

## Finance and General Purposes Committee

### Agenda

**Meeting reference:** F&GP2020-21/04

**Date:** Monday 24 May 2021 at 5:30pm

**Location:** 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			
4	Minutes of the Meeting of the Finance and General Purposes Committee held on 02 March 2021		Chair	Paper 1
5	Actions arising from previous minutes		Chair	
6	<b>Items for Approval</b>			
*6.1	Perth College Financial Regulations	Director of Finance	Director of Finance	Paper 2
*6.2	Business Development Strategy	Vice Principal	Vice Principal	Paper 3
*6.3	Tay Cities Deal/Aviation Academy for Scotland	Vice Principal	Vice Principal	Paper 4
*6.4	IP Policy	Head of Learning & Teaching	Principal	Paper 5
7	<b>Financial Performance &amp; Budgets</b>			
7.1	Perth College Financial Update: Year to 30 April 2021	Director of Finance	Director of Finance	Paper 6
*7.2	Perth College Draft Budget 2021/22	Director of Finance	Director of Finance	Paper 7

8	<b>Estates</b>			
8.1	Estates Update	Head of Estates	Depute Principal (Academic)	Paper 8
9	<b>Human Resources</b>			
9.1	HR Update	Head of HR & Organisational Development	Head of HR & Organisational Development	Paper 9
10	<b>Compliance &amp; Reporting</b>			
*10.1	Risk Register – F&GP	Clerk	Clerk	Paper 10
*10.2	Balanced Scorecard <b>NB – Paper not available</b>	Project & Planning Officer	Clerk	Paper 11
*10.3	In-Year KPIs <b>NB – Paper not available</b>	Project & Planning Officer	Clerk	Paper 12
11	<b>Committee Minutes</b> (for noting by Committee)			
11.1	JNC Support Staff <ul style="list-style-type: none"> <li>• 04 March 2021</li> </ul>			Paper 13a
11.2	JNC Lecturing Staff <ul style="list-style-type: none"> <li>• 04 March 2021</li> </ul> <b>NB – Paper not available</b>			Paper 13b
11.3	JNC Joint Meetings <ul style="list-style-type: none"> <li>• 18 February 2021</li> <li>• 08 March 2021</li> <li>• 15 March 2021</li> <li>• 02 April 2021</li> <li>• 21 April 2021</li> <li>• 22 April 2021</li> <li>• 06 May 2021</li> </ul>			Paper 13c
12	<b>Date and Time of next meeting</b> <ul style="list-style-type: none"> <li>• 28 September 2021 (provisional)</li> </ul>		Clerk	
*13	<b>Review of Meeting</b> (Committee to check against the Terms of Reference to ensure all competent business has been covered) <b>NB – Paper not available</b>			Paper 14

# Finance & General Purposes Committee

## DRAFT Minutes

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

**Date and time:** Monday 08 March 2021 at 5.00pm

**Location:** Online

**Members present:** Craig Ritchie (Chair, F&GP)  
Brian Crichton, Board Member  
Katrina Hodgson, Board Member  
Debbie Hutchison, Board Member  
Linton Scarborough, Board Member  
Margaret Cook, Principal & Chief Executive  
Alex Wilson, Student Board Member

**In attendance:** Lorenz Cairns, Depute Principal (Academic)  
Veronica Lynch, Vice Principal (External)  
Iain Wishart, Director of Finance  
Katy Lees, Head of HR & Organisational Development  
Kevin Lynch, Head of Estates

Ian McCartney, Clerk to the Board of Management

**Apologies:** Heather Cormack, Board Member  
John Dare, Staff Board Member

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

<b>Summary of Action Items</b>			
<b>Ref</b>	<b>Action</b>	<b>Responsibility</b>	<b>Time Line</b>
<b>6</b>	<b>Financial Regulations Review</b> Reviewed Regulations to be recirculated to Board Members online, with Track Changes, before final approval given.	Director of Finance	Next meeting
<b>7</b>	<b>Financial Recovery Plan</b> Outline proposal be tabled for consideration by the full Board.	Principal	Next Board meeting
<b>8.1</b>	<b>Financial Update to 31 January 2021</b> Director of Finance will also regularly issue cashflow figures and narrative to Board between meetings.	Director of Finance	ASAP
<b>9.1</b>	<b>Business Development Strategy</b> Vice Principal to table full Strategy to F&GP & Board during the final cycle of AY20210/21.	Vice Principal	Next meeting
<b>9.2</b>	<b>Tay Cities Deal/Aviation Academy for Scotland</b> Vice Principal to add a Table of Risks and a visual timeline to final proposal document.	Vice Principal	Next meeting
<b>10</b>	<b>Estates Update</b> Further proposals around Estates Strategy to be detailed at the next meeting.	Head of Estates	Next meeting
<b>12.1</b>	<b>Risk Register</b> Risk Register to be reviewed following the recent cyber security incident.	Clerk	Next meeting

## MINUTES

Item		Action
1.	<p><b>Welcome and Apologies</b></p> <p>Chair welcomed everyone to the meeting, and noted apologies</p>	
2.	<p><b>Additions to the Agenda</b></p> <p>Committee were asked to receive a verbal update on the recent cyber security incident, provided by the Principal.</p> <p>Principal advised that the College had been made aware by UHI Executive Office on 5th March that an incident had occurred, and this had been declared a Cyber Incident. UHI was working with Police Scotland, SFC, insurance providers and other institutions on the matter, and recovery work had commenced across the network. The campus was closed to students to allow for physical disconnection of all machines on site.</p> <p>Principal noted that no personal data had been compromised as far as is known.</p> <p>Principal advised that it may take some significant time to get systems back up and running fully again and, while staff had access to emails, there was no access to Shared Folders, therefore staff had been instructed to do what they can.</p>	
3.	<p><b>Declaration of Interest in any Agenda Item</b></p> <p>There were no declarations of interest.</p>	
4a.	<p><b>Minutes of Meeting of Finance &amp; General Purposes Committee, Monday 30 November 2020</b></p> <p>The minutes were approved as a true and accurate record of the meeting.</p>	
4b.	<p><b>Minutes of Extraordinary Meeting of Finance &amp; General Purposes &amp; Audit Committees, Monday 22 February 2021</b></p> <p>The minutes were approved as a true and accurate record of the meeting.</p>	
5.	<p><b>Matters arising from previous minutes</b></p>	
	<p><u>Matters arising from 30 November 2020</u></p>	

	<p><u>Ref 6 – AST Business Plan</u> Action: More detail to be provided within the Executive Summary to reflect the scrutiny the Plan has received to this point.</p> <p>Action Update: Completed, provided within revision presented to Board</p> <p><u>Ref 11.1 – Risk Register</u> Action: Reference to Catering Contract to be added</p> <p>Action Update: Completed, provided within update to Board</p> <p><u>Ref 11.2 - Perth College Financial Regulations</u> Action: Reviewed Regulations to be presented at next F&amp;GP for consideration</p> <p>Action Update: On Agenda under Item 6.1</p> <p><u>Ref 11.4 – COVID Audit Challenges Response</u> Action: Management Responses to the Audit Challenges papers to be circulated for online comment prior to submitting to Audit Committee</p> <p>Action Update: Completed, included with paper to Audit Committee</p>	<p>Complete</p> <p>Complete</p> <p>On Agenda</p> <p>Complete</p>
<p><b>6</b></p>	<p><b>Perth College Financial Regulations Review</b></p> <p>Director of Finance presented Paper 3 for consideration, indicating that the document had been prepared with a view to enable non-Finance staff to clearly understand the document.</p> <p>Director of Finance noted that changes had been suggested re delegated authorisation levels, as these had remained static since 2013.</p> <p>Director of Finance advised that some areas of the document required further review, as work had been impacted upon due to the recent Audit processes, however no major changes were expected from this review. Director of Finance further advised that HR have reviewed the document from their viewpoint.</p> <p>Board Member commented that it may be worth considering amending the Executive Summary to highlight 4 or 5 key theme areas for infrequent users of the document around the purpose and intent of the Regulations, eg Procurement. Head of HR noted that acknowledgement of reading documents could be absorbed into Mandatory Training records. This approach was <b>AGREED</b>.</p> <p>Board Member highlighted some areas which were hard to read or used unclear phrasing, and noted that the Income Generation section on Page 8 seemed odd given recent conversations over</p>	

	<p>Going Concern. Board Member queried how proposed authorisation levels compared against other Colleges and public bodies. Director of Finance noted that levels in other Colleges had been considered, and examples of this would be provided.</p> <p>Board Chair advised that more prominence should be given to the ONS judgement, stating why this is important for the College.</p> <p>Other individual items of clarification were to be provided to Director of Finance after meeting for review.</p> <p>Chair proposed that the reviewed Regulations be recirculated to Board Members online, with Track Changes, before final approval given. This approach was <b>AGREED</b>.</p>	Director of Finance
7	<p><b>Financial Recovery Plan</b></p> <p>Principal provided a brief progress update from the recent Development Session which focused on the Financial Recovery Plan, noting that there was an initial focus on areas where input from CMT could be rolled out where possible. The voluntary severance scheme was to be reopened and process was under way re seeking permission for undertakings around compulsory redundancy under the scope of “permission if required”.</p> <p>Board member sought clarity around costs for learning centre activity. Principal noted that it was intended to continue with localised activity but numbers were quite low therefore decisions would be required on what should continue to be offered.</p> <p>Board Chair advised that there would be a need to be mindful of understanding the extent of any bail-out from Government/SFC. Principal noted that this would depend on the nature of any bail-out and whether specific areas will be framed as a Perth College loss or a UHI loss.</p> <p>Chair recommended that an outline proposal be tabled for consideration by the full Board, which was AGREED.</p>	Principal
8.1	<p><b>Perth College Financial Update – Year to 31 January 2021</b></p> <p>Director of Finance noted that, as much of the Management Accounts discussion was similar to the discussion under Item 7, focus would be on cashflow.</p> <p>Director of Finance noted that Paper 5 debuted the new version of the Management Book, and noted that the “Businesses” were running at a combined loss of around £300k, and that Academic Income was down.</p>	

	<p>Director of Finance advised that, in event of the College moving into a negative cashflow position, UHI Executive Office could provide an advance on future funding, recovered over and agreed period of up to 6 months, with up to £250k pre-authorized and amounts higher than that needing UHI Finance Committee approval.</p> <p>Director of Finance indicated that it was intended to regularly share cashflow positions with UHI Executive Office, and attention would be focused on drilling down to a granular level to ensure all listed income streams were fully explored. Director of Finance will also regularly issue figures and narrative to Board between meetings.</p> <p>Chair thanked Director of Finance for significant step forward in provision of information. Committee noted Paper 5.</p>	Director of Finance
<b>8.2</b>	<p><b>Perth College Financial Outlook</b></p> <p>Director of Finance provided a summary of the financial outlook beyond the current financial year, noting that there was a concern across the Sector around FFRs being able to be submitted at normal end-March timescale due to information not being received from SFC, eg £13m had been advised re COVID costs but no detail had yet been provided as to how this money was being distributed.</p> <p>Committee received Paper 6, and Director of Finance noted intention to present detail contained within FFR being presented to Board.</p>	
<b>9.1</b>	<p><b>Business Development Strategy</b></p> <p>Vice Principal provided a brief update on the Business Development Strategy, based on feedback from the last Strategy Day, and noted the additional detail on margins around growth opportunities for Commercial Activity.</p> <p>Vice Principal noted that it was intended to bring the full Strategy to F&amp;GP/Board during the final cycle of this Academic Year.</p>	Vice Principal
<b>9.2</b>	<p><b>Tay Cities Deal/Aviation Academy for Scotland</b></p> <p>Vice Principal noted that the project had moved to the feasibility stage for building costs, which would provide more detail for the Final Business Case to be tabled during the final Board cycle of the Academic Year.</p> <p>Vice Principal noted that the support request to UHI for Professional Fees of around £600k had not been approved. Court was willing to support the project, but only up to 5% of the project value, therefore had offered £300k towards Professional Fees with a further £30k in project management costs, with a loan to make up the shortfall.</p>	



	<p>Vice Principal sought approval to accept the support without the accompanying loan, as it was intended to seek bridging finance via Perth &amp; Kinross Council to avoid 2 separate sources of funding, which would bear around £5-6k in interest payments. Vice Principal clarified that the UHI offer of £330k was a grant with no interest implications.</p> <p>Board Member sought clarification as to whether there was a Plan B partner if Tayside Aviation wasn't viable. Vice Principal advised that the funding for the Dundee campus element is a conduit for the Council, therefore the building would continue to be owned by the Council and activity for pilot training could be organised via another company; alternatively, Tay Cities Deal could opt to remove that aspect from the project – in either event, the project would still be viable, and a positive proposition for Perth College.</p> <p>Chair suggested that a Table of Risks would be useful for the Board in reaching a decision. Board member added that a visual timeline would also be useful. Vice Principal agreed to provide.</p> <p>Paper 7 was <b>STRONGLY RECOMMENDED</b> subject to minor alterations.</p>	Vice Principal
<b>10</b>	<p><b>Estates Update</b></p> <p>Head of Estates tabled Paper 8 for information, and noted that an updated Conditions Survey had been received which indicated that around £16m of required maintenance will be required. The survey will provide a priority list for future Planned Maintenance Programmes, and will feed into the Estates Strategy. Director of Finance confirmed that annual commitments outlined in this survey were broadly in line with future budget expectations.</p> <p>Chair queried timescales around Estates Strategy procurement. Head of Estates advised that information on the Crown Framework had arrived today and further proposals would be detailed at the next meeting.</p>	Head of Estates
<b>11</b>	<p><b>HR Update</b></p> <p>Committee received Paper 9 for information.</p>	
<b>12.1</b>	<p><b>Risk Register</b></p> <p>Committee received Paper 10, and requested a review of the Risk Register following the recent cyber security incident.</p>	Clerk
<b>12.2</b>	<p><b>Balanced Scorecard &amp; In-Year KPIs</b></p> <p>Clerk presented Papers 11 and 12 for information.</p>	

	Vice Principal advised that the Baseline figure for Measure 10 in Paper 11 should read 42%, which was always going to be a challenge to achieve, and it's unlikely the College would ever return to that scale.	
<b>13</b>	<p><b>UHI Contract Strategy – Printers</b></p> <p>Vice Principal presented Paper 13, noting that the proposal was formed of a cross-UHI tender for print solutions, with an intention to reduce the number of printers on campus.</p> <p>The proposal outlined in Paper 13 was <b>APPROVED</b>.</p>	
<b>14</b>	<p><b>Committee Minutes</b></p> <p>Committee noted minutes provided within Papers 14a-14f.</p>	
<b>15</b>	<p><b>Dates &amp; Times of Next Meeting</b></p> <ul style="list-style-type: none"> <li>• Monday 24 May @ 5:00pm</li> </ul>	
<b>16</b>	<p><b>Review of Meeting</b></p> <p>Committee confirmed that the meeting had been conducted in line with the 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**

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**

## Perth College UHI

Paper No. 2

<b>Committee</b>	F&GP
<b>Subject</b>	Updated Financial Regulations
<b>Date of Committee meeting</b>	24/05/2021
<b>Author</b>	Iain Wishart
<b>Date paper prepared</b>	17/05/2021
<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 – update of the Financial Regulations first reviewed by the F&amp;GP in the last meeting.</li> <li>ii) Impact – what are the intended outcomes: Updated Fin Regs for the College.</li> <li>iii) Course of Action – what happens next &amp; by whom: Once approved the regs will replace the existing regs and staff will be trained on their content.</li> </ul>
<b>Consultation</b> Please note which related parties, stakeholders and/or Committees have been consulted	F&GP, SMT, Perth Finance Function
<b>Action requested</b>	<input type="checkbox"/> For information <input type="checkbox"/> For discussion <input checked="" 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>Yes, all College staff need to comply with the Financial Regulations.</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>Non-compliance could result in the accounts being wrong.</p> <p><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>Compliance and risk management.</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)



Perth College

# Financial Regulations

Draft Update

Finance Director  
3-31-2021

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# 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/](https://www.perth.uhi.ac.uk/about-us/policies-regulations-and-guidelines/)

Key topics covered in this document include:

- [Gifts & Entertaining](#)
- [Authorisation levels](#)
- [Procurement requirements](#)
- [Staff responsibility](#)
- [Budgets](#)
- [Capital expenditure](#)
- [Fraud and corruption](#)
- [Value for Money](#)

# 2 General Provisions

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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. [See APPENDIX H, section 65, for links, where applicable, to these documents:](#)

- Statement of Recommended Practice ([SORPs](#))
- [SFC Accounts Direction](#)
- Audit Scotland
- Accounting Standards ([Various](#))
- Scottish Parliament Audit Committee
- HE College Administrative Schemes

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- Scottish Funding Council (SFC)
- Scottish Public Finance Manual
- [Financial Reporting manual in force \(FREM\)](#)
- Perth College Policies & Procedures
- Perth College Board of Management Governance Manual

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### 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 ~~Each of the The~~ Financial Regulations should be followed unless there is a contradiction in Perth’s Constitution and Proceedings are subordinate to any Perth College’s constitution, APPENDIX G <https://www.perth.uhi.ac.uk/about-us/college-management-structure/meet-the-board/> or the Financial Memorandum between UHI and Perth College UHI in which case clarification should be sought with an SMT member and to any restrictions contained within Perth College’s Financial Memorandum-APPENDIX G <https://www.perth.uhi.ac.uk/about-us/college-management-structure/meet-the-board/>

3.3 The purpose of these Financial Regulations is to provide direction to staff to ensure compliance with legislative and stakeholder requirements including but not limited 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.

**Commented [IW4]:** This wording is identical to the Governance Manual.

#### 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, ~~its it generates sufficient income to cover~~ its costs and allows 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 [Financial Memorandum.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 ~~are responsible for the prevention of damage or loss to equipment and property that they use/are issued with. 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.~~

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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 and or Hospitality

**Commented [IW5]:** Have merged giving and receiving gifts and hospitality into one section.

8.1 The giving and receiving of gifts or hospitality carries legal obligations and risks for individuals and Perth College. These are mainly governed by the requirements of the Bribery Act but are also covered by other guidance throughout these regulations.

**Commented [IW6]:** This introduction was suggested by Henry and I agree that it works better than the original introduction.

The Bribery Act 2010 sets out four main offences which may have an impact on the giving or receiving of hospitality:

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- Bribing another person;
- Receiving a bribe;
- Bribing a foreign public official; and
- Failure of an organisation to prevent bribery.

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This is further emphasised in the College's Staff Disciplinary Procedure, Appendix B note 14 (Section 57).

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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.

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### Receiving gifts or hospitality

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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

9.18.3 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.

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9.28.4 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? A member of the SMT must authorise the giving any gifts or hospitality in advance. If the gift is to be given by a member of the SMT then the gift or hospitality needs to be approved in advance by the F&GP Committee.

**Commented [IW7]:** Rather than set limits I think the SMT and or F&GP should approve all gifts and hospitality to ensure that they comply with the Bribery Act.

9.38.5 The offer of gifts and corporate hospitality should have a demonstrable link to the work of the College and represent good value for money.

**Commented [VL8R7]:** There is an expectation within International partnership relationships that gifts are culturally required, particularly in China. FGPC approval may be easier to be sought annually for the range of relationships that will require gift giving. A bottle of whisky from Perthshire is a common gift for key international partners.

9.48.6 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.

## 409 Financial Planning

40.19.1 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.

40.29.2 Financial plans should be consistent with the strategic plans and Estates strategy approved by the Board of Management.

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

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

40.59.5 A Management Book should be presented to the SMT on a monthly ~~quarterly basis~~ ~~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.

**Commented [IW9]:** Finance need to spend time fixing processes before they can close on a monthly basis. Closing on a quarterly basis will give us the management time we need and allow finance more time to fix processes.

## 4110 Resource Allocation

41.410.1 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.

## 4211 Budget Preparation

42.411.1 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.

42.211.2 Budgets should set out monthly income and expenditure detail.

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

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

~~42.511.5~~ 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.

~~42.611.6~~ Throughout the year, the Finance Director is responsible for submitting revised budgets to the Finance and General Purposes Committee and the Board of Management.

## **4312 Capital Expenditure Programme**

~~43.412.1~~ 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~~.

~~43.212.2~~ 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.

~~43.312.3~~ 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.

~~43.412.4~~ The Finance Director will provide regular statements concerning capital expenditure to the Finance and General Purposes Committee for monitoring purposes.

**Commented [VL10]:** At the moment, capital projects are reported as they are undertaken as opposed to for approval. We should submit the proposed capital plan

[43-512.5](#) 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.

### **[4413](#) Capitalisation and Depreciation**

[44-413.1](#) 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.

[44-213.2](#) 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.

[44-313.3](#) 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.

[44-413.4](#) 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.

14.513.5 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.

## **1514 Overseas Activity**

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

## **1615 Other Major Developments**

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~~46.415.1~~ 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.

## **47.16 Financial Control**

~~47.416.1~~ The control of income and expenditure within an agreed budget is the responsibility of the designated Budget Holder, who must ensure that day-today 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.

~~47.216.2~~ 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.

~~47.316.3~~ 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.

17.416.4 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~~

- ~~Compliance with~~ relevant legislation or guidance. ~~—or its propriety— e.g. compliance with the~~
- standards expected of publicly funded bodies or their officials.
- ~~Political sensitivity,~~

~~Proposed expenditure or financial arrangements that might be considered to be sensitive would also be regarded as contentious.~~

## 1817 Financial Information

18.117.1 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.

**Commented [IW11]:** Original wording was from Scottish Public Finance Manual

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~~48.217.2~~ 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.

~~48.317.3~~ 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.

## **1918 Changes to the Approved Budget**

~~49.118.1~~ 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:

~~49.218.2~~ 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.

~~49.318.3~~ Any virement across departments or between lines within departments needs the approval of the Finance Director.

## **2019 Financial Year**

~~20.119.1~~ Perth College's financial year will run from 1 August until 31 July the following year.

## **2120 Basis of Accounting**

21.120.1 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).

21.220.2 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.

## **2221 Annual Reporting Requirements**

22.121.1 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.

22.221.2 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

22.321.3 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.

## **2322 Accounting Records**

23.122.1 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.

23.222.2 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).

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

23.422.4 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.

## **2423 Public Access**

24.123.1 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**.

## **2524 Taxation**

25.124.1 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.

25.224.2 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.

## **2625 Audit**

**26.425.1** 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.

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

**26.325.3** 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.

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

### **26.525.5 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.

**26.625.6 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.

Internal audits must be carried out on an annual basis covering areas as directed by 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.

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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.

#### **26.725.7 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>.

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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.

#### **26.825.8 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.

#### **26.925.9 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.

## **27.26 Treasury Management**

**27.26.1** 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.

**27.26.2** 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.

### **27.326.3 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 [assets 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 [must comply with the Driving for Work Policy - https://www.perth.uhi.ac.uk/about-us/policies-regulations-and-guidelines/](https://www.perth.uhi.ac.uk/about-us/policies-regulations-and-guidelines/) ~~shall maintain appropriate insurance cover for business use at their own cost.~~

Commented [IW12]: Better to link to policy.

#### **27.426.4 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.

#### **27.526.5 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.~~

Commented [IW13]: We no longer issue cheques.

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.~~

**Commented [IW14]:** See note above, cheques no longer issued.

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.

#### **27.626.6 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.

**27.726.7 Provision of Indemnities or Guarantees**

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

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## 27.826.8 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.

## 2827 Completeness of Income

28.427.1 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.

28.227.2 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.

**28-327.3 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.

**28-427.4 Receipts by credit or debit card:** Perth College may only receive payments by debit or credit card using procedures approved by the Finance Director.

**28-527.5 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.

**28-627.6 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.

**28-727.7 Credit Arrangements:** Only the Finance Director can approve credit arrangements and indicate the periods in which different types of invoice must be paid.



28-827.8 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.

## **2928 Student Fees**

29-428.1 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.

29-228.2 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.

29-328.3 Such students shall be prevented from re-enrolling at the College and from using any of the College's facilities.

29-428.4 The College may pass outstanding debts to debt collection agencies and reserves the right to take legal action to recover outstanding amounts.

## **3029 Discretionary Fund and Childcare Payments**

30-429.1 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.

30.229.2 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.

## **3130 Grants & Contracts**

31.430.1 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.

31.230.2 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.

31.330.3 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.

31.430.4 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.

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

31.630.6 The budget holder will control staff pay and non-staff 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.

**Commented [IW15]:** Slight change to wording to align with Perth terminology.

31.730.7 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.

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## **3231 Private Consultancies and Other Paid Work**

**32-431.1** 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).

**32-231.2** 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 description of the work involved must be sufficient to determine if whether there is any conflict of interests. If there was a conflict of interest the application cannot be approved.](#)
- 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.

## **3332 Non-Grant Funded Income**

**33-432.1 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.

**33.232.2 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).

**33.332.3 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.

**33.432.4 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**.

## **3433 Profitability and Recovery of Overhead Costs**

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

**34.233.2** 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.

## **3534** Retention of income

**35.134.1** 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.

### **35.234.2** 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.

## **3635** Intellectual Property Rights and Patents

**36.135.1** 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.

### **36.235.2** 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.

### 36.335.3 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 or appropriate delegate.

## 3736 Payments

37.436.1 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.

## 3837 Procurement

38.437.1 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.

### 38.237.2 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.

38-337.3 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.

38-437.4 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.

38-537.5 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.

38.637.6 Procurement **non-competitive action** (NCA) requires prior consultation with SFC through the regional strategic body 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).

### **3938 Tender Management (Tenders and Quotations)**

39.438.1 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.

39.238.2 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.

### **4039 Receipt of Goods**

40.439.1 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.

[40.239.2](#) 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.

[40.339.3](#) All persons receiving goods on behalf of Perth College must be independent of those who placed the official order.

## **[4140](#) Major Building Contracts**

[41.140.1](#) 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.

[41.240.2](#) Proposals shall be presented in the form of costings, or investment appraisals, prepared in conjunction with the Finance Director for Board of Management consideration.

[41.340.3](#) 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.

41.440.4 Building contracts ~~will be~~ administered by a Vice Principal - External Engagement and must adopt the protocols for proposed capital expenditure and major developments.

**Commented [IW16]:** Rather than a specific VP, this allows a wider group of potential VP's who can manage building contracts.

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

## 4241 Payment of Invoices

42.441.1 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.

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

42.341.3 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).

42.441.4 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.

## **4342 Petty Cash**

43.142.1 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.

## **4443 Other Payments**

44.143.1 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.

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

## **4544 Late Payment Rules**

45.144.1 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.

## **4645 Leasing**

[46.145.1](#) Lease agreements for buildings must be approved and signed by the Finance Director.

[46.245.2](#) 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.

## **[4746](#) Remuneration**

[47.146.1](#) 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.

[47.246.2](#) 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.

## **[4847](#) Appointment of Staff**

[48.147.1](#) 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.

[48.247.2](#) 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.

## **4948 Salaries and Wages**

**49.448.1** 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.

**49.248.2** 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.

**49.348.3** 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.

**49.448.4** The Finance Director shall be responsible for keeping all records relating to payroll including those of a statutory nature.

**49.548.5** All payments must comply with HMRC regulations.

## **5049 Superannuation Schemes**

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

**50.249.2** 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.

**50.349.3** 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.

## **5150 Travel, Subsistence and Other Allowances**

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

**51.250.2** 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.

51.350.3 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.

## **5251 Overseas Travel**

52.451.1 All arrangements for overseas travel must be made through the **most cost efficient approach which will normally be 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.

## **5352 Expenses for members of the Board of Management**

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

## **5453 Severance and Other Non-Recurring Payments**

54.453.1 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.

54.253.2 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'.



[54.353.3](#) 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.

[54.453.4](#) 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.

## **5554 Assets**

[55.154.1](#) **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.

[55.254.2](#) **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.

