Board of Management

Agenda

Meeting reference: Board 2017-18/04
Date: Wednesday 13 June 2018 at 5.30pm
Location: Room 019 – Brahan Building
Purpose: Scheduled meeting

* Denotes items for discussion.
Members should contact the Secretary in advance of the meeting if they wish to request an item be starred.

Barbara Nelson the College's HMIe will be in attendance

	Agenda Items	Author	Led by	Paper
1	Welcome and Apologies		Chair	
2	Additions to the Agenda		Chair	
3	Declaration of Interest in any Agenda Item		Chair	
*4	Minutes of the meeting held on Wednesday 21 March 2018	Secretary	Chair	Paper 1
*5	Actions arising from previous minutes		Chair	Verbal
*6	Confirmation of new staff members		Chair	Verbal
*7	Barbara Nelson to address the Board			Verbal
*8	AST Business Plan Update		Chair	Verbal
*9	Incorporated Colleges Integration discussion and other discussions with Colleges not part of that process		Chair	Verbal
*10	Development Trust Update		Chair	Verbal
*11	HISA Perth College Update	Student President	Student President	Paper 2
*12	Chair's Report		Chair	Verbal
*13	Principal's Report		Principal	Verbal
*14	Balanced Scorecard	Head of Students Records	COO	Paper 3

University of the Highlands and Islands Perth College

15	Board of Management Business			
*15.1	Recruitment of a new Chair		Chair	Verbal
*15.2	Board Recruitment		Chair	Verbal
16	Policies and Procedures			
*16.1	Redundancy Procedure	Head of HR and OD	Principal	Paper 4
*16.2	Organisational Change Procedure	Head of HR and OD	Principal	Paper 5
*16.3	Anti-Bribery Policy	COO	COO	Paper 6
*16.4	Fraud Prevention Policy and Response Plan	COO	COO	Paper 7
*16.5	Whistleblowing	Head of HR and OD	Principal	Paper 8
16.6	Admissions Policies Higher Education and Further Education	Principal	Principal	Paper 9
*17	Terms of Reference for Engagement and Academic Affairs Committees	Principal	Principal	Paper 10
18	IIP Status option appraisal	Head of HR and OD	Principal	Paper 11 Closed
19	GDPR update	International & Corporate Services Director	Principal	Paper 12
20	**Minutes of Board Standing Committees** (approved by Committee Chair but unconfirmed by full Committee at this stage) For the Board of Management to note.			
20.1	AST Board – 1 May 2018	AST Board Secretary	Chair - AST Board	Paper 13 Closed
20.2	Engagement Committee – 10 May 2018	Secretary	Chair – Engagement	Paper 14
20.3	Academic Affairs – 16 May 2018	Secretary	Chair – Academic Affairs	Paper 15
20.4	Chairs Committee – 21 May 2018	Secretary	Chair	Paper 16 Closed

20.5	Audit Committee – 22 May 2018	Secretary	Chair- Audit	Paper 17
20.6	Finance and General Purposes Committee – 30 May 2018	Secretary	Chair - F&CP	Paper 18
21	Schedule of meetings for 2018-19	Secretary	Secretary	Paper 19
22	Date of next meeting – 10 October 2018			
23	Review of meeting		Chair	

University of the Highlands and Islands
Perth College

Board of Management

Draft Minutes

Meeting reference:	Board 2017-18/03
Date and time:	Wednesday 21 March 2018 at 5.30pm
Location:	Room 019

Members present: Brian Crichton, Harold Gillespie, Sharon Hammell, Deborah Hutchison, Ann Irvine, David Littlejohn, Grant Myles, Lindsey McLeod, Lynn Oswald, Nurina Sharmin, Anna Zvarikova

Apologies: Margaret Cook, Jim Crooks, Prince Honeysett, Donald MacLean, Sharon McGuire, Charlie Shentall

In attendance: Jackie Mackenzie, Chief Operating Officer (COO)
Maureen Masson (Secretary to the Board of Management)

Chair:	Grant Myles
Minute Taker:	Maureen Masson
Quorum:	6

Ref	Action	Responsibility	Time Line
Summary of ongoing Action Items from previous meetings			
4	Update the Board at the next meeting regarding the ongoing work with the Development Trust	Chair	Next Board meeting
14	Bring the whistleblowing policy back to the Board when the drafting process is complete	Principal/ Secretary	In due course
8	Fair use wi-fi policy – report back when review of UHI policy and other work is complete	COO	In due course
15	Conclude the Terms of Reference for Engagement and Academic Affairs Committees	Principal/ COO/ Secretary	For next Board meeting

Ref	Action	Responsibility	Time Line
Summary of ongoing Action Items from meeting on 21 March 2018			
*6	ASTET Review Group – write to the Review Group	Chair	asap
*7	Incorporated Colleges' Integration Discussions – invite Chairs of other FE delivery partners and non-integrating Colleges for a high level discussion about future thinking	Chair	ongoing
*8	HISA Perth College to discuss with Engagement Committee Chair the format and nature of a presentation to the Board at its meeting on 13 June 2018	VP Education and Engagement	Engagement Committee on 10 May 2018

University of the Highlands and Islands Perth College

Ref	Action	Responsibility	Time Line
9	Board Secretary to write to the Head of Governance and Records Management at UHI to notify the regional strategic body of the extension of the Terms of Office for two Board members	Board Secretary	asap
*11	Admissions Policy to be considered by the Engagement Committee at its next meeting together with the UHI HE Admissions Policy	Principal	Engagement Committee on 10 May 2018
*12	GDPR Update – prepare a paper for the next Chairs meeting on 21 May (to be issued on 11 May)	Freedom of Information and Data Protection Officer	By 11 May 2018
13.2	AST Business Plan update to come to June meeting of the Board	COO	By 5 June 2018 for Board meeting on 13 June 2018
13.3	Agree a date for the College's HMI to attend a Board meeting/development event.	Principal/Chair	asap

Minutes

Item		Action
1	**Welcome and Apologies** The Chair welcomed everyone to the meeting. Apologies were noted.	
2	**Additions to the Agenda** An update on the recent Strategy Working Group meeting would be provided under item *9 Chair's Report.	
3	**Declaration of Interest in any Agenda Item** There were no declarations of a conflict of interest in any agenda item.	
*4	**Minutes of Meeting held on Wednesday 13 December 2017** The minutes were approved as accurate record.	
5	**Actions arising** **Summary of Action Items from Board meeting on 11 October 2017** 4. Report back on possible changes to the Campaign Board and Development Trust Terms of Reference and implications	

Action update – The Chair reported that discussions were ongoing on a proposed new Development Trust Deed. The Chair had written to the Chair of the Development Trust with feedback on the draft including the timing for finalising the Trust Deed related to membership. The Chair would report at the next meeting.	Chair

4. Visit by the Vice Principal (VP) international

Action update – The VP International was to present the internationalisation strategy to the Board at its development evening on 3 May 2018.

4 HE Governance Manual

Action Update - the Secretary had completed a check and had shared that with the Chair and Chief Operating Officer. No work was needed to the College's Governance Manual currently.

14 Whistleblowing Policy

7 Action Update – a whistleblowing policy had been drafted and it would be presented to the Board in due course.	Principal

16.4 Health and Safety Reporting

Action Update – the Chair of Audit Committee had met with the COO to discuss the format of the report, which was a work in progress. It was important to avoid duplication and set out a framework that engaged the Board at a strategic level.

8. Fair use wi-fi policy

Action Update – discussions were ongoing with UHI who already had a fair use policy. Wi-Fi provision, eduroam and guest access use at the College were also being considered. The Board was keen to hear of the outcomes from these reviews as the matter had been raised via HISA Perth College.	COO

15 Terms of Reference for Engagement and Academic Affairs

Action Update – a final remit for a re-constituted Engagement and Academic Affairs Committee would be prepared for the 13 June 2018 Board meeting.	Principal/ COO/ Secretary

*6	**AST Employment Tribunal Review Update**	
	The Board noted the final report. The Chair would write to those involved in the Review Group to thank them for their input now that all recommendations had been addressed.	Chair
	A query was raised in relation to the training and advice available to	

Board members who were asked to deal with HR matters. The Board noted that guidance had been sought from CDN but that nothing 'off the shelf' existed. The College had appointed a new employment lawyer and any Board Members involved in HR disciplinary/grievance matters would be provided with advice and training at the point they needed it, working with the College's HR team and legal advisers.

*7   Incorporated Colleges' Integration Discussions

The Chair had circulated a confidential note to the Board following the last Integration Board (IB) meeting. This was to update members on recent discussions and to engage the Board to think about future relationships, strategy and resource matters. The Board agreed that future thinking was important and that early consideration should be given to the appropriate formal arrangements to regulatory agreements and relationships between the College and any new organisation.

A number of topics for discussion were identified and the Board endorsed the Chair's view that other FE delivery partners and non-integrating partners should be asked to participate in that process if Chairs in those institutions felt that would be useful. The Chair of the Board of Management would follow this up and extend an invitation to the Chair of Court.

Chair

The Board noted an update from the recent Strategy Working Group meeting where it was confirmed that an appointment to the post of IB Programme Director had been made. In addition, ministers had shown a willingness to meet to discuss the IB's proposal although no agenda or date had been fixed. The IB had been open to extending an invitation to a College which was outside the IB discussions.

*8   HISA Perth College Update

The Board noted the report and that the outcomes from the elections would be known week commencing 25 March 2018.

The VP Education and Engagement asked if the HISA team could make a presentation to the Board at its next meeting, about the vision for next year. The Board was happy for this to be scheduled at the start of the agenda for the next meeting, and the newly elected student officers would be invited along to meet the Board. This was seen to be a positive step and would help the process of transition between student officers as well as informing the Board about key student priorities.

VP Education and Engagement

It was agreed that the Engagement Committee at its next meeting first considers an outline proposal.

*9 Chair's Report

The Board received an update on the recent discussions at the third Strategy Working Group session and the UHI residences project. In terms of the Strategy Working Group's aims and objectives, the Board was concerned that resources were now being directed to the IB Integration discussions rather than to the work agreed following the work of the Strategy Working Group. This point and ongoing concerns with the residences project had been raised with the FERB Chair for discussion at the next Court meeting.

Regarding Board membership, the Board noted that Lorna Nicoll had resigned and that David Littlejohn and Harold Gillespie had agreed to stay on the Board for a further four years. The Chair thanked Lorna for her contribution. The Secretary would notify the Regional Strategy Body in line with the Governance Manual.

Secretary

*10 Principal's Report

The Board noted the Principal's report.

The Board noted consultants had provided a presentation on service re-design which had provided 'food for thought'. A Planning and Project Manager with Prince 2 practitioner experience had been recruited and there was an opportunity to review service activity starting first with student facing areas.

A query was raised about the makeup and significance of the BSc (Hons) Aircraft Maintenance. The Board noted the opportunity for the College Group to benefit as the course married the AST part 66 qualification with a degree framework thus having international and local appeal.

In terms of the Depute Principal role, the Board noted the reasons for the role remaining vacant.

*11 Admissions Policy

The Board noted the Further Education Admissions Policy, which had been developed by a short-life working group as part of a drive for a single UHI policy framework for FE.

The Board endorsed the policy as an approach to admissions, but was keen to set it in context and have sight of the UHI HE Admissions Policy. It was recommended that both policies be brought back to the Board via the Engagement Committee.

Principal

*12 GDPR Update

The Board noted the GDPR update that followed a presentation on this topic at a recent Board development event. The presentation by

the Freedom of Information and Data Protection Officer had indicated that it would not be possible to be complaint in all aspects of GDPR by the 25 May implementation deadline, and a paper was to be prepared for the Board to highlight key issues.

The Board noted that the paper did not identify any areas of potential non-compliance. Given the next meeting of the Board was after the GDPR implementation deadline, the Board agreed that the Chairs Committee should receive a paper at its next meeting on 21 May, before the enforcement date to:

- identify areas where there may be potential non-compliance at the enforcement date;
- against each area, the mitigating action or set or actions to be put in pace to ensure compliance; and
- estimated date for compliance being achieved with mitigation measures.

This approach would identify risks, mitigation measures and whether any additional resource was needed to ensure compliance.

The Board would also welcome, through the Freedom of Information and Data Protection Officer, any insight/feedback from the Information Commissioner's Office about their approach to enforcement monitoring after 25th May. This may be helpful in terms of identifying the significance of any areas that are non-compliant at the enforcement date.

Freedom of Information and Data Protection Officer

13   **Minutes of Standing Committees (unconfirmed)**

13.1   **Engagement Committee– 1 February 2018**
Noted.

The Chair commented positively on the HR work that was being taken forward and was looking forward to meeting the new Vice Principal.

13.2   **AST Board – 6 February 2018**
The Chair of the Board of Management expressed disappointment that the AST Business Plan was not ready for consideration by the Board. The COO explained that the Business Plan had been considered by the AST Board at its recent meeting, but that it was not yet ready to be taken to the College Board as there was further work to do. The reasons for the delay were noted and that all was being done to finalise the plan.

The Chair asked that an update on the Business Plan come forward to the June meeting of the Board.

COO/Chair AST

13.3   **Academic Affairs– 20 February 2018**
Noted

The Vice-Chair informed the Board that the College's HMI was keen to attend a Board meeting or development event to improve engagement at Board level. The timing would be considered by the Board Chair and Principal.

Board Chair/ Principal

13.4 **Chairs Committee – 21 February 2018**
Noted

13.5 **Audit Committee – 27 February 2018**
Noted

The Chair commented on an addition to the Risk Register and the steps taken to ensure business continuity during the short period of a vacancy in the role of H&S Officer.

The Chair also informed the Board that he was attending the Academic Partners' Audit Committee Chairs' meeting and had provided feedback on topics of interest.

13.6 **Finance and General Purposes Committee Board – 7 March 2018**
Noted

The Chair commented that the College was forecast to break even at six monthly stage.

*14 **Date of Next Meeting**

13 June 2018

*15 **Review of Meeting**

Members agreed the meeting covered Board business.

As this was the Nurina's last Board meeting, the Chair extended a vote of thanks for her hard work and dedication to the role of VP Education and Engagement and wished her all the very best for the future.

The Board also wished to note the positive work ongoing at various levels within in the College, much of which was about change management, and that this was being taken forward while maintaining business as usual.

Information recorded in College minutes are subject to release under the Freedom of Information (Scotland) Act 2002 (FOI(S)A). Certain exemptions apply: financial information relating to procurement items still under tender, legal advice from College lawyers, items related to national security.

Notes taken to help record minutes are also subject to Freedom of Information requests, and should be destroyed as soon as minutes are approved.

Status of Minutes   Open ☒ ☐

An **open** item is one over which there would be no issues for the College in releasing the information to the public in response to a freedom of information request.

A **closed** item is one that contains information that could be withheld from release to the public because an exemption under the Freedom of Information (Scotland) Act 2002 applies.

The College may also be asked for information contained in minutes about living individuals, under the terms of the Data Protection Act 1988. It is important that fact, rather than opinion, is recorded.

Do the minutes contain items which may be contentious under the terms of the Data Protection Act 1988?   No ☒ ☐

Board of Management

Paper for Consideration

Subject: HISA Perth College Update
Author: PC Student President
Date of paper: 5 June 2018
Date of meeting: 13 June 2018

Action requested of committee:

(Tick as appropriate)   For information only:
                               For discussion: ✓
                               For recommendation/approval:

Cost implications:
(Tick as appropriate)   Yes: No: ✓

Executive Summary:

The paper provides an update on the work of the Student Association.

Information recorded in College minutes and papers is subject to release under the Freedom of Information (Scotland) Act 2002 (FOI(S)A). Certain exemptions apply: financial information relating to procurement items still under tender, legal advice from College lawyers, items related to national security.

Status of Papers   Open ☑   Closed

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Do the papers contain items which may be contentious under the terms of the Data Protection Act 1988?   **Yes** ☐   **No** ☑

One Stop Shop

We met with the project manager of the One Stop Shop project to discuss the project governance and how we feel it will affect students. We believe HISA Perth should be involved in every aspect of the planning of this because students are the biggest stakeholder in this project and we would like to ensure that the needs of students are in the best interest of Perth UHI.

Volunteer Officer Positions

Since this was our first year as HISA Perth we were still learning about how we can develop better as a student association to engage with students. We are currently advertising and recruiting volunteer officers for the next academic year. This will help us in better representing the student voice at Perth UHI.

OBI Awards

We held our annual OBI Awards ceremony this year on May 17th, celebrating the hard work and passion that staff and students put into their role over the past year. Mark Ridell, Managing Director of M3 Networks and Shuwanna Aron, NUS Scotland Women's Officer were guest speakers at the event as well.

There was a total of 23 awards handed out at the event to staff and students across all the available categories.

Freshers

We have begun planning for out 2018/19 Freshers event. We are currently trying to come to a decision on the dates and how long the event will last for. Feedback from last year's event informed us that a lot of FE students missed out on Freshers because it was only on for three days in. We are taking this into consideration and are exploring how to make Freshers available to as many students as possible.

New Officers

Handover has begun for the new student officers for the 2018/19 academic period.

Board of Management

Paper 3

Paper for Consideration: Balanced Scorecard 2016-17

Subject: Balanced Scorecard 2016-17
Author: Deborah Lally
Date of paper: 5 June 2018
Date of meeting: 13 June 2018

Action requested of committee:
(Tick as appropriate)   ~~For information only:~~
For discussion: X
~~For recommendation/approval:~~

Cost implications:
(Tick as appropriate)   ~~Yes:~~   No: X

Executive Summary:

The Balance Scorecard was reviewed last year in support of our 2016-2021 Strategic Plan. The attached paper provides a summary and commentary of the actual performance of the College with respect to the Balanced Scorecard measures in AY 2016-17. The baseline data are from AY 2015-16. Measures are categorised as Red, Amber or Green based on performance.

All measures have been presented and accepted at Sub-Committees of the Board of Management with the exception of HE positive destinations. HE destinations has only been captured and shared by our UHI colleagues to Academic Partners very recently.

Measures (number)	Category	AY 2016-17
Student and staff achieving their potential (11)	Red	2
	Amber	2
	Green	7
Student satisfaction (8)	Red	-
	Amber	3
	Green	5
Student activity measures (21)	Red	4
	Amber	9
	Green	8
Sustainability (7)	Red	1
	Amber	2
	Green	4

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University of the Highlands and Islands
Perth College

Status of Papers   Open ☑   Closed ☐

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The College may also be asked for information contained in minutes and papers about living individuals, under the terms of the Data Protection Act 1988.

