfied that agendas for training events, which include staff and student board member presentations, have been produced and that a refreshed skills matrix and CPD log has been developed. It is our view that this delivers the requirements set out within the original improvement point. However, it was noted that although a process is now in place, to identify the development needs of Board members, the level of engagement by some Board Members is impacting on the effectiveness of these arrangements.	Inconsistent engagement in development activity may mean that board development needs are not addressed in a timely manner, thereby impacting on Board Effectiveness.	**R1** We recommend that a reminder be issued to all members of the Board of Management reiterating the importance of ongoing engagement with Board development activity.	Accepted. **To be actioned by:** Acting Clerk **No later than:** 6 December 2022
			Grade 3

Corporate Governance - Governance Improvement Plan

1. To examine the evidence which supports the status attached to each of the actions in the governance Improvement and confirm that the status attached to each of the actions is accurate. (Continued)			
Observation	**Risk**	**Recommendation**	**Management Response**
As highlighted above, only three improvement actions remain ongoing from the original Governance Improvement Plan. Therefore, it is our view that the number of 'live' recommendations no longer merits separate reporting and therefore these actions should be subsumed into a rolling action plan which is linked to the annual evaluation of compliance with the Code of Good Governance.	The remaining actions on the existing Governance Improvement Plan will not be progressed in the context of the actions arising from the annual evaluation of compliance with the Code.	**R2** Given the relatively small number of improvement actions ongoing within the Governance Improvement Plan we would recommend that the remaining actions are subsumed into a rolling Governance Action Plan, which will be topped up by any actions arising from the annual self-evaluation exercise conducted against the Code of Good Governance for Scotland's Colleges, and any actions arising from the periodic externally facilitated effectiveness reviews. The status of the rolling Governance Action Plan should be reported to the Board of Management annually.	Accepted. **To be actioned by:** Acting Clerk **No later than:** The Board Strategy Session May 2023. **Grade** 3

Henderson Loggie

Board of Management

Rolling Governance Review
DRAFT

Item 09c

ROLLING GOVERNANCE REVIEW

The actions to deliver improvement contained in this plan will be developed and implemented to address any previously identified or emerging issues identified by way of Ongoing Review of Governance at South Lanarkshire College.

This will proceed following consultation with Board Members & Senior Staff

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

Development Categories	Issue	Action	By Whom and When	Status and Progress Update as at **********
Leadership & Strategy	Conduct in Public Life	Training in New Code of Governance to be provided	Governance Professional by February 2023	Being drafted
	Vision & Strategy			
	Performance			
	Corporate Social Responsibility			
Quality of Student Experience	Student Engagement			
	Relevant High Quality Learning			
	Quality Monitoring & Oversight			
Accountability	Accountability & Delegation			
	Risk Management			
	Audit Committee	Membership to be adjusted in line with New Code	Governance Professional	At Planning Stage
	Remuneration Committee			

	Financial & Institutional Sustainability			
	Staff Governance			
Effectiveness	Board Chair			
	Senior Independent Member			
	Board Members			
	Principal & Chief Executive			
	Governance Professional	Recruit new postholder	Board	At planning Stage
	Appointment Induction & Training			
	Board Evaluation			
Relationships & Collaboration	Partnership Working	Build Collaborative initiatives with Regional Partner	Clerks to Board	Projects identified for training & development
		Community Developments		
Other		Equalities		

DATE:	6 December 2022
REFERENCE	
TITLE OF REPORT:	Internal Audit – Governance Improvement Plan
AUTHOR AND CONTACT DETAILS	Keith McAllister Keith.mcallister @slc.ac.uk & peter.scott@slc.ac.uk
PURPOSE:	• To present the report on the internal audit assignment regarding the review of progress on the Governance Improvement Plan (GIP). This report was presented to the Audit and Risk Committee (ARC) on 7th November 2022. • To approve a template for a Rolling Governance Review
KEY RECOMMENDATIONS/ DECISIONS:	• Given the positive progress made re addressing the workplan contained in the GIP, and the positive report made by Henderson Loggie in their review, the ARC Committee was asked to allow the GIP to be closed, with the outstanding work being transferred to the College's rolling review of outstanding audit recommendations. The Committee was content to recommend this approach. • The Board is asked to review the report and concur with the recommendation of the Audit and Risk Committee • The Board is asked to approve the proposed template for a rolling review
RISKS	• That the College cannot maintain financial stability. • That there is a failure of Corporate Governance arrangements • That there is a failure of financial controls
RELEVANT STRATEGIC AIMS:	• Highest quality education and support. • Sustainable behaviours.
SUMMARY OF REPORT:	Henderson Loggie reviewed the iteration of the Governance Improvement Plan which had been presented to the Board in August 2022. The objective of their work was to examine the evidence that supported the status attached to each of the actions in the Plan and confirm that this status was accurate. In noting that the College had made significant progress in addressing the recommendations contained in the Plan, they duly concluded that the status attached to each of the actions was accurate. The HL report summarised the strengths identified and made recommendations of good practice. They determined that two of the action points were still to be finalised, but graded

	these as Priority 3, defined as matters that subjected the College to minor risk. The proposed template is closely aligned with the headings in the New Code of Governance and has been peopled with a selection of actions which the acting Clerk already has train to illustrate how this Rolling Review will be laid out and maintained in its more developed form

Board of Management

DATE	6 December 2022
REFERENCE	10 a
TITLE OF REPORT	Fees Policy
AUTHOR AND CONTACT DETAILS	Keith McAllister, Head of Finance keith.mcallister@slc.ac.uk
PURPOSE:	To present the draft Fees Policy
KEY RECOMMENDATIONS/ DECISIONS:	• The Board to review and approve the draft Fees Policy for 2022/23
RISKS	• That the College cannot demonstrate financial sustainability. • That there is a failure of financial controls • That there is a failure of corporate governance arrangements
RELEVANT STRATEGIC AIM:	• Successful students • Sustainable Behaviours
SUMMARY OF REPORT:	• The College's Fees Policy has been reviewed, taking into account current practices and guidance. This draft has been reviewed by the Senior Leadership Team, with amendments duly incorporated. This was presented to the Finance and Resources Committee on 7th November 2022. • The Finance and Resources Committee asked that a section to cover the liability for fees on expulsion. This has been added; fees will be payable in full on expulsion. • As an appendix to the Policy, the list of fees to be used in 2022/23 is attached. The fees level for the year are generally increased by inflation. However, the level of uplift for 2022/23 has been pegged at approximately 3.5%.

FEES POLICY

Version Number: 1.1

Document Information

Procedure Published/Created:	31 October 2022
Reviewed Date:	February 2023
Owner:	Head of Finance
Approved by:	Senior Leadership Team
Equality Impact Assessment:	
Next Review Date:	February 2023

Version History

Version Number	Date	Author	Rationale
1.0	31 October 2022	Head of Finance	(to cover session 2022/23)
1.1	24 Nov 2022	Head of Finance	Amended to cover fees on expulsion

Quick Links

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1. Introduction

The Fees Policy sets out an overview of fee-setting procedures. It is intended that the fees and charges that will be applied to all College courses during the academic year will be reviewed on an annual basis.

2. Responsibility

The Head of Finance is responsible for the maintenance of the Fees Policy and must present it to the Senior Leadership Team (SLT) annually. The SLT will review the Policy and level of fees and recommend its approval to the Board of Management.

3. Approval of Courses

All courses must appear on the appropriate area of the College's Curriculum Plan to allow review and approval. Courses which are introduced after the initial compilation of the following year's Curriculum Plan must be the subject of a Course Fee Calculation Form.

4. The Calculation of Fees

Fees are based on the notional fee levels as published by the Scottish Funding Council, taking account of the cost base of the College.

In general, fees will be increased by the rate of inflation, with the cost of courses which do not attract credit funding being calculated on a commercial basis.

The Head of Finance will issue a draft fees list in February of each year for the following year; this will be reviewed and agreed by the SLT. This will include fees for overseas students. Once fee levels are agreed, the Head of Finance will issue updated course fee calculation templates.

Full time courses which attract credit funding should be calculated with an assumption that credit funding will cover the cost of course materials, PPE and consumables.

The College reserves the right to levy additional fees/charges for particular programmes of study (e.g. Flexible Workforce Development Fund) which generate disproportionate costs for materials, PPE, trips or additional property charges. This would include the cost of compliance measures, administration or cost of expertise.

Course fee calculations should be prepared and signed off by Curriculum Managers and the appropriate Associate Principal. The Head of Finance should review and sign off all forms, as should the Depute Principal to ensure that a formal approval process has been followed.

5. Overseas fees

A number of international students living in the UK can apply to the college and study with us. It is the responsibility of the applicant to provide details on their immigration status so that we can assess whether they are eligible for "home" fees and other support. Depending on their status, credits may not be claimed, and the international (overseas) fee would apply. Please note that our college no longer has Student Sponsor status. This means that we no longer have a Home Office licence to deliver courses for students seeking a student visa. For guidance on international student fees, please contact international@slc.ac.uk.

6. Fee Waiver

Reference should be made to the document "**Part-Time Fee Waiver Grant Policy**" for detail of residency and other eligibility requirements.

On enrolment, students are responsible for providing evidence that they are entitled to a fee waiver. Failure to do so will result in the student being issued with an invoice for the full value of the fee.

When setting fees, the College shall have the flexibility to declare any course not eligible for a fee waiver. This would be done by the Curriculum Manager by application via the Senior Leadership Team. Those courses which do attract a fee waiver should be so described in College literature and on the prospectus and website.

7. Cancellation of Programmes and Classes

The College reserves the right to cancel any programme or class should there be insufficient numbers of students enrolled. Where the College cancels a programme or class, any fee paid in respect of the cancelled programme will be returned provided the student has paid the fees themselves or had fees paid by others on their behalf. The appropriate Curriculum Manager must inform the Finance Department and MIS of any classes cancelled within 48 hours of the cancellation.

8. Payment of Fees

Reference should be made to the document "**Paying Tuition Fees**" for detail.

Fees are payable on enrolment and students are normally expected to pay the full fee for any programme of study prior to the commencement of the programme. Payment by instalment may be agreed by the College for a course fee over £350. The College reserves the right to vary instalment methods and demand outstanding payments in full should circumstances dictate. Payment plans should be arranged within 2 weeks of the start date of the course and course fees must be paid in full by the end of March for courses commencing in August / September.

Commercial and evening class fees will normally be paid for in advance of enrolment.

Overseas fees must be paid in full prior to enrolment.

9. Payment of Fees by a Third Party

Every student is responsible for the payment of their fees. If a student wishes a third party (e.g. an employer) to pay their fees, it is their responsibility to provide the College with a letter from their employer agreeing to this. In the absence of such a letter, the student will be invoiced and will be responsible for payment.

Students funded by the Student Awards Agency for Scotland (SAAS) will be liable for a percentage of tuition fees if they withdraw before 1 December. The full tuition fee, if the student withdraws on or after 1 December, will be paid by SAAS.

10.   Debt Management Arrangements

The College shall review student accounts for non-payment. Where tuition fees have not been paid, the student will receive two reminder letters after which time the account shall be passed to a Debt Collection Agency, with an additional charge added to the account. At this point, the student may have their access to online learning suspended and their access card deactivated until an arrangement to pay has been put in place and, at least, part payment made.

Where tuition fees have not been paid, the student's results will be held until full settlement of any outstanding tuition fee has been paid. Additionally, the student shall not be permitted to attend the College's graduation ceremony as a graduand. Any student with tuition fees outstanding from a previous year will not be permitted to enrol or start studies for a subsequent year until the outstanding balance has been cleared or an arrangement to pay has been made. Any outstanding balance would have to be paid within 3 months of the new session starting. Failure to do so will result in the student being suspended until the matter is resolved via a payment being made.

11.   Withdrawal from a Course

Should a student withdraw within three weeks of commencement of the programme, consideration will be given to waiving fees. This recognises that student circumstances change and that the programme selected may not always be an appropriate choice.

A student who withdraws after three weeks of commencement of the course is liable for payment of their fees but can apply in writing to the appropriate Curriculum Manager for a refund or moderation of their fee. In general, the full fees for the block will be charged plus any fees which the College may have made in respect of registration (e.g. to SQA).   This will be considered by the College by reference to the "**Tuition Fee Refund Policy**".

Where a student undertakes an approved period of leave of absence and, as a result, there is a temporary suspension of their studies, then the student remains liable to pay any outstanding fees which may be due at the point of suspension of those studies. In all cases, where a student withdraws from or discontinues their studies the date of withdrawal or discontinuation is used by the College in calculating tuition fee liability.

12.   Fees due on expulsion

Where students are expelled from a course, the full fee is due.

13.   Further Information - For further information, please contact: studentfees@slc.ac.uk.

Fees – Session 2022/23

		Charge incl. SQA element
FULL TIME		
Full time advanced		£ 1,285.00
Full time - non advanced		£ 1,008.00
OVERSEAS		
Overseas - Pre Masters / HND Intensive (one year)		£ 6,500.00
Overseas - HND (two year)	Year 1	£ 6,500.00
	Year 2	£ 6,500.00
Overseas – HNC / Non-Advanced		£ 6,500.00
Overseas - Summer school		TBC
Overseas - individual HN credits		£ 385.00
MANAGING AGENTS	per hour	£ 4.00
Courses costed on hourly rate rather than by Credit		
Hourly rate: vocational		£ 3.00
Hourly rate: non-vocational		£ 4.85
CITB / SNIPEF - refer to CITB / SNIPEF contracts		
HIGHER GRADE / NATIONAL 5		
Tuition and exam fee		£ 425.00
EVENING CLASSES		
Vocational - NQ		£ 114.00
Non vocational / leisure class		
Some classes may have additional charges for consumable materials		
Per single HN credit when not part of a group award		£ 114.00
HN credit as part of group award		£ 114.00

South Lanarkshire College

2021/22 Student Activity Data

Internal Audit report No: 2022/05

Draft issued: 31 October 2022

Final issued: 4 November 2022

Contents

Management Summary

Introduction

The Guidance Notes issued by the Scottish Funding Council (SFC) on 16 August 2022, '*FES Return and Audit Guidance 2021-22*' requested submission by South Lanarkshire College ('the College') of the FES return for session 2021/22, which includes the Credits data relating to College activity for the academic year 2021/22.

Guidance on completion of the 2021/22 return was issued by the SFC on 2 August 2021.

The Credits Audit Guidance requests that colleges obtain from their auditors their independent opinion on the accuracy of the FES return.

Scope of the Audit

In accordance with the Credits Audit Guidance, we reviewed and recorded the systems and procedures used by the College in compiling the returns and assessed and tested their adequacy. We carried out further detailed testing, as necessary, to enable us to conclude that the systems and procedures were working satisfactorily as described to us.

Detailed analytical review was carried out, including a comparison with last year's data, obtaining explanations for significant variations by Price Group.

Our testing was designed to cover the major requirements for recording and reporting fundable activity identified at Annex C to Credits Audit Guidance, COVID-19 related guidance at Annex D and the key areas of risk identified in Annex E.

Audit Staffing

An Audit Director with 29 years' experience in the further and higher education sectors had overall responsibility for the planning, control and conduct of the audit and supervised and reviewed work performed by a Senior Auditor with four years' experience in the sector. A Manager with 17 years' experience in the sector was also involved at the planning, review and reporting stage.

The quality of audit work undertaken by the firm is enhanced through continuous review of procedures and the implementation of individual training programmes designed to address the needs of each team member.

The total number of audit days was 8, split ½ day for the Audit Director, 1 day for the Manager and 6½ days for the Senior Auditor.

Audit Findings

The points that we would like to bring to your attention have been grouped together under the following headings to aid your consideration of them:

- Introduction

- Systems and Procedures for Compilation of Returns

- Analytical Review

Audit Findings (continued)

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

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

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

Conclusion

Our report was submitted to the SFC on 18 October 2022. We reported that, in our opinion:

- the student data returns have been compiled in accordance with all relevant guidance.

- adequate procedures are in place to ensure the accurate collection and recording of the data; and

- we can provide reasonable assurance that the FES return is free from material misstatements.

A copy of our Audit Certificate is included at Appendix I to this report.

Acknowledgments

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

Action Plan

Para Ref.	Recommendation	Grade	Comments	Agreed Y/N	Responsible Officer for Action	Agreed Completion Date
2.2.1	**Non-Fundable Activity** **R1** In-year and end of year FES data integrity checks should include a review of non-vocational programmes to ensure the Credits claim is accurate.	**3**	In-years Credit checks are completed however it is accepted that more focus on the non-vocational programmes can be done. The Head of MIS can include this into the quarterly data checks with the MIS team.	Yes	Chris Sumner – Head of MIS	Q2 2022/23
2.3.2	**Superclass codes** **R2** Ensure that appropriate superclass codes are assigned to courses in line with the Credits guidance.	3	Accepted. Part of the data checks in **R1** can also include this check for the superclass codes. Communication of the year's superclass codes should also be displayed to the Curriculum Managers when planning the courses.	Yes	Chris Sumner – Head of MIS	Q2 2022/23
2.6.1	**Multiple Enrolments** **R3** In-year and end of year FES data integrity checks should include a review to ensure that Credits are not claimed for more than one full-time course per year in line with the Credits guidance.	**3**	Accepted. Multiple enrolments are checked and currently have a Power Bi report that can display any students with a multiple claim.	Yes	Chris Sumner – Head of MIS	Q2 2022/23

2021/22 Student Activity Data

Para Ref.	Recommendation	Grade	Comments	Agreed Y/N	Responsible Officer for Action	Agreed Completion Date
2.7.2	**ESF Students** **R4** For ESF students, ensure that Credits are only claimed for completed modules / units.	**3**	Accepted. ESF funding is no longer available in 2022/23. However, improvements have still been made to the systems to ensure module Credits match the student claim in the system.	Yes	Chris Sumner – Head of MIS	Q2 2022/23
2.8.2	**Distance Learning** **R5** The College should ensure that evidence of progression is available for all students enrolled on open / distance learning programmes where Credits are being claimed.	**3**	Accepted. The College will ensure that records of work and timetabling / attendance are recorded for the open / distance learning courses and where possible ensure that there are outlines to the courses / hours through the curriculum planning system.	Yes	Chris Sumner – Head of MIS	Q3 2022/23

Main Report

1. Introduction

1.1 SFC Guidance

1.1.1 The Credits Audit Guidance issued by the Scottish Funding Council (SFC) on 16 August 2022 sets out, at Annex E, the key areas of risk in relation to the preparation of the FES return. These are:

- identification of non-fundable activity, both courses and students.

- classification as higher education or further education.

- classification as full-time or other than full-time.

- identification and counting of infill students.

- allocation of Price Group code.

- capturing of enrolments and identification and recording of student withdrawals.

- allocation of Credit values.

- claims for related study.

- recording of fee waivers.

- recording of progress for students on open / distance learning programmes.

- claims for non-accredited work experience / placement; and

- claims for collaborative provision.

1.1.2 This is the first year that we have carried out the Credits audit for the College. For academic year 2021/22 we documented the systems and procedures used in the completion of the returns. We then carried out detailed testing, as necessary, to enable us to conclude that the systems and procedures were working satisfactorily. Detailed analytical review was carried out, including a comparison with last year's data, and obtaining explanations for significant variations by Price Group.

1.1.3 As requested by the Credits Audit Guidance this report indicates: the scope of the audit; the approach taken; an indication of analytical review work performed; the extent of checking undertaken; the external data examined; review of prior year recommendations; and the main findings from our audit work. As requested by the guidance, the report also includes a summary of adjusted and unadjusted errors found during the course of the audit.

2. Systems and Procedures for Compilation of Returns

2.1 Introduction

2.1.1 Detailed testing at the year-end Credits audit included two main tests on courses and individual students.

2.1.2 The following tests were carried out for a sample of 15 courses selected from the FES1 and FES2 reports:

a) Ensured that the course met the criteria for fundable activity set out in the Credits guidance.
b) Where applicable, ensured that the course met the definition of further or higher education set out in the Credits guidance.
c) Ensured that courses recorded as full-time met the definition for full-time as set out in the Credits guidance.
d) Checked the student total for a programme against course / class lists or course / class register. Checked calculation of the required date and ensured that students who had withdrawn prior to this date had been excluded from the Credits count; and
e) Checked allocation of Credits to courses is in accordance with the Credits guidance.

2.1.3 For a total of 52 students selected from the above courses the following tests were carried out, where applicable:

a) Ensured that the student met the criteria for fundable activity set out in the Credits guidance.
b) Checked back to signed enrolment forms, or electronic equivalent, for the 2021/22 academic year.
c) For infill courses, ensured that Credits were allocated according to the modules attended by individual students rather than by the default value for the courses being infilled.
d) Checked to student attendance / engagement records and, for withdrawals (including a further sample of 15 full-time students who withdrew within two weeks after the Credits qualifying date), checked that the withdrawal date noted on the system was the last date of physical attendance; and
e) For students undertaking work experience ensured that the credits value had been calculated in line with the Credits guidance.

2.1.4 The following tests were carried out by reviewing records for all College courses:

a) Ensured that there were no claims for more than one full-time enrolment per student for 2021/22 and ensured that Credits had not been claimed in respect of courses that were related in respect of subject area, unless progression could be clearly established;
b) Confirmed that there were no claims for overseas students, associate students and students enrolled on full cost recovery commercial courses; and
c) Confirmed that Credits had not been claimed for distance learning students resident outwith Scotland.