[55.354.3](#) **Property Register.** The Finance Director is responsible for maintaining a full register of properties owned or occupied by the College.

[55.454.4](#) 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.

[55-554.5](#) **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.

[55-654.6](#) 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.

[55-754.7](#) 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.

[55-854.8](#) **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.

[55-954.9](#) Assets owned by the College shall, so far as is practical, be effectively marked to identify them as College property.

[55-1054.10](#) **Personal Use.**

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

#### **55.1454.11 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.

### **5655 Funds on Trust**

#### **56.455.1 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.

#### **56.255.2 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.

**56.355.3 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.

**56.455.4 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.

**5756 System Security**

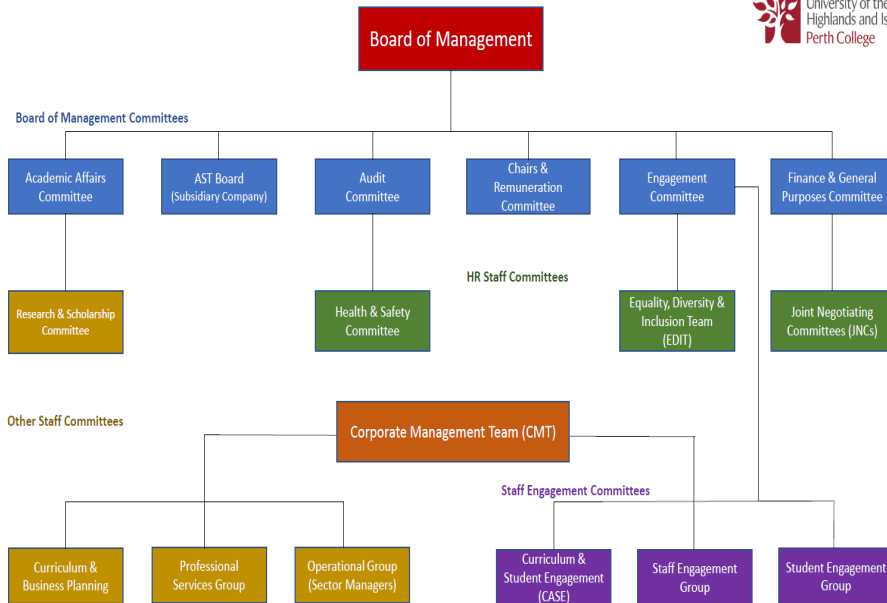
**57.456.1** The ICT Manager shall be responsible for maintaining proper security and privacy of information held on the College's computer network. Appropriate levels of security will be provided, such as passwords for networked PCs together with restricted physical access for network servers. Information 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.

57-256.2 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.

**5857 APPENDIX A – Financial Memorandum: UHI-  
Perth.**

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

## 5958 APPENDIX B – Board of Management Structure



## 6059 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.

## **6160 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.

## **6261 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.

## **6362 APPENDIX F – Scottish Public Finance Manual**

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

## **6463 APPENDIX G – Perth College Constitution**

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

## **64 APPENDIX H - Publications to read in conjunction with the Financial Regulations**

- [Statement of Recommended Practice \(SORPs\) - https://www.iasplus.com/en-gb/standards/uk-gaap/sorps#:~:text=Statements%20of%20Recommended%20Practice%20\(%22SORPs,out%20current%20best%20accounting%20practice.&text=The%20SORP%20Policy%20and%20Code,'SORP%2Dmaking'%20body.](https://www.iasplus.com/en-gb/standards/uk-gaap/sorps#:~:text=Statements%20of%20Recommended%20Practice%20(%22SORPs,out%20current%20best%20accounting%20practice.&text=The%20SORP%20Policy%20and%20Code,'SORP%2Dmaking'%20body.)
- [SFC Accounts Direction- http://www.sfc.ac.uk/](http://www.sfc.ac.uk/)
- [Audit Scotland - https://www.audit-scotland.gov.uk/](https://www.audit-scotland.gov.uk/)
- [Accounting Standards - Various](#)
- [Scottish Parliament Audit Committee - https://archive2021.parliament.scot/parliamentarybusiness/PreviousCommittees/109594.aspx](https://archive2021.parliament.scot/parliamentarybusiness/PreviousCommittees/109594.aspx)
- [HE College Administrative Schemes](#)

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- [Scottish Funding Council \(SFC\) - http://www.sfc.ac.uk/](http://www.sfc.ac.uk/)
- [Scottish Public Finance Manual - https://www.gov.scot/publications/scottish-public-finance-manual/background-and-applicability/background-and-applicability/](https://www.gov.scot/publications/scottish-public-finance-manual/background-and-applicability/background-and-applicability/)
- [Financial Reporting manual in force \(FREM\) - https://www.gov.uk/government/collections/government-financial-reporting-manual-frem](https://www.gov.uk/government/collections/government-financial-reporting-manual-frem)
- [Perth College Policies & Procedures - https://www.perth.uhi.ac.uk/about-us/policies-regulations-and-guidelines/](https://www.perth.uhi.ac.uk/about-us/policies-regulations-and-guidelines/)
- [Perth College Board of Management Governance Manual - https://www.perth.uhi.ac.uk/about-us/college-management-structure/meet-the-board/](https://www.perth.uhi.ac.uk/about-us/college-management-structure/meet-the-board/)

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**Fife - Income £54M 2019**

Exclusive of VAT

**Expenditure on a single order**

Budget Holder	Up to £3,000
Head of Finance	Up to £5,000
VP Finance & Planning	Up to £5,000
Principal	£75,000 to £120,000
Board of Management	Over £120,000

**If the purchases is not via a National/APUC Contract**

Budget Holder	Up to £3,000
Budget Holder & VP Finance & Planning	£3000 - £24,999
VP Finance & Planning	£25,000 - £49,999
Principal & F&GP	£50,000 to current relevant EU threshold
Principal & F&GP	Current relevant threshold and over

**Perth - Income £27.6M 2019 (Proposed)**

Exclusive of VAT

Budget Holder	£3,000
CMT	£10,000
SMT	£25,000
FD	£50,000
Principal	£100,000
BOM	> £100,000

**University of West of Scotland - Income £59M 2019**

Member of staff by Dean of School, Director/Head of Department up to £5,000

Dean of School or Head of Department for budget allocations within their scope of responsibility.	up to £20,000
Vice Chancellors Executive Group	£20,000 - £99,999
Provost & Deputy Principal or CFO	£100,000 - £499,999
Principal and Vice Chancellor	> £500,000

European Public Contracts Directive (PCS)

Supplies £172,514

Services £172,514

Works £4,322,012

OEEU

Supply, services and design c

Works contracts £4,733,252

Social and other services £66

Tenders advertised via Public Contracts Scotland

Tenders via Official Journal of the European Union

contracts £189,330

53,540

## Perth College UHI

Paper No 3

<b>Committee</b>	Finance and General Purposes Committee
<b>Subject</b>	Business Development Strategy
<b>Date of Committee meeting</b>	24/05/2021
<b>Author</b>	Veronica Lynch
<b>Date paper prepared</b>	21/05/2021
<b>Executive summary of the paper</b>	<p>i) <b>Purpose</b> – The Board have previously reviewed and endorsed the College’s Business Development Strategy. A follow up Board consultation session was held in November 2020. Feedback from the board has influenced the focus and the strategic direction.</p> <p>This paper provides an overview of:</p> <ol style="list-style-type: none"> <li>1. Progress towards capitalising upon the opportunities to widen and deepen our commercial business,</li> <li>2. Measuring and tracking profitability,</li> <li>3. Testing alternative business models to improve commercial competitiveness</li> </ol> <p>i) <b>Impact</b> – this activity will influence the financial sustainability of the College.</p> <p>ii) <b>Course of Action</b> – The Board are requested to endorse the strategy and the progress made towards ensuring the Business Development Strategy is a key driver in securing the financial sustainability of the College.</p>
<b>Consultation</b> Please note which related parties, stakeholders and/or Committees have been consulted	Staff, College Board, Industry, Regional Partners,
<b>Action requested</b>	<input type="checkbox"/> For information <input type="checkbox"/> For discussion <input checked="" type="checkbox"/> For endorsement <input type="checkbox"/> Strongly recommended for approval



## Perth College UHI

	<input type="checkbox"/> Recommended with guidance (please provide further information, below)
<p><b>Resource implications</b></p> <p>Does this activity/proposal require the use of College resources to implement? If yes, please provide details.</p>	<p><b>Yes/ No</b></p> <p>Any specific projects requiring resources would be addressed directly where outwith delegated authority limits.</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? (If yes, please provide details)</p>	<p><b>Yes/ No</b></p> <p>This document outlines the Risks associated with the different delivery models outlined for consideration.</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>Growing the College's reach across the business community</p> <p>Financial Sustainability</p>
<p><b><u>Equality and diversity</u></b></p> <p>Does this activity/proposal require an Equality Impact Assessment? If yes, please give details:</p>	<p><b>Yes/ No</b></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>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>	<p><input type="checkbox"/></p>	<p>Its disclosure would substantially prejudice the effective conduct of public affairs</p>	<p><input type="checkbox"/></p>
<p>Its disclosure would substantially prejudice the commercial interests of any person or organisation</p>	<p><input checked="" 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 any conclusions on the concepts outlined within the document are completed

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. 4

<b>Committee</b>	Finance and General Purposes Committee
<b>Subject</b>	Aviation Academy for Scotland I&E
<b>Date of Committee meeting</b>	24/05/2021
<b>Author</b>	Veronica Lynch
<b>Date paper prepared</b>	21/05/2021
<b>Executive summary of the paper</b>	<ul style="list-style-type: none"> <li>i) Purpose – This paper provides an update to the Committee on the current status of the Aviation Academy for Scotland within the Tay Cities Deal (TCD) bid together with the Income and Expenditure profile for the project. It outlines the next stage of commitment for the project as £121,000 (VAT incl) towards architect fees. These fees would be funded via the £330,000 of UHI Strategic Investment Funding.</li> <li>ii) Impact – this activity will draw down capital funding of £5.096m from Tay Cities Deal towards the project.</li> <li>iii) Course of Action – The Committee is asked to note the financial projections and the associated project risks at this stage. The Committee is requested to endorse seeking Board approval to instruct architect fees to enable the Outline Business Case (OBC) to be finalised for TCD approval.</li> </ul>
<b>Consultation</b> Please note which related parties, stakeholders and/or Committees have been consulted	College Board, Industry, Regional Partners, Scottish and UK Governments, UHI.

## Perth College UHI

<p><b>Action requested</b></p>	<p><input type="checkbox"/> For information</p> <p><input type="checkbox"/> For discussion</p> <p><input type="checkbox"/> For endorsement</p> <p><input checked="" 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? If yes, please provide details.</p>	<p><b>Yes/ No</b></p> <p>The next phase in the project development phase is funded through SIF funding already received from UHI. The wider resources are outlined within the I&amp;E within the paper.</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? (If yes, please provide details)</p>	<p><b>Yes/ No</b></p> <p>This document outlines the Risks associated with the project and the associated mitigations already underway or planned.</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>Growing the College’s reach nationally and internationally</p> <p>Improved student experience</p> <p>New opportunity for the Curriculum and AST</p>
<p><b><u>Equality and diversity</u></b></p> <p>Does this activity/proposal require an Equality Impact Assessment? If yes, please give details:</p>	<p><b>Yes/ No</b></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>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>	<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 checked="" 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? September 2024

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. 5

<b>Committee</b>	Finance & General Purposes Committee
<b>Subject</b>	Uhi Intellectual Property Policy
<b>Date of Committee meeting</b>	24/05/2021
<b>Author</b>	UHI
<b>Date paper prepared</b>	14/05/2021
<b>Executive summary of the paper</b>	<p>Please outline the follow elements of this paper:</p> <p><b>Purpose</b> The purpose of this policy document is to provide guidance and sources of advice in order to encourage the early identification of IP and successful exploitation for the mutual benefit of all parties.</p> <p><b>Impact</b> An effective IP policy will:</p> <ul style="list-style-type: none"> <li>• Help provide legal clarity;</li> <li>• supports and encourages a culture of innovation and development;</li> <li>• encourage researchers to explore the possible opportunities for exploiting an invention so as to increase the potential flow of benefits to society;</li> </ul> <p><b>Course of Action</b> This policy is tabled for approval</p>
<b>Consultation</b> Please note which related parties, stakeholders and/or Committees have been consulted	<p>Click or tap here to enter text.</p> <p>This policy has gone to all academic partners for Consultation</p>

## Perth College UHI

<p><b>Action requested</b></p>	<p> <input type="checkbox"/> For information  <input type="checkbox"/> For discussion  <input type="checkbox"/> For endorsement  <input type="checkbox"/> Strongly recommended for approval  <input checked="" type="checkbox"/> Recommended with guidance (please provide further information, below) </p> <p>This policy has been approved at the March Partnership Council meeting but it is not completely fit for purpose so it is recommended that it is approved for use for a year only so we have something in place. In the meantime a Research Commercialisation Group has been set up to look at this policy and overarching strategy to sit above it.</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>Yes</p> <p>Someone in the college will have to undertake role of designated IP Manager</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>This mitigates the risk of loss of intellectual property rights.</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>This document links to the colleges strategy “Work in partnership to foster and drive positive change and growth in local, regional, national and international economies.”</p>

## Perth College UHI

<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</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>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>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</p>

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<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>



## Perth College UHI

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"/>
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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)

# **UHI INTELLECTUAL PROPERTY POLICY**

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## **POLICY AND PROCEDURE GUIDANCE**

August 2020

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## **EUREKA MOMENTS AND VEILED SECRETS**

DOs and DON'Ts for busy scientists and academics ...

### **DISCOVERIES**

If you stumble on a new idea, invention, process or programme:

- 1 DO keep quiet about it
- 2 DO immediately tell your designated IP manager/Head of Department/senior management so that they may consider IP issues
- 3 DO keep your lab notes and other relevant documents accurate, up to date and comprehensive
- 4 DO mark relevant documents confidential and consider keeping them in a secure area
- 5 DO NOT talk about your discovery to anyone including at conferences, seminars, meetings etc.
- 6 DO NOT PUBLISH &
- 7 DO remember that Institutional IP Policy recognises the IP contribution of staff

### **CO-OPERATING, COLLABORATING, CONSORTING, CONTRACTING ETC.**

If you are about to start dealings with an outside organisation that may involve confidential information, or existing or future IP:

- 8 Arrange a meeting with your designated IP Manager to discuss any potential for intellectual property (IP) 'leakage, and potential approaches to IP (see Annex 1 for details of designated posts and functions that are to be contacted/utilised as part of the IP development process)
- 9 It is likely that a NDA (Non-Disclosure Agreement) aka a CA (Confidentiality Agreement) will be recommended to protect the IP and associated confidential information
- 10 Likewise, be receptive to corresponding suggestions from the outside organisations
- 11 Have the wording prepared or checked by for example, Legal Secretary, Grants and Contracts Office or an appropriate senior management
- 12 These issues may already be part of a more comprehensive document (draft collaboration Agreement etc.). If so, refer to the draft. Sometimes, if the main agreement takes time to negotiate etc., a quick NDA at the outset may be appropriate
- 13 Be ready to:
  - i. describe the Background (existing) IP, and
  - ii. state when relevant discussions started or will startto Legal Secretary or Grants and Contracts
- 14 Where appropriate mark documents etc. 'CONFIDENTIAL'
- 15 Remind colleagues to do likewise

## 1. INTRODUCTION

UHI and its Academic Partners are committed to a research strategy that includes the delivery of real world solutions to end users. In so doing, recognise that researchers and academics are often best placed to develop their outputs into new products or applications; but their intellectual work is built upon a supportive infrastructure of facilities and Professional Services, without which innovation could not thrive.

This document outlines the policies and procedures for the ownership, protection, distribution and commercial development of the 'intellectual property' of the employees of UHI and its Academic Partners.

Please note that the term Intellectual Property (IP) includes, but is not limited to, all IP, designs, information, specifications, formulae, improvements, discoveries, know-how, data, processes, methods, techniques and the intellectual property rights therein, including but not limited to, patents, copyrights, database rights, design rights (registered and unregistered), trademarks, trade names and service marks and the right to apply for any of the above as recognised in any country in the world.

This document is not intended to be an exhaustive statement of policy applicable to every situation. Instead, it is intended as a guide to general policy in relation to the handling of project IP. If any dispute in interpretation cannot be resolved by the parties directly involved, then it will be escalated to the Directorate appointed by the relevant UHI Academic Partner for decision. If the dispute is between UHI Academic Partners then the UHI Partnership Council will undertake the final decision.

***Teaching materials have been excluded from this framework, as they are covered by the policies of respective registering institutions.***

## 2. SCOPE AND PURPOSE

UHI and its Academic Partner staff produce intellectual property (IP) in the course of their research and scholarship. Some of this IP makes a valuable contribution to the body of knowledge relating to a wide range of disciplines, but has little commercial value.

Other IP has significant potential for commercial exploitation, which can be of financial benefit to UHI and its Academic Partners and the employee concerned.

**The purpose of this policy document is to provide guidance and sources of advice in order to encourage the early identification of such IP and successful exploitation for the mutual benefit of all parties.**

### 3. DEFINITIONS

Exploitation	Action taken to ensure that appropriate Inventions and IP reach the market place and the optimal financial return is enjoyed by UHI and its Academic Partners and its employees. Following establishment of the appropriate means of protection (e.g. patenting), exploitation will typically involve licensing, company formation or other technology transfer measure.
Intellectual Property (IP)	Inventions, computer software, data, databases, technical know-how and trade secrets. Large banks of new data collected in the course of research and scholarship are also covered here only if they may reasonably be considered to have potential for exploitation.
Invention	A novel or useful idea relating to processes, machines, manufacturing or compositions of matter. It would include such things as new or improved devices, systems, computer software, circuits, chemical compounds, biomedical materials, mixtures etc. In lay terms, it is probable that an invention has been made when something new or useful has been conceived or developed, or when unusual, unexpected or non-obvious results have been obtained and can be exploited. Inventions will most commonly be developed through science, engineering and research, but can arise from any area of academic research or scholarship.
Inventor	An employee who makes an Invention or creates IP
UHI & its Academic Partners:	This term includes all employees of UHI Executive Office and EO researchers depts., including Centres and Institutes where UHI is the employer (e.g., the Dept. of Diabetes and Cardiovascular Science; The Centre for History; the Economic Intelligence Unit; etc.) “Academic Partner” covers all staff employed by the following UHI affiliated institutions: SAMS, Inverness College, Moray College, West Highland College, Argyll College, Lews Castle College, North Highland College, Orkney College, Shetland College and NAFCMC.

### 4. PRINCIPLES

This policy provides a framework for the creation, use and exploitation of intellectual property at UHI and its Academic Partners and applies to all members of the organisation. It defines the rights and responsibilities of UHI and its Academic Partners, its staff and students in relation to intellectual property.

### 5. INTELLECTUAL PROPERTY COORDINATION

A “Designated IP Manager”, will be identified in each employer institution (see Annex 1 systems and processes). The designated IP Manager will receive information about IP from the ‘originator(s)’ and work closely with them and project teams that wish to protect IP and investigate commercial opportunities. The designated IP Manager will be the first

point of contact for any questions of guidance related to ownership, protection, distribution and commercialisation of IP. It is important to establish this dialogue early so expectations are clear and because various actions can have a detrimental effect on the ability to have certain kinds of future impact for example any publication could risk losing protection of IP, patent protection may not be possible after publishing a paper or making a presentation containing information about an 'IP'.

## 6. OWNERSHIP POLICY STATEMENT

The general policy is that IP created through your normal work at your employer is owned by your employer. That is the general law as between employer and employee. For most research projects, the IP stays with the employer ,but the employer may, as part of a programme of contracted or collaborative research enter into a separate agreement that provides otherwise.

There are two main alternatives:

A. Where a UHI Academic Partner develops IP jointly with external collaborators, then ownership should be agreed to reflect the background IP and contribution of each partner to any new (foreground) IP.

B. Where a UHI/Academic Partner (or more likely its trading company such as UHIRE. (UHI Research and Enterprise Ltd)), develops IP jointly with external commercial companies, negotiations may be needed about ownership and exploitation of foreground IP.

In either event, the ownership may need to be decided on a case-by-case basis in a negotiation process led by the designated IP manager, Company Secretary or equivalent as assigned by each employer institution, and formalised in an IP Ownership Agreement (see Annex 2).or Consortium Agreement. This must be signed by the Company Secretary (or equivalent) and an authorised signatory for the external collaborators concerned

An IP Ownership Agreement may include the designation of a lead person/post to manage the development of joint IP. It should also include details of how any development costs will be shared, as well as any specific revenue sharing arrangements between the parties involved.

As the owner of IP created through the work, the employer retains all patent and disposition rights including the right to decide how or whether the IP is exploited/commercialised. For IP jointly developed with external collaborators, the IP Ownership/Consortium Agreement will govern how or whether the IP is exploited/commercialised.

This policy does not apply if the creator can demonstrate that the IP already existed e.g. in a protected agreement, or was created:

- other than in the ordinary course of their work; and
- without conflict of interest; and
- without breaching any duty to their employer; and
- without the use of confidential or proprietary information of their employer; and
- without significant use of employer-administered resources and/or facilities.

UHI and its Academic Partner's employees accept the principles of ownership of technology as stated under this document. In furthering such undertaking, all regular as well as visiting researchers, staff, students and others may be asked to sign IP and

proprietary information agreements prior to participating in research at UHI or its Academic Partners.

## 7. STUDENTS

The general guideline is that undergraduates and taught postgraduates own the IP that they generate, unless covered by a specific IP Agreement; as would be appropriate if external sponsorship had been provided for a specific piece of work.

Where IP is generated by postgraduate research students (PGRs) who are formally employed, the employer owns any IP generated (assuming that IP is related to their employed role). This must be explained to the student and formalised in a *Declaration of Assignment of Intellectual Property* (DoAoIP) by post-graduate students. An example of this declaration is laid out in Annex 3. In most cases, this is contained in the employment contract between UHI or its Academic Partner and the student.

In cases where a postgraduate student is on a stipend, the ownership of IP is dictated by where they are registered (e.g. for UHI ownership lies with the employer of the lead supervisor). Should that registration be at a different Institution (e.g. University of Edinburgh), then the student may need to sign a DoAoIP, reallocating the IP ownership to the relevant UHI or Academic Partner Institution. This would be decided on a case-by-case basis depending on the relative contribution of each partner and any conditions applied by the funder.

## 8. CAPTURING NEW INTELLECTUAL PROPERTY

When new IP arises, the originator(s) must contact the designated IP Manager who will guide them through completion of an IP Disclosure Form (IPDF; Annex 4). This is internal to UHI and its Academic Partners and formally initiates action to (i) clarify the ownership, and then (ii) consider appropriate protection and exploitation of the IP.

The terms of agreement entered into by UHI or its Academic Partner, in particular with collaborators may create obligations with respect to the reporting of the new IP.

Therefore, the originator(s) should report promptly all IP, in the broadest definition of the term, by submitting an IPDF.

An IP Disclosure Form must include:

- full detail and description of the IP identified;
- sponsorship information; details of how the research has been funded, collaborators and non-UHI or its Academic Partners resources used;
- disclosures; any/what disclosures have been made;
- details on joint originators, including external collaborators; and
- commercial interests and conflicts of interest.

Once submitted changes should only be made in the event of incorrect information and must be agreed by all listed originators. If new IP arises that is similar to previously disclosed IP, a new IPDF should be submitted.

## 9. PROTECTING INTELLECTUAL PROPERTY

The rights governing ownership and use of many types of IP are known as 'intellectual property rights', which are derived primarily from legislation granting patent, copyright, design and trademark protection. Mechanisms also exist for protecting confidential

information, trade secrets, know-how and other intellectual or tangible research property (e.g. physical prototypes).

## 9.1 Patents

A patent protects new IP and covers how things work, what they do, how they do it, what they are made of and how they are made. It gives the owner the right to prevent others from making, using, importing or selling the IP without permission within a specific territory for a designated period. Typically, the IP is a technical innovation of some kind with a commercial application.

To the extent that it considers appropriate, the relevant UHI institution/ Academic Partner may seek patent protection on IP where they may intend to pursue or facilitate commercial licensing or to comply with the terms of various agreements. This may include a 'literature search of prior art' being carried out by an appropriate specialist, with input from one or more of the originators.

If the relevant UHI/AP institution decides not to patent a particular piece of IP they may consider assigning ownership to the originator(s).

While patents are granted by many different countries, procedures for filing, regulations for patentability and term of patent grant vary from country to country. In the UK, a patent affords its owner exclusivity but it must be renewed every year after the 5<sup>th</sup> year for up to 20 years protection. To be patentable the IP must be new, useful and non-obvious.

Detailed up to date information on the costs and procedures required to file and maintain a patent can be found at the Intellectual Property Office web site:

(<http://www.ipo.gov.uk/types/patent/p-applying/p-cost.htm>).

Good record keeping is essential for preserving intellectual property rights and in determining the date on which an invention is made, since the United States, in particular, awards patents based on first to invent rather than first to file, as in most countries. The US is a substantial market for many inventions and research notebooks, for example, may be required to be presented as legal evidence. It is therefore recommended that:

- (i) All electronic record keeping should conform to sector norms and advice as well as the UHI retention policy and data management guide.
- (ii) Permanent bindings are used on notebooks – loose-leaf books should be avoided to prevent possible removal or substitution of pages.
- (iii) (ii) Pages should be numbered and any additional drawings, charts or computer printouts should be permanently attached to the notebook, clearly identified and have reference made to them in the notebook.
- (iv) The notebook should be reviewed regularly by someone who understands the technology involved and each page should ideally be signed by a witness. The choice of witness is important - it should preferably not be someone who may be nominated as a co-inventor. The witness should also sign and date any graph, charts or print outs, which are inserted into the notebook ensuring the signature is on both the inserted document and the notebook page.

Well-documented notebooks should demonstrate the progress of research and are an important record in the event of a dispute. They should be stored safely. The employing institution will retain these documents when the individual leaves.

Storage of all data should follow security and fire protection good practice guides.

If you have any queries regarding this activity consult your designated IP Manager.

**You should disclose any possible invention to the designated IP Manager as early as possible.** This will facilitate a patent application, if deemed appropriate.



In most instances, it will be necessary to engage the services of a patent lawyer to help file the patent application. This may lead to expense. There will also costs associated with keeping a patent in force.

Applying for a patent in the United Kingdom (UK) does not protect IP elsewhere. UHI and its Academic Partners can protect IP in many international countries using the [Patent Cooperation Treaty \(PCT\)](#) through the World Intellectual Property Organisation (WIPO) through the European Patent Office (EPO) or WIPO (<http://www.ipo.gov.uk/types/patent/p-manage/p-abroad/p-worldwide.htm>).

If required, you can also apply for a patent in individual countries by contacting the national patent office of each country.

## 9.2 Secrecy

The release of information regarding a specific discovery may preclude the ability to protect the IP in a subsequent patent application. IP which is already in the public domain – e.g. if it has been discussed in public (even with a small group); has been presented at a seminar or conference; or published in an academic journal – may no longer be patentable. Therefore, care should be taken when discussing any IP prior to patent filing.

Accordingly, any dissemination of new ‘inventions’ or ‘process’ should be discussed with the Company Secretary/designated IP manager before any sharing of information.

## 9.3 Copyright

Copyright subsists in original work of authorship, whether or not published, which has been recorded in writing or otherwise (including electronic form). Copyright laws protect literary works (including academic papers), films, sound recordings and original databases among other things. Computer programs are protected as literary works.

A copyright owner has the exclusive right (among other things) to reproduce the work, prepare derivative works, distribute by sale or otherwise, and display or perform the work publicly. Copyright protection of a work generally extends for either 70 years after the death of the originator or 70 years after the date on which the work is first lawfully made available to the public. Precise duration of protection depends on the nature of the work.