Do the papers contain items which may be contentious under the terms of the Data Protection Act 1988?   **Yes   ☐   No   ☑**

Perth College UHI Dashboard for Vision 2021: Strategic Plan 2016-21

No	Vision 2021 Scorecard Measure	Measure	ROA FE Measure	Cttee	Baseline 2015-16	2016-17 Target	2016-17 Current RAG	2016-17 Trend	2017-18 Target	2017-18 Current RAG	2017-18 Trend	Comments
Students and staff achieving their potential												
1	Students:	Students:		Engmnt Ac. Affairs								
	a)Number of full-time FE learners undertaking programmes with an element of substantial work experience or volunteering opportunity	a) Number of FT programmes that offer opportunities for work experience of equivalent to 1 unit or more	6		20	↕	24	↑	↕			
	b)Number of apprenticeships	b) Number of students undertaking apprenticeships (total):	5		348	↕	355	↑	↕	299		2017-18 figure indicative only, accurate as at the end of Sept 2017. Overall the number of apprenticeships increased in 2016-17 from the baseline by 7. The number of SDS funded MAs increased by 30, but this was matched by a drop of 23 non-SDS funded apprenticeships.
		i) SDS-funded			145		175	↑		147		
		ii) Non-SDS Funded			203		180	↓		152		
	c)Vocational qualifications delivered to senior phase pupils	c) Number of Vocational qualifications delivered to senior phase pupils	2a, 2b, 4c		75	↕	145	↑	↕			New measure for 2016-17. 2016-17 saw the number of vocational qualifications delivered to senior phase pupils almost double from the baseline, with an increase of 70 (an increase of 93%)
2	Perth College students moving on to positive destinations (including progressors)	Proportions of FT students entering positive destinations (including progressors) in:	7,8	Ac. Affairs								
		i) HE			93%	↕	91%	↓	↕			
		ii) FE			84.4%		83.70%	↓				
3	Staff:	Staff:		Engmnt Ac. Affairs								
	a)Number of staff days spent on CPD/year	a) Number of staff days spent on CPD/year (average per head)			5.3	6.5d	4	↓	6.5d			
	b)Proportion of staff with teaching qualifications	b) % of permanent staff with TFQE or equivalent.			84%	↕	88%	↑	↕			New measure for 2016-17. based on % of permanent staff with TFQE or equivalent. In 2016-17 4% of staff undertook and completed TQFE compared with 5.3% in the baseline year. The proportion of staff without TQFE or equivalent dropped from 10.6% in 2015-16 to 8% in 2016-17. The figures are draft only and have not been subject to BoM approval.
	c)Numbers of staff presenting papers at conferences and number of publications	c) Numbers of		RSKE								
		staff presenting papers at conferences			19	↕	19	↔	↕	5		New measure for 2016-17. Final values for 2016-17 are yet to be confirmed, but are not expected to alter significantly from those presented here. Values for 2017-18 are indicative of progress and are accurate up to end Sept 2017 and based on data received from the current Research Activity Co-ordinator and from HR CPD database.
		number of publications			8	↕	8	↔	↕	14		
Student satisfaction												
4	Track FE and HE student satisfaction through national student surveys:	The proportions of students overall satisfied with college experience in:	9	Engmnt Ac. Affairs								
	a) Student Satisfaction and Engagement Survey	a) Student Satisfaction and Engagement Survey			93%	↕	95%	↑	↕			
	b) National Student Survey	b) National Student Survey			76%	↕	80%	↑	↕			
5	Proportion of classes with a student representative or agreed structure	Proportion of classes with a student representative or agreed structure		Engmnt	HE = 52% FE = 34%	↕	HE = 52% FE = 34%	↑	↕			New measure for 2016-17. There are 128 Higher Education (HE) classes (containing 5 or more students) and 172 Further Education (FE) classes. We seek to optimise the number of classes that elect Class Reps, and this year achieved 52% of all HE classes and 34% of all FE classes, giving a total of 41% of classes represented by 267 Class Reps (continuing a 4 year upward trend in representation)
6	End of year Student survey outcomes:	Proportions of students that agree or mostly agree with the statements from the End of Year Student Outcomes (SSES) :		Engmnt								
	a) Course/achievement	i)The course was what I expected (prev. I am satisfied with my course)			84%	↕	89%	↑	↕			Rating baseline: (i) 65, (ii) 73. Satisfactionwith course and achievement remained stable from theat in 2015-16, with satisfaction in the course increasing by 5 percent points and achievement by 1.
		ii) I am achieving what I set out to do			91%		92%	↔				
	b) Destination	i) I am aware what I can do after my course			92%	↕	91%	↔	↕			Rating baseline: (i) 78, (ii) 77. Satisfaction in outcomes relating to destination of colleges leavers also remained stable from 2015-16, with both measures showing a decrease of only 1 percent point.
		ii) I feel prepared to take my next steps			91%		90%	↔				
	c) College	i) I would recommend the College to a friend			92%	↕	94%	↑	↕			Rating baseline: 78. There was a small increase in 2016-17 in the percentage of students agreeing that they would recommend the college to a friend.

Measure	Detail	Ref	Owner								Commentary
Student activity measures											
7 Recruit to published targets for :	Meet published FTE recruitment targets for:	1a, 1b	Ac. Affairs								
a) FE	a) FE			26010	26,067	25,368	↓	23867	25996	↑	Both targets for 2017-18 have been met and the figures will be finalised end of year.
b) HE	b) HE			1885.9	1951	2002.6	↑	1975	1989	↑	
8 Track progress towards providing a system of learning that is widely accessible and diverse by analysis of data as follows: age, gender, postcode, protected characteristics and care experienced subject area, numbers from schools with highest rates of negative destinations	Recruitment of learners from the following protected characteristics in FE courses (Enrolments and Credits = Es and Cs):		Ac. Affairs								
	i) SIMD20			Es=347 Cs=3108		Es = 347 Cs = 3108	↔				New measure for 2016-17.
	ii) Care Experienced			Es = 63 Cs = 737	↕	Es = 63 Cs = 690	↔	↕			
	iii) Minority Ethnicity			Es = 441 Cs = 4461		Es = 461 Cs = 4474	↔				
	iv) Disability			Es = 945 Cs = 6536		Es = 1022 Cs = 6545	↔				
	Number of courses with a gender ratio of greater than 3:1 (75/25 split)			33	↓	34	↔	↓			2015-16 Total Enrolments = 946 (33% female). Total FE Credits 5961 (12% female); New measure for 2016-17.
9 Track retention and attainment of all full time and part time funded college programmes	FE RETENTION	4a, 4b	Ac. Affairs								
	a) of students in courses over 160h (inc. FT):										
	i) Overall			83.60%		82.11%	↓				New measures for 2016-17. Remained mostly stable for 2016-17 compared to baseline (2015-16), with a drop in retention of FE students from SIMD20 and an increase in care experienced learners. Variances greater than 3pp were coloured red or green accordingly.
	ii) SIMD20			84.70%		76.81%	↓				
	iii) Care Experienced			62.50%	↕	67.35%	↑	↕			
	iv) Minority Ethnicity			89.90%		89.51%	↔				
	v) Disability			82.40%		80.09%	↓				
	vi) Gender			F: 80.3% M: 86.6%		F: 79.79% M: 84.18%	↓				
	b) of FT FE students			80.10%	↕	79.08%	↓	↕			New measure for 2016-17. The retention of FT FE learners remained stable with only a slight drop of 1.02pp
	FE ATTAINMENT	4a, 4b	Ac. Affairs								
	a) Proportion of Day 1 attainers for courses over 160h (inc. FT):										
	i) Overall			72.50%		69.54%	↓				New measures for 2016-17. Proportions of Day 1 attainers (FE only) dropped in all categories except those learners identified as care experienced, which increased by 7.2 percent points (pp) compared ot the 2015-16 baseline. The gap between proportions of male and female day 1 attainers widened in 2016-17 (10.7pp difference) compared to 2015-16 baseline (9pp). Categories that varied by less than 3pp from the baseline have been identified as amber/stable. Variences greater than 3pp are coloured red or green accordingly.
	ii) SIMD20			71.40%		65.70%	↓				
	iii) Care Experienced			47.90%	↕	55.10%	↑	↕			
	iv) Minority Ethnicity			86.50%		83.22%	↓				
	v) Disability			69.20%		66.60%	↓				
	vi) Gender			F: 67.8% M: 76.8%		F: 63.95% M: 74.68%	↓				
	b) Proportion of Day 1 attainers for FT FE courses			72.7%	↕	68.54%	↓	↕			New measure for 2016-17. The proportion of Day 1 attainers for FT FE reduced by 4.2pp from the baseline.
Sustainability											
10 Financial:	Record:		Audit F&GP								
a) Outturn	Achieve a break-even underlying operating position			-£4,000	Break-even	£2,000	↑	Break-even			Baseline Underlying Operating Position' (2015-16) was a deficit of £-4k, which was negligible in terms of % of total income (0.017%). For 2016-17 there was as surplus of £2k
b) Gross carbon footprint	Gross carbon footprint	10		1864 tCO$_2$	↓	1681tCO$_2$	↓	↓			The Climate Change (Scotland) Act 2009 suggests that annual target reduction figures be 3% over the previous year. While a reduction of 3% has not been achieved for 2016-17, there has still be a reduction of 3tCO2 despite the College buildings footprint having increased by over 20% with the completion of ASW in 2016, which will have impacted on the carbon footprint. Removal of portacabins during 2017 will impact on 2017-18
c) Non-core funding income (to include Knowledge Transfer)	% of income from non-SFC sources (inc. KT)			42%	↕	40.40%	↓	↕			Non-SFC funding for 2015-16 was 42%. Any non-government grants are recognised in full in the year they are received.
11 Staff rates of turnover (a) and sickness absence (b)	Track:		Engmnt Ac. Affairs								
	a) Staff turnover (%) to be maintained below national average (20.5)			15.4	20.7	20.8	↓	20.5			Staff turnover for 2016-17 was comparable to the national average, but increased by 5.4% from the baseline.

No	Objective	Measure		Source								Commentary
		b) No days staff absent on sick leave (average sick days per head)			9.2	↓	7.6	↑	↓			The number of days staff spent on sick leave reduced in 2016-17 by 1.6days compared to the baseline.
12	To maintain a healthy and safe working environment	Number of accidents reported to HSE		Audit H&S	3	↓	7	↓	↓			
13	Number of businesses that engage with Perth College UHI	Number of business on Contacts Database recorded as having had an interaction with Perth College UHI		Engmnt	965	↕	965	↔	↕			New measure for 2016-17.

Definitions:

Current (R/A/G) = Red, Amber or Green, status at the time of reporting

Expected (R/A/G) = Red, Amber, Green, status expected once final data have been confirmed

Trend = improvement (↑), worsening (↓) or no change (↔) in performance compared to previous reporting period

NM = New Measure for 2016-17

pp = percentage points

Board of Management

Paper for Consideration

Subject: Redundancy Procedure
Author: Susan Hunter, Head of HR and OD
Date of paper: 5 June 2018
Date of meeting: 13 June 2018

Action requested of committee:

(Tick as appropriate)   For information only:
                          For discussion:
                          For recommendation/approval: ☑

Cost implications:
(Tick as appropriate)   Yes: No: ☑

Executive Summary: This procedure provides a structured approach to managing a redundancy situation in a transparent way.

Information recorded in College minutes and papers is subject to release under the Freedom of Information (Scotland) Act 2002 (FOI(S)A). Certain exemptions apply: financial information relating to procurement items still under tender, legal advice from College lawyers, items related to national security.

Status of Papers   Open ☑   Closed

An **open** item is one over which there would be no issues for the College in releasing the information to the public in response to a freedom of information request.

A **closed** item is one that contains information that could be withheld from release to the public because an exemption under the Freedom of Information (Scotland) Act 2002 applies.

The College may also be asked for information contained in minutes and papers about living individuals, under the terms of the Data Protection Act 1988.

Do the papers contain items which may be contentious under the terms of the Data Protection Act 1988?   **Yes** ☐   **No** ☑

Redundancy Procedure

May 2018

Also available in large print (16pt)
And electronic format.

Ask Student Services for details.

www.perth.ac.uk

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Perth College

Version Control History

Version Number	Date of Change	Summary of Revisions Made
.0		
.1	August 2016	Footer updated to reflect new template model

Redundancy Procedure

1 Purpose

This procedure can be invoked as part of an organisation change procedure or when a fixed-term contract or fixed funding ends.

Perth College UHI is committed to protecting job security for staff, as far as practically possible. On occasions where that is not possible Perth College UHI will follow the steps detailed in this procedure by way of attempting to avoid redundancy. In cases where a redundancy cannot be avoided, Perth College UHI will undertake the steps described in relation to support, redundancy payments and notice periods.

2 Scope

This procedure provides a structured approach to managing a redundancy situation in a transparent way.

3 Definitions

Settlement Agreement – Legally binding written agreement that is used to set out the terms of ending employment, required when Perth College UHI pays an enhanced payment.

4 Responsibilities

4.1 The Head of Human Resources and Organisational Development is responsible for the content and legal compliance of the procedure.

4.2 Line managers and HR staff are responsible for the proper application of this procedure.

4.3 Quality approval check of the policy is the responsibility of the Head of Quality who will arrange for the policy to be published on the web.

5 Linked Policies/Related Documents

Organisation Change Procedure

6 Relevant Legislation

Employment Rights Act 1996.

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7   **Definition of Redundancy**

A redundancy situation arises when:

▪   The employer has ceased, or intends to cease, to carry on the business for the purposes of which the employee was so employed;

        or

▪   The employer has ceased, or intends to cease, to carry on the business in the place where the employee was so employed;

        or

▪   The requirements of the business for employees to carry out work of a particular kind has ceased or diminished or are expected to cease or diminish;

        or

▪   The requirements of the business for the employees to carry out work of a particular kind, in the place where they were so employed, has ceased or diminished or are expected to cease or diminish.

8   **Types of Redundancy**

Perth College UHI recognises that a redundancy situation can arise from various scenarios, the below outlines what these scenarios are and how Perth College UHI will address these.

a   **Organisational Change**
        The Organisational Change Procedure outlines the process for managing organisational change projects. If staff are identified as "at risk" of redundancy this procedure should be enacted.

b   **Expiry of Fixed Term Contracts**
        As of 6 April 2013, the expiry of fixed term contracts at the predetermined end date are excluded from collective consultation. However, should the contract end earlier than planned, collective consultation will apply. In addition, individual consultation will apply to both scheduled and early termination of fixed-term contracts.

c   **Expiry of Fixed Funding**
        For a member of staff employed on a permanent contract that is funded by fixed funding, which comes to an end, individual and collective consultation will apply.

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9   **Consultation**

The college will notify both affected staff and the unions at the earliest possible opportunity of the reasons for the proposed redundancy and any proposals for avoiding this redundancy.

Perth College UHI is committed to undertaking meaningful consultation and defines this as:

- Commencing consultation with union representatives and affected staff when proposals are still at a formative stage.
- Providing detailed information which allows for the staff and unions to ask questions and respond with solutions.
- Providing project timelines that allow adequate time for staff and unions to meet and discuss options and receive responses to queries.
- Genuine consideration of all staff and union alternative suggestions and if these are not adopted the rationale for this will be provided.
- Attendance at the JNC by the Sector Development Director/Head of Service to ensure consultation takes place at a sufficiently detailed level.

a   **Collective Consultation**

Collective consultation will consider ways in which any potential redundancies could be avoided, reduced or the effects minimised and takes place with the recognised trade unions.

The trade unions will be notified, in advance of informing staff, in writing of the potential redundancy and this notification will include the following:

- The reasons for the change proposal.
- The numbers and descriptions of members of staff who may be "at risk" of redundancy.
- The total number of employees of that description employed at Perth College UHI.
- The proposed method of selecting any members of staff who may be "at risk" of redundancy.
- The proposed method of carrying out any dismissals with due regard to agreed procedure, including the period over which dismissals are to take effect.
- Confirmation of the method of calculation of redundancy payments for members of staff who may be dismissed.
- The length of the consultation period, determined by the number of employees affected by the organisational change proposal, at least 30 days when the proposal affects 20 to 99 staff and 45 days when the proposal affects more than 100 staff.

The change proposal will be placed on the agenda of the next JNC and Staff Consultation Forum meeting and further documentation and/or updates will be provided to the appropriate union(s) throughout the collective consultation period. If

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the next Staff Consultation Forum or JNC is not timely an extra-ordinary meeting will be convened to discuss the potential redundancy situation.

This letter will mark the start of the consultation period.

b   **Individual Consultation**

If a member of staff is identified as "at risk" of redundancy" the college will enter into individual consultation with the affected staff member(s). All staff will be offered the opportunity to be accompanied at these meetings and HR will also be in attendance. For staff who are absent, arrangements will be made to ensure a consultation meeting is conducted.

The purpose of this meeting is to provide the reason for the post being "at risk" of redundancy and to discuss ways of avoiding the redundancy. The college will also request that staff provide a CV at this point to ensure that the college is aware of all skills and expertise in advance of searching for redeployment opportunities.

Several individual consultation meetings may take place during the consultation process.

10   Avoiding or Minimising Redundancy

Perth College UHI will work with staff and trade union representatives to try and avoid or minimise the number of redundancies. The college will give considerations to any measures suggested by staff or union representatives. The following measures will be considered in all cases of potential redundancy and may be utilised in isolation or in combination to avoid a redundancy. This list is not exhaustive and the college is open to alternative suggestions.

- Full or Partial Recruitment Freeze (this could involve ceasing the advertisement of posts).
- Reduce the number of bank staff used to utilise those "at risk" of redundancy.
- Reduction or elimination of overtime, where possible.
- Reduction in working hours.
- Part-time working.
- Term-time working.
- Job shares.
- Reduction of staff levels by natural wastage.
- Redeployment to other roles in the college.
- Ending employment of external contractors.
- Voluntary early retirement.
- Voluntary redundancy.
- Sabbatical or secondment.

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11 Redeployment and Retraining

Where a potential redundancy exists the member of staff "at risk" will be provided with details of all current vacancies within the college. This information will be updated on a regular basis throughout the redundancy process. The employee is required to express an interest in any posts within 1 week of notification to be considered for the role. This expression of interest should be accompanied by a CV and cover letter. Support and advice on CV writing could be provided by HR and union representatives.

New posts will be held, until an assessment of fit has been made against the job description for all "at risk" members of staff, who have expressed an interest in the role. Where the college deems that an "at risk" employee fully meets all essential criteria and all desirable criteria from the person specification, the member of staff may be offered the post without interviewing other applicants.

Where more than one "at risk" member of staff meets the essential and desirable criteria, each will be interviewed for the role.

If an "at risk" staff member fully meets all essential criteria and some of the desirable criteria from the role person specification, the member of staff will be guaranteed an interview in relation to the role and a decision taken thereafter to determine if they are suitable to be offered the role.

Where the college deems an "at risk" staff member meets the majority, but not all, of the essential criteria from the role person specification, the employee will be considered for interview.

If the "at risk" employee does not meet the criteria from the role person specification they will be informed that their application will not be taken further.

12 Suitable Alternative Employment

The college may identify a post that is comparable in terms of the required skills and experience and has similar terms and conditions. In such circumstances, when the "at risk" staff member has not expressed an interest in such a role, the college may make an assessment of their suitability and determine a match.

If an "at risk" member of staff then declines an offer of redeployment made through this process, as an alternative to redundancy, they may forfeit their right to their statutory redundancy payment and any offer of an enhanced redundancy payment. All personal circumstances will be considered prior to withholding such payments.

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13   Trial Periods

All redeployment opportunities will be subject to a 6 week trial period. The purpose of the trial period is to allow both the employee and the college the opportunity to assess suitability for the role.

The "at risk" employee's right to a redundancy payment will be preserved, when the following applies:

▪   The "at risk" employee decides to end the trial before the 6 week period concludes or at the end of the trial period. The employee should inform HR in writing before 5pm on the last day of the trial period.
▪   The college decides the employee is not suitable for the role, the college will inform the employee by 5pm on the last day of the trial period, and provide a reason for this decision.
▪   A mutually agreed extension to the trial period concludes in the college wishing to permanise the trial period.

Discussions should take place throughout the trial period as to its success to ensure both parties are aware of progress and can make any changes as necessary (eg change to training plan, number if one to one meetings and reviews).

14   Pay Protection

For staff who are redeployed to a lower graded post or for staff who undertake a reduction in FTE to avoid redundancy the following pay protection would apply;

The cash value of the employee's salary at the time of the change will be maintained until that value is overtaken by the value of the salary applicable to the employee's new post.

or

Until a period of 2 years has elapsed from the date of the change, whichever occurs sooner.

15   Redundancy Pay and Notice

All employees who are to receive redundancy payments will be given a written notification of the formula by which their redundancy pay has been calculated. Redundancy payments apply to all staff with 2 years reckonable service or more.

15.1   Notice

Where selection has been confirmed notice of termination will be in accordance with contractual and legal entitlements.

In certain circumstances, where it is deemed appropriate by the college it may be agreed to provide payment in lieu of notice.

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15.2 **Statutory Payment**

The calculation for redundancy payments will be based on the statutory redundancy payment scheme, and will therefore comprise elements of:

- Length of service;
- Age;
- Weekly pay.

15.3 **Enhanced Payment**

There is no contractual right to any additional redundancy payment in addition to the Statutory Entitlement. However, the college may, at their sole discretion, decide to offer such additional payments. The total of any payment, which may be made will comply with Her Majesty's Revenue & Customs' ("HMRC") rules around payment of income tax and NI. Any enhanced payments will require the member of staff to sign a settlement agreement.

16 **Right of Appeal**

Any appeal against a decision of selection for redundancy must be submitted within 10 working days, of the date of the outcome letter. This appeal should state the grounds of the appeal and should be submitted to the Principal. The principal will appoint an appeal panel.