2.1.5 In relation to European Social Funds (ESF), for a sample of 10 students selected from the College's ESF funded programmes, testing was carried out on the College's systems for administering the additional funding, in line with conditions of grant. This included:

a) reviewed the eligibility of students flagged for ESF Credits;
b) ensured that supporting documentation was held for ESF students, including: a completed participant form; proof of nationality and appropriate notification issued to the student; and
c) ensuring that Credits are only claimed for completed modules.

2.   Systems and Procedures for Compilation of Returns (continued)

2.1   Introduction (continued)

2.1.6   We reviewed the systems for recording fee waiver entitlement and carried out an analytical review to ensure the accuracy of the fee waiver element of the FES return. For a random sample of 10 part-time students, we confirmed that College staff had verified the entitlement to benefit in each instance. One student in our sample was recorded in the FES as being in Source of Finance (SoF) 53 - Universal Credit, however per SITS the student was recorded as SoF 26 – Cost Borne by College and therefore no evidence of eligibility was required. The College confirmed that the code should be changed and amended this on the FES.

2.1.7   It was confirmed by the Head of Information Systems and Services that there had been no collaborative activity during 2021/22 and no such courses were identified during our audit testing.

2.1.8   Before signing our audit certificate, we reviewed the final FES online report and the explanations for remaining errors.

2.1.9   From our review and testing of the systems and procedures used in the compilation of the returns, we concluded that overall, they were adequate to minimise risk in the areas identified in Annex E of the Credits Audit Guidance and were working satisfactorily as described to us.

2.1.10   The remainder of this section discusses issues identified during our review of the 2021/22 student activity data.

2.2   Non-Fundable Activity

2.2.1   During our review of the FES data, we identified a total of four non-vocational programmes for which Credits were being claimed. Through discussion with the Head of Information Systems and Services it was determined that Credits for these courses were originally counted in error due to the SoF being miscoded. The SoF was updated at the time of our audit resulting in a total of 15.5 Credits being removed.

Recommendation
R1   In-year and end of year FES data integrity checks should include a review of non-vocational programmes to ensure the Credits claim is accurate.

2.3   Superclass Codes

2.3.1   SFC recognises that some subject areas are more expensive to deliver than others and has worked with the sector to categorise all programmes across five individual Price Groups, based on the course subject classification (superclass). A mapping from superclass subject areas to Price Group is provided at Annex A of the Credits Guidance. The mapping is based on the superclass coding for the course which should best describe the academic subject area.

2.3.2   For the 15 courses sampled, we checked the superclass code and ensured that this had been assigned in line with the Credits guidance. Our testing identified one course, Summer Leavers Hair and Beauty, which was classified as superclass code HD: Basic Skills (Price Group 1), however, when reviewing the content of the course we agreed with the Head of Information Systems and Services that the course was better aligned with Superclass code HL: Hair/Personal Care Services (Price Group 3). The superclass code was adjusted at the time of our audit.

Recommendation
R2   Ensure that appropriate superclass codes are assigned to courses in line with the Credits guidance.

2.   Systems and Procedures for Compilation of Returns (continued)

2.4   Infill Courses

2.4.1   An essential element of the funding process requires the differentiation between full-time (FT) and other modes of attendance. Colleges need to record these elements correctly and accurately. Per the Credits guidance, any student that undertakes 15 Credits or more, on a single programme of study, in a single academic year should be considered full-time. Our sample of courses tested included one infill programme (HND Human Resource Infill) recorded as a part-time mode of attendance where we identified that a total of 18 Credits were being claimed for one student enrolled on the course. Due to the student undertaking more than 15 Credits, it was agreed with the Head of Information Systems and Services that this programme would be reclassified as a full-time course. We noted that additional monitoring would be implemented by the College for academic year 2022/23 to ensure that the programmes are correctly classified in line with the definitions outlined in the Credits guidance.

2.5   Student Attendance

2.5.1   For full-time students, the number of students to be counted in the Credits claim is the number enrolled on the course in the summer session who continue their participation after the 'required date' of 1 November. Colleges should have procedures for identifying and recording student withdrawals and the correct withdrawal date. Colleges should have a procedure that ensures the withdrawal date is compared with the 'required date', to determine whether the student is to be included in the Credits claim.

2.5.2   For a sample of 15 full-time students included in the return, whose withdrawal date was within two weeks after the Credits qualifying date of 1 November, we checked for attendance evidence and accuracy of the recorded withdrawal against the required date. Our testing identified that one student had a withdrawal date recorded as 5 November 2021 however, when reviewing attendance information, we confirmed that the final date of attendance was 5 October 2021. A total of 18 Credits were removed from the final claim. No other differences were noted from attendance testing during our wider sampling of students and eligibility testing and therefore we are satisfied that this was an isolated incident due to a manual administration error when updating the student records system.

2.6   Multiple Enrolments

2.6.1   A maximum of one full-time course / programme per year can be claimed per student. We obtained a report showing all students enrolled on more than one course to identify where a student may be undertaking two full-time courses in one academic year. We identified four students who were undertaking two full-time courses in 2021/22. For one student it was noted that they were undertaking one full-time course for 2021/22 and completing a full-time course which had been deferred from 2020/21 due to Covid restrictions, and this was accepted in line with the Credits guidance for 2021/22. The remaining three students were noted to have transferred from one full-time course to another during the academic year after the required date and that the College had counted the Credits for both courses in error. It was agreed with the Head of Information Systems and Services at the time of the audit that a total of 54 Credits for the second full-time course were not eligible, however no adjustment was made for these in the final FES submitted to the SFC.

Recommendation
R3   In-year and end of year FES data integrity checks should include a review to ensure that Credits are not claimed for more than one full-time course per year in line with the Credits guidance.

2. Systems and Procedures for Compilation of Returns (continued)

2.7 ESF Students

2.7.1 The FES data showing ESF Credits claimed was provided by the College during the audit from which we selected a sample of 10 students with testing carried out on the College's systems for administering the additional funding, in line with conditions of grant. This included the tests noted at paragraph 2.1.5 above.

2.7.2 For three students tested we identified that the Credits claimed per the FES did not fully reflect the Credits undertaken by the students per the student records system. A total of 9 Credits were removed from the FES. Further analysis was undertaken on the courses included in our ESF sample in conjunction with a wider review of all ESF students conducted by the College resulting in a total of 33.5 Credits being removed from the FES data, including the 9 Credits identified from our sample testing.

Recommendation
R4   For ESF students, ensure that Credits are only claimed for completed modules / units.

2.8 Distance Learning

2.8.1 The Credits guidance states that the number of Credits claimed for distance learning provision should be commensurate with the college staff time spent on developing and delivering the course. The Credits audit guidance requires that colleges should have procedures to agree the likely duration of study for open / distance learning programmes. Records of work of such students which record formal progress against a schedule with milestones agreed at enrolment must be maintained.

2.8.2 Our sample of 15 courses tested included one distance learning programme. Sample testing of enrolled students noted that a total of 2.5 Credits were claimed for two students where the College was unable to provide evidence of the students having engaged on or completed units. As a result, these Credits were removed from the final claim. A further review of all other students on the course did not identify any other instances where Credits should be removed.

R5   The College should ensure that evidence of progression is available for all students enrolled on open / distance learning programmes where Credits are being claimed.

3.   Analytical Review

3.1   The analytical review by Price Group for the current year, included at Appendix III of this report, showed significant variances either in value or percentage terms in Price Groups 2, 4 and 5. These were discussed with College management. The explanations we received provided us with additional assurance that the Credits claim does not contain material errors:

- Price Group 2: decrease of 737 Credits. This is reflective of the overall reduction in enrolments for programmes in this Price Group between 2020/21 and 2021/22. The full-time withdrawal rate increased from 4.5% in 2020/21 to 7.6% in 2021/22 which impacted this Price Group;

- Price Group 4: increase of 481 Credits due to Introduction of Horticulture courses which ran in 2021/22; and

- Price Group 5: increase of 876 Credits due to an increase in the number of supported students coming back to College in 2021/22 following the easing of Covid restrictions.

Appendix I – Copy of Audit Certificate

South Lanarkshire College
College Way
East Kilbride
G75 0NE

18 October 2022

Dear Sirs

Auditor's Report to the Members of the Board of Management of South Lanarkshire College

We have audited the FES return which has been prepared by South Lanarkshire College under SFC's Credit Guidance for colleges issued 2 August 2021 and which has been confirmed as being free from material misstatement by the College's Principal in his Certificate dated 10 October 2022. We conducted our audit in accordance with guidance contained in the 2021-22 audit guidance for colleges. The audit included an examination of the procedures and controls relevant to the collection and recording of student data. We evaluated the adequacy of these controls in ensuring the accuracy of the data. It also included examination of evidence relevant to the figures recorded in the student data returns. We obtained sufficient evidence to give us reasonable assurance that the returns are free from material misstatements.

In our opinion:

- the student data returns have been compiled in accordance with all relevant guidance;

- adequate procedures are in place to ensure the accurate collection and recording of the data; and

- we can provide reasonable assurance that the FES return is free from material misstatements.

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

18 October 2022

Date FES returned: 10 October 2022

Appendix II – Summary of Adjusted and Unadjusted Errors

Report Para	Error identified	Adjusted/unadjusted	Approx. Value
2.2.1	Credits were incorrectly claimed for non-vocational programmes	Adjusted	-15.5 Credits
2.5.2	Credits claimed for a student who withdrew before the required date	Adjusted	-18 Credits
2.6.1	Credits were incorrectly claimed for three students enrolled on two full-time courses in the year	Unadjusted	-54 Credits
2.7.2	Incorrect number of Credits were claimed for a number of ESF students	Adjusted	-33.5 Credits
2.8.2	No records of engagement or progression for students enrolled on distance learning programmes	Adjusted	-2.5 Credits

Appendix III – Price Group Analytical Review 2020/21 and 2021/22 – Figures

Price Group	2020/2021		2021/2022		Variance	Variance
	Credits		Credits		Credits	%
1	8,991		8,522		(469)	(5.2)
2	17,717		16,980		(737)	(4.2)
3	22,665		23,002		337	1.5
4	-		481		481	-
5	120		996		876	730.0
	49,493		**49,981**		**488**	**1.0**
Total Target Activity			**50,704**			
Including ESF Target Activity of:			**3,140**			
ESF Actual Activity			**3,166**			

Appendix IV – Price Group Analytical Review 2020/21 to 2021/22 – Graph

BOARD of MANAGEMENT

DATE:	6 December 2022
REFERENCE	11
TITLE OF REPORT:	Internal Audit – Credit Activity
AUTHOR AND CONTACT DETAILS	Keith McAllister Keith.mcallister @slc.ac.uk
PURPOSE:	To present the report on the audit of student activity and associated credits for the 2021/22 academic session.
KEY RECOMMENDATIONS/ DECISIONS:	• The report was presented to the Audit and Risk Committee on 7th November. The Committee reviewed the document, noting the comments and recommendations and the actions proposed by management. These actions were approved as being appropriate. • It is proposed that the Board approve the report.
RISK	• That the College cannot maintain financial stability. • That there is a failure of Corporate Governance arrangements
RELEVANT STRATEGIC AIMS:	• Highest quality education and support. • Sustainable behaviours.
SUMMARY OF REPORT:	The College was marginally below its credit target for the year. However, it did meet its ESF credit target; this is the target that may result in clawback if it were not achieved. The report gave an unqualified audit opinion but noted five recommendations, all of them at the lowest level of grading.

BOARD OF MANAGEMENT

DATE	December 2022
TITLE OF REPORT	Strategic Risk Register Commentary
REFERENCE	**12 A**
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:	Members are asked to: • review and approve the strategic risk analysis; • to note the risks identified in the Regional Risk Register; and • note that the SLC Head of Finance attends the meetings of the Regional Risk Group and presents the SLC Strategic Risk Register.
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 AIM:	• Highest quality education and support. • Sustainable behaviours.
SUMMARY OF REPORT:	• The main challenge for the College continues to be the central cash settlement is • The College's Strategic Risk Register is attached as **document 12 B**. The risk previously separated out to focus on the Governance Improvement Plan and the compliance with the Code of Governance for Scotland's Colleges has been closed due to the work undertaken to address the particular issues and the positive review of the Plan by the internal audit service. Governance is now encompassed in Risk 13. • The Regional Risk Register is completed and maintained by NCL staff. The most recent version was presented to the ARC at their November 2022 meeting.

1. INTRODUCTION

1.1. This paper provides a commentary of the movement the both the College's strategic risk register as well as the Regional one.

2 RISK ONE FINANCIAL SUSTAINABILITY

2.1 The College's financial statements for the year to 31st July 2022 show an operating surplus and are currently being audited. It is not anticipated that there will be any adjustments of significance. The College does have funds in hand, but these are ring-fenced for specific projects leaving adequate working capital.

2.2 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 award increases from 1 Sept 2022 potentially at a rate well above the anticipated levels six months ago, coping with a decrease in funding this year and flat cash settlements in the following four years, as the College has been told by the SFC to assume, leaves the financial forecast showing an alarming set of deficits.

2.3 As noted at the September meeting of the Audit & Risk Committee, this was considered by the Finance and Resources Committee in August 2022 and members were content to propose the approval of a small deficit to the Board of Management for 2022/23. However, the Board sought an assurance from management that all possible avenues would be explored to move the deficit nearer to break even. 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 financial forecast return (FFR).

2.4 To date, SFC have not made comment on the FFR.

2.5 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 the 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. As background, the sector finance directors have surmised that given all colleges will be reporting similar significant deficits then it was expected that the SFC would need to offer increased funding. However, there is no evidence that that will be the case, and this is speculation at this point.

3 RISK TWO FAILURE OF FINANCIAL CONTROLS

The College has had six internal audits to date since the new providers, Henderson Loggie, took up their appointment. Three were reported upon at the September ARC meeting with six minor recommendations made. The service provider will report on the remaining audits at the November ARC and the meeting will also receive the report from the external auditors. It is not anticipated that there will be problems in terms of financial controls. Added to this, a significant amount of work has been undertaken by the Governance Professional, the Board of Management and the Senior Leadership Team on reviewing relevant policies and procedures and updating as necessary.

4 RISK THREE CREDIT TARGET

4.1 The College met its core credit target for 2021/22, with a small shortfall in Deferred Credits activity. There is a risk that this may result in a small clawback; the college sector has not been told whether this will be the case. However, the College did receive £82k in respect of an additional delivery of credits for 2020/21 which will be added to income for the 2022/23 financial year. This will offset any potential clawback. It should be noted that the College has accrued for any potential clawback in respect of ESF projects in its 2021/22 accounts and will continue to hold these potential liabilities until confirmation is received from SFC that they are no longer required.

5 RISK FIVE CAPITAL FUNDING REQUIREMENTS

5.1 Although the College has ring fenced its own funds for capital replacement and more general investment via the Strategic Investment Fund, the capital allocation via the Backlog Maintenance Fund for 2022/23 is only £75k, and the SFC have indicated that there will not be an allocation thereafter.

5.2 The 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.

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

6 RISK EIGHT DAMAGE TO THE INTEGRITY OF MANAGEMENT INFORMATION SYSTEMS

6.1 The College has recently achieved Cyber Essentials Plus certification and the recent internal audit on Cyber Security gave a positive report

7 RISK 10 THERE IS A FAILURE TO PROVIDE AN ENGAGING AND EFFECTIVE EMPLOYEE JOURNEY

7.1 With staff and students returning to campus in August 2022, the previously higher ranking for this risk was decreased as it will be easier to deliver a more effective HR service, particularly with a new HR Strategy having been formulated and approved.

9 RISK 11 THERE IS A FAILURE TO SAFEGUARD THE HEALTH AND WELLBEING OF STAFF AND STUDENTS

9.1 The College is mindful of the particular strain on staff and students over the COVID period and the current challenges re inflation will add to the issues that both staff and students may experience. Additional resources have been brought in to assist both staff and students. As reported previously, the HR Department has been involved in tendering for a new HR management system which will assist with the management of employee wellbeing and development. A provider has been identified and a recommendation to accept their submission will be considered by the Board in November 2022.

9.2 As regards student welfare, the SFC did provide increased funding in 2021/22 to assist in this regard and the College has increased its counselling staff, both funded and unfunded. This will be reviewed in 2022/23. The College also a Health and Safety Group which meets quarterly and has also recently employed a Health & Safety officer.

10 RISK THIRTEEN FAILURE OF CORPORATE GOVERNANCE

10.1 A review of the enhancements in corporate governance has allowed the overall risk rating in this area to be downgraded.

10.2 In addition, the Risk Management Group has agreed that this work, allied to the positive results from the review of the Governance Improvement Plan by the internal audit providers (the report on which will be presented to the ARC in November 2022), allows the removal from the Register of the risk that was set up specifically to focus on the risk of not meeting the requirements of the Code of Good Governance for Scotland's Colleges.

11 EQUALITIES

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

12 DECLARATIONS OF INTEREST (ADD ONLY IF REQUIRED)

RECOMMENDATIONS

Members are recommended to:

- review and approve the strategic risk analysis;
- to note the risks identified in the Regional Risk Register; and
- note the removal of the risk specifically raised to monitor the compliance with the Code of Good Governance for Scotland's Colleges and that governance risk will be addressed via the remaining relevant risk (Risk 13).

Strategic Risk Register

Dated reviewed by Senior Leadership Team	25 October 2022
Dated reviewed by Risk Management Group	27 October 2022
Next date of review	January 2023