Copyright protection is important in order for UHI and its Academic Partners to license copyrightable material.

Copyright law does not always require a ‘notice of copyright’ to be affixed to the material however; such a notice is strongly advised. The following notice should be applied on Academic Partner owned works to protect the copyright:

“Copyright © *insert Academic Partner name* [Year(s)] - All Rights Reserved”

The date in the notice should be the year or years in which the work is created. No notice other than the foregoing is to be used for UHI or its Academic Partner owned works.

In the UK, copyright is not registered and it may be important to be able to prove the date of first production of the work. This can be achieved by lodging the work and recording the date of conception with a third party (e.g., a solicitor, bank manager or patent agent).

For added copyright protection in jurisdictions that provide for registration (e.g., USA) certain works, as deemed appropriate, may be registered with the appropriate regulatory body (e.g., the United States Copyright Office).

Despite the statutory provision whereby the copyright in any work produced by an employee in the course of employment belongs to the employer, UHI or its Academic Partner may grant the author(s) a 'free licence to the copyright' with regard to work published in a recognised academic, scientific, technical, professional or management journal or book.

Higher Education Institutes generally do not grant such a licence to materials created by employees during the course of and related to their employment, comprising:

- Course or training materials;
- Software programs;
- Any design specification or other work which may be necessary to protect rights in commercially exploitable intellectual property

These guidelines do not supersede existing agreements with respect to course and teaching materials. **Teaching materials have been excluded from this framework as they are covered by other universities' policies.**

#### 9.4 Design Rights

Protection for designs exists for the appearance of a product or part of it. It may arise from the features of a product, in particular, the lines, colour, shape, texture or materials of the products itself or its ornamentation. A design is not protected to the extent it is solely functional.

A design can be registered to provide protection in various countries, whether in the UK alone, throughout the EU or otherwise and protection can be obtained for a period of 5 years, renewable on payment of fees for further periods of 5 years up to a maximum of 25 years. Registered design is intended to protect the appearance of an object where aesthetic appeal of the object is of prime importance.

There is an unregistered design right, which applies throughout the European Union. Like copyright, it is not necessary to register this right but in order for the right to exist, it must have been 'recorded': *i.e.* a drawing must have been done or an article made. This right exists for 15 years from conception of the design and for not more than 10 years from the date of first sale. For the first five years, you can stop anyone from copying the design. For the rest of the time the design is subject to a 'license of right'. This means that anyone is entitled to a licence to make and sell products copying the design.

UHI or its Academic Partners may seek to obtain registered design rights, in particular, for those designs that will be used to commercially exploit products. As with patents, a design must be new. There must be no other design identical to it. In addition, the design must have individual character: *i.e.* it must be different in the eyes of an 'informal user' from all other designs available before application to register the design.

#### 9.5 Trademarks

A trademark is a word, name, symbol or device (or any combination of these) adopted by an organisation to identify its goods and services and distinguish them from the goods and services of others. Trademark protection may be obtained by registration of the trademark in each of the countries where the goods/services are to be sold. Unregistered

trademarks may sometimes be protected by law, usually where there has been long-standing and substantial use.

A trademark may be used to protect those names and symbols associated with certain UHI or its Academic Partner's activities, products or events. Prior to registration for trademark protection, the designation "TM" after a trademark will give notice of a claim of ownership. The term 'registered' or some other description indicating that the mark is registered must not be used unless the mark has actually been registered. The designation '®' is reserved for such use.

The use of trademarks to protect UHI/AP owned properties, or to designate UHI/AP as the origin of a product, event, activity, service or the like, may be instituted only through the Company Secretary or designated IP Manager.

## **9.6 Confidential Information and Design Rights**

In the process of working, researchers and academics may generate new information and know-how relating to work in progress that must be kept confidential in order to maintain competitive advantage. Since such information and know-how will be captured in written or otherwise reproducible form from time to time, a mechanism is required to ensure it is not misused or released publicly.

Such proprietary information and know-how, whether captured in an archival medium or not, are typically referred to as "trade secrets". Unlike copyright, there is no trade secret statute. Protection of trade secrets derives from various legal concepts, including breach of contractual obligations not to misuse or disclose information, breach of trust and breach of confidence. UHI and its Academic Partner's employment contracts and other relevant project agreements include such clauses.

The most important aspect of this type of protection is secrecy. The protection will remain legally valid only as long as the trade secret is maintained as such. In order to maintain protection while a trade secret is being used, it is necessary to bind staff having access to any UHI/AP-derived secret, through a contractual agreement not to disclose it. Such agreements are commonly called confidentiality or non-disclosure agreements (NDAs). These agreements can be accessed through the Company Secretary/designated IP Manager.

In addition, some of external partners may be subject to freedom of information queries, which would require the release of certain company information. However, information may not have to be released if it is commercially sensitive or would otherwise damage the competitiveness of UHI Academic Partners.

## **9.7 Non-Commercial Dissemination**

Intellectual Property owned by UHI and its Academic Partners may be distributed for research and other non-commercial purposes to other educational, scientific and research institutions, etc. particularly if the research underpinning the IP is publicly funded.

Such distribution is usually subject to the condition that any commercial development or commercial use or further transfer of the IP in question will not be pursued with regard to IP created and owned by UHI and its Academic Partners. This condition should be specifically included in a formal agreement or must be contained in a 'Non-Commercial Dissemination Agreement' (NCDA), signed by the recipient of the IP.

In addition, UHI Academic Partners may wish to control subsequent use, for example, by requiring recipients to follow a specific research protocol.

Distribution may be possible in advance of securing protections (such as patents or design rights) by using some form of contractual agreement.

IP may have potential commercial value as well as scientific value. Advice should be sought from the Company Secretary/designated IP Manager about how to make IP available for scientific use in a manner that does not diminish its value or inhibit its commercial development.

## **10. Commercial Development**

Where appropriate, UHI and its Academic Partners will pursue the commercial exploitation of IP. The decision as to what is to be commercially exploited will be made by the UHI or Academic Partner Directorate. If there are external collaborators with ownership rights, they will be involved in decision-making.

Any decision to invest in the commercial exploitation of IP opportunities that emerge will be taken by the designated UHI/AP IP commercialisation Committee, as appropriate. Where there is shared ownership of IP, either between UHI AP's and/or with external collaborators, then a group will be set up to develop and recommend a commercial exploitation plan. This group will be drawn from the IP-owning institutions, with a nominated chair.

Commercial exploitation may include without limitation:

- researching the market for the IP;
- commercialisation through a trading subsidiary;
- entering into discussions with potential licensees;
- negotiating appropriate licenses or other agreements;
- considering spin-outs or company formation
  - UHI/AP may accept an equity position in lieu of cash royalties and fees;
- identifying third parties to commercialise it, if appropriate;
- monitoring progress;
- distributing revenue to originators in accordance with UHI/AP revenue sharing policy;
- selling the IP or the rights associated with it.

The main contact for all of the activities mentioned above is the designated IP Manager, who will involve the originators as closely as possible in any commercial activities as this is a proven approach to maximise the chances of success.

In some instances, distribution and commercialisation of IP may be accomplished by the transfer or licensing of intellectual property rights such as patent or copyright. In other instances distribution and commercialisation of IP may be aided by or depend upon access to the physical or tangible embodiment of the IP as is the case with computer software, physical prototypes or products.

## **11. Receipt and Distribution of Revenues**

Revenue as the result of commercialisation of UHI/AP IP (e.g. royalties, license fees, sale proceeds, realised equity considerations, etc.) will be calculated on a case by case basis and distributed to all relevant collaborators at the close of the relevant financial year as follows:

1. Deduct costs that are directly attributable to a specific case (e.g. cost of filing/maintaining a patent application, prosecution and maintenance of such, materials and manufacturing costs, specific staff costs, marketing costs and so on). Only staff specifically hired to carry out the revenue generating activity are included in these deductions.
2. Distribute any amounts in line with the IP Ownership Agreement in place, as well as any supplementary agreements in place with other collaborators.
3. Of the UHI/AP share, the rewards from commercialisation are to be split between the named originator(s), as stated on the IP Disclosure Form, and the employer of the originator(s). For IP that generates only small gross commercial incomes (or for early revenues from a large project), the originator(s) receive a greater proportion:

<b>Net Income Band (cumulative)</b>	<b>Originator(s)</b>	<b>Employer Institution</b>
£0 - £10,000	80%	20%
£10,001 - £50,000	70%	30%
£50,001 - £1,000,000	50%	50%
£1,000,001+	33.33%	66.67%

Revenue-sharing distributions may be considered taxable income and it is the responsibility of the recipient to properly report and pay tax on this income to any relevant authorities.

It may be necessary to distribute revenues to former staff several years after they have departed. It is the responsibility of each member of staff to keep their contacts details up to date with UHI/AP after departing. If the former staff member cannot be contacted using the details on file six months following the date of distribution, their revenue share will be retained by the employer institution, to be invested in future activities.

## ANNEX 1: Proposed systems/process requirements

Each UHI Academic Partner will agree to adopt the same basic IP policy. However, behind this there may be some variations in the detail of individual IP identification and commercialisation processes adopted.

Therefore, alongside the IP policy each UHI Academic Partner/ employer institution will set up an internal IP commercialisation process that includes a designated institutional point of contact for all IP disclosures/ issues and a group/ panel that will evaluate IP opportunities and agree the next steps (see diagram below for an example of how this might be carried out for UHI owned IP).

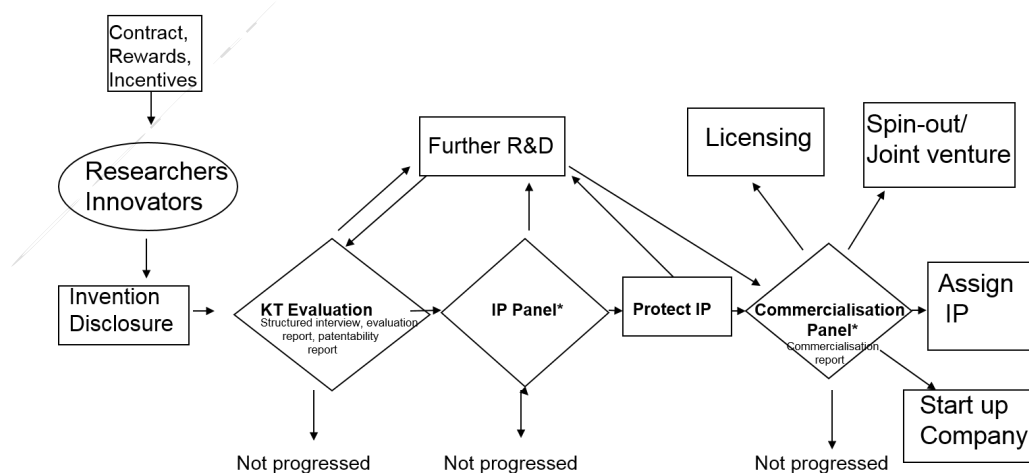
Each UHI AP could, if required, insert their own named persons, posts or groups into their institutional version of the UHI/AP IP policy - as deemed appropriate. For example, the “designated IP contact point” could, be the employer institutions Company Secretary, the KE Manager, the Business Development Manager or the Commercialisation Manager, etc.

Each UHI/AP employer institutions may also wish to insert details of any specific internal or external support staff that may be involved in developing/ commercialising the IP, where appropriate (e.g., legal assistance, grants and contracts, etc.).

Each employing institution will also agree a local Institutional arbitration process and final decision-making group, where required.

If the dispute is between UHI Academic Partner Institutions or groups, the final arbitration will rest with the UHI Partnership Council.

### UHI Commercialisation Process



\* (Vice Principals for Research & Enterprise, Head of Knowledge Exchange, budget holder, Company Secretary, etc.)

Where innovations are not progressed the innovator may be assigned ownership of IP

## **ANNEX 2: Intellectual Property Ownership Agreement**

An Intellectual Property Ownership Agreement (IPOA) formalises the background IP and contribution of each partner to that innovation. Because ownership structures are based on negotiation, and are therefore unique, there is no standard agreement template.

It may include the designation of a lead institution to manage the development and exploitation of the IP, but must include details of how any development costs will be shared across the partners, as well as any specific revenue sharing arrangements between the parties involved.

The table below outlines the subject areas, and specific considerations, that need to be included when creating an Intellectual Property Ownership Agreement.

<b>Subject Area</b>	<b>Specific Considerations</b>
The Project	<ol style="list-style-type: none"> <li>1. Name all parties to an IP Ownership Agreement</li> <li>2. Name the lead partner (if there is one)</li> <li>3. State the start date and end date for the IOA</li> <li>4. If work started before agreement was signed, indicate if retrospective effect applies</li> <li>5. State fully what resources (human and other) each party to the agreement shall provide</li> <li>6. State fully any specific conditions that apply to the provision of partner resources (human and other)</li> <li>7. Name the people who are key to the project</li> </ol>
Project Management	<ol style="list-style-type: none"> <li>1. Name the Project Manager (if there is one)</li> <li>2. Lay out the process, and specific actions to be followed (and by whom), for dispute resolution on IP ownership</li> </ol>
Background IP	<ol style="list-style-type: none"> <li>1. State what background IP each party will provide</li> <li>2. State if any party's background IP is confidential</li> <li>3. Establish if any background IP may be published</li> </ol>
IP Ownership	<ol style="list-style-type: none"> <li>1. Describe the IP to be covered by the IPOA</li> <li>2. Lay out IP ownership split agreed between parties</li> </ol>
Exploitation	<ol style="list-style-type: none"> <li>1. State which parties have rights to exploit the IP</li> <li>2. State how and what development costs will be shared between parties</li> <li>3. State how commercial revenue (if realised) will be shared between parties</li> <li>4. Describe the patent status of the IP and how any change in status might affect exploitation strategy</li> </ol>
Confidentiality and Publication	<ol style="list-style-type: none"> <li>1. State timeline for confidential information i.e. indefinitely or for a defined period</li> <li>2. Affirm whether academic use/publication is permitted</li> </ol>
Liability	<ol style="list-style-type: none"> <li>1. State any warranties that parties are prepared to provide that contributed/created IP does not infringe third party rights</li> </ol>

## **Annex 3**

### **Declaration of Assignment**

#### **Declaration of Assignment of Intellectual Property by Postgraduate Students**

The UHI/AP Group Intellectual Property (IP) Policy recognises that, under the terms of the Copyright and Patents Act 1988, where IP is created by an employee in the course of their employment, that the Intellectual Property Right (IPR) is owned by the UHI/AP as the employer.

In order for students to benefit from the revenue sharing scheme available to UHI/AP employees, any postgraduate research students working at UHI/AP, are required to assign the rights to IP arising from their research to your employer institution.

Where research is sponsored by an external organisation, the terms of the contract between the UHI/AP and that organisation will define the ownership of the resulting IP.

UHI/AP makes no claim on inventions, or other forms of IP, which have no connection to your employer institution.

As such, students are required to read and sign two copies of their acceptance of the following declarations. One copy will be retained by the student and one by your employer institution.

#### **COPYRIGHT**

1. I will promptly disclose to my employer institution all copyright works or designs, originated, conceived or written by me, whether alone or with others during the period of my work.
2. For the purposes of Section 2(1) of the Registered Designs Act 1949 and Section 267 of the Copyright, Designs and Patents Act 1988, my employer institution shall be the proprietor of any design to which Clause 4.1 applies.
3. At the request and expense of UHI/AP, I will do all things necessary or desirable to substantiate the rights of UHI/AP under the provision of this Clause
4. I hereby irrevocably and unconditionally waive in favour of my employer institution any and all moral rights conferred upon me by Chapter 1 of Part 1 of the Copyright, Designs and Patents Act 1988 for any work in which copyright or design right is vested in my employer institution, whether by this agreement or otherwise.

#### **INTELLECTUAL PROPERTY**

1. If at any time I make or become entitled to any IP whether relating directly or indirectly to my employer institution, I shall promptly disclose full details to the designated IP Manager. This applies whether I am working alone or with other person or persons. I understand that details (including drafts, early editions, etc.) of such IP belong to UHI/AP and may be used in accordance with the provisions of Section 39 of the Patents Act 1977 in the determination of IPR ownership.
2. If the intellectual property belongs to UHI/AP in terms of paragraph 5.1, I shall hold it in trust for UHI/AP. At the expense of UHI/AP, I shall do all things necessary or desirable to enable UHI/AP or its nominee to obtain the benefit of the IP; including, should UHI/AP decide, to secure patent or other appropriate forms of protection for it throughout the world.
3. UHI/AP shall have the sole discretion over decisions as to patenting or exploitation of such intellectual property.



4. I hereby irrevocably appoint the Director/Deputy Director/Company Secretary of my employer institution to be my attorney in my name. On my behalf they will be able to execute, sign and prepare all such documents or other things and generally to use my name for the purpose of giving UHI/AP or its nominee the full benefit of the provisions of Clauses 1 to 4. As far as any third party is concerned, a written Certificate signed by the Director (or nominee) of UHI/AP shall be conclusive evidence that any document fall within the authority hereby conferred.
5. I understand that UHI/AP operates an incentive scheme to share the exploitation of IPR, details of which are available in the UHI and its Academic Partners Intellectual Property Policy.

Signed .....

Name in Capitals .....

Dated .....

Signed ..... For UHI/AP

Position .....

Name in Capitals .....

Dated .....

## **ANNEX 4 – Intellectual Property Disclosure Form**

### **Intellectual Property Disclosure Form**

**Highly Confidential  
Intellectual Property Disclosure**

**IP Abstract**

--

**Date Submitted** .....

**Originator Details**

<b>Originator Status</b>	<b>Name</b>	<b>IP Ownership, %</b>
<b>Lead Originator</b>		
<b>Other Originator</b>		
<b>Other Originator</b>		
<b>Other Originator</b>		
<b>Other Party</b>		
<b>Other Party</b>		

**SECTION 1 – General**

**1.1** Is the IP a new product, process, software, machine, or composition of matter?  
Please specify type.

--

**1.2** List the possible applications of this IP.

--

**1.3** List the novel or unused features of this IP.

--

**1.4** Describe any further work you feel needs to be undertaken to bring your IP to a point where a commercial entity would be interested? Approximately how much would this cost and how long would it take?

--

**SECTION 2 – IP Description**

**2.1** Provide a detailed description of the IP including any important key words.  
The description must contain sufficient detail so that one skilled in the art could reproduce the IP artefact.

--

**4.5** Give details of the availability of any models or demonstrations of the technology

**SECTION 5 – Joint Originators**

**5.1** List any joint inventors or collaborators from outside your employer institution. Include the institution, company or organisation of the joint originator(s).

**5.2** Do you have any employment contracts external to your employer institution, if so with whom?

**SECTION 6 – Commercial and Conflicts of Interest**

**6.1** List any companies which have expressed interest or may be interested in licensing the IP for further development or sale. Include company name, address, telephone number and contact person.

**6.2** Are you a shareholder, officer, director or consultant of any companies named in the previous question?

**6.3** Do you have any support or considerations outside your employer institution other than the named funding body?

**3.3** List any non-SAMS resources including Material Transfer Agreements (MTA's) and any facilities used in the development. Include time period and extent of use.

**SECTION 4 – Disclosures**

**4.1** Have any disclosures of this technology been made to date?

**4.2** List the first date of conception, place, and corroborating person or records.

**4.3** Please give the date of the first disclosure – written or oral.

**4.4** Please give the details of the first disclosure, place, form and corroborating person or records.

**Perth College UHI**

Paper No. 6

<b>Committee</b>	F&GP
<b>Subject</b>	April 2021 Management Book
<b>Date of Committee meeting</b>	24/05/2021
<b>Author</b>	Iain Wishart
<b>Date paper prepared</b>	17/05/2021
<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 present first 9 months financial performance</li> <li>ii) Impact – what are the intended outcomes: Information and discussion</li> <li>iii) Course of Action – what happens next &amp; by whom: Actions will be agreed (if any) in the meeting.</li> </ul>
<p><b>Consultation</b></p> <p>Please note which related parties, stakeholders and/or Committees have been consulted</p>	None
<b>Action requested</b>	<ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> For information</li> <li><input checked="" type="checkbox"/> For discussion</li> <li><input type="checkbox"/> For endorsement</li> <li><input type="checkbox"/> Strongly recommended for approval</li> <li><input type="checkbox"/> Recommended with guidance (please provide further information, below)</li> </ul>

## 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>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>No</p> <p>Click or tap here to enter text.</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>Presents our performance</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>Click or tap here to enter text.</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)

# Financial Review

April 2021



# Overview

## Headlines

- Q3 AOP is high due to 100% of additional SFC funding having been booked through April. This will not repeat and we have significant costs still to be charged in the final quarter including £300K catch up on professional service salaries, £400K of additional Estates, AST costs will increase in Q4 etc.

## Headlines

Services Non-Staff Costs include

- Unbudgeted £250K spend for digital poverty and
- £60K for COVID supplies and cleaning.
- £210K of insurance related costs (we have received £180K income to offset)

YTD furlough received by the college is £183K

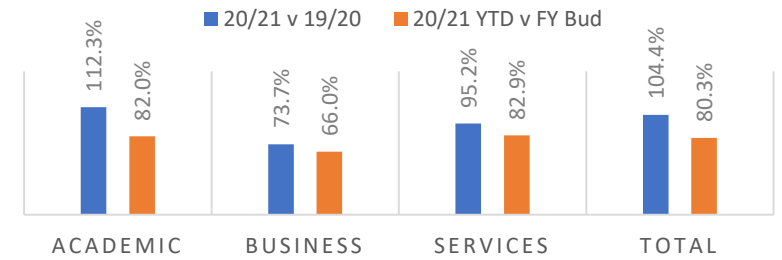
Apr YTD 20/21	Academic	Business	Services	Elimination	YTD Act	FY Budget	YTD Usage
Funding	12,045	0	680		12,726	16,347	77.8%
Tuition Fees	3,448	1,333	0		4,781	4,761	100.4%
Commercial	1,244	697	423	(75)	2,364	3,286	71.9%
Bursary/Hardship Funding	0	0	2,235		2,235	3,131	71.4%
<b>Total Income</b>	<b>16,737</b>	<b>2,030</b>	<b>3,338</b>	<b>(75)</b>	<b>22,105</b>	<b>27,525</b>	<b>80.3%</b>

Staff Costs	9,177	1,298	3,831		14,307	19,655	72.8%
% Income	54.8%	64.0%	17.3%		64.7%	71.4%	

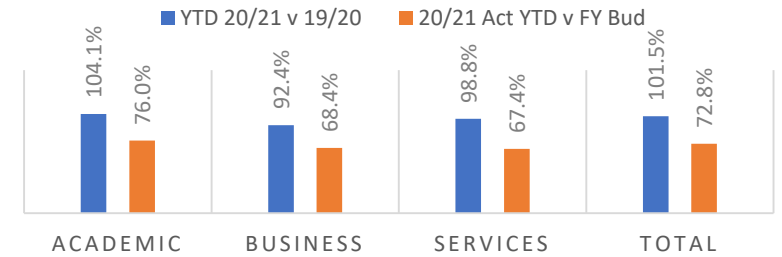
Non-Staff Costs	553	755	2,988	(75)	4,295	6,636	64.7%
Bursary/Hardship Funding	0	0	2,235		2,235	3,131	71.4%
% Income	3.3%	37.2%	156.4%		29.5%	35.5%	

<b>AOP Surplus/(Deficit)</b>	<b>7,007</b>	<b>(23)</b>	<b>(5,715)</b>	<b>0</b>	<b>1,269</b>	<b>(1,897)</b>	
% Income	41.9%	(1.2)%	(25.9)%		5.7%	(6.9)%	

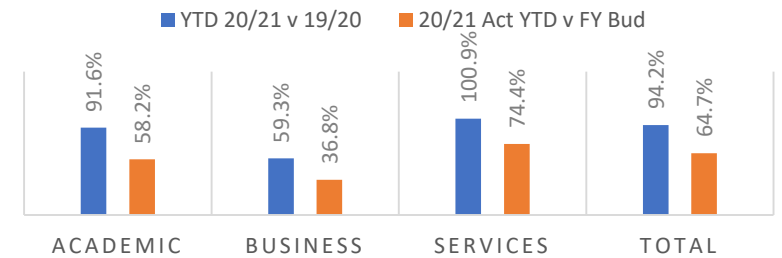
## INCOME



## STAFF COSTS



## NON-STAFF COSTS





# Academic

## Headlines

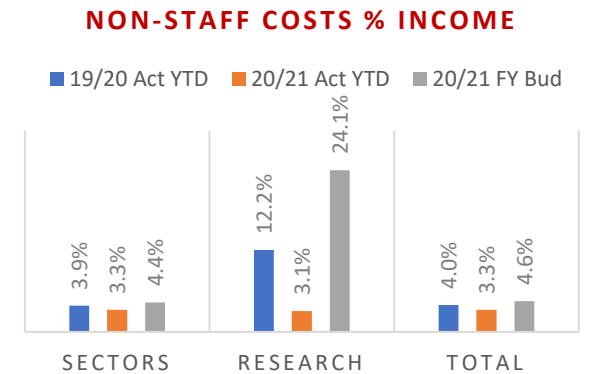
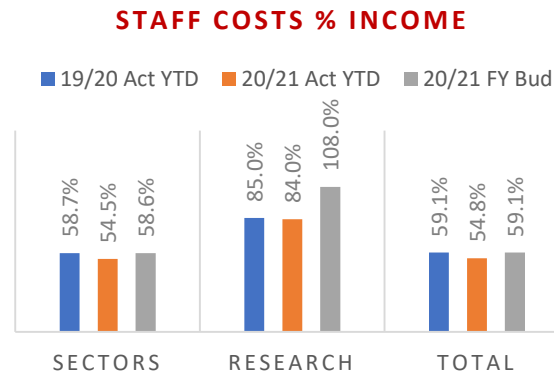
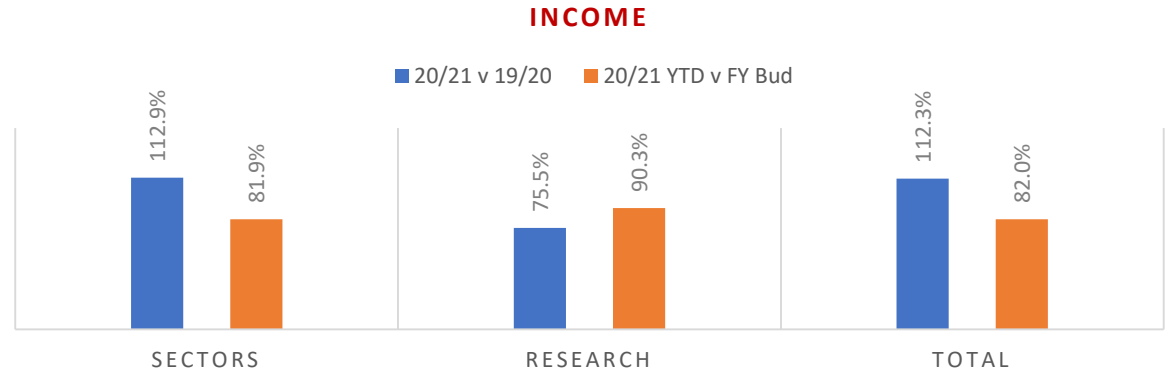
- AOP is high due to 100% of additional funding having been booked through April.
- Non-Staff costs are down on budget due to less travel, printing etc.
- Commercial income includes £698K of International Income.