The Sector Development Director or Head of Service and HR support will be in attendance to present their case and respond to the appeal.

The decision of the sub-committee is final and there is no further right of appeal.

17 **Support**

Perth College UHI understands that any member of staff "at risk" of redundancy will find this a difficult process and as such offers a variety of support mechanisms for staff.

17.1 **Counselling Service**

This is a confidential service operated by Rowan and is a safe space to discuss and seek help with any aspect of life. However, under these specific circumstances it can provide techniques to help with reducing stress or an opportunity to talk with someone completely independent. The college supports 6 counselling sessions with Rowan.

Rowan can be contacted at 01738 562005 or at http://www.rowan-consultancy.co.uk/

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Members of staff can also access counselling services through Recourse, Supporting Education professionals:

https://www.educationsupportpartnership.org.uk/helping-you/telephone-support-counselling

who offer a free 24 hours a day, 7 days a week, telephone counselling service. They can be contacted on 08000 562 561.

NHS 24 offers a free telephone service for guided self-help and CBT called Living Life. This is open Mon-Fri 1pm to 9pm and can be contacted on 0800 328 9655. Further details can be found at: http://www.nhs24.com/usefulresources/livinglife/

17.2 Occupational Health via Medigold

Occupational Health allows self-referrals and as such can provide a confidential environment to discuss work-related issues.

Occupational Health can also provide pro-active interventions with management if required under these circumstances, acting in the best interests of both employees and Perth College UHI.

Medigold can be contacted at 0845 127888

17.3 Other Support

For staff who have been provided with notice of redundancy the college will undertake the following:

- Allow for paid time off to seek alternative employment, attend interviews and training/CPD, via the normal approval lines.
- Outplacement support, this offers staff the opportunity to have personal support to determine what next steps to take and have expert input into achieving those goals.
- Time to spend with union representative for support and to access help with CV writing.

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Board of Management

Paper for Consideration

Subject: Organisational Change Procedure
Author: Susan Hunter, Head of HR and OD
Date of paper: 5 June 2018
Date of meeting: 13 June 2018

Action requested of committee:

(Tick as appropriate)   For information only:
                          For discussion:
                          For recommendation/approval: ☑

Cost implications:
(Tick as appropriate)   Yes: No: ☑

Executive Summary: This procedure provides a structured approach to managing organisational change projects from the current state to the future desired state in a transparent way. This procedure applies to all organisational change projects, irrespective of size.

Information recorded in College minutes and papers is subject to release under the Freedom of Information (Scotland) Act 2002 (FOI(S)A). Certain exemptions apply: financial information relating to procurement items still under tender, legal advice from College lawyers, items related to national security.

Status of Papers   Open ☑   Closed

An **open** item is one over which there would be no issues for the College in releasing the information to the public in response to a freedom of information request.

A **closed** item is one that contains information that could be withheld from release to the public because an exemption under the Freedom of Information (Scotland) Act 2002 applies.

The College may also be asked for information contained in minutes and papers about living individuals, under the terms of the Data Protection Act 1988.

Do the papers contain items which may be contentious under the terms of the Data Protection Act 1988?   **Yes** ☐   **No** ☑

Organisation Change Procedure

May 2018

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Version Control History

Version Number	Date of Change	Summary of Revisions Made
.0		
.1	August 2016	Footer updated to reflect new template model

DRAFT

Redundancy Procedure

1   Purpose

Perth College UHI defines organisational change as a change to a curriculum area or service which will affect staff, this may include the reshaping of posts, reduction of posts and the redeployment of staff.

Organisational change can be the result of a change of strategic direction, change of a departmental/curriculum focus and/or priorities, change to mode of academic delivery, withdrawal of funding, system and process changes and regulatory/legislation changes.

Organisational change projects can originate from a direct instruction by SMT or by a Sector Development Director or Head of Service determining a need for change.

2   Scope

This procedure provides a structured approach to managing organisational change projects from the current state to the future desired state in a transparent way. This procedure applies to all organisational change projects, irrespective of size.

3   Definitions

Organisational Change – Is the reshaping of structures, business processes and procedures or roles to deliver our goals and vision that has an effect on an individual or group of individuals.

4   Responsibilities

4.1   The Head of Human Resources and Organisational Development is responsible for the content and legal compliance of the procedure.

4.2   Heads of Service/Sector Development Directors and HR staff are responsible for the proper application of this procedure.

4.3   All staff are responsible for engaging in consultation and providing any ideas which can shape the change.

4.4   Quality approval check of the policy is the responsibility of the Head of Quality who will arrange for the policy to be published on the web.

5   Linked Policies/Related Documents

Redundancy procedure

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6   **Relevant Legislation**

Employment Rights Act 1996
Transfer of Undertakings (Protection of Employment) Regulations 2006

7   **Change Proposals**

An initial proposal should be submitted to SMT for consideration, by way of an agenda item. The content of the proposal paper will vary according to circumstances but SMT require it to contain the following information:

- The area(s) affected.
- An outline of the issue requiring resolution.
- The initial solutions for consideration.
- Benefits/cost analysis for each solution.
- A recommendation and rationale.
- A description of how the preferred solution meets the colleges vision, mission and values.
- Potential impact on the department establishment.
- Impact/resource required from other departments eg other teams that are required as part of the consultation process.
- Equality Impact Assesment.
- Implementation plan and timescale (inclusive of selection criteria, job matching details and support mechanisms).

The proposal will be presented to SMT by the relevant Sector Development Director or Head of Service. SMT are required to approve the rationale for the change and may rule out any solutions in the paper at this point. If approval to progress to the next stage is granted, consultation will proceed.

All proposals should be developed in conjunction with HR and with all financial projections confirmed by finance.

The change proposal should have the support of the relevant SMT member.

8   **Collective Consultation Process**

If the Outline Change Proposal is approved by SMT it will be approved to proceed to the next stage of consultation.

Collective consultation will consider ways in which any potential redundancies or contractual changes could be avoided, reduced or the effects minimised and takes place with the recognised trade unions.

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The Change Proposal will be sent to the relevant union(s) together with a letter outlining the following details:

a   The reasons for the change proposal.
b   The numbers and descriptions of members of staff potentially affected by the organisational change proposal who may be at risk of redundancy.
c   The total number of employees of that description employed at Perth College UHI.
d   The proposed method of selecting any members of staff who may be at risk of redundancy.
e   The proposed method of carrying out any dismissals with due regard to agreed procedure, including the period over which dismissals are to take effect.
f   Confirmation of the method of calculation of redundancy payments for members of staff who may be dismissed (Statutory Redundancy Pay).
g   The length of the consultation period, determined by the number of employees affected by the organisational change proposal, at least 30 days when the proposal affects less than 100 staff and 45 says when the proposal affects more than 100 staff.

The change proposal will be placed on the agenda of the next JNC and Staff Consultation Forum meeting and further documentation and/or updates will be provided to the appropriate union(s) throughout the collective consultation period. If the next Staff Consultation Forum is not timely an extra-ordinary meeting will be convened to discuss the change proposal.

This will mark the start of the consultation period.

Perth College UHI is committed to undertaking meaningful consultation and defines this as:

- Commencing consultation with union representatives and affected staff when proposals are still at a formative stage.
- Providing detailed information which allows for the staff and unions to ask questions and respond with solutions.
- Providing project timelines that allow adequate time for staff and unions to meet and discuss options and receive responses to queries.
- Genuine consideration of all staff and union alternative suggestions and if these are not adopted the rationale for this will be provided.
- Attendance at the JNC by the Sector Development Director/Head of Service to ensure consultation takes place at a sufficiently detailed level.

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9 Initial Staff Consultation

Consultation should take the form of both open meetings with all affected staff and individual consultation meetings. These meetings should be led by the Sector Development Director/Head of Service and HR will be in attendance. The relevant union(s) should be invited to attend also.

Perth College UHI recognises that this process will be difficult for all staff affected, as such, support services will be made available to affected staff throughout the consultation and implementation processes and beyond, if required.

9.1 Initial Staff Consultation – Open Meeting(s)

Immediately after the initial collective consultation notification takes place with the union(s) the Sector Development Director/Head of Service should hold an open meeting with all staff potentially affected by the change proposal. The rationale for the pool of staff affected will be explained and consulted upon if required.

An open meeting allows all staff to be communicated with simultaneously and questions to be raised and answered. Copies of all communications should be issued to staff who are not in attendance at the open meeting. Notes of the open meeting should follow and be issued to all affected staff. This is the start of a dialogue with staff, in order to contribute ideas, staff need to understand the drivers for this change, the ultimate goal and the parameters.

The open meeting should be in line with the standard organisation change presentation template, and should cover all applicable areas.

There may be several open meetings with potentially affected staff throughout the project, when there is a requirement to give a message or update to all staff, these should include all staff and notes should be issued.

Ideas should also be welcomed via email or in an anonymous forum.

9.2 Initial Staff Consultation – Individual Meeting(s)

Following on from the open meeting, individual consultation meetings should be scheduled in order to discuss with staff any individual implications but also as an opportunity for staff to provide ideas or ask questions, they may not have wanted to do publicly.

A meeting agenda should be agreed by the Sector Development Director/Head of Service and HR to ensure that all items are covered with all staff. The agenda template should be used as a minimum requirement for this meeting. All staff should be offered the opportunity to be accompanied at these meetings and HR should also be in attendance.

For staff who are absent, arrangements should be made to ensure a consultation meeting is conducted.

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10   Stakeholder Consultation

Meetings should be set up with all key stakeholders to ensure that their views are represented and to ensure that no key impacts are missed. This should include HISA for any student facing impacts.

11   The Organisational Change Proposal

Following the consultation period a final change proposal should be presented to SMT for consideration. The final proposal should take account of all feedback received as part of the consultation process. The proposal should outline the following:

- The area(s) affected.
- An overview of the consultation process.
- The solutions considered with a recommendation and rationale for both the recommendation and those that are not the preferred option.
- Current organisational structure diagram and future diagram for all options.
- Benefits/cost analysis for each solution.
- A description of how the preferred solution meets the college's vision, mission and values.
- Impact on the department establishment for each solution.
- Impact/resource required from other departments eg other teams that are required as part of the consultation process.
- Equality Impact Assesment.
- Implementation plan and timescale (inclusive of selection criteria, job matching details and support mechanisms).

The proposal will be presented to SMT by the relevant Sector Development Director or Head of Service. SMT are required to approve the final model and may rule out the preferred solution in the paper at this point. If approval to progress to the next stage is granted, the implementation plan will proceed. The proposal should be written in consultation with HR and all financial figures should be checked by finance.

If SMT do not agree with the preferred option, further exploration of alternative options will be required.

12   Collective Consultation

This continues through the implementation process, and regular meetings should be held with the union(s)

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13   **Staff Consultation – Open Meeting(s)**

As soon as reasonably practical after the final solution is approved, the Sector Development Director or Head of Service should schedule a meeting to confirm the solution, explain why alternative options have not been accepted, confirm next steps and the implementation process (job matching/selection process) and answer any queries. The union representatives should be invited to attend this meeting and HR should also be in attendance.

Copies of all communications should be issued to staff who are not in attendance on the day of the open meeting. Notes of the open meeting should follow and be issued to all affected staff.

14   **Staff Consultation – Individual Meeting(s)**

Following on from the open meeting, individual consultation meetings should be scheduled as soon as possible following the open meeting, in order to discuss with staff any individual implications but also as an opportunity for staff to provide ideas or ask questions, they may not have wanted to do publicly.

A meeting agenda should be agreed by the Sector Development Director/Head of Service and HR to ensure that all items are covered with all staff. The agenda template should be used as a minimum requirement for this meeting. All staff should be offered the opportunity to be accompanied at these meetings and HR should also be in attendance.

For staff who are absent, arrangements should be made to ensure a consultation meeting is conducted.

If required, staff should be placed at risk of redundancy during this meeting. Notes of this meeting should be provided and confirmation in writing, that they are "at risk of redundancy", if applicable.

15   **Communication – Stakeholders**

Confirmation of the final solution should be provided to stakeholders. This information should be restricted to high level information and discussions around new processes and timelines should commence.

16   **Selection for Redundancy**

The selection for redundancy process should be part of the collective and individual consultation process and should take account of the need to retain particular skills and knowledge.

The criteria should be objective and may include, but not limited to; job matching, matching of hours, interviewing staff or a selection matrix with a transparent process. All selection processes should be developed in conjunction with HR and consulted upon with the unions.

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Version/Status: **Owner:**
Approved By/Date: **Lead Author**:
Effective Publication Date: **Review Timing/Date:**

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16.1 Job/Hours Matching

If job matching is identified as the way by which at risk staff will be appointed into roles. The new job descriptions should have descriptions of duties and a person specification detailing essential and desirable criteria. This should also take account of preferences indicated at individual consultation meetings.

The process of matching should be agreed and staff should be notified in advance of this. The actual matching should be documented so that all staff can be provided with reasons for matches or non matches.

The college supports a 70% match for job/hours matching, unless a business case is approved for a different match. This should take account of weighted duties and essential and desirable criteria.

16.2 Interviewing Staff

If interviews are identified as the way in which staff will be appointed into roles, the interviews should focus on the requirements of the new roles and the weightings assigned to the job descriptions and person specifications. Post interview, applicants will be scored based on their performance and the highest scoring candidates will be appointed. Feedback on interview performance will be provided to all candidates.

An HR representative must sit on all interviews under these circumstances.

16.3 Selection Matrix

The selection criteria for the matrix would be agreed prior to individual consultation meetings and as such the process made clear to staff at these meetings.

The application of the criteria must be documented so that all staff can see where they have scored against each criteria.

The following criteria may, as appropriate, be included to be considered against the relevant job description:

- Knowledge, skills and experience.
- Subject matter expertise.
- Attendance.
- Disciplinary record.
- Performance.

Title:
Version/Status: **Owner:**
Approved By/Date: **Lead Author**:
Effective Publication Date: **Review Timing/Date:**

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17   Individual Outcome Meeting

Once the decision is made about people who will be offered which posts in the new organisation structure (job matching/selection) and those who will be placed in a redundancy situation, if applicable, the Sector Development Director or Head of Service should arrange individual outcome meetings. All staff should be offered the opportunity to be accompanied at these meetings and HR should also be in attendance.

For staff who are absent, arrangements should be made to ensure an outcome meeting is conducted.

Notes of this meeting should be provided and confirmation of the outcome in writing should be provided at the meeting. If applicable, this letter should provide notice of termination by reason of redundancy and include the appeals process.

Following this meeting conditional offer letters will be issued to staff, subject to the outcome of any appeals made by staff who have been given notice of redundancy.

18   Evaluation

A lessons learned review should take place with HR and this will be held in a central repository in HR to be reflected upon for future organisational change projects.

A review of the organisation change should be conducted by the Sector Development Director or Head of Service twelve months following the implementation. The purpose of this is to ensure that the change is fit for purpose, is effective and meeting the business benefits outlined in the proposal. This review should be submitted to SMT for information.

Title:
Version/Status: **Owner:**
Approved By/Date: **Lead Author**:
Effective Publication Date: **Review Timing/Date:**

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Board of Management

Paper for Consideration

Subject: Anti-Bribery Policy
Author: Chief Operating Officer/Board Secretary
Date of paper: 4 June 2018
Date of meeting: 13 June 2018

Action requested of committee:
(Tick as appropriate)   For information only:
                          For discussion:
                          For recommendation/approval: ☑

Cost implications:
(Tick as appropriate)   Yes: ☐   No: ☑

Executive Summary:

The Anti-Bribery Policy has been updated to reflect the change in job title of the Chief Operating Officer – formerly the Vice Principal, Finance and Estates. The Audit Committee noted the change at its recent meeting and approved the updated Policy for onward transmission to and approval by the Board.

Status of Papers   Open ☑   Closed ☐

An **open** item is one over which there would be no issues for the College in releasing the information to the public in response to a freedom of information request.

A **closed** item is one that contains information that could be withheld from release to the public because an exemption under the Freedom of Information (Scotland) Act 2002 applies.

The College may also be asked for information contained in minutes and papers about living individuals, under the terms of the Data Protection Act 1988.

Do the papers contain items which may be contentious under the terms of the Data Protection Act 1988?   **Yes**   ☐   **No**   ☑

Anti-Bribery Policy

January 2018

Also available in large print (16pt)
and electronic format.

Ask Student Services for details.

www.perth.uhi.ac.uk

University of the
Highlands and Islands
Perth College

Version Control History

Version Number	Date of Change	Summary of Revisions Made
1	May 2013	No Draft Revisions Available.
1.1	July 2016	Footer updated to reflect new template model. Role Title Change: Vice Principal, Finance and Estates; Head of Quality.
1.2	January 2018	Role Title Change: Chief Operating Officer.

Anti-Bribery Policy

1 Introduction

The Bribery Act 2010 reformed the criminal law to provide a new, modern and comprehensive scheme of bribery offences that enables courts and prosecutors to respond more effectively to bribery at home or abroad. It was designed to bring the UK in line with international norms on anti-corruption legislation. Under the powers granted by the law prosecutors are able to prosecute both domestic and foreign companies, providing they have some presence in the UK. Bribes committed in the UK and abroad could be prosecuted under the Act.

There are 4 corporate offences:

a   A general offence covering the offering, promising or giving of a bribe.

b   A general offence covering the requesting, agreeing to receive, or acceptance of bribe

c   A discrete offence of bribery of a foreign public official.

d   A corporate offence of failure by a commercial organisation to prevent bribery by persons associated with it.

2 Purpose

2.1   The Policy sets out the College's position in respect of ensuring that all staff and those working on behalf of the organisation are aware of the law, their obligations and procedures in place to prevent bribery.

2.2   The Policy outlines the 6 principles of compliance recommended by the Ministry of Justice:

    a   Proportionate Procedures: The College will ensure it has procedures in place to prevent bribery by persons associated with it which are proportionate to the bribery risks it faces and to the nature, scale and complexity of the College's activities. It will ensure that these are clear, practical, accessible, effectively implemented and enforced.

    b   Top Level Commitment: The Senior Management Team (SMT) is committed to preventing bribery by persons associated with the College. The SMT will foster a culture within the College in which bribery is never acceptable.

    c   Risk Assessment: The College will assess the nature and extent of its exposure to potential external and internal risks of bribery on its behalf by persons associated with it. The assessment will be periodic, informed and documented.

      In assessing the risks, the College will pay particular attention to its dealings with territories which are perceived to have a high level of corruption; to dealings in high risk industry sectors eg defence, energy and construction; and to any close ties with prominent government officials or extensive government contracts.

Title: Anti-Bribery Policy
Version/Status: 1.2, Final
Approved By/Date: CMT/01/2018
Effective Publication Date: January 2018

Owner: Chief Operating Officer
Lead Author: Head of Finance
Review Timing/Date: 1 Year/2018/19

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d   Due Diligence: The College will apply due diligence procedures, taking a proportionate and risk-based approach, in respect of persons who perform or will perform services for or on behalf of the College in order to mitigate identified bribery risks. It will take the appropriate action in response to any information uncovered as a result of the due diligence which gives rise to concern.

e   Communication (including training): The College will seek to ensure that its bribery prevention policies and procedures are embedded and understood throughout the organisation through internal and external communication, including training, that is proportionate to the risks it faces. The College will ensure that appropriate reference is made to the College's Anti-Bribery Policy and related policies, eg procurement, whistle-blowing, fraud prevention.

f   Monitoring and Review: The College will monitor and review procedures designed to prevent bribery by persons associated with it and make improvements where appropriate. The College will ensure that it takes appropriate action in response to any reported incidents of bribery.

3   Scope

3.1   The policy applies to all individuals working at all levels and grades, including all academic staff, senior managers, officers, members of the Board of Management, employees (whether permanent, fixed-term or temporary), consultants, contractors, trainees, seconded staff, casual associated staff and agency staff, volunteers, interns, agents, or any other person acting on behalf of the College (agents or third-party representatives which sometimes include students).

4   Definitions

4.1   Bribery is the offer, promise, giving, demanding or acceptance of an advantage as an inducement for an action which is illegal, unethical, a breach of trust or the improper performance of a contract.