No.	Date Raised	Link to Quality Indicators	Description	Impact Rating (1-4)	Probability Rating (1-4)	Risk Score	Previous submission risk score	Movement since last submission	Implications	Mitigation Action	Post-mitigation impact	Post-mitigation probability	Post-mitigation score	Previous submission mitigation score	Movement since last submission	Progress To Green: Key Actions	Comments	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 was increased from previous years and was in excess of budget, allowing the College to meet, and more, any additional requirements. The College also reached its credit target in 2020/21, so no clawback of central funding will occur. Increased scrutiny of spend and improved approaches to budgetary management introduced. Enrolments and consequent fee income currently below budget level. Current cash holding is, though, sufficient to sustain a one-year drop in income. Note that the College's current cash holding balance is higher than anticipated, which creates a risk of SFC clawback. This is being actively managed, including via providing clarity to the SFC about funds ring-fenced for repayment to SFC (cf. bursary funds) or for committed estates investment; as well as the funding earmarked for our Strategic Investment Plan, currently being drafted. SFC May 2022 Indicative allocations have now been issued, which show a -3.4% decrease for the region. August 2022 The College is fully aware of its flat cash allocation for the next year, and the SFC planning process means the College plans over a 5 year cycle so is aware of its financial forecast. College has also planned based on realistic assumptions. Key actions include: Establishment of the value for money group. Budget assumptions in terms of proposed savings have been approved by the June 2022	4	3	12	12	0	Faculties actively planning for January recruitment and enhanced budgetary controls will ensure that spend and income is monitored closely to allow action to be taken swiftly, as required. On the higher than anticipated cash holding, the College has reported to SFC that some of this is earmarked for current spend, and that it will be utilised to support its Strategic Investment Plan, which will incorporate a refreshed Estates Strategy. Jan 2022 Risk score now being impacted by: SFC informed the sector of the flat cash budget for next year, which is a decrease of £52m for the sector. Increase of energy costs Addition NI contributions cost. Recruitment shortfall across the sector and the college. May 2022 Increased risk due to SFC indicative allocation for 2022-23 and "flat cash" situation. Inflation will be anywhere be between 2.5% and 3%. Risk of pay awards. Pay awards beyond college control. Additional professional costs being incurred. August 2022 The College is aware that the current flat cash allocations, affecting the entire sector, has resulted in progress to green being curtailed over the next possible 5 year period. College as part of its forecasting has included realistic forecasting with the information available to date. Confirmation that the College has met its credit target for academic year 2021-22. October 2022	College reporting surplus for 2021/212and the years of modest surpluses have allowed the College to build up a cash balance that is sufficient to maintain short term financial stability Finance Action Jan 2022: Undertake scenario planning and modelling to look at the impact of the funding against our costs. May 2022 Modelling of college budget now in progress. August 2022 Realistic planning assumptions being presented to the Board of Management as part of its 5 year forecasting. October 2022 Value for Money format agreed and on agenda for the unions for the next meeting. Work will now to start in earnest with a view to reporting back to the FRC in March 2023. More robust monitoring of the budget in place due to additional appointment of a management accountant.	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, overseen by Audit and Risk Committee. Ongoing review of financial controls, policies and processes in train. Management response to IA review in relation to improvements to financial and other controls. Introduction of a new approach to control, assurance and risk management arrangements now in train. College to institute its own rolling review of audit recommendations to ensure that all IA recommendations are followed through according to timetable. This to be reviewed by the Audit and Risk Committee at each meeting. College is undertaking a fundamental review of its procurement arrangements, supported by a College-wide training programme to ensure that (a) the College's arrangements for procurement are appropriate, and (b) all relevant staff are fully aware of these arrangements and their responsibilities. College is looking at the feasibility of introducing stock control systems. Anti-Bribery Policy and Procedures revised and updated approved by the Board of Management. August 2022 Update Updated and Revised Financial Regulations have been approved by the Board. New position of Management Accountant appointed in June 2022 and part of their remit will be to ensure that policies and procedures, particularly re procurement, are being followed and that spend variances are followed up.	3	3	9	9	0	Closer scrutiny of previous internal audit recommendations, both via senior management and the Audit and Risk Committee. Introduction of new approach to control, assurance and risk management arrangements. May 2022 New auditors appointed. Internal audit plan approved. August 2022 Management Response to Azets report has almost completed its actions. Audit process is fully underway with three audits to date including, cybersecurity, risk and health and safety. With a further 2 planned in the next couple of weeks. Board strategy day is also planned for 23 August 2022 which is centred on risk. October 2022 Extensive work being done on budget to improve is in year monitoring.	Introduction of formal ARC monitoring on an ongoing basis.	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. Failure to meet maintain ESF records to substantiate our claim is likely to affect income	Student activity is monitored on a weekly basis by senior management via the SLT meetings, with those weekly reports being made available to faculty and admissions staff. Additional enhanced reporting in use through Power BI to monitor real time information. August 2022 Credit reporting for 2022-23 has now started. Credits to date are: ESF records are owned by Head of Alternative Funding and meticulously maintained. MIS team submit monthly FES returns with excellent relationships with the SFC and data is cleansed monthly so there are no surprises. Community Open Day planned for 20 August 2022 Clearing Day took place on 8 August 2022. October 2022 Met core credit and ESF targets for 2021-22 Power BI reporting allows for weekly credit reports and forecasting in progress for 2022/23 College switching on January start courses to work to meet the credit target.	3	2	6	6	0	Marketing campaign now live for January 2022 courses with recruitment event planned for 25 November. National request from sector to SFC still awaiting response, on last year's flexibilities being carried over into 2021-22. For example, increase of 16-18 credits across all FT courses. Jan 2022 Additional Flexibilities granted and applied. Credit Gap Current risk is the shortfall of 400 FA credits, which was a late allocation impacting on planning. There is a strong partnership model already in place for FA with the local authority. May 2022 Additional work taking place to meet credit gap. Forecast gap is 285, however this is a projected with actual gap being -1,813. Financial mitigation in budget. SFC 30 March 2022 letters emphasises that there may not be clawback for deferred credits of 866. August 2022 Add in credit information	College reached activity target for 2021/22 but enrolments are currently short of target in some areas. Target this year is 48,814. There is now a 2% tolerance on target so will not face clawback if under. All Jan 23 in train.	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 advice on general Data Protection Regulation. Staff mandatory training and policies in place and actively marketed to heighten awareness. Compliance/audit checks in place. GDPR policies currently being updated as part of College-wide policy refresh exercise. Training planned for all staff on legislative and regulatory issues, including conflict of interest, bribery and corruption and security of assets. August 2022 A suite of new polices have been developed and/or updated. Multi factor authentication in train Cybersecurity Essentials status obtained Training completed on conflict of interest etc as above and data protection and GDPR. October 2022	2	2	4	4	0	Info Asset Register links to be finalised to incorporate information required for ROPA; Records Retention Schedule and Policy to be compiled and signed-off. Data Protection Policy has been updated, final sign off required. October 2022 Updated Retention Policy in progress and due for sign off at SLT and the Board of Management.	Data protection team have worked through a number of ROPA with each area and are currently pulling together Info Asset Register. Records Retention Policy in progress.	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 and has allocated funds over a five year period to address backlog maintenance and dilapidation works. The College appointed professional advisors to assist in the management of the projects which have been undertaken. College has enhanced its procurement arrangements to ensure that all major items of expenditure are reviewed by a senior management committee, thus ensuring value for money as well as an additional level of control over non salary spend. As part of our approach to the introduction of a Strategic Investment Plan, the College is currently considering introducing its own estate condition survey, given the age of the building and the number of significant repairs now being required. August 2022 The College has a capital works plan which is in progress. A building conditioning survey has just been completed and once final reports an estates plan of works will be progressed, informing the estates strategy. October 2022 CAPEX is available for all works. Capital works program continues incl Gutter works Phase 1 of building survey completed, intrusive survey work now in train.	3	2	6	1	5	Current planning is to utilise cash holding to fund an infrastructure investment programme. Additionally, the college is planning to undertake an estate condition survey to ensure that a clear plan for any additional work is captured. The air conditioning units and the roof are all currently being replaced. Air Conditioning replacement completed. Roof project almost completed, snagging being undertaken. Building is weather proofed. May 2022 Building conditioning survey taking place to identify work plan. Risk is that further urgent work is required post survey. August 2022 Both roof and air conditioning work have been completed. Building conditioning survey in progress. October 2022 Work on condition reports has commenced (early stages)	Central funding received in 2020/21 and 2021/22 allowed the College to address major repairs and renewals sooner than originally planned. This includes a major upgrade to the fabric of the roof, which would be most vulnerable to possible issues associated with the natural lifespan of the building. Next steps are progression of lift shaft work and plant room project. August 2022 Plant room maintenance in progress Lift work has been completed. October 2022 Multiple works in early stages of taking place	Head of Finance / Head of Estates
6	26/04/2021	1.1, 1.2, 1.3, 1.4, 2.1, 3.1, 3.3	That there is a failure to meet statutory and legislative health and safety as well as safeguarding requirements.	3	3	9	9	0	Impacts on safety of all employees and students leading to serious injury or death. Unable to protect our most vulnerable students.	Health and Safety Committee meet regularly to monitor health and safety arrangements and any issues are raised. Staff induction in place on H&S. Separate COVID risk register in place to monitor operational arrangements. Facilities Teams and H&S Officer ensure all risk assessments are updated annually. Regular reporting on Health and Safety to HR Committee as part of their remit requirements. Full review of Health and Safety Policy and Procedures being undertaken. Lead Safeguarding Officers in place and appropriate training in place.; Safeguarding group meets regularly. August 2022 Robust HMI Safeguarding report received in April 2022 Refresher training and reissue of safeguarding cards Expanded the network of safeguarding officers. Health and Safety audit completed, with no major recommendations. Refreshed health and safety policy will go to the Board in October 2022. Appointment of 2 permanent health and safety staff members. October 2022 Health and Safety Audit completed satisfactorily. Health and Safety Policy approved by the Board of Management.	3	2	6	6	0	Full review of H&S policy and procedure in train. Review of safeguarding processes in place for staff and students as part of our continual improvement cycle. May 2022 Review of Health and Safety policy is in train. Review of health and safety training. More regular health and safety catch ups now taking place outwith the regular Committee Meeting. Education Scotland Safeguarding progress visit planned for 16 May 2022. August 2022 Health and Safety Policy will go to Board in October 2022. October 2022 Health and Safety Policy Approved. First Aid Procedures renewed and due for sign off by SLT in October 2022.		
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	Impacts on the college's ability to provide a service to its users as well as potential financial and performance impacts.	Business Continuity Plan for College in place. Business interruption insurance in place. Member of HEFESTIS and benefit from shared intelligence. August 2022 Internal audit for cybersecurity completed. Updated Microsoft Licence of AS allows for enhanced protection. October 2022 AS licence in place and multi factor authentication in place.	3	2	6	6	0	Existing business continuity arrangements being reviewed in light of recent events. Key estates risks now been identified and have been or are being resolved.	The College had a developed Business Continuity Plan embedded prior to the COVID pandemic and has built on that via infrastructure improvements and additions utilising additional SFC ring-fenced funding. Update of Business Continuity Planning Documentation is planned.	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)	3	2	6	8	-2	Impacts on the college's ability to provide a service to its users as well as potential financial and performance impacts.	Shared sector approach in place through HEFESTIS and advanced intelligence. Robust and regular testing of IT systems Business continuity plans in place for IT and MIS areas. Annual certification with Cyber Essentials Plus Incident response training	3	2	6	2	4	May 2022 Cyber security audit taking place. August 2022 Cybersecurity audit completed with minimal recommendations. October 2022 Cyber Essentials audit in progress.	College successfully completed its August 2021 Cyber security audit with no issues. Incident Response Policy Updated October 2022 Training being put	Chris Sumner

Strategic Risk Register

Dated reviewed by Senior Leadership Team	25 October 2022	
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No.	Date Raised	Link to Quality Indicators	Description	Impact Rating (1-4)	Probability Rating (1-4)	Risk Score	Previous submission risk score	Movement since last submission	Implications	Mitigation Action	Post-mitigation impact	Post-mitigation probability	Post-mitigation score	Previous submission mitigation score	Movement since last submission	Progress To Green: Key Actions	Comments	Risk Owner
9	26/04/2021	1.1, 1.2, 1.3, 1.4, 1.5, 1.6, 1.7, 2.3	That there is a failure to achieve acceptably high standards of learning and teaching.	4	2	8	8	0	Impacts on the student experience, the college's reputation and Education Scotland risk ratings. Impacts on student recruitment leading to financial risk.	2021-22 monitor of teaching KPIs across all subject areas and action taken to address areas of concern. Quality mechanisms undertaken through annual cycle including self evaluation and internal and external verification processes. Lots of activity has been undertaken by quality with course teams on new arrangements for assessment during COVID period. Review of quality processes in train to improve reporting against KPIs. Faculty staff work with students association, class reps and student feedback mechanisms to monitor feedback on quality and follow up on any issues. Enhance the monitoring of a range of KPI data on an ongoing basis to quickly identify any emerging negative trends in student performance. May 2022 Education Scotland progress visit was very positive. August 2022 Learning and Teaching policy going to CQD Committee in August 2022. Reviewed approach to the quality processes which included the Progress Reviews instead of the previous academic board. Commitment to ongoing professional development through staff developement sessions. Commitment to TQFE. Focus on career review process allows for reflection on practice. Improved reporting mechanisms allowing curriculum teams to plan more efficiently and to intervene in a more timely manner. Robust quality enhancement plan presented to Board and will be monitored at Committee level. October 2022 College deemed low risk by HMIE so will only have a one day annual engagement vist in February 2023. All quality processes in place and agreed by SLT, unions etc and in progress for the 2022/23 academic year.	2	2	4	4	0	Transitional quality cycle in place for the pandemic years. Self Evalation completed for Faculties and for college. Continued utilisation of improved reporting to support business insight and action. Course Team Reports completed for block 1. Jan 2022 Risk to attainment especially for FE FT students as they are the most at risk due to not being on campus due to COVID. Action: to ensure that the college does not lose the learning from COVID for example what should the SLC blended model of the future look like. May 2022 Education Scotland visit positive, demonstrates progress against actions. October 2022 Mitigating actions in place. External assessors being used to assess Construction MAs, now part of the Quality Audit process to provide assurance that work is of a high standard and does not impact on direct claims status.	Annual Enagement Visit from Education Scotland taking place Feb 2023.	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, poor performance of employees and subsequently a poor experience for students and negative impact on college reputation.	Ongoing, effective development of people managers to ensure the enablement of engagement, management and leadership practices. Effective response to the 2021 Employee Survey in progress. Re-launch and automation of the Career Review process, including manager training on performance feedback and coaching. Further staff engagement in train via the IIP and LiD re-accreditation processes, including surveys and focus groups, will provide further intelligence to support organisational response. HR support provided locally to support staff absence management. Regular meetings with JNC, which take place every 3 weeks. August 2022 HR Strategy approved by the Board of Management in June 2022 Career Review launched successfully. October 2022 Accreditations achieved to date include: Disability Confident Employer and Leaders in Diversity. The re-accreditations of Investors in People and We Invest in Wellbeing are currently being progressed. Ongoing review of the employee journey, process optimisation and automation. Consideration for a new HR System. Refreshed policies and procedures include: Attendance Management and Support Procedure; Disciplinary Procedure; Grievance Procedure and the Public Interest Disclosure Policy and Procedure.	2	2	4	4	0		College accreditations are being refreshed.	Head of HR
11	04/02/2022	2.1, 2.3, 2.5, 2.7, 3.1, 3.2, 3.4, 3.6	That there is a failure to safeguard the health and wellbeing of staff and students.	3	3	9	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. Risk of serious harm to the individual if the appropriate safeguarding action is not taken. This would significantly impact the student and staff experience leading to potential risk of legal action, complaints and having a negative impact on the college reputation.	August 2022 Ongoing effective development of safeguarding and health and wellbeing support for staff and students. Specialised Safeguarding / GBV Prevention / Corporate Parenting / Carers Support policies and procedures in place. Specialised staff in Student Services and HR responding to concerns or issues. Criminal Convictions and PVG is undertaken as part of the employee recruitment process. Safeguarding, Prevent and Corporate Parenting training is mandatory as part of the staff induction process. Safeguarding including Prevent, Corporate Parenting, Mental Health & Wellbeing information and videos part of the Learner Induction process. College Safeguarding Group is a cross-college group which has both student and staff membership - this groups meets quarterly. GBV Prevention Strategy and Action Place / Corporate Parenting Plan in place which is monitored by the Safeguarding Group. Other mitigations include:- •Student Support email address. Same day response, including responses to financial and emotional crisis support. •Guidance and support staff available on campus for in person support on same day appointment basis. •Staff are trained in Mental Health First Aid and ASIST •Dissemination and attendance of external safeguarding training opportunities, such as those provided by CDN, •Counselling Service for staff and students. •Weekly Yoga and Mindfulness classes for staff and students •Online Togetherall resource for staff and students •Same day response provided via dedicated student support email, including responses to financial and emotional crisis support. •Guidance and support / line management staff available on campus for in person support on same day appointment basis. •Annual safeguarding, health and wellbeing calendar of events •College Mental Health Group and LGBT Champion Group in place •Peer support groups for staff and students	3	2	6	6	0	Full review of Safeguarding policy and procedure planned for AY 2022-23 Review of safeguarding processes in place for staff and students as part of our continual improvement cycle. New safeguarder role and training remit produced with plans to create a network of safeguarders across the college that would feed into the College Safeguarding Group. May 2022 Additional training being put in place for August 2022 staff conference. August 2022 Mitigating actions are robust. All staff and students are on campus from August 2022, and sessions on well-being and mental health continue to be delivered and staff are able to self October 2022 Additional staff in Students Services to help support well-being. Student Support Strategy in progress. Remploy an organisation to facilitate staff return to work is now being used to support.		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 the College cannot provide a robust experience, students not receiving the appropriate or accurate information or the necessary access to support such as financial or health and wellbeing. Recruitment impacted by outdated systems impacting the experience. Also any delays to bursaries, additional IT equipment and discretionary support may impact.	4	2	8	8	0	Relates to application and recruitment experience, students not receiving the appropriate or accurate information or the necessary access to support such as financial or health and wellbeing. Recruitment impacted by outdated systems impacting the experience. Also any delays to bursaries, additional IT equipment and discretionary support may impact.	Applications are monitored by the Student Services Team, review of application and enrolment system in train. Financial and emotional support offered by the Team. Team undertake regular training to provide the best possible service and to keep up to date with changes. Power BI now being used for curriculum planning and to ensure a more efficient application process. Other mitigations include •Same day response provided via dedicated student support email, including responses to financial and emotional crisis support. •Guidance and support staff available on campus for in person support on same day appointment basis. •Ongoing review of new Admissions electronic system to ensure smooth transition from application to enrolment. Additional work to be undertaken in this area via regular working group meetings. •Staff attendance at new Mental Health First Aid training, as provided by SLC. •Dissemination and attendance of external training opportunities, such as those provided by CDN, etc. •Review potential increase in counselling and guidance/support provision to ensure reduction in waiting times for emotional support. •Bursary software under review with developers. •Support being provided to SA including additional recruitment of new VP. •Provision of long term laptop loans via Library service to facilitate engagement in class and coursework. Jan 2022 -Robust electronic innovative induction process in place for Aug 2022 starts as well as refreshers in Jan 2022 includes video content. August 2022 Online application process now in place, with additional modules to be added. Barriers to progression removed for students. Curriculum planning process started the work of focussing on the pathways within the College highlighting the increased focus on destinations.	3	2	6	6	0	Additional central funding has been received to allow additional resources to be brought in to address particular issues that may be exacerbated due to the COVID pandemic. Website refresh now out to tender. Power BI being used for applications and curriculum planning. Review taking place regarding staffing resources to meet student needs of financial and emotional support. This includes reviewing the possibility of additional recruitment within student funding, guidance and support, etc, including student placements for counselling. May 2022 Current strike action by EIS is having a negative impact on the learning experience. EQA activity at risk due to lecturers potentially not engaging and resulting learners as well. August 2022 Mitigating actions have allowed this risk to be reduced due to the completion of the key system updates, removal of barriers to progress and clearer focus on supporting students to achieve their destinations. October 2022 Work in progress on reviewing business support functions supporting the learner recruitment journey.	A	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. Effective T&D for the Board, given 10 new members, building on the recommendations of the EER and including consideration of culture and values of Board. Advice sought from appropriate bodies (SFC, IA, Good Governance Steering Group). Planning for the transition to dissolution will be important to ensure that we have the right systems, processes and relationships in place to take up position as a Regional college. Work already in train to identify agreed actions; SFC has established a liaison group involving themselves, Scottish Government and the two colleges. The Audit and Risk Committee are overseeing a formal, quarterly review of all audit recommendations on a rolling basis to ensure that all actions agreed are completed appropriately and according to timetable. August 2022 The College has robust corporate processes in place. New scheme of delegation approved by the Board Clerk has revised all Terms of Reference for the Committees. 2 Board Strategy days completed with a third in planned for 23 August 2022. Government Improvement Plan and Management Response to the Azets plans almost completed. New approach to register of interest. Revitalised and reinvigorated relationships with the regional board. October 2022 Governance Audit is in train. Government Improvement Plan signed off by the Board of Management and agreed to incorporate this into the usual Board of Management Evaluation and Enhancement Plan. Strategy Day held with the Board of Management on Risk and Equality and Diversity held in Sept 2022 External Auditors content that regional board members and/ staff attend committee meetings.	3	2	6	9	-3	Awaiting finalisation of Board member induction programme. Board discussion on SFC report to progress recommendations. Awaiting clarification from SFC/SG on timeframe for dissolution to allow for planning. Jan 2022 Governance Improvement Plan established post the SFC Governance review as well as input from internal auditors is now being actioned. Governance training and Induction session taking place on 1st Feb 2022 which addresses the majority of actions. May 2022 Board members have been inducted. Key polices have been updated, financial regulations and bribery have all been updated and approved by Committee. Disciplinary, capability and grievance also due to be signed off at next HR Committee meetings. Governance improvement plan shows progress against key actions. Board strategy day planned for 16 May 2022. Acting Principal now in place until investigation has been resolved. Risk now of reputational damage due to increase in press coverage. Challenges in recruiting key staff and risks around staff being able to leave for additional positions. August 2022 Strategy Day planned for August 2022 Clerk to the Board reviewed key documentation New staff and student members appointed through the Clerk's successful recruitment. Significant progress made on Government Improvement and Management Response Plans. The College adheres strictly to the Code of Good Governance for Scottish Colleges. October 2022	Acting Chair and Acting Principal in place. The latter of which has extensive experience of corporate governance and was part of the group responsible for the drafting and review of the Code of Good Governance for Scottish Colleges. Recommend decoupling corporate governance risk with the ongoing investigations. This would include: Reputational damage risk Financial Risk. Both the Clerk to the Board and the Chair of Audit and Risk Committee to be consulted.	Principal

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

SELF EVALUATION 2021-22

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

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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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INTRODUCTION

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

The College's approach to quality assurance and enhancement includes work on staff training, development and career reviews, being aligned with the strategy. The Board of Management has set clear, high, expectations for our provision under the following headings:

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

These priorities establish a framework in which the College develops effective support for its students. They also ensure that the College complies with the requirements of the "*How Good Is Our College?*" framework, the Curriculum for Excellence, the Student Partnerships in Quality Scotland (sparqs) student engagement framework whilst embracing the key themes of the Adult Learning Strategy 2022 to 2027, Skills Development Scotland's "Skills 4.0" 2018 report – and preparing 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. In addition, students are supported to reflect on their skills and are able to build on developing, cultivating and executing other skills required for 21st century society. The College learning, teaching and assessment approaches empower students to be successful, confident individuals, responsible citizens and effective contributors.

The approach also reflects the College 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
- A Listening Organisation

CONTEXT

South Lanarkshire College (SLC) is a medium-sized general further education college based in the South Lanarkshire local authority area. The Board's three strategic priorities of having successful students, the highest quality education and support and sustainable behaviours are embedded firmly within the organisation. The College prides itself on delivering high levels of students' success. SLC is a multiple award-winning organisation, this reflects the enthusiasm of staff, the positive ethos and culture which transmits to students and has a positive impact on student outcomes.

Student success is the key priority for South Lanarkshire College (SLC), and the pandemic did not change this. The unconfirmed Scottish Funding Council performance indicators for 2021-22 highlight the sustained commitment, dedication and support from all staff at the College who have gone above and beyond to ensure that students have been given the best possible opportunity to achieve their potential. The overall College attainment rate of 69% demonstrates this, as well as the fact that most of the students, 85.1% have confirmed progression onto positive destinations.

