

## Finance and General Purposes Committee

### Agenda

**Meeting reference:** F&GP2020-21/03

**Date:** Tuesday 02 March 2021 at

**Location:** 5:30pm Online

**Purpose:** Scheduled meeting

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

Ref	Agenda Items	Author	Led by	Paper
1	Welcome and apologies		Chair	
2	Additions to the Agenda		Chair	
3	Declaration of a Conflict of Interest in any Agenda Item			
4a	Minutes of the Meeting of the Finance and General Purposes Committee held on Monday 30 November 2020		Chair	Paper 1
4b	Minutes of the Extraordinary Meeting of the Finance and General Purposes & Audit Committees held on Monday 22 February 2020		Chair	Paper 2
5	Actions arising from previous minutes		Chair	
6	<b>Items for Approval</b>			
*6.1	Perth College Financial Regulations Review	Director of Finance	Director of Finance	Paper 3
7	<b>Strategic Financial Recovery</b>			
*7.1	Financial Recovery Plan - update	Principal	Principal	Paper 4
8	<b>Financial Performance &amp; Budgets</b>			
8.1	Perth College Financial Update: Year to 31 January 2021	Director of Finance	Director of Finance	Paper 5
8.2	Perth College Financial Outlook	Director of Finance	Director of Finance	Paper 6

9	<b>Commercial</b>			
8.1	Business Development Strategy – update		Vice Principal	Verbal
*8.2	Tay Cities Deal/Aviation Academy for Scotland – update	Vice Principal	Vice Principal	Paper 7
9	<b>Estates</b>			
9.1	Estates Update	Head of Estates	Depute Principal (Academic)	Paper 8
10	<b>Human Resources</b>			
10.1	HR Update	Head of HR & Organisational Development	Head of HR & Organisational Development	Paper 9
11	<b>Compliance &amp; Reporting</b>			
*11.1	Risk Register – F&GP	Clerk	Clerk	Paper 10
11.2	Balanced Scorecard & In-Year KPIs	Project & Planning Officer	Clerk	Paper 11 Paper 12
12	<b>Procurement</b>			
*12.1	UHI Contract Strategy - Printers	Vice Principal	Vice Principal	Paper 13
13	<b>Committee Minutes</b> (for noting by Committee)			
13.1	JNC Support Staff <ul style="list-style-type: none"> <li>10 December 2020</li> </ul>			Paper 14a
13.2	JNC Lecturing Staff <ul style="list-style-type: none"> <li>10 December 2020</li> </ul>			Paper 14b
13.3	JNC Budgetary Meetings <ul style="list-style-type: none"> <li>Various dates</li> </ul>			Papers 14c – 14f
14	<b>Date and Time of next meeting</b> <ul style="list-style-type: none"> <li>Monday 24 May 2021, 5:00pm</li> </ul>		Clerk	
*15	<b>Review of Meeting</b> (Committee to check against the Terms of Reference to ensure all competent business has been covered)			Paper 15

# Finance & General Purposes Committee

## DRAFT MINUTES

**Meeting reference:** F&GP 2020-21/02

**Date and time:** Monday 30 November 2020 at 5:00pm

**Location:** Online

**Members present:** Craig Ritchie, Board Member (Chair)  
Brian Crichton, Board Chair  
Heather Cormack, Board Member  
Katrina Hodgson, Board Member  
Linton Scarborough, Board Member  
Margaret Cook, Principal  
Alex Wilson, Student Board Member (until Item 10.2)

**In attendance:** Lorenz Cairns, Depute Principal (Academic)  
Veronica Lynch, Vice Principal (External)  
Katy Lees, Head of HR & Organisational Development  
Iain Wishart, Director of Finance  
Henry Nicholson, Financial Accountant  
Ian McCartney, Clerk to the Board of Management

**Apologies:** Debbie Hutchison, Board Member  
John Dare, Staff Board Member

**Chair:** **Craig Ritchie**  
**Minute Taker:** Ian McCartney  
**Quorum:** 4

### Summary of Action Items

<b>Ref</b>	<b>Action</b>	<b>Responsibility</b>	<b>Time Line</b>
<b>6</b>	<b>AST Business Plan</b> More detail to be provided within the Executive Summary to reflect the scrutiny the Plan has received to this point.	Vice Principal	December Board
<b>11.1</b>	<b>Risk Register – F&amp;GP</b> Reference to Catering Contract to be added.	Clerk	December Board
<b>11.2</b>	<b>Perth College Financial Regulations</b> Review Regulations to be presented at next F&GP for consideration.	Director of Finance	Next meeting
<b>11.4</b>	<b>COVID Audit Challenges Response</b> Management Responses to the Audit Challenges papers to be circulated for online comment prior to submitting to Audit Committee.	Clerk	ASAP

DRAFT

**Minutes:**

Item		Action
1	<p><b>Welcome and Apologies</b></p> <p>The Chair welcomed everyone to the meeting.</p> <p>Apologies were received from Debbie Hutchison and John Dare.</p>	
2	<p><b>Additions to the Agenda</b></p> <p>The following items were added to the Agenda:</p> <ul style="list-style-type: none"> <li>• Catering Contract update (now Item 9.2)</li> <li>• COVID 19 Challenge Response (now Item 11.4)</li> <li>• Internal Audit Procurement Strategy (now Item 11.5)</li> </ul>	
3	<p><b>Declaration of Interest in any Agenda Item</b></p> <p>There were no declarations of a conflict of interest.</p>	
4	<p><b>Minutes of Meeting held on 21 September 2020</b></p> <p>The Minutes were accepted as an accurate record.</p>	
5	<p><b>Matters Arising from Previous Minutes</b></p>	
	<p><u>Matters Arising from 21 September 2020</u></p> <p><u>Ref 5 Item 11 – Whistleblowing Policy</u>  <b>Action:</b> Head of HR&amp;OD to ensure updated policy is Published</p> <p><b>Action Update:</b> Completed</p> <p><u>Ref 6.1 - Perth College Management Accounts – 12 months to 31 July 2020</u>  <b>Action 1:</b> Director of Finance to distribute full management accounts to Committee</p> <p><b>Action Update:</b> Completed</p> <p><b>Action 2:</b> Cashflow information to be added to management accounts info from next meeting</p> <p><b>Action Update:</b> Completed</p> <p><b>Action 3:</b> Director of Finance to provide summary of items considered for review within the challenges page of accounts summary, and their potential impacts.</p>	<p>Complete</p> <p>Complete</p> <p>Complete</p>

	<p><b>Action Update:</b> Work in progress</p> <p><u>Ref 6.3 - Capitalisation Levels</u>  <b>Action:</b> Director of Finance to present full review of Financial Regulations at the next meeting of F&amp;GP</p> <p><b>Action Update:</b> On Agenda – Item 11.2</p> <p><u>Ref 6.4 - Voluntary Severance Proposals</u>  <b>Action:</b> Board be advised of outcome of proposals, including the Management Responses circulated to F&amp;GP</p> <p><b>Action Update:</b> Completed</p> <p><u>Ref 10.1 - Risk Register</u>  <b>Action:</b> Clerk to seek guidance from Internal and External Auditors re removal of Risk 27</p> <p><b>Action Update:</b> Completed</p>	<p>Deferred</p> <p>On Agenda</p> <p>Complete</p> <p>Complete</p>
6	<p><b>AST Business Plan 2020-2023</b></p> <p>Vice Principal presented Paper 2, noting the previous iterations of the Plan had been discussed in detail by AST Board and at previous meetings of F&amp;GP Committee. The resulting revised Paper being presented includes a Base Plan and a Growth Plan which provided stronger long-term returns from an investment in digital opportunities. AST Board member advised that a compelling case has been made within the Plan for the Growth Plan, which was strongly recommended for endorsement at this Committee before being present for final approval by the College Board.</p> <p>Chair BoM advised that the opportunities presented in the Growth Plan is something that cannot afford not to be done, even if this merely maintains position,</p> <p>HISA Perth President enquired about impact on student experience with move to online learning. Vice Principal noted that practical elements in teaching had been retained and would still require to be delivered at the hangar, however the digital route did open up new opportunities in some of the theoretical teaching elements.</p> <p>Board Member requested that more detail be provided with the Executive Summary to reflect the scrutiny the Plan has received to this point. Vice Principal noted that this would be reviewed and included in the Plan submitted to Board.</p> <p>Committee <b>ENDORSED</b> the AST Business Plan, which will be submitted to the December meeting of Board for approval.</p>	<p>Vice Principal</p>

<p><b>7</b></p>	<p><b>Perth College Management Accounts – 12 months to 31 July 2020</b></p> <p>Director of Finance presented Paper 3, noting the redesign of the management pack.</p> <p>Director of Finance advised that funding income levels are difficult to predict currently, and informed Committee that £400k less funding for staff support will be received from SFC this year. Director of Finance noted that the projected closing cash position had improved from previous assumptions.</p> <p>Board Member queried what steps were being taken to resolve budgeting problems. Director of Finance advised that some time was scheduled to be taken in the coming month to develop a preferred model, and roll out to staff for training to allow meaningful monthly information to be provided.</p> <p>Committee noted Paper 3.</p>	
<p><b>8.1</b></p>	<p><b>Business Development Strategy Update</b></p> <p>Vice Principal provided a verbal update on progress related to the Business Development Strategy since the recent Board Development Strategy Session, noting that, while the narrative element has been updated, the reformatting of financial information around income data and margins is yet to be completed. Whilst it had been hoped to have had this completed within the current Board cycle, this has not been possible, therefore it was proposed to present the revised Strategy during the February/March Board cycle.</p> <p>Committee <b>AGREED</b> to defer the presentation of the revised Business Development Strategy until Board Cycle 3.</p>	
<p><b>8.2</b></p>	<p><b>Tay Cities Deal/Aviation Academy for Scotland Update</b></p> <p>Vice Principal presented Paper 4, advising Committee that the decision on awarding of Strategic Investment Funding (SIF) had been deferred by the UHI Court Finance Committee, with a view for this request to be re-examined early in 2021.</p> <p>Vice Principal reported that the feasibility report for the project was due to be received by 18<sup>th</sup> December, which will provide further clarity on the funds required for the project.</p> <p>Principal advised that the Moray Growth Deal SIF had been approved on basis that UHI own the building at the end of the project.</p> <p>Committee explored the options available should the SIF monies</p>	

	<p>not be approved, including borrowing additional funds and rolling professional fees into a project with a smaller building, or seek to borrow both funds and professional fees, with fees to be paid back from savings over 5 years.</p> <p>Given the relative closeness of the likely UHI decision on SIF and the receipt of the feasibility study, Vice Principal suggested that work would commence on examining the next stage of the project from mid-January. This was <b>AGREED</b> by Committee.</p>	
<p><b>9.1</b></p>	<p><b>Estates Update</b></p> <p>Depute Principal summarised Paper 5, which had been prepared by the Head of Estates, highlighting the continuing work around COVID control measures, the commencement of the College Conditions Survey, and the financial cost of the recent flood damage.</p> <p>Depute Principal also confirmed a temporary delay of the 5-a-side pitches project, however Committee <b>AGREED</b> that this project should be given some priority when other factors allow this to be revisited.</p> <p>Board Member queried whether opportunity existed to look at using residences for short-term lets while under-occupied. Depute Principal noted that consideration would need to be made regarding access and security for non-students residing inside College gates.</p>	
<p><b>9.2</b></p>	<p><b>Catering Contract</b></p> <p>Principal provided a brief update to Committee on the catering contract, which had been put out to procurement tendering immediately prior to lockdown, and advised that, while this process had been delayed for 9 months, the tendering process was expected to be restarted soon.</p> <p>Principal advised that, due to current contract being extended on several occasions from the original 2004 agreement, which included some historic terms which are not advantageous to the College, there has been and will continue to be additional costs around staffing matters.</p> <p>Board Member asked whether this was a sector-wide issue, and therefore would there be any support from UHI. Principal advised that the issue appeared to be specific to Perth due to contract in effect being 16 years old.</p> <p>Director of Finance informed Committee that the potential costs involved in this matter had been incorporated into the Cashflow presented earlier in the meeting.</p>	



10.1	<p><b>VS Consultation Update</b></p> <p>Principal advised that the Voluntary Severance process recently agreed opened to staff the previous week, with a closing date of 16 December 2020. It is hoped to be able to provide interested staff with an initial decision prior to the Xmas closure, with paperwork being concluded asap afterward.</p>	
10.2	<p><b>HR Update</b></p> <p>Head of HR &amp; Organisational Development presented Paper 6, which was <b>noted</b> by Committee.</p>	
11.1	<p><b>Risk Register – F&amp;GP</b></p> <p>Clerk to the Board of Management presented Paper 7, noting amendments generated following a review with Risk Owners. Committee welcomed the move to rationalise some of the Risk Areas as proposed in the Paper.</p> <p>Clerk advised that, following earlier discussion around the Catering Contract, it would be prudent to refer to this in the Register. This was <b>AGREED</b> by Committee.</p>	Clerk
11.2	<p><b>Perth College Financial Regulations</b></p> <p>Director of Finance advised that work was still ongoing regarding the review of the College’s Financial Regulations, as it was a significant piece of work, with the current draft sitting at around 90 pages.</p> <p>Principal noted that the Regulations were listed as an Audit Action Plan priority. Chair echoed this sentiment, particularly as a considerable amount of time had elapsed since the previous review. Committee requested that the reviewed Financial Regulations be tabled at the next meeting.</p>	Director of Finance
11.3	<p><b>Balanced Scorecard</b></p> <p>Clerk presented Paper 8 for information, which Committee noted.</p> <p>Clerk also updated Committee on progress against In-Year information to be presented with Balanced Scorecard information, noting that a paper was due to be tabled at the next Board meeting.</p>	
11.4	<p><b>COVID 19 – Audit Challenges Response</b></p> <p>Clerk apologised to Committee that a paper providing updated Management Responses to the Audit Challenges papers</p>	

	presented to the last Audit Committee had not been circulated. It was <b>AGREED</b> that this process could be conducted online before submitting to Audit Committee. Clerk to organise this process.	Clerk
<b>11.5</b>	<p><b>Internal Audit Procurement</b></p> <p>Vice Principal advised that Audit Committee would be considering a paper regarding procurement for Internal Auditors, however both F&amp;GP &amp; Audit Committees have an input into the approval process under the respective Terms of Reference, therefore it was proposed to seek F&amp;GP approval online should Audit Committee endorse the APUC proposal.</p> <p>Committee AGREED to this process.</p>	
<b>12</b>	<p><b>Committee Minutes</b></p> <p>The minutes for the following meetings were received and noted:</p> <ul style="list-style-type: none"> <li>● JNC Support Staff, 01/10/20</li> <li>● JNC Lecturing Staff, 01/10/20</li> <li>● JNC Budgetary Meetings 15/09/20, 17/09/20, 30/09/20, 22/10/20 &amp; 06/11/20</li> </ul>	
<b>13</b>	<p><b>Date &amp; Time of next meeting</b></p> <p>Clerk noted that the date and time of next meeting was still tbc due to the rearrangement of the joint F&amp;GP/Audit Committees to discuss the 2019/20 Financial Statements.</p>	
<b>14</b>	<p><b>Review of Meeting</b></p> <p>The Committee agreed the meeting had covered its Terms of Reference.</p>	

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  (except Item 6)      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 2018. 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 1998?

**Yes**   
**No**

# Extraordinary Meeting of Finance & General Purposes and Audit Committees

## DRAFT Minutes

**Meeting reference:** F&GP\_Audit 202-21/EM

**Date and time:** Monday 22 February 2021 at 5.00pm

**Location:** Online

**Members present:** Craig Ritchie (Chair, F&GP)  
Jim Crookes (Chair, Audit)  
Brian Crichton, Board Member  
Heather Cormack, Board Member  
Katrina Hodgson, Board Member  
Debbie Hutchison, Board Member  
Ann Irvine, Board Member  
Fiona Martin, Board Member  
Linton Scarborough, Board Member  
Graham Watson, Board Member  
Margaret Cook, Principal & Chief Executive  
John Dare, Staff Board Member  
Alex Wilson, Student Board Member  
Michaela Asisten, Student Board Member

**In attendance:** Lorenz Cairns, Depute Principal (Academic)  
Veronica Lynch, Vice Principal (External)  
Iain Wishart, Director of Finance  
Henry Nicholson, Financial Accountant  
David Archibald, Henderson Loggie  
Stephen Reid, Ernst & Young  
Grace Scanlin, Ernst & Young  
  
Ian McCartney, Clerk to the Board of Management

**Apologies:** None received

**Co-Chairs:** Craig Ritchie, Jim Crookes

**Minute Taker:** Ian McCartney

**Quorum:** F&GP = 4; Audit = 3

## MINUTES

Item		Action
1.	<p><b>Welcome and Apologies</b></p> <p>Chair (Finance &amp; General Purposes) welcomed everyone to the meeting, and noted that Chair (Audit) would be leading proceedings.</p>	
2.	<p><b>Additions to the Agenda</b></p> <p>There were no Additions received</p>	
3.	<p><b>Declaration of Interest in any Agenda Item</b></p> <p>There were no declarations of interest.</p>	
4.	<p><b>Draft Perth College Group Report and Financial Statements for the Year ended 31 July 2020</b></p> <p>Director of Finance introduced Paper 1, noting that the Paper constitutes a draft version which is still being worked through with the External Auditors.</p> <p>Director of Finance presented summary headlines of the Income Statement, noting the deficit position of approx. £2m, and outlined the key categories in arriving at this figure, including issues relating to COVID-19, Foundation Apprenticeships and Learning Centre. Director of Finance advised that the drop in Research income was due to milestones relating to 2018/19.</p> <p>Director of Finance reported that Staff Costs had increased by £4.9m despite an overall reduction in staff of 30, and that the average FTE staff cost increase had been 12.9% due in part to a combination of pay harmonisation, increased academic salary levels, an increase in pension contributions, and permanency catch-up.</p> <p>Director of Finance further reported that Non-Staff Costs had reduced due to COVID-related issues.</p> <p>Director of Finance noted the revaluation in Fixed Assets from £35.6m to £45.3m. Financial Accountant advise that the College had entered a new revaluation cycle which required the undertaking of updated valuation processes, hence the uplift.</p> <p>Director of Finance noted the increase in pensions liability due to changes in Actuarial discount rates.</p> <p>Director of Finance concluded by outlining the worsening cash position, and noted this would be covered under Going Concern</p>	

	<p>discussions.</p> <p>Board Member requested more detail on the justification for Asset value increase. This would be provided after the meeting,</p> <p>Chair of F&amp;GP requested clarification on the Significant Control/Weaknesses section, specifically whether the issues raised in 2018/19 had been included again for completeness and/or anything new had been added in 2019/20. Director of Finance noted that nothing new had been added. Vice Principal suggested that the wording be reconsidered for clarity.</p>	<p>Director of Finance</p> <p>Vice Principal</p>
<p><b>5.</b></p>	<p><b>External Audit Annual Report 2019-20</b></p> <p>External Auditor presented Paper 2, the provisional audit report, and noted that the audit was still being conducted. A list of outstanding actions was available on page 8 of the report, but significant progress has subsequently been made on these.</p> <p>External Auditor noted that the Annual Governance Statement shows areas of progression, plus areas requiring completion.</p> <p>External Auditor advised that 2 areas of Significant Risk had been identified. With regard to Income &amp; Expenditure, this was still being worked through, but no material issues were expected; and Payroll issues were close to being resolved pending some final queries re staff costs. Inherent risks noted included an error re rate of return for funds, as highlighted in Appendix D.</p> <p>External Auditor noted the Going Concern issue raised on page 17, and identified that this had been split out between the College and AST. The matter had been helped somewhat by contingent liability re a Security held by Bank of Scotland being resolved, and this liability now being limited.</p> <p>The Wider Scope exercise had assessed Financial Sustainability as Red, noting the support required for cashflow purposes. Other areas had improved from Red to Amber, or remained at Amber.</p> <p>Chair of Audit asked for clarification re Going Concern issues. External Auditor noted the preference to separate out AST and College Going Concern issues, which had been aided by a Letter fo Comfort from SFC.</p> <p>Board Member noted that, although Going Concern not assessed as an issue this year, it's difficult to see this position not changing within next 12 months given other context, therefore would find it helpful to have a position set out relating to medium-term sustainability. Chair of Audit concurred with this assessment – in effect, College is technically a Going Concern, but it is a narrow window being looked through.</p>	

	<p>External Auditor noted comments re Going Concern and would review comments with regard to longer-term outlook as requested by the Board, however these would be required to be made with reference to Going Concern being a technical accounting processes under Public Sector auditing standards.</p> <p>External Auditor stressed the Red rating re Financial Sustainability, and the Letter of Comfort received from the Funding Council, therefore the opportunity exists to use Disclosures to assist the Board in putting forward its position.</p> <p>Chair BoM noted that significant savings can be achieved, albeit with detriment to core mission of the College, and this need to be referenced within the Financial Statements.</p> <p>Chair BoM also made a strong plea for the SFC Letter of Comfort to be included in the report's appendices. Principal noted that the Letter was generic in nature.</p> <p>External Auditor noted the juxtaposition of the Board's position re Going Concern and their statutory responsibilities under OSCR, and stressed Disclosures could be applied which would allow Auditors to review. This will be worked on with Finance team as part of finalisation process.</p> <p>Board Member sought clarification that if Board adopted more hawkish position would this cause issues for Auditors. External Auditor noted that it wouldn't as could be assessed within Financial Sustainability terms, therefore not affecting Going Concern.</p> <p>Chair BoM recommended that comments be blended through both Reports I order to clarify that College is a Going Concern until SFC or Scottish Government say otherwise.</p> <p>The External Audit Annual Report 2019-20 was <b>ENDORSED</b> subject to satisfactory updates based on issues raised during discussion above.</p>	External Auditor
6	<p><b>Internal Audit Report 2019-20</b></p> <p>Internal Auditor presented Paper 3, noting that the Report had been approved at the previous Audit Committee (December 2020), and that the Report was being presented to joint Committees for context.</p> <p>Internal Auditor reported on a number of changes made to the Audit Plan 2019-20 due to work conducted falling from the 2018-19 accounts, with these amendments noted on page 5.</p> <p>Internal Auditor noted that 4 reports were assess as Requires Improvement, however it had been heartening this year to see</p>	

	<p>developments and positive responses in key areas.</p> <p>Chair of Audit confirmed that extensive discussion had taken place on the Report at the previous Audit Committee.</p> <p>Joint Committees <b>NOTED</b> the Internal Audit Report 2019-20.</p>	
<b>7</b>	<p><b>Audit Committee Annual Report to the Board of Management</b></p> <p>Vice Principal presented Paper 4, noting the statutory requirement in the Financial Memorandum to provide this Report, which would be taken forward to the Board for their approval.</p> <p>The Report provides statements of current provisions and opinions, however, based on previous discussion during meeting, consideration needs to be given to ensure Report reflects clarified positions.</p> <p>Committees agreed that the Report would require to be amended to reflect the sentiments around Financial Sustainability.</p> <p>Board Member queried whether reference should be made in document to changes made arising from Audit Scotland intervention. Principal advised that, given reports were received as part of investigations, there would be no reason not to include. This position was <b>agreed</b>.</p> <p>Board Member suggested that wording needs to be reviewed around conclusion around Operating Environment. This was <b>agreed</b>.</p> <p>Chair F&amp;GP noted that the Report comments on the significant achievement of progressing the Audit Action Plans. Given the operating challenges over the course of the past year, the effort from the SMT and all others involved in resolving the actions was noted. Whilst some actions are yet to be completed, and there is a need to operate on a basis of continuous improvement, the College is in a much better position than at the same time last year.</p> <p>The Audit Committee Report to the Board of Management was <b>APPROVED</b> subject to updates as outlined above.</p>	<p>Vice Principal</p> <p>Vice Principal</p>
<b>8</b>	<p><b>Code of Good Governance Checklist</b></p> <p>Clerk to Board of Management presented Paper 5, noting the checklist is designed to provide Board Members with reassurance that the College is fully compliant with the Code of Good Governance.</p> <p>Chair BoM commended work in producing a robust set of responses given the shortfall in compliance issues previously recorded, and thanked those involved this turnaround.</p> <p>Joint Committees <b>NOTED</b> the Code of Good Governance Checklist.</p>	



<p><b>9</b></p>	<p><b>Internal Audit Action Plan 2020-21</b></p> <p>Internal Auditor presented Paper 6, which provided an iteration on the Draft Plan presented to Audit Committee in December 2020.</p> <p>Internal Auditor noted the quirk in the planning process that some items on the 2020-21 Plan had already been delivered, eg Credits and Student Support reports.</p> <p>The Plan has been sense-checked, however requires to be sense-checked through the lens of COVID-19 and other contexts for the College.</p> <p>Chair of Audit advised Joint Committees that the Plan was back-loaded due to some understandable slippage around some compliance work</p> <p>Board Member queried whether the number of Audit Days was realistically achievable within such a short space of time. Internal Auditor clarified that the number of Audit days planned and utilised were impacted by the deferral of projects from the prior year plan at the request of the College which require to be progresses, and that all timings are agreed with College management.</p> <p>The Internal Audit Action Plan 2020-21 was <b>APPROVED</b>.</p>	
<p><b>10</b></p>	<p><b>Dates &amp; Times of Next Meetings</b></p> <p>Clerk advised that the next meeting of F&amp;GP had been rescheduled to allow additional time for preparation of key papers given impact of work required for this Joint Meeting.</p> <p>Clerk sought clarity, given work required to amend papers following Joint Committees, that a Board Members would be content to received a reduced time to re-scrutinise papers. Joint Committees <b>agreed</b> that 4 days would be ample time to review papers given levels of scrutiny and feedback undertaken at this meeting.</p> <p>Dates of next meetings were confirmed as:</p> <ul style="list-style-type: none"> <li>• Extraordinary Board - Tuesday 02 March 2021 @ 5:00pm</li> <li>• F&amp;GP 3 – Monday 08 March @ 5:00pm</li> <li>• Audit 3 – Thursday 11 March @ 5:00pm.</li> </ul>	

**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 2018. 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 1998?      **Yes**       **No**

<b>Committee</b>	Board of Management
<b>Subject</b>	Draft Financial Regulations
<b>Date of Committee meeting</b>	08/03/2021
<b>Author</b>	Iain Wishart, Finance Director
<b>Date paper prepared</b>	03/03/2021
<b>Executive summary of the paper</b>	Updated Financial Regulations for Perth College. These Regulations remain in Draft format until approved. Upon approval, the Regulations will be formally published, which may require some minor reformatting.
<b>Consultation</b> How has consultation with partners been carried out?	Review of other College Regulations, incl UHI, undertaken as part of process.  Document issued to key stakeholders for comment.
<b>Action requested</b>	<input type="checkbox"/> For information only <input type="checkbox"/> For discussion <input type="checkbox"/> For recommendation <input checked="" type="checkbox"/> For approval
<b>Resource implications</b> (If yes, please provide details)	<b>Yes/ No</b> Details operational and compliance guidelines of staff.
<b>Risk implications</b> (If yes, please provide details)	<b>Yes/ No</b> Click or tap here to enter text.
<b>Link with strategy</b> Please highlight how the paper links to the Strategic Plan, or assist with:  <ul style="list-style-type: none"> <li>• Compliance</li> <li>• National Student Survey</li> </ul>	The document covers the compliance requirements while delivering strategy.

<ul style="list-style-type: none"> <li>• partnership services</li> <li>• risk management</li> <li>• other activity [e.g. new opportunity] – please provide further information</li> </ul>	<p>This paper assists with risk management, compliance with legal duties and with the Code of Good College Governance.</p>
<p><b><u>Equality and diversity</u></b> Yes/ No If yes, please give details:</p>	<p>Click or tap here to enter text.</p>
<p><b>Island communities</b> Does this activity/ proposal have an effect on an island community which is significantly different from its effect on other communities (including other island communities)?</p>	<p>Yes/ No If yes, please give details: Click or tap here to enter text.</p>
<p><b><u>Data Protection</u></b> Does this activity/ proposal require a Data Protection Impact Assessment?</p>	<p>Yes/ No  Set out any data protection aspects and whether a data protection impact assessment is needed</p>
<p><b>Status</b> (e.g. confidential/non confidential)</p>	<p>Non-Confidential</p>
<p><b>Freedom of information</b> Can this paper be included in “open” business?* -Yes</p>	<p>Papers should be open unless there is a compelling reason for them to remain closed. If a paper, or parts of a paper, are to remain closed the reason for that exemption must be specified – see reasons below</p>

\* If a paper should **not** be included within ‘open’ business, please highlight below the reason.

<p>Its disclosure would substantially prejudice a programme of research</p>	<input type="checkbox"/>	<p>Its disclosure would substantially prejudice the effective conduct of public affairs</p>	<input type="checkbox"/>
---	--------------------------	---	--------------------------

Its disclosure would substantially prejudice the commercial interests of any person or organisation	<input type="checkbox"/>	Its disclosure would constitute a breach of confidence actionable in court	<input type="checkbox"/>
Its disclosure would constitute a breach of the Data Protection Act	<input type="checkbox"/>	Other [please give further details] Click or tap here to enter text.	<input type="checkbox"/>

For how long must the paper be withheld? Until the OBC and FBC are approved and funding awarded to begin the project. This would be for an estimated 12 months.

Further guidance on application of the exclusions from Freedom of Information legislation is available via:

<http://www.itspublicknowledge.info/ScottishPublicAuthorities/ScottishPublicAuthorities.asp>

and

[http://www.itspublicknowledge.info/web/FILES/Public\\_Interest\\_Test.pdf](http://www.itspublicknowledge.info/web/FILES/Public_Interest_Test.pdf)



Perth College

# Financial Regulations

Draft Update

Finance Director  
3-3-2021

1	Compliance with Financial Regulations .....	3
2	General Provisions .....	3
3	Status of Financial Regulations .....	5
4	Governance Structure .....	6
5	Risk Management .....	14
6	Public Interest Disclosure (Whistleblowing) .....	15
7	Code of Conduct.....	17
8	Receiving gifts or Hospitality.....	18
9	Giving Gifts and Hospitality.....	19
10	Financial Planning .....	19
11	Resource Allocation .....	20
12	Budget Preparation.....	20
13	Capital Expenditure Programme.....	21
14	Capitalisation and Depreciation.....	22
15	Overseas Activity.....	23
16	Other Major Developments.....	23
17	Financial Control .....	23
18	Financial Information.....	24
19	Changes to the Approved Budget.....	25
20	Financial Year .....	25
21	Basis of Accounting.....	26
22	Annual Reporting Requirements.....	26
23	Accounting Records .....	27
24	Public Access .....	28
25	Taxation.....	28
26	Audit.....	29
27	Treasury Management.....	33
28	Completeness of Income .....	36
29	Student Fees .....	38
30	Discretionary Fund and Childcare Payments .....	38
31	Grants & Contracts.....	39
32	Private Consultancies and Other Paid Work.....	41
33	Non-Grant Funded Income .....	41
34	Profitability and Recovery of Overhead Costs .....	42
35	Retention of income .....	43
36	Intellectual Property Rights and Patents .....	43

37	Payments.....	44
38	Procurement .....	44
39	Tender Management (Tenders and Quotations).....	46
40	Receipt of Goods.....	46
41	Major Building Contracts .....	47
42	Payment of Invoices.....	48
43	Petty Cash .....	49
44	Other Payments .....	49
45	Late Payment Rules.....	49
46	Leasing .....	49
47	Remuneration .....	50
48	Appointment of Staff .....	50
49	Salaries and Wages .....	50
50	Superannuation Schemes .....	52
51	Travel, Subsistence and Other Allowances.....	52
52	Overseas Travel.....	53
53	Expenses for members of the Board of Management.....	53
54	Severance and Other Non-Recurring Payments .....	53
55	Assets .....	54
56	Funds on Trust .....	56
57	System Security.....	57
58	APPENDIX A – Financial Memorandum: UHI-Perth.....	58
59	APPENDIX B – Board of Management Structure.....	58
60	APPENDIX C – Finance & General Purposes Committee Terms of Reference.....	58
61	APPENDIX D – Audit Committee Terms of Reference .....	60
62	APPENDIX E - Authorisation Levels .....	63
63	APPENDIX F – Scottish Public Finance Manual .....	63
64	APPENDIX G – Perth College Constitution .....	63



## 1 Compliance with Financial Regulations

- 1.1 Compliance with these Financial Regulations is compulsory for all staff connected with the College. Any staff member who fails to comply with the financial regulations may be subject to disciplinary action under the Staff Disciplinary policy (see link to all policies below)

It is the responsibility of managers to ensure that staff are made aware of the existence and content of these Financial Regulations.

All staff should read and comply with Perth College's wider Policies & Procedures in conjunction with this document.

**Link to All Policies** <https://www.perth.uhi.ac.uk/about-us/policies-regulations-and-guidelines/>

## 2 General Provisions

- 2.1 The Further and Higher Education (Scotland) Act 1992, ('the Act') created a framework for Further Education Colleges offering both full-time and part-time education to act as free corporate bodies, with powers to employ staff and to own land and buildings. From 1 April 1993, they were funded directly from Government, through the Scottish Funding Council (SFC), and taken out of local authority/ education authority controls. In October 2010, the UK Office for National Statistics (ONS) took the decision to reclassify further education colleges throughout the UK as public bodies, with the result that they are now treated as part of central government for budgeting, reporting, and accounting purposes.

2.2 The Financial Memorandum with Fundable Bodies in the College Sector sets out the formal relationship between the SFC and college sector fundable bodies and the requirements with which funded bodies must comply as a term and condition of SFC grant. This memorandum was issued by the Scottish Further Education Funding Council effective from 1 December 2014. The current Financial Memorandum for Perth College is between UHI (the Regional Strategic Body) and Perth College and came into effect on 1 January 2016, see link at [APPENDIX A](#). The Board of Management is responsible for ensuring that the conditions of grants are met. As part of that process, the College must ensure that it has sound systems of internal financial and management controls. The Financial Regulations of the College form part of this overall system of accountability and control.

2.3 These Financial Regulations should be read in conjunction with publications and guidelines from the following resources:

- Statement of Recommended Practice
- Audit Scotland
- Accounting Standards
- Scottish Parliament Audit Committee
- HE College Administrative Schemes
- Scottish Funding Council (SFC)
- Scottish Public Finance Manual
- Perth College Policies & Procedures
- Perth College Board of Management Governance Manual

### 3 Status of Financial Regulations

- 3.1 This document sets out the College's Financial Regulations. It translates into practical guidance on financial control. It applies to Perth College and its Subsidiary undertakings.
- 3.2 The Financial Regulations are subordinate to any Perth College's constitution, **APPENDIX G** <https://www.perth.uhi.ac.uk/about-us/college-management-structure/meet-the-board/> and to any restrictions contained within Perth College's Financial Memorandum.
- 3.3 The purpose of these Financial Regulations is to provide control over the totality of the College's resources and provide management with assurances that the resources are being properly applied for the achievement of the College's Strategic Plan and business objectives, these include:
- Financial sustainability
  - Achieving value for money
  - Fulfilling its responsibility for the provision of effective financial controls over the use of public funds
  - Ensuring that the College complies with all relevant legislation
  - Safeguarding the assets of the College
- 3.4 The Finance and General Purposes Committee is responsible for overseeing, reviewing and approving the Financial Regulations, through the Finance Director.
- 3.5 In exceptional circumstances, the Principal may authorise a departure from the detailed provision herein, such departure to be reported to the Finance and General Purposes Committee at its earliest opportunity.

## **4 Governance Structure**

### **4.1 Board of Management**

The Board of Management has ultimate responsibility for Perth College's finances, but is able to delegate specific powers and processes to the Committees detailed below. These Committees are accountable to the Board of Management. A diagram depicting the Governance Structure is included at **APPENDIX B**.

### **4.2 Finance, General Purposes Committee**

The purpose of the Finance & General Purposes Committee is to assure the Board of Management that Perth College has appropriate strategies, plans, budgets and controls in place which manage identified risks creating a sustainable and stable college. A summary of the Finance & General Purposes Committee's terms of reference is shown at **APPENDIX C**.

### **4.3 Remuneration Committee**

Consideration of senior management's pay and conditions is the responsibility of the Remuneration Committee. It has the power to make recommendations to the Board of Management on their remuneration, including pay and other benefits, as well as contractual arrangements.

### **4.4 Chairs' Committee**

Chairs' Committee acts as a Search and Nomination Committee when vacancies on the Board of Management require to be filled.

