

MEETING OF ARGYLL COLLEGE BOARD OF GOVERNORS

Friday, 11th December 2020 1pm to 3.30pm

A G E N D A Via Microsoft Teams

Join using invitation link

Tel 07384 246325 (Board Secretary's Mobile)

'For information' items will be taken as read, unless a governor wishes to raise a specific issue arising from these papers.

ITEM	SUBJECT	STATUS	
20.4.1	Welcome and apologies		
20.4.2	Declarations of Interest & to identify any items deemed confidential		
20.4.3	Minutes of previous meeting: 2 October 2020	To approve	Attached
20.4.4	Outstanding Actions Action list	To review	Below
20.4.5	Matters arising (<i>not covered elsewhere in agenda</i>) <ul style="list-style-type: none"> Covid-19 impact 	For information	Oral report
20.4.6	Chair's Report: Overview of activity and key issues	To note	Oral report
	RESOURCES		
20.4.7	Draft Finance & General Purposes Committee minute of 27 November 2020.	To approve	Attached
20.4.8	Management accounts for period to 31 October 2020	To note	Attached
20.4.9	Draft Audit Committee minute – meeting to be held 11am Fri 11 th Dec, minute to follow w/c 14/12/20		To follow

Please send any apologies or questions to Vicky (Secretary to Board): victoria.daveney@uhi.ac.uk / mobile: 07384 246325

20.4.10	Audit Chair's annual report to the Board	To note	To follow
20.4.11	Draft Internal Audit Reports:- a) Staff Development b) Health & safety c) Payroll d) Follow up reviews e) Internal Audit Annual Report 2019/20	For information For consideration For consideration For consideration For consideration	Attached To follow To follow To follow To follow
20.4.12	External Audit Plan - update	For information	Oral
20.4.13	RAM Consultation	For discussion	Attached
20.4.14	Capital Infrastructure Investment: New Dunoon Learning Centre	For discussion	To follow
20.4.15	Health and Safety (standing item): H&S Report for year to 31 October 2020	For noting	Attached
	STRATEGY AND PERFORMANCE		
20.4.16	Principal's Report for period ended 30 November 2020	For consideration	Tabled
20.4.17	Draft minute of Learning, Teaching & Engagement committee held on 27 October 2020	To approve	Attached
20.4.18	Updated Enhancement Plan	To note	Attached
20.4.19	Update on HE FTEs and FE Credit Count to date 2020/21 a) FE Credits b) HE FTEs	To note	Attached
20.4.20	Early retention KPI for full time FE courses to date 2020/21	To note	Attached
20.4.21	Early student satisfaction survey – 2020/21	To note	Attached
20.4.22	Recruitment trend analysis	For information	To follow

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20.4.23	HISA Update	For information	Attached
	PEOPLE		
20.4.24	Draft minute of HR&R committee meeting of 27 November 2020	To approve	Attached
20.4.25	Annual HR Report	To note	Attached
20.4.26	Summary of Recruitment	To note	Attached
	BOARD GOVERNANCE AND DEVELOPMENT		
20.4.27	Recruitment of Chair	For discussion	Oral
20.4.28	Board meetings schedule for 2021	To agree	Attached
20.4.29	AOCB Confidential item: Senior Management Report from HR&R Committee	For approval	Attached
	Date of next meeting: To be agreed		

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University of the
Highlands and Islands
Argyll College

Oilthigh na Gàidhealtachd
agus nan Eilean
Colaiste Earra-Ghàidheil

Outstanding Actions

		Responsibility	Deadline
September 2020			
Chair's Report	AMC to put in writing the Board's concern over Aligned Finance Service	AMC	Dec 20
Chair's Report	FD to pass on thanks to student body.	FD	Dec 20
November 2020			

Please send any apologies or questions to Vicky (Secretary to Board): victoria.daveney@uhi.ac.uk / mobile: 07384 246325

Final Version
MINUTES OF MEETING OF ARGYLL COLLEGE BOARD
Held on Friday 2 October 2020 at 1 pm
Via Webex Teams

Present: Andrew Campbell (AMC) Chair, John Colston (JC) Vice Chair, Martin Jones (MJ), Tony Dalgaty (TD), Jim Findlay (JF), Jennifer Swanson (JS), Faye Tudor (FT), Maggie Tierney (MT), Vicky Gunn (VG), Rosemary Allford (RA), Elodie Nowinski (EN), Billie Smith (BKS), HISA Depute (FD)

Apologies: Scott Matheson (SM), Jim Findlay (JF), Bettina Sizeland (BS)

In attendance: Elaine Munro (EM), Ailsa Close (AEC), Vicky Daveney (VD) Board Secretary, Joe Wright (JW)

No	Minute	Who	Action	Date
20.3.1	Welcome and apologies for absence. The Chair welcomed all governors to the meeting and welcomed Joe Wright. Apologies received from Scott Matheson, Jim Findlay and Bettina Sizeland.			
20.3.2	Declarations of interest & to determine any items as confidential. BKS reported that her employer had been instructed by the college in relation to the nursery lease. BKS confirmed she is not involved in the engagement and internal safeguards are in place. 20.3.19 and 20.3.20 were deemed to be confidential items.			
20.3.3	Minutes of the last meeting. These were approved by the board and are to be signed by the Chair as an accurate record of the meeting.	VD/AMC	To sign	
20.3.4	Matters arising. (i) Nursery:- MJ confirmed that Argyll & Bute Council are seeking to lease the building for 6 months. They will make any improvements required, the cost of which will be offset by reduced rent. (ii) National Bargaining:- MJ confirmed that work on transfer to permanent contracts is ongoing, as a condition of SFC funding. Work on Promoted Posts will take place when the contracts are complete. JW stressed importance of managing communication with staff. JS expressed concerns with regard to resources in place to handle increased workload related			

	to National Bargaining. AMC asked if the Board would authorise MJ to sign up to agreement. There was unanimous agreement from Board.			
20.3.5	Chair's report. The chair provided a report on his recent activity including:- <ul style="list-style-type: none"> • 3 Colleges Scotland meetings, 2 attended by Minister for FE and HE • 3 Regional Strategic Committee meetings and seminars • Options Appraisal meeting • RSC workshop • Telephone conversations with other partner Chairs • Telephone conversations with new board members with positive feedback • Discussion of Aligned Finance Service within partnership, led by UHI . AMC expressed concerns about the process, what the proposed new 'overall' post's remit will be and how it will operate. MT stated the accountability for the financial health of the organisation lies with the Board, concerned about the implications of the new role in relation to the Boards responsibility. JC agreed there are concerns which should be put in writing. • AMC drew the Boards attention to the hard work of the staff, particularly the SMT over recent weeks. AMC asked FD to pass on thanks to the student body for working with the college. ACTION: AMC to put in writing the Board's concern over Aligned Finance Service ACTION: FD to pass on thanks to student body.	AMC FD		
	RESOURCES			
20.3.6	Draft Finance & General Purposes Committee Minute of 2 October 2020 Draft minutes to be completed w/c 5 October for approval by Chair of F&GP	VD	To complete	
20.3.7	Management accounts for period to 31 July 2020 JC highlighted to the Board that the figures are provisional, welcomed their robustness and commended them to the Board for approval. JC explained that the deadline of 31 st December for signed accounts was unlikely to be met, SFC have acknowledged this and signalled they are prepared to accept late accounts. AEC has been in contact with SFC. F&GP are content to authorise delayed accounts and commend this to the board on the understanding that F&GP are kept informed of progress.		Approved	
20.3.8	Draft Audit Committee Minute of 18 September 2020 Minute noted by board in the absence of SM Audit Chair, to be signed at next committee meeting.	SM/VC	To sign	
20.3.9	Draft Internal Audit Report – Staff Development AEC confirmed that the auditors are due to produce 3 internal audit reports but due to time constraints 2 have been postponed until December.			
20.3.10	External Audit Plan		Noted	

20.3.11	Health and Safety (Standing item) : H&S issue AMC asked if there are any specific issues. MJ confirmed there are no current issues, although covid-19 risk assessments for each centre are ongoing. There are no students in centres other than where face-to-face teaching is required for practical courses; health & safety assessments have been completed involving relevant staff so they understand the risks.			
STRATEGY AND PERFORMANCE				
20.3.12	Principal's Report for Period ended 31 August 2020 MJ updated the board on recent activity, stressing that going in to lockdown was straightforward but restarting has been more difficult. It is important that this does not eclipse everything else and there is a need to move forward strategically. <ul style="list-style-type: none"> Argyll & Bute Council have not signed off Rural Growth Deal as yet but a member of college staff has been seconded to the MITC. MJ has been attending meetings. Attended STEM Training Hub workshops. Application made to SFC for loan funding for a new building in Dunoon. Involved in UHI Aligned Services Programme, discussing where shared services can be used to create efficiencies, eg finance and HR. Staffing pressures - Joe Wright seconded from NHC to handle TU negotiations for 1 day per week. A member of staff has also been seconded to fill curriculum management gap in construction for 1 year for 2 days per week. An assistant is being recruited for accounts. There may also be a support role created for the SMT. A number of Partner College Chairs have been discussing mergers as a way of achieving cost efficiencies. This resulted in a meeting which AMC and MJ attended. AMC commended MJ's work in bringing in new projects.			
20.3.13	Draft Minutes of Learning, Teaching and Engagement Committee held on 12 June 2020 Minute approved, to be signed at next committee meeting. RA sated that core to restarting college is facilitating the student experience and highlighted the work done by staff on new initiatives relating to online learning.	RA/VD	To sign	
20.3.14	Update on final HE FTEs and FE Credit Count <ol style="list-style-type: none"> FE Credits – EM confirmed that the credit target has been exceeded by 827 credits, Argyll College is one of only 3 to achieve or overachieve. No extra funding is received for this. HE FTEs – EM confirmed that the target was reached, there were also 13 PGDE students funded outwith the RAM. JS congratulated staff on the figures and EN commented that as overachieving is a trend the rebalancing of credits should be looked at. 		Noted	
20.3.15	Update on student recruitment 2020/21			

	EM confirmed that full-time FE is down slightly, as it is across Scotland, although there is still some flux as students may be late enrolling due to not having the usual face-to-face help. SFW is buoyant across the 11 secondary schools, teaching is face-to-face. HE numbers have increased to around 240 FTE, including 17 PGDE students and 7 Childcare Graduate Apprentices.		Noted	
20.3.16	Update on learning, teaching and enhancement items in last quarter: <ul style="list-style-type: none"> a) Online induction – EM confirmed that this had been a success and the Early Student Experience survey is about to be issued which will supply evaluative data about online induction. b) Joint shared delivery – EM confirmed that delivery is being shared on a number of courses with WHC and NHC. Work is also being carried out relating to shared delivery at FE level with WHC. c) Teaching staff induction – a revised online induction has been created. A tutor has been asked to present to HMIE next week on how to deliver online learning. 		Noted	
20.3.17	Policies for approval <ul style="list-style-type: none"> a) UHI Safeguarding Policy Approved by LTE Committee 18/9/2020		Noted	
	PEOPLE			
20.3.18	Draft HR & R Committee Minute 18 September 2020 Minute approved, to be signed at next committee meeting.	JS/VD	To sign	
20.3.19	Confidential item – Summary of HR and Recruitment in last quarter		Noted	
20.3.20	Confidential item – Dismissal			
20.3.21	Draft Trade Union Recognition Agreement MJ introduced JW of North Highland College who has been seconded for 1 day per week to support Argyll College with Trade Union Recognition and how to embed it within the college. JW explained that the college is entering an important new phase which will have an impact on management and staff. JW asked for comments from the Board on the draft Trade Union Agreement, previously circulated, before it is sent to EIS. AMC asked the board to ratify the draft agreement. The Board agreed.			
	BOARD GOVERNANCE AND DEVELOPMENT			
20.3.22	Recruitment of Chair and Depute Chair AMC confirmed that both JC and AMC are coming to end of their term on the board, MT has agreed to become Depute Chair and AMC thanked her. Recruitment of a Chair is to commence with a view to recruiting by the year end. An interview panel will be formed, and a UHI member will be invited to join that panel.			
20.3.23	AOCB			

	<ul style="list-style-type: none"> SFC Institutional Efficiency Return <p>AEC confirmed that form has been completed and the 3% savings stipulated have been achieved.</p>		Noted	
20.3.24	<p>Date of next meeting.</p> <p>Committee meetings – Friday 27th November, Location TBC</p> <p>Board meeting – Friday 11th December, Location TBC</p>			
	<p>.....</p> <p>Signed by Chair of meeting</p>			

**Unapproved Circulated Minutes of the
Finance & General Purpose Committee
held at 2.05pm on Friday 27th November 2020
via Webex Teams**

Present: John Colston (JC), Chair, Martin Jones (MJ), Maggie Tierney (MT), Bettina Sizeland (BS)
Apologies: Andrew Campbell (AMC), Jim Findlay (JF)
In Attendance: Elaine Munro (EM), Ailsa Close (AEC), Vicky Daveney (VD) (Board Secretary)

No	Item	Action
20.4.1	Welcome – JC welcomed all committee members to the meeting.	
20.4.2	Apologies & declarations of interest. Apologies were received from Andrew Campbell (AMC) and Jim Findlay (JF).	
20.4.3	Minutes of previous meetings. Minutes of F&GP meeting held on 2 October 2020 were approved. The minutes to be signed by Chair as an accurate record of the meeting.	JC/VD
20.4.4	Outstanding Actions <ul style="list-style-type: none"> AEC confirmed that the Capital Expenditure Plan would be completed by February 2021. 	
20.4.5	Matters arising. a) Update on nursery AEC confirmed that Argyll & Bute council were originally due to begin the lease on 2 nd October, but they have raised numerous queries all of which we are trying to deal with. They have drawn up a schedule of works which we have said we would need them to carry out, but that we would reduce the rent on the premises accordingly. MJ reported that there has been interest in the building from another party.	
20.4.6	Capital Infrastructure Investment: new Dunoon Learning Centre MJ confirmed that there is a requirement for a new building in Dunoon, the current building is not fit for purpose, suffers from capacity problems and lacks space to accommodate facilities for construction and engineering and hairdressing. A funding application has been made to SFC, and as part of Argyll & Bute Council's Rural Growth Deal bid. A Strategic Projects Coordinator has been recruited by the College and assist us as part of her role will be looking at locations and engaging with stakeholders. JC asked for guidance on the anticipated cost. MJ confirmed in the region of £4-5 million. BS stated that it would be useful to see more detail, in terms of projections for students and an indication of support from other stakeholders, but was supportive of developing an outline business case. JC asked AEC for confirmation of the amount to be earmarked from reserves and whether this would be possible from reserves without leaving us vulnerable. AEC confirmed reserves would still be within our	

	reserves policy. MJ asked AEC to confirm that designating funds for this purpose does not commit them to that use alone and if there is flexibility should the cost increase or decrease. AEC confirmed that there will be flexibility. JC asked the committee if they were content to commend the earmarking of £1m for the project to the board. The committee was in agreement.	
	Points 20.4.7 to 20.4.9 were removed from the agenda as the Audit Committee were not present as originally planned.	
20.4.10	Management Accounts to 31 October 2020 AEC confirmed that the opening balances from last financial year are still to be audited. There is a surplus reported for the first quarter due to reduced costs, principally because salary costs are lower in first quarter than they are expected to be in future periods, and also due to centres being closed. There will be a rise in teaching costs (2% payrise backdated to 1 Sep) and increased staff costs as new support staff have been recruited. Support staff salaries are still in negotiation with UNISON and job evaluation process expected to begin in the next week. Outturn forecast indications are that a surplus will be realised for the year. JC noted that this was a positive outcome for the year and asked the committee for comments. BS stated this was a positive position and MT was content. The accounts were commended to the board.	
20.4.11	Draft Union Recognition Agreement MJ confirmed that Joe Wright has been engaged in discussions to take the draft agreement forward. JC stated that the unionised environment will require some adjustment time and asked the committee for comments. BS confirmed the importance of developing a mature and constructive relationship.	
20.4.12	Terms of Reference – to review JC asked for any comments on the existing Terms of Reference. MT asked whether there is a committee member who can demonstrate a financial background once JC steps down and suggested this is looked at. JC suggested a mapping exercise is carried out to ascertain the current committee members skills and experience.	VD
	AOCB RAM Consultation UHI paper considered. MJ stated the importance of this review for the college’s future financial position within UHI and suggested that this is discussed in more detail at December’s board meeting. JC commented that the tables did not seem to reflect earlier parts of the document relating to the challenges of smaller colleges. MJ reported that following discussions with other Principals there is some feeling there should be scope for suggesting another way forward. JC asked the committee for comments. BS had no comment at this time, MT suggested it would helpful if MJ could look at the consultation questions and create a short, bulleted paper for the board.	MJ
	Date of next meeting Board Meeting – Friday 11 th December, Location TBC Committee Meeting – to be agreed at the board meeting.	
	Signed by Chair of Finance & General Purpose Committee	
	Date	



Outstanding Actions – F&GP

		Responsibility	Deadline
September 2020			
Capital Expenditure Plan	<i>To be produced for committee's information as requested</i>	AEC	Feb 2021
November 2020			
Capital Expenditure Plan	To be produced for committee's information as requested	AEC	Feb 2021
Mapping exercise	Ascertain whether any committee member has the required financial background.	VD	Feb 2021
RAM Consultation	Look at the consultation questions and create a short, bulleted paper for the board.	MJ	11 th Dec BM

Agenda Item 20.4.8



Management accounts to 31 Oct 2020

Draft accounts for the first quarter to the end of October are showing a surplus of £254k. This is due to expenditure being lower than forecast, as salaries are lower than forecast in this quarter. We moved all of our teaching staff to FTE contracts from 1 September, so this quarter's salaries will be lower than the next quarter. A payrise of 2% for teaching staff was agreed and this has been incorporated in November's salaries, so we anticipate that the quarterly teaching staff gross salary will be £500k, so it may be slightly lower than we have budgeted for in the year. Support staff salaries are also lower than budget in the first quarter, but we have recruited a number of new staff in Oct - in student services, marketing, accounts and IT, HR (p-t secondment) and we have a new Strategic Projects officer starting in Dec. We have recognised over this year just how stretched support and management staff are because over the past few years we tried to keep within a limited budget, and more and more was asked of support staff. However, we need to recognise that the amount of information we are required to provide to UHI & SFC and various other parties keeps increasing, as do the number of students and staff, and now with union involvement, we have additional time commitments. The strain this has put on a small number of staff is considerable. With us signing up to NRPA we will also now require to undertake job evaluation for all of our support staff. No cost of living rise for support staff has been agreed yet - UNISON has turned down a 2% offer.

Any commercial/other income is likely to be very restricted this year as it becomes clearer that return to 'normality' in this academic year becomes less credible a possibility, however a number of associated costs will also be lower.

At this point in the year, it seems likely that a higher surplus than that forecast will be this year's outturn.