4.2   Corruption is the misuse of public office or power for private gain, or misuse of private power in relation to business outside the realm of government.

4.3   Acts of bribery or corruption are designed to influence the individual in the performance of their duty and incline them to act dishonestly. The person being bribed is generally someone who will be able to obtain, retain or direct business. This may involve initiatives such as buying or selling, or it may involve the handling of administrative tasks such as licences, customs, visas or taxes. It does not matter whether the act of bribery is committed before or after the activity has been undertaken.

Title: Anti-Bribery Policy
Version/Status: 1.2, Final
Approved By/Date: CMT/01/2018
Effective Publication Date: January 2018

Owner: Chief Operating Officer
Lead Author: Head of Finance
Review Timing/Date: 1 Year/2018/19

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4.4 Kickbacks are typically payments made in return for a commercial favour or advantage. These are typically small, unofficial payments made to secure or expedite a routine government action by a government official. They are not commonly paid in the UK, but are common in some other jurisdictions in which the College operates.

4.5 Illustrative case studies are available at Appendix 1 of the Bribery Act 2010 Guidelines.

5 Key Principles

5.1 The College values its reputation for ethical behaviour and for financial probity and reliability and has a zero tolerance policy towards bribery.

5.2 The College prohibits the offering, the giving, the solicitation or the acceptance of any bribe, whether cash or other inducement, to or from any person or company, public or private, by any governors, staff, contractors, consultants, agents, overseas agents, external examiners and any non-employee service providers engaged on College business for whatever reason, in order to gain any commercial, contractual or regulatory advantage for the College in a way which is unethical or in order to gain any personal advantage, pecuniary or otherwise, for the individual or anyone connected with the individual.

5.3 The College recognises that market practice varies across the territories in which it does business and what is normal and acceptable in one place may not be in another.

5.3.1 This policy prohibits any inducement which results in a personal gain or advantage to the recipient or any person or body associated with them, and which is intended to influence them to take action which may not be solely in the interests of the Group or of the person or body employing them or whom they represent.

5.3.2 This policy is not meant to prohibit the following practices providing they are customary in a particular market, are proportionate and are properly recorded:

a   Appropriate and reasonable hospitality;
b   the giving of a ceremonial gift on a festival or at another special time;
c   the use of any recognised fast-track process which is available to all on payment of a fee;
d   the offer of resources to assist the person or body to make the decision more efficiently, provided that they are supplied for that purpose only.

5.4 The College prohibits payments including "facilitating" or "expediting" payments to others in order to secure prompt or proper performance of routine duties.

Title: Anti-Bribery Policy
Version/Status: 1.2, Final
Approved By/Date: CMT/01/2018
Effective Publication Date: January 2018
Owner: Chief Operating Officer
Lead Author: Head of Finance
Review Timing/Date: 1 Year/2018/19

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6 Responsibilities

6.1 The Senior Management Team and Board of Management have overall responsibility for the Policy and for fostering a culture within the organisation in which bribery is never acceptable.

6.2 The Chief Operating Officer has responsibility for implementing the Policy, monitoring compliance and ensuring the Policy is regularly reviewed and updated as appropriate.

6.3 The responsibility to control the risks of unethical business practices occurring resides at all levels of the organisation. The prevention, detection and reporting of bribery is therefore the responsibility of all staff. To this end staff should be aware of the Public Interest Disclosure process outlined in the College's Whistle-blowing Procedure.

6.4 Quality approval check of the policy is the responsibility of the Head of Quality who will arrange for the policy to be posted on the web.

7 Linked Policies/Related Documents

7.1 Fraud Prevention Policy and Response Plan
7.2 Whistle-blowing Policy
7.3 Staff Disciplinary Procedure
7.4 Student Disciplinary Procedure
7.5 Procurement Policy
7.6 The Bribery Act 2010 – Guidance
7.7 Financial Regulations

8 Relevant Legislation

The Bribery Act 2010

Board of Management

Paper for Consideration

Subject: Fraud Prevention Policy and Response Plan
Author: Chief Operating Officer/Board Secretary
Date of paper: 4 June 2018
Date of meeting: 13 June 2018

Action requested of committee:
(Tick as appropriate)   For information only:
                          For discussion:
                          For recommendation/approval: ☑

Cost implications:
(Tick as appropriate)   Yes: ☐   No: ☑

Executive Summary:

The Fraud Prevention Policy and Response Plan has been updated to reflect the change in job title of the Chief Operating Officer – formerly the Vice Principal, Finance and Estates. The Audit Committee noted the change at its recent meeting and approved the updated Policy for onward transmission to and approval by the Board.

Status of Papers   Open ☑   Closed ☐

An **open** item is one over which there would be no issues for the College in releasing the information to the public in response to a freedom of information request.

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The College may also be asked for information contained in minutes and papers about living individuals, under the terms of the Data Protection Act 1988.

Do the papers contain items which may be contentious under the terms of the Data Protection Act 1988?   **Yes** ☐   **No**   ☑

Fraud Prevention Policy and Response Plan

January 2018

Also available in large print (16pt)
and electronic format.

Ask Student Services for details.

www.perth.uhi.ac.uk

University of the Highlands and Islands
Perth College

Version Control History

Version Number	Date of Change	Summary of Revisions Made
3	June 2013	Schedule review approved at Audit Committee 3-June-14. Publication held pending clarification over job title of the owners. Ownership and responsibility changed from Director of Finance and Resources to Vice Principal Estates and Finance. Also Director of Human Resources and Communications changed to Vice Principal Human Resources and Communications. Footer remains as Director of Finance and Resources as there is currently an Acting Director in post, but not a VP.
3.1	July 2016	Footer updated to reflect new template model Role Title Changed: VP, Finance and Estates; Principal and Chief Executive.
3.2	January 2018	Role Title Changed: Chief Operating Officer.

Fraud Prevention Policy and Response Plan

1   Purpose

This document has been established to set out the College Policy to avoid fraud and establish procedures to deal with fraud if it occurs. The College recognises its responsibility to prevent fraud and the documentation within this policy provides information in respect of key roles and responsibilities relating to the prevention of fraud.

The Policy is designed to meet the following objectives:

- Minimise the risk and impact of fraud.
- Create a culture which deters fraudulent activity.
- Create an environment that encourages the prevention of fraud while promoting its detection and reporting.

The accompanying Response Plan provides information relative to investigating the circumstances surrounding fraudulent activity and dealing with the impact of the business of the College.

2   Scope

This Policy and the accompanying Response Plan (Appendix 1) cover fraud in relation to financial and management systems.

3   Definitions

No precise legal definition of fraud exists; many of the offences referred to as fraud are covered by the Theft Acts of 1968 and 1978.

Fraud is used to describe such acts as deception, bribery, forgery, extortion, corruption, theft, conspiracy, embezzlement, misappropriation, false representation, concealment of material facts and collusion.

For practical purposes fraud may be defined as the use of deception with the intention of obtaining an advantage, avoiding an obligation or causing loss to another party.

4   Key Principles

4.1   The College will:

- Establish appropriate and effective systems of financial and management control.
- Establish an Audit Committee with a clear remit to ensure financial systems are in place.
- Appoint independent internal auditors to advise on, review and report on these systems and develop procedures to be followed by staff who have a suspicion of fraudulent activity.

Title: Fraud Prevention Policy and Response Plan
Version/Status: 3.2, Final   **Owner:** Chief Operating Officer
Approved By/Date: Audit Committee/05/2014   **Lead Author**: Head of Finance
Effective Publication Date: May 2014   **Review Timing/Date:** 1 Year / 2018/19

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- Establish a Fraud Response Plan setting out the procedures to be followed in the event of the reporting of possible fraud or the discovery of actual fraud.
- Publish appropriate guidance in the College's Financial Regulations with which all staff must comply.

4.2 Systems of Internal Control

Internal controls such as budgetary controls, segregation of duties, internal checks and staff supervision are designed to minimise the incidence of fraud, limit its impact and assure its prompt detection.

Prevention and detection of fraud is only possible where strong internal controls are present and constantly applied. Routine checks and monitoring by management are therefore essential.

The implementation of a culture of strong management control will have a deterrent effect when it is known that management are actively involved in ensuring that procedures are followed.

The Internal Audit Service assists management in preventing fraud by examining and evaluating the adequacy and effectiveness of internal control systems and by making recommendations for improvement.

It is a condition of the Financial Memorandum between the Scottish Funding Council (SFC) and the College that the College establishes a sound system of internal financial management and control.

4.3 Staff/Training

The recruitment of suitable staff is the College's first defence in preventing fraud and the adoption of best practice processes must be strictly adhered to.

Staff provide the best protection against fraud and awareness of policy and procedures is fundamental to the effective operation of systems. This will be addressed as part of induction, formal staff training and regular notices regarding changes to financial procedures.

4.4 Reporting and Investigation

Having proper and consistently applied procedures for reporting and investigating fraud will have an important part to play in preventing further fraud.

The College has developed a Response Plan for investigating and reporting on all suspected fraudulent activity. Such investigations will by necessity remain confidential but management will ensure that the lessons to be learned from each incident are disseminated to staff as appropriate.

Title: Fraud Prevention Policy and Response Plan
Version/Status: 3.2, Final
Approved By/Date: Audit Committee/05/2014
Effective Publication Date: May 2014

Owner: Chief Operating Officer
Lead Author: Head of Finance
Review Timing/Date: 1 Year / 2018/19

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5 Responsibilities

5.1 The Board of Management has overall responsibility for this Policy and Response Plan.

5.2 The College Audit Committee is responsible for approving any changes to this Policy and Response Plan.

5.3 The Chief Operating Officer is the owner of this Policy and Response Plan, and is responsible for reviewing it.

5.4 The Principal and Chief Executive is responsible for informing the SFC about actual or suspected frauds. The Principal and Chief Executive is also responsible for reporting any incident matching the criteria in the SFC's mandatory requirements to the Chairs of both the Board of Management and the College Audit Committee.

5.5 The Head of Human Resources and Organisational Development is responsible for answering requests for references for a member of staff who has been disciplined or prosecuted for fraud.

5.6 The prime responsibility for preventing fraud lies with management through the implementation and operation of internal controls and the fostering of an anti fraud culture across the College. Managers are responsible for assessing and controlling the level of risk within their areas of authority.

5.7 It is the responsibility of all staff to be aware of fraud and to take the necessary steps to minimise the risk to the College and where appropriate report their suspicions to a member of the Executive or a member of the Board as appropriate.

5.8 Quality approval check of the final policy is the responsibility of the Head of Quality who will arrange for the policy to be posted on the web.

6 Linked Policies/Related Documents

Anti Bribery Policy

7 Relevant Legislation

Theft Act, 1968
Theft Act, 1978
Police and Criminal Evidence Act, 1984
Finance and Accountability (Scotland) Act, 2000
The Bribery Act, 2010

Title: Fraud Prevention Policy and Response Plan
Version/Status: 3.2, Final
Approved By/Date: Audit Committee/05/2014
Effective Publication Date: May 2014

Owner: Chief Operating Officer
Lead Author: Head of Finance
Review Timing/Date: 1 Year / 2018/19

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Appendix 1

Fraud Response Plan

Purpose

The purpose of this plan is to define authority levels, responsibilities for action and reporting lines in the event of a suspected fraud or irregularity.

The use of the plan should enable the College to:

- Prevent further loss.
- Establish and secure evidence necessary for criminal and disciplinary action.
- Notify the SFC, if the circumstances are covered by the mandatory requirements within the Financial Memorandum.
- Recover losses.
- Discipline staff found responsible for fraud.
- Deal with requests for references for employees disciplined or prosecuted for fraud.
- Review the reasons for the incident, the measures taken to prevent a recurrence, and any action needed to strengthen future responses to fraud.
- Keep all personnel with a need to know suitably informed about the incident and the College's response.
- Establish lines of communication with the police for guidance.
- Inform the police where appropriate.
- Assign responsibility for investigating the incident.
- Establish circumstances in which external specialists should be involved.

Initiating Action

All actual or suspected incidents will be reported without delay to the Chief Operating Officer, the Principal and Chief Executive, Chair of the Audit Committee or Chair of the Board of Management.

The Chief Operating Officer/Principal and Chief Executive will, within 24 hours, hold a meeting of the following project group to decide on the initial response:

- Head of Human Resources and Organisational Development.
- Chief Operating Officer – A representative of the College Internal Audit Providers may also be invited to participate.

The Project Group will decide on the action to be taken. This action will normally be in the form of an investigation. The decision by the Project Group to initiate a special investigation shall constitute authority to College Internal Audit Provider to commit the time provided in the internal audit plan for special investigations if required, or contingency time, or to switch internal audit resources from planned audits. The approval of the College Audit Committee will be sought at this stage.

Prevention of Further Loss

Where initial investigation provides reasonable grounds for suspecting a member or members of staff of fraud, the Project Group will decide how to prevent further loss. This may require the suspension of the suspect(s). It may be necessary to plan the timing of suspension to prevent the suspect(s) from destroying or removing evidence that may be needed to support disciplinary or criminal action.

In these circumstances, the suspect(s) will be approached unannounced. They will be supervised at all times before leaving the College premises. They will be allowed to collect personal property under supervision, but will not be allowed to remove any property belonging to the College. Any keys to premises, offices and furniture will be returned.

Advice will be obtained on the best means of denying access to the College while suspect(s) remain suspended (for example, by changing locks and informing security staff not to admit the individuals to any part of the premises). Similarly, access permissions to the computer systems will be withdrawn without delay.

College Internal Audit Provider will be invited to consider whether it is necessary to investigate systems, other than that which has given rise to suspicion, through which the suspect(s) may have had opportunities to misappropriate the College's assets.

Establishing and Securing Evidence

A major objective in any fraud investigation will be the punishment of the perpetrator(s), to act as a deterrent to other personnel. The College will follow disciplinary procedures against any member of staff who has committed fraud. The College will normally pursue the prosecution of any such individual.

College Internal Audit Provider will:

- Maintain familiarity with the College disciplinary procedures, to ensure that evidence requirements will be met during any fraud investigation.
- Establish and maintain contact with the police where appropriate.
- Establish whether there is a need for audit staff to be trained in the evidence rules for interviews under the Police and Criminal Evidence Act.
- Ensure that staff involved in fraud investigations are familiar with, and follow rules on, the admissibility of documentary and other evidence in criminal proceedings.

Notifying the SFC

The circumstances in which the College must inform the SFC about actual or suspected frauds are detailed in the SFC's mandatory requirements. The Principal and Chief Executive is responsible for informing the SFC of any such incidents.

Title: Fraud Prevention Policy and Response Plan
Version/Status: 3.2, Final
Approved By/Date: Audit Committee/05/2014
Effective Publication Date: May 2014

Owner: Chief Operating Officer
Lead Author: Head of Finance
Review Timing/Date: 1 Year / 2018/19

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Recovery of Losses

Recovering losses is a major objective of any fraud investigation. The Project Group will ensure that in all fraud investigations, the amount of any loss will be quantified. Repayment of losses will be sought in all cases.

Where the loss is substantial, legal advice will be obtained without delay about the need to freeze the suspect's assets through the court, pending conclusion of the investigation. Legal advice will also be obtained about prospects for recovering losses through the civil court, where the perpetrator refuses repayment. The College will normally expect to recover costs in addition to losses.

References for Employees Disciplined or Prosecuted for Fraud

The staff handbook includes a requirement that any request for a reference for a member of staff who has been disciplined or prosecuted for fraud will be referred to the Head of Human Resources and Organisational Development. The Head of Human Resources and Organisational Development will prepare any answer to a request for a reference having regard to employment law.

Reporting to the Board of Management

The incident matching the criteria in the SFC's Mandatory requirement will be reported without delay by the Principal to the Chairs of both the Board of Management and the Audit Committee.

Any variation from the approved Response Plan, together with reasons for the variation, will be reported promptly to the chairs of both the Board of Management and the Audit Committee.

On completion of a special investigation, a written report will be submitted to the Audit Committee containing:

- A description of the incident, including the value of any loss, the people involved, and the means of perpetrating the fraud.
- The measures taken to prevent a recurrence.
- Any action needed to strengthen future responses to fraud, with a follow-up report on whether or not the actions have been taken.

This report will normally be prepared by the Project Group.

Reporting Lines

The Project Group will provide a confidential report to the Chair of the Board of Management, the Chair of the Audit Committee, the Principal and Chief Executive and the External Audit Partner. The scope of the report will include:

Title: Fraud Prevention Policy and Response Plan
Version/Status: 3.2, Final
Approved By/Date: Audit Committee/05/2014
Effective Publication Date: May 2014

Owner: Chief Operating Officer
Lead Author: Head of Finance
Review Timing/Date: 1 Year / 2018/19

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- Quantification of losses.
- Progress with recovery action.
- Progress with disciplinary action.
- Progress with criminal action.
- Estimate of resources required to conclude the investigation.
- Actions taken to prevent and detect similar incidents.

Responsibility for Investigation

The extent, complexity and source of the fraud will determine how the investigation will take place and in some circumstances might be led by representatives of the College Internal Audit Provider.

Some investigations may require the use of technical expertise and in these circumstances, the Project Group may approve the appointment of external specialists to lead or contribute to the investigation.

Review of Fraud Response Plan

This plan will be reviewed for fitness of purpose every 3 years or after each use. Any need for change will be reported to the Audit Committee for approval.

Title: Fraud Prevention Policy and Response Plan
Version/Status: 3.2, Final
Approved By/Date: Audit Committee/05/2014
Effective Publication Date: May 2014

Owner: Chief Operating Officer
Lead Author: Head of Finance
Review Timing/Date: 1 Year / 2018/19

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Board of Management

Paper for Consideration

Subject: Whistleblowing (Public Interest Disclosure) Policy and Procedure
Author: Susan Hunter, Head of HR and OD
Date of paper: 5 June 2018
Date of meeting: 13 June 2018

Action requested of committee:

(Tick as appropriate)   For information only:
                       For discussion:
                       For recommendation/approval: ☑

Cost implications:
(Tick as appropriate)   Yes: ☑   No:

Executive Summary: This document outlines the policy and procedure for the submission and handling of whistleblowing (protected disclosures) complaints at Perth College UHI.

This policy and procedure covers complaints made in the public interest, which bring serious concerns to our attention.

The policy still contains tracked changes and this is to demonstrate the number of changes that have been made since its creation.

Information recorded in College minutes and papers is subject to release under the Freedom of Information (Scotland) Act 2002 (FOI(S)A). Certain exemptions apply: financial information relating to procurement items still under tender, legal advice from College lawyers, items related to national security.

Status of Papers   **Open**   ☑   **Closed**

An **open** item is one over which there would be no issues for the College in releasing the information to the public in response to a freedom of information request.

A **closed** item is one that contains information that could be withheld from release to the public because an exemption under the Freedom of Information (Scotland) Act 2002 applies.

The College may also be asked for information contained in minutes and papers about living individuals, under the terms of the Data Protection Act 1988.

Do the papers contain items which may be contentious under the terms of the Data Protection Act 1988?   **Yes**   **No**   ☑

Whistleblowing (Public Interest Disclosure) Policy and Procedure

May 2013May 2017

Also available in large print (16pt)
and electronic format.

Ask Student Services for details.

www.perth.uhi.ac.uk

University of the Highlands and Islands
Perth College

Version Control History

Version Number	Date of Change	Summary of Revisions Made
5	December 2017	Version reviewed to become a single document and to broaden scope beyond staff and define board of management responsibility and arrangements in respect of disclsoures relating to board of management members. Include mechanism for anonymous complaints and outline complaints and investigation process.
4	May 2013	Version no updated and effective date updated. Review due date remains stat. Addition of Bribery to definition 3.1 issues of Serious Concern. Addition of new key principle at 4.2 that the College values its reputation for ethical behaviour and for financial probity and reliability and has a zero tolerance policy towards bribery. Change of title from Director of HR and Organisational Development to Director of HR and Communications. Changes need to be notified to the F&GP Committee – approved by them at meeting 2-Oct-13.
4.1	July 2016	Footer updated to reflect new template model Role Title Changed: Vice Principal, Human Resources and Communications; Head of Quality.