#### **4.5 Health and Safety Group**

The purpose of the Health and Safety Group is to assure the Board of Management that Perth College has in place appropriate policies and procedures to promote and safeguard the health and safety of staff, students and all stakeholders and satisfies current legislation. With regard to human resources, it is to assure the Board of Management via the Audit Committee of the appropriateness of policies and procedures to promote a positive and inclusive culture and meets with relevant legislation.

4.6 An Independent Member of the Board of Management attends each Health & Safety Committee to act as a Board Champion of H&S issues.

#### **4.7 Audit Committee**

Colleges are required by their financial memorandum with SFC and by SFC's audit code of practice to appoint an Audit Committee. The Committee is independent, advisory and reports to the Board of Management. It has the right of access to obtain all the information it considers necessary and to consult directly with the internal and external auditors. The Committee is responsible for identifying and approving appropriate performance measures for internal and external audit and for monitoring their performance. It must also satisfy itself that satisfactory arrangements are in place to promote economy, efficiency and effectiveness. A summary of the Audit Committee's terms of reference is shown in **APPENDIX D**.

## 4.8 Principal and Chief Executive

The College Principal is responsible for the detailed administration of the College and will act as the Chief Executive and the Board's Chief Educational advisor.

The Principal is responsible for satisfying that the Board of Management meets the requirements of the Financial Memorandum as a condition of receiving grant funding. In particular, UHI requires that the College complies with the principles of good governance set out in the Code of Good Governance for Scotland's Colleges including;

- That Public funds are used in accordance with relevant legislation, the requirements of the Financial Memorandum and only for the purpose(s) for which they were given. Strategic, capital or other grant funding must only be used for the purpose for which it is provided by the Regional Strategic Body.
- Subject to any legal requirement to observe confidentiality, the College will be open and transparent with the Regional Strategic Body and other stakeholders, and will give, or be prepared to give, a public justification of its decisions in relation to the use of public funds.
- The College strives to achieve value-for-money and is economical, efficient and effective in its use of public funding.
- There is effective planning and delivery of the College's activities in accordance with its mission and its commitments to the Regional Outcome Agreement agreed with SFC.
- The College plans and manages its activities to remain sustainable and financially viable. An institution is being managed on a sustainable basis if, year on year, it generates sufficient income to cover its costs and allow for maintenance of and investment in its infrastructure (physical, human and intellectual) at a level which enables it to maintain adaptive capacity necessary to meet future demands.

- The College has a sound system of internal management and control, including an audit committee, an effective internal audit service, and adequate procedures to prevent fraud or bribery.
- The College has an effective policy of risk management and risk management arrangements.
- The College has regular, timely, accurate and adequate information to monitor performance and account for the use of public funds. Such information will be made available to the Regional Strategic Body on request, as necessary, for the exercise of its functions and to gain assurance.
- The College is engaged actively in continuously enhancing the quality of its activities and involves students and other stakeholders in these processes.
- The Regional Strategic Body Internal Audit Service has rights of access to all the College's premises, staff, records information and assets which it considers necessary to fulfil its role and responsibilities. Access will be arranged by prior agreement where possible.
- As well as being accountable directly to the governing body of the College for the proper conduct of the College's affairs, the Chief Executive Officer of the College is also accountable directly to the Regional Strategic Body's Chief Officer for the College's proper use of funds deriving from the Regional Strategic Body and its compliance with the requirements of this FM.

The Principal and Chief Executive shall demonstrate his or her oversight of financial matters by signing the balance sheet within the annual financial statements.

The Principal and Chief Executive is directly responsible to the Board of Management for the control of resources, for seeking economy, efficiency and effectiveness in the use of the College's resources and for ensuring that financial considerations are considered at all stages of decision making.

In particular, the Principal and Chief Executive shall:

- Sign the accounts and ensure satisfactory and adequate records are retained in a form acceptable for presentation to the Scottish Parliament.
- Advise the Board of Management on the proper discharge of its financial duties.
- Be authorised to write off losses, up to a level as specified in the Scheme of Delegation contained in the Articles of Governance, and to instruct special payments.
- Be involved with the SFC Chief Executive on matters relating to public funding which arise before the Public Accounts Committee / Scottish Parliament.
- Vire between budget heads when necessary within agreed overall budgets, taking account of and complying with these Regulations.

#### **4.9 Finance Director**

The Finance Director is responsible to the Board of Management for providing appropriate financial context and information on the financial position of the College.

The Finance Director is responsible for the day-to-day financial administration of the College and to the Principal and Chief Executive for:

- Preparing annual budgets and financial plans.
- Preparing cash flow forecasts.
- Meeting the financial requests of UHI, SFC and other sector bodies.
- Ensuring that all tax and other financial requests of external bodies are provided accurately and timely.
- Preparing accounts, management information, monitoring and control of income and expenditure against budgets and all financial operations.



- Preparing the College's annual accounts and other financial statements and accounts.
- Ensuring that the College maintains satisfactory financial systems.
- Provision of advice on financial policy and liaising with internal and external auditors to achieve efficient processes.
- Ensuring that the College adheres to the specific delegated financial limits and annual reporting requirements set out in **APPENDIX E**.

#### **4.10 Senior Management Team (SMT)**

The SMT is responsible to the Principal for the operational and financial management of the areas or activities within their remit. They are advised by the Finance Director on strategic financial matters. The SMT is responsible for establishing and maintaining clear lines of control and responsibility within the areas that they manage for all operational and financial matters including the delegation of day to day budget control to other budget holders including:

- The SMT shall provide the Finance Director with such information as may be required to enable compilation of the College's financial statements,
- implementation of financial planning and budgeting,
- implementation of audit and financial reviews, projects and value for money.

#### **4.11 The Corporate Management Team (CMT)**

Comprises the senior staff who provide a leadership and strategy function for the College. This group meets monthly and address matters of College leadership, strategy development, financial sustainability, improvements relating to the student experience, innovation and to ensure the implementation and compliance of College policies and procedures.

#### **4.12 Budget Holders**

Every budget holder shall ensure that at all times they comply fully with the College's Financial Regulations and Financial Procedures, and endeavour to secure value for money on all expenditure budgets for which they are responsible. They are fully responsible for working within their budgetary limits. Budgetary limits can change during an academic year to align with changing income levels.

Budget holders must provide the Finance Director on request information to assist with:

- Financial planning
- Compilation of College Financial statements
- Implementation of audit, financial, project and value for money reviews and recommendations.

#### **4.13 Staff Responsibility**

All members of staff should be aware and have a general responsibility for the security of Perth College's property, for avoiding loss and for due economy in the use of resources.

All members of staff should ensure that they are aware of Perth College's financial authority limits (**APPENDIX E**) and the values of purchases for which quotations and tenders are required, see procurement policy

<https://www.perth.uhi.ac.uk/about-us/policies-regulations-and-guidelines/>

All purchases must be through a valid purchase requisition or purchase order in advance of the purchase. Exceptions to this requirement are set out in the Procurement Policy.

All Hire Purchase, Lease and other financial ongoing agreements must be approved and signed by the Finance Director.

All members of staff shall make available any relevant records or information to the Finance Director or his or her authorised representative in connection with the implementation of Perth College's financial policies, these financial regulations and the system of financial control.

All members of staff shall provide the Finance Director with such financial and other information as he or she may deem necessary, from time to time, to carry out the requirements of the Board of Management.

All members of staff shall immediately notify the Finance Director whenever any matter arises which involves, or is thought to involve, irregularities concerning, inter alia, cash or property of Perth College. The Finance Director shall take such steps as he or she considers necessary by way of investigation and report.

Staff should also be aware of the College Whistleblowing Policy

<https://www.perth.uhi.ac.uk/about-us/policies-regulations-and-guidelines/>

## 5 Risk Management

Perth College acknowledges the risks inherent in its business, and is committed to managing those risks that pose a significant threat to the achievement of its business objectives and financial health. Detailed guidance on the level of risk considered to be acceptable by the College is set out in a separate risk management policy which can be found at: <https://www.perth.uhi.ac.uk/about-us/policies-regulations-and-guidelines/>

The Board of Management has overall responsibility for ensuring there is a risk management strategy and a common approach to the management of risk throughout Perth College via the development, implementation and embedment within the organisation of a formal, structured risk management process.

5.1 The Board of Management requires that the risk management strategy, policy and procedures include:

- the adoption of common terminology in relation to the definition of risk and risk management.
- the establishment of college-wide criteria for the measurement of risk, linking the threats to their potential impact and the likelihood of their occurrence together with a sensitivity analysis.
- a decision on the level of risk to be covered by insurance.
- a detailed regular review at department function level to identify significant risks associated with the achievement of key objectives and other relevant areas.
- development of risk management and contingency plans for all significant risks, to include a designated 'risk owner' who will be responsible and accountable for managing the risk in question.
- regular reporting to the Board of Management of all significant risks

- an annual review of the implementation of risk management arrangements.
- 5.2 The risk strategy and procedures must be capable of independent verification.
- 5.3 SMT & CMT staff must ensure that any agreements negotiated within their areas with external bodies cover any legal liabilities to which Perth College may be exposed. The Finance Director's advice should be sought if there is any uncertainty.
- 5.4 Managers must give prompt notification to the Finance Director of any potential new risks and additional property and equipment that may require insurance and of any alterations affecting existing risks.
- 5.5 Managers must advise the Finance Director immediately of any event that may give rise to an insurance claim.
- 5.6 Any member of staff asked to give an indemnity, for whatever purpose, should consult the Finance Director before any such indemnity is given.

## **6 Public Interest Disclosure (Whistleblowing)**

- 6.1 The College has a Whistleblowing Policy which complies with the Public Interest Disclosure Act 1998. The policy can be found at:  
<https://www.perth.uhi.ac.uk/about-us/policies-regulations-and-guidelines/>

6.2 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. Whistleblowing in the context of the Public Interest Disclosure Act 1988 is the disclosure by an employee (or other party) about malpractice in the workplace.

Whistleblowing tends to relate to matters of serious concern where the organisation has breached generally accepted standards of legal, ethical, financial or other expected behaviour and it is in the public interest for it to be disclosed.

Issues of serious concern include but are not limited to:

- A criminal offence, for example fraud.
- Someone's health and safety is in danger.
- Risk or actual damage to the environment.
- A miscarriage of justice.
- The organisation is breaking the law, for example does not have the right insurance.
- You believe someone is covering up wrongdoing.

### 6.3 Fraud and Irregularity

It is the duty of all members of staff, management and the Board of Management to notify any member of the SMT, immediately whenever any matter arises which involves, or is thought to involve, irregularity, including fraud, corruption or any other impropriety.

6.4 Normally, any concern about a workplace matter at Perth College should be raised with the relevant member of staff's immediate line manager. However, Perth College recognises that the seriousness or sensitivity of some issues, together with the identity of the person the member of staff thinks may be involved, may make this difficult or impossible.

- 6.5 The initial disclosure should be made to the Depute Principal, Academic; this can be made verbally or in writing. If the complaint relates to one or more members of the SMT or Board of Management (BOM), the complaint should be submitted to the Chair of the Board of Management.
- 6.6 Further details of the Public Interest Disclosure Act can be found at <https://www.legislation.gov.uk/ukpga/1998/23/contents>

## **7 Code of Conduct**

- 7.1 The College is committed to the highest standards of openness, integrity and accountability. It seeks to conduct its affairs in a responsible manner, having regard to the principles established by the Committee on Standards in Public Life (formerly known as the Nolan Committee), which members of staff at all levels are expected to observe. Details can be found at: <https://www.gov.uk/government/organisations/the-committee-on-standards-in-public-life>
- 7.2 The College has a Staff Disciplinary Procedure which sets out offences which will result in different levels of disciplinary action see <https://www.perth.uhi.ac.uk/about-us/policies-regulations-and-guidelines/>
- 7.3 The College holds registers of interests for the Board of Management and the Senior Management team, maintained by the Clerk of the Board.

## 8 Receiving gifts or Hospitality

- 8.1 It is an offence under the Prevention of Corruption Act 1906, the **Bribery Act** <https://www.legislation.gov.uk/ukpga/2010/23/contents> to accept any gift or consideration as an inducement or reward for doing, or refraining from doing, anything in an official capacity or showing favour or disfavour to any person in an official capacity. This is further emphasised in the College's Staff Disciplinary Procedure, appendix B note 14.
- 8.2 The guiding principles to be followed by all members of staff must be:
- The conduct of individuals should not create suspicion of any conflict between their official duty and their private interest.
  - The action of individuals acting in an official capacity should not give the impression (to any member of the public, to any organisation with whom they deal or to their colleagues) that they have been (or may have been) influenced by a benefit to show favour or disfavour to any person or organisation. Staff members should seek guidance from the Finance Director when there is an offer of gifts or hospitality. For the protection of staff, the Clerk of the Board will maintain a register of gifts and hospitality received where the value is in excess of £20.00. All relevant details should be passed on via the Gifts and Hospitality Form.
  - Gifts or hospitality received must be reasonable and proportionate to the nature of the relationship and must be accepted for the primary purpose of better presenting the College or establishing cordial relationships with business partners.
  - At all times staff must follow guidelines as contained in the Staff Disciplinary Procedure.



## **9 Giving Gifts and Hospitality**

- 9.1 Staff entertaining guests from outside bodies should use the College catering facilities where possible, and within budget. Where this is not the case, claims for reimbursement should state clearly that they relate to hospitality and includes the necessary receipts.
- 9.2 Gifts and hospitality must be reasonable and proportionate, both in frequency and scale, to the nature of the relationship and must not exceed normal business courtesy. They must only be offered or accepted for the primary purpose of better presenting Perth College or establishing cordial relationships with business partners. Bribery Act?
- 9.3 The offer of gifts and corporate hospitality should have a demonstrable link to the work of the College and represent good value for money.
- 9.4 A corporate gift is a tangible item or service given to another on behalf of an organisation. Common gifts include pens, diaries, calendars and other business stationery, keyrings, souvenirs, books, flowers, bouquets and promotional items.

## **10 Financial Planning**

- 10.1 The Finance Director is delegated responsibility by the Principal and Chief Executive for preparing annual financial plans for approval by the Board of Management, on recommendation from the Finance and General Purposes Committee, and for preparing financial forecasts.
- 10.2 Financial plans should be consistent with the strategic plans and Estates strategy approved by the Board of Management.

10.3 Cash forecasts should be prepared and presented to the SMT on a monthly basis.

10.4 Financial forecasts should also be prepared and presented to the SMT on a monthly basis.

10.5 A Management Book should be presented to the SMT on a monthly basis with the exception of the January month end where accounts are not prepared due to holiday. The Management Book should present the monthly and YTD management accounts.

## **11 Resource Allocation**

11.1 Resources are allocated annually by the College's Senior Management Team and recommended to the Board of Management through the Finance and General Purposes Committee, on the basis of the above objectives. College managers are responsible for the economic, effective and efficient use of resources allocated to them.

## **12 Budget Preparation**

12.1 The Finance Director is responsible for preparing an annual revenue budget and capital programme for consideration by the Finance and General Purposes Committee before submission to the Board of Management for approval.

12.2 Budgets should set out monthly income and expenditure detail.

12.3 The budget should include monthly cash flow forecasts for the year.

12.4 A Budget Pack should also be prepared and presented to the SMT including, but not limited to, Income Statement, balance Sheet and Cash Flow.

12.5 The Finance Director must ensure that detailed budgets are prepared in order to support the resource allocation process and that these are communicated to College managers following approval by the Board of Management.

12.6 Throughout the year, the Finance Director is responsible for submitting revised budgets to the Finance and General Purposes Committee and the Board of Management.

### **13 Capital Expenditure Programme**

13.1 The capital programme includes all expenditure on land, buildings, equipment, furniture and associated costs, whether or not they are funded from capital grants, to be capitalised for inclusion in the College's financial statements. The College's capital programme is approved by the Finance and General Purposes Committee.

13.2 The Finance Director will establish procedures for the inclusion of capital projects in the capital programme for approval by the Finance and General Purposes Committee.

13.3 The Finance Director will also establish procedures for the approval of significant variations to approved projects, to the Principal and Chief Executive, the Finance and General Purposes Committee, and if appropriate, to the funding body.

13.4 The Finance Director will provide regular statements concerning capital expenditure to the Finance and General Purposes Committee for monitoring purposes.

13.5 Following completion of any capital project, a final report should be submitted to the Finance and General Purposes Committees including actual expenditure against budget and reconciling funding arrangements where a variance has occurred as well as other issues affecting completion of the project. Where applicable, a post-project evaluation report may also need to be sent to the relevant funding body.

## **14 Capitalisation and Depreciation**

- 14.1 New land and buildings will be recorded in the balance sheet at actual build or acquisition cost, except where they are received as gifts, where they will be recorded at depreciated replacement value. Buildings will be depreciated in equal instalments over their estimated remaining useful life. Land will not be depreciated.
- 14.2 Expenditure incurred on repairs, refurbishment or extension of existing buildings will be capitalised where it can be demonstrated that the work represents an improvement to the original specification of the building, and the resultant building value would be greater than the current book value.
- 14.3 Expenditure incurred on the acquisition of assets other than land and buildings will be recorded in the balance sheet where the acquisition cost is £5,000 or more. Grouped items (e.g. a suite of computers) with a collective total value of £5,000 or more may also be capitalised. Capitalised assets other than land and buildings will be depreciated in line with the College's accounting policies.
- 14.4 Where capital assets are funded by SFC or other government grant, a capital grant balance will be established and will be released to income over the useful life of the asset.

14.5 Non-government grants are released to income when performance related conditions have been met. The deferred income is allocated between creditors due within one year and those due after more than one year.

## **15 Overseas Activity**

15.1 If planning and undertaking overseas activity, the College must have due regard to the relevant guidelines issued by the funding body.

## **16 Other Major Developments**

16.1 Any new major aspect of business, or proposed establishment of a company or joint venture, which will require an investment in buildings, resources or staff time should be presented for approval to the Finance and General Purposes Committee. The information required by the Finance and General Purposes Committee may be different in each instance and will be discussed in advance.

## **17 Financial Control**

17.1 The control of income and expenditure within an agreed budget is the responsibility of the designated Budget Holder, who must ensure that day-to-day monitoring is undertaken effectively. Budget Holders are responsible for managing their budgets such that income targets are achieved and expenditure limits are not exceeded. Subject to the approval of the Senior Management Team, and conditional on other budgets being satisfactorily controlled, expenditure may include a proportion of additional income generated during the year.

17.2 Significant departures from agreed budgetary targets must be reported immediately to the Finance Director by the Budget Holder concerned and, if necessary, corrective action taken.

17.3 The College's specific delegated financial limits are set out in **APPENDIX E**.

The institution must obtain SFC's prior written approval, through the Regional Strategic Body, before entering into any undertaking to incur any expenditure that falls out with these delegations.

17.4 Prior SFC approval, through the Regional Strategic Body, must always be obtained before incurring expenditure for any purpose that is, or might be considered, novel, contentious or repercussive.

Novel is interpreted as involving proposed expenditure or financial arrangements of a sort not undertaken previously or which is not standard practice.

Contentious would include proposed expenditure or financial arrangements where there was any doubt as to its regularity e.g. its compliance with relevant legislation or guidance – or its propriety – e.g. compliance with the standards expected of publicly funded bodies or their officials. Proposed expenditure or financial arrangements that might be considered to be sensitive would also be regarded as contentious.

## **18 Financial Information**

18.1 Budget Holders are assisted in their duties by management information provided under arrangements approved by the Finance Director. The types of management information available to the different levels of management include:

- Monthly review of actual income and spend.
- Monthly review of actual income and expenditure versus budget
- Capital expenditure.

18.2 The Finance Director is responsible for supplying budgetary reports on all aspects of the College's finances to the Finance and General Purposes Committee & SMT. The report shall outline the income and expenditure of the College for the financial year to date, and be presented to the Board of Management.

18.3 The Finance Director is responsible for the safekeeping of certain official and legal documents relating to the College. Signed copies of deeds, leases, agreements and contracts must, therefore, be forwarded to the Finance Director. All such documents shall be held in an appropriately secure, fireproof location.

## **19 Changes to the Approved Budget**

19.1 Changes proposed to the approved College budget must be considered by the Finance and General Purposes Committee and if required the Board of Management.

“Changes” at 17.1 does not include the following:

19.2 The transfer of balances between budget holders. These changes can be approved by the Finance Director and must not lead to any net change in the overall annual budget for the College.

19.3 Any virement across departments or between lines within departments needs the approval of the Finance Director.

## **20 Financial Year**

20.1 Perth College's financial year will run from 1 August until 31 July the following year.

## **21 Basis of Accounting**

21.1 The financial statements are prepared under the historic cost convention modified by the revaluation of fixed assets. The consolidated financial statements are prepared on a going concern basis. The statements have also been prepared in accordance with Financial Reporting Standard 102 – “The Financial Reporting Standard applicable in the United Kingdom and Republic of Ireland” (FRS102).

21.2 The financial statements are prepared in accordance with;

- the Further and Higher Education (Scotland) Act 1992,
- the 2019 Statement of Recommended Practice – Accounting for Further and Higher Education Institutions,
- the relevant Government Financial Reporting Model (FReM) and
- other relevant accounting standards.

## **22 Annual Reporting Requirements**

22.1 Within the terms and conditions of a Financial Memorandum agreed between the SFC and the College's Board of Management, the Board, through its Chief Executive, the Principal, is required to prepare financial statements for each financial year which give a true and fair view of the College's state of affairs and of the surplus or deficit and cash flows for that year.

22.2 After the end of the financial year, the college must publish a statement of any expenditure incurred during that financial year in connection with:

- Public Relations
- Overseas Travel
- Hospitality and entertainment
- External consultancy



22.3 A statement must be produced giving specific details of any transactions relating to any of the matters listed above made during the financial year in excess of £25,000.

## **23 Accounting Records**

23.1 The Finance Director is responsible for the retention of financial documents. Retained records should be kept in a form that is acceptable to the relevant authorities, and complies with the

- Freedom of Information (Scotland) Act 2002,
- Data Protection Act 2018 and
- General Data Protection Regulation (GDPR) 2018.

23.2 The College is required by law to retain prime documents for six years (or as detailed within specific funding requirements). These include: official purchase orders, paid invoices, invoices raised, bank statements, receipts and payroll records (including expense claims).

23.3 The Finance Director will make appropriate arrangements for the retention of electronic records.

23.4 Staff should ensure that retention arrangements comply with any specific requirements of funding organisations. Additionally, for auditing and other purposes, other financial documents should be retained for three years or as determined by the funder.

## 24 Public Access

24.1 The Board of Management is required to supply any person with a copy of the College's most recent approved financial statements within **twenty days** of a request. The College will allow members of the public to inspect the statement of accounts during normal working hours. Published accounts will also be posted on the College website. Note that financial statements are only fully approved once they have been laid before Parliament and **no publication can take place before this.**

## 25 Taxation

25.1 The Finance Director is responsible for advising managers, in the light of guidance issued by the appropriate bodies and relevant legislation as it applies, on all taxation issues relating to the College.

25.2 The Finance Director shall ensure compliance with statutory requirements including those concerning VAT, PAYE, national insurance, corporation tax and import duty. This will include provision for maintaining the College's tax records, making all tax payments, receiving tax credits and submitting tax returns by their due date as appropriate.

## 26 Audit

26.1 External auditors and internal audit staff shall have authority to:

- Access College premises at reasonable times.
- Access all assets, records, documents and correspondence relating to any financial and other transactions of the College.
- Require and receive such explanations as are necessary concerning any matter under examination.
- Require any employee of the College to account for cash, stores or any other College property under his or her control.
- Access records belonging to third parties, such as contractors, when required.

26.2 The Finance Director is responsible for drawing up a timetable for final accounts purposes and will advise staff and the external auditors accordingly.

26.3 The financial statements will be considered by the Finance and General Purposes Committee, and reviewed by the Audit Committee. On the recommendation of these Committees, they will be submitted to the Board of Management for approval, and to the funding body, who will present them to the Scottish Parliament via the external auditors.

26.4 The financial statements shall be signed by the Principal and Chief Executive and Chairman of the Board of Management.

### **26.5 External Audit:**

Under the terms of the Public Finance and Accountability (Scotland) Act 2000, the Auditor General is responsible for the appointment of the external auditors for the College.

The primary role of external audit is to report on Perth College's financial statements and to carry out such examination of the statements and underlying records and control systems as are necessary to reach their opinion on the statements and to report on the appropriate use of funds.

The external auditors address their report and opinion jointly to the Auditor General and the members of the Board of Management. Their duties will be in accordance with advice set out in SFC's audit code of practice and the Auditing Practices Board's statements of auditing standards.

### **26.6 Internal Audit:**

The internal auditor is appointed by the Audit Committee, on behalf of the Board of Management. The main responsibility of internal audit is to provide the Board of Management, the Principal and the SMT with assurances on the adequacy of the internal control system.

The internal audit service remains independent in its planning and operation but has direct access to the Board of Management, Principal and Chair of the Audit Committee.

Responsibility for internal control remains fully with management, who should recognise that internal audit can only provide 'reasonable assurance' and cannot provide any guarantee against material errors, loss or fraud.

Internal audit also plays a valuable role in helping management to improve systems of internal control and so to reduce the potential effects of any significant risks faced by Perth College. Risk management provides the opportunity for internal audit work to be efficient and focused. It does not necessarily imply that internal audit activity has to be increased.

Internal audit can also provide independent and objective consultancy advice specifically to help management improve the internal control system, including risk management and governance. In such circumstances, internal auditors apply their professional skills in a systematic and disciplined way to contribute to the achievement of corporate objectives. Such advisory work contributes to the opinion that internal audit provides on internal control, including risk management and governance.

The internal auditor will also comply with the Auditing Practices Board's auditing guideline Guidance for Internal Auditors.

## **26.7 Fraud and Corruption**

It is the duty of all members of staff, management and the Board Members to notify the Finance Director immediately whenever any matter arises which involves, or is thought to involve, irregularity, including fraud, corruption or any other impropriety. Please also refer to the Bribery Act (2010) <https://www.gov.uk/government/publications/bribery-act-2010-guidance> .

The Finance Director shall immediately advise the Principal and Chief Executive who will consider the course of action to take.

Any frauds that are detected must be reported to SFC, through the Regional Strategic Body, as and when they occur.

If the suspected fraud is thought to involve the Finance Director and/or the Principal, the member of staff shall notify the Clerk to the Board; who in turn will contact the Chair of the Audit Committee directly about the irregularities.

## **26.8 Value for Money**

It is a requirement of the financial memorandum that the Board of Management of the College is responsible for delivering value for money from public funds. It should keep under review its arrangements for managing all the resources under its control, taking into account guidance on good practice issued from time to time by;

- the funding body,
- Audit Scotland,
- the Public Accounts Committee or
- other relevant bodies.

The College policy on Value for Money is included in our Procurement Policy, section 4.2 <https://www.perth.uhi.ac.uk/about-us/policies-regulations-and-guidelines/>

To fulfil this responsibility, the Board of Management will annually review spending for evidence of value for money received and will provide evidence of compliance with the funding body's requirements. It will be used to enable the Audit Committee to refer to value for money in its annual report.

## **26.9 Other Auditors**

The College may, from time to time, be subject to audit or investigation by external bodies such as the funding body, Audit Scotland, European Court of Auditors, HM Revenue and Customs. They have the same rights of access as external and internal auditors.

## 27 Treasury Management

27.1 The College has a Treasury Management procedure, <https://www.perth.uhi.ac.uk/about-us/policies-regulations-and-guidelines/> setting out the College's position on this topic. The policy must comply with the SFC and UHI rules regarding approval for any borrowing.

27.2 The Finance Director will report to the Finance and General Purposes Committee on any relevant activities of the treasury operation and on the exercise of treasury powers delegated to him/ her.

### 27.3 Insurance

The Finance Director is responsible for the College's insurance arrangements, including the provision of advice on the types of cover available. As part of the overall risk management arrangements, all risks will have been considered and those most effectively dealt with by insurance cover will have been identified. This is likely to include important potential liabilities and should provide sufficient cover to meet any potential risk to all assets. This portfolio of insurances will be reviewed annually.

It has been agreed by Scottish Ministers that colleges can extend their current commercial insurance arrangements until 31 July 2024.

The Estates function is responsible for keeping suitable records of plant which is subject to inspection by an insurance company and for ensuring that inspection is carried out in the periods prescribed.

All staff using their own vehicles on behalf of the College shall maintain appropriate insurance cover for business use at their own cost.

#### **27.4 Appointment of Bankers and Other Professional Advisors:**

Government Banking provides a shared banking service across central government and wider public sector customers. HM Treasury has appointed The Royal Bank of Scotland plc and Barclays plc as government bankers. Perth College currently uses The Royal Bank of Scotland plc for banking services.

The Board of Management is responsible for the appointment of Perth College's other professional banking advisers on the recommendation of the Finance & General Purposes Committee.

#### **27.5 Banking Arrangements**

The Finance Director is responsible, on behalf of the Finance & General Purposes Committee, for liaising with Perth College's bankers in relation to Perth College's bank accounts and the issue of cheques. All cheques shall be ordered on the authority of designated signatory. Proper arrangements for their safe custody shall be made by the Finance Director.

Only the Finance Director may open or close a bank account for dealing with Perth College's funds. All bank accounts shall be in the name of Perth College or one of its subsidiary companies.

All cheques must be signed by two authorised persons.

All automated transfers on behalf of Perth College, such as BACS or CHAPS, must be authorised in the appropriate manner and on the basis approved by the Finance Director. Each BACS or CHAPS should be signed by the compiler and then the Finance Director or delegated authorisers, see **APPENDIX E**.

The Finance Director is responsible for ensuring that all bank accounts are subject to regular reconciliation and that large or unusual items are investigated as appropriate.



## **27.6 Companies, Partnerships, Joint Ventures and Other Charitable Vehicles.**

In certain circumstances it may be advantageous to establish a company, joint venture or other appropriate legal entity to undertake services on behalf of the College. Any member of staff considering the use of such an entity should first seek the advice of the Finance Director, who should have due regard to guidance issued by the funding body.

The Board of Management is responsible for approving the establishment of all companies or other legal entities. This will have regard to any guidance provided by the funding body.

It is the responsibility of the Board of Management to establish the shareholding arrangements and appoint directors of companies wholly or partly owned by the College.

The directors of companies where the College is the majority shareholder must prepare an annual report. They will also submit business plans or budgets as requested to enable the Finance and General Purposes Committee to assess the risk to the College. The College's internal and external auditors shall also be appointed to such companies.

Where the College is the majority shareholder in a company, that company's financial year shall be consistent with that of the College.

## **27.7 Provision of Indemnities or Guarantees**

Any request for indemnity or guarantee can only be given by the Finance Director or the Principal.

## 27.8 Treasury General

The Finance Director is responsible for ensuring that the College receives all income to which it is entitled. All receipt forms, invoices or other official documents in use and electronic collection systems must have the prior approval of the Finance Director.

Levels of charges for all College services provided, including contract research, services rendered, goods supplied and rents and lettings will be reviewed regularly and agreed by the Finance and General Purposes Committee at least annually.

The Finance Director is responsible for the prompt collection, security and banking of all income received.

The Finance Director is responsible for ensuring that all grants notified by the funding body and other bodies are received and appropriately recorded in the College's accounts.

The Finance Director is responsible for ensuring that all claims for funds, including research grants and contracts, are made by the due date.

Keys to safes or other similar containers are to be kept securely at all times.

The loss of such keys must be reported to the Finance Director immediately.

## 28 Completeness of Income

28.1 It is the responsibility of all staff to ensure that revenue to the College is maximised, and for the identification, collection and banking of income.

28.2 All **monies received** must be passed to the Finance Department promptly. The custody and transit of all monies received must comply with the requirements of Perth College's insurers.

### **28.3 Receipt of Cash, Cheques and Other Negotiable Instruments:**

All sums received must be paid in and accounted for in full, and must not be used to meet miscellaneous expenses or be paid into any petty cash float. Personal or other cheques must not be cashed out of money received on behalf of Perth College.

**28.4 Receipts by credit or debit card:** Perth College may only receive payments by debit or credit card using procedures approved by the Finance Director.

**28.5 Internet receipts:** Any member of staff wishing to facilitate a customer payment to be made to Perth College via the internet should seek guidance from the Finance Director at an early stage.

**28.6 Collection of Debts:** The Finance Director should ensure that:

- debtors invoices are raised promptly on official invoices, in respect of all income due to Perth College
- invoices are prepared with care, recorded in the ledger, show the correct amount due and are credited to the appropriate income account
- any credits granted are valid, properly authorised and completely recorded
- VAT is correctly charged where appropriate, and accounted for
- monies received are posted to the correct debtors account
- swift and effective action is taken in collecting overdue debts, in accordance with the protocols noted in the financial procedures
- outstanding debts are monitored and reports prepared for the SMT.

**28.7 Credit Arrangements:** Only the Finance Director can approve credit arrangements and indicate the periods in which different types of invoice must be paid.

28.8 Writing Off Debts: Requests to write off individual debts in excess of the SFC delegated limits (£3,000 per debtor, per instance) for losses must be referred by the Finance Director for submission to the Finance & General Purposes Committee for consideration and obtain SFC approval. Individual debts below this level may be written off with the permission of the Finance Director.

## **29 Student Fees**

29.1 The procedures for collecting tuition fees must be approved by the Finance Director. He or she is responsible for ensuring that all student fees due to Perth College are received.

29.2 Any student who has not paid an account for fees or any other item owing to the College shall not receive the certificate for any degree, diploma or other qualification awarded by the College until all outstanding debts have been cleared.

29.3 Such students shall be prevented from re-enrolling at the College and from using any of the College's facilities.

29.4 The College may pass outstanding debts to debt collection agencies and reserves the right to take legal action to recover outstanding amounts.

## **30 Discretionary Fund and Childcare Payments**

30.1 The College will comply with the Scottish Funding Council scheme for discretionary fund payments. Under no circumstances should payments be made other than in accordance with this approved scheme.

30.2 The Finance Director is responsible for ensuring the adequacy of the systems in place for:

- Approving funding awards in accordance with the scheme.
- Paying awards that have been approved.
- Recovering repayable loans that have been paid.

## **31 Grants & Contracts**

31.1 Where approaches are to be made to outside bodies for support for research projects or where contracts are to be undertaken on behalf of such bodies, it is the responsibility of the Budget Holder to ensure that the financial implications have been appraised by the Finance Director or a nominee. This will include obtaining a set of grant terms and conditions from each organisation providing funding to enable appropriate monitoring of compliance.

31.2 The SMT are responsible for ensuring that there is adequate provision of resources to meet all commitments. The Finance Director should ensure that the full cost of the project or contract is established.

31.3 Grants and contracts must be submitted in the name of the College and authorised prior to submission. Only the Finance Director or the Principal and Chief Executive may authorise applications on behalf of the College.

31.4 The Finance Director shall ensure that all financial records relating to grants and contracts are maintained in the approved manner and that all claims for reimbursement are initiated by the due date.

31.5 Each grant or contract will have a named contact and will be assigned to a specific budget holder.

31.6 The budget holder will control pay and non-pay expenditure. The budget holder may delegate day-to-day control to a designated person, but any overspend or under-recovery of overheads is the responsibility of the budget holder with any loss being a charge on departmental funds.

31.7 Many grant-awarding bodies and contracting organisations stipulate conditions under which their funding is given. In addition, there are often procedures to be followed regarding the submission of interim or final reports or the provision of other relevant information. Failure to respond to these conditions may result in the College suffering a significant financial penalty. It is the responsibility of the named supervisor or grant holder to ensure that conditions of funding are met. Any loss to the College resulting from a failure to meet conditions of funding is the responsibility of the budget holder, and will be charged against departmental funds.

## 32 Private Consultancies and Other Paid Work

32.1 Unless otherwise stated in a staff member's contract, outside consultancies or other paid work may not be accepted without the consent of a member of the Senior Management Team (and in the case of a member of the Senior Management Team, the Principal).

32.2 Applications for permission to undertake work must be submitted for the appropriate authorisation and then be sent to the Head of HR and Organisational Development and will include the following information:

- The name of the member(s) of staff concerned.
- The title of the project and a brief description of the work involved.
- The proposed start date and duration of the work involved.
- Full details of any College resources required (for the calculation of the full economic cost).
- An undertaking that work will not interfere with the teaching and/ or normal College duties of the member(s) of staff concerned.
- Any intellectual property implications.

## 33 Non-Grant Funded Income

33.1 **Commercial Courses and Other Services Rendered.** In this context a commercial course covers all non SFC fundable training or assessment other than that funded by central government or its agencies. Any manager wishing to offer commercial training must complete a costing and pricing form in accordance with the requirements of the Finance Director. A contract or short form of agreement must be in place for all commercial activity.