Apr YTD 20/21	Research	YTD Act	FY Bud	YTD Usage
Funding		12,045.3	15,448.4	78.0%
Tuition Fees	51	3,448.2	3,034.0	113.7%
Commercial	139	1,243.6	1,936.9	64.2%
Bursary/Hardship Funding		0.0	0.0	
<b>Total Income</b>	<b>189.4</b>	<b>16,737.2</b>	<b>20,419.3</b>	<b>82.0%</b>

Staff Costs	159	9,177.3	12,070.7	76.0%
% Income	84.0%	54.8%	59.1%	

Non-Staff Costs	5.9	552.5	949.1	58.2%
% Income	3.1%	3.3%	4.6%	

<b>AOP Surplus/(Deficit)</b>	<b>24</b>	<b>7,007</b>	<b>7,399</b>	
% Income	12.9%	41.9%	36.2%	



# Business

## Headlines

- COVID impacting income across all our Businesses.
- AST strong through 9 months but will have additional staff costs in Q4 and the level of AOP is expected to drop.
- Residences income includes £26K of funding support from SFC.
- Furlough monies are included in ASW, £50K. The allocation of electricity etc has been removed from non-staff costs, reducing them by £66K.

Apr YTD 20/21	AST	Catering	Residences	ASW	Nursery	YTD Act	FY Budget	YTD Usage
Funding						0.0	0.0	
Tuition Fees	1,332.8					1,332.8	1,727.0	77.2%
Commercial	86.2	64.8	193.6	160.9	191.3	696.9	1,349.2	51.7%
Bursary/Hardship Funding						0.0	0.0	
<b>Total Income</b>	<b>1,419.0</b>	<b>64.8</b>	<b>193.6</b>	<b>160.9</b>	<b>191.3</b>	<b>2,029.7</b>	<b>3,076.2</b>	<b>66.0%</b>
Staff Costs	823.5		2.4	229.6	242.8	1,298.3	1,899.1	68.4%
% Income	58.0%	0.0%	1.2%	142.6%	126.9%	64.0%	61.7%	
Non-Staff Costs	240.1	190.0	185.2	131.1	8.4	754.8	2,049.1	36.8%
% Income	16.9%	293.1%	95.7%	81.4%	4.4%	37.2%	66.6%	
<b>AOP Surplus/(Deficit)</b>	<b>355.4</b>	<b>(125.2)</b>	<b>6.0</b>	<b>(199.7)</b>	<b>(59.9)</b>	<b>(23)</b>	<b>(872)</b>	
% Income	25.0%	(193.1)%	3.1%	(124.1)%	(31.3)%	(1.2)%	(28.3)%	

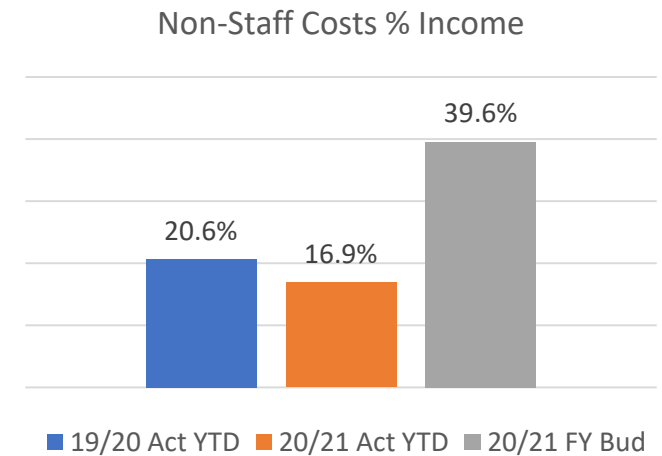
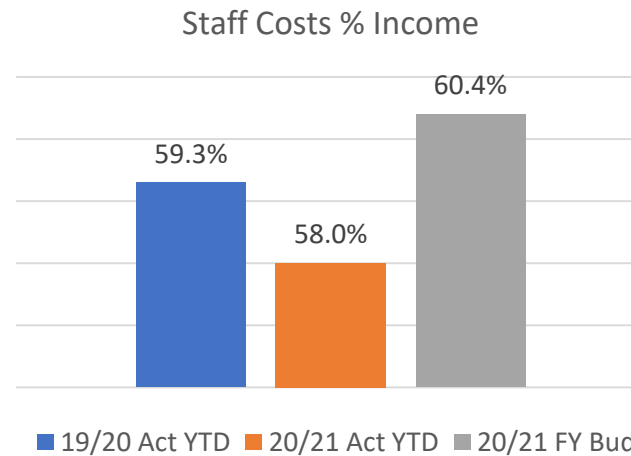
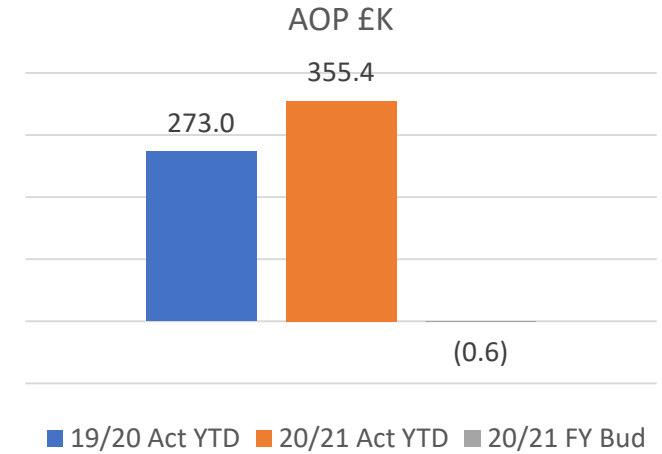
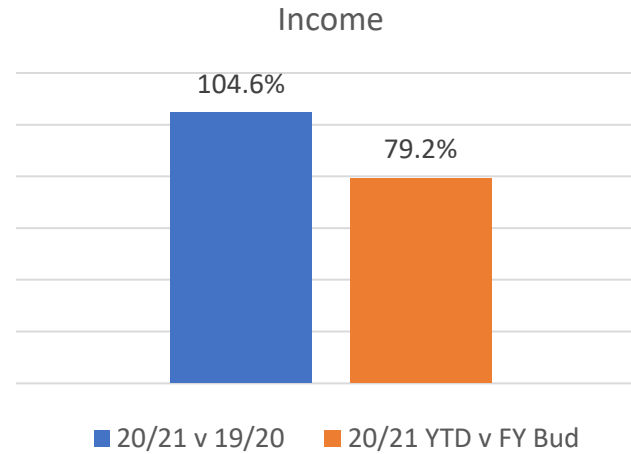
# Business - AST

Apr YTD 20/21	Act YTD	FY Budget
Funding	0.0	0.0
Tuition Fees	1,332.8	1,727.0
Commercial	86.2	65.4
Bursary/Hardship Funding	0.0	0.0
<b>Total Income</b>	<b>1,419.0</b>	<b>1,792.4</b>

Staff Costs	823.5	1,083.0
% Income	58.0%	60.4%

Non-Staff Costs	240.1	710.0
% Income	16.9%	39.6%

<b>AOP Surplus/(Deficit)</b>	<b>355.4</b>	<b>(0.6)</b>
% Income	25.0%	(0.0)%



# Business - Catering

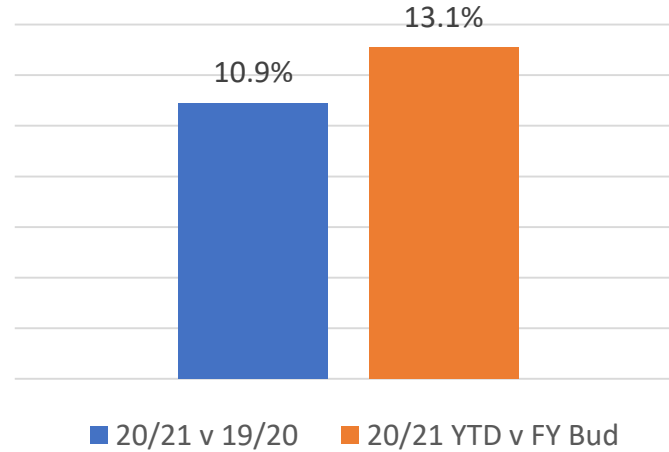
Apr YTD 20/21	Act YTD	FY Budget
Funding	0.0	0.0
Tuition Fees	0.0	0.0
Commercial	64.8	496.0
Bursary/Hardship Funding	0.0	0.0
<b>Total Income</b>	<b>64.8</b>	<b>496.0</b>

Staff Costs	0.0	0.0
% Income	0.0%	0.0%

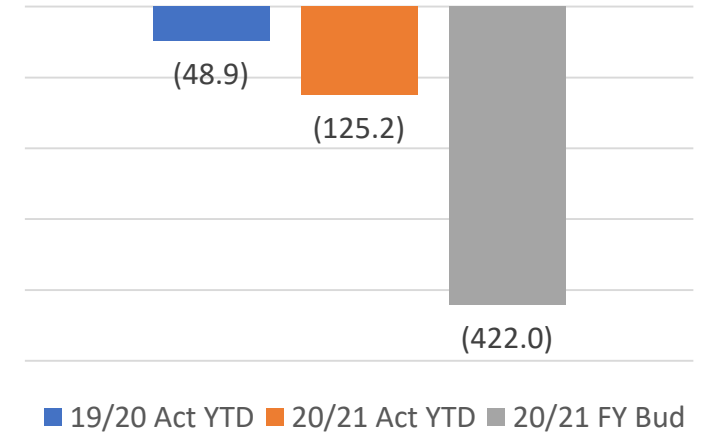
Non-Staff Costs	190.0	918.0
% Income	293.1%	185.1%

<b>AOP Surplus/(Deficit)</b>	<b>(125.2)</b>	<b>(422.0)</b>
% Income	(193.1)%	(85.1)%

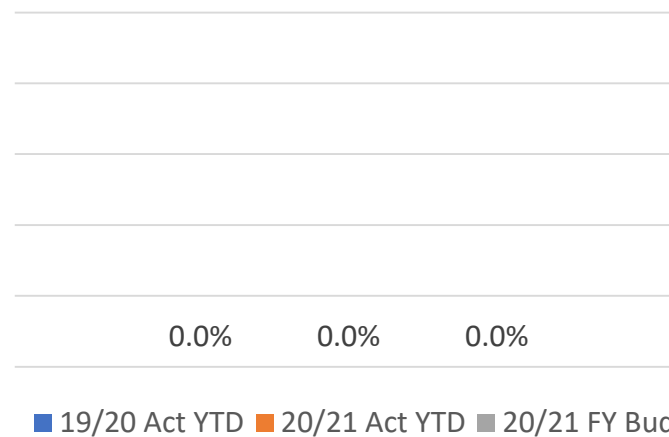
## Income



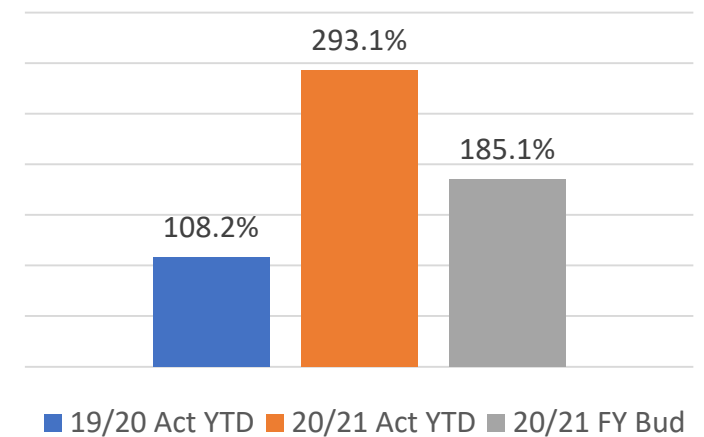
## AOP £K



## Staff Costs % Income



## Non-Staff Costs % Income



# Business - Residences

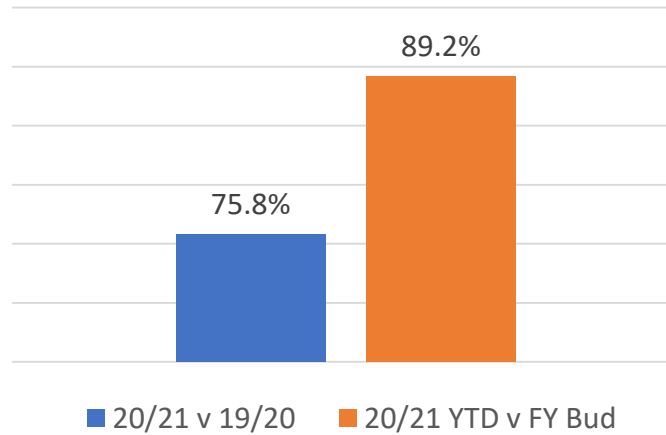
Apr YTD 20/21	Act YTD	FY Budget
Funding	0.0	0.0
Tuition Fees	0.0	0.0
Commercial	193.6	217.0
Bursary/Hardship Funding	0.0	0.0
<b>Total Income</b>	<b>193.6</b>	<b>217.0</b>

Staff Costs	2.4	0.0
% Income	1.2%	0.0%

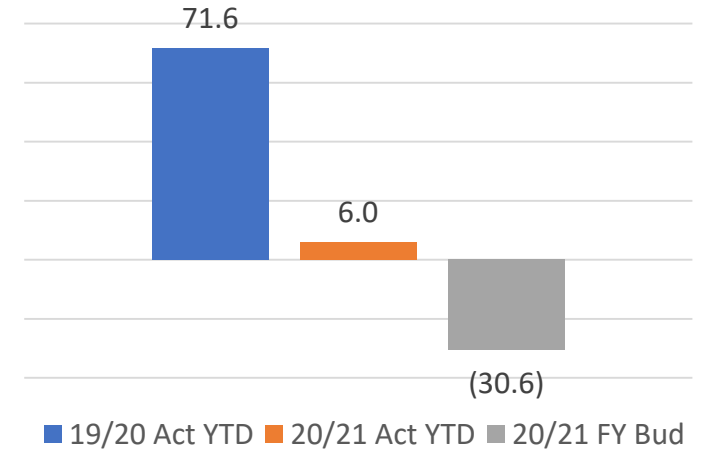
Non-Staff Costs	185.2	247.6
% Income	95.7%	114.1%

<b>AOP Surplus/(Deficit)</b>	<b>6.0</b>	<b>(30.6)</b>
% Income	3.1%	(14.1)%

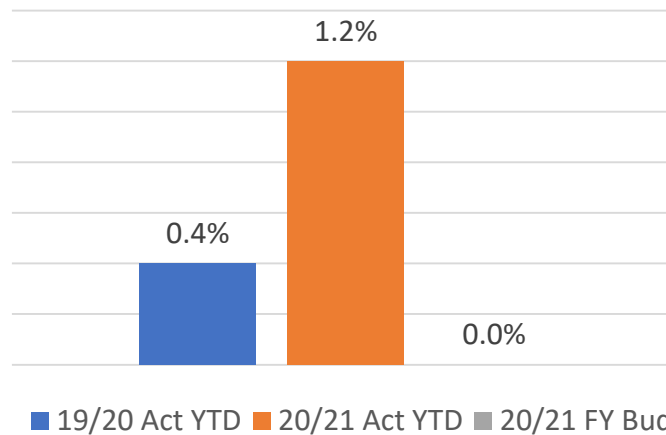
## Income



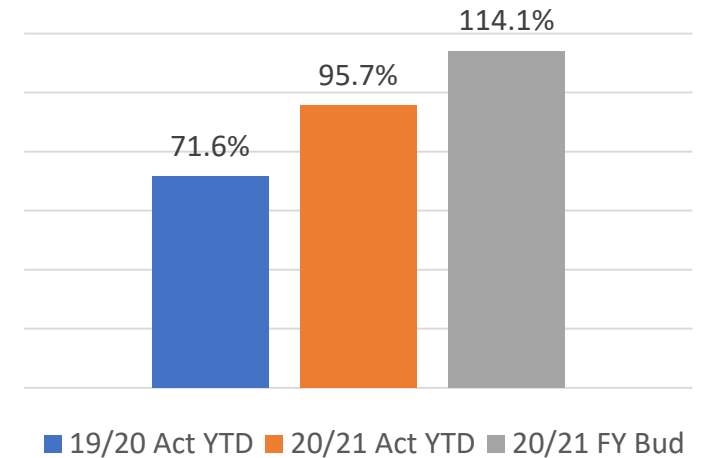
## AOP £K



## Staff Costs % Income



## Non-Staff Costs % Income



# Business - ASW

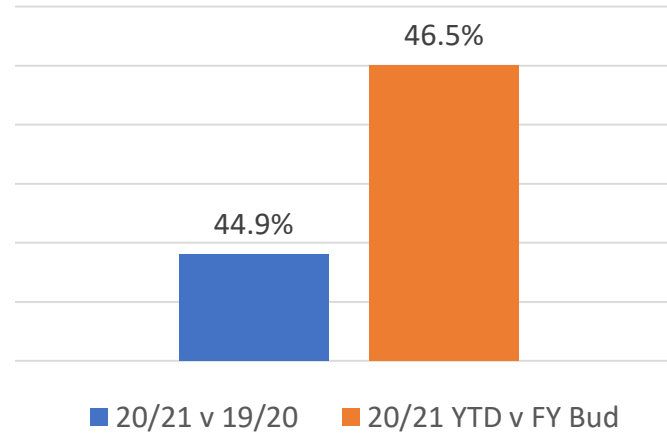
Apr YTD 20/21	Act YTD	FY Budget
Funding	0.0	0.0
Tuition Fees	0.0	0.0
Commercial	160.9	345.8
Bursary/Hardship Funding	0.0	0.0
<b>Total Income</b>	<b>160.9</b>	<b>345.8</b>

Staff Costs	229.6	425.0
% Income	142.6%	122.9%

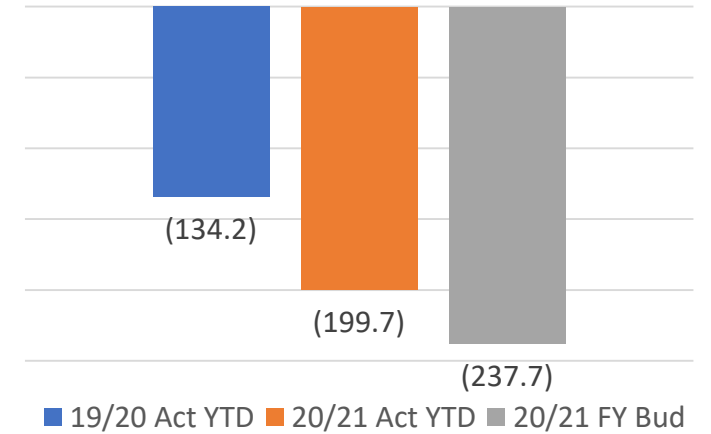
Non-Staff Costs	131.1	158.5
% Income	81.4%	45.8%

<b>AOP Surplus/(Deficit)</b>	<b>(199.7)</b>	<b>(237.7)</b>
% Income	(124.1)%	(68.7)%

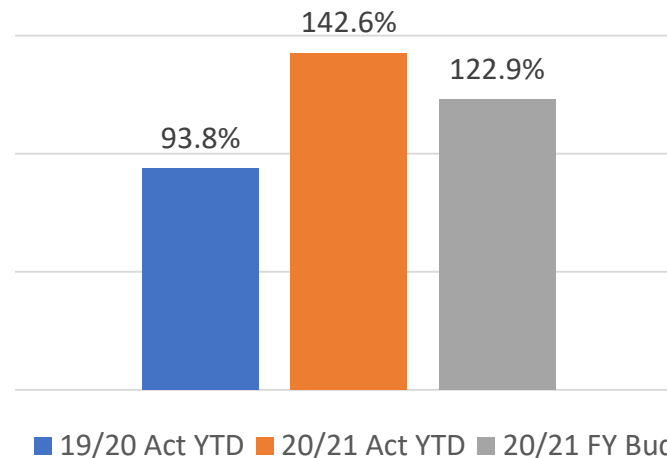
## Income



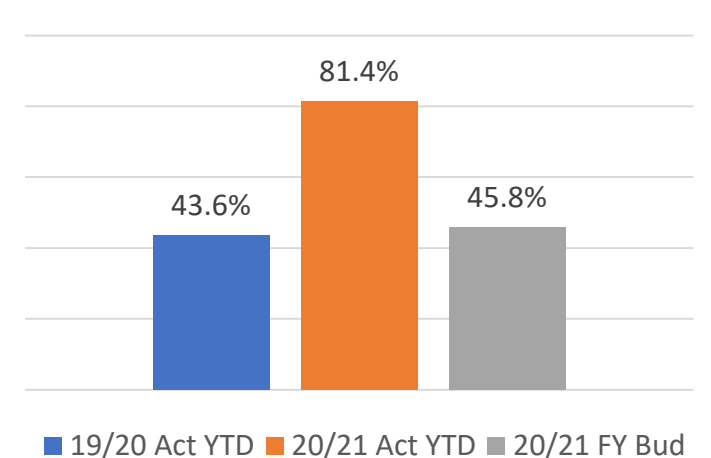
## AOP £K



## Staff Costs % Income



## Non-Staff Costs % Income



# Business - Nursery

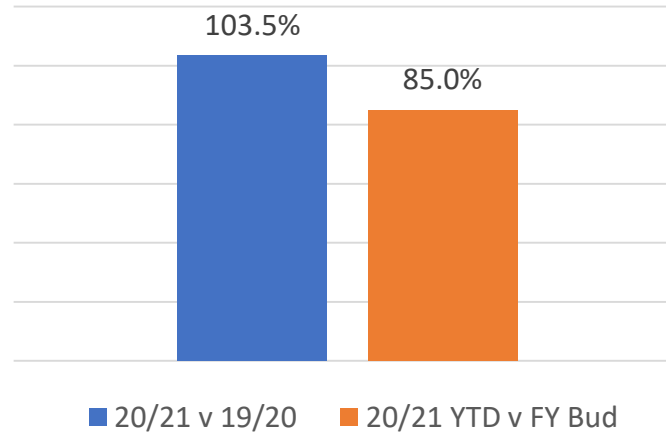
Apr YTD 20/21	Act YTD	FY Budget
Funding	0.0	0.0
Tuition Fees	0.0	0.0
Commercial	191.3	225.0
Bursary/Hardship Funding	0.0	0.0
<b>Total Income</b>	<b>191.3</b>	<b>225.0</b>

Staff Costs	242.8	391.1
% Income	126.9%	173.8%

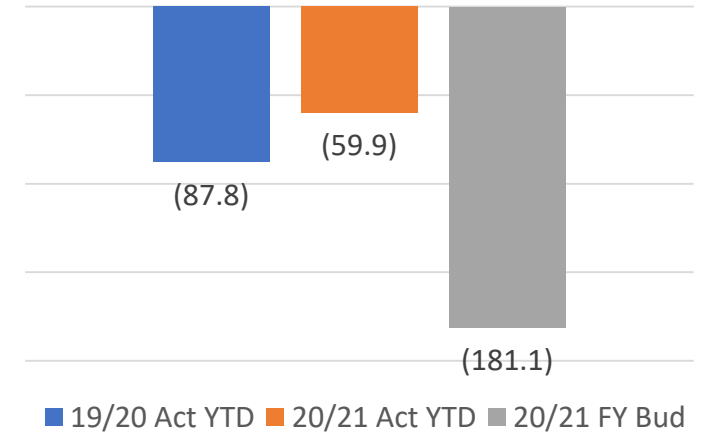
Non-Staff Costs	8.4	15.0
% Income	4.4%	6.7%

<b>AOP Surplus/(Deficit)</b>	<b>(59.9)</b>	<b>(181.1)</b>
% Income	(31.3)%	(80.5)%

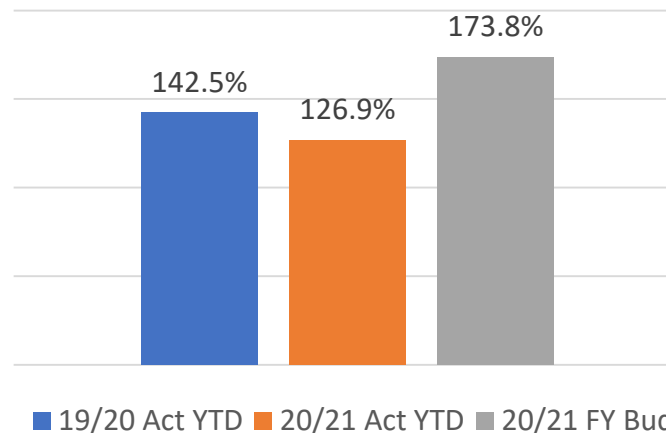
## Income



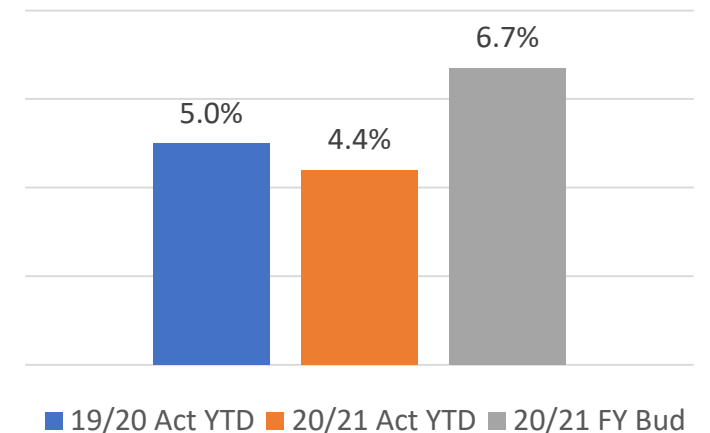
## AOP £K



## Staff Costs % Income



## Non-Staff Costs % Income



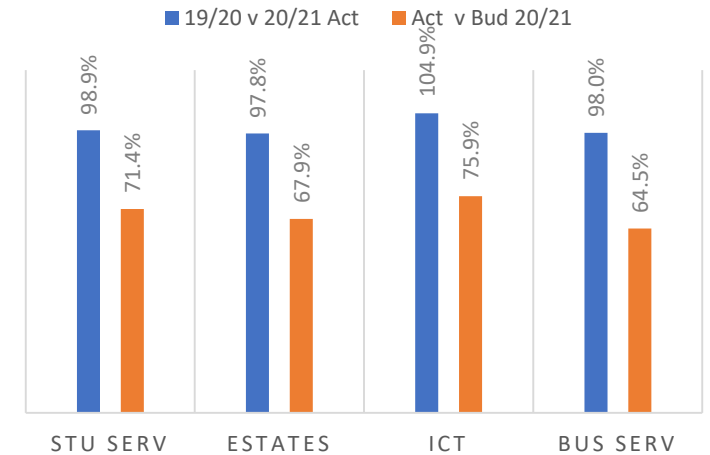
# Services

Apr YTD 20/21	Student Services	Estates	ICT	Business Services	YTD Act	FY Budget	YTD Usage
Funding		680.3		0.0	680.3	898.4	75.7%
Tuition Fees				0.0	0.0	0.0	
Commercial	65.1	243.5		114.9	423.5	0.0	
Bursary/Hardship Funding	2,234.7				2,234.7	3,130.8	71.4%
<b>Total Income</b>	<b>2,300</b>	<b>923.8</b>	<b>0</b>	<b>115</b>	<b>3,338</b>	<b>4,029</b>	<b>82.9%</b>
Staff Costs	866.6	576.4	338.3	2,049.8	3,831.1	5,685.1	67.4%
% Income	3.9%	2.6%	1.5%	9.3%	17.3%	20.7%	
Non-Staff Costs	192.0	1,353.4	650.2	792.2	2,987.8	3,638.1	82.1%
Bursary/Hardship Funding	2,234.7				2,234.7	3,130.8	71.4%
% Income	0.9%	6.1%	2.9%	3.6%	13.5%	90.3%	
<b>AOP Surplus/(Deficit)</b>	<b>(993.6)</b>	<b>(1,006.0)</b>	<b>(988.5)</b>	<b>(2,727.2)</b>	<b>(5,715.2)</b>	<b>(8,424.8)</b>	
% Income	(4.5)%	(4.6)%	(4.5)%	(12.3)%	(25.9)%	(209.1)%	

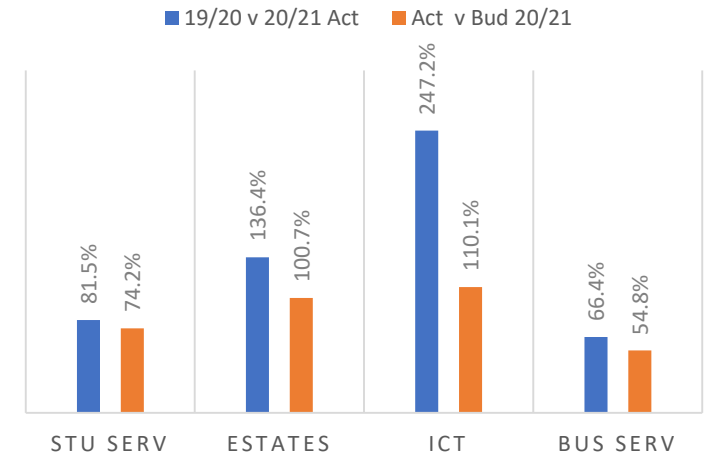
## Headlines

- Actual ICT non-staff includes £250K unbudgeted spend on digital poverty.
- 20/21 actual Estates non-staff spend includes the following unbudgeted spend: £210K for insurance related incidents (we have received £180K of income), £60K on PPE and £120K on COVID related alterations to campus (we have been fully funded for this).