Ailsa E Close
26/11/20

Argyll College UHI Ltd

	Actual 2020/21	Budget 2020/21	Expected Outturn 2020/21	
INCOME				
SFEFC SUMs Income	627,908	2,808,952	2,808,952	
UHI Income - RAM	130,410	383,775	400,000	Higher HE numbers
UHI Income - PGDE	14,748	53,831	53,831	
UHI Income - Other	28,688	129,000	129,000	Flatrate £20k, SSC£109k
SAAS Income	0	259,000	260,000	Higher HE numbers
ILA Income	600	6,000	6,000	
DYW income	35,949	140,000	140,000	
MITC funding	0	52,000	52,000	
Modern/Foundation Apprenticeships	3,401	36,000	36,000	
Bursary Income/Student support	8,962	50,000	50,000	
Other PPE reimbursement/CITB	0	0	0	
Maintenance/Capital Grant income	91,122	106,086	106,086	May capitalise more of this this year
Bank Interest Received	0	2,000	2,000	Low interest rates expected to continue
FE Student Fees	11,634	66,500	45,000	Fewer short FT courses likely to run
HE Student Fees - Taught	18,816	24,500	24,500	
Commercial Training Activity	0	8,500	0	Any commercial training looking unlikely
Commercial Training Activity - CSCS Income	16	750	2,000	Restarted testing in 2 centres
Room/Facility Hire - With Own Insurance	0	465	0	Any letting now unlikely
Room/Facility Hire - Without Own Insurance	0	405	0	Any letting now unlikely
Vending Machine Income	0	400	0	Vending machines out of bounds
Hairdressing Income - General	0	2,500	0	No hairdressing likely
Catering Income	0	2,500	0	Catering income now unlikely this year
Feed-In Tariff	0	4,000	4,000	
Other income	10,537	0	15,000	
National Bargaining Grant funding	418,750	1,675,000	1,675,000	Incls £100k for Superann
Income from Staff	0	700	0	
Graduation Income	0	550	0	
Branded clothing income	0	700	0	
	1,401,541	5,814,114	5,809,369	
LESS: EXPENDITURE				
Staffing Costs - Salaries	279,393	1,386,563	1,386,563	Pay rise still in negotiation
Staffing Costs - Employer's NI	24,573	137,551	137,551	
Staffing Costs - Employer's Pension	41,827	299,498	299,498	
Staffing Costs - Maternity Pay	0	0	0	
Staffing Costs - Sick Pay	0	30,000	30,000	
Staffing Costs - Travel and Subsistence	96	10,000	2,000	Limited travel this year
Staffing Costs - Training	0	22,500	22,500	
Staffing Costs - Disclosure	0	1,000	1,000	
Staffing Costs - Recruitment	304	3,000	3,000	
Staffing Costs - Other	28,712	18,000	30,000	
Teaching Staff Costs - Salaries	391,920	1,945,197	1,945,197	
Teaching Staff Costs - Employer's NI	29,651	175,068	175,068	
Teaching Staff Costs - Employer's Pension	75,807	447,395	447,395	
Teaching Staff Costs - Maternity Pay	0	5,000	0	
Teaching Staff Costs - Sick Pay	0	30,000	30,000	Costs still to be analysed
Teaching Staff Costs - Travel and Subsistence	169	7,000	2,000	Limited travel this year
Teaching Staff Costs - Training Other	0	22,500	22,500	
Teaching Staff Costs - Disclosure	0	2,000	2,000	
Teaching Staff Costs - Recruitment	314	3,000	3,000	
Teaching Staff Costs - Other	17,789	12,000	12,000	Predominantly cost of subcontractors for Maritime courses
Payments to Subcontractors	0	25,000	25,000	
Learning Resources/Matls	15,916	40,000	40,000	
Student PPE/Kit	9,334	30,000	30,000	
Payments to Awarding Bodies - SQA	1,863	60,000	60,000	
Payments to Awarding Bodies - CITB	844	5,000	5,000	

Payments to Awarding Bodies - BCS	1,200	8,000	8,000	
Payments to Awarding Bodies - Activ Training	0	3,500	3,500	
Apprenticeship levy	3,352	0	16,000	
Marketing and Promotion	1,659	60,000	60,000	
Health and Safety Costs	11,857	80,000	80,000	COVID and increased H & S requirements
Non Chargeable Catering Costs	0	3,000	3,000	
Property Costs - General maintenance	13,122	70,000	70,000	
Property Costs - Lease Costs	8,829	50,000	50,000	
Property Costs - Venue Costs	0	5,000	500	Less likely to need additional venues this year
Property Costs - Rates and Water Charges	0	17,000	17,000	
Property Costs - Utilities	14,905	65,000	65,000	
Property Costs - Cleaning	2,299	50,000	50,000	
Property Costs - Other Property Costs	480	4,000	4,000	
Insurance	21,903	31,000	25,000	
ICT Maintenance and Support	41,248	117,000	117,000	
Equipment repairs	285	5,000	5,000	
Equipment Lease Costs	9,962	40,000	40,000	
Company Vehicle Costs - Fuel	109	5,000	500	Less travel likely
Company Vehicle Costs - Repairs and Maintenance	0	3,000	3,000	
Company Vehicle Costs - Road Tax	0	300	300	
Company Vehicle Costs - Other	0	40,000	40,000	Extra car lease costs, covered by grants
Supplies and Copying	1,636	10,000	5,000	Low due to fewer people in buildings
Postage	165	4,000	1,000	Low due to fewer people in buildings
Telecoms	2,647	18,000	12,000	Low due to fewer people in buildings
Other expenses	0	4,000	1,000	Low due to fewer people in buildings
Donations	68	0	500	
Subscriptions	6,573	30,000	30,000	
Professional Fees - Audit and Accountancy	2,767	30,000	30,000	
Professional Fees - Legal	9,220	20,000	20,000	
Professional Fees - Other	0	5,000	5,000	
Payments To/On Behalf of Students - Travel & Subsistence	1,515	10,000	10,000	
Payments To/On Behalf of Students - Hardship	0	20,000	20,000	
Payments To/On Behalf of Students - Disclosure	0	10,000	10,000	
Payments To/On Behalf of Students - Graduation	0	7,000	7,000	
Payments To/On Behalf of Students - Other	0	3,500	3,500	
Governance Costs - Travel & Subsistence	77	1,500	500	Less travel likely
Governance Costs - Other	0	500	500	
Bank Charges	75	550	550	
Loan Interest - BoS Fixed Rate	0	0	0	
Bad debts	0	5,000	5,000	
Vending Machine Costs	125	2,300	500	
Hairdressing Supplies - General	0	500	500	
Hairdressing Supplies - Retail	0	0	0	
Hairdressing Costs - Other	0	400	400	
Food Purchases	61	8,500	500	No catering likely this year
	1,074,651	5,564,822	5,532,522	
Operating surplus	326,890	249,292	276,847	
Non Capital Fixed Assets	30,320	50,000	60,000	New laptops/other equipt for staff/students working from home
Depreciation	42,122	185,000	185,000	
Net surplus/(deficit) for the year	254,448	14,292	31,847	

Argyll College UHI Ltd
Statement of Comprehensive Income
For the period ended 31 Oct 2020

	Actual 2020/21	Budget 2020/21
	£	£
Income		
SFC grants	1,046,658	4,483,952
UHI grants	264,968	672,692
Tuition fees and education contracts	34,451	392,000
Other operating income	55,448	254,220
Commercial training activity	16	9,250
Release of deferred capital grant	0	0
Investment income	0	2,000
Total income	1,401,541	5,814,114
Expenditure		
Staff costs	890,555	4,557,272
Other operating expenses	214,341	1,052,000
Depreciation	42,122	185,000
Interest and other finance costs	75	5,550
Total expenditure	1,147,093	5,799,822
Income/(Deficit) before other gains and losses	254,448	14,292
Impairment loss	0	
Total comprehensive income for the period	254,448	14,292

Argyll College UHI Ltd
Balance Sheet
As at 31 Oct 2020

	31/10/2020	2019/20
Tangible fixed assets	3,626,882	3,750,222
Debtors		
Trade debtors	68,086	20,017
Other debtors	72,409	123,913
	<u>140,495</u>	<u>143,930</u>
Cash at bank	3,579,524	3,699,070
	<u>3,720,018</u>	<u>3,843,000</u>
Creditors <1yr		
Trade Creditors	167,068	156,903
Bank Loans	0	0
Accruals	571,149	935,087
Deferred Grants	3,402,047	3,566,380
Tax & Social Security creditor	69,389	61,949
Other creditors	70,912	61,016
	<u>4,280,565</u>	<u>4,781,335</u>
Net current assets	(560,547)	(938,335)
Net Assets	<u><u>3,066,335</u></u>	<u>2,811,886</u>
Reserves		
Unrestricted funds	1,811,887	1,707,470
Comprehensive income for the period	254,448	104,417
Capital reserve	1,000,000	1,000,000
	<u><u>3,066,335</u></u>	<u>2,811,887</u>

Argyll College UHI Ltd

Staff Development

Internal Audit Report No: 2020/02

Draft Issued: 11 September 2020

Final issued:

LEVEL OF ASSURANCE

Requires Improvement

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Level of Assurance

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

Gradings are defined as follows:

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

Action Grades

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

Management Summary

Overall Level of Assurance

Requires Improvement	System has weaknesses that could prevent it achieving control objectives.
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Risk Assessment

This review focused on the controls in place to mitigate the following risks on the Argyll College UHI Ltd ('the College') Register:

- 14 – Disruption to services/projects and/or partnership working resulting from loss (temporary or permanent) of a key staff member (risk rating: medium)

Background

As part of the Internal Audit programme at the College for 2019/20 we carried out a review of the College's staff development arrangements. Our Audit Needs Assessment identified this as an area where risk can arise and where Internal Audit can assist in providing assurances to the Board of Governors and Principal that the related control environment is operating effectively, ensuring risk is maintained at an acceptable level.

Within the College sector recruitment and retention of key staff is of vital importance. The College must ensure that it has the organisational capacity to implement its strategic plans and make full use of the abilities of its staff. It should therefore explicitly relate its staffing requirements to its strategic and operational objectives in terms of numbers, skills, knowledge, deployment, structure, etc.

The College should ensure that all staff are managed effectively and efficiently. Managers should communicate business priorities and objectives to staff and ensure that those objectives are translated into tasks that teams and individuals undertake. Staff should know what is expected of them; their performance should be regularly assessed; and they should be assisted in improving their performance.

Scope, Objectives and Overall Findings

This audit considered whether the College is making best use of its staff and included a review of workforce planning; training; and the personal development plan system.

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

Objective		Findings		
The specific objective of this audit was to obtain reasonable assurance that:		1	2	3
1. the College has a systematic approach for ensuring that its staff resources match what is required in order to deliver its commitments. Where gaps are identified, timely action is taken to close these.	Satisfactory	0	0	1
2. the College's approach to training, including induction training, is clearly informed by an assessment of where there are skills / knowledge / performance gaps.	Requires Improvement	0	2	1
3. the College has a systematic approach to evaluating its training to ensure that it is achieving the desired impact.	Satisfactory	0	0	1
4. there is a systematic approach for translating business objectives into actions / tasks for members of staff.	Satisfactory	0	0	1
5. a systematic approach is used for communicating objectives and performance expectations to staff.	Good	0	0	0
6. a systematic process is used for providing feedback to staff on performance and agreeing action to improve performance.	Good	0	0	0
Overall Level of Assurance	Requires Improvement	0	2	4
		System has weaknesses that could prevent it achieving control objectives.		

Audit Approach

The HR Officer and Director of Finance were interviewed, and the College's policies, procedures and structure reviewed, to assess compliance with the above objectives.

Summary of Main Findings

Strengths

- The College continually monitors student and staff numbers to ensure that sufficient staff resources are attached to each course.
- The College has a dedicated Learning and Development (L&D) Coordinator who coordinates training and development activities delivered across the College.
- The College provides a range of learning and development opportunities for staff, including supporting staff in undertaking the Professional Development Award in Teaching Practice.
- Staff have access to a suite of online training modules which provides them with flexible opportunities for learning and development.
- Staff Development Request Procedures are in place which outline the application, review, and approval process for training requests.
- There are mechanisms in place to communicate the College's objectives to departments and to staff and to review departmental and College performance.

Weaknesses and Opportunities for Improvement

- The College has not developed a Workforce Plan which reflects the College's medium-term strategy for managing its workforce (including the provision of support through learning and development). Such a Workforce Plan would include an analysis of the current workforce and identify future staffing requirements (as well as setting out a strategy describing how any potential gaps could be addressed).
- The Staff Development Committee is responsible for approving staff development requests. Our review noted that the Staff Development Committee was chaired by a Head of Curriculum and previously met every six weeks. However, the committee has not convened since August 2019.
- Although guidance is available to staff on the appraisal process, and information is available on a range of learning and development activities, the College has not established an overarching staff Learning & Development policy which clearly outlines the College's aims and objectives or outlines the responsibilities of staff, line managers, senior management and the Board in relation to staff training.
- The current staff development request form requires staff to document how the College will benefit as well as what the individual hopes to gain from attendance at a training event. However, there is scope to expand this to document the expected learning outcomes which would later allow a formal evaluation of the impact of training received by requiring staff to revisit the expected learning outcomes recorded on the development request form a period of time after having received the training in order to confirm that the learning needs have been met.
- The staff appraisal form, and associated guidance notes, do not provide a clear linkage between the training needs identified on the appraisal forms and the departmental operational or College Strategic Plan objectives.

Acknowledgements

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



Main Findings and Action Plan

Objective 1: The College has a systematic approach for ensuring that its staff resources match what is required in order to deliver its commitments. Where gaps are identified, timely action is taken to close these.

Our review found that although there is no formal workforce plan or skills database currently in place (see **R1** below) there are alternative processes in place which ensure that staff resources are available to meet commitments.

There is an approved establishment list and staffing budgets are based on approved posts. Management conduct recruitment in line with available budgets and approval for new posts. Management monitor student and staff numbers to ensure that sufficient resources are aligned to each curriculum area and support service so that operational commitments and service levels can be met. Skills gaps are filled, either through redeployment of staff, by supporting staff through further training or, where necessary, through external recruitment in line with the staff budget model. During the last 12 months the College has undertaken some re-organisation, particularly within curriculum teams, to ensure that the right staffing structure and capabilities are in place to meet the College's needs going forward and to address identified succession planning challenges.

Staff Development - DRAFT

Objective 1: The College has a systematic approach for ensuring that its staff resources match what is required in order to deliver its commitments. Where gaps are identified, timely action is taken to close these.

Observation	Risk	Recommendation	Management Response
The College has not developed a Workforce Plan which reflects the College's medium-term strategy for managing its workforce (including the provision of support through learning and development). Such a Workforce Plan would include an analysis of the current workforce and identify future staffing requirements (as well as setting out a strategy describing how any potential gaps would be filled).	Without a Workforce Plan there is a risk that changes to the way the College delivers services in one curriculum or support area may have unplanned or unintended effects on other curriculum or support areas; and the College may not be able to manage workforce changes to ensure that it is making best use of its staff resources to achieve its objectives.	R1 In order to meet the anticipated future challenges around curriculum delivery and College budgets, the College should consider undertaking an exercise to forecast expected staff numbers and staff costs and also identify skill needs aligned to the future shape of the curriculum portfolio on a rolling three-year basis, using scenario planning where necessary.	<p>Prior to this report, it had been recognised that there are insufficient resources and organisational development expertise within the SMT to provide the necessary strategic leadership in order to fully address the training and development plans and needs of an organisation which has at its heart learning and development. This recognition, brought into sharp focus by the recommendations of this report, means that the college will bring forward its review of HR/OD (including the potential for additional staffing) to allow this be developed fully and properly and where necessary seek Board approval for additional resources.</p> <p>All subsequent recommendations have been responded to with this additional resource seen as an integral part of the responses.</p> <p>To be actioned by: SMT</p> <p>No later than: Feb 2021</p>

Staff Development - DRAFT

			Grade	3
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Objective 2: The College's approach to training, including induction training, is clearly informed by an assessment of where there are skills / knowledge / performance gaps.

The skills of new staff are considered during the recruitment process to ensure that they have adequate skills for undertaking the relevant role being filled. All permanent teaching staff are required to undertake a teaching qualification, either the Teaching Qualification Further Education (TQFE) or a suitable Professional Development Award. If new staff do not possess a teaching qualification the College will provide support to staff to achieve this qualification.

All new staff must complete a mandatory induction programme, which consists of online training modules covering areas of statutory compliance including health and safety and data protection. Induction also includes a departmental induction provided by the relevant staff member's line manager.

Training needs can also be identified by individual staff members or managers as part of the annual staff appraisal process or at any time during the year.

Our review noted that the College provides a range of learning and development opportunities for staff, including:

- two days of structured Continuing Professional Development (CPD) activity each year to all staff.
- staff are provided access to a suite of online learning modules.
- staff have access to the College Virtual Learning Environment where they can find training information.
- staff can apply to attend an external training course where there is a valid justification; and
- teaching staff can apply to undertake the Professional Development Award in Teaching Practice.

Objective 2: The College’s approach to training, including induction training, is clearly informed by an assessment of where there are skills / knowledge / performance gaps.

Observation	Risks	Recommendation	Management Response
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Staff Development - DRAFT

<p>Staff Development Request Procedures are in place which outline the application, review, and approval process for training requests. The procedures describe that:</p> <ul style="list-style-type: none">the Staff Development Committee is responsible for approving staff development requests.costs of training events up to a maximum amount of £200 can be approved by the Chair of the Staff Development Committee, with requests above this limit needing approval by the full committee.the process for evaluating staff development activity, including issuing training evaluation forms to staff following training; andevaluation forms are reviewed by the Staff Development Committee at their regular meetings, as a standing agenda item, in order to inform any changes in the scope or form of future occurrences of the same training session as well as informing the overall College staff development plan. <p>Our review noted that the Staff Development Committee was chaired by a Head of Curriculum and previously met every six weeks. However, the committee has not convened since August 2019.</p>	<p>Staff development opportunities are restricted due to a failure in the approval procedures.</p> <p>Failure to evaluate the effectiveness of training could lead to poor use of resources by continuing training that does not result in more efficient or effective working practices or provide value for money.</p>	<p>R2 Ensure that the Staff Development Committee operates as outlined in the Staff Development Request Procedures. A review should be conducted to clarify the circumstances which have led to the committee not convening since August 2019 and to identify any barriers which may prevent the committee convening (including timing of meetings, composition of the committee and use of technology).</p>	<p>It is felt that the current arrangement needs to be better linked into other systems currently being reviewed and improved – ie staff induction and staff appraisal systems, and to clearly link with college strategy and direction.</p> <p>The Staff Development Committee will be reviewed by SMT and through consultation with unions as appropriate to identify how it can be best organised to reinvigorate training and development within the organisation. An annual training and development plan will be prepared for the forthcoming academic year for agreement by SMT and this will be devolved to managers/staff development committee to ensure that all staff are clear that training undertaken is for the benefit of the students/ student experience, and in the achievement of the stated aims and objectives of the college as a whole.</p> <p>To be actioned by: SMT</p> <p>No later than: May 2021</p>		
			<table><tr><td>Grade</td><td>2</td></tr></table>	Grade	2
Grade	2				

Staff Development - DRAFT

Objective 2: The College's approach to training, including induction training, is clearly informed by an assessment of where there are skills / knowledge / performance gaps (continued).

The identification of training needs is not currently directly aligned with the College's annual budget setting cycle. This misalignment creates a weakness whereby budgets are assigned for training costs without the identification of training requirements for the year ahead. Although this does create a potential risk that insufficient budgets are allocated to meet training and development needs, the Director of Finance expressed confidence that the budget available is sufficient to meet existing training needs. If there was an urgent training requirement, such as to satisfy legal compliance, then management would be committed to the identification of resources to deliver the necessary training.

Staff appraisals are conducted annually by managers and any training needs are identified from this process and recorded on the forms provided which are then shared with the Learning & Development (L&D) Coordinator to aid future planning of L&D activities.

All new staff are required to complete a corporate and departmental induction. The induction process is coordinated by managers and covers all service areas. The College makes use of a suite of e-learning modules which must be completed by all new staff. The results of completion of e-learning modules are recorded on individual employee training records.

Observation	Risk	Recommendation	Management Response
Although guidance is available to staff on the appraisal process, and information is made available on a range of learning and development activities, the College has not established an overarching staff L&D policy which clearly outlines the College's aims and objectives or outlines the responsibilities of staff, line managers, senior management and the Board in relation to staff training.	The College's policy and ethos on training is not clearly communicated resulting in variations in approach across the College.	R3 A Staff Learning & Development Policy should be created which outlines: <ul style="list-style-type: none"> the scope aims and responsibilities in relation to learning, development and training. options for learning and development available to staff. how training and development is prioritised. specific areas of learning which are essential for all staff. responsibilities in terms of recording, monitoring, and evaluating learning; and 	We are aware that the limited management resources within the college has meant that learning and development has ended up being devolved to the Staff Development Committee and that this operated without a clear plan, and was reactive to training requests. A Staff Learning and Development policy will be created for consultation and agreement with all relevant parties. We also will carry out an existing skills assessment.

		<ul style="list-style-type: none">Personal Development Review arrangements.	To be actioned by: SMT No later than: May 2021	
			Grade	2

Staff Development - DRAFT

Objective 2: The College's approach to training, including induction training, is clearly informed by an assessment of where there are skills / knowledge / performance gaps (continued).

Observation	Risk	Recommendation	Management Response
<p>The College does not make use of skills databases at either an organisational level (i.e. through the L&D team) or at a departmental level, which can be utilised to identify any skills or knowledge gaps in departments or for individual members of staff.</p> <p>Our review noted that the identification and recording of training needs across the College is currently a largely manual (and therefore less efficient) process. L&D staff are required to analyse employee appraisal forms to identify training needs, which are then scrutinised to determine if there is a business justification for the training. This relies on L&D staff maintaining an understanding of staff roles or seeking clarification from line managers on the need for specific training. Once training has been provided, L&D staff must manually add training records into the Cascade HR system based on a review of several different records, such as course attendance sheets and training application forms.</p> <p>It would be more efficient to identify a base level of training expected for each post and utilise this data to populate Cascade. As employee training records are added to Cascade they can then be matched to the training requirements established for each post. This could allow L&D to identify skills gaps and target training to specific groups or to individual staff members. As the curriculum portfolio changes, any changes in staff skills mix should also be notified to L&D to allow Cascade to be updated. This would allow L&D to identify any revised training needs across the College.</p> <p>Refresher training, such as health and safety training, is currently recorded separately on spreadsheets. However, the information is then recorded in Cascade to provide a historic record of training received. Potentially, Cascade could be utilised in a more proactive manner whereby L&D could identify the refresher training due in the next 12 months. This would allow more efficient forward planning in terms of developing a training plan and the associated budget.</p>	<p>Information is not available to identify where training requirements or skills gaps exist.</p>	<p>R4 Conduct a training needs assessment across the College to identify the basic training and skills requirement associated with each post. The data obtained from the training needs assessment should then be used to populate Cascade, which will allow L&D and management to identify training gaps as staff training records are updated.</p>	<p>HR will be asked to conduct this training needs assessment for each member of staff to identify basic skills and training requirement, to organise the basic training required and to document this in our HR system. We will also carry out an existing skills assessment, where we will identify and record all the skills current staff have already, so we can easily search this before looking to recruit externally for new posts</p>

			To be actioned by: HR/SMT No later than: May 2021	
			Grade	3

Objective 3: The College has a systematic approach to evaluating its training to ensure that it is achieving the desired impact.