**33.2 Government Funded Training Schemes.** In this context government funded training schemes includes training for work, new deal, Skills Development Scotland contracts or other training provision ultimately funded by central or local government. A cost and pricing document must be completed for all government funded training schemes in accordance with the requirements of the Finance Director. These contracts are normally originated by the client and signed by the Principal (or any Senior Manager or Manager with delegated authority from the Principal).

**33.3 Facilities and Accommodation.**

Proposals for the hire of accommodation (out-with normal operating practices) and facilities should be presented to the Finance Director so that a suitable price can be established.

**33.4 Income Contracts.**

Only the Principal (or any Senior Manager or Manager with delegated authority from the Principal) can sign contracts. Contracts are required in ALL cases (short form of agreements or from clients). Contracts must be costed and authorised before any commitments are made. Authorisation must be in line with the Financial Memorandum, See **APPENDIX A**.

## **34 Profitability and Recovery of Overhead Costs**

34.1 All other income-generating activities must be self-financing or surplus generating unless agreed in advance by the Finance Director.

34.2 External business and management consultancy contracts. Any external consultancy contracts with a value of more than £100,000 must be approved in advance by the SFC, through the Regional Strategic Body.



## **35 Retention of income**

35.1 The college can retain all commercial income, bequests or donations received. These funds will be in addition to any grant or funding the college receives from the Regional Strategic Body or SFC. There can be no carry forward of any funds.

### **35.2 Donation of surplus funds to arms-length foundations.**

The College may donate any surplus on its income and expenditure account as at 31 March each year to an arms-length foundation (ALF), subject to approval from the Finance and General Purposes Committee. The donation must take place in the financial year in which it arises, and is subject to sufficient cash and resource. For the purposes of donations to an arms-length foundation, the financial year is the Scottish Government financial year, which is April to March.

## **36 Intellectual Property Rights and Patents**

36.1 Certain activities undertaken within Perth College including research and consultancy may involve the creation of works, designs, databases and inventions, which may give rise to copyright, design rights, patents and other proprietary rights, some of which may be patentable or registrable. These are collectively known as intellectual property.

### **36.2 Patents.**

The Principal is responsible for establishing a policy as required to deal with any patents or other intellectual property rights accruing to Perth College from inventions and discoveries, works, designs and databases made by staff in the course of their work.

### 36.3 Intellectual Property Rights.

In the event of the College deciding to become involved in the commercial exploitation of inventions and research or other intellectual property rights, these matters should be managed by the Principal.

## 37 Payments

37.1 The Finance Director is responsible for making payments to suppliers of goods and services to the College. External business and management consultancies greater than £100,000 and operating leases (non-property) greater than £250,000 requires SFC approval.

## 38 Procurement

38.1 All budget holders must comply with the requirements of the Procurement policy when ordering goods, services or works <https://www.perth.uhi.ac.uk/about-us/policies-regulations-and-guidelines/> . Delegated signatories are acceptable if they have been approved in advance by the Finance Director.

### 38.2 Delegation to Budget Holders:

The budget holder is responsible for purchases within their department. Budget holders are required to comply with the following authorisation levels:

- Budget Holder: Up to £3,000 exclusive of VAT.
- CMT: Up to £10,000 exclusive of VAT
- SMT: Up to £25,000 exclusive of VAT
- Finance Director: Up to £50,000 exclusive of VAT
- Principal: Up to £100,000 excluding VAT
- Board of Management: over £100,000 exclusive of VAT.

Budget holders cannot authorise their own expenditure.

38.3 Central control by the Finance Director shall be exercised over the creation of requisitioners and authorisers and their respective financial limits within any electronic requisitioning system.

38.4 Budget holders are not authorised to commit the College to expenditure without first ensuring that sufficient funds are available in an approved budget to meet the cost.

38.5 The Finance Director is responsible for:

- ensuring that Perth College's Procurement policy is known and observed by all involved in Procurement for Perth College.
- advising on matters of college Procurement policy and practice.
- advising and assisting staff where required on specific departmental purchases.
- developing appropriate standing supply strategies on behalf of Perth College to assist budget holders in meeting their value for money obligations.
- ensuring all orders are vetted before they leave Perth College.
- the review of all purchase contracts (in excess of £5,000) undertaken by Perth College, in collaboration with the responsible budget holder.
- ensuring that Perth College complies with EU regulations on public Procurement policy.

- ensuring that accepted conditions of contract for the purchase of goods do not expose the College to unacceptable risk.

38.6 Procurement **non-competitive action** (NCA) requires prior consultation with SFC if the transaction is greater than £25,000 inclusive of VAT or the proposal to award an external consultancy contract with a value of £100,000 over a 4 year period (per SFC guidance).

## **39 Tender Management (Tenders and Quotations)**

39.1 Official college purchase orders must be placed for the purchase of all goods or services except those made using petty cash. In exceptional circumstances, urgent orders may be given orally, but must be supported by an official purchase order not later than the following working day.

39.2 National and sector (APUC) contracts must be used for all purchases where a contract exists - unless agreement has been reached with the Budget Holder and the Finance Director.

## **40 Receipt of Goods**

40.1 All goods shall be received at designated receipt and distribution points. They shall be checked for quantity and/or weight and inspected for quality and specification. A delivery note shall be obtained from the supplier at the time of delivery and signed by the person receiving the goods. The delivery note must then be passed to procurement immediately.

40.2 All goods received shall be entered onto an appropriate goods received document or electronic receipting system on the day of receipt. If the goods are deemed to be unsatisfactory, the record shall be marked accordingly and the supplier immediately notified so that they can be collected for return as soon as possible. Where goods are short on delivery, the record should be marked accordingly and the supplier notified immediately.

40.3 All persons receiving goods on behalf of Perth College must be independent of those who placed the official order.

## **41 Major Building Contracts**

41.1 Building contracts are the responsibility of the Board of Management with advice provided by the Principal or appropriate SMT member and where necessary external professional advisors. Proposals will normally be initiated as a result of planned capital developments, or in response to requests from curriculum and professional services departments. Managing Consultants may be appointed if the project, as determined by the Board of Management, is too large or too specialised for Estates to manage. Appointments shall be subject to tendering and other procedures where appropriate.

41.2 Proposals shall be presented in the form of costings, or investment appraisals, prepared in conjunction with the Finance Director for Board of Management consideration.

41.3 Following consideration, and approval by, the Board of Management, submissions should be forwarded to the Scottish Funding Council where appropriate. If the required agreement is secured from the Scottish Funding Council, the relevant procedural rules should be followed. Scottish Funding Council guidance on best practice should be followed even when Scottish Funding Council approval is not required. The achievement of value for money will be an objective in the awarding of all contracts.

41.4 Building contracts are administered by Vice Principal - External Engagement and must adopt the protocols for proposed capital expenditure and major developments.

41.5 Capital projects require outline approval from SFC and the Scottish Government.

## **42 Payment of Invoices**

42.1 The Finance Director is responsible for deciding the most appropriate method of payment for categories of invoice. Payments to UK suppliers will normally be made by BACS transfer each fortnight. In exceptional circumstances the Finance Department will prepare single manual BACS for urgent payments.

42.2 Suppliers must be instructed to submit invoices for goods or services directly to Finance.

42.3 Payments will only be made by Finance against invoices that have been certified for payment by the appropriate Budget Holder or against invoices that can be matched to a receipted order (electronic system).

42.4 Certification of an invoice or receipting of an electronic order will ensure that:

- the goods have been received, examined and approved with regard to quality and quantity, or that services rendered or work done is satisfactory
- where appropriate, it is matched to the order
- invoice details (quantity, price discount) are correct
- the invoice is arithmetically correct
- the invoice has not previously been passed for payment
- an appropriate Group and Project code is quoted; this must be one of the Group and Project codes included in the CMT areas of responsibility and must correspond with the types of goods or service described on the invoice.

## **43 Petty Cash**

43.1 Petty Cash may be obtained to pay for small items of equipment (up to £35.00) required urgently. There may also be an allowance to hold petty cash amounts in certain College locations, further detail is contained in the Finance Manual.

## **44 Other Payments**

44.1 Payments for maintenance and other items to students on behalf of sponsoring organisations shall be made on the authority of the Finance Director, supported by detailed claims approved by the budget holder.

44.2 Any other non-trade payments should be requested in a form prescribed by the Finance Director and be authorised by the appropriate budget holder.

## **45 Late Payment Rules**

45.1 The Late Payment of Debts (Interest) Act 1998 was introduced to give businesses the right to charge interest on late payments from large organisations and public authorities. In view of the penalties in this Act, invoices must be authorised for payment as soon as they are received, unless there is valid reason to withhold approval, and paid within the supplier's terms.

## **46 Leasing**

46.1 Lease agreements for buildings must be approved and signed by the Finance Director.

46.2 Equipment may be acquired under an operating lease or a finance lease. Finance leases must be accounted for in the balance sheet in the normal manner. Operating leases must be signed by the Finance Director. Details of all lease agreements will be kept within the Finance Department and monitored by the Procurement Manager in relation to expiry and renewals.

## **47 Remuneration**

47.1 All College staff will be appointed in accordance with the appropriate conditions of service. All letters of appointment must be issued by the HR & Organisational Development department.

47.2 The SMT propose consolidated remuneration and other benefits through the annual budget. This proposal is often an estimate of where the National Bargaining agreement will conclude in the next year. Remuneration and other benefits should therefore fall within budget limits approved by the Board of Management or in line with National Bargaining agreements.

## **48 Appointment of Staff**

48.1 All contracts of service shall be concluded in accordance with the College's human resources practices and procedures and all offers of employment with the College shall be made in writing by the Head of HR and Organisational Development or their delegated authority.

48.2 Budget holders must ensure that the Head of HR and Organisational Development are provided promptly with all information they may require in connection with the appointment, resignation or dismissal of employees.

## **49 Salaries and Wages**



- 49.1 The Finance Director is responsible for the payment of salaries and wages to all staff including payments for overtime or other additional services rendered. All timesheets and other pay documents, including those relating to fees payable to external examiners, visiting lecturers or researchers, will be in a form prescribed or approved by the Finance Director.
- 49.2 The Head of HR and Organisational Development will be responsible for keeping the Finance Director informed of all matters relating to personnel for payroll purposes. In particular, these include the human resources policies approved for application in the College together with the following in relation to individual staff:
- Appointments, resignations, dismissals, supervisions, secondments and transfers.
  - Changes in remuneration including normal increments and pay awards.
  - Information necessary to maintain records of service for superannuation, income tax and national insurance.
- 49.3 The Finance Director is responsible for payments to non-employees and for informing the appropriate authorities of such payments. All casual and part-time employees will be included on the payroll.
- 49.4 The Finance Director shall be responsible for keeping all records relating to payroll including those of a statutory nature.
- 49.5 All payments must comply with HMRC regulations.

## **50 Superannuation Schemes**

50.1 The Board of Management is the employer in relation to appropriate pension arrangements for employees.

50.2 The Finance Director is responsible for day-to-day superannuation matters, including:

- Paying contributions to various authorised superannuation schemes.
- Preparing the annual return to various superannuation schemes.
- Liaising with the superannuation on all appropriate changes such as leavers, retirees and new starters.
- Ensuring compliance with auto enrolment requirements.

50.3 The Head of HR and Organisational Development is responsible for administering eligibility for pension arrangements and for informing when deductions should begin or cease for staff.

## **51 Travel, Subsistence and Other Allowances**

51.1 All claims for payment of subsistence allowances, travelling and incidental expenses shall be completed in a form approved by the Finance Director.

51.2 Claims by members of staff must be authorised by the budget holder. The certification by the budget holder shall be taken to mean that:

- Journeys were authorised.
- The expenses were properly and necessarily incurred.
- The allowances are properly payable by the College.
- Consideration has been given to value for money in choosing the mode of transport.

51.3 Claims for expenses by the Principal and Chief Executive shall be approved by the Chair of the Board of Management, and expenses for the Board of Management shall be approved by the Clerk to the Board.

## **52 Overseas Travel**

52.1 All arrangements for overseas travel must be made through the College Travel Agent using the appropriate form. Any approvals required must be obtained in advance of committing the college to those arrangements or confirmation of any travel bookings.

## **53 Expenses for members of the Board of Management**

53.1 Claims for members of the Board of Management will be approved by the Clerk to the Board.

## **54 Severance and Other Non-Recurring Payments**

54.1 Severance payments shall only be made in accordance with the relevant guidelines and legislation. In particular, the college must follow the requirements of the Scottish Public Finance Manual (SPFM) in determining settlement agreements, severance, early retirement and redundancy arrangements and payments. Any such scheme or payment must be approved by the SFC, through the Regional Strategic Body.

54.2 The college must have regard to the principles of good practice contained in Audit Scotland's May 2013 report: 'Managing early departures from the Scottish public sector'.

54.3 All payments must be authorised by the Principal and Chief Executive. Approval of early retirement packages, enhanced pension arrangements or financial packages in excess of statutory provision is reserved by the Board of Management after prior approval by the SFC. Any special severance payment out-with a severance scheme approved by SFC in excess of £1,000 must be approved by SFC.

54.4 All matters referred to an employment tribunal shall be notified to the Finance Director at the earliest opportunity in order that budget provision may be made.

## **55 Assets**

55.1 **Land, Buildings, Fixed Plant and Machinery.** The purchase, lease or rent of land, buildings or fixed plant can only be undertaken with authority from the Board of Management and with reference to funding body requirements where exchequer-funded assets or exchequer funds are involved.

55.2 **Fixed Asset Register.** The Finance Director is responsible for maintaining the College's register of capital assets. Budget holders will provide the Finance Director with any information he or she may need to maintain the register.

55.3 **Property Register.** The Finance Director is responsible for maintaining a full register of properties owned or occupied by the College.

55.4 When transferring equipment between departments, the transfer must be recorded, a copy of the record sent to the Finance Director and the asset register amended accordingly.

55.5 **Stocks and Stores.** Budget holders are responsible for establishing adequate arrangements for the custody and control of stocks and stores within their departments. The systems used for stores accounting in departments must have the approval of the Finance Director.

55.6 Budget holders are responsible for ensuring that regular inspections and stock checks are carried out. Stocks and stores of a hazardous nature will be subject to appropriate security checks. Advice should be obtained from the College's Health, Safety and Wellbeing Advisor.

55.7 Budget holders whose stocks require valuation in the balance sheet must ensure that appropriate stocktaking procedures are in place and have the approval of the Finance Director.

**55.8 Safeguarding Assets.**

Budget holders are responsible for the care, custody and security of the buildings, stock, stores, furniture, cash, etc. under their control. They should contact the Head of Estates in any case where security is thought to be defective or where it is considered that special security arrangements may be needed.

55.9 Assets owned by the College shall, so far as is practical, be effectively marked to identify them as College property.

**55.10 Personal Use.**

Assets owned or leased by the College shall not be subject to personal use except by approval by the Finance Director.

**55.11 Asset Disposal.**

Disposal of equipment and furniture, whether by sale or otherwise, requires the prior written authorisation of the Finance Director. Disposal of land and buildings must only take place with the authorisation of the Board of Management. Funding body consent may also be required if exchequer funds were involved in the acquisition of the asset.

## **56 Funds on Trust**

### **56.1 Gifts, Benefactions and Donations.**

The Finance Director is responsible for maintaining financial records in respect of gifts, benefactions and donations made to the College and initiating claims for recovery of tax where appropriate.

### **56.2 Student Support Funds.**

The Finance Director will prescribe the format for recording the use of student funds. Records of support funds will be maintained according to funding body requirements.

### **56.3 Trust Funds.**

The Finance Director is responsible for maintaining a record of the requirements for each trust fund and for advising the Finance and General Purposes Committee on the control and investment of fund balances.

### **56.4 Voluntary Funds.**

The Finance Director shall be informed of any fund that is not an official fund of the College, which is controlled wholly or in part by a member of staff in relation to their function in the college. The accounts of any such fund shall be audited by an independent person and shall be submitted with a certificate of audit to the appropriate body. The Finance Director shall be entitled to verify that this has been done.

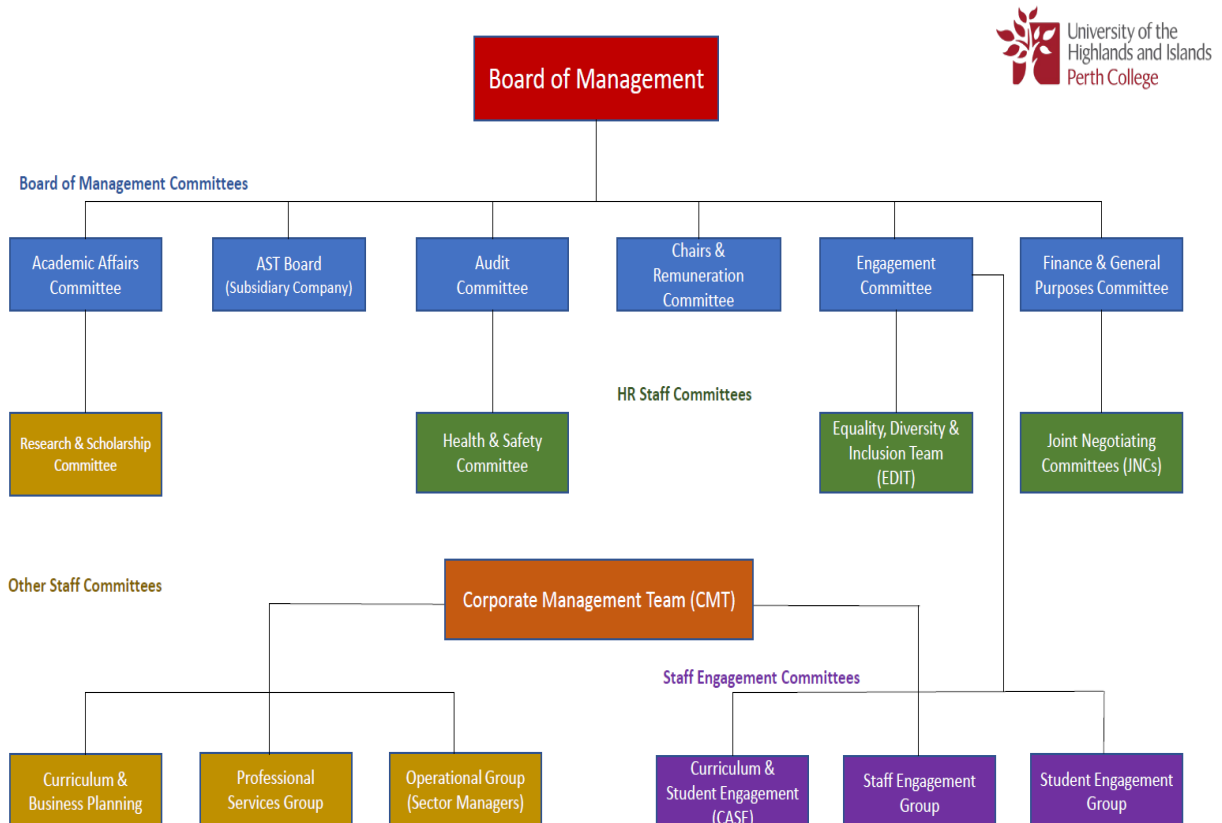
## **57 System Security**

- 57.1 The ICT Manager shall be responsible for maintaining proper security and privacy of information held on the College's computer network. Appropriate levels of security will be provided, such as passwords for networked PCs together with restricted physical access for network servers. Information relating to individuals held on computer will be subject to the provisions of the Data Protection Act 2018 and the EU General Data Protection Regulation (GDPR) 2018. The Data Protection Officer shall be nominated to ensure compliance with the Act and the safety of documents.
- 57.2 The Head of Estates is responsible for the safe and appropriate use of the CCTV systems on the College site, ensuring appropriate policy, signage and security arrangements are in place at all times.

## 58 APPENDIX A – Financial Memorandum: UHI-Perth.

<https://www.perth.uhi.ac.uk/about-us/college-management-structure/meet-the-board/>

## 59 APPENDIX B – Board of Management Structure



## 60 APPENDIX C – Finance & General Purposes Committee Terms of Reference

- 1 Consideration of the annual estimate of revenue income and expenditure.
- 2 Consideration of the annual estimate of capital income and expenditure.
- 3 Responsibility to ensure that appropriate control systems are in place:
  - a to administer and control all revenue and capital grants received from the Scottish Government and all other sources.



- b to administer and control the payment of all monies due and the collection of all income due.
  - c to ensure the efficient management of the College Catering Service and Food Court and Halls of Residence.
  - d to administer and control matters relating to the repair, maintenance and upkeep of land, buildings etc.
- 4 Liaison with the Audit Committee in reporting to the Board on the state of the College's finances.
  - 5 Consideration and approval of the College's Financial Regulations and Procedures, ensuring their implementation, monitoring and review in relation to all matters financial, including approving organisations in which funds may be invested and setting investment limits.
  - 6 Generally the formulation of advice to the Board on financial matters and the supervision of the financial affairs of the Board.
  - 7 Strategic oversight of procurement, contract management and ICT service level agreement on behalf of the Board.
  - 8 Consideration of tenders received for any works the cost of which are in excess of £50,000.
  - 9 The acquisition and/or disposal of heritable property whether by purchase/sale or lease.
  - 10 Consideration of any proposals to obtain plant equipment furnishings or fittings the cost of which is expected to be more than £50,000.
  - 11 Consideration and assessment of priorities for capital grant for new building work or the major modification of existing buildings. Recommendations to the Board on issues relating to College estates and resources
  - 12 The oversight of the Board's statutory functions and responsibilities as an employer of the staff of the College.
  - 13 Consideration of all matters relating to:
    - a the establishment and staffing structure of the College;
    - b the salaries, wages and conditions of service of all staff except the Principal, Executive and Managers as individual contracts with the Board.
  - 14 Responsibilities for early retirement/early severance policy.

- 15 Oversight of the disciplinary and grievance policies and procedures of the College.
- 16 Consideration of matters relating to staff relations including union recognition and local bargaining agreements.

## **61 APPENDIX D – Audit Committee Terms of Reference**

### **Internal Control**

1. Reviewing and advising the Board of Management of the internal and the external auditor's assessment of the effectiveness of the college's financial and other internal control systems, including controls specifically to prevent or detect fraud or other irregularities as well as those for securing economy, efficiency and effectiveness; and
2. Reviewing and advising the Board of Management on its compliance with corporate governance requirements and good practice guidance including a strategic overview of risk management.
3. Strategic oversight of Health and Safety, Freedom of Information and Data Protection on behalf of the Board.

### **Internal Audit**

1. Advising the Board of Management on the selection, appointment or reappointment and remuneration, or removal of the internal audit provider.
2. Advising the Board of Management on the terms of reference for the internal audit service.
3. Reviewing the scope, efficiency and effectiveness of the work of internal audit, considering the adequacy of the resourcing of internal audit and advising the Board of Management on these matters.
4. Advising the Board of Management of the Audit Committee's approval of the basis for and the results of the internal audit needs assessment and the strategic and operational planning processes.
5. Approving the criteria for grading recommendations in assignment reports as proposed by the internal auditors.
6. Reviewing the internal auditor's monitoring of management action on the implementation of agreed recommendations reported in internal audit assignment reports and internal audit annual reports.

7. Considering salient issues arising from internal audit assignment reports, progress reports, annual reports and management's response thereto and informing the Board of Management thereof.
8. Informing the Board of Management of the Audit Committee's approval of the internal auditor's annual report.
9. Ensuring establishment of appropriate performance measures and indicators to monitor the effectiveness of the internal audit service.
10. Securing and monitoring appropriate liaison and co-ordination between internal and external audit.
11. Ensuring good communication between the Committee and the internal auditors.
12. Responding appropriately to notification of fraud or other improprieties received from the internal auditors or other persons.
13. Reviewing the Risk Management Register.

### **External Audit**

The appointment of external auditors to the College is directed by Audit Scotland.

1. Considering the college's annual financial statements and the external auditor's report prior to submission to the Board of Management by the Finance Committee. Care should be taken, however, to avoid undertaking work that properly belongs to the Finance and General Purposes Committee. If within its terms of reference, the Committee should consider the external audit opinion, the Statement of Members' Responsibilities and any relevant issue raised in the external auditor's management letter.
2. Reviewing the external auditor's annual Management Letter and monitoring management action on the implementation of the agreed recommendations contained therein.
3. Advising the Board of Management of salient issues arising from the external auditor's management letter and any other external audit reports, and of management's response thereto.
4. Reviewing the statement of corporate governance.
5. Establishing appropriate performance measures and indicators to monitor the effectiveness of the external audit provision.
6. Reviewing the external audit strategy and plan.

7. Holding discussions with external auditors and ensuring their attendance at Audit Committee and Board of Management meetings as required.
8. Considering the objectives and scope of any non-statutory audit work undertaken or to be undertaken, by the external auditor's firm and advising the Board of Management of any potential conflict of interest.
9. Securing appropriate liaison and co-ordination between external and internal audit.

### **Value for Money**

1. Establishing and overseeing a review process for evaluating the effectiveness of the college's arrangements for securing the economical, efficient and effective management of the college's resources and the promotion of best practice and protocols, and reporting to the Board of Management thereon.
2. Advising the Board of Management on potential topics for inclusion in a programme of value for money reviews and providing a view on the party most appropriate to undertake individual assignments considering the required expertise and experience.
3. Advising the Board of Management of action that it may wish to consider in the light of national value for money studies in the further education sector.

### **Advice to the Board of Management**

1. Reviewing the college's compliance with the Code of Audit Practice and advising the Board of Management on this.
2. Producing an annual report for the Board of Management.
3. Advising the Board of Management of significant, relevant reports from the Scottish Funding Council and National Audit Office and successor bodies and, where appropriate, management's response thereto.
4. Reviewing reported cases of impropriety to establish whether they have been appropriately handled.

## **62 APPENDIX E - Authorisation Levels**

- Budget Holder: Up to £3,000 exclusive of VAT.
- CMT: Up to £10,000 exclusive of VAT
- SMT: Up to £25,000 exclusive of VAT
- Finance Director: Up to £50,000 exclusive of VAT
- Principal: Up to £100,000 excluding VAT
- Board of Management: over £100,000 exclusive of VAT.

## **63 APPENDIX F – Scottish Public Finance Manual**

<http://www.sfc.ac.uk/governance/institutional-sustainability-governance/institutional-governance/college-governance/college-governance.aspx>

## **64 APPENDIX G – Perth College Constitution**

<https://www.perth.uhi.ac.uk/about-us/college-management-structure/meet-the-board/>

## Perth College UHI

Paper 4

<b>Committee</b>	Finance & General Purposes Committee
<b>Subject</b>	Financial Recovery Plan
<b>Date of Committee meeting</b>	08/03/2021
<b>Author</b>	Margaret Cook, Principal & Chief Executive
<b>Date paper prepared</b>	02/03/2021
<b>Executive summary of the paper</b>	Update position on progress to date re Financial Recovery Plan
<b>Consultation</b> How has consultation with partners been carried out?	Board and SMT attended a Development Session to discuss potential strategies and interventions around Financial Recovery Plan
<b>Action requested</b>	<input type="checkbox"/> For information <input checked="" type="checkbox"/> For discussion <input type="checkbox"/> For recommendation <input type="checkbox"/> For approval
<b>Resource implications</b> (If yes, please provide details)	No
<b>Risk implications</b> (If yes, please provide details)	Yes – There is significant financial risk to the College that requires to be addressed by this Plan.
<b>Link with strategy</b> Please highlight how the paper links to the Strategic Plan, or assist with: <ul style="list-style-type: none"> <li>• Compliance</li> <li>• National Student Survey</li> <li>• partnership services</li> <li>• risk management</li> <li>• other activity [e.g. new opportunity] – please provide further information</li> </ul>	Yes - The Financial Recovery Plan will act as a bridge between Strategic Plans beyond the current Strategy

## Perth College UHI

<u>Equality and diversity</u> Yes/ No If yes, please give details:	No
<b>Island communities</b> Does this activity/ proposal have an effect on an island community which is significantly different from its effect on other communities (including other island communities)?	No
<u>Data Protection</u> Does this activity/ proposal require a Data Protection Impact Assessment?	No
<b>Status</b> (e.g. confidential/non confidential)	Non-Confidential
<b>Freedom of information</b> Can this paper be included in “open” business?*	Open Business

\* If a paper should **not** be included within ‘open’ business, please highlight below the reason.

Its disclosure would substantially prejudice a programme of research	<input type="checkbox"/>	Its disclosure would substantially prejudice the effective conduct of public affairs	<input type="checkbox"/>
Its disclosure would substantially prejudice the commercial interests of any person or organisation	<input type="checkbox"/>	Its disclosure would constitute a breach of confidence actionable in court	<input type="checkbox"/>
Its disclosure would constitute a breach of the Data Protection Act	<input type="checkbox"/>	Other [please give further details] Click or tap here to enter text.	<input type="checkbox"/>

For how long must the paper be withheld? Click or tap here to enter text.

Further guidance on application of the exclusions from Freedom of Information legislation is available via:

<http://www.itspublicknowledge.info/ScottishPublicAuthorities/ScottishPublicAuthorities.asp>  
and

[http://www.itspublicknowledge.info/web/FILES/Public\\_Interest\\_Test.pdf](http://www.itspublicknowledge.info/web/FILES/Public_Interest_Test.pdf)

## **Perth College UHI**

### **Finance & General Purposes Committee – 8 March 2021**

#### **Financial Recovery Plan**

##### **Introduction**

This report is intended to give the Committee and the Board an update on the progress towards developing the Financial Recovery Plan which was discussed at the Board Strategic Planning evening.

Given the timing there has not been significant progress however the prioritisation of activities has been started and some activity has taken place. The key to this activity will be to carry out an options appraisal on a defined number of proposals where these are identified to have the greatest impact on our financial position whilst meeting our principles.

Members of CMT were asked for their proposals and there was a good response from colleagues, some of the suggestions can be progressed as business as usual and others will form part of this process.

##### **Guiding Principles**

There was discussion at the meeting on the draft principles and suggestions where these could be improved, the following are the revised principles –

- Protect our student experience
- Reduce non-pay spend where possible
- Maximise realistic income generation
- Minimise the reductions in academic staffing where possible and only where the delivery method generates efficiencies or there is underlying overstaffing
- Use vacancy savings where possible
- Offer VS where possible only moving to compulsory redundancy where required.

##### **Progress**

The following areas are being considered –



- Sale of assets – advice has been sought from SFC on when permission to sell is required and when the proceeds from sales can be retained
- Further work is being done on the delivery method for Core modules
- The cost/delivery of leisure activities – these have not been successful over the last few years
- Review of opening hours/buildings
- Review of systems/processes

These are clearly not areas where significant savings will be made however we need to progress through to areas of greater impact which will take till the June Board meeting.

### **TU Consultation**

We have met with our TU's over this issue and this will continue. We have invited the TU's to propose areas of savings however they have declined to do so. The wider staff will be asked to contribute proposals for savings.

### **Voluntary Severance**

The VS Scheme has now closed and 8 members of staff have been accepted for VS with an annual saving of c£200k, this is clearly disappointing but not surprising at this point.

### **Recommendations**

- SMT recommend that the VS Scheme is opened again without a closing date in line with the permission we have from SFC (permission to operate VS runs to 31 July 2022)
- SFC recommend that permission be sought for compulsory redundancy from UHI/SFC

<b>Committee</b>	Board of Management
<b>Subject</b>	Management Accounts & Cash Flow
<b>Date of Committee meeting</b>	08/03/2021
<b>Author</b>	Iain Wishart, Finance Director
<b>Date paper prepared</b>	01/03/2021
<b>Executive summary of the paper</b>	Review of 6-month financial results and projected cash flow
<b>Consultation</b> How has consultation with partners been carried out?	Presented at 8/03/21 Board Meeting
<b>Action requested</b>	<input checked="" type="checkbox"/> For information only <input checked="" type="checkbox"/> For discussion <input type="checkbox"/> For recommendation <input type="checkbox"/> For approval
<b>Resource implications</b> (If yes, please provide details)	<b>Yes/ No</b> Details the use and performance of resources
<b>Risk implications</b> (If yes, please provide details)	<b>Yes/ No</b> Details surplus/deficit position and cash outlook
<b>Link with strategy</b> Please highlight how the paper links to the Strategic Plan, or assist with: <ul style="list-style-type: none"> <li>• Compliance</li> </ul>	This project supports the delivery of the strategic aim Financial sustainability

<ul style="list-style-type: none"> <li>• National Student Survey</li> <li>• partnership services</li> <li>• risk management</li> <li>• other activity [e.g. new opportunity] – please provide further information</li> </ul>	<p>This paper assists with risk management, compliance with legal duties and with the Code of Good College Governance.</p>
<p><b><u>Equality and diversity</u></b></p> <p>Yes/ No</p> <p>If yes, please give details:</p>	<p>Click or tap here to enter text.</p>
<p><b>Island communities</b></p> <p>Does this activity/ proposal have an effect on an island community which is significantly different from its effect on other communities (including other island communities)?</p>	<p>Yes/ No</p> <p>If yes, please give details:</p> <p>Click or tap here to enter text.</p>
<p><b><u>Data Protection</u></b></p> <p>Does this activity/ proposal require a Data Protection Impact Assessment?</p>	<p>Yes/ No</p> <p>Set out any data protection aspects and whether a data protection impact assessment is needed</p>
<p><b>Status</b> (e.g. confidential/non confidential)</p>	<p>Confidential</p>
<p><b>Freedom of information</b></p> <p>Can this paper be included in “open” business?* -<b>Yes</b></p>	<p>Papers should be open unless there is a compelling reason for them to remain closed. If a paper, or parts of a paper, are to remain closed the reason for that exemption must be specified – see reasons below</p>

\* If a paper should **not** be included within ‘open’ business, please highlight below the reason.

Its disclosure would substantially prejudice a programme of research	<input type="checkbox"/>	Its disclosure would substantially prejudice the effective conduct of public affairs	
Its disclosure would substantially prejudice the commercial interests of any person or organisation	<input type="checkbox"/>	Its disclosure would constitute a breach of confidence actionable in court	<input type="checkbox"/>
Its disclosure would constitute a breach of the Data Protection Act	<input type="checkbox"/>	Other [please give further details] Click or tap here to enter text.	<input type="checkbox"/>

For how long must the paper be withheld? Until the OBC and FBC are approved and funding awarded to begin the project. This would be for an estimated 12 months.

Further guidance on application of the exclusions from Freedom of Information legislation is available via:

<http://www.itspublicknowledge.info/ScottishPublicAuthorities/ScottishPublicAuthorities.asp>

and

[http://www.itspublicknowledge.info/web/FILES/Public\\_Interest\\_Test.pdf](http://www.itspublicknowledge.info/web/FILES/Public_Interest_Test.pdf)

# Financial Review

January 2020



# College Overview

January 2020

## Headlines

- Academic AOP is not enough to fund Services.
- However, academic funding income not structured today.
- COVID causing multiple businesses to record deficits.
- Salary increase has only been approved and paid for academic staff at this point.

## Headlines

- Note that Services Non-Staff Costs include unbudgeted £250K spend for digital poverty and £30K for COVID supplies and cleaning. When these costs are exclude YTD 20/21 v 19/20 = 99.9% and 20/21 Act YTD v FY Bud = 51.3%.