Despite the continuation of the pandemic and the further lockdown and restrictions in 2021-22 the College continued to offer learning, teaching and support to students and ensured that all students had the opportunity to complete their qualifications, including those who had to be deferred to the 2021-22 academic year as a consequence of disruption to learning.

The College provides education programmes for young people, adults, apprentices and provision for students with additional support needs. It covers all levels across Access, Senior Phase, Foundation Apprenticeships, Modern Apprenticeships, Scottish Widening Access Programmes, Further and Higher Education programmes as well as unique industry led qualifications and a degree programme.

There are approximately 5,676 students of those, 1,529 are aged 17 and under, 1,189 are aged between 18-20, 656 are aged 21-24, 1,505 aged 25-40 and 797 over 41. The cohort also included 340 apprentices. The largest mode of study is Part Time Further Education programmes (FE PT) which makes up just over half of the College's provision. This is reflective of the downturn in Higher National students due to more school pupils progressing directly onto university courses.

The following charts show the breakdown of students across each mode of delivery and by age.

Chart 1: Enrolments by Mode of Delivery

Overall Enrolments

- Full Time Further Education
- Full Time Higher Education
- Part Time Further Education
- Part Time Higher Education
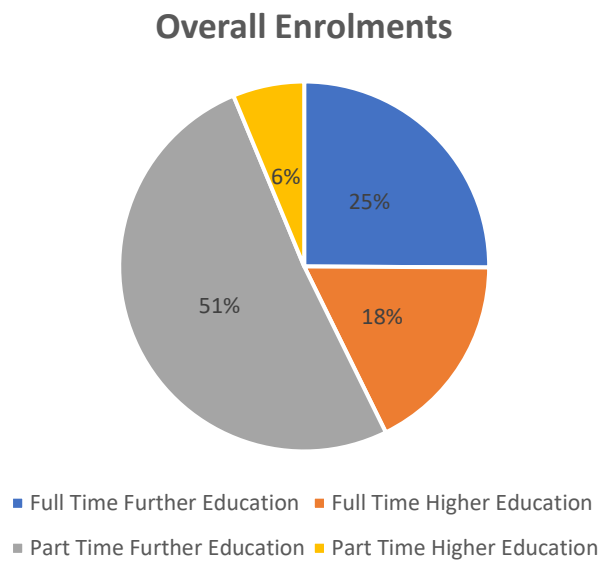
Chart 2: Enrolments By Age

Overall Enrolments By Age

- 0-17
- 18-20
- 21-24
- 25-40
- 41+
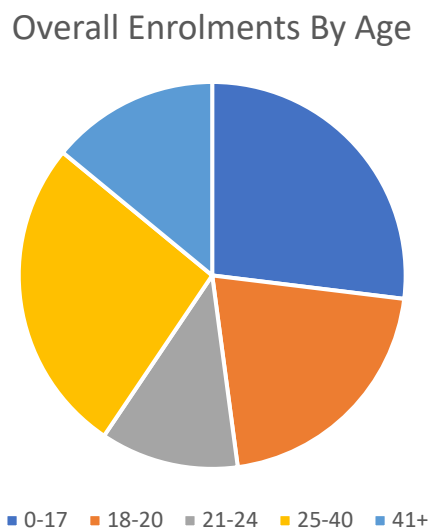
The curriculum portfolio includes Accounting, Administration, Beauty Therapy, Business, Care, Childcare, Construction Management, Construction Crafts, Events Management, Plumbing and Gas Safe training and assessment, Hairdressing, Health and Social Care, Micro-renewables, Surveying, Human Resources, Legal and Police, Horticulture and Travel and Tourism. We offer a Bachelor of Accounting degree in conjunction with the University of the West of Scotland (UWS). The largest cohort of students, around 51% (an increase of 7% in comparison to 2020-21) are enrolled on part-time Further Education programmes. Most part time students are in work while undertaking their programme of study. Full-time programmes, where possible, include work experience and other practical work-related activities.

The College works with a number of external stakeholders and partners to create a future-proof curriculum, designed to address the priorities set out in the Scottish Government's National Strategy for Economic Transformation (NSET). The College uses a host of relevant data, from publications such as the Regional Skills Assessment (RSA), to inform curriculum

planning and content. The College will continue to review its curriculum offer over academic year 2022-23 in order to develop a revised curriculum portfolio, which focuses on growth areas in the Scottish economy including a greater emphasis on the acquisition of digital skills by all students.

South Lanarkshire is the fifth largest council area in Scotland with a population of 320,000, a working age population of 203,000 and around 145,000 households. Around 8% of the population have no qualifications and 39% have NVQ4 level and above.
South Lanarkshire has a diverse and competitive local business base, involving a range of sectors and including a balanced mix of multi-nationals, high growth companies, SMEs and start-ups, which are active in a wide range of markets – local, regional, national and international.

The College has reinvigorated its relationship with the Community Learning and Development team at South Lanarkshire Council and has been instrumental in developing a more effective pan-Lanarkshire ESOL Strategy Group to address the growing demand for this provision. Work has commenced on developing an ESOL Strategy for Lanarkshire to take account of the increase in ESOL demands within the community due to the resettlement of Ukrainian, Somalia, Syrian and Afghan refugees in the local area. The College is now working closely with Community Learning Development team to create a multi-agency referral system across the region.

The vast majority of students (69%) come from within South Lanarkshire local authority to attend the College, with 11% coming from Glasgow, 8.7% from North Lanarkshire and the remainder from other areas, demonstrating that the College is indeed one that serves its local community. Circa 40% of students come from the most deprived SIMD (5% and 10% Scottish Index of Multiple Deprivation) postcode data zones. A small minority of students, 1.4% and 5% are care experienced and carers respectively. Across the College there are more students who identify as female than male, 53% and 45% respectively. The following chart show the postcode breakdown of College Enrolments.

Chart 3: Breakdown of Enrolments by Post Code.

Overall Enrolments
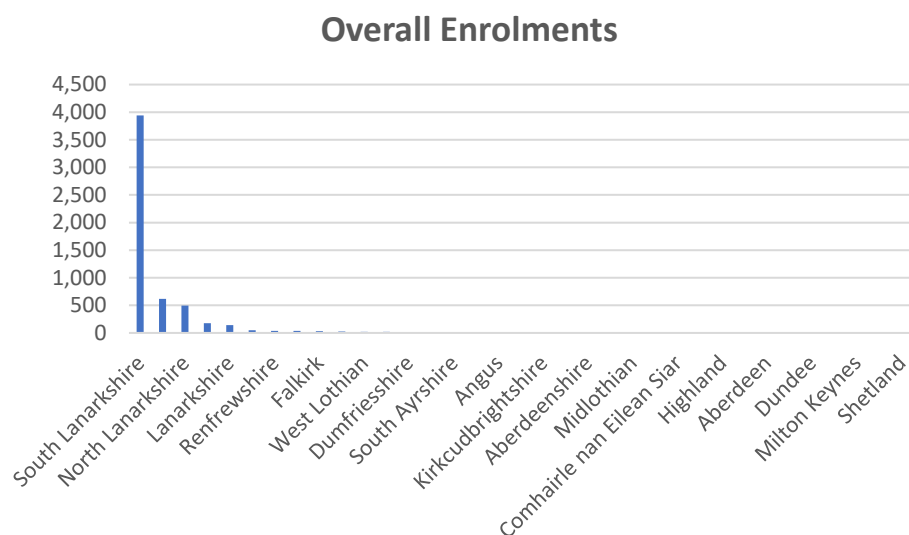
SLC is a signatory of the University and Colleges' Climate Change Commitment for Scotland, a member of the EAUC and also a signatory to the Official Global Climate Letter and part of the 'Race to Zero' and have pledged to become net-zero by 2042.   The main

building has been adapted to incorporate 70Kwp solar Photovoltaic system, Air Source and Ground Source Heat Pumps within the construction area over the last eight years. In 2022 it secured funding from the Scottish Government Energy and Climate Change Directorate for the installation of 150Kwp Photovoltaic panels as part of the drive towards Net Zero. In addition, as part of sustainability plans and reducing waste going to landfill the College installed equipment which takes waste wood and turns it into briquettes. These are being sold to with 60% of proceeds going to charities.

Going forward, the building will benefit from the following technological adaptions to help meet the proposed Net Zero-time frame of 2035. These adaptions are:

Next stages:

- Solar Car Ports with Battery Storage.

- Additional Heat Pumps to take over 100% heat provision.

- Battery Wall Storage.

- Water Conservation via Taps, Cisterns etc.

- Air Tightness of building.

- Central BMS system.

College staff work actively in key partnership arrangements with local authorities, Skills Development Scotland (SDS), employers, the Scottish Funding Council and other managing agents. The College is assigned to the Regional Strategic Body known as The Lanarkshire Regional Strategic Board and contributes positively to outcomes for students in Lanarkshire and also to the wider Glasgow City Region City Deal area, which brings together the local authority areas of West Dunbartonshire, South Lanarkshire, Renfrewshire, North Lanarkshire, Inverclyde, Glasgow, East Renfrewshire and East Dunbartonshire.

The College consults routinely with employers to understand their business ambitions and skills needs to develop and deliver on a workforce development plan to address skills gaps, increase business productivity and economic growth. It seeks pro-actively to develop effective pathways for individuals furthest from the labour market supporting them into education and employment. For example, the Rural Academy is engaging with unemployed residents in rural South Lanarkshire through the Rural Academy. A team of dedicated employability experts have supported an average of 100 participants every year since 2018 progress to positive destinations. Working from premises in Lanark, the Rural Academy provides employability support and delivers accredited courses linked to job opportunities

QUALITY ASSURANCE AND EVALUATION METHODS

The College's well established quality improvement and assurance processes were streamlined in academic year 2021-22 in order to be more accessible during the pandemic and in accordance with the move to the use of Teams and Power Business Intelligence reporting. These revised evaluation arrangements have been welcomed by staff as they are simpler and timelier which empowers them to take action and implement curriculum changes that benefit students more promptly.

The replacement of the Academic Board with the Progress Review meetings has provided a platform for curriculum managers to highlight positive aspects of their areas as well as allow for scrutiny and challenge of areas that may require further development.

The Student Voice is pivotal to the College self-evaluation process and student feedback is obtained through surveys, course team reports, focus groups and curriculum area meetings. The Student Association and the class representatives are now working even more collaboratively to ensure that the views of students are considered by the College.

The Board approved its first ever Learning, Teaching and Assessment Strategy in September 2022 which aims to provide a foundation for the strategic direction of learning and teaching at the College, working towards a culture of reflective practitioners focussed on creating the best possible outcomes for their students   The full range of evaluative mechanisms are outlined below.

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

The self-evaluation report is prepared using information from these mechanisms in addition to the Education Scotland HMIE Progress Visit which took place in February 2022. HMIE identified that the College had made positive progress towards their improvement targets The final published report highlighted the following areas of positive progress.

- Senior leaders have a clear vision to develop a learning and teaching digital strategy.
- The curriculum planning process is clear and considers the regional and national skills agenda and provide progression opportunities for students.
- Staff being completely learner centred providing positive learning experiences despite the challenge of the pandemic.
- Students like the move to Office 365 and has allowed students to receive improved communication and ask for help and support more easily.
- Good use of virtual work placements.
- Innovative changes to delivery, clearly evident that all staff have digitally upskilled themselves and learned about digital learning pedagogy.
- All staff provide exceptional support for students and provide an equitable learning environment by focussing on individual student needs.
- Recognition of new systems being developed and starting to have an impact such as new reports and changes to curriculum planning.
- Refreshed evaluation process is moving in the right direction, allowing for a more collaborative approach to making changes and helping to create "safe places" to talk about challenges.
- Students understand and able to give feedback and can give positive examples of changes made.

- Excellent example of best practice in the development of a thematic HN qualification for Childhood Practice. This was reflected by the students in this area.

Areas for enhancement include:

- Have a consistent approach to embedding meta skills across the college.
- As part of our strategy development include an overarching one for services to support learning.
- Increase student voice, participation and engagement through improving the connection between the student association and class representatives to ensure a stronger and more autonomous voice.
- Consider the reasons for the decrease in attainment rates especially FT FE, as they may be adversely affected if there are any issues such as the pandemic, due to having a higher number of apprentices, senior phase and practical students than in other colleges.

These areas for enhancement have been added to the College's enhancement plan for action. (Annex B)

WHAT IS IT LIKE TO BE A STUDENT AT SOUTH LANARKSHIRE COLLEGE?

Students feel part of a supportive community at the College, feel safe, and have a good understanding of how to stay safe through a comprehensive range of awareness raising activities and community events. A strong focussed team of support staff work closely with curriculum teams in order that students are well supported, respected and valued.

Students, including those with complex needs, benefit from high-quality teaching, enrichment and work experience activities, which motivates them to achieve their qualifications and considerably improves their employability skills. Students, many of whom are from the most disadvantaged and hard-to-reach groups, benefit from inclusive and highly personalised programmes. They gain confidence from the high-quality provision which enables them to improve their life chances and develop personal and social skills, such as helping their children with schoolwork. For many, their experiences are life-changing and enable them to gain or return to employment or progress to further study.

Adult students who have few or no qualifications or who have been out of education for time can access a range of Scottish Widening Access (SWAP) programmes. A total of nine courses; Humanities, Nursing, Health and Science, Science, Children and Young people, Social Work and a new programme Access to Health and Social Care was introduced in January 2022 are offered. These courses provide guaranteed places at Scottish universities across a wide range of degree progression routes. Two programmes, Access to Childhood Practice and Access to Science offer progression to Higher National Certificate (HNC) only. These programmes provide an additional progression stage in subject areas where there are higher levels of students not sustaining participation the first year of their degree.

Students and apprentices are well supported and develop their confidence, team working skills and self-belief with the support of staff. Lecturers know and care about students and work very effectively with support staff to deal with barriers to learning.   This was especially important during lockdown with the Student Services team supporting students digitally. As a result, students feel more secure and gain the self-confidence they need to make progress even when dealing with COVID-19.

Apprentices have appropriate access to high-quality, industry standard equipment and facilities. This ensures that apprentices are quick to acquire the knowledge and skills they require for the workplace. Consequently, they successfully complete their apprenticeship within the agreed timeframe and improve their future employment or promotion prospects.

Most students and apprentices experience very good teaching and support. They develop new knowledge, skills and behaviours that prepare them well for further study or employment. The good and improving links that staff have with local employers and higher education providers, such as the University of the West of Scotland, the University of Glasgow and the University of Strathclyde mean that students gain exposure to the workplace and are able to articulate directly onto degree programmes where appropriate.

In academic year 2022-23 circa 33% of full-time provision includes work placements, and almost all courses focus on the necessary employability and meta skills required for students to progress onto their chosen destinations. The College works with a wide range of employers, approximately 760, across a variety of sectors who offer placements and provide guaranteed interviews for our students before the end of their courses.

Students report that they feel valued, appreciate the excellent support and guidance provided by staff and good resources that help them learn and progress. The College embeds the Curriculum for Excellence (CfE) four fundamental capacities of successful learners, confident individuals, responsible citizens and effective contributors in its provision.

STUDENT PROGRESS AND OUTCOMES

The College's overall attainment for academic year 2021-22 was 69%, which is a very slight decrease of 0.3% in comparison to the previous academic year. Table 4 shows the College's attainment rates over a three-year period.

Table 4: Attainment Rates Over a Three-Year Period

Student category	South Lanarkshire College 2021-22	South Lanarkshire College 2020-21	South Lanarkshire College 2019-20	National average (SFC) published March 2022 for 2020-21
Further Education Full-Time	58.4%	60.7%	71.1%	61.3%
Higher Education Full-Time	68.1%	77.6%	77.7%	72.1%
Further Education Part-Time	74%	78.9%	77.2%	76.3%
Higher Education Part-Time	72.1%	85.7%	84.9%	81.3%
Overall	69%	74.2%	72.8%	-

His Majesty's Inspectors of Education (HMIE) sector overview report for 2021-22 highlighted the ten-year downward attainment trend of full time FE programmes. This is also reflective of the past three years at South Lanarkshire College. Almost all students had better attainment when on campus as opposed to learning online.
Tables 5 and 6 below show the comparison between 2021-22 and 2020-21 academic years and the decrease in attainment levels for FE and HE full time programmes is evident. Students were impacted by the pandemic and as a consequence students are now experiencing additional barriers to learning.

Table 5: 2021-22 Summary of Unconfirmed Performance Indicators as of November 2022

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

Table 6: Summary of Performance Indicators 2020-21

Mode	No. Completed Successful	%	Partial Success	%	Withdrawals	%	Retention	%	2020-21 National Rates %
FE FT	627	60.7	168	16.3	238	23	957	80.4	61.3
FE PT	1,581	78.9	252	12.6	172	8.6	2,412	92.6	76.3
HE FT	800	77.6	68	6.6	163	15.8	929	84.7	72.1
HE PT	418	85.7	40	8.2	30	6.1	468	94.6	81.3

Across all provision male and female students achieve broadly in line with each other with rates around 69%. However male students on FE and HE FT provision achieved 6.3% and 8.5% respectively below their female counterparts, whereas they achieved 8% higher than females across PT provision. The College will consider this information as part of the quality enhancement plan.

Overall partial success rates have increased by 1.3% since session 2020-21, and the largest growth in partial success is on FE FT programmes which increased by 4.2% to 20.5%.

FE FT attainment was impacted adversely by students aged under 17, 18-20 and 21-24 with achievement of 50%, 54.4% and 53.5% respectively and these students make up 70% of the overall cohort. Students aged under 17, and who are part of the College senior phase cohort, are the largest age group in this area. The College works in close partnership with South Lanarkshire Council and this age group in particular were impacted by the challenges brought on by the pandemic.

This trend is reflected across other FE FT provision especially in areas such as Accounting and Legal, Beauty Therapy, Business Management and Hospitality programmes where students faced a range of issues including a significant increase in mental health, partial online engagement, financial issues and school to college transitions were more challenging due to the gaps in learning and social anxiety issues.

Foundation and Modern Apprentices make up 3% of the overall FE FT and FE PT cohorts, and most of the apprenticeship cohort (251) are aged 16-19 and are spread evenly across part time and full-time programmes. Attainment across the apprenticeship FE FT provision is strong at 68% despite the challenges faced by the Modern Apprentices in the Wet Trades and Carpentry and Joinery who had challenges completing the practical elements of their courses due to the pandemic. However, additional time has been allocated to support those students to fully complete in the 2022-23 academic year. Apprenticeship attainment on PT programmes is excellent at 81% demonstrating the significant amount of work undertaken by curriculum teams to keep these students engaged and motivated.

The growth in FE PT provision, as well as overall attainment levels, also suggests that for the majority of students this is the preferred mode of study especially in areas such as

Hospitality and Business. A small minority of curriculum areas such as Accounting and Legal, Hairdressing and Makeup Artistry were impacted negatively by student personal issues, students gaining employment and ill health. Health and Social Care SVQ programmes are within the upskilling project and those students are expected to achieve in session 2022-23.

HE FT was impacted in a similar way and there was also an increase in partial success, especially in areas such as Accounting and Legal, Beauty Therapy, Business Management and Media and Hospitality Events and Tourism. A few students in Business and Hospitality are due to complete in this academic year. This is also the position for HE PT students in Life Sciences undertaking a Professional Development Award in Childhood Practice, which is an upskilling course, they will complete their course in 2022-23. In addition, a number of students received unconditional offers for university during the third block so withdrew before completing their course.

The destinations from 2020-21 (the latest information available) showed that 85.1% of college leavers in SLC confirmed their destinations in follow-up surveys. Of those who confirmed, 98.5% from SLC were in positive destinations.

The Board is committed to being a "Leader in Diversity" and is continuing to support students from the most deprived postcode areas to achieve. The attainment rate for students with a disability is on a par with last year and remains 5% above the national average for the college sector. The number of students who identify as being from ethnic minority groups has increased by approximately 134 and attainment rates have also increased by about 5%.

The number of care experienced students at the College has decreased by 54 and attainment rates for this group have been impacted significantly by additional barriers to learning, with higher than usual numbers partially completing, an increase of 5%.   The College has already put in place support for those identifying as care experienced for session 2022-23.

SLC students from the most deprived SIMD 10 and SIMD 20 areas have attainment rates of 67.3% and 68.5% respectively, which is 2.6% and 1.3% higher than last year, the number of students from these SIMD areas has also increased. It should be noted that the highest number of students are from SIMD 5 (1,501) and have attainment rates of 65.8%.   Table 7 shows achievement different groups of students across the College.

Table 7: Achievement By Key Groups

Key Groups	Completed Successful		Completed Partial		Further Withdrawal		Early Withdrawal	
	No.	%	No	%	No	%	No.	%
Students with a Disability	154	74.8	10	7.4	14	10.4	6	4.4
Students from minority ethnic groups	366	76.6	21	6.6	20	8.2	15	6.2
Care Experienced	80	47.1	17	25	10	14.7	9	13.2
SIMD 10	780	67.3	90	12.9	59	8.5	32	5
SIMD 20	385	68.5	38	11.1	30	8.7	19	5.5
Carers	288	70.1	23	9.4	20	8.2	15	6.2

DIGITAL LEARNING

The College used digital learning during the pandemic and staff developed innovative approaches to delivery which included recording vocational activities and supporting students to undertake virtual work placements. Excellent and innovative approaches to assessment were developed in areas such as the SVQ 3 in Domestic Plumbing and Heating which were used sector wide, and the Plumbing are seen as an area of best practice.