Staff Development - DRAFT

Observation	Risk	Recommendation	Management Response	
<p>Discussions with staff, and review of appraisal procedures, identified that there is a formal means of evaluating the impact of previous training provided on staff performance through the staff appraisal process, and also an informal mechanism through regular one to one meetings held with staff. However, it was also identified that there is no formal means of obtaining feedback on the quality, relevance or usefulness of the training activity undertaken.</p> <p>The current staff development request form requires staff to document how the College will benefit as well as what the individual hopes to gain from attendance at a training event. However, there is scope to expand this to document the expected learning outcomes which would later allow a formal evaluation of the impact of training received by requiring staff to revisit the expected learning outcomes recorded on the development request form a period of time after having received the training in order to confirm that the learning needs have been met.</p>	<p>Failure to evaluate the effectiveness of training could lead to poor use of resources by continuing training that does not result in more efficient or effective working practices or provide value for money.</p>	<p>R5 Work should be undertaken to expand the current development request form to capture expected learning outcomes. This will provide the opportunity for staff to subsequently formally evaluate the achievement of anticipated learning outcomes and to record feedback after attending the relevant training course. Completed forms should then be signed-off by managers and form part of the staff appraisal process. Feedback provided on the forms should also be reviewed, and the results used to inform future selection of training providers and an analysis of training spend and benefits derived to ensure that best value is being achieved from training spend.</p>	<p>Agreed, we will action the recommendation as described</p> <p>To be actioned by: SMT</p> <p>No later than: August 2021</p>	
			Grade	3

Objective 4: There is a systematic approach for translating business objectives into actions / tasks for members of staff.

Staff Development - DRAFT

The College's Strategic Plan is used as the basis for developing departmental operational plans, which are prepared annually around September / October, and which link to the key objectives in the College Strategic Plan.

Our review confirmed that there are a range of mechanisms in place to communicate the College's objectives to departments and to staff, including:

- the staff appraisal process.
- informal one-to-one discussions held between senior management and Heads of Curriculum and other senior managers.
- the annual departmental self-evaluation review process facilitated by the College's Quality team.
- faculty meetings which are held several times a year; and
- annual staff development events.

Observation	Risk	Recommendation	Management Response	
The staff appraisal form, and associated guidance notes, do not provide a clear linkage between the training needs identified on the appraisal forms and the departmental operational or College Strategic Plan objectives.	Learning and development activities are not effectively linked to the departmental operational objectives and/or to the College strategic objectives.	R6 As part of the staff appraisal process a review should be completed on how staff learning and development actions can be more clearly linked to departmental objectives on the staff appraisal forms.	Agreed. As appraisals as carried out by CL and other managers we will incorporate this into business plans and monitoring	
			To be actioned by: SMT	
			No later than: August 2021	
			Grade	3

Objective 5: A systematic approach is used for communicating objectives and performance expectations to staff.

Objectives are communicated to staff via a range of mechanisms, including through one to one meeting, team meetings, and the annual staff review process. Performance expectations should be clearly set out by line managers as well as formally through job descriptions. Where there is a need to clarify performance expectations then this should take place through ad hoc discussions with staff, through the staff review process, or if necessary, through the Performance Improvement Policy and Procedure

Each member of staff undergoes an annual staff appraisal with their line manager to discuss performance against previously agreed objectives; to agree objectives for the coming period; and identify training and development needs. Performance and training objectives are then agreed for the next 12-month period. As noted above, staff objectives are linked to the departmental operational plans with individual responsibility assigned. A key objective of the staff appraisal is to offer each member of staff a formal means to clarify and review their responsibilities and relationships and to embrace the opportunities for training and development.

Objective 6: A systematic process is used for providing feedback to staff on performance and agreeing action to improve performance.

Ad hoc issues should be dealt through regular contact between the line manager and the staff member concerned.

If there are concerns around staff performance, then these should be dealt with through the Performance Improvement Policy and Procedure. We reviewed this procedure and confirmed that it provides a robust framework for dealing with performance issues. We also noted that it allows for a range of informal and formal means for addressing issues and has appropriate options including discussion, escalation, warnings, suspension, and dismissal.

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Argyll College UHI Ltd

Health and Safety

Internal Audit Report No: 2020/03

Draft issued: 26 November 2020

Final issued:

LEVEL OF ASSURANCE

Requires Improvement

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Section 2 Main Findings and Action Plan 4 - 9

Level of Assurance

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

Gradings are defined as follows:

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

Action Grades

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

Management Summary

Overall Level of Assurance

Requires Improvement

System has weaknesses that could prevent it achieving control objectives.

Risk Assessment

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

- Non-compliance with relevant statutory regulations (risk rating: amber); and
- Failure to embed a pervasive culture of Health & Safety awareness (risk rating: amber)

Background

As part of the Internal Audit programme at the College for 2019/20 we carried out a review of the College's Health and Safety (H&S) arrangements. Our Audit Needs Assessment identified this as an area where risk can arise and where Internal Audit can assist in providing assurances to the Board of Governors and the Principal that the related control environment is operating effectively, ensuring risk is maintained at an acceptable level.

Within the College sector it is important to demonstrate full implementation and embedding of H&S legislation. It is important that H&S is considered by all staff, management, and Board members at the College in order to reduce the risks related to accidents and occupational health. Furthermore, all staff should understand that H&S is their responsibility, and not only that of management and the Board.

Scope, Objectives and Overall Findings

The scope of this audit was to review the arrangements in place within the College to deal with H&S issues.

The main objective of this audit was to review the College's overall arrangements for dealing with H&S issues and to consider whether these are adequate and operating effectively in practice at each campus site.

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

Objective	Findings			
The specific objectives of this audit were to obtain reasonable assurance the College has:		1	2	3
1. a H&S policy and documented procedures which are communicated to all staff.	Good	0	0	0
2. a formal risk identification and assessment process.	Requires Improvement	0	1	0
3. a H&S training programme which includes induction training, refresher training and training for new equipment and legislation.	Requires Improvement	0	1	1
4. regular monitoring of H&S systems to ensure that they are functioning effectively including H&S audits, carried out either internally or by external agencies such as the Health and Safety Executive.	Good	0	0	0
5. an incident and accident recording system with follow-up and implementation of new controls where required.	Good	0	0	0
6. regular reporting of H&S to senior management and to the Board of Management.	Satisfactory	0	0	1
Overall Level of Assurance	Requires Improvement	0	2	2
		System has weaknesses that could prevent it achieving control objectives.		

Audit Approach

From discussion with the Health and Safety Officer, and review of procedural documentation, we identified the internal controls in place and compared these with expected controls. A walkthrough of key systems was undertaken to confirm our understanding, and this was followed up with compliance testing where considered necessary. We have reported on any areas where expected controls were absent, not operating effectively or where controls could be further strengthened.

Summary of Main Findings

Strengths

- The College has a comprehensive H&S Policy in place, which is circulated to staff annually following any updates, and is available at all times via the staff intranet.
- The College make use of an external H&S Consultant to access relevant H&S expertise. The H&S Consultant carries out annual H&S audits.
- The College has a Health and Safety Committee which meets at least three times per year and H&S is a standing agenda item at each Board meeting. A verbal update is provided on all relevant H&S issues across all campuses and relevant issues are discussed. The H&S Committee includes members of the Executive Team, Senior Management Team, departmental representatives, and the external H&S Consultant which ensures a breadth of representation which is well placed to respond to the H&S risks identified and make improvements to its culture within the College.
- Through discussions with management and staff during our review we noted a desire to improve the current H&S approach and to address any weaknesses in its application across the College.

Weaknesses

- The College does not maintain a risk assessment register, which highlights the areas of activity within the College where a risk assessment is required, and provides confirmation that these have been approved; the dates that these are due to be updated; and action plans to address any concerns or improvements identified.
- For a sample of 10 risk assessments, we noted that: nine had not been signed and dated as approved; two did not have a review date set; and one was past the recorded review date and but had not been reviewed.
- Although completion of induction training, including H&S training, is a mandatory requirement for staff, the College training records do not readily identify which staff have completed induction training and there is no record to show whether additional H&S training needs have been identified for specific roles.
- Although there is a H&S Committee in place, and H&S is discussed as a standing item at Board meetings by way of an oral update, there is no formal reporting of H&S statistics to the Board or H&S Committee on a regular basis.

Acknowledgements

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



Main Findings and Action Plan

Objective 1: A H&S policy and documented procedures which are communicated to all staff.

The College has a H&S Policy in place which includes a H&S Policy Statement setting out the College's H&S objectives. This is reviewed annually and was last signed off by the Principal and the Chair of the Board in February 2020. The Policy outlines the responsibilities and arrangements for the management of H&S within the College. The responsibility for implementing the policy is shared between the Principal and Depute Principal, Board, managers, and staff. The responsibility for keeping up to date with legislation and sharing this knowledge with the College is delegated to the Head of Property. The College also utilise an external H&S Consultant for advice on specific H&S issues. The external H&S Consultant also undertakes an annual review of the College's H&S arrangements and provides advice on any changes in legislation or best practice.

The H&S Policy is made available to staff on the College intranet. It is also circulated to all staff and tutors by email on an annual basis (and any time that the policy is amended). H&S procedures are also communicated to staff and students using posters and signage across the College estate.

The Health and Safety Law poster and the current Employers Liability Compulsory Insurance certificate are displayed at each learning centre and signage is displayed as specified within fire and general risk assessments conducted by the external H&S consultant.

Copies of the relevant policies and procedures were reviewed as part of our audit. This was supplemented by discussions with the Head of Property to understand and evaluate the practical application of these policies and procedures across the College. These were considered to be adequate.

Objective 2: A formal risk identification and assessment process.

The College maintains a Risk Register, which includes a specific risk on failure to comply with relevant statutory regulations, including H&S requirements. The responsibility to ensure ongoing review, updating and mitigation of this risk has been delegated to the Board & Executive Team. The Risk Register includes details of actions that the College takes to mitigate the H&S risk. The College also maintains a specific H&S risk register detailing the H&S risks faced by the College and the actions in place to minimise the risks. Copies of the College Risk Register and the H&S risk register were obtained during the audit and we confirmed that the risks identified, and the associated mitigating actions, appear reasonable.

The College has a H&S Committee which meets at least three times per year. The Committee is chaired by the Head of Property and includes the Finance Director, the external H&S Consultant, and up to four employee representatives (who are elected for a two-year term). The remit and copies of the minutes of the most recent Committee meetings were obtained during our audit and we noted that there was evidence of discussion of H&S issues with actions being raised to address any weaknesses identified.

Observation	Risks	Recommendation	Management Response	
<p>For a sample of 10 risk assessments completed by the College we noted that: nine of the 10 risk assessments had not been signed and dated as approved; two did not have a review date set; and one was past the recorded review date but had yet to be reviewed and updated.</p> <p>We also noted that there is no risk assessment register in place which identifies all of the areas and activities within the College which require a risk assessment to be completed, records when these will need to be updated, or includes action plans to address any weaknesses/improvements identified. Staff conduct risk assessments for the areas for which they are responsible, unless the area is high risk in which case these are completed by the Head of Curriculum , with the external H&S and consultant assisting with risk assessments in non-academic areas.</p>	<p>Risk assessments are not completed, approved, or updated as required and any concerns or improvements identified are not followed up.</p>	<p>R1 Develop a risk assessment register which identifies the areas and activities for which a risk assessment is required, and records confirmation that these have been approved; the dates that these will require to be updated; and action plans to address any concerns or improvements identified.</p>	<p>Agreed this would be put in place</p> <p>To be actioned by: Head of Property</p> <p>No later than: 31/02/2021</p>	
			<p>Grade</p>	<p>2</p>

Health and Safety - DRAFT

Objective 3: A H&S training programme which includes induction training, refresher training and training for new equipment and legislation.

The Health and Safety at Work Act 1974 places a general duty on employers to provide such information, instruction, training, and supervision as is necessary to ensure, so far as practicable, the H&S at work of its employees.

All new staff at the College receive induction training, which includes e-learning modules on relevant H&S issues. The College also implements further training for staff which consists of online modules through the software package "Learn Upon". An external H&S Consultant has also delivered specific training to staff on topics such as Risk Assessments and Fire Marshall training.

Observation	Risks	Recommendation	Management Response
<p>Our audit testing included a review of induction training records for a sample of 10 staff to confirm that they had completed the appropriate H&S induction training modules within one month of their start date, and that any further job specific H&S training requirements had been identified. We noted that in each instance training records did not readily identify which staff had completed the mandatory H&S training or identify any additional H&S training associated with specific job roles.</p> <p>The external H&S consultants also deliver aspects of H&S training to College staff. Our review noted that records of attendance of these training events is held by the external consultants with individual staff that have attended responsible for updating their own training records in the HR system.</p> <p>Internal audit report 2020/02 Staff Development, issued in November 2020, identified that the College has not undertaken a training needs assessment which identifies the basic training associated with each post.</p>	<p>Without visibility and confirmation that staff have completed the relevant H&S training there is a lack of assurance that the College is complying with the requirements of the Health and Safety at Work Act 1974.</p>	<p>R2 The Head of Property should work collaboratively with HR to conduct a H&S training needs assessment to identify all specific H&S training associated with each job role. A review of training records should then be undertaken to ensure that staff have completed the mandatory H&S training, as well as any job specific training. Training should be arranged to address gaps to ensure that H&S training compliance is maintained.</p>	<p>Per the staff development audit we have identified the need for a training and development plan and for the need to ensure that mandatory training is carried out by all staff, and that this is recorded and regularly updated. We feel that general & mandatory H & S training should be identified by Head of Property, but that need for job specific training should be identified by line managers in conjunction with the H&S consultant, and also with input from the H&S union reps.</p> <p>To be actioned by: Head of Property/HR/SMT</p> <p>No later than: 31/05/2021</p>

Health and Safety - DRAFT

			Grade	2
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Objective 3: A H&S training programme which includes induction training, refresher training and training for new equipment and legislation.
(continued)

Observation	Risks	Recommendation	Management Response	
We also noted that there was a lack of clarity between HR and the Head of Property in terms of responsibility for monitoring H&S training compliance.	Without visibility and confirmation that staff have completed the relevant H&S training there is a lack of assurance that the College is complying with the requirements of the Health and Safety at Work Act 1974.	R3 Ongoing monitoring of H&S induction training, and delivery of other H&S training activity, should be undertaken regularly by the Head of Property and areas of non-compliance followed up with departmental managers. The Head of Property should report H&S training compliance data to each meeting of the H&S Committee.	Agreed. A process will be agreed by Head of Property to capture and record this information through liaison with HR, and a suitable report for both the H & S committee and the SMT prepared on a quarterly basis.	
			To be actioned by: Head of Property	
			No later than: 31/01/2021	
			Grade	2

Objective 4: Regular monitoring of H&S systems to ensure that they are functioning effectively including H&S audits, carried out either internally or by external agencies such as the Health and Safety Executive.

Annual H&S audits are conducted by the external H&S Consultant covering all College premises. These cover a general risk assessment of the College workshops and a fire risk assessment only. The H&S consultants compile an audit programme and send this to the Head of Property for approval. The audit process includes pre-audit meetings, audit interviews with College staff, and review and verification that the College H&S procedures are operating effectively. An audit report with findings and recommendations is then presented to the Head of Property. Audits and subsequent actions are discussed between the Head of Property and the relevant learning centre manager and, if required the H&S Consultant, and an action plan is established to resolve any issues identified. Recommendations are subsequently followed up by the external H&S consultants.

Any routine H&S audit visits which were scheduled after March 2020 were not fulfilled due to the COVID-19 pandemic, although our review did confirm that routine H&S audits were conducted regularly prior to March 2020.

Objective 5: An incident and accident recording system with follow-up process and implementation of new controls where required.

Discussions with the Head of Property confirmed that the College currently has a paper-based accident reporting process. Accident Books are located at each learning centre and these should be used by centre managers to record accidents, near misses and first aid callouts. Forms are scanned and sent to the Head of Property for review who will consider whether further investigation or notification to the Health and Safety Executive (HSE) is required. We noted that there were no incidents reported to or investigated by the HSE during academic year 2019/20.

Health and Safety - DRAFT

Objective 6: Regular reporting of H&S to senior management and to the Board of Management.

Discussions with management, and review of meeting minutes, confirmed that verbal updates on H&S activity are provided to every H&S Committee and H&S is a standing agenda item at every Board meeting.

UHI Academic Partners are required to demonstrate compliance with applicable legislation to the UHI Executive Office. In October 2019, the College submitted a H&S Checklist to the UHI Executive Office for the period August 2018 to July 2019, which confirmed that that high-level H&S controls were in place, including governance arrangements, risk assessments, occupational health, training and summarised the number of accidents during the period. The checklist was reported to the College Board and H&S Committee in December 2019.

Observation	Risks	Recommendation	Management Response			
<p>A detailed annual H&S report to the Board, containing a summary of H&S training, accidents, including a short summary of all reportable incidents under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR) and information on near-miss incidents, and other H&S developments in the year was not prepared for 2019.</p> <p>From our discussions, it was noted that it would be useful to provide this information quarterly, so that Board members and H&S Committee members have updates throughout the year rather than an annual update.</p>	<p>Board members and the H&S Committee will not be provided with an accurate picture of the accidents and incidents occurring within the College and will therefore not have ready access to the assurance they require that H&S risks are being identified and managed appropriately.</p>	<p>R4 Ensure that a detailed annual H&S report is prepared for the Board which includes a summary of:</p> <ul style="list-style-type: none">• H&S training.• Accidents.• Incidents, including RIDDOR and near misses.• Trend analysis of training, accidents, and incidents; and• Other relevant H&S developments. <p>Summary information should also be reported quarterly to the H&S Committee and Board.</p>	<p>Agreed. These reports will be put in place.</p> <p>To be actioned by: Head of Property</p> <p>No later than: 28/02/2021</p>	<table><tr><td>Grade</td><td>3</td></tr></table>	Grade	3
Grade	3					

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Argyll College

HR / Payroll

Internal Audit Report No: 2020/04

Draft issued: 27 November 2020

Final issued: 27 November 2020

LEVEL OF ASSURANCE

Requires Improvement



mha

HENDERSON LOGGIE

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Level of Assurance

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

Gradings are defined as follows:

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

Action Grades

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

Management Summary

Overall Level of Assurance

Requires Improvement

System has weaknesses that could prevent it achieving control objectives.

Risk Assessment

This review focused on the controls in place to mitigate the following risks on the Argyll College UHI Ltd ('the College') Register:

- Non-compliance with relevant statutory regulations. (risk rating: amber)
- Going over budget on expenditure - Financial failure/operating loss. Failure to implement savings as outlined in FFR (risk rating: amber).

Background

As part of the Internal Audit programme at Argyll College for 2019/20 we carried out a review of the HR / payroll arrangements. The Audit Needs Assessment identified this as an area where risk can arise and where Internal Audit can assist in providing assurances to the Board of Governors and Principal that the related control environment is operating effectively, ensuring risk is maintained at an acceptable level.

Scope, Objectives and Overall Findings

The scope of this audit was to consider the key internal controls in place over the College's spend on staff costs of approximately £1.25m per annum. Our audit covered the procedures in place within both Human Resources and Finance.

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

Objective	Findings			
The objective of our audit was to obtain reasonable assurance that systems are sufficient to ensure:		1	2	3
		No. of Agreed Actions		
1. Correct calculation of gross pay and deductions.	Requires Improvement	0	1	0
2. Correct calculation of employer national insurance and superannuation contributions.	Good	0	0	0
3. Part-time lecturers, overtime and travel & subsistence payments are properly authorised.	Requires Improvement	0	1	0
4. Approval and checking of changes to employee standing data.	Satisfactory	0	0	1
5. Starters and leavers are properly treated and enter and leave the system at the correct dates.	Satisfactory	0	0	1
6. Proper authorisation, processing and recording of payments.	Satisfactory	0	0	2
Overall Level of Assurance	Requires Improvement	0	2	4
		System has weaknesses that could prevent it achieving control objectives.		

Audit Approach

From discussion with Finance and Human Resources staff, and review of procedures documentation, we identified the key internal controls in place within the College's Human Resources / Payroll systems and compared these with expected controls.

Compliance testing was then carried out to ensure that the controls in place are operating effectively, concentrating on starters, leavers, and variations to pay.

Summary of Main Findings

Strengths

- From our sample testing we confirmed that gross pay had been correctly calculated, and salaries, hourly rates and rates for salary sacrifice deductions agreed to the standing data held in the HR / Payroll system.
- From our sample testing we confirmed that employer national insurance and superannuation contributions had been correctly calculated.
- For a sample of starters and leavers tested we confirmed that they had entered and left the HR / Payroll system at the correct date.
- The College has a process in place to ensure all timesheets are authorised for part-time lecturers and staff working additional hours, although the scope of our detailed testing was limited for a small number of items included in our sample due to physical records being unavailable as a result of COVID-19 restrictions.