Jan YTD 20/21	Academic	Business	Services	Elimination	YTD Act	FY Budget	YTD Usage
Funding	7,470	0	427		7,897	16,347	48.3%
Tuition Fees	1,892	929	0		2,821	4,761	59.2%
Commercial	1,124	380	144	(50)	1,649	3,286	50.2%
Bursary/Hardship Funding	0	0	1,289		1,289	3,131	41.2%
<b>Total Income</b>	<b>10,486</b>	<b>1,309</b>	<b>1,860</b>	<b>(50)</b>	<b>13,655</b>	<b>27,525</b>	<b>49.6%</b>

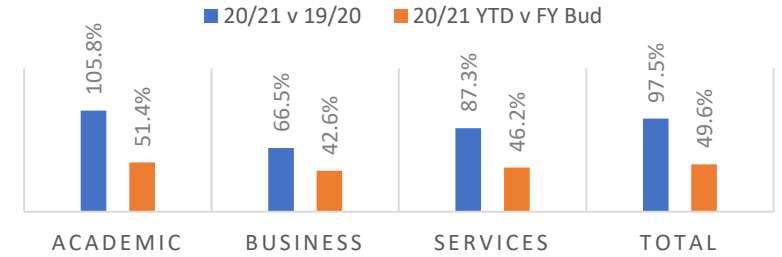
Staff Costs	5,939	923	2,531		9,393	19,655	47.8%
% Income	56.6%	70.5%	18.5%		68.8%	71.4%	

Non-Staff Costs	451	594	2,147	(50)	3,192	6,636	48.1%
Bursary/Hardship Funding	0	0	1,289		1,289	3,131	41.2%
% Income	4.3%	45.4%	184.7%		32.8%	35.5%	

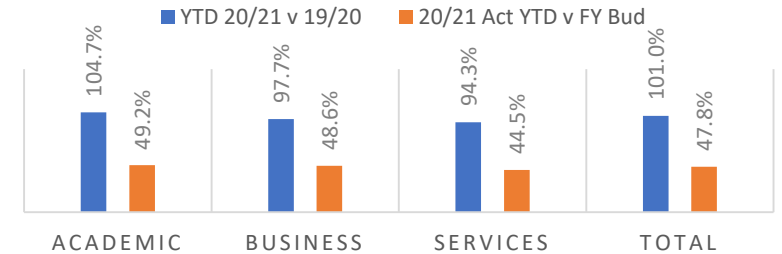
<b>AOP Surplus/(Deficit)</b>	<b>4,096</b>	<b>(208)</b>	<b>(4,107)</b>	<b>0</b>	<b>(218)</b>	<b>(1,897)</b>	
% Income	39.1%	(15.9)%	(30.1)%		(1.6)%	(6.9)%	

Release of Deferred Grant					114.4	219.8	52.1%
Depreciation					689.2	1,030.0	66.9%
Surplus/Deficit					(793.1)	(2,707.7)	29.3%

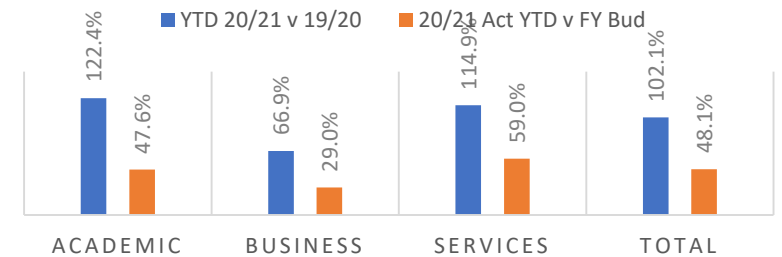
## INCOME



## STAFF COSTS



## NON-STAFF COSTS



# Academic

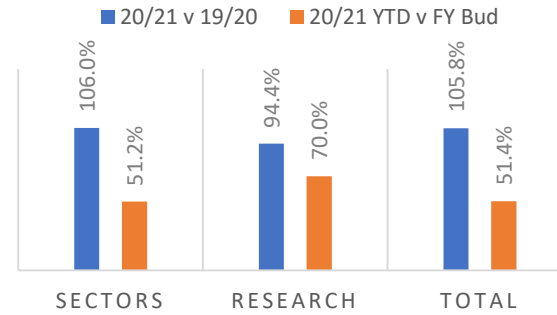
January 2020

## Headlines

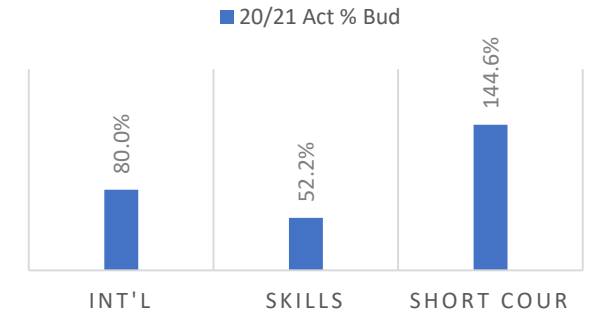
- Academic funding income not structured today.
- Most International income is earned at the start of the year explaining high % through 6 months.
- Commercial Skills e.g. FWDF, Managing Agents etc impacted by COVID.
- YTD Research non-staff costs need to be reviewed.

Jan YTD 20/21	Research	YTD Act	FY Bud	YTD Usage
Funding		7,470.1	15,448.4	48.4%
Tuition Fees	44.5	1,891.7	3,034.0	62.3%
Commercial	102.5	1,124.5	1,936.9	58.1%
Bursary/Hardship Funding		0.0	0.0	
<b>Total Income</b>	<b>146.9</b>	<b>10,486.3</b>	<b>20,419.3</b>	<b>51.4%</b>
Staff Costs	121.8	5,938.8	12,070.7	49.2%
% Income	82.9%	56.6%	59.1%	
Non-Staff Costs	1.7	451.4	949.1	47.6%
% Income	1.1%	4.3%	4.6%	
<b>AOP Surplus/(Deficit)</b>	<b>23</b>	<b>4,096</b>	<b>7,399</b>	
% Income	16.0%	39.1%	36.2%	

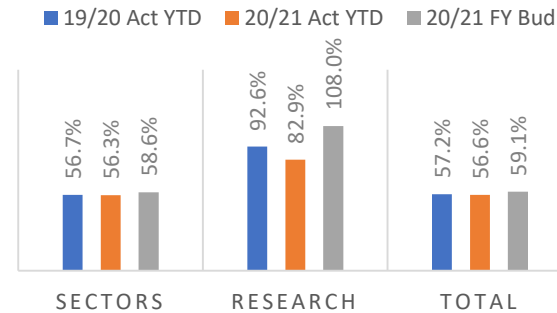
## INCOME



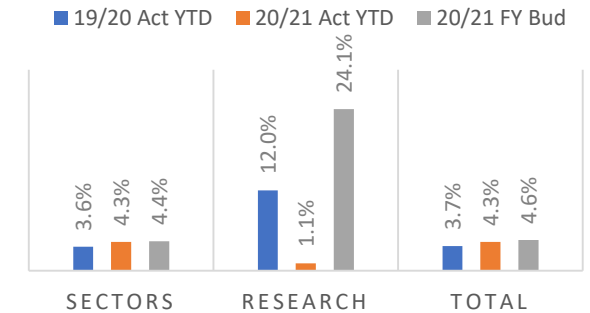
## COMMERCIAL INCOME



## STAFF COSTS % INCOME



## NON-STAFF COSTS % INCOME



# Business

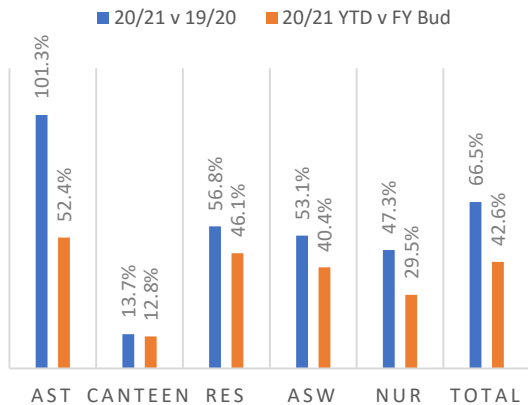
January 2020

Jan YTD 20/21	AST	Canteen	Residences	ASW	Nursery	YTD Act	FY Budget	YTD Usage
Funding						0.0	0.0	
Tuition Fees	928.9					928.9	1,727.0	53.8%
Commercial	10.6	63.5	100.1	139.7	66.3	380.2	1,349.2	28.2%
Bursary/Hardship Funding						0.0	0.0	
<b>Total Income</b>	<b>939.5</b>	<b>63.5</b>	<b>100.1</b>	<b>139.7</b>	<b>66.3</b>	<b>1,309.1</b>	<b>3,076.2</b>	<b>42.6%</b>
Staff Costs	554.3		1.7	205.7	161.3	922.9	1,899.1	48.6%
% Income	59.0%	0.0%	1.7%	147.2%	243.1%	70.5%	61.7%	
Non-Staff Costs	239.5	151.3	125.0	73.2	5.0	593.9	2,049.1	29.0%
% Income	25.5%	238.2%	124.9%	52.4%	7.5%	45.4%	66.6%	
<b>AOP Surplus/(Deficit)</b>	<b>145.7</b>	<b>(87.8)</b>	<b>(26.6)</b>	<b>(139.2)</b>	<b>(99.9)</b>	<b>(208)</b>	<b>(872)</b>	
% Income	15.5%	(138.2)%	(26.6)%	(99.6)%	(150.6)%	(15.9)%	(28.3)%	

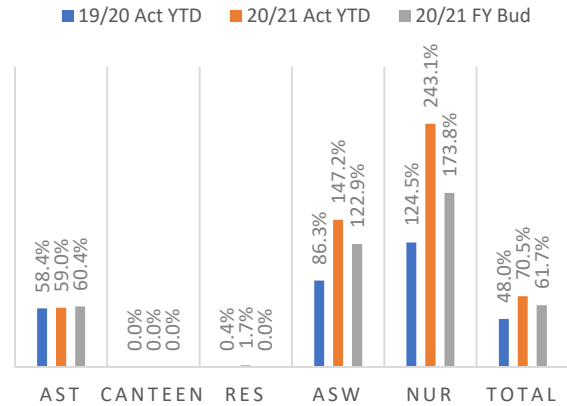
## Headlines

- COVID impacting income of a number of our Businesses.
- There may be some clawback available on residences for students who have gone home.
- Note that Services Non-Staff Costs include unbudgeted £250K spend for digital poverty and £30K for COVID supplies and cleaning. When these costs are excluded YTD 20/21 v 19/20 = 99.9% and 20/21 Act YTD v FY Bud = 51.3%.
- AST budget used in this model was the one included in the wider College budget approved by the Board at the end of July.
- Furlough monies are included in ASW, £28.7K & Nursery, £2.4K income.

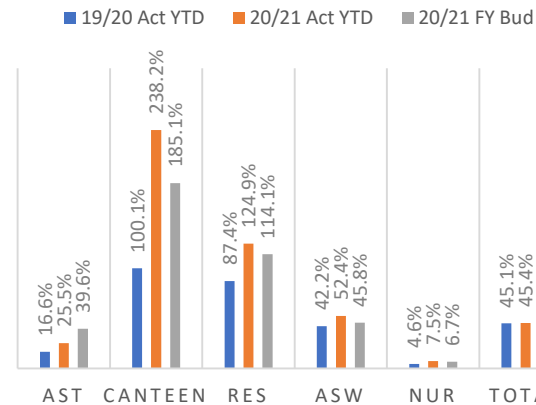
### INCOME



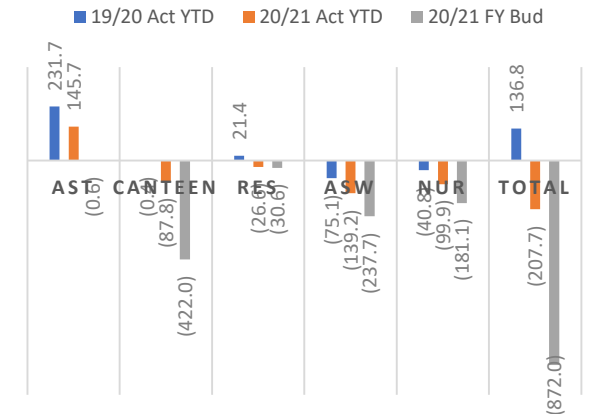
### STAFF COSTS % INCOME



### NON-STAFF COSTS % INCOME



### AOP £K





# Service

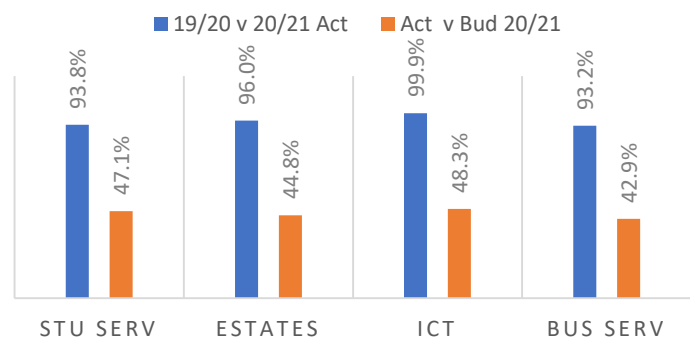
January 2020

Jan YTD 20/21	Student Services	Estates	ICT	Business Services	YTD Act	FY Budget	YTD Usage
Funding		427.2		0.0	427.2	898.4	47.6%
Tuition Fees				0.0	0.0	0.0	
Commercial	42.3	53.6		48.1	144.1	0.0	
Bursary/Hardship Funding	1,288.8				1,288.8	3,130.8	41.2%
<b>Total Income</b>	<b>1,331</b>	<b>481</b>	<b>0</b>	<b>48</b>	<b>1,860</b>	<b>4,029</b>	<b>46.2%</b>
Staff Costs	571.7	381.0	215.2	1,363.2	2,531.1	5,685.1	44.5%
% Income	4.2%	2.8%	1.6%	10.0%	18.5%	20.7%	
Non-Staff Costs	129.7	875.6	591.0	550.4	2,146.7	3,638.1	59.0%
Bursary/Hardship Funding	1,288.8				1,288.8	3,130.8	41.2%
% Income	0.9%	6.4%	4.3%	4.0%	15.7%	90.3%	
<b>AOP Surplus/(Deficit)</b>	<b>(659.1)</b>	<b>(775.7)</b>	<b>(806.2)</b>	<b>(1,865.5)</b>	<b>(4,106.6)</b>	<b>(8,424.8)</b>	
% Income	(4.8)%	(5.7)%	(5.9)%	(13.7)%	(30.1)%	(209.1)%	

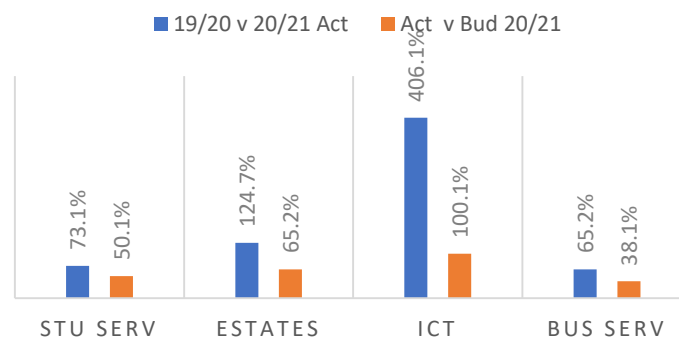
## Headlines

- COVID impacting income of a number of our Businesses.
- There may be some clawback available on residences for students who have gone home.
- Note that ICT Non-Staff Costs include unbudgeted £250K spend for digital poverty.
- AST budget used in this model was the one included in the wider College budget approved by the Board at the end of July.
- Estates non-staff spend higher than last year and > 50% of budget due to having Estates Manager in place. There has also been £30K of non budgeted cleaning and supply costs related to COVID.

### STAFF COSTS



### NON-STAFF COSTS



# Cash Flow

January 2020

FY Projected Closing Cash

3 Month Avg Cash Usage

£(461)K

£2.6M

£1.29M

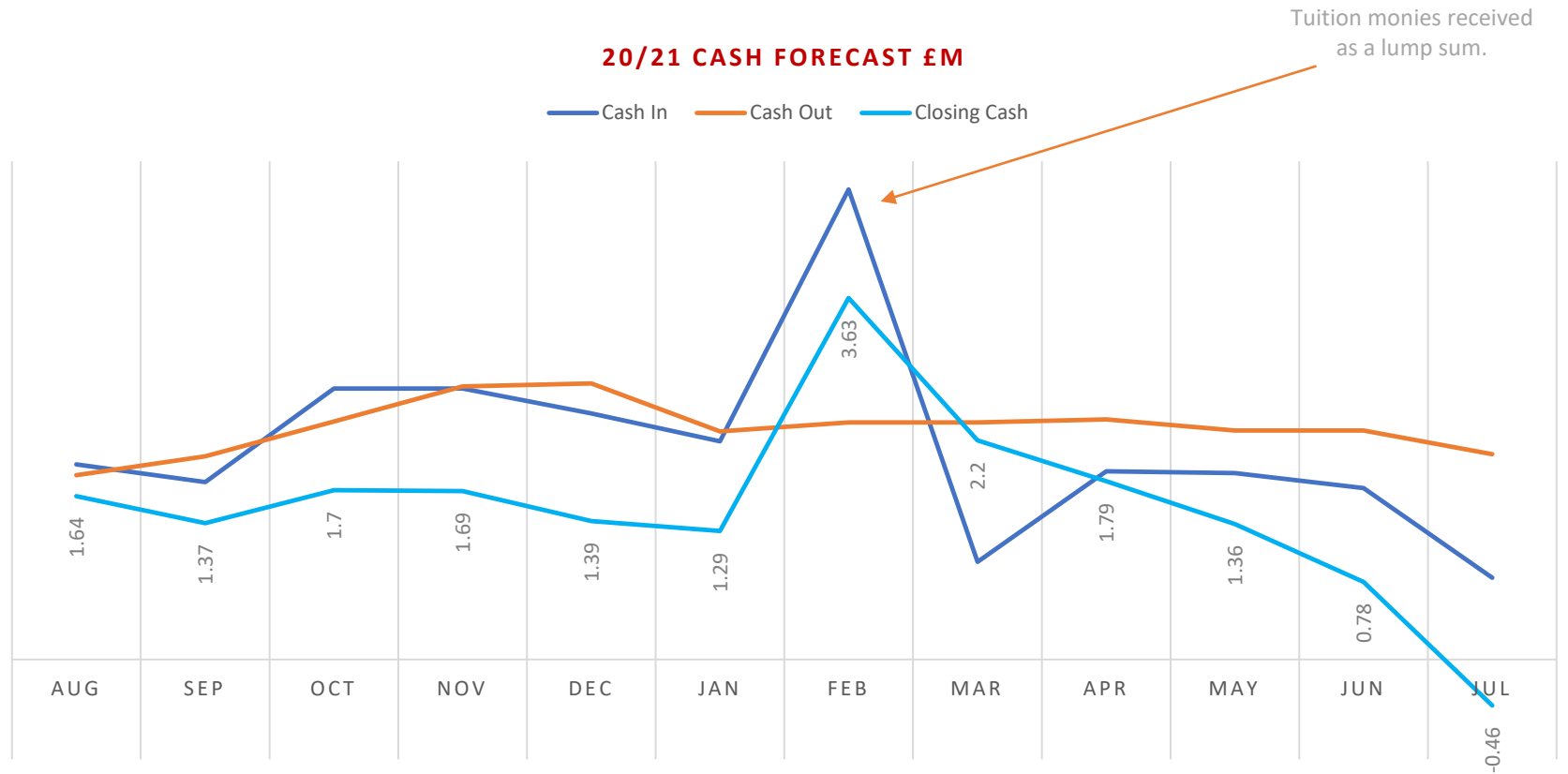
52.5%

Month Closing Cash Balance

YTD SFC Funding Drawdown (excl Estates)

## 20/21 CASH FORECAST £M

Cash In Cash Out Closing Cash



<b>Committee</b>	Board of Management
<b>Subject</b>	Financial Outlook
<b>Date of Committee meeting</b>	08/03/2021
<b>Author</b>	Iain Wishart, Finance Director
<b>Date paper prepared</b>	02/03/2021
<b>Executive summary of the paper</b>	Forward Financial look.
<b>Consultation</b> How has consultation with partners been carried out?	Presented at 8/03/21 Board Meeting
<b>Action requested</b>	<input checked="" type="checkbox"/> For information only <input checked="" type="checkbox"/> For discussion <input type="checkbox"/> For recommendation <input type="checkbox"/> For approval
<b>Resource implications</b> (If yes, please provide details)	<b>Yes/ No</b> Details the use and performance of resources
<b>Risk implications</b> (If yes, please provide details)	<b>Yes/ No</b> Details future financial position of the College
<b>Link with strategy</b> Please highlight how the paper links to the Strategic Plan, or assist with: <ul style="list-style-type: none"> <li>• Compliance</li> <li>• National Student Survey</li> </ul>	This project supports the delivery of the strategic aim Financial sustainability

<ul style="list-style-type: none"> <li>• partnership services</li> <li>• risk management</li> <li>• other activity [e.g. new opportunity] – please provide further information</li> </ul>	<p>This paper assists with risk management, compliance with legal duties and with the Code of Good College Governance.</p>
<p><b><u>Equality and diversity</u></b> Yes/ No If yes, please give details:</p>	<p>Click or tap here to enter text.</p>
<p><b>Island communities</b> Does this activity/ proposal have an effect on an island community which is significantly different from its effect on other communities (including other island communities)?</p>	<p>Yes/ No If yes, please give details: Click or tap here to enter text.</p>
<p><b><u>Data Protection</u></b> Does this activity/ proposal require a Data Protection Impact Assessment?</p>	<p>Yes/ No  Set out any data protection aspects and whether a data protection impact assessment is needed</p>
<p><b>Status</b> (e.g. confidential/non confidential)</p>	<p>Confidential</p>

<p><b>Freedom of information</b></p> <p>Can this paper be included in “open” business?* <b>-Yes</b></p>	<p>Papers should be open unless there is a compelling reason for them to remain closed. If a paper, or parts of a paper, are to remain closed the reason for that exemption must be specified – see reasons below</p>
---	---

\* If a paper should **not** be included within ‘open’ business, please highlight below the reason.

<p>Its disclosure would substantially prejudice a programme of research</p>	<p><input type="checkbox"/></p>	<p>Its disclosure would substantially prejudice the effective conduct of public affairs</p>	<p><input checked="" type="checkbox"/></p>
<p>Its disclosure would substantially prejudice the commercial interests of any person or organisation</p>	<p><input type="checkbox"/></p>	<p>Its disclosure would constitute a breach of confidence actionable in court</p>	<p><input type="checkbox"/></p>
<p>Its disclosure would constitute a breach of the Data Protection Act</p>	<p><input type="checkbox"/></p>	<p>Other [please give further details] Click or tap here to enter text.</p>	<p><input type="checkbox"/></p>

For how long must the paper be withheld? Until the OBC and FBC are approved and funding awarded to begin the project. This would be for an estimated 12 months.

Further guidance on application of the exclusions from Freedom of Information legislation is available via:

<http://www.itspublicknowledge.info/ScottishPublicAuthorities/ScottishPublicAuthorities.asp>

and

[http://www.itspublicknowledge.info/web/FILES/Public\\_Interest\\_Test.pdf](http://www.itspublicknowledge.info/web/FILES/Public_Interest_Test.pdf)

<b>Committee</b>	Finance Committee
<b>Subject</b>	Aviation Academy for Scotland – UHI Grant Approval
<b>Date of Committee meeting</b>	08/03/2021
<b>Author</b>	Veronica Lynch, Vice Principal
<b>Date paper prepared</b>	01/03/2021
<b>Executive summary of the paper</b>	<p>Please outline the follow elements of this paper:</p> <ul style="list-style-type: none"> <li>i) Purpose – what is it for</li> <li>ii) Impact – what are the intended outcomes</li> <li>iii) Course of Action – what happens next &amp; by whom</li> </ul> <p><b>Purpose:</b></p> <p>This paper provides an update to the Committee on the current status of the Aviation Academy for Scotland within the Tay Cities Deal bid together with an aviation industry outlook. It outlines the offer from UHI towards the project and seeks Board approval to accept the offer of £330,000 grant.</p> <p><b>Impact:</b></p> <p>This project will enable the College to access £5.96m of capital funding to develop an Aviation Academy for Scotland.</p> <p><b>Course of Action:</b></p> <p>Board approval to accept the grant award of £330k from UHI will enable the project to progress to the next stage in its development. This grant funding will contribute towards 50% of the estimated cost of the professional fees. The feasibility study to quantify the cost of the capital build will enable the College to create a project Income and Expenditure profile to determine the total project costs and associated revenues over the 10 year</p>

## Perth College UHI

	period of the project. This will be submitted to the Board for approval at the June Board.
<b>Consultation</b> Please note which related parties, stakeholders and/or Committees have been consulted	Consultation has been undertaken with UHI, SMT, senior academic staff and AST.
<b>Action requested</b>	<input type="checkbox"/> For information <input checked="" type="checkbox"/> For discussion <input checked="" type="checkbox"/> For endorsement <input checked="" type="checkbox"/> Strongly recommended for approval <input type="checkbox"/> Recommended with guidance (please provide further information, below)
<b>Resource implications</b> Does this activity/proposal require the use of College resources to implement? If yes, please provide details.	<b>Yes/ No</b> An income and expenditure plan will be submitted to FGPC and the College Board in the next board cycle.
<b>Risk implications</b> Does this activity/proposal come with any associated risk to the College, or mitigate against existing risk? (If yes, please provide details)	<b>Yes/ No</b> The grant offer of £330k from UHI equates to only 54% of the bid value of £605k. This potentially poses a risk that the balance of the professional fees being funded through the Tay Cities Deal Grant may be insufficient to create the size of building required to deliver the outputs for the project. This will be reviewed once the feasibility report is received and the project I&E plan is able to be finalised.
<b>Link with strategy</b> Please highlight how the paper links to the Strategic Plan, or assist with: <ul style="list-style-type: none"> <li>• Compliance</li> <li>• National Student Survey</li> <li>• partnership services</li> <li>• risk management</li> </ul>	International Ambition Curriculum STEM Strategy Financial Sustainability Strategic Reputation AST Business Plan

## Perth College UHI

<ul style="list-style-type: none"> <li>other activity [e.g. new opportunity] – please provide further information</li> </ul>	
<p><b><u>Equality and diversity</u></b></p> <p>Does this activity/proposal require an Equality Impact Assessment?</p> <p>If yes, please give details:</p>	<p>Yes/ No</p>
<p><b><u>Data Protection</u></b></p> <p>Does this activity/proposal require a Data Protection Impact Assessment?</p> <p>If yes, please give details:</p>	<p>Yes/ No</p> <p>Click or tap here to enter text.</p>
<p><b>Island communities</b></p> <p>Does this activity/ proposal have an effect on an island community which is significantly different from its effect on other communities (including other island communities)?</p>	<p>Yes/ No</p> <p>If yes, please give details:</p> <p>Click or tap here to enter text.</p>
<p><b>Status</b> (e.g. confidential/non confidential)</p>	<p>Confidential</p>
<p><b>Freedom of information</b></p> <p>Can this paper be included in “open” business?*</p>	<p>Yes/ No</p>

\* If a paper should **not** be included within ‘open’ business, please highlight below the reason.

<p>Its disclosure would substantially prejudice a programme of research</p>	<input type="checkbox"/>	<p>Its disclosure would substantially prejudice the effective conduct of public affairs</p>	<input type="checkbox"/>
---	--------------------------	---	--------------------------



## Perth College UHI

Its disclosure would substantially prejudice the commercial interests of any person or organisation	<input checked="" type="checkbox"/>	Its disclosure would constitute a breach of confidence actionable in court	<input type="checkbox"/>
Its disclosure would constitute a breach of the Data Protection Act	<input type="checkbox"/>	Other [please give further details] Click or tap here to enter text.	<input type="checkbox"/>

For how long must the paper be withheld? Until the Full Business Case is approved – estimated date 12 months.

Further guidance on application of the exclusions from Freedom of Information legislation is available via:

<http://www.itspublicknowledge.info/ScottishPublicAuthorities/ScottishPublicAuthorities.asp>  
and [http://www.itspublicknowledge.info/web/FILES/Public\\_Interest\\_Test.pdf](http://www.itspublicknowledge.info/web/FILES/Public_Interest_Test.pdf)

**Perth College UHI**

Paper No. 8

<b>Committee</b>	Finance and General Purposes Committee
<b>Subject</b>	Estates Update
<b>Date of Committee meeting</b>	08/03/2021
<b>Author</b>	Kevin Lynch, Head of Estates
<b>Date paper prepared</b>	01/03/2021
<b>Executive summary of the paper</b>	Update on the recent and future activities within the Estates department.
<b>Consultation</b> Please note which related parties, stakeholders and/or Committees have been consulted	N/A
<b>Action requested</b>	<input checked="" type="checkbox"/> For information <input type="checkbox"/> For discussion <input type="checkbox"/> For endorsement <input type="checkbox"/> Strongly recommended for approval <input type="checkbox"/> Recommended with guidance (please provide further information, below)
<b>Resource implications</b> Does this activity/proposal require the use of College resources to implement? If yes, please provide details.	No
<b>Risk implications</b>	No

## Perth College UHI

<p>Does this activity/proposal come with any associated risk to the College, or mitigate against existing risk? (If yes, please provide details)</p>	<p>Click or tap here to enter text.</p>
<p><b>Link with strategy</b> Please highlight how the paper links to the Strategic Plan, or assist with:</p> <ul style="list-style-type: none"> <li>• Compliance</li> <li>• National Student Survey</li> <li>• partnership services</li> <li>• risk management</li> <li>• other activity [e.g. new opportunity] – please provide further information</li> </ul>	<p>Click or tap here to enter text.</p>
<p><b><u>Equality and diversity</u></b> Does this activity/proposal require an Equality Impact Assessment? If yes, please give details:</p>	<p>No</p>
<p><b><u>Data Protection</u></b> Does this activity/proposal require a Data Protection Impact Assessment? If yes, please give details:</p>	<p>No</p> <p>Click or tap here to enter text.</p>
<p><b>Island communities</b> Does this activity/ proposal have an effect on an island community which is significantly different from its effect on other communities (including other island communities)?</p>	<p>No</p> <p>If yes, please give details:</p> <p>Click or tap here to enter text.</p>

## Perth College UHI

<b>Status</b> (e.g. confidential/non confidential)	Non-Confidential
<b>Freedom of information</b> Can this paper be included in "open" business?*	Yes

\* If a paper should **not** be included within 'open' business, please highlight below the reason.

Its disclosure would substantially prejudice a programme of research	<input type="checkbox"/>	Its disclosure would substantially prejudice the effective conduct of public affairs	<input type="checkbox"/>
Its disclosure would substantially prejudice the commercial interests of any person or organisation	<input type="checkbox"/>	Its disclosure would constitute a breach of confidence actionable in court	<input type="checkbox"/>
Its disclosure would constitute a breach of the Data Protection Act	<input type="checkbox"/>	Other [please give further details] Click or tap here to enter text.	<input type="checkbox"/>

For how long must the paper be withheld? [Click or tap here to enter text.](#)

Further guidance on application of the exclusions from Freedom of Information legislation is available via:

<http://www.itspublicknowledge.info/ScottishPublicAuthorities/ScottishPublicAuthorities.asp>

and

[http://www.itspublicknowledge.info/web/FILES/Public\\_Interest\\_Test.pdf](http://www.itspublicknowledge.info/web/FILES/Public_Interest_Test.pdf)

## **Estates Update March 2021**

### **Introduction**

The following report provides an update of activities within the Estates Department as of 1<sup>st</sup> March 2021.

### **Covid 19**

We continue to review and monitor the Covid 19 measures we have in place across the campus, which are proving to be effective, but we remain vigilant and closely monitor compliance with the Scottish Government guidelines.

The Head of Estates continues to Chair the Covid Response Group and the group continues to meet weekly to monitor and discuss matters, with the group being an official sub-committee. We are also continuing to keep adequate supplies of PPE, hand sanitizer etc and this is costing the college around £2000 per month, although this cost may rise as the numbers of staff and students on campus increase.

We have had 2 members of the Estates team test positive for Covid, with one having just tested positive on Monday 15<sup>th</sup> February and the other has been off since the 15<sup>th</sup> of January and returned to work on the 22<sup>nd</sup> of February. From the information received, neither caught the virus on campus.

### **Condition Survey**

Faithful and Gould Construction Consultants were commissioned to carry out a full detailed stock condition survey of the campus buildings in November 2020. The information gathered from the condition survey will help inform us of the backlog maintenance required, what the priorities are in relation to budget allocation and the associated costs, as well as assisting us with producing an Estates Strategy and longer term planned maintenance and capital works programmes.

We have just received the full survey report on the 1<sup>st</sup> of March and we will now analyse the report and update the relevant stakeholders once the analysis is complete.

### **Estates Strategy**

We are currently working with APUC on an appointment to take forward the Estates Strategy. Should there be no suitable framework or supplier available through the APUC, given the costs involved, we would have to go out to tender. Further updates will be provided as we progress. The condition survey will feed into the Estates Strategy by informing what is and is not, fit for purpose and this may raise questions and require decisions on matters such as, 'do we continue to spend money on something that is not fit for purpose?'. However as stated previously, these questions will become clearer as we analyse the condition survey.

### **Aviation Academy**

The feasibility study was presented to SMT on Tuesday 23<sup>rd</sup> February. Various location options were discussed with the grassed area next to the Goodlyburn building being the preferred option, however, the Vice Principle (External Engagement) is presenting a paper to this committee for update.

It is worth noting that the budget for this project was agreed back in 2016 with the previous Chief Operating Officer and now five years later with increased construction costs etc. there will not be the same value for money which may affect the size of the building.

### **Flood/Insurance**

The flood re-instatement works are 95% complete. There was a slight hold up with the availability of materials but works should be 100% complete by mid March.

We did however have another flood in the Boardroom in the Brahan, due to frozen pipes caused by the heavy snow we recently had. Damage was limited to floorcoverings in rooms 018, 018A, 019 and the storerooms in the old Hair and Beauty area. We are currently in discussions with our insurance provider to determine the nature of any insurance claim.

### **Contracts and Tenders**

We are continuing to work with APUC to use any available frameworks, ensuring we are compliant for all open tenders as well as looking for savings where appropriate.

There are quite a few contracts expiring around the same time, so we are trying to re programme contract expiry dates to a more even sequence by applying contract extensions where appropriate and in line with procurement legislation. The table below, shows the contracts we are currently working on;

**Table 1**

<b>Contract</b>	<b>Status</b>	<b>Comments</b>
Painting and Decorating	Awarded	Pankhurst Decorators awarded 2 year plus 2 x 1 year extension options on 22/02/2021
Flooring	Awaiting evaluation	Tenders returned on 26/02/2021 and await evaluation with a view to awarding w/c 08/03/2021
Plumbing works	Currently out to tender	Tenders due to be returned on 10/03/2021
Lift Maintenance and Servicing	Currently out to tender	Tenders due to be returned on 08/03/2021
Kitchen Equipment Deep Clean	Extended	Contract extended to 31/03/2022
Fixed Wire Testing	Extended	Contract extended to 01/05/2022
Waste Management	Extended	Contract extended to 31/07/2022
Service and Maintenance of Fire Extinguishers and Associated Products	Tender documentation being prepared	Tenders to be published in April 2021

We are also exploring the possibility of merging some contracts with a view to making potential savings. Contracts for heating, ventilation, fire alarm, intruder alarm, CCTV etc. are all separate

contracts at the current time but it may benefit the College to merge these into two contracts as opposed to five.

As you may be aware, the current College catering provider contract expires at the end of June 2021 and the current provider, Sodexo has let it be known that they do not wish to re-tender for this. The college is currently working with APUC on the available options and progress will be advised as and when.

### **Academy of Sport and Wellbeing**

The flooring issues at the ASW are still ongoing with the main issue being that the moisture content in the ground floor concrete slab being too high before the floorcoverings were laid. This could have been alleviated by applying a latex screed to the slab before laying the floorcoverings, but this was not done. In normal circumstances, this would be classed as a 'latent defect' however, the issue of 'latent defect' is all the more complex due to the fact that the main contractor, Dixons, have gone into liquidation and the College will have to be added to the list of creditors. We are seeking legal advice on the matter.

To progress matters now, we are in the process of obtaining quotes with a view to renewing the floorcoverings before Covid restrictions are lifted.

### **Adverse Weather**

As you may be aware, the college was closed for a full week due to the heavy snow we experienced w/c 8<sup>th</sup> February. The Estates team worked extremely hard during the worst of the weather to try and keep the campus open but were ultimately beaten.

They did however ensure that the campus was safe to open on the 15<sup>th</sup> of February and was free of snow and ice.

### **Current Works**

**Essential Maintenance** - Whilst there are low numbers of staff and students on campus, we continue to carry out essential maintenance such as legionella control, lift servicing, gas servicing, etc. and all relevant risk assessments have been completed to include adherence with Scottish Government guidance on Covid-19.

**Joiners Workshop** – We have just received the building warrant for carrying the works to link the workshop to the old sports hall, on Friday 19<sup>th</sup> February and this will allow these works to progress.

**Summer Works** – We are currently assessing the summer works and have almost completed the full list that will allow us to commit to the budget spend for 2020/21. We will then progress matters to putting works out tender. We will also assess the summer works list against any health and safety issues highlighted from the condition survey and make any necessary changes to ensure the campus remains a safe environment.