## STAFF COSTS



## NON-STAFF COSTS





# Cash Flow

Month Closing Cash Balance

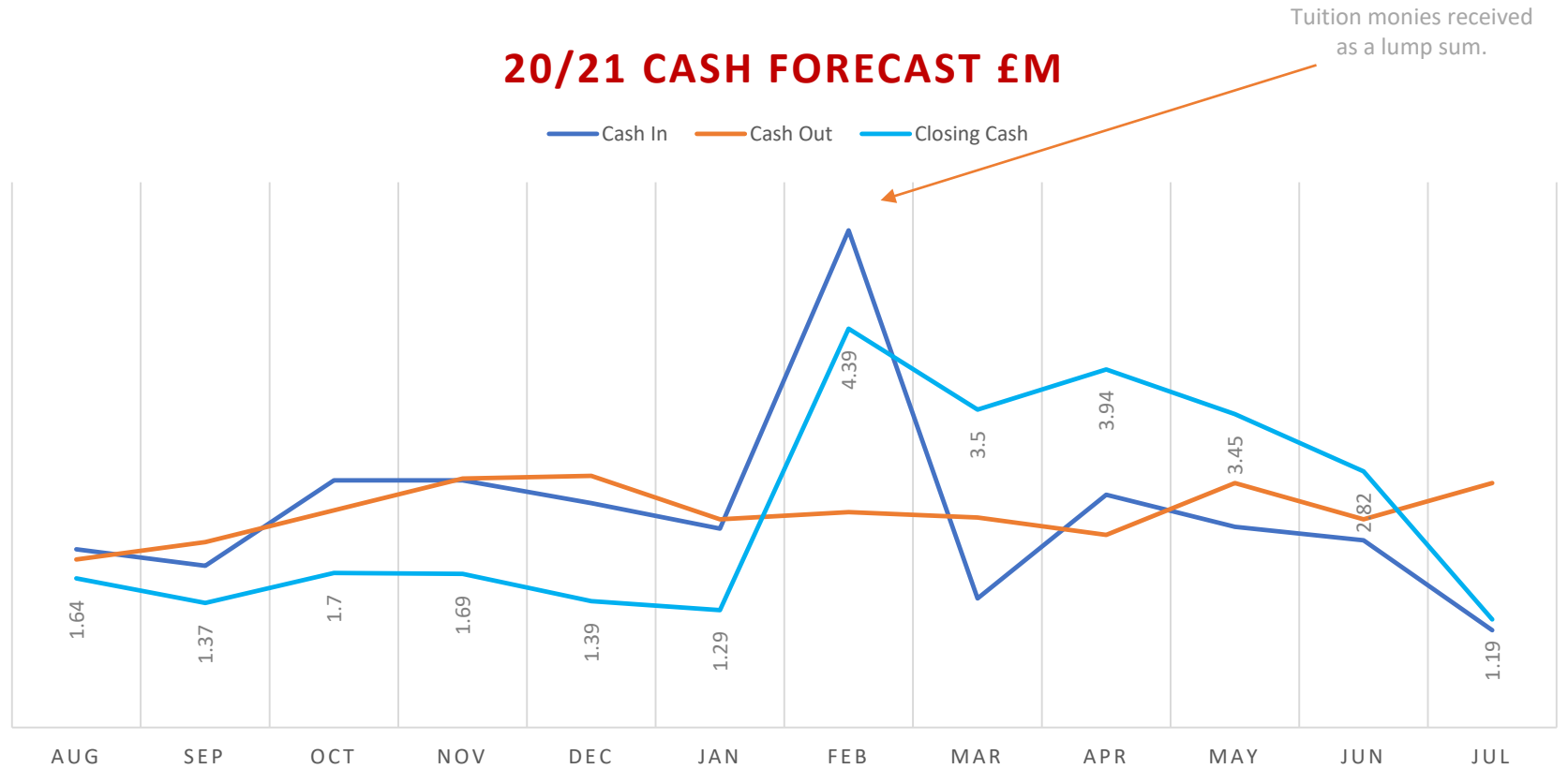


3 Month Avg Cash Usage



FY Projected Closing Cash

## 20/21 CASH FORECAST £M



This is a cash flow forecast which will change as information changes. If we were in a situation where we would run out of cash by the end of the year then EO would provide an advance which would be repaid over four to five months.

## Perth College UHI

Paper No.7

<b>Committee</b>	F&GP
<b>Subject</b>	21/22 Budget
<b>Date of Committee meeting</b>	24/05/2021
<b>Author</b>	Iain Wishart
<b>Date paper prepared</b>	17/05/2021
<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 present and discuss the first draft of the 21/22 budget.</li> <li>ii) Impact – what are the intended outcomes: Get agreement on the income and AOP target.</li> <li>iii) Course of Action – what happens next &amp; by whom: Present to the Board of Management</li> </ul>
<p><b>Consultation</b></p> <p>Please note which related parties, stakeholders and/or Committees have been consulted</p>	SMT, UHI
<b>Action requested</b>	<p><input type="checkbox"/> For information</p> <p><input checked="" type="checkbox"/> For discussion</p> <p><input checked="" 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, the budget reflects the use of resources through 21/22</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, the budget sets assumptions that may not translate into actual results.</p> <p>Click or tap here to enter text.</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>Aligns with Financial Sustainability</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>Click or tap here to enter text.</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.

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<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)

# Budget 21/22

First Pass Overview & Recommendations

May 2021



# Overview

The easing of restrictions related to COVID 19 and the continuing vaccination roll out should mean that the college can move to a new phase for the start of academic year 21/22.

Colleges Scotland has indicated that planning assumptions for 21/22 should be based on physical distancing of 1m which would allow most colleges to reach 75% of campus capacity.

At the time of writing we have not had official income numbers for 21/22 from UHI.

It is recommended that the college takes actions in 21/22 to achieve a breakeven AOP and secure near term sustainability.



# Forecast 20/21

	Forecast 20/21	Budget 20/21	Variance
Income	26,046.6	24,394.5	1,652.0
Bursary	2,362.4	3,130.8	(768.3)
<b>Total</b>	<b>28,409.0</b>	<b>27,525.3</b>	<b>883.7</b>
Staff Cost	19,654.8	19,654.8	0.0
% income	0.8	0.7	
Non-Staff Cost	6,391.8	6,619.5	227.7
% income	0.2	0.3	
Bursary	2,362.4	3,130.8	768.3
<b>AOP</b>	<b>(0.0)</b>	<b>(1,879.8)</b>	<b>(112.3)</b>

The attached forecast shows that there is now a possibility of achieving a breakeven position in 20/21. However, there is still uncertainty over the exact levels of commercial income over the remainder of the year.

## Income

In 20/21 “business income” is forecast to be down £(822)K on budget and skills development” down £(298)K on budget. These shortfalls are forecast to be offset by a number of income streams;

- Increased funding from SFC £1.3M
- Furlough monies £330K
- Sale of Kinross £123K
- Higher tuition income than budgeted £623K
- Higher international income than budgeted £151K
- Insurance income £186K

## Non-Staff Costs

Lockdown measures have resulted in lower spending on areas such as travel, less printing, less utility costs, lower canteen costs etc. There has also been areas of additional spend around issues related to insurance claims, PPE and COVID adjustments related to the estate.

# Projecting 21/22 – Income

Income sets the spend limit required to achieve a breakeven AOP. Funded income makes up 68.5% of our total income. The final grant values are issued by UHI (which they have not done at the time of writing).

The FE recurrent grant for UHI is set to grow by 5.2% in 21/22 (7.3% if you include Foundation Apprenticeships which will be funded through FE recurrent grant from 21/22). UHI have been asked to increase their FE student numbers in 21/22 and that increase is passed through to the colleges including Perth. While Perth would accept the growth challenge in FE student numbers, on paper, our current applications are showing a reduction in numbers on 20/21. For this reason we are projecting zero growth in income on our FE recurrent grant. If we simply used the 5.2% increase above this would add almost half a million to income and then if we missed the increased challenge this money could be “clawed back” leaving a significant hole in our actual v budget results.

Our HE numbers are looking strong and after a preliminary discussion with UHI we have increased our expected funding by 2%.

Estates funding from the SFC is set to drop by 6%.

	Forecast	Budget	Chg
Funded Income £	20/21	21/22	
FE Recurrent Grant	8,830,628	8,830,628	0
HE Main Recurrent Grant	6,804,147	6,918,251	114,104
Total Estates	898,388	844,485	(53,903)
Total Tuition	3,662,067	3,662,067	0



# Projecting 21/22 – Income

There is an expectation at government level that there will be a significant growth in skills development demand in 21/22 and that colleges will play a critical role in meeting this demand.

We are projecting a conservative 4% increase in the skills development arena. Drivers include:

- We believe that employers may cut back on apprenticeships in 21/22.
- There are uncertainties around including demand, and lecturer availability. Our number is based on being able to source “associate trainers” as we don’t have the capacity or in some areas the specialist expertise in-house to meet the expected demand.

Skills Development Income £	Forecast 20/21	Budget 21/22	Chg
FWDF	0	174,000	174,000
Modern Apprenticeships	53,019	119,138	66,119
Foundation Apprenticeships	275,834	165,500	(110,334)
Managing Agents	30,512	46,800	16,288
Skills Development	359,365	505,438	146,073

# Projecting 21/22 – Income

Moving to a new phase in 21/22 should result in a significant increase in business income.

## Catering

It is very difficult to estimate canteen income as we will have a new canteen provider and we are not sure what demand there will be and exactly how many staff and students will be on site.

## AST

At the time of writing this budget was not complete so we have used a placeholder at this time.

## Residences

At the time of writing we only have two apartments that have not been filled for next year so the increase in income should be achievable.

## ASW & Nursery

The easing of lockdown and the return of more students and staff should result in increased income in both these areas.

Business Income £	Forecast 20/21	Budget 21/22	Chg
AST	1,792,053	2,102,623	310,570
Catering	63,500	800,000	736,500
Residences	158,701	351,299	192,598
ASW & Climbing Centre	139,700	514,450	374,750
Nursery	99,656	217,487	117,831
<b>Total Business</b>	<b>2,253,610</b>	<b>3,985,859</b>	<b>1,732,249</b>

# Projecting 21/22 – Staff Cost

Projected 21/22 Staff Cost	
Forecast Staff Cost 20/21	19,654.8
VS	100.0
Savings in 21/22	200.0
	<hr/>
	19,354.8
2% Increase	387.1
	<hr/>
Projected 21/22 Staff Cost	19,741.9

The highest cost in the college is staff cost. If we were able to maintain a flat headcount then, in theory, we would arrive at the projected staff costs for 21/22 as set out on the left.....

The forecast staff cost for 20/21 is £19.65M. This includes the cost of VS so we should back this cost out when projecting 21/22. The VS should deliver staff savings of £200K in 21/22. So with a flat headcount and no salary increase our staff costs could be £19.35M. When a salary increase of 2% is added then the projected staff cost for 21/22 is £19.74M.

# Projected Budget 21/22

	Forecast 20/21	Budget 20/21	Variance	Projected Bud 21/22
Income	26,046.6	24,394.5	1,652.0	26,380.3
Bursary	2,362.4	3,130.8	(768.3)	3,130.8
<b>Total</b>	<b>28,409.0</b>	<b>27,525.3</b>	<b>883.7</b>	<b>29,511.1</b>
Staff Cost	19,654.8	19,654.8	0.0	19,741.9
% income	0.8	0.7		0.7
Non-Staff Cost	6,391.8	6,619.5	227.7	6,619.5
% income	0.2	0.3		0.3
Bursary	2,362.4	3,130.8	768.3	3,130.8
<b>AOP</b>	<b>(0.0)</b>	<b>(1,879.8)</b>	<b>(112.3)</b>	<b>18.9</b>

The prior slides projected the significant income categories and staff costs for 21/22. Assuming that we increase non-staff costs to the level of the 20/21 budget then we could achieve an AOP close to a breakeven in 21/22.

# Budget 21/22 – First Pass Roll Up

	Forecast 20/21	Budget 20/21	Variance	Projected Bud 21/22	Roll Up Bud 21/22	Roll Up v Projected
Income	26,046.6	24,394.5	1,652.0	26,380.3	26,380.3	
Bursary	2,362.4	3,130.8	(768.3)	3,130.8	3,130.8	
<b>Total</b>	<b>28,409.0</b>	<b>27,525.3</b>	<b>883.7</b>	<b>29,511.1</b>	<b>29,511.1</b>	<b>0.0</b>
Staff Cost	19,654.8	19,654.8	0.0	19,741.9	21,008.4	(1,266.5)
% income	0.8	0.7		0.7	0.8	
Non-Staff Cost	6,391.8	6,619.5	227.7	6,619.5	7,428.7	(809.2)
% income	0.2	0.3		0.3	0.3	
Bursary	2,362.4	3,130.8	768.3	3,130.8	3,130.8	0.0
<b>AOP</b>	<b>(0.0)</b>	<b>(1,879.8)</b>	<b>(112.3)</b>	<b>18.9</b>	<b>(2,056.8)</b>	<b>(2,075.7)</b>

The first pass roll up of the budget requested higher costs.

## Staff Cost

23 additional heads were requested in the first roll up of the budget. At a fully loaded average cost of £45K this would account for over £1M. We also asked staff to include TQFE in 21/22 as this did not go ahead in 20/21. The first roll up included 19 staff on TQFE, their time has to be backfilled which adds cost.

## Non Staff Cost

At the time of writing finance are still working with departments to try to eliminate “double dips” and errors. One key area where we believe there is double counting is ICT. Once this initial review has taken place then meetings will be held with the SMT to establish final department budgets.

# Summary

The recommendation of the SMT is to establish a budget that delivers a breakeven AOP in 21/22.

We would seek approval from the Board to use, as a base, the conservative income values we have presented.

The SMT can then review and refine budget submissions to establish the size of any remaining deficit and develop actions accordingly to deliver a breakeven AOP.



## 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>	17/05/2021
<b>Executive summary of the paper</b>	<p>Update on the recent and future activities within the Estates department.</p> <p>Paper also includes outline option proposals for the Estates Strategy for consideration by Committee.</p>
<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 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)
<b>Resource implications</b> Does this activity/proposal require the use of College resources to implement? If yes, please provide details.	No

## Perth College UHI

<p><b>Risk implications</b></p> <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>No</p> <p>Click or tap here to enter text.</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? 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? If yes, please give details:</p>	<p>No</p> <p>Click or tap here to enter text.</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"/>

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and

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## **Estates Update May 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.

Since the student and staff numbers have increased on campus, there has been no spike in positive Covid cases. However, we will not get complacent and will continue to ensure all preventative measures remain in place and that all staff and students continue to adhere to the guidelines and protocols we have on campus.

### **Condition Survey**

The condition survey has been reviewed and thankfully there were no real surprises. Due to underinvestment over the years in addressing planned and cyclical maintenance, there is an extensive list of backlog maintenance that we knew would be highlighted. However, this is explained further in an appendix to this update.

### **Estates Strategy**

We are continuing to work with APUC on an appointment to take forward the Estates Strategy. There is a framework available, however once we agree what our strategy should be based on, we will be able to decide on the suitability of those on the framework. As explained above, there is an appendix to this update outlining matters.

### **Aviation Academy**

As reported in the previous update to Committee, the feasibility study was presented to SMT on 23<sup>rd</sup> February. To move to the next stage of the project, RIBA Stage 2, the costs are in the region of £130K and this includes carrying out site investigation works to determine ground conditions and any potential impact, exploring the planning status/likelihood, develop the design in greater detail, etc. Progressing to the next stage has not yet been approved due to other factors out with the construction element of the project.

It is worth keeping a note 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 now 100% complete and we are awaiting one final payment from our insurers.

## **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. The table below, shows the contracts we have recently awarded:

**Table 1**

<b>Contract</b>	<b>Status</b>	<b>Comments</b>
Flooring	Awarded	Westend Flooring awarded 2 year plus 2 x 1 year extension options on 17/03/2021
Plumbing works	Awarded	Chas Stewart Plumbing awarded 2 year plus 2 x 1 year extension options on 01/04/2021
Lift Maintenance and Servicing	Awarded	Consult Lifts awarded 2 year plus 2 x 1 year extension options on 31/03/2021

As reported in the previous update for committee, our current catering provider, Sodexo, have informed the college that they will not be re-tendering for the contract when it expires at the end of June.

The college are currently working with APUC on the tender for this contract. There have been various site visits by interested parties with tenders due to be returned by

## **Academy of Sport and Wellbeing**

We have rectified the flooring issues at the ASW as far as we know by carrying out remedial works to the concrete floors and taken appropriate measures to reduce the risk of defects appearing again. We will, however, continue to monitor all areas.

## **Caretaker Vacancy**

We recently advertised for the Caretaking vacancy we have on a 6 month temporary contract. The response we received, and the quality of the responses was quite poor. We believe the short-term temporary nature of the role advertised was a contributing factor and therefore we are currently reviewing our Caretaking needs and will re-advertise as soon as we can.

## 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 any other legislative maintenance. All relevant risk assessments have been completed to include adherence with Scottish Government guidance on Covid-19.

**Joiners Workshop** – The new access door and metal staircase from the Joinery workshop to the old sports hall is complete.

**Summer Works** – The table below provides a summary of works we had hoped to carry out over the summer, however, due to increased spending over the course of the year, we may not have the funds within the 2020/21 budget to do everything.

Once the 2021/22 budget has been agreed, we will review our programme and adjust accordingly

**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**

## **Condition Survey**

As you are aware, we had a full condition survey carried out recently by Faithful and Gould Consultants.

The survey reports we have received have assured us that the buildings on campus are structurally sound and safe however, what the survey has highlighted is that we have extensive backlog maintenance, which spreading the cost over the next 15 years, amounts to around £16 million.

This backlog maintenance is because of underinvestment over the years and given the financial climate we now live in and the costs of the Covid pandemic that will be felt for years to come, it is highly unlikely we will catch up on this backlog.

The big-ticket items within the condition survey are:

- Roof replacements - £1 million
- Electrical upgrades - £1 million
- Intruder alarm upgrade - £400,000
- New lifts -£250,000
- Heating and air conditioning - £500,000
- Services (Sanitary, Ventilation, water, etc.) - £2 million

(Please note that these are indicative costs only)

The highlighted items within the condition survey, will only bring the campus buildings up to current standard and does not include any refurbishments or modernisation of the campus.

We will, however, include addressing the backlog maintenance in any refurbishments, where possible.

This is just a small overview of the condition survey and this requires further in-depth discussions on how we move forward and address the backlog maintenance.

**Kevin Lynch**  
**Head of Estates**

## **Proposed Estates Strategy**

As you are aware, the creation of an Estates Strategy was approved at a previous F&GP meeting. We have started to progress this by working with APUC on appointing a consultant to achieve this however, it is quite a specialist field with each strategy being unique.

To assist us in producing an effective Estates Strategy, it is imperative that we explore the options available to us and ensure that a robust strategy brief is given to the consultant.

For that matter, let us explore these options:

### **Option 1 – Basic Limited Budget**

We currently receive an annual budget to spend on improving the Campus, with this money being ringfenced to be spent on Estates only. The usual process to produce a programme of works would be to use our local and historical knowledge of the campus to inform us of what works were required. We would also compile a list of Estates requests, submitted via departmental operational plans, we would assess what is required to meet our legislative obligations then we would decide from there what works were to be done. However, we now have a detailed condition survey which advises of works required and a recommendation of when these works should be carried out. So with the basic limited budget we have each year, we could commit to carrying out 2 big projects each year, £200-£300K in value, over a 5 year period which would enhance and modernise the facilities.

### **Option 2 – A New Central Hub**

For as long as the College has been around, there has always been an issue over the steep incline from the car park and up the main drive, which at times causes issues for visitors with disabilities. We have in the past, explored the possibility of 'Z' shaped paths from the car park to the Brahan entrance but the costs and lack of benefit to the college deemed this unviable. To potentially work around this issue, the construction of a new central hub, built into the steep embankment at the car park level and built on to the Brahan entrance, may help. This hub would have a level access at ground level, have lifts/escalators from the ground level up to the top floor of the Brahan. You could also have some if not all, commercial activity (restaurant, Hair and Beauty, conference rooms, etc.) located on the ground floor which would provide easier access for all and may increase income for the college.

### **Option 3 – Campus Extension and Refurbishment**

The current buildings, which are structurally sound, look dated and tired and major refurbishment is another option we should explore. Obviously, we would need to apply for funding to achieve this but it could be done in phases over 3-5 years, but you would be looking at a cost of around £3/£4 million pounds per year and this would produce a modern, future proofed, fit for purpose campus. Alongside major refurbishment, we could look at expanding the campus. We do have a considerable amount of land around which could be used to build additional buildings however another option could be to take over Goodlyburn Primary School. With the amount of new schools and community campuses being built around Perth, now could be a

good time to approach P&KC. Should this option be a possibility, we could either refurbish the existing building or demolish and build new on the land.

#### **Option 4 – Town Centre Presence**

A few years ago, under the previous SMT/Board, P&KC had informed the college that they had empty buildings in the town centre available for use. The college looked at these buildings but decided against taking the council up on their offer. It is common knowledge that P&KC are looking for options to regenerate the town centre and one of these options could be for the college to have a town centre presence, which could have a positive impact in relation to regeneration. Due to the decline with the town centre, there are several large buildings available and should the council be willing to support this option, there may be regeneration funding available which may make this a viable option.

#### **Option 5 – New Campus**

Being provided with funding for a brand-new campus, is probably the 'Holy Grail' of options for all colleges. Obviously, this would require considerable funding from the Scottish Government and would involve demolishing the existing buildings and building a new state of the art campus that would be future proofed for years to come. This is most likely the most ambitious option but given that other Colleges have been provided with funds to build new campuses, it should not be discounted.

Committee are asked to discuss these options and approve all or the preferred options to take the strategy forward.

**Kevin Lynch**  
**Head of Estates**

## Perth College UHI

Paper 9

<b>Committee</b>	Finance & General Purposes Committee
<b>Subject</b>	HR Update
<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>	14/05/2021
<b>Executive summary of the paper</b>	Update on key HR issues for the period to end of April 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

<p><b><u>Equality and diversity</u></b></p> <p>Yes/ No</p> <p>If yes, please give details:</p>	No
<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>	No
<p><b><u>Data Protection</u></b></p> <p>Does this activity/ proposal require a Data Protection Impact Assessment?</p>	No
<p><b>Status</b> (e.g. confidential/non confidential)</p>	Non-Confidential
<p><b>Freedom of information</b></p> <p>Can this paper be included in “open” business?*</p>	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.

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<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:** 14 May 2021

### **National Job Evaluation Scheme**

Colleges Scotland have recently published an update on the scheme which is below:

*We would firstly like to thank all the college support staff for bearing with us through what is a significant but also lengthy Job Evaluation project. Activity continues as planned and we hope you will find this update useful.*

*Data cleansing and gathering further clarity from staff within the sector has continued throughout, to ensure robust information is being used for the process, and we would like to thank college staff in working to get responses to queries back to us so quickly.*

*Following a final review at the beginning of the year with college HR departments on the definite list of roles to be evaluated, the project team identified a significant increase in the estimated number of roles which are required to be evaluated across the 21 colleges. We now have around **2,430** roles being taken through the first and second scoring process.*

*This latest development means that we are now anticipating early July 2021 for completion of the final scoring process. The project is moving at pace though and over **58%** of the roles have been through the final scoring process (both first and second scored) with **two** colleges fully complete and further **six** colleges are already nearly **90%** complete.*

*Work around pay and grading is also progressing at pace and is being taken forward alongside the evaluation process. The Pay Modelling Software being used for this area of work is supplied by Zellis (previously NorthgateArinso). Work is beginning now on this and we hope to be able to report further progress in late summer. The Appeals Stage though is estimated to conclude in 2022.*

*We have two key working groups (Job Evaluation Working Group and Pay Working Group) as part of the project which are responsible for directing and supporting the various areas of work. These groups, which have members from both the support staff and management sides, continue to hold meaningful dialogue on key activity around every 6 weeks.*

*Once again, our continued thanks go to the Role Analysts for their hard work and for remaining with us throughout the project.*

### **National Bargaining**

The Support Staff pay award has been agreed, effective from 1 September 2020 and implemented with the May 2021 payroll.

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

The upgraded HR system still is not working as fully expected, and matters continue to be raised with CIPHR.

### **Staff Survey**

The College Staff Survey has recently closed with approximately 50% of staff completing the survey. Results are expected to be delivered in June 2021.

### **Organisational Change Procedures**

The College has started one formal organisational change process, with others to follow.

## **Voluntary Severance**

The College has opened its second window for Voluntary Severance applications, with a closing date of the 28 May 2021.

## **Flexible Working/Home Working**

The College has invited staff to consider what would be their preference in terms of flexible working. This is to allow Heads of Department/SDD's to consider all requests at the same time to ensure that there is no or limited impact on the student experience. The current window closes on 21 May 2021 with decisions made during June 2021.

## **Equality and Diversity**

Following a period of consultation new Equality Objectives for the coming 4 years are now in place for the College, these being:

1. More learners than before are disclosing they are Care Experienced. These learners tend to have additional barriers which negatively impact attainment scores compared to their peers. We will work with the learners and other agencies to deliver interventions and support to narrow the attainment gap.
2. There is an increase in learners disclosing mental ill health. These learners tend to have additional barriers impacting their attainment score compared to their peers. We will work with the learners and other agencies to deliver interventions and support to narrow the attainment gap.
3. We recognise that there are gender imbalances across some areas of our curriculum, we will take active steps to promote accessibility of these programmes and challenge gender stereotyping.
4. We are committed to being an anti-racist organisation and will seek to eliminate racism in all of its forms throughout all parts of the College.
5. The College has a declining proportion of staff disclosing a disability in comparison with the local population. We will look to ensure that our policies, processes and practices are supportive of recruiting and retaining disabled staff. We will focus on hidden disabilities and wellbeing at work.

In addition the College has published its Gender Pay Gap report and Mainstreaming Equality, Equality Outcomes and Workforce and Students Profile Report both by their statutory deadlines. These can be viewed at [Policies, regulations and guidelines - Equality, Diversity and Inclusion \(uhi.ac.uk\)](#).

The Preventing Racism Working Group has met again and an action plan is now being developed.

## **Health, Safety and Wellbeing**

Updated terms of reference for the Health and Wellbeing Group for Students came to the last Health and Safety Committee and this group is now arranging to meet. The Health and Safety Committee reviewed the draft action plan related to the Stress Survey and made a few suggestions which went back to the Staff Health and Wellbeing Group for Staff to action. This is starting to be implemented.

