

**NORTH EAST  
SCOTLAND  
COLLEGE**



## **REGIONAL BOARD**

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**Meeting of 07 October 2020**



## REGIONAL BOARD

### NOTICE

There will be a meeting of the Regional Board of North East Scotland College on Wednesday 07 October 2020 at 1000 hours through the use of Microsoft Teams.

### AGENDA

Agenda Item		Paper
	<b>Microsoft Office Teams Training Session</b>	
39-20	Apologies for Absence	
40-20	Declaration of any Potential Conflicts of Interest in relation to any Agenda Items	
41-20	Minutes of Previous Meeting – 24 June 2020	X
42-20	Matters Arising from the Previous Meeting	X
	<b>Reports to the Board</b>	
43-20	Report by the Regional Chair	X
44-20	Report by the Principal	X
45-20	Report by Committee Chairs	X
	<b>Governance Matters</b>	
46-20	Regional Board Terms of Reference	X
47-20	Programme of Business AY2020-21	X
48-20	Governance Steering Group Update	X
	<b>Matters for Decision</b>	
49-20	Modern Slavery Act Statement	X
50-20	Facilities Management Contract	X
51-20	Closure of Bank Account	X
	<b>Break</b>	
	<b>Matters for Decision (cont)</b>	
52-20	NESCol Students' Association Constitution	X
	<b>Matters for Discussion</b>	
53-20	NESCol KPIs AY2019-20	X
54-20	Health & Safety Annual Report	X
55-20	<b>Presentation</b> – AY2020-21 so far	
	<b>Matter for Information</b>	
56-20	Internal Audit Annual Plan, Year to 31 July 2021	X
57-20	Strategic Risk Register	X
58-20	<b>Any Other Business</b>	

59-20	<b>Summation of Business and Date of next meeting</b>	
	<b>Reserved Item of Business</b>	
	<b>Matter for Information</b>	
60-20	Principal's Performance Management Objectives	
61-20	<b>Summation of Reserved Items of Business</b>	



**REGIONAL BOARD**

Draft Minutes of the meeting of the Regional Board held on 24 June 2020 at 1000 hours through the use of Microsoft Teams.

Agenda Item	
	<p><b>Present:</b>            David Anderson            Ann Bell – Vice Chair            Angela Calderon            Neil Cowie            Martin Dear            Abdul Elghedafi            Susan Elston            John Henderson – Vice Chair            Neil McLennan            Ken Milroy - Regional Chair            Sheena Ross            Andrew Russell            Anne Simpson            Gwen Watt</p> <p><b>In attendance:</b>            Robin McGregor, Vice Principal Curriculum &amp; Quality            Peter Smith, Vice Principal Finance &amp; Resources            Pauline May, Secretary to the Board            Susan Lawrance, Minute Secretary</p>
	<p><i>K Milroy acknowledged that this was A Calderon's last attendance at a Board Meeting and thanked her on behalf of Members for her contributions during her time serving on the Regional Board and wished her well for the future.</i></p>
14-20	<p><b>Apologies:</b>            Ellis Watt, Abha Maheshwari</p>
15-20	<p><b>Declaration of any Potential Conflicts of Interest in relation to any Agenda Items</b>            N McLennan declared a potential conflict of interest in relation to his role at the University of Aberdeen. G Watt declared a potential conflict with Agenda Item 23-20 in relation to her membership of the LJNC.</p>
16-20	<p><b>Minutes of Previous Meeting – 08 April 2020</b>            The minutes were approved as a true and accurate record.</p>
17-20	<p><b>Matters Arising from the Previous Meeting – 08 April 2020</b>            Members noted the Matters Arising Report. No further matters were raised.</p>
	<p><b>Reports to the Board</b></p>
18-20	<p><b>Report by the Regional Chair</b>            Members noted the report by the Regional Chair.</p>

	<p>K Milroy drew Members attention to the two changes in Committee membership.</p> <p>In relation to the setting of the Principal's Performance Management Objectives Members were advised that this would be discussed further as part of the in camera discussion planned for the end of the meeting.</p> <p>K Milroy highlighted the publication of a report by B Higgins on economic recovery, noting that it will have implications for the College sector and would be useful for the Board to consider in due course. It was agreed that a link to the report would be circulated to Members following the meeting.</p>
19-20	<p><b>Report by the Principal</b> Members noted the report by the Principal.</p> <p>N Cowie advised that the sector was expected to achieve its overall activity target this year.</p> <p>Further information was provided on the SFC Short Life Working Group, including SFC plans to review the Outcome Agreement Process.</p> <p>N Cowie highlighted discussions with the Chief Executive and Chair of ASET to develop a closer and more cohesive relationship with the College, noting that the Chief Executive had been invited to attend the Board's next Strategy Event.</p>
20-20	<p><b>Report by Committee Chairs</b> Members noted the Committee Chairs summary and agreed action.</p> <p>D Anderson in his role as Chair of the Audit &amp; Risk Committee summarised key considerations from the most recent meeting. It was reported that the Committee considered the first reports prepared by Henderson Loggie since their appointment as the College's internal auditors, with D Anderson adding that Members were happy with their contents and presentation. Members were advised that there were no areas of concern from the internal audit reports considered, and positive progress against the follow-up of recommendations was highlighted. The potential impacts of the COVID-19 pandemic on the internal audit programme for next year were noted. Work relating to the Board's operation against the Code of Good Governance and scenario planning was highlighted, as was an offer from Henderson Loggie to provide the Board with risk management training,</p> <p>J Henderson in his role as Chair of the Finance &amp; Resources Committee congratulated N Cowie and P Smith on ensuring that the College could benefit from the Coronavirus Job Retention Scheme (CJRS) and the amount of work undertaken on to deliver a balanced College budget in such challenging circumstances.</p> <p>A Bell in her role as Chair of the HR Committee thanked K Donnelly and her team for the significant amount of work undertaken in response to challenges created by the COVID-19 pandemic.</p> <p>A Simpson in her role as Chair of the Curriculum &amp; Quality Committee summarised key areas of discussion. A Simpson thanked staff for their commitment to ensure work continues during these challenging times, especially in relation to maximising positive student outcomes.</p>

	<b>Matters for Decision</b>
21-20	<p><b>Community Empowerment (Scotland) Act 2015 – Annual Report</b> The Board considered a paper providing an opportunity for Members to approve the College's Annual Report under Parts 3 and 5 of the Community Empowerment (Scotland) Act 2015.</p> <p>P Smith presented the Report for the period 01 April 2019 to 31 March 2020, highlighting that the College again had a nil return. A short discussion followed and it was agreed that P Smith would clarify if the approval of future returns could be delegated to be being administered out with a Board Meeting.</p> <p>Members approved the publication of the Annual Report on the College's obligations under the Community Empowerment (Scotland) Act 2015.</p>
22-20	<p><b>Programme of Meetings AY2020-21</b> Members considered a paper aiding the Board to establish its Programme of Meetings for AY2020-21.</p> <p>P May advised that the Programme had been prepared in discussion with the Regional Chair, Committee Chairs and the Executive Team. Changes in comparison to the Programme for the current year were highlighted and explained.</p> <p>A Elghedafi queried if the start times of the Committees could be changed to bring them in line with the start time of Board Meetings, K Milroy asked P May to discuss this with individual Committee Chairs prior to finalising the Programme.</p> <p>The potential need to continue to hold meeting virtually was noted. Members were advised that training on the use of Microsoft Teams would be made available to Members who feel they would benefit from this.</p> <p>Members approved the Board's Programme of Meetings for AY2020-21 as presented, subject to the potential amendment of start times for the Committees following further consultation with Committee Chairs.</p> <p>It was noted that training on the use of Microsoft Teams would be made available to Board Members.</p>
23-20	<p><b>Trade Union Nominees – Observers at Board Meetings</b> Members discussed a paper providing an opportunity to consider a proposal to approve two Trade Union Nominees to attend Regional Board Meetings in an observer's capacity.</p> <p>K Milroy and N Cowie providing background information on the proposal and recent discussions on strengthening partnership working for engaging with local trade union reps. It was noted that P May had presented the proposal at a recent meeting of the LJNC and that attendees had been very supportive.</p> <p>G Watt commented on the effective operation of the LJNC and the continuing positive partnership working and consultation, especially in response to the current challenging circumstance with the ongoing pandemic,</p> <p>It was agreed that the formalised arrangement should clarify that the Nominees are in addition to the Board's two Staff Members and to note that an individual would not undertake both the role of a Staff Member and a TU observer or in due course a TU Nominee.</p>

	<p>Members approved the proposal for two Trade Union Nominees to attend Regional Board in an observer's capacity until planned new legislation regarding a change to Board Membership is enacted.</p> <p>P May advised that she would advise the LJNC that the proposal had been approved and ask for confirmation of the two individuals who will undertake the observers roles. P May added that the observers would receive an induction prior to their first attendance at a Board Meeting.</p> <p>It was highlighted that when the new legislation is enacted that it was expected that the Trade Unions will be required to undertake an election process, similar to that held to appoint Staff Board Members, to elect the two new Trade Union Nominees to join the Board as full Board Members.</p>
24-20	<p><b>Board Membership &amp; Recruitment</b></p> <p>Members discussed a paper providing an opportunity to consider proposals in relation to Board membership and recruitment.</p> <p>K Milroy explained the proposal regarding the terms of office of two current non-executive Members, following which Members approved the proposal to apply six month extensions to the terms of office of A Simpson and A Bell. K Milroy advised that formal approval of the extensions would now require to be sought from Scottish Ministers.</p> <p>P May explained Appendix 2, a new format of a skills matrix that it is proposed the Regional Board adopts. Members were advised that the Governance Steering Group supported its adoption. It was agreed that the Board should adopt and complete the new Regional Board Skills Matrix ahead of the next recruitment process. It was noted that the new Skills Matrix would be a useful reference at Member's upcoming Annual Development Meetings.</p> <p>Members confirmed that they were comfortable with the proposed approach to the Board's next recruitment process.</p>
25-20	<p><b>Board Policies</b></p> <p>Members discussed a paper to support the annual review of two policies which relate directly to Board Members.</p> <p>P May advised that the proposed changes had been considered by the Board's Governance Steering Group and explained each amendment.</p> <p>Members approved the proposed amendments to the Board's Recruitment &amp; Selection Policy, subject to a further amendment to reference College social media channels rather than the use of named individual packages</p> <p>Members approved the Induction Policy for Board Members, subject to the inclusion of a timescale for stage 2 of the induction process.</p>
	<p><b>Matters for Discussion</b></p>
26-20	<p><b>Annual Priorities AY2019-20 Progress Update</b></p> <p>The Board discussed a paper providing a progress update against the College's Annual Priorities for AY2019-20.</p> <p>P May highlighted that the update included a RAG status for each Priority, with three identified as green, 15 as amber and two as red. The significant impact of the COVID-19 pandemic on the ability to fully deliver all Priorities was noted.</p>

	<p>Members supported the proposal to carry over the amber and red AY2019-20 Priorities into AY2020-21 to ensure that they are completed, noting that a further update would be provided at the Board Meeting scheduled for March 2021.</p>
27-20	<p><b>Innovative Practice at NESCol</b>  Members considered a paper providing a summary of examples of innovative practice at NESCol.</p> <p>It was noted that the examples, identified by the Leadership Team, are practices which have mainly been introduced in response to the COVID-19 pandemic and the requirement to teach and work remotely.</p> <p>N Cowie commented on the comprehensive support provided from the Leadership Team in these challenging times and recorded his appreciation for this. N Cowie provided additional information on a number of the examples, providing additional information on the production of 3D printed masks for the NHS and local care homes, the holding of a virtual Fraserburgh Campus Open Day, and the delivery of the 'Remote Revolution'. The extraordinary work of and support provided by the College' Learning Technologies Team in response to the move to working and learning from home was highlighted.</p> <p>G Watt commented on benefits generated through the 'Remote Revolution', noting that staff found it helpful in terms of development opportunities and more inclusive ways of working for a number of support teams, both with colleagues and students.</p> <p>R McGregor commented that the paper could have also included information on the College's approach to blended learning, noting positive feedback received from students on the teaching provided since campuses closed. R McGregor added that a positive from the pandemic was the momentum it has provided for the College to strengthen its delivery of online and blended learning.</p> <p>Members congratulated College staff on what has been introduced and agreed that it will be important to continue to identify and implement innovative approaches to help safeguard the College going forward.</p> <p>K Milroy agreed to provide a wording of acknowledgement and appreciation to be shared with College staff at an upcoming webinar and the next edition of Notes from the Principal's Office.</p> <p>It was agreed that lessons learned from approaches introduced in response to the pandemic should be reflected upon and that improvements implemented should be permanent. N Cowie commented that the College's actions have been and continue to be documented and this will help inform a future plan to evaluate and reflect on how NESCol has performed and how the College can continue to be innovative.</p>
28-20	<p><b>Strategic Risk Register</b>  Members noted a paper providing an update in relation to the College's Strategic Risk Register.</p> <p>Members were assured that risk continued to be considered as a key aspect of weekly Crisis Management Team meetings, with the potential impacts of the COVID-19 pandemic being discussed for the short, medium and longer-term.</p>



	<p>A planned review of the College's approach to risk management was highlighted, with P May explaining the actions in a timeline including a revised version of the Strategic Risk Register, in terms of content and format, and the reintroduction of an Operational Risk Register,</p> <p>N McLennan stated that it would be beneficial to refer to the Westminster and Holyrood Risk Registers when updating the College's risk documents.</p>
29-20	<p><b>NESCol's Future Strategy</b> The Board noted a paper summarising the approach to be adopted to key aspects of the College's strategic planning process.</p> <p>N Cowie provided additional information on proposals relating to the Board's next Strategy Event, the development of the College's next Strategic Plan and the approval of the College's Annual Priorities for AY20-21.</p> <p>N Cowie advised that it was currently thought that the Board's next Strategy Event would be scheduled for the beginning of November. It was agreed that K Watt, SFC Chief Executive be invited to speak at the Board's next Strategy Event. K Milroy noted that Members would have an opportunity to discuss any potential topics for consideration at the next Strategy Event at their upcoming Annual Development Meetings.</p> <p>Members confirmed that they were content with the proposed direction of travel, noting that the timeframes would enable the College to develop its future strategy reflecting on regional plans for economic recovery and ambitions for greater regional connection.</p>
	<p><b>Matters for Information</b></p>
30-20	<p><b>Presentation – Scenario Planning Update</b> Members received a presentation from the Vice Principal Curriculum &amp; Quality providing an update on the approach being taken to scenario planning for AY2020-21.</p> <p>Members were advised that the College is planning for two key scenarios:</p> <ul style="list-style-type: none"> <li>• Closed Campuses – fully remote and online delivery</li> <li>• Socially Distant Campus - blended model.</li> </ul> <p>Information was provided on the College's involvement in both the national sector response, and the wider regional response to COVID-19.</p> <p>R McGregor explained the management structure adopted for the College's approach to scenario planning, and summarised the approach, including key activities, being undertaken to ensure the completion of AY2019-20 for NESCol students. R McGregor acknowledged the hard work of staff to support the completion of teaching and assessments in AY2019-20. Members were advised that there would be a number of deferrals from AY2019-20 to AY2020-21 – approximately 900 full-time and 400 part-time students will require to complete their AY2019-20 courses in the new academic year.</p> <p>A number of key priorities currently being addressed were highlighted - Framework for Curriculum Planning &amp; Delivery; Curriculum Prioritisation Plan; Campus Opening Plans; AY2019-20 deferrals; online induction &amp; enrolments, staff training, and a communication strategy.</p>

	<p>R McGregor explained the overarching principles of curriculum delivery that will be adopted for AY2020-21.</p> <p>Key feedback from a recent student survey was noted, including that the majority of students had responded that they "feel well supported by College staff". Required improvements in terms of planning and communication identified from the feedback were also shared.</p> <p>N Cowie commented on the lack of pace with communications and guidance being issued to the sector, and advised on developments on expected draft guidance for the reopening of campuses and approaches to social distancing. It was agreed that Board Members would be kept up to date on developments and that the Chairs Committee would be convened if needed during the Summer period.</p> <p>P Smith advised Members of work currently being undertaken on tenders for the provision of contracted bus hires. In response to a query, P Smith advised that no additional funding has been made available to colleges to meet the potential requirement to provide additional transport for students in AY2020-21. Members were alerted that a related email would shortly be issued by email for approval by correspondence.</p>
31-20	<p><b>Any Other Business</b> No other matters were raised under AOB.</p>
32-20	<p><b>Summation of Business and Date of Next Meeting</b> The Secretary gave a summation of the business conducted.</p>
	<p><b>Reserved Items of Business – Matter for Discussion</b></p>
33-20	<p><b>Presentation – AY20220-21 Applications &amp; Credits</b></p>

	<b>Matters for Decision</b>
34-20	<b>Budget 2020-21 &amp; Financial Plan 2021-22 to 2022-23</b>
	<i>A Simpson and N McLennan left the meeting at this time.</i>
35-20	<b>Financial Forecast Return 2019-20 to 2022-23</b>

36-20	<b>Current &amp; Future Staffing Options (incl. Presentation</b>

37-20	<p><b>Summation of Reserved Items of Business</b>  The Secretary gave a summation of the reserved business conducted</p>
	<p><i>N Cowie, R McGregor, P Smith, K Donnelly, P May and S Lawrance left the meeting at this time.</i></p>
38-20	<p><b>In Camera Discussion – Regional Chair &amp; Board Members</b></p>
	<p>Meeting ended 1300 hours</p>

<b>Agenda Item</b>	<b>Actions from Regional Board Meeting 24/06/20</b>	<b>Responsibility</b>	<b>Deadline</b>
18-20	Circulate to Members a link to B Higgin's report - Towards a Robust, Resilient Wellbeing Economy for Scotland	P May	As soon as possible
21-20	Clarify if the College's Annual Report in relation to the Community Empowerment (Scotland) Act 2015 can be delegated for approval out with a Board Meeting	P Smith	01 September 2020
22-20	Finalise AY2020-21 Programme of Meetings, following discussion of Committee start times with Committee Chairs	P May	As soon as possible
22-20	Arrange Microsoft Teams training for Board Members	P May	01 September 2020
24-20	Request approval from Scottish Ministers for six month extensions to the terms of office of A Bell and A Simpson	P May	As soon as possible
24-20	Complete new Skills Matrix	All Members	08 July 2020
25-20	Finalise two Board Policies as agreed	P May	As soon as possible
27-20	Provide a wording re: innovative practice for inclusion in staff webinars and/or Notes for the Principal's Office	K Milroy	As soon as possible
29-20	Invite K Watt to speak at the next Strategy Event	N Cowie	As soon as possible
35-20			
36-20			
36-20			

Signed:.....

Date: .....



**Agenda Item 42-20**

**REGIONAL BOARD**

An update on matters arising from the meeting of the Regional Board of North East Scotland College held on Wednesday 24 June 2020.

<b>Agenda Item</b>	
18-20	<b>Action:</b> Circulate to Members a link to B Higgin's report - Towards a Robust, Resilient Wellbeing Economy for Scotland.
	<b>Status:</b> Complete- circulated to Members following conclusion of June Board Meeting.
21-20	<b>Action:</b> Clarify if the College's Annual Report in relation to the Community Empowerment (Scotland) Act 2015 can be delegated for approval out with a Board Meeting.
	<b>Update:</b> Scottish Government Community Empowerment Team has advised that the College can determine how the Report is approved, it's therefore proposed that this is delegated to the Executive Team.
22-20	<b>Action:</b> Finalise AY2020-21 Programme of Meetings, following discussion of Committee start times with Committee Chairs.
	<b>Update:</b> Complete - start times of Committees changed with exception of HR Committee. Updated Programme circulated to Members by email on 03 July 2020. A copy of the Programme is also available in the Regional Board Team Space.
22-20	<b>Action:</b> Arrange Microsoft Teams training for Board Members.
	<b>Update:</b> Training will be provided as part of the October Board Meeting. The effective use of Teams will be critical to the running of the Board's upcoming Strategy Event it is therefore essential that all Members are comfortable with the functionality of Teams.
23-20	<p><b>Update:</b> The LJNC has appointed two nominees to attend Board Meetings in an observer capacity:</p> <ul style="list-style-type: none"> <li>• Sue Porter, EIS-FELA</li> <li>• Elle Watson, Unison</li> </ul> <p>The nominees were provided with a Board Induction by the Regional Chair and Secretary to the Board on 25 September 2020. The nominees will be in attendance at the meeting of 07 October 2020.</p>

24-20	<b>Action:</b> Request approval from Scottish Ministers for six month extensions to the terms of office of A Bell and A Simpson.
	<b>Update:</b> Approval was received in July 2020 for the following: <ul style="list-style-type: none"> <li>• Anne Simpson to remain a Non-Executive Member until 30 April 2021</li> <li>• Ann Bell to remain a Non-Executive Member until 31 August 2021.</li> </ul>
24-20	<b>Action:</b> Complete new Skills Matrix.
	<b>Update:</b> The new format of Matrix adopted by the Board at its June meeting was circulated to and completed by all Members following amendment to include a ranking. The Matrix is being considered by the Governance Steering Group and will be referred to as part of a planned session on governance that will feature as part of the upcoming Strategy Event.
24-20	<b>Update:</b> At the June Board Meeting it was reported that the next recruitment process for Board Members was expected to commence in August 2020. Following further discussion with the Regional Chair it was agreed that this should be delayed until after the Board's Strategy Event scheduled for the beginning of November 2020 to enable key considerations from this to be reflected in the process. Board recruitment will also feature as part of the planned session on governance at the Strategy Event.
25-20	<b>Action:</b> Finalise two Board Policies as agreed.
	<b>Status:</b> Complete – copies of the Policies can be accessed in the 'Key Reference Documents' Channel in the Regional Board Team Space.
27-20	<b>Action:</b> Provide a wording re: innovative practice for inclusion in staff webinars are and/or Notes for the Principal's Office.
	<b>Status:</b> Complete.
28-20	<b>Update:</b> Further work has been undertaken on the College's Strategic Risk Register – see Agenda Item 57-20.
29-20	<b>Action:</b> Invite K Watt to speak at the next Strategy Event.
	<b>Update:</b> The Chief Executive of the SFC has been invited to present at the upcoming Strategy Event, following which there is expected to be a Q&A session with Board Members.
29-20	<b>Update:</b> At the June Board Meeting it was reported that proposed Annual Priorities for AY2020-21, identified by the Leadership Team, would be presented to the Board for consideration at its meeting in October 2020.  Upon further consideration it has been agreed that the identification of new Priorities should be informed by the Strategy Event, with approval now sought from the Board at its meeting scheduled for December 2020.



	<p>In addition, the Leadership Team is currently reviewing 17 of the AY2019-20 Priorities which were carried over into AY2020-21 to advise of any further progress and if any Priorities require to be refocused to reflect current circumstances.</p>
30-20	<p>Since its establishment in April 2020, the Regional Board's Chairs Committee has met on two occasions:</p> <p>29 April 2020 – the meeting was convened to consider the College's application to and use of the Coronavirus Job Retention Scheme.</p> <p>10 August 2020 – the meeting was convened to consider the College's response to the SFC Call for Evidence: A Review of Coherent Provision and Sustainability in Further and Higher Education. Attendees also discussed a meeting between the Executive Team and SFC colleagues, Sector pay awards, and the SQA resulting process.</p> <p>Minutes from the above two meetings and association papers can be accessed in the <a href="#">Chairs Committee Channel</a> of the Regional Board Space.</p> <p>Further information relating to the Chairs Committee has been included as part of Agenda Item 48-20, Governance Steering Group Update.</p>
35-20	
36-20	
36-20	

**REGIONAL BOARD**

**Meeting of 07 October 2020**

**REPORT BY THE REGIONAL CHAIR**

The purpose of this report is to update the Regional Board on recent developments in the FE sector and at the College.

<b>1</b>	<p><b>Scottish Funding Council (SFC), Call for Evidence: A Review of Coherent Provision and Sustainability in Further and Higher Education</b></p> <p>This is a significant development that will shape the College and University sectors going forward. All institutions and stakeholders were invited to contribute to phase 1 of the Review and NESCol took up the opportunity, as did Colleges Scotland on behalf of the sector. The Colleges Scotland Board met with the Chair and CEO of the SFC and progress to date with the Review and some emerging thinking was shared with the Board. The Principal and I will continue to engage with ongoing discussions on the Review as it progresses and report relevant matters to the Board.</p>
<b>2</b>	<p><b>Developing Demand-Led Aligned, &amp; Sustainable Learner Pathways – Intensification of Partnership Arrangements between NESCol and RGU</b></p> <p>The timing of the preparation and submission of the paper to SFC outlining plans to further develop the relationship between NESCol and RGU was important to draw on the commitment, knowledge and experience of John Harper who Members will be aware has recently retired from his role as Principal at RGU. Steve Olivier, RGU's new Principal, was involved in discussions on the plans in advance of taking up his appointment. The plans also play in to the SFC Review. In advance of the paper being submitted to the SFC and the two Principals having a discussion with SFC CEO and Deputy CEO, Colin Hunter, Chair of RGU Board, had a helpful informal meeting with the Chair of the SFC and the Deputy CEO. The plans have been well received by external stakeholders. Further information on this development will be provided by the Principal at the meeting on 07 October 2020.</p>
<b>3</b>	<p><b>Regional Chair Vacancies</b></p> <p>In light of the COVID-19 pandemic, the previously reported vacancies for Regional Chairs for Borders College and Dumfries &amp; Galloway have not been filled, with the interim arrangements extended.</p>
<b>4</b>	<p><b>Appraisal by Scottish Ministers</b></p> <p>As previously reported, the Regional Chair was appraised on 12 February 2020 by a senior Scottish Government official on behalf of Scottish Ministers. A record of the appraisal has yet to be provided and will be available for Board Members' information once published.</p>

5	<p><b>Principal's Performance Management Objectives</b></p> <p>In light of the ongoing circumstances with the pandemic the Regional Chair requested that the Principal draft interim performance objectives – see Agenda Item 60-20.</p>
6	<p><b>Attendance at Meetings – Regional Chair</b></p> <p>The Regional Chair has attended various meetings since the last Board Meeting, including:</p> <ul style="list-style-type: none"> <li>• Colleges Scotland Boards</li> <li>• Strategic Dialogue Meeting with Chair and CEO of SDS</li> <li>• Undertaken 1-1 meetings with NESCol Board Members</li> <li>• Participated in College Board Chairs workshop discussions on Economic Recovery and Community, Inclusion and Learner Journey</li> <li>• Various meeting regarding NESCol/RGU Partnership</li> <li>• Consideration and input into Colleges Scotland submission to the SFC Review</li> <li>• Participation in Colleges Scotland Employers' Association meeting</li> <li>• Convening Scotland Colleges All Chairs Meetings</li> <li>• Strategic Dialogue meeting with University Scotland</li> <li>• Convening the Employers' Association Working Group considering the inclusion of college senior staff in national bargaining arrangements</li> <li>• Meeting MSPs and MP for tour of City Campus in advance of reopening</li> <li>• Convening the Board's Governance Steering Group</li> <li>• Aberdeenshire Community Planning Partnership – workshop on Transportation in the region</li> <li>• Aberdeen Community Planning Board</li> <li>• All Chairs meetings with R Lochhead, Minister for Further &amp; Higher Education and Science</li> <li>• Induction for Trade Union Nominee Board Observers</li> <li>• Regular meetings (at least weekly) with the Principal.</li> </ul>



**REGIONAL BOARD**

**Meeting of 07 October 2020**

**REPORT BY THE PRINCIPAL**

The purpose of this report is to provide the Regional Board with relevant information relating to the period immediately prior to the Board Meeting, to provide updates and to identify key priorities and challenges for the next period.

**1 Voluntary Severance Scheme**

At its meeting in June 2020 the Regional Board approved a draft Voluntary Severance Scheme (VS Scheme) and for the College to seek approval for its operation from the Scottish Funding Council (SFC). Following an initial exploratory conversation with the SFC, the Scheme, specifically information regarding its funding, was amended and then subsequently reapproved by the Chairs Committee on behalf of the Board before being resubmitted for SFC approval.

Approval for the operation of the Scheme was received from the SFC on 23 September 2020. A communication has now been issued to all staff inviting applications to the Scheme, with a submission deadline of 09 October 2020. The Scheme is open to all permanent College staff with applications considered in line with business needs. The Executive Team are in particular interested to consider applications from those in management positions (both support and curriculum), again subject to business needs. It will be highlighted to staff that, given the impact of the unprecedented circumstances of recent months on College finances, this is a different Scheme to those offered by the College previously.

**2 Outcome Agreement Discussions**

On 22 September 2020 the Executive Team and the Director of Strategy & Planning met with two colleagues from the SFC, Linda McLeod and Keith Coyne, for the first Outcome Agreement (OA) meeting of this academic year. Following the retirement of Ken Rutherford from the SFC earlier this year, the College has been advised that, for AY2020-21, Keith is NESCol's key OA contact with Linda providing additional support.

At the meeting the SFC shared information on the current SFC Review of Coherent Provision & Sustainability. Phase 1 of the Review was completed as planned by the end of August and a report is now being prepared which is expected to be published by mid-October. It was noted that there had been a full response to the call for evidence for the Review and that following analysis by the SFC there were 'no surprises' in the feedback received. It was highlighted that the Review will include as one of its strands of work questions about the future structure of the SFC and that Phase 2 of the Review will provide further opportunities for consultation with the sector focused around key themes.

In relation to OA guidance, it was reported that an interim framework is to be followed for this year, while the SFC is working on a new long term framework. It is unclear at the moment if the OA guidance for AY2021-22 will be published in advance or following the publication of the phase 1 Review report.

In advance of the publication of OA guidance the SFC advised that OAs for AY2021-22 will be simpler documents. The previously required national measures table will not be part of the next round of OAs, and new targets will not be set in recognition of the impacts of COVID. Instead, colleges will be asked to focus on 4/5 key measures this year. The SFC will however be seeking as a minimum commitment from all colleges that they maintain national measures at their 2018-19 baselines. Going forward, the number of national measures that colleges will be required to report on in future years is to be reviewed as part of the new long term OA framework. In terms of the OAs narrative the guidance will ask colleges to focus on the College's approach and contribution to addressing economic recovery. The potential for NESCol to develop a joint OA with RGU was also discussed at the meeting, with the SFC being supportive of this.

As well as the current review of the OA process, the SFC plan to introduce a simpler self-evaluation process to bring quality closer to outcome and impact arrangements and this will be included as phase two of the SFC Review.

The College's next OA meeting with the SFC will be arranged following the publication of the new OA guidance.

**3 Additional Capital Funding AY2020-21**

On 04 August 2020, the Scottish Funding Council (SFC) published announcement SFC/AN/11/20 "Additional capital funding to support economic recovery in FY 2020-21" - <http://www.sfc.ac.uk/publications-statistics/announcements/2020/SFCAN112020.aspx>

A total of £10M has been made available to assist institutions in taking forward projects which may have been put on hold as a result of the COVID-19 pandemic and initial lockdown. Projects should be for estates maintenance and construction sector stimulus. SFC also state that consideration should be given to wellbeing and health and safety, and that they expect some of the most immediate work to focus on public areas and thoroughfares.

North East Scotland College has been allocated £715,160. Excluding VAT, the net sum available is £595,967. As the funding must be utilised by 31 March 2021, it is essential that we take forward projects that are deliverable within the capacity of our Facilities and Estates Department, subcontractors, and suppliers. We must also consider that the projects are delivered largely when students are on campus and we are operating under COVID-19 restrictions. Given due consideration of these factors, the following projects have been identified as deliverable, and as meeting both identified needs within the College and the criteria specified by the SFC:

<b>Project</b>	<b>Budget</b>
City Campus – South Block paintwork and lighting replacement	£165,000
Altens Campus – Additional external paintwork	£55,000
City Campus – Student Advice Centre – carpets/layout	£25,000
City Campus – Salon beds – omitted from original refurbishment project	£12,000
All Campuses – Power supplies for BYOD	£60,000
Fraserburgh Campus – SAC Reception desk	£10,000
City Campus – Lighting replacement with LED	£206,000
City Campus – Gym Equipment – was originally intended to be replaced along with project to move the gym	£63,000
<b>Total</b>	<b>£596,000</b>

<p><b>4</b></p>	<p><b>Additional Funding for Digital Provision 2020-21</b></p> <p>On 14 August 2020, the SFC published announcement SFC/AN/12/20 "Additional capital funding to support digital provision in AY 2020-21" - <a href="http://www.sfc.ac.uk/publications-statistics/announcements/2020/SFCAN122020.aspx">http://www.sfc.ac.uk/publications-statistics/announcements/2020/SFCAN122020.aspx</a></p> <p>A total of £2.33M has been made available to assist colleges to provide ICT equipment to tackle digital poverty. It is intended to provide fair and equitable access to remote learning for all students, up to a limit of £350 per student. The equipment must remain the property of the institution and cannot be offered to students who have already receive funding to provide online learning access from another source. The College is required to set eligibility criteria and to invite applications from students.</p> <p>For the current year, we are aware of a significant number of students on non-BYOD courses who intend to access online materials via smartphone. An increase to the loan stock of laptops/tablets/4G adapters has therefore been identified as the most flexible use of the funding.</p>
<p><b>5</b></p>	<p><b>Additional Funding for Counsellors 2020-21</b></p> <p>On 22 September 2020, the SFC published announcement SFC/AN/16/2020 "Announcement of additional funding in AY 2020-21 for counsellors in colleges and universities" - <a href="http://www.sfc.ac.uk/web/FLES/announcements_sfcAN162020/Funding_for_counsellors_2020-21.pdf">www.sfc.ac.uk/web/FLES/announcements_sfcAN162020/Funding_for_counsellors_2020-21.pdf</a></p> <p>A total of £3.65M is to be received by the college and university sectors in AY2020-21. The SFC advised that the additional funding has been made available in recognition of the impact of the current COVID-19 emergency on institutions' ability to directly recruit individual counsellors. The funding and guidance principles detailed in the announcement allow for flexibility in the procurement of counselling services enabling institutions to use this funding to build capacity within their counselling services outwith the direct recruitment of individual counsellors.</p> <p>This funding complements the commitments made by the Government last year which have enabled NESCol to establish its new counselling service. In addition to now being able to access individual live one-to-one counselling support students are able to access digital on demand mental health and wellbeing support via TogetherAll (formally Big White Wall). This additional funding will enable for these services to be scaled up, increasing access for all students.</p>
<p><b>6</b></p>	<p><b>Fraserburgh Technology Project</b></p> <p>In August 2020, the College received a £100,000 donation to support its commitment to creating new opportunities for young people in Fraserburgh. The generous contribution received from a local business has been invested to develop a technology centre at the Fraserburgh Campus which will be used to expand learning and training for school groups, community organisations and students. Robotics, 3D printing and plotting, virtual reality and other learning innovations are included in the plans. Encouraging entrepreneurship to support inclusive growth in the local economy is a key aim.</p> <p>A press release providing further information on this developed can be accessed at: <a href="https://www.nescol.ac.uk/nescol-launches-fraserburgh-technology-project-after-100000-donation/">https://www.nescol.ac.uk/nescol-launches-fraserburgh-technology-project-after-100000-donation/</a></p>

**7 Aberdeen City Council Socio Economic Rescue Plan**

A Socio Economic Rescue Plan has been produced to provide Aberdeen City Council with an opportunity to lead a coordinated city-wide response to the effects of the COVID-19 health crisis, and its wider implications on Aberdeen's economy, people, and businesses. The document was approved by the Council at the end of June 2020, and has been created within the frameworks of the Regional Economic Strategy priorities, the Local Outcome Improvement Plan (LOIP), the Net Zero Vision for the city and the Strategic Infrastructure Plan – Energy Transition.