Whistleblowing Policy and Procedure

1 Purpose

~~The purpose of this document is to set out the policy framework to enable staff to raise concerns they may have with managers or staff through the method of Whistleblowing.~~This document outlines the policy and procedure for the submission and handling of whistleblowing (protected disclosures) complaints at Perth Colege UHI.

This policy and procedure covers complaints made in the public interest, which bring serious concerns to our attention.

2 Scope

~~All employees are covered by this policy.~~This policy and procedure applies to all staff, students, members of the Board of Management, contractors and agency workers engaged at Perth College UHI. This policy is also applicable to staff and students of other UHI academic partners.

Individuals who are not a member of one of the above groups (for example members of the general public) but who wish to raise a concern of the type set out in this policy should do so by using the college's Complaints Handling Procedure.

The aims of this policy are:
- to encourage staff to report suspected wrongdoing as soon as possible, in the knowledge that their concerns will be taken seriously and investigated as appropriate, and that their confidentiality will be respected
- to provide staff with guidance as to how to raise those concerns
- to reassure staff that they should be able to raise genuine concerns without fear of reprisals, even if they turn out to be mistaken.

3 Definitions

Whistleblowing is the term used to describe a disclosure alleging corruption, malpractice or wrongdoing on the part of another person within an organisation. A 'whistle-blower' is a person who exposes this.

The difference between whistleblowing and complaints can sometimes appear confusing. A complaint is generally made by an individual who feels they have been personally wronged in some way. A person making a complaint will likely have a vested interest in the outcome and in such circumstances the Staff Complaints and Grievance Procedure or complaints handling procedure would apply.

Whistleblowing, however, tends to relate to matters serious concern where the organisation has breached generally accepted standards of legal, ethical, financial or other expected behaviour.

3.1 Issues of serious concern - may be defined as, but are not limited to;
- include discrimination, negligence, fraud, bribery and corruption, failure to comply with a legal obligation, endangering the health and safety of staff, environmental damage, bullying and will normally be reported to the immediate manager or a senior manager. The list is not exhaustive and staff who raise a genuine concern will be fully supported.
- A criminal offence
- An individual failing to comply with their legal obligations
- A miscarriage of justice is likely to occur
- A departure from agreed procedures relating to statutory or other requirements
- The health or safety of an individual has been, is being, or is likely to be endangered
- The environment has been, is being, or is likely to be damaged
- Any of the above has been, is being, or is likely to be deliberately concealed

3.2 Public disclosures/qualifying disclosure - if a member of staff feels unable to raise their concern because they believe they will be victimised, or evidence will be destroyed, the matter **may in certain limited circumstances** be disclosed outside Perth College UHI as a 'qualifying disclosure' under the Public Interest Disclosure Act.

4 **Key Principles**

4.1 Perth College UHI is committed to the highest standard of care, probity, openness and accountability as a service provider to young people and adults. The organisation is highly dependent on the goodwill and respect of a wide range of other individuals and organisations who support Perth College UHI in providing services.

4.2 The College values its reputation for ethical behaviour and for financial probity and reliability and has a zero tolerance policy towards bribery

4.3 A commitment to the highest standards of service requires that Perth College UHI encourages its employees and others to come forward with serious concerns about any aspect of our work. It is recognised that in some cases employees may wish to do this on a confidential basis and where possible they will be supported in doing so. There are, however, some situations which, because of their seriousness, will have to be dealt with in such a way that the retaining of confidentiality is impossible as it may prevent full investigation of the complaint.

Title: Whistleblowing Policy
Version/Status: 4.1, Final
Approved By/Date: CMT/05/2013
Effective Publication Date: May 2013

Owner: VP, Human Resources and Communications
Lead Author: Human Resources Manager
Review Timing/Date: 1 Year/2016/17

QUAL/054/SB/LM   2 of 2   **Perth College**

4.4   It is the College's policy that employees who come forward with serious concerns regarding any aspects of our work are not penalised, but supported and commended for raising such issues, even if they turn out to be mistaken.

5   Safeguards/Protection

5.1 This policy is designed to offer protection to those who disclose reasonable concerns, provided the person disclosing has a reasonable belief that it is in the public interest. In all cases, provided that the allegation has been made lawfully, without malice and in the public interest, the person making the allegation will not be disadvantaged for reasons of making the allegation, nor will the individual suffer any form of detriment as a result.

Those who disclose concerns must not be subject of retribution for making an allegation, in any way. Any staff member, student or board member who is involved in such conduct may be subject to formal action under the appropriate policy.

5.2 Confidentiality
All disclosures will be treated in a confidential and sensitive manner. The identity of the person making the allegation may be kept confidential after the launch of an enquiry, if requested, as long as it does not prevent the undertaking of a fair investigation or if there is an overriding reason for disclosure (for example, if police involvement is required). However, the investigation process may reveal the source of the information, and the individual making the disclosure may be required to provide a statement as part of the evidence required. As such, confidentiality cannot be guaranteed.

5.3 Anonymous allegations
The policy encourages individuals making a disclosure to identify themselves as the purpose of the policy is to provide protection to those who disclose concerns. Submitting an anonymous complaint also limits the scope of the investigation, as proper investigation may be more
difficult or impossible if we cannot obtain further information from the discloser(s) and therefore it may not be possible to conclude from an anonymous disclosure whether it is a public interest disclosure and/or ensure the effectiveness of any subsequent investigation.

If you are in any doubt about revealing your identity you can seek advice from the Chief Operating Officer.

5.4 False allegations
Persons found to have knowingly raised false or malicious allegations may be treated as having committed a serious offence and this will be dealt with under the appropriate policy.

6   Procedure for making a Protected Disclosure

The initial disclosure should be made to the Chief Operating Officer (COO), this can be made verbally or in writing. If on initial review, there is an indication of malpractice or wrongdoing, the Chief Operating Officer will arrange for an investigation and appoint an Investigator(s) to carry out the necessary enquiries and report back to him/her. The investigation team will be made up of at least;

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- one SMT or CMT member
- one HR or Quality member, depending on the nature of the complaint
- If the complaint relates to one or more members of the Senior Management Team (SMT), the complaint should be submitted to the Chair of the Board of Management, who will assign the investigation team, who will be supported by a member of the Board of Management. The Chair of the Board of Management can also take the decision to appoint an external investigator.

If the complaint relates to one or more members of the Board of Management (BOM), the complaint should be submitted to the Chair of the Board of Management, who will appoint an external investigator. The Chair of the Board of Management can be contacted via the Clerk to the Board on Extension 77300. The Clerk to the Board reports directly to the Chairman of the Board of Management.

If the complaint relates to the Chair of the Board of Management, the complaint should be made to the Senior Independent Board Member in who will appoint appropriate extenal investigators.

The investigator will carry out an initial assessment to determine the scope of any investigation. The discloser(s) will be informed of the outcome of that assessment and the may be asked to attend additional meetings to provide further information.

The investigator will aim to keep the discloser(s) informed of progress and timescale. However, sometimes the need for confidentiality may prevent the discloser(s) being given specific details or indeed any details of any disciplinary or other action taken consequently as a result of raising the concern.

The investigator will report findings to the instigator of the investigation and will recommend one of the following steps based on the evidence found;
- take no further action save to inform the discloser of the decision and reasons for it
- refer the matter to the police in the case of alleged criminal activities
- refer the matter for appropriate action within existing college procedures.

The instigator of the investigation will decide on next steps and instruct appropriately.

7   Qualifying Disclosures

If, despite the commitnmemts made in this policy the discloser(s) are not comfortable disclosing to Perth College UHI, discloser(s) can report to a prescribed person rather than the college. The contact details for the prescribed person for education can be found at;

https://www.gov.uk/government/publications/blowing-the-whistle-list-of-prescribed-people-and-bodies--2/whistleblowing-list-of-prescribed-people-and-bodies#education

Title: Whistleblowing Policy
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Owner: VP, Human Resources and Communications
Lead Author: Human Resources Manager
Review Timing/Date: 1 Year/2016/17

QUAL/054/SB/LM   4 of 2   **Perth College**

8 Responsibilities

8.1 The ~~Vice Principal, Human Resources and Communications~~Head of Human Resources and Organisational Developoment has responsibility for reviewing the policy in line with changes and developments in employment and case law.

8.2 The College Finance and General Purpose Committee has responsibility for approving any subsequent changes to this policy.

8.3 College Managers are responsible for ensuring staff are aware of the procedures and know what to do if they wish to raise a concern.

8.4 Quality approval check of the policy is the responsibility of the Head of Quality who will arrange for the policy to be posted on the web.

9 Linked Policies/Related Documents

~~6.1 Whistleblowing Procedure.~~

9.1 ~~Guidance Notes on Whistleblowing.~~ Student Complaint Policy

9.2 Staff Complaints and Grievance ~~Procedures.~~ Procedure.

9.3 Anti-Bribery Policy

10 Relevant Legislation

10.1 Public Interest Disclosure Act 1998.

10.2 The Bribery Act 2010

Paper for Consideration

Subject: Admissions Policies: Further Education and Higher Education
Author: Margaret Cook
Date of paper: 4 June 2018
Date of meeting: 13 June 2018

Action requested of committee:

(Tick as appropriate) For information only:
                        For discussion:
                        For recommendation/approval: Yes

Cost implications:
(Tick as appropriate) Yes: No:

Executive Summary:

The Board may recall it considered the final draft FE Admissions Policy at its meeting on 21 March 2018. This was the output of a short-life working group on FE Admissions as part of the UHI single policy framework for FE. The group proposes that this policy is recommended for approval by each academic partner Board of Management where further education is delivered.

Whilst the Board endorsed the approach to admissions, it was keen that the Engagement Committee also have oversight of the UHI HE Admissions Policy in addition to the FE policy, so that it could have full oversight of the approach to admissions.

The Engagement Committee considered both policies at its meeting on 10 May 2018 and approved both policies. The Committee also recommended that the FE policy be approved by the Board for implementation for the 2019/20 applicants.

The College may also be asked for information contained in minutes and papers about living individuals, under the terms of the Data Protection Act 1988.

Do the papers contain items which may be contentious under the terms of the Data Protection Act 1988?   **Yes** ☐   **No** ☑

Perth College UHI

University of the Highlands and Islands

Admissions Policy: Further Education

Policy Statement

Perth College UHI endeavours to be welcoming and inclusive in its admissions policy and processes, seeking to work in partnership with prospective students to match applicants with courses most appropriate to their aspirations and current level of skills, knowledge and ability.

Perth College UHI operates a fair and open admissions process that is free of discrimination and reflects a commitment to widening access and equality of opportunity. The College aims to provide appropriate services to support students with learning support needs or disabilities.

Scope

This Admissions Policy applies to all applicants for further education courses (full-time and part-time), including those classed as commercial.

Applicants for higher education courses (HNC, HND, Degree and Post Graduate programmes) should refer to the University of the Highlands and Islands Admissions Policy to be found on the UHI web-site at https://www.uhi.ac.uk/en/about-uhi/governance/policies-and-regulations/policies/

Legislative frameworks and related policies

This policy is aligned with the following legislative frameworks:

- Equality Act 2010
- Data Protection Act 1998
- Freedom of Information (Scotland) Act 2002
- Scottish Care Leavers Covenant 2015
- Disability Discrimination Act 2005
- General Data Protection Regulation (GDPR) (from May 2018)

Associated policies include:

Perth College UHI

Use of Personal Data

Personal data collected through the 'Academic Partner name' admissions process will be anonymised and used to statistical purposes to monitor applications by age, disability, sex, gender reassignment, pregnancy and maternity status, race, religion and/or belief, sex, sexual orientation, marriage and civil partnership or socio-economic background.

Key Principles

The Perth College UHI will:

- Follow admissions processes that are free of discrimination on the grounds of age, disability, gender and gender reassignment, pregnancy and maternity status, race, religion and/or belief, sex, sexual orientation, marriage and civil partnership or socio-economic background.

- Offer a curriculum aligned to local and regional need and in line with national priorities. Where there is diminished local need or low demand, a course may be amended or withdrawn before it commences. Equally, new courses may be introduced or the number of places on a course increased due to demand;

- Publicise courses through a variety of communication channels and in a variety of formats;

- Be fair, open and transparent in recruitment and selection processes;

- Provide clear and accurate information on available courses, entry requirements and/or selection criteria;

- Proactively encourage candidates to declare any disability or additional support need that may create barriers to their success in learning. This declaration enables Perth College UHI to provide appropriate support during the application stage and throughout a student's course;

- Publish on Perth College UHI web-site, details of the annual admissions cycle including when applications will be processed, when interviews take place and offers of places will be made.

Contextualised Admissions

To further our commitment to improving access to education for people from the widest possible range of backgrounds, Perth College UHI operates a contextualised admissions policy and processes. This commitment enables the College to form a more complete picture of the characteristics of an individual applicant. To this end, Perth College UHI:

- Endeavours to take into account an applicant's background where an application falls short of the standard entry criteria for a course or where there is competition for places;
- Will provide appropriate levels of support to prospective students who require it throughout the admissions process;
- Make provision for assessments of additional support required 'on-course' during the admissions process;
- Make reasonable adjustments wherever this is possible.

Perth College UHI particularly welcomes applications from specific priority groups in line with Government priorities and legislation, including:

- Care experienced and looked after young people;
- Those living in areas of multiple-deprivation as identified by the Scottish Index of Multiple Deprivation as being the 10% most deprived post-code zones in Scotland;
- Those whose parents or carers have not accessed education beyond the compulsory school years;
- Male and female applicants to courses with nationally recognised gender imbalances e.g. males into to care, females in to construction

Perth College UHI guarantees an interview to those with a care experienced background. To support gender equality, the College also operates a guaranteed interview for specific courses that experience a severe gender imbalance and are included in the College's Gender Action Plan.

Perth College UHI records all contextualised admissions, showing the number of applicants identified within priority groups, by course and by outcome of application.

Discretion in making an offer of a place

All offers of places are subject to the College's discretion. The College reserves the right to reject applications or apply further criteria under particular circumstances such as the following:

- Previous disciplinary sanctions under the college or university disciplinary procedures or those of other institutions
- Record of outstanding debt with the College or University
- They do not meet the entry criteria
- Unsuccessful at interview

Perth College UHI will

- Treat every application on its merits and will remove barriers to participation through making reasonable adjustments. However, there may be occasions when reasonable adjustments are not sufficient to enable participation on a particular course.   In these circumstances, Academic Partner name will make every effort to offer an alternative course or an alternative mode of study if appropriate and / or available.)
- Reserve the right to apply additional entry criteria in instances where an applicant has a record of previous enrolments without successful completion. In such cases, due consideration will be given to an individual's circumstances and support needs when reaching a decision.
- Successful applicants to courses will be required to join the Protection of Vulnerable Groups Scheme (PVG) where the studies or placements require interaction with children and/or vulnerable adults. A previous criminal record does not, in the majority of cases, exclude an applicant from being offered a place. However, the College recognises that it has a duty of care to all students and staff and therefore reserves the right not to admit an applicant where there is evidence that they could affect the safety and welfare of students or staff. The College has the right to withdraw an offer of place if new information

becomes available which has not been previously disclosed by the applicant and which could affect the safety and welfare of students and staff.

Fee Status

Every student who enrols of a course incurs a fee. The vast majority of full-time further education students have their fees paid by the Scottish Funding Council, through the fee waiver system. Part-time students may also be eligible for fee waiver.

On application, the College will make an assessment of fee status in order to determine the appropriate level of tuition fees, in line with the relevant regulations and based on the information provided on the application form. The fee status of an individual will be communicated in the offer letter to ensure that individuals are aware if they are liable to pay fees.

The College reserves the right to change an applicant's fee status in exceptional circumstances such as the following:

- If new information becomes available which was not previously disclosed by the applicant and affects the original decision on the fee status;
- If errors are made within the initial fee assessment, either by the College or by the applicant, which affects the original decision on the fee status.

In such cases, the applicant will be notified of any change to their fee status and any consequences of this change.

Applicants assessed and determined to be international fee-payers may be required to pay full course fees prior to enrolment.

Appeals

Any appeals relating to application decisions must be made in writing to 'insert relevant job title'.

Compliance

The responsibility for compliance with the Admissions Policy lies with all staff involved in the process. The Policy will be regularly audited and reports submitted to the Regional Admissions Group.

Monitoring

Reports on the number of applications received and offers made will inform curriculum review and courses offered in subsequent years. Applications will also be monitored by post-code, gender, ethnicity, disability, care experience and carer status to inform equality and diversity action planning.

Review

The Policy will be reviewed on a three-yearly basis, or earlier if legislative change requires it.

Admissions Processes

The Admissions Policy will be implemented through agreed procedures which are detailed in the document 'Admissions Procedures' and which will be followed in all instances. Admissions procedures will be regularly reviewed and assessed to ensure alignment with the College's Admissions Policy and good practice within the sector. Admissions Procedures are published on the college web-site.

University of the Highlands and Islands
Admissions Policy

Contents

ADMISSIONS POLICY

Introduction

Strategic context

The university is a partnership of thirteen independent colleges and research institutions providing formal post-school education throughout our region. Integration of post-school education provides students with flexible progression through further (college) and higher (university) education and provides a single point of access for post-school education and training.

The university is committed to excellence in learning and teaching and to providing opportunities to all who may benefit through:

- Innovative and inclusive approaches to learning and teaching;
- Provision of programmes of study to facilitate entry to higher education for those from traditionally under represented backgrounds, including those who would otherwise be excluded by a combination of geography and personal circumstance;
- Flexibility of entry and certificated and accredited exit points, with students being encouraged to study to the highest level of their abilities.

Scope

This policy covers all admissions to undergraduate and taught postgraduate higher education programmes (ie SCQF levels 7 to 11) from UK/EU and non-EU applicants and will be applied across the university partnership.

Fairness and equality

The University of the Highlands and Islands operates a fair and open admissions process committed to equality of opportunity and non-discrimination. All applications are considered on merit and on the basis of ability to achieve, without discrimination on grounds of age, disability, gender identity, pregnancy and maternity status, race, religion and/or belief, sex, sexual orientation or socio-economic background. The university welcomes applications from all prospective students and aims to provide appropriate services to students with learning support needs or disabilities.

This is facilitated by the provision of:
- General information to prospective students designed to be accessible and socially inclusive with information about facilities and resources, including course information and support services;
- Minimum entrance requirements for taught programmes of study which may include specific subject requirements;
- An approach to admissions whereby the wider context of an applicant's background may be taken into account where an application falls short of the standard entry criteria for a programme, or where there is competition for places on a programme;
- A process whereby lifelong and experiential learning and continuous professional development are appropriately recognised and rewarded in terms of entry requirements and academic credit.

The university will ensure equality of opportunity in recruitment and selection procedures by making available appropriate support during the application process including opportunities for students to visit their intended learning environments and/or discuss their particular needs with staff.

The university's admissions policy, practice and procedures shall be in accordance with relevant UK Code of Practice for Higher Education.

Curriculum for Excellence

The university welcomes Curriculum for Excellence in Scotland and fully supports its aims to ensure that all children and young people develop the knowledge, skills and attributes they will need if they are to flourish in life, learning and work, now and in the future. The university recognises that, through Curriculum for Excellence, the ability to succeed may be

demonstrated in variety of ways and will take this into account in applying its entry criteria to applicants who have completed the senior phase of Curriculum for Excellence.

Admission and selection

Application process

Applications to full-time undergraduate degree programmes and all applications by school leavers should be made through UCAS (the University and College Application System). Applicants are encouraged to provide as much information as possible to assist in decision making.

Admissions decisions will be made as quickly as possible. In cases where selection interviews, auditions or portfolio reviews are required it may take longer for decisions to be reached. For some programmes, especially those with large volumes of applicants, applications from suitably qualified candidates may be held to a cut-off date to ensure equal consideration. Applicants are advised of the process and timescale of decisions on acknowledgement of application and through [information provided on the university website](#).

Equal consideration will be given to all undergraduate applications received by the UCAS 'on-time' application deadline of 15 January in each year.

A record of the application including all evidence supporting a decision to admit or reject a student will be retained and kept securely by the university, in accordance with the university's information retention policy.