## **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 15 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 - April)	
	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	1272	40%
Academic	852	3.46	548	64%
Total	4048.50	7.88	1820	45%

The cumulative sickness absence rates for the College for the period from 1 August 2020 to 30 April 2021 are shown above, if it is presumed that absence rates follow a linear correlation then we would expect total sickness absence to be 3036 days at this point and we are 1820. The College like the sector is seeing less absence this year with work related stress related illnesses only accounting for 46 days of absence. However, when you then include other absence related to mental health that absence rate increases to 21.5%.

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 – April 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	472	800
Academic	339	513	511	37
Total	1896.5	2152	983	837

The data above shows over 45% 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 April there were 3 members of staff on long term sickness absence in April 2021. None of these are linked to work related stress.

The College recognised Mental Health week this year (w/c 10 May 2021) and information was provided to staff each day on a different element of well-being. A similar approach was taken to student well-being.

## Organisational Development

The table below shows completion of a number of mandatory trainings that the College has in place. The Data Protection Module has been updated to reflect the UK leaving Europe. Managers have received regular updates on the staff training that is outstanding.

### Completed at

Course name	29/01/2020	18/05/2020	11/04/2021	17/05/2021
<b>Bribery Act v.1</b>	28%	78%	85%	85%
<b>Bullying and Harassment Part 1 v.1</b>	20%	74%	84%	85%
<b>Data Protection (GDPR) v.1</b>	32%	80%	85%	86%
<b>Diversity in the Workplace v.1</b>	18%	72%	84%	85%
<b>Health and Safety Part 1 v.1</b>	17%	65%	82%	82%
<b>Health and Safety Part 2 v.1</b>	18%	72%	84%	84%
<b>Safeguarding in FE Colleges v.1</b>	21%	74%	84%	84%
<b>Stress Management for All Staff v.1</b>	23%	74%	84%	84%

Whilst numbers may look fairly static, we are now seeing staff being required to redo their training (which they are required to do every 3 years), and so completions are being offset by staff requiring to do refreshers.

The table below shows the completion rates for Board members as of 21 May 2021

Course name	21/05/2021
Bribery Act v.1	73%
Bullying and Harassment Part 1 v.1	33%
Bullying and Harassment Part 2 v.1	17%
Data Protection (GDPR) v.1	67%
Diversity in the Workplace v.1	85%
Health and Safety Part 1 v.1	17%
Health and Safety Part 2 v.1	17%
Safeguarding in FE Colleges v.1	77%
Stress Management for All Staff v.1	38%

The College's review of our induction process is now underway

As previously highlighted a draft Professional Update/Professional Review and Development scheme which supports General Teaching Council Scotland (GTCS) registration is now in draft form and is going through consultation with a view to it being in place by the end of the academic year.

**Perth College UHI**

Paper No. 10

<b>Committee</b>	Finance & General Purposes Committee
<b>Subject</b>	Strategic Risk Register
<b>Date of Committee meeting</b>	24/05/2021
<b>Author</b>	Ian McCartney, Clerk to the Board of Management
<b>Date paper prepared</b>	17/05/2021
<b>Executive summary of the paper</b>	<p>This paper provides the 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> <ul style="list-style-type: none"> <li>i) Discuss the appropriateness of each Risk;</li> <li>ii) Review in particular the currency of the Action Plan;</li> <li>iii) 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 Committee remit</li> </ul> <p>Committee members are advised of changes to the undernoted Risk References following review of cyber security risks by UHI affecting local ICT departments: Risk 6, Risk 13, Risk 24.</p>
<p><b>Consultation</b></p> <p>Please note which related parties, stakeholders and/or Committees have been consulted</p>	<p>Board members and SMT have been consulted via discussions at sub-Committees during the current Board cycle.</p>
<b>Action requested</b>	<ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> For information</li> <li><input checked="" type="checkbox"/> For discussion</li> <li><input type="checkbox"/> For endorsement</li> <li><input type="checkbox"/> Strongly recommended for approval</li> <li><input type="checkbox"/> Recommended with guidance (please provide further information, below)</li> </ul>

## 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>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>Yes</p> <p>Without continual review of risk there exists the potential for strategic objectives to not be achieved.</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>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>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</p>	<p>No</p> <p>If yes, please give details:</p> <p>Click or tap here to enter text.</p>



## Perth College UHI

(including other island communities)?	
<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.

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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.](#)

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[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/ digital platforms to support 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>Digital/ cloud-based services inadequate for curriculum and professional needs.</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 and BYOD for students</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 consolidation</li> <li>Staff training sessions ongoing throughout February available on demand</li> <li>VC Application change to Webex and MS 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 transitioning from desktop renewal to RAM upgrade and staff laptop allocation.</li> </ul>	9	↔	<ul style="list-style-type: none"> <li>Rigorous approach to timetabling and utilisation of rooms.</li> <li>ICT Budget and replacement influenced by curriculum needs.</li> <li>Commission tender process for integrated Finance/Payroll/ HR system</li> <li>Migration of online training to Webex MS Teams/ Sharepoint/ OneDrive</li> <li>ICT Strategy Group to develop ICT Strategy</li> <li>Updated ICT Asset Register</li> <li>Implement Common UHI Information Security Framework Policy</li> <li>Implement agreed priorities from College Sector Digital Ambition</li> </ul>	<ul style="list-style-type: none"> <li>Depute Principal Academic</li> <li>ICT Manager</li> <li>Vice Principal</li> <li>Associate Principal</li> <li>Vice Principal</li> <li>ICT Manager</li> <li>Vice Principal</li> <li>Vice Principal</li> </ul>	<ul style="list-style-type: none"> <li>Ongoing</li> <li>Ongoing</li> <li>June 2021 June 2022</li> <li>Dec 2020</li> <li>July 2021</li> <li>July 2021</li> <li>September 2021</li> <li>July September 2021</li> </ul>

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
7	Active	Developing staff to successfully deliver our Vision.  UHI Common Risk	<b>(Senior) staffing levels</b>  Disruption to services/projects and/or partnership working resulting from loss of a key staff member.  <b>F&amp;GP</b>	<ul style="list-style-type: none"> <li>Poor performance management of competence issues.</li> <li>Fast pace of curriculum development.</li> <li>Excessive demand on CPD.</li> <li>Lack of staff capability.</li> <li>Poor workforce planning.</li> <li>Affordability/cost of staff</li> </ul>	<ul style="list-style-type: none"> <li>Inability to compete.</li> <li>Loss of business and reputation.</li> <li>Potential requirement to buy in specialist staff</li> <li>High staff turnover.</li> <li>Poor staff satisfaction.</li> </ul>	Principal	3	3	9	<ul style="list-style-type: none"> <li>CPD reports to SMT re progress against CPD targets for professional reviews, mandatory training etc</li> <li>Prioritise an appropriate level of CPD investment linked to financial sustainability.</li> <li>Assessment Action Plan in place and monitored</li> <li>Maintain Healthy Working Lives accreditation</li> <li>Succession Planning</li> <li>Minimisation of single-person dependencies</li> <li>Cross training</li> <li>Recruitment of Director of Finance provides additional resilience on SMT</li> </ul>	4  (2,2)	↔	<ul style="list-style-type: none"> <li>Improve completion levels for Mandatory Training</li> <li>Conduct Staff Survey</li> </ul>	<ul style="list-style-type: none"> <li>Head of HR &amp; OD</li> <li>Principal/ Head of HR &amp; OD</li> </ul>	<ul style="list-style-type: none"> <li>Dec 2020</li> <li>April 2021</li> </ul>
9*	Active	Working in partnership to meet the needs of our local economy and beyond.  Developing a successful and sustainable organisation.	<b>Growth opportunities</b>  Missing viable opportunities for development and growth  <b>F&amp;GP</b>	<ul style="list-style-type: none"> <li>Insufficient research.</li> <li>Lack of horizon scanning.</li> <li>Lack of ability to invest in opportunities.</li> <li>Insufficient planning.</li> <li>Being too risk averse.</li> <li>Failing to develop at the required pace.</li> <li>Funding allocations</li> <li>Resource limitations</li> <li>Changes to ESIF Funding.</li> </ul>	<ul style="list-style-type: none"> <li>Loss of share of potential market/earnings.</li> <li>Loss of reputation.</li> <li>Miss the market.</li> <li>Stagnation of product offering.</li> <li>Missed opportunities for staff.</li> <li>Missed opportunities for students.</li> <li>Funding criteria changes.</li> </ul>	Depute Principal Academic/ Vice Principal External/ Associate Principal	4	4	16	<ul style="list-style-type: none"> <li>Effective new product development processes/reviews.</li> <li>Clear review of product development processes / communication International and Home.</li> <li>Collaborative UHI Partnership process in place.</li> <li>Scanning and planning cycles and process communicated.</li> <li>Collecting staff ideas by their involvement.</li> <li>Encouraging a staff culture of enterprising behaviour.</li> <li>Legislative change mapping for new courses.</li> <li>Tayside RSA + H &amp; I RSA to be used as baseline intelligence.</li> <li>Flexibility in approval Cycle and proportionate responses.</li> <li>Liaison with UHI re ESIF and LUPS.</li> <li>Monitor and review international opportunities and costs.</li> <li>International Strategy.</li> <li>Continuous collaboration with Learner Journey Strategic Group re school/college curriculum to achieve objectives re apprenticeships &amp; employability</li> <li>Contracting of Associates to overcome shortage of lecturing staff</li> </ul>	16  (4,4)	↔	<ul style="list-style-type: none"> <li>Curriculum Review FE and HE - completed</li> <li>Target international developments towards such areas where product is requested, e.g... Business Degrees</li> <li>Schools Strategic Group to plan curriculum 2018-19 onwards</li> <li>DYW Strategy Group implementation (Associate Principal on group, no longer separate SDS group)</li> <li>PPF UHI Curriculum Plan</li> </ul>	<ul style="list-style-type: none"> <li>Associate Principal</li> <li>Vice Principal External</li> <li>Finance Director</li> </ul>	<ul style="list-style-type: none"> <li>Ongoing</li> <li>Dec 2020</li> <li>Jan 2020</li> </ul>

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	
			<p><u>Tay Cities Deal:</u> Delay in final deal due to General Election leads to issues re: funding and market value</p> <p>Funds withdrawn elsewhere may result in rationalisation of local project</p>		<p><u>Tay Cities Deal:</u> • Loss of capital funding • Loss of opportunity for developments</p>					<p><u>Tay Cities Deal:</u> Proposal passed by Board: 5-year Plan = £320k new revenue (net of allowances for costs)</p>				<p><u>Tay Cities Deal</u> • maintain dialogue with strategic partners</p> <p>Final OBC submitted for approval</p> <p>Financial plan to ensure sustainability of AAS including levering of £1.2m donor contributions</p>	<p>Vice Principal External</p> <p>Vice Principal External</p>	<p>Ongoing</p> <p>Feb 2021</p> <p>Ongoing</p>
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>	<p>SMT</p> <p>Vice Principal</p> <p>SMT</p>	<p>Ongoing</p> <p>June 2021</p> <p>Ongoing</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	CURRENT ACTION PLAN		
													Actions to minimise risk TO DO	Action Owner	Completion Date
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>
15*	Active	<p>Developing a successful and sustainable organisation.</p> <p>UHI Common Risk</p>	<p><b>Internal controls</b></p> <p>Internal controls do not exist or are not effective in preventing a significant issue/event.</p> <p><b>F&amp;GP</b></p>	<p>No ERM strategy in place.</p> <p>Existing controls not tested regularly.</p> <p>Risk not identified, therefore controls not in place.</p> <p>Staff have not been trained in risk identification and control development.</p> <p><b>COVID-19</b></p>	<p>Significant events occur where no controls are in place.</p> <p>Significant events occur where controls are in place.</p> <p><b>Financial impact of reduced student numbers, delayed Consultation process, commercial income, etc</b></p> <p><b>Additional COVID-related costs (IT, PPE, etc)</b></p>	Director of Finance	3	5	15	<p>Number of relevant policies in place.</p> <p>Regular Internal Audit programs.</p> <p>Annual External Audit.</p>	15	↔	Design an ERM strategy and implement a system of control e.g. SOX 404 or ISO31000	Director of Finance	Dec 2021

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
18	Active	Developing a successful and sustainable organisation.	<p><b>Brexit</b></p> <p>Implication of outcome of EU Referendum</p> <p>Leading to:</p> <p>Loss of EU Funding.</p> <p>Decrease in overseas (EU) students.</p> <p>Loss of EU national staff.</p> <p><b>F&amp;GP</b></p>	<ul style="list-style-type: none"> <li>Lack of numbers.</li> <li>Students wishing to study within EU</li> <li>Economic and fiscal uncertainty over EU exit.</li> <li>Staff uncertainty</li> </ul>	<ul style="list-style-type: none"> <li>Reduced numbers of students/staff</li> <li>Loss of commercial potential.</li> <li>Loss of EU funding</li> <li>Withdrawal of EASA accreditation for pre-Brexit AST qualifications</li> </ul>	Principal	5	4	20	<ul style="list-style-type: none"> <li>Keep up to date with info flow.</li> <li>Lobby through Colleges Scotland and Universities Scotland to increase funding to compensate.</li> <li>Understanding the status of EU residents.</li> <li>Use next two years productively as planning.</li> <li>Look at opportunities, e.g. Increased fees.</li> <li>Scottish Government Extension of free tuition for EU students</li> <li>Trend analysis for student targets</li> <li>AST lobbying appropriate bodies within UK/EU to seek legislative change</li> </ul>	15  (5,3)	↔	<ul style="list-style-type: none"> <li>Scottish Government looking to protect Erasmus + programme</li> </ul>		Ongoing
24	Active	UHI Common Risk	<p><b>Data protection</b></p> <p>Institutional, personal and sensitive data is corrupted, lost, stolen or misused or services are disrupted through malicious and illegal activities by external individuals or bodies.</p> <p><b>F&amp;GP</b></p>	<p>Poor IT security measures.</p> <p>Equipment with security holes.</p> <p>Poor patching regime. Anti-virus is not up-to-date/comprehensive.</p> <p>Firewalls are configured incorrectly.</p> <p>Coordinated DDOS attack on university infrastructure.</p> <p>Increasing number of security alerts.</p> <p>DDOS attacks on UK academic institutions up to 527 in 2015 - Janet CSIRT.</p> <p>Increase in cyber-attacks such as ransomware reported in national media.</p>	<p>Information Commissioner fine of up to £500k.</p> <p>Adverse press coverage. Loss of confidence by regulators, stakeholders and HE sector.</p> <p>Ransomware encryption has been detected on UHI network.</p>	Principal	3	4	12	<ul style="list-style-type: none"> <li>Firewalls and filters updated regularly.</li> <li>Anti-virus software on all corporate devices.</li> <li>UHI protocols applied and adhered to.</li> <li>Passwords changed regularly.</li> <li>Dual authentication processes rolled out</li> </ul>	12  (3,4)	↔	<ul style="list-style-type: none"> <li>Monitoring of UHI wireless network hardware and process</li> <li>Review Work From Home practices around remote access of sensitive data</li> <li>Review protocols re back-up systems utilised to identify at-risk non-Cloud systems following cyber incident</li> <li>Embed data and information security within all job roles</li> </ul>	ICT Manager  ICT Manager  ICT Manager  SMT	Ongoing  Aug 2021  April 2021  December 2021

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
25	Active	Developing a successful and sustainable organisation	<b>Commercial subsidiary</b> Financial failure of commercial subsidiary  <b>F&amp;GP</b>	Deterioration in economic viability of subsidiary  <b>COVID-19</b>	<b>Poor outlook due to worldwide collapse in aviation market</b>	Vice Principal External	4	5	20	<ul style="list-style-type: none"> <li>• AST management structure reviewed.</li> <li>• Policies identified</li> <li>• Best practice adhered to</li> <li>• College Governance applied.</li> <li>• Advice given to AST Management Team</li> <li>• General Manager appointed</li> <li>• Going Concern work prioritised leading to increased focus on cash management &amp; projections</li> <li>• Job Retention Scheme/Salary Holidays/Rent Reduction to reduce costs while not trading</li> <li>• Growth Plan agreed</li> </ul>	20  (4,5)	↔	<ul style="list-style-type: none"> <li>• 2020/21 Business Plan reviewed once return dates are confirmed</li> </ul>	Vice Principal External	Dec 2020
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
5 - Almost Certain	More than likely – the event is anticipated to occur	>80%
4- Likely	Fairly likely – the event will probably occur	61-80%
3 - Possible	Possible – the event is expected to occur at some time	31-60%
2 - Unlikely	Unlikely – the event could occur at some time	10-30%
1 - Very Rare	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)
5 - Catastrophic	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>
4 - Major	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>
3 - Significant	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>
2 - Minor	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>
1 - Insignificant	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>	F&GP
<b>Subject</b>	JNC Meetings Feb/March 2021 - Chair's Summary
<b>Date of Committee meeting</b>	24/05/2021
<b>Author</b>	Katy Lees, Head of HR & Organisational Development
<b>Date paper prepared</b>	17/05/2021
<b>Executive summary of the paper</b>	<p><b>JNC – Support – 4 March 2021</b></p> <ul style="list-style-type: none"> <li>• Finance Update</li> <li>• Collaboration between SRUC and UHI</li> <li>• UHI blueprint</li> <li>• Sickness statistics</li> <li>• Staff Survey update</li> <li>• National Bargaining Update</li> <li>• Health and Wellbeing Group Update</li> <li>• COVID-19 update</li> <li>• Work redistribution from redundant roles</li> <li>• Weekly staff communications</li> </ul> <p><b>JNC – Academic – 4 March 2021</b></p> <ul style="list-style-type: none"> <li>• Minutes unavailable due to cyber incident</li> </ul> <p><b>JNC – Joint (6 meetings – up to 6 May 2021)</b></p> <ul style="list-style-type: none"> <li>• <b>18 February 2021</b> Update on the budget and income generation. MC to request savings ideas from staff</li> <li>• <b>8 March 2021</b> Discussion around cyber incident and way forward</li> <li>• <b>15 March 2021</b> Payroll update due to Cyber incident agreement to pay advances</li> </ul>

## Perth College UHI

	<ul style="list-style-type: none"> <li>• <b>2 April 2021</b> Review of proposed staff survey questions</li> <li>• <b>21 April 2021</b> Review of proposed staff deemed essential to return to campus Review of approved circular on support staff pay award, re 2% pay award, tea breaks, first aiders and one days unconsolidated annual leave.</li> <li>• <b>6 May 2021</b> Budget update, Implementation of Lateral Flow testing distribution at the College, reopening Voluntary severance, flexible working/home working window for applications, Academic staff return to campus dates, Associate Trainer process, Tea Breaks</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>
<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>

## Perth College UHI

<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>Yes/ No</p> <p>If yes, please give details:</p>	<p><del>Yes/No</del></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/ No</del></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><del>Yes/No</del></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><del>Yes/No</del></p>

## Perth College UHI

\* 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

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### JNC : Support Staff

Paper 1

Note of Meeting held on Thursday 4 March 2021  
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
3.	<p><b>Finance Update</b></p> <p>WF to send the SG letter of 16 February to CSW, to circulate it to JNC members.</p> <p><i>Addendum: The letter was circulated immediately after the JNC meeting had finished.</i></p>	Winston Flynn, Carolyn Sweeney-Wilson	Immediately
16.	<p><b>AOCB</b></p> <p><u>Weekly Staff Communication</u> KFL to add an agenda item to the Staff Engagement Group on staff communications and feedback to the next JNC for Support Staff on the results.</p>	Katy Lees	29/03/2021

## Summary of Action Items

Ref	Action	Responsibility	Timeline

## Minutes

Item	ACTION
<p><b>1. Welcome and Apologies</b></p> <p>KFL welcomed everyone to the JNC for Support Staff meeting.</p> <p>Apologies were noted.</p>	
<p><b>2. Minutes of the last Meeting</b></p> <p>The minutes of the JNC for Support Staff meeting held on 10 December 2020, having been circulated, were approved as an accurate reflection of the discussions that had taken place.</p>	
<p><b>3. Finance – update</b></p> <p>IW gave an update on the first 6 months financials and provided information on the figures.</p> <p>In particular, he advised that the deficit for the first 6 months was just over £200K.</p> <p>IW gave additional information on income, staff costs, non-staff costs and the bursary hardship spend. IW noted that the College does not have an income, as a commercial business would, in that it has to draw down the money.</p> <p>Staff costs, compared to the full year budget, were running about 48% of spend. However, the National Bargaining costs for the Professional Services staff were not yet included in this figure and it was likely, therefore, that these costs would eventually come in around the budgeted figure.</p> <p>Non-staff costs were about 48% of the full year budget, which IW felt was positive, particularly considering the digital poverty costs were included.</p> <p>Less money was required to be spent on travel and equipment and materials, so some savings were being made in these areas.</p>	



Item		ACTION
	<p>On the Food Court costs, this was lower than budget, even though it was costing the College money. The figure was running at 48% of the full year budget.</p> <p>Extrapolating this to the full year income, which had been budgeted at approximately £27.5m, but was more likely to come in at approximately £26.2, which would be a shortfall of £1.3m. This was mainly driven by losing commercial funding, plus the loss in funding, for example, from FWDF etc.</p> <p>Non staff costs could come in about £1m below budget. Some benefit was being seen at the moment from savings in utility costs, due to the campus not being as active. However, IW said he would need to clarify with the Head of Estates if this was likely to be a permanent saving for the year, or if there was any catch-up to come.</p> <p>The budgeted operating position for the year was for a loss of £1.8m. However, there was currently the potential for the final position to be approximately £1.3-£1.4m for the year. However, this situation was fluid and this figure only provided a snapshot in time. For example, the figures IW had provided today had been calculated before IW was aware Furlough was to be extended.</p> <p>JE queried if the College was subsidising Sodexo for the Food Court service – did the contract make money overall. IW said that the College subsidised staff and students, not necessarily Sodexo. JE said the contract with Sodexo had been due for renewal and queried if this had gone out to tender, or would it be better to be brought in-house. MC said that the College had all but finished the tender process last year but, due to COVID, this had been halted. The Scottish Government (SG) then gave permission for everyone to roll forward their contracts. However, the College was currently in the process of re-tendering for this work. In terms of bringing it in-house, this was not something the College could afford to do as the costs were too high.</p> <p>In reference to the College income from the SG/SFC, MC advised that the College had not lost out as the SFC had paid out for the College's target numbers, even though this target had not been met due to COVID. SFC said Colleges would not suffer any detriment due to COVID and had paid on the basis of the target numbers.</p> <p>WF referred to the SG letter, of 16 February, to Colleges indicating there would be £40m for the sector to help with costs and queried when it was likely the College would receive some of this money. JNC members were not sure which letter WF was referring to and WF said he would arrange for the letter to be circulated.</p> <p><b>Action:</b> WF to send the SG letter of 16 February to CSW, to circulate it to JNC members.</p>	<p><b>WF, CSW</b></p>

Item	ACTION
<p><u>Letter re Collaboration between UHI and SRUC</u></p> <p>MC referred to a letter from the UHI Principal and Vice-Chancellor sent this morning (4 March) in respect of work between UHI and SRUC. Behind the scenes work on this collaboration had been taking place for some time and, as the letter noted, the significance of this work had been recognised by the Scottish Funding Council Phase 1 Report which highlighted the similarity between the two institutions as an opportunity for an "integrated tertiary model for Scotland's natural economy and rural areas".</p> <p>Further, consultants had now been appointed to begin work on the project. MC noted, however, that the collaboration was with UHI, not the individual partners. Only yesterday, at the Partnership Council meeting, partner Principals were informed that this letter would be circulated today. Principals debated as to what the collaboration would look like as the two institutions were already collaborating in some areas.</p> <p>JE queried the make-up and balance of the independent assurance group, as it appeared not to be gender balanced and there was no union or student representation. JE said this did not adhere to the SG's fair work agenda work. TUs had already done a great deal of gender work in the rural economy and JE felt it was disappointing that UHI were not following the SG's agenda in this area.</p> <p>MC agreed the unions had done a lot of work on gender in the rural economy and said that there had been a passing remark made at the meeting yesterday, that UHI did have regular meetings with TUs. MC was surprised to hear this, as UHI had previously stated they did not recognise unions, and asked for clarification on who it was that they met with. It was confirmed that UHI met six-monthly with UCU, EIS, Unison and GMB.</p> <p>MC agreed that the make-up of this panel did appear to be fairly random. Also, MC mentioned her concerns that there appeared to be an emphasis that this project was to be 'non-metropolitan', although that wording had not made it into the letter. The report from the consultants was due to be submitted May/June time to Court and it would not be until then that people would know what this collaboration would look like.</p> <p>JE said there seemed to be a lack of understanding of the wider 'green' aspects going on in Scotland. There was a big push towards building capacity for people to grow their own food in urban areas and shared community spaces, where people could come together, so to suggest this kind of rural agenda might only be strictly, traditionally, for rural areas would be really short sighted. MC said TUs would be aware that under SFC guidelines Perth College was</p>	

Item		ACTION
	<p>no longer entitled to Rurality Funding, as the College was not deemed to be rural.</p> <p>MC said she had wanted to have a conversation with TUs about this since the letter had been circulated this morning. She said she would keep union Reps up-to-date when further information became available.</p> <p><u>UHI Blueprint - £20m Savings</u> MC advised that the UHI Blueprint, which was the report on how savings of £20m could be made across the partnership, would be submitted to Court in a couple of weeks. The report discussed savings in very general terms and mentioned various options, including Shared Services, but there was no discussion about a reduction in the Top Slice. There was nothing in the report that provided concrete proposals.</p> <p>There followed a wide-ranging discussion involving all JNC members about UHI and EO and their lack of effort to make savings and the implications for the student experience and of Perth having to make such a large contribution to the Top Slice.</p>	
4.	<p><b>Review of Actions / Matters arising not included elsewhere on the Agenda</b></p> <p>None.</p>	
5.	<p><b>HR Statistics &amp; Updates</b></p> <p>KFL referred to her circulated paper which detailed sickness statistics for the year to-date.</p> <p>KFL said that she would normally expect to see higher numbers of sickness absence than reported. However, there was a similar situation across the sector. What was being seen was a high level of presenteeism and there was a level of anxiety as to what would happen next year as the statistics were likely to show the longer term impact of COVID.</p> <p>Of the 5 long term sickness absences in January, 2 had now returned to work and none of the absences related to work related stress.</p> <p>JE agreed with KFL's comments regarding concerns for the potential longer term impact of COVID on absences.</p> <p>KFL advised that HR were experiencing some challenges with CIPHR which was hampering the team's ability to provide appropriate reporting on many things, among then the long term sickness absence. KFL said she was not happy about some of the</p>	

Item		ACTION
	<p>CIPHR issues with the basic reporting elements and this was impacting on the team's ability to provide sickness reporting and they were having to carry out a great deal of manual reporting. Unfortunately, therefore, the long term sickness absence review would be delayed.</p> <p>KFL said she had relayed her unhappiness about the upgrade to CIPHR and also made them aware that the College would not reconsider them at contract renewal time in 2022, if things did not improve.</p> <p>There was a further discussion about the College not being able to afford to move to another system at this time. It was noted UHI had a system - TECH1. However, KFL said this was mainly a finance system and, having seen a demonstration, it did not have a good HR module.</p> <p>If the system was causing so much concern and meant HR staff were carrying out manual functions, JE queried how staff would know their pay and holidays were being calculated and recorded correctly. How would staff know that the triggers for sickness absence were going to be accurate. KFL said that there was enough checks in the system that there was no issue with regard to pay. In regard to the holiday calculations, CIPHR was not recording them correctly, but KFL said she had reporting in place so she could tell when it was incorrect, but she did not want to make adjustments to the system at this time, as she wanted the system to do this so HR could pick up where anything was incorrect.</p> <p>KFL said she was having a test system built for HR, so that they could do tests for themselves in terms of additional checking of the system - this was being driven by HR.</p> <p>KFL said she was expecting all the CIPHR issues to be resolved by the end of March otherwise she would be taking the matter further. In terms of the triggers for long term sickness, KFL said she was also keeping an excel spreadsheet on this because of a lack of trust in the system.</p> <p>JE queried if everyone's holiday was being miscalculated. KFL said it affected full time staff. JE thought that a communication should be sent to staff about this issue and KFL advised that managers had been informed. JE said that staff should know that that their holiday and pay were not being calculated correctly. LC said that KFL had already advised that the pay was being calculated correctly and this should not be mentioned in any communication. KFL said she was concerned this would make staff anxious and that KFL was intending to circulate a communication, but was waiting on a response from CIPHR before doing so and hoped to have this response in the next couple of weeks. JE said that if the system was not working</p>	