The Plan aligns to the LOIP strategies for Economy, People, and Place. While it focuses on immediate actions, there is an opportunity for it to inform the scheduled refresh of the LOIP in 2021 and for some actions to be mainstreamed in the Regional Economic Strategy.

A short life Socio-Economic Rescue Plan – Implementation Group has been established as part of the existing Community Planning Aberdeen framework. The Group will report to the Community Planning Aberdeen Board. Membership of the Group includes representatives from Aberdeen City Council, Aberdeen Inspired, ACVO, AGCC, Business Gateway (Elevator), Cfine, Culture Aberdeen, FSB, NESCol, Scottish Enterprise, SDS, and Visit Aberdeen.

The College has been identified as a Lead or Joint Lead against the following four actions in the Plan:

<b>Action 1.4</b>	<b>Skills 4.0 – Review emphasis based on employability pipeline</b>
Outcome	Shared understanding of skills required for local economy
Joint Leads	NESCol, SDS
Other Key Stakeholders	DYW-NE, Schools
NESCol Lead	Robin McGregor

<b>Action 1.5</b>	<b>Develop and pilot an accredited course for young parents to aid them back into education or employment using Google classroom as an online means of supporting pupils (LOIP Project – Young Women into Jobs)</b>
Outcome	Skills and training outcomes, employability
Joint Leads	NESCol, Community Planning
Other Key Stakeholders	City Growth Employability, SDS
NESCol Lead	Robin McGregor

<b>Action 4.1</b>	<b>Energy Transition Skills Academy</b>
Outcome	Ensuring local people gaining skills around new opportunities in delivery of Net Zero Vision
Lead	NESCol
Other Key Stakeholders	ACC Schools, City Growth Centre for Energy Transition (UoA), ONE, SDS, OGTC, DWP
NESCol Lead	Robin McGregor

<b>Action 4.8</b>	<b>Joint promotional campaign about learning opportunities</b>
Outcome	Joined-up approach to ensure agreed collective messaging about learning and training opportunities is promoted. Access to education. Skilled workforce.
Lead	NESCol
Other Key Stakeholders	SDS, Schools, UoA, RGU, Business Gateway, Aberdeenshire Council, Aberdeen Employability Training Providers Forum
NESCol Lead	Paul Smith (M&C)



	<p>In addition, the College has also been identified as a key stakeholder for a further nine actions in the Plan. A copy of the Plan can be accessed at:  <a href="https://committees.aberdeencity.gov.uk/documents/s111955/Socio-Economic%20App%202.pdf">https://committees.aberdeencity.gov.uk/documents/s111955/Socio-Economic%20App%202.pdf</a></p>
<p><b>8</b></p>	<p><b>Scottish Government COVID-19 Workshops – Mitigation Arrangements &amp; Outbreak Management</b></p> <p>The Minister for Further Education &amp; Higher Education, Richard Lochhead, wrote to all Colleges and Universities on 18 August 2020 requesting sight of their restart plans for AY2020-21. In that letter, Mr Lochhead confirmed that officials from the Scottish Government would host two related workshops with the purpose to discuss strengths, gaps and shared learning between the educational providers.</p> <p>NESCol's Head of Health, Safety &amp; Security attended both workshops which covered the following areas – quarantine, self-isolation, contact tracing, reduced campus numbers and student compliance.</p> <p>What became clear through these sessions was the good level of communication and shared knowledge between colleges throughout the period of lockdown and the positive impact this had on preparations for the return of College staff and students to campuses.</p> <p>Whilst these sessions identified what would probably have been expected, all Colleges had slight operational differences between their individual plans, however reassurance was provided in that all main considerations discussed at the workshops had been covered by institutions. There was no indication from the Scottish Government officials that they were concerned about the approaches adopted by the sector or any individual college plan.</p>
<p><b>9</b></p>	<p><b>National Collective Bargaining Update</b></p> <p><b>2020/21 Lecturing Staff Pay Claim</b></p> <p>An offer of a consolidated 2% pay increase across all lecturer salary points was issued to the lecturing staff side of the National Joint Negotiating Committee (NJNC). The lecturing staff side has advised that the EIS-FELA Executive has recommended acceptance of the offer to its members and opened a consultative ballot on 16 September 2020. The ballot will close at midday on 30 September 2020 and the staff side will advise the management side of the result as soon as known.</p> <p><b>2020/21 Support Staff Pay Claim</b></p> <p>The management side has tabled an offer to the staff side of a consolidated 2% pay with the increase effective from 01 September 2020, across all salary points (as they currently stand as at 01 April 2020) with a minimum payment of £400 (FTE). The offer was made on the condition that the dispute was deemed to be resolved and that there would be no change to the 01 April 2020 salary points.</p> <p>The staff side has considered this and has advised that this was not an acceptable offer. It was agreed to continue discussions on this matter and arrangements will be made in due course to progress this.</p>
<p><b>10</b></p>	<p><b>Strategy Event – November 2020</b></p> <p>The Regional Board's next Strategy Event is scheduled to be held on 04 and 05 November 2020. Due to the ongoing COVID-19 pandemic, the Event will be held virtually, through the use of Microsoft Teams, for the first time. The Event will feature</p>



	<p>a number of sessions throughout the two days, with both pre-recorded and live input from Executive and Leadership Team members and some external stakeholders. Sessions will include presentations, plenaries, Q&amp;As, and group discussions.</p> <p>The Event will focus on the theme 'Towards 2025' and will provide an opportunity for the Board to consider the College's key ambitions and direction of travel.</p> <p>The agenda and specific timings for the Event are currently being prepared and will be shared with Members in due course, however Members may wish to note that sessions on the following topics are expected to be include:</p> <ul style="list-style-type: none"> <li>• Business Priorities – Curriculum</li> <li>• Workforce Planning</li> <li>• Stakeholder Engagement</li> <li>• Students' Association Ambitions</li> <li>• SFC Review of Coherent Provision and Sustainability.</li> </ul> <p>It may also be helpful to note that there will be an ask from Members to prepare in advance of the Event e.g. a reading list of key reports.</p>
<p><b>11</b></p>	<p><b>External Engagements</b></p> <p>During the reporting period the Principal has attended the following external meetings:</p> <ul style="list-style-type: none"> <li>• College Principals' Group (Various dates)</li> <li>• Colleges of the Future Conference (25 June)</li> <li>• SFC's Co-production Advisory Group (Various dates)</li> <li>• Aberdeen City Economic Recovery Plan (30 June)</li> <li>• Regional Economic Strategy Group (Various dates)</li> <li>• GTCs Registration Working Group (07 July)</li> <li>• Further Education Strategic Leadership Programme (09 July)</li> <li>• SDS discussions (Various dates)</li> <li>• Chief Executive – Aberdeenshire Council (Various dates)</li> <li>• RGU-NESCol Partnership (Various dates)</li> <li>• ONE Energy Board (Various dates)</li> <li>• ETZ Skills Academy (09 September)</li> <li>• DYW Sub-group (Various dates).</li> </ul> <p>This is shared with the Board to provide examples of the range of external engagements undertaken in support of the College's work.</p>



**REGIONAL BOARD**  
**Meeting of 07 October 2020**

**REPORT BY COMMITTEE CHAIRS**

The purpose of this report is to provide the Regional Board with information relating to business conducted at the most recent meetings of its Committees.

At the meeting of 07 October 2020, Committee Chairs will be provided with an opportunity to bring matters considered at these meetings to the attention of Members. Members will also be provided with an opportunity to seek further information on business that has been transacted.

**1** The following meetings have been held since the last meeting of the Regional Board

Committee	Meeting Date
Audit & Risk	23 September 2020
Human Resources	30 September 2020

Copies of the draft minutes from the above meetings will be made available, in due course, in the [Regional Board's Team Space](#).

**2** **Audit & Risk Committee – 23 September 2020**

Summary of key business

- Committee Terms of Reference
- Programme of Business AY2020-21
- Internal Audit Annual Plan 2020-21
- Draft Annual Report of the Audit & Risk Committee to the Regional Board, 2020
- Draft External Audit Plan 2020-21 – Year End 31 July 2020 – Addendum
- External Reports - Audit & Risk Committees & Covid-19 Related Considerations
- Strategic Risk Register.

Agreed actions

- Amendment of the Internal Audit Plan to explain rationale for the omission of some high priority areas, and to include dates of when areas were last audited
- Inclusion of a narrative regarding COVID-19 related Committee considerations in the Annual Report to the Regional Board
- Undertaking of a gap analysis between the recommendations of the two external reports and work undertaken by EY and MHA Henderson Loggie
- Consideration of the discussion of the College's Strategic Risk Register at the Board's upcoming Strategy Event.

<p><b>2</b></p>	<p><b>Human Resources Committee – 30 September 2020</b></p> <p>Summary of key business</p> <ul style="list-style-type: none"> <li>• Committee Terms of Reference</li> <li>• Programme of Business AY2020-21</li> <li>• People Services Management Information – Equalities</li> <li>• People Services Enhancement Plan AY2020-21</li> <li>• National Collective Bargaining Update</li> <li>• Learning &amp; Development Update</li> <li>• Learning Technologies Update</li> <li>• HR Policies Overview.</li> </ul> <p>Agreed action</p> <ul style="list-style-type: none"> <li>• Convening an additional meeting of the Committee in March 202021 to enable equality mainstreaming reporting requirements to be met.</li> </ul>										
<p><b>4</b></p>	<p>The Committees are scheduled to next meet as follows:</p> <table border="1" data-bbox="509 853 1232 1039"> <thead> <tr> <th><b>Committee</b></th> <th><b>Meeting Date</b></th> </tr> </thead> <tbody> <tr> <td>Audit &amp; Risk</td> <td>02 December 2020</td> </tr> <tr> <td>Finance &amp; Resources</td> <td>02 December 2020</td> </tr> <tr> <td>Curriculum &amp; Quality</td> <td>18 November 2020</td> </tr> <tr> <td>Human Resources</td> <td>10 March 2021</td> </tr> </tbody> </table>	<b>Committee</b>	<b>Meeting Date</b>	Audit & Risk	02 December 2020	Finance & Resources	02 December 2020	Curriculum & Quality	18 November 2020	Human Resources	10 March 2021
<b>Committee</b>	<b>Meeting Date</b>										
Audit & Risk	02 December 2020										
Finance & Resources	02 December 2020										
Curriculum & Quality	18 November 2020										
Human Resources	10 March 2021										



<b>REGIONAL BOARD</b>	
<b>Meeting of 07 October 2019</b>	
<b>Title: Regional Board Terms of Reference</b>	
<b>Author:</b> Pauline May, Secretary to the Board	<b>Contributor(s):</b>
<b>Type of Agenda Item:</b>	
<b>For Decision</b>	<input checked="" type="checkbox"/>
<b>For Discussion</b>	<input type="checkbox"/>
<b>For Information</b>	<input type="checkbox"/>
<b>Reserved Item of Business</b>	<input type="checkbox"/>
<b>Purpose:</b> To enable the Regional Board to review its Terms of Reference.	
<b>Linked to Strategic Goal:</b>	
<b>Linked to Annual Priority:</b>	
<b>Executive Summary:</b> Attached as Appendix 1 to this paper is the Board's current Terms of Reference. Members are asked to review the attached and consider if the Board's remit accurately reflect its main areas of responsibility and focus. A number of proposed amendments to provide further clarity in relation to appointments are highlighted in the attached,	
<b>Recommendation:</b> It is recommended that the Board review and readopt its Terms of Reference.	
<b>Previous Committee Recommendation/Approval (if applicable):</b> None	
<b>Equality Impact Assessment:</b>	
<b>Positive Impact</b>	<input type="checkbox"/>
<b>Negative Impact</b>	<input type="checkbox"/>
<b>No Impact</b>	<input type="checkbox"/>
<b>Evidence:</b>	

<b>REGIONAL BOARD</b>	
<b>1.1</b>	<p><b>Membership</b>      The membership of the Regional Board will be constituted as required by the Further and Higher Education (Scotland) Act 1992 (as amended), the Further and Higher Education (Scotland) Act 2005 (as amended) and the Post 16 Education (Scotland) Act 2013 and as per the Standing Orders</p>
<b>1.2</b>	<p><b>Quorum</b>            No less than one half of the members entitled to vote.</p>
<b>1.3</b>	<p><b>Remit</b></p> <p>The Regional Board shall observe constitutional arrangements as set out in legislation and the Standing Orders in all its business.</p> <p>The Regional Board must ensure compliance with the statutes, ordinances and provisions regulating the College and its framework of governance and, subject to these, take all final decisions on matters of fundamental concern to the College.</p> <p>The Regional Board is responsible for overseeing the business of the College, determining its strategic direction and fostering a safe environment in which the College's vision is achieved and the potential of all learners is maximised through the delivery of high quality learning and outcomes. The Regional Board must also ensure that the College has in place effective management and financial controls to support the student experience within a framework of public accountability and transparency.</p> <p>The Regional Board shall:</p> <ul style="list-style-type: none"> <li>• Determine the College's vision, strategic direction, educational character, values and ethos</li> <li>• Identify strategic priorities and provide direction within a structured planning framework</li> <li>• Safeguard the financial and institutional sustainability of the College by ensuring that funds are used as economically, efficiently and effectively as possible, and that effective monitoring arrangements are in place</li> <li>• Ensure there is a common approach to the management of risk throughout the College through the development, implementation and embedding within the organisation of a formal, structured risk management process</li> <li>• Monitor agreed key performance indicators to determine if the College's vision and values are being fulfilled and the interests of stakeholders are being met</li> <li>• Work in partnership to secure the coherent provision of high quality fundable further and higher education across the region</li> <li>• Provide leadership in equality and diversity</li> <li>• Ensure that the College conducts its operations in such a way, so far as is reasonably practicable, that employees, students and others who may be affected by its activities are not exposed to risks to their health and safety</li> <li>• Determine the Board's position regarding National Collective Bargaining and ensure that this is communicated to the Employers' Association.</li> </ul>

	<p>In observance of the Scheme of Delegation, the Regional Board reserves making decisions on the following matters to itself, upon advice from or recommendation by the relevant Committee where appropriate and must not be delegated:</p> <ul style="list-style-type: none"> <li>• determining the objectives of the Board</li> <li>• final approval of the College’s Strategic Plan and Regional Outcome Agreement</li> <li>• approval of the year-end Annual Report and Accounts</li> <li>• approval of the Annual Budget</li> <li>• final consideration of the Annual Audit Report</li> <li>• approval of the Strategic Risk Register</li> <li>• acquisition and disposal of heritable property, subject to approval of the SFC</li> <li>• <u>appointment of Board Members</u></li> <li>• <u>ensuring a formal and open procedure is in place for recruiting and selecting new non-executive Board Members, having regard to all relevant Ministerial Guidance on board appointments</u></li> <li>• <u>ensuring appropriate arrangements are in place for the appointment of Staff and Student Members</u></li> <li>• <u>appointment of the Senior Independent Member</u></li> <li>• appointment and removal of the Principal and Chief Executive</li> <li>• appointment and removal of the Secretary to the Board</li> <li>• approval of terms and conditions of appointment of Board Members</li> <li>• approval of the Students’ Association constitution and the election regulations for student officers</li> <li>• delegation of functions of the Board including remits of Committees and this Scheme of Delegation</li> <li>• the making, amendment and revocation of the Standing Orders of the Board</li> <li>• approval of the awarding of contracts over a value of £250,000</li> <li>• approval of the College’s capital programme.</li> </ul>
<p><b>1.4</b></p>	<p><b>Meetings/Reporting</b></p> <p>The Regional Board shall meet a minimum of four times per year. The Regional Board will normally hold two Strategy Events during each academic year.</p>



REGIONAL BOARD	
Meeting of 07 October 2020	
<b>Title: Programme of Business AY2020-21</b>	
<b>Author:</b> Pauline May, Secretary to the Board	<b>Contributor(s):</b> Executive Team
<b>Type of Agenda Item:</b>	
<b>For Decision</b>	<input checked="" type="checkbox"/>
<b>For Discussion</b>	<input type="checkbox"/>
<b>For Information</b>	<input type="checkbox"/>
<b>Reserved Item of Business</b>	<input type="checkbox"/>
<b>Purpose:</b> To enable the Regional Board to consider its Programme of Business for AY2020-21.	
<b>Linked to Strategic Goal:</b>	
<b>Linked to Annual Priority:</b>	
<p><b>Executive Summary:</b> The attached Programme of Business for AY2020-21 details the proposed schedule of key items of Board Business aligned to the College's annual reporting framework.</p> <p>The Programme will be added to as matters arise in-year. It is also proposed that the Executive Team revisit the Programme following the Board's Strategy Event in November 2020 to ensure that the agreed direction of travel and key strategic matters are reflected in the planned business for the Board in AY020-21.</p>	
<b>Recommendation:</b> It is recommended that the Board set the Programme of Business for AY2020-21.	
<b>Previous Committee Recommendation/Approval</b> (if applicable): None	
<b>Equality Impact Assessment:</b>	
<b>Positive Impact</b>	<input type="checkbox"/>
<b>Negative Impact</b>	<input type="checkbox"/>
<b>No Impact</b>	<input checked="" type="checkbox"/>
<b>Evidence:</b>	

**REGIONAL BOARD – DRAFT PROGRAMME OF BUSINESS AY2020-21**

Please note that the Programme of Business will be amended as required to include agenda items that arise throughout the academic year.

<b>04 &amp; 05 NOVEMBER 2020</b>
Strategy Event – Towards 2025
<b>16 DECEMBER 2020</b>
Risk Management Training
<b>For Decision</b>
Interim Strategic Statement/Document
Strategic Risk Register
<i>Audited Financial Statements 2019-20 (including Letter of Representation)</i>
<b>For Discussion</b>
Draft Outcome Agreement 2020-21 <i>(depending on timescales in new SFC guidance)</i>
<i>Aberdeen Skills and Enterprise Training Limited – Annual Report by Chief Executive</i>
<i>Appraisal of Regional Chair</i>
<i>Appraisal of Secretary to the Board</i>
<b>For Information</b>
Annual Report to the Regional Board by the Audit & Risk Committee
<i>SFC Credit Activity Update &amp; Forecast</i>
<b>24 MARCH 2021</b>
<b>For Decision</b>
Draft Outcome Agreement 2021-22 <i>(depending on timescales in new SFC guidance)</i>
External Effectiveness Review – Report & Action Plan
Equalities Mainstreaming Report <i>(incl. approval of new Equality Outcomes)</i>
<b>For Discussion</b>
KPIs 2019-20 <i>(Published SFC data &amp; College KPI Publications)</i>
Annual Priorities AY2019-20 – Final Update
<b>For Information</b>
Indicative Funding Allocation 2021-22
Campus Management Update
PREVENT Annual Report
<i>SFC Credit Activity Update &amp; Forecast</i>
<i>Principal's Performance Management Objectives- Update</i>
<i>Fellows &amp; Guest Speakers 2021</i>
<b>APRIL 2021 (Date TBC)</b>
Strategy Event
<b>23 JUNE 2021</b>
<b>For Decision</b>
Draft Annual Priorities 2021-22
Programme of Meetings 2021-22
Board Policies (Induction, Recruitment & Selection)
<i>Budget, Capital Plan &amp; Financial Forecast Return (including final Funding Allocation 2020-21)</i>
<b>For Discussion</b>
Strategic Risk Register
<i>SFC Credit Activity Update &amp; Forecast</i>
<b>For Information</b>
<i>Principal's Performance Management Objectives- Update</i>
<b>STANDING ITEMS</b>
Minutes of Previous Meeting
Matters Arising from the Previous Meeting
Report by the Regional Chair
Report by the Principal (to include National Collective Bargaining Update)
Report by Committee Chairs
Regional Board Programme of Business AY2020-21

*Red denotes Reserved Item of Business*





REGIONAL BOARD		
Meeting of 07 October 2020		
<b>Title: Governance Steering Group Update</b>		
<b>Presenter:</b> Ken Milroy, Regional Chair	<b>Author:</b> Pauline May, Secretary to the Board	<b>Contributor(s):</b> Governance Steering Group Members - Ann Bell & John Henderson; Neil Cowie, Principal & Chief Executive
<b>Type of Agenda Item:</b> <b>For Decision</b> <input checked="" type="checkbox"/> <b>For Discussion</b> <input type="checkbox"/> <b>For Information</b> <input type="checkbox"/> <b>Reserved Item of Business</b> <input type="checkbox"/>		
<b>Purpose:</b> To enable the Regional Board to consider an update from the Governance Steering, including a number of recommendations.		
<b>Linked to Strategic Goal:</b>		
<b>Linked to Annual Priority:</b>		
<b>Executive Summary:</b> The Board's Governance Steering Group met on 14 September 2020 and considered the following matters:  <b>Continuation of Chairs Committee</b> At its meeting on 08 April 2020, the Board approved the establishment of a Chairs Committee. It was agreed at this time that the Committee would be established in the short-term for the current COVID-19 situation, and that the Terms of Reference would be reviewed if the Committee was to be retained and become part of the Board's ongoing governance arrangements.  The Committee's Terms of Reference are attached as Appendix 1, with suggested amendments identified by the Governance Steering Group highlighted.  <b>Principal's Performance Management Objectives</b> Further information on this will be provided at the meeting of 07 October 2020 under Agenda Item 60-20.		

### **Regional Board Skills Matrix**

As agreed at the Board Meeting held in June 2020, a new format for the Board's Skills Matrix has been adopted, with all Members self-identifying their skills and knowledge against a number of key areas.

The completed Matrix has been noted by the Governance Steering Group, with the Regional Chair proposing to discuss the information and its use further with Committee Chairs in their Annual Development Meetings. It is also proposed that the Skills Matrix is considered as part of a planned session on Governance which will be held at the upcoming Board Strategy Event.

### **Board Member Recruitment**

Developments regarding this have been provided under Agenda Item 42-20.

### **External Effectiveness Review**

A requirement of the Code of Good Governance for Scotland's College is for Boards to undertake an externally facilitated effectiveness review every three years. Boards are required to

Attached as Appendix 2 is the guidance note issued to colleges summarising the process to be adopted.

The Governance Steering Group have discussed the facilitation of the Board's next Review and recommend that the Review be undertaken by MHA Henderson Loggie as part of the College's Internal Audit Programme for AY2020-21. The Review must, as a minimum cover the five areas of the Code of Good Governance with Board's able to add additional areas to be covered. The Governance Steering Group agreed that it is important to ensure that the Review provides both value for money and added value to the continuing development of the Board.

The Review report must be submitted to the SFC by the end of April 2021, following receipt of Members' approval at the Board Meeting in March 2021.

### **Appraisals of Regional Chair and Secretary to the Board**

Approaches for this year's Appraisal were agreed, with the processes underway. Feedback from the Appraisals will be shared with Members at the Board Meeting scheduled for 16 December 2020.

### **Appointment of Second Student Board Member for AY2020-21**

The Students' Association are currently concluded a process to appoint the second Student Member to serve on the Regional Board during AY2020-21. The Student Member will be in post and will have undertaken their Board Induction prior to their attendance at the Board's Strategy Event in November 2020.

**Recommendation:** It is recommended that the Board consider the information provided and, if so minded, approve:

- The adoption of the Chairs Committee as a permanent aspect of the Board's governance arrangements
- The revised Terms of Reference for the Chairs Committee

- The appointment of MHA Henderson Loggie to undertake the Board's next External Effectiveness Review
- The scope of the External Effectiveness Review – additional areas to be covered.

**Previous Committee Recommendation/Approval** (if applicable):

None

**Equality Impact Assessment:**

**Positive Impact**

**Negative Impact**

**No Impact**

**Evidence:**

CHAIRS COMMITTEE		
<b>1.1</b>	<b>Membership</b>	<p>Chair of Regional Board  Vice Chairs of Regional Board  Chair of the Finance &amp; Resources Committee  Chair of the Curriculum &amp; Quality Committee  Chair of the Human Resources Committee</p> <p><u>In attendance</u>    <u>Principal &amp; Chief Executive</u></p> <p><u>Advisors</u>        <u>The Group may consult with advisors as deemed necessary by the Chair. This may include the Chair of Audit &amp; Risk Committee and Members of the College's Executive and Leadership Teams</u></p>
<b>1.2</b>	<b>Quorum</b>	3 members
<b>1.3</b>	<b>Substitutes</b>	If a Chair is unable to attend a meeting, the Vice Chair of the respective Committee may attend in their place.
<b>1.4</b>	<b>Remit</b>	<p>The Chairs Committee shall:</p> <ul style="list-style-type: none"> <li>• provide support and guidance to the College's Executive Team and advice to the Regional Board</li> <li>• to act on behalf of the Regional Board in any matter which, in the judgement of the Regional Chair, requires urgent attention or decision.</li> </ul>
<b>1.5</b>	<b>Meetings</b>	The Chairs Committee will meet as required,

## Guidance Note – Conducting Externally Facilitated Effectiveness Reviews

### Scope

1. The recently update Code of Good Governance states that:

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

2. The Board Member Development Framework published in November 2015 offered guidance to the sector on board training and evaluation in general. This Guidance Note builds on that and provides more detailed guidance on conducting an externally facilitated evaluation of board effectiveness.
3. Every board will be slightly different and at a different stage of its own development. It is important therefore that the evaluation focuses on the issues of most importance to the development of the board but the review is also a mechanism to provide assurance to college funding bodies that the level of governance in each organisation is appropriate. It is suggested therefore that the output from an externally facilitated evaluation should be both a basic level of assurance relating to core governance requirements plus an agreed list of actions on areas that board members wish to develop their governance further.
4. This external evaluation process is not intended to duplicate routine work undertaken by internal auditors to assess the governance processes of the organisation either as part of the normal annual audit programme or in order to support the Annual Statement of Compliance in the annual report. Audit reports will however provide helpful background material and should be made available to the external facilitator if appropriate (see below).

### Evaluation Process

5. It is suggested that the effectiveness review should cover the five sections of the Code of Good Governance:
  - **Leadership and Strategy**
  - **Quality of the Student Experience**
  - **Accountability**
  - **Effectiveness**
  - **Relationships and Collaboration**
6. A board may choose to add to those topics if it so wishes. A summary of the detailed requirements covered in each section of the Code and two simple questions that a board may wish to use to evaluate itself are set out in Annex A.
7. The process of the review itself should include a number of steps:

Process
1. Board to agree the areas to be covered in the review (all sections of the Code as a minimum), the process and timescales required.
2. Recruit the independent facilitator who is to provide external validation and agree the proforma or questionnaire to be used.

<p>3. Board members and senior staff who work closely with the board, provide their views to the facilitator on (a) board performance to date (b) areas for future development using a proforma/questionnaire. This process can be done in a range of ways including:</p> <ul style="list-style-type: none"> <li>i. A board workshop is held that results in an agreed summary of views; or</li> <li>ii. Members and senior staff complete the proforma/questionnaire and the facilitator summarises the results; or</li> <li>iii. The facilitator undertakes 1 to 1 interviews with some or all board members and staff based on the proforma/questionnaire.</li> </ul>
<p>4. The facilitator pressure tests the views expressed at step 3 by, as a minimum:</p> <ul style="list-style-type: none"> <li>o Observing at least one board meeting.</li> <li>o Undertaking a desktop review of: <ul style="list-style-type: none"> <li>o a sample of board and committee remits, minutes, agendas and papers.</li> <li>o a sample of corporate documents to examine alignment between corporate objectives, the objectives of supporting strategies such as HR, estates and finance and the performance information coming to the board and its committees.</li> <li>o the risk register and a sample of recent audit reports.</li> <li>o the current board and board member development plans, appraisal and induction processes and the skills matrix used.</li> <li>o recent staff, student or stakeholder surveys and any board responses.</li> <li>o any audit reports on governance that are used to underpin the Statement of Compliance in the annual report.</li> </ul> </li> <li>o If step 3iii above is not chosen, conducting 1 to 1 interviews with a sample of board members and senior staff including a staff and student board member.</li> </ul>
<p>5. The facilitator draws up a draft report summarising the output for steps 3 and 4. The board is given an opportunity to discuss and comment on the facilitator's findings and to draw up an action plan for areas of development over the next 12 months.</p>
<p>6. A final report is provided by the facilitator to the board and the board chair writes to the relevant funding body as required by the Code of Good Governance.</p>

### External Facilitator

8. It is common across the public and private sectors for annual governance self-evaluations to be alternated every few years by an external review that is independent of the organisation and is used as a means of validating/calibrating the board's view of itself. A number of companies and individuals undertake this work. It is for each board to decide who it wishes to contract with but the successful person should meet the following minimum criteria:
- A clear understanding of how to undertake an external governance review of the type required.
  - Independent of the board and the college/strategic body being evaluated.
  - Expertise in board governance with knowledge of college sector governance issues and the requirements placed on its boards.
  - An ability to provide rigorous challenge to the board while developing a constructive relationship with it.
9. Each board will agree the terms of the contract with their reviewer but, as a rough guide, if the reviewer were asked to undertake steps 3-6 above, this might require 5-9 days of their time (step 3iii may require more days if chosen).