Weaknesses

- Whilst most pension schemes use a net pay approach for calculating tax, NEST does not, and tax is calculated based on gross income. Tax relief is then added "a s u c e" by E ST. We noted through reperformance of deductions processed in April 2000 that the correct treatment of PAYE had been applied by the College, however in testing of deductions for members of the NEST scheme in August 2019 and December 2019 we found that the employee's PAYE had been calculated using a net pay approach. From discussion with the Director of Finance, we identified that PAYE for all employees in the NEST pension scheme had been calculated using a net pay approach in error up to March 2020. This error has resulted employees underpaying PAYE during the year up to March 2020, having received tax relief through the monthly payroll as well as at source through the NEST scheme.
- We reviewed a sample of 10 travel claims and agreed amounts to supporting documentation. All claim forms provided were electronic and hence were not signed by the employee or by the designated signatory to evidence authorisation. Staff explained that when electronic claims are submitted, these would be emailed to line managers for authorisation before being forwarded alongside copies of receipts for payment. No email authorisation or receipts could be provided for all 10 items in our sample.
- We noted that there is no secondary checking of changes made to the HR / Payroll system by Finance.
- We noted starter forms are limited to information on personal details such as address and marital status, as required by HMRC. We noted that details of Full Time Equivalent (FTE) / contracted hours, annual salary / hourly rate or start date are not recorded on the starter form. This meant that we were unable to check whether the new starts had been correctly entered on to the HR / Payroll system and paid from the agreed start date. We also noted that the lack of detail on the new start forms means that finance staff are not able to independently check these details prior to each monthly payroll being processed. We also noted that starter forms are not currently signed off by a member of SMT to confirm they have been approved in line with the College's procedures.
- We reviewed a sample of five payment runs processed in 2019/20 and noted that two payment runs had been prepared by the Director of Finance and therefore had not been independently authorised. Discussion with the Director of Finance noted that payroll payments had been processed and authorised for payment by the Director of Finance on several occasions in 2019/20 due to long term staff absences within the Finance team during the 2019/20 financial year.
- We noted that payroll exception reports are not routinely run as part of monthly payroll processes. Staff explained that until recently the effectiveness of exception reports as a key control was limited due to the number of staff on variable hour contracts, however as staff have now transferred to FTE contracts, this control would now be much more meaningful.

Acknowledgments

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

Main Findings and Action Plan

Objective 1: Correct calculation of gross pay and deductions.

We reviewed the systems and procedures in place to ensure that staff on the College payroll are paid the correct amounts, including controls over increases in pay grades and that deductions are made at the correct rates.

A sample of 10 employees was selected at random from the payroll and gross pay was verified to annual salary rates within the combined HR and Payroll system, Cascade. As part of our audit testing for these employees, the calculation of statutory deductions (PAYE and national insurance) was re-performed and checked for accuracy. In addition, a sample of salary sacrifice deductions were checked back to source documentation to ensure accuracy.

Observation	Risk	Recommendation	Management Response	
Whilst most pension schemes use a net pay approach for calculating tax, NEST does not, and tax is calculated based on gross income. Tax relief is then added "a s u c e" by E ST. We noted through reperformance of deductions in April 200 that the correct treatment of PAYE had been applied by the College, however in testing of deductions for members of the NEST scheme in August 2019 and December 2019 found that the employees PAYE had been calculated using a net pay approach. From discussion with the Director of Finance, we identified that PAYE for all employees in the NEST pension scheme had been calculated using a net pay approach in error up to March 2020. This error has resulted employees underpaying PAYE during year up to March 2020 having received tax relief through the monthly payroll as well as at source through the NEST scheme.	PAYE is calculated incorrectly, and employees have underpaid tax liabilities, which may require to be repaid later.	R1 The College should undertake a review of the PAYE underpayment for employees in the NEST pension scheme prior to March 2020. This should be quantified, and appropriate follow-up action determined.	Agreed.	
			To be actioned by: Finance Director	
			No later than: 31/01/2021	
			Grade	2

HR / Payroll

Objective 2: Correct calculation of employer national insurance and superannuation contributions.

The calculation of employer national insurance contributions for the 10 employees in our audit sample were re-performed and checked for accuracy. The results of our testing in this area proved satisfactory.

Employees are now automatically opted into the Strathclyde Pension Fund (SPF), NEST or the Scottish Public Pensions Agency (SPPA) and only contact HR if they want to opt out. For the 9 employees with pension deductions, within our sample, we agreed that the SPF, NEST or SPPA employer and employee contributions had been correctly calculated in line with the agreed contribution rates and noted no exceptions.

Objective 3: Part-time lecturers, overtime and travel & subsistence payments are properly authorised.

Staff with variable contracted hours and staff working hours, additional to those stated in their contract of employment, are required to submit timesheets. The College procedures require that appropriate documentation, such as timesheets, are completed and signed by the employee and designated signatory. Authorised documents are then passed to the HR department. Details are input to the Monthly Salaries Spreadsheet then passed to Finance for processing.

We selected 10 employees who worked variable hours or overtime and agreed the amounts claimed to the relevant supporting documentation. We were unable to obtain physical timesheets for our sample of employees due to COVID restrictions preventing access to records held in College premises. Although the College was able to provide alternative sources of evidence, which verified authorisation of hours being claimed for seven instances, we could not verify hours claimed to any appropriate supporting evidence in three instances. Details of timesheets are independently reviewed and input into the Monthly Salaries Spreadsheet by HR staff, which reduces the risk of payments for unauthorised hours being processed in the payroll system.

We obtained the support staff and teaching staff grades and spinal point annual salaries for the sample of 10 employees tested and agreed these to the HR / Payroll system with no issues noted.

HR / Payroll

Objective 3: Part-time lecturers, overtime and travel & subsistence payments are properly authorised (continued).

Travel and subsistence claims must also be signed by the employee and authorised by their line manager. All expenses reclaimed must be claimed on the Travel and Subsistence Claim form and all original receipts should be attached.

Observation	Risk	Recommendation	Management Response	
We reviewed a sample of 10 travel claims and agreed amounts to supporting documentation. All claim forms provided were electronic and hence were not signed by the employee or by the designated signatory to evidence authorisation. Staff explained that when electronic claims are submitted, these would be emailed to line managers for authorisation before being forwarded alongside copies of receipts for payment. No email authorisation or receipts could be provided for all 10 items in our sample.	Insufficient backup is held to support travel and subsistence claims. Fraudulent claims are made for travel and subsistence claims.	R2 In future copies of email authorisation and receipts for electronic travel and subsistence claims should be retained in line with HMRC retention requirements.	We would point out that we do retain copies of receipts for travel and subsistence claims, however, as the college was in lockdown when the information was requested, getting access to the receipts was not possible. We have used electronic versions of the travel claims for ease due to our centres and staff being spread across Argyll, but will give consideration to changing that to only accepting hard copies of forms, with appropriate signatures. For historic reasons, the T & S process has been within the remit of Head of Property, but we will be moving that process to the Accounts dept.	
			To be actioned by: Finance Director	
			No later than: 31/05/2021	
			Grade	2

HR / Payroll

Objective 4: Approval and checking of changes to employee standing data.

Staff have self-service access to the combined HR and Payroll system and have permissions to change key standing data which impacts the payroll aspect of the system, such as their bank accounts. Any changes to critical employee standing data such as this are notified to the HR staff who authorise the changes made.

We selected a sample of five changes to employee standing data and confirmed that all were appropriately authorised and applied correctly to the Payroll data.

Observation	Risk	Recommendation	Management Response
We noted that there is no secondary checking of changes made to the HR / Payroll system by Finance.	Without independent checks of staff data changes there is an increased risk of inappropriate payments and undetected internal fraud.	R3 On a monthly basis, a report showing any changes to employee standing data should be obtained and reviewed by staff independent of HR. This review should include checks to ensure that there is evidence to confirm that employees have requested / authorised any changes to their standing data.	<p>We are making enquiries with our HR/Payroll software suppliers to identify whether there is a report that the system can produce for this check to be carried out.</p> <p>To be actioned by: Finance Director</p> <p>No later than: 31/01/2021</p>
			<div>Grade</div> <div>3</div>

HR / Payroll

Objective 5: Starters and leavers are properly treated and enter and leave the system at the correct dates.

A sample of five new starts and five leavers during financial year 2019/20 was selected at random from a new starts and leavers report generated from the HR / Payroll system.

Each leaver was successfully traced to their notice of termination. It was found that the leavers had been appropriately removed from the Payroll system in line with the last day of employment.

Observation	Risk	Recommendation	Management Response	
We noted starter forms are limited to information on personal details such as address and marital status, as required by HMRC. We noted that details of Full Time Equivalent (FTE) / contracted hours, annual salary / hourly rate or start date are not recorded on the starter form. This meant we were unable to check whether the new starts had been correctly entered in the HR / Payroll system and paid from the agreed start date. We also noted that the lack of detail on the new start forms means that finance staff are not able to independently check these details prior to each monthly payroll being processed. We also noted that started forms are not currently signed off by a member of SMT to confirm they have been approved in line with the College's procedures.	Without independent checks of staff data changes there is an increased risk of inappropriate payments and undetected internal fraud.	R4 Starter forms should be reviewed to ensure they include all details required for Finance to carry out secondary checking of the information input to Cascade by HR staff. These should be authorised by SMT prior to new starts being included on the payroll, as required by the College's procedures.	<p>Agreed</p> <p>To be actioned by: Finance Director</p> <p>No later than: 31/01/2021</p>	
			Grade	3

HR / Payroll

Objective 6: Proper authorisation, processing and recording of payments .

The Monthly Salaries Spreadsheet is prepared by the HR department and is then passed to Finance to be processed through Cascade Payroll. Once all entries are processed, the gross pay figure is checked against the salaries spreadsheet. Payment runs are prepared by the Accounts Officer and are authorised by the Director of Finance.

Observation	Risk	Recommendation	Management Response	
We reviewed a sample of five payment runs processed in 2019/20 and noted that two payment runs had been prepared by the Director of Finance and therefore had not been independently authorised. Discussion with the Director of Finance noted that payroll payments had been processed and authorised for payment by the Director of Finance on several occasions in 2019/20 due to long term staff absences within the Finance team in the 2019/20 financial year.	Without independent checking of payment runs, there is an increased risk of inappropriate payments and undetected internal fraud.	R5 Ensure that secondary authorisation is obtained from another member of the Executive Team for payroll payments in instances where staff numbers do not allow sufficient segregation of duties when processing the payroll.	Agreed	
			To be actioned by: Finance Director	
			No later than: 31/12/2021	
			Grade	3

HR / Payroll

Objective 6: Proper authorisation, processing and recording of payments (Continued)			
Observation	Risk	Recommendation	Management Response
We noted that payroll exception reports are not routinely run as part of monthly payroll processes. Staff explained that until recently the effectiveness of exception reports as a key control was limited due to the number of staff on variable hour contracts, however as staff have now transferred to FTE contracts, this control would now be much more meaningful.	Without checks of pay variances, there is an increased risk of inappropriate payments and undetected internal fraud.	R6 On a monthly basis, a payroll exception report should be produced and reviewed by a member of staff independent of HR. This review should include checks that any variances in pay have been appropriately investigated and authorised. Evidence of these checks should be retained.	<p>Agreed</p> <p>To be actioned by: Finance Director</p> <p>No later than: 31/01/2021</p>
			<p>Grade</p> <p>3</p>

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Consultation on changes to the University's Resource Allocation Model | Co-chomhairleachadh air atharrachaidhean air Modh Riarachadh Ghoireasan an Oilthigh

This paper seeks the views of academic partners on proposed changes to the way that the university allocates teaching funding to academic partners for further and higher education.

Rationale for change

The partnership assembly report, agreed by the partnership and the university, recommended that 'we review our financial allocation mechanism to ensure it is fit for purpose' and that we 'invest in a system that captures the cost and value of delivery'. Since those recommendations were made in late 2019 there have been two key developments. Firstly, the partnership agreed at the Regional Strategy Committee in May 2020 to undertake a fundamental review of the curriculum we offer and how we inform, plan and make decisions on what we offer. The second is the Covid-19 pandemic and its likely impact on future funding and on changing patterns of demand. This situation increases the urgency for a resource allocation method that supports the right provision for the region in as efficient a way as possible.

More recently, the Scottish Funding Council (SFC) has signalled potential changes in the way that it funds both colleges and universities as part of its review of financial sustainability and coherent provision. While it is too early to say what the final shape of the SFC changes will be and when they will be implemented, the broad strategy – moving towards a more common tertiary approach, potentially including the ability for a tertiary institution to move funding between FE and HE – are consistent with the

Tha am pàipear seo a 'sireadh bheachdan chom-pàirtichean acadaimigeach air atharrachaidhean a chaidh a mholadh san dòigh sa bheil an t-oilthigh a' riarachadh maoineachadh teagaisg do chom-pàirtichean acadaimigeach airson foghlam adhartach agus àrd-ìre.

Feallsanachd airson atharrachadh

Mhol aithisg co-chruinneachadh com-pàirteachais, a chaidh aontachadh leis a 'chom-pàirteachas agus an t-oilthigh,' gum bi sinn ag ath-sgrùdadh ar uidheamachd riarachadh ionmhais gus dèanamh cinnteach gu bheil e iomchaidh airson adhbhar 'agus gum bi sinn' a 'tasgadh ann an siostam a ghlacas cosgais agus luach lìbhrigidh'. Bho chaidh na molaidhean sin a dhèanamh aig deireadh 2019 tha dà phrìomh leasachadh air a bhith ann. An toiseach, dh 'aontaich an com-pàirteachas aig a' Chomataidh Ro-innleachd Roinneil sa Chèitean 2020 sgrùdadh bunaiteach a dhèanamh air a 'churraicealam a tha sinn a' tabhann agus mar a bhios sinn a 'fiosrachadh, a' dealbhadh agus a 'dèanamh cho-dhùnaidhean air na tha sinn a' tabhann. Is e an dàrna fear galar lèir-sgaoilte Covid-19 agus a 'bhuaidh a dh' fhaodadh a bhith aige air maoineachadh san àm ri teachd agus air pàtrain iarrais caochlaideach. Tha an suidheachadh seo a 'meudachadh na h-èiginn airson modh riarachadh ghoireasan a bheir taic don t-solar cheart airson na sgìre, ann an dòigh cho èifeachdach sa ghabhas.

O chionn ghoirid, tha Comhairle Maoineachaidh na h-Alba (SFC) air comharrachadh atharrachaidhean a dh 'fhaodadh a bhith ann san dòigh sa bheil i a' maoineachadh gach cuid colaistean agus oilthighean mar phàirt den ath-bhreithneachadh aca air seasmhachd ionmhais agus solar ciallach. Ged a tha e ro thràth a ràdh dè an cumadh deireannach a bhios air na h-atharrachaidhean SFC agus cuin a thèid an cur an gnìomh, tha an ro-innleachd fharsaing - a 'glusad a dh' ionnsaigh dòigh-obrach treas-ìre nas cumanta, a 'toirt a-steach comas do stèidheachd treas ìre maoineachadh a ghluasad eadar FE agus HE - a rèir nàdar

broadly tertiary nature of the changes that we are proposing in this paper.

Scope of the review

This review covers both further and higher education. Currently the university allocates FE funding on the same basis that SFC allocates it to colleges, with a very small top slice to cover some of the cost of the university's FE-specific staff and activities. HE allocations are based primarily on teaching volume, with some additional allocations for academic leadership, after a top slice to cover university costs (management costs, core academic assurance as well as services for the academic partners such as information and communication technology, library, and digital subscriptions).

The purpose of our Resource Allocation Model

The university is a partnership that serves the people and economy of our region and its localities. It receives funding from the SFC to support education at both HE and FE level in the partners.

The purpose of a resource allocation model is to use that funding as effectively as possible to ensure that our collective ambitions for the region are met and we are also funding the capacity for our academic partners to respond to local or specialist needs.

We will continue to recognise the difference between further and higher education in our funding as we are currently funded separately by SFC for the two types of education. However, we are a tertiary institution and so we want to make the most of synergies between further and higher education.

The review of the RAM is linked to several other change processes that are underway at the moment.

farsaing treas ìre nan atharrachaidhean a tha sinn a' moladh sa phàipear seo.

Farsaingeachd an ath-bhreithneachaidh

Tha an lèirmheas seo a' còmhachadh an dà chuid foghlam adhartach agus àrd-ìre. An-dràsta bidh an t-oilthigh a' riarachadh maoineachadh FE air an aon bhunait a bhios SFC ga riarachadh gu colaistean eile, le pìos beag gu math beag airson cuid de chosgaisean luchd-obrach agus gnìomhan sònraichte FE an oilthigh a phàigheadh. Tha cuibhreannan HE stèidhichte sa mhòr-chuid air bunait tomhas teagaisg, le cuid de chuibhreannan a bharrachd airson ceannardas acadaimigeach, às deidh gearradh mòr gus cosgaisean oilthigh a chòmhdach (cosgaisean riaghlaidh, prìomh dhearbhadh acadaimigeach a bharrachd air seirbheisean dha na com-pàirtichean acadaimigeach leithid teicneòlas fiosrachaidh agus conaltraidh, leabharlann, agus fo-sgrìobhaidhean didseatach.

Adhbhar ar Modail Riarachadh Ghoireasan

Tha an t-oilthigh na chom-pàirteachas a tha a' frithealadh dhaoine agus eaconamaidh na sgìre againn agus na sgìrean ionadail. Bidh e a' faighinn maoineachadh bhon SFC gus taic a thoirt do fhoghlam aig ìre HE agus FE anns na com-pàirtichean.

Is e adhbhar dòigh riarachadh ghoireasan a bhith a' cleachdadh a' mhaoineachaidh sin cho èifeachdach sa ghabhas gus dèanamh cinnteach gu bheil a' coileanadh ar rùintean coitcheann airson na sgìre agus tha sinn cuideachd a' maoineachadh comas ar com-pàirtichean acadaimigeach freagairt ri feumalachdan ionadail no speisealta.

Leanaidh sinn oirnn ag aithneachadh an eadar-dhealachadh eadar foghlam adhartach agus àrd-ìre anns a' mhaoineachadh againn oir tha sinn an-dràsta air a' maoineachadh air leth le SFC airson an dà sheòrsa foghlaim. Ach, tha sinn nar stèidheachd treas ìre agus mar sin tha sinn airson a' chuid as fheàrr a dhèanamh de cho-obrachadh eadar foghlam adhartach agus àrd-ìre.

Tha an lèirmheas air an RAM ceangailte ri grunn phròiseasan atharrachaidh eile a tha a' dol air adhart an-dràsta.

Link to curriculum review

There is currently a separate process underway within the partnership to review the way that the partnership makes decisions on curriculum. It is likely to group our provision in four categories: regional core, local, attractor and non-SFC.

With all provision we need strong mechanisms in place to inform our decisions on what to provide in future and we need sufficient resources to support changes. The way that we allocate funding – this review of the resource allocation method – should support the implementation of that curriculum review.

Link to review of FE credit allocation

The Regional Strategy Committee decided in principle at its November meeting to move to a system that better linked funding for FE activity to delivery of the credit target for a partner. It further agreed to explore periodically reallocating credit targets based on performance against previous credit targets and changing economic and demographic factors. We will discuss the ways of doing this over the next few months. In introducing any change we will need to consider carefully the evidence we use for change and the impact on institutional stability. There is an overlap between the review of the RAM and any changes to credit allocation. The changes proposed in this consultation – splitting funding between an ‘institutional element’ and volume payment for activity – may make it easier to move to a different way of allocating credits.

Ceangal gu lèirmheas a ’churraicealaim

Tha pròiseas air leth an-dràsta air tòiseachadh taobh a-staigh a ’chompàirteachais gus ath-sgrùdadh a dhèanamh air an dòigh sa bheil an com-pàirteachas a’ dèanamh cho-dhùnaidhean air a ’churraicealam. Tha e dualtach an solar againn a chuir còmhla ann an ceithir roinnean: cridhe roinneil, ionadail, tarraingeach agus neo-SFC.

Leis a h-uile solar feumaidh sinn dòighean làidir nan àite gus fiosrachadh a thoirt do ar co-dhùnaidhean air dè a bu chòir a thoirt seachad san àm ri teachd agus tha feum againn air goireasan gu leòr gus taic a thoirt do atharrachaidhean. Bu chòir don dòigh anns am bi sinn a ’riarachadh maoineachadh - an ath-bhreithneachadh seo air an dòigh riarachadh ghoireasan - taic a thoirt do bhuileachadh an ath-bhreithneachaidh curraicealaim sin.

Ceangal gu lèirmheas air riarachadh creideas FE

Cho-dhùin a ’Chomataidh Ro-innleachd Roinneil ann am prionnsapal aig a’ choinneimh aca san t-Samhain gluasad gu siostam a bha a ’ceangal maoineachadh nas fheàrr airson gnìomhachd FE ri lìbhrigeadh an targaid creideis airson com-pàirtiche. Dh'aontaich iad cuideachd sgrùdadh a dhèanamh air targaidean creideis ath-riarachadh bho àm gu àm stèidhichte air coileanadh mu choinneamh thargaidean creideis roimhe agus factaran eaconamach is deamografach ag atharrachadh. Bruidhnidh sinn mu na dòighean air seo a dhèanamh thairis air na mìosan a tha romhainn. Ann a bhith a ’toirt a-steach atharrachaidhean sam bith feumaidh sinn beachdachadh gu faiceallach air an fhianais a bhios sinn a’ cleachdadh airson atharrachadh agus a ’bhuidh air seasmhachd stèidheachd. Tha tar-lùbadh eadar ath-bhreithneachadh an RAM agus atharrachaidhean sam bith ann an riarachadh creideas. Dh ’fhaodadh gum bi na h-atharrachaidhean a chaidh a mholadh sa cho-chomhairle seo - a’ roinneadh maoineachadh eadar ‘eileamaid stèidheachdail’ agus pàigheadh meud airson gnìomhachd ga dhèanamh nas fhasa gluasad gu dòigh eadar-dhealaichte airson creideas an riarachadh.