Other good practice was the use of Microsoft Sway to support students to create websites to post their research. The Higher National Next Gen Childhood Practice team used Teams Assessments to capture ongoing evidence portfolios for each individual student. Guidance lecturers used the Teams weekly reflection feature to check in with students allowing staff to identify quickly student concerns and use issues identified as a starting point for development conversations

Electronic rubrics on Teams have been introduced into the Higher National Diploma (HND) marking arena in order to standardise marking criteria, provide students with expectations and guidelines for grading and/ or marking. This helped to improve assessments and identify over assessment to reduce workload for students and lecturers. This has to motivated students to perform better, decreases time spent marking allowing lecturers to be innovative in their learning and teaching practice.

In addition, podcasts have been widely used over the academic year as an alternative to traditional report writing. In addition, video recordings have been used during presentations and practical activities, providing students with the opportunity to self-reflect, peer-assess and evaluate their learning. Furthermore, recordings have been used during the delivery of Forest Kindergarten training. Hairdressing and Make Up Artistry have made good use of electronic portfolios and utilised the SQA Scottish Online Assessment Resources (SOLAR) extensively.

The College's new Learning, Teaching and Assessment Strategy will enable the College to move forward with developing an approach to digital learning across the organisation. The College is using the JISC Digital Elevation Model to assess its current position and to develop a Digital Learning Strategy against the following themes of leadership, governance and culture, curriculum development, learner experience, staff experience, curriculum development and underpinning technologies.

The College has completed sections on leadership and governance, learner experience and staff experience with further development of the tool through the IT Strategy Group. Over the

course of the 2022-23 academic year the College would seek to address the following points:

- improvements in digital culture and automation;
- building on pre arrival material from the launch of the new website to campus tours; and
- digital upskilling in areas to ensure widespread use of technology already available to staff.

The other areas of the JISC tool will be completed by 31st January 2023 and will include the showcasing of digital enhancements made to the systems over the last 12 months.

DELIVERY OF LEARNING AND SERVICES TO SUPPORT LEARNING

SLC, like all other FE colleges, has had to provide extensive support to our students during the pandemic to facilitate the transition from on-campus to remote on-line learning and subsequently prepared them for a return to campus. The College provides a high standard of wrap around support services, which impact positively on student retention and attainment across almost off areas. Support Services aim to provide tailored support which best meet individual student needs.

The Student Services Team has continued to offer counselling support, financial advice and guidance, with face-to-face support for those students who could not access services from home. The team have new designated webpages created to support health and wellbeing providing greater accessibility to students. In addition, the Counselling team have continued to provide Covid-Resilience online workshops to students and staff, which were very well received with positive feedback and good interaction from participants. The College also provides free mindfulness sessions for students.

The College continues to recognise the challenge of mental health particularly on male students and has worked in partnership with the Student Association to target areas such as Construction to provide additional support. As a result of the global pandemic, both the College and Student Association recognise that the availability of support services to students is crucial. As such, the NUS Think Positive initiative has continued into 2021-22 and this improves existing mental health support strategies. By talking openly about mental health and promoting strategies surrounding positive mental health, the College and the Student Association hope to create an environment where all students feel comfortable discussing their mental health and can access easily the College support services.

Student support services within the College include the following: free student counselling, weekly mindfulness classes, free weekly yoga classes, one to one support from Student Services and Guidance Tutors, access to Togetherall (an online platform available 24/7 to support mental health and wellbeing, Student Association support available in-person or by email, dedicated Student Support email and a student Teams page for various activities.

To help support digital inclusion, SLC have made available over 200 laptops on a long-term loan basis and 20 laptops on a short-term (24hr) loan. There are also headsets and wi-fi devices available for students struggling with accessing internet connectivity at home.

The College has provided increased resources to support key vulnerable groups such as Care Experienced, Veterans and Service Leavers, Carers and Estranged Students. The Guidance & Support Advisors who are the named staff take a person-centred, trauma-

informed approach when supporting students and understand the wider intersectionality circumstances that need to be taken into consideration when offering support. Membership of the Care-experienced, Estranged & Carers, West Forum. This forum meets regularly to share current practice and emerging themes. This provides an excellent opportunity for professional dialogue and the sharing of good practice across colleges and universities.

The College is a member of the South Lanarkshire Council Corporate Parenting sub-group in relation to throughcare, after and continuing care whose remit is to develop an improvement plan relating to Theme 4 of their Corporate Parenting Plan – Education, Employment and Training. The intended outcome is that young care experienced people will be supported to achieve positive educational outcomes and supported to achieve positive transitions into further and higher education, training, and employment. This will help to support more young people achieve their courses. Membership of this group has strengthened connections with Social Work and Skills Development Scotland

SLC is proud to be one of the pilot institutions for the new EmilyTest Gender Based Violence charter and is continuing its work towards obtaining the full charter. EmilyTest is a Scottish charity working to improve prevention, intervention and support concerning gender-based violence (GBV) in further and higher education

Student support services within the College include the following: free student counselling, weekly mindfulness classes, free weekly yoga classes, one to one support from Student Services and Guidance Tutors, access to Togetherall (an online platform available 24/7 to support mental health and wellbeing, Student Association support available in-person or by email, dedicated Student Support email and a student Teams page for various activities.

The Student Association has been working effectively in partnership with the College to provide students with free soup and a sandwich at lunchtime. There has been a great deal of discussion surrounding digital poverty and alongside this the Student Association wanted to tackle the issue of other aspects of student poverty. Good communication has been crucial, and there have been quarterly newsletters sent out to all students outlining the mental health support in place and introducing new initiatives such as yoga classes.   Peer support networks have been created where students can engage with each other.

STUDENT ENGAGEMENT

Well-established processes are in place to ensure that students are at the heart of College quality enhancement and engagement activities. The culture of engagement continued throughout session 2021-22 with students as key partners in college-wide and course level evaluation and enhancement activity.

The formal mechanisms included the class representative model, sparqs training and close links between the Student Association and staff. Class Representatives were supported through the adoption of Microsoft Teams which hosted a dedicated student voice platform. Class Representatives could seek advice, guidance and support directly from the Quality team. The adoption of Microsoft Office packages provided a highly effective way to support Class Representatives as well as providing them with the opportunity to consolidate the skills developed via blended learning.

The Class Representative selection, training and activity was supported by curriculum and quality staff, as well as sparqs and the Student Association. Class Representatives were nominated and selected by their peers. Students elected 329 Class Representatives for

session 2021-22, with 75 students undergoing training and certification through sparqs. These sessions were delivered by sparqs, with introductory sessions from the Student Association and Quality.

Student influence was captured via Student Voice Surveys and Course Team Self-evaluation. Student voice underpinned the College's self-evaluation and enhancement processes. Students were given the opportunity to shape their student experience at both college-wide and course levels. All levels of the self-evaluation and enhancement activity are aligned to Education Scotland's His Majesty's Inspectorate of "Education How Good is our College?" quality framework.

Bi-annual surveys allowed individual students to use their voice. The first survey focussed on their pre-entry and early college experience and the second was the national SFC Student Satisfaction and Engagement Survey, with 87% of students reporting that they were satisfied with their College experience. College, Curriculum Area and Course level reports were produced, and used to support both quality enhancement and mandatory data returns.

Class Representatives were given the opportunity to shape course level quality enhancement at the end of each block, via a Course Evaluation form hosted on Microsoft Forms. Course Teams were then required to evaluate their courses in response to the student voice feedback, stakeholder feedback and course performance. The mechanisms for student engagement in quality enhancement provided opportunities for both individual and collective influence.

ANNEX A: LANARKSHIRE COLLEGE REGION SUPPORTING DATA

	College Outcome Agreement Impact Framework: Supporting Data												
Measure		**2014-15**	**2015-16**	**2016-17**	**2017-18**	**2018-19**	**2019-20**	**2020-21**	**2020-21 (SLC)**	**2020-21 (NCL)**	**2021-22 (Combined figures)**	**2021-22 (SLC)**	**2021-22 (NCL)**
A	Credits Delivered (Core)	189,322	171,418	170,966	172,077	171,910	169,047	158,971			175,835	46,815	129,020
	Credits Delivered (ESF)	0	14,766	14,826	15,561	12,217	14,837	14,011			6,498	3,166	3,332
	Credits Delivered (Core + ESF)	189,322	186,184	185,792	187,638	184,127	183,884	172,982			182,333	49,981	132,352
B	Volume of Credits Delivered to 10% most deprived postcode areas	35,205	35,360	35,181	34,292	33,685	33,948	31,962			31,555	7,376	24,179
	Proportion of Credits delivered to 10% most deprived postcode areas	18.6%	19.0%	18.9%	18.3%	18.3%	18.5%	18.5%			17.3%	14.8%	18.3%
C	Volume of credits delivered to care-experienced learners	880	1,101	3,274	2,178	4,363	6,842	5,935			9,287	2,198	7,089
	Proportion of credits delivered to care-experienced learners	0.5%	0.6%	1.8%	1.2%	2.4%	3.7%	3.4%			5.1%	4.4%	5.4%
D	Number of senior phase age pupils studying vocational qualifications delivered by colleges	254	452	647	503	708	1,333	707			2,599	1,336	1,263
E1	Proportion of enrolled students successfully obtaining a recognised qualification (Full time FE)	64.2%	61.0%	62.1%	63.4%	65.1%	64.7%	58.8%			53.9%	58.4%	52.10%
	Number of enrolled students successfully obtaining a recognised qualification (Full time FE)	3,631	3,522	3,770	3,694	3,624	3,247	2,557			2,408	722	1,686
	Total number of FTFE students	5,660	5,770	6,067	5,822	5,567	5,021	4,346			4,471	1,237	3,234
E2	Proportion of enrolled students successfully obtaining a recognised qualification (Part time FE	78.8%	73.7%	74.3%	76.2%	80.2%	70.8%	77.2%			69.7%	74.0%	67.2%
	Number of enrolled students successfully obtaining a recognised qualification (Part time FE	10,392	7,978	7,278	6,284	7,985	6,227	6,319			4,955	1,966	2,989
	Total number of PTFE students	13,188	10,822	9,791	8,248	9,960	8,799	8,181			7,109	2,658	4,451
E3	Proportion of enrolled students successfully obtaining a recognised qualification (Full time HE)	68.2%	69.3%	68.4%	68.0%	69.2%	73.3%	68.7%			62.4%	68.1%	60.3%
	Number of enrolled students successfully obtaining a recognised qualification (Full time HE)	2,382	2,534	2,525	2,594	2,436	2,702	2,513			2,077	620	1,457

Ref	Measure												
	Total number of FTHE students	3,495	3,654	3,690	3,815	3,521	3,688	3,659			3,327	910	2,417
E4	Proportion of enrolled students successfully obtaining a recognised qualification (Part time HE)	79.2%	71.6%	75.5%	78.6%	77.6%	80.9%	81.2%			74.4%	72.1%	75.7%
	Number of enrolled students successfully obtaining a recognised qualification (Part time HE)	1,197	811	908	868	863	794	996			581	204	377
	Total number of PTHE students	1,512	1,133	1,203	1,104	1,112	980	1,227			781	283	498
F	Number of students achieving an HNC/D qualification articulating to degree level courses	0	678	658	720	796	649	741				n/a	
	Number of students achieving an HNC/D qualification articulating to degree level courses with advanced standing	0	355	326	369	409	346	395				n/a	
	Proportion of students achieving an HNC/D qualification articulating to degree level courses with advanced standing	-	52.4%	49.5%	51.3%	51.4%	53.3%	53.3%				n/a	
G	Total number of full-time FE college qualifiers (in confirmed destinations)	3,251	3,063	3,445	3,369	3,208	2,636		442	2058		n/a	
	Number of full-time FE college qualifiers in work, training or further study 3-6 months after qualifying	3,107	2,888	3,178	3,157	3,021	2,383		425	1921		n/a	
	Proportion of full-time FE college qualifiers in work, training or further study 3-6 months after qualifying	95.6%	94.3%	92.2%	93.7%	94.2%	90.4%		96.1%	93%		n/a	
	Total number of full-time HE college qualifiers (in confirmed destinations)	2,021	1,998	2,189	2,154	2,161	2,247		558	1376		n/a	
	Number of full-time HE college qualifiers in work, training or further study 3-6 months after qualifying	1,941	1,914	2,081	2,049	2,022	2,022		539	1318		n/a	
	Proportion of full-time HE college qualifiers in work, training or further study 3-6 months after qualifying	96.0%	95.8%	95.1%	95.1%	93.6%	90.0%		96.4%	95%		n/a	
H	Percentage of students overall satisfied with their college experience (SSES survey)	-	89.2%	88.7%	N/A - see note	88.4%	-	85.1%			87.7%	85.2%	88%

Please note that 2019-20 figures for measures E, G and H and all 2020-21 figures were impacted by the COVID-19 pandemic and may not be directly comparable to other years *Unpublished data - based on draft submission from SFC

ANNEX B QUALITY ENHANCEMENT PLAN ACTIONS

QUALITY ENHANCEMENT PLAN (QEP) 2022-23			
AREA	**ENHANCEMENT**	**KEY ACTIONS**	**PROGRESS**
1 Attainment Rates	To focus on improving FE FT attainment rates, where possible in this emergency year, through our continued rigorous intervention and support. To undertake deep dives for areas where there is a significant difference in attainment for key groups such as male and females, age groups as well as FT and PT provision.	1.1 The reinstatement of the course team self-evaluation reporting cycle, with impact reviewed by CMs and overall, at Progress Reviews. 1.2 Curriculum Progress Reviews implemented instead of Faculty Reviews to allow for deep dives into curriculum areas. 1.3 Continued wraparound support provided by Student Services and curriculum teams to keep students on track to achieve.	The Quality Cycle has been refreshed and enhanced for the 2022-23 academic year, with the first progress reviews scheduled to take place in December 2022.
2 Curriculum Planning	To continue to review and update the curriculum portfolio at SLC and to clearly identify key curriculum strategic priorities to launch for the 2023-24 academic year.	2.1 Continue the revised college wide approach to curriculum planning based on up-to-date LMI and national priorities for 2022-23. 2.2 Further deep dive required into curriculum to mitigate risks to under recruitment. This will involve a more thorough analysis of under recruiting courses as well as the	This work is in progress for 2023-24 academic year.

3 Learning and Teaching	Lecturing staff should continue to develop and implement a wider range of differentiated learning techniques and assessment approaches, relating to remote and blended learning to effectively meet students' needs.	3.1 Continue to share best practice and use digital champions within areas. 3.2 Training & Development plans for each area to be created focussing specifically on learning and teaching support required, with use being made of national sessions. 3.3 To consider the use of supported experiments with a focus on collaboration and sharing, and how coaching can be further used to enhance learning and teaching. 3.4 To implement an improved professional learning pathway for academic staff to support progress towards TQFE.	3.1 In progress. Sharing of best practice happens formally through staff conference days. Further improvements made for January 2022 development day for allowing This could be further improved through scheduling of specific cross college events. Action for 2022-23. 3.2 Incorporated into Faculty self-evaluations and planning documents. 3.3 Not yet started. Action for 2022-23. 3.4 Initial meetings have started, and an approach has been agreed.
4 Learner Voice	To make better use of results from student surveys and student feedback to effect improvements the learner experience.	4.1 Collation of actions has started so that feedback can be provided to students on progress being made with their requests. 4.2 Student Voice, Lecturer and Curriculum Manager working groups started to promote wider engagement and enhance the action planning processes. 4.3 Learner participation in surveys is too low, post COVID work with the class representatives and Student Association to increase.	4.1 Ongoing. 4.2 Ongoing and can be seen in reviews. 4.3 Action for 2022-23
5 The use of systems to monitor and drive performance are not fully embedded across the College.	To continue to enhance the new suite of Power BI reporting developed in 2021-22 to allow all staff to have improved data insights allowing for earlier intervention and planning.	5.1 System Systems Group to be re-established to review college wide systems.	5.1 Partially completed, started for the review of the application system but not college wide. A college wide approach to systems still to be agreed.

6	Skills Development	To review the curriclum to identify embedded specific skills development opportunities, including meta skills.	6.1 To develop and agree a college wide approach to skills development across the college through focussed training sessions for academic staff, by February 2023.	
7	Support Services	To further a process to provide a holistic picture of individual learners and their support needs.	7.1 Implement a Student Services Strategy by December 2022.	On track for completion, strategy currently being reviewed.
8	Student Association	To support the Student Association and Class Representatives to work more closely together, share thinking and agree actions.	8.1 Work with the Student Association to support additional times for the class reps and them to meet throughout the year. Link to learner voice actions.	Much work has been done to date by the Student Association who have actively supported with the recruitment of class representatives.
9	Professional Discussion on Learning and Teaching (PDLT)	To share the findings of the PDLT overview with lecturing staff to support the dessimination of emerging practice.	9.1 Links to sharing of best practice across the College as noted in section 3, by August 2022.	New approach to supporting staff not yet qualified through undertaking Teaching in Colleges Today prior to the TQFE. This will be rolled out to all staff at the College to support with CPD The College is restarting its PDLT once all staff involved receive training from Education Scotland. Good practice from these will be shared across the College.

Self-Evalua

BOARD OF MANAGEMENT

DATE	6 December 2022
TITLE OF REPORT	South Lanarkshire College Self Evaluation
REFERENCE	13
AUTHOR AND CONTACT DETAILS	Stella McManus
PURPOSE:	To provide Board Members with the opportunity to review the performance of the College for 2021-22 through the self-evaluation report.
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 • Highest Quality Education and Support • Sustainable Behaviours
SUMMARY OF REPORT:	The College is required to submit a self-evaluation on an annual basis to the Scottish Funding Council (SFC). Like the previous year, the format is not dictated by the SFC, and the reports are being used to understand the scale of the impact of the pandemic and recovery on the quality of learning and teaching across the 2021-22 academic year. As part of the report the College has reflected on student progress and outcomes, quality assurance and evaluation methods, what it is like to be a student at the College, digital learning, delivery of learning and services to support learning and student engagement.

BOARD OF MANAGEMENT

DATE:	December 2022
TITLE OF REPORT:	Draft Menopause Policy
REFERENCE:	14
AUTHOR AND CONTACT DETAILS	Gary McIntosh, Head of Human Resources gary.mcintosh@slc.ac.uk
PURPOSE:	Discussion and approval of the draft Menopause Policy.
KEY RECOMMENDATIONS/ DECISIONS:	Members are recommended to: • note that this policy has been reviewed and approved by the HR Committee; • note content of the draft Menopause Policy; and • review and approve the policy.
RISK	
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 Menopause Policy.

MENOPAUSE POLICY

Version Number: 1.0

Document Information

Procedure Published/Created:	1 October 2022
Reviewed Date:	
Owner:	Human Resources
Approved by:	Board of Management
Equality Impact Assessment:	TBC
Next Review Date:	October 2024

Version History

Version Number	Date	Author	Rationale
1.0	1 October 2022	G McIntosh	Agreed Nationally

Quick Links

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

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

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

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1.0 Introduction

South Lanarkshire College ("the College) is committed to ensuring that everyone is treated with dignity and respect in a fair manner in their working environment.

The College is also committed to improving the well-being of its employees and recognises that women affected by the menopause may need additional consideration, support and adjustments during the time of hormonal change before, during and after the menopause.

The College will aim to provide appropriate support to those who are experiencing menopausal symptoms. It is important the College understands the difficulties and anxieties of employees currently going through this hormonal change and that it manages this issue by raising awareness, challenging discrimination, promoting a culture of openness and providing training and development for all line management and colleagues.

The College notes that people from the non-binary, transgender and intersex communities may also experience menopausal symptoms. Due to a variety of factors, the experience of the menopause may be different for those amongst these communities.

Experiences and perceptions of the menopause may also differ in relation to disability, age, race, religion, sexual orientation or marital/civil partnership status. It is important to recognise that for many reasons, women's experiences of the menopause may differ greatly.

(Although the policy refers to women, please consider that this policy refers to anyone suffering the symptoms of menopause)

2.0 Aims

The aim of the policy is to:

a) Pro-actively promote the **Managers Guidance** (**Appendix 1**) which provides direction and clarity on dealing with menopausal symptoms for those affected both directly and indirectly, e.g., partners, managers, and colleagues.

b) Ensure that managers are aware of menopause related symptoms and how they can assist their employees. Managers take cognisance of the **Managers Guide** (**Appendix 1**) which provides clarity for those affected by the menopause.

c) Create an environment where those affected feel comfortable enough discuss the issues around their symptoms.

d) Ensure those experiencing menopausal symptoms suffer no detriment.

e) Create a workplace that respects and values all employees and their differences, that promotes dignity and combats prejudice, discrimination and harassment.

f) Benefit the welfare of women members of staff, retain valued employees, improve morale and performance and promote the college as an employer of choice.

3.0 Scope

This policy applies to all employees of the College.