Interviews, portfolios and auditions

In the case of some programmes a selection interview, audition or portfolio review may be part of the selection process. A selection interview may also be required where entry qualifications were obtained more than six years previously. Where a selection interview, audition or portfolio review is required, the assessment criteria, required standards and assessment methodology will be clearly communicated to applicants in advance and support in undertaking the assessment will be available to students who may have additional support needs.

In the case of other programmes, applicants may be invited to attend one of the university's locations, or to a telephone or on-line meeting to learn more about the university, the programme, the intended location of study, and the study experience. Such meetings will not be part of the selection process but may include important information and guidance which may influence the applicant's choice of programme, location and mode of study and applicants are encouraged to take part in such meetings.

Offers

Minimum entry requirements including level of qualification, subject and grade are published for each programme of study. Offers made on individual applications will be based on these minimum criteria, but may include higher or further requirements, depending on a variety of factors including the level of competition for the programme.

Where the applicant's credentials are not in English, the applicant must provide notarised translations so that the necessary equivalency checks can be made.

Recognition of prior learning

Non-certificated learning
For applicants without standard entry qualifications, consideration will be given to relevant experience gained as well as professional qualifications and other forms of learning as an alternative to standard entry requirements.

Certificated learning – credit transfer
The university supports the Scottish Credit and Qualifications Framework. Prospective students are encouraged to apply for recognition of previous formal learning as credit towards the achievement of qualifications, either through partial exemption or for direct entry to later years, where under pinning academic study can be demonstrated.

More information is available in the university's [Recognition of Prior Learning Policy](#).

Access

The university has entered into access agreements with colleges and other institutions whereby specific awards, including higher national certificates and higher national diplomas, will be recognised as qualifications for direct entry to later years of study.

[More information on access is available on the university's website](#)

Deferred entry

The university accepts deferred entry to the majority of its courses; where this is not possible it is noted in the course information on UCAS course search.

International applicants (non UK/EU)

The University of the Highlands and Islands is a sponsor under the United Kingdom Visas and Immigration (UKVI) Tier 4 points based system.

International students must provide copies of their academic qualifications and, where relevant, evidence of English language competence (to the level stated in the academic regulations). Applicants will be made aware of and, if admitted, must abide by the requirements as stated in the university's International Student Agreement.

General information

Course change or cancellation

In situations where any of the university's courses have been subject to significant change, or discontinuation, applicants will be informed at the earliest opportunity. Where possible, applicants will be assisted to find alternative provision.

Feedback to unsuccessful applicants

The university is committed to providing feedback, when requested, to any applicant whose application was unsuccessful.

Appeals and complaints

If an applicant is dissatisfied with the outcome of an application for admission they should discuss the matter with the relevant programme leader for degree programmes and the academic partner applied to for non-degree programmes. If they are still dissatisfied they should follow the UHI student complaints policy and procedure.

Monitoring and Review

Academic Council has overall responsibility for the university's admissions policy, and for monitoring and reviewing its application. The policy was last reviewed and approved by Academic Council in September 2014.

The admissions policy will be implemented through agreed procedures which are detailed in a separate handbook for staff and which will be followed in all instances. The content of the admissions handbook will be reviewed and assessed regularly to ensure alignment with the University's admissions policy and good practice within the sector.

Board of Management

Paper for Consideration

Subject: Terms of Reference for Academic Affairs and Engagement
Committees
Author: Principal/Board Secretary
Date of paper: 5 June 2018
Date of meeting: 13 June 2018
Action requested of committee:
(Tick as appropriate)   For information only: ☑
                                   For discussion:
                                   For recommendation/approval:

Cost implications:
(Tick as appropriate)   Yes: No: ☑

Executive Summary:

Discussion of the Terms of Reference for Engagement and Academic Affairs
Committees has been ongoing. Chairs had discussed previously merging the
Committees to form one Committee with a combined Terms of Reference. However,
discussion within the Senior Management Team (SMT) around the volume of
business considered by Academic Affairs and, taking cognisance of Committee
structures in other Colleges, has led to a re-think about this approach. SMT has
concluded that two Committees are still required to ensure that the academic
portfolio continues to have high level prominence and sufficient time for Board level
discussion.

The Terms of Reference for both Committees have been reviewed by Chairs and
these are attached.

The Board should note that Chairs Committee approved the Terms of Reference for
each, whilst noting that the membership has yet to be finally determined. Chairs also
recommended that the revised remits should be implemented for Academic Year
2018-19 and be reviewed at the end of that year to ensure they were fit-for-purpose.

Information recorded in College minutes and papers is subject to release under the
Freedom of Information (Scotland) Act 2002 (FOI(S)A). Certain exemptions apply:
financial information relating to procurement items still under tender, legal advice
from College lawyers, items related to national security.

Status of Papers   Open ☑   Closed

An **open** item is one over which there would be no issues for the College in releasing
the information to the public in response to a freedom of information request.

A **closed** item is one that contains information that could be withheld from release to
the public because an exemption under the Freedom of Information (Scotland) Act
2002 applies.

The College may also be asked for information contained in minutes and papers about living individuals, under the terms of the Data Protection Act 1988.

Do the papers contain items which may be contentious under the terms of the Data Protection Act 1988?   **Yes** ☐   **No** ☑

ACADEMIC AFFAIRS COMMITTEE - proposed

Membership

Principal – Chair
2 Representatives of the Board of Management (one to be Vice-Chair)
2 Academic Staff Representatives
2 Support Staff Representatives
2 Student Representatives nominated by the Students' Association
Depute Principal (Academic)
Head of Student Experience
Head of Academic Practice
Student Services Manager
Quality Manager
Chair of Research, Scholarship and Knowledge Exchange Committee

Quorum

The quorum shall be 8 including the Chair or Vice Chair

Frequency of Meetings

Normally 3 times per academic session, and as required.

Terms of Reference

The Academic Affairs Committee is responsible for the overall quality and academic business of the College in respect of the student experience, teaching, research, and enterprise.

Within this overall remit the Academic Affairs Committee shall have the specific functions and responsibilities listed below:

1. To lead the review and development of the academic portfolio in line with the College's Strategic Plan to ensure it remains relevant in terms of Scottish Government policy and industry developments across all sectors of the economy and provide advice to the Board of Management as required.

2. To reflect on trends in education to encourage innovation and curriculum development and promote best practice in regard to the pedagogical environment to ensure that the College successfully serves the needs of students and other stakeholders, and is preparing effectively to meet future needs.

3. To undertake a high level review of:

   - key aspects of academic performance, including student retention, progression, attainment and achievement;

- performance on admissions, access and inclusion;
- arrangements for articulation and partnership;
- approaches to learning and teaching;
- the volume and themes of student complaints, and their handling and outcomes.

4. To maintain an overview of academic quality assurance and outcomes by reviewing reports from the Quality Assessment Committee and other relevant internal and external sources including feedback and evaluation from student and stakeholder surveys.

5. To consider the implications of reports and updates from other relevant College and UHI Committees and, where appropriate, act to ensure the relevance and currency of the academic offer.

6. To prioritise and make recommendations in respect of work force planning and continuing professional development for academic staff.

7. To review and approve College's policies and strategies that relate directly to the student experience in terms of student induction and support, matters concerning student discipline and appeals.

8. To instigate any actions the Committee considers appropriate to maintain and enhance Perth College UHI as a centre of educational excellence.

9. To receive reports from the Research Strategy and Knowledge Exchange and Quality Assessment Committees.

Engagement Committee Terms of Reference – Proposed

Membership

Chair of Academic Affairs Committee (ex officio)
No fewer than 3 other Board of Management members, to include one staff member.
2 student members nominated by HISA/Perth College

In attendance
Depute Principal, Academic
Vice Principal External Engagement
Chief Operating Officer and/or Head of Human Resources and Organisation Development
Head of Marketing and International?
Head of Business Development?

Quorum
The quorum shall be 3 members

Frequency of Meetings
The Committee shall meet no less than three times per year.

Terms of Reference

This Committee is responsible for four main aspects of College business: Student Experience and Engagement, External Stakeholder Engagement, Human Resources and Staff Engagement and Board of Management development.

Student Experience and Engagement

1. To ensure the Board is working proactively to ensure effective Board level engagement with the student experience.

2. To ensure the Board engages proactively and word collaboratively with HISA having oversight of key HISA developments and governance arrangements.

3. To receive regular reports from Management and Students on progress with student engagement in the operation of the College.

External Stakeholder Engagement

4. To provide direction on strategic external engagement priorities for the College.

5. To contribute to the College awareness of its market position in Perth and Kinross through dialogue with the Board of Management members' own external, government and private and third sector contacts.

6. To review the College's external environment and interpretation of relevant information with the purpose of providing leadership on the currency of strategic direction

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7. To work with and influence a range of key external stakeholders (e.g., the Perth and Kinross Young Work Force Group, the Perth and Kinross Community Planning Partnership, Perth City Development Trust, the Outcome Delivery Group).

8. To represent the College with peers across the UHI Academic Partners.

Human Resources and Staff Engagement

9. To oversee the development and auditing of organisational engagement strategies including monitoring staff survey outcomes.

10. To monitor progress of our general and specific duties under the Equalities Act through review of reports and action plans.

11. To ensure the Board is taking an active and planned approach in its responsibility to staff.

12. To receive reports from the Equality, Diversity and Inclusion Team (EDIT) Committee.

Board of Management Development

13. To develop procedures for the induction and ongoing training and development of Board members

14. To ensure Board Members are able to operate effectively and to develop into the roles of Chair of Committee and Vice Chair as appropriate.

15. To ensure effective self evaluation of the Board and its Standing Committees

16. To develop an annual programme for Board Development activities.

Board of Management

Paper for Approval

Subject: GDPR Update
Author: Dawne Hodkinson
Date of paper: 5 June 2018
Date of meeting: 13 June 2018
Action requested of committee:
(Tick as appropriate)   For information only:
✓   For discussion:
                          For recommendation/approval:

Strategic area(s): Compliance

Cost implications:
(Tick as appropriate)   Yes: No:

Executive Summary:

This paper provides an update to Board of Management on progress towards compliance in GDPR (first attachment) and should be considered alongside the previous paper produced for Chairs Committee (second attachment).

Information recorded in College minutes and papers is subject to release under the Freedom of Information (Scotland) Act 2002 (FOI(S)A). Certain exemptions apply: financial information relating to procurement items still under tender, legal advice from College lawyers, items related to national security.

Status of Papers   Open ✓   Closed ☐

An **open** item is one over which there would be no issues for the College in releasing the information to the public in response to a freedom of information request.

A **closed** item is one that contains information that could be withheld from release to the public because an exemption under the Freedom of Information (Scotland) Act 2002 applies.

The College may also be asked for information contained in minutes and papers about living individuals, under the terms of the Data Protection Act 1988.

Do the papers contain items which may be contentious under the terms of the Data Protection Act 1988?   **Yes**   ☐   **No**   ✓

UPDATE ON PROGRESS – GPDR

Since the previous update on 15 May 2018 we have seen the enactment of GDPR across the EU member states. It should be noted that the Scottish government's position is to continue to apply this legislation post-Brexit.

The risk matrix has been updated to reflect where progress has been made and where work still needs to be done.

The university shared resource to which we subscribe is now live and we have already benefitted from the significant knowledge of the UHI DPO based in Moray College, having come from Moray Council where he implemented GDPR. From the first contact with this service it became clear that we at Perth College are much better informed and prepared than the majority of the partnership. It seems appropriate to acknowledge the work of Donald Maclean in getting us to this position.

We have had support from a project mangager for 13 days and his help has been invaluable. Significantly, he has worked with staff who collect and process data with is more complex or esoteric than our day to day business of enrolling students and processing results. These areas would have been high risk due to the nature of the data and/or the data subjects.

Once the organisational restructure is in place and it is clear who will take this forward, work will continue on some of the bigger packages of work such as:

- Privacy by design
- Data map flows
- Data asset registers
- Testing of systems
- Setting up of senior governance group
- Adoption of partnership-wide documentation, policies and procedures

Dawne Hodkinson
International and Corporate Services Director
5 June 2018

				NOTES	RISK	RISK MITIGATION
1.1	Awareness	Have you raised awareness, across the organisation of the changes that are coming?		Those responsible for processing sensitive or more complex data have all received one-to-one support. Mandatory support has been made available	Staff do not engage	Info session at staff conference, chasing up completion of mandatory training
1.2	Management responsibility	Have you set out the management support and direction for data protection compliance in a framework of policies and procedures?		Requires Accountability of a C level IT Governance Steering Group	There is no governance procedure	Set up a Senior Level Information Governance Steering Group
1.3	Management responsibility	Have you nominated a data protection lead, if required Data Protection Officers (DPO)?		James Nock is the UHI DPO, and thus Perth College's too	volume of work means that DPO is unable to devote enough time to us	keeping in touch
1.4	Registration	Have you registered with the Information Commissioner's Office?		We are registered in our own right but this needs updated. UHI DPO needs to do this		

2. Assessment - Data Inventory & Process Mapping						
2.1	Information you hold	Have you documented the following information:		We have a much better understanding of this now and will develop a template to make this less onerous for managers. Ultimately, after training, managers will need to complete this for their own areas.	Data breach before mapping of data flows is completed (2.2)	Based on our history the likelihood is low thus mid-risk
		*what personal data you collect				
		*what sensitive personal data do you collect/process?				
		*where that data came from?				
		*where is the data located across the organisation?				
		*where is the data transferred to and from?				
		*who it is shared with?				
2.2	Information you hold	Have you planned to conduct an **information audit** across the organisation to **map data flows?**				
2.3	Information you hold	Do you have a **data classification system**?				
2.4	Information you hold	Have you identified areas that could cause problems under GDPR and recorded them in a **risk register?**		Updating risk register daily		
2.5	Lawful basis for processing personal data	Have you reviewed the various types of processing you carry out?				
2.6	Lawful basis for processing personal data	You have identified your lawful basis for your processing activities and documented this?		This is ongoing depending on new activity but we are clear on this		

3. Assessment - Policy & Procedures						
3.1	Policy	Do you have an appropriate data protection policy?			it is appropriate but slightly out of date	await a common policy for the partnership
3.2	Data Protection by Design and Data Protection Impact Assessments	Have you put technical and organisational measures in place, to show you have considered and integrated data protection into your processing activities?		A very broad scope. Project and planning manager to test this area at high level	PIAs in place for new processes but retrospective consideration required	Quality review process and data flows
3.3	Data Protection by Design and Data Protection Impact Assessments	Do you understand when you must conduct a DPIA (Data Impact Assessment) and have processes in place to action this?				
3.4	Data Protection by Design and Data Protection Impact Assessments	Do you have a method of linking DPIA outcomes into the risk management and project management processes?		Project manager to check PIA links/Process	DPIA not an integral part of project management currently	staff awareness training. Policy and process to be developed

3.5	**Lawful basis for processing personal data**	Have you explained your lawful basis for processing personal data in your privacy notice(s).	this is ongoing as each activity may require a "just-in-time" privacy notice. This is good practice.		
3.6	**Privacy notices**	Have you reviewed your current privacy notices in line with GDPR requirements?		as above	
3.7	**Privacy notices**	Have you made privacy notices readily available to individuals?		in progress	
3.8	**Individuals' rights**	Have you checked your procedures to ensure that you can deliver the rights of individuals under the GDPR?		lack of documented procedures and process testing	Continue business process mapping ; document and test procedures
		* The right to be informed			
		* the right of access			
		* the right to rectification			
		* the right to erasure			
		* the right to restrict processing			
		* the right to data portability			
		* the right to object			
		* rights in relation to automated decision making and profiling.			
3.9	**Consent**	Have you reviewed how you seek, record and manage consent?			
3.10	**Consent**	Have you reviewed the systems currently used to record consent and implemented an effective audit trail?		implemented but no audit trail in place, too new	document and test procedures
3.11	**Children**	If your business offers services directly to children, do you communicate privacy information in a clear plain way that a child will understand?			Awareness training for nursery staff
3.12	**Children**	If your business offers 'information society services' directly to children, do your business systems verify individuals' ages and to obtain parental or guardian consent where required?			Awareness training for nursery staff
3.13	**Responding to subject access requests**	Do you have a process in place to respond to requests from individuals?			
4. Management of Data					
4.1	**Data quality and accuracy**	Have you tested process to ensure personal data is of sufficient quality to make decisions about individuals?	write test	procedure used several times but staff awareness may be low	run a test and raise awareness
4.2	**Data breaches**	Have you tested procedures to ensure personal data breaches can be detected, reported and investigated effectively?	write test	procedure used several times but staff awareness may be low	run a test and raise awareness
4.3	**Data breaches**	Do you have mechanisms in place to assess and then report relevant breaches to the ICO where the individual is likely to suffer some form of damage e.g. through identity theft or confidentiality breach?	All data breaches will be reported to the UHI DPO and it is he will decide whether or not it is escalated to ICO. We expect him to develop and roll out a common process and documentation		
4.4	**Data breaches**	Do you have mechanisms in place to notify affected individuals where the breach is likely to result in a high risk to their rights and freedoms?			
4.5	**Retention and disposal**	Have you tested process to routinely dispose of personal data that is no longer required in line with agreed timescales	write test	no testing procedure in place	random testing policy and process required from Information Steering Group

4.6	**Transfer of data (International)**	Have you tested procedures for business functions operating in more than one EU member state, ensure business's lead supervisory authority and documented this?	write test	Erasmus	check with University Erasmus support
4.7	**Security policy**	Do you have a clear security policy and procedures to ensure that data secured throughout the lifecycle?			
4.8	**Security policy**	Do you have the necessary data protection controls in place e.g., encryption, data loss prevention, enhanced access control, anonymization?	core systems secure	working on raising awareness around anonymisation	staff training
4.9	**Outsourcing**	Can you ensure an adequate level of protection for any personal data processed by others on your behalf or transferred outside the European Economic Area?	project manager to check the processes in place	AST is taken care of by the CAA, whose regs take precedence. AST are compliant with AST regs	issue addendum to all overseas partners. Ensure data sharing agreements are up to date
	5. Implement and Monitor				
5.1	**Training and awareness**	Have you developed and implemented a needs based data protection training programme for all staff?	Mandatory training rolled out. 2 day workshop for data processors in June		
5.2	**Training and awareness**	Have you carried out training for all staff detailing GDPR and their role in implementing the requirements	Mandatory training rolled out		
5.3	**Training and awareness**	Have you effectively communicated changes to your policies and procedures, with all relevant staff?	staff conference day	staff unaware of changes	Staff conference day
5.4	**Monitoring**	Do you monitor compliance with data protection policies and regularly reviews the effectiveness of data handling / processing activities and security controls.	This needs to fall out of actions Information Governance Steering Group	There is no governance procedure	Set up an accountable senior level Information Governance Steering Group
5.5	**Monitoring**	Have you established a process to ensure new projects or initiatives consider GDPR requirements at the planning stage.	Project and planning manager will embed in any new projects	unknown projects/initiatives not on our radar	new college post of project manager now in place. This needs to be embedded staff to be made aware of the GDPR Privacy Impact Assessment and 'Privacy by Design ' requirements