Aims of the RAM review

We can only serve the region if our constituent parts are operating effectively and efficiently. For that reason, we seek to both incentivise that the maximum amount of our funding is used to support directly student-facing activity while maintaining the financial viability of the academic partners. To do that we propose to fund in ways that incentivise common services and the most efficient structures both in the partners and the university centrally. We also want to encourage networking of courses in order to expand the curriculum offer available to students across the partnership.

The principles of the proposed model

The principles behind the model are that it is:

- Transparent – decisions on funding and the rationale for those decisions should be open and it should be clear what funding is going where for all of our funded provision in both partners and the university centrally.
- Simple – we should not have unnecessary differences between higher and further education funding methodology and it should be clear what will be delivered in return for funding.
- Equitable – recognising that to support equivalent levels of provision across our region we may need to fund partners differently.
- Student-focussed – its purpose should be to support provision that is high quality and which provides students with the educational outcomes they seek.
- Based on partnership and the needs of the region and its localities – our method should not incentivise intra-partner competition, but rather should support partnership working and the aims of the partnership in serving the region and its localities. It must ensure that decisions are taken at the right level - academic partners for local or specialist provision, regionally where necessary.
- Responsive – the method should not inhibit changes in provision which reflect changes in demand.
- Accountable – it should be one that supports clear accountability regarding what the funding is intended to provide, both for the academic partners and for central services.

Key elements of the proposed new model

We are proposing four main changes

- The introduction of an 'institutional element' into the funding model so that partners receive a payment for non-academic costs that is separate from the volume-based funding for activity (though in the initial years it will be partly related to volume).
- Spreading the funding retained for central costs (the top slice) across both HE and FE in a way that better reflects how the resource is used. (At the moment the top slice is almost entirely from the HE budget).
- Introducing an element of payment from non-SFC teaching income to the university. This would be used to cover essential central costs of validation and quality assurance and also create headroom for further investment in developing additional non-SFC income.
- Introduction of an annual funding agreement between the university and each academic partner which would define the expectations on the partners in return for funding while also specifying the expectations on the university in support for the academic partner.

Institutional element

Our partnership contains partners of very different sizes and with different delivery models. Often the smallest partners measured by volume are the ones that have, by necessity, the greatest number of campuses. A simple resource allocation model that pays for volumes of activity, even with weighting for more remote/island partners, does not suit us well.

While there are many ways that the funding could be allocated (including weighted premia, commissioning from partners, or using funding to incentivise particular provision) many of these methods could create instability in the academic partners and might not be effective ways of ensuring a coherent curriculum is available across the region. Institutional sustainability for the academic partners, including predictability of funding, were key factors in the preliminary discussion of new models. We are proposing a model that contains an 'institutional element' – in effect a block grant to cover some costs – as a way of acknowledging the different circumstances of the partners within a relatively simple system. This allows some separation between decisions on volume of activity and considerations on financial stability.

In the most minimal model this could simply be a way of funding the necessary additional costs of operating smaller or more remote partners. At the other end of the spectrum the institutional block grant could cover all the non-academic costs at all academic partners and also an element of the academic provision. While a larger institutional element would mean an apparently smaller unit of resource for academic provision, as some of the other costs currently covered by the unit of resource would be covered by the institutional element, this should not mean a smaller proportion of our funding ultimately supporting teaching. On the contrary, one of the attractions of an institutional element that covered a substantial element of the support costs in all partners is that it would make the proportions of funding being used for professional/support services (as opposed to teaching costs) more transparent. Setting these proportions correctly could incentivise sharing of professional services and maximising spend on teaching. Setting it incorrectly could have the opposite effect. Making the system work most effectively will therefore require effective implementation of the related Assembly recommendation to invest in a system that captures the cost and value of delivery. Given the importance of using our resources most efficiently, the view of the steering group was that models which had a relatively large institutional element were more likely to enable the partnership to target its funding most effectively. In the modelling for this consultation we have based part of the initial institutional element on a proportion of the current teaching funding. Over time, and as we developed better information on costs and more aligned services, this would change and would become a payment that was not directly related to changes in the volume of activity that we funded at the academic partner.

As well as the institutional element, there would be a volume-based payment for delivery of academic activity. Our view is that this needs to be done in a way that is as simple as possible and which encourages networking of teaching (that is different parts of courses being delivered by different academic partners, to a range of students enrolled in more than one academic partner). To do this we propose that in most cases we simply pay each partner directly for the proportion of a course they will provide. This is currently done for HE funding by a process (the microRAM) that re-allocates money within the academic year and which can lead to uncertainty in either funding level or the availability of networked courses. We propose that in future we allocate funding with a planned level of networked provision and adjust the level each year in a way that is informed by the actual figure for the previous year.

Funding for partnership services

Currently, for SFC teaching funding, the university retains a proportion of the SFC allocation to support central functions. These include essential regulatory and quality functions, services for the whole partnership and some funds that allocated back to partners.

The total budgets received from SFC for teaching activity in 2019/20 was £90,480,252, which was made up of £34,442,237 for HE, £9,185,714 from tuition fees and £43,685,301 for FE. This meant FE generated approximately 52% of 'teaching' income from SFC to the university and HE 48%. For 2018/19 the percentages were similar. While the income from teaching is broadly the same for the two types of education, the contribution to university services is not. The top slice of the budgets in 2019/20 totalled £15,615,988, with £346,205 coming from FE and £15,269,783 from HE budgets. This equates to 97.8% coming from HE and 2.2% from FE.

As some of the services provided by the university centrally are either tertiary in that they apply to the whole of what an academic partners does, whether HE or FE (the support for ICT is an example of this), or are provided to both HE and FE students (such as the student records system and reporting), it is not transparent or appropriate to fund this almost entirely from the HE budget. We are therefore proposing that the top slice for HE is reduced and the top slice for FE increased, to better reflect the balance of university services. We propose that the initial split between the two sectors would be 85% from HE and 15% from FE. This would mean that the HE top slice would be reduced from 35% of the SFC and SAAS teaching income to 30% and the FE top slice would increase from 0.7% to 5%.

These figures are modelled on keeping the total raised by the top slice at the current level. The amount of the top slice is contentious. However, amending the total amount of funding that is spent centrally as opposed to by partner is not the object of this review of the RAM. Clearly, other reviews and projects currently being undertaken as part of the Assembly/change management work may affect the amount of the top slice. Discussions regarding the amount will take place as part of the work on the overall financial strategy of the university partnership. In future, as we develop more precise information on the split of services, or the services themselves change, we would reconsider both the proportions applied to the HE/FE split and the overall amount of the top slice itself.

Even where services are funded from the top slice, we should not presume that they will be delivered by staff based in Inverness. Currently many staff funded from this source are based in partners across our region. The experience of the pandemic has show us that we could go further in locating staff elsewhere.

Non-SFC income

Our resource allocation model and the current arrangements for paying for central services do not apply to external income. We cannot (and should not) include external income in the RAM. It is often (though not always) generated by academic partners themselves and varies from year to year. However, we do propose applying a small contribution for central services from this income for two reasons: to recognise that – as with other provision – there will be an element of central cost in recruitment/student information and curriculum validation, as well as creating the resource to better develop and promote external income. In order to balance incentivisation of this income with central support, we propose that this contribution is smaller than the central contribution on SFC-funded provision. We propose to set this at 10%.

This new contribution would apply only to students who are not fundable by SFC and are charged a fee. It will not apply to income generated from non-academic activities. The group includes all taught HE students who do not have "SC" or "EU" fee statuses, as well as any commercial courses or students who are funded by, for example, SDS at a full cost recovery rate. The effect of this, based on the current income, is shown in the table below. Because of the

timing of this paper, for RUK and INT fee income, figures from 2018/19 have had to be used in the example, and not all full cost recovery course income may have been included.

The amounts affected by this proposal are shown below and are included in the modelling of the three options at the end of this document. This is for illustrative purposes. We recognise that there will be categories of teaching/training income that are not included in this table.

	18/19	18/19	19/20		
Academic Partner	RUK fees	INT fees	SDS funded	Total	10%
<u>Incorporated Colleges</u>					
Inverness College UHI	£212,947	£33,938	£1,285,957	£1,532,842	£153,284
Lews Castle College UHI	£20,160	£6,320	£53,259	£79,739	£7,974
Moray College UHI	£9,000	£0	£420,386	£429,386	£42,939
North Highland College UHI	£31,220	£11,120	£280,708	£323,048	£32,305
Perth College UHI	£95,689	£625,925	£627,468	£1,349,083	£134,908
<u>Assigned Colleges</u>					
Orkney College UHI	£71,420	£65,270	£170,030	£306,720	£30,672
Shetland College UHI	£9,300	£10,820	£37,988	£58,108	£5,811
West Highland College UHI	£69,820	£8,563	£181,178	£259,561	£25,956
Argyll College UHI	£0	£0	£130,569	£130,569	£13,057
<u>Other</u>					
Highland Theological College UHI	£43,420	£0	£0	£43,420	£4,342
NAFC Marine Centre UHI	£0	£0	£0	£0	£0
Sabhal Mor Ostaig UHI	£15,395	£52,200	£71,520	£139,115	£13,911
S.A.M.S. UHI	£54,000	£0	£0	£54,000	£5,400
UHI EO (UG optometry, PGT nursing and PGT history)	£55,000	£0	£0	£55,000	£5,500
	£687,371	£814,156	£3,259,062	£4,760,590	£476,059

The three modelled options

We have modelled three options in the tables at the end of this paper. They are all based the principles above.

Models 1 and 2 contain many elements in common. In both models we have set the initial institutional element at 25% of current funding. This is something that may change over time as we get better evidence on costs, reduce non-academic costs and perhaps move to a banded model for institutional elements. The use of a percentage at this stage is intended to provide a smooth transition. In both models we have also included a rurality element for HE provision that would cost £2M. This is something that does not exist at the moment.

In model 1 we have included a payment for academic leadership and provision that is set at 10% of current activity allocated pro rata to current academic leadership payments.

Model 2 is essentially the same as model 1, but in this case the payment for academic leadership and provision is capped at £2M and allocated across the partners pro rata to current academic leadership payments.

Model 3 is the 'smoothed option'. This option is intended to introduce the new model with as little initial turbulence for partners as possible. We have adjusted the parameters in the model of reduce significant variation between the existing funding and the proposed model. To do this we have started to merge some of the funding for the additional costs of national bargaining into the volume payment (about £2.6m of the £11.6m) and reduced the new HE rurality to £1M (as opposed to £2M for this new payment in the other options). As we will need to begin to move from a funding model based on the current cost of national bargaining at some point in the near future anyway, there are argument for this option that go beyond reducing turbulence . Once the new model is in place we would be able to adjust the parameters over a period of years in a way that might lead to eventual change in funding levels but there would be no significant immediate impact and therefore not need for a transition period.

Funding agreements

Currently there is a partnership agreement between the university and the academic partners that defines the relationship between the two. In order to make the system we propose work more effectively, we propose that there should also be an annual funding agreement between the university and each academic partner. The agreement would specify the expectations of the university for the institutional element, the volume-related funding, and the service and benefits the university would deliver from the new contribution from non-SFC income. This would assist us in being able to eliminate the in-year changes through the microRAM and would also enable us to include elements such as payments for programme leadership in the institutional element. It would also allow a framework for adjusting funding and – where targets had not been met – recovering funding, which would normally be taken back the following academic session. Most importantly, it should be an important tool for delivering the outcome of the curriculum review. The agreements could also specify expectations of the partner on the university, in particular in those areas where the university is providing a service on behalf of the partnership.

This system would require a new agreement each year to reflect the agreed activity for that year. However, our expectation would be that the content of the agreement would be similar in each year, which would mean the annual discussion and the resulting process would be focussed and avoid unnecessary bureaucracy.

Timing of implementation and next steps

Our intention is to introduce the new system for the 2021-22 academic year. In order to do that we will finalise arrangements in the light of this consultation and consider whether we need transitional arrangements.

Following consideration of the responses to this consultation by the partnership council in February, the finalised proposal will be considered by the Regional Strategy Committee and the Finance and General Purposes Committee in February, and a recommendation made to the university court in March. Subject to agreement at those bodies we would then intend to use the new model in making funding allocations in the spring of 2021 for academic year 2021-22.

Consultation questions for academic partners | Ceistean co-chomhairleachaidh airson com-pàirtichean acadaimigeach

- | | |
|--|---|
| <ul style="list-style-type: none">• Do you agree with our proposal to introduce an institutional element to our funding model?• Do you have views on which of the models of institutional element better meets the needs of the partnership?• Do you agree with the proposal to spread the cost of the central university service more equitably and transparently across further and higher education funding?• Do you agree with the principle of a proportion of external income being contributed to the partnership centrally and if so, do you agree with the proposal that it initially be set at 10% of teaching income?• Do you agree with the proposal for an annual funding agreement between the university and each partner to provide clarity of expectation on both sides?• Do you have any other comments on the issues covered by this consultation? | <ul style="list-style-type: none">• A bheil thu ag aontachadh ris a 'mholadh againn feart bunaiteach a thoirt a-steach don mhodail maoinreachaidh againn?• A bheil beachdan agad air dè na modailean de eileamaid stèidheachd a choinnicheas nas fheàrr ri feumalachdan a 'chom-pàirteachais?• A bheil thu ag aontachadh ris a 'mholadh gus cosgais prìomh sheirbheis an oilthigh a sgaoileadh ann an dòigh nas cothromaiche agus nas soilleire thar maoinreachadh foghlam adhartach is àrd-ìre?• A bheil thu ag aontachadh ris a 'phrionnsapal gum bi cuibhreann de theachd-a-steach taobh a-muigh air a chuir ris a' chom-pàirteachas gu meadhanach agus ma tha, a bheil thu ag aontachadh ris a 'mholadh gum biodh e air a shuidheachadh an toiseach aig 10% den teachd-a-steach teagaisg?• A bheil thu ag aontachadh ris a 'mholadh airson aonta maoinreachaidh bliadhnail eadar an t-oilthigh agus gach com-pàirtiche gus soilleireachd dùil a thoirt seachad air gach taobh?• A bheil beachdan sam bith eile agad air na cùisean a tha air an còmhachadh leis a 'cho-chomhairle seo? |
|--|---|

Deadline for responses | Ceann-latha airson freagairtean

Responses should be sent to John Kemp (john.kemp@uhi.ac.uk) by Friday 18 December. | Bu chòir freagairtean a chuir gu John Kemp (john.kemp@uhi.ac.uk) ro Dihaoine 18 Dùbhlachd.

Model 1	Volume	National Pay Bargaining	SMO	Sub - Total	HE Rurality £2M (added to existing FE rurality)	Non - academic costs – 25% of current activity	Academic leadership set at 10% of current activity	Cash Distribution				EO Topslice	Total Funding
								Revised	Budget	Variance (£)	Variance (%)		
<u>Incorporated Colleges</u>													
Inverness College UHI	£9,431,562	£1,939,576	£0	£11,371,138	£0	£3,629,108	£1,430,023	£16,430,269	£16,662,704	£(232,435)	-1.4%	£4,055,194	£20,485,464
Lews Castle College UHI	£1,614,458	£659,910	£0	£2,274,368	£1,224,893	£613,597	£536,786	£4,649,643	£4,517,615	£132,028	2.9%	£641,562	£5,291,205
Moray College UHI	£5,905,810	£1,209,174	£0	£7,114,984	£324,055	£2,288,678	£486,082	£10,213,799	£10,765,703	£(551,904)	-5.1%	£2,502,487	£12,716,286
North Highland College UHI	£3,187,504	£834,547	£0	£4,022,051	£1,389,672	£1,224,266	£436,962	£7,072,951	£7,116,396	£(43,445)	-0.6%	£1,120,280	£8,193,231
Perth College UHI	£9,722,947	£1,831,200	£0	£11,554,147	£0	£3,715,506	£1,551,021	£16,820,675	£17,199,137	£(378,462)	-2.2%	£4,722,743	£21,543,418
<u>Assigned Colleges</u>													
Orkney College UHI	£983,241	£923,002	£0	£1,906,243	£1,109,631	£380,953	£421,097	£3,817,924	£3,145,088	£672,836	21.4%	£371,180	£4,189,104
Shetland College UHI	£1,021,420	£524,149	£0	£1,545,569	£1,155,576	£392,941	£89,946	£3,184,033	£2,864,098	£319,935	11.2%	£325,973	£3,510,006
West Highland College UHI	£1,818,833	£1,864,167	£0	£3,683,000	£1,066,266	£703,055	£105,843	£5,558,164	£5,584,165	£(26,002)	-0.5%	£667,873	£6,226,036
Argyll College UHI	£1,657,826	£1,839,947	£0	£3,497,773	£1,118,424	£638,402	£5,258	£5,259,856	£5,393,308	£(133,452)	-2.5%	£569,794	£5,829,651
<u>Other</u>													
Highland Theological College UHI	£186,710	£0	£0	£186,710	£0	£81,282	£87,934	£355,927	£286,390	£69,537	24.3%	£152,993	£508,920
North Atlantic Fisheries College UHI	£83,414	£0	£0	£83,414	£0	£29,070	£6,243	£118,727	£143,737	£(25,010)	-17.4%	£54,717	£173,444
Sabhal Mor Ostaig UHI	£268,247	£0	£146,305	£414,552	£0	£115,654	£131,482	£661,688	£586,195	£75,493	12.9%	£217,688	£879,376
S.A.M.S. UHI	£325,477	£0	£0	£325,477	£0	£113,431	£64,357	£503,265	£494,280	£8,985	1.8%	£213,504	£716,768
UHI EO	£0	£0	£0	£0	£0	£0	£217,343	£217,343	£65,446	£151,897	232.1%	£0	£217,343
Buffer	£0	£0	£0	£0	£0	£0	£0	£0	£40,000	£(40,000)	-100.0%	£0	£0
	£36,207,450	£11,625,672	£146,305	£47,979,427	£7,388,517	£13,925,942	£5,570,377	£74,864,264	£74,864,262	£2		£15,615,988	£90,480,252

Model 2	National Pay Bargaining SMO			Sub - Total	HE Rurality £2M (added to existing FE rurality)	Non - academic costs – 25% of current activity	Academic leadership set at £2M allocated pro rata to volume	Cash Distribution				EO Topslice	Total Funding
	Volume							Revised	Budget	Variance (£)	Variance (%)		
<u>Incorporated Colleges</u>													
Inverness College UHI	£10,363,337	£1,939,576	£0	£12,302,913	£0	£3,629,108	£478,527	£16,410,548	£16,662,704	£(252,157)	-1.5%	£4,055,194	£20,465,742
Lews Castle College UHI	£1,780,069	£659,910	£0	£2,439,979	£1,224,893	£613,597	£179,624	£4,458,093	£4,517,615	£(59,522)	-1.3%	£641,562	£5,099,656
Moray College UHI	£6,495,296	£1,209,174	£0	£7,704,470	£324,055	£2,288,678	£162,657	£10,479,860	£10,765,703	£(285,842)	-2.7%	£2,502,487	£12,982,347
North Highland College UHI	£3,534,272	£834,547	£0	£4,368,819	£1,389,672	£1,224,266	£146,220	£7,128,977	£7,116,396	£12,582	0.2%	£1,120,280	£8,249,257
Perth College UHI	£10,611,962	£1,831,200	£0	£12,443,162	£0	£3,715,506	£519,017	£16,677,685	£17,199,137	£(521,452)	-3.0%	£4,722,743	£21,400,428
<u>Assigned Colleges</u>													
Orkney College UHI	£1,087,198	£923,002	£0	£2,010,200	£1,109,631	£380,953	£140,911	£3,641,695	£3,145,088	£496,607	15.8%	£371,180	£4,012,874
Shetland College UHI	£1,136,821	£524,149	£0	£1,660,970	£1,155,576	£392,941	£30,099	£3,239,586	£2,864,098	£375,488	13.1%	£325,973	£3,565,558
West Highland College UHI	£2,013,402	£1,864,167	£0	£3,877,569	£1,066,266	£703,055	£35,418	£5,682,308	£5,584,165	£98,143	1.8%	£667,873	£6,350,181
Argyll College UHI	£1,839,963	£1,839,947	£0	£3,679,910	£1,118,424	£638,402	£1,759	£5,438,496	£5,393,308	£45,187	0.8%	£569,794	£6,008,290
<u>Other</u>													
Highland Theological College UHI	£196,612	£0	£0	£196,612	£0	£81,282	£52,995	£330,889	£286,390	£44,499	15.5%	£152,993	£483,883
North Atlantic Fisheries College UHI	£88,993	£0	£0	£88,993	£0	£29,070	£3,763	£121,826	£143,737	£(21,911)	-15.2%	£54,717	£176,543
Sabhal Mor Ostaig UHI	£282,653	£0	£146,305	£428,958	£0	£115,654	£79,240	£623,851	£586,195	£37,656	6.4%	£217,688	£841,539
S.A.M.S. UHI	£347,249	£0	£0	£347,249	£0	£113,431	£38,786	£499,465	£494,280	£5,185	1.0%	£213,504	£712,969
UHI EO	£0	£0	£0	£0	£0	£0	£130,985	£130,985	£65,446	£65,539	100.1%	£0	£130,985
Buffer	£0	£0	£0	£0	£0	£0	£0	£0	£40,000	£(40,000)	-100.0%	£0	£0
	£39,777,827	£11,625,672	£146,305	£51,549,804	£7,388,517	£13,925,942	£2,000,000	£74,864,264	£74,864,262	£2		£15,615,988	£90,480,252