Item		ACTION
	<p>properly in one area, it was not too much of a leap to assume that other areas were affected. KFL said HR were able to do this work manually, but she would update JE further, in a couple of weeks, when the CIPHR response should be received. KFL said that at that point it would be a better time to discuss with Unison whether or not it would be appropriate to circulate a communication to staff about these issues.</p>	
	<p>JE brought up an issue she had previously raised with KFL regarding HR staff ensuring that they checked current legislation/ guidelines before communicating information to staff. JE had previously intimated her concern regarding HR providing information which subsequently turned out to be incorrect. KFL confirmed she had already discussed this with JE and that measures had already been put in place to ensure that this should not happen going forward.</p>	
6.	<p>Staff Survey</p>	
	<p>MC advised that she was still waiting on agreement from UHI on the project plan that had been submitted to them. As a result she could not yet go out to tender for this work. MC said she continued to regularly prompt UHI for a response. However, if approval was not received soon, due to the length of the whole process, it would be unlikely that the survey would be undertaken before the summer holidays. MC said she did not want to have a split in the process between timing of when the survey was taken and the results being issued.</p>	
7.	<p>Review of Long Term Sickness Absence</p>	
	<p>This item was discussed under item 5.</p>	
8.	<p>Staff Engagement Group – update</p>	
	<p>KFL said that the Staff EG had met in January and it was a relatively brief meeting, with normal updates and nothing significant being discussed. The key challenge for this Group was the numbers of members, as several had recently left the Group and KFL said she would be investigating how to address this and encourage participation.</p>	
9.	<p>National Bargaining - update</p> <p>KFL said she did not have an update on this as nothing had been received regarding the national pay award for support staff.</p>	

Item		ACTION
10.	<p>WF said that members were being balloted on the offer made by employers and it was hoped it would be resulted by the end of this month.</p> <p>If the timing of the ballot was as WF indicated, KFL advised there would be a challenge in terms of the timing of payroll, which in Perth was carried out early in the month. Due to the pay award being back-dated to September and the vast amount of work that entailed, KFL said if the final technical wording was not received before the end of this month, it would be unlikely that the pay award would be processed in time for the April pay run. However, KFL would keep Unison Reps up-to-date on this.</p> <p>Health and Wellbeing Group - update</p> <p>JE advised that she had attended this Group meeting on behalf of RR.</p> <p>Various actions were discussed, but the main topic of discussion was the Stress Survey and from this some key issues were extracted for further review. Three themes were pulled out, one around people having too much work, one around working long hours and the other being around unrealistic time pressures. One other topic was around bullying, which almost 1 in 10 people in the College said they had been subjected to.</p> <p>The Group also discussed resilience building and suggestions such as issuing some guidance on end of day habits to demark the end of the working day.</p> <p>Jacqui Sievewright would be collating some action points which would be submitted to the Health and Safety Committee, as well as some recommendations.</p>	
11.	<p>COVID-19 – Update</p> <p>LC advised that he did not have any further SG updates at this time. It was all still very vague, but the College’s position continued to remain the same.</p> <p>LC referred back to WF’s mention of the SG letter in February, whereby the SG said there would be £40m available to Colleges. Although the letter had advised this money was to be allocated, it had not been allocated yet and, at this point, the College did not know how much of this money it would receive. However, LC said it was unlikely to be an equitable split. The majority proportion of the money would go towards protecting researching and researchers and a smaller part would be to protect jobs. LC felt it wasn’t worth discussing in great detail until the College received an allocation and notification of what, if any, the restrictions on its use might be.</p>	

Item		ACTION
12.	<p>Staff Governance Code SLWG – update</p> <p>KFL advised that the paperwork for the Staff Governance Code would be circulated shortly and it would be added as an agenda item for discussion at the June JNC meeting.</p>	
13.	<p>CIPHR Upgrade - update</p> <p>This item was discussed under item 5.</p>	
14.	<p><b>Policy &amp; Procedures Approval</b></p> <p>None.</p>	
15.	<p>Unison Items</p> <p><u>15.1 Work Redistribution from Redundant Roles</u>            JE said she raised this matter due to her concern regarding the workload of the people who had left the College on VS and what had happened to this work and who was going to be carrying out this work now.</p> <p>MC said this would vary depending on the work. However, the amount of work would be less because there were less staff. There was no expectation that exactly the same amount of work would continue but with fewer staff. The intention was not to take the work and redistribute it, for either academic or support staff.</p> <p>JE said it did remain a concern that staff who already had full-time jobs could be asked to do further work, and these additional tasks then be added permanently to their role. JE was concerned about the disruption to the work day and added stresses on remaining staff.</p> <p>LC said there would, of course, be conversations between individuals and line managers to adjust current working practices. However, these work practices could well change in the future due to the various changes that had already occurred over the past year due to COVID. The work balance would be adjusted so that specifically identified tasks for these individuals were covered.</p> <p>If further VS schemes were to be run, JE enquired, when decisions were made about who could and could not go, if there would be a consideration about where the work for that role would go. MC said this was already part of the process when reviewing an application for VS and a discussion would take place with the person's line manager about this. MC advised that she would be requesting the Board's permission to run the VS scheme on an ongoing basis.</p>	

Item		ACTION
16.	<p>JE said the uptake of the VS scheme just completed was relatively low, but thought it was not really attractive enough to prompt people to apply for it purely on the severance on its own. MC said this was what the College could afford and, unless SFC changed their guidance, or funded the scheme, it was unlikely to change.</p> <p>JE asked for it to be noted that Unison continued to express concerns over work redistribution and would continue to have concerns when people were being made redundant and the work had to go somewhere.</p> <p><b>AOCB</b></p> <p><u>Weekly Staff Communication</u></p> <p>JE said that a staff survey tended to inevitably highlight issues with communications and with staff indicating it could always be improved. However, JE felt the last couple of weekly SMT communications had been regurgitated information and that, anecdotally, JE was hearing that staff were saying they were not getting much in the way of communication from managers other than the weekly updates.</p> <p>LC said, in terms of amount of news that happens weekly, there were times when not much would be happening. SMT recently held a Q&amp;A session with staff and the uptake for that was less than 100 people. On the other hand there was growing evidence that people were getting stressed and fatigued and LC took from the Q&amp;A that not as many people wanted to ask direct questions of SMT, so it was not necessarily the best attended. However, LC said this could be stepped-up and SMT could run something monthly, but there were also other groups, such as Staff EG etc, which staff were members of and which continued to meet and provide feedback. However, while people may be getting digital fatigue, if there was a ground swell of support for more communication, then LC said he would be happy to investigate what more could be provided.</p> <p>JE said she did not know what type of communication people wanted, be it more or less, or more effective, or communication about completely different things, but she agreed that there was no easy answer. KFL said she would expect communication to be in the staff survey and would work together on the questions and see what came out of the survey. She would also add an item to the Staff EG agenda to see if there was any feedback from this committee.</p> <p><b>Action:</b> KFL to add an agenda item to the Staff Engagement Group on staff communications and feedback to the next JNC for Support Staff on the results.</p>	<p>KFL</p>
17.	<p><b>Date and time of next meeting:</b></p>	



Item	ACTION
<ul style="list-style-type: none"> <li>• 24 June 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 14.53.</p>	

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# PERTH COLLEGE UHI

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## Joint JNC Meeting

Note of Meeting held on Thursday 18 February 2021, 2.00pm, 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  
Iain Wishart (IW), Director of Finance

**Academic and Professional Staff Representatives**

EIS-FELA

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

Unison

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

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

**Note Taker:** Carolyn Sweeney-Wilson

## Summary of Actions

Ref	Action	Responsibility	Time Line
4.	Savings/Income Generation <ul style="list-style-type: none"><li>MC to include in the weekly staff communication a request for any ideas staff may have for savings or income generation.</li></ul>	Margaret Cook	ASAP

# 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 4 February 2021, 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>List of staff who have been furloughed – KFL confirmed this has been circulated on a weekly basis.</p> <p>List of staff returning to campus – KFL provided this would be provided weekly.</p> <p>Meeting to discuss staff returning return to campus – this had taken place on 27 January.</p> <p>Homeworking RA – KFL confirmed this had been discussed at the Health and Safety Committee meeting on 4 February. KFL said she has just completed an exercise for this in CiPHR.</p>	
4.	<p><b>2020-21 Budget</b></p> <p><u>Scottish Government Funding</u></p> <p>MC referred to the announcement from the Scottish Government (SG) that an additional £60m funding would be provided to the education sector. MC said she did not know at this time how much Perth was likely to receive, but she thought it would not be very much money, as this funding was for the whole sector. It was MC's understanding that the majority of the money would go to universities. Some of the money was for student hardship.</p> <p>MC advised that 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. This figure would be combined with other Colleges information and Colleges Scotland would be submitting this consolidated figure to the SG on behalf of the sector.</p> <p><u>Finance Update</u></p>	

Item		ACTION
	<p>IW advised that he was working through all suppliers where there was more than £10K spend, to move them onto the APUC framework.</p> <p>The budget exercise was started to understand costs moving forward and to assist with sustainable savings. For this year the deficit best case was looking like it could be less than originally budgeted, however, this still amounted to a big loss. The budget exercise that has been started was for next year and IW said he would want to see sustainable savings from this exercise.</p> <p>IW said he wanted to understand the College's income levels and understand how long it would take for the College to get back to a break even position and what the magnitude of the continuing problem would likely be in terms of deficit.</p> <p>IW referred to Furlough and said this was difficult to forecast given that this was now so flexible, but this was a problem the whole sector was having, not just Perth.</p> <p>MC said it was always helpful to know if other colleges had a better way of doing something and encouraged JNC members to use their network contacts for this.</p> <p>MC advised that a Board of Management Strategy Session had been held on Tuesday (16<sup>th</sup>). A discussion was started with the Board regarding savings and where the College could start saving money from. The reality was the budget situation was not going to get any better unless something was done about it. The steer from the Board was that the College would be require to have a comprehensive look across-the-board. MC asked JNC members to give some thought to this and if they, or their members, had any ideas, these could be fed into the process which SMT could then review and investigate for viability.</p> <p>SOH queried if this meant management were thinking in terms of compulsory redundancy. MC said this would need to be considered, but this was not a definite given. The College's spend on staffing was 76% of its income, so it would be difficult to make a serious level of savings without looking at redundancy. MC said SMT would investigate any suggestions for savings and/or income. There needed to be the right balance and if the College could grow more income, this would mean that less would have to be cut.</p> <p>In response to query from SOH, MC advised UHI were looking at selling some of their buildings. However, Perth was not in the position of being able to do that as the College needed all its facilities. The campus was not set out in a way that would allow the College to just pick and choose bits that could either be sold or rented out.</p>	

Item	ACTION
<p>JE expressed concern that senior College managers were asking staff for ideas for savings when it was the job of these much more senior people to do this. MC reminded JE that during the previous round of discussions on redundancy proposals that unions were critical of management when they did not involve staff from the outset in discussions about savings. There was a balance to be had and, while SMT could provide proposals, and MC acknowledged this was part of their job, either the message from unions was that they wanted to be involved in early discussions, otherwise SMT could revert to providing proposals that unions would be able to respond to.</p> <p>MC said that management had some areas they would explore, but also wanted staff to know that management would be happy for people to bring forward suggestions.</p> <p>MC said the discussion with the Board was about their appetite for risk and an early discussion about risk areas. JE queried when those risk areas would be brought to unions to discuss. MC said there was a further meeting with the Board in 2-3 weeks and the suggestions could be circulated to unions thereafter. However, they would not be fully formed, but she could start confidential discussions with unions on these at the next joint meeting of JNCs.</p> <p>JE queried if there were any staff currently employed in temporary roles. MC confirmed there were always a number of fixed term academic staff who were not permanent staff. There were also a number of staff from Professional Services who were also on fixed term contracts.</p> <p>JE brought up the matter of a consultant that the College had previously employed to look at the curriculum and a lot of staff time and expenses was used in attending workshops with him and JE said nothing seemed to happen after this and nothing further seemed to have been done with this. JE felt this had been a frivolous use of College money. MC said that this piece of work had been a number of years ago and that the College received a huge benefit from this exercise, which was not about a curriculum review, but about where the College's students physically came from and about understanding the College's market. A great deal of work had since flowed from this consultancy work, so it was not frivolous. However, this data was now 3 + years old and therefore of limited value due to its currency, but it did provide managers at the time with a better understanding of the College's market place and competitors.</p> <p>JE said it was her understanding that one third of the College's courses generated 80% of the College's income. If this was correct then she thought this third ought to be amongst the first areas to be</p>	

Item		ACTION
	<p>looked at for income generation. MC said these figures related to SFC funding and it applied to the whole UHI partnership, where 20% of the UHI courses generated 80% of UHI income. There were ongoing discussions across UHI about numbers of students on modules because, within UHI, the average number of students per module was 3.3-3.4 students and most colleges in the sector would not run a module unless there was 20+ people. Hopefully this would be addressed in the UHI £20m saving exercise and the curriculum review. SOH said that some courses would still need to continue because there would be a commitment to get students through a course which had been sold to them. LC said that JE's comment did not give the entire picture as the curriculum was quite complicated and it was not just as easy to cut courses if there were not many students taking a module. There was an obligation to ensure courses paid their way, but also to reflect the requirements of the community. LC said it was dangerous to rely on just a snapshot of the situation at one point in time. Trend analysis had been carried out on the courses and this was reviewed regularly and very closely and managers would be ensuring that courses continued to pay. Most non-networked courses pay their way, although there were some 'cash cows'.</p> <p>JE queried if there was an indication of when the extra money would be forthcoming from the SG, in terms of the COVID costs, and would that money offset the loss, or had this already been adjusted for in the budget. IW said he hadn't adjusted the budget for receiving any monies from SG for the COVID losses. The only netted figure in the budget was the Furlough benefit. IW said the highest estimated amount that the College might receive would be £200K, but in reality, he did not think it was very likely that the College would receive anything like this amount. IW said he had made an assumption for some benefit on this, but if money was not received, this would just mean the deficit would increase.</p> <p>JE referred to the recent staff stress survey and that 75% of respondents said they were already overworked for at least some of the time and half respondents said they were overworked. In that context, if the workforce was paired back further, the results of the stress survey would need to be taken into account in any removal of staff considerations, otherwise it may well turn out to be a false economy if people then went off due to work related stress. KFL agreed that this would need to be considered carefully and advised that CMT had been asked where improvements and savings could be made in their areas. However, part of that process was to investigate other ways of carrying out the work more efficiently by using technology etc, which could assist processes. Management would always need to consider the impact on remaining staff of any staff losses. It was about creative thinking by saying what could be done differently and for any changes, what would the impact be of these.</p>	

Item		ACTION
	<p>SOH queried if there was the intention for a communication to all staff to further ask them to think very carefully in terms of offering suggestions. While unions could write to members, SOH said this would not reach all staff in the college. MC said she would be happy to send a communication to staff asking them for any ideas or suggestions.</p> <p><b>Action:</b> MC to include in the weekly staff communication a request for any ideas staff may have for savings or income generation.</p>	<b>MC</b>
5.	<p><b>AOCB</b></p> <p>None.</p>	
6.	<p><b>Date and time of next meeting:</b></p> <ul style="list-style-type: none"> <li>• Thursday 25 March 2021, 3.15pm.</li> </ul>	
	<p><b>Meeting ended:</b> 14.49.</p>	

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## PERTH COLLEGE UHI

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### Joint Meeting of JNCs re Cyber Incident

Note of Meeting held on Monday 8 March 2021  
11.30am, 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

**Unison Representatives**

Jane Edwards (JE)  
Winston Flynn (WF)

**EIS-FELA Representatives**

Sara O'Hagan (SOH)  
Declan Gaughan (DG)

**Apologies:**               Rob Reed, Unison

**Note Taker:**           Katy Lees

### Minutes

Item		ACTION
1.	<p><b>Welcome and Apologies</b></p> <p>KFL welcomed everyone to this Joint meeting of JNCs, which was convened to discuss the ongoing situation regarding the Cyber incident.</p> <p>Apologies were noted.</p>	
2.	<p><b>Cyber Incident – update</b></p> <p>Clearly you will have seen the communication about the cyber incident.</p>	



Item	ACTION
<p>A staff response would be circulated at 11am each day, followed by a student communication at 12midday. There will be a short communication purely for Perth</p> <p>There were a number of events over the weekend and a huge number of our colleagues worked really hard over the weekend. Message at the emergency meeting was this is a marathon not a sprint.</p> <p>This was not going to be fixed quickly and to do it properly it should be take time. UHI were working with a number of external agencies – SG, Insurers, JISC etc.</p> <p>Concentrating on business critical issues, which is why things like Brightspace is up, but that may not continue. If there are issues things may be taken down again. So a huge element of uncertainty.</p> <p>The decision to close was taken due to the risk of people coming into the college and turning a machine on. The IT staff on Friday were literally disconnecting all of the machines on the campus.</p> <p>We will open again tomorrow for the practical classes.</p> <p>There is no Wifi and staff would be able to access significantly less on campus than at home.</p> <p>The servers were beginning to be rebuilt and the message from ICT was that their intention was to rebuild for the future, so they would not necessarily recreate what is there.</p> <p>Everyone was gradually moving to SharePoint, so this was an ideal opportunity to do this, so there may be a bit of this going forward and so that change may worry people.</p> <p>We could see some of our data published on the internet, as this is what usually happens, we will minimise anything we have control over, but that is the norm in these circumstances.</p> <p>Communications have come out from UHI, messages put out to MPs/MSPs this afternoon. Margaret has a meeting with prospective MSPs this afternoon and this was already in the diary. Messages will continue to go out.</p> <p>What we now need to do is to not to individually go to ICT, as they are focused on recovery. All requests to go to Managers. We will then manage what is business critical for Perth such as SITS, payroll. If we cannot access our payroll system we will pay what was paid last month so 95% will be correct. That is worst case scenario but to be clear we will ensure that staff are paid.</p>	

Item		ACTION
	<p>Questions or comments or anything that you want to be raised centrally as Lorenz will go to the next UHI emergency meeting.</p> <p>S - A lot of academic staff have the files on the H drive / S drive – so may be challenging for some members. If we can reassure members that they can do what they can do. Know that many staff may have fears about not seeing their data/files again.</p> <p>J – Have we done a local press release</p> <p>M – comms are coming from UHI – the only message that will come out locally is the one that will come out from SMT.</p> <p>J – What about home laptops, is there anything we need to do for security</p> <p>M – Apparently not, it is all to do with the cloud and how we are accessing it. When I was at home on Friday night I could do 10 times more than I could on campus.</p> <p>M – We are not likely to lose as much as SEPA did; Dundee and Angus lost a lot, but we are not in that position, as lessons have been learnt, but we will need to wait and see.</p> <p>W – We have been having conversations with Ray about what we need to do once the incident is over, so we will need to start rebuilding PCs. We will take this opportunity to make changes and possibly using one drive more than shared drives but we are working with Microsoft on this now.</p> <p>M – Quick summary for Declan – this is a marathon not a sprint. Staff have been working over the weekend, but this cannot continue all of the time. Currently Brightspace is up, but this might change if there is a risk. Payrun should be starting today, cannot get into the payroll system, but we will ensure that people are paid, so no threat to staff not being paid. We will open again for limited practical teaching tomorrow as we chose to close today, but staff will not be able to turn on computers on site.</p> <p>There are going to be other meetings as the week goes on, if there are things to talk to you about then we will call further meetings, if you are okay with the ad-hoc arrangements of that.</p> <p><b>Meeting End Time</b></p> <p>The meeting concluded at 11.53.</p>	

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# PERTH COLLEGE UHI

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## Joint Meeting of JNCs re Payroll Situation

Note of Meeting held on Monday 15 March 2021  
1.00pm, by Microsoft Teams

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

**Unison Representatives**

Winston Flynn (WF)  
Rob Reed (RR)

**EIS-FELA Representatives**

Sara O'Hagan (SOH)

**Apologies:**               Declan Gaughan, EIS-FELA  
Jane Edwards, Unison

**Note Taker:**             Carolyn Sweeney-Wilson

### Minutes

Item		ACTION
1.	<p><b>Welcome and Apologies</b></p> <p>KFL welcomed everyone to this Joint meeting of JNCs, which was convened to provide an update on the payroll situation in relation to the cyber incident.</p> <p>Apologies were noted.</p>	
2.	<p><b>Cyber Incident - Payroll Update</b></p> <p>IW advised that due to the cyber incident it was not looking likely that the payroll system would be coming back online in time to get ready for the next payroll processing, which was due tomorrow.</p>	

Item		ACTION
	<p>IW said that, instead, staff would be paid by advance, using last month's payroll as the basis for the payment.</p> <p>It would not be possible to check through all staff pay for adjustments, however, Finance would be working with HR to ensure that any big payments due could be adjusted and paid.</p> <p>Other than that, all staff would be paid the same as they received in their pay last month (February). Because the payment would be an advance, it would not be possible to produce a payslip. Some staff would also be paid more, or less, than last month and adjustments would then need to be made in terms of recouping money, or restoring money, which would hopefully be done in the next payroll.</p> <p>Most UHI colleges were in a similar position. Perth had also contacted HMRC to let them know what would be taking place regarding the payroll.</p> <p>IW said this would seem to be the simplest way to make sure everyone was paid on time. Any significant anomalies Finance would try to sort before the payment would be made, otherwise any other adjustments would be done next month.</p> <p>SOH queried if staff would receive this month's payslip at a later date, or would they never receive it. IW said he thought it might not be supplied, but he would check this and would email TUs with this information.</p> <p>KFL said that in terms of pension matters, this was the end of the tax year, but the statutory returns did not need to be completed until the end of May, so there was still time to do this.</p> <p>KFL said that when staff do receive their pay they would be asked to check it and should contact payroll if there were any major issues. However, as only 2 people work in payroll, it would be hoped they would not be inundated with queries. All issues would eventually be resolved.</p> <p>RR queried if an all staff email would be issued and IW said it would be his intention to do this. He would also add additional information including the issue of the payslip and how the catch-up would work. IW said he would aim to send an email in the next few days.</p> <p><b>Meeting End Time</b></p> <p>The meeting concluded at 13.49.</p>	

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DRAFT

## PERTH COLLEGE UHI

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### Joint Meeting of JNCs re Staff Survey Questions

Note of Meeting held on Friday 2 April 2021  
2.00pm, by VC, Webex Space

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

**Unison Representatives**

Jane Edwards (JE)  
Winston Flynn (WF)

**EIS-FELA Representatives**

Sara O'Hagan (SOH)

**Apologies:**               Dr Margaret Cook (MC), Principal  
Declan Gaughan, EIS-FELA  
Rob Reed, Unison

**Note Taker:**             Carolyn Sweeney-Wilson

### Summary of Action Items

Ref	Action	Responsibility	Timeline
6.	<p><b>Staff Survey Questions</b></p> <p><b><u>Actions re Q1 – Q7:</u></b></p> <ul style="list-style-type: none"> <li>Q2 - KFL to consider if it would be appropriate to include some contextualised information with the survey and feedback to TUs.</li> <li>Q5 &amp; Q6 - KFL to remove Q5 from the survey questions.</li> </ul> <p><b><u>Q8 – Q14</u></b></p> <ul style="list-style-type: none"> <li>Q14 - KFL to change the wording of this question to ensure better clarity of meaning.</li> </ul> <p><b><u>Q16 - Q23</u></b></p> <ul style="list-style-type: none"> <li>A caveat to be added to this section of questions to provide guidance to individuals with more than one manager, that they</li> </ul>	All actions for Katy Lees	ASAP

## Summary of Action Items

Ref	Action	Responsibility	Timeline
	<p>should complete this section in regard to the manager of the area in which they work the most hours.</p> <p><b><u>Q24 – Q29</u></b></p> <ul style="list-style-type: none"> <li>• Q25 - KFL to change the wording of Q25 to refer to “students and staff”.</li> </ul> <p><b><u>Q30 – Q34</u></b></p> <ul style="list-style-type: none"> <li>• Q32 - KFL to review Q32 to find a better form of wording and remove the word “great” from the question.</li> </ul> <p><b><u>Q35 – Q41</u></b></p> <ul style="list-style-type: none"> <li>• Q40 - KFL to amend Q40, removing “.... to my College peers.” and add in its place “..... to my work colleagues.”</li> </ul> <p><b><u>Q42 – Q46</u></b></p> <ul style="list-style-type: none"> <li>• Q42 – KFL to break Q42 down into questions about “Team”, “College” and “UHI” and add a caveat for staff not to comment on the cyber incident communications, due to the circumstances being beyond the College’s control.</li> </ul> <p><b><u>Q47 - Q52</u></b></p> <ul style="list-style-type: none"> <li>• Q51 – to be reworded.</li> <li>• Q52 – to be removed.</li> <li>• KFL to feed back to the survey company SOH’s comments about the wording, which was such that while it looked as though different questions were being asked, they had the same meaning.</li> </ul> <p><b><u>Q53 – Q58</u></b></p> <ul style="list-style-type: none"> <li>• KFL to look at section Q53 – Q58 to clarify which management level the questions were being asked about.</li> </ul> <p><b><u>Q63 – Q73</u></b></p> <ul style="list-style-type: none"> <li>• Q73 – KFL to amend Q73 to read “Do you have any other comments.....”.</li> <li>• KFL to ensure that supporting comments would be included in the circulation email</li> </ul>		



## Summary of Action Items

Ref	Action	Responsibility	Timeline
	<p>with the survey to ensure that staff understood that they would not be able to be identified from their responses.</p> <ul style="list-style-type: none"> <li>KFL and SOH to have a further discussion, once the survey had been distributed, regarding part-time staff being able to complete the survey.</li> </ul>		

## Minutes

Item		ACTION
1.	<p><b>Welcome and Apologies</b></p> <p>KFL welcomed everyone to this Joint meeting of JNCs, which was convened to discuss the Staff Survey Questions.</p> <p>Apologies were noted.</p>	
2.	<p><b>Additions to the Agenda for AOCB</b></p> <p>None.</p>	
3.	<p><b>Minute of Previous Joint Meeting of JNCs re Budget Matters:</b></p> <p>The minute of the previous Joint Meeting of JNCs re Budget matters, held on 18 February 2021, was approved as an accurate reflection of the discussions that had taken place.</p>	
4.	<p><b>Minute of Previous Joint Meeting of JNCs re Cyber Incident:</b></p> <p>The minute of the previous Joint Meeting of JNCs re the Cyber Incident, held on 8 March 2021, was approved as an accurate reflection of the discussions that had taken place.</p>	
5.	<p><b>Minute of Previous Joint Meeting of JNCs re Payroll:</b></p> <p>The minute of the previous Joint Meeting of JNCs re the Payroll Situation, held on 15 March 2021, was approved as an accurate reflection of the discussions that had taken place.</p>	
6.	<p><b>Staff Survey Questions</b></p>	