4.0 Definitions

a. The menopause is a natural transition stage. It is marked by changes in the hormones and when periods stop.

b. The menopause may result in a wide range of physical and psychological symptoms and those with symptoms may encounter difficulties at work as a result.

c. Each woman will be affected in different ways and to different degrees over different periods of time. Menopausal symptoms can often affect indirectly their partners, families, and colleagues as well.

d. Some women experience early menopause due to surgery, illness, cancer treatment (radiotherapy, chemotherapy etc) or other reasons. As a result of these hormonal changes, many women will experience both physical and emotional symptoms.

e. Perimenopause – a period of time before the menopause, in the years leading up to the menopause where there can be significant changes for women, including irregular and heavy menstrual bleeding and many of the classic symptoms associated with menopause.

f. Post-menopause – a term used when a woman's periods have stopped for 12 consecutive months. However, other menopausal symptoms may not have ended so soon. Problematic symptoms may continue for years.

5.0 Symptoms of Menopause

a. Those affected will experience only some or all of these symptoms (and others not on the list). Some people experience no noticeable symptoms, however 75% of women experience symptoms with 25% of those classed as severe. Symptoms tend to be experienced for around four years after the last period, however, this can last up to twelve years in some cases. Symptoms may include:

i. *Hot flushes* – a very common symptom that can start in the face, neck or chest, before spreading upwards and downward, may include sweating, the skin becoming red and patchy, and a quicker or stronger heart rate.

ii. *Heavy and painful periods and clots* leaving those affected exhausted, as well as needing to change sanitary wear more frequently. Some affected may become anaemic.

iii. *Night sweats* - restless leg syndrome and sleep disturbance.

iv. *Low mood* - irritability, increased anxiety, panic attacks, fatigue, poor concentration, loss of confidence and memory problems.

v. *Urinary problems* – more frequent urinary incontinence and urinary tract infections such as cystitis. It is common to have an urgent need to pass urine or a need to pass it more often than normal.

vi. *Irritated skin* – including dry and itchy skin or formication, and dry eyes. Also, vaginal symptoms of dryness, itching and discomfort.

vii. Joint and muscle aches and stiffness.

viii. Weight gain.

ix. Headaches and migraines.

x. Menopausal hair loss.

xi. *Osteoporosis* – the strength and density of bones are affected by the loss of oestrogen, increasing the risk of the bone-thinning disease osteoporosis.

xii. Side effects from hormone replacement therapy (HRT), a form of treatment for menopausal symptoms for some people (although not suitable or appropriate for all).

xiii. Menopausal symptoms may also exacerbate existing impairments and conditions that those affected may already be struggling to cope with.

6.0 Roles and Responsibilities

a. Line Managers – all managers should:

i. Familiarise themselves with the **National Menopause Policy**, **Managers Guide (Appendix 1)** and available resources

ii. Be open to having discussions around the menopause whilst being sensitive to the personal nature of the discussion and maintaining confidentiality and professionalism.

iii. Make use of the available guidance, agreeing arrangements with the affected woman with support plans and reasonable adjustments. Record the agreements to be implemented and ensure these are adhered to.

iv. Line managers with appropriate support will undertake a gender sensitive risk assessment to consider the specific needs of employees experiencing the menopause and to ensure that the working environment will not make their symptoms worse. The risk assessment will assist with the identification of any potential adjustments that may be required.

v. Liaise with HR and Occupational Health providers where appropriate.

vi. Set review dates and engage in ongoing conversations.

b. Employees – all employees are:

- Responsible for their health and wellbeing.

- Encouraged to inform their manager (or the alternative contact, should they not feel comfortable speaking to their manager) if they are struggling with menopausal symptoms and need any support.

- Responsible in contributing to a respectful and productive working environment, being willing to help and support their colleagues, and understand any necessary adjustments their colleagues are receiving as a result of their menopausal symptoms.

- Responsible for making contact with either HR or a trade union representative, regarding any instances of harassment, victimisation or discrimination experienced because of issues related to the menopause.

If an employee feels unable to speak to their line manager they can contact HR, a wellbeing officer where available or a trade union representative.

7.0 Further Sources of Information

a. All employees can access counselling if needed via our employee assistance programme, operated by PAM Assist.

b. Further information can be found here:

i. https://www.nhs.uk/conditions/menopause

ii. http://menopausematters.co.uk

iii. https://www.womens-health-concern.org/help-and-advice/factsheets/menopause

iv. https://thebms.org.uk

v. https://www.daisynetwork.org

vi. https://menopausesupport.co.uk

vii. https://www.menopausedoctor.co.uk

viii. www.menopause-exchange.co.uk

ix. www.menopausehealthmatters.com

8.0 Further Reading

i. https://menopausehealthmatters.com/symptoms-of-menopause/

ii. https://menopausehealthmatters.com/menopause-and-weight-gain/

iii. https://menopausehealthmatters.com/menopause-insomnia/

iv. https://menopausehealthmatters.com/menopause-diet/

v. https://menopausehealthmatters.com/menopause-diet/exercise-for-women/

vi. https://menopausehealthmatters.com/hormone-replacement-therapy/

vii. https://menopausehealthmatters.com/menopause-and-weight-gain/osteoporosisand-menopause/

viii. https://menopausehealthmatters.com/heart-disease-in-women/

ix. www.menopauseacademy.co.uk

x. www.thebms.org.uk

xi. www.nhs.uk/conditions/menopause

xii. www.nhs.uk/conditions/early-menopause

xiii. www.nice.org.uk/guidance/ng23/ifp/chapter/About-this-information

Appendix 1 – Managers Guidance

Everyone who is affected is different and, as such, it is difficult to set out specific guidelines. When conversations occur with those who are affected either directly or indirectly, ensure that you:

- allow time and space for the conversation – find an appropriate place where confidentiality can be maintained
- be open to the discussion and encourage the staff member to honestly share their issues
- suggest reasonable adjustments (see below)
- agree any actions and record in a suitable confidential manner
- discuss whether other team members should be informed and who should undertake this
- arrange a follow up meeting at a suitable time and place.

Reasonable Adjustments

The following list of reasonable adjustments have been suggested by the CIPD in their '*A guide to managing menopause at work: guidance for line managers*' (2021):

Sleep disruption and/or night sweats

- Recognise someone may take more short-term absence if they've had a difficult night.
- Consider a change to work patterns or the ability to swap shifts on a temporary basis.
- Carrying out risk assessments and making appropriate adjustments.
- Offer a flexible working arrangement, for example a later start and finish time.
- Where a role permits and the manager can support it the member of staff could work from home for a short period if symptoms have been significant, for example disrupted sleep pattern.

Hot flushes and/or daytime sweats

- Look at ways to cool the working environment, for example provide a fan, move a desk close to a window or adjust the air conditioning.
- Provide easy access to cold drinking water and washrooms.
- Adapt uniforms to improve comfort.
- Limit the time wearing personal protective equipment (PPE) such as face masks (subject to any COVID-secure or other Health and Safety measures required).
- In customer-focused or public-facing roles, it may help to have access to

a quiet room for a short break so as to manage a severe hot flush.

Heavy or irregular periods

- Provide easy access to washroom and toilet facilities.
- Allow for more frequent breaks to go to the toilet.
- Be understanding about someone working from home if they have very heavy bleeding.
- Make sanitary products available in washrooms.
- Make it easy to request extra uniforms if needed.

Headaches and fatigue

- Consider a temporary adjustment to someone's work duties.
- Provide a quiet area to work.
- Provide access to a rest room.
- Offer easy access to drinking water.
- Allow regular breaks and opportunities to take medication.

Muscular aches, and bone and joint pain

- Make any necessary temporary adjustments through review of risk assessments and work schedules.
- Allow someone to move around or stay mobile, if that helps.

Psychological issues (for example loss of confidence, poor concentration, anxiety, and so on)

- Encourage employees to discuss concerns at one-to-one meetings with you and/or occupational health.
- Discuss possible adjustments to tasks and duties that are proving a challenge.
- Address work-related stress by carrying out a stress risk assessment recommended by the Health & Safety Executive.
- Signpost to our Employee Assistance Programme – PAM Assist.
- Identify a supportive colleague to talk to away from the office or work area.
- Allow time when needed, to have some quiet time or undertake relaxation or mindfulness activities.
- Provide access to a quiet space to work or the opportunity to work from home.
- Have agreed protected time to catch up with work.
- Discuss whether it would be helpful for the employee to visit their GP, if they have not already done so.

Other examples of adjustments include:

- Provide private areas for those affected to rest, recover or make a telephone call to access personal or professional support.
- Ensure working time arrangements are flexible enough to meet the needs of menopausal women. For example, they may also need more breaks during the day, or may need to leave work suddenly if their symptoms become severe.

BOARD OF MANAGEMENT

DATE	6 December 2022
TITLE OF REPORT	Acting Principal's Update
REFERENCE	17
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:	•
SUMMARY OF REPORT:	• Credit Targets 2022-23 • His Majesty's Inspectorate of Education (HMIe) Engagement Activities • Collaboration with the Lanarkshire Board • Graduation • Partnership Working • National Meetings

1. **Introduction**

   The purpose of this report is to provide members with information not included on the agenda of the Board Meeting scheduled for 6 December.

2. **Credit Target 2022-23**

   For academic year 2022-23 the College has a core Credit Target of 48,592 with 221 credits allocated for Foundation Apprenticeship programmes. This gives an overall target of 48,812. Members should note that the Scottish Funding Council has agreed a tolerance of plus/minus 2% against this target.
   As of 22 November 2022 there were 3832 enrolled students and 39,966 credits.

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

   HMI Mulholland visited the College on 11 November 2022 as part of his routine engagement activities. During his visit HMI Mulholand held meetings with senior staff, Curriculum Managers and Student Association representatives. The focus of the visit was on the College approach to self-evaluation.

4. **Collaboration with the Lanarkshire Board**

   Both colleges met with Karen Watt, Chief Executive of the Scottish Funding Council, and a number of her senior staff to consider the work of the Lanarkshire Region and its future governance structure.

   The meeting was chaired by R Smith in his role as Chair of the Lanarkshire Regional Strategic Body and was held in the Motherwell Campus of New College Lanarkshire. A note of this meeting is considered elsewhere on the agenda.

   There have been a series of meetings between senior staff at both colleges with a focus on contributing to the contents of the Regional Consolidated Accounts and the development of the Regional Outcome Agreement considered elsewhere on the agenda.

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

5. **Graduation**

   A very successful College Graduation Ceremony was held on 2 November 2022 in Hamilton Town House.

   The Acting Principal attended the New College Lanarkshire Graduation Ceremony on 18 November 2022 at the invitation of Professor Moore.

6. **Partnership Working**

   The Acting Principal attended a number of external meetings including:

- a series of Colleges Scotland policy development events;
- College Employers Scotland meetings;
- College Principal's Group meeting;
- senior staff from Skills Development Scotland;
- meeting Emily's Test Charter Pilot Principals
- meeting with Dr L Cameron, MP; and
- South Lanarkshire Community Planning Partnership Progress Group.

7. **National Meetings**

During the period of this report the Acting Principal attended:
- the Scottish Education Council;
- the national conference of the Community Learning and Development Standards Council; and
- the board of Jobs and Business Glasgow.

8. **Equalities**

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

9. **Risk**

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

10. **Recommendations**

Members are recommended to note the contents of this report.

Board of Management

DATE:	6 December 2022
REFERENCE	18
TITLE OF REPORT:	Internal Audit Annual Report
AUTHOR AND CONTACT DETAILS	Keith McAllister Keith.mcallister @slc.ac.uk
PURPOSE:	To present the annual report of the College's internal audit service provider, Henderson Loggie.
KEY RECOMMENDATIONS/ DECISIONS:	• This report was presented to the November 2022 meeting of the Audit and Risk Committee; it contained a summary of the work undertaken during the year and the findings and recommendations made. • The Committee reviewed the report, noted that there were a number of recommendations and items of good practice, but there were no findings which were graded as high-risk. • It was agreed to accept the report and it was noted that the report would be submitted to the next Board of Management meeting. • It was also noted that the report on Student Activity Data had to be presented to the Board of Management for its approval. • It was noted that the audit of Student Support Funds had not yet been finalised and that this would be presented to the next meeting of the Committee.
RISK	• That the College cannot maintain financial stability. • That there is a failure of Corporate Governance arrangements • That there is a failure of financial controls
RELEVANT STRATEGIC AIMS:	• Highest quality education and support. • Sustainable behaviours.

SUMMARY OF REPORT:	The 2021/22 assignments covered the following areas:
	• Risk Management
	• Cyber Security
	• Health & Safety
	• Student Activity Data
	• Follow Up of previous internal audits
	• Review of progress re the College's Governance Improvement Plan.
	As regards the overall grades applied to the audits reported upon, four were graded as "Satisfactory" and the Student Activity Data audit received an unqualified audit opinion. The Follow Up Report noted that one of the nine recommendations outstanding from prior years would require further action.
	In the summary of the work undertaken for the year, Henderson Loggie stated:
	There were no issues identifying major internal control weaknesses noted from the internal audit work carried out during the year. In general, procedures were operating well in the areas selected, but a few areas for further strengthening were identified and action plans have been agreed to address these issues. The agreed actions will be followed-up as part of our planned activity in 2022/23.
	As regard an overall opinion on the arrangements in place at the College, they stated.
	In our opinion, the College has adequate and effective arrangements for risk management, control and governance. Proper arrangements are in place to promote and secure Value for Money. This opinion has been arrived at taking into consideration the work we have undertaken during 2021/22.

South Lanarkshire College

Annual Report to the Board of Management and the Principal on the Provision of Internal Audit Services for 2021/22

Henderson Loggie

Contents

Annual Report and Opinion

Introduction

1.1 We were appointed as internal auditors of South Lanarkshire College ('College') for the period from 08 November 2021 to 31 July 2025, with the possibility of a further 12 month extension. This report summarises the internal audit work performed during 2021/22.

1.2 An Audit Needs Assessment (ANA), based on the areas of risk that College is exposed to, was developed following discussion with members of the Management Team and the Chair of the Audit and Risk Committee and from a review of various College documents, previous internal audit reports and College's risk registers. This was supplemented by our own assessment of the risks faced by the College. Following on from the ANA, a Strategic Plan was formulated covering the normal three-year internal audit cycle from 2021 to 2024 (Report 2022/01 - Strategic Plan 2021 to 2024 and Internal Audit Annual Plan 2021/22) and this was approved by the Audit and Risk Committee on 9 May 2022 .

1.3 The internal audit work undertaken in the year followed that set out in the Strategic Plan for 2021/22, with the exception of the work on Bursary, Childcare and Hardship Funds and Education Maintenance Allowance, which is ongoing but has not yet been concluded. In addition an additional review of corporate Governance, focusing specifically on the governance improvement plan, was added to the 2021/22 programme utilising one day accelerated from the 2022/23 programme of work. This change to the programme was agreed at the meeting of the Audit and Risk Committee on 5 September 2022.

1.4 The reports submitted during 2021/22 are listed in Section 2 of this report and a summary of results and conclusions from each finalised assignment is given at Section 3.

1.5 An analysis of time spent against budget is included at Section 4.

Public Sector Internal Audit Standards (PSIAS) Reporting Requirements

1.6 College has responsibility for maintaining an effective internal audit activity. You have engaged us to provide an independent, risk-based assurance and consultancy internal audit service. To help you assess that you are maintaining an effective internal audit activity we:

- Confirm our independence;
- Provide information about the year's activity and the work planned for next year in this report; and
- Provide quality assurance through self-assessment and independent external review of our methodology and operating practices.

1.7 Self-assessment is undertaken through:

- Our continuous improvement approach to our service. We will discuss any new developments with management throughout the year;
- Ensuring compliance with best professional practice, in particular the PSIAS;
- Annual confirmation from all staff that they comply with required ethical standards and remain independent of clients;
- Internal review of each assignment to confirm application of our methodology which is summarised in our internal audit manual; and

Public Sector Internal Audit Standards (PSIAS) Reporting Requirements (continued)

1.8   External assessment is built into our firm-wide quality assurance procedures. Henderson Loggie LLP is a member of Prime Global, a global association of independent accountancy firms. Continued membership of Prime Global is dependent on maintaining a high level of quality and adhering to accounting and auditing standards in the provision of our services. Annual quality reviews are conducted to confirm our continuing achievement of this quality. The independent review conducted by MHA Macintyre Hudson in March 2019 included our internal audit service. Overall, the review confirmed that the firm's policies and procedures relating to internal audit were compliant with the PSIAS in all material respects.

1.9   In the intervening years between formal external assessment against PSIAS we conduct our own self-assessment annually. The result of our latest self-assessment, conducted in April 2022, confirms that our service is independent of College and continues to comply with the PSIAS.

Significant Issues

1.10   There were no issues identifying major internal control weaknesses noted from the internal audit work carried out during the year. In general, procedures were operating well in the areas selected, but a few areas for further strengthening were identified and action plans have been agreed to address these issues. The agreed actions will be followed-up as part of our planned activity in 2022/23.

Opinion

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

Reports submitted

Number	Title	Overall Grade	Recommendations	Priority 1	Priority 2	Priority 3
2022/01	Strategic Plan 2021 to 2024 and Internal Audit Annual Plan 2021/22	**N/A**	N/A	N/A	N/A	N/A
2022/02	Risk Management	**Satisfactory**	4	-	-	4
2022/03	Cyber Security	**Satisfactory**	10	-	1	9
2022/04	Health and Safety	**Satisfactory**	5	-	-	5
2022/05	Credits	**Audit opinion unqualified**	5	-	-	5
2022/06	Follow Up	**N/A**	1 of the 9 recommendations reviewed will require further action	-	-	1
2022/07	Corporate Governance – Governance Improvement Plan	**Satisfactory**	2	-	-	2

Overall gradings are defined as follows:

Good	System meets control objectives.
Satisfactory	System meets control objectives with some weaknesses present.
Requires improvement	System has weaknesses that could prevent it achieving control objectives.
Unacceptable	System cannot meet control objectives.

Recommendation grades are defined as follows:

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

Summary of Results and Conclusions

2022/01 – Strategic Plan 2021 to 2024 and Internal Audit Annual Plan 2021/22

The purpose of this document was to present for consideration by management and the Audit and Risk Committee the final annual operating plan for the year ended 31 July 2022. The plan is based on the proposed allocation of audit days for 2021/22 as set out in the Internal Audit Strategic Plan 2021 to 2024. The preparation of the Strategic Plan involved dialogue with senior management and the Chair of the Audit and Risk Committee.

2022/02 – Risk Management   **Final Issued – August 2022**   **Overall grade: Satisfactory**

This audit covered the risk management framework, which encompasses all risks on South Lanarkshire College's ('the College') Risk Register. As a result, no linkage from the audit work to specific risks has been made.

The table opposite notes each separate objective for this review and records the results.

Strengths

- The College has established strategic risk management and reporting arrangements. The risk management framework is documented in the College's Risk Management Policy and Procedures (approved by the Board in March 2022). These are available on a dedicated risk management page on the College's public website.
- The Colleges Combined Financial Regulations (April 2022) also note the arrangements for financial risk management and the duties established for budget holders and management review of risk during project appraisals.
- There is a Strategic Risk Register that is managed by the Head of Finance and reported quarterly to the Audit and Risk Committee (last reported in May 2022) and Board of Management twice a year (last reported in March 2022).
- There are also external risk reporting arrangements established to the Lanarkshire Regional Board via its Lanarkshire Audit and Risk Committee. This group comprises of representatives from New College Lanarkshire, South Lanarkshire College, and the Regional Board to ensure sharing of information and action planning. The College's Strategic Risk Register was last Reported to the group in May 2022.
- Discussions with the Leadership Team noted that roles and responsibilities in relation to risk management are understood and embedded. Risk reporting is also a set agenda item at the Senior Leadership Team meetings.
- The College's Strategic Risk Register documents the risks with appropriate narratives to understand their implications. They are aligned to the College's Quality Indicators and are risk scored (inherent and residual) using a four-by-four matrix. Risk escalation and reporting is established based on level of risk (high, medium, and low).

The objective of this audit was to obtain reasonable assurance that:	
1. There is a process in place to provide reasonable assurance to the Board and to the Principal in relation to the declaration on risk required for the financial statements	**Satisfactory**
2. The process in place applies good practice in risk management	**Satisfactory**
3. Key risks have been identified and are being appropriately controlled, mitigated, reported, and discussed at appropriate levels of management and the Board	**Satisfactory**
Overall level of Assurance	**Satisfactory**

2022/02 – Risk Management (continued)

Strengths (continued)

- The Audit and Risk Committee and Finance and Resources Committee play an active role in the scrutiny of risks and review of assurance arrangements. This is supported by an Internal Audit Strategic Plan.
- Operational risk management arrangements have been developed and training with operational leads held by the Depute Principal in September 2021.
- Operational areas use an Operational Risk Register that is part of the AIR (Action, issue, and risk) Log that adopts the same format as the College's Strategic Risk Register.

Areas for improvement

- Currently, all strategic risks have a low-risk appetite and actions aim to lower all to green (i.e. low risk). This results in all having equal priority to the College. While the generalised low appetite around financial risks is appropriate, this may not align to higher risk areas relating to projects and change management. The College's risk appetite for differing risk categories requires to be set by the Board. This will ensure that resources (people, time, and money) can be aligned to actions to mitigate risks that are approaching or exceeding risk appetite. Risk appetite should also be reviewed annually, or where there are significant changes in Board membership.