Model 3	National Pay Bargaining			Sub - Total	HE Rurality £1M (added to existing FE rurality)	Non - academic costs – 25% of current activity	Academic leadership set at £2M allocated pro rata to volume	Cash Distribution				EO Topslice	Total Funding
	Volume	SMO						Revised	Budget	Variance (£)	Variance (%)		
<u>Incorporated Colleges</u>													
Inverness College UHI	£11,071,128	£1,501,520	£0	£12,572,648	£0	£3,600,000	£514,088	£16,686,736	£16,662,704	£24,032	0.1%	£4,055,194	£20,741,931
Lewis Castle College UHI	£1,902,279	£510,869	£0	£2,413,147	£1,059,110	£925,000	£192,973	£4,590,230	£4,517,615	£72,615	1.6%	£641,562	£5,231,792
Moray College UHI	£6,934,234	£936,081	£0	£7,870,314	£280,196	£2,450,000	£174,745	£10,775,255	£10,765,703	£9,552	0.1%	£2,502,487	£13,277,742
North Highland College UHI	£3,770,593	£646,064	£0	£4,416,656	£1,201,586	£1,317,360	£157,086	£7,092,689	£7,116,396	£(23,707)	-0.3%	£1,120,280	£8,212,969
Perth College UHI	£11,354,965	£1,417,621	£0	£12,772,586	£0	£3,875,000	£557,587	£17,205,173	£17,199,137	£6,036	0.0%	£4,722,743	£21,927,916
<u>Assigned Colleges</u>													
Orkney College UHI	£1,159,676	£714,541	£0	£1,874,217	£959,448	£140,000	£151,383	£3,125,047	£3,145,088	£(20,040)	-0.6%	£371,180	£3,496,227
Shetland College UHI	£1,211,953	£405,769	£0	£1,617,722	£999,174	£215,000	£32,335	£2,864,232	£2,864,098	£134	0.0%	£325,973	£3,190,205
West Highland College UHI	£2,147,602	£1,443,143	£0	£3,590,744	£921,952	£1,025,000	£38,050	£5,575,746	£5,584,165	£(8,419)	-0.2%	£667,873	£6,243,619
Argyll College UHI	£1,962,314	£1,424,393	£0	£3,386,707	£967,051	£1,025,000	£1,890	£5,380,648	£5,393,308	£(12,660)	-0.2%	£569,794	£5,950,442
<u>Other</u>													
Highland Theological College UHI	£209,423	£0	£0	£209,423	£0	£50,000	£31,173	£290,596	£286,390	£4,206	1.5%	£152,993	£443,589
North Atlantic Fisheries College UHI	£96,212	£0	£0	£96,212	£0	£50,000	£2,213	£148,425	£143,737	£4,688	3.3%	£54,717	£203,142
Sabhal Mor Ostaig UHI	£301,290	£0	£146,305	£447,595	£0	£80,000	£46,612	£574,207	£586,195	£(11,989)	-2.0%	£217,688	£791,895
S.A.M.S. UHI	£375,415	£0	£0	£375,415	£0	£80,000	£22,815	£478,230	£494,280	£(16,051)	-3.2%	£213,504	£691,733
UHI EO	£0	£0	£0	£0	£0	£0	£77,050	£77,050	£65,446	£11,604	17.7%	£0	£77,050
Buffer	£0	£0	£0	£0	£0	£0	£0	£0	£40,000	£(40,000)	-100.0%	£0	£0
	£42,497,081	£9,000,000	£146,305	£51,643,386	£6,388,517	£14,832,360	£2,000,000	£74,864,264	£74,864,262	£1		£15,615,988	£90,480,252

Argyll College UHI

Follow-Up Reviews

2019/20

Internal Audit Report No: 2020/05

Draft issued: 26 November 2020

Final issued: 27 November 2020



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1. Management Summary

Introduction and Background

As part of the Internal Audit programme at Argyll College UHI ('the College') 2019/20 we carried out a follow-up review of the recommendations made in Internal Audit reports issued during 2018/19 and reports from earlier years where previous follow-up identified recommendations outstanding. These were:

- ICT Review of General Data Protection Regulation
- Assurance Review of Budgetary Control
- Assurance Review of Management and Board Reporting; and
- Follow-Up Reviews.

The following Internal Audit Reports, which were issued by the previous internal auditors, TIAA, in 2018/19, were not followed-up as these reports did not contain any recommendations:

- 2018/19 Annual Plan; and
- 2018/19 Annual Report.

Audit Scope and Objectives

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

Audit Approach

For the recommendations made in the reports referred to above we ascertained by enquiry and review of supporting documentation, as appropriate, whether they had been completed or what stage they had reached in terms of completion and whether the due date needed to be revised.

Action plans from the original reports, updated to include a column for progress made to date, are appended to this report.

Overall Conclusion

The College has made limited progress in implementing the recommendations followed-up as part of this review with four of 17 recommendations reviewed classified as 'fully implemented'. Nine recommendations were assessed as 'partially implemented', and three as 'little or no progress made'.

Follow-Up Reviews 2019/20

Overall Conclusion (continued)

One recommendation was assessed as 'considered but not implemented'.

We will follow-up the outstanding recommendations as part of the next follow-up review in 2020/21.

From Original Reports			From Follow-Up Work Performed			
Area	Rec'n Grades	Number Agreed	Fully Implemented	Partially Implemented	Little or No Progress Made	Considered But Not Implemented
ICT Review of General Data Protection Regulation	1	-	-	-	-	-
	2	3	2	1	-	-
	3	1	-	1	-	-
Total		4	2	2	-	-
Assurance Review of Budgetary Control	1	-	-	-	-	-
	2	2	-	-	1	1
	3	1	-	-	1	-
Total		3	-	-	2	1
Assurance Review of Management and Board Reporting	1	-	-	-	-	-
	2	3	-	3	-	-
	3	3	-	2	1	-
Total		6	-	5	1	-
Follow-Up Reviews	1	-	-	-	-	-
	2	4	2	2	-	-
	3	-	-	-	-	-
Total		4	2	2	-	-
Overall Total		17	4	9	3	1

Overall Conclusion (continued)

The grades, as detailed below, denote the priority grading that should have been given to each recommendation as defined by the College's previous Internal Audits:

1	Urgent	Fundamental control issue on which action should be taken immediately.
2	Important	Control issue on which action should be taken at the earliest opportunity.
3	Routine	Control issue on which action should be taken.

Acknowledgments

We would like to thank all staff for the co-operation and assistance we received during our reviews.

Appendix I - Updated Action Plan: ICT Review of General Data Protection Regulation (issued 2018/19)

Recommendation	Grade	Original Management Comments	To Be Actioned By	No Later Than	Progress at November 2020
Data Protection training be included within new staff induction.	2	We agree that whilst training was carried out in Sep 2018, this has not necessarily been carried out for new starts. Induction in future will ensure that training on GDPR is part of induction and also that there is a way of capturing that all staff undertake mandatory refresher training on GDPR on an annual basis.	Depute Principal	31/07/20	Data Protection / GDPR is now included as part of the new staff induction training. We recognise that improvements are required in our training and development processes, which has been further brought into focus by the recommendations of internal audit report on staff development (Internal Audit report 2020/02 – Staff Development, issued in November 2020). Fully Implemented
Procedures for managing and responding to Subject Access Requests be documented.	2	Procedures for managing and responding to Subject Data Access Requests will be added to the Data Protection Policy. Subject access request are reported quarterly to the Scottish Information Commissioner at the same time as Freedom of Information requests. There has only been one SAR in the last 10 years.	Depute Principal	13/12/19	A procedure has yet to be added to the Data Protection Policy for Subject Access Requests. This will be completed before the end of the calendar year. We have now updated details with the What do they know website which is commonly used as a conduit for FOI requests. Revised Completion Date: 31 December 2020 Partially Implemented

Follow-Up Reviews 2019/20

Recommendation	Grade	Original Management Comments	To Be Actioned By	No Later Than	Progress at November 2020
Data sharing arrangements be reviewed with a view to establishing data sharing agreements where necessary.	3	Agreed that this should be reviewed.	Principal	31/07/20	<p>These have been reviewed on an ad hoc basis driven by operational need in the last year. We recognise the need to do this systematically.</p> <p>Revised Completion Date: 31 July 2021</p> <p><i>Partially Implemented</i></p>
A CCTV Policy be developed, and CCTV usage be recorded within the data maps with consideration given to its impact and legal basis.	2	Agreed this is required particularly as it is intended for security purposes that CCTV will be installed.	Finance Director	31/03/20	<p>There is a UHI wide policy for CCTV usage, and we are currently reviewing signage where we have CCTV installed.</p> <p>Fully Implemented</p>

Appendix II - Assurance Review of Budgetary Control (issued 2018/19)

Recommendation	Grade	Original Management Comments	To Be Actioned By	No Later Than	Progress at November 2020
The Financial Procedures be reviewed to ensure these are up to date and reflective of current practice.	3	These will be reviewed at the F & GP meeting in March 2020.	Finance Director	31/03/20	<p>Owing to long term staff absence in the Accounts department from February 2020, this review did not take place. A new Accounts Assistant has recently been employed (October 2020) and this will allow the Accounts department to review, update and improve procedures. This will be taken to the Board in March 2021.</p> <p>Revised Completion Date: 31 March 2021</p> <p><i>Little or No Progress Made</i></p>

Follow-Up Reviews 2019/20

Recommendation	Grade	Original Management Comments	To Be Actioned By	No Later Than	Progress at November 2020
Budget holders be identified and assigned responsibility for budget monitoring and control.	2	Size of college, restructure and changes in management responsibilities over the past two years has meant that budgets have not been delegated and budgetary control has been with the Exec Team. Once the College Strategic Plan and Operating Plan for 2020/21 and onwards has been finalised, it is planned that budgets will be devolved.	Finance Director	01/08/20	<p>COVID, and various other demands on management time during 2020 has meant that the strategic plan is still to be finalised.</p> <p>The college has recently signed up to NRPA and will be undertaking an exercise reviewing the curriculum management arrangements. When this is completed, agreement on the devolvment of budgets will be agreed.</p> <p>Revised Completion Date: 31 July 2021</p> <p><i>Little or No Progress Made</i></p>
Spend to date be compared to budget to date and variances be calculated within the management accounts.	2	This will be put to the Board/SMT to establish their interest in having this incorporated or otherwise into management accounts.	Finance Director	12/12/19	<p>The Board discussed this and there was felt to be no real need for this further detail within the management accounts.</p> <p><i>Considered But Not Implemented</i></p>

Appendix III - Updated Action Plan: Assurance Review of Management and Board Reporting (issued 2018/19)

Recommendation	Grade	Original Management Comments	To Be Actioned By	No Later Than	Progress at November 2020
The Terms of Reference for the Board of Governors and sub-committees be reviewed.	3	These will be reviewed at the Board and Board sub-committee meetings at first round of Committee meetings in March 2020.	Board Secretary	31/03/20	<p>Due to lockdown, this was not taken to Board/committees in March, though they were reviewed by the Board Secretary. The ToRs will be reviewed by the Committees on 27 November 2020, and by the Board on 11 December 2020.</p> <p>Revised Completion Date: 31 December 2020</p> <p><i>Partially Implemented</i></p>
A set agenda and structure be agreed in respect of monthly SMT meetings.	3	The geographic dispersal of the SMT creates a challenge to regular meetings which is longstanding. Since the change in Principal, the membership of SMT has been reviewed and is now expanded to include HR representation. A monthly pattern has been established with an agenda which has a number of standing items.	Principal	31/07/20	<p>Again, COVID has placed a huge amount of demand on management time this year, and meetings have been arranged sporadically when time and availability of all SMT members has allowed, and by necessity have predominantly had to be virtual. When normal service is resumed, we will resume monthly meetings with standing items on agenda.</p> <p>Revised Completion Date: 31 July 2021</p> <p><i>Little or No Progress Made</i></p>

Follow-Up Reviews 2019/20

Recommendation	Grade	Original Management Comments	To Be Actioned By	No Later Than	Progress at November 2020
A Strategic Plan including strategic objectives be developed and approved for 2019/20 onwards.	2	Senior management are acutely aware of the need for Strategic Plan to be documented. In the past year, there have been a number of major, unplanned, operational issues to be dealt with which have necessarily taken precedence. That said, work has progressed on the basis for a strategic plan, the next stage of which is to share with the Board in December.	Principal/SMT	31/07/20	<p>COVID and other ongoing unplanned operational issues continue to provide challenges to the limited resources of the management team. We have just employed a Strategic Projects Co-ordinator and this role will provide additional resources and research to enable us to complete the plan. With union involvement on the staff side, this may now take longer than previously envisaged to allow all necessary and desired consultation to be carried out.</p> <p>Revised Completion Date: 31 March 2021</p> <p><i>Partially Implemented</i></p>
KPIs be developed which are linked to the College's strategic objectives. A framework be devised for all KPIs which documents ownership, clear definition of the KPI and measurement and documented procedures be introduced for the collection and calculation of the information.	2	See above. As the strategy is developed, appropriate KPIs will be defined and agreed.	Principal/SMT	31/07/20	<p>As above.</p> <p>Revised Completion Date: 31 March 2021</p> <p><i>Partially Implemented</i></p>

Follow-Up Reviews 2019/20

Recommendation	Grade	Original Management Comments	To Be Actioned By	No Later Than	Progress at November 2020
An Action Tracker be introduced for Board and sub-committee meetings to track actions until completion.	3	This will be introduced at the set of Committee/Board meetings in the first quarter of 2020 calendar year.	Board Secretary	31/03/20	<p>This has not been implemented, purely due to time pressures. It will be implemented from November 2020 onwards, and a copy of the tracker for the 27 November 2020 meetings will be forwarded when it is completed.</p> <p>Revised Completion Date: 30 November 2020</p> <p><i>Partially Implemented</i></p>
It be ensured that Board and sub-committee papers are provided to members in a timely manner to provide sufficient time for review.	2	The Executive Team are aware of the need for papers to be sent out one week in advance of the meetings. However, given the very limited staff resources within the organisation, and in particular within the SMT and the workloads of the members of that team, other calls on their time will continue to mean that papers may not always be finalised at the desired time.	Executive Team	N/A	<p>The original management comments remain the position.</p> <p>Revised Completion Date: 31 July 2021</p> <p><i>Partially Implemented</i></p>

Appendix IV - Updated Action Plan: Internal Audit Report 2019/07 – Follow-Up Reviews

Recommendation	Grade	Original Management Comments	To Be Actioned By	No Later Than	Progress at November 2019	Progress at November 2020
HR Management (issued 2017/18)						
Management be reminded of the induction processes to be followed and ensure that HR and Cascade are updated with details of completion.	2	Will be included in Curriculum Lead training. HR will ensure compliance and will run monthly reports from Cascade.	HR Officer / HR Administrator	01/09/2018	<p>It was advised that an induction checklist was in use but sample testing found that only one of the four new starts had a completed induction checklist on file.</p> <p>Revised completion date: 31/07/20</p> <p>Partially Implemented</p>	<p>HR Officer is now carrying out induction process with all new staff members. There were very few new starts over the period since the COVID-19 lockdown in March 2020 and all new starts from September 2020 will now go through the induction checklist with HR and appropriate line manager.</p> <p>Revised Completion Date: 31 July 2021</p> <p>Partially Implemented</p>

Follow-Up Reviews 2019/20

Recommendation	Grade	Original Management Comments	To Be Actioned By	No Later Than	Progress at November 2019	Progress at November 2020
HR Management (issued 2017/18)						
An appraisal process be established for review of staff performance and development with processes in place for recording completion and outcome of this.	2	Process is in place but training required for line managers. Training dates identified by 30/5/18 HR will implement a system for tracking appraisals have taken place and informing line managers of what staff are due an appraisal.	HR Officer / HR Administrator	01/09/2018	<p>It was advised that this recommendation has not yet been implemented due to other priorities.</p> <p>Revised completion date: 31/07/21</p> <p><i>Partially Implemented</i></p>	<p>Appraisal procedure and guidance notes implemented in 2019/20. Due to a lack of available management resources in 2019/20, and the impact of Covid-19, the appraisal procedure has not been fully implemented. A review of the curriculum management structure is currently being undertaken, and once complete the appraisal process will be re-established.</p> <p>Revised Completion Date: 31 July 2021</p> <p><i>Partially Implemented</i></p>

Follow-Up Reviews 2019/20

Recommendation	Grade	Original Management Comments	To Be Actioned By	No Later Than	Progress at November 2019	Progress at November 2020
Internal Communications (issued 2017/18)						
Operational procedures be developed to guide staff in the delivery of the internal communications arrangements.	2	This will be considered by the new Senior Management Team which has replaced the Operational Management Group, when the new Principal is in post, agreement will be reached on whether operational procedures is the correct way to go on this.	SMT / Head of Communications (HoC)	31/01/2019	<p>The College has documented a Communications and External Relations Strategy, but this does not cover operational procedures.</p> <p>Revised completion date: 31/07/20</p> <p><i>Partially Implemented</i></p>	<p>Procedures are now in place to monitor and approve internal communications to our larger staff distribution groups; e.g. any emails to 'all staff' 'all teaching staff' 'all students' be approved by Executive Management before distribution.</p> <p>Guidance on internal communication is given during staff induction.</p> <p><i>Fully Implemented</i></p>

Follow-Up Reviews 2019/20

Recommendation	Grade	Original Management Comments	To Be Actioned By	No Later Than	Progress at November 2019	Progress at November 2020
Website Administration (issued 2017/18)						
Documented procedures be developed to provide guidance to staff on the approved process for creating and maintaining website content.	2	The website is currently being substantially revised and upgraded. Once this is completed, we will develop and document suitable procedures for ongoing updating and maintenance of the site.	Head of Student Services	31/03/2019	<p>It was advised that this work is still ongoing as the website is still being revamped and upgraded.</p> <p>Revised completion date: 31/07/21</p> <p><i>Partially Implemented</i></p>	<p>Staff roles and job descriptions within the marketing team have been revised and responsibilities for maintaining and updating web information have been strengthened. An online request process has been established to record and monitor requests for web updates and the time taken by marketing team to respond.</p> <p><i>Fully Implemented</i></p>

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Argyll College UHI Ltd

**Annual Report to the Board of Governors and
Principal on the Provision of Internal Audit
Services for 2019/20**

Internal Audit Report No: 2020/06

Draft issued: 27 November 2020

Final issued: 27 November 2020



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Annual Report and Opinion

Introduction

- 1.1 We were re-appointed in July 2019 as internal auditors of Argyll College UHI Ltd ('the College') for the period 1 August 2019 to 31 July 2022, with an option available to the College to extend for a further 24 months thereafter. This report summarises the internal audit work performed during 2019/20.
- 1.2 A Strategic Plan, incorporating an Audit Needs Assessment (ANA), based on the areas of risk that the College is exposed to, was prepared as part of our internal audit programme for 2019/20 (internal audit report 2020/01, issued in May 2020). The Strategic Plan was prepared following discussion with the Executive Management Team and the Chair of the Audit Committee, and also review of previous internal and external audit reports, and covered the three-year internal audit cycle from 2019/20 to 2021/22. The ANA was based on the College's Strategic Risk Register and this was supplemented by our assessment of the risks faced by the College. The Strategic Plan was then formulated covering the three-year cycle, and this was approved by the Audit Committee, together with the ANA, at its meeting on 12 June 2020.
- 1.3 The internal audit work undertaken in the year followed that set out in the Strategic Plan for 2019/20.
- 1.4 The reports submitted are listed in Section 2 of this report and a summary of results and conclusions from each assignment is given at Section 3.
- 1.5 An analysis of time spent against budget is shown at Section 4.