Code of Good Governance Criteria	Our performance in the last 12 months (including evidence)	Development required during the next year
<p><b>LEADERSHIP AND STRATEGY</b></p> <ol style="list-style-type: none"> <li>1. Board decisions and behaviour reflects the boards Code of Conduct and Nine Principles of Public Life.</li> <li>2. We determine the vision, direction, educational character, values and ethos of the college.</li> <li>3. Our performance management system is adequate, identifying KPIs and we monitor progress.</li> <li>4. Relevant stakeholders are engaged in compiling the outcome agreement.</li> <li>5. We provide leadership on ethics, equalities, diversity and staff welfare.</li> <li>6. We have regard to the social and economic needs of our area.</li> </ol>		
<p><b>QUALITY OF THE STUDENT EXPERIENCE</b></p> <ol style="list-style-type: none"> <li>1. The voice of students and the quality of their experience is central to our decisions including monitoring student surveys and any resulting action plans.</li> <li>2. We have open ongoing engagement with students, working in partnership and encouraging a strong independent student association having regard to the Student Association Framework.</li> <li>3. Our Student Association is adequately resource, operates fairly and in a democratic manner, fulfilling its duties; it has a written constitution that the board has reviewed in the last five years.</li> </ol>		

Code of Good Governance Criteria	Our performance in the last 12 months (including evidence)	Development required during the next year
<p>4. We are aware of and foster good relationships with partner organisations that help us provide coherent learning, including employability.</p> <p>5. Mechanisms ensure effective oversight of quality and inclusiveness of learning.</p>		
<p><b>ACCOUNTABILITY</b></p> <p>1. We fulfil our primary accountability to our funding body by:</p> <ul style="list-style-type: none"> <li>a. delivering our outcome agreement.</li> <li>b. fulfilling our statutory duty and terms of our grant.</li> </ul> <p>2. We fulfil our accountability to students, public, employers and our community for provision of education that enhances social and economic wellbeing.</p> <p>3. We manage conflicts of interest and disclose our register of interests.</p> <p>4. Our decision making is transparent, informed, rigorous and timely and associated documentation is adequate.</p> <p>5. Our scheme of delegation to staff and committees is clear and fit for purpose with appropriate two way communication with the board. We ensure:</p> <ul style="list-style-type: none"> <li>a. we have audit, remuneration, finance and nominations/appointments committees.</li> <li>b. the staff charged with advising each committee are clear.</li> <li>c. committee minutes go to the next meeting of the board.</li> </ul>		



Code of Good Governance Criteria	Our performance in the last 12 months (including evidence)	Development required during the next year
<p>6. We set the risk appetite, balancing risk and opportunity and this is known to senior staff.</p> <p>7. We ensure sound risk management and supporting review systems.</p> <p>8. The Audit Committee:</p> <ul style="list-style-type: none"> <li>a. Reviews the comprehensiveness, reliability and integrity of all our assurances on the governance, risk and control frameworks, engaging with internal and external auditors and monitoring any actions recommended.</li> <li>b. Members are all non-executive, objective and independent with at least one having recent relevant financial or audit experience.</li> <li>c. Can hold all or some of its meetings in private, meeting internal and external auditors privately at least once a year.</li> </ul> <p>9. The Remuneration Committee:</p> <ul style="list-style-type: none"> <li>a. Members understand their role and are trained in it: the chair is not also board chair.</li> <li>b. Implements a procedure agreed by the board for setting the principal's salary, including consulting staff and students.</li> </ul> <p>10. We ensure our body's sustainability, including compliance with the Financial Memorandum and the Scottish Public Finance Manual, ensuring adequate reporting and monitoring and economic, efficient and effective use of our funds.</p> <p>11. We ensure compliance with charities provisions.</p>		

Code of Good Governance Criteria	Our performance in the last 12 months (including evidence)	Development required during the next year
<p><b>12. As an employer we:</b></p> <ul style="list-style-type: none"> <li><b>a. promote positive employee relations.</b></li> <li><b>b. ensure effective management: union partnerships.</b></li> <li><b>c. comply with the Staff Governance Standard.</b></li> <li><b>d. comply with any national collective agreements placed on us.</b></li> <li><b>e. ensure fair and effective staff management.</b></li> </ul>		
<p><b>EFFECTIVENESS</b></p> <ul style="list-style-type: none"> <li><b>1. The board chair provides leadership and ensures board effectiveness, working well with the principal and board secretary.</b></li> <li><b>2. Our board and committees have the right balance of skills, experience, independence and knowledge of the college to fulfil their role effectively.</b></li> <li><b>3. We abide by collective responsibility, taking decisions in the interests of the body and managing conflicts of interest appropriately.</b></li> <li><b>4. Staff and student members are treated as full board members.</b></li> <li><b>5. We have an open and transparent process for recruiting and setting the performance measures for our principal; staff and students can contribute to it.</b></li> <li><b>6. There is a clear understanding of the responsibilities delegated to the principal and the respective roles of the chair, board members and executive staff.</b></li> </ul>		

Code of Good Governance Criteria	Our performance in the last 12 months (including evidence)	Development required during the next year
<p>7. The board secretary is:</p> <ul style="list-style-type: none"> <li>a. appointed by the board with the appropriate skills and experience and is not a member of the senior management team in any other capacity.</li> <li>b. available to advise all board members and committees and has adequate time to fulfil the role.</li> </ul> <p>8. We have a formal and open board member recruitment process that reflects Ministerial guidance.</p> <p>9. We have appropriate arrangements for student and staff member recruitment.</p> <p>10. All members undertake training tailored to their needs (including committee training), new members receive formal induction tailored to their needs and there are records of training.</p> <p>11. We review the board's effectiveness annually using a robust self-evaluation process, externally facilitated at least every three years.</p>		
<p><b>RELATIONSHIPS AND COLLABORATION</b></p> <p>1. We work in partnership at a local, regional and national level to:</p> <ul style="list-style-type: none"> <li>a. secure coherent education provision in our locality.</li> <li>b. achieve commonly agreed outcomes.</li> <li>c. develop agreed priorities.</li> <li>d. address local needs as well as national priorities and specialisms.</li> </ul>		



REGIONAL BOARD	
Meeting of 07 October 2020	
<b>Title: Modern Slavery Act Statement</b>	
<b>Author:</b> Peter D Smith, Vice Principal – Finance & Resources	<b>Contributor(s):</b> n/a
<b>Type of Agenda Item:</b>	
<b>For Decision</b>	<input checked="" type="checkbox"/>
<b>For Discussion</b>	<input type="checkbox"/>
<b>For Information</b>	<input type="checkbox"/>
<b>Reserved Item of Business</b>	<input type="checkbox"/>
<b>Purpose:</b> To enable the Regional Board to approve publication of the College's Modern Slavery Act Statement 2020.	
<b>Linked to Strategic Goal:</b>	
<b>Linked to Annual Priority:</b>	
<b>Executive Summary:</b> The Modern Slavery Act 2015 places a requirement on all businesses with an annual turnover in excess of £36M to publish an annual Modern Slavery Statement, approved by its governing body. A draft Statement is attached as Appendix 1.	
<b>Recommendation:</b> It is recommended that the Board consider and approve the publication of the College's Modern Slavery Act Statement, with any amendments, as appropriate.	
<b>Previous Committee Recommendation/Approval (if applicable):</b> Regional Board – December 2018, October 2019	
<b>Equality Impact Assessment:</b>	
<b>Positive Impact</b>	<input checked="" type="checkbox"/>
<b>Negative Impact</b>	<input type="checkbox"/>
<b>No Impact</b>	<input type="checkbox"/>
<b>Evidence:</b> The publication of the Statement demonstrates the College's commitment to equalities, and human rights, particularly in the College's supply chain. The use of national framework contracts and membership of Electronics Watch give substantial assurance of this.	

## **North East Scotland College Modern Slavery and Human Trafficking Statement**

### **Purpose**

This statement demonstrates the commitment of North East Scotland College and its subsidiary companies to the principles of the [Modern Slavery Act 2015](#) and specifically to section 54 (1). This statement will be reviewed each financial year in accordance with clause 6 of the Modern Slavery Act 2015.

### **College Policy and Statement**

North East Scotland College is committed to working towards the eradication of slavery and human trafficking. This document acknowledges the legislation and laws implemented by the Modern Slavery Act 2015 and details the steps that the organisation is taking to work towards the provision of the Act. We are committed to ensuring that there is no slavery or human trafficking in our organisation and supply chains. This statement reflects our commitment to acting ethically and with integrity in all our business relationships and to implementing and enforcing effective systems and controls to ensure slavery and human trafficking is not taking place anywhere in our supply chains.

### **Organisational Structure and Supply Chains**

North East Scotland College is the Regional College for the North East of Scotland, comprising the City of Aberdeen and Aberdeenshire. It provides education to a wide range of learners from age 14 to adult.

The College's subsidiary organisations include: -

- Aberdeen Skills and Enterprise Training Limited, providing specialist training to the Oil and Gas Industry; and
- Clinterty Estates Limited, currently dormant.

The College has a number of suppliers for various parts of the organisation. These include: -

- Agency staff including teaching and business support;
- Business partners;
- Apprentice employers;
- External contractors including facilities management, cleaners, construction, and caterers;
- Suppliers of goods, services and materials for teaching and business support;
- Printing of College promotional materials; and
- Advertising, including digital and print.

The College has adopted the Advanced Procurement for Universities and Colleges' (APUC) Sustainable Procurement Code of Conduct and we refer to this in our procurement exercises. The Code has been used in APUC Framework Agreements since its inception in 2013. Through APUC, the College is an associate member of [Electronics Watch](#) (an independent monitoring organisation working to achieve respect for labour rights in the global electronics industry through socially responsible public purchasing in Europe).

### **Due Diligence Processes**

The College is committed to ensuring there is transparency in our own business and in our approach to tackling modern slavery throughout our supply chains. We expect the same high standards from all of our suppliers, contractors and business partners, and this is assured through their agreement to follow College policies. We expect our suppliers to hold their own suppliers to the same high standards. We are satisfied from our own due diligence measures that there is no evidence of any act of modern day slavery or human trafficking within

our own organisation. The College's supplier approval process incorporates a review of the controls undertaken by the College's potential suppliers. The College will not knowingly support or deal with any businesses found to be involved with any acts of slavery or human trafficking. The College has a policy of zero-tolerance on matters of slavery and/or human trafficking and expects suppliers and associated businesses to comply with these values. The vast majority of the College's sources are from inside the United Kingdom and as such are less at risk of slavery and human trafficking issues. The College also has a policy for the protection of whistleblowers, to protect those raising the issue of slavery and human trafficking within the organisation or its suppliers. The steps we will take to further the goals of the Modern Slavery Act 2015 are: -

- Conducting risk assessments to determine which parts of the College and its suppliers are most at risk of modern slavery so that efforts can be focussed on those areas;
- Engaging with our suppliers to convey to them the College's position on modern slavery and to understand the measures taken to prevent modern slavery in their own businesses;
- Seek to introduce additional pre-screening measures for suppliers, where appropriate; and
- Publishing this statement and on the College's website to clearly display the College's support to end modern slavery.

### **Training, Awareness & Involvement**

The College actively engages with the multi-agency Serious and Organised Crime (SOC) group, to assist in promoting best practice and ensuring inter-agency approaches in tackling SOC.

Staff involved in procurement of goods and services attend training on ethical procurement.

The College publishes updates on slavery, human trafficking and ethical procurement on its intranet.

### **Responsibilities**

The Regional Board has overall responsibility for ensuring that this policy statement and its implementation comply with our legal and ethical obligations. At an operational level, responsibility for the prevention of modern slavery within the College and its supply chain rests with the College's Leadership Team. Managers at all levels are responsible for ensuring those reporting to them understand and comply with this policy statement.

### **Reporting Modern Slavery within the College or its Suppliers**

The College's whistleblowing and safeguarding policies are intended to provide guidance on how concerns can be communicated to the organisation. Concerns about suspected modern slavery associated with the College or its suppliers may be reported by employees in this manner. The aforementioned policies apply to employees and are published on the College Intranet.

### **Communication and Awareness**

This statement is displayed on the College website and on the College's Intranet, and all staff are required to read and indicate their understanding of it.

The Modern Slavery Statement will be reviewed annually by the College's Senior Executive Team.



REGIONAL BOARD	
Meeting of 07 October 2020	
<b>Title: Contract for the Provision of Facilities Management Services</b>	
<b>Author:</b> Peter D Smith, Vice Principal – Finance & Resources	<b>Contributor(s):</b> Mike Wilde, Facilities Client Services Manager; Colin Brodie, Purchasing Manager
<b>Type of Agenda Item:</b>	
<b>For Decision</b>	<input checked="" type="checkbox"/>
<b>For Discussion</b>	<input type="checkbox"/>
<b>For Information</b>	<input type="checkbox"/>
<b>Reserved Item of Business</b>	<input type="checkbox"/>
<b>Purpose:</b> To enable the Board to approve the award of the College's Facilities Management Contract for the period to 31 March 2026.	
<b>Linked to Strategic Goal:</b>	
<b>5. Optimise the use of our available resources to deliver financial and environmental sustainability.</b>	
<b>Linked to Annual Priority:</b>	
<b>Executive Summary:</b>	
<p>The College's externally contracted Facilities Management Service was due for renewal at 01 August 2020; however, due to the COVID-19 pandemic, the tender process was extended and bidders informed that the new contract would be effective from 01 April 2021. The tender process was amended to reflect this with bidders invited to submit revised bids based on the new timescale.</p> <p>The paper attached as Appendix 1 summarises the process undertaken to enable award and recommends that Mitie Technical Facilities Management Ltd be appointed as the College's contractor for the period stated.</p>	
<b>Recommendation:</b>	
It is recommended that the Board approve the award of the College's Facilities Management Contract to Mitie Technical Facilities Management Ltd.	
<b>Previous Committee Recommendation/Approval (if applicable):</b>	
None	
<b>Equality Impact Assessment:</b>	

**Positive Impact**

**Negative Impact**

**No Impact**

**Evidence:**



# Award of Contract for the Provision of Facilities Management Services

## 1. Introduction

- 1.1. This paper details the process undertaken to enable the Board to award the College's Catering Contract for the period 01 April 2021 to 31 March 2026, with the option to extend for a further two single year options, subject to performance. It recommends that the contract be awarded to Mitie Technical Facilities Management Ltd.

## 2. Background and Context

- 2.1. The College's Facilities Management Service has been provided by Mitie Technical Facilities Management Ltd since 2003, as the outcome of a competitive tendering exercise. The contract has been subject to tender a number of times since and was last tendered in 2015, with the current contract in place since 01 August 2015. The contract was due for renewal at 01 August 2020; however, due to the COVID-19 pandemic, the tender process was extended and bidders informed that the new contract would be effective from 01 April 2021. The tender process was amended to reflect this with bidders invited to submit revised bids based on the new timescale.
- 2.2. The following scope of contract is extracted from the Invitation to Tender documentation: -

**“1) Management** – The Contractor will provide a Property and Facilities Manager and appropriate on-site support team to provide the services including the provision of 24 hour emergency call out services. The management and monitoring of services provided by external contractors and suppliers including all sub-contractors engaged by the College is a key aspect of the specification. Management of the following services are also included: management of the College property, transport fleet, estates records and cleaning services.

**2) Property and Facilities Management Services** – The Contractor will deliver a comprehensive property management and maintenance service and advise on expenditure within the College's budget provision. Services will also include the provision of a manned service desk, a team of expert property inspectors and relevant trained specialists, access to professional services such as Surveyors, Architects and Engineers. The Contractor will provide the following appropriately trained tradespersons on-site: Electricians, Plumber, Painter, Joiners, Engineer, HVAC resource and Handyperson. Other services include: Revenue Monitoring System, Response Repair and Emergency Repairs, Planned Maintenance of Plant, Services & Equipment, Property Management Services, Selection of Contractors, Energy Management & Auditing, Electrical & Technical Maintenance, HSE Monitoring & Auditing and Asbestos Management Services.

**3) Cleaning Services** – *The Contractor will provide a full cleaning service across all the required College estate including all daily and periodical cleaning as required”...”External and internal window cleaning is included along with external cleaning and maintenance of all access and egress areas. High level cleaning of craft workshops is also included along with the provision and servicing of dust control mats and the provision and supply of all janitorial supplies.”*

### 3. Methodology

- 3.1. An open tendering exercise was undertaken, with an initial deadline of 20 April 2020 for return of submissions. With the amended timeline, this was updated to 11 September 2020.
- 3.2. Four submissions were received by the deadline, from BAM FM Ltd, FES FM Ltd, Mitie Technical Facilities Management Ltd, and Richard Irvine FM Ltd. All bids met all compulsory requirements so were able to be assessed against the College's scoring criteria. The scores were weighted 55% Quality and 45% Price. Quality evaluation considered matters in regard to Mobilisation and Transition, Contract Management and Technical Capability, and Health, Safety and Environmental Capability. The bids were scored individually by myself, Colin Brodie, Purchasing manager and Mike Wilde, Facilities Client Services Manager. All three individual scores resulted in Mitie Technical FM Ltd being the preferred contractor, and this was carried through to the combined average scores. A summary of the scores is shown below.

Supplier Name	Price Score	Quality Score	Total Score
<b>Mitie Technical FM</b>	<b>38.60</b>	<b>53.80</b>	<b>92.40</b>
<b>BAM FM</b>	<b>38.84</b>	<b>50.53</b>	<b>89.37</b>
<b>FES FM</b>	<b>37.34</b>	<b>45.16</b>	<b>82.50</b>
<b>Richard Irvin FM</b>	<b>38.28</b>	<b>45.01</b>	<b>83.29</b>

- 3.3. Alongside the scoring, due diligence was undertaken on both suppliers, including meeting the requirements of the European Single Procurement Document.
- 3.4. Mitie have performed well over the time of their association with the College. The new contract will allow for improvements in reporting and performance monitoring.

### 4. Financial Implications

- 4.1. Total contract value over the five-year period is £9.86M and is in line with current spend and budget. The Mitie bid allows for a variation that will reduce spend by £20k per annum and this will be considered by management prior to mobilisation.

## **5. Risk Commentary**

5.1. One of the principal reasons in outsourcing facilities management is to transfer risk, both in terms of financial volatility and quality and continuity of supply.

5.2. Retaining the incumbent contractor reduces risk during mobilisation.

## **6. Conclusion**

6.1. The tendering process has given a clear preferred contractor. The assessment team are confident that Mitie Technical Facilities Management Ltd will deliver a high quality service at NESCol.

## **7. Recommendation**

7.1. I recommend the Regional Board approve the award of the College's Facilities Management Service contract to Mitie Technical Facilities Management Ltd.

Peter D Smith  
Vice Principal Finance and Resources  
30 September 2020



REGIONAL BOARD	
Meeting of 07 October 2020	
<b>Title: Closure of Bank Account</b>	
<b>Author:</b> Peter D Smith, Vice Principal – Finance & Resources	<b>Contributor(s):</b> Jim Kirkwood, Financial Controller – Business Management
<b>Type of Agenda Item:</b>	
<b>For Decision</b>	<input checked="" type="checkbox"/>
<b>For Discussion</b>	<input type="checkbox"/>
<b>For Information</b>	<input type="checkbox"/>
<b>Reserved Item of Business</b>	<input type="checkbox"/>
<b>Purpose:</b> To enable the Regional Board to approve closure of the College's Lloyds Bank Corporate Current Account, 01673314.	
<b>Linked to Strategic Goal:</b>	
<b>5. Optimise the use of our available resources to deliver financial and environmental sustainability.</b>	
<b>Linked to Annual Priority:</b>	
<b>Executive Summary:</b> The College's Financial Regulations stipulate that the Regional Board must approve the opening and/or closure of any College bank accounts. The paper attached as Appendix 1 recommends closure of the former Banff and Buchan College bank account which has now ceased being used.	
<b>Recommendation:</b> It is recommended that the Board approve closure of the Lloyds Bank Corporate Current Account, 01673314.	
<b>Previous Committee Recommendation/Approval (if applicable):</b> None	
<b>Equality Impact Assessment:</b>	
<b>Positive Impact</b>	<input type="checkbox"/>
<b>Negative Impact</b>	<input type="checkbox"/>
<b>No Impact</b>	<input checked="" type="checkbox"/>
<b>Evidence:</b>	

**Lloyds Bank Account  
Proposal for Closure**

**1. INTRODUCTION**

- 1.1. This report provides Members with a recommendation on what has become a little-used Corporate Current bank account, 01673314 Lloyds Bank.
- 1.2. This Account was originally that used by Banff and Buchan College, which transferred to NESCol with the merger of the two Colleges.
- 1.3. The decision was taken to keep the account open and operational so that cash could be deposited at Fraserburgh; companies who pay directly to the bank account would not be inconvenienced; students who receive weekly bacs payments from the Shell programme would continue to be processed from Fraserburgh; and the account would be available as a back-up should NESCol's main account experience processing problems.
- 1.4. Over time, the volume of cash received at Fraserburgh has decreased and is now picked up by a security firm as opposed to being banked at the local branch by the College staff. The Shell weekly bacs payments are now run from Aberdeen. There have been no instances in the last few years that we have needed a backup account.
- 1.5. It has taken a lot longer than expected to get companies and Government Agencies to alter the account that they pay funds to the College, despite letters, requests, and discussions. It continued to be prudent to leave the account open so that the College had a means of collecting funds.

**2. SUMMARY**

- 2.1. The final organisation transferring funds to the College has at last made its annual payment to the College's main account in February 2020. Consequently there have been no receipts into the account for over a year.
- 2.2. Interest rates have substantially decreased, and as the major balance from the account was transferred to the College's main account, the value of interest being received monthly dropped to pennies. The College has had to continue to pay the £12 monthly service charge. The account is just dwindling Month on Month.
- 2.3. The balance in the account as of today 18 September is £61.88.

**3. RECOMMENDATION**

- 3.1. As this bank account is just costing the College money and is no longer used, we would recommend that authority be given to close this account, saving the College £12 per month.



REGIONAL BOARD	
Meeting of 07 October 2020	
<b>Title: NESCol Students' Association Constitution</b>	
<b>Author:</b> Susan Betty, Director of Learning	<b>Contributor(s):</b> Allison Lamont, Student Engagement Co-ordinator
<b>Type of Agenda Item:</b>	
<b>For Decision</b>	<input checked="" type="checkbox"/>
<b>For Discussion</b>	<input type="checkbox"/>
<b>For Information</b>	<input type="checkbox"/>
<b>Reserved Item of Business</b>	<input type="checkbox"/>
<b>Purpose:</b> To enable the Regional Board to consider a revised version of the NESCol Students' Association Constitution.	
<b>Linked to Strategic Goal:</b>	
<b>3. Work with our partners to deliver positive and sustainable change for the individuals, communities and businesses in our region.</b>	
<b>Linked to Annual Priority:</b>	
<b>Executive Summary:</b>	
<p>The Constitution is subject to review by the Students' Association, in partnership with the Regional Board, at least every five years, in accordance with the Education Act 1994.</p> <p>The purpose of the Constitution is to ensure that the Students' Association operates democratically, fairly is accountable to the student body. The document provides a framework for key operations, namely</p> <ul style="list-style-type: none"> <li>• Defining what the Students' Association can or cannot do</li> <li>• It indicates how the Executive Committee can act on behalf of students</li> <li>• It outlines how Association members can air their views and concerns</li> <li>• It explains the structures in place for the Students' Association to complete its work.</li> </ul> <p>In the review process, the Students' Association must seek Board approval for their strategies and approaches to ensure that it is democratically run, committed to its service is representative.</p> <p>A copy of the revised Constitution is attached as Appendix 1.</p>	

### **Key changes in the Constitution**

- Simplified language to make the document understandable to a wider audience
- The addition of a glossary of terms and an introduction
- The addition of appendices with supplementary and supporting text
- The updating of quorums and frequency of meetings
- The removal of any references made to the former Trustee Board
- Updated mapping of the Constitution to relevant College policies and procedures
- Amendments to reflect changes in practice, such as the move to electronic voting
- The removal of references to the Code of Conduct as officers are subject to the College's Student or Staff Codes of Conduct.

### **The Review Process**

In reviewing the Constitution, the Students' Association has considered:

- Constitutions from Fife College and Glasgow Kelvin College
- Feedback from NUS Development Consultant, Georgia Dennison
- Feedback and approval from incoming (AY2020/21) and outgoing Presidents (AY2019/20) and their Executives.

### **Final Document**

Following approval from the Regional Board, the Constitution and Schedules will be formatted by the Marketing & Communications Team into designed publication to also include a number of images.

### **Code of Practice**

The review of The Code of Practice, attached as Appendix 2. Is a duty placed on the Regional Board under the Informal Consolidation of the Education Act 1994 –

*(3) The governing body of every establishment to which this Part applies shall for the purposes of this section, prepare and issue, and when necessary revise, a code of practice as to the manner in which the requirements set out above are to be carried into effect in relation to any students' union for students at the establishment, setting out in relation to each of the requirements details of the arrangements made to secure its observance.*

Appendix 2 highlights a number of proposed amendments to the Code which reflect current practice for the Board's consideration.

### **Recommendation:**

It is recommended that the Board review, and if so minded, approve:

- the revised Constitution
- the revised Code of Practice.

### **Previous Committee Recommendation/Approval (if applicable):**

None

### **Equality Impact Assessment:**

**Positive Impact**

**Negative Impact**

**No Impact**

**Evidence:**



## **Constitution and Schedules of the North East Scotland College Students' Association**

### **Student Introduction**

The North East Scotland College Students' Association needs to have a Constitution which is a legal document that sets out:

- What the Association can or cannot do
- How it should operate
- How Members can raise their concerns or issue

NESCol SA works to represent all its Members. If you are enrolled as a full time students at NESCol then you are automatically a Member. Read about this in Membership in Section 2.

You can read here about the President and Depute President Posts, these are Sabbatical Officers. The students who support them are Elected Officers or the Executive. They are part of the Student Representative Committee. See Section 3.

On starting College you can choose to stand as a Class Representative. We support the Class Representative system and hold monthly Class Representative meetings. The Class Representatives can attend our monthly meetings and also make up the Class Representative Forum. See Schedule 3.

We hope that your experience at College is as good as it can be so we help support Clubs and Societies on Campus. You can read more in Schedule 5.

### **INTRODUCTION**

#### **1. Who We Are and What We Do**

We (hereafter referred to as 'The SA') are a Students' Association of the North East Scotland College (hereafter referred to as 'the College') within the meaning of the Education Act 1994.

The SA acts as a voice for our Members and their educational interests and welfare.

This Constitution is a legal document which sets out:

- (a) What the Association can or cannot do
- (b) How it should operate
- (c) How Members (students) can raise their concerns or issues

The Education Act (1994) requires the College's governing body (the Regional Board) to ensure that it takes all reasonable and practicable action to ensure that the Students' Association at the College operates in a fair and democratic manner and is accountable for its finances. The Constitution is an important document which explains how The SA will achieve this.

The Regional Board recognises The SA as a democratically run organisation committed to serving and representing the students of the College.

Funding that the SA receives helps us meet our Aims. The SA has two full time equivalent (2FTE) roles. These are a Regional President (1FTE) and a Depute or Deputes (1FTE role or two 0.5FTE roles). The sabbatical officers are supported by an Executive Committee of volunteers on each campus being the Campus Executive and coming together to form the Student Representative Committee (SRC).

Date approved: TBC

Takes effect from: TBC

To be reviewed by: 2025

Version: TBC

## **2. The Students' Association**

### **2.1 NAME**

The North East Scotland College Students' Association is a Students' Association within the meaning of the Education Act 1994. The SA acts as a voice for its Members and is devoted to their educational interests and well-being. North East Scotland College provides The SA with the funds to help facilitate the educational experience of the students.

### **2.2 AIMS AND OBJECTIVES**

2.2.1 The SA will:

- (a) Represent the interests of its Members (students) at local and national level
- (b) Work with Members and the College to ensure that every student has the best possible learning and wider student experience
- (c) Promote and coordinate clubs and societies and encourage participation in these
- (d) Represent student views to the College it's committees and contribute to the College's quality processes

(e) Undertake its responsibilities as outlined in the Post-16 Education (Scotland) Act 2013

2.2.2 We will operate free from any discrimination and will take actions to promote equality of opportunity and without the influence of any political party or religious organisation.

Any Member not upholding these aims may be dealt with under Section 3.3.3 Student Code of Conduct.

2.2.3 We will work in partnership with the College in line with our Partnership Agreement and our aims and objectives will be set out in our Strategic Plan.

## **2.3 POWERS**

The Association has the powers to:

(a) To appoint and replace Officers according to the Constitution, in line with the attached schedules

(b) To appoint Officers to sit on relevant College Committees and Action Teams

(c) Provide and promote activities, services and facilities to Members

(d) Raise funds and receive grants and donations

(e) To do anything which is lawful to achieve the objectives of The SA

(f) Trade whilst carrying out any other objectives and carry on any other trade which is not expected to lead to taxable profits

These powers will be limited by the budget allocation determined by the Regional Board.

## **2.4 MONEY AND PROPERTY**

2.4.1 Money and property must only be used to carry out the aims of The Association.

2.4.2 Executive Officers cannot receive any money or property from The Association other than:

(a) Reasonable expenses subject to approval of the Student Engagement Coordinator

(b) Salary payments and expenses paid to Elected Officers

2.4.3 Student Engagement Co-ordinator will supervise all Association finances.

2.4.4 The Student Engagement Co-ordinator will ensure that the annual budget, amendments to the budget, and all other short-term financial reports and financial proposals are discussed and approved by the Officers.

2.4.5 The Student Engagement Co-ordinator and Sabbatical Officers will prepare Budget Papers for the Curriculum and Quality Committee in February of each year, as requested by the Regional Board.

2.4.6 The financial activity of The Association must follow the College's procurement and financial procedures.

## **2.5 MEMBERSHIP**

2.5.1 The SA's Members are:

- (a) All students aged 16 and over who are enrolled at the College and have not opted out of Membership of The SA; and
- (b) Our Sabbatical Officers, that is the SA Regional and Depute President(s) who are our elected and paid representatives.

2.5.2 The SA's Members can:

- (a) Attend, vote and speak at SA meetings
- (b) Vote in SA elections
- (c) Hold voluntary posts with the SA
- (d) Use the SA's facilities (except in circumstances where this may impact on the SAs ability to ensure it complies to Information Governance and GDPR regulations)
- (e) Take part in the SA's activities
- (f) Hold office in clubs and societies

2.5.3 Registered students of NESCol under the age of 16 (although not able to be Members of the SA) can take part in certain activities, as agreed by the SRC. Students under the age of 16 will not be given an NUS card or a card bearing the NUS logo. They may, however, apply via the SA for Associate Membership. Due to employment law, Members must be at least 16 years old to hold a Sabbatical Officer position.

2.5.4 An Associate Membership can be applied for by the following:

- (a) Any registered student of NESCol under the age of 16. This form of Membership shall revert to that of a full SA Member upon the student attaining the age of 16, unless the student advises they do not wish to be a Member.
- (b) Acceptance of Associate Membership application is subject to the normal rules of the SA.

2.5.5 Association Members cannot transfer their Membership to anyone else. Membership will automatically end when:

- (a) The Member ceases to be a registered student, or
- (b) The Member provides written notice to The SA that they do not wish to be a Member of the SA, or
- (c) In the case of Members who are not elected Student Officers, a decision is made at an SRC meeting where two thirds of those present decide that the student should be expelled, as continuation as a Member could be harmful or prejudicial (or likely to be harmful or prejudicial) to the SA.

Regarding (c), The SA will provide the student with at least 14 days' written notice before this decision. The notice will explain the grounds on which the intended expulsion is being sought. The student will be provided instructions on how to appeal any such pending decision or any decision made following the SRC meeting.

2.5.6 We welcome contributions from all Members in driving The Association. Students may contact any of our elected officers if there is an issue they wish to raise.

### **3. The Running Of The Students' Association**

#### **3.1 ELECTIONS AND REFERENDUMS**

3.1.1 In line with the Education Act 1994, all office holders will be elected by a secret ballot of Association Members.

3.1.2 The way in which elections will be run is outlined in Schedule One of this Constitution.

3.1.3 The Sabbatical Officers will be elected between the months of March and May during each calendar year in accordance with Schedule One.

3.1.4 In line with Education Act 1994 no Member will hold a Sabbatical Officer post for more than two years.

3.1.5 Referendums can be held once in any year on a single topic and requests submitted to the SRC with 200 verified Member signatures. Details are in Schedule One.

#### **3.2 OFFICE HOLDERS**

3.2.1 Sabbatical Officers. The SA has 2FTE office holders. These roles are Sabbatical Officer roles and will be salaried. The current roles are:

- (a) Regional President

(b) Depute President(s)

3.2.2 The Sabbatical Officers will be elected Members.

3.2.3 The number, structure and main responsibilities of the Sabbatical Officers will be agreed by the student body or its representatives and in keeping with The Association's budget.

3.2.4 The Sabbatical Officers will represent the interests of all students but will have primary responsibility for students on the campuses to which they are elected.

3.2.5 The Sabbatical Officers will have a job description and Statement of Main Particulars issued by the College as their employer and agreed by the SA and Executive, aided by a Memorandum of Understanding which explain how Sabbatical Officers are accountable to the College's terms and conditions of employment, policies and the SAs Constitution (and other SA documentation were applicable).

3.2.6 Executive Officers and Campus Executives are groups of students appointed to represent the interests of students at Aberdeen Altens as one campus and Fraserburgh and satellites as the other.

3.2.7 All Members can join the SA's Campus Executives. There are a variety of roles all of which help deliver the work of the SA. The Campus Executives are made up of a team of voluntary, unpaid, part time Executive Officers. Roles and remits are subject to change as dictated by the student body, but may include:

(a) Health and Wellbeing Officer(s)

(b) Events and Activities Officer(s)

(c) Communications Officer(s)

(d) Environmental Officer(s)

(e) Equality and Diversity Officer(s)

3.2.8 A role can be held by more than one Member. However, a volunteer can only hold one role at a time.

3.2.9 Representatives of the Students' Association must make all reasonable efforts to ascertain representative views and concerns of students across the wider College and ensure those views are made known to the Students' Association and staff of NESCol and its administration.

3.2.10 Executive Officer roles will be offered to students in October of each year by The SA Student Engagement Co-ordinator and appointments made, following written Expressions of Interest

submitted by Members following attendance at a compulsory Briefing Session. The Sabbatical officers will take part in this selection process.

Appointments will be limited to 3 students per role per campus. If expressions of interest exceed the number of roles available, the roles may be shared amongst a group of students to work collaboratively subject to the SAs capacity.

3.2.11 Additional Roles. The SA will establish a number of dedicated volunteers who will assist the Sabbatical Officers in the discharge of their duties, as and when required. These volunteers will be issued with a Volunteering Agreement and Volunteering Handbook.

3.3.1 Members of the SA, as students, will continue to be accountable to the Colleges' Student Code of Conduct. The Student Code of Conduct and The Student Disciplinary Policy and Procedure sets out consequences for a breach of the Code of Conduct. Any breaches could include suspending or removing any or all rights and privileges of Membership of the SA (including ability to hold office).

3.3.2 Sabbatical Officers, as employees of the College, will be accountable according to the Memorandum of Understanding.

3.3.2 Sabbatical Officers and Executive Officers will no longer be Officers if:

- (a) They resign by giving notice to the Committee they sit on
- (b) They fail to go to two Committee meetings in a row without sending apologies
- (c) A motion of no confidence in the campus Sabbatical Officer is passed by a 66% majority in a vote of their SRC
- (d) In the case of someone in a sabbatical post, if a motion of no confidence is passed by a 66% majority of a general meeting
- (e) Employment ceases for whatever reason.

### **3.4 COMMITTEES**

3.4.1 The Student Representative Committee (SRC)

3.4.1.1 Members of the Student Representative Committee will consist of the Sabbatical Officers and the Members of Campus Executives.

3.4.1.2 The Student Representative Committee will be chaired by a Sabbatical Officer to be determined by the SRC but this position would usually fall to the Regional President.

3.4.1.3 The strategic direction of The SA is set by the students as a membership body. Students will be engaged with this process through the SRC.

#### 3.4.2 The Class Representative Forum

3.4.2.1 There will be a Class Representative Forum for each main campus of the College.

3.4.2.2 The Class Representative Forum will meet once per academic block and will be additional to the Class Rep monthly Meetings

3.4.2.3 Every class or tutor group will be entitled to send two elected representatives to Class Representative Forum meetings. The Class Representatives are responsible for:

(a) Helping the Student Representative Committee carry out their work and holding them accountable

(b) Helping to set the SA's policy

(c) Acting as a consultation forum for raising matters with the College by raising issues that are of concern to Students with their Sabbatical Officers.