The table below provides a summary of works we intend carrying out this summer, along with estimate costs, however, both what we do and how much it costs are subject to change.

**Table 2**

<b>Proposed Works</b>	<b>Estimate Costs</b>
Decoration	£20,000
Flooring works	£25,000
Led lighting upgrade	£30,000
Suspended ceilings	£20,000
Car charging point	£15,000
Joiners workshop alterations	£15,000
Fencing repairs	£10,000
CCTV	£10,000
Car park resurfacing	£20,000
Car park relining	£20,000
Misc	£40,000
<b>Total</b>	<b>£225,000</b>

**Kevin Lynch**

**Head of Estates**



<b>Committee</b>	Finance & General Purposes Committee
<b>Subject</b>	HR Update
<b>Date of Committee meeting</b>	02/03/2021
<b>Author</b>	Katy Lees, Head of HR & Organisational Development
<b>Date paper prepared</b>	22/02/2021
<b>Executive summary of the paper</b>	Update on key HR issues for the period to end of January 2021
<b>Consultation</b> How has consultation with partners been carried out?	N/A
<b>Action requested</b>	<input checked="" type="checkbox"/> For information <input type="checkbox"/> For discussion <input type="checkbox"/> For recommendation <input type="checkbox"/> For approval
<b>Resource implications</b> (If yes, please provide details)	No
<b>Risk implications</b> (If yes, please provide details)	
<b>Link with strategy</b> Please highlight how the paper links to the Strategic Plan, or assist with: <ul style="list-style-type: none"> <li>• Compliance</li> <li>• National Student Survey</li> <li>• partnership services</li> <li>• risk management</li> <li>• other activity [e.g. new opportunity] – please provide further information</li> </ul>	

## Perth College UHI

<u>Equality and diversity</u> Yes/ No If yes, please give details:	No
<b>Island communities</b> Does this activity/ proposal have an effect on an island community which is significantly different from its effect on other communities (including other island communities)?	No
<u>Data Protection</u> Does this activity/ proposal require a Data Protection Impact Assessment?	No
<b>Status</b> (e.g. confidential/non confidential)	Non-Confidential
<b>Freedom of information</b> Can this paper be included in “open” business?*	Open Business

\* If a paper should **not** be included within ‘open’ business, please highlight below the reason.

Its disclosure would substantially prejudice a programme of research	<input type="checkbox"/>	Its disclosure would substantially prejudice the effective conduct of public affairs	<input type="checkbox"/>
Its disclosure would substantially prejudice the commercial interests of any person or organisation	<input type="checkbox"/>	Its disclosure would constitute a breach of confidence actionable in court	<input type="checkbox"/>
Its disclosure would constitute a breach of the Data Protection Act	<input type="checkbox"/>	Other [please give further details] Click or tap here to enter text.	<input type="checkbox"/>

For how long must the paper be withheld? Click or tap here to enter text.

Further guidance on application of the exclusions from Freedom of Information legislation is available via:

<http://www.itspublicknowledge.info/ScottishPublicAuthorities/ScottishPublicAuthorities.asp>  
and

[http://www.itspublicknowledge.info/web/FILES/Public\\_Interest\\_Test.pdf](http://www.itspublicknowledge.info/web/FILES/Public_Interest_Test.pdf)

## **F&GP Committee HR&OD Update**

**Prepared by:** Katy Lees, Head of HR & Organisational Development

**Date:** 22 February 2021

### **National Job Evaluation Scheme**

This process is ongoing and there are no updates at the current time.

### **National Bargaining**

The Support Staff pay award has yet to be agreed but will need to be backdated to the 1 September 2020.

### **CIPHR (HR system)**

The HR system was upgraded on the 13 January 2021, with also an upgrade to our recruitment module. There have been some challenges which we are still working through which is causing us to have to do more manual checking with the system. These have all been raised with CIPHR who are looking to address them.

### **Health and Safety Committee**

Four subgroups are now in place as subgroups of the College's Health and Safety Committee, these are

- Covid Response Group – meeting weekly
- Policies and Procedures Group – meeting biannually, but more initially needed
- Health and Wellbeing Group for Staff
- Health and Wellbeing Group for Students

The Policies and Procedures Group has met once and has issued a workplan for its members to review all of the Health and Safety related policies, procedures, arrangements etc. This work is now underway.

A draft terms of reference for the Health and Wellbeing Group for Students came to the last Health and Safety Committee, but further work is being done on this between HISA and the Head of Student Experience.

### **Equality and Diversity**

New Equality Objectives for the coming 4 years are being proposed for the College and a consultation process is about to commence to gain feedback on the proposals.

Work is underway to complete our statutory reporting requirements by our deadlines of the 31 March 2021 and the 30 April 2021.

EQIA's are now being put in place for all new or updated policies, procedures or strategies.

The Preventing Racism Working Group has met and is now underway.

## **Health, Safety and Wellbeing**

### **Stress Survey**

The College conducted an online Stress Survey in January, with 278 staff responding. The Health and Wellbeing Group are currently analysing the responses and shall make recommendations for further actions to the Health and Safety Committee. Outcomes of the survey shall also influence the organisational Stress Risk Assessment.

## Risk Assessments

Following the external audit in May 2020 and comments and observations made regarding risk assessors and risk assessments, 51 staff members have completed Risk Assessor Training in January and February. Those who attended training must submit a risk assessment with a minimum of 3 hazards, identifying effective controls and overall risk “rating” to the HSWA for scrutiny prior to achieving a pass and competency standard. To date, 14 staff have achieved a pass with a final date for submission of 05 March for the February candidates.

## Covid-19

As has been the case for the past 11 months, the College has kept abreast of Covid Regulations and Guidance from UK and Scottish Governments and other governing bodies. The Covid Response Group meets weekly and issues are discussed in partnership with academic, support and trades union representatives. The College maintains vigilance and high standards in its Covid safe measures and protocols. Organisational, Curriculum and Departmental Covid safe assessments are written, consulted upon and reviewed regularly, keeping up to date with the ever-moving situation.

## Sickness Absence

Please find below college sickness absence information for the academic year 2020/21

CIPHR	2019/2020 (full year)		2020/2021 (August - January)	
	Total Sick Days	Average Sick Days per Head	Total Sick Days	% sick days of total sick days in previous year
Management	35	1.95	0	0
Support	3161.5	12.65	1004	32%
Academic	852	3.46	113	13%
Total	4048.50	7.88	1117	28%

The cumulative sickness absence rates for the College for the period from 1 August 2020 to 31 January 2021 are shown above, if it is presumed that absence rates follow a linear correlation then we would expect total sickness absence to be 2024 days at this point and we are 907. However, it must be noted due to COVID-19 there cannot be any normal expectations of sickness absence during 20-21. There is a higher likelihood of presenteeism as staff members look at ways of coping with continued working from home, and I can anticipate that in the future we will start to see significant more absence due to mental health related matters.

When considering the split for Short Term and Long-Term sickness absence the table below shows the current position.

	Cumulative (Aug 2019 - July 2020)		(Aug 2020 – January 2021)	
	Short Term - Total Sick Days	Long Term - Total Sick Days	Short Term - Total Sick Days	Long Term - Total Sick Days
Management	35	0	0	0
Support	1522.5	1639	366	638
Academic	339	513	56	57
Total	1896.5	2152	422	695

The data above shows over 60% of the College's sickness absence is attributed to long term sickness absence predominantly within the Support Staff group of staff. At the end of January there were 5 members of staff on long term sickness absence in January 2021, 2 of whom has now returned to work. None of these are linked to work related stress.

### **Organisational Development**

There has not been any significant changes in the completion rate for mandatory trainings as a number of new staff (45) have started which impact on the figures and also staff are now hitting their renewal period so will have to redo the training so I would expect these number to fluctuate during the year. The College has set a target of 90% completion in the trainings below by the end of the academic year

### **Staff Survey**

The Staff Survey process has been delayed.

<b>Committee</b>	Finance & General Purposes Committee
<b>Subject</b>	Risk Register – F&GP
<b>Date of Committee meeting</b>	08/03/2021
<b>Author</b>	Ian McCartney, Clerk to the Board of Management
<b>Date paper prepared</b>	01/03/2021
<b>Executive summary of the paper</b>	<p>This paper provides F&amp;GP Committee with an opportunity to scrutinise and assess those Strategic Risks determined to be within the Committee’s purview.</p> <p>Committee members are asked to:</p> <ol style="list-style-type: none"> <li>i. Discuss the appropriateness of each Risk for the Committee;</li> <li>ii. Review the currency of the Action Plan;</li> <li>iii. Assess the impact of mitigations;</li> <li>iv. Consider any additional areas of Risk not identified within the current Register, in particular any considerations related to COVID-19 impacting on areas related to the remit of Engagement Committee</li> </ol> <p>All new updates within the document have been highlighted in <b>red</b>. Items in individual Risk Areas linked to COVID-19 are highlighted in <b>blue</b>. In addition, these items are cross-referenced again the main COVID-19 Risk Area 30</p> <p>There have been amendments/additions to actions in Risk References 18 &amp; 24.</p>
<b>Consultation</b> Please note which related parties, stakeholders and/or Committees have been consulted	Members of SMT have ownership of the risks within the register and have been consulted on Committee allocation.

## Perth College UHI

<p><b>Action requested</b></p>	<p><input checked="" type="checkbox"/> For information</p> <p><input checked="" type="checkbox"/> For discussion</p> <p><input type="checkbox"/> For endorsement</p> <p><input type="checkbox"/> Strongly recommended for approval</p> <p><input type="checkbox"/> Recommended with guidance (please provide further information, below)</p>
<p><b>Resource implications</b></p> <p>Does this activity/proposal require the use of College resources to implement?</p> <p>If yes, please provide details.</p>	<p><del>Yes</del>/ No</p>
<p><b>Risk implications</b></p> <p>Does this activity/proposal come with any associated risk to the College, or mitigate against existing risk?</p> <p>(If yes, please provide details)</p>	<p><del>Yes</del>/No</p> <p>Without continual review of the risk register there are potential implications that significant risks are not mitigated.</p>
<p><b>Link with strategy</b></p> <p>Please highlight how the paper links to the Strategic Plan, or assist with:</p> <ul style="list-style-type: none"> <li>• Compliance</li> <li>• National Student Survey</li> <li>• partnership services</li> <li>• risk management</li> <li>• other activity [e.g. new opportunity] – please provide further information</li> </ul>	<p>The Strategic risk register is the core risk management tool used within Perth College UHI.</p>
<p><b><u>Equality and diversity</u></b></p> <p>Does this activity/proposal require an Equality Impact Assessment?</p> <p>If yes, please give details:</p>	<p><del>Yes</del>/No</p>

## Perth College UHI

<p><b><u>Data Protection</u></b></p> <p>Does this activity/proposal require a Data Protection Impact Assessment?</p> <p>If yes, please give details:</p>	<p><del>Yes</del>/No</p> <p>Click or tap here to enter text.</p>
<p><b>Island communities</b></p> <p>Does this activity/ proposal have an effect on an island community which is significantly different from its effect on other communities (including other island communities)?</p>	<p><del>Yes</del>/No</p> <p>If yes, please give details:</p> <p>Click or tap here to enter text.</p>
<p><b>Status</b> (e.g. confidential/non confidential)</p>	<p>Non Confidential</p>
<p><b>Freedom of information</b></p> <p>Can this paper be included in “open” business?*</p>	<p>Yes/<del>No</del></p>

\* If a paper should **not** be included within ‘open’ business, please highlight below the reason.

<p>Its disclosure would substantially prejudice a programme of research</p>	<input type="checkbox"/>	<p>Its disclosure would substantially prejudice the effective conduct of public affairs</p>	<input type="checkbox"/>
<p>Its disclosure would substantially prejudice the commercial interests of any person or organisation</p>	<input type="checkbox"/>	<p>Its disclosure would constitute a breach of confidence actionable in court</p>	<input type="checkbox"/>
<p>Its disclosure would constitute a breach of the Data Protection Act</p>	<input type="checkbox"/>	<p>Other [please give further details] Click or tap here to enter text.</p>	<input type="checkbox"/>

For how long must the paper be withheld? Click or tap here to enter text.

Further guidance on application of the exclusions from Freedom of Information legislation is available via:

<http://www.itspublicknowledge.info/ScottishPublicAuthorities/ScottishPublicAuthorities.asp>

and

[http://www.itspublicknowledge.info/web/FILES/Public\\_Interest\\_Test.pdf](http://www.itspublicknowledge.info/web/FILES/Public_Interest_Test.pdf)





Ref	Risk Status	Strategic Category	RISK AREA, Risk Description & Primary Sub-Committee	Causes	Impacts/Evidence	Owner	Likelihood	Impact	Gross Risk	Actions to minimise risk IN PLACE	Residual Risk	Trend	CURRENT ACTION PLAN		
													Actions to minimise risk TO DO	Action Owner	Completion Date
6*	Active	Inspiring and supporting our students to achieve their potential.	<p><b>IT infrastructure &amp; implementation</b></p> <p>Technology not fit for purpose.</p> <p>No replacement or upgrade of critical ICT and academic equipment.</p> <p>Heightened risk of cyber attack</p> <p>Licenses for specialist software classroom-based rather than individual</p> <p><b>F&amp;GP</b></p>	<ul style="list-style-type: none"> <li>Changes in ICT development and technology.</li> <li>Changing in Learning and Teaching practices.</li> <li>Increase in network delivery of teaching.</li> <li>Increased use of social networking.</li> <li>Inadequate VC facilities for larger classes.</li> <li>Additional requirements from curriculum development and growth.</li> <li>Technological innovation.</li> <li>Lack of Integrated Information Systems</li> </ul>	<ul style="list-style-type: none"> <li>Higher investment in resources required.</li> <li>Need to continually alter accommodation.</li> <li>Available resources limit delivery options.</li> <li>Poor student and staff feedback.</li> <li>Lack of knowledge of system design</li> <li>Duplication of data and processes</li> </ul>	Vice Principal External / Depute Principal Academic	4	3	12	<ul style="list-style-type: none"> <li>Developed robust Curriculum Development Plan.</li> <li>Link ICT changes in L&amp;T practice to Estates Planning.</li> <li>Review and implement working practices to optimise available space and working times through use of CELCAT Management Reports.</li> <li>Operational Planning process and resource commitments system in place.</li> <li>Prioritise investment required for resources for key curriculum areas.</li> <li>Ongoing evaluation of VC capacity and teaching space in line with curriculum delivery plan.- complete</li> <li>ICT rolling programme of replacement – focus changed from classroom-based PCs to provision of laptops</li> <li>Shared licence purchases with UHI</li> <li>UHI Wi-Fi Service upgrade: Continue existing Wi-Fi network service until the new service has been proved through a pilot</li> <li>Bright Space implementation -Staff training sessions ongoing throughout February</li> <li>VC Application change to Webex teams.</li> <li>GDPR Training sessions: Awareness of issues around transferring data</li> <li>New Operational Planning Process</li> <li>Change tracker for Payroll Process</li> <li>Communicate changes to staff and students</li> <li>Opportunities/impetus presented by Scottish Government Digital Strategy</li> <li>Digital Poverty transition project</li> <li>ICT rolling programme</li> </ul>	9	↔	<ul style="list-style-type: none"> <li>Rigorous approach to timetabling and utilisation of rooms.</li> <li>ICT Budget and replacement.</li> <li>Commission tender process for integrated Finance/Payroll/HR system</li> <li>Migration of online training to Webex</li> <li>ICT Strategy Group to develop ICT Strategy</li> <li>Implement agreed priorities from College Sector Digital Ambition</li> </ul>	<p>Depute Principal Academic</p> <p>ICT Manager</p> <p>Vice Principal</p> <p>Associate Principal</p> <p>Vice Principal</p> <p>Vice Principal</p>	<p>Ongoing</p> <p>Ongoing</p> <p>June 2021</p> <p>Dec 2020</p> <p>July 2021</p> <p>July 2021</p>





Ref	Risk Status	Strategic Category	RISK AREA, Risk Description & Primary Sub-Committee	Causes	Impacts/ Evidence	Owner	Likelihood	Impact	Gross Risk	Actions to minimise risk IN PLACE	Residual Risk	Trend	Actions to minimise risk TO DO	Action Owner	Completion Date
13*	Active	Developing a successful and sustainable organisation.	<p><b>Shared services</b></p> <p>Lose control of critical processes and systems through Shared Services</p> <p>Shared Service Model controlled by UHI EO and UHI Finance &amp; General Purposes and University Court.</p> <p><b>F&amp;GP</b></p>	<ul style="list-style-type: none"> <li>Insufficient planning.</li> <li>Inadequate backup.</li> <li>Poor training and inadequate communications.</li> <li>Loss of control of direct employees.</li> <li>Reduced service level.</li> <li>Additional cost.</li> <li>Lag in service improvement.</li> <li>Loss of control over capital investment.</li> </ul>	<ul style="list-style-type: none"> <li>Disruption to business systems and student learning.</li> <li>Increased costs.</li> </ul>	Principal	3	3	9	<ul style="list-style-type: none"> <li>Involved in thorough planning. Members of the LIS Shared Service Board.</li> <li>Member of the Shared Service Programme Board.</li> <li>Maintain Perth College input into development of shared services.</li> </ul>	9	↔	<ul style="list-style-type: none"> <li>Agree principle of Service Level Agreements with UHI</li> <li>Proactive within commissioning board.</li> </ul>	SMT	Ongoing
14*	Active	Developing a successful and sustainable organisation.	<p><b>Financial sustainability</b></p> <p>Unable to achieve a breakeven Adjusted Operating Profit (AOP) on a sustainable basis.</p> <p><b>F&amp;GP</b></p>	<ul style="list-style-type: none"> <li>Significant fall in income.</li> <li>Staff costs + non-staff costs are higher than income.</li> <li>Local consequences of National bargaining</li> <li>Occurrence of event on disaster recovery plan.</li> </ul>	<ul style="list-style-type: none"> <li>College does not have enough cash to operate and or grow.</li> <li>Accounts show a deficit AOP for more than one year.</li> </ul>	Director of Finance	4	5	15	Continued development of cashflow forecasting model	15	↔	<ul style="list-style-type: none"> <li>Development of Management Accounting Information.</li> <li>Development of financial forecasting models.</li> <li>Development of cash flow forecasting.</li> <li>Development of budget process.</li> </ul>	Director of Finance	<p>Ongoing – will evolve and develop over next 9 months.</p> <p>Ongoing – in place from September 2021</p> <p>Ongoing – in place from Jan 2021</p> <p>Ongoing – new process from Jan 2021, live from Aug 2021</p>





Ref	Risk Status	Strategic Category	RISK AREA, Risk Description & Primary Sub-Committee	Causes	Impacts/ Evidence	Owner	Likelihood	Impact	Gross Risk	Actions to minimise risk IN PLACE	Residual Risk	Trend	Actions to minimise risk TO DO	Action Owner	Completion Date
28	Active	Developing a successful and sustainable organisation	<b>Procurement</b>  Procurement processes are not fully compliant with regulations  <b>F&amp;GP</b>	Internal processes not suitably robust	Contracts register incomplete  Historic contracts contain higher level of risk than anticipated upon review (eg catering)	Director of Finance	4	3	12	<ul style="list-style-type: none"> <li>APUC provision of remote services from November 2018</li> <li>Contracted member of APUC staff engaged by College from July 2019</li> <li>Procurement Strategy updated</li> <li>Procurement Policy updated</li> </ul>	6 (2,3)	↔	<ul style="list-style-type: none"> <li>Compliance with relevant areas of Audit Action Plan</li> <li>Roll out training to budget holders and other affected staff</li> </ul>	Director of Finance  Director of Finance	Ongoing  April 2021
29	Active	Developing a successful and sustainable organisation	<b>Asset Management</b>  Insufficient levels of Asset Management are in place  <b>F&amp;GP</b>	Lack of systems/controls to record and manage changes to Asset Register	Asset Register not complete  Creates difficulty in producing accurate accounts	Director of Finance	4	3	12	<ul style="list-style-type: none"> <li>Current Asset Register reviewed and weaknesses identified</li> <li>Comparative analysis within sector conducted</li> <li>Standard capitalisation levels reviewed</li> </ul>	12 (4,3)	↔	<ul style="list-style-type: none"> <li>Update Asset Register</li> <li>Review Financial Regulations</li> <li>Codification &amp; approval of Land &amp; Buildings valuation calculation</li> <li>Independent valuation of key assets for External Audit</li> </ul>	Director of Finance  Director of Finance	June 2020  Feb 2021  June 2021

Note: Risks 4, 5, 7, 8, 10, 12, 15, 19-24 are UHI Common Risks.



**LIKELIHOOD CRITERIA** **TIMESCALE 3 YEARS**

Score	Descriptor	Probability
<b>5 - Almost Certain</b>	More than likely – the event is anticipated to occur	>80%
<b>4- Likely</b>	Fairly likely – the event will probably occur	61-80%
<b>3 - Possible</b>	Possible – the event is expected to occur at some time	31-60%
<b>2 - Unlikely</b>	Unlikely – the event could occur at some time	10-30%
<b>1 - Very Rare</b>	Remote – the event may only occur in exceptional circumstances	<10%

**IMPACT CRITERIA** **TIMESCALE 3 YEARS**

Score	Descriptor	Financial	Operational	Reputational (need to link to communications process for incident management)
<b>5 - Catastrophic</b>	A <b>disaster</b> with the potential to lead to: <ul style="list-style-type: none"> <li>loss of a major UHI partner</li> <li>loss of major funding stream</li> </ul>	> £500,000 or lead to likely loss of key partner	<ul style="list-style-type: none"> <li>Likely loss of key partner, curriculum area or department</li> <li>Litigation in progress</li> <li>Severe student dissatisfaction</li> <li>Serious quality issues/high failure rates/major delivery problems</li> </ul>	<ul style="list-style-type: none"> <li>Incident or event that could result in potentially long term damage to UHI's reputation. Strategy needed to manage the incident.</li> <li>Adverse national media coverage</li> <li>Credibility in marketplace and with stakeholders significantly undermined.</li> </ul>
<b>4 - Major</b>	A <b>critical</b> event which threatens to lead to: <ul style="list-style-type: none"> <li><b>major</b> reduction in funding</li> <li><b>major</b> reduction in teaching/research capacity</li> </ul>	£250,000 - £500,000 or lead to possible loss of partner	<ul style="list-style-type: none"> <li>Possible loss of partner and litigation threatened</li> <li>Major deterioration in quality/pass rates/delivery</li> <li>Student dissatisfaction</li> </ul>	<ul style="list-style-type: none"> <li>Incident/event that could result in limited medium – short term damage to UHI's reputation at local/regional level.</li> <li>Adverse local media coverage</li> <li>Credibility in marketplace/with stakeholders is affected.</li> </ul>
<b>3 - Significant</b>	A <b>Significant</b> event, such as financial/ operational difficulty in a department or academic partner which requires additional management effort to resolve.	£50,000 - £250,000	<ul style="list-style-type: none"> <li>General deterioration in quality/delivery but not persistent</li> <li>Persistence of issue could lead to litigation</li> <li>Students expressing concern</li> </ul>	<ul style="list-style-type: none"> <li>An incident/event that could result in limited short term damage to UHI's reputation and limited to a local level.</li> <li>Criticism in sector or local press</li> <li>Credibility noted in sector only</li> </ul>
<b>2 - Minor</b>	An <b>adverse</b> event that can be accommodated with some management effort.	£10,000 - £50,000	<ul style="list-style-type: none"> <li>Some quality/delivery issues occurring regularly</li> <li>Raised by students but not considered major</li> </ul>	<ul style="list-style-type: none"> <li>Low media profile</li> <li>Problem commented upon but credibility unaffected</li> </ul>
<b>1 - Insignificant</b>	An <b>adverse</b> event that can be accommodated through normal operating procedures.	<£10,000	<ul style="list-style-type: none"> <li>Quality/delivery issue considered one-off</li> <li>Raised by students but action in hand</li> </ul>	<ul style="list-style-type: none"> <li>No adverse publicity</li> <li>Credibility unaffected and goes un noticed</li> </ul>

**Note:** Select criteria most appropriate. Use highest score if more than one criterion applies.

**RISK MAP (for Gross risk & residual risk)**

**TIMESCALE 3 YEARS**

<b>IMPACT</b>					
<b>5 - Catastrophic</b>	5	10	15	20	25
<b>4 - Major</b>	4	8	12	16	20
<b>3 - Significant</b>	3	6	9	12	15
<b>2 - Minor</b>	2	4	6	8	10
<b>1 - Insignificant</b>	1	2	3	4	5
	<b>1 -Very Rare</b>	<b>2 - Unlikely</b>	<b>3 - Possible</b>	<b>4 - Likely</b>	<b>5 - Almost Certain</b>
<b>LIKELIHOOD</b>					

Attention should also be paid to risks that are very rare or unlikely that could cause a catastrophic impact.

<b>Committee</b>	Finance & General Purposes
<b>Subject</b>	Balanced Scorecard 2019/20
<b>Date of Committee meeting</b>	02/03/2021
<b>Author</b>	Kirsty Campbell, Project & Planning Officer
<b>Date paper prepared</b>	25/02/2021
<b>Executive summary of the paper</b>	<p>Please outline the follow elements of this paper:</p> <ul style="list-style-type: none"> <li>i) The attached paper is the Vision 2016 Balanced Scorecard, showing KPI data aligned with the aims of the college Strategic Plan 2016-21</li> <li>ii) The Balanced Scorecard tracks performance against the KPIs identified by the Strategic Plan</li> <li>iii) The data tracked by the Balanced Scorecard should help inform the success of the current strategy and where relevant, inform future strategy</li> </ul>
<p><b>Consultation</b></p> <p>Please note which related parties, stakeholders and/or Committees have been consulted</p>	The Finance Director provided the data and commentary for both measures presented by this paper.
<b>Action requested</b>	<input type="checkbox"/> For information <input checked="" type="checkbox"/> For discussion <input type="checkbox"/> For endorsement <input type="checkbox"/> Strongly recommended for approval <input type="checkbox"/> Recommended with guidance (please provide further information, below)

## Perth College UHI

<p><b>Resource implications</b></p> <p>Does this activity/proposal require the use of College resources to implement?</p> <p>If yes, please provide details.</p>	<p>Potentially if intervention is required to turn around poor KPIs</p>
<p><b>Risk implications</b></p> <p>Does this activity/proposal come with any associated risk to the College, or mitigate against existing risk?</p> <p>(If yes, please provide details)</p>	<p>Yes</p> <p>KPIs show how the college is performing against key indicators. Poor performance puts the sustainability of the college at risk. <a href="#">Click or tap here to enter text.</a></p>
<p><b>Link with strategy</b></p> <p>Please highlight how the paper links to the Strategic Plan, or assist with:</p> <ul style="list-style-type: none"> <li>• Compliance</li> <li>• National Student Survey</li> <li>• partnership services</li> <li>• risk management</li> <li>• other activity [e.g. new opportunity] – please provide further information</li> </ul>	<p>KPIs Vision 2016-2021 Balanced Scorecard</p>
<p><b><u>Equality and diversity</u></b></p> <p>Does this activity/proposal require an Equality Impact Assessment?</p> <p>If yes, please give details:</p>	<p>No</p>
<p><b><u>Data Protection</u></b></p> <p>Does this activity/proposal require a Data Protection Impact Assessment?</p> <p>If yes, please give details:</p>	<p>No</p> <p><a href="#">Click or tap here to enter text.</a></p>
<p><b>Island communities</b></p>	<p>No</p>

## Perth College UHI

Does this activity/ proposal have an effect on an island community which is significantly different from its effect on other communities (including other island communities)?	If yes, please give details: Click or tap here to enter text.
<b>Status</b> (e.g. confidential/non confidential)	Non Confidential
<b>Freedom of information</b> Can this paper be included in "open" business?*	Yes

\* If a paper should **not** be included within 'open' business, please highlight below the reason.

Its disclosure would substantially prejudice a programme of research	<input type="checkbox"/>	Its disclosure would substantially prejudice the effective conduct of public affairs	<input type="checkbox"/>
Its disclosure would substantially prejudice the commercial interests of any person or organisation	<input type="checkbox"/>	Its disclosure would constitute a breach of confidence actionable in court	<input type="checkbox"/>
Its disclosure would constitute a breach of the Data Protection Act	<input type="checkbox"/>	Other [please give further details] Click or tap here to enter text.	<input type="checkbox"/>

For how long must the paper be withheld? Click or tap here to enter text.

Further guidance on application of the exclusions from Freedom of Information legislation is available via:

<http://www.itspublicknowledge.info/ScottishPublicAuthorities/ScottishPublicAuthorities.asp>  
and

[http://www.itspublicknowledge.info/web/FILES/Public\\_Interest\\_Test.pdf](http://www.itspublicknowledge.info/web/FILES/Public_Interest_Test.pdf)

# Strategic Plan Targets and KPIs: Progress Report 2019-20

## 1. Summary of Performance Status (Red, Amber, Green)

Key: KPI performance status

Improving	↑
Maintaining	↔
Worsening	↓


Key: Target performance status

Target achieved	Green
Target progress maintained	Yellow
Target missed	Red
No 2019/20 data available	Blue

Measure	Key Performance Indicator or Target	Metric 2019/20	Performance
	<b>Sustainability</b>		
<b>10</b>	Financial:		
	a) Outturn	£-2025k	↓
	b) Non-core funding income (inc. Knowledge Transfer)	-35.5%	↓

## Section 2: Detail of Performance by Measure

### Detail of Performance: Measure 10a

Sustainability			
Measure	Key Performance Indicator or Target	Performance	Trend
10	Financial		
	a) Outturn	↓	

**Baseline:** -£4,000

**Target:** Achieve a break-even underlying operating position

**Actual  
2019-20:** -£(2025)K

**Actual  
2018-19:** -£(243)K

**Percentage  
difference  
(+/-):** -87.5%

**Trend:** Downward trend for reasons outlined by commentary


#### Note on performance for measure 10a

**Indicator:** Deficit for financial year 2019/20 was -£2,025k before Revaluation and Actuarial adjustments.

**Commentary:** The College had a significant shortfall in income in 19/20 due to the COVID pandemic £(2.2)M. This was further compounded by a significant rise in staff costs which included an increase in academic pension contributions. Non-staff costs were lower than the prior year as the COVID pandemic resulted in less expenditure than last year.

**Source:** Perth College UHI, Reports & Financial Statements 2019/20 Consolidated and College Statements of Comprehensive Income for the year ended 31st July 2020

**Detail of Performance: Measure 10c**

Sustainability			
Measure	Key Performance Indicator or Target	Performance	Trend
10	<b>Financial</b>		
	b) Non-core funding income (to include Knowledge Transfer)	↓	

**Baseline:** 42%

**Target:** An increase in the percentage of income from non-SFC sources (including Knowledge Transfer)

**Actual  
2019-20:** 35.5%

**Actual  
2018-19:** 40.7%

**Percentage  
difference  
(+/-):** **-5.2%**

**Trend:** Downward trend for reasons outlined by commentary

**Note on performance for measure 10c**

As noted in point 10a above COVID resulted in a significant reduction in non-SFC funded income. The areas that saw the largest reductions in income were AST and Commercial Skills such as FWDF, Managing Agents etc.

**Source:** Perth College UHI, Reports & Financial Statements 2019/20



<b>Committee</b>	Finance & General Purposes
<b>Subject</b>	In-Year KPIs
<b>Date of Committee meeting</b>	02/03/2021
<b>Author</b>	Kirsty Campbell, Project & Planning Officer
<b>Date paper prepared</b>	24/02/2021
<b>Executive summary of the paper</b>	<p>Please outline the follow elements of this paper:</p> <ul style="list-style-type: none"> <li>i) Purpose To provide real time data on focused kpis</li> <li>ii) Impact Allow analysis of current situation</li> <li>iii) Course of Action Considerations of the strategic implications</li> </ul>
<p><b>Consultation</b></p> <p>Please note which related parties, stakeholders and/or Committees have been consulted</p>	<p>Click or tap here to enter text.</p> <p>Finance Director Head of Student Experience Student Funding Adviser</p>
<b>Action requested</b>	<p><input type="checkbox"/> For information</p> <p><input checked="" type="checkbox"/> For discussion</p> <p><input type="checkbox"/> For endorsement</p> <p><input type="checkbox"/> Strongly recommended for approval</p> <p><input type="checkbox"/> Recommended with guidance (please provide further information, below)</p>

## Perth College UHI

<p><b>Resource implications</b></p> <p>Does this activity/proposal require the use of College resources to implement?</p> <p>If yes, please provide details.</p>	<p>Yes</p> <p>There may be resource implications if the Board considers the KPS data indicates the need for intervention.</p>
<p><b>Risk implications</b></p> <p>Does this activity/proposal come with any associated risk to the College, or mitigate against existing risk?</p> <p>(If yes, please provide details)</p>	<p>Yes</p> <p>Poor performance against KPIs may indicate the college is at risk; conversely good performance is an indicator of the sustainability of the college.</p>
<p><b>Link with strategy</b></p> <p>Please highlight how the paper links to the Strategic Plan, or assist with:</p> <ul style="list-style-type: none"> <li>• Compliance</li> <li>• National Student Survey</li> <li>• partnership services</li> <li>• risk management</li> <li>• other activity [e.g. new opportunity] – please provide further information</li> </ul>	<p>Click or tap here to enter text.</p>
<p><b><u>Equality and diversity</u></b></p> <p>Does this activity/proposal require an Equality Impact Assessment?</p> <p>If yes, please give details:</p>	<p>Yes/ No</p>
<p><b><u>Data Protection</u></b></p> <p>Does this activity/proposal require a Data Protection Impact Assessment?</p> <p>If yes, please give details:</p>	<p>Yes/ No</p> <p>Click or tap here to enter text.</p>
<p><b>Island communities</b></p>	<p>Yes/ No</p>

## Perth College UHI

Does this activity/ proposal have an effect on an island community which is significantly different from its effect on other communities (including other island communities)?	If yes, please give details: Click or tap here to enter text.
<b>Status</b> (e.g. confidential/non confidential)	Non Confidential
<b>Freedom of information</b> Can this paper be included in "open" business?*	Yes/ No

\* If a paper should **not** be included within 'open' business, please highlight below the reason.

Its disclosure would substantially prejudice a programme of research	<input type="checkbox"/>	Its disclosure would substantially prejudice the effective conduct of public affairs	<input type="checkbox"/>
Its disclosure would substantially prejudice the commercial interests of any person or organisation	<input type="checkbox"/>	Its disclosure would constitute a breach of confidence actionable in court	<input type="checkbox"/>
Its disclosure would constitute a breach of the Data Protection Act	<input type="checkbox"/>	Other [please give further details] Click or tap here to enter text.	<input type="checkbox"/>

For how long must the paper be withheld? Click or tap here to enter text.