	Chair's version	1. Define - Data Protection Governance & Responsibility			
			NOTES	RISK	RISK MITIGATION
1.1	Awareness	Have you raised awareness, across the organisation of the changes that are coming?	Yes at relevant Heads Level?	Ensuring effective cascade to all staff	Mandatory CPD
1.2	Management responsibility	Have you set out the management support and direction for data protection compliance in a framework of policies and procedures?	Requires Accountability of a C level IT Governance Steering Group	There is no governance procedure	Set up a Senior Level Information Governance Steering Group
1.3	Management responsibility	Have you nominated a data protection lead, if required Data Protection Officers (DPO)?	2 in fact, including shared services DPO. Need to better understand the service operates		
1.4	Registration	Have you registered with the Information Commissioner's Office?	This needs updated, see above		
		2. Assessment - Data Inventory & Process Mapping			
2.1	Information you hold	Have you documented the following information:		Data breach before mapping of data flows is completed (2.2)	Based on our history the likelihood is low thus mid-risk
		*what personal data you collect			
		*what sensitive personal data do you collect/process?			
		*where that data came from?	This is a ongoing project manager exercise with business functions		
		*where is the data located across the organisation?			
		*where is the data transferred to and from?			
		*who it is shared with?			
2.2	Information you hold	Have you planned to conduct an **information audit** across the organisation to **map data flows?**			
2.3	Information you hold	Do you have a **data classification system**?			
2.4	Information you hold	Have you identified areas that could cause problems under GDPR and recorded them in a **risk register?**	Updating risk register daily		
2.5	Lawful basis for processing personal data	Have you reviewed the various types of processing you carry out?	Underway with project manager	unknown or undeclared activity	staff awareness training
2.6	Lawful basis for processing personal data	You have identified your lawful basis for your processing activities and documented this?	major areas have been identified project manager investigating peripheral areas	as above	majority is on legitimate process. Staff training and mapping of data flows (2.2)will expose any areas requiring a different lawful basis
		3. Assessment - Policy & Procedures			
3.1	Policy	Do you have an appropriate data protection policy?		it is appropriate but slightly out of date	bring it up to date for GDPR with legal advice
3.2	Data Protection by Design and Data Protection Impact Assessments	Have you put technical and organisational measures in place, to show you have considered and integrated data protection into your processing activities?	A very broad scope. Project manager to test this area at high level	PIAs in place for new processes but retrospective consideration required	Quality review process and data flows
3.3	Data Protection by Design and Data Protection Impact Assessments	Do you understand when you must conduct a DPIA (Data Impact Assessment) and have processes in place to action this?			
3.4	Data Protection by Design and Data Protection Impact Assessments	Do you have a method of linking DPIA outcomes into the risk management and project management processes?	Project manager to check PIA links/Process	DPIA not an integral part of project management	staff awareness training. Policy and process to be developed

3.5	**Lawful basis for processing personal data**	Have you explained your lawful basis for processing personal data in your privacy notice(s).		privacy notices must cover all areas. Generic ones will be in place	Develop bespoke versions
3.6	**Privacy notices**	Have you reviewed your current privacy notices in line with GDPR requirements?		as above	
3.7	**Privacy notices**	Have you made privacy notices readily available to individuals?		in progress	
3.8	**Individuals' rights**	Have you checked your procedures to ensure that you can deliver the rights of individuals under the GDPR?	Project manager reviewing with all relevant parties	lack of documented procedures and process testing	Continue business process mapping ; document and test procedures
		* The right to be informed			
		* the right of access			
		* the right to rectification			
		* the right to erasure			
		* the right to restrict processing			
		* the right to data portability			
		* the right to object			
		* rights in relation to automated decision making and profiling.			
3.9	**Consent**	Have you reviewed how you seek, record and manage consent?			
3.10	**Consent**	Have you reviewed the systems currently used to record consent and implemented an effective audit trail?		no audit trail in place	document and test procedures
3.11	**Children**	If your business offers services directly to children, do you communicate privacy information in a clear plain way that a child will understand?	TT To check with Nursery and work placement/schools initiatives	check nursery issues, but agreements with schools are in place	Awareness training for nursery staff
3.12	**Children**	If your business offers 'information society services' directly to children, do your business systems verify individuals' ages and to obtain parental or guardian consent where required?	TT To check with Nursery and work placement/schools initiatives	as above	Awareness training for nursery staff
3.13	**Responding to subject access requests**	Do you have a process in place to respond to requests from individuals?			
4. Management of Data					
4.1	**Data quality and accuracy**	Have you tested process to ensure personal data is of sufficient quality to make decisions about individuals?	write test	procedure used several times but staff awareness may be low	run a test and raise awareness
4.2	**Data breaches**	Have you tested procedures to ensure personal data breaches can be detected, reported and investigated effectively?	write test	procedure used several times but staff awareness may be low	run a test and raise awareness
4.3	**Data breaches**	Do you have mechanisms in place to assess and then report relevant breaches to the ICO where the individual is likely to suffer some form of damage e.g. through identity theft or confidentiality breach?			
4.4	**Data breaches**	Do you have mechanisms in place to notify affected individuals where the breach is likely to result in a high risk to their rights and freedoms?			
4.5	**Retention and disposal**	Have you tested process to routinely dispose of personal data that is no longer required in line with agreed timescales	write test	no testing procedure in place	random testing policy and process required from Information Steering Group
4.6	**Transfer of data (International)**	Have you tested procedures for business functions operating in more than one EU member state, ensure business's lead supervisory authority and documented this?	write test	Erasmus	check with University Erasmus support

4.7	**Security policy**	Do you have a clear security policy and procedures to ensure that data secured throughout the lifecycle?			
4.8	**Security policy**	Do you have the necessary data protection controls in place e.g., encryption, data loss prevention, enhanced access control, anonymization?	core systems secure	working on raising awareness around anonymisation	staff training
4.9	**Outsourcing**	Can you ensure an adequate level of protection for any personal data processed by others on your behalf or transferred outside the European Economic Area?	project manager to check the processes in place	AST and international students and partners	issue addendum to all overseas partners. Ensure data sharing agreements are up to date
**5. Implement and Monitor**					
5.1	**Training and awareness**	Have you developed and implemented a needs based data protection training programme for all staff?	Project manager working with HR to finalise		
5.2	**Training and awareness**	Have you carried out training for all staff detailing GDPR and their role in implementing the requirements	Project manager working with HR to finalise		
5.3	**Training and awareness**	Have you effectively communicated changes to your policies and procedures, with all relevant staff?		staff unaware of changes	Staff training and dissemination
5.4	**Monitoring**	Do you monitor compliance with data protection policies and regularly reviews the effectiveness of data handling / processing activities and security controls.	This needs to fall out of actions Information Governance Steering Group	There is no governance procedure	Set up an accountable senior level Information Governance Steering Group
5.5	**Monitoring**	Have you established a process to ensure new projects or initiatives consider GDPR requirements at the planning stage.	audit of projects required	unknown projects/initiatives not on our radar	new college post of project manager now in place. This needs to be embedded staff to be made aware of the GDPR Privacy Impact Assessment and 'Privacy by Design ' requirements

Engagement Committee

Draft Minutes

Meeting reference: Engagement 2017-18/04
Date and time: Thursday 10 May 2018 at 5.30pm
Location: Room 019

Members present: Margaret Cook, Lindsey McLeod, Charlie Shentall, Prince Honeysett
(Note Margaret Cook had to attend another meeting from 5.45pm and returned at 6.10pm)

Apologies: Sharon Hammell, Ann Irvine, David Littlejohn, Nurina Sharmin

In attendance: Lorenz Cairns Interim Depute Principal (Academic)
Veronica Lynch, Vice Principal (External Engagement)
Susan Hunter, Head of Human Resources and Organisational Development

Acting Chair: Charlie Shentall (in place of Sharon Hammell)
Minute Taker: Maureen Masson, Secretary to the Board of Management
Quorum: 3

Summary of Action Items			
Actions From 11 May			
Ref	Action	Responsibility	Time Line
*6.2	Include consideration of the Admissions Policies on the Board agenda for its next meeting	Board Secretary	For next Board meeting
*9.1	IiP options paper to be considered by the Board at its meeting on 13 June 2018.	Head of HR and OD	For next Board meeting
	Check on the number of other FE Colleges who are Iip accredited	Head of HR and OD	

Minutes

Item		Action
1	**Welcome and Apologies**	

The Chair welcomed everyone to the meeting, in particular Veronica Lynch and Lorenz Cairns who were attending their first meeting of the Committee. The Committee noted the apologies received and that a number of members were at delayed at another meeting in the College.

2   Additions

There were no additions to the agenda.

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Highlands and Islands
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3   **Declaration of Interest in any Agenda Item**

There were no declarations of a conflict of interest in any agenda item.

4   **Minutes of Meeting held on 1 February 2017**

The minutes were approved as a correct record.

5   **Actions Arising from Minutes on 1 February 2017**

6.2   **PCSA/HISA Student Partnership Agreement**

Formal signing of partnership agreement required

Action - complete

10.1   **Board Development**

Inform the Secretary of possible topics for Board development

Action - complete

6   **Student Engagement**
*6.1   **HISA Perth College Update**

The Committee noted the report and the outcomes from the student elections. The Committee noted that Prince Honeysett had been re-elected and that Lennox Francis-Campusano and Michaelangelo Philippides has also been elected to the posts of Vice President (Activity and Welfare) and Vice President (Education and Engagement) respectively. The Principal expressed concern that neither of the newly elected Vice Presidents could attend the next Board meeting on 13 June 2018.

The Committee also noted the election outcomes for the regional HISA positions.

6.2   **Admission Policies: Further Education (FE) and Higher Education (HE)**

The Principal introduced the paper which included the FE and HE polices. The FE Policy had been considered by the Board at its meeting on 13 March; whilst the Board had endorsed the approach to FE admissions it wanted the Engagement Committee to have sight of the FE and HE policies, so it could have full oversight of both policies.

The Committee noted that the FE policy had been developed as

part of the work ongoing to establish a single policy framework and that it would be implemented from academic year 2019-20. The Committee approved the approach to FE admissions and noted the HE policy, and recommended that the FE policy be approved by the Board at its meeting on 13 June 2018.

Secretary

7   **Performance Monitoring**

7.1   **Corporate Parenting: progress report and update**

The Principal introduced the Report which had been prepared by the Head of Student Services. The Committee noted the report and commented positively on the work that had been done in the area of Corporate Parenting. The Head of Student Services had presented to the Board at a recent development evening and this had been well received. There was a further opportunity for the Board to hear more about this subject at its forthcoming development day, with a session from 'Who Cares Scotland'. The Board wished to record its thanks to the Head of Student Services for the recent presentation and report.

8   **Stakeholder Engagement**

The Committee noted the following various engagement activities ongoing:

- The Principal had attended graduation events in China. The Acting Depute Principal had also recently visited Japan with a Sector Manager with the aim of building relationships with potential partners and looking at opportunities for extending provision in key areas. A Chinese delegation was to visit the College in June. A full update would be provided to the Board at its next meeting;

- The Principal continued to attend meetings of Perth and Kinross Chief Officers' Group to build relationships, and continued to engage with Developing Young Workforce initiatives;

- The College had hosted a meeting of the Perth Development Board City of Knowledge and Learning Group which the Principal Chairs;

- The new Vice Principal was now in post and would lead on external facing work and commented that she was looking forward to taking this forward; and

- The Principal and Depute Principal (Academic) were to attend the degree show in the city museum which provided an opportunity for students to showcase their work.

9   Staff Engagement

9.1   HR Update

The Head of HR and OD provided an update on various HR matters. The Committee noted the paper, in particular, that considerable time had been given over to building the new HR team in terms of their induction and in reviewing existing business process. A new Equality and Diversity Adviser would start on 4 June. A number of focus groups had been held to help identify learning and development priorities and work to determine the values and behaviours was ongoing.

The Committee also discussed a paper on the College's Investors in People (IiP) accreditation and the approach to this going forward, particularly now the framework had changed. The Committee noted 3 options and the cost and risks associated with each.

The Committee discussed the pros and cons of each option and the messaging that would be required in each case. Some concern was expressed that pulling away from IiP altogether might be perceived negatively and that the rationale for this approach would have to be very clear. The Committee recommended that the paper be taken to the Board for consideration and that a check is done on the number of other FE Colleges who are IiP accredited.

Head of HR and OD

10   Board Development

*10.1   Board Development Update

The Board noted a paper which outlined development events that had been held as a prompt for thinking about events that might be planned during academic year 2018-19. The Chair suggested that a session on 'innovation' would be useful given that the sector and the College had to find new ways of working, new markets, new teaching methods and the like.

The Committee was encouraged to think of any other topics it may wish to see on its development plan for next year.

11   Committee Minutes

11.1   EDIT 7 December 2017 – noted

12   Date and Time of Next Meeting

- To be confirmed

Information recorded in College minutes are subject to release under the Freedom of Information (Scotland) Act 2002 (FOI(S)A). Certain exemptions apply: financial information relating to procurement items still under tender, legal advice from College lawyers, items related to national security.

Notes taken to help record minutes are also subject to Freedom of Information requests, and should be destroyed as soon as minutes are approved.

Status of Minutes   **Open** ⊠   **Closed** ☐

An **open** item is one over which there would be no issues for the College in releasing the information to the public in response to a freedom of information request.

A **closed** item is one that contains information that could be withheld from release to the public because an exemption under the Freedom of Information (Scotland) Act 2002 applies.

The College may also be asked for information contained in minutes about living individuals, under the terms of the Data Protection Act 1988. It is important that fact, rather than opinion, is recorded.
Do the minutes contain items which may be contentious under the terms of the Data Protection Act 1988?   Yes ☐   No ⊠

Academic Affairs Committee

DRAFT Minutes

Meeting reference:	Session 2017/18, Meeting 3 of 3
Date and time:	Wednesday 16 May 2018 at 2.00pm
Location:	Room 19, Brahan

Members present:

Margaret Cook Principal and Chief Executive (Chair)	Jessica Borley Head of Quality, Chair of Quality Enhancement Committee
Lorenz Cairns Depute Principal Academic	Brian Crichton Board of Management
David Gourley, Head of Academic Practice	Dawne Hodkinson, International & Corporate Services Director
Prince Honeysett President HISA Perth	Deborah Lally Head of Student Records
Veronica Lynch, Vice Principal External and Engagement	Richard Ogston Head of Student Services
Patrick O'Donnell, Research Co-ordinator	Professor Martin Price, Chair of Research, Scholarship and Knowledge Exchange Committee
Maureen Masson Secretary to the Board of Management	

Apologies:	Harold Gillespie, Board Member Jane Edwards, Support Staff Representative Sharon Maguire, Board Member
	Nurina Sharmin, Vice President HISA Perth

Minute Taker:	Maureen Masson
Quorum:	8, including the Chair or Vice-Chair

Summary of Action Items			
Ref	**Action**	**Responsibility**	**Time Line**
*7.5	**Perth College UHI: Student Services Annual Report 2016-17** Prepare a short executive summary for wider dissemination in the College	Head of Student Services	For next meeting
9	**HMIe activity**	Depute Principal	Asap

	Review recently revised HMIe guidance	(Academic) and Head of Quality	
*11.1	**Balanced Scorecard** Check indicator 1 about the number of non SDS funded apprenticeships, and what that number relates to.	Head of Academic Practice	For final Balanced Scorecard presentation
12.2	**Research Scholarship and Knowledge Exchange Committee –18 April 2018** Review membership of RSKE	Principal, Depute Principal. Research Co-ordinator	For next Academic Year

Minutes

Item		Action
1	**Welcome and Apologies** The Principal welcomed members and the Committee noted apologies.	
2	**Additions to the Agenda** The was one addition to the agenda notified by the Head of Quality on outcomes arising from the recent exit surveys. That would be taken at the end of the meeting.	
3	**Declaration of Conflict of Interest in any Agenda Item** There were no declarations of a conflict of interest.	
4	**Minutes of Meeting Held on 17 May 2017** These were accepted as an accurate record – for completeness Barbara Nelson should to be added to the 'in attendance' list of the last meeting.	
5	**Actions Arising from Previous Minutes** All actions were covered in the agenda apart from the following where updates were noted: **11.1 Student Engagement Strategy Update** **Provide an update on development of a student enabling plan** The Head of Student Services had been unable to progress the enabling plan for a number of reasons, but this would be progressed over the coming weeks and he would provide an update at the next meeting.	

Perth College is a registered Scottish charity, number SC021209.

6   Sector Manager Presentation
Karen Downs, Sector Manager, Skills for life, Learning and Employment

Karen provided an informative and interesting presentation about the very positive work ongoing in her Department. The Committee noted the different areas of work the Skills for Life and Learning and Employment supported and noted that challenges in that delivery. Demand for the services provided by SLE were rising and the Department was working with Skills Development Scotland to look at how their services might be developed.

The Committee thanked Karen for an interesting and informative presentation.

7   Student Experience

*7.1   HISA Perth College Update and Student Elections

The Committee noted all activity in the HISA update and that the Partnership Agreement had been signed by the Principal and Students Association.

The Committee further noted the outcomes from recent student elections. Meetings with the new student representatives would be planned during August when students returned after the summer break.

*7.2   Student Destinations 2016-17

The Head of Student Records introduced a tabled paper which provided data about known student leaver destinations. Information on a student population of 87% was collected and 83.7% of students were entering a positive destination. The Committee noted that this was similar to other FE colleges. The Committee further noted that employer data was now being captured but that did not extend to information on salaries. A final trawl of data by SFC would be undertaken soon and that may alter final numbers.

The Committee commented that the information was positive overall.

*7.3   Quality Review Meetings – closed

The Depute Principal Academic introduced the paper which contained the feedback on the third quality review meetings for all academic areas. The Committee noted the hard work that the Quality Team had led on quality review processes and the significant tier of meetings that lay behind the production of the written outcomes.

Comment was made that it might be useful for the Board to be made aware of any systemic strengths/weaknesses and good and bad practice so that resources could be targeted to areas where maximum impact could be made.

The new Head of Academic Practice identified key areas to address going forward: curriculum design, building career management skills/portfolio degrees, weaknesses at national 5 level and the reason for them, efforts being made to modernise teaching and learning practice and how to manage students with complex needs.

A summary would be provided for a future Board Development day.

*7.4   UHI Subject Reviews

The Committee noted the Depute Principal's update on the recent and forthcoming subject reviews.

*7.5   Perth College UHI: Student Services Annual Report 2016-17

The Head of Students Services introduced the paper which provided a summary of all activity undertaken in the Area of Student Services for Academic Year 2016-17. The report was used by each area for self-improvement. .

The Report was welcomed and there was discussion about its audience and circulation. It was agreed that it might be helpful to provide short executive summary for wider dissemination in the College

Head of Student Services

8   Strategic Planning
8.1   Access & Inclusion Strategy: Update and Progress Report

The Committee noted a report by the Head of Student Services on a range of work ongoing since the College's Access and Inclusion Strategy had been approved last year. A number of priorities were identified, including the creation of an implementation plan to chart progress, identify priorities and progress set aims.

9   Curriculum

9.1   HMIe Activity Update

The Committee noted a number of planned meetings with HMIe colleagues over the next several weeks. The Committee further noted that HMIe had issued revised guidance recently and that it would be reviewed by the Depute Principal and Head of Quality.

Depute Principal and Head of Quality

9.2   Student numbers (16/17 and 17/18)

The Committee noted the final student numbers for 2017-18 and planned student numbers for 2018-19. The College had succeeded and surpassed its targets for HE and FE respectively. In terms of 2018-19 the planned targets had been submitted to Partnership Council and the College was waiting for confirmation but was planning on the basis of no change.

The Committee noted that Perth and another College had over delivered and that that this would 'balance out' across the partnership. The overall budget and credits distribution would be discussed at FERB.

The Committee wanted to record its thanks for the considerable effort and hard work that had helped deliver such positive outcomes.

10 Engagement

*10.1 Tay Cities Deal

The Principal reported that the outcomes from the bid process were expected at the end of June 2018.

10.2 CPD Workforce Plan 2017-18

The Committee noted the CPD workplan and the positive CPD activity that was ongoing.

*11 Performance Monitoring

*11.1 Balanced Scorecard

The Committee noted the Balanced Scorecard and that indicator 2 reflected the destinations data that had been recently captured. HE data was not yet available. The remaining elements of the Balanced Scorecard would be populated as the end of the academic year approaches.

A query was raised in relation to indicator 1 about the number of non SDS funded apprenticeships, and what that number related to. It was thought to relate commercial activity in particular CITB and SSE apprenticeships but that would be checked.	Head of Academic Practice

12 Standing Committees

12.1 Research Scholarship and Knowledge Exchange Committee – 18 April 2018

The minutes were noted although the meeting was not quorate. It was agreed that the membership of the Committee should be reviewed as there had been some changes to roles around the College. It was agreed that the Principal, Depute Principal and Research Co-ordinator should undertake the review.	Principal, Depute Principal. Research

It was further noted that the annual review process was changing and a new approach was being piloted. A paper had been presented to the last JNC and had been well received and it was acknowledged that may drive some change in membership. There was some discussion about innovation funding and how that might be visible to the Committee.

The Committee noted that the recent scheduled QEC had to be cancelled because it was not quorate.