3.4.2.4 The Membership and procedures of the Class Representatives will be set out in the schedules.

### **3.5 Meetings**

3.5.1 Annual review meeting and Extraordinary General Meetings (EGM)

3.5.2 The SA will hold an annual event, in each academic year, for Members at which it will review activities, aims and objectives and account for budget spend. It may not be branded as an ARM or AGM but the purpose will remain the same. For the purpose of this Constitution, references to 'general meeting' will include Annual Review Meetings and EGMs.

3.5.3 The SA via the Student Representative Committee will give Members and at least 14 calendar days' notice of the place, day and time of any general meeting and details of the agenda.

3.5.4 There must be at least 15 Members present at a general meeting.

3.5.5 The Chairperson of these meetings will be the Regional President.

3.5.6 Every Member will have one vote and decisions will be made on a simple majority, that is 50% +1, unless the Constitution says otherwise. The chair will have the casting vote.



3.5.7 EGMs will be called when an urgent matter needs to be discussed or resolved and a minimum of 48 hours given for an EGM to be held.

3.5.8 EGM's will be convened by the President at the written request of the following:

(a) By the SRC at any time

(b) The SRC receiving a requisition to hold an EGM, signed by at least 100 Members

who have the right to attend and vote at general meetings

#### **4. Administration and Governance of the Students' Association**

##### **4.1 GOVERNANCE**

4.1.1 The College's Regional Board's responsibility includes:

(a) Ensuring the SA operates in a fair and democratic manner. This includes ensuring elections are democratic and that the Constitution enables the SA to carry out its aims and objectives.

(b) The SA is accountable for its finances. The Regional Board will approve the SA's budget annually.

##### **4.2 AFFILIATIONS**

4.2.1 Being affiliated to other organisations

4.2.2 Any proposal to affiliate to another organisation must be approved by the Members at a general meeting.

4.2.3 We will inform our Members and the College about all new links to other organisations, including the name of the organisation and the fee to be paid. Subject to The SA budget.

4.2.4 We will include details of all links to other organisations, including the names of the organisations and each fee paid, in our Annual Report (to be prepared by the Student Representative Committee). Our Annual Report is available to all our Members and to the College.

4.2.5 If our Members want to object to a current link to any particular organisation, they must present a petition, signed by at least 100 Members, to a Sabbatical Officer.

4.2.6 We will call a general meeting on the issue and hold it in line with the Schedules. We cannot hold another general meeting about the matter in the same Academic Year.

### **4.3 AMENDMENTS**

4.3 The Sabbatical Officers will review this Constitution every five years from the date of this Constitution. Any amendments will be submitted to the Regional Board for approval as per their role outlined in 4.1.

### **4.4 INTERPRETATION**

4.4.1 If anyone challenges any part of this Constitution, this is to be raised with the SA Regional President. They will then hold discussions regarding the challenge with the other Sabbatical Officer(s) and the Student Engagement Co-Ordinator.

4.4.2 If a Member of our SA is not satisfied with any decision, or either of the Student Representative Committee does not agree, they may appeal to the Board of Management, whose decision will be final. To avoid a conflict of interest the Sabbatical Officers will not be present.

## **5. SCHEDULES**

This section gives further operational details in relation to how things get done.

### **5 ELECTION RULES (SCHEDULE ONE)**

5.1 It is important that elections are run fairly and democratically. This Schedule outlines the process for all elections of The SA. It also outlines the procedure to follow if a vacancy arises in any position. The vacancies would be for Sabbatical Officers who are paid and are full time, that is the President and Deputy President(s) and for Officers who would be voluntary and part time.

5.1.1 The elections of the Sabbatical Officers and any other Elected Officers of the SA would be carried out in accordance with these regulations.

5.1.2 The SA's Student Engagement Co-ordinator will administer the Election process, and current elected Officers will not be involved in the management or administration of the Election, except in its promotion.

5.1.3 The Elections will be by secret ballot of all Members of The SA.

5.1.4 The voting system used will be Single Transferable Voting, with all Candidates ranked in order of preference.

5.2 In addition to the Regulations, The SA must comply with.

5.2.1 The College rules, regulations and policies (including but not limited to IT, Health and Safety, bullying and harassment etc.).

5.2.2 SA rules, regulations and policies; and

5.2.3 All Scottish legislation. Collectively referred to as “the rules”.

5.2.4 Elections for the Sabbatical Officers will be held between March and May of each year and elections or appointment of other Officers will be held between August and October of each year.

### **5.3 THE RETURNING OFFICER**

5.3.1 The National Union of Students will appoint a Returning Officer from the NUS upon the SA registering for the Election Service.

5.3.2 The Returning Officer may appoint nominees from within the College to act on their behalf in the day-to-day supervision of the elections.

5.3.3 The SA’s Student Engagement Co-coordinator as Depute Returning Officer will carry out the following, on behalf of the Returning Officer.

5.3.4 Oversee the procedure for the acceptance of nominations and publication of valid nominations.

5.3.5 Fix the date of the elections which will be then ratified by the Student Representative Committee.

5.3.6 The publication of the notices giving information about the date of the elections, and the arrangements for the elections.

5.3.7 Supervise and conduct the count.

5.3.8 Oversee the announcement of the result.

### **5.4 ELIGIBILITY FOR OFFICE – SABBATICALS**

5.4.1 The Presidents or Sabbatical Officers will be paid elected Members who have just completed their studies at North East Scotland College, or who are taking a year out from their studies at North East Scotland College or in the case of part time posts are currently a student of North East Scotland College.

5.4.2 You will need to provide us with your full name and Student Number. We will then confirm that you are a current student with the College and over 16 years of age. Where there is doubt we may seek:

1) A letter from an institution confirming your student status

2) A scan of your valid student card

5.4.3 You need to make sure you read the role profile in the Election Pack to understand what the role involves and what would be expected of you should you be elected. In the event of you being successfully elected you will be required to sign an employment agreement with North East Scotland College and adhere to North East Scotland College policies and procedures. You will also be asked to apply for PVG status through Disclosure Scotland.

## **5.5 NOMINATIONS**

5.5.1 Eligibility for the elections will be as follows:

a) Each Ordinary Member will be eligible to stand as a candidate for the position of Sabbatical Officer and Executive Officer.

b) Each Ordinary Member registered at one of the Altens or Aberdeen City Centre Campuses will be eligible to stand for Sabbatical Officer in respect of that area, or as a Member of the Local Campus Steering Group (Executive) for that area.

c) Each Ordinary Member registered at Fraserburgh Campus and satellite centres will be eligible to stand for Sabbatical Officer in respect of that area, or as a Member of the Local Campus Steering Group for that area.

d) A candidate may only stand for election for one Officer post within any SA Election.

5.5.2 The Student Engagement Co-ordinator will post a notice on The SA's Blackboard site or other current student portal at least eight College term-time days before the date on which nominations open stating.

a) The period for nominations;

b) The posts for which nominations can be made;

c) Places from which nomination forms can be obtained; and

d) Places to which completed nomination forms must be returned.

5.5.3 Candidates must submit a manifesto or similar and guidance will be made available in Election Packs. All manifestos received will be collated and published by the SA.

5.5.4 On closing of the nominations, the Depute Returning Officer will inspect all nominations and manifestos and verify that they comply with the Rules and Regulations. Any points of conflict or ambiguity will be clarified with the Returning Officer.

5.5.5 The Depute Returning Officer will draw up a list of candidates after the close of the nominations and will post a notice on the SA Notice Boards, Blackboard or relevant student VLE, Social Networking sites, via All Student Email and by any other appropriate means as soon as is reasonably practicable stating the date of the election and the arrangements for voting.

5.5.6 Where appropriate the Depute Returning Officer may allow electronic voting to take place in tandem with or instead of manual voting procedures. Electronic voting will be the preferred process.

5.5.7 The Returning Officer or the Depute Returning Officer will, as soon as possible following the close of nominations and confirmation of candidates, arrange a meeting at which they will brief the candidates the election process and procedures. All candidates will be afforded an opportunity to ask questions relating to the election at the end of the briefing.

5.5.8 If a candidate is unable to attend the Candidate Briefing for reasons acceptable to the Returning Officer/Depute returning officer, the Depute Returning Officer will take all practicable steps to give them the opportunity to access the same materials.

5.5.9 All Candidates are expected to attend the Candidate Briefing. If a Candidate fails to attend the Candidate Briefing without sending apologies, they may be subject to sanctions at the discretion of the Returning Officer.

## **5.6 CAMPAIGNING**

5.6.1 As soon as is reasonably practicable following the close of the nominations, a list of valid nominations and manifestos will be published by the SA on the relevant mediums which may include the SA Notice Boards, BlackBoard and via All Student Email.

5.6.2 The campaigning period will commence at the end of the Candidates' Briefing at a time announced by the Depute Returning Officer and will end at the close of voting.

5.6.3 Any coverage of the elections by the SA via whatever means or media will be fair and balanced providing equal exposure to all candidates, as far as reasonably practicable.

5.6.4 Each candidate will be awarded a small budget from the SA (where budget provides for this) for canvassing materials. Finances will be confirmed at the Candidates' Briefing. Any candidate exceeding the allocated budget will not be reimbursed for overspend.

5.6.5 Campaign materials are anything that promote your candidature or discourages others from voting for your opponents. These include, but are not limited to, flyers, posters, banners, T-shirts and bags. It also includes costs involved in online activity such as paid for social media campaigning. Candidates may be asked to produce receipts of their expenditure and may be asked to ensure that

any goods/services received are available to all candidates and not only a result of special relationships with suppliers.

5.6.6 No offensive or derogatory election material will be produced during the campaign by any candidate.

5.6.7 The Depute Returning Officer and Depute Returning Officer reserve the right to remove any Election material which in their reasonable opinion is inappropriate.

5.6.8 "Candidate's Question Time" will be held at a designated time following the Candidates' Briefing and will be chaired by the Depute Returning Officer.

5.6.9 Each Candidate is encouraged to attend "Candidates Question Time".

5.6.10 Candidates' travel to and from the "Candidates Question Time" locations will be paid for from the SA election budget in order to ensure all candidates have the opportunity to take part in "Candidates Question Time".

5.6.11 SA resources must not be used to promote a particular candidate's campaign.

5.6.12 If they are unclear how a rule applies in a particular situation, Candidates are expected to seek clarification from the Depute Returning Officer before acting.

5.6.13 College and SA staff must not show preference or support for a particular candidate.

## **5.7 ELECTION**

5.7.1 The elections in respect of the Sabbatical Officers will be held no later than the final Friday in May of each Academic Year.

5.7.2 Any other election(s) must take place by the third Thursday in October of the relevant year. The SRC procedure for nominations and campaigning (above) will apply.

5.7.3 If any Sabbatical positions are still vacant, an emergency by-election will be held in accordance with the Election Regulations until these roles are filled.

5.7.4 If the position that is required to be filled is that of a Sabbatical Officer position then the unanimous vote would be required from the Student Representative Committee.

5.7.5 In any case the Ordinary Member, Officer or Executive Officer would be required to complete the relevant Nomination Form and submit a manifesto for the relevant

Executive Committee (Campus or Regional) to review.

## **5.8 VOTING**

5.8.1 The responsibility for ensuring that voting is conducted in accordance with the provisions of this Schedule will rest with the Depute Returning Officer in the first instance.

5.8.2 Voting will take place at the appropriate voting stations and/or electronically at times to be determined by the Depute Returning Officer.

5.8.3 The location and arrangements of voting stations and the list of candidates will be publicised by the SA as an absolute minimum as soon as is reasonably practicable.

5.8.4 All Members (excluding Associate Members) registered at a Campus may vote for the post of Sabbatical Officer in respect of their Campus, Depute and all other Officer roles that are available at that time.

5.8.5 Votes will be cast by secure electronic means.

5.8.6 Ballot papers will bear the name of each Candidate, the position being contested and a suitable space for indicating the voting preference of the voter.

5.8.7 Voting will be carried out by one of two means:

a) Placing all, or some, of the candidates in the voter's numerical preference, with '1' being first preference.

b) Where a number of vacancies exist on one ballot paper, each voter may only vote for the number of vacancies which exist. Ballot papers will bear a brief description of the voting procedure.

5.8.8 There will be an option on the ballot paper entitled "Re-Open Nominations" ("RON").

5.8.9 RON, for the purposes of the count, will be treated as a candidate, though will not be allowed a publicity budget as allowed to the other candidates in the election.

5.8.10 If RON wins the election, then the election will be re-run at a date to be determined by the Depute Returning Officer.

5.8.11 In the event of a re-run of the election, RON will again appear as an option on the ballot paper.

5.8.12 In all non-electronic elections, adjustments will be made to ensure no voter will be at a disadvantage.

5.8.13 Candidates and their supporters should not be in the immediate vicinity of a voter when they are in the act of casting their vote.

## **5.9 ADMINISTRATION**

5.9.1 The Depute Returning Officer and will administer the count with the option of inviting the Returning Officer, however, the Returning Officer should be notified of the result and/or invited to the announcement.

5.9.2 A quota will be calculated as follows:

- 1) The quota will be determined by dividing the total number of valid votes, having taken into account Clause 4.9.5, by the number of positions available (plus one).
- 2) In the event the quota contains a decimal it may be rounded up or down as the Depute Returning Officer sees appropriate.

5.9.3 If the candidate reaches the quota on the first count then they will be deemed to be elected to that post.

5.9.4 If no candidate has yet reached the quota, the votes will be redistributed in accordance with Electoral Reform Society Scotland's and NUS Scotland's guidance.

5.9.5 In the event that the paper ballot count results there are fewer than five votes of a difference, there will be an automatic recount of any paper ballots.

5.9.6 In the event of a tie at the exhaustion of all transferable votes the candidate with the highest number of first preferences will be deemed the winner. If these are tied a coin toss will decide the election outcome.

5.9.7 The Depute Returning Officer will be responsible for announcing and publicising the results of the election by any reasonable means or medium they will deem appropriate.

5.9.8 The results will become official 48 hours after they have been posted provided that no complaint has been lodged with the Depute Returning Officer. In the event of a complaint being received by the Returning Officer, the results will be suspended until the complaint has been resolved.

## **5.10 CANDIDATES**

5.10.1 Candidates already in office will be given the same privileges and restrictions as any other candidates in the election.

5.10.2 Candidates may only benefit from what is openly available to all candidates.



## **5.11 TENURE OF OFFICE**

5.11.1 The tenure of office for Sabbatical Officers will be a 12-month consecutive period commencing 1st July in the same year as the election from which they were elected to that post. For other elected officers the term of office will be from the date on which the individual was elected until the end of the academic session in which the election took place.

5.11.2 Incoming Sabbatical Officers not already in office will have a handover and training period in the month prior to start of tenure. This should be an optimum of 10 hours and should not exceed 15 hours.

5.11.3 Depending on their original College status and the Education Act 1994, Section 22, the Sabbatical Officers may stand for re-election at the close of their first tenure of office.

5.11.4 The maximum period of office of Sabbatical Officers which may be held by an individual Candidate is two tenures in a single position.

5.11.5 There will be no restriction on the number of times that other Officers of the SA may stand for re-election.

## **5.12 REFERENDUMS**

5.12.1 The SRC will have the final say on whether or not a referendum will proceed.

5.12.2 The language of a referendum must be worded neutrally and can be answered by a simple "Yes" or "No".

5.12.3 The referendum will be held in accordance with Schedule One.

5.12.4 Referendum results can be considered advisory or binding for the SA;

a) Binding referendum requires the SA to write a position paper that outlines the stance of the student body to the College in support of the referendum.

b) Referendum results are considered binding if the vote receives 66% or more students voted "yes" from the total amount of students that voted.

c) If a referendum is not binding, it is considered advisory and The SA can choose under its own volition whether it supports the resolution.

In either case the results of the referendum vote will be released to the College and student body.

## **5.13 COMPLAINTS AND APPEALS**

5.13.1 The procedure for the consideration of complaints relating to elections will be as follows:

- a) No one involved in a candidate's campaign will be involved in the appeals procedure;
- b) Formal complaints must be submitted in writing with any supporting evidence to the Returning Officer.
- c) The Returning Officer reserves the right to investigate any unsound activity and make any rulings which are fair and reasonable in all the circumstances.
- d) The Returning Officer will investigate any formal complaint within the terms of the Regulations and decide what action will be taken, including but not limited to the disqualification of any candidate concerned, or the annulment of the relevant election.

5.13.2 Any complaint against the conduct or administration of the election should be received by the Depute Returning officer for onward referral to the Returning Officer before the start of the count.

5.13.3 A challenge or complaint during or following the count, must only relate to the conduct of the count, and be lodged with the Depute Returning Officer who will refer this to the Returning Officer resolve the complaint within 48 hours of it being lodged.

5.13.4 The ruling of the Returning Officer on any complaint will be final.

5.13.5 The role of the College's Regional Board is one of oversight one and is to ensure that democratic processes have been followed.

## **6. Financial Procedures (Schedule Two)**

### **6.1 BUDGETS AND FINANCIAL STATEMENTS.**

6.1.1 Staffing and Operational budgets will be made available to the Association upon submission of a Budget statement annually to the College's Curriculum and Quality Committee.

6.1.2 Budget will be subject to College procedures and administered by the College's Finance Department.

6.1.3 Regular meetings will take place between the SA Student Engagement Co-ordinator and College's Finance Department to review budget.

6.1.4 The SA remain accountable to the College, College's Regional Board and Members for their finances.

6.1.5 Budgets will be drawn up for all areas of proposed expenditure in February for consideration by the Curriculum and Quality Committee. These areas will be determined by the Executive supported by the SA Student Engagement Co-ordinator.

6.1.6 The Sabbatical Officers with support from the Student Engagement Co-ordinator, will provide North East Scotland College with a financial statement at least once a year and more frequently if required as a condition of grant or as requested.

6.1.7 No Member of the SA or the SRC will under the age of 18 will sign any contract or financial agreement, authorise any expenditure, take responsibility for any budget, sign cheques or make any financial decisions.

## **6.2 CONTRACTS**

6.2.1 Any contract or ongoing financial commitment must be made in keeping with any relevant College financial procedures and or tendering legislation.

6.2.2 No financial agreement (e.g. a leasing contract) may be entered into which involves a financial commitment beyond the term of office of the SRC.

6.2.3 All contracts will have two signatories and will be signed by:

- a) The Sabbatical Officer; and
- b) The Student Engagement Co-ordinator

## **6.3 LOAN ARRANGEMENTS**

6.3.1 No loan arrangements will be entered into by the SA.

## **6.4 SECURITY AND INSURANCE**

6.4.1 The SA will be responsible for maintaining proper security at all times for all stock, stores, furniture, equipment, cash etc., under its control.

6.4.2 The College will inform The SA in any case where security is thought to be defective or where it is considered that special security arrangements may be needed.

6.4.3 The College will be responsible for ensuring that proper insurance cover is undertaken, including fire risks, theft, damage and loss etc. of property and employers' liability.

6.4.4 The SA will comply will all College Health, Safety and Security policies, procedures, advice, guidance and legislation.

## **6.5 EVENTS**

6.5.1 All events undertaken or provided by the SA must be costed and budgets prepared.

6.5.2 Annually, The SA will, in consultation with the SRC, draw up a proposed programme of events/entertainments. This will form the basis of all events/ entertainment's expenditure.

6.5.3 Records of all expenditure are kept within College system. The Student Engagement Co-ordinator should share ,on an ongoing basis, the budget statements provided by the College's Finance Department. The SRC is responsible, under the direction of the Student Engagement Co-ordinator, for ensuring that agreed budgets are not exceeded, unless the necessary approval has been given before the proposed expenditure.

## **6.6 EXPENSES TO ASSOCIATION MEMBERS**

6.6.1 Any Member of The SA may receive expenses for certain costs incurred whilst on SA business. This needs to be approved in advance by the Student Engagement Co-ordinator.

6.6.2 Expense claims must be authorised and approved by the Student Engagement Co-ordinator

6.6.3 Expenditure relating to expenses will be reported to the SRC as part of the financial report.

## **6.7 DONATIONS**

6.7.1 The SA will not make donations or affiliations to any organisation outside the aims and objectives of the SA. The SA may allow for its facilities to be used for special events which raise money for a specific charity or cause. Only the net profit from such events may be passed to the charity.

6.7.2 The SA may provide a donation to a Member or group of Members, if the budget permits, such funds will be limited to support Clubs or Societies or in relation to academic events or activities.

## **7. Committees (Schedule Three)**

7.1 The Student Representative Committee as required by The SA Constitution will be established in accordance with this Schedule. The Student Representative Committee (the "SRC").

7.1.1 The SRC will have a Membership made up of the elected Officers from all Campuses and the Sabbatical Officers.

7.1.2 The SRC will be chaired by one of the Sabbatical Officers. It will be a rolling chair. It will be decided at the first meeting who will chair. In the absence of the Chairperson, one of the other Sabbatical Officers will take the Chair.

7.1.3 The Chairperson will not get a vote unless the vote is split. In the circumstance of a split vote, the Chairperson will then be allowed to cast the final deciding vote.

7.1.4 A meeting of the SRC will be held at least once every three months, but it can be held more often if required.

7.1.5 The quorum for the SRC will be 50 % +1.

7.1.6 The SRC will run the Students' Association on a day-to-day basis in line with the Constitution and its Schedules, any relevant legislation and any decisions the Members make at any general meetings. As well as any direction from the College Regional Board and as a condition of grant.

7.1.7 The SRC's responsibilities will include but not be limited to:

- (a) Agreeing SA Policy;
- (b) Maintaining a relationship with the College and outside bodies;
- (c) Association campaigning and events;
- (d) Organising short-term working groups to support local events;
- (e) Supervising and coordinating the work of each Campus;
- (f) Preparing an annual budget;
- (g) Day to day supervision of the work of the Sabbatical Officers;
- (h) Contributing to and renewing the SA Strategic Plan;
- (i) Reviewing the yearly Plan of Work;
- (j) Preparing reports on regional activity for consideration by the Class Representatives;
- (k) Preparing an Annual Report in the final term of the Academic Year detailing the activities of the SA for presentation to the Regional Board;
- (l) Agreeing and managing regional level activities, services, and campaigns;
- (m) Being responsible for communication between the Members and College's Regional Board and/or Senior Management.

## **7.2 THE CAMPUS EXECUTIVE COMMITTEES**

7.2.1 There will be informal Steering groups or meetings of each Campus Executive on Aberdeen, Altens and Fraserburgh campuses who will meet at least monthly and issues taken forward to the

SRC. Each Campus Executive Committee will be made up of the Campus Sabbatical Officer(s) and the Executive Officers appointed for that campus.

7.2.2 Each Campus Executive Committee will be chaired by their respective Campus Sabbatical Officer with a rotating chair between the Regional President and Depute on Aberdeen Altens Campus.

7.2.3 The Campus Executive Committee will run the local activities, services, and representative structures of the SA on a day-to-day basis in line with the Constitution and its Schedules, any relevant legislation and any decisions the Members make at a general meeting, decisions made by the Class Representative Forum or regional strategy agreed by the SRC.

7.2.4 Each Campus Executive Committee responsibilities will include but not be limited to:

(a) Co-producing a local yearly plan of work

(b) Preparing reports for the local Class Representative Forum

(c) Agreeing and managing local level activities, services, campaigns and priorities;

(d) Being responsible for communication between Members and the College's Regional Board and/or Senior Managers

(e) Keeping the Student Board Members and Committee Members informed of local issues

### **7.3 THE CLASS REPRESENTATIVE FORUM (THE CRF)**

7.3.1 The Class Representative Forum is the collective name used within the Constitution for formal meetings of Class Representatives. This Forum exists in addition to the monthly Class Representative Meetings held to discuss learning and teaching and wider student issues.

7.3.2 All Class Representatives will be eligible to attend their Campus' CRF. Every Class Representative who attends a meeting will have a vote and speak at that meeting.

7.3.3 Sabbatical Officers and Campus Steering Group Members will be eligible to sit on their Campus' CRC.

7.3.4 The quorum for a meeting will be twenty (20) persons.

7.3.5 The CRC Chair and Depute Chair elected will be expected to attend all meetings of their Campus' CRF. If they fail to attend three consecutive meetings without giving apologies, and do not provide satisfactory reasons acceptable to the CRC, they will be considered to have resigned and a new Chair or Depute elected.

7.3.5 Any full Member of the SA may attend CRF and speak with the permission of the meeting.

7.3.6 Members of one Campus CRF may attend and speak, but not vote, at the other CRF.

7.3.7 Only Members of the CRF who are present at the meeting may vote.

## **8. Complaints Procedure (Schedule Four)**

8.1 All complains should be handled sensitively, telling only those who need to know and follow any relevant Data Protection legislation.

8.2 Any complaints about an Individual Officer or Member of the SA can be made informally through the Student Engagement Co-ordinator or formally through the NESCol complaints procedures.

Copies of relevant forms will be made available.

## **9 Clubs And Societies (Schedule Five)**

9.1.1 The SA encourages student participation in sports and activities and will support groups of students to set up Clubs and Societies to provide these activities. These will include educational, religious, sporting or social pursuits.

9.1.2 The SA will approve set up of Clubs and Societies subject to the Clubs and Societies Policies and Procedures (See Appendix) and if, in their opinion, there is a sufficient number of students wishing to participate in a particular activity and it is properly organised. Approval will entitle the groups to use College facilities for meetings and activities and they may apply for funding to the Executive.

### **9.2 Setting Up A Club Or Society**

9.2.1 No Club or Society may receive funds from The SA or use SA facilities without recognition in each Academic Year by the SA.

9.2.2 To be considered for Approval, the Club or Society will complete an Application form and submit a Group Agreement along with a list of prospective Members as outlined in the Clubs and Societies Procedures.

9.2.3 No Club or Society will be recognised if its aims conflict with those of The SA. However, this restriction will not be interpreted to prevent the establishment of political, religious or ethnically based Clubs and Societies.

9.2.4 Any Club or Society that wishes to be recognised by The SA will present in the documents outlined in the Policies and Procedures:

a) The name of the Club/Society;

- b) The aims and aims of the Club/Society (which will not be contrary to those of the SA);
- c) Names of the elected Chair and Vice Chair of the Club/Society;
- d) The responsibilities of the Committee;
- e) Where relevant provision for an Annual review meeting at which an income; and expenditure account will be presented and approved.

### **9.3 MONEY FOR CLUBS AND SOCIETIES**

9.3.1 The SA will earmark a sum in The SA budget, which will be for grant aid of recognised Clubs and Societies.

9.3.2 To receive funding an eligible Club/Society will submit a Funding Application Form

9.3.3 The SA will meet and approve the funds in line with the SA budget. Allocations will be made based on the level of activity in the Club/Society; the number of Members it has and special equipment and travel considerations.

9.3.4 Funding requests will be overseen by SA and the Student Engagement Co-ordinator.

### **9.4 MEETINGS OF CLUBS AND SOCIETIES**

9.4.1 Each Club or Society should have a minimum of one General Meeting per year where all Committee Members of the respective Club/Society should attend, unless reasonable apologies are submitted.

9.4.2 The Chair and/or Co Chair are responsible for arranging the dates of meetings and must inform the Members at least five college days in advance. Agendas should be available two days in advance of the meeting.

### **9.5 RESPONSIBILITIES OF CLUBS AND SOCIETIES**

9.5.1 No-one from a Club or Society may commit either the Club or Society or The SA to any expenditure without prior authorisation from The SA.

9.5.2 The Club or Society will be responsible for promoting itself during induction week to encourage new Membership.

9.5.3 The Club or Society will not hold its own bank account and all its finance will be administered through the SA.

9.5.4 The Club or Society will hold no funds whatsoever outside the SA accounts.



9.5.5 The Chair and Co-Chair of the Club/Society will be responsible for the smooth running of any social events and activities and will be responsible for convening of general meetings.

9.5.6 The Chair and Co-Chair will be responsible for publicising general meetings, providing agendas and taking minutes of the meetings.

9.5.7 The Club or Society will be responsible for ensuring that all expenditure is legitimate and that it does not exceed the Club or Society allocation for that year and will also ensure that an accurate list of all equipment purchased is kept and all equipment is returned to The SA at the end of the Academic Year.

9.5.8 The Treasurer will ensure that all income received by the Club or Society is paid directly into the SA accounts and that no funds received by the Club/Society are withheld.

9.5.9 Where appropriate the Club will ensure that an income and expenditure account for the previous Academic Year is presented to the Annual review meeting of the Club or Society and copies are sent to The SA.

9.5.10 Failure to abide by these this Schedule, the SA Constitution and Clubs and Societies Policies and Procedures may result in suspension of the Club or Society.

## **APPENDICES**

This section includes other regulations that the Association must follow.

1. Legislation Supplement
2. Student Code of Conduct
3. Clubs and Societies
4. Definitions and Interpretations

## APPENDIX 1

### LEGISLATION SUPPLEMENT:

#### REFERENCES TO STUDENTS' ASSOCIATIONS IN LEGISLATION

This Supplement summaries key pieces of legislation relevant to students' associations.

##### Requirement to have a students' association

- **Colleges must seek to ensure the interests of their students are represented by a students' association**

The effect of section 7(2)(fa) of the Further and Higher Education (Scotland) Act 2005 (the 2005 Act) is to require colleges to have suitable arrangements for the purpose of seeking to ensure that the interests of their students are represented by a students' association. The provision is framed this way because it is not solely a matter for colleges that there is a functioning students' association.

Failure to have suitable arrangements of the type described in section 7(2) of the 2005 Act could mean, where relevant, (a) a college is removed from the list of bodies the Scottish Funding Council (SFC) can generally fund for education purposes<sup>1</sup>; (b) board members are removed from of an incorporated college board<sup>2</sup> or (c) a non-incorporated college is unassigned from its regional strategic body<sup>3</sup>.

##### Duties on incorporated college boards to ensure their students' association is democratic and accountable

- The Education Act 1994 (the 1994 Act) does not require colleges to have a students' association. **Where there is an association, 1994 Act places duties on the board of management of an incorporated college to ensure the association is democratic and accountable.**

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<sup>1</sup> Under section 7(2) of the 2005 Act, the Scottish Funding Council (SFC) must have regard to the desirability that every college included in schedule 2 to that Act has in SFC's opinion, suitable provisions, procedures and arrangements of the type described in that subsection.

<sup>2</sup> Ministers have powers under section 24 of the Further and Higher Education (Scotland) Act 1992 to remove by order any or all board members of an incorporated college (other than the principal) if it appears to them the board has failed on particular grounds. These grounds include being informed by the SFC that a college no longer has suitable provisions, procedures and arrangements of the type described in section 7(2) of the 2005 Act.

<sup>3</sup> The SFC has powers under section 7C(7) of the 2005 Act to review, where it considers it appropriate, whether an assigned college has suitable provisions, procedures and arrangements of the type described in that subsection 7(2) of that Act.

Section 22 of the 1994 Act places duties on the board of management of every incorporated college to take such steps as are reasonably practicable to secure that any students' union for students at the establishment operates in a fair and democratic manner and is accountable for its finances<sup>4</sup>. A students' association covered by this Framework is type of student's union<sup>5</sup> for the purposes of Part 2 of the 1994 Act. The Appendix to this Annex reproduces section 22 of the 1994 Act, as amended (as at March 2015).

### **Incorporated college boards**

- **There must be two student members of an incorporated college board**

	<b>Paragraph in Schedule 2 to 1992 Act</b>
<b>Specific to regional college boards</b>	
Two persons are to be appointed by being nominated by the students' association from among the students of the college	3(2)(e)
<b>Specific to assigned incorporated college boards</b>	
Two persons are to be appointed by being nominated by the students' association from among the students of the college	3A(2)
<b>Common to all incorporated college boards</b>	
Student members hold office until 31 August following their appointment	5(2)(b)
Student members must vacate office if they cease to be a student of the college	5(2G)

### **Regional Boards<sup>6</sup>**

- **There must be two student members of a Regional Board**

<sup>4</sup> The governing bodies of the establishments in Scotland described in section 21(2) of the 1994 Act have duties under section 22 of that Act.

<sup>5</sup> Section 20 of the 1994 Act defines the term "students' union".

<sup>6</sup> A Regional Board is the type of regional strategic body that only has regional strategic body functions. It has its constitution set out in schedule 2B to the 2005 Act. One Regional Board has been established, the Glasgow Colleges' Regional Board.