Further guidance on application of the exclusions from Freedom of Information legislation is available via:

<http://www.itspublicknowledge.info/ScottishPublicAuthorities/ScottishPublicAuthorities.asp>  
and

[http://www.itspublicknowledge.info/web/FILES/Public\\_Interest\\_Test.pdf](http://www.itspublicknowledge.info/web/FILES/Public_Interest_Test.pdf)

Priority Area	In-Year Measure	Baseline	Oct-20 YTD	Jan-21 YTD
<b>Financial Sustainability</b>				
Projected Cash Balance	Expected cash position at the end of the year vs plan	£(464)K	£(498)K	n/a
Adjusted Operating Position	Actual YTD position against FY Budget	£(1880)K	£(611)K	n/a
Income	Actual YTD position against FY Budget	£27.7M	£5.8M	n/a
<b>Funded Targets</b>				
Funded Targets	HE FTE & FE credit actuals vs phased targets with forecasting	HE 2063 FTEs FE 24084 credits		HE 2134 FE 22600
<b>Student Experience</b>				
Student Numbers	Retention rates vs phased targets		n/a	HEFT 92.9% HEPT 89.3% FEPT 89.8% FEPT 96.6%
Student Support Services	Number of students in receipt of Counselling		n/a	62
	Number of students on the waiting list for Counselling		n/a	3
	Student contact hours for Health & Wellbeing Officers		n/a	32 hours

Student Funding	FE Bursary	£2486042 (2020/21 allocation)	n/a	£2035099 581 students
	Childcare	£452858 (2020/21 allocation)	n/a	£250224 69 students
	FE Discretionary Fund	£179958 (2020/21 allocation)	n/a	£42550 40 students
	HE Discretionary Fund	£133309 (2020/21 allocation)	n/a	£73181 86 students
<b>Governance &amp; Audit</b>				
Audit	Number of actions arising from internal audits/No complete		n/a	59/51
	Number of actions arising from external audits/No complete		n/a	52/28
Governance	Compliance with Code of Good Governance	√	n/a	√

<b>Committee</b>	Finance Committee
<b>Subject</b>	UHI Print Solution Procurement 2021-26
<b>Date of Committee meeting</b>	08/03/2021
<b>Author</b>	Veronica Lynch, Vice Principal
<b>Date paper prepared</b>	01/03/2021
<b>Executive summary of the paper</b>	<p>Please outline the follow elements of this paper:</p> <ul style="list-style-type: none"> <li>i) Purpose – what is it for</li> <li>ii) Impact – what are the intended outcomes</li> <li>iii) Course of Action – what happens next &amp; by whom</li> </ul> <p><b>Purpose:</b></p> <p>This paper provides the contract strategy for the procurement of the Multi Function Devices Printer Fleet for the UHI. Perth College UHI are a partner in this contract tender. This paper seeks Board approval to join partners across the UHI to seek a more cost effective print service for the period to 2026.</p> <p><b>Impact:</b></p> <p>Generate a more cost effective print service by retendering the UHI print solution contract.</p> <p><b>Course of Action:</b></p> <p>This will enable Perth College to achieve the benefits of a collaborative tender that will provide the opportunity to create greater economies of scale, reduce the reliance on printed documentation as a continuation of this approach following the last 12 months of home working for staff and student. This will be submitted to the Board for approval at the March Board.</p>
<b>Consultation</b> Please note which related parties, stakeholders and/or	Consultation has been undertaken with UHI, SMT, CMT, staff across the College and AST to determine what

## Perth College UHI

Committees have been consulted	reduction in printers can be accommodated within each College building.
<b>Action requested</b>	<input type="checkbox"/> For information <input type="checkbox"/> For discussion <input type="checkbox"/> For endorsement <input checked="" type="checkbox"/> Strongly recommended for approval <input type="checkbox"/> Recommended with guidance (please provide further information, below)
<b>Resource implications</b> Does this activity/proposal require the use of College resources to implement? If yes, please provide details.	<b>Yes/ No</b> This will generate tenders that will provide the supply of printers for the next 5 year period.
<b>Risk implications</b> Does this activity/proposal come with any associated risk to the College, or mitigate against existing risk? (If yes, please provide details)	<b>Yes/ No</b> No bids are forthcoming – pre- market testing has been undertaken by APUC to ensure a number of bidders are interested in tendering for this contract.
<b>Link with strategy</b> Please highlight how the paper links to the Strategic Plan, or assist with: <ul style="list-style-type: none"> <li>• Compliance</li> <li>• National Student Survey</li> <li>• partnership services</li> <li>• risk management</li> <li>• other activity [e.g. new opportunity] – please provide further information</li> </ul>	Financial Sustainability Code of Good College Governance Financial Memorandum
<b><u>Equality and diversity</u></b>	<b>Yes/ No</b>

## Perth College UHI

Does this activity/proposal require an Equality Impact Assessment? If yes, please give details:	
<b><u>Data Protection</u></b> Does this activity/proposal require a Data Protection Impact Assessment? If yes, please give details:	Yes/ No  Click or tap here to enter text.
<b>Island communities</b> Does this activity/ proposal have an effect on an island community which is significantly different from its effect on other communities (including other island communities)?	Yes/ No If yes, please give details: Click or tap here to enter text.
<b>Status</b> (e.g. confidential/non confidential)	Confidential
<b>Freedom of information</b> Can this paper be included in "open" business?*	Yes/ No

\* If a paper should **not** be included within 'open' business, please highlight below the reason.

Its disclosure would substantially prejudice a programme of research	<input type="checkbox"/>	Its disclosure would substantially prejudice the effective conduct of public affairs	<input type="checkbox"/>
Its disclosure would substantially prejudice the commercial interests of any person or organisation	<input checked="" type="checkbox"/>	Its disclosure would constitute a breach of confidence actionable in court	<input type="checkbox"/>
Its disclosure would constitute a breach of the Data Protection Act	<input type="checkbox"/>	Other [please give further details] Click or tap here to enter text.	<input type="checkbox"/>



## Perth College UHI

For how long must the paper be withheld? Until the tender is completed and successful bidders are appointed – estimated date 3 months.

Further guidance on application of the exclusions from Freedom of Information legislation is available via:

<http://www.itspublicknowledge.info/ScottishPublicAuthorities/ScottishPublicAuthorities.asp>  
and [http://www.itspublicknowledge.info/web/FILES/Public\\_Interest\\_Test.pdf](http://www.itspublicknowledge.info/web/FILES/Public_Interest_Test.pdf)



***Revised Contract Strategy***  
***Agreement Title: UHI Print Solution 2021-26***  
***Reference: CS-UHI-14864***

## Version Control

Version	Name	Date Completed	Comments
1.0 – Original	Odette Ashman	28 February 2020	For sign-off
1.1 - Revised	Odette Ashman & Mike Burns	02 February 2021	For sign-off

## Project Team and Roles

The team members noted below are the main financial contacts with delegated authority to sign-off commitment to spend, alongside the main LIS/technical points of contact.

The main LIS/technical lead should review the document and liaise with their Institutions finance contact to ensure the strategy is signed off.

Name	UHI Partner	E-mail	Role	Contract Strategy Sign Off Required
John Maher	EO	<a href="mailto:John.maher@uhi.ac.uk">John.maher@uhi.ac.uk</a>	Project SRO	Yes
Mike Burns	EO	<a href="mailto:Mike.burns@uhi.ac.uk">Mike.burns@uhi.ac.uk</a>	Project Lead & Evaluator	Yes
Odette Ashman	UHI	<a href="mailto:oashman@apuc-scot.ac.uk">oashman@apuc-scot.ac.uk</a>	Procurement Facilitator	No
Julie Cribb	EO	<a href="mailto:Julie.cribb@uhi.ac.uk">Julie.cribb@uhi.ac.uk</a>	Project Manager	No
Mike MacDonald	EO	<a href="mailto:Mike.macdonald@uhi.ac.uk">Mike.macdonald@uhi.ac.uk</a>	Evaluator	Yes
Elaine Clark Stewart Thom	AC	<a href="mailto:Elaine.clark@uhi.ac.uk">Elaine.clark@uhi.ac.uk</a> <a href="mailto:Stewart.Thom@uhi.ac.uk">Stewart.Thom@uhi.ac.uk</a>	Approver Evaluator	Yes No
Blair Gardner Mike Day	HTC	<a href="mailto:Blair.gardner@uhi.ac.uk">Blair.gardner@uhi.ac.uk</a> <a href="mailto:Mike.Day@uhi.ac.uk">Mike.Day@uhi.ac.uk</a>	Approver Evaluator	Yes No
Janie Cargill Martin Robinson Ramsey Wood	IC	<a href="mailto:Janie.Cargill.ic@uhi.ac.uk">Janie.Cargill.ic@uhi.ac.uk</a> <a href="mailto:Martin.robinson.ic@uhi.ac.uk">Martin.robinson.ic@uhi.ac.uk</a> <a href="mailto:Ramsey.Wood.ic@uhi.ac.uk">Ramsey.Wood.ic@uhi.ac.uk</a>	Approver Evaluator Evaluator	Yes No No
Alasdair Macleod	LCC	<a href="mailto:a.macleod@uhi.ac.uk">a.macleod@uhi.ac.uk</a>	Approver/ Evaluator	Yes
Derek Duncan Ray Aitken	MC	<a href="mailto:Derek.duncan.moray@uhi.ac.uk">Derek.duncan.moray@uhi.ac.uk</a> <a href="mailto:Ray.Aitken.moray@uhi.ac.uk">Ray.Aitken.moray@uhi.ac.uk</a>	Approver Evaluator	Yes No

Roddy Ferrier Gavin Powell	NHC	<a href="mailto:Roddy.Ferrier@uhi.ac.uk">Roddy.Ferrier@uhi.ac.uk</a> <a href="mailto:Gavin.Powell@uhi.ac.uk">Gavin.Powell@uhi.ac.uk</a>	Approver Evaluator	Yes No
Edward Abbott-Halpin Keith Chalmers	OC	<a href="mailto:Edward.Abbott-halpin@uhi.ac.uk">Edward.Abbott-halpin@uhi.ac.uk</a> <a href="mailto:Keith.Chalmers@uhi.ac.uk">Keith.Chalmers@uhi.ac.uk</a>	Approver Evaluator	Yes No
Veronica Lynch Ray Crabb	PC	<a href="mailto:veronica.lynch.perth@uhi.ac.uk">veronica.lynch.perth@uhi.ac.uk</a> <a href="mailto:Raymond.crabb.perth@uhi.ac.uk">Raymond.crabb.perth@uhi.ac.uk</a>	Approver Evaluator	Yes No
Steve Gontarek	SAMS	<a href="mailto:Steve.Gontarek@sams.ac.uk">Steve.Gontarek@sams.ac.uk</a>	Approver/ Evaluator	Yes
Domhnall Angaidh MacIlinnein Martainn Domhnallach	SMO	<a href="mailto:dam.smo@uhi.ac.uk">dam.smo@uhi.ac.uk</a> <a href="mailto:md.smo@uhi.ac.uk">md.smo@uhi.ac.uk</a>	Approver Evaluator	Yes No
Paula Lister Jane Ollerenshaw	WHC	<a href="mailto:Paula.Lister.whc@uhi.ac.uk">Paula.Lister.whc@uhi.ac.uk</a> <a href="mailto:Jane.Ollerenshaw.whc@uhi.ac.uk">Jane.Ollerenshaw.whc@uhi.ac.uk</a>	Approver Evaluator	Yes No
Aimee Harvey	UHI	<a href="mailto:Aimee.harvey@uhi.ac.uk">Aimee.harvey@uhi.ac.uk</a>	Student Representative	No
Simon Young	UHI	<a href="mailto:Simon.Young@uhi.ac.uk">Simon.Young@uhi.ac.uk</a>	Information Security	No
James Nock	UHI	<a href="mailto:dataprotectionofficer@uhi.ac.uk">dataprotectionofficer@uhi.ac.uk</a>	UHI SS Data Protection Officer	No

NAFC and SC are working towards forming the merged Shetland Institute 'SI'. Whilst it is noted neither NAFC nor SC are unable at present to sign any new contracts as institutions in their own right as they currently stand, they have been included in this exercise to ensure their needs are included and therefore accounted for in the new contract. This has been made possible through a single managed contract approach. The procurement process means SI will transfer over to the UHI contract once the new Institution has been formed.

Willie Shannon Michael Nisbet	NAFC	<a href="mailto:Willie.Shannon@uhi.ac.uk">Willie.Shannon@uhi.ac.uk</a> <a href="mailto:Michael.Nisbet@uhi.ac.uk">Michael.Nisbet@uhi.ac.uk</a>	For Info	n/a
Susan Berry George Wallington	SC	<a href="mailto:Susan.Berry@uhi.ac.uk">Susan.Berry@uhi.ac.uk</a> <a href="mailto:George.Wallington@uhi.ac.uk">George.Wallington@uhi.ac.uk</a>	Approver Evaluator	Yes No
Jane Lewis	SI	<a href="mailto:Jane.Lewis@uhi.ac.uk">Jane.Lewis@uhi.ac.uk</a>	For Info	n/a

### Background to Strategy

A strategy for the UHI re-tender was signed off in February 2020 however the global coronavirus pandemic has significantly impacted the institutions and their requirements, as such the exercise was placed on hold with the existing contract extended by 1 year.

As it is no longer possible to further extend the current contract for reasons including software failure and legal obligation, it is proposed that a re-tender is undertaken on an 'as is' basis for evaluation purposes only, and that the Partnership work collectively with the

resulting new supplier to identify and put in place a new fleet of machines and appropriate software for the new contract start on 06 July 2021.

The new contract will be tendered on a single managed approach to ensure delivery of best value and inclusion of all UHI Academic Partners.

Once the strategy has been approved, the procurement facilitator will work with all relevant parties to draft the tender document to be issued to the suppliers including the finalised scope of requirements. This document will be approved by the identified evaluation group.

### **Current status**

The ongoing coronavirus has impacted the institutions far beyond all time expectations. Following a meeting of the Regional ICT Board in December 2020 the contract strategy has been updated to provide concise and clear information to the Partners to enable a joint decision to be taken and a procurement route to be urgently progressed.

### **Project Objectives**

The exercise will consolidate all Partners into a single collective contract for leasing and print costs, however each Academic Partner will continue to be responsible for their own individual lease and capital costs which will be recharged via the Executive Office.

Print costs will also be recharged to APs from Executive Office finance department on an actual's basis. This is for contract management purposes and may be used in future to align a singular print charge policy. A similar and successful arrangement already exists for phone bills which have been brought into a single managed contract.

Standardising the suite of equipment and utilising these devices in a more operationally effectively manner will allow the procurement process to drive more efficient outcomes for the Partnership and allow movement between Partners where required.

The Print Project Group has been reconvened to review and focus on requirements and an overall reduction in the estate and collaborate in all areas including print charges.

The exercise will also allow further consolidation of the licencing models which are currently in place: Server Licences, Mobile Device Printing and the Online Payment system.

UHI are Cyber Essentials Plus accredited therefore the exercise will ensure this standard is maintained by accounting for the University specific requirements such as encryption of hard disk drive (HDD) on devices, as well as ensuring compliance under the General Data Protection Regulations.

### **Spend**

The spend for Partners is broken down by lease costs, purchase costs, online payments and actual print costs.

Summarised Fleet Data for all Partners:

<b>Leased Machine Type</b>	<b>Number</b>
BIZHUB 226 MONO MFD	2
BIZHUB 287 MONO MFD	2

BIZHUB 367 MONO MFD	6
BIZHUB 758 MONO MFD	1
BIZHUB 4050 MFD	20
BIZHUB 4000P MONO PRINTER	17
BIZHUB PRESS 1250 MONO PRODUCTION DEVICE	1
BIZHUB C224E COLOUR MFD SECONDHAND	1
BIZHUB C258 COLOUR MFD	1
BIZHUB C3100P COLOUR PRINTER	3
BIZHUB C3350 MFD	9
BIZHUB C3351 A4 MFD	6
BIZHUB C364E COLOUR MFD	12
BIZHUB C368 COLOUR MFD	77
BIZHUB C454E COLOUR MFD	26
BIZHUB C454E SECONDHAND COLOUR MFD	1
BIZHUB C458 COLOUR MFD	6
BIZHUB C654E COLOUR MFD	17
TOTAL	208
TOTAL LEASED DEVICE COSTS	£812,104.68

Purchased Machine Type	Number
BIZHUB 363 MONO MFD	1
BIZHUB 4000P MONO PRINTER	1
BIZHUB C3350 COLOUR MFD SECONDHAND	1
BIZHUB C3350 MFD	3
BIZHUB C3351 A4 MFD	1
BIZHUB C360 COLOUR MFD	1
BIZHUB C458 COLOUR MFD	1
BIZHUB C654E COLOUR MFD	3
BIZHUB PRO 951 MONO MFD	1
TOTAL	13
PURCHASED DEVICE COSTS	£42,886.04

Online Payments System Cost (currently paid by EO):

- One off set-up, database migration: £2,878.00
- Annual support fee: £1,455.00
- Annual transaction processing fees (up to 500 pcm): £1,026.00

All Partner Print Volumes and Actual Costs (charge made by supplier to institution):

Year	Mono Volume	Colour Volume	Total Volume*	Mono Cost	Colour Cost	Total Cost
2016	9,658,170	2,143,431	11,801,601	£41,747.82	£64,833.41	£106,581.23
2017	10,786,124	2,803,797	13,589,921	£44,468.08	£74,503.01	£118,971.09
2018	12,284,320	3,073,549	15,357,869	£43,801.90	£77,383.91	£121,185.81
<b>3 YR TOTAL</b>	<b>32,728,614</b>	<b>8,020,777</b>	<b>40,749,391</b>	<b>£130,017.80</b>	<b>£216,720.33</b>	<b>£346,738.13</b>
2019 to Q3	7,605,727	2,133,928	9,739,655	£27,721.60	£53,680.45	£81,402.05
<b>4 YR PART TOTAL</b>	<b>40,334,341</b>	<b>10,154,705</b>	<b>50,489,046</b>	<b>£157,739.40</b>	<b>£270,400.78</b>	<b>£428,140.18</b>

\*minimum copy volumes do not apply over the contract term.

Since the Phase 1 contract start date 01 August 2015 based on the information presented the total contract value is calculated as follows:

- Leased: £812,104.68
- Purchased: £42,886.04
- Online Payment Software: £5,359.00
- Print Costs: £428,140.18

Total: £1,288,489.90

### **Scope**

The fleet requires to be reduced where possible to form a standard 'UHI catalogue' of machine types. This will enable movement of machines across the Partnership as and when required.

The following points must be addressed as part of the tender and subsequent contract management pre-start meetings:

- A realistic expectation and identification of equipment needs at each Partner is required to ensure the current fleet can be appropriately reduced for the new contract. The fleet numbers can be flexible to allow increases where absolutely necessary though this should be in line with contract dates to ensure co-terminus of the fleet (refer to pricing strategy page 10).
- Hand back of machines - suggest 10-20% per annum for inclusion in specification, however movement of machines across the Partnership will assist with this requirement.
- Online print service software is no longer supported, this requires a move away from PCounter and all associated requirements for new software need to be clearly identified to allow a suitable replacement solution.
- The new software must be installed into all new and existing machines over a short period of time to ensure consistency from the new contract start date in July 2021.
- Online Payments system: setup of accounts and ability to vary charges by Partner is required. The Finance team will require to be consulted on this point.
- Web to Print software solution i.e. Everyone Print or equivalent, is required.
- Print management policy which can be implemented on an individual, collective and user (staff, student, location) group basis.
- Contract management will be done on a centralised basis with usage reports required on an individual, collective and user (staff, student, location) group basis. User groups need to be identified for inclusion in the tender documentation.
- Key Performance Indicators for response and repair times must be clearly agreed by Partners and set out within the documentation including any additional information required e.g. fault reporting process, escalation procedures.
- Training for hardware and software system including for identified 'super users/administrator' for internal reporting by user group/institution as defined above.
- Consolidated Reporting: device usage summary and breakdown by user group for fleet management purposes and dissemination to Partners.
- Individual Reporting: to be managed by local institutional super user/administrator.

- Equipment Inventory register will require to be held and maintained by the supplier and provided to UHI on an as and when basis.
- Partners must identify any stockholding requirements e.g. toners etc.
- Invoicing: centralised quarterly to EO and recharged.
- End of lease process needs to be identified and clearly agreed with supplier pre-contract start.
- End of life policy for reuse and recycling parts to be identified by suppliers as part of tender returns.
- Exit Strategy must be agreed prior to contract start. UHI Partners must confirm acceptance of aligned end date in 2026 to allow ease of re-tender.

As part of the mini-competition it would be standard practice and advisable for the suppliers to carry out site visits at each location to allow familiarisation with the locations and requirements of the institutions on the ground. However, due to the ongoing pandemic this is not advisable at this time. Information will be provided to suppliers on the numbers and locations of the Partners in sufficient detail to allow re-tender to be undertaken without this need.

### **Market Research**

The project board previously agreed to continue engaging suppliers via the National Framework ref: SP-16-013 for Printing, Reprographics and Photocopying.

### **Sustainability Consideration**

The Partnership are committed to delivering goods and services in the most economically way possible to achieve energy efficiencies and reduce carbon usage. There are a number of sustainable drivers that require to be embedded into this procurement as follows:

- Achieve environmental targets as set out by; Workstream 2 of the UHI Partnership Carbon Management and Sustainability Plan 2020-23.
- Encourage paper usage reduction, meeting the objectives of; Workstream 3 of the UHI Partnership Carbon Management and Sustainability Plan 2020-23.
- Meet objectives of the UHI ICT Strategy plan 2015-20 including 'Operating as efficiently as possible by reducing duplication and divergence and maximising common solutions and standards'. This is currently under review therefore the existing policy will be provided to suppliers as part of the re-tender.
- Show active listening and delivery of representations from the student body to have a single print service, equivalence in print credits and charges as well as providing options to deliver environmental reporting and encourage greener work practices. It is acknowledged due to the current situation that it has not been possible to achieve these goals but the Partnership will work to address these points over the life of the new contract from point of return of staff and students to campuses.

These must be borne in mind and incorporated where possible in all aspects of the procurement.



## Risk/Barriers Assessment

All procurements contain risks that may impact on their progress therefore it is important to identify and assess risks so that they can be managed to prevent it from becoming an issue.

Description	Probability/ Impact	Actions
Delay in procurement timeline	High – result in institutions having to potentially individually re-procure or non-compliantly extend current contracted provisions with old and inappropriate software	Timeline must be fully discussed and agreed with Project Board for new contract award to be made <b>by end April 2021</b> to allow appropriate timeframe for contract changes.
Inaccurate requirements/questions in procurement documents	High – unable to draw out required information from suppliers on products, unable to identify product suitability, increase to clarifications and procurement timeline	Market analysis of products on offer to inform requirements, due consideration to be given to technical questions with appropriate weightings.
GDPR	Low – non-compliance to new regulations	Partnership to address this concern through vendor assessment. Localised sharing agreement to be placed in liaison with DPOs.  Partners must incorporate GDPR aspects of print drives for end of contract within the re-tender to ensure all risks and costs are accounted for from the outset. UHI Information Security to provide information for inclusion in the re-tender.
Exit strategy, end of contract	Medium – could lead to delay or tie into product for longer term than expected, possible data concerns	Ensure discussion with incumbent to fully understand exit process and transfer of data out of system.  An implementation meeting must be held with new contract provider which will include the new exit strategy.

Risk Scoring Matrix: The following matrix is used to determine the risk level the contract.					
Risk Category	Explanation	Scores			Score
		1	2	3	
Reputational	What level of impact, would a failure by the supplier have on the College?	Isolated complaints; no or routine enquires coverage; No impact on reputation	Significant complaints; Local media interest and minor effect on local communities perception of the College	Loss of credibility key stakeholders; Extensive adverse local and national media coverage; External intervention and/or legal action; Significant loss of trust.	1
Service Delivery	What level of interruption could result from a failure of the supplier?	Minor disruption to services	Some short term disruption to services. Additional costs incurred.	Significant sustained disruption to critical services. Significant costs incurred.	2
Compliance	What is the level of impact, if the supplier fails to deliver?	Failure to meet internal standards or service level agreements	Censure by regulator; Failure to meet recommended best practice	Intervention by regulator; Serious breach of legal or contractual obligation.	1
Complexity of works, goods or services being bought	How complex are the works, goods or services being purchased?	Standard specification or design. Mature competitive marketplace. Numerous providers.	Bespoke specification or design. Competitive marketplace. Limited or specialist providers.	Complex or innovative specification or design. Restricted marketplace. Very specialised providers or cutting-edge technical solutions.	1
Complexity of procurement process	How complex is the process/What process is being used?	Mainly price only. Simple quotation process or use of Quick Quote.	Tender process on price and quality. Standard processes such as Open, Restricted, Negotiated.	Tender process on price and quality. Complex processes such as Competitive Dialogue, Dynamic Purchasing, Partnerships, E-auction	2
<b>Average Score</b>					<b>1.4</b>
<b>Overall Risk Score</b>					<b>1</b>

Financial Risk Scoring Matrix: The following matrix is used to determine the Financial risk level the contract.					
Risk Category	Explanation	Scores			Score
		1	2	3	
Financial	What is the overall value of the contract? This should be for the full term of the contract.	All contracts up to £50,000	Procurement (Scotland) Regulations 2016 Goods and services from the value of £50,000 up to £189,330; works up to £4.7m (Procurement (Scotland) Regulations 2016)	Public Contracts (Scotland) Regulations 2016 Goods and services over £189,330; works over £4.7m	3

**Risk Matrix**

Risk	H	X		
	M			
	L			
		L	M	H
	Value			

**Contract Management Route**

Routine	
Managed	X
Strategic	

## Pricing Strategy

The existing contract end dates have been aligned to the following groups:

- 1. 05 July 2021
- 2. 05 July 2022
- 3. 05 July 2023

The new contract dates will follow the above groupings to allow alignment at the end of this contract Phase for the full fleet at 05 July 2026 for a consolidated re-tender at that time. The new contract durations are confirmed, as follows:

- 1. 3 years with 2 x 1 year extensions,
- 2. 3 years with 1 year extension,
- 3. 3 years.

The re-tender for 2026 will be undertaken in mid-2025 to allow an appropriate and suitable lead time for the changeover.

The pricing strategy for the current re-tender will be based on the above detail.

## Pricing Evaluation

The commercial evaluation will be based on the current fleet: full cost of ownership of the goods and service i.e. leasing cost of total number of machines inclusive of additional hardware extras, full servicing, total software costs and online payments operation, print costs (based on current volume breakdown), account management and any training costs over the full contract term.

This does not mean the Partnership are re-procuring the full existing fleet, this is for evaluation purposes only as a demonstration of the potential upper costs of the contract.

## Mini-Competition Evaluation Methodology

Suppliers will need to meet a list of mandatory requirements and address each of the award criteria which is broken down in line with the National Framework. Recommended weightings have been provided for consideration and approval:

Criteria	Award Criteria	Weighting
Price	Total cost of ownership	40%
Technical	Account Management	3%
	Support and Maintenance Services	15%
	Service Delivery	22%
	Technology Solutions	15%
	Sustainability	5%
<b>Total</b>		<b>100%</b>

Security solutions in relation to and including GDPR will be included as mandatory pass or fail sections and will be reviewed by the Shared Service DPO and UHI Information Security Manager to define suitability. To enable this approach the GDPR and Security requirements must be provided by UHI and made abundantly clear within the specification.

The Project Team must provide technical questions to reflect their requirements in line with the above criteria and develop associated scoring criteria for each individual question.

Development of a specific scoring criteria for each individual question at this stage ensures the intention the questions are clear, demonstrates to the supplier how they will be evaluated and ensures a joined approach for the evaluation team.

The evaluation criteria should be addressed in a 0 through 3 format with 3 being the highest possible score.

An example scoring criteria is provided:

3	Tenderer's response is comprehensive, clearly demonstrating a highly desirable solution against the specification provided. Response addresses all the key points listed and beyond in sufficient detail providing confidence that the Tenderer will fully address all requirements of the Partnership.
2	The response addresses most of the key points listed in detail OR the Tenderer has provided all the key points listed but lacks detail in answering the question fully. The response provides confidence that the Tenderer will address all aspects of the Partnership requirements.
1	The response addresses some of the key points listed but lacks detail or is limited in information provided. The response does not provide confidence that the Tenderer will address the key aspects of the requirement and there are some concerns.
0	Tenderer has failed to address the question, submitted a nil response or any element of the response gives cause for major concern.

The Shared Service can assist in the creation of the technical questions where requested.

The Partners are requested to confirm to whom from their institutions will be involved in the evaluation of tenders or if they are content to be represented by the other Partners through the evaluation process.

### **Project Benefits/Opportunities**

This procurement aims to achieve:

- Compliance with Procurement Legal Regulations.
- Engagement and inclusion of the SME market through use of the National Framework.
- Equivalence of experience for students at all locations.
- Enable closer alignment with ministerial actions for integration.
- To comply with UHI Information Security requirements and legal obligations.
- Price stability over the full contract term.
- Potential cash savings.

## **Contract Management**

The overall strategic contract management will be facilitated and overseen by Mike Burns of LIS and the Collaborative Procurement Shared Service. Partners will be required to participate in the operational and day to day contract management whilst feeding back on any concerns or points to be addressed.

An initial consolidated implementation meeting on behalf of the Partnership will be held with the successful supplier, LIS, the Shared Service and Partner representatives prior to the go live date of the Contract.

The implementation will cover as a minimum:

- Roles and Responsibilities
- Implementation timeline
- Service Delivery Model
- Stockholding requirements (various locations)
- KPIs
- Complaints process/escalations
- Fleet review/audits
- Movement of equipment
- Northern Isles requirements (if known)
- Value Added Services
- Terms and Conditions
- Purchase Orders, Invoice and Payments
- Supplier Review Meetings
- Exit Strategy

The premise of the implementation meeting is to ensure all parties are fully aware and acknowledge the roles and responsibilities, timelines, terms, costs and any other important aspects raised through the mini-competition process.

## Procurement Milestones

The intimated timescale for the procurement is as follows, actions required by the project team are marked with an asterix:

Task	Action Date
Contract Strategy Issued	02 February 2021
*Contract Strategy Sign Off	17:00 hours 09 February 2021
*Information return (specification, GDPR & Security minimum requirements, technical questions, confirm weightings)	17:00 hours 16 February 2021
ITT Drafting for Publication	17 – 19 February 2021
Tender Issue Notice in PCS QQ	22 February 2021
Supplier Questions Deadline	12:00 hours 09 March 2021
*Question Responses to Suppliers	16 March 2021
Tender Deadline	12:00 hours 24 March 2021
*Evaluation	25 – 31 March 2021
Supplier Clarifications (if required)	07 - 09 April 2021
*Consensus Meeting (if required, Inverness in-person or by VC)	13 April 2021
Award Recommendation Issue	19 April 2021
*Award Recommendation Sign-Off	12:00 hours 22 April 2021
Award Letter Issue for review	22 April 2021
*Award Letter Sign-Off	17:00 hours 23 April 2021
Issue Award Letter to Suppliers	26 April 2021
*Implementation Meeting(s)	03 May 2021
Contract Start Date	06 July 2021

Please note the above timeline is subject to change from point of tender deadline depending on the number of bids received, if clarifications and/or a consensus is required.

Site visits are not available therefore a full site location list and list of existing equipment within those sites will be made available to all the suppliers.

## Contract Strategy Feedback & Sign-Off

### Partner Feedback:

Please use this space to feedback any relevant comments:

**UHI Partnership Contract Strategy Approval:**

<b>Name of Approver</b>	<b>UHI Partner</b>	<b>Signature of Approver</b>	<b>Date</b>
John Maher	EO		
Mike Burns	EO		
Mike MacDonald	EO		
Elaine Clark	AC		
Blair Gardner	HTC		
Roddy Ferrier	IC		
Alasdair Macleod	LCC		
Derek Duncan	MC		
Roddy Ferrier	NHC		
Edward Abbott-Halpin	OC		
Veronica Lynch	PC		
Steve Gontareck	SAMS		
Domhnall Angaidh MacIlinnein	SMO		
Paula Lister	WHC		
Susan Berry	SC		

<b>Committee</b>	F&GP
<b>Subject</b>	JNC's – 4 December 2020 – 4 February 2021 Chair's Summary
<b>Date of Committee meeting</b>	Click or tap to enter a date.
<b>Author</b>	Katy Lees, Head of HR & Organisational Development
<b>Date paper prepared</b>	22/02/2021
<b>Executive summary of the paper</b>	<p><b>JNC – Support Staff (1 meeting) (10 December 20)</b></p> <ul style="list-style-type: none"> <li>• No budget update due to joint JNC focusing on the budget</li> <li>• TOIL guidelines approved</li> <li>• Review of Management Communications related to Covid-19</li> <li>• HR Statistics</li> <li>• Staff Survey update</li> <li>• Business Continuity plan update</li> <li>• National Bargaining update</li> <li>• Permanency rules for support staff approved</li> <li>• Covid-19 update</li> <li>• CIPHR upgrade advance notice</li> <li>• Expenses processing proposed changes</li> <li>• Updated Probationary policy approved</li> </ul> <p><b>JNC – Academic Staff (1 meeting) (10 December 20)</b></p> <ul style="list-style-type: none"> <li>• No budget update due to joint JNC focusing on the budget</li> <li>• Leisure tutors – item still with EIS-FELA</li> <li>• TOIL guidelines</li> <li>• Updated timetabling protocols</li> <li>• HR Statistics</li> <li>• Staff Survey update</li> <li>• Stress Survey</li> <li>• Permanency rules for Academic staff under review</li> </ul>



## Perth College UHI

	<ul style="list-style-type: none"> <li>• Probationary policy accepted</li> <li>• Update on CIPHR upgrade</li> <li>• GTCS update</li> <li>• Expenses processing proposed changes</li> <li>• APD - ongoing</li> <li>• Holiday arrangements going forward – ongoing</li> <li>• Facility time (additional time requested)</li> <li>• Restricted Blended learning clarity</li> <li>• Staff Wellbeing – ideas welcomed</li> <li>• Covid-19 update</li> <li>• Confirmation policies from last meeting were approved (Asbestos, Health Surveillance, DSE)</li> </ul> <p><b>JNC – Joint (5 meetings – up to 4 February 2021)</b></p> <ul style="list-style-type: none"> <li>• <b>4 December 2020</b> Discussion about digital poverty impacting on costs, and otherwise why there are variations in the budget due to items such as Covid-19, travel costs and national bargaining costs still to come. Discussion around Estates spend, VS and furlough. Discussion about potential changes when new UHI VC started and the challenges on the College sector as a whole</li> <li>• <b>17 December 2020</b> Ongoing discussions around VS and the need for long term changes. Update around TQFE</li> <li>• <b>21 January 2021</b> Confirmation that using the furlough scheme was about saving jobs and it would not be management’s intention to lose jobs just because someone has been on furlough, the proper title of was ‘The Job Retention Scheme’ Advised that UHI Court had requested the Partnership to save £20M. Concern was expressed that this must not risk the student experience. VS numbers confirmed Confirmation that no TQFE running in 20/21. Discussion around returning to campus and face to face teaching and that it would be very minimal</li> </ul>
--	--

## Perth College UHI

	<p>numbers. A separate meeting to be arranged to review proposed staff to return to campus and ensure Risk assessments had been updated.</p> <ul style="list-style-type: none"> <li> <b>27 January 2021</b>            Full review of all areas where staff and students were proposed to return to campus, a couple of minor queries which were addressed the next day.            Confirmation that Organisational Home Working Risk assessment would be circulated to the group for comment.         </li> <li> <b>04 February 2021</b>            Update on what other colleges are doing in terms of financial sustainability (nothing different).            College continues to work with APUC to look at savings through contract management.            Confirmation that College would not be doing a full strategy review but a financial recovery review instead.            IW confirmed as being part of the process of saving 20M across the partnership.         </li> </ul>
<p><b>Consultation</b> How has consultation with partners been carried out?</p>	<p>Click or tap here to enter text.</p>
<p><b>Action requested</b></p>	<p><input checked="" type="checkbox"/> For information  <input type="checkbox"/> For discussion  <input type="checkbox"/> For recommendation  <input type="checkbox"/> For approval</p>

## Perth College UHI

<p><b>Resource implications</b> (If yes, please provide details)</p>	<p><del>Yes</del>/No</p>
<p><b>Risk implications</b> (If yes, please provide details)</p>	<p><del>Yes</del>/ No Click or tap here to enter text.</p>
<p><b>Link with strategy</b> Please highlight how the paper links to the Strategic Plan, or assist with:</p> <ul style="list-style-type: none"> <li>• Compliance</li> <li>• National Student Survey</li> <li>• partnership services</li> <li>• risk management</li> <li>• other activity [e.g. new opportunity] – please provide further information</li> </ul>	<p>Click or tap here to enter text.</p>
<p><b><u>Equality and diversity</u></b> Yes/ No If yes, please give details:</p>	<p><del>Yes</del>/No</p>
<p><b>Island communities</b> Does this activity/ proposal have an effect on an island community which is significantly different from its effect on other communities (including other island communities)?</p>	<p><del>Yes</del>/ No If yes, please give details: Click or tap here to enter text.</p>

## Perth College UHI

<p><b><u>Data Protection</u></b></p> <p>Does this activity/ proposal require a Data Protection Impact Assessment?</p>	<p>Yes/No</p> <p>Click or tap here to enter text.</p>
<p><b>Status</b> (e.g. confidential/non confidential)</p>	<p>Non Confidential</p>
<p><b>Freedom of information</b></p> <p>Can this paper be included in “open” business?*</p>	<p>Yes/No</p>

\* If a paper should **not** be included within ‘open’ business, please highlight below the reason.

<p>Its disclosure would substantially prejudice a programme of research</p>	<input type="checkbox"/>	<p>Its disclosure would substantially prejudice the effective conduct of public affairs</p>	<input type="checkbox"/>
<p>Its disclosure would substantially prejudice the commercial interests of any person or organisation</p>	<input type="checkbox"/>	<p>Its disclosure would constitute a breach of confidence actionable in court</p>	<input type="checkbox"/>
<p>Its disclosure would constitute a breach of the Data Protection Act</p>	<input type="checkbox"/>	<p>Other [please give further details] Click or tap here to enter text.</p>	<input type="checkbox"/>

For how long must the paper be withheld? Click or tap here to enter text.