Public Sector Internal Audit Standards (PSIAS) Reporting Requirements

- 1.6 The College has responsibility for maintaining an effective internal audit activity. You have engaged us to provide an independent risk-based assurance and consultancy internal audit service. To help you assess that you are maintaining an effective internal audit activity we:
- Confirm our independence;
 - Provide in a i n ab u he yea 's ac ivi y and he k planned nex yea in his report; and
 - Provide quality assurance through self-assessment and independent external review of our methodology and operating practices.
- 1.7 Self-assessment is undertaken through:
- Our continuous improvement approach to our service. We will discuss any new developments with management throughout the year;
 - Ensuring compliance with best professional practice, in particular the PSIAS;
 - Annual confirmation from all staff that they comply with required ethical standards and remain independent of clients;
 - Internal review of each assignment to confirm application of our methodology which is summarised in our internal audit manual; and
 - Annual completion of a checklist to confirm PSIAS compliance.
- 1.8 External assessment is built into our firm-wide quality assurance procedures. MHA Henderson Loggie is a member of MHA, a national association of independent accountancy firms. Continued membership of MHA is dependent on maintaining a high level of quality and adhering to accounting and auditing standards in the provision of our services. Annual quality reviews are conducted to confirm our continuing achievement of this quality. The independent MHA review conducted in March 2019 included our internal audit service. This was a comprehensive independent review of our internal audit function as required every five years by PSIAS. Overall, he evie c n i ed ha he i 's p lici es and p ced u es ela ing to internal audit were compliant with the PSIAS in all material respects. Our annual self-assessment, conducted in May 2020, confirmed that the outcomes of the independent assessment remain valid.
- 1.9 Therefore, the results of our self-assessment are that we are able to confirm that our service is independent of the College and complies with the PSIAS.

Significant Issues

- 1.10 Internal audit report 2020/02 – Staff Development as g aded as 'Requi es I p ve en'. This report highlighted specific control weaknesses in relation to the Staff Development Committee which is responsible for approving staff development requests. Our review noted that the Staff Development Committee was chaired by a Head of Curriculum and previously met every six weeks. However, the committee has not convened since August 2019. Without a functioning staff development committee, development opportunities could be restricted due to a failure in the training approval procedures. Failure to evaluate the effectiveness of training could also lead to poor use of resources by continuing training that does not result in more efficient or effective working practices or provide value for money.

Significant Issues (Continued)

- 1.11 Internal audit report 2020/03 - Health and Safety as graded as 'Requires Improvement'. This report highlighted specific control weaknesses around the need to maintain a risk assessment register which highlights the areas of activity within the College where a risk assessment is required and provides confirmation that these have been approved, the dates that these are due to be updated and action plans to address any concerns or improvements identified. It was also reported that although completion of induction training, including H&S training, is a mandatory requirement for staff, the College training records do not readily identify which staff have completed induction training and there is no record to show which additional H&S training needs have been identified for specific roles.
- 1.12 Internal audit report 2020/04 - Payroll as graded as 'Requires Improvement'. This report highlighted errors in relation to the calculation of PAYE tax relief for NEST pension scheme members. Whilst most pension schemes use a net pay approach for calculating tax, NEST deduction and tax is calculated based on gross income. Tax relief is then added "a sum" by NEST. We noted through reperformance of deductions in April 2020 that the correct treatment of PAYE had been applied by the College, however in testing of deductions for members of the NEST scheme in August 2019 and December 2019 and had the employee's PAYE had been calculated using a net pay approach. From discussion with the Director of Finance, we identified that PAYE for all employees in the NEST pension scheme had been calculated using a net pay approach in error up to March 2020. This error has resulted employees underpaying PAYE during year up to March 2020 having received tax relief through the monthly payroll as well as at source through the NEST scheme.

Opinion

- 1.14 Based on the work conducted during 2019/20, which is summarised in paragraphs 1.10. 1.11 and 1.12 above, we have identified significant issues in the areas of staff development, health and safety and HR / Payroll. In addition, there has been limited progress in taking forward previous internal audit recommendations during 2019/20. Therefore, we are not in a position to conclude that the College has adequate and effective arrangements for control and governance. We have no issues to raise around the way the College manages risk or the arrangements to promote and secure Value for Money. This opinion has been arrived at taking into consideration the work we have undertaken during 2019/20.

Reports Submitted

Number	Title	Overall Grade	Recommendations	Priority 1	Priority 2	Priority 3
2020/01	Strategic Internal Audit Plan 2019 to 2022 and Outline Internal Audit Annual Plan 2019/20	N/A	N/A	N/A	N/A	N/A
2020/02	Staff Development	Requires Improvement	6	-	2	4
2020/03	Health and Safety	Requires Improvement	4	-	3	1
2020/04	HR / Payroll	Requires Improvement	6	-	2	4
2020/05	Follow-Up Reviews	N/A	12 of 17 recommendations required further action	-	7	5

Overall gradings are defined as follows:

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

Recommendation grades are defined as follows:

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



Summary of Results and Conclusions

2020/01 – Strategic Internal Audit Plan 2019 to 2022 and Outline Internal Audit Annual Plan 2019/20

Final Issued – May 2020

The purpose of this document was to present, for consideration by the Audit Committee, the Strategic Plan for 2019 to 2022 and the outline annual internal audit operating plan for the year ended 31 July 2020. The outline scope, objectives, and audit approach for each audit assignment to be undertaken, arrived at following discussion with the Executive Management Team, were set out in the report.

2020/02 – Staff Development

This audit considered whether the College is making best use of its staff and included a review of workforce planning; training; and the personal development plan system.

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

Strengths

- The College continually monitors student and staff numbers to ensure that sufficient staff resources are attached to each course.
- The College has a dedicated Learning and Development (L&D) Coordinator who coordinates training and development activities delivered across the College.
- The College provides a range of learning and development opportunities for staff, including supporting staff in undertaking the Professional Development Award in Teaching Practice.
- Staff have access to a suite of online training modules which provides them with flexible opportunities for learning and development.
- Staff Development Request Procedures are in place which outline the application, review, and approval process for training requests.
- The e a e echanis s in place c unicate he C llege's bjec ives departments and to staff and to review departmental and College performance.

Weaknesses and Opportunities for Improvement

- The C llege has n devel p ed a W k ce Plan h ich e lec s he C llege's medium-term strategy for managing its workforce (including the provision of support through learning and development). Such a Workforce Plan would include an analysis of the current workforce and identify future staffing requirements (as well as setting out a strategy describing how any potential gaps could be addressed).
- The Staff Development Committee is responsible for approving staff development requests. Our review noted that the Staff Development Committee was chaired by a Head of Curriculum and previously met every six weeks. However, the committee has not convened since August 2019.

Final Issued – November 20202 Overall grade: Requires Improvement

The objective of this audit was to obtain reasonable assurance that:	
1. the College has a systematic approach for ensuring that its staff resources match what is required in order to deliver its commitments. Where gaps are identified, timely action is taken to close these.	Satisfactory
1. he C llege's app ach aining including induction training, is clearly informed by an assessment of where there are skills / knowledge / performance gaps.	Requires Improvement
2. the College has a systematic approach to evaluating its training to ensure that it is achieving the desired impact.	Satisfactory
3. there is a systematic approach for translating business objectives into actions / tasks for members of staff.	Satisfactory
4. a systematic approach is used for communicating objectives and performance expectations to staff.	Good
5. a systematic process is used for providing feedback to staff on performance and agreeing action to improve performance.	Good
Overall Level of Assurance	Requires Improvement

2020/02 – Staff Development (continued)

Weaknesses and Opportunities for Improvement

- Although guidance is available to staff on the appraisal process, and information is available on a range of learning and development activities, the College has not established an overarching staff Learning & Development policy which clearly outlines the College's aims and objectives, outlines the responsibilities of line managers, senior management and the Board in relation to staff training.
- The current staff development request form requires staff to document how the College will benefit as well as what the individual hopes to gain from attendance at a training event. However, there is scope to expand this to document the expected learning outcomes which would later allow a formal evaluation of the impact of training received by requiring staff to revisit the expected learning outcomes recorded on the development request form a period of time after having received the training in order to confirm that the learning needs have been met.
- The staff appraisal form, and associated guidance notes, do not provide a clear linkage between the training needs identified on the appraisal forms and the departmental operational or College Strategic Plan objectives.

2020/03 – Health & Safety

This audit reviewed the arrangements in place within the College to deal with Health and Safety (H&S) issues. The main objective of the audit was to evaluate the College's overall arrangements for dealing with H&S issues and to consider whether these are adequate and operating effectively in practice at each campus site.

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

Strengths

- The College has a comprehensive H&S Policy in place which is circulated to staff annually and following any updates and made available at all times on the staff intranet.
- The College make use of an external H&S Consultant for relevant H&S expertise. The H&S Consultant carries out annual H&S audits.
- The College has a Health and Safety Committee which meets at least three times per year and H&S is a standing item at each Board meeting. A verbal update is given on all relevant H&S issues across all campuses and relevant issues are discussed. The H&S Committee includes members of the Executive Team, Senior Management Team, departmental representatives and the external H&S consultant who are well placed to respond to the H&S risks identified and make improvements to its culture within the College.
- Through discussions with management and staff during our review we noted a desire to improve the current H&S approach and address the weaknesses in its application across the College.

Weaknesses

- The College does not maintain a risk assessment register which highlights the areas of activity within the College where a risk assessment is required and provides confirmation that these have been approved, the dates that these are due to be updated and action plans to address any concerns or improvements identified.
- For a sample of 10 risk assessments, we noted that: nine had not been signed and dated as approved; two did not have a review date set; and one was past the recorded review date and but had not been reviewed.

Final Issued – November 2020 Overall grade: Requires Improvement

We sought to obtain reasonable assurance that the College has:	
1. a H&S policy and documented procedures which are communicated to all staff.	Good
2. a formal risk identification and assessment process.	Requires Improvement
3. a H&S training programme which includes induction training, refresher training and training for new equipment and legislation.	Requires Improvement
4. regular monitoring of H&S systems to ensure that they are functioning effectively including H&S audits, carried out either internally or by external agencies such as the Health and Safety Executive.	Good
5. an incident and accident recording system with follow-up and implementation of new controls where required.	Good
6. regular reporting of H&S to senior management and to the Board of Management.	Satisfactory
Overall Assurance Level	Requires Improvement

2020/03 – Health & Safety (Continued)

- Although completion of induction training, including H&S training, is a mandatory requirement for staff, the College training records do not readily identify which staff have completed induction training and there is no record to show which additional H&S training needs have been identified for specific roles.
- Although there is a H&S Committee in place, and H&S is discussed as a standing item at Board meetings by way of an oral update, there is no formal reporting of H&S statistics to the Board or H&S Committee on a regular basis.

2020/04 – HR / Payroll

This audit considered the key internal controls in place over the College's spend on a costs of approximately £1.25m per annum. The audit covered the procedures in place within both Human Resources and Finance.

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

Strengths

- From our sample testing we confirmed that gross pay had been correctly calculated, and salaries, hourly rates and rates for salary sacrifice deductions agreed to the standing data held in the HR / Payroll system.
- From our sample testing we confirmed that employer national insurance and superannuation contributions had been correctly calculated.
- For a sample of starters and leavers tested we confirmed that they had entered and left the HR / Payroll system at the correct date.
- The College has a process in place to ensure all timesheets are authorised for part-time lecturers and staff working additional hours, although the scope of our detailed testing was limited for a small number of items included in our sample due to physical records being unavailable as a result of COVID-19 restrictions.

Weaknesses

- Whilst most pension schemes use a net pay approach for calculating tax, NEST does not and tax is calculated based on gross income. Tax relief is then added "at source" by HMRC. We noted however in April 2020 that the correct treatment of PAYE had been applied by the College, however in testing of deductions for members of the NEST scheme in August 2019 and December 2019 and had the employee's PAYE had been calculated using a net pay approach. From discussion with the Director of Finance, we identified that PAYE for all employees in the NEST pension scheme had been calculated using a net pay approach in error up to March 2020. This error has resulted employees underpaying PAYE during year up to March 2020 having received tax relief through the monthly payroll as well as at source through the NEST scheme.

Final Issued – November 2020 **Overall grade: Requires Improvement**

The objective of this audit was to obtain reasonable assurance that systems are sufficient to ensure:	
1. correct calculation of gross pay and deductions.	Requires Improvement
2. correct calculation of employer national insurance and superannuation contributions.	Good
3. part-time lecturers, overtime and travel & subsistence payments are properly authorised.	Requires Improvement
4. approval and checking of changes to employee standing data.	Satisfactory
5. starters and leavers are properly treated and enter and leave the system at the correct date.	Satisfactory
6. proper authorisation, processing and recording of payments.	Satisfactory
Overall Assurance Level	Requires Improvement

2020/04 – HR / Payroll (Continued)

- We reviewed a sample of 10 travel claims and agreed amounts to supporting documentation. All claim forms provided were electronic and hence were not signed by the employee or by the designated signatory to evidence authorisation. Staff explained that when electronic claims are submitted, these would be emailed to line managers for authorisation before being forwarded alongside copies of receipts for payment. No email authorisation or receipts could be provided for all 10 items in our sample.
- We noted that there is no secondary checking of changes made to the HR / Payroll system by Finance.
- We noted starter forms are limited to information on personal details such as address and marital status, as required by HMRC. We noted that details of Full Time Equivalent (FTE) / contracted hours, annual salary / hourly rate or start date are not recorded on the starter form. This meant we were unable to check whether the new starts had been correctly entered in the HR / Payroll system and paid from the agreed start date. We also noted that the lack of detail on the new start forms means that finance staff are not able to independently check these details prior to each monthly payroll being processed. We also noted that started forms are not currently signed off by a member of SMT to confirm they have been approved in line with the College's procedures.
- We reviewed a sample of five payment runs in 2019/20 and noted that two payment runs had been prepared by the Director of Finance and therefore had not been independently authorised. Discussion with the Director of Finance noted that payroll payments had been processed and authorised by payment by the Director of Finance on several occasions in 2019/20 due to long term staff absences within the Finance team in the year.
- We noted that payroll exception reports are not run as part of monthly payroll processes. Staff explained that until recently the effectiveness of exception reports as a key control was limited due to the number of staff on variable hour contracts, however as staff have now transferred to FTE contracts, this control would now be much more meaningful.

2020/05 – Follow-Up Reviews 2019/20

Final Issued – November 2020

We carried out a follow-up review of recommendations made in the following Internal Audit reports issued during 2018/19:

- ICT Review of General Data Protection Regulation
- Assurance Review of Budgetary Control
- Assurance Review of Management and Board Reporting; and
- Follow-Up Reviews.

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

Overall, we found that the College had made limited progress in implementing the recommendations followed-up as part of this review. Only four of the 17 recommendations followed-up were assessed as 'fully implemented'.

One recommendation from the Assurance Review of Budgetary Control issued in 2018/19 had been 'considered but not implemented'. Following discussion the original recommendation the Board decided that reporting spend to date compared to budget to date and variances within the management accounts was not required.

Two recommendations from the Assurance Review of Budgetary Control and one recommendation from the Assurance Review of Management and Board Reporting, both issued in 2018/19, were assessed as showing 'little progress'. The impact of COVID-19, various other demands on management time and long-term staff absences within the accounts departments during 2020 has delayed the implementation of these actions.

Of the nine recommendations that had been assessed as 'partially implemented' related to the HR Management report, issued in 2017/18 (covered by the previous year's Follow-Up Reviews). Improvements to the new staff induction process and appraisal procedures were implemented during 2019/20, however due to the impact of COVID-19 these have yet to be fully implemented across the College.

2020/05 – Follow-Up Reviews 2019/20 (Continued)

Our findings from each of the follow up reviews has been summarised as follows:

<i>From Original Reports</i>			<i>From Follow-Up Work Performed</i>			
Area	Rec'n Grades	Number Agreed	Fully Implemented	Partially Implemented	Little or No Progress Made	Considered But Not Implemented
ICT Review of General Data Protection Regulation	1	-	-	-	-	-
	2	3	2	1	-	-
	3	1	-	1	-	-
Total		4	2	2	-	-
Assurance Review of Budgetary Control	1	-	-	-	-	-
	2	2	-	-	1	1
	3	1	-	-	1	-
Total		3	-	-	2	1
Assurance Review of Management and Board Reporting	1	-	-	-	-	-
	2	3	-	3	-	-
	3	3	-	2	1	-
Total		6	-	5	1	-
Follow-Up Reviews	1	-	-	-	-	-
	2	4	2	2	-	-
	3	-	-	-	-	-
Total		4	2	2	-	-
Overall Total		17	4	9	3	1

Time Spent - Actual v Budget

	Report number	Planned days	Actual days feed	Days to fee at Nov'20	Days to spend / WIP	Variance
Reputation						
Health and Safety	2020/03	4	-	4	-	-
Staffing Issues						
Staff Development	2020/02	4	-	4	-	-
Payroll	2020/04	4	-	4	-	-
Other Audit Activities						
Management and Planning)		2	-	2	-	-
External audit / SFC)						
Attendance at Audit Committee)						
Follow-up Reviews	2020/05	1	-	1	-	-
ANA and Strategic Plan	2020/01	1	-	1		
Total		<u>16</u>	<u>-</u>	<u>16</u>	<u>-</u>	<u>-</u>
		=====	=====	=====	=====	=====



Operational Plan for 2020/21

- 5.1 Following our appointment as internal auditors for the period from 1 August 2019 to 31 July 2022 we prepared a Strategic Plan for 2019 to 2022 (internal audit report 2020/01, issued May 2020).
- 5.2 An extract from the revised Strategic Plan, in relation to 2020/21, is attached.

Proposed Allocation of Audit Days

	Category	Priority	Planned 20/21 Days
Reputation			
<i>Publicity and Communications</i>	Gov	M	
<i>Health and Safety</i>	Gov	M	
Student Experience			
<i>Curriculum planning</i>	Perf	M	
<i>Quality assurance</i>	Perf	M	
<i>Student support</i>	Perf	M	
<i>Student recruitment and retention</i>	Fin/Perf	H	4
Staffing Issues			
<i>Staff recruitment and retention</i>	Perf	H	
<i>Staff development</i>	Perf	M	
<i>Sickness absence</i>	Perf	M	
<i>Workforce planning</i>	Perf	M	
<i>Payroll</i>	Fin	L/M	
Estates and Facilities			
<i>Building maintenance</i>	Fin/Perf	M/H	
<i>Estates strategy / capital projects</i>	Fin/Perf	M	
<i>Space management</i>	Perf	M	
<i>Asset / fleet management</i>	Perf	M/H	
Financial Issues			
<i>Budgetary control</i>	Fin	L/M	
<i>Financial planning</i>	Fin	M	
<i>Student fees and contracts / registry</i>	Fin	M	
<i>General ledger</i>	Fin	L/M	
<i>Procurement and creditors / purchasing</i>	Fin	M	4
<i>Debtors/ Income</i>	Fin	L/M	
<i>Cash & Bank / Treasury management*</i>	Fin	M	
<i>Fraud prevention, detection and response</i>	Fin	M	
Commercial Issues			
<i>Business Development</i>	Fin/Perf	M	4
Organisational Issues			
<i>Risk Management</i>	Perf	M	
<i>Business Continuity</i>	Perf	M	
<i>Corporate Governance</i>	Gov	L/M	
<i>Corporate Planning</i>	Perf	L/M	
<i>Performance reporting / KPIs</i>	Perf	M	
<i>Partnership Working</i>	Gov/Perf	L	
<i>Equalities</i>	Gov	M	

Proposed Allocation of Audit Days (continued)

	Category	Priority	Planned 20/21 Days
Information and IT			
Cyber Security	Perf	M	
Data protection	Gov	M	
FOI	Gov	L	
IT strategy	Perf	M	
Other Audit Activities			
Management and Planning)			2
External audit / SFC)			
Attendance at Audit & Risk Committee)			
Follow-up reviews		Various	1
ANA and Strategic Plan			
Total			15
			=====

Key

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



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Capital Infrastructure Investment: New Dunoon Learning Centre

The priority to redevelop the Dunoon Learning Centre has been discussed for a number of years at Board level. In 2017 a bid was made to the UHI strategic investment fund to move to the Dunoon Library building but it was unsuccessful. Since 2019, the focus has been to create the opportunity for a bespoke new build, which matches the current and anticipated growth in activity within the town.

This need is rooted in the creation of a vibrant, inspiring student experience in a post-covid19 world. Whilst studying in Argyll will always be different to one in a bigger college within UHI such as Inverness or in places such as Glasgow, there are some key elements that do not exist in Dunoon and which should be non-negotiable for students regardless of location.

The college has plans to bring its activities into one physical location within the town. The current configuration is wasteful in terms of internal travel times, energy efficiency and the dispersal of activities within a small town makes it more difficult to maintain consolidated visibility and confidence in our facilities amongst the local population. There is identifiable drift in some students across the Clyde towards the central belt in courses that are delivered by the college in the town. Many pre-requisites are missing in the college buildings. There is no real space for peer or breakout learning due to the pressure on rooms. There is no space for 1:1 student interaction which is a real problem not just from a learning and teaching perspective but if the college is to meet the very real challenge of the student mental health agenda.

The specific identifiable benefits of a new building in Dunoon will:

- Provide an identifiable beacon for FE/HE learning within Dunoon which will match the 21st century learning environments in Primary/Secondary education and the aspirations in the town;
- Provide opportunities to tie in with Rural Growth Deal STEM agenda particularly in the context of computing and IT curriculum (building on strengths within Dunoon Grammar School) and raising aspirations of young people by getting them on the campus from an early age;
- Deliver a wider curriculum to meet growing demand and to stop any drift away from Dunoon;
- Level up schools activity particularly in engineering where the secondary school lags behind the new Oban High School which was built specifically with school/college activity in mind;
- Provide an environment which properly supports learners in the 21st century;
- Provide a key component to the enterprise/entrepreneurial ecosystem of Dunoon through linkage to DGS's identified strength, UHI's work in this area, as a potential co-working space and feeding the pipeline into HIE's Fairmile Building in driving the local economy.