	<b>Paragraph in schedule 2B to 2005 Act</b>
Two student members are to be appointed to the board in accordance with paragraph 4 of that schedule [nomination by students' association of an assigned college and in some circumstances following election]	3(2)(e)
Student members hold office until 31 August following their appointment	7(2)(d)
A student member must vacate office if they cease to be a student of one of the board's colleges	7(7)

#### Duties to collaborate with students' associations

- **Regional colleges and regional strategic bodies must seek to secure the collaboration of students' associations**

<b>Regional colleges</b>	Must, so far as is consistent with the proper exercise of its functions, seek to secure the collaboration of its students' association	Section 23B(5)(b) of the 2005 Act
<b>Regional strategic bodies</b>	Must, so far as is consistent with the proper exercise of its functions, seek to secure the collaboration of any or all of the students' associations of the colleges assigned to it	Section 23M(3)(c) of the 2005 Act

#### Duties to consult students' associations

- **Regional colleges, regional strategic bodies, Scottish Ministers and the SFC have duties to consult students' associations**

<b>Regional colleges</b>	Must consult must, where it considers it appropriate to do so in the <b>exercise of its functions</b> , consult its students' association	Section 23B(3)(b) of 2005 Act
<b>Regional strategic bodies</b>	Must, where it considers it appropriate to do so in the <b>exercise of its functions</b> , consult any of the students' associations of the colleges assigned to it	Section 23M(1)(c) of 2005 Act

	Before giving <b>directions</b> , must consult the students' association of every college to which the direction relates	Section 23N(4)(c) of 2005 Act
	Before making a <b>transfer requirement</b> must consult the students' association of every college to which the requirement relates	Section 23O(3)(c) of 2005 Act
<b>Scottish Ministers</b>	Before making <b>regulations</b> (in relation to incorporated colleges, must consult the students' association of each college to which the regulations relate	Section 3(7)(c) of 1992 Act
	Before making an order to <b>close or merge a college or designate it as a higher education institution</b> , must consult the students' association of each such college	Section 5(1A)(b)(iv) of 1992 Act
	Before issuing <b>appointments guidance</b> to a regional college or a regional strategic body (in relation to appointments to an assigned incorporated college), must consult the relevant students' associations	Paragraph 3C(2)(d) of Schedule 2 to the 1992 Act
	Before making an order to <b>designate a regional college</b> , must consult the college's student's association	Section 7A(2)(c) of 2005 Act
	Before making an order to <b>assign a college to a regional strategic body</b> , must consult the students' associations of the colleges to which the order relates	Section 7C(6)(d) of 2005 Act
	Before making an order to <b>modify some circumstances where college consent must be obtained before a regional strategic body can require a transfer</b> , must consult the students' association of each college assigned to a regional strategic body to which the order relates	Section 23O(13)(d) of 2005 Act
	<b>SFC</b>	When conducting a <b>review of further and higher education</b> , the SFC must consult the students'

	association of any post-16 education body <sup>7</sup> to which the review relates	
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**INFORMAL CONSOLIDATION OF SECTION 22 OF EDUCATION ACT 1994, AS AMENDED (AS AT MARCH 2015)**

**Requirements to be observed in relation to students' unions**

(1) The governing body of every establishment to which this Part applies shall take such steps as are reasonably practicable to secure that a students' union for students at the establishment operates in a fair and democratic manner and is accountable for its finances.

(2) The governing body shall in particular take such steps as are reasonably practicable to secure that the following requirements are observed by or in relation to any students' union for students at the establishment—

(a) the union should have a written constitution;

(b) the provisions of the constitution should be subject to the approval of the governing body and to review by that body at intervals of not more than five years;

(c) a student should have the right—

(i) not to be a member of the union, or

(ii) in the case of a representative body which is not an association, to signify that he does not wish to be represented by it,

and students who exercise that right should not be unfairly disadvantaged, with regard to the provision of services or otherwise, by reason of their having done so;

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<sup>7</sup> A post-16 education body is a term that includes colleges and universities generally eligible to be funded for education purposes by the SFC and colleges assigned to a regional strategic body.

(d) appointment to major union offices should be by election in a secret ballot in which all members are entitled to vote;

(e) the governing body should satisfy themselves that the elections are fairly and properly conducted;

(f) a person should not hold sabbatical union office, or paid elected union office, for more than two years in total at the establishment;

(g) the financial affairs of the union should be properly conducted and appropriate arrangements should exist for the approval of the union's budget, and the monitoring of its expenditure, by the governing body;

(h) financial reports of the union should be published annually or more frequently, and should be made available to the governing body and to all students, and each such report should contain, in particular—

- (i) a list of the external organisations to which the union has made donations in the period to which the report relates, and
- (ii) details of those donations.

(i) the procedure for allocating resources to groups or clubs should be fair and should be set down in writing and freely accessible to all students;

(j) if the union decides to affiliate to an external organisation, it should publish notice of its decision stating—

- (i) the name of the organisation, and
- (ii) details of any subscription or similar fee paid or proposed to be paid, and of any donation made or proposed to be made, to the organisation,

and any such notice should be made available to the governing body and to all students;

(k) where the union is affiliated to any external organisations, a report should be published annually or more frequently containing—

- (i) a list of the external organisations to which the union is currently affiliated, and
- (ii) details of subscriptions or similar fees paid, or donations made, to such organisations in the past year (or since the last report),

and such reports should be made available to the governing body and to all students;

(l) there should be procedures for the review of affiliations to external organisations under which—

- (i) the current list of affiliations is submitted for approval by members annually or more frequently, and
- (ii) at such intervals of not more than a year as the governing body may determine, a requisition may be made by such proportion of members (not exceeding 5 per cent.) as the governing body may determine, that the question of continued affiliation to any particular organisation be decided upon by a secret ballot in which all members are entitled to vote.

(m) there should be a complaints procedure available to all students or groups of students who—

- (i) are dissatisfied in their dealings with the union, or
- (ii) claim to be unfairly disadvantaged by reason of their having exercised the right referred to in paragraph (c)(i) or (ii) above,

which should include provision for an independent person appointed by the governing body to investigate and report on complaints;

(n) complaints should be dealt with promptly and fairly and where a complaint is upheld there should be an effective remedy.

(3) The governing body of every establishment to which this Part applies shall for the purposes of this section prepare and issue, and when necessary revise, a code of practice as to the manner in which the requirements set out above are to be carried into effect in relation to any students' union



for students at the establishment, setting out in relation to each of the requirements details of the arrangements made to secure its observance.

(4) The governing body of every establishment to which this Part applies shall as regards *any students' union for students at the establishment bring to the attention of all students, at least once a year—*

(a) the code of practice currently in force under subsection (3),

(b) any restrictions imposed on the activities of the union by the law relating to charities,  
and

(c) where the establishment is one to which section 43 of the Education (No.2) Act 1986 applies (freedom of speech in universities and colleges), the provisions of that section, and of any code of practice issued under it, relevant to the activities or conduct of the union.

**[note: does not apply in Scotland]**

(5) The governing body of every establishment to which this Part applies shall bring to the attention of all students, at least once a year, and shall include in any information which is generally made available to persons considering whether to become students at the establishment—

(a) information as to the right referred to in subsection (2)(c)(i) and (ii), and

(b) details of any arrangements it has made for services of a kind which a students union at the establishment provides for its members to be provided for students who are not members of the union.

(6) In subsections (2), (4) and (5) the expression "*all students*" shall be construed as follows—

(a) in relation to an association or body which is a students' union by virtue of section 20(1), the reference is to all students at the establishment;

(b) in relation to an association or body which is a students' union by virtue of section 20(2), the reference is to all undergraduate, or all graduate, students at the establishment or to all students at the hall of residence in question, as the case may be;

(c) in relation to an association or body which is students' union by virtue of section 20(3), the reference is to all the students who by virtue of section 20(1) or (2) are comprehended by that expression in relation to its constituent of affiliated associations or bodies.

(7) In this section the expression "*members*" in relation to a representative body which is not an association, means those whom it is the purpose of the union to represent, excluding any student who has exercised the right referred to in subsection (2)(c)(ii).

(8) In subsection (2)(j) to (l) the references to affiliation to an external organisation, in relation to a students' union for students at an establishment, include any form of membership of, or formal association with, an organisation whose purposes are not confined to purposes connected with that establishment.

(9) Subsection (2)(d) and (1)(ii) (elections and affiliations requirements to hold secret ballot of all members) do not apply in the case of an open or distance learning establishment, that is, an establishment where the students, or the great majority of them, are provided with materials for private study and are not required to attend the establishment to any significant extent or at all.

## **APPENDIX 2**

### **STUDENT CODE OF CONDUCT**

Students attending North East Scotland have a right to study and socialise in a safe, nonthreatening environment. This Code of Conduct forms part of your learning agreement with the College and sets out the standards of behaviour expected.

It is supported by our values which apply to everyone who comes to the College to learn or work.

Our Values include:

#### **Commitment and Excellence**

- Understanding and responding to the needs of our students

### **Empowerment and Engagement**

- Creating an environment where innovation and creativity are encouraged and can flourish
- Giving recognition and praise

### **Respect and Diversity**

- Valuing the experience and talent of all.
- Treating others with dignity and respect
- Creating an accessible, inclusive learning and working environment
- Being fair, open and transparent to ensure a culture of mutual trust and integrity.

The Principal has final responsibility for the maintenance of good conduct by students. However, it is the responsibility of all staff to take positive steps to help students abide by this Code of Conduct and its meaning will be explained to all students at induction or their first session.

The Code of Conduct equally applies to any residential, study visits or work placements.

**Failure to maintain the standards and behaviour set out in this code may lead to action under the Student Disciplinary Policy.**

### **Expectations of Students**

While attending College, it is expected that you will:

- Treat others with dignity and respect
- Report inappropriate and unsafe behaviour
- Behave in a respectful, professional and mature manner
- Take pride in the College – keep all areas clean, tidy and free from litter
- Attend all classes
- Be punctual for all classes and bring essential equipment
- Ensure that you meet agreed deadlines and submit work on time
- Participate in all learning activities
- Seek help when you need it and take up the support offered

- Pay fees promptly.

### **Definitions of Unacceptable Behaviour and Gross Misconduct**

In general terms, any failure to meet the requirements of this Code of Conduct is unacceptable.

The following are examples of what the College considers to be unacceptable behaviours and/or gross misconduct which may result in disciplinary action.

**It is not intended that this is an exhaustive list of such behaviours.**

#### **Unacceptable Behaviour**

- Unacceptable conduct in class or in College
- Failure to follow reasonable instructions of staff
- Unacceptable language
- Deliberate failure to complete and submit work to deadline on a regular basis
- Poor timekeeping
- Breach of attendance guidelines
- Inappropriate use of computers or any other technological device
- Smoking, including e-cigarettes, anywhere other than in the designated area.

#### **Gross Misconduct**

This is behaviour so serious that it could result in exclusion from College (this list is not exhaustive)

- Bringing the College into disrepute
- Any form of bullying or discrimination
- Any form of physical, emotional or verbal threat
- Abusive, offensive, aggressive language or behaviour
- Any illegal/criminal activity whether carried out on College premises or not
- Participating in any way in actions which could reasonably be expected to be subject to provisions of counter-terrorism legislation
- Acts of violence

- Threatening behaviour
- Carrying of offensive weapons
- Actions that breach the College's Health and Safety Policy
- Drug, solvent or alcohol possession or abuse
- Disruption to the learning of others
- Plagiarism
- Inappropriate use of IT including social media and cyber bullying
- Use of mobile devices to record images/voice of anyone without their knowledge or permission
- Wilful damage to property.

In certain circumstances, a student may be sent home at the discretion of the Faculty Manager.

This is not a formal suspension but a short term step to allow consideration of whether further action is appropriate or not.

Where the unacceptable behaviour is of a more serious nature (eg gross misconduct) the Faculty Manager may issue a precautionary suspension as part of the formal disciplinary process.

### **Support**

If a student has any concerns, s/he should discuss them with their Guidance Tutor or subject lecturer in the first instance.

### **Further Information**

Through Course Blackboards and Student Net, each student will have access to the following College policies:

- Acceptable Use Policy – Students
- Assessment & Verification Policy
- Bullying Policy
- Complaints Policy
- Student Code of Conduct
- Student Disciplinary Policy and Procedure

- Copyright for Students
- Data Protection for Students
- Environmental Policy Statement
- Environmental & Sustainability Policy
- Equality & Diversity Policy Staff and Students
- Information, Advice, Guidance & Support
- Social Media Guidelines
- Student Alcohol & Substance Misuse Policy
- Position statement on Extremism & Radicalisation.

### **APPENDIX 3**

#### **CLUBS AND SOCIETIES**

##### **General Aims**

Clubs and Societies are in place so that you can get the most out of your time at College and to bring students from across the College together outside of classes to share and develop common interests. Being part of a club or society should be a positive experience for everyone involved and this policy and procedures document will provide guidelines to achieve this.

This Policy and Procedures covers information on how to set up a club or society and advice and rules about how they should operate. If at any stage you need further help or advice with this, you should contact your Students' Association Officers or the Student Engagement Coordinator.

##### **Set up and Support**

The Students' Association will offer support and direction to any students wishing to set up a club or society. The Students' Association staff will not be involved directly in the running or operation of a club or society.

A club or society will need to elect a Chair and Co-Chair to oversee responsibility of the club or society activities and Membership and this should be done at the first meeting of the group.

##### **Membership**

Any Members of a club or society must be an enrolled North East Scotland College student.

A club or society must operate fairly, Membership should be open to all students aged 16 years and over while keeping to stated maximum Membership.

Where a club or society supports or is involved in activities that are not in line with the value of the Students' Association and College Visions and Values in term of equality and diversity their application will not be supported by the College or the Students' Association

### **Responsibilities**

Due care should be given to College premises and property when being used by a club or society and both should be used only for the stated club or society purpose.

The Student Code Of Conduct will apply to all club and society Members. The Chair and Co-Chair of a club or society should ensure that Members behave appropriately. Any concerns about behaviours should be made known to Students' Association staff.

The same behaviours should be expected where the group use external premises but meet as a College club or group.

Any breach of the Student Code of Conduct will be dealt with according to the College Disciplinary Procedures and may result in club or society Members being removed from the group.

Where it comes to the attention of Students' Association staff that a club or society is not running according to its stated aims and objectives or is operating unfairly then the club would be temporarily suspended or disbanded. The decision for temporary suspension being at the discretion of the SA, the decision to disband would be the decision made jointly by the College and SA.

Either Chair or/and Co-Chair need to be present at all meetings of the club or society.

### **Fees**

The Students' Association should hold Membership fees securely, preferably with the Students' Association. Fees raised must be used for stated purpose only and agreed by Membership.

### **Initial Set-Up and Application**

Interest in setting up a club or society should be expressed using the Clubs and Societies Application Form (CS1) and supported by five signatures of interest including the lead signature. This is to be returned to the Students' Association Regional or Depute President.

The Students' Association will agree a club or society in principle, subject to the completion of a Group Agreement (CS3) and aims and objectives being shared.

A club or society must establish a group agreement from the beginning and should be clear about the purpose, aims and objectives.

The Students' Association on the campus at which the group is meeting will hold a copy of this.

### **Structure and Tasks**

For a club or society to run effectively, a Chair and Co-Chair, must lead it. The Chair or Co-Chair would be required to send the Students' Association Regional or Depute President a brief update on group activities during each College block and can get in touch with the Students' Association at any time if there issues, concerns or need for guidance advice.

Accurate Membership lists must be kept and shared with the Students' Association when updated.

Groups will be required to establish minimum and maximum group numbers. The minimum should not fall below 5. Should numbers fall below minimum, the Chair should contact Students' Association. If numbers reach the stated maximum it is recommended that a waiting list be put in place.

An attendance sheet should be kept at each meeting.

All documentation relating to clubs can be held in Association Office but it the preferred aim would be that a Microsoft Team space be created on Office 365 with SA staff access.

### **Meeting Spaces and Times**

A club and society must meet during the College working day, which is between 8.30am and 6pm Monday to Thursday and 8.30am and 4pm on Friday. They will not run beyond their stated meeting times.

The groups will operate in term-time only and will not have access to spaces on Training Days/In-service or any other College closure days.

Club and society users will only access the allocated rooms during established times and should approach the Students' Association when any access is needed out with these times.

The Students' Association staff will work with the lead on identifying a suitable group meeting space and will contact Central Timetabling to book a suitable space.

The Chair or Co-Chair should notify the Students' Association when a booked room is not to be used. the Association will then contact Timetabling so that others can access it.



## **Finances and Fees**

A club or society may wish to charge a joining fee (records should be kept and money can be kept securely in the Students' Association office). You will need to be clear what this have to be used for.

A club or society will not charge Members for tuition or anything similar as these are interest groups and not classes.

Where a club or society requires equipment or needs to spend for initial set-up, application for financial support can be made to the Students' Association on the Club And Society Funding Application Form (CS2). Decisions on the allocation of funds will be at the discretion of the Students' Association and will depend on the budget available.

It is strongly advised that no financial commitments are made beyond the budgets held by any group. The College or Students' Association will not meet any financial liability.

## **Winding Down**

A club or society should notify the Students' Association if there is an intention to discontinue the club or society.

Any remaining monies would be used to pay outstanding debts and then be re-distributed among Members.

NB. (at present, in NESCol, sports clubs are the remit of the Sport and Leisure sector and they should be approached for expression of interest in sport groups).

All forms referred to can be downloaded from or available from and should be returned to theStudents Association Regional or Depute President, or Students' Association Engagement Co-Ordinator by email **nescolsa@nescol.ac.uk**

## **APPENDIX 4**

### **DEFINITIONS AND INTERPRETATIONS**

**Affiliation** - working closely with another organisation sometimes it may mean paying a fee to belong to another organisation. The Students' Association is affiliated to the National Union of Students (NUS).

**Board or Regional Board** - this is the College Board made up of College staff and advisers from outside of the College who oversee the direction and good practice of the College.

**Executive** – these are the Officers who are elected or appointed in October volunteering in unpaid roles with the Association. The Executive also includes the Presidents.

**Governance** – this is offering an organisation direction and advice.

**Memorandum of Understanding** – an Agreement between College and the Students Association as to how we will work together in partnership so that we are clear on our roles.

**Quorum** - the minimum number of people who have to be present at a meeting before the meeting can go ahead and decisions made can be carried forward or be valid .

**Returning Officer** – this is a nominated person often from the National Union of Students who makes sure that our Elections are run fairly and correctly. The Deputy Returning Officer will be a Member of the College staff often the Student Engagement Co-ordinator.

**Sabbatical Officer** - Sabbatical means taking a year out to do something. In this case your Sabbatical officers are spending a paid year representing you in the Students Association. They are your Presidents.

**Simple Majority** – is calculated at 50 % + 1

**Student Code of Conduct** – this is the set of behaviours and standards that College expects from all students so that all students can have the best learning and wider student experience.

The Students' Association expects that all Members respect the Student Code of Conduct.

## Code of Practice

1.1 This Code of Practice is in accordance with the requirements of Chapter 30, Part II, Section 22(3) of the Education Act 1994 which requires that the College shall take such steps as reasonably practicable to ~~secure~~ ensure that the SA operates in a fair and democratic manner and is accountable for its finances. The Code of Practice should be read in conjunction with the Constitution and the Schedules.

## Constitution

1.2 The SA shall have a written Constitution, approved by the ~~Regional Trustee Board~~ and reviewed by the Trustee Board at intervals of not more than five years. ~~Any amendments to the Constitution shall be approved by the Trustee Board and subsequently, by the Board of Management of the College.~~

## Elections

1.3 Appointment to major SA offices shall be done by the way of election in where the method is done by secret ballot in which all Members of the SA are entitled to vote, in accordance with the Constitution.

1.4 The SA shall agree the appointment of an independent Returning Officer to conduct the Elections and shall satisfy itself that the elections are done in a fair and appropriate manner and that the election was properly conducted.

## Sabbatical Officers

1.5 No person shall hold a single Sabbatical Office position for more than two years in total.

## Membership

1.6 All registered students of the College, over the age of 16, shall be Members of the SA unless they choose to relinquish their rights of membership in accordance with the opt-out regulations contained in ~~the Articles~~ Schedule 1. Members shall be informed annually by the College of the opting-out procedure and of the consequences of doing so. Any Members opting-out of the SA shall not be unfairly disadvantaged with regard to the provision of services or otherwise, by reason of their having done so.

1.7 The consequences of opting-out of membership shall be:

1.7.1 A student may not participate in any of the democratic processes of the SA.

1.7.2 A student shall not hold office in any club and society of the SA.

1.7.3 A student will not be represented by the SA.

## Finances

1.8 The financial affairs of the SA shall be properly conducted in accordance with the Constitution and Schedules and will include appropriate arrangements for the approval of the SA budget and monitoring of expenditure by the ~~College~~ corporation.

1.9 The annual accounts of the SA shall be made available to the Regional Board's Curriculum & Quality Committee as part of the Committee's consideration of the SA's annual budget proposal and at other times at the Committee's request, ~~Trustee Board~~ and to all Sstudents.

#### Allocation of Resources to Clubs, Societies and Groups

1.10 The procedure for allocating resources to clubs, societies and groups shall be fair in accordance with the Constitution and shall be made available in writing to all students.

#### Affiliation to External Organisations

1.11 Any decision to affiliate to an external organisation shall be published, stating the name of the organisation and details of any subscription or similar fees paid or donations made to the organisation and any such notice shall be made available to all students. This should be in accordance with the Constitution.

1.12 The SA shall, on an annual basis, publish a list of subscriptions to which the SA is currently affiliated and details of subscriptions or similar fees paid or donations made to such an organisation in the past year, which shall be made available to all students, and the Regional Board's Curriculum & Quality Committee as part of the Committee's consideration of the SA's annual budget proposal~~Trustee Board~~.

1.13 The Regional Board's Curriculum & Quality Committee~~Trustee Board~~ shall approve annually the list of SA affiliations as part of the consideration of the SA's annual budget proposal. At least 100 Members of the SA may, at intervals of not less than one year, by a signed requisition delivered to the Sabbatical Officers, call for a secret ballot of all Members on the continuation of affiliation to a particular organisation.

#### Freedom of Speech

1.14 The SA and its Members are bound to observe the North East Scotland College Code of Practice in relation to freedom of speech as required by Section 43, Chapter 61, Part IV of the Education (No.2) Act 1986.



REGIONAL BOARD		
Meeting of 07 October 2020		
<b>Title: NESCoI KPIs AY2019-20</b>		
<b>Presenter:</b> Robin McGregor, Vice Principal Curriculum & Quality	<b>Author:</b> Gill Griffin, Director of Quality	<b>Contributor(s):</b> Directors of Learning, Director of Business Development, Senior Quality & Articulation Co-ordinator
<b>Type of Agenda Item:</b> <b>For Decision</b> <input type="checkbox"/> <b>For Discussion</b> <input checked="" type="checkbox"/> <b>For Information</b> <input type="checkbox"/> <b>Reserved Item of Business</b> <input type="checkbox"/>		
<b>Purpose:</b> To enable the Regional Board to consider the College's Key Performance Indicators for AY201-20.		
<b>Linked to Strategic Goal:</b> <b>4. Deliver an excellent learning environment and experience leading to successful outcomes for all learners.</b>		
<b>Linked to Annual Priority:</b> <b>16. Improve outcomes for all learners, regardless of protected characteristics, through a reduction in early withdrawal and an increase in completed success rates.</b>		
<b>Executive Summary:</b> The College has produced an internal overview of key performance indicators, attached as Appendix 1, which has been created to provide colleagues with an overview of performance at College, faculty and curriculum level.  The data presented represents the current College position as of 04 September 2020, which will change as deferrals are processed. The Directors have provided summary information on the current student deferral position within each faculty.  The data provided will support critical analysis of outcomes at all levels and assist with internal benchmarking, with a key focus on where current NESCoI performance is significantly below outcomes achieved in previous years.		

The data provides detail of the College's performance in AY2019-20 against nationally recognised KPIs:

1. Completed Successful
2. Partial Success
3. Early Withdrawal
4. Further Withdrawal

Information has been provided against the level of course Further Education (FE), and Higher Education (HE)), mode of delivery full-time and part-time. Comparative information has been provided for the previous two Academic Years.

**Recommendation:**

It is recommended that the Board discuss the information provided.

**Previous Committee Recommendation/Approval (if applicable):**

None

**Equality Impact Assessment:**

**Positive Impact**     

**Negative Impact**   

**No Impact**           

**Evidence:**



# INTERNAL KEY PERFORMANCE INDICATOR REPORT 2019-20

The College has produced this internal report to inform the Regional Board about its current performance in relation to students completing their courses and gaining their qualification in Academic Year 2019-20. The data presented represents the current college position as of the 4th September 2020 and comparative information has been provided for the previous two Academic Years - 2017-18 and 2018-19. Appendices have also been provided detailing curriculum breakdown

The Directors have provided summary information on the current student deferral position within each faculty. Due to the Covid-19 data processing requirements the deferred students are not counted in the 2019-20 enrolments.

To facilitate the most accurate publication of sector Key Performance Indicators (KPIs) the Scottish Funding Council (SFC) will update the deferred outcomes to an actual outcome across the Sector. It is anticipated the SFC will issue a cut-off date for deferred outcomes in January 2021, or shortly thereafter.

The following pages provide detail of the College's performance in Academic Year 2019-20 against nationally recognised KPIs:

1. Completed Successful - A KPI which measure students' success – those who enrolled and achieved the full qualification.
2. Partial Success - A KPI which measure students' success – those who completed the course but did not gain all the units to gain the qualification. These students do however receive formal accreditation for the units completed successfully.
3. Early Withdrawal - A KPI which measures those who withdrew from the course and did not gain any qualification. : indicates that the student has withdrawn from the programme before 25 per cent of the course has elapsed. The SFC does not provide activity funding for students who leave before the 25 per cent date (also known as the funding qualifying date).
4. Further withdrawal: Indicates that the student attended after the funding qualifying date but withdrew from their studies before the programme ended.



## Overall College Data

Whole College	Number Enrolled			Early Withdrawal			Further Withdrawal			Partial Success			Complete Success		
	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20
Full Time FE	4047	4111	3441	8.10%	8.44%	9.76%	14.80%	15.71%	13.66%	10.4%	11.1%	14.01%	66.60%	64.80%	62.57%
Part Time FE	10157	14525	11693	1.82%	1.71%	2.00%	3.46%	1.96%	2.63%	22.0%	19.7%	16.54%	69.00%	72.40%	78.82%
Full Time HE	2581	2381	2301	4.03%	5.25%	4.78%	12.09%	12.60%	9.52%	9.9%	10.10%	15.21%	74.10%	72.00%	70.49%
Part Time HE	1032	915	773	0.87%	0.87%	1.42%	3.97%	2.62%	0.91%	15.2%	24.2%	38.68%	79.50%	71.80%	58.99%

Early withdrawals remained fairly consistent with previous years. Full time FE saw an increase of 1.32% in comparison to 2018-19, and although 4.76% above the internal early withdrawal target of 5%, did not impact on the overall college 3.78% early withdrawal outcome.

62.57% of our FE full-time students successfully completed their course which is 2.23% lower than 2018-19. 78.82% of our FE part-time students successfully completed their course which is 6.42% higher than 2018-18 and 9.82% higher than 2017-18. It is anticipated outcomes will increase for both full and part time following the completion of deferred outcomes across the faculty teams.

70.49% of our HE full-time students successfully completed their course which is 1.51% lower than 2018-19, it is also 3.61% lower than 2017-18. 58.99% of our HE part-time students successfully completed their course which is 12.81% lower than 2018-19, it is also 20.51% lower than 2017-18. It is also anticipated outcomes will increase for both full and part time following the completion of deferred outcomes across the faculty teams.

The tables below presents a high level summary of the Power BI outcome data trends for Faculty areas.

### Creative Industries Faculty Data

GCRI Creative Industries (Aberdeen City)	Number Enrolled			Early Withdrawal			Further Withdrawal			Partial Success			Completed: Successful		
	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20
Full Time FE	298	313	319	7.05%	3.83%	8.78%	12.75%	21.7%	13.79%	16.44%	9.90%	13.79%	63.7%	64.54%	63.64%
Part Time FE	143	156	141	4.90%	1.28%	0.00%	2.10%	0.00%	2.13%	8.39%	8.97%	1.42%	84.6%	89.74%	96.45%
Full Time HE	548	568	572	3.65%	4.05%	2.97%	13.50%	10.2%	7.34%	5.47%	7.75%	12.24%	77.3%	77.99%	77.45%
Part Time HE	18	0	3	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	55.56%	0.00%	33.33%	44.4%	0.00%	66.67%

Total enrolments have been increasing moderately over this 3-year period. Early withdrawal for 2019-20 did increase from a very low position the previous year. There is a focus at the start of 2020-21 to engage with non-advanced students in particular to ensure they become a cohesive group in the event of a return to full remote learning. In relation to advanced students, early withdrawal improved slightly and the Faculty will maintain and build on good practice adopted as a result of blended learning. Partial success did increase and lockdown did disproportionately impact non advanced students, despite the best efforts of staff to keep students engaged. The introduction of late start courses and two new courses, were also adversely impacted on as a result of lockdown. The completed successful result remained constant at the 63.64% levels achieved over the period. Advanced success remained at the 77% for full time advanced students.

### Business Faculty Data

GBUS Business (Aberdeen City)	Number Enrolled			Early Withdrawal			Further Withdrawal			Partial Success			Completed: Successful		
	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20
Full Time FE	476	521	485	6.51%	6.91%	5.98%	8.82%	10.94%	7.63%	12.39%	8.64%	14.02%	72.27%	73.51%	72.37%
Part Time FE	78	123	58	2.56%	4.88%	10.34%	10.26%	6.50%	8.62%	7.69%	12.20%	6.90%	79.49%	76.42%	74.14%
Full Time HE	605	524	531	4.63%	6.87%	5.84%	10.91%	11.07%	9.42%	9.75%	10.31%	12.43%	74.71%	71.76%	72.32%
Part Time HE	48	46	49	0.00%	2.17%	0.00%	6.25%	0.00%	0.00%	12.50%	13.04%	22.45%	81.25%	84.78%	77.55%

The numbers enrolling on to full time advanced programmes has dipped since 2017-18, particularly for year 2 programmes. This will be addressed in a review of the business portfolio scheduled for later in 2020-21. Early withdrawal rates for both full time advanced and non-advanced remained stable. The significant increase in early withdrawal for part time non-advanced in terms of percentage points can be explained by having relatively low numbers. Despite the impact of Covid-19 further withdrawal figures are encouraging although levels of engagement dipped the longer lockdown continued. The full time non-advanced completed successfully figure, whilst high, can be explained by the number of ESOL students who remained engaged with their studies until the end. Work continues to improve completion rates for students on general business and administration courses.

### Service Industries Faculty Data

GSVI Service Industries	Number Enrolled			Early Withdrawal			Further Withdrawal			Partial Success			Completed: Successful		
	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20
Full Time FE	486	449	295	11.3%	12.92%	15.93%	18.93%	18.49%	19.32%	7.20%	10.47%	17.97%	62.55%	58.13%	46.78%
Part Time FE	296	377	187	5.74%	5.84%	9.09%	7.09%	3.71%	5.35%	3.72%	5.04%	4.81%	83.45%	85.41%	80.75%
Full Time HE	221	222	207	7.24%	7.66%	6.28%	14.48%	18.47%	15.94%	5.88%	7.66%	28.99%	72.40%	66.22%	48.79%
Part Time HE	1	1	1	0.00%	0.00%	0.00%	100.0%	0.00%	0.00%	0.00%	0.00%	100%	0.00%	100%	0.00%

Deferrals for beauty therapy students will complete week commencing 14<sup>th</sup> September with a further seventy-five non-advanced and ten advanced students achieving their group awards. Fifty-five hairdressing students should complete their deferrals by the 25<sup>th</sup> September. In addition to this, five part time students should achieve by the 29<sup>th</sup> September and nine by the 5<sup>th</sup> of October and a further five by the 5<sup>th</sup> of November. In Sport, seventy-four students on year 1 HND of both Coaching and Fitness Health Programmes will complete their deferred units by the 25<sup>th</sup> September.

## Care Faculty Data

GCAR Care (Aberdeen City)	Number Enrolled			Early Withdrawal			Further Withdrawal			Partial Success			Completed: Successful		
	2017- 18	2018- 19	2019- 20	2017- 18	2018- 19	2019- 20	2017- 18	2018- 19	2019- 20	2017- 18	2018- 19	2019- 20	2017- 18	2018- 19	2019- 20
Full Time FE	415	413	409	12.5%	8.47%	9.78%	16.63%	18.40%	12.71%	13.98%	11.86%	13.20%	56.87%	61.26%	64.30%
Part Time FE	203	277	106	2.46%	2.53%	5.66%	2.96%	5.05%	5.66%	6.40%	9.39%	19.81%	88.18%	83.03%	68.87%
Full Time HE	167	100	104	7.19%	5.00%	4.81%	11.98%	16.00%	13.46%	13.17%	10.00%	14.42%	67.66%	69.00%	67.31%
Part Time HE	21	26	26	0.00%	0.00%	0.00%	4.76%	7.69%	7.69%	23.81%	3.85%	3.85%	71.43%	88.46%	88.46%

Full time enrolments for non-advanced groups are relatively stable. There is a decline in the numbers for full time advanced programmes compared to 2017-18 levels. This is being addressed through targeted marketing. Early withdrawal is stable for full time groups however the increase in part time groups can be partially attributed to pupils returning to school. A 3% increase in completed successfully for non-advanced students is encouraging, particularly in light of lockdown. In Health Care non-advanced full time programmes saw a 71.18% complete success rate, a 2% increase from the previous year. For part time non advanced students, the impact of Covid-19 resulted in some practical elements not being finished due to a higher volume of pupils either returning to school or disengaging when learning & teaching was delivered online. The completed successfully rate for full time advanced students is expected to increase slightly as 6 students undertake deferred units. The PDA Childhood Practice, Level 9 had 88% successful outcome. This course was externally reviewed and re-accredited by SSSC.

## Computing Technologies & Science Faculty Data

GCTS Computing Technologies & Science	Number Enrolled			Early Withdrawal			Further Withdrawal			Partial Success			Completed: Successful		
	2017- 18	2018- 19	2019- 20	2017- 18	2018- 19	2019- 20	2017- 18	2018- 19	2019- 20	2017- 18	2018- 19	2019- 20	2017- 18	2018- 19	2019- 20
Full Time FE	364	365	319	10.9%	9.04%	9.09%	15.66%	14.79%	11.29%	11.26%	9.04%	18.18%	62.09%	67.12%	61.44%
Part Time FE	340	381	463	4.12%	3.67%	6.91%	6.76%	3.94%	3.02%	5.59%	5.77%	9.50%	83.53%	86.61%	80.56%
Full Time HE	315	333	357	2.22%	3.90%	4.20%	11.11%	9.91%	9.24%	5.71%	11.11%	17.37%	80.95%	75.08%	69.19%
Part Time HE	99	135	150	2.02%	0.00%	0.67%	12.12%	0.00%	0.00%	3.03%	62.96%	79.33%	82.83%	37.04%	20.00%

Full time FE complete success fell back to 2017-18 levels in 2019-20 after a rise in 2018-19. The fall this year for the Faculty is due to lower success in the Computing teams, whilst the Science team actually had an increase in complete success from a previous high of 69% to 77%. Full time HE complete success has continued to decline this year. Higher withdrawal rates pre-lockdown and a high partial success rate in Computing were the main factors.