2022/03 – Cyber Security   **Final Issued – August 2022**   **Overall grade: Satisfactory**

This audit included a review of the College's current position with regard to information and cyber security in order to advise on areas that should be addressed in line with the latest guidance produced by the National Cyber Security Centre (NCSC), the UK Government's national technical authority for information assurance.

The table opposite notes each separate objective for this review and records the results.

Strengths

- a risk management regime has been established, which includes identifying information / cyber security as key strategic risks, and there are structures in place which act as appropriate bodies for evaluating and monitoring information security risks within the College.
- a quarterly security review is conducted of the College IT environment which includes vulnerability scans of the firewall and internal network to identify vulnerabilities and exploits.
- a baseline security build for workstations, servers, firewalls, and routers is in place.
- hardware and software inventories have been created.
- processes are in place for applying updates and patches to all devices connected to the network.
- the IT architecture protects the network through use of firewalls and segregation prevents direct connections to untrusted external services and protects internal IP addresses.
- management of user accounts is linked to the organisation's starter, leaver and change of role procedures.
- administrator access to network components is carried out over dedicated network infrastructure and secure channels using protocols that support encryption.

The objective of this audit was to obtain reasonable assurance that:	
The internal controls in place which ensure that the security of the IT network, the configuration of key elements of IT infrastructure which protect access to data, plus the policy and procedures giving guidance as to how security should be managed by both the IT department and users is in line with the NCSC 10 Steps to Cyber Security guidance.	**Satisfactory**
Overall level of Assurance	**Satisfactory**

2022/03 – Cyber Security (Continued)

Strengths (Continued)

- data in transit is protected through encryption and secure communication channels.
- network hardware/endpoints are protected by an antivirus solution, which automatically scans for malware.
- good practice controls in user authentication are being maintained which support remote working for users whilst maintaining the security of the ICT infrastructure.
- The College subscribes to HE/FE Shared Technology & Information Services (HEFESTIS) which provides the College with access to information security expertise and advice and guidance on the latest cyber threats and development of policies and procedures.

Weaknesses and Opportunities

- Using the latest guidance available from the NCSC we identified opportunities where controls could be strengthened, which are discussed with the main text of this report. Implementation of the recommendations raised in this report will reduce the organisation's current risk position; reinforce the preparations for Cyber Essentials Plus certification and will enhance the organisation's ability to manage cyber security risks on an on-going basis.

2022/04 – Health and Safety   **Final Issued – August 2022**   **Overall grade: Satisfactory**

This audit reviewed the systems in place for management of Health and Safety.

The table opposite notes each separate objective for this review and records the results.

Strengths

- Through our discussions with the Depute Principal and the Head of Facilities and through our review of the Occupational Health and Safety Policy ('the Policy') we confirmed that the College appoints a competent person, which fulfils the requirements set out within the Management of Health and Safety at Work Regulations 1999;
- Specific external expertise has been brought into the College to assist with the review of the Occupational Health and Safety Policy and the supporting policy and procedural framework;
- The current approved version of the Occupational Health and Safety Policy, and related documentation, is comprehensive and fit for purpose and the Policy is readily accessible via the staff portal and the Staff handbook lists of all of the policies and procedures;
- The Policy is currently undergoing a significant review, led by the external Health and Safety Advisor, in order to streamline the policy and make it more accessible and user friendly;
- A step-by-step risk assessment process is included within the Risk Assessment Form and Action Plan, which is appended to the Occupational Health and Safety Policy;
- A specific Health and Safety policy amendment – COVID 19 was issued in September 2020 to reflect the changes to the College operations arising from the COVID-19 pandemic;
- Consistent application and prominent display of completed risk assessments was observed during our visit to the College;

The objective of this audit was to obtain reasonable assurance that:	
1. A competent person is in post, within the meaning of Regulation 7 of the Management of Health and Safety at Work Regulations 1999, with a remit to lead on health and safety across the organisation.	**Good**
2. A Health and Safety Policy, and documented procedures, are in place which have been communicated to all relevant staff.	**Satisfactory**
3. A formal Health and Safety risk identification and assessment process is in place and is operating effectively.	**Good**
4. A Health and Safety training programme has been established, which includes induction training, refresher training and training for new equipment and legislation.	**Satisfactory**
5. There is regular monitoring of Health and Safety systems to ensure that they are functioning effectively including Health and Safety audits, carried out either internally or by external agencies such as the Health and Safety Executive.	**Satisfactory**
6. There is regular reporting on Health and Safety matters to senior management and to Committee.	**Satisfactory**
Overall level of Assurance	**Satisfactory**

2022/04 – Health and Safety (Continued)

Strengths (Continued)

- Risk assessments are routinely updated during the Summer recess with input provided from the team working in the relevant area to ensure that risks are properly discussed and understood. These risk assessments are submitted to the Head of Facilities for review and sign off before they are finalised and displayed;
- All staff are required to complete an induction checklist, which contains specific requirements around health and safety training, and a reminder email is issued by HR if this induction checklist is not signed off as completed within two weeks and returned to HR within three months;
- Training on health and safety is available via the e-learning platform and staff have protected staff development time to complete this training activity, with completion rates monitored by HR;
- During academic session 2021/22 there was a particular focus around training for Mental Health First Aiders. In addition, we confirmed that, where relevant, COSHH training has been provided by equipment suppliers to ensure that equipment is used in line with manufacturers guidelines and manual handling training has been provided for specific members of staff;
- A weekly inspection rota is in place which ensures coverage of the entire College in a two-month cycle. These "walkabouts" involve trade union representation and the results of these inspections are captured on a weekly form and issues are flagged to the relevant head of department as the person responsible for arranging remedial action;
- A Health and Safety Committee is in place which allows two-way communication around health and safety issues between Facilities and teaching/no-teaching areas;
- A number of managers highlighted the good working relationship with Facilities and the positive "tone from the top" around the importance of maintaining good behaviours around health and safety.
- A Health and Safety Update is provided by the Depute Principal to each meeting of the Human Resources Committee.

2022/04 – Health and Safety (continued)

Weaknesses

- It was observed that the Occupational Health and Safety Policy, and related procedures, and guidance are currently under review. However, a Timetable for Policy / Guidance Approval has not yet been developed, which sets out the anticipated timelines for consideration and approval of each document listed;
- Although there is an established process in place for reporting and recording accidents and incidents it was apparent from our discussions with managers that the reporting of near misses is not operating in practice, as described within the Policy;
- During our discussions with managers it became apparent that staff would welcome refresher training on health and safety to coincide with the launch of the revised Occupational Health and Safety Policy;
- A master spreadsheet has been developed, which is used as the mechanism to record all issues highlighted through the "walkabouts" and to monitor the resolution of issues identified. This master spreadsheet has not been updated for several months and therefore the mechanism to show that the issues identified have been dealt with is not functioning as intended; and
- It was observed that the Health and Safety Update presented to the February 2022 meeting of the Human Resources Committee provided a summary of the health and safety performance during the year. However, it did not set out the priorities and targets for health and safety for the coming year

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Annual Internal Audit Report 2021/22

2022/05 – 2021/22 Student Activity Data

Final Issued – November 2022

In accordance with the Credits Audit Guidance we reviewed and recorded the systems and procedures used by the College in compiling the returns and assessed and tested their adequacy. We carried out further detailed testing, as necessary, to enable us to conclude that the systems and procedures were working satisfactorily as described to us.

Detailed analytical review was carried out, including a comparison with last year's data, obtaining explanations for significant variations by Price Group.

Our testing was designed to cover the major requirements for recording and reporting fundable activity identified at Annex C to Credits Audit Guidance, COVID-19 related guidance at Annex D and the key areas of risk identified in Annex E.

This is the first year that we have carried out the Credits audit for the College. For academic year 2021/22 we documented the systems and procedures used in the completion of the returns. We then carried out detailed testing, as necessary, to enable us to conclude that the systems and procedures were working satisfactorily. Detailed analytical review was carried out, including a comparison with last year's data, and obtaining explanations for significant variations by Price Group.

Our report was submitted to the SFC on 18 October 2022. We reported that, in our opinion:

- The student data returns have been compiled in accordance with all relevant guidance;
- Adequate procedures are in place to ensure the accurate collection and recording of the data; and
- On the basis of our testing we can provide reasonable assurance that the FES return contains no material mis-statement.

Five recommendations were made in our internal audit report, which direct the College as follows:

1. In-year and end of year FES data integrity checks should include a review of non-vocational programmes to ensure the Credits claim is accurate.
2. To ensure that appropriate superclass codes are assigned to courses in line with the Credits guidance.
3. In-year and end of year FES data integrity checks should include a review to ensure that Credits are not claimed for more than one full-time course per year in line with the Credits guidance.
4. For ESF students, ensure that Credits are only claimed for completed modules / units.
5. The College should ensure that evidence of progression is available for all students enrolled on open / distance learning programmes where Credits are being claimed.

2022/06 – Follow Up Reviews

Final Issued – November 2022

The Internal Audit Plan for 2021/22 included two days for a follow-up of the recommendations made in Internal Audit reports issued during 2020/21 by the previous internal auditors, AZETS. These were:

- Follow Up 2020/21
- Curriculum Planning 2020/21

The objective of each of our follow-up reviews is to assess whether recommendations made in previous reports have been appropriately implemented and to ensure that, where little or no progress has been made towards implementation, that plans are in place to progress them.

The College has made very good progress in implementing the recommendations followed-up as part of this review with eight of nine (89%) of the recommendations reviewed categorised as 'fully implemented' and the remaining single recommendation (11%) assessed as 'partially implemented'. This partially implemented recommendation will be subject to follow-up at a later date.

From Original Reports			*From Follow-Up Work Performed*				
Area	Rec. Priority	Number Agreed	Fully Implem-ented	Partially Implem-ented	Little or No Progress Made	Not Past Agreed Completion Date	Considered But Not Implemented
Follow Up 2020/21	4	-	-	-	-	-	-
	3	-	-	-	-	-	-
	2	4	3	1	-	-	-
	1	1	1	-	-	-	-
Total		**5**	**4**	**-**	**-**	**-**	**-**
Curriculum Planning 2020/21	4	-	-	-	-	-	-
	3	-	-	-	-	-	-
	2	3	3	-	-	-	-
	1	1	1	-	-	-	-
Total		**4**	**4**	**-**	**-**	**-**	**-**
Grand Totals		**9**	**8**	**1**	**-**	**-**	**-**

2022/07 – Corporate Governance – Governance Improvement Plan   Final Issued – November 2022   Overall grade: Good

This was a focused review to independently verify the accuracy of the status attached to each of the actions in the Governance Improvement Plan developed by the College.

The table opposite notes each separate objective for this review and records the results.

Strengths

- Our review of the comprehensive bank of evidence presented confirms that 13 of the 16 actions on the Governance Improvement Plan can be classified as completed;
- Since the production of the August 2022 iteration of the Governance Improvement Plan progress has been made on two of the improvement actions (11 and 13) which would improve the RAG status from the previous amber status;
- For action point 11, it is our view that the production of a schedule, which tracks the status of College policies and procedures, fulfils the requirement to review College policies, albeit that the work to update these policies is an ongoing task; and
- For action point 13 we have confirmed that the first of the bi-annual stakeholder newsletter was issued in August 2022, following a stakeholder analysis exercise. In our view this completes this action.

Opportunities for improvement

- With regard to Improvement Point 6, which relates to the creation of a development plan for Board members, we were satisfied that agendas for training events, which include staff and student board member presentations, have been produced and that a refreshed skills matrix and CPD log has been developed. It is our view that this delivers the requirements set out within the original improvement point. However, it was noted that although a process is now in place, to identify the development needs of Board members, the level of engagement by some Board Members is impacting on the effectiveness of these arrangements. Therefore, further work to encourage a higher level of engagement would help to deliver the intended benefits; and
- Given the relatively small number of improvement actions ongoing within the Governance Improvement Plan we would recommend that the remaining actions are subsumed into a rolling Governance Action Plan, which will be topped up by any actions arising from the annual self-evaluation exercise conducted against the Code of Good Governance for Scotland's Colleges, and any actions arising from the periodic externally facilitated effectiveness reviews. The status of the rolling Governance Action Plan should be reported to the Board of management annually.

The objective of this audit was to obtain reasonable assurance that:	
1. To examine the evidence which supports the status attached to each of the actions in the governance Improvement and confirm that the status attached to each of the actions is accurate.	**Good**
Overall level of Assurance	**Good**

Time Spent - Actual v Budget 2021/22

	Report number	Planned days	Actual days feed	Days to fee at November 2022	Days to spend / WIP	Variance
Organisational issues						
Risk Management	2022/02	5	5	-	-	-
Corporate Governance – Governance Improvement Plan	2022/07	-	-	1	-	1
Information & IT						
Cyber Security	2022/03	5	5	-	-	-
Reputation						
Health & Safety	2022/04	5	5	-	-	-
Other Audit Activities						
Management and Planning	N/A	3	2	2	-	-
Credits Audit	2022/05	6	-	6	-	-
Bursary, Childcare & Hardship		5	-	-	5	-
EMA Audit		2	-	-	2	-
Follow-Up Reviews	2022/06	2	-	2	-	-
ANA	2022/01	2	2	-	-	-
		‾‾‾‾	‾‾‾‾	‾‾‾‾	‾‾‾‾	‾‾‾‾
Total		**35**	**19**	**10**	**7**	**1**
		======	====	====	=====	======

Operational Plan for 2022-23

5.1   Following our re-appointment as internal auditors for the period from 1 April 2022 to 31 March 2024 we prepared an Audit Needs Assessment and Strategic Plan for 2021 to 2024 (Internal Audit report 2022/1, issued 29 April 2022.

5.2   An extract from the Strategic Plan, in relation to 2022/23, is attached.

5.3   As highlighted in paragraph 1.3, one day has been accelerated from the Corporate Governance budget included in the 2022/23 programme into the 2021/22 programme to allow the focused piece of work around the Governance Improvement Plan to be completed.

Proposed Allocation of Audit Days 2022/23

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

Proposed Allocation of Audit Days (continued)

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

Key

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

Priority: H – High; M – Medium; L – Low

Henderson Loggie

DATE	December 2022
TITLE OF REPORT	Quarter 1 2022/23 Management Accounts
REFERENCE	Item 19A
AUTHOR AND CONTACT DETAILS	Keith McAllister, Head of Finance keith.mcallister@slc.ac.uk
PURPOSE:	To inform the Board of the first quarterly forecast for the year to 31st July 2023
KEY RECOMMENDATIONS/ DECISIONS:	• The Board is asked to note the financial projection for the year at this point and the narrative that supports the figures. • The Board is also asked to note the cashflow situation (see Board metrics paper).
RISK	• That the College cannot demonstrate financial sustainability.
RELEVANT STRATEGIC AIM:	• Sustainable Behaviours
SUMMARY OF REPORT:	• It is assumed that the College will reach its core credit target and that core funding will not be compromised, although there is a 2% tolerance being allowed by SFC this year. • Albeit this is at a very early stage in the year, a combination of factors as noted in the commentary indicate that the management accounts deficit may be £120k higher than predicted. • The cash position at the College will be a mitigation in the financial performance of the year.

Income

1. The forecast assumes that the College will reach its credit target, or be within the acceptable SFC tolerance, and all grant in aid will be receivable. Note that there is no ESF target for this year. The College will reach its initial core activity target.

2. Flexible Workforce Development Funds (FWDF) activity is proving difficult to deliver; clients are signing up for training but not following this through due to issues with releasing staff. A conservative estimate of income has been incorporated to flag up the extent of the difficulty. The College is aware that there is some doubt as whether there will be a grant allocation to support FWDF for academic year 2022/23 as a consequence of the need for the Scottish Funding Council to make in-year savings. Therefore, it is considering what action it should take if this proves to be the case.

3. The residual Employability Fund activity in 2022/23 will meet target.

4. The College expects income from HN courses to decrease from that anticipated, reflective of student numbers on those courses.

5. The College has been successful in a bid for funds to invest in solar panels for the main campus, but an offset to that is that a possible shortfall in funds from other areas. This, however, is being monitored with a view to focussing on other opportunities.
6. Other income will be marginally over budget.

Payroll

7. Based on the payroll for the first there months of the year, salaries are on target, but it should be noted that temporary staffing over this period is historically low and this the situation at six months will be a better indicator of performance.

Non-Salary Expenditure

8. Property costs are very much dependent on market forces as regards utility costs. A provision has been made to incorporate savings via procurement, but also reflects the cost of installing the solar panels, this being a contra to income as above.
9. Net depreciation should be as budget based on predicted asset purchases.
10. Central services are assumed to be on Budget, with the proviso that investigation costs do not continue to be incurred beyond the end of calendar year 2022.
11. Marketing has been concentrated on less expensive social media outlets and is anticipated to be on Budget.
12. The allocation of Academic Supplies reflects a blended approach to learning, with investment in digital provision being funded centrally. It is anticipated that costs will be on Budget.
13. Cross College costs incorporate any subsidy of the refectory due to ongoing reduced numbers on campus. Budget in this area also incorporates the cost of the awards ceremonies and on-site College events, but the COVID situation has resulted in these events being pared back considerably.

Management Forecast Year to 31st July 2023

	Note	12 Months to July 2023		
		2022/23		
		Forecast	Budget	Variance
		£'000	£'000	£'000
INCOME				
SFC - Grant in Aid		13,724	13,724	0
SFC - Activity-Related		0	0	0
SFC - Capital		366	366	0
SFC - Backlog Maintenance		67	67	0
SFC - Salaries Contribution		239	239	0
SFC - Other		81	81	0
Total SFC income	**1**	**14,477**	**14,477**	**0**
FWDF	2	125	200	(75)
SDS Employability Fund	3	20	20	0
Fees	4	1,990	2,040	(50)
Alternative Funding	5	1,125	1,025	100
Other income	6	60	54	6
Total Income		**17,797**	**17,816**	**(19)**
EXPENDITURE				
Wages & Salaries				
Recurrent		13,867	13,867	0
SFC - salaries contribution		239	239	0
Pension Provision		30	30	0
	7	14,136	14,136	0
Non Salary Expenditure				
Property	8	1,169	1,069	(100)
SFC - Capital	Contra	433	433	0
SFC - Other	Contra	81	81	0
Net Depreciation	9	620	620	0
Central Services	10	903	903	0
Marketing	11	150	150	0
Academic supplies	12	878	878	0
Cross College Costs	13	86	86	0
		4,320	4,220	(100)
Total Expenditure		18,456	18,356	(100)
Surplus / (Deficit)		**(659)**	**(540)**	**(119)**

		2019-20		2020-21		2021-22		2022/23	
		SOUTH LANARKSHIRE COLLEGE KEY PERFORMANCE INDICATOR TABLE 2022-23							
No.	**Key Strategic Indicator**	Target	Actual	Target	Actual	Target	Actual	Target	Actual
Activity Levels									
1	The total number of credits delivered	-	50,477	-	49,492	50,035	49,981	48,814	-
2	The volume of core credits delivered	-	42,626	-	42,963	46,895	46,815	48,814	-
3	The volume of ESF credits delivered	-	7,851	-	6,529	3,140	3,166	-	-
Learner Success									
Overall learner success rate (incorporates level, mode, withdrawal and partial success measures)									
		2019-20		**2020-21**		**2021-22**		**2022-23**	
4	**FE Full Time**	Target	Actual	Target	Actual	Target	Actual	Target	Actual To Date
	Learner Success	-	71.1%	-	60.7%	-	58.6%	63%	-
	Partial Success	-	11.7%	-	16.3%	-	20.4%		-
	Early Withdrawal	-	8.5%	-	5.12%	-	8.7%		8.3%
	Further Withdrawal	-	8.7%	-	14.5%	-	12.5%		0.8%
	Into Employment	-	3.2%	-	5.7%	-	3.8%		1.0%
5	**FE Part Time**	Target	Actual	Target	Actual	Target	Actual	Target	Actual To Date
	Learner Success	-	77.2%	-	78.9%	-	74.0%	76%	-
	Partial Success	-	12.1%	-	12.6%	-	10.0%		-
	Early Withdrawal	-	3.9%	-	2.5%	-	3.2%		1.0%
	Further Withdrawal	-	6.0%	-	4.9%	-	4.4%		0.2%
	Into Employment	-	1.2%	-	0.92%	-	0.8%		0.2%
6	**HE Full Time**	Target	Actual	Target	Actual	Target	Actual	Target	Actual To Date
	Learner Success	-	77.7%	-	77.6%	-	68.1%	75%	-
	Partial Success	-	9.1%	-	6.6%	-	10.1%		-
	Early Withdrawal	-	5.2%	-	4.0%	-	6.1%		5.0%
	Further Withdrawal	-	7.7%	-	11.3%	-	15.5%		0.5%
	Into Employment	-	2.8%	-	3.6%	-	4.0%		0.8%
7	**HE Part Time**	Target	Actual	Target	Actual	Target	Actual	Target	Actual To Date
	Learner Success	-	84.9%	-	85.7%	-	72.0%	82%	-
	Partial Success	-	6.2%	-	8.2%	-	9.9%		-
	Early Withdrawal	-	3.9%	-	2.8%	-	3.2%		7.8%
	Further Withdrawal	-	4.5%	-	2.63%	-	3.9%		0.4%
	Into Employment	-	1.3%	-	0.6%	-	1.1%		0.4%
FINANCE									
		Budget for the Year £				**Forecast for the Year as at Quarter 1 £**			
8	Income	£17,816k				£17,797k			
9	Expenditure	£18,356k				£18,456k			
10	Surplus / (Deficit)	£(540)k				£ (659)k			
11	Cashflow Forecast at 31 July 2023	£1,873k				£2,451k			
12	Non-SFC Income as a % of turnover	18.75%				18.65%			
13	Staff Costs as a % of turnover	79.34%				79.43%			

HR				
		Quarterly Staff Absence		
14	Long Term Sickness (any absence over 3 weeks)	3.16%		
15	Short Term Sickness	0.7%		
16	Average Working Days Lost Per Headcount	4.59%		
		Quarterly Headcount Movement	Quarterly Headcount Year to Date	
17	Staff Headcount Actual	371	371	
18	3rd Party	3	4	
19	New Hires	16	23	
20	Leavers	15	27	

BOARD OF MANAGEMENT

DATE	6 December 2022
TITLE OF REPORT	Curriculum, Quality and Development Committee Chair's Report
REFERENCE	22b
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 from the meeting held on 14 November 2022.
KEY POINTS	Board Members are asked to note the following updates from the reports presented for discussion and information. ***Student Association Report*** • Good meeting with the College's HMI which has already progressed a number of actions from last year's progress visit. • Fresher's Week was very successful. • Excellent initiatives to support student poverty and cost of living crisis were noted such as free breakfast and lunch provision, foodbank vouchers and promotion of part time employment opportunities. • Welcomed pupils and teachers from Ducanrig High School and presented on gender-based violence. • Other activities to date include a new partnership with the National society of Apprentices, Mental Health & Well-being Support, a Step into STEM event, partnership activity with their NCL sister Association, the Community Open day on 20th August and on the impact on students of the newly redecorated and welcoming Association Offices. ***Curriculum, Quality and Development Update*** • The Committee noted that the FES Return for 2021/2022 had been completed and that satisfactory progress was being made with the 2022/23 credit targets and recruitment. Following discussion as to the mixed recruitment over HN provision, the Committee was advised that in appropriate cases some of the credits may be transferable and that this was being followed up • The College was working to re-engage with the Energy Skills Partnership – a Scotland Excel initiative – and the Committee encouraged the College to work with schools

where college staff skills could supplement teacher skills in school.