Further guidance on application of the exclusions from Freedom of Information legislation is available via:

<http://www.itspublicknowledge.info/ScottishPublicAuthorities/ScottishPublicAuthorities.asp>

and

[http://www.itspublicknowledge.info/web/FILES/Public\\_Interest\\_Test.pdf](http://www.itspublicknowledge.info/web/FILES/Public_Interest_Test.pdf)

## PERTH COLLEGE UHI

---

### JNC : Support Staff

Note of Meeting held on Thursday 10 December 2020  
1.30pm, by Webex VC

**Present:**                   **Management Representatives**  
Katy Lees (KFL), Head of HR & OD (Chair)  
Dr Margaret Cook (MC), Principal  
Lorenz Cairns (LC), Depute Principal Academic

#### **Support Staff Representatives**

Jane Edwards (JE), Unison  
Winston Flynn (WF), Unison

**Apologies:**               Rob Reed (RR), Unison

**In Attendance:**       Iain Wishart, Director of Finance, for item 3 only

**Note Taker:**           Carolyn Sweeney-Wilson (CSW)

### Summary of Action Items

Ref	Action	Responsibility	Timeline
4.	<b>Review of Actions / Matters arising not included elsewhere on the Agenda</b>		
4.1	<u>Retirement Policy Feedback</u> <ul style="list-style-type: none"> <li>This item to be added to the agenda of the 24<sup>th</sup> June JNC meeting.</li> </ul>	Carolyn Sweeney-Wilson	24/06/2021
7.	<b>Review of Long Term Sickness Absence</b> <ul style="list-style-type: none"> <li>CSW to add Review of Long Term Sickness Absence to the agenda for the next JNC meeting.</li> </ul>	Carolyn Sweeney-Wilson	04/03/2021

DRAFT

## Minutes

Item		ACTION
1.	<p><b>Welcome and Apologies</b></p> <p>KFL welcomed everyone to the JNC for Support Staff meeting.</p> <p>Apologies were noted.</p>	
2.	<p><b>Minutes of the last Meeting</b></p> <p>The minutes of the JNC for Support Staff meeting held on 1 October 2020, having been circulated, were approved as an accurate reflection of the discussions that had taken place.</p>	
3.	<p><b>Finance – update</b></p> <p>IW had nothing further to report from what he reported on at the joint meeting of JNCs on 4<sup>th</sup> December.</p> <p>There were no further questions from JNC members on what he had reported on at the 4<sup>th</sup> December meeting.</p>	
4.	<p><b>Review of Actions / Matters arising not included elsewhere on the Agenda</b></p> <p>4.1 <u>Retirement Policy Feedback</u></p> <p>KFL confirmed this item would be deferred until the 24<sup>th</sup> June JNC.</p> <p><b>Action:</b> This item to be added to the agenda for the 24<sup>th</sup> June JNC meeting.</p> <p>4.2 <u>TOIL Guidelines – update</u></p> <p>KFL the TOIL Guidelines were included in the pack of papers circulated for this meeting and KFL asked if Reps had any questions.</p> <p>JE queried where HR were with the exercise on reviewing TOIL and managers reviewing how much TOIL their staff had accrued.</p> <p>KFL confirmed that HR carried out a big exercise up to the end of the last academic year, to ensure that staff took their TOIL. This was managed where KFL was aware of high TOIL. KFL said she would propose to issue these guidelines to managers, for them to confirm the TOIL of their staff.</p> <p><b>Approved:</b> TU Reps confirmed their acceptance of these guidelines.</p>	CSW

Item		ACTION
	<p>This item was now complete and would be removed from the agenda.</p> <p>4.3 <u>Review of Management Communications – update</u></p> <p>MC confirmed that there had been a positive response from staff in terms of the communications being circulated.</p> <p>This item was now complete and would be removed from the agenda.</p>	
<p><b>5.</b></p>	<p><b>HR Statistics &amp; Updates</b></p> <p>KFL had circulated the HR report with the papers for this meeting and she reviewed that report.</p> <p>The statistics for sickness provided figures up to the end of October. There were 515 days lost in terms of support staff sick days, which was less than previous years, but more than the Academic staff. There were a number of staff off on long term sick. KFL said she would expect COVID to have an impact, but more from other pressures due to COVID.</p> <p>WF queried if the timing of the triggers for managers to contact their staff was continuing. KFL said it was important that managers kept in touch with their staff and kept on top of sickness absences, so the triggers remained in place.</p> <p>JE queried if there were any trends being seen for short term absences. KFL said it was the usual absences, but it was perhaps too early yet to see any trends.</p> <p>JE suggested it might be helpful if the Unions could meet with HR to discuss how sickness absence was being managed operationally. KFL queried if there was anything flagging up to the union about this as HR were following College policy. JE said the big flag for the union was recognition of cases where the Equality Act might come into play and Unison would want to work in partnership with HR to ensure that people had all the support they required so that this might bring people back to work sooner. JE said she thought the Equality Act was not being recognised very early on in some of the cases she had recently been dealing with and she would like HR to give guidance to managers on this, particularly around reasonable adjustments. She thought it might be helpful for managers to have training sessions on this. The Reasonable Adjustment Passport System could also be considered as this could have a positive impact and it would demonstrate the College were being proactive in terms of ensuring reasonable adjustments were in place.</p>	
<p><b>6.</b></p>	<p><b>Staff Survey</b></p> <p>MC said she continued to wait on a response from UHI approving the College to go to tender for provision of the survey services. She</p>	



Item		ACTION
	<p>had repeatedly reminded UHI, but had not yet had a response. Unfortunately, until the tendering process was completed, this matter could not move any further forward. MC said she would continue to press UHI for a decision.</p>	
7.	<p><b>Review of Long Term Sickness Absence</b></p> <p>KFL said she would be deferring this item to the next meeting as the exercise was not yet fully complete.</p> <p>JE questioned what the exercise entailed. KFL reminded JE that at the last meeting she had asked for the long term sickness absence statistics to be reviewed and provision of more details on the reasons for the absences. JE queried if there had been a review of all of the long term sickness absence cases. KFL said that HR had the raw data but there had been no formal review of the cases. It would just be a matter of analysing the data.</p> <p><b>Action:</b> CSW to add Review of Long Term Sickness Absence to the agenda for the next JNC meeting.</p>	CSW
8.	<p><b>Business Continuity Plan</b></p> <p>LC advised that the latest version of the Global Incident action card had been updated with COVID-related information. In terms of the wider/full Business Continuity Plan, this had been scheduled for review by the Board of Management this academic year. It was planned to table the reviewed Plan at the June 2021 Board meeting.</p>	
9.	<p><b>Staff Engagement Group – update</b></p> <p>KFL updated JNC members on the Staff EG meeting held on 4<sup>th</sup> November. The conversation mostly centred around the car parking situation, use of lifts and potholes and then group members provided general updates on their COVID experiences. Nothing significant came out of the meeting.</p> <p>JE suggested that the minutes of this group come to JNC. KFL said there was no formal link between this group and the JNC, so she did not think it appropriate for the minutes to come to this committee. She was happy to continue to provide updates. The minutes of the Staff EG were freely available on the ‘S’ drive and there was also union representation on the committee.</p>	
10.	<p><b>National Bargaining - update</b></p> <p>MC advised that she was no longer on the ‘bargaining’ side but had moved to be a member of the Executive Group, representing UHI Colleges.</p>	

Item		ACTION
	<p>WF indicated that there had been a meeting planned for this week, but this had to be postponed due to a dispute over the figure to put to members and implementation of back-dated pay.</p>	
<b>11.</b>	<p><b>Health and Wellbeing Group - update</b></p> <p>KFL advised the HWG had met for the first time and the minutes would go formally to the Health and Safety Committee. This group would be intending to issue a survey, in the New Year, related to stress. The questions would follow the HSE guidelines and the HWG would be meeting again next week, where this would be discussed further.</p>	
<b>12.</b>	<p><b>Perminisation – update and protocol</b></p> <p>KFL had circulated a paper prior to this meeting. These rules were to ensure clarity on perminisation for support staff.</p> <p>WF queried item 8 and asked what was meant by “casual workers”. KFL said this was in reference to staff who did not have full-time contracts, who took on extra hours, if these were not contracted extra hours, then they could not be counted for perminisation eg someone who did overtime, these extra hours could not be counted.</p> <p>JE queried the reference to “term time only” and how would that affect someone who had their contract renewed from year to year. KFL said that if someone had a one year temporary contract, for term time only, and this was extended for a second year, because the person had two consecutive years of contracts, then that would be considered for perminisation.</p> <p><b>Approved:</b> JNC members were happy to approve these rules.</p>	
<b>13.</b>	<p><b>COVID-19 – Updates</b></p> <p>MC advised that she had received a Ministerial letter last night which contained guidance for universities about students returning to university after the Christmas break on a phased basis. However, this guidance did not apply to UHI as each of the colleges were deemed to be individual colleges. Perth would be opening at the normal time for students to return. The main issue for Perth was in regard to students returning to the Residences and this would be managed accordingly, regardless of whether the student was HE or FE. For these purposes it would not matter what type of student they were, they would be managed the same way.</p> <p>MC said there was some discussion about reciprocal arrangements for students to be tested at a university local to their home. However, Perth students could continue to use the Dundee University facilities that the College had a reciprocal arrangement with.</p>	

Item		ACTION
	<p>WF said some staff were asking if the testing facilities being offered to students could also be offered to staff. At the moment WF was pointing staff to the guidance already out there. MC said that because the staff would have extra days holiday, there was a clear gap between the 5 day Christmas bubble before staff would have to return to work and this would hopefully help to provide enough time for any self-isolation to be completed.</p> <p>LC said everyone should continue to follow the SG guidance for returning to work, if staff had been deemed essential, and felt well enough to return to the College campus after the break.</p> <p>JE said she had been approached by union members about the wearing of face coverings in the staff bases. If this was now mandatory JE said it would need to be accompanied by additional breaks to allow people relief from wearing a face covering all day. She suggested the DSE guidance on breaks should be followed.</p> <p>LC said staff were being encouraged to have limited time in the staff bases, with limited numbers in the bases, so there should not really be the necessity for all day use of face coverings.</p> <p>JE advised that clarification had recently been received by Unison regarding the issue of the Government making the vaccine compulsory. At the moment the legislation for COVID did not override the legislation that allowed people to refuse treatment, so people could not be forced to have a vaccine.</p>	
14.	<p><b>Update on staffing matters</b></p> <p>KFL no further update.</p>	
15.	<p><b>Staff Governance Code SLWG – update</b></p> <p>KFL will circulate the notes in due course.</p>	
16.	<p><b>CIPHR Upgrade</b></p> <p>KFL advised that the CiPHR upgrade would commence on 13<sup>th</sup> January 2021 and HR would be locking down CiPHR on 21<sup>st</sup> December. Anything that needed to be verified would need to be completed before the lockdown. This would mean that CIPHR would be locked to staff until approximately 20<sup>th</sup> January.</p>	
17.	<p><b>Expenses Processing</b></p> <p>KFL circulated a paper for review at this meeting. She advised that Finance were proposing a new way for staff to complete their expenses. The proposal would be to use the expenses module in Bluqube. There would be less paper involved for all concerned, it would streamline many of the elements for Finance and would give staff greater flexibility to update, review and track their expenses.</p>	

Item		ACTION
	<p>The paper was a summary of the benefits of the new system. Training and information for staff would be rolled out in due course.</p> <p>JE queried if the implementation of this new electronic system would mean a cut to staff due to this new process. KFL said there would continue to be plenty of work for staff, but this would move this process out of the HR Payroll element to the Finance team.</p>	
<b>18.</b>	<p><b>Policy Review</b></p> <p>18.1 <u>Homeworking Policy</u></p> <p>KFL said she would bring this policy to the JNC once it had been completed. JE asked that there be consideration of having an allowance for Homeworking when drafting this policy. This was being discussed at National level, although there was no agreement yet. MC said the general consensus nationally was that this was not an appropriate thing to do and the cost would have a big implication for Perth, but MC said she would be happy to discuss it further.</p> <p>18.2 <u>Updated Probationary Policy</u></p> <p>KFL advised that there were only minor changes to this policy, mostly updating names of job titles, course titles, etc.</p> <p><b>Approved:</b> JNC members were happy to approve this policy for publication.</p>	
<b>19.</b>	<p><b>Unison Items</b></p> <p>No updates.</p>	
<b>20.</b>	<p><b>AOCB</b></p> <p>None.</p>	
<b>21.</b>	<p><b>Date and time of next meeting:</b></p> <ul style="list-style-type: none"> <li>• 4 March 2021</li> </ul> <p>All meetings are on Thursdays, 13.30-15.00</p> <p><b>Meeting End Time</b></p> <p>The meeting concluded at 14.30.</p>	

Information recorded in College minutes are subject to release under the Freedom of Information (Scotland) Act 2002 (FOI(S)A). There are certain limited exceptions, but generally all information contained in minutes is liable to be released if requested.

The College may also be asked for information contained in minutes about living individuals, under the terms of the Data Protection Act 2018. It is important that fact, rather than opinion, is recorded.

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

**DRAFT**

## PERTH COLLEGE UHI

---

### JNC : Lecturers

Note of Meeting held on Thursday 10 December 2020  
3.00pm, By Webex VC

**Present:**

**Management Representatives**  
Katy Lees (KFL), Head of HR & OD (Chair)  
Dr Margaret Cook (MC), Principal  
Lorenz Cairns (LC), Depute Principal Academic

**Academic Staff Representatives**  
Declan Gaughan (DG), EIS-FELA  
Sara O'Hagan (SOH), EIS-FELA

**Apologies:** N/A

**In Attendance:** Iain Wishart (IW), Director of Finance – for item 3 only

**Note Taker:** Carolyn Sweeney-Wilson

### Summary of Action Items

Ref	Action	Responsibility	Timeline
4.	<p><b>Review of Actions / Matters Arising not included elsewhere on the Agenda</b></p> <p><u>4.1 Leisure Tutors – update</u></p> <ul style="list-style-type: none"> <li>This item to remain on the agenda for feedback from the EIS Branch Office.</li> </ul> <p><u>4.2 TOIL – update</u></p> <ul style="list-style-type: none"> <li>KFL to meet with SDDs and seek their opinion on the TOIL Guidelines and feedback the next JNC.</li> </ul>	<p>Carolyn Sweeney-Wilson</p> <p>Katy Lees</p>	<p>Ongoing</p> <p>ASAP</p>
5.	<p><b>Timetabling Protocols</b></p> <ul style="list-style-type: none"> <li>KFL to schedule a single item JNC for end of April/beginning of May 2020, to discuss the</li> </ul>	Katy Lees, Carolyn	April/May 2021

## Summary of Action Items

Ref	Action	Responsibility	Timeline
	2021-22 Timetable Protocols.	Sweeney-Wilson	
7.	<b>Staff Survey</b> <ul style="list-style-type: none"> <li>MC to add a sentence to the next staff weekly bulletin to indicate the delay in the publication of the staff survey.</li> </ul>	Margaret Cook	16/12/2020
9.	<b>Permanisation – update &amp; protocol</b> <ul style="list-style-type: none"> <li>SOH to provide feedback at the next JNC on the EIS Branch opinion on the Academic Permanency Rules document.</li> <li>KFL to seek SDDs opinion on this document in the meantime.</li> </ul>	Sara O'Hagan Katy Lees	04/03/2021 04/03/2021
13.	<b>GTCS Update</b>  Further discussion to be continued next week at CMT and Joint JNC on the final decision regarding TQFE.	All	w/c 14/12/20
15.	<b>EIS Items</b> <p>15.1 <u>APD</u></p> <ul style="list-style-type: none"> <li>A meeting to be arranged in January to discuss APD/Staff Conference Day payments. Meeting to include: EIS Reps, SDDs, LC, KFL.</li> </ul> <p>15.3 <u>Holiday Arrangements</u></p> <ul style="list-style-type: none"> <li>A meeting to be arranged, outwith the JNC, to discuss potentially changing the holiday pattern more permanently, to reflect the temporary change that was made in 2020. Meeting to include: EIS Reps, SDDs, LC, KFL.</li> </ul> <p>15.4 <u>Facilities Time</u></p> <ul style="list-style-type: none"> <li>SMT and KFL to discuss extending the facility time for TU Reps.</li> </ul>	Katy Lees, Carolyn Sweeney-Wilson  Katy Lees, Carolyn Sweeney-Wilson  SMT, KFL	January 2021  January 2021  ASAP

## Minutes

Item		ACTION
1.	<p><b>Welcome and Apologies</b></p> <p>KFL welcomed everyone to the first scheduled JNC for Lecturers meeting.</p> <p>There were no Apologies.</p>	
2.	<p><b>Minutes of Previous Meeting</b></p> <p>The minutes of the meeting held on 1 October 2020, which had been previously circulated, were approved as an accurate reflection of the discussions that had taken place.</p>	
3.	<p><b>Finance Update</b></p> <p>IW did not have any further updates, other than that which he already reported on at the joint JNC meeting on 4<sup>th</sup> December.</p> <p>IW reiterated what he had reported, which included details that the Digital Poverty project had impacted on costs, but currently the budget was looking like it was below estimated for the year. This was partly due to low catering costs and travel costs, due to the COVID situation. As a result, the non-staff costs were projected to be lower for the year. Staff costs were also coming in lower than budget but a catch-up payment from national bargaining would need to be added and that would then bring the staff costs back into line with budget projections.</p> <p>IW said that Finance and budget holders were interrogating budgets for sustainable savings that would provide long term savings. This may crystallise in the next budget round, which was due to start in January. This would provide an indication of where the College finances would be next year and this budget would need to show sustainable long term savings.</p> <p>KFL thanked IW for his update and IW then left the meeting.</p>	
4.	<p><b>Review of Actions / Matters Arising not included elsewhere on the Agenda</b></p> <p><u>4.1 Leisure Tutors – update</u></p> <p>KFL advised that a response from EIS Branch in terms of concluding the permanisation for Leisure Tutors had still not been received. SOH said the EIS Branch official had been off sick, but SOH would now speak with someone more senior so a response could be received without further delay. KFL said she would continue to proceed with permanisation in the meantime.</p>	



Item		ACTION
	<p><b>Action:</b> This item to remain on the agenda for feedback from the EIS Branch Office.</p> <p><u>4.2 TOIL – update</u> KFL had circulated this paper with the pack for this meeting and proceeded to review the details.</p> <p>SOH referred to the Working Hours cap and said the document did not make it clear on what basis the 7 hours was being applied eg was it weekly, monthly, yearly etc. Clarification would be required on this. KFL said the cap of 7 hours did not cover a set time period to be accrued. MC said this would be a rolling time period, but no more than a day at any one point in time could be accrued. LC said that it would be important for people not to accrue because it would impact on a person’s recovery. It would be preferred that time was accrued on the basis of no more than one day at a time and once the day accrued was taken, then staff could accrue another day. SOH said she thought the 7 hours cap and then having to take the time off would restrict people. SOH said that staff did a lot of work on goodwill and from the curriculum point of view, these guidelines would do away with some of the good things staff did. She asked if the SDDs had seen and signed off on these guidelines. SOH felt it would also halt people working extra hours as it was too restrictive for getting the time back. MC said there were huge numbers of hours in the institution and this was intended to reign this in.</p> <p>There followed a further discussion about whether or not it would be a better option to produce a separate version of the guidelines for Academic staff and, in particular, mention to be made of staff cover over the summer break. SOH said she thought these guidelines would impact on staff goodwill if they were implemented in this form as they were too restrictive.</p> <p>KFL advised she would be meeting with SDDs next week and would raise this matter with them for their views.</p> <p><b>Action:</b> KFL to meet with SDDs and seek their opinion on the TOIL Guidelines and feedback the next JNC.</p>	<p><b>CSW</b></p> <p><b>KFL</b></p>
5.	<p><b>Timetabling Protocols</b></p> <p>SOH said she had been in discussion with Catherine Etri (CE) and the Protocols had now been resolved. CE now had the most up-to-date version which EIS and CE had both agreed.</p> <p>KFL queried which route was the right way to make sure the Protocol was approved as neither KFL nor DL had been included in those discussions.</p> <p>SOH said she originally dealt with DL, but then CE asked SOH to</p>	

Item		ACTION
	<p>review it on behalf of EIS.</p> <p>KFL said there was a section in the Protocols that referred to payment of staff, particularly where it referenced APD. KFL would need to be involved in any discussions where payments to staff were being written into a Protocol. SOH said she had already discussed the issue of APD with CE and had said that for future iterations of the Protocol, EIS would like to see a definition/tariff included for Staff Conference Day payments.</p> <p>LC said, to be clear, while conversations with CE were helpful, approval needed to come to this forum and KFL and DL needed to have been involved in those conversations. All further Protocols must go through KFL and DL, but CE could be involved. SOH suggested that, in future, there should be a separate meeting to discuss the Protocols.</p> <p>KFL said she would make sure Timetable Protocols would be itemised on the agenda for the appropriate time of year in order to give time to have discussions. KFL suggested this be a single item JNC meeting.</p> <p><b>Action:</b> KFL to schedule a single item JNC for end of April/ beginning of May 2020, to discuss the 2021-22 Timetable Protocols.</p>	KFL, CSW
6.	<p><b>HR Statistics &amp; Updates</b></p> <p>KFL had circulated the HR statistics paper with the pack for this meeting and went on to review the details. She advised that there were low numbers of sickness absence for Academic staff – only 15 days lost up to 30 October and all were short term.</p> <p>SOH had a question regarding staff wellbeing and whether or not staff were working through illnesses because they are working from home and probably should have been off. KFL said this query would be better answered by her update under Item 8, in relation to the stress survey.</p>	
7.	<p><b>Staff Survey</b></p> <p>MC advised that she had repeatedly asked UHI for approval to go out to tender for a staff survey, but was still waiting on this approval. The timescale for procurement before Christmas was now very slim. SOH asked if a communication could be circulated to staff regarding this, as they had been expecting the survey to come out soon.</p> <p><b>Action:</b> MC to add a sentence to the next staff weekly bulletin to indicate the delay in the publication of the staff survey.</p>	MC
8.	<p><b>Healthy &amp; Wellbeing Group – update</b></p>	

Item		ACTION
	<p>KFL advised that the HWG had held its first meeting and it had been brought to light that there was no similar group for students. This was being rectified and a HWG for students was now being constituted.</p> <p>The second meeting of the group was due to be held next week and their first action was to implement a stress survey, which would be based on the HSE stress management standard. This survey would be published to staff in January 2021. There were 38 questions and it should take approximately 15 mins to complete. This survey would then inform an organisational stress Risk Assessment (RA). The survey would not identify anyone, but would provide an overview of which stressors were affecting people overall and provide a baseline from which to work from. It would be likely that a follow-up survey would be carried out in 3-4 months to see if any actions taken by the College had provided any benefit to staff.</p> <p>SOH said the survey was very welcome news. She said it would be very important that there was follow-up from the survey and that the College implemented the findings. However, she did not want signals to be sent out that could not be met. KFL said the first survey would provide good base data and a good starting point.</p>	
9.	<p><b>Permanisation – update &amp; protocol</b></p> <p>KFL advised that the Academic Permanency Rules were created based on current practice within the College. However, she noted that item 10, regarding averaged hours to be perminised, had probably not been discussed with EIS. This item was to indicate where averaged hours to be permanised were less than 1 hour of teaching then there would be no permanisation due to the small number.</p> <p>SOH indicated she had forwarded this document to the EIS Branch office for them to check before agreeing, as this document was an interpretation of the NJNC circular. SOH said she was waiting on feedback from the Branch and would update KFL as soon as she had a response. KFL said that, in the meantime, she would send the document, as a draft, to SDDs for their feedback, but noted the document would need to return to this JNC approval.</p> <p><b>Action:</b></p> <ul style="list-style-type: none"> <li>• SOH to provide feedback at the next JNC on the EIS Branch opinion on the Academic Permanency Rules document.</li> <li>• KFL to seek SDDs opinion on this document in the meantime.</li> </ul>	<p><b>SOH</b></p> <p><b>KFL</b></p>
10.	<p><b>Staff Governance Code SLWG – update</b></p> <p>KFL said she was aware that the paperwork from the SLWG meetings had still to be circulated and she would do this as soon as</p>	

Item		ACTION
11.	<p>possible. The Staff Engagement Group would also require to provide feedback on this code.</p> <p><b>Policies update</b></p> <p>11.1 <u>Updated Probationary Policy</u> KFL advised that many of the changes in this Policy document were minor tweaks to do with names and job titles etc. David Gourley had also checked the policy from an Academic point of view and in terms of the practice.</p> <p>SOH noted that the Policy did not contain anything relating to TQFE, or other programmes that had observation as part of them. KFL said this Policy covered the Probation period and observation would not be covered at that stage.</p> <p><b>Approved:</b> EIS Reps confirmed their acceptance of this policy.</p>	
12.	<p><b>CIPHR Upgrade</b></p> <p>KFL advised that CIPHR would be upgraded on 13 January and it would be locked down on 21 December to ensure no further entries could be made, which might incur the loss of that data. It was likely to continue to be locked after the upgrade in order to give HR some time to make changes. For end users CIPHR would look different and there was some additional security for logging in, but KFL will ensure that all this information was rolled out to staff in due course. KFL expected the new system to have more functionality and these would be rolled out gradually to managers.</p> <p>SOH queried if there would continue to be multiple records for staff. KFL confirmed there would, as this was how the system worked – there would be no moving away from that. The Recruitment module was also being updated which would make this more user-friendly and should be available at the same time.</p>	
13.	<p><b>GTCS Update</b></p> <p>KFL discussed the professional update framework which was at UHI level and noted it was intended there would be a validation event in 2021. To do this would require an overarching framework which was nearly completed. Following that, a new professional review policy would need to be written to meet the GTCS requirements.</p> <p>MC said she had been in discussion with UHI about further alternatives to TQFE, as many staff used the HEA. After some pressure, GTCS had now amended their wording slightly which would probably mean that staff would be able to tick the box for alternative forms of recognition, however this was not confirmed. The wording of the national agreement was quite specific for TQFE and, as things stood, staff that did not have TQFE could not</p>	

Item		ACTION
	<p>currently progress through the bar. MC and John Kemp had taken this as an action to raise as part of national negotiations. MC felt it was unlikely that GTCS accreditation for TQFE would be available until next year. GTCS had been given permission from the Scottish Government to accredit the programme, but MC said she could not see UHI now being in a position to offer TQFE at the beginning of Semester 2, as time was fast running out. MC said she would try to get further feedback next week, on the current status, so that staff could be informed prior to Christmas.</p> <p>SOH said this was quite alarming and that trying to manage staff expectations would be difficult. She agreed that if a decision on the viability of going ahead with TQFE in 2021 needed to be made before the holidays, it would be right to do so.</p> <p><b>Action:</b> Further discussion to be continued next week at CMT and Joint JNC on the final decision regarding TQFE.</p>	ALL
14.	<p><b>Expenses Processing</b></p> <p>KFL advised that Finance had been reviewing their processes and now wished to change how staff expenses were processed. They intended to use the Expenses Module through Bluqube. Expenses would no longer be paid through Payroll which would provide staff with greater flexibility.</p> <p>The paper forms would be removed and this new module would provide an electronic authorisation record. It would also streamline some of the processes in Finance. The expenses process would be much more visible and accessible to staff and they would also be able to track the progress of their claim. Finance hoped to roll the Expenses Module out next year, but they did not have a confirmed timeline for this yet.</p>	
15.	<p><b>EIS Items</b></p> <p>15.1 <u>APD</u></p> <p>SOH referred to previous discussions regarding APD and the payment for attendance at Staff Conferences and advised that some members were upset about the decision regarding this - no one was happy with the outcome. SOH asked that some further consideration be given to this situation and, more importantly, a discussion about what APD was to be used for, how much time should be allocated to marking/prep (teaching associated work) and what was proportioned for other work.</p> <p>There was further discussion about this, and various examples were used to provide explanations of situations and what people thought was fair and not fair and where the line should be drawn. LC said he thought it would be good to discuss this further, possibly out of this meeting.</p>	

Item		ACTION
	<p>SOH said that APD was used for many other things as well and this was about transparency on Lecturers' duties. SOH agreed that it would be a good idea to have a wider discussion on this. LC agreed with SOH that matters should be fair and transparent, but was not sure in these fiscal times that the College could afford to pay everyone, in addition to APD, to attend the Staff Conferences.</p> <p><b>Action:</b> A meeting to be arranged in January to discuss APD/Staff Conference Day payments. Meeting to include: EIS Reps, SDDs, LC, KFL.</p> <p>15.2 <u>Staff Conference Payment</u> Discussed under item 15.1.</p> <p>15.3 <u>Holiday Arrangements</u> SOH indicated that many staff liked the arrangement during the summer for the earlier return followed by the extra week's holiday in October and wondered if it was possible to do this again.</p> <p>MC said she was not adverse to having another discussion about this, but felt it would need to be soon. KFL pointed out that not all staff wanted to take that option and careful thought would need to be given as to how a change in the holiday pattern would work.</p> <p>SOH said it was her perception that the change in holiday pattern seemed quite successful and quite a number of staff really embraced and liked it. LC said this would be a change to the academic calendar and staff would need to be confident that time could be made up as the extra October week in 2020 wasn't an official UHI reading week.</p> <p><b>Action:</b> A meeting to be arranged, outwith the JNC, to discuss potentially changing the holiday pattern more permanently, to reflect the temporary change that was made in 2020. Meeting to include: EIS Reps, SDDs, LC, KFL.</p> <p>15.4 <u>Facilities Time</u> DG indicated this was a carry-over from the last meeting where there was a discussion about the facility time for Steve Scott. EIS Reps also wanted to raise the issue of their facility time. Due to the current situation there had been an increased number of committee meetings that Reps had been expected to attend and with the impending possible redundancies, meetings were likely to become more frequent. There was also an increased case load which was getting escalated which meant DG and SOH had more cases to deal with. EIS Reps proposed that they be given an additional hour to deal with all of these matters, much like they had been given the extra time during the first round of negotiations last year and which had worked well.</p>	<p><b>KFL, CSW</b></p> <p><b>KFL, CSW</b></p>

Item		ACTION
	<p>MC said that, for the purposes of equity, SMT would also need to review the facility time for Unison Reps.</p> <p><b>Action:</b> SMT and KFL to discuss extending the facility time for TU Reps.</p> <p><b>15.5 <u>Restricted Blended Learning (T3/T4)</u></b> SOH asked for some clarity about what the criteria was for face-to-face (f2f) teaching for Level 3/4 areas, when the Government guidelines were for blended learning. Members had been asking about the requirement for f2f work.</p> <p>LC said restricted blended learning was predominantly online but there was f2f teaching where it was critical /time sensitive for completion of work to fulfil specific learning outcomes and this was what the Government guidelines stipulated.</p> <p>The College regularly reviewed this situation, but had to follow Government guidelines for the curriculum. Restricted blended learning meant that the College had to comply with learning that was critical, time sensitive learning. It also meant that in-person support was allowed if there was f2f teaching. LC said that if the Curriculum areas felt there was a need to review the current status, then LC would be happy for this review to go ahead. If Lecturers were going to SOH advising they could not attend f2f teaching then it was worth having those conversations.</p> <p><b>15.6 <u>Staff Wellbeing</u></b> SOH said that there had been discussion about staff isolation and morale at the joint JNCs and these were very important issues. Next semester the vast proportion of staff would still likely be working from home and SOH queried if there was anything else the College should be thinking about to support the staff. KFL said that it was the intention for the HWG to review staff wellbeing, but if any EIS members had any ideas, KFL asked them to let KFL know.</p> <p><b>16. <u>COVID-19 - updates</u></b></p> <p>LC advised that a Ministerial letter had been received late yesterday which discussed students returning to universities, after the Christmas break, and the Minister was requesting that the return of students be staggered. However, this did not apply to UHI as Colleges were being treated as individual colleges and it was, therefore, not necessary to stagger the return of students. Students would return to Perth College as they normally would, albeit that the restrictions applicable to the area's current level (current L3) would continue to apply.</p> <p>MC there continued to be concern regarding students returning to Residences and Perth students would continue to be able to make use of the testing facilities, organised by the College with Dundee</p>	<p><b>SMT, KFL</b></p>

Item		ACTION
17.	<p>University, and this would apply for their return as well.</p> <p><b>AOCB</b></p> <p>SOH updated on the last JNC, whereby there were a couple of policies that the EIS H&amp;S Rep was to look at, and SOH confirmed that Steve did this and all was okay.</p>	
18.	<p><b>Date and time of next meeting:</b></p> <ul style="list-style-type: none"> <li>• 4 March 2021</li> </ul> <p>All meetings are on Thursdays, 15.00-16.30</p> <p><b>Meeting End Time</b></p> <p>The meeting concluded at 16.25.</p>	

---

Information recorded in College minutes are subject to release under the Freedom of Information (Scotland) Act 2002 (FOI(S)A). There are certain limited exceptions, but generally all information contained in minutes is liable to be released if requested.

The College may also be asked for information contained in minutes about living individuals, under the terms of the Data Protection Act 2018. It is important that fact, rather than opinion, is recorded.

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



# PERTH COLLEGE UHI

---

## Joint JNC Meeting

Note of Meeting held on Friday 4 December 2020, 10.30am, by Webex VC

**Present: Management Representatives**  
Katy Lees (KFL), Head of HR & OD (Chair)  
Dr Margaret Cook (MC), Principal  
Lorenz Cairns (LC), Depute Principal, Academic  
Iain Wishart (IW), Director of Finance

### **Academic and Professional Staff Representatives**

#### EIS-FELA

Sara O'Hagan (SOH)

#### Unison

Jane Edwards (JE)

Winston Flynn (WF)

**Apologies:** Declan Gaughan (DGA), EIS-FELA Rep  
Rob Reed (RR)

**Note Taker:** Carolyn Sweeney-Wilson

## Minutes

Item		ACTION
1.	<b>Welcome and Apologies</b>  KFL welcomed everyone to the meeting, which was to continue discussions regarding the 2020-21 Budget.  Apologies were noted.	
2.	<b>Minutes of the Previous Meetings</b>  The minutes of the meetings held on 19 November 2020, which had been previously circulated, were approved as an accurate reflection of the discussions that had taken place.	
3.	<b>Review of actions from previous meeting:</b>  Further to the ongoing action from the last meeting, whereby MC and KFL were to provide TUs with weekly updates on VS scheme application, KFL confirmed this action was completed.	