The Science team were adept at flexibly delivering their programmes and adjusting assessment, leading to increased success for their learners and very low partial success rates. This built on their success pre-lockdown in retaining students. The Computing teams were less successful, with higher withdrawal in one area and higher partial success in another. Outcomes were exacerbated by, but not entirely due to, lockdown. Some of the more attractive units could not be completed remotely due to lack of access to the appropriate secure networks and software which were necessary. Staff turnover has contributed to inexperience and inconsistency in delivery but an improvement plan is in place.

Part time FE complete success has fallen this year. Success rates for school groups remains high but the overall result has been impacted by the evening class Highers in Science. These have been reviewed now by SQA but results are not yet reflective of this. Corrections to these should bring the outcomes up to 85% complete success, close to the 2018-19 outcome.

Part time HE complete success has fallen to a very low level. The vast majority of the activity here is attributable to the addition of a vendor qualification to the full time student programme in Computing. The advent of lockdown meant that it was not possible to complete this practical course, leading to very high partial success.

### Social Sciences, Tourism & Hospitality Faculty Data

GSTH Social Sciences, Tourism & Hospitality	Number Enrolled			Early Withdrawal			Further Withdrawal			Partial Success			Completed: Successful		
	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20
Full Time FE	499	491	460	7.21%	9.37%	11.30%	13.03%	15.68%	14.35%	4.41%	7.74%	12.61%	75.35%	67.21%	61.74%
Part Time FE	716	770	243	3.21%	5.71%	12.35%	9.78%	4.68%	9.88%	2.09%	15.06%	7.00%	84.92%	74.55%	70.78%
Full Time HE	319	294	268	1.88%	5.10%	5.97%	11.91%	14.63%	8.58%	11.91%	10.88%	13.43%	74.29%	69.39%	72.01%
Part Time HE	8	6	0	0.00%	0.00%	0.00%	12.50%	0.00%	0.00%	0.00%	16.67%	0.00%	87.50%	83.33%	0.00%

Full time FE complete success has continued to decline this year. The fall this year for the Faculty is due predominantly to increased partial success rates. This has been impacted by Covid-19 where engagement has been affected.

Full time HE complete success has improved slightly on last year. This is due to some improvement in withdrawal rates, although this has been offset by higher levels of partial success where a small proportion of students have been unable to complete their courses, some of which was Covid-19 related.

Part time FE complete success has fallen this year, following a significant decrease in 2018-19. The vast majority of part time enrolments are for school groups. Success rates for these groups have been affected, as reflected in the reduced number of enrolments represented in data, by examination resulting. Review of the data following the SQA revisions to Higher results is likely to bring this figure up to 2018-19 levels.

Part time HE provision is negligible in this Faculty, previously very small numbers have been represented as infill students but there were none in 2019-20.

### Engineering & Construction (Altens) Faculty Data

AENC Engineering & Construction (Altens)	Number Enrolled			Early Withdrawal			Further Withdrawal			Partial Success			Completed: Successful		
	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20
Full Time FE	514	515	209	7.20%	8.93%	19.62%	16.93%	9.90%	22.01%	13.62%	19.22%	10.05%	62.26%	61.94%	48.33%
Part Time FE	1094	1098	643	1.83%	2.09%	3.42%	3.38%	3.19%	4.04%	5.48%	9.11%	4.51%	89.31%	85.61%	88.02%
Full Time HE	169	158	157	4.14%	4.43%	4.46%	13.02%	13.92%	7.01%	20.12%	12.66%	16.56%	62.72%	68.99%	71.97%
Part Time HE	345	224	167	0.87%	1.34%	2.99%	3.77%	6.70%	0.60%	18.26%	22.77%	20.96%	77.10%	69.20%	75.45%

Full time FE has fallen to 48% in the represented data. However, of the 577 students enrolled only 209 have resulted represented here. This is because of the high proportion of students on skills programmes who have been unable to complete in the academic year as a result of the need to complete workshop-based elements of their programmes. These students are being offered the opportunity to return to complete early in 2020-21. Withdrawal rates were lower prior to lockdown but the number who will return to complete successfully is influenced by a range of factors and so is not yet predictable.

Part time FE has been maintained at a very high level, although again there are a significant proportion of students who have yet to complete. As for full time, opportunities to complete will be provided but opportunity to do so will be influenced by a range of external influences. For those able to return complete success would be expected.

Full time HE has improved this year by 3 percentage points to 72%. Teams worked hard to enable these students to complete by modification of assessment and so outcomes continue to reflect the improving trends of the previous years.

Part time HE has also improved this year, with almost all teams improving success rates. As for FT HE, online delivery and adjustments to assessment were successful in enabling students complete their programmes with positive outcomes.

### Creative & Service Industries (Fraserburgh) Faculty Data

FCSI Creative & Service Industries (Fraserburgh)	Number Enrolled			Early Withdrawal			Further Withdrawal			Partial Success			Completed: Successful		
	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20
Full Time FE	604	646	553	5.46%	8.05%	7.59%	16.89%	18.42%	15.01%	8.28%	10.06%	17.90%	69.37%	63.47%	59.49%
Part Time FE	403	770	236	0.50%	2.21%	6.36%	5.21%	1.69%	4.66%	3.97%	3.77%	11.44%	90.32%	92.34%	77.54%
Full Time HE	142	107	34	3.52%	5.61%	11.76%	14.08%	17.76%	11.76%	14.79%	14.95%	11.76%	67.61%	61.68%	64.71%
Part Time HE	5	3	4	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	25.00%	100%	100%	75.00%

Full time FE saw a decrease of 3.98% for successful completion. The two main areas contributing to this decrease is Hair, Beauty and Sport (TRG) which went from 61% in 2018-19 to 49% in 2019-20. This is due to the deferrals in the Hair and Beauty courses – completion of the deferrals took place w/c 24<sup>th</sup> August and w/c 31<sup>st</sup> August and following resulting the complete success is expected to increase to 60%, aligning with 2018-19 outcomes. The other area is Social Science, Hospitality and Learning Opportunities (TRK) which went from 70% complete success in 2018-19 to 57% in 2019-20. Although most courses roughly maintained their outcomes, NC Social Science Level 5 only achieved 40% completed success compared to an already low outcome of 52% the previous session. Social Science is also the only area which decreased for full time HE, dropping from 56.41% in 2018-19 to 42.86% completed success in 2019-20. This is partly due to very small enrolment numbers for HND year 2, however measures to address the declining PIs in Social Science is already included in the Business Priority Planning exercise.

In contrast, Business Enterprise and Creative Industries (TRH) improved completed success by 10% for full time FE and by 5.66% for full time HE. This direction of travel is more in line with previous outcomes and contributed to the improved completed success outcome for full time HE for the faculty.

Part-time FE saw a bigger decrease of 14.8% for successful completion. Again there are two main contributing factors, the first of which is a big reduction in the school-college experience activity which could not take place this year as per previous session. Due to the nature of this activity there are strong enrolment numbers and the outcome is usually 100%, so without those entries this year it has impacted on the overall percentage figures. The other factor is the Foundation Apprenticeships in both Business Skills and Creative and Digital Media. In addition to a high withdrawal rate for the Creative and Digital Media, these courses were resulted as deferred in order to generate the certificate from SDS for student achievement. It was not a possibility to successfully complete these courses in 2019-20. Part-time HE relates to only 4 infill students, one of which did not successfully complete accounting for the 25% decrease.

### Engineering & Construction (Fraserburgh) Faculty Data

FENC Engineering & Construction (Fraserburgh)	Number Enrolled			Early Withdrawal			Further Withdrawal			Partial Success			Completed: Successful		
	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20
Full Time FE	379	386	392	6.07%	7.25%	7.14%	12.40%	15.80%	12.50%	8.44%	7.77%	6.89%	73.09%	69.17%	73.47%
Part Time FE	863	1671	1096	1.51%	1.38%	2.01%	3.82%	1.62%	1.73%	6.14%	2.63%	4.84%	88.53%	94.37%	91.33%
Full Time HE	95	75	71	3.16%	4.00%	2.82%	5.26%	13.33%	12.68%	13.68%	2.67%	15.49%	77.89%	80.00%	69.01%
Part Time HE	185	170	133	1.08%	1.76%	2.26%	2.16%	0.59%	1.50%	9.73%	7.65%	8.27%	87.03%	90.00%	87.97%

Overall for Engineering & Construction faculty the outcomes are fairly consistent with 2018-19. The exception is the full time HE which saw a decrease of 11% in complete success. There was a new offer of HND Computing year 2 with 12 students enrolled. Complete success was only 50%, two students withdrew and four partially completed. Both HNC Applied Science and HNC Engineering Practice also saw a drop in completed success, again the small class sizes impacting significantly on the percentage figures.



Although only minor decreases in completed success for part-time FE and HE, these are attributed to the lack of school-college experience activity as per comments for the Creative & Service Industries faculty. The increase in completed success for full time FE is reflective of the improvement in early and further withdrawals as well as partial success. The teams did a lot of work to ensure evidence requirements were appropriately mapped across the qualification aims and were therefore able to avoid any detriment to students despite the lockdown and no further on campus teaching.

### Business and Community Development Data

BCD Business & Community Development	Number Enrolled			Early Withdrawal			Further Withdrawal			Partial Success			Completed: Successful		
	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20
Full Time FE	12	12	0	0.00%	8.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	N/R	100%	91.67%	N/R
Part Time FE	6005	8878	8444	1.44%	1.10%	0.99%	2.85%	2.17%	2.25%	38.54%	28.35%	20.19%	57.15%	68.37%	76.56%
Part Time HE	266	285	202	0.75%	0.35%	0.50%	1.13%	0.70%	0.00%	24.44%	25.96%	55.94%	73.68%	72.98%	43.56%

Part-time FE programmes in Business and Community Development (BCD) have seen a decline in partial success in direct proportion to a corresponding increase in successful completions (which is obviously positive). The trends for BCD programmes are largely consistent with previous years although clearly 2019-20 has been impacted by the Covid-19 pandemic. While part time FE performance appears to have improved significantly, this is mainly due to high volume programmes which have been very successful due to the nature of the delivery and a completion date pre-Covid-19. Lower volume programmes have seen steady performance or a slight decline due to Covid-19. 321 part time FE subjects featured deferred components.

Similarly for part time HE programmes (either in distance learning or Nautical), partial successes have risen sharply at the expense of successful completions. This is because many of our candidates were unable to complete assessments after the March period due to Covid-19, with many being deferred until both written and practical assessments could be safely reinstated from w/c 17th August onwards. Fifty-one part time HE subjects featured deferred components.

## Appendix 1 – Curriculum Breakdown GCRI

Aberdeen - TPA Art, Graphic Design, Textiles & Photography	Number Enrolled			Early Withdrawal			Further Withdrawal			Partial Success			Completed: Successful		
	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20
Full Time FE	171	183	185	5.85%	2.73%	9.19%	11.70%	21.86%	15.68%	18.13%	11.48%	17.30%	64.33%	63.93%	57.84%
Part Time FE	127	94	48	5.51%	2.13%	0.00%	2.36%	0.00%	4.17%	9.45%	14.89%	4.17%	82.68%	82.98%	91.67%
Full Time HE	272	285	273	4.41%	5.61%	2.93%	13.97%	12.98%	10.26%	2.21%	4.91%	13.55%	79.41%	76.49%	73.26%
Part Time HE	2	0	1	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	100.00%	100.00%	0.00%	0.00%
Aberdeen - TPB Music, Drama, Animation & Media	Number Enrolled			Early Withdrawal			Further Withdrawal			Partial Success			Completed: Successful		
	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20
Full Time FE	127	130	134	8.66%	5.38%	8.21%	14.17%	21.54%	11.19%	14.17%	7.69%	8.96%	62.99%	65.38%	71.64%
Part Time FE	16	62	93	0.00%	0.00%	0.00%	0.00%	0.00%	1.08%	0.00%	0.00%	0.00%	100.00%	100.00%	98.92%
Full Time HE	276	283	299	2.90%	2.47%	3.01%	13.04%	7.42%	4.68%	8.70%	10.60%	11.04%	75.36%	79.51%	81.27%
Part Time HE	16	0	2	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	62.50%	0.00%	0.00%	37.50%	0.00%	100.00%



### Appendix 3 – Curriculum Breakdown GSVI

Aberdeen - TPM Hair & Beauty	Number Enrolled			Early Withdrawal			Further Withdrawal			Partial Success			Completed: Successful		
	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20
Full Time FE	368	331	167	12.50%	12.99%	18.56%	17.93%	15.41%	17.37%	5.98%	9.97%	16.77%	63.59%	61.63%	47.31%
Part Time FE	217	270	109	6.91%	4.44%	9.17%	8.76%	3.33%	9.17%	3.23%	6.67%	2.75%	81.11%	85.56%	78.90%
Full Time HE	0	14	2	0.00%	0.00%	0.00%	0.00%	14.29%	0.00%	0.00%	7.14%	100.00%	0.00%	78.57%	0.00%
Aberdeen - TPN Sport	Number Enrolled			Early Withdrawal			Further Withdrawal			Partial Success			Completed: Successful		
	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20
Full Time FE	118	118	128	7.63%	12.71%	12.50%	22.03%	27.12%	21.88%	11.02%	11.86%	19.53%	59.32%	48.31%	46.09%
Part Time FE	79	107	78	2.53%	9.35%	8.97%	2.53%	4.67%	0.00%	5.06%	0.93%	7.69%	89.87%	85.05%	83.33%
Full Time HE	221	208	205	7.24%	8.17%	6.34%	14.48%	18.75%	16.10%	5.88%	7.69%	28.29%	72.40%	65.38%	49.27%
Part Time HE	1	1	1	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%	0.00%	0.00%	100.00%	0.00%	100.00%	0.00%

#### Appendix 4 – Curriculum Breakdown GCAR

Aberdeen - TPS Childcare	Number Enrolled			Early Withdrawal			Further Withdrawal			Partial Success			Completed: Successful		
	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20
Full Time FE	116	125	114	12.93%	11.20%	7.89%	18.97%	16.00%	14.04%	10.34%	13.60%	14.04%	57.76%	59.20%	64.04%
Part Time FE	139	142	41	3.60%	2.82%	9.76%	3.60%	7.75%	7.32%	6.47%	14.08%	34.15%	86.33%	75.35%	48.78%
Full Time HE	66	59	51	6.06%	3.39%	1.96%	10.61%	22.03%	11.76%	12.12%	10.17%	17.65%	71.21%	64.41%	68.63%
Part Time HE	8	20	26	0.00%	0.00%	0.00%	0.00%	10.00%	7.69%	0.00%	5.00%	3.85%	100.00%	85.00%	88.46%
Aberdeen - TPT Healthcare	Number Enrolled			Early Withdrawal			Further Withdrawal			Partial Success			Completed: Successful		
	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20
Full Time FE	167	152	170	10.78%	6.58%	10.00%	16.77%	15.13%	10.59%	17.96%	9.21%	8.24%	54.49%	69.08%	71.18%
Part Time FE	36	80	53	0.00%	3.75%	3.77%	2.78%	3.75%	5.66%	5.56%	7.50%	13.21%	91.67%	85.00%	77.36%
Full Time HE	54	20	20	3.70%	10.00%	0.00%	5.56%	10.00%	20.00%	20.37%	15.00%	10.00%	70.37%	65.00%	70.00%
Part Time HE	13	5	0	0.00%	0.00%	0.00%	7.69%	0.00%	0.00%	38.46%	0.00%	0.00%	53.85%	100.00%	0.00%
Aberdeen - TPU Social Care	Number Enrolled			Early Withdrawal			Further Withdrawal			Partial Success			Completed: Successful		
	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20
Full Time FE	132	136	125	14.39%	8.09%	11.20%	14.39%	24.26%	14.40%	12.12%	13.24%	19.20%	59.09%	54.41%	55.20%
Part Time FE	0	0	12	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	7.14%	0.00%	0.00%	92.86%	100.00%	100.00%
Full Time HE	47	21	33	12.77%	4.76%	12.12%	21.28%	4.76%	12.12%	6.38%	4.76%	12.12%	59.57%	85.71%	63.64%
Part Time HE	0	1	0	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	100.00%	0.00%

## Appendix 5 – Curriculum Breakdown GCTS

Aberdeen - TQA Interactive Computing	Number Enrolled			Early Withdrawal			Further Withdrawal			Partial Success			Completed: Successful		
	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20
Full Time FE	97	67	70	6.19%	7.46%	7.14%	17.53%	13.43%	18.57%	18.56%	7.46%	15.71%	57.73%	71.64%	58.57%
Part Time FE	102	73	32	4.90%	1.37%	9.38%	7.84%	8.22%	28.13%	0.00%	2.74%	0.00%	87.25%	87.67%	62.50%
Full Time HE	46	48	68	2.17%	8.33%	1.47%	8.70%	8.33%	8.82%	4.35%	2.08%	7.35%	84.78%	81.25%	82.35%
Part Time HE	0	2	1	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	100.00%	100.00%
Aberdeen - TQB Computing Technologies	Number Enrolled			Early Withdrawal			Further Withdrawal			Partial Success			Completed: Successful		
	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20
Full Time FE	145	151	124	9.66%	8.61%	11.29%	12.41%	15.23%	7.26%	13.79%	11.92%	30.65%	64.14%	64.24%	50.81%
Part Time FE	146	183	134	2.74%	3.28%	0.75%	2.05%	3.83%	0.75%	9.59%	4.92%	1.49%	85.62%	87.98%	97.01%
Full Time HE	170	206	192	2.35%	2.43%	5.21%	11.76%	9.71%	5.73%	6.47%	16.02%	26.04%	79.41%	71.84%	63.02%
Part Time HE	94	132	139	2.13%	0.00%	0.72%	10.64%	0.00%	0.00%	3.19%	64.39%	84.89%	84.04%	35.61%	14.39%
Aberdeen - TQC Science	Number Enrolled			Early Withdrawal			Further Withdrawal			Partial Success			Completed: Successful		
	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20
Full Time FE	122	147	125	16.39%	10.20%	8.00%	18.03%	14.97%	11.20%	2.46%	6.80%	7.20%	63.11%	68.03%	73.60%
Part Time FE	92	125	297	5.43%	5.60%	9.43%	13.04%	1.60%	1.35%	5.43%	8.80%	14.14%	76.09%	84.00%	75.08%
Full Time HE	99	79	97	2.02%	5.06%	4.12%	11.11%	11.39%	16.49%	5.05%	3.80%	7.22%	81.82%	79.75%	72.16%
Part Time HE	5	1	10	0.00%	0.00%	0.00%	40.00%	0.00%	0.00%	0.00%	0.00%	10.00%	60.00%	100.00%	90.00%

## Appendix 6 – Curriculum Breakdown GSTH

Aberdeen - TQH Tourism, Events & Hospitality	Number Enrolled			Early Withdrawal			Further Withdrawal			Partial Success			Completed: Successful		
	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20
Full Time FE	186	164	170	10.22%	7.93%	14.12%	10.75%	15.24%	14.71%	4.30%	9.15%	14.71%	74.73%	67.68%	56.47%
Part Time FE	58	97	55	3.45%	5.15%	1.82%	3.45%	2.06%	14.55%	8.62%	4.12%	27.27%	84.48%	88.66%	56.36%
Full Time HE	150	120	96	1.33%	5.00%	9.38%	14.00%	10.00%	3.13%	14.67%	15.00%	13.54%	70.00%	70.00%	73.96%
Part Time HE	8	6	0	0.00%	0.00%	0.00%	12.50%	0.00%	0.00%	0.00%	16.67%	0.00%	87.50%	83.33%	0.00%
Aberdeen - TQJ Learning Opportunities	Number Enrolled			Early Withdrawal			Further Withdrawal			Partial Success			Completed: Successful		
	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20
Full Time FE	121	121	110	3.31%	5.79%	6.36%	6.61%	7.44%	11.82%	1.65%	6.61%	9.09%	88.43%	80.17%	72.73%
Aberdeen - TQG Social Science	Number Enrolled			Early Withdrawal			Further Withdrawal			Partial Success			Completed: Successful		
	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20
Full Time FE	192	206	180	6.77%	12.62%	11.67%	19.27%	20.87%	15.56%	6.25%	7.28%	12.78%	67.71%	59.22%	60.00%
Part Time FE	458	450	77	3.28%	7.11%	25.97%	9.61%	6.22%	11.69%	1.97%	24.22%	1.30%	85.15%	62.44%	61.04%
Full Time HE	169	174	172	2.37%	5.17%	4.07%	10.06%	17.82%	11.63%	9.47%	8.05%	13.37%	78.11%	68.97%	70.93%

## Appendix 7 – Curriculum Breakdown AENC

Altens - TQN Electrical Engineering	Number Enrolled			Early Withdrawal			Further Withdrawal			Partial Success			Completed: Successful		
	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20
Full Time FE	116	113	33	6.90%	12.39%	27.27%	21.55%	7.96%	33.33%	19.83%	28.32%	15.15%	51.72%	51.33%	24.24%
Part Time FE	37	27	22	0.00%	3.70%	4.55%	5.41%	3.70%	13.64%	10.81%	29.63%	22.73%	83.78%	62.96%	59.09%
Full Time HE	53	53	43	1.89%	5.66%	9.30%	5.66%	26.42%	11.63%	33.96%	26.42%	18.60%	58.49%	41.51%	60.47%
Part Time HE	70	55	47	0.00%	0.00%	6.38%	7.14%	10.91%	0.00%	34.29%	30.91%	17.02%	58.57%	58.18%	76.60%
Altens - TQP Mechanical Engineering Tech & OPITO	Number Enrolled			Early Withdrawal			Further Withdrawal			Partial Success			Completed: Successful		
	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20
Full Time FE	83	99	23	3.61%	4.04%	21.74%	4.82%	5.05%	17.39%	6.02%	21.21%	0.00%	85.54%	69.70%	60.87%
Part Time FE	493	456	341	3.25%	0.44%	2.64%	1.62%	2.41%	4.11%	0.41%	4.82%	4.11%	94.73%	92.32%	89.15%
Full Time HE	98	87	104	5.10%	4.60%	0.96%	9.18%	2.30%	2.88%	14.29%	4.60%	17.31%	71.43%	88.51%	78.85%
Part Time HE	234	127	99	1.28%	1.57%	2.02%	2.99%	5.51%	1.01%	16.67%	25.98%	26.26%	79.06%	66.93%	70.71%
Altens - TQQ Mechanical Engineering Skills & Automotive	Number Enrolled			Early Withdrawal			Further Withdrawal			Partial Success			Completed: Successful		
	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20
Full Time FE	163	154	49	10.43%	9.74%	44.90%	22.09%	15.58%	36.73%	14.11%	12.99%	0.00%	53.37%	61.69%	18.37%
Part Time FE	281	326	119	1.42%	4.60%	5.04%	7.12%	3.07%	4.20%	15.66%	16.26%	8.40%	75.80%	76.07%	82.35%
Altens - TQR Construction	Number Enrolled			Early Withdrawal			Further Withdrawal			Partial Success			Completed: Successful		
	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20
Full Time FE	152	149	104	5.92%	8.72%	4.81%	14.47%	8.72%	12.50%	12.50%	17.45%	15.38%	67.11%	65.10%	67.31%
Part Time FE	283	289	161	0.00%	1.73%	3.73%	2.47%	4.50%	2.48%	3.53%	5.88%	0.00%	93.99%	87.89%	93.79%
Full Time HE	18	18	10	5.56%	0.00%	20.00%	55.56%	33.33%	30.00%	11.11%	11.11%	0.00%	27.78%	55.56%	50.00%
Part Time HE	41	42	21	0.00%	2.38%	0.00%	2.44%	4.76%	0.00%	0.00%	2.38%	4.76%	97.56%	90.48%	95.24%



**Appendix 8 – Curriculum Breakdown FCSI**

Fraserburgh - TRG Sport, Hair & Beauty	Number Enrolled			Early Withdrawal			Further Withdrawal			Partial Success			Completed: Successful		
	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20
Full Time FE	180	192	154	5.00%	10.94%	8.44%	21.11%	22.92%	15.58%	9.44%	4.69%	17.53%	64.44%	61.46%	58.44%
Part Time FE	149	370	104	0.67%	2.16%	5.77%	6.04%	2.16%	4.81%	1.34%	1.35%	7.69%	91.95%	94.32%	81.73%
Fraserburgh - TRH Art & Design, Floristry & Business	Number Enrolled			Early Withdrawal			Further Withdrawal			Partial Success			Completed: Successful		
	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20
Full Time FE	115	94	84	5.22%	6.38%	3.57%	11.30%	19.15%	9.52%	11.30%	23.40%	26.19%	72.17%	51.06%	60.71%
Part Time FE	36	105	30	0.00%	0.00%	10.00%	2.78%	0.00%	3.33%	0.00%	2.86%	0.00%	97.22%	97.14%	86.67%
Full Time HE	85	68	27	4.71%	7.35%	14.81%	7.06%	11.76%	7.41%	21.18%	16.18%	7.41%	67.06%	64.71%	70.37%
Part Time HE	2	3	4	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	25.00%	100.00%	100.00%	75.00%
Fraserburgh - TRJ Care, ESOL & Core Skills	Number Enrolled			Early Withdrawal			Further Withdrawal			Partial Success			Completed: Successful		
	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20
Full Time FE	194	240	204	5.67%	8.33%	7.84%	14.43%	15.42%	13.73%	8.76%	9.58%	18.63%	71.13%	66.67%	59.80%
Part Time FE	140	233	72	0.00%	3.00%	5.56%	5.71%	1.72%	5.56%	10.00%	9.01%	25.00%	84.29%	86.27%	63.89%
Full Time HE	12	N/A	N/A	8.33%	N/A	N/A	41.67%	N/A	N/A	0.00%	N/A	N/A	50.00%	N/A	N/A
Part Time HE	3	N/A	N/A	0.00%	N/A	N/A	0.00%	N/A	N/A	0.00%	N/A	N/A	100.00%	N/A	N/A
Fraserburgh - TRK Social Science, Hospitality & Learning Ops	Number Enrolled			Early Withdrawal			Further Withdrawal			Partial Success			Completed: Successful		
	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20
Full Time FE	115	120	111	6.09%	4.17%	9.01%	20.00%	16.67%	20.72%	2.61%	9.17%	10.81%	71.30%	70.00%	59.46%
Part Time FE	78	62	30	1.28%	3.23%	6.67%	3.85%	1.61%	3.33%	0.00%	0.00%	3.33%	94.87%	95.16%	86.67%
Full Time HE	45	39	7	0.00%	2.56%	0.00%	20.00%	28.21%	28.57%	6.67%	12.82%	28.57%	73.33%	56.41%	42.86%

## Appendix 9 – Curriculum Breakdown FENC

Fraserburgh - TRA Construction, Science & Computing	Number Enrolled			Early Withdrawal			Further Withdrawal			Partial Success			Completed: Successful		
	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20
Full Time FE	128	123	139	9.38%	10.57%	7.19%	10.94%	12.20%	15.11%	7.03%	3.25%	7.19%	72.66%	73.98%	70.50%
Part Time FE	438	1124	762	1.14%	0.89%	2.10%	3.20%	1.16%	1.84%	2.28%	0.44%	2.62%	93.38%	97.51%	93.44%
Full Time HE	32	28	43	0.00%	3.57%	2.33%	6.25%	17.86%	16.28%	15.63%	0.00%	18.60%	78.13%	78.57%	62.79%
Part Time HE	37	26	8	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	8.11%	11.54%	0.00%	91.89%	88.46%	100.00%
Fraserburgh - TRB Mechanical Engineering Skills & Automotive	Number Enrolled			Early Withdrawal			Further Withdrawal			Partial Success			Completed: Successful		
	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20
Full Time FE	156	171	173	4.49%	4.68%	7.51%	12.18%	21.05%	12.14%	9.62%	9.36%	5.20%	73.72%	64.91%	75.14%
Part Time FE	350	421	204	2.29%	3.09%	2.94%	5.43%	2.85%	1.96%	10.00%	8.31%	14.22%	82.29%	85.75%	80.88%
Full Time HE	16	10	6	6.25%	0.00%	0.00%	18.75%	20.00%	0.00%	6.25%	0.00%	50.00%	68.75%	80.00%	50.00%
Part Time HE	48	71	79	4.17%	4.23%	1.27%	6.25%	0.00%	0.00%	8.33%	4.23%	6.33%	81.25%	91.55%	92.41%
Fraserburgh - TRC Mechanical Engineering Tech & Electrical	Number Enrolled			Early Withdrawal			Further Withdrawal			Partial Success			Completed: Successful		
	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20	2017-18	2018-19	2019-20
Full Time FE	95	92	80	4.21%	7.61%	6.25%	14.74%	10.87%	8.75%	8.42%	10.87%	10.00%	72.63%	70.65%	75.00%
Part Time FE	75	125	130	0.00%	0.00%	0.00%	0.00%	1.60%	0.77%	10.67%	3.20%	3.08%	89.33%	95.20%	95.38%
Full Time HE	47	37	22	4.26%	5.41%	4.55%	0.00%	8.11%	9.09%	14.89%	5.41%	0.00%	80.85%	81.08%	86.36%
Part Time HE	100	73	46	0.00%	0.00%	4.35%	1.00%	1.37%	4.35%	11.00%	9.59%	13.04%	88.00%	89.04%	78.26%



REGIONAL BOARD	
Meeting of 07 October 2020	
<b>Title:</b> Health & Safety Annual Report	
<b>Author:</b> Colin Beattie, Head of Health, Safety & Security	<b>Contributor(s):</b>
<b>Type of Agenda Item:</b>	
<b>For Decision</b>	<input type="checkbox"/>
<b>For Discussion</b>	<input checked="" type="checkbox"/>
<b>For Information</b>	<input type="checkbox"/>
<b>Reserved Item of Business</b>	<input type="checkbox"/>
<b>Purpose:</b> To provide information to the Regional Board on health and safety arrangements in the College.	
<b>Linked to Strategic Goal:</b>	
<b>Linked to Annual Priority:</b>	
<b>Executive Summary:</b> The report attached as Appendix 1 provides information that demonstrates that the College has an effective health and safety management system in place to meet its obligations to students and staff.	
<b>Recommendation:</b> It recommended that the Board note the contents of the attached report.	
<b>Previous Committee Recommendation/Approval</b> (if applicable): Not applicable	
<b>Equality Impact Assessment:</b>	
<b>Positive Impact</b>	<input type="checkbox"/>
<b>Negative Impact</b>	<input type="checkbox"/>
<b>No Impact</b>	<input checked="" type="checkbox"/>
<b>Evidence:</b>	

## **HEALTH & SAFETY ANNUAL REPORT**

### **2020**

The report aims to provide the Regional Board with details of the health and safety management system within the College. It summarises the College's organisation and arrangements in place to deliver its Health & Safety Policy and Health & Safety Strategy together with relevant performance data, including statistics and benchmarking in relation to both accidents reportable to the Health and Safety Executive (HSE) and non-reportable accidents.

Due to the Coronavirus lockdown the UK experienced from March this year it should be noted that some performance data and statistics will be down from previous years reporting.

The following report provides a summary of the key points relating to the health and safety function in the year to date. It also covers enforcement action and commentary on health and safety operations during the year including the following:

- Fire safety management
- Statutory compliance
- Audits
- Policy and legislation
- Accident benchmarking
- Health surveillance.

### **Impact and implications**

The reporting process provides the Executive Team and the Regional Board with information on standards of reactive and active health and safety performance.

It provides the Regional Board with information on the College's health and safety performance and ensure health and safety is being managed appropriately and effectively.

The Health and Safety at Work etc. Act 1974 (HSAWA) sets out the general health and safety duties of the College as an employer to ensure the health and safety of our employees and those persons not in the employment of the College that could foreseeably be affected by our work activities, so far as is reasonably practicable.

The Fire (Scotland) Act 2005 (FSA) places a similar duty on the College as an employer in respect of premises which we occupy. Failure to comply with the provisions of health and safety and fire safety law can ultimately lead to enforcement action which can include improvement and prohibition notices; criminal prosecution leading to fines and publicity orders and individual prosecution leading to fines and / or custodial sentences as well as significant reputational damage.

Failures in health and safety management can also pose a risk of civil action against the College as an employer.

If a health and safety offence is committed with the consent or connivance of, or is attributable to a neglect of a duty on the part of any director, manager, secretary or other similar officer then that person or persons (as well as the organisation) can be prosecuted under the HSAWA and FSA.

The Management of Health and Safety at Work Regulations 1999 and the Fire Safety (Scotland) Regulations 2006 set out specific legal duties which support compliance with the HSAWA and the FSA respectively, including assessing risks and making appropriate arrangements for the effective planning, organisation, monitoring, control, and review of the preventive and protective measures.

The Corporate Manslaughter and Corporate Homicide Act 2007- Under this Act an offence will be committed where failings by the senior management of the College are a substantial element in any gross breach of a duty of care owed to the College's employees or members of the public, which results in death.