Item		ACTION
	<p>KFL indicated she would welcome comments on Draft 2 of the Staff Survey Questions. KFL then proceeded to go through the survey question by question and asked for comments from TUs.</p> <p><b><u>Q1 – Q7</u></b></p> <p><b>Q2</b> – KFL advised that the overall intent of this section was to ascertain people’s views. JE said she was not keen on using ‘sound bites’ and referred to the Audit Scotland Report, where there was 1 red and 3 ambers and suggested staff would not, therefore, be aware of this document as a context to the College’s financial sustainability. She queried if the survey would be circulated with contextualised information for staff to research. KFL said the survey would be sent out cold, as she felt the College could not expect people to conduct research before taking the survey. KFL queried if JE was looking for a question on financial sustainability. JE said she was not objecting to the question, but was wondering if people would be pointed to the Audit Report.</p> <p><b>Q5 &amp; Q6</b> – JE said these questions did not make sense as they were not about the plan. KFL suggested Q6 would need to link to Q4 and be slightly re-worded. KFL asked for TUs opinion on whether Q5 and whether it would be reasonable to have this question in isolation at this point, or not. JE queried what use the data would be, as it was really a yes/no answer. JE felt it did not seem to fit in a natural running order. KFL said that as the College did not have a new Strategic Plan at the moment, she suggested it would be better removing it. SOH agreed.</p> <p><b><u>Actions re Q1 – Q7:</u></b></p> <ul style="list-style-type: none"> <li>• Q2 - KFL to consider if it would be appropriate to include some contextualised information with the survey and feedback to TUs.</li> <li>• Q5 &amp; Q6 - KFL to remove Q5 from the survey questions.</li> </ul> <p><b><u>Q8 – Q14</u></b></p> <p><b>Q14</b> – SOH felt this question was ambiguous; was it about job security, or was it about people being clear in their role. JE agreed that it was ambiguous.</p> <p><b><u>Action:</u></b> KFL to change the wording of Q14 to ensure better clarity of meaning.</p> <p><b><u>Q16 - Q23</u></b></p> <p>This section was about a person’s Line Manager and SOH queried those individuals, who had more than one line manager, should be doing when completing this section ie should they be thinking of one particular manager when completing these questions.</p>	<p>KFL</p> <p>KFL</p>

Item		ACTION
	<p><b>Agreed:</b> All agreed that an individual who had more than one manager should complete the survey about the manager in the area where they worked the most hours.</p> <p><b>Action:</b> A caveat to be added to this section of questions to provide guidance to individuals, with more than one manager, that they should complete this section in regard to the manager of the area in which they work the most hours.</p> <p><b>Q24 – Q29</b></p> <p><b>Q25</b> – JE queried this question and pointed out that not every member of the Support Staff provided a direct service to students.</p> <p><b>Action:</b> KFL to change the wording of Q25 to refer to “students and staff”.</p> <p><b>Q30 – Q34</b></p> <p><b>Q32</b> – SOH said she felt this question could be better worded and felt the use of the word “great” was not the best word to use. JE agreed that “great” was not a good word to use - another adjective would be better.</p> <p><b>Action:</b> KFL to review Q32 to find a better form of wording and remove the word “great” from the question.</p> <p><b>Q35 – Q41</b></p> <p><b>Q40</b> – JE said she did not understand the meaning of the question in relation to what was meant by comparing to peers; was this internal or external. KFL said this would be internal. JE said she had read this as external peers and in industry. She thought this question needed a rethink of the wording. KFL suggested changing it, with the following wording added at the end “.....to my work colleagues”.</p> <p><b>Action:</b> KFL to amend Q40, removing “.... to my College peers.” and add in its place “..... to my work colleagues.”</p> <p><b>Q42 – Q46</b></p> <p><b>Q42</b> – SOH said this question did not have any measurement; was it weekly, monthly, daily etc, what was meant by this. SOH said if the question was to be meaningful she did not think it would illicit a good response. SOH gave some examples of types of communications which staff felt were good and not so good. KFL queried TUs for their thoughts as to whether this question should be split between within the College internally and then wider UHI. LC said he thought there could be generic questions split between these two areas, but</p>	<p>KFL</p> <p>KFL</p> <p>KFL</p> <p>KFL</p> <p>KFL</p>

Item		ACTION
	<p>he was not sure if it would provide any more information. JE suggested the questions could be broken down by “Team”, “College” and “UHI”. JE also asked if there would be a limit on the number of characters in the open text boxes. KFL said she thought there would be, but she did not know yet what that number would be. KFL said that in light of these discussions, she would amend the questions per JE’s suggestion and would add a note for staff not to comment on the cyber incident communications, due to the circumstances being beyond the College’s control.</p> <p><b>Action:</b> KFL to break Q42 down into questions about “Team”, “College” and “UHI” and add a caveat for staff not to comment on the cyber incident communications, due to the circumstances being beyond the College’s control.</p> <p><b><u>Q47 - Q52</u></b></p> <p><b>Q52</b> – KFL commented that this would be a difficult question for staff to answer, as it referred to career progression and this would only be available when there was a vacancy. JE queried the use of the wording “equal opportunities” in this question and queried what was being meant by this and what response was being looked for. KFL said she would take this whole question out.</p> <p>SOH commented that this set of questions could mean different things to people and suggested that the wording was such that it looked as though different questions were being asked but they meant the same thing. KFL agreed that it looked that way and she would feed this back to the survey company.</p> <p><b>Q51</b> – JE felt this question could be read in two different ways and probably needed amending.</p> <p><b><u>Actions re Q47 - Q52:</u></b></p> <ul style="list-style-type: none"> <li>• Q51 – to be reworded.</li> <li>• Q52 – to be removed.</li> <li>• KFL to feed back to the survey company SOH’s comments about the wording, which was such that while it looked as though different questions were being asked, they had the same meaning.</li> </ul> <p><b><u>Q53 – Q58</u></b></p> <p>SOH said it would be important in this section to be clear who the questions were being asked about; was it SMT and CMT, or one or the other. KFL agreed there was a need for clarity in this section. JE also agreed there was a need to differentiate, as it would be important for follow up when responses had been received. JE suggested grouping by SMT/Board and CMT separately.</p>	<p><b>KFL</b></p> <p><b>KFL</b></p> <p><b>KFL</b></p>

Item		ACTION
	<p><b>Action:</b> KFL to look at section Q53 – Q58 to clarify which management level the questions were being asked about.</p> <p><b>Q63 – Q73</b></p> <p><b>Q63</b> – KFL advised that if there were less than 10 people in a particular area then responses would be aggregated, as she did not want staff to feel they would be identified. For the curriculum areas, the question was being kept at SDD level, rather than breaking it down further to SM area.</p> <p><b>Q73</b> – JE suggested changing this question to read “do you have any other comments”.</p> <p><b>Action:</b> KFL to amend Q73 to read “Do you have any other comments.....”.</p> <p>SOH expressed further concern about people feeling they could be identified and this may impact on what they would comment in the open questions. She wanted to know more specific details about how staff would be anonymised.</p> <p>KFL said that the College would not receive the raw data back and the survey company would be able to slice the questions by groupings and, for any departments with less than 10 people, they would ensure that the data did not identify individuals. This information would help with future focus groups which would be set-up to look at specific issues that arose from the survey responses. SOH suggested this should be made clear in the covering text when the survey was circulated, so that users would understand this.</p> <p><b>Action:</b> KFL to ensure that supporting comments would be included in the circulation email with the survey to ensure that staff understood that they would not be able to be identified from their responses.</p> <p>KFL said the target was for the survey to be distributed w/c 26 April and then being open for 3 weeks. However, KFL was aware that this would be a period when EIS were taking quite a few industrial action days and KFL was concerned that part-time staff, who only worked on the days EIS were striking, would not get an opportunity to complete the survey.</p> <p>There followed a brief discussion between KFL and EIS about this and SOH’s concern about staff using their work laptop/PCs to do this on industrial action days, which they would not normally do. However, KFL said that the College did not have the capacity to extend the survey, due to needing it to be completed and results out to staff prior to the end of the academic year.</p>	<p>KFL</p> <p>KFL</p> <p>KFL</p>

Item		ACTION
	<b>Action:</b> KFL and SOH to have a further discussion, once the survey had been distributed, regarding part-time staff being able to complete the survey.	
7.	<b>AOCB</b>  None.	
8.	<b>Next Joint Meetings of JNCs:</b> <ul style="list-style-type: none"> <li>• Joint JNC re Review of Roles deemed Essential to be on Campus: 21 April 2021, 10.30am – 11.30am</li> <li>• Joint JNC re Budget Matters: 22 April 2021, 2.00pm – 3.30pm</li> </ul>	
	<b>Meeting End Time</b>  The meeting concluded at 14.48.	

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## Joint Meeting of JNCs to Review Staff Deemed Essential to Return to Campus

Note of Meeting held on Wednesday 21 April 2021, 10.30 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

**Unison Representatives**  
Winston Flynn (WF)  
Rob Reed (RR)

**Apologies:**               Jane Edwards, Unison

**Note Taker:**            Isobel Syme

### Minutes

Item		ACTION
1.	<p><b>Welcome and Apologies</b></p> <p>KFL welcomed everyone to this Joint meeting of JNCs, which was convened to review staff deemed essential to return to campus.</p> <p>Apologies were noted.</p>	
2.	<p><b>Staff Deemed Essential to Return to Campus</b></p> <p>JE comments noted.</p> <p>KFL went over the document area by area regarding staff deemed essential to return to campus to support the increased number of staff and students. No concerns raised.</p> <p>LC highlighted the challenges we face with regard to students completing their courses and our current recruitment position particularly in FE.</p> <p>LC reminded everyone that we will move to Level 3 from Monday 26 April 2021 and hopefully the downgrading of levels will continue and restrictions will continue to change for the better.</p> <p>Degree students will finish in approximately 3 weeks and HE and FE students by the beginning of June.</p>	

Item		ACTION
3	<p>We also have ongoing issues around industrial action and the CITB apprentices.</p> <p>RR asked if teaching would be taking place over the summer break. MC responded that this might take place however at the moment we don't actually know. There will be implications around staffing and costings if this does go ahead. Currently waiting for further guidance from the Scottish Government.</p> <p>LC reiterated that we will continue to work as safely as we can adhering to government guidance including PPE and social distancing.</p> <p><b>AOB</b></p> <p>The circular has come in from Colleges Scotland regarding the support staff pay award:</p> <p>The 2% pay award will be backdated to September last year. This will be paid in the May salaries.</p> <p>Tea breaks – it was agreed that the flexible arrangement we currently have will continue.</p> <p>First Aiders – the full first aid allowance which has been agreed will be paid in the May salary.</p> <p>The one-day additional leave (pro-rata) will be put in Ciphre during May.</p> <p>The pay award information will be put in the latest weekly update. The new pay scales are now available on PerthNet.</p> <p><b>Meeting End Time</b></p> <p>The meeting concluded at 11.10 am.</p>	

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# PERTH COLLEGE UHI

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## Joint JNC Meeting

Note of Meeting held on Thursday 22 April 2021, 2.00pm, 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  
Iain Wishart (IW), Director of Finance

**Academic and Professional Staff Representatives**

EIS-FELA

Sara O'Hagan (SOH)  
Declan Gaughan (DGA)

Unison

Jane Edwards (JE)

**Apologies:** N/A

**Note Taker:** Carolyn Sweeney-Wilson

## Minute

Item		ACTION
1.	<b>Welcome and Apologies</b>  KFL welcomed everyone to the meeting, which was to continue discussions regarding the 2020-21 Budget.	
2.	<b>Minute of the Previous Meeting</b>  JNC members to advise KFL and CSW if they had any issues with the minute, otherwise, the minute of the meeting held on 18 February 2021, which had been previously circulated, was approved as an accurate reflection of the discussions that had taken place.	
3.	<b>Review of actions from previous meeting:</b>  The action from the last meeting for MC to include in the weekly staff communication a request for any ideas staff may have for savings or	

Item		ACTION
	income generation, was completed.	
4.	<p><b>2020-21 Budget</b></p> <p>IW advised that the College's mid-year forecast had been sent to SFC a couple of weeks ago. The original estimated deficit was £1.8m, however, the deficit figure submitted to SFC was being projected to be just over £1m.</p> <p>Monies being received included SFC additional funding, which had been provided to colleges, but was being received in gradual amounts; ESF money of £120K; additional funding for FE of £120K, plus a number of other sources of income.</p> <p>IW advised that the College continued to spend less as lockdown remained. However, IW felt the £1m deficit could be better by the end of year as there was more cash being received than expected. As a result, IW anticipated that the deficit would hopefully improve. The £1m deficit also included the Digital Poverty investment of £250K, which had not been planned for.</p> <p>In terms of next year, IW advised that budget information was already being gathered. All this activity would be happening over the next few weeks with the aim of establishing estimates etc to gain a clearer picture. IW said he was aiming to have as close to zero deficit as possible. MC said this was really positive news.</p> <p>DG queried in which areas was money not being spent. IW said the main areas were Travel, Food Courts – staff on furlough; Printing and Electricity and Gas. Less money was also being spent on the 'Equipment and Materials' codes. However, some of these areas were likely to see an increase when the College started to return to normal. DG queried if any of these savings could be taken forward for next year. IW said he was already in discussion about the College printing kit and reducing the number of these around the College. As part of the budget discussions he would be reviewing areas, such as Travel, to see whether the volume used previously would be required going forward.</p> <p><u>Suggestions Received from Staff re Areas for Savings</u></p> <p>MC said that some detailed suggestions had been received by staff on areas where savings could be made and asked LC to provide an indication of some of the suggestions received.</p> <p>LC advised that suggestions received included:</p> <ul style="list-style-type: none"> <li>Looking at what the College delivered and how it was delivered - mostly relating to curriculum and the curriculum review. Also incorporating the current economic context and trend analysis.</li> </ul>	

Item	ACTION
<p>These were areas that could be investigated to see if it was possible to make any efficiencies.</p> <ul style="list-style-type: none"> <li>• Team structures – services, shapes and size.</li> <li>• Paper usage and printing.</li> <li>• Building utilisation – the way we operate the buildings including our opening up arrangements.</li> <li>• Commercialising – trying to increase this where appropriate; work more with stakeholders.</li> <li>• Increased Internationalisation – would there be an opportunity after COVID to increase our market share.</li> <li>• Contracts and procurement – to make sure we always get best value for money.</li> <li>• Centralised systems – eg TECH1 for Finance etc.</li> <li>• Streamlining systems and processes to reduce duplications.</li> <li>• Outsourcing particular services.</li> </ul> <p>LC said this exercise had been quite fruitful; though there had been no cost analysis done on any of these suggestions yet.</p> <p><u>Voluntary Severance</u></p> <p>MC advised that she had sought permission from the Board of Management to re-open the VS Scheme again. The Board had now given their permission for MC to do this. MC said the College continued to have the opportunity to open VS until 2022.</p> <p>However, MC now wanted to have a discussion with unions about when the scheme should be opened up again. MC said the options were to either open up at a specific time or just open it generally until 31 July 2022. There were pros and cons to both options, but she was not convinced that opening up the scheme just now would be the best option, given the current job market, and suggested it could wait until slightly later in the year.</p> <p>SOH said that some staff had not been successful in their initial VS application and she wondered if these could be looked at again. MC said that they could go back to individuals to ask them again to re-submit, or just open the scheme generally. However, MC said she would be happy for the staff who had had their application refused to be reconsidered, as it was now a number of months down the line from their initial application and the situation might have moved on.</p> <p>MC said that the College's FE recruitment applications were down on target, although HE was ahead of target. If the situation continued with regard to FE, potentially there were areas where VS might now be accepted.</p> <p>JE expressed concern that the work of any person leaving under VS would still need to go somewhere. She said she knew that the work of some of the people who had already left had to be re-distributed</p>	

Item		ACTION
	<p>to other staff.</p> <p>JE said that there were only so many people that could be cut from the staffing, without it having a detrimental effect. JE asked what savings had been made from the previous round of VS. MC said there had been approximately £200K in savings. However, she said that the College would have to get better at ways of working, including more electronic systems etc; she wanted to ensure the College made good use of the benefit of the savings.</p> <p>MC said she was not proposing to open VS just now, but was informing unions that the College had permission to re-open it and the finer details could be discussed further at a later date.</p> <p>MC said that the College would also need to review the Leisure Tutor roles, who all had been furloughed for the past year. This exercise had originally been planned for before lockdown and it may now be the case that the College would need to look at compulsory redundancies for these roles. MC advised that the Board had given SMT their approval to seek permission from SFC for compulsory redundancies, should there be a need for them. MC stressed that the College was not making compulsory redundancies, there were no immediate plans for this, but as the process for permission would take some time, it would need to start this process soon.</p> <p>SOH queried if it was possible to be provided numbers for potential compulsory redundancies. MC said there were no formal proposals for compulsory redundancies at this point. SMT aimed to seek permission from SFC first and would then look at this within the Review of the Curriculum/Organisational Change process.</p> <p>JE queried if it would not be more appropriate to carry out the review first, before going for permission. MC reiterated her earlier comment that it would take some time to get permission and once it had been received, the College was not required to use it even if it had it.</p> <p>MC said that SMT would now progress this through UHI and SFC to seek permission for compulsory redundancy and that it would then do a review, through the Organisational Change process, in terms of what SMT would look at for redundancies, should they be required.</p>	
5.	<p><b>AOCB</b></p> <p><u>High Risk Staff Return to Campus</u></p> <p>KFL advised that a number of staff had been through the MediGold assessment and been deemed high risk or very high risk. As the Government guidelines in relation to shielding employees would be changing on Monday (26 April), whereby, staff who had been shielding would now be able to return to work, KFL wanted to outline</p>	

Item		ACTION
	<p>the planned process for these staff to return.</p> <p>KFL said that where it was deemed essential that high risk staff return to campus, and they were not able to work from home, KFL said she would be looking to carry out a full management referral, through Occupation Health, and to ask MediGold questions in terms of what mitigations the College would need to instigate to allow these staff to safely return to work. From that MediGold report there would then be individual RAs completed to determine that these mitigations could be put in place before staff were permitted to return.</p> <p>JNC members had no questions or concerns regarding this process.</p> <p>JE queried if there was a process in place if the individual did not feel safe to return to campus, where the College thought they should. KFL said the College would refer to the individual's Occupational Health Report and would then have a conversation with the member of staff to look at why they felt this and their circumstances. JE wanted clarification that, further down the line, no member of staff would be put into a disciplinary position over their refusal to return to campus. KFL said she wouldn't be expecting any staff in the short term to be in a disciplinary position. However, when the situation changes and becomes more open, with the lifting of lockdown, then this may potentially be a possibility. However, KFL said she would hope that it would not reach that point.</p>	
6.	<p><b>Date and time of next meeting:</b></p> <ul style="list-style-type: none"> <li>• Thursday 6 May 2021, 2.00pm.</li> </ul>	
	<p><b>Meeting ended:</b> 14.45.</p>	

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# PERTH COLLEGE UHI

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## Joint JNC Meeting

Note of Meeting held on Thursday 6 May 2021, 2.00pm, by MS Teams VC

**Present: Management Representatives**

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

**Academic and Professional Staff Representatives**

EIS-FELA

Sara O'Hagan (SOH)  
 Declan Gaughan (DGA)

Unison

Winston Flynn (WF)

**Apologies:** Lorenz Cairns (LC), Depute Principal, Academic  
 Jane Edwards (JE), Unison  
 Rob Reed (RR), Unison

**Note Taker:** Carolyn Sweeney-Wilson

## Summary of Action Items

Ref	Action	Responsibility	Timeline
5.	<p><b>AOCB</b></p> <p><u>Voluntary Severance (VS)</u></p> <ul style="list-style-type: none"> <li>KFL to provide union reps with a copy of the VS documentation, but to be kept confidential until it was released to staff.</li> </ul> <p><u>Flexible Working (FW)</u></p> <ul style="list-style-type: none"> <li>KFL to circulate a message to staff regarding Flexible Working options.</li> <li>KFL to circulate the Flexible Working Guidelines and Form and the Homeworking Policy to TU reps.</li> </ul>	<p>Katy Lees</p> <p>Katy Lees</p> <p>Katy Lees</p>	<p>ASAP</p> <p>10/05/2012</p> <p>ASAP</p>

## Summary of Action Items

Ref	Action	Responsibility	Timeline
	<p><u>Staff Return After Summer</u></p> <ul style="list-style-type: none"> <li>KFL to circulate to academic staff the offer to voluntarily returning one week early in August 2021; in return receiving a two week break in October. This option would apply to academic staff only.</li> </ul>	Katy Lees	10/05/2021
	<p><u>Tea Breaks</u></p> <ul style="list-style-type: none"> <li>Management/Unison to discuss the matter of tea breaks with the Nursery staff, as an individual issue.</li> </ul>	Katy Lees, Unison Reps	ASAP

## 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>	
2.	<p><b>Minutes of Previous Meetings</b></p> <p>The minutes of the meetings held on 21 April (Staff Return to Campus) and 22 April 2021 (Budgets), 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>IW advised that not much had changed from his previous update from the point of view of understanding this year's financial position.</p> <p>Finance had just started closing the books for Q3 and hoped to have financial numbers next week, whereby IW said he would be able to provide an update at the next JNC meeting.</p> <p>IW said that budget information continued to be collected as it had been delayed slightly due to the cyber incident and people were having to wait to get access to systems.</p>	

Item		ACTION
	<p>IW was taking a preliminary look at estimated income for next year and he had a meeting scheduled for next week with EO to discuss what Perth's income would be. IW said the SFC would be expecting the College to return to a break even position, so it would be important to understand what the income would be. Thereafter, there would be a further analysis of costs for 2021-22. This work would need to come to a conclusion soon, as the Finance Committee would be meeting on 24 May and budget details would need to be provided at that point.</p> <p>IW provided some detail about the College cash position, which had been looking as though there might not be any cash at the end of the year. However, additional money received from SFC, HE money from UHI, which had not been known whether the College would receive, had now come in and had boosted the College's cash position. There had also been more International income received than expected, as well as additional tuition money. However, IW said that it was not yet known whether any of this money would have to be paid back and whether some of the cash received would be for this year's income and/or some might be spread across next year's income.</p> <p>In answer to SOH's query about the current financial position, IW said that the College's mid-year forecast submitted to SFC was for a £1M deficit. However, IW was confident that, if all the monies now expected were received, the deficit would be much less than that.</p> <p>For next year, savings would need to continue to be made and this was what Finance had asked of, and were working with, staff so that the College could return to a break even position.</p>	
5.	<p><b>AOCB</b></p> <p><u>Lateral Flow Tests (LFT)</u> KFL advised that the College was offering LFT test kits on a voluntarily basis to both staff and students. However, the uptake so far was very low, but otherwise, the distribution process was going well. SOH suggested that people could be ordering it online from the Scottish Government (SG) and that might be an explanation for the low uptake at the College. KFL agreed and said that if people were remaining at home then she wouldn't expect staff to come into the College to collect a kit.</p> <p><u>Voluntary Severance (VS)</u> MC advised that SMT were looking to re-open VS in advance of the summer; opening on Monday 10 May, with a 3 week window for applications to be received and SMT aimed to turnaround a response swiftly.</p>	



Item		ACTION
	<p>SOH asked for copy of the VS deal that was previously issued and also queried if SMT would approach the staff who had their VS application refused last time. KFL said that staff would not be contacted direct to re-apply, however, a note would be included in the documentation that staff could re-apply.</p> <p>There followed a discussion regarding staff that potentially might be made compulsorily redundant and whether they could be given a 'heads-up'. It was noted that this was unlikely to be allowed legally, however, MC said they would investigate what the options were in regard to this.</p> <p><b>Action:</b> KFL to provide union reps with a copy of the VS documentation, but to be kept confidential until it was released to staff.</p> <p><u>Flexible Working (FW)</u></p> <p>MC advised that some requests for FW had recently been received from staff. SMT had discussed this and they would like to circulate information to staff about FW, but request that staff make their applications within a defined window of time. This would be in order to allow managers to assess the overall impact within their department, as a whole, rather than as individual requests. MC said it would be important for managers to ensure they did not run out of capacity, but also that people did not feel cheated if they did not come forward early enough.</p> <p>SOH said that staff might not have come forward yet as they may be indicating their thoughts in the staff survey, which EIS had been encouraging staff to do. She thought it may also be difficult for staff to make a decision about this just now and it may be challenging for people to realise how that would affect their work, if they were not coming into College. MC agreed that it was difficult for people who had not been in College during COVID. However, MC said that Management wanted to put some organisation into this, so that it was not dealt with last minute and in a disjointed way.</p> <p>There followed a detailed discussion about the merits of opening a defined window for applications, or allowing staff to apply per the legal Flexible Working guidelines. SOH said there would be practical implications for staffroom use etc to be considered, particularly if social distancing policies were to be maintained; where would people go if they were part-time, as hot-desking was an issue. MC said there was no easy answer to this, particularly as hot-desking may be an issue for some time. There was an attraction to either doing something now, or doing something later, which would allow managers to have conversations with their staff. There would, of course, always be staff who would be required to be on campus and this would not change.</p>	KFL

Item		ACTION
	<p><b>AGREED:</b> JNC members agreed that a message could be circulated to staff about FW, with a window of time to submit applications, so managers would be able to consider the impact within their department as a whole. However, the note should also make it clear to staff about the legislative option, as well as there would be a permanent change to contracts if they chose to work flexibly etc. This message to be circulated on Monday 10 May.</p> <p><b>Actions:</b></p> <ul style="list-style-type: none"> <li>• KFL to circulate a message to staff regarding Flexible Working options.</li> <li>• KFL to circulate the Flexible Working Guidelines and Form and the Homeworking Policy to TU reps.</li> </ul> <p><u>Staff Return After Summer</u> MC indicated that in August 2020 academic staff were offered the option of voluntarily returning one week early, in return, receiving a 2 week break at October. About 75% of academic staff took up this option and the question had been raised again, for this year, to repeat this option on a voluntary basis. SOH agreed that there would be a desire for staff to have this option again if possible.</p> <p><b>AGREED:</b> JNC members agreed that academic staff to be offered the option of returning one week early and receive two weeks' break at October. This was to be on a voluntary basis and would only apply to academic staff.</p> <p><b>Action:</b> KFL to circulate to academic staff the offer to voluntarily returning one week early in August 2021; in return receiving a two week break in October. This option would apply to academic staff only.</p> <p><u>Associate Trainers (ATs)</u> KFL reminded JNC members that ATs had been discussed some months ago. KFL wished to let TU reps know that the tender process for delivering on commercial work would now be commenced. KFL reiterated that the ATs would be delivering commercial work. SOH said this was a sensitive area at the moment. SOH was concerned that this would prohibit any Lecturers currently undertaking commercial work from doing so in the future. KFL said this would not prohibit Lecturers from applying for an AT role and vice versa.</p> <p><u>Tea Breaks</u> MC said this matter had been discussed at the last Joint JNC meeting and it had been agreed that the flexible option for tea breaks would continue. However, MC noted that there now seemed to be some confusion about this amongst TU reps.</p> <p>WF said that JE had been approached by some staff stating that</p>	<p><b>KFL</b></p> <p><b>KFL</b></p> <p><b>KFL</b></p>

Item		ACTION
	<p>their contracts provided for defined periods of time for their tea breaks. MC said that contracts would not change for something like this and contracts could not be changed every time there were changes at National Bargaining level. MC said Management would be looking for flexibility with this. After some further discussion it came to light that the concern about the contracts related to the Nursery staff, who had to have staggered breaks. It was, therefore, agreed that Management and Unison would discuss this with Nursery staff as an individual issue.</p> <p><b>AGREED:</b> JNC members agreed that the timing of tea breaks would be managed flexibly within departments.</p> <p><b>Action:</b> Management/Unison to discuss the matter of tea breaks with the Nursery staff, as an individual issue.</p>	<p><b>KFL, Unison</b></p>
6.	<p><b>Date and time of next meeting:</b></p> <ul style="list-style-type: none"> <li>• Thursday 27 May 2021, 2.00pm.</li> </ul>	
	<p><b>Meeting ended:</b> 15.10.</p>	

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