- The committee was also pleased to note that EQA activity had identified 21 examples of good practice and that the Alternative Funding Department are currently mapping full cost Flexible Workforce Development Fund activity as part of a curriculum refresh.
- The Committee also commented favourably on the standard of the tables and data provided.

Quality Processes 2022-23

- The Committee was briefed on the refreshed Quality processes.
- The Committee considered and noted the College approach to evaluation and enhancement activity – which it especially noted included both the student voice and course team evaluation.
- It was clear that the refreshed approach ensured improvement working relationships with class representatives as well as the Student Association.

Regional Outcome Agreement

- As part of the transitional arrangements for the academic year 2022-23 guidance for the annual outcome agreement was published in October 2022.
- The College would work with New College Lanarkshire to complete the document and would be approved by the Board in December 2022.
- The College's self-evaluation for academic year 2021-22 would also be completed and approved at this time.

Developing the Young Workforce Update

- The College Funding Allocation had been reduced by half to 221 credits for the current academic year but this still allowed for the Creative & Digital Media Framework to continue
- Senior Phase Independent Options are still being offered to St Ninians High School
- There is still a small number of infill students from East Renfrewshire
- Engagement with schools is ongoing to showcase SLC wherever possible
- The College has re-engaged with regional stakeholders post COVID
-

Marketing and Communications Update

- Both the Community Open day and the Graduation had been highly successful.
- Social Media & website analytics performance were being and work was in hand in respect of used as measures of brand performance.

	• The refreshed brand had been launched in October and work was in hand to launch a new website. • There are planned campaigns to support recruitment as from January 2023 and into academic year 2023/2024 **National Union of Students Impact and Plan for Action Report 2022-23** • The Committee noted and supported the work of NUS to date and noted in particular the "Broke Report" on the deep rooted inequalities facing students. • The Committee was particularly supportive of support for students to help them survive the cost of living crisis which affects all four nations of the UK.
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BOARD OF MANAGEMENT

DATE	December 2022
TITLE OF REPORT	Human Resources Committee Chair's Report
REFERENCE	22d
AUTHOR AND CONTACT DETAILS	Chris McDowall chris.mcdowall@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 Menopause Policy, already agreed nationally. Board Members are asked to note the following updates from the reports presented for discussion and information. ***Employee Code of Conduct*** - The College is currently developing it's first employee code of conduct. The HR Committee was discussed details of the draft. - The draft Code includes sections on: governance; standards of work; IT & data; compliance; health & safety; grievance and disciplinary. ***Support Staff Pay Claim*** Support staff pay claim has been received. It is aligned with the value of the lecturing staff pay claim, with the additional request of a number of benefits, such as: additional leave, payment of homeworking; reduced working week, etc. ***Job Evaluation Pay & Grading*** An update on the support staff job evaluation process was discussed. Discussions noted that the College has engaged with a third party vendor in order to re-establish a local pay & grading system. ***Equality Outcomes*** An update on the progression of the Equality Outcomes was provided, in the format previously agreed. All Equality Outcomes were discussed during a workshop event with agreed processes for each outcome. It is noted that this is part of the Public Sector Equality Duty.

Employee Benefits
The College is introducing a new benefit which will allow employees to get a discount from multiple retails for day-to-day items (e.g. from Supermarkets) and infrequent purchases (e.g. from electronic retailers). There is no cost to the College for introducing this.

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

Quarterly Health & Safety Report
- The intrusive building condition report is in the planning stage following an engineers' review.
- Refresher health and safety training is being planned for the next period.
- There has been one RIDDOR reported incident due to the absence period being greater than seven days.
- First aid procedures have been updated and will be considered at the next Health & Safety Committee on 15 November 2022. There is also a new duty First Aid rota in place.

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 double the average trend – this has reduced.
- Reviewed the departmental absence data.
- Provided with a further breakdown of data on the Staff Absence Figures.

SPPA Pension Return Status Update
- Noted progression of the SPPA pension reporting in line with the planned proposal.

SFC Staffing Return
- Noted the staff data provided to the Scottish Funding Council.

CIPD Report – Four-Day Working Week
Noted the report from the Chartered Institute of Personnel and Development on the 4-Day Working Week.

BOARD OF MANAGEMENT

DATE	6 December 2022
TITLE OF REPORT	Scottish Funding Council (SFC): Strategic Plan 2022-27
REFERENCE	23a
AUTHOR AND CONTACT DETAILS	Alan Sherry Alan.Sherry@slc.ac.uk
PURPOSE:	To provide members with an overview of the SFC Strategic Plan 2022-27
KEY RECOMMENDATIONS/ DECISIONS:	• Members are recommended to note the contents of this report. • Note the contents of the SFC Strategic Plan 2022-27 • Require the Acting Principal to take account of the SFC Strategic Plan 2022-27 with the development planning process of the College.
RISK	• There is a risk that the Board of Management will fail to develop appropriate Strategic Priorities if it does not consider the SFC Strategic Plan 2022-27
RELEVANT STRATEGIC AIM:	• Successful Students • Highest Quality Education and Support • Sustainable Behaviours
SUMMARY OF REPORT:	• The SFC plan considers the Transition to Net Zero and has also set four objectives: Enabling people to learn and flourish, Generating new ideas and diffusing knowledge, Building a responsive, coherent, sustainable system; and Making SFC and excellent organisation. • It also considers themes such as the interests of current and future students; equality, diversity and inclusion; and the importance of place in the college and university sectors. • The monitor delivery the SFC will redevelop a Performance Management Framework. It is unclear whether this will replace the role currently conducted by His Majesty's Inspectors of Education.

1. Introduction

As members will be aware the Scottish Funding Council (SFC), on a five-yearly cycle produces a Strategic Plan. The Strategic Plan for the period 2022-27 has been published recently and is available on www.sfc.ac.uk. In addition, members may wish to consider this refreshed Strategic Plan with the *SFC Coherence and Sustainability: A Review of Tertiary Education and Research* published in June 2021. This document is also available on the SFC website.

The purpose of this report is to provide members with an overview of the SFC Strategic Plan 2022-27.

2. Scottish Funding Council Strategic Plan 2022-27.

The SFC Strategic Plan has been developed within the context of a rapidly changing environment which presents a series of challenges and opportunities. The Funding Council recognises that it is necessary to respond not only to the Transition to Net Zero but that it must support Scotland in the development of a fairer and more inclusive economy. In addition, this transformation requires to take place in an evolving post-pandemic environment, major reform to the Scottish Education System and at a time of likely austerity in the Scottish Public Sector.

i) **Key Objectives**
   In these circumstances, the Funding Council has set itself the following four objectives supported by five underpinning priorities in each area.
   These objectives are:
   - Enabling people to learn and flourish;
   - Generating new ideas and diffusing knowledge;
   - Building a responsive, coherent, sustainable system; and
   - Making SFC and excellent organisation.
   SFC also intends to embed eight themes within these objectives and associated priorities.

ii) **Themes**
   These themes include:
   - the interests of current and future students;
   - equality, diversity and inclusion; and
   - the importance of place in the college and university sectors.

iii) **Delivering Framework**
   To monitor the delivery of the Strategic Plan the Funding Council is re-developing a Performance Management Framework which will align fully with the National Performance Framework and the United Nations Sustainable Goals. A new evaluation function will be created with SFC which will utilise both externally commissioned and in-house capabilities. It is unclear at this stage as to whether this proposed new function will replace the role conducted currently by His Majesty's Inspectors of Education.

3. Next Steps

The College will consider the objectives and priorities set out in the SFC Strategic Plan 2022-27 when proposing revised strategic priorities to the Board in June 2023.

4. Equalities

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

5. Risk

There is a risk that the Board of Management will fail to develop appropriate Strategic Priorities if it does not consider the SFC Strategic Plan 2022-27.

6. Recommendations

Members are recommended to:
i)   note the contents of this report;
ii)   note the contents of the SFC Strategic Plan 2022-27; and
iii)   require the Acting Principal to take account of the SFC Strategic Plan 2022-27 with the development planning process of the College.

BOARD OF MANAGEMENT

DATE	6th December 2022
TITLE OF REPORT	Acting Principal's Update on SDS Strategic Plan
REFERENCE	23b
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. - note the contents of the SDS Strategic Plan 2022-27; and - request the Acting Principal to take account of the SDS Strategic Plan 2022-27 during the development planning process.
RISK	Failure to take account of the SDS Strategic Plan 2022-27 may lead to Board failing to set appropriate strategic priorities.
RELEVANT STRATEGIC AIM:	
SUMMARY OF REPORT:	

1. **Introduction**

   As members will be aware Skills Development Scotland (SDS) is required to produce a strategic plan on a five-yearly cycle. The purpose of this report is to provide members with an overview on *the SDS Strategic Plan 2022-27: Skills for a Changing World.* Members can access a copy of this document at www.skillsdevelopmentscotland.co.uk. Members should note that SDS places considerable emphasis on collaboration, particularly with the Scottish Funding Council in the delivery of this plan.

2. **Skills for a Changing World**

   The SDS Strategic Plan for the period 2022-27 has been developed to take account of what it has identified as the key elements of the context in which it operates. These key elements are:
   - Industry 4.0;
   - Climate Change;
   - Inflation and the Cost-of-Living;
   - Poverty and Inequality in the labour market;
   - Productivity; and
   - Population and talent supply.

   The document sets out how there are key factors under each of these headings which will have considerable impact on the development of the skills required for 21st Century society and its economy. Central to meeting these challenges is the development of an approach to skills which is flexible, inclusive, pro-active and targeted.

   The SDS Strategic Plan should be seen as contribution to the implementation of the National Strategy for Economic Transformation (NSET)published by the Scottish Government in March 2022. The successful delivery of the NSET plan is dependant on effective cross-agency working therefore members may wish to review the approach taken by SDS with that taken by the Scottish Funding Council in its strategic plan which is considered elsewhere on this agenda.

3. **SDS Corporate Goals**

   To deliver the Strategic Plan, SDS has identified the five corporate goals set out below:

- Industry Focussed Skills: People develop skills and competencies that drive productive businesses and regions, helping to create a fairer, more equal society;
- Inclusive Talent Pool: Talent is diverse and resilient, with people who can adapt and in the changing world of work;
- Invested Employers: Employers invest in Scotland's workforce through job opportunities, skills development and fair work;
- Intelligence-led System: An agile, responsive, and inclusive skills ecosystem which consistently delivers the skills of the Scottish economy needs; and
- Impactful Organisation: SDS will maximise return on investment, collaborating to deliver better outcomes and experiences for customers, colleagues and the economy.

To support the delivery of these goals SDS has set outcomes and a set of criteria under each to enable progress to be measured.

4. **Equalities**

There are no new matters arising for people with protected characteristics as a consequence of considering the report.

5. **Risk**

Failure to take account of the SDS Strategic Plan 2022-27 may lead to Board failing to set appropriate strategic priorities.

6. **Recommendations**

Members are recommended to:
i)   note the contents of the report;
ii) note the contents of the SDS Strategic Plan 2022-27; and
iii) request the Acting Principal to take account of the SDS Strategic Plan 2022-27 during the development planning process.

Board Meeting

DATE	December 2022
TITLE OF REPORT	We Invest in Wellbeing Accreditation
REFERENCE	23c
AUTHOR AND CONTACT DETAILS	Gary McIntosh, Head of Human Resources gary.mcintosh@slc.ac.uk
PURPOSE:	Update members on the outcome of the We Invest in Wellbeing accreditation
KEY RECOMMENDATIONS/ DECISIONS:	The members are recommended to: • note the contents of this report; and • note the outcome of the Accreditation exercise as set out in the appendix.
RISK	There are no new risks to the College which arise from consideration of this report.
RELEVANT STRATEGIC AIM:	• The Highest Quality Education and Support • Sustainable Behaviours
SUMMARY OF REPORT:	• Outcome of the We Invest in Wellbeing accreditation assessment. • Summary report from Investors in People.

1. INTRODUCTION

1.1. As members will be aware the College underwent recently a re-accreditation exercise against the We Invest in Wellbeing standard. The purpose of this paper is to update members on the outcome of that re-accreditation visit.

2 BACKGROUND

2.1 As members will be aware the College has worked with Investors in People (IIP) for over 12 years, first achieving Gold status in 2010 and then Platinum status, the highest level of accreditation, in 2016 and again in 2019.

2.2 In addition to the accreditation in 2019, the College also achieved an additional, supplementary, good-practice award called *"Investors in People Health & Wellbeing"*.

2.3 The *"Health & Wellbeing"* award has now been developed as a stand-alone accreditation *"We Invest in Wellbeing"*. Following the We Invest in People accreditation model, this new accreditation has a tiered accreditation progressing from Silver through to Gold and the ultimate award of Platinum.

2.4 The College has progressed its efforts in achieving the *We Invest in Wellbeing* accreditation throughout 2021 and 2022. This has included the work of a cross-College working group, focussed on the re-accreditations and a sub-group to develop wellbeing initiatives and activities.

3 OUTCOME

3.1 The College has been informed that following an external re-accreditation exercise it has achieved the *We Invest in Wellbeing* accreditation at platinum level. Members should note that this level of accreditation has to date not been achieved by any other college in Scotland. A summary from the re-accreditation report is contained in appendix A. Members can contact the author of this report on gary.mcintosh@slc.ac.uk should they wish to get a copy of the full report.

4 EQUALITIES

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

5 RECOMMENDATIONS

The members are recommended to:
- note the content of the report; and
- note the outcome of the Accreditation exercise as set out in the appendix

At a glance
What to be proud of

You have been working in the field of Health and Wellbeing for over 10 years with your HR Department, your Student Association and your Student Services teams all working together to promote and support both members of staff and your students with wellbeing issues and you are to be highly commended for all the work you have done in this field.

You have your own organisation-wide wellbeing group which was formed in in 2021 as well as your Wellbeing Champions who promote all wellbeing issues in the college.

You have a wide range of initiatives, programmes and campaigns focusing on wellbeing.

Your Principal and team are seen as huge supporters of Health and Wellbeing, and members of staff can talk to them in confidence regarding any personal problems and know that they will be given the appropriate advice and support.

Your College Management Team have created a supportive and caring workplace and take a genuine interest in the wellbeing of everyone in the organisation.

You have a Wellbeing for All framework which supports the wellbeing of everyone who works South Lanarkshire College.

Members of staff can discuss mental health issues without stigma and emotional and mental wellbeing is supported in and out of work.

Your generous benefits and opportunities provide more than conventional wellbeing and lifestyle support for your members of staff

Your social wellbeing efforts are well established and members of staff are supported to have a good work life balance, including the flexibility of work, with regular social engagements and events that enhance informal exchange and innovation.

What to work on

I recommend you continue to utilise the wellbeing model, using the areas of physical, psychological and social wellbeing, and involve and communicate these areas to members of staff.

Continue to embed and monitor KPIs for each area, and measure both qualitative and quantitative success factors.

Use the wellbeing framework to embed a new culture post pandemic to ensure everyone is working towards adapting to the new normal.

Look at how you can improve in the area of healthy eating with more focus on how you can encourage members of staff to make healthy choices.

Look at introducing a discount Retail Voucher scheme focusing on wellbeing.

Look at introducing more physical exercise groups such as running, cycling and swimming.

Congratulations on achieving Platinum!

You care about your people's wellbeing, and I know you're ambitious to do even more for them.

South Lanarkshire College
East Kilbride

BOARD OF MANAGEMENT

DATE	6 December 2022
TITLE OF REPORT	Acting Principal's Update on Police Scotland Investigation
REFERENCE	23d
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; and - note the outcome of the Police Scotland investigation.
RISK	The outcome of the Police Scotland provides evidence which will mitigate the reputational damage to the College.
RELEVANT STRATEGIC AIM:	- Successful Students - Highest Quality Education and Support - Sustainable Behaviours
SUMMARY OF REPORT:	This report provides confirmation by Police Scotland that their investigation into historical allegations has concluded and they cannot substantiate any criminality.

1. Introduction

As members will be aware Police Scotland have been undertaking an investigation into historical misuse of College resources. Members will also be aware that this investigation has been associated with the Azets forensic internal audit commissioned by the Board.

The purpose of this report is to inform members of the outcome of the Police Scotland investigation.

2. Police Scotland

The College has been informed by Police Scotland that following the conclusion of their investigation that it,

"*cannot substantiate any criminality. As a result, we consider the Police involvement in the current matter to be at a close*".

Members will recall that the Azets report had arrived at the same conclusion in terms of no evidence of criminality. The College will seek to use the statement from Police Scotland should it receive requests for comment from the media.

3. Further information

Members should note that the Acting Principal has informed the Chair of the Lanarkshire Regional Strategic Body and Karen Watt, Chief Executive of the Scottish Funding Council (and the Accountable Officer for the College Sector) of this outcome.

4 Equalities

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

5 Risk

The outcome of the Police Scotland provides evidence which will provide evidence to mitigate the reputational damage to the College.

6 Recommendations

Members are recommended to:
i)   note the contents of this report; and
ii)   note the outcome of the Police Scotland investigation.

Board of Management

The Board is requested to note the attached letter regarding the above subject matter.

The Recommendation of the Acting Clerk is that this matter be referred to the Chair's Committee with a request that they return to the Board with a draft response for consideration and decision by the Board within the consultation period.

The Board is also asked to note that this matter will also be considered by the Senior Leadership Team at the first available opportunity and the outcome of that consideration will be relayed to the Board in Committee or otherwise as appropriate so as to inform the deliberations of the Board.

T: 0300 244 4000
E: scottish.ministers@gov.scot

College Principals

Colleges Scotland

Trade Unions

1 December 2022

Dear All

PUBLICATION OF THE CONSULTATION ON POLICY PROPOSALS TO ADD TRADE

UNION NOMINEES ONTO THE BOARDS OF MANAGEMENT OF COLLEGE INSTITUTIONS

I write to provide you with an update on the work to introduce trade union nominees onto the boards of management of college institutions.

In 2019, the Scottish Government committed to introducing two trade union nominees to the boards of management of college institutions. This work is part of a wider set of governance reforms that were put forward by the Good College Governance Task Group, which undertook a review of college governance in 2016.

As a result of the Covid-19 pandemic, work to amend subordinate legislation to introduce trade union nominees onto college boards was put on hold. However, we have now restarted this work.

In order to introduce trade union representatives onto the boards of management of college institutions, subordinate legislation will be required to amend the Further and Higher Education (Scotland) Act 1992, the Further and Higher Education (Scotland) Act 2005, and the Lanarkshire Colleges Order 2014.

We are now seeking to consult on a set of policy proposals that will inform the development of the subordinate legislation. The consultation will be published today, 1 December 2022, and run through to 27 January 2023. This consultation will allow that Scottish Government to gain valuable feedback on the policy proposals and enable the finalising of the SSI.

My officials will continue their engagement with the sector as we progress this piece of work, keeping the sector updated on developments.

JAMIE HEPBURN