**The College continues to make progress improving its health and safety performance and promoting a positive health and safety culture:**

- The College has had no HSE Prohibition or Improvement Notices for this period.
- The College has been successfully audited to the new Internal Standard ISO 45001; 2018, this replaces the OHSAS 18001 Standard previously held since 2009.
- ISO 45001:2018 is an International Standard that specifies requirements for an occupational health and safety (OH&S) management system, with guidance for its use, to enable an organisation to improve its H&S performance in preventing injury and ill-health.
- The ISO 45001 based OH&S management system enables the College to consistently improve its OH&S performance by:
  - Developing and implementing an OH&S policy and OH&S objectives.
  - Establishing systematic processes which consider its "context" and which take into account its risks and opportunities, and its legal and other requirements.
  - Determining the hazards and OH&S risks associated with its activities; seeking to eliminate them, or putting in controls to minimize their potential effects.
  - Establishing operational controls to manage its OH&S risks and its legal and other requirements.
  - Increasing awareness of its OH&S risks.
  - Evaluating its OH&S performance and seeking to improve it, through taking appropriate actions.
  - Ensuring workers take an active role in OH&S matters.

This report also provides a summary of work that is currently on going or planned for 2021. The College will continue to align its future health and safety activities to changes taking place within the sector and nationally.

## **Health and Safety Risk Management**

### **Coronavirus.**

Without doubt, the biggest challenge facing the College presently is our ongoing response to the coronavirus pandemic.

In March the College decided ahead of the national response to revert to an online and distance learning model for students and working from home for all but essential staff and contractors.

During the 14 week lockdown period, members of the Health and Safety (H&S), Facilities Management (FM) and Security teams continued to work behind the scenes and ensure the College was in a healthy position to as safely as possible welcome back staff and students.

The Statutory Inspections for all teaching equipment, water systems including the legionella maintenance and electrical systems were kept fully maintained and serviced. This allowed a speedy return when the Government made the decision that allowed further and higher education providers to resume with limited on-campus studies and work.

Over a four-week period during the UK lockdown the H&S and FM teams worked together to set up one way routes, fitting perspex screens in high risk areas, setting up social distancing arrangements in both teaching and public spaces and arranging for disinfectant and cleaning supplies to be fully stocked and located throughout College buildings.

The financial cost of the health and safety measures required was not inconsiderable, the provision of hand wash stations at all entrances, wall mounted hand sanitizers throughout all campuses, safety barriers, paper towels and placing disinfectant in every room totalled £53k.

Informational, safety and wayfaring signage for all campuses was another £33k.

The cost of these measures was not taken lightly or without due regard to the College's overall financial position but without doubt, this demonstrated the resolve of the College's Leadership Team to ensure as far as possible the health, safety and welfare of staff, students and visitors was paramount.

Since the return to onsite College activities from 17 August 2020 for differed students there has been three confirmed coronavirus cases recorded at North East Scotland College, three students and one staff member. These incidents were handled in line with Government guidance.

The health and safety team have been mindful to not allow dealing with coronavirus pandemic and its many challenges lessen its attention to the other occupational risks faced by such a large and diverse organisation as the College.

Control of risk continues to be managed through co-ordinated approach by staff, which also includes the day-to-day management of contractors working on behalf of the College.

To this end, the control of contractors is always in the forefront our health and safety thinking.

Regular compliance checks are undertaken with the regards to control of external contractors on College sites with reviews taking place between the relevant Faculties/Schools, Facilities Management team and the Health & Safety team if and when contractors are on site.

Health and safety inspections and audits were still carried out throughout the year but not surprisingly the number of inspections completed is down on previous years, this is due to the three month lockdown.

No major non-conformances or statutory breaches were found during the inspections/audits.

## 1.1 Accidents

**Table 1, Total number of accidents at NESCol**

All Accidents	2016	2017	2018	2019	2020
	40	25	20	28	14

**Table 2, Accidents reportable to the HSE**

RIDDOR <sup>1</sup>	2016	2017	2018	2019	2020
	8	1	1	2	2

The accidents reported to the HSE under requirements of the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR), involved:

- Injured Person (IP) was involved in repair to motor vehicle on completion did not ensure his foot was clear when ramp was lowered. Resulting in bruised foot. Went to hospital for check-up (Fraserburgh Campus).
- IP using chisel to clean glue off Dado rail chisel slipped in hand and cut finger. IP finger dressed and toolbox talk given. Went to hospital for check-up (Fraserburgh Campus)

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<sup>1</sup> RIDDOR is the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013. These Regulations require those in control of premises to report specified workplace incidents.

## Accident Incidence Rate (AIR)

The following is probably the most widely used formula for recording risk. It is defined as the number of accidents, in a period, per thousand of people at risk.

This allows a benchmark to be established for organisations with the same core business but differing numbers of staff and accidents.

$$\frac{\text{Number of accidents}}{\text{Average number of people at risk}} \times 1000$$

**Table 3 Accident Incident Rates (AIR) at NESCol in relation to FE Sector Average**

### Incident rate per 1000 at risk

	2016	2017	2018	2019	2020
Accident Incidents Rates (AIR) at NESCol	1.90	1.19	1.10	1.33	0.66
Accidents Incident Rates (AIR) in FE sector	4.62	3.90	3.80	3.10	No figures collated

## 1.2 Fire Safety

The College is required to comply with fire safety legislation, which includes a continual programme of fire risk assessments for all College properties; any scheduled evacuations and monitoring of unscheduled evacuations; input into building/maintenance projects; general fire advice and guidance for external events held on College premises.

Fire risk assessments for all campuses were reviewed in line with the annual review dates.

Fire Safety law requires that employers and those organisations in control of premises ensure that appropriate and effective measures to reduce the risk of fire are in place and include specific duties to ensure that adequate measures are in place to:-

- Control the risk of fire
- Control fire spread
- Ensure that the means of escape are available at all material times.
- Fight fires



- Detect fire
- Give warning of fire
- Ensure that arrangements are in place to ensure that appropriate action is taken in the event of fire
- Ensure that employees and relevant persons receive suitable information, instruction and training in the fire safety arrangements.

In addition, employers are also required to ensure that any fire safety systems and equipment are subject to a suitable system of maintenance and are maintained in an efficient state, in efficient working order and in good repair.

<b>Fire Event Category</b>	<b>City Campus</b>	<b>Clinterty</b>	<b>Altens</b>	<b>Fraserburgh/Peterhead</b>
Fire	0	0	0	0
Fire Drill	2	1	1	2
False Alarm	1	2	2	0

For the year under review fire safety was managed efficiently and effectively.

### **Annual Scottish Fire and Rescue Service Audit**

As a result of strong audits in the previous two years for both Aberdeen City Campus and Fraserburgh Campus, the Scottish Fire and Rescue Service (SFRS) chose not to complete an annual review of the College this year. This is a positive position.

### **1.3 Statutory Compliance**

#### **Health and Safety Executive Notices**

The College have not received any Fee for Intervention Notices, Prohibition or Improvement Notices issued by the Health and Safety Executive (HSE).

#### **Health & Safety Notices issued by the College Health and Safety Department**

As part of the College's proactive monitoring procedures, notices can be served by the College's Health & Safety team during their routine visits to work areas within the college or when a hazardous situation or a possible breach of legislation is found that requires immediate action.

The Health & Safety team would then carry out a full investigation and report.

No health and safety notices were required in this reporting period.

### **1.4 Health & Safety Policy and Legislation**

The Health & Safety team have an ongoing programme of updating the College health and safety policies in line with current legislation. To date, 100% of the College policy and procedural documents have been reviewed. This ensures College policies and procedures are current, correct and provide the appropriate advice to staff.

College Policies and Procedures updated during the year include:

- Health and Safety at Work Policy
- Driving for Work Policy
- Safety Monitoring
- Lift Truck Safety
- Manual Handling
- Pressure Systems
- Bomb and Terrorist Threat
- Control of Infectious Diseases
- Abrasive Wheels
- Control of Noise at Work Procedure
- Health and Safety Management Review Procedure
- Meningitis Awareness Procedure
- Permit to Work Procedure
- Lone Worker Procedure
- Legionella Control Procedure
- Control of Contractors Procedure
- COSHH Procedure.

### **Workplacement Vetting**

The College has obligations with regards to its learners' health, safety and welfare whilst they are engaged with employers for the purposes of work based learning and work experience.

The Health & Safety team undertake health and safety inspections of proposed providers to ensure suitable arrangements in place, that the relevant level of insurances are in place and as a result of these inspections maintain a database of the approved placement providers.

The Health & Safety team have assessed and passed as suitable; 100 work placement providers for this review period. The previous year's total was 196 so this is another reduction of activity due to the lockdown

### **Food Safety**

The College had been working well with the new catering provider, Inspire Catering Services for the seven months before the suspension of all catering activities due to the coronavirus pandemic.

All Inspire catering staff were placed on the Government Furlough Scheme and at the point of writing this report, some 20% are still on the reduced scheme.

We had reinstated a limited catering service across all campuses but at the same time are acutely conscious of the risks catering and hospitality can cause during this coronavirus situation.

This situation is under weekly review by the Head of Health, Safety and Security and the management team from Inspire Catering Services.

The College's Health & Safety team has a qualified Food Hygiene Inspector within its team who conducts kitchen inspections:

No. of Kitchen Inspections	No. of Inspection Failures	Details of Issues Found
4 (before lockdown)	0	No Issues found

## 1.5 Health Surveillance

### Frequency of Health Surveillance

Health surveillance is undertaken within six weeks of commencement of post to:

- provide a baseline against which subsequent changes can be compared
- identify pre-existing conditions not attributable to this employment
- dictate frequency of health surveillance.

### Skin Surveillance

Skin surveillance is in place where there is recognised risk of occupational skin disease by staff as defined in Control of Substances Hazardous to Health Regulations (COSHH) 2002, Regulation 11.

Under the Control of Substances Hazardous to Health Regulations 2002 (amended 2004) and Health & Safety at Work Act 1974. The College has an obligation to assess the risk of exposure to such substances and identify employees who are at risk of skin damage.

Employees identified as at risk attend the Occupational Health Department for a skin check on an annual basis, consisting of completion of a health questionnaire followed by a consultation and assessment of skin. Purpose of this review is to identify as early as possible any indications of disease or adverse changes related to exposure, so that steps can be taken to treat skin condition and to notify regarding future management.

### Respiratory Health Surveillance

Lung function testing is measured during an assessment of fitness to work as part of the College programme for respiratory health surveillance.

Respiratory health surveillance is required under COSHH 2002, Regulation 11, for employees exposed to known respiratory sensitizers to identify incidence of occupational asthma as early as possible.

### Audiometry

Screening for hearing loss is required under the Control of Noise at Work Regulations 2002. The aim of the Regulations is to ensure workers are protected from associated risks to health caused by noise.

Health surveillance is required for all employees exposed at the upper action value (85dB) and those workers at increased risk between the lower and upper action values (80dB-85dB.)

College employees exposed to noise at their work area must undergo audiometric health surveillance screening. Audiometric testing is undertaken to measure changes in hearing thresholds to detect deterioration before the individual is aware of any deficit. Results will enable the College to classify category of hearing ability in

accordance with the HSE categorisation scheme and indicate if any additional action or referral is required.

The following College personnel are covered by the surveillance protocols:

<b>Department</b>	<b>Surveillance</b>	<b>Frequency</b>
Hair and Beauty	Respiratory Skin Musculoskeletal	Annual unless results indicate otherwise
Hospitality	Respiratory Skin Food Handlers	Annual unless results indicate otherwise
Construction	Respiratory Skin Audiometric	Annual unless results indicate otherwise
Painting/Decorating	Respiratory Skin Audiometric	Annual unless results indicate otherwise
Engineering	Respiratory Skin Audiometric	Annual unless results indicate otherwise
Multi Media	Audiometric	Annual unless results indicate otherwise
Fork Lift Truck Drivers	Fork Lift Truck Driver Assessment	5 yearly from age 40 Annually from age 65 More frequently if medical condition present

### 1.6 College Projects

Several projects are planned for the coming year, these include:

- A third City Campus Lift Replacement
- Full upgrade of the Fraserburgh Building Management System (BMS)
- External Painting of Altens Campus
- Altens F Block heating boiler replacement
- Upgrade of City Campus lighting to low energy LED lighting.

## 1.7 Health and Safety Inductions

45 Health and safety inductions were delivered to all new or existing employees who may have changed their role or place of work this year.

The Health and Safety Inductions cover areas such as:

- Policies and Procedures
- Fire Safety
- Housekeeping Arrangements
- Accident and Incident Procedures
- Risk Assessment Arrangements
- PPE Arrangements
- Employees Responsibilities.

## 1.8 Health and Safety Training

### Activity Report October 2020

The following table illustrates training activity taking place within NESCol during the period specified:

Title	Nature of Training	Number of Attendees AY2017-18	Number of Attendees AY2018-19	Number of Attendees AY2019-20
Manual Handling	Induction (Online)	73	24	67
RIDDOR	Induction (Online)	83	25	59
Working Safely	Induction (Online)	76	26	64
DSE User	Induction (Online)	86	100	84
COSHH	Induction (Online)	60	26	66
Health & Safety Induction	Induction (face to face)	64	19	65
Fire Safety	Compliance (Online) (This course must be repeated every three years)	138	90	298
SafeDrive	Training that is required if the staff member needs a permit to drive a College vehicle	279	288	299
IET Wiring Regulations BS7671	EXTERNAL: Three day course. Required for staff member working assessing types of equipment		1	3
NEBOSH National General Certificate	EXTERNAL: Fourteen day course. Required for staff member to update his knowledge of statutory Health & Safety requirements in order to develop new teaching materials and in relation to the College Workshops/Laboratory areas		1	6

Minibus Training	EXTERNAL: Full day training. Mandatory for minibus drivers. (Must be repeated every 4 years)	5	1	7
Abrasive Wheels	EXTERNAL: One day course. Required for staff working with certain types of equipment	1		
Fork Lift Truck Course	EXTERNAL: Two day course. Required for member of staff that drives a fork lift truck	1		
PASMA	EXTERNAL PRESENTER: One day course arranged on College premises. Required for staff who erect scaffolding	7		
Gas Safe	EXTERNAL: Two day course. Required for lecturer who teaches subject	1		
Masonry Saw Bench	EXTERNAL: One day course. Required for staff working with certain types of equipment		3	3
ASIST	EXTERNAL: Two day suicide prevention course for staff with safeguarding responsibilities	6	1	3
Mental Health First Aid	EXTERNAL PRESENTER: Two day course arranged on College premises for mental health first aiders	15		4
First Aid at Work	EXTERNAL: Three day course for lecturer who takes students on external visits	1		2
First Aid at Work Refresher	EXTERNAL: Two day course for lecturer who takes students on external visits		1	2
Mental Health Workshop	INTERNAL: Initial workshops took place on January Development Day 2019. Training is now part of induction programme	481	14	
SAFE Talk	EXTERNAL: Half day course on Suicide Prevention for staff members	8	1	
Suicide Talk – Train the Trainer	EXTERNAL PRESENTER: One day course arranged on College premises for key		6	6
Suicide Talk	INTERNAL: One hour workshop for all staff introduced Autumn 2019		18	32
Identifying and managing stress	INTERNAL: (January development day 2019)	42		

Equally Safe	EXTERNAL PRESENTER: (January development day 2019). Training on gender based violence	76		
Being resilient	EXTERNAL PRESENTER: (January development day 2019)	80		
Mindfulness	INTERNAL: (January development day 2019)	77		
Wellbeing day	Variety of events designed to improve staff wellbeing	June 2019: 287 Staff took part		80
IOSH Managing Safely	Some managers completed this course online and another group attended a 3 day course run by ASET			11
IOSH Working Safely	EXTERNAL PRESENTER:			9

### Virtual Wellbeing Day 2020

A total of 80 participants over the following 6 sessions:

- Mindfulness – 22 participants
- Simple Science Talk – The Mysterious World of Viruses – 17 participants
- Speaking German – 3 participants
- Praise and Worship Music Session – 9 participants
- Reading for Wellbeing – 9 participants
- Jim's Quiz – 20 participants

### Health and Wellbeing Initiatives

The Learning and Development team have launched a number of health and wellbeing initiatives in this last academic year. These include:

- 1) Peer Support Programme – Enabling staff to support each other by sharing knowledge on a range of different subjects.
- 2) Social Activities Calendar – Social groups have been set up and staff have been encouraged to attend to help promote social wellbeing. Book clubs and mindfulness sessions are some examples.
- 3) Launch of a new staff benefits package – this package allows staff access to a discounts platform and a comprehensive bike to work scheme.
- 4) Employee Assistance Programme – this was launched in May as an additional support mechanism for staff.
- 5) Additions to the wellbeing pages on our intranet. Signposting to various professional organisations to help provide support. Forums were also created to encourage discussion from our staff on various Covid-19 related topics.

**Colin Beattie**  
**Head of Health, Safety and Security**



<b>REGIONAL BOARD</b>	
<b>Meeting of 07 October 2020</b>	
<b>Title: Internal Audit Annual Plan 2020-21</b>	
<b>Author:</b> Peter D Smith, Vice Principal – Finance & Resources	<b>Contributor(s):</b> MHA Henderson Loggie
<b>Type of Agenda Item:</b>	
<b>For Decision</b>	<input type="checkbox"/>
<b>For Discussion</b>	<input type="checkbox"/>
<b>For Information</b>	<input checked="" type="checkbox"/>
<b>Reserved Item of Business</b>	<input type="checkbox"/>
<b>Purpose:</b> To enable the Regional Board to note the programme of internal audit work to be undertaken by MHA Henderson Loggie in AY2020-21.	
<b>Linked to Strategic Goal:</b>	
<b>5. Optimise the use of our available resources to deliver financial and environmental sustainability.</b>	
<b>Linked to Annual Priority:</b>	
<b>Executive Summary:</b>	
<p>The Internal Audit Annual Plan adopted by the Audit &amp; Risk Committee for 2020-21 is presented to the Regional Board for its information.</p> <p>The Internal Audit Plan, attached as Appendix 1 to this paper, was prepared having:</p> <ul style="list-style-type: none"> <li>• undertaken an internal audit needs assessment,</li> <li>• prepared a strategic plan for the financial years 2019-20 to 2021-22,</li> <li>• considered the results of internal audit work in 2017-18 and 2018-19,</li> <li>• considered risk factors identified over time, with reference to the College's Strategic Risk Register; and,</li> <li>• held discussions with the Chair of the Audit &amp; Risk Committee, Principal, Vice Principals and members of the College's Leadership Team.</li> </ul> <p>At its meeting of 23 September 2020, the Audit &amp; Risk Committee requested that a statement be added to the Plan in relation to high priority areas. It is proposed that the following is added to the final version of the Plan:</p> <p style="text-align: center;"><i>“In agreeing the Plan, the Committee noted that not every area identified as high risk would be covered over the life of the Plan;</i></p>	



*however, it acknowledged that some of these areas had been audited in recent years and that, for others, internal audit was not necessarily the best approach to mitigating risk."*

It was also agreed by the Committee that the dates of when areas were last audited should be added to the Plan.

**Recommendation:**

It is recommended that the Board note the information provided.

**Previous Committee Recommendation/Approval** (if applicable):

The Audit & Risk Committee considered at its meeting on 20 May 2020 the initial draft Internal Audit Plan 2020-21, it was then approved and adopted at the Committee's meeting on 23 September 2020.

**Equality Impact Assessment:**

**Positive Impact**

**Negative Impact**

**No Impact**

**Evidence:**



# North East Scotland College

Internal Audit Annual Plan 2020/21

Internal Audit Report No: 2021/01

Draft issued: 11 May 2020

2<sup>nd</sup> Draft Issued: 12 May 2020

3<sup>rd</sup> Draft Issued: 28 July 2020

4<sup>th</sup> Draft Issued: 7 September 2020

Final issued:



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## Introduction

- 1.1 The purpose of this document is to present for consideration by management and the Audit and Risk Committee the annual operating plan for the year ended 31 July 2021. The plan is based on the proposed allocation of audit days for 2020/21 set out in the Audit Needs Assessment and Strategic Plan 2019 to 2022. The preparation of the Strategic Plan involved dialogue with management, and the Audit and Risk Committee approved the plan at its meeting on 10 July 2019.
- 1.2 The annual operating plan for 2020/21 shows a number of changes to the allocation set out in the above Strategic Plan, which have been requested by College management:
- the planned five-day review of Performance Reporting / KPIs was originally due to be undertaken as part of the internal audit programme for 2019/20. Fieldwork was delayed from March 2020 until late Summer 2020 however, with the ongoing lockdown due to COVID-19, management has now requested that this assignment be deferred into the 2020/21 programme;
  - due to a delay in the College's own review of its Curriculum Plan, the five-day internal audit review of Curriculum Planning, originally planned for 2020/21, has been deferred to 2021/22;
  - the planned four-day review of Workforce Planning has been replaced with a review of Staff Recruitment and Retention;
  - the five-day internal audit review of Risk Management / Business Continuity was originally planned for 2021/22 but has now been brought forward to the 2020/21 internal audit programme;
  - six days have been added to carry out an Externally Facilitated Effectiveness Review (EFER) as required by the Code of Good Governance for Scotland's Colleges, which is due to be submitted to the Scottish Funding Council by 'Spring 2021' in line with the latest advice from the Chair of the Good Governance Steering Group;
  - one day has been added to the planned IT Network Arrangements review to allow more detailed coverage of Data Protection to be included as part of the review;
  - four days have been added to undertake a value for money review of the recent Website Delivery Project; and
  - to balance the number of audit days over the three-year period of the Strategic Plan (excluding the EFER), the planned five-day review of Asset / Fleet Management in 2020/21 has been removed.
- 1.3 A copy of the revised Strategic Plan is included at Section 2 of this report.
- 1.4 At Section 3 of this report we have set out the outline scope and objectives for each audit assignment to be undertaken during 2020/21, together with the proposed audit approach. These have been arrived at following consideration by the Senior Executive Team. The outline scopes will be refined and finalised after discussion with responsible managers in each audit area.
- 1.5 Separate reports will be issued for each assignment with recommendations graded to reflect the significance of the issues raised. In addition, audit findings will be assessed and graded on an overall basis to denote the level of priority that should be given to each report.

# Strategic Plan 2019 to 2022

## Proposed Allocation of Audit Days

	Category	Priority	Actual 19/20 Days	Planned 20/21 Days	Planned 21/22 Days
<b>Reputation</b>					
Publicity and Communications	Gov	M			
Health and Safety	Gov	M			
<b>Student Experience</b>					
Curriculum planning	Perf	M			5
Quality	Perf	L			
Student support	Perf	M		5	
Student recruitment and retention	Fin/Perf	H			
Students Association	Gov	M			
<b>Staffing Issues</b>					
Staff recruitment and retention	Perf	M/L		4	
Staff development	Perf	M			
Workforce planning	Perf	M			
Payroll	Fin	M			4
<b>Estates and Facilities</b>					
Building maintenance	Fin/Perf	H/M			
Estates and facilities contract VFM	Fin/Perf	M			5
Estates strategy / capital projects	Fin/Perf	H/M			
Space management	Perf	H			
Asset / fleet management	Perf	M			
<b>Financial Issues</b>					
Budgetary control	Fin	H		4	
Financial planning	Fin	H	4		
Student fees and contracts / registry	Fin	M			
General ledger	Fin	M			
Procurement and creditors / purchasing	Fin	M			4
Debtors/ Income	Fin	M			
Cash & Bank / Treasury management	Fin	M			
<b>Commercial Issues</b>					
Business Development	Fin/Perf	H/M	5		
International Activities	Gov/Fin/Perf	M			
ASET	Gov/Fin/Perf	H/M			5

# Internal Audit Annual Plan 2020/21 DRAFT

## Proposed Allocation of Audit Days (Continued)

	Category	Priority	Actual 19/20 Days	Planned 20/21 Days	Planned 21/22 Days
<b>Organisational Issues</b>					
Risk Management*	Perf	M		5	
Business Continuity*	Perf	M			
Corporate Governance	Gov	M		6	
Corporate Planning	Perf	M			
Performance reporting / KPIs	Perf	M		5	
Partnership Working	Gov/Perf	M			
Equalities	Gov	M			
<b>Information and IT</b>					
IT network arrangements**	Perf	M		6	
BYOD VFM	Perf/Fin	M	5		
Data protection**	Gov	H			
FOI	Gov	L			
Systems development / implementation	Perf	M			
Website delivery project VFM	Perf / Gov	M		4	
IT strategy	Perf	M			
IT operations	Perf	M	5		
<b>Other Audit Activities</b>					
Credits audit		Required	7	7	7
Student Support Funds		Required	8	8	8
Management and Planning )			5	5	5
External audit / SFC )					
Attendance at Audit & Risk Committee )					
Follow-up reviews		Various	3	2	2
Audit Needs Assessment			3		
Business Process Review (TBC)					5
<b>Total</b>			45	61	50
			====	====	====

### Key

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

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

\*, \*\* these assignments will be linked



## Outline Scope and Objectives

<b>Audit Assignment:</b>	Student Support
<b>Priority:</b>	Medium
<b>Fieldwork Timing</b>	TBC
<b>Audit and Risk Committee Meeting:</b>	TBC
<b>Days:</b>	5

### **Scope**

The audit will review the support services available to students, concentrating on the role of Student Advice Centres and Learning Support staff.

### **Objectives**

The objective of our audit will be to obtain reasonable assurance that there is appropriate provision of adequate advice and support to new students, students experiencing financial or other hardship and students with disabilities or special needs.

To this end we will ensure that there are processes and controls in place to be reasonably assured that students are:

- orientated appropriately at the beginning of the year;
- identified and provided with support if struggling financially;
- identified and provided with support if struggling academically;
- given adequate support if they have a disability; and
- made to feel part of the College community.

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

We will assess whether the above objectives have been met through discussion with the Vice Principal Curriculum & Quality, the Director of Learning (Enhancement, Support & Fraserburgh Futures Futures), the Student Access & Inclusion Manager, the Student Advice & Support Manager and the Student Engagement Co-ordinator, as well as the managers for the Student Advice Centres and Learning Support staff, and discussion with the Student Officers in the Students' Association, and review of relevant documentation.

## Internal Audit Annual Plan 2020/21 DRAFT

<b>Audit Assignment:</b>	Staff Recruitment and Retention
<b>Priority:</b>	Medium / Low
<b>Fieldwork Timing</b>	TBC
<b>Audit and Risk Committee Meeting:</b>	TBC
<b>Days:</b>	4

### **Scope**

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

### **Objectives**

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

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

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

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



## Internal Audit Annual Plan 2020/21 DRAFT

<b>Audit Assignment:</b>	Budgetary Control
<b>Priority:</b>	High
<b>Fieldwork Timing</b>	TBC
<b>Audit and Risk Committee Meeting:</b>	TBC
<b>Days:</b>	4

### **Scope**

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

### **Objectives**

The objectives of the audit will be to ensure that:

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

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

The Vice Principal – Finance and Resources, Finance staff and a sample of budget holders in Faculties and Support Teams will be interviewed, and reports reviewed, to determine current working practices in budget monitoring, and the information and training provided to budget holders.

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

We will also establish and review the budget monitoring information provided to the College Wider Executive Group and the Regional Board.

## Internal Audit Annual Plan 2020/21 DRAFT

<b>Audit Assignment:</b>	Risk Management / Business Continuity
<b>Priority:</b>	Medium
<b>Fieldwork Timing</b>	TBC
<b>Audit and Risk Committee Meeting:</b>	TBC
<b>Days:</b>	5

### **Scope**

#### *Risk Management*

The scope of this aspect of the audit will be to consider whether there are corporate procedures in place to adequately assess risk and minimise the possibility of unexpected and unplanned situations developing, which are in line with good practice.

#### *Business Continuity*

We will also undertake a review of business continuity planning to consider whether there are adequate plans in place to minimise disruption to operations following loss of life, buildings or equipment. This will include a specific focus around the work that has been undertaken to allow College operations to continue during the COVID-19 pandemic.

### **Objectives**

#### *Risk Management*

The objective of this aspect of our audit will be to obtain reasonable assurance that:

- there is a process in place to provide reasonable assurance to the Regional Board and to the Principal in relation to the declaration on risk required for the financial statements;
- the process in place applies good practice in risk management; and
- key risks have been identified and are being appropriately controlled, mitigated, reported and discussed at appropriate levels of management and the Regional Board.

#### *Business Continuity*

The objective of this aspect of our audit will be to obtain reasonable assurance that:

- Business Continuity Plans are in place covering all of the College's activities and locations;
- the Business Continuity Plans are workable, properly communicated to members of staff, and have been adequately tested;
- the processes and procedures in place follow recommended good practice; and
- the work that has been undertaken to allow College operations to continue during the COVID-19 pandemic has, as far as possible, minimised the impact on the student experience.

**Audit Assignment:**

Risk Management / Business Continuity  
(Continued)

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

*Risk Management*

Obtain and review a copy of the College's risk management policies, procedures and Risk Register and discuss the risk management arrangements in place with the Vice Principal – Finance and Resources and other key managers and staff.

The College's risk management arrangements will then be benchmarked against relevant good practice guidance.

We will consider whether all relevant key risks have been identified and included on the Risk Register and ensure that these are monitored and adequately reported on.

*Business Continuity*

Obtain copies of Business Continuity Plans in place and consider whether they cover all of the College's activities and locations. Obtain and review specific plans in place to continue College operations during the COVID-19 pandemic.

Discuss the College's approach with the Vice Principal – Finance and Resources and other key staff, and review evidence of how plans have been communicated to staff and students and the extent to which plans have been tested.

An assessment of the key processes and internal controls will be performed with reference to relevant good practice guidance.

## Internal Audit Annual Plan 2020/21 DRAFT

<b>Audit Assignment:</b>	Corporate Governance
<b>Priority:</b>	Medium
<b>Fieldwork Timing</b>	TBC
<b>Audit and Risk Committee Meeting:</b>	TBC
<b>Days:</b>	6

### **Scope**

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

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

The scope of this review will be to carry out the Externally Facilitated Effectiveness Review described in the Code, in line with the Guidance Note issued by the College Development Network (CDN). The review will cover the five sections of the Code namely:

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

### **Objectives**

The objective of this review will be to complement the work already completed by the College, through discussions with Regional Board members, to explore specific governance issues drawn in order to meet the requirements of the CDN Guidance Note which sets out the specific requirement to provide a 'basic level of assurance relating to core governance requirements plus an agreed list of actions on areas that board members wish to develop their governance further' by 31 March 2021.

**Our approach will be:**

The facilitator will conduct the review in line with the CDN Guidance Note for Conducting Externally Facilitated Effectiveness Reviews. Based on the Guidance Notes issued in August 2016 the review will involve the following steps:

1. Board to agree the areas to be covered in the review (all sections of the Code as a minimum), the process and timescales required.
2. Board and facilitator to agree on the pro-forma or questionnaire to be used.
3. Board members and senior staff who work closely with the Board, provide their views to the facilitator on (a) Board performance to date (b) areas for future development using a pro-forma / questionnaire. This process can be done in a range of ways including: <ul style="list-style-type: none"> <li>i. A Board workshop is held that results in an agreed summary of views; or</li> <li>ii. Board members and senior staff complete the pro-forma / questionnaire and the facilitator summarises the results; or</li> <li>iii. The facilitator undertakes 1 to 1 interviews with some or all Board members and staff based on the pro-forma / questionnaire.</li> </ul>
4. The facilitator pressure tests the views expressed at step 3 by, as a minimum: <ul style="list-style-type: none"> <li>• Observing at least one Board meeting.</li> <li>• Undertaking a desktop review of:                 <ul style="list-style-type: none"> <li>○ a sample of Board and committee remits, minutes, agendas and papers.</li> <li>○ a sample of corporate documents to examine alignment between corporate objectives, the objectives of supporting strategies such as HR, estates and finance and the performance information coming to the Board and its committees.</li> <li>○ the risk register and a sample of recent audit reports.</li> <li>○ the current Board and Board member development plans, appraisal and induction processes and the skills matrix used.</li> <li>○ recent staff, student or stakeholder surveys and any Board responses.</li> <li>○ any audit reports on governance that are used to underpin the Statement of Compliance in the annual report.</li> </ul> </li> <li>• If step 3iii above is not chosen, conducting 1 to 1 interviews with a sample of Board members and senior staff including a staff and student Board member.</li> </ul>
5. The facilitator draws up a draft report summarising the output for steps 3 and 4. The Board is given an opportunity to discuss and comment on the facilitator’s findings and to draw up an action plan for areas of development over the next 12 months.
6. A final report is provided by the facilitator to the Board and the Board Chair writes to the relevant funding body as required by the Code of Good Governance.

## Internal Audit Annual Plan 2020/21 DRAFT

<b>Audit Assignment:</b>	Performance Reporting / KPIs
<b>Priority:</b>	Medium
<b>Fieldwork Timing</b>	TBC
<b>Audit and Risk Committee Meeting:</b>	TBC
<b>Days:</b>	5

### **Scope**

This audit will consider the format, content and timeliness of management information, both financial and non-financial (although excluding budget monitoring as this is covered separately as part of the internal audit programme), provided to senior management and to the Regional Board.

### **Objectives**

The objective of the audit will be to obtain reasonable assurance that:

- the management information needs of users have been identified and the information provided meets those needs;
- management information is clearly set out, easily accessible, accurate, provided on a timely basis and readily understood by users;
- management information is available which:
  - ◆ reports on appropriate key performance indicators and, where applicable, on outputs, outcomes and impacts;
  - ◆ enables the impacts of key strategic and operational decisions to be measured;
  - ◆ assists in forecasting; and
- processes in place to provide and disseminate management information are efficient.

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

A sample of senior managers and Regional Board members will be interviewed, and the College's management reports, and management reporting procedures, will be reviewed to assess compliance with the above objectives.

## Internal Audit Annual Plan 2020/21 DRAFT

<b>Audit Assignment:</b>	IT Network Arrangements / Data Protection
<b>Priority:</b>	Medium / High
<b>Fieldwork Timing</b>	TBC
<b>Audit and Risk Committee Meeting:</b>	TBC
<b>Days:</b>	6

### **Scope**

This audit will include 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.