Item		ACTION
4.	<p data-bbox="284 230 528 264"><b>2020-21 Budget</b></p> <p data-bbox="284 304 1153 376">IW updated the meeting on the current stage of the review of budgets, whereby, actual costs were now coming through.</p> <p data-bbox="284 416 1259 707">The Digital Poverty project had impacted on costs, but currently the budget was looking like it was below estimated for the year. This was partly due to low catering costs and travel costs, due to the COVID situation. As a result, the non-staff costs were projected to be lower for the year. Staff costs were also coming in lower than budget but a catch-up payment from national bargaining would need to be added and that would then bring the staff costs back into line with budget projections.</p> <p data-bbox="284 748 1142 819">IW advised that, to-date, the College had received £211K of Furlough money.</p> <p data-bbox="284 860 1259 1070">IW said that Finance and budget holders were interrogating budgets for sustainable savings that would provide long term savings. This may crystallise in the next budget round, which was due to start in January. This would provide an indication of where the College finances would be next year and this budget would need to show sustainable long term savings.</p> <p data-bbox="284 1111 1267 1294">IW indicated he had discussions with SFC and UHI and both were happy with the measures the College was undertaking in terms of cost savings. IW had made contact with Fife College to discuss their budget saving experiences and he also intended to follow up with other colleges.</p> <p data-bbox="284 1335 1254 1473">SOH queried if the depletion of printing and the use of paper helped with savings. IW said the costs were down slightly, but not significantly. IW did not know if this would fall any further over the next 3 quarters.</p> <p data-bbox="284 1514 1270 2020">WF asked if there were any projects that could be put on hold until next year eg Estates work. IW said he would be meeting with KL to discuss Estates work. However, it was his impression that the College was “just ticking over” with the Estates work and any savings may not provide a sustainable benefit as it would just mean delaying work that was required. MC advised that much of the Estates money was not able to be spent elsewhere and if the College did not spend it, then it would need to be returned to SFC. It was, therefore, important to maximise the amount of Estates budget that was spent so that money was not being handed back. WF queried why then the work to implement LED lights had been halted and wondered if this was a false economy and would, in the long term, have saved money from the electricity bill. LC said that due to COVID, adjustments had been required to be made, that were not</p>	

Item		ACTION
	<p>foreseeable, that were quite costly, so the lighting implementation had to be put on hold. This work would be carried out in the future. MC said that it would be her hope that the money the College had spent on COVID related items would be recouped from the Scottish Government (SG).</p> <p>JE had some questions for management:</p> <ul style="list-style-type: none"> <li>• could the College Furlough staff who were approved for the VS Scheme.</li> <li>• was an assessment being carried out of any roles agreed for VS, in term's of the outgoing person's workload and what would happen to that work when the member of staff had left. JE said she was concerned about the staff left behind and that their workload would increase and the stress this would place upon remaining staff.</li> <li>• in terms of sustainable savings, at some point would something drastic need to be done in order to make necessary savings and, if so, did SMT have any idea what that would be.</li> </ul> <p>MC said that Furlough, to give its proper name, was the Job Retention Scheme and using it for people leaving the organisation was not allowed.</p> <p>Re the matter of assessing a VS applicant's workload, MC confirmed that there had been some VS requests that needed partial replacement. It was a real challenge looking at the work and where it came from and where it went, but the consequences of that and the workload needed to be managed carefully. MC said that IW had already been working on a Process Improvement plan to try and lighten the load and make it more efficient and effective. Sometimes that was not possible and this was why some of the VS applications were refused.</p> <p>In terms of JE's comment regarding "drastic measures", the mitigations in the budget had already been discussed with TUs, but one of those mitigations concerned a reduction in the 'top slice'. MC said that UHI were not prepared to make that reduction and the RAM was maintaining the 'top slice' at 35%. Perth had hoped that when UHI looked at the RAM there would be a change in this position. While some of the smaller partners had to seek some support services from EO, as they did not have all the services of Perth, the College continued to pay the same 'top slice' to EO. Even though Perth also supplied services to some of these smaller partners.</p> <p>IW said he had made a proposal to centralise some of the UHI services, though not necessarily to EO, and this could make things more efficient.</p>	

Item	ACTION
<p>JE queried if SMT anticipated any of these changes happening when the new UHI Vice-Chancellor (UHI VC) came into post and did SMT think one of the areas being reviewed would be the senior structures.</p> <p>JE also asked if there would be a requirement to make year on year savings and would there likely come a point when savings would not be able to be made anywhere else.</p> <p>MC said the new UHI VC commenced his post on 1<sup>st</sup> February, but was already engaging with the UHI institutions. He would arrive with his own ideas, but he did come from a similar type of organisation to UHI. There would be a lot of change at UHI over the coming months with other staff also retiring. In terms of whether there would be senior staff reductions. MC went on to speak about various options and scenarios for the partnership and gave her personal opinion on a number of issues.</p> <p>LC said the whole college sector was in real challenge mode at the moment. While the situation within UHI was frustrating as far as Perth was concerned, the College was reviewing process improvements, a new strategy and a new vision to put itself on the right footing going forward. However, what happens within EO would still have a huge impact on Perth over the coming months. MC said that the College had people in positions within UHI to help shape and influence what UHI looked like in the future.</p> <p>JE asked for an update on VS numbers. KFL confirmed the figures she had circulated in an email earlier today.</p> <p>MC said the reason SMT had rejected some applications was due to the backfill that would be required. SMT had to check everything very carefully and ensure costs were worked out, because the VS process was about saving money.</p> <p>JE mentioned that a suggestion from an SG Think Tank for a 4 day working week and was this something that management and TUs could discuss at a later meeting. MC had not seen this article, but said she would read it before responding.</p> <p>JE queried if the Process Improvement Plan would affect all teams, reviewing where efficiencies could be made – was it an organised plan. IW said he had submitted a proposal to SMT how to trial process improvement and it was proposed that at the next CMT meeting volunteers should be sought to be coaches for this process. Following on from that it was hoped to trial this methodology to see if it was successful. If it was successful then it could then be rolled out to all teams. This process was about staff solving problems and suggesting how things could be done better.</p>	

Item		ACTION
5.	<b>AOCB</b>  None.	
6.	<b>Date and time of next meeting:</b> <ul style="list-style-type: none"> <li>• Thursday 17 December, 10.30am.</li> </ul>	
	<b>Meeting ended:</b> 11.26am.	

---

Information recorded in College minutes are subject to release under the Freedom of Information (Scotland) Act 2002 (FOI(S)A). There are certain limited exceptions, but generally all information contained in minutes is liable to be released if requested.

The College may also be asked for information contained in minutes about living individuals, under the terms of the Data Protection Act 2018. It is important that fact, rather than opinion, is recorded.

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

# PERTH COLLEGE UHI

---

## Joint JNC Meeting

Note of Meeting held on Thursday 17 December 2020, 10.30am, by Webex VC

**Present: Management Representatives**

Katy Lees (KFL), Head of HR & OD (Chair)  
Dr Margaret Cook (MC), Principal  
Lorenz Cairns (LC), Depute Principal, Academic  
Iain Wishart (IW), Director of Finance

**Academic and Professional Staff Representatives**

EIS-FELA

Sara O'Hagan (SOH)

Unison

Winston Flynn (WF)

**Apologies:** Declan Gaughan (DGA), EIS-FELA Rep

Jane Edwards (JE), Unison Rep

Rob Reed (RR), Unison Rep

**Note Taker:** Carolyn Sweeney-Wilson

## Minutes

Item		ACTION
1.	<b>Welcome and Apologies</b>  KFL welcomed everyone to the meeting, which was to continue discussions regarding the 2020-21 Budget.  Apologies were noted.	
2.	<b>Minutes of the Previous Meetings</b>  The minutes of the meetings held on 4 December 2020, which had been previously circulated, were approved as an accurate reflection of the discussions that had taken place.	

Item		ACTION
3.	<p><b>Review of actions from previous meeting:</b></p> <p>None.</p>	
4.	<p><b>2020-21 Budget</b></p> <p><u>Finance Update</u>  IW advised that departments were now looking at savings with the aim of 15% for the remainder of the year. Finance were collating this information as it was submitted and would update this committee in due course.</p> <p>A previous action for IW was to investigate what measures other Colleges were taking to make savings. IW said he had discussed this with Inverness College and they were taking much the same measures as Perth, they were not doing anything differently. IW said he would continue to speak with other colleges in regard to any different measures they were taking to make savings.</p> <p>The important exercise just about to commence would be the next budget, which would be starting in January. This would also be an appropriate time to identify longer term, more sustainable, savings. IW was waiting on the final outcome of the VS Scheme before taking the next steps.</p> <p><u>VS Scheme</u>  MC advised that there were a number of outstanding VS applications to be processed, due to further information being required before a decision could be made. Some applications had been approved and these were in the process of being signed-off.</p> <p>MC noted that across the sector as a whole there had not be a great response to VS schemes and this was mainly due to the situation in the job sector at the moment; this was probably putting people off in applying. However, the Perth scheme could be re-opened at a later date, if required. MC said SMT were continuing to review all vacancies when they arose and interrogated them as to whether or not a replacement was required.</p> <p>In reference to JE's email query regarding PILON and staff having to work their notice, MC said that there would be a balance somewhere in the middle. The College was trying to minimise its financial output and this meant staff would need to work their notice and this had been identified in the scheme. In particular, if some people were to get all their PILON it would then take them over the 9 months and the rules of the VS Scheme, agreed with SFC, did not allow for that.</p> <p>KFL said that in terms of previous custom and practice this referred to the closure of certain areas of the College such as the Learning Centres and the Perth scheme stated that staff would be required to</p>	

Item	ACTION
<p>work their notice – this had been agreed with SFC.</p> <p>SOH queried if someone was turned down for VS could they re-apply at a later date. MC confirmed this would be acceptable. She also suggested that if there were changes in a particular area, then the College could offer a very targeted VS scheme for that very specific area. The scheme was set-up to allow the College to have flexibility in the way it was managed.</p> <p>In response to a query by SOH regarding had there been any discussion UHI-wide about the possibility of dropping particular curriculum offerings, but then delivering them elsewhere eg online only, there followed an in-depth discussion about this. MC said across the partnership UHI were asking for savings and the Court had asked APs to bring forward proposals which they would then review. MC said that EO were taking the Curriculum Review as an opportunity to network as many courses as possible. However, Perth continued to strongly argue that students attend college for face to face learning and if everything went online, there would be no students left physically attending College. There would be hard discussions about the Curriculum Review and how this would unfold across the partnership.</p> <p>LC said there were many differing opinions across the partnership about the Curriculum Review, but Perth was trying to maintain the position that student experience, quality of service to students and a great place to work for all of Perth staff, were essential aspects of the learning experience and Perth had not lost sight of all of those values. However, there was a different direction from within certain areas of the partnership.</p> <p><u>TQFE</u></p> <p>MC referred to the email recently sent out by Brian Boag which had been circulated to EIS-FELA, whereby the proposal would be for staff to start the TQFE programme in February, even though it would not be accredited by GTCS at that time. It was possible that it would be accredited by then, but MC said she did not want to take that risk.</p> <p>There was also the issue that UHI only wanted 12 people in the first cohort, but Perth had 26 staff, and climbing, that wanted to do TQFE and Inverness had a similar number.</p> <p>The other, wider, issue related to going through the bar and GTCS not approving other programmes eg HEA. MC and John Kemp would be meeting with Colleges Scotland today to press them to lobby the Government that people should be able to go through the bar with other accredited schemes. MC said she would need to respond to Brian today to indicate whether or not Perth would be going ahead with staff starting the programme in February. If that did not happen, MC would want a reasonable prospect of all Perth</p>	



Item		ACTION
	<p>staff being able to enrol on the September programme.</p> <p>SOH said she was a member of the Approval Panel and they would be meeting on 22<sup>nd</sup> January. She said she did not think it possible to have the programme approved on the Friday then expect the course to start on the Monday, as this would mean there would have to be no conditions, or recommendations, on the programme and this would be very unlikely. SOH was concerned that starting staff on a programme without accreditation could mean staff having to repeat part of it, elongating the time to qualify. SOH said she knew the programme was needed, but thought it would be very important staff started on an accredited programme and for that reason she felt staff should wait until the September intake.</p> <p>MC agreed with SOH's comments. She said that GTCS were showing some signs of allowing membership for other certifications, but they continued to be reluctant to accredit HEA, as they saw this as not being a qualification, but a membership.</p> <p>MC said she would respond to Brian Boag to convey, while the College was supportive of the programme, it would not engage at this time - staff would not be starting in February, but would want staff to start the programme in September and that there would be a substantial number (approximately 25 people).</p>	
5.	<p><b>AOCB</b></p> <p>MC wished everyone a very happy Christmas and New Year and thanked TU Reps for all their hard work, in what had been a very difficult year. SMT appreciated very much Reps continued support and work.</p>	
6.	<p><b>Date and time of next meeting:</b></p> <ul style="list-style-type: none"> <li>• Thursday 21 January 2021, 10.30am.</li> </ul>	
	<p><b>Meeting ended:</b> 11.05am.</p>	

Information recorded in College minutes are subject to release under the Freedom of Information (Scotland) Act 2002 (FOI(S)A). There are certain limited exceptions, but generally all information contained in minutes is liable to be released if requested.

The College may also be asked for information contained in minutes about living individuals, under the terms of the Data Protection Act 2018. It is important that fact, rather than opinion, is recorded.

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

# PERTH COLLEGE UHI

---

## Joint JNC Meeting

Note of Meeting held on Thursday 21 January 2021, 10.30am, by Webex VC

**Present: Management Representatives**

Katy Lees (KFL), Head of HR & OD (Chair)  
Dr Margaret Cook (MC), Principal  
Lorenz Cairns (LC), Depute Principal, Academic

**Academic and Professional Staff Representatives**

EIS-FELA

Sara O'Hagan (SOH)  
Declan Gaughan (DGA), EIS-FELA Rep

Unison

Jane Edwards (JE), Unison Rep  
Winston Flynn (WF)

**Apologies:** Iain Wishart (IW), Director of Finance  
Rob Reed (RR), Unison Rep

**Note Taker:** Carolyn Sweeney-Wilson

## Summary of Actions

Ref	Action	Responsibility	Time Line
4.	<b>2020-21 Budget</b>  <u>Finance Update</u> KFL to provide figures for the amount of savings that would be made when the posts being taken out by VS were removed.	Katy Lees	18/02/2021
5.	<b>AOCB</b>  <u>Return to Campus</u> <ul style="list-style-type: none"><li>KFL to regularly send TUs a list of staff being furloughed.</li></ul>	Katy Lees	ASAP

## Summary of Actions

Ref	Action	Responsibility	Time Line
	<ul style="list-style-type: none"> <li>KFL to also supply TUs with a list of people attending the campus, although she noted this would be retrospective.</li> </ul>	Katy Lees	ASAP
	<ul style="list-style-type: none"> <li>A meeting to be arranged for next Wednesday (27<sup>th</sup>) for SMT to meet with TUs to discuss their decisions in regard to staff returning to campus.</li> </ul>	Carolyn Sweeney-Wilson	Immediately
	<ul style="list-style-type: none"> <li>KFL to provide data on the numbers of staff who had completed their Homeworking and DSE RAs for the next health and Safety Committee meeting on 4<sup>th</sup> February 2021.</li> </ul>	Katy Lees	04/02/2021

## Minute

Item		ACTION
1.	<p><b>Welcome and Apologies</b></p> <p>KFL welcomed everyone to the meeting, which was to continue discussions regarding the 2020-21 Budget.</p> <p>Apologies were noted.</p>	
2.	<p><b>Minutes of the Previous Meetings</b></p> <p>The minutes of the meetings held on 17 December 2020, which had been previously circulated, were approved as an accurate reflection of the discussions that had taken place.</p>	
3.	<p><b>Review of actions from previous meeting:</b></p> <p>None.</p>	
4.	<p><b>2020-21 Budget</b></p> <p><u>Finance Update</u></p> <p>MC advised that, due to the Christmas break, there had not been much activity since the last meeting. However, there continued to be spend on COVID related items, that wouldn't be part of normal spending activity, added to which the College's income had dramatically decreased due to COVID. This continued to make the College's financial position more challenging. However, the financial position was where it was expected to be at this point.</p>	

Item	ACTION
<p>Everyone else in the sector was also in the same situation and the Scottish Government (SG) had also now asked the sector to provide them with an indication of costs, and lost income, as a result of COVID.</p> <p>MC indicated that the College were maximising the amount of furlough possible, which did marginally help the financial position.</p> <p>JE said that some Unison members had queried whether or not being furloughed would then have any impact on their long term employment prospects and were worried that this would mean there was a stronger likelihood of then being made redundant. JE said she had advised members that there could never be a guarantee on employment prospects, but that no one would be selected for redundancy, or loss of hours, due to being selected for furlough. JE asked if SMT could provide some reassurance to staff about this in the weekly update. MC said the furlough scheme's proper title was 'The Job Retention Scheme', so for anyone being furloughed it was about saving jobs and it would not be management's intention to lose jobs that way.</p> <p>MC advised that there had recently been a communication from UHI EO indicating that the Court had requested that the Partnership identify £20M of savings. The Court wanted to see identified savings by Partnership Council members for Court's next meeting on 17 March. However, it was noted by Academic Partners (APs) that half of the deficit lay with EO. The Principals had advised that there could not be savings without risking the student experienced but had agreed to forward a Risk Register with any identified potential savings, to indicate the risks involved with making those savings. This was an instruction from Court and APs were obliged to deliver this information to them, although the Principals did not agree with this.</p> <p>There followed an in-depth discussion regarding this matter, including the EO deficit and UHI financing. Management and TUs both expressed concern about this and the method and manner in which the request for savings was being conducted.</p> <p>Discussion also ranged around the issue of how EO interacted with APs and how EO had not managed to resolve this matter in its 21 year history. It was noted that the SG did not want UHI to become one organisation and that they wanted it to remain as a 'federal' institution – with individual Colleges.</p> <p><u>VS Scheme</u></p> <p>KFL advised that a number of applications for VS had been received in December and KFL was still working through some of these with staff. Of the applications received, 8 had been agreed, of which 3</p>	

Item		ACTION
	<p>were academic and 5 were support staff. Until all final paperwork was completed KFL said she was not able to provide any further details.</p> <p>WF queried if the amount of savings those posts would make was known. KFL said she didn't have those figures available, but would provide these for the next meeting.</p> <p><b>Action:</b> KFL to provide figures for the amount of savings that would be made when the posts being taken out by VS were removed.</p> <p>MC said that some applications received had to be declined. Heads of Department were firstly asked for a view on these applications, as to whether the roles could be removed from the system without detriment, but some roles were needed and these applications were, therefore, refused. Some applications for part-time roles were agreed, although the College would not see full cost savings from these roles.</p> <p>JE queried what would happen to the work carried out by the 5 support roles that were being removed. KFL said some of the work could be covered by other people or absorbed by other roles. Some staff had not yet left, so there was still work to be done on this. JE said this was a big concern for her in terms of the burden remaining staff would have if they were asked to take on the work of any of the roles being removed. Her concern was regarding the impact on the people that were left and she felt there needed to be a pre-emptive Stress RA and an EIA in relation to those remaining roles taking on this additional work. MC said that there were other ways of dealing with some of the work, either in the roles being removed or those remaining. In order to accommodate this, activity would have to be taken out of the system. People's work would change and it was about taking work out, finding other ways of doing the work and it was not about just redistributing all the work.</p> <p>SOH queried if there would be a future opportunity to open the VS Scheme, or was this the only time the College would have this opportunity. MC said that when the College applied for VS the application was for the scheme to run until 2022. This allowed the College to run VS again, without going back to SFC to obtain further permissions. MC said that the College would want to avoid compulsory redundancy, as the SG had as well. However, the SG were now recognising that this might be an inevitability. MC advised that the College had until the end of 2022 in order to balance its budget.</p>	<p><b>KFL</b></p>
<p>5.</p>	<p><b>AOCB</b></p> <p><u>TQFE</u></p>	

Item	ACTION
<p>MC advised that there would no TQFE being run this academic year. The concern now was in regard to numbers of staff requiring to take TQFE as there may only be a limited number of places available. UHI had indicated that there were likely to be cohorts of 20 places, with 2 cohorts being made available in September 2021. However, MC said Perth was likely to require at least 25 places.</p> <p>SOH queried how these places would be apportioned. MC said that this would need to be discussed with SDDs, but it had already been flagged that some staff urgently require this qualification, as well as others who had already been on the waiting list for a long time. MC said she would discuss this further with EIS at the next JNC for Lecturers meeting.</p> <p><u>Return to Campus</u></p> <p>KFL said the current plan was to return to face-to-face (f2f) teaching, on a restricted blended learning basis, on 1<sup>st</sup> February, with appropriate academic and support staff being back on campus at that time. KFL asked meeting members if they had any matters they wished to raise in relation to this.</p> <p>KFL said that if someone tested positive, HR could not share information about who that person was, including the role of that person, due to confidentiality. What the email did say was that Contact Tracing had been in touch with that individual and they had subsequently advised the College that they would not be contacting anyone else on site. As a result, the College did not require to circulate any further information to staff. This was the challenge of this type of situation, but the College was only able to provide information based on what Contact Tracing require the College to provide.</p> <p>LC gave an explanation of how contact tracing worked and said there was a very established system that was in place which all took place behind the scenes. For people working in College that were concerned, there was not anything they should specifically do, other than the usual measures and they should not be complacent about those. In this instance, no further action was required per advice received from Contact Tracing.</p> <p>SOH referred to the return to f2f teaching and that EIS would like to understand what criteria was being used, and how that was being used, to decide which staff returned for f2f teaching.</p> <p>MC said there had been discussions regarding this both at SMT and SMT and SDDs had also been asked for their thoughts on bringing students and staff back to campus, bearing in mind the SG guidance on courses being of a time sensitive and critical nature. SDDs were asked to submit a return to Isobel Syme by Monday (25<sup>th</sup>) if they</p>	

Item	ACTION
<p>want any of their courses to return to f2f teaching. Should this happen, then everything would adhere to the SG guidelines. Decisions on this had not yet been made, but SMT intended to take these decisions at their meeting next week (26<sup>th</sup>). Professional Services Heads were also asked for their thoughts on staff returning to campus and these would also be discussed at SMT on Tuesday.</p> <p>MC said the two groups of staff were obviously linked eg requirement for Caretaking and Cleaning staff to be on campus if there were Academic staff and students on campus. Once the number of academic staff to return to campus was identified, this would then determine the total number of staff on campus.</p> <p>SOH asked that when SMT made their decisions, they share these with TUs. MC said that she could share what the plans would look like, but no decisions had been made yet.</p> <p>LC said everyone was aware that the situation now (January 2021) was different than the situation as it had been in March 2021 and the key guidance was that a return to campus should only be for restricted, time critical learning and the College would not be taking risks with that and all the SDDs were fully aware of that. Managers were aware that the RAs would need to be reviewed in light of a return to any f2f teaching. The L4 RAs reflected the level the area the College was currently in, but it was recognised that what had changed since those RAs had been agreed, was the different strains of the virus that were now prevalent. Although the restrictions in L4 had not changed, the College were not being complacent with staff or students and were taking as much care as possible in all regards.</p> <p>WF queried if there would be restrictions on the number of Library staff being allowed to return. MC said the Library would go through same process as everyone else at next week's meeting. There would potentially be some Library staff on campus, but MC did not know yet how many that would be, as the number of students returning to campus was not yet known. Until that figure was known it could not be determined exactly what services students would need and, subsequently, the number of support service staff that would be required on campus. At this moment in time there had been no commitment to anything other than what was currently available on campus. MC said that the College had indicated its intention to return to f2f restricted blended learning on 1<sup>st</sup> February, but once a definite decision was made regarding this, SMT would discuss this with TUs.</p> <p>JE said the SG guidance issued on 13 January was clear that, when judgements were made regarding staff returning to campus, TUs should be consulted prior to staff return. However, this did not happen with the staff who were currently on campus. There then followed a detailed discussion about two roles in particular and how</p>	

Item		ACTION
	<p>necessary these roles were to be on campus.</p> <p>MC said that these roles were deemed crucial and provided reasons for this, but noted that the staff time on campus was minimised as much as possible. For any staff who were on campus it was about managing what was absolutely needed and staff were only on campus for the absolute minimum amount of time necessary. JE argued that, for one role in particular, they did not feel it met the definition provided in the SG 13 January guidance for being on campus.</p> <p>There was also a discussion regarding people randomly coming onto campus and JE argued that anyone coming onto campus should be there by pre-arranged appointment only.</p> <p>JE said she was also concerned that any RAs being reviewed were not being sent to TUs. In particular, those departments which had staff currently on campus had not revised their RAs. JE was concerned that the reviews of the RAs were being rushed and then sent to TUs very late. This did not allow TUs to provide a meaningful response.</p> <p>JE raised the matter of staff being furloughed and where some staff had been asked to make a very quick decision and turnaround on responding to HR. JE questioned who was being furloughed and said that TUs should be informed in advance of staff chosen for furlough so that TUs could be prepared to discuss matters with their particular union members.</p> <p>KFL acknowledged that the College had a Memo of Understanding with Unison regarding furlough and the College were following this. The new furlough scheme required that agreements with staff had to be in place prior to furlough commencing and this necessitated a quick turnaround of the paperwork. However, KFL said she would be happy to provide a list of areas which were being considered for furlough, but this list was not static and changed from week to week – it would, therefore, only be a snapshot of that particular moment in time. Discussion continued between KFL and JE about communications to TUs re furloughed staff. JE asked to be kept up-to-date on this.</p> <p><b>Action:</b></p> <ul style="list-style-type: none"> <li>• KFL to regularly send TUs a list of staff being furloughed.</li> <li>• KFL to also supply TUs with a list of people attending the campus, although she noted this would be retrospective.</li> </ul> <p>JE asked to be updated, once SMT had completed their deliberations, on the planning process regarding staff returning to campus. JE said that SMT should consult with TUs before any staff were advised to return to campus.</p>	<p>KFL KFL</p>



Item	ACTION
<p><b>Action:</b> A meeting to be arranged for next Wednesday (27<sup>th</sup>) for SMT to meet with TUs to discuss their decisions in regard to staff returning to campus.</p> <p>JE said that areas who would have returning staff and students needed to review their RAs and double-check if they needed to be revised in light of the SGs guidance issued on 13<sup>th</sup> January. Those RAs then need to be forwarded to TUs in enough time to allow unions a meaningful discussion about them.</p> <p>KFL said managers had been so advised, but if the RAs had been reviewed and found they did not require to be amended, then they were not forward to IB and TUs.</p> <p>However, KFL said she was expecting more staff to be on campus next week in order to review their RAs in preparation for staff and students returning and KFL would include these staff in the list she sends to TUs.</p> <p>JE said that both Unison and EIS needed to know who was on campus, what their roles were and what the rationale was for them attending the campus. KFL advised that the staff returning to review their RAs were Technicians from the STEM area and Hospitality staff. It was essential for them to be on campus to carry out the review of their RAs as this needed to be done in-situ. The only support staff member on campus who had not been mentioned previously would be there to support the issue of IT equipment.</p> <p>SOH queried what would happen if a member of staff did not feel safe and did not want to attend the campus. KFL said she would encourage staff to discuss this with their line manager in the first instance and see whether that would alleviate their concerns. Also, an individual RA could be completed for staff, which would ensure that any conversation/agreement reached with their line manager was recorded. It would also depend if the individual was the only person who could complete the specific job, as to whether or not they would need to be on campus.</p> <p>WF queried the regulations for contractors coming onto campus. KFL said contractors would have their own RAs and they would also have an agreement with the Estates team as well as attendance at an Induction session.</p> <p>JE queried whether or not contractors were asked to confirm if they, or members of their family, have had COVID. KFL said Estates carried out an Induction session with all contractors when they came onto site and this would be covered within that. This was part of the contractor management process. JE asked for a copy of the contractor questionnaire that was used for this. JE felt it was critical</p>	CSW

Item		ACTION
	<p>that there was an audit trail for the induction. KFL said she did not know if there specifically was a questionnaire, but would ask Estates. JE said that if there was not a questionnaire, covering questions such as whether or not the contractor had previously tested positive for COVID etc, then there needed to be one put in place, otherwise this would be a risk to the organisation in terms of a corporate manslaughter charge if someone died from contracting COVID at the College.</p> <p>JE referred to the Homeworking and DSE RAs and said there also needed to be an audit trail of these to show how many people had current RAs. KFL said she would look to see if this data could be provided for the next H&amp;S committee.</p> <p><b>Action:</b> KFL to provide data on the numbers of staff who had completed their Homeworking and DSE RAs for the next Health and Safety Committee meeting on 4<sup>th</sup> February 2021.</p>	KFL
6.	<p><b>Date and time of next meeting:</b></p> <ul style="list-style-type: none"> <li>• Thursday 4 February 2021, 10.00am.</li> </ul>	
	<p><b>Meeting ended:</b> 12.20.</p>	

---

Information recorded in College minutes are subject to release under the Freedom of Information (Scotland) Act 2002 (FOI(S)A). There are certain limited exceptions, but generally all information contained in minutes is liable to be released if requested.

The College may also be asked for information contained in minutes about living individuals, under the terms of the Data Protection Act 2018. It is important that fact, rather than opinion, is recorded.

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

# PERTH COLLEGE UHI

---

## Joint JNC Meeting

Note of Meeting held on Thursday 4 February 2021, 10.30am, by Webex VC

**Present: Management Representatives**

Katy Lees (KFL), Head of HR & OD (Chair)  
 Dr Margaret Cook (MC), Principal  
 Lorenz Cairns (LC), Depute Principal, Academic  
 Iain Wishart (IW), Director of Finance

**Academic and Professional Staff Representatives**

EIS-FELA

Declan Gaughan (DGA)

Unison

Winston Flynn (WF)

**Apologies:** Jane Edwards (JE), Unison Rep  
 Rob Reed (RR), Unison Rep  
 Sara O'Hagan (SOH), EIS-FELA Rep

**Note Taker:** Carolyn Sweeney-Wilson

## Minute

Item		ACTION
1.	<p><b>Welcome and Apologies</b></p> <p>KFL welcomed everyone to the meeting, which was to continue discussions regarding the 2020-21 Budget.</p> <p>Apologies were noted.</p>	
2.	<p><b>Minutes of the Previous Meetings</b></p> <p>The minutes of the meetings held on 21 January 2021, which had been previously circulated, were approved as an accurate reflection of the discussions that had taken place.</p>	

Item		ACTION
3.	<p><b>Review of actions from previous meeting:</b></p> <p><u>Finance Update Action:</u></p> <ul style="list-style-type: none"> <li>• KFL advised that IW would cover this action item later in the meeting.</li> </ul> <p><u>Return to Campus Actions:</u></p> <ul style="list-style-type: none"> <li>• KFL confirmed she had circulated a list of staff being furloughed to TUs. However, she advised that these figures changed on a weekly basis, so they were only ever accurate for that moment in time. KFL had separated the list into categories, which she hoped would be more helpful. KFL would look to circulate this list on a weekly basis.</li> <li>• KFL was also to supply TUs with a list of people attending the campus. KFL advised this matter was discussed at the 'Return to Campus' joint meeting of JNCs and she confirmed she would circulate updates on a Friday.</li> <li>• KFL confirmed the action to organise a meeting for SMT to meet with TUs to discuss their decisions in regard to staff returning to campus had taken place.</li> <li>• KFL's other action, to provide data on the numbers of staff who had completed their Homeworking and DSE RAs, was to be discussed at today's Health and Safety Committee meeting.</li> </ul>	
4.	<p><b>2020-21 Budget</b></p> <p><u>Finance Update</u></p> <p>IW's previous action was to discuss with some other colleges what actions they were taking regarding their financial sustainability, to see if they were doing anything differently that IW could learn from. IW confirmed he had spoken with Inverness and Fife and both were not taking any different actions than Perth. The common theme for both was that they did not think they would achieve significant savings from non-staff costs. While Perth intended to continue to review this area, it was felt unlikely that big savings would be achieved.</p> <p>IW's team continued to work with APUC to examine College contracts for compliance and for anything that could be done differently that would achieve savings. One of key areas being promoted to staff was to encourage them to place purchase orders. The Internal Audit had picked up that a considerable amount of spend was placed without purchase orders, which meant contracts may not have gone through APUC, thereby losing potential savings. APUC continued to work on this.</p>	

Item		ACTION
	<p>The College had been asked to supply information to Colleges Scotland regarding COVID costs impact. Net to furlough, the current cost to Perth was £1.1m, although this was mostly in relation to lost income.</p> <p>IW had previously asked departments to review their budgets with a view to making 15% savings for the rest of year. There had not yet been a big uptake on this. Despite this, IW said there were some areas which might come in under budget, although these may not be permanent savings and may not help towards the financial sustainability that IW was aiming for. IW was aiming for recurrent savings, as these would be what would help the College's financial sustainability going forward.</p> <p>IW advised that the finance processes had been changed this year so that in terms of financial sustainability moving forward, this would provide the best route to a better understanding of College costs and provide a better understanding of the finances, to allow the College to work towards a break even position.</p> <p>IW advised that the VS Scheme would likely save the College approx. £200K per year on permanent savings.</p> <p>In reference to IW's comment on APUC cost savings, DG said that, in his experience, there had been occasions when items could be purchased cheaper on other platforms eg Amazon. IW said the APUC frameworks were co-ordinated through the Scottish Government (SG) but, in terms of being compliant with SG requirements, this would need to be investigated, if it was possible to find a lower cost. IW suggested that if an item was found to be cheaper elsewhere, a discussion should take place with Perth's APUC link person and they may be able to get the item added to APUC so it could be bought there.</p> <p>IW advised that Finance were waiting on support staff JNCs bringing in the approved pay awards but costs and NI Contributions had already been budgeted for, although it would depend on the final figures as to whether or not the budgeted figures would cover everything. KFL advised that the academic pay award was agreed back in September and had already been paid.</p>	
5.	<p><b>AOCB</b></p> <p>MC reiterated her comments made in a previous meeting that the College would not be going ahead this year with its full strategy review. However, SMT and the Board would be conducting a financial recovery review instead. Part of that discussion would be about the potential for savings and also the Board's appetite for risk. This review would then inform SMT going forward.</p>	

Item		ACTION
	<p>MC made reference to her previous comments regarding the £20m that UHI were looking for in savings across the Partnership. MC said on a positive note that IW was looking to be involved in this process and he would bring a fresh view to this process. This report was being prepared to be submitted to Court on 17 March and another special Partnership Council meeting had been convened to discuss this.</p> <p>MC advised that the SG had set aside £10m to provide support to College Residences across the sector. However, MC did not think it likely that £10m would cover the full cost for the sector, given that the financial year was only half way through.</p> <p>Further to questions from TUs, MC confirmed that SMT and the Board had considered Perth's withdrawal from UHI as an option. There followed a discussion about Perth remaining within UHI, whether or not it would be financially better for Perth to withdraw from the Partnership, whether courses could be franchised from outwith UHI. Also noted that discussions had taken place between the College and John Swinney, but that he had said the SG had no appetite for Perth to withdraw from UHI, particularly as Perth had a third of the Partnership's HE student numbers and the SG felt a Perth withdrawal would have a dramatic and negative impact on UHI. DG asked if the costs of franchising degrees would be cheaper than paying the top slice to UHI and MC said this would likely be a much cheaper option.</p>	
6.	<p><b>Date and time of next meeting:</b></p> <ul style="list-style-type: none"> <li>• Thursday 18 February 2021, 2.00pm.</li> </ul>	
	<p><b>Meeting ended: 10.45.</b></p>	

Information recorded in College minutes are subject to release under the Freedom of Information (Scotland) Act 2002 (FOI(S)A). There are certain limited exceptions, but generally all information contained in minutes is liable to be released if requested.

The College may also be asked for information contained in minutes about living individuals, under the terms of the Data Protection Act 2018. It is important that fact, rather than opinion, is recorded.

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

## **FINANCE AND GENERAL PURPOSES COMMITTEE**

### **Membership**

Chair (ex officio).

Vice Chair (ex officio).

Principal (ex officio).

No fewer than 2 other Board of Management members.

One place reserved by invitation for a Student Member of the Board, as nominated by HISA Perth.

One place reserved by invitation for a Student Member of the Board, to be determined by Staff Members of the Board

### **In attendance**

Depute Principal (Academic)

Vice Principal (External)

Head of Human Resources and Organisational Development

### **Quorum**

The quorum shall be 4 members of which at least 2 to be independent Board of Management members.

### **Frequency of Meetings**

The Committee shall meet no less than four times per year.

### **Terms of Reference**

- 1 Consideration of the annual estimate of revenue income and expenditure.
- 2 Consideration of the annual estimate of capital income and expenditure.
- 3 Responsibility to ensure that appropriate control systems are in place:
  - a to administer and control all revenue and capital grants received from the Scottish Government and all other sources.
  - b to administer and control the payment of all monies due and the collection of all income due.
  - c to ensure the efficient management of the College Catering Service and Food Court and Halls of Residence.
  - d to administer and control matters relating to the repair, maintenance and upkeep of land, buildings etc.
- 4 Liaison with the Audit Committee in reporting to the Board on the state of the College's finances.
- 5 Consideration and approval of the College's Financial Regulations and Procedures, ensuring their implementation, monitoring and review in relation to all matters financial, including approving organisations in which funds may be invested and setting investment limits.

- 6 Generally the formulation of advice to the Board on financial matters and the supervision of the financial affairs of the Board.
- 7 Strategic oversight of procurement, contract management and ICT service level agreement on behalf of the Board.
- 8 Consideration of tenders received for any works the cost of which are in excess of £50,000.
- 9 The acquisition and/or disposal of heritable property whether by purchase/sale or lease.
- 10 Consideration of any proposals to obtain plant equipment furnishings or fittings the cost of which is expected to be more than £50,000.
- 11 Consideration and assessment of priorities for capital grant for new building work or the major modification of existing buildings. Recommendations to the Board on issues relating to College estates and resources
- 12 The oversight of the Board's statutory functions and responsibilities as an employer of the staff of the College.
- 13 Consideration of all matters relating to:
  - a the establishment and staffing structure of the College;
  - b the salaries, wages and conditions of service of all staff except the Principal, Executive and Managers as individual contracts with the Board.
- 14 Responsibilities for early retirement/early severance policy.
- 15 Oversight of the disciplinary and grievance policies and procedures of the College.
- 16 Consideration of matters relating to staff relations including union recognition and local bargaining agreements.