Additions

The Head of Quality provided an overview of the work ongoing on the exit survey. A review of the questions had been undertaken with UHI colleagues and the wording of a small number of questions had been changed and two others added. Students undertaking online or distance learning has now been included as it was recognised that their experiences were different.

Initial analysis of the results indicated that whilst the number of students overall has risen, the response rate had gone down. Further analysis of the results would be undertaken in due course.

13   Date and Time of Next meeting
21 November 2018

*14   Review of Meeting (to include check against ToR)
Members agreed the meeting had covered its Terms of Reference.

Information recorded in College minutes are subject to release under the Freedom of Information (Scotland) Act 2002 (FOI(S)A). Certain exemptions apply: financial information relating to procurement items still under tender, legal advice from College lawyers, items related to national security.
Notes taken to help record minutes are also subject to Freedom of Information requests, and should be destroyed as soon as minutes are approved.

Status of Minutes   Open ☒   **Closed** ☐

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Do the minutes contain items which may be contentious under the terms of the Data Protection Act 1998?

Yes ☐   No ☒

Audit Committee

Draft Minutes

Meeting reference: Audit 2017-18/04
Date and time: Tuesday 22 May 2018 at 5.30pm
Location: Room 019

Members present: Brian Crichton (Chair), Ann Irvine (by tele conference), Margaret Cook, Anna Zvarikova

In attendance: Jackie Mackenzie, Chief Operating Officer (COO)
Development
Steve McNaught, Henderson Loggie
Keith Macpherson, Ernst and Young
Rob Jones, Ernst and Young
Maureen Masson, Board Secretary

Apologies: Lynn Oswald
Lindsey McLeod

Chair: Brian Crichton
Minute Taker: Maureen Masson, Secretary to the Board of Management
Quorum: 3

Summary of Action Items			
Ref		**Responsibility**	**Time Line**
5	**Procurement Strategy and Annual Action Plan 2017-18** Check the date of the first Annual Procurement Report and ensure it was updated to the 2017 academic year end, as opposed to calendar year end.	Board Secretary	Next meeting
6	**Policies** Review approach to policy development	Principal	Next meeting
*9.1	**Annual Audit Plan** Discuss at the next AST Board meeting, the implications of amendments to FRS102 effective next year.	Chief Operating Officer	Next AST meeting
*10	**GDPR** Provide a further update to the Board of Management	Board Secretary	For next Board meeting
*12.1	**Health and Safety Committee Meeting** Flag though the Chair of the H&S Committee that deputies attend on behalf of any member submitting apologies.	Board Secretary	For next H&S Committee meeting

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15 &16	Complete evaluation for the provision of internal and external audit services and the circulation	Secretary	ASAP

Minutes

Item		Action
Part 1		

1 Welcome and Apologies

The Chair welcomed everyone to the meeting. Apologies were received from Lindsey McLeod and Lynn Oswald. Steve McNaught was attending in place of Stuart Inglis of Henderson Loggie. Keith Macpherson and Rob Jones from Ernst and Young were also in attendance.

2 Additions to the Agenda

There were no additions to the agenda.

3 Declaration of Interest in any Agenda Item

There were no declarations of a conflict of interest.

4 Minutes of the meeting of Audit Committee held on 27 February 2018

The minutes were approved as a correct record.

5 Actions arising from previous minutes

Procurement Strategy and Annual Action Plan 2017-18

Check the date of the first Annual Procurement Report and ensure it was updated to the 2017 year end.

Action

Ongoing – Board Secretary to check to ensure reports are prepared on the basis of academic year, not calendar year, and report back at the next meeting.

Board Secretary

Space Management

Reference the review in the Henderson Loggie Annual Report

Noted – this would be included in the Annual Report at the appropriate point in the year.

6 Policies

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*61. **Anti-Bribery Policy**

The Committee approved the updated policy and recommended it to the Board of Management meeting for approval.

*6.2 **Fraud Prevention Policy and Response Plan**

The Committee approved the updated policy and recommended it to the Board of Management meeting for approval.

The Audit Committee noted no significant changes to either policy and queried why it should come to the Committee. The Principal commented that the approach to policy development was to be reviewed with the Quality team. That should include the date for substantive review of policies and the approach to dealing with updates when no material changes have been made. Reviews of policy should also be verified for GDPR regulations.

Principal

7 **Risk Management**

*7.1 **Strategic Risk Register**

The COO introduced the paper which set out the updated Risk Register for the fourth quarter review together with any emerging/topical risks. The Committee noted the Risk Register and the emerging and updated risks and the mitigating actions.

The College was monitoring the funding position particularly with regard to international students.

In terms of the Finance Systems Convergence Project, the Committee noted that the Chief Operating Officer was on the Project Board and had an opportunity to voice concerns directly.

In terms of ongoing integration discussions, there was some concern that these discussions were diverting resource away from business as usual activity. The Committee noted that the next Board Development Day would focus on scenario planning and the possible implications for integration.

8 **Internal Audit**

*8.1 **Internal Audit Annual Plan Progress 2017-18**

The Committee noted the internal audit annual plan and progress. All audits had been completed and the internal auditors would now begin to finalise their Annual Report.

The Committee discussed the benefits of 'reserving' a small number of contingency days that could be used to address issues as they arise.

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*8.2   Equalities Mainstreaming

The Committee noted the Equalities Mainstreaming Report. A new Equality and Diversity Officer would start in early June and would take forward the recommendations in the report, mainstreaming equality and diversity business into the College's day-to-day operations.

*8.3   Follow up reviews

The Committee noted that 11 out of 17 outstanding recommendations were now fully implemented. Little had moved in terms of one recommendation relating to International Activity, but it was acknowledged that this was largely out with College control. The approach to international activity was becoming clearer with the appointment of a new Vice Principal External and development of a UHI strategy for international. These two developments should provide a more focussed approach to taking forward international priorities.

9   External Audit

*9.1   Annual Audit Plan

The Committee noted the Ernst and Young External Audit Plan for 2017-18 which had been discussed with the Senior Management Team. No changes had been made to the regulatory framework and that the same accounting requirements applied. The Committee noted the four risks that had been identified one of which was the pensions liability. Discussions about this were ongoing with the Chief Operating Officer. An update would be provided at the next meeting. The Committee noted that there were some amendments to FRS102 effective next year which would impact the wider Group audit, and this would be raised at the next AST Board meeting.

COO

There was discussion about the wider scope audit and the fact that the College was classified as a "smaller body", and the implications of this.

*9.2   EY Letter – Perth College Response

The Committee noted a draft response prepared on behalf of the Committee for the External Auditors. It was agreed that Ernst and Young representation would feed back their comments on the response and that reference to the whistleblowing policy would be included alongside other relevant College policies. A final response would then be prepared.

*10   Readiness for GDPR

A paper was tabled on the College's readiness for GDPR. This had

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been considered by the Chairs Committee which met on 21 May. Chairs were reassured that all practicable measures were being put in place to ensure full compliance and mitigate risk. A further update would be prepared for the Board meeting on 13 June 2018.

Board Secretary

11 Chairs of Academic Partner Audit Committees and UHI – draft minutes of a meeting held on 3 May 2018

The Chair introduced the minutes of the last Academic Partners Audit Committee Chairs meeting which met once or twice a year. Ongoing integration discussions had dominated the agenda and Perth College suggested topic of BREXIT did not make it to the agenda. There was also a discussion about timing issues related to preparation of final accounts within Partner Colleges and UHI and claimed misalignment with "UHI" needs although it was recognised that this could not be easily resolved.

12 Committee Minutes
*12.1 Health and Safety Committee Meeting 3 May 2018

The Audit Committee noted the minutes and reiterated its concern about the number of apologies and the need for deputies to be attend on behalf of any member submitting apologies. This matter would be brought to the attention of the Chair of the H&S Committee

Board Secretary

13 Date and time of next meeting

18 September 2018 at 5.30pm

*14 Review of Meeting

Members agreed the meeting had covered its Terms of Reference.

Part 2

15 Evaluation of Internal Audit Service

Audit Committee completed the evaluation of the internal audit service

Board Secretary for both evaluations

16 Evaluation of External Audit Service

Audit Committee completed the evaluation of the external audit service

The Board Secretary was to check on the source of each document and its final circulation when completed.

Information recorded in College minutes and papers is subject to release under the Freedom of Information (Scotland) Act 2002 (FOI(S)A). Certain exemptions apply: financial

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information relating to procurement items still under tender, legal advice from College lawyers, items related to national security.

Status of Papers   Open ☑   Closed ☐

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A **closed** item is one that contains information that could be withheld from release to the public because an exemption under the Freedom of Information (Scotland) Act 2002 applies.

The College may also be asked for information contained in minutes and papers about living individuals, under the terms of the Data Protection Act 1998.

Do the papers contain items which may be contentious under the terms of the Data Protection Act 1998?   **Yes   ☐   No   ☑**

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Finance and General Purposes Committee

Draft Minutes

Meeting reference:	FGP2017-18/04
Date and time:	Wednesday 30 May 2018 at 5.30pm
Location:	Room 019

Members present: Jim Crooks, Harold Gillespie, Deborah Hutchison, David Littlejohn

In attendance: Jackie Mackenzie, Chief Operating Officer (COO)
Susan Hunter, Head of Human Resources and Organisational Development (Head of HR and OD)
Maureen Masson, Secretary to the Board of Management

Apologies: Grant Myles, Margaret Cook

Chair:	David Littlejohn
Minute Taker:	Maureen Masson
Quorum:	3

Summary of Action Items			
Ref	**Action**	**Responsibility**	**Time Line**
Addition to agenda	HR Procedure documents to be included in the agenda for the Board of Management and papers to be provided by Head of HR and OD	Board Secretary/Head of HR and OD	By 5 June 2018

Minutes:

Item	Action
1. Welcome and Apologies	

The Chair welcomed everyone to the meeting. Apologies were noted.

2. Additions to the Agenda

There was one addition to the agenda notified by the COO. An update on the development of two College procedures – Redundancy and Organisational Change Procedures – would be added to the end of the agenda.

3. Declaration of Interest in any Agenda Item

There were no declarations of a conflict of interest.

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4.   Minutes of Meeting held on Wednesday 7 March 2018

The minutes were approved as a correct record.

5.   Matters Arising from Previous Minutes

***8.1 Balanced Scorecard**

Review Balanced Scorecard indicators and format for presentation

Action update: A new Planning and Project Manager was now in post and would be reviewing the College's Balanced Scorecard indicators. This would come back to the Committee and the Board in due course.

***9.1 Estates Update**

Extend the contract for SYHA's summer lease of the College's residences.

This was in process. Two possible contracts had been provided to SYHA – to the start and end of summer 2019 period.

6   Accounts
***6.1   Perth College Management Accounts – 9 months to 30 April 2018**

The Committee noted the paper and the key considerations in the management accounts at the end of the third quarter. The COO confirmed that Finance staff were working with budget holders to bring budgets back on track by the end of the financial year.

The Committee discussed the impact of the reduction in international income and the possible reasons for that. The Vice Principal (External) was now in post and would be taking forward the international agenda and exploring opportunities for rebuilding markets in India and China as well as new opportunities in other countries such as Indonesia.

The Committee also discussed the budget for the Academy for Sport and Wellbeing and the key objective for its management team to break even taking account of cost savings. The Committee was reassured that all was being done to grow income through membership, greater use of the climbing wall and new activities such as fencing classes.

***6.2   Perth College Group Forecast to year end 31 July 2018**

The COO presented the paper indicating that the College was forecast to come in on budget at the year-end.

The Committee discussed the childcare fund and its distribution and bursaries, and the challenges the College faced more generally approaching year-end. The Committee also noted the challenges for the year ahead in terms of FE and HE allocations and those arising from integration discussions. Opportunities for growth were also discussed such as partner delivery with local businesses and more radical approaches to curriculum delivery such as those developed at Forth Valley College.

The Committee approved the forecast for the anticipated outturn at year-end.

*6.3   AST Management Accounts – 9 months to 30 April 2018

The COO tabled a paper for the 9 months position which the Committee noted.

The Committee agreed that the AST business plan was crucial to developing the business going forward and that its main focus would be income generation and process improvement including a staffing strategy. The business plan would be discussed at the AST Strategy Day on 19 June.

7   Indicative Budget Outturn for 2018-19

The COO introduced the paper and the Committee approved the approach the College was taking to formulate the 2018-19 indicative budget and the reporting of the agreed technical deficit position.

The Committee noted that the FE funding allocation was not yet known and concern was expressed about the Regional Strategic Body's delay in informing partner colleges of their budget allocations. The Committee noted that it would receive the detail on indicative budgets at its first meeting next academic year.

8   Estates
*8.1   Estates Update

The COO indicated that a sum of £7M for Estates had been made available to the sector, of which the College had been allocated £430k. A summer estates works programme would soon commence and include the fit out of a training kitchen for delivery of the BA Food, Nutrition and Textiles and the creation of a One Stop Shop in reception. A number of backlog maintenance priorities had also been identified.

The Principal and COO have requested further information on the residence proposals from UHI before detailed options could be

presented to F&GPC.

9   Human Resources
*9.1   Human Resources Update - Closed

10   Standing Committees
**   Joint Negotiating Committee**
10.1
       Support Staff – 26 April 2018
       Lecturers – 26 April 2018

       Noted

       Addition to the agenda notified by the COO

       The COO informed the Committee of two procedure documents
       (below) that related to staffing and HR matters that were in draft.

       - Organisational Change Procedure;
         and
       - Redundancy Procedure.

       The College had no up to date policies in relation to these aspects of   Head of
       College business and the Committee agreed there was some urgency   HR and
       to finalise these to support ongoing change management processes.   OD/
       These procedures had been considered and approved by the College
       Management Team, the Unions and discussed at the JNC meetings.   Board
       These would normally be been taken to F&GPC for approval but the
       timescales had not allowed this to happen and, consequently, these   Secretary
       were being taken directly to the Board for approval at its meeting on
       13 June 2018.

11   Date of Next meeting

Wednesday 26 September 2018 at 5.30pm.

12   Review of Meeting

The Committee agreed the meeting had covered its Terms of Reference.

Information (Scotland) Act 2002 (FOI(S)A). Certain exemptions apply: financial information relating to procurement items still under tender, legal advice from College lawyers, items related to national security.

Notes taken to help record minutes are also subject to Freedom of Information requests, and should be destroyed as soon as minutes are approved.

Status of Minutes – Open ☑   with removal of item 9

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Do the minutes contain items which may be contentious under the terms of the Data Protection Act 1998?   **Yes ☐   No ☑**

Board of Management

Paper for Consideration

Subject: Calendar of Meetings
Author: Board Secretary
Date of paper: 14 May 2018
Date of meeting: 21 May 2018
Action requested of committee:
(Tick as appropriate)   For information only:
                                For discussion: ☑
                                For recommendation/approval: ☑

Cost implications:
(Tick as appropriate)   Yes: No: ☑

Executive Summary:

The proposed Calendar for meetings for 2018-19 is attached.

An alteration to the date for the scheduled June Development Day is proposed, as June events seem to be less well attended due to holidays and the like. A couple of alternative dates are suggest in red on page 4 which take account of the Easter holiday weekend.

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Status of Papers   Open ☑   Closed

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Do the papers contain items which may be contentious under the terms of the Data Protection Act 1988?   **Yes**   ☐   **No**   ☑

All Committees meet four times a year except Academic Affairs which meets 3 times a year
Meetings fixed between holiday blocks

Block 1: Between August – October 2018 [Autumn Recess Monday 15 – Friday 19 October 2018]

BOARD 5.30pm Wednesday		Engagement 5.30pm Thursday	Audit 5.30pm Tuesday	Chairs & Remun 5.30pm Monday	Ac Affairs 2.00pm Wednesday	F&GP 5.30pm Wednesday	Dev Days 9am Saturday	AST 5.30pm Tuesday
Chair: GM Minutes: MM SMT: All		SH MM MC, VL, LC, SH	BC MM MC, JM, LC (SH by invitation when necessary)	GM MM	MC MM MC, LC, VL (SH by invitation when necessary)	DL MM MC, JM, SH	GM MM All SMT	CS HW JM, MC, VL
		30 August 2018						
				3 Sept 2018				
								11 Sept 2018
			18 Sept 2018					
					No meeting first block		22 Sept 2018	
							26 Sept 2018	
10 Oct 18								

Partnership Council	Wed 5 Sept 2018 Tues 2 Oct 2018
FERB	12 Sept 2018

*Note P/C on 5 Sept means the usual pattern won't work, so scheduling Chairs on Monday 3 Sept. Alternatively an early Audit Committee on 4 September and Chairs' on 19 Sept would be an option

Block 2: Between October and December 2018 [Christmas/New Year Recess Monday 24 December 2018 – Friday 4 January 2019]

BOARD 5.30pm Wednesday		Engagement 5.30pm Thursday	Audit 5.30pm Tuesday	Chairs & Remun 5.30pm Wednesday	Ac Affairs 2.00pm Wednesday	F&GP 5.30pm Wednesday	Dev Days 9am Saturday	AST 5.30pm Tuesday	
Chair: GM Minutes: MM SMT: All		SH MM MC, VL, LC, SH	BC MM MC, JM, LC (SH by invitation when necessary)	GM MM	MC MM MC, LC, VL (SH by invitation when necessary)	DL MM MC, JM, SH	GM MM All SMT	CS HW JM, MC, VL	
24 Oct 2018(CPD) OPTIONAL									
		8 Nov 2018							
				14 Nov 2018					
								20 Nov 2018	
					21 Nov 2018				
			Joint (5.30-7.30pm) 28 Nov 2018 (Wed)			Joint (4.30-7.30pm) 28 Nov 2018 (Wed)			
12 Dec 2018									

Partnership Council	Wed 7th Nov 2018
FERB	Wed 21 Nov 2018

Block 3: Between January and March 2019 [Easter Recess Monday 1 – Friday 12 April 2019]

BOARD 5.30pm Wednesday		Engagement 5.30pm Thursday	Audit 5.30pm Tuesday	Chairs & Remun 5.30pm Monday	Ac Affairs 2.00pm Wednesday	F&GP 5.30pm Wednesday	Dev Days 9am Saturday	AST 5.30pm Tuesday
Chair: GM Minutes: MM SMT: All		SH MM MC, VL, LC, SH	BC MM MC, JM, LC (SH by invitation when necessary)	GM MM	MC MM MC, LC, VL (SH by invitation when necessary)	DL MM MC, JM, SH	GM MM All SMT	CS HW JM, MC, VL
							26 Jan 2019	
		31 Jan 2019						
								5 Feb 2019
				11 Feb 2019*				
					13 Feb 2019			
			20 Feb 2019					
						27 Feb 2019		
20 Mar 19								

Partnership Council		Wed 9 Jan 2019 Wed 6 Feb 2019 Wed 6 March 2019 Wed 3 April 2019
FERB		2019 dates not yet fixed

*Note P/C on 5 Sept means the usual pattern won't work, so scheduling Chairs on a Monday 11 February.

Block 4: After Easter and before summer 2019 [Summer recess starts Friday 28 June 2019]

BOARD 5.30pm Wednesday	Engagement 5.30pm Thursday	Audit 5.30pm Tuesday	Chairs & Remun 5.30pm Wednesday	Ac Affairs 2.00pm Wednesday	F&GP 5.30pm Wednesday	Dev Days 9am Saturday	AST 5.30pm Tuesday
Chair: GM Minutes: MM SMT: All	SH MM MC, VL, LC, SH	BC MM MC, JM, LC (SH by invitation when necessary)	GM MM	MC MM MC, LC, VL (SH by invitation when necessary)	DL MM MC, JM, SH	GM MM All SMT	CS HW JM, MC, VL
			24 Apr 2019				
2 May 2019 (CPD) OPTIONAL							
							7 May 2019
	2 May 2019						
				8 May 2019			
		14 May 2019					
					21 May 2019		
						**1 June 2019	
							18 June 2019 (Strategy)
12 June 19							

Partnership Council	Wed 1 May 2019 Wed 29 May 2019
FERB	2019 dates not yet fixed

Note because P/C is on 29 May the meetings have been pulled forward a week earlier in May.

**Alternative dates: 27 April 2019 or 25 May 2019 (noting that Easter weekend is 19-22 April 2019)