A key principle of the GDPR is that organisations process personal data securely by means of appropriate technical and organisational measures. This audit will consider the technical measures that the College has in place to ensure the confidentiality, integrity and availability of its systems and services and the personal data processed within them.

### **Objectives**

Our review will seek 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; and
- the College's data protection compliance framework includes identification of the College's information assets and that appropriate technical controls are in place to protect these to comply with the relevant requirements of the Data Protection Act / General Data Protection Regulation.

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

Our approach will be based upon the guidance and best practice provided by NCSC; discussion with the Director of IT & Technical Services and members of the IT Team, review of relevant documentation; and observation. This will cover the following areas:

- Information risk management;
- Secure configuration of ICT equipment;
- Network security;
- Managing user privileges;
- ICT user education and awareness;
- Incident management;
- Malware prevention;
- Monitoring;
- Removable media controls; and
- Home and mobile working.

<b>Audit Assignment:</b>	IT Network Arrangements / Data Protection (Continued)
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***Our audit approach will be (continued):***

Through discussion with IT staff and the Data Protection Officer we will review the technical measures in place that ensure that there is appropriate security of the personal data, including protection against unauthorised or unlawful processing and against accidental loss, destruction or damage.



## Internal Audit Annual Plan 2020/21 DRAFT

<b>Audit Assignment:</b>	Website Delivery Project VFM
<b>Priority:</b>	Medium
<b>Fieldwork Timing</b>	TBC
<b>Audit and Risk Committee Meeting:</b>	TBC
<b>Days:</b>	4

### **Scope**

We will undertake a Post-Project Review to assess how well the Website Delivery Project was managed.

### **Objectives**

The objectives will be to:

- review the management of the completed project in terms of the project success criteria and key objectives as well as through the various stages from inception to completion and identify both successful and less successful aspects of the process; and
- identify lessons learnt that may be applied to future projects.

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

From review of key project documentation and interviews with project members we will consider the above objectives. We will produce a summary report on our findings.

## Internal Audit Annual Plan 2020/21 DRAFT

<b>Audit Assignment:</b>	Credits Audit
<b>Priority:</b>	Required audit
<b>Fieldwork Timing</b>	10 August 2020
<b>Audit and Risk Committee Meeting:</b>	November 2020
<b>Days:</b>	7

### **Scope**

Credits Audit Guidance, issued by SFC, requests that colleges obtain from their auditors assurances as to the reasonableness of procedures used in the compilation of the Credits related element of the FES return.

### **Objectives**

To obtain reasonable assurance that:

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

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

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

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

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

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

## Internal Audit Annual Plan 2020/21 DRAFT

<b>Audit Assignment:</b>	Student Support Funds
<b>Priority:</b>	Required audit
<b>Fieldwork Timing</b>	2 September 2020
<b>Audit and Risk Committee Meeting:</b>	November 2020
<b>Days:</b>	8

### **Scope**

We will carry out an audit on the College's student support funds for the year ended 31 July 2020 and provide an audit certificate. Three specific fund statements will require an audit:

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

### **Objectives**

The audit objectives will be to obtain reasonable assurance that:

- the College complies with the terms, conditions and guidance notes issued by the SFC, SAAS and the Scottish Government;
- payments to students are genuine claims for hardship, childcare, bursary or EMA, and have been processed and awarded in accordance with College procedures; and
- the information disclosed in each of the returns for the year ended 31 July 2020 is in agreement with underlying records.

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

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

Audit guidance issued by SFC will be utilised. This includes 'Areas of risk and audit considerations' for bursaries and for the discretionary funds and childcare, and 'Guidance on the audit requirements for EMA.'

## Internal Audit Annual Plan 2020/21 DRAFT

<b>Audit Assignment:</b>	Follow-Up Reviews
<b>Priority:</b>	Various
<b>Fieldwork Timing</b>	TBC
<b>Audit and Risk Committee Meeting:</b>	May 2021
<b>Days:</b>	2

### **Scope**

This review will cover reports from the 2019/20 internal audit programme and reports from earlier years where previous follow-up identified recommendations outstanding.

### **Objectives**

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

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

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



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<b>REGIONAL BOARD</b>	
<b>Meeting of 07 October 2020</b>	
<b>Title: Strategic Risk Register</b>	
<b>Author:</b> Pauline May, Director of Strategy & Planning	<b>Contributor(s):</b> Neil Cowie, Principal & Chief Executive
<b>Type of Agenda Item:</b>	
<b>For Decision</b>	<input type="checkbox"/>
<b>For Discussion</b>	<input type="checkbox"/>
<b>For Information</b>	<input checked="" type="checkbox"/>
<b>Reserved Item of Business</b>	<input type="checkbox"/>
<b>Purpose:</b> To provide the Regional Board with information regarding the re-establishment of the College's Strategic Risk Register.	
<b>Linked to Strategic Goal:</b> This Agenda Item relates to the achievement of all five Strategic Goals.	
<b>Linked to Annual Priority:</b>	
<b>Executive Summary:</b> Attached as Appendix 1 is an updated version of the College's Strategic Risk Register which was considered by the Audit & Risk Committee at its meeting on 23 September 2020.  The document has been reviewed to reflect risks identified through the COVID-19 scenario planning undertaken by the College's Leadership Team, work which has previously been reported to the Board and this Committee.  The Risk Register was discussed at a recent Leadership Team meeting where it was agreed that it will be collectively considered by the Team on a monthly basis. The need for the process of identifying strategic risks to be owned by the Leadership Team was also reiterated.  In acknowledging the importance of risk management, especially in a time of change for the College both internally and externally, the following timeline, in consultation with the Audit & Risk Committee, has been adopted to ensure that consideration of risk is positioned as an ongoing key activity for the Executive and Leadership Teams and the Regional Board:	
07 October 2020	Strategic Risk Register to be shared with the Regional Board for information
29 October 2020	Leadership Team review of Strategic Risk Register
17 November 2020	Executive Team review of Strategic Risk Register to ensure Strategy Event discussions are incorporated, if required

19 November 2020	Leadership Team review of Strategic Risk Register
02 December 2020	Audit & Risk Committee consideration of Strategic Risk Register
December 2020	Risk Management training session provided to all Board Members and Leadership Team members (possibly on 16 December prior to the Regional Board Meeting)
16 December 2020	Strategic Risk Register to be submitted to the Board for reapproval

The approach detailed above will ensure required changes to the document are captured to reflect evolving COVID-19 related developments and activities.

It is also proposed that prior to December 2020 the format of the Strategic Risk Register is revisited in line with good practice, and to ensure that the information is presented in the best way to support ease of understanding, use and updating.

**Recommendation:**

It is recommended that the Board note the information provided.

**Previous Committee Recommendation/Approval** (if applicable):

Audit & Risk Committee 23 September 2020

**Equality Impact Assessment:**

**Positive Impact**

**Negative Impact**

**No Impact**

**Evidence:**

**NORTH EAST SCOTLAND COLLEGE STRATEGIC RISK REGISTER**

**Approved by: Regional Board**  
**Last considered by Audit & Risk Committee: 23/09/20**  
**Last reviewed by Leadership Team 16/09/20**

**Strategic Risk Appetite - Cautious**

Ref	Movement since last review	Objectives and Risks	Risk Owner	Original Likelihood (1 - 5)	Original Impact (1 - 5)	Original Rating (max=25)	Current Controls	Current Likelihood (1 - 5)	Current Impact (1 - 5)	Current Rating (max=25)	Target Likelihood (1 - 5)	Target Impact (1 - 5)	Target Total (max=25)	Above/On Target	Further Actions	Action Owner	Planned Action Completion Date	Reported to
<b>1</b>																		
<b>Strategic Goal 1: Deliver high quality, accessible and inclusive learning and training opportunities, which transform lives and which support the economic and social development of our region. Risk Appetite - Cautious</b>																		
1.1	NEW COVID-19	IF the future skills needs of the region are not clear THEN ensuring that the College's curriculum contributes to national and regional economic recovery will be challenging	VP C&Q	4	5	20	Engagement with SDS and industry partners, Use of available intelligence and data, Identification of NESCol Business Priorities - Curriculum, Participation in Regional Economic Strategy Group, ACC Socio Economic Rescue Plan, Regional Learning & Skills Partnership, Curriculum Quality & Student Support Committee, Campus Futures	3	5	15	2	2	4	Above Target	TREAT - Improved market intelligence and data sharing with partners, Refreshed curriculum planning process, New Stakeholder Engagement Plan, Continuation of Business Priorities work - Curriculum Area Recovery Plans, Course Discontinuance Criteria, Review College's strategy for distance learning	VP C&Q/Directors of Learning/Director of Business Development	Continuous	Regional Board, Curriculum & Quality Committee
1.2	NEW COVID-19	IF the region continues to experience economic shocks and challenges due to the COVID-19 pandemic and oil & gas downturn THEN the College may face detrimental impacts on its functions and services	Leadership Team	4	4	16	External engagement activities, Scenario planning	4	4	16	4	2	8	Above Target	TREAT - Horizon scanning, Contingency planning, Leadership Team review of lessons learned to date, Curriculum portfolio review - increased flexibility, upskilling & retraining opportunities	Leadership Team	Continuous	Regional Board
<b>2</b>																		
<b>Strategic Goal 2: Develop the skills, talents and potential of all of the people who come to college either to learn or to work. Risk Appetite - Moderate</b>																		
2.1	↔	IF the College is not able to recruit, retain and develop appropriately qualified staff, THEN this will adversely impact on the learner experience and the College's ability to deliver the curriculum of the future	Principal	3	4	12	People Strategy, Recruitment & Selection Policy, Strategy & Procedure, Induction arrangements, Organisational Development and Learning Technologies activities	2	3	6	2	2	4	Above Target	TREAT - Implement refreshed approach to organisational development, Continue to promote College successes through proactive marketing and PR campaigns to increase attractiveness to employers, Refreshed approaches to Workforce Planning and Talent Management.	Director of People Services	Continuous	Human Resources Committee
2.2	↑	IF staff are not fully motivated and engaged in delivering the best learner experience, THEN students may not achieve desired outcomes	Principal	3	3	9	Organisational development and Learning Technologies activities, Staff consultation events, College meetings and briefings, All Staff Development Days	3	3	9	2	2	4	Above Target	TREAT - Learning and development activities, Online Leadership Team Q&A sessions, Further enhancement of staff communication mechanisms	Principal	Continuous	Curriculum & Quality Committee, Human Resources Committee
2.3	NEW	IF national collective bargaining agreements do not provide required flexibility THEN the College may not be able to meet delivery requirements in AY2020-21	Principal	3	4	12	Effective partnership working with local TU representatives, Engagement with Employers' Association	4	4	16	2	2	4	Above Target	TREAT - Implement temporary local agreements reached with LUNC, Implement temporary arrangements for TU Nominees to attend Regional Board Meetings until new legislation is enacted, Enhanced Staff Communication Strategy	Principal with Director of People Services	Continuous	Regional Board, Human Resources Committee
2.4	NEW COVID-19	IF Scottish Government guidance continues to advise for an extended period of time that staff should work from home where possible THEN staff morale, productivity and the quality of the learner experience may be negatively affected	Leadership Team	3	3	9	Extensive staff guidance, Home working procedures, Clear communication methods, College systems to support remote teaching and working, Health & Wellbeing Strategy & Plan, Effective staff consultation and feedback mechanisms	4	3	12	4	1	4	Above Target	TREAT - Revisit homeworking guidance, Consideration of working patterns, Consider potential longer term wellbeing issues	Leadership Team	31/10/2020	Human Resources Committee
2.5	NEW COVID-19	IF there is increased uncertainty and stress due to remote working and teaching, and worries about job security THEN the College may have insufficient staffing levels impacting negatively on the learner experience	Director of People Services	4	4	16	Employee Assistance Programme, Peer Support Programme, Regular communications - emails and staff webinars, Homeworking procedures, Teaching Online @ NESCol Blackboard course	3	3	9	2	2	4	Above Target	TREAT - Issue second Staff Wellbeing Survey to identify any required improvement to staff information, guidance & support, Provision of virtual management skills training	Director of People Services	31/10/2020	Human Resources Committee
2.6	NEW COVID-19	IF teaching staff are lacking in knowledge/experience/confidence to facilitate blended education for a prolonged duration THEN learner engagement and outcomes will be negatively affected	Director of People Services with VP C&Q and Directors of Learning	4	4	16	Curriculum Planning & Delivery Handbook, Staff training for blended delivery, Learning Technologies activities, Formal homeworking procedures, Health & Wellbeing Strategy and Plan	3	4	12	1	2	2	Above Target	TREAT - Ensure teaching staff complete Teaching Online @ NESCol Blackboard Course, Seek student feedback on learning experience (First Impressions Survey)	Directors of Learning, Director of Quality	31/12/2020	Curriculum & Quality Committee
2.7	↔	IF staff do not deliver teaching methods that are engaging and effective, THEN students are less likely to achieve a successful outcome	Directors of Learning	2	3	6	Learning & Teaching Strategy, Lesson observations, Organisational Development, Internal audits, Programme review, Student feedback	2	3	6	2	2	4	Above Target	TREAT - Implement refreshed approach to organisational development	Director of People Services with VP C&Q and Directors of Learning	Continuous	Curriculum & Quality Committee
2.8	NEW	IF students do not engage with formal representation processes and activities THEN the learner voice will not be considered as part of the College's quality improvement agenda	Director of Learning (Enterprise, Innovation and Aberdeen Futures), Director of Quality	4	3	12	Student Engagement Action Group (SEAG), Student Engagement Framework, Student induction process, Student focus groups, Student surveys	3	3	9	2	3	4	Above Target	TREAT - Regular communications, SA Action Plan, Review student representation on College Action Teams	Director of Learning (Enterprise, Innovation and Aberdeen Futures)	Continuous	Curriculum & Quality Committee
2.9	↔	IF the Students' Association (SA) does not continue to be pro-active in engaging with the College, THEN the learner experience will likely be diminished	Director of Learning (Enterprise, Innovation and Aberdeen Futures)	4	2	8	Financial and ET support to SA, Partnership Agreement, SA contributions at Board and Committee meetings and Board Strategy Events, Student Engagement Action Group (SEAG), Student Engagement Framework	3	2	6	2	2	4	Above Target	TREAT - Review of SA structure and purpose, Review College's representation models, SA Action Plan	Director of Learning (Enterprise, Innovation and Aberdeen Futures)	Continuous	Curriculum & Quality Committee
<b>3</b>																		
<b>Strategic Goal 3: Work with our partners to deliver positive and sustainable change for the individuals, communities and businesses in our region. Risk Appetite - Open</b>																		
3.1	↔	IF employers do not successfully engage with NESCol, THEN the College will not be able to identify and meet their needs	VP C&Q/Director of Business Development/Directors of Learning	3	4	12	Business Development Strategy, Engagement with industry groups and employers, Employer engagement events, Stakeholder consultations	3	3	9	2	2	4	Above Target	TREAT - Strengthen partnership working to address regional skills shortages and to deliver the Regional Economic and Skills Strategies, Promote successes to employers - refreshed Marketing & Communications Strategy, Maximise benefits from AGCC and SCDI membership and events, New Stakeholder Engagement Plan	VP C&Q/Director of Business Development/Directors of Learning	Continuous	Curriculum & Quality Committee
3.2	↔	IF local schools do not work closely with NESCol, THEN effective learner pathways will not be delivered throughout the region	VP C&Q/Directors of Learning/Director of Business Development	4	3	12	Engagement with LAs, Schools Liaison Team, Partnership Agreements, Regional Learning & Skills Partnership, Mapping of learner pathways	3	3	9	1	3	3	Above Target	TREAT - Strengthen curriculum planning process for schools provision, Develop model with schools for co-creation of pathways, Lobbying senior local authority partners re: need for closer alignment of FA provision.	VP C&Q/Directors of Learning/Director of Business Development	Continuous	Curriculum & Quality Committee



3.3	↔	If universities do not work closely with NESCoI, THEN improvements to widening access, improving articulation and increasing the efficiency and effectiveness of the learner journey in the region will not be achieved	VP C&Q/Directors of Learning/Director of Business Development	3	3	9	Articulation Agreements, TWO PLUS Alliance with RGU, Ongoing strategic dialogue	2	3	6	1	2	2	Above Target	TREAT - Establishment of Joint Planning & Delivery Board with RGU, Joint marketing campaigns, Enhance opportunities for articulation with universities out with the local region	VP C&Q/Directors of Learning/Director of Business Development	Continuous	Curriculum & Quality Committee
3.4	↑	If the impact of Brexit decreases the number of international students in the region THEN the College may face increased competition with the two local Universities and experience a decrease in ESOL and nautical applications	Principal	2	5	10	Monitoring of Brexit developments, College's Brexit Action Log, Partnership working, Consideration of SFC and Colleges Scotland guidance, Lobbying of Government	4	3	12	3	2	6	Above Target	TOLERATE - Continue to monitor impacts of Brexit, Marketing campaign on the College's USP	Principal	30/09/2021	Regional Board, Curriculum & Quality Committee
3.5	NEW	If national agencies seek to strengthen their influence over regional development priorities THEN the College may face increased bureaucracy, capacity pressures related to partnership working and requirements to respond to conflicting priorities	Executive Team	3	4	12	Engagement with national agencies, Reviews of policy changes, Reviews of key external reports and identification of potential impacts on the College	2	4	8	1	3	3	Above Target	TREAT - Strengthening of engagement with agencies - relationship management, sharing of data; challenge and 'push back' when required	Executive Team	Continuous	Regional Board
4	<b>Strategic Goal 4: Deliver an excellent learning environment and experience leading to successful outcomes for all learners. Risk Appetite - Cautious</b>																	
4.1	↔	If the College does not have sufficient capacity to address the wide-ranging and complex needs of the student body, THEN the health and wellbeing of students will be negatively affected leading to diminished learner experiences and outcomes	VP C&Q/Directors of Learning/Director of Student Access & Information	4	4	16	Access & Inclusion Strategy, Whole-College Student Support Model, Student feedback, Staff training and upskilling, Regular review of policies and procedures, Use of Student Information Portal (SIP) and online referral systems, Promotion of Together All, Student Counselling Service, Signposting to external organisations, Wellbeing, Safeguarding & Support Plan, Framework for Supporting Successful Students	3	3	9	2	3	6	Above Target	TREAT - Review usage of Student Support Services and new online booking system, Monitor effectiveness of current remote student support model, Seek student wellbeing feedback	VP C&Q/Directors of Learning/Director of Student Access & Information	Continuous	Curriculum & Quality Committee
4.2	↑	If student outcomes do not improve as planned THEN the College's ability to achieve its SFC activity target will be reduced	Leadership Team	4	3	12	Effective student information, advice, guidance and support, Course design, Engaged and motivated staff, Appropriate staffing levels, Reporting and monitoring of KPIs (KPI Meetings), Improved credits forecasting model, Learning development activities, Framework for Supporting Successful Students, SFC funding to support digital provision	5	4	20	2	3	6	Above Target	TREAT - Additions to AY2020-21 curriculum offer to support regional reskilling & retraining needs - full-time late starts, new part-time courses Strengthen KPI monitoring and reporting process, Develop approaches to reducing early withdrawal.	Leadership Team	Continuous	Curriculum & Quality Committee
4.3	↔	If the SFC does not provide sufficient capital maintenance funding to maintain modern fit-for-purpose buildings, infrastructure and equipment, THEN the quality of the student experience will be reduced	VP F&R/Director of Quality	4	4	16	Outcome agreement process and engagement with SFC, Business cases for capital projects, Resource planning, Regular condition and structural surveys	4	3	12	2	3	6	Above Target	TREAT - Develop new College Estates Strategy to implement a phased approach to improving the College estate.	VP F&R	31/07/2019	Finance & Resources Committee
4.4	↔	If an emergency/disaster/significant systems failure occurs THEN the learner experience, learner outcomes, and the generation of credits will be negatively impacted upon	Principal	3	5	15	Business Continuity Plan, Scenario and desktop exercises, Insurance on buildings and equipment, IT disaster recovery arrangements, College systems to support remote teaching and working	4	5	20	1	5	5	Above Target	TREAT - Refresh Business Continuity Plan and supporting documentation, Improve staff awareness of College Business Continuity Plan and emergency responses.	Principal	31/07/2019	Regional Board
4.5	↔	If an individual is harmed or property is damaged THEN the College may face litigation or criminal prosecution and reputational damage	Principal/VP F&R	3	5	15	Robust health and safety management system, Regular review of arrangements, Strict adherence to processes, policies and procedures, Effective monitoring systems, Staff training, Health & Safety Committee, Compliance with BSI Standards, Staff training	2	5	10	1	5	5	Above Target	TREAT - Continue staff training and awareness raising.	VP F&R	Continuous	Regional Board
4.6	NEW COVID-19	If the region experiences a second wave of the COVID-19 pandemic THEN the College may need to revert to a closed campus operating model negatively impacting on delivery of courses and the overall learner experience	Leadership Team	4	4	16	Scenario planning, Weekly Leadership Team meetings, Ongoing review of all available guidance, Refreshed approach to business continuity	3	3	9	3	2	6	Above Target	TREAT - Leadership Team review of lessons learned to date	Leadership Team	31/10/2020	Regional Board
4.7	NEW COVID-19	If social distancing requirements are kept in place for an extended period of time THEN the College may not be able to complete delivery for all enrolled students	VP C&Q with Directors of Learning & Director of Business Development	4	5	20	Scenario planning, Ongoing monitoring processes, Ongoing review of available guidance, Risk assessments	4	3	12	4	2	8	Above Target	TREAT - Review of risk assessments and room capacities in line with updated guidance, Review of planned unit delivery and assessment schedule to prioritise key units	VP C&Q with Directors of Learning & Director of Business Development	31/07/2021	Regional Board, Curriculum & Quality Committee
4.8	NEW COVID-19	If capacity limitations dictate that courses require content to be condensed and delivered online THEN this may lead to insufficient delivery time and de-motivated or anxious students	VP C&Q with Directors of Learning	5	4	20	Review of Programmes of Study prior to start of AY, Timetabled Academic Guidance, Student Support Services	4	3	12	3	2	6	Above Target	TREAT - Review of planned unit delivery and assessment schedule to prioritise key units, Student feedback	VP C&Q with Directors of Learning & Director of Business Development	31/07/2021	Curriculum & Quality Committee
4.9	NEW COVID-19	If the College cannot guarantee the quality of the learning experience for certain cohorts (e.g. schools, FAs, regulated qualifications) THEN it may not be possible/ethical to deliver some courses	VP C&Q with Directors of Learning & Director of Business Development	4	4	16	Engagement with LAs, Schools Liaison Team, Scenario planning	3	4	12	2	2	4	Above Target	TREAT - Identification of alternative qualifications, Joint risk assessment with LAs	VP C&Q with Directors of Learning & Director of Business Development	31/07/2021	Curriculum & Quality Committee
4.10	NEW COVID-19	If the College's blended delivery model is unattractive to some learners THEN a decrease in student retention and applications may be experienced	VP C&Q with Directors of Learning	3	4	12	Increased provision of academic guidance, Monitoring of online student attendance and engagement	3	4	12	2	2	4	Above Target	TREAT - Promotion of good news stories/case studies re: learner experience, Sharing of good practice across curriculum teams	Director of M&C, Directors of Learning, Director of Business Development, Director of Quality	30/09/2021	Regional Board, Curriculum & Quality Committee
4.11	NEW COVID-19	If Scottish Government guidance does not enable on campus delivery of School Links provision THEN the College is unlikely to achieve its credits target and future enrolment pipelines may be adversely affected	VP C&Q with Directors of Learning & Director of Business Development	4	5	20	Engagement with LAs and headteachers, Schools Liaison Team	4	5	20	3	3	9	Above Target	TREAT - Joint risk assessment with LAs, Communications with school pupils and parents, Identification of additional credit generating activity	VP C&Q with Directors of Learning & Director of Business Development	31/07/2020	Regional Board, Curriculum & Quality Committee
5	<b>Strategic Goal 5: Optimise the use of our available resources to deliver financial and environmental sustainability. Risk Appetite - Averse</b>																	
5.1	↑	If the College receives insufficient SFC income THEN the College's ability to achieve a balanced budget will be adversely affected and future credits targets may be reduced	Leadership Team	4	5	20	Outcome Agreement process and engagement with SFC, Activity planning and reporting processes, Recruitment Strategy and supporting Marketing Campaign, Applications monitoring, Early Withdrawal target, Forecasting model incl. risk matrix	5	3	15	1	4	4	Above Target	TREAT - Contingency planning for the College failing to meet its credits target, Seek additional sources of funding, Develop approaches to reduce early withdrawal, Use of Voluntary Severance Scheme, Implementation of Staff Flexible Working, Recruitment Freeze	VP F&R	Continuous	Finance & Resources Committee, Curriculum & Quality Committee, Regional Board

5.2	NEW	IF staff pay awards require to be implemented for AY2020-21 THEN the College is unlikely to achieve a balanced budget	Leadership Team	4	5	20	Membership of Employers' Association, Engagement with SFC and Scottish Government	4	4	16	2	3	6	Above Target	TREAT - Planned reduction in staffing costs - permanent & temporary	Leadership Team	31/07/2021	Regional Board, Finance & Resources Committee
5.3	↔	IF sufficient non-SFC income levels are not achieved THEN the College will not be able to financially invest in innovation, staff and facilities	VP F&R/VP C&Q/Director of Business Development	4	5	20	Business Development Strategy, Employer/client engagement, Save Well-Spend Well initiative	5	4	20	1	4	4	Above Target	TREAT - Work with BCD and Faculties to increase commercial engagements and wider funding opportunities. Continue to explore alternative funding streams.	VP F&R/VP C&Q/Director of Business Development	Continuous	Finance & Resources Committee
5.4	↔	IF regional demand reduces, THEN the credit target may not be achieved resulting in clawback and reduced funding in future years	Leadership Team	4	5	20	Marketing & Communications Strategy, Engagement with CPPs, schools and employers, Data analysis, Effective marketing	4	4	16	2	3	6	Above Target	TREAT - Contingency planning for the College failing to meet its credits target, Refreshed Marketing & Communications Strategy, Improved identification and use of market research and intelligence	VP F&R	Continuous	Curriculum & Quality Committee
5.5	↔	IF candidate numbers are insufficient to meet SDS targets in relation to Modern Apprenticeships (MAs) and Foundation Apprenticeships (FAs), THEN the allocation of future places may be reduced	VP F&R/VP C&Q/Director of Business Development	4	4	16	Effective marketing, Good relationships with key stakeholders e.g. local authorities, schools, universities and employers, Effective forward planning	4	4	16	2	3	6	Above Target	TREAT - Continue promotion of benefits of undertaking an FA to school pupils, parents & employers. Develop model with schools for co-creation of pathways, Lobbying senior LA partners re: need for closer alignment of FA provision. Continue to promote MA places with employers incl. access to existing FT student cohort who may have already completed parts of MA framework, Promote AAA opportunity as an added incentive to reduce impact of redundancies	VP F&R/VP C&Q/Director of Business Development	Continuous	Curriculum & Quality Committee
5.6	NEW COVID-19	IF challenges arise around the delivery of undelivered AY2019-20 FWDF activity THEN the College may be unable to retain FWDF funding and experience reputational damage with employers	Director of Business Development	4	4	16	Effective Marketing, Maintaining strong relationships with existing Apprenticeship Levy payers and identify new, Issue Associate Trainer tender to increase breadth of portfolio and capacity for delivery of commercial programmes	4	4	16	2	3	6	Above Target	TREAT - Sourcing of additional associate assessors	Director of Business Development	31/07/2021	Regional Board, Finance & Resources Committee
5.7	NEW	IF the Flexible Workforce Development Fund is extended to private training providers THEN the College will face increased competition for securing employers and related funding	Director of Business Development	3	3	9	Lobbying Scottish Government through Colleges Scotland & Business Development Directors Network, Portfolio reviews to ensure offer remains relevant to employers, Ongoing identification of new employers	3	3	9	2	2	4	Above Target	TREAT - Employer Engagement Strategy, Sourcing of additional associate assessors.	Director of Business Development	Continuous	Regional Board, Finance & Resources Committee
<b>6 Other. Risk Appetite - Avoid</b>																		
6.1	↔	IF staff do not adhere to key statutory obligations and legislative requirements, including the Equality Act 2010, Freedom of Information (Scotland) Act 2002, General Data Protection Regulation (GDPR) THEN the College may face significant financial penalties and/or reputational damage may occur	Principal	3	4	12	Legal advice, Comprehensive policies and procedures, Internal audits, Staff training, Data Protection Officer, Engagement with key external stakeholders (Advance HE, SPSO & Scottish Information Commissioner)	4	2	8	1	4	4	Above Target	TOLERATE - Provide up-to-date staff training on legislative requirements and related College policies.	Executive Team	Continuous	Regional Board
6.2	NEW	IF the College fails to equality impact assess key decisions and policy changes THEN it may disadvantage those with certain protected characteristics and/or vulnerable groups and individuals and negatively affect the College's reputation regarding access and inclusion	Regional Board/ Executive Team/ Leadership Team	3	4	12	EIA standing item at Leadership meetings, EIA section of Board cover papers	2	4	8	1	4	4	Above Target	TREAT - Establish Equality Impact Assessment Review Group as sub-group of Equalities Committee	Director of Learning (Equalities, Analytics and Altens Futures)	30/09/2020	Regional Board
6.3	NEW to replace former 6.2	IF the College is the victim of a cyber attack THEN the College may experience IT systems outages and/or data security breaches, both resulting in significant business disruption	VP F&R	3	5	15	IT Strategy, Internal audits, Robust systems testing, Appropriate physical security and use of preventative technologies, Resilient architecture of links between sites, Monitoring of threat levels through partners, Use of cloud-based repository, Staff training	3	3	9	1	5	5	Above Target	TREAT - Complete work to improve IT business continuity and disaster recovery arrangements. Continue working with the HEFESTIS service to achieve the objectives set out in the Scottish Government Cyber Resilience Framework, Refreshed IT Security Policy with new supporting suite of sub-policies.	Director of IT & Technical Services	Continuous	Regional Board
6.4	NEW COVID-19	IF COVID-19 and the threat of a no-deal Brexit continue to affect supply the supply chain for equipment THEN the College's ability to procure the necessary equipment for successful delivery of services will be impacted	VP F&R	4	4	16	Working with sector colleagues, vendors, partners and procurement framework providers to understand risk and lead times for key equipment	4	3	12	3	2	6	Above Target	TREAT - Contingency planning, Review of suppliers to identify possible alternatives	VP F&R with relevant Leadership Team members	31/12/2020	Regional Board, Finance & Resources Committee
6.5	NEW to replace former 6.2	IF staff do not adhere to required data processing arrangements THEN the College may experience unavailability or loss of personal data, with potential for monetary fines of up to 4% of turnover, reputational damage and normal business processes being negatively impacted or ceasing altogether	VP F&R	4	4	16	DPO in place, DP and IT Security policy and procedures in place, GDPR action plan, Staff training	4	3	12	2	2	4	Above Target	TREAT - Complete work on the GDPR action plan; continue the rolling programme of staff training; contribute to the completion of actions to Achieve Cyber Essentials Plus Accreditation; complete data audit work to populate the Register of Processing Activity (RoPA); contribute to records management work (esp. retention and disposal of records)	Director of Student Access & Information	Continuous	Regional Board
6.6	NEW	IF the College experiences a number of positive COVID-19 cases, staff or students, THEN it may be required to operate a temporary closed campus model	Leadership Team	4	5	20	Clear guidance on symptoms, reporting procedures, required behaviours, Implementation of social distancing measures including reconfigured classrooms & public spaces and one way routes, Increased cleaning and hygiene practices, Campus Priority Plans	4	5	20	2	5	10	Above Target	TREAT - Reinforcement of required behaviours, Regular reviews of measures in place to identify any required improvements, Leadership Team review of lessons learned to date	Leadership Team	Continuous	Regional Board
6.7	NEW COVID-19	IF Scottish Government guidance continues to prevent the holding of on Campus meetings and events e.g Open Days, Career Events THEN the College's ability to deliver key business as usual activities and the meeting of enrolment targets will be negatively impacted	Leadership Team	5	3	15	increased social media presence, press releases and news coverage	4	3	12	4	2	8	Above Target	TREAT - Develop programme of virtual open days and events, Create recorded material for input to schools career activity	Director of M&C	30/09/2021	Regional Board

Appetite						
	5	Orange	Orange	Red	Red	
	4	Orange	Orange	Red	Red	
	3	Green	Orange	Orange	Red	
	2	Green	Green	Orange	Orange	
Likelihood	1	Green	Green	Orange	Orange	
		1	2	3	4	
		Impact				

In reviewing the Risk Register cognisance is taken of information contained in Government Risk Registers - Holyrood and Westminster - and of the risks identified by key regional and national stakeholders.

Likelihood	Impact	Risk Control
Almost 5 certain 80% +	5 Critical  Substantial effect upon the objective, thus making it extremely difficult/costly to achieve	TERMINATE - Eliminates the risk completely
4 Very likely 60% - 80%	4 Significant  Considerable effect on the objective, making it more difficult /costly to achieve	TRANSFER - Passes the Risk to a third party, who bears or shares the impact
3 Likely 40% - 60%	3 Moderate  Evident and material effect on the objective, making it fully achievable only with some moderate additional difficulty or cost	TREAT - Containment. Reduces the likelihood and/or the impact. Contingent. Establishes a contingency to be enacted should the Risk happen
2 Unlikely 20% - 40%	2 Minor  Small but noticeable effect on the objective, making it fully achievable but with some minor difficulty/cost	TOLERATE- Accept the Risk, subject to monitoring
Very 1 unlikely Less than 20%	1 Marginal  Peripheral effect upon the objective, impacting only in minor way upon achievement	