The current built environment particularly constrains the nature and extent of 'hands on' practical courses which can be offered in what is the largest population area within rural Argyll.

The college recognises that in order to achieve the goal of a new building, there will need to be a funding coalition which can encompass the Scottish Funding Council, the RGD, HIE, UHI and the college's own reserves. The college has already applied for SFC funding as one part of the jigsaw. Following work over the past year with partners in the council, HIE, Skills Development Scotland, a

strategic outline case which allocates £750k to this project has been submitted to the Scottish Government for approval as part of the Rural Growth Deal.

The college has recently appointed a Strategic Projects Coordinator whose role amongst other things will be to progress this project when she starts at the beginning of December. An options appraisal of the three identified sites for the new building is scheduled.

The purpose of this paper is to propose the creation of a reserve of £1m for this activity. Any decisions to spend this allocation would be subject to full business case approval by the Board at a later date.

Board 11 Dec 2020

Agenda Item 20.4.15

Health & Safety Report

15 month period to end of October 2020

1. INTRODUCTION

This document relates to Health and Safety activity within Argyll College during the fifteen months to 31 Oct 2020.

2. HEALTH AND SAFETY COMMITTEE MEETINGS

There have been 5 meetings in the 15-month inclusive period. A meeting scheduled for October 2020 was postponed and will now take place on 17th December.

Points of note from the meetings are:

It was agreed that all Course Risk Assessments should be completed and uploaded to Sharepoint by October of each year. These to be subsequently reviewed by H&S Committee Chair & external Health & Safety Consultant for volume and suitability. On first review, the majority of RAs were deemed not suitable and, therefore, Clarity Solutions agreed to produce more comprehensive documents going forward, particularly for higher risk areas. These are now complete.

Gordon Stewart, Construction Tutor at CERC and Chris Wolfe, Hospitality Tutor in Oban joined the Health & Safety Committee as replacements for Dino Windham Wright and John Horne who left the College.

The Driving on College Business Policy, Fire Policy and Health & Safety Policy were all tabled for discussion and subsequently approved by the Board.

The Lone Working Policy was reviewed and changes made. It was agreed as part of the review that a pricing exercise should be carried out to install monitored alarm devices into each Centre and College Vehicle for staff to use when in a lone working/driving scenario. The devices were costed and approved by SMT and the order placed, however, implementation was postponed due to the Covid-19 lockdown. This will be revisited when staff are back at Centres on a full-time basis.

A DSE software system was researched and rolled out. Please see separate DSE section below.

A new, more comprehensive H&S Committee Constitution was devised, discussed and agreed. This replaces the original Remit document.

Covid-19 Risk Assessments and Safe Systems of Working were produced by Clarity Solutions as part of the College's safe return to Campus strategy. Please see separate Covid-19 section below.

3. DSE ASSESSMENTS

In early 2020, H&S Committee identified that staff DSE Assessments were a high priority, particularly given the likelihood that staff would be working from home, indefinitely, owing to Covid-19. Clarity Solutions researched various software options and the Posture Group were commissioned, rolling out their training and assessment to all staff. This was done in the early part of the summer and a high completion rate was realised. The system administrator subsequently reviewed the assessments and categorised all recommendations into low, medium and high priorities. Once this was complete, the College procured and distributed substantial amounts of equipment to staff in order to improve their home working environment. This exercise is almost complete with only recent new-starts awaiting their assessment review.

4. COVID-19

The Covid-19 lockdown and subsequent phased return to campus was very challenging and as part of the Health & Safety response, various guidance notes and documents were produced and made available to staff via e-mail and links to Sharepoint, on an ongoing basis. These included but are not limited to:

- Corporate Covid Risk Assessment
- Centre Covid Checklists
- General Covid Risk Assessments including enhanced cleaning and sanitising processes
- Course Safe Systems of Working

Before permitting a limited return to campus of tutors for the purposes of practical course completion and any relevant support staff, our Legionella maintenance contractor was required to visit each of our sites and test the water systems which had been largely unused since March. This was all carried out as scheduled and some sites required a return visit in order for a thermal flushing process to be carried out. All sites have now been certified compliant and the water declared safe to drink.

Clarity Solutions devised Covid-19 Risk Assessment/Safe Systems of Work for all courses which required to be taught on campus during the phased return process. These documents were finalised and signed off by the relevant tutors/managers but are reviewed frequently, as and when Scottish Government guidance changes.

The Head of Property also visited each site and met with the relevant Centre Managers to ensure all appropriate Covid-19 signage and PPE was in place and that any relevant preparation works were complete, prior to signing off the Centre Checklist. Together with Executive Team authorisation, this enabled limited return to site of staff and students, as required. All staff are required to request access through Centre Managers who will raise this with a member of the SMT for approval or otherwise.

All staff were asked to complete the Scottish Government's Covid age calculator questionnaire and encouraged to discuss any resulting, high risk health concerns with their line manager/HR. If required, a further more detailed Risk Assessment would be carried out at this time.

5. TRAINING

Training on the use of FFE and Fire Warden and Marshall training was due to be delivered to centre staff before the end of the academic year 2019/20 but this was postponed due to Covid-19. It is planned to revisit this as soon as face to face training is allowed.

First Aid training has also been postponed for the same reason.

6. LEGISLATION

Fire Extinguisher annual checks have recently been carried out.

Legionella testing carried out in all centres by Centre staff. External company due to carry out Legionella Risk Assessment reviews in January 2021.

Annual PAT testing scheduled to be carried out in January 2021.

7. ACCIDENT/INCIDENT/EXCEPTIONS REPORTING

Academic Year 2019/20

	Headcount	Total accidents	Total incidents and near misses	Total RIDDOR Reportable
STAFF	76 FTE	0	0	0
STUDENTS	760 FTE	20	2	0
OTHERS	N/A	0	0	0

Academic Year 2020/21 quarter 1 to 31/10/20

	Headcount	Total accidents	Total incidents and near misses	Total RIDDOR Reportable
STAFF	140	0	0	0
STUDENTS	1,270	4	2	0
OTHERS	N/A	0	0	0

Elaine Clark, Head of Property

4/12/20



University of the
Highlands and Islands
Argyll College

Oilthigh na Gàidhealtachd
agus nan Eilean
Colaiste Earra-Ghàidheil

**Unapproved Circulated Minutes of the Argyll College Management Board
Human Resources & Remuneration Committee
held at 1.30pm on Friday 27th November 2020
via Webex Teams**

Present: Jennifer Swanson (JS) Chair; Maggie Tierney (MT); Andrew Campbell (AMC); Martin Jones (MJ); Billie Smith (BKS)

Apologies:

In Attendance: Elaine Munro (EM); Ailsa Close (AEC); Vicky Daveney (VD)(Board Secretary)

No	Item	Action
20.4.1	Welcome & apologies for absence. The chair welcomed members to the meeting.	
20.4.2	Declaration of interest & to identify if any items deemed to be confidential. 20.4.5 is a confidential item. 20.4.6 is a confidential item.	
20.4.3	Minute of previous meeting The minutes to be signed by Chair as an accurate record of the meeting.	JS/VD
20.4.4	Outstanding Actions <ul style="list-style-type: none"> Awayday/Induction – to be rearranged when Covid-19 restrictions ease. Redundancy policy – MJ to revisit whether requirement 	
20.4.5	Matters arising Confidential item	
20.4.6	Summary of Recruitment and HR in last quarter Confidential item	
20.4.7	Annual HR Report MJ stated there had been a significant improvement in staff short-term sickness and noted the support service for staff, EAP, is being accessed. JS commented that this is reflected in other sectors and welcomed the work supporting staff wellbeing. MT commented on the gender bias of teaching staff. MJ stated that recruitment can be difficult due to location and some curriculum areas tend to have predominantly male or female tutors.	
20.4.8	Internal Audit Report 2020/21 – Staff Development MJ stated the need for the HR function to be more strategic and to integrate staff development. MT welcomed the plans discussed to address the issues raised in the audit report.	
20.4.9	Terms of Reference – for review	

	The committee approved the existing terms of reference. MT commented on the requirement for financial expertise on the F&GP Committee once the existing Chair steps down. Point 3.3 of the Terms of Reference states that “at least one member should have a background in finance, accounting or audit.” At this point MJ, AEC and EM left the meeting in order for confidential discussions to take place among the remaining committee members.	
20.4.10	Date of next meeting. Board Meeting – Friday 11 th December Committee Meetings – To be agreed	
	Signed by Date Chair of Human Resources & Remuneration Committee	



Outstanding Actions

		Responsibility	Deadline
September 2020			
Awayday/Induction	<i>Postponed due to covid restrictions. To be re-arranged when restrictions eased.</i>	AMC/MJ/VD	June 2021
Redundancy Policy	<i>Revisit whether there is a requirement for location to be added to policy.</i>	MJ	CM Feb 2021
November 2020			
Awayday/Induction	Postponed due to covid restrictions. To be re-arranged when restrictions eased.	AMC/MJ/VD	June 2021
Redundancy Policy	Revisit whether there is a requirement for location to be added to policy.	MJ	CM Feb 2021

Enhancement Plan 2018 – 2021

QI	Area for development	Action	Outcome and Intended impact	Led by:	Completed by:
3.1	Improve the wellbeing and mental health support for students.	Introduce drop in session for students to support those who may not already have a personal learning support plan in place.	Students have an increased opportunity to meet with support staff to discuss any issues they may have, resulting in an overall improvement/increase in the support available to students.	Head of Student Services	June 2019
<p>Update – May 2019</p> <p>Oban and Helensburgh centres now both have support assistants in place where students can drop in / request a meeting without necessarily having a support plan or being in receipt of learning support. These support assistants can then help to guide students to relevant resources / help them to access external agencies, or just give them a bit of a Time Out space. This has helped to relieve the pressure on centre staff who have previously covered this role to an extent but have not been so aware of the different resources that could be available and of use to students.</p> <p>Update – November 2019</p> <p>The drop in sessions have resulted in more students receiving support for temporary concerns eg temporary financial or health concerns or issues. Students view this as a more informal support mechanism from student services. Students in Oban and Helensburgh are made aware of the drop in sessions at induction and throughout the year are signposted by centre staff. As college centres are small, students will become aware of who the support assistants are and are encouraged to approach them with any issues or concerns. This has resulted in earlier intervention and support being provided to students who previously may have been at risk of withdrawing from their course. The impact has seen a reduction in early withdrawal in 2019/20 compared to the previous year – less than 5% compared to 8% in 2018/19. The college is considering whether to introduce student support assistants available for this type of support to all larger college centres over and above the structured additional support already provided.</p> <p>More students are accessing the UHI on-line counselling services compared to last year. This is due to centre staff signposting students to the service, assisting students in completing the on-line forms as well as an overall awareness raising across the college that this service is available to students. Centre staff and core teaching staff are reminded of this service every few months via email, and all centres display posters in student facing areas with the link to the online counselling service. The service works in parallel with local support provided to the students and allows access to specialist counselling staff.</p>					

QI	Area for development	Action	Outcome and Intended impact	Led by:	Completed by:
<p>There is continued on-going support to students in a number of ways – PLSPs are completed for all students who have disclosed or been identified as having a disability. Student services discuss with the student how the disclosed disability might impact on the student's ability to complete their course. This allows alternative arrangements or appropriate support strategies to be put in place at an early stage in the academic year.</p> <p>Update – Nov 2020</p> <p>During the first semester of 2019-20 the drop in option for students as outlined above continued successfully but we were unable to roll this out across all centres due to lack of space or availability of a suitable support assistant at certain times. However at least one member of support staff from each centre completed the Scottish Mental Health First Aid training so that there could be support of some kind.</p> <p>Towards the end of 2019 UHI started to subscribe to Big White Wall – an online mediated mental health support resource – and Argyll College contributed to this. This resource (now known as Togetherall) is available to all our students 24/7. It is promoted regularly on college social media and by centre staff. Use of this resource is confidential so I am not aware of the level of uptake by students to date, however several students have referred to using it in responses in the Early Experience Survey 2020/21.</p> <p>In March 2020 we recruited a Student Counsellor (2 days per week), and this person was in post before Lockdown started. This is proving to be a very useful resource for students both directly in counselling services and also in the resources and signposting information that the counsellor provides via the website health and wellbeing pages and social media.</p>					
3.1	Improve support for students declaring disabilities and care experience	Review strategies, policy and procedures to further promote support available for disabled and care experienced students, including staff undertaking on-line corporate parenting training	Improved support provided to disabled/care experienced students, improving their college experience and positively impacting on the KPIs for these students.	Head of Student Services	August 2019
<p>Update May 2019</p> <p>During this year the Head of Student Services has been part of the UHI Single Environment policy group for Learning Support. This UHI wide policy and guidance is now more or less complete and will be fully implemented in 2019/20. Care Experienced students are now supported financially with the Care Experienced enhanced bursary, although this has proven to be challenging and often not actually in the student's best interest. Therefore rather than improving the KPIs initially it looks as though it has in reality impacted negatively. However two of our current SFT courses have significant numbers of care experienced students who have been intensively supported right from the initial steps, both in accessing their funding and for academic support. Helping these students to manage their enhanced bursary has been slightly more successful with these two cohorts – so far. The issue here is that suddenly these students are getting £202 per week, often without needing to pay rent as Social Work can be covering this, so these students tend to be vulnerable to exploitation by others with comparatively large sums of money often not wisely spent.</p>					

QI	Area for development	Action	Outcome and Intended impact	Led by:	Completed by:
<p>Update November 2019</p> <p>The college has fully implemented the regional Learning Support single policy from the start of this academic year. This means that students can see what to expect and be assured that it is a similar experience across the region.</p> <p>At the start of the 2019/20 academic year identifying the students who are care experienced and then processing their bursary has been prioritised. There were some issues last academic year with some delays in processing bursaries which resulted in students not receiving their bursary at the start of the year and then receiving a lump sum in back payments, which caused some problems.</p> <p>All care experienced students are supported in a pastoral way by centre managers. This year we have 11 students who have declared care experience, one has withdrawn, one is having attendance issues but the rest are doing well. The students are based in Dunoon, Oban, Lochgilphead and Helensburgh. If a student has not self disclosed that they are or have been care experienced the evidence may come through during bursary processing. The student is then approached to confirm they are care experienced and are offered support to ensure the correct evidence is provided for bursary processing and any other support needs are discussed and agreed. Centre managers keep an eye on the students throughout the year. Our new attendance tracking system is used to highlight attendance issues with any students, these are now followed up earlier than in previous years. One of the advantages of being a small college is that this information is transferred between departments easily with a number of college staff having responsibility for several inter-connected departments that would be separately managed in larger colleges. For example, our Head of Student services has management responsibility for student support, bursary processing, registry, timetabling and the library function.</p> <p>Update - November 2020</p> <p>The Support department has now moved to using the fully online work flow process for identifying and supporting students with disabilities or declared Care Experience. Reports are drawn from the student records system listing all students who have declared a disability / care experience at application or enrolment. Support assistants then contact each student to ascertain the need for any learning support or assessment arrangements, and where relevant a personal learning support plan is negotiated with the student, the support strategy from that is then forwarded to teaching staff and local centre staff. The named Care Experience person makes contact with each Care Experienced student that we are aware of (either from declaration at enrolment or where it becomes known during the bursary process) and then offers support to access funding, learning support or any other help that student may need. There has been an increase in the numbers of students declaring a previous Care Experience which has enabled support to be provided to them in a more timely manner.</p>					
3.2	Further Withdrawal	Review and evaluate the reasons for further withdrawal in FE full time students.	Reducing further withdrawal improves students prospects for completing their course successfully and progressing to further study or employment.	Depute Principal	August 2019
Update – November 2019					

QI	Area for development	Action	Outcome and Intended impact	Led by:	Completed by:
<p>Due to an increase in full time early and further withdrawal and partial success in 2018/19 there is currently an on-going forensic analysis of the data, which will result in discussions with teaching teams, identification of reasons for withdrawal and partial success and agreed actions to address this fall in KPIs.</p>					
2.2	Identifying work placements for Foundation Apprentice students	Enhanced engagement with DYW team and local employers to create a database of potential placement providers.	Placement providers identified earlier, resulting in all FA students having access to work placement leading to a more meaningful experience on the programme.	Head of Marketing and Communications	August 2020
<p>Update – May 2019 This is on-going. There have been a number of changes in DYW Officers this academic year, which has reduced the continuity in contact and collaborative working between the college and DYW. A full time post of Schools Link and Apprenticeship Officer was appointed by the college in March 2019. It is anticipated this post will improve links with schools, employers, DYW and the college and covers all schools link activity as well as foundation and modern apprenticeships.</p> <p>Update – November 2019 Still on-going. Before the 2020/21 bid was submitted all 11 secondary schools within the Argyll College UHI catchment area were consulted to ensure offer would reflect the needs and aspirations of our young people. DYW Lead Officer and Schools Link and Apprenticeship Officer are working to identify and engage local employers within the relevant sectors who are interested in investing in our young people by offering interesting and engaging placement opportunities. Better links with the schools has meant access to employers already involved in school work experience programme. Current Argyll College Modern Apprenticeship employers are being approached regarding Foundation Apprenticeship Placements.</p> <p>Update - November 202 The college Schools Link and Apprenticeship Officer has established close working relationships with the DYW Leads in each of the 11 secondary schools in the Argyll College UHI area. There is a mutual trust and respect, which has benefitted all school college activity and enabled collaborative working to identify, inform and support employers engaged in providing placements for Foundation Apprentice students.</p>					
2.3	Mentoring of tutors	Review and evaluate the tutor induction processes and implement a mentoring system	A more effective and consistent tutor induction process is in place. Tutors are allocated a mentor during induction who will provide on-going support and guidance enabling new staff to feel supported in their role.	Heads of Curriculum	December 2019

QI	Area for development	Action	Outcome and Intended impact	Led by:	Completed by:
<p>Update – November 2019</p> <p>There is still significant work to be done on this. The following have been implemented for this academic year to allow further time to discuss, agree and plan induction and mentor support for new tutors starting from 2020/21 academic year.</p> <p>All new teaching staff have the opportunity to attend one of three introductory sessions during late November/early December. Almost all new staff have signed up to one of them. The sessions will include answers to questions they have identified before the session, a review of college procedures and training materials for planned EV visits. They will then have a tutor observation before the end of semester 1 followed by professional dialogue with the observer. Most new tutors have also enrolled on the PDA Teaching in Scotland's Colleges and are being supported by an experienced teaching member of staff.</p> <p>For next academic year two possible structures for tutor induction are being discussed internally. The outline of each is shown below.</p> <p>Option 1: Intensive 'Teaching at Argyll' induction process (based on the processes followed by Perth College)</p> <p>Overview:</p> <ul style="list-style-type: none"> • a 9 hour intensive programme, delivered in taught sessions which tutors attend by VC. • 3 x 3 hour sessions (1.5 days). At Perth, this was done on a Wednesday (all day), and a Friday morning. Tutors were paid to attend these sessions. • Session 1: Teaching approaches; teaching theory • Session 2: Quality assurance policies – e.g. IV processes; EV processes; registers; policies. • Session 3: Tutors each deliver a 10 minute 'micro' lesson, putting into practice that which they covered in sessions one and two. • Staff would be required to complete this during their first year. At Perth, this was a requirement in order to sign off their 'probation' year. They were also required to complete level 6 Communications core skill. • At Perth, the programme was delivered once a month, in order to ensure that all new staff were able to join the programme. <p>Advantages:</p> <ul style="list-style-type: none"> • New teaching staff gain a 'community of practice' – people from different curriculum areas all coming together, to provide support for each other. • Intensive – maintains momentum • Taught sessions – lots of opportunity for support from the person delivering the induction. • Sessions can be tailored depending on the previous experience/expertise of the tutors. <p>Disadvantages:</p> <ul style="list-style-type: none"> • Time commitment for new staff. • Staff required to be off timetable for these sessions – cover would be required if done during teaching weeks. • Financial commitment from college – tutors were paid for this time. 					

QI	Area for development	Action	Outcome and Intended impact	Led by:	Completed by:
<p>Option 2: Ongoing induction format</p> <p>Overview:</p> <ul style="list-style-type: none"> • Ongoing induction process over the first year of teaching at Argyll. • Could be linked in to the Teaching in Colleges Today (CDN) qualification – all tutors would gain a teaching qualification at the end of their first year. • Delivered as a series of videos (each one 15/20 minutes long) with which staff engage each month, and then discuss with a designated 'induction buddy' at each centre. <p>Advantages</p> <ul style="list-style-type: none"> • Not as resource-heavy: no need to provide cover, or to take staff off-timetable. • Ongoing process, designed to fit in with the academic year (so IV processes to be discussed at a suitable time, when broadly relevant to staff beginning to assess). • Flexible structure allows staff to engage when convenient for them • 'Induction buddy' system allows for relationships to form between experienced and less-experienced staff. <p>Disadvantages:</p> <ul style="list-style-type: none"> • Less flexible in terms of content – can't be tailored to individuals • Potential for staff to quit halfway through the process – little momentum if delivered over a whole academic session • Fewer opportunities for staff to form a supportive network. <p>Update – November 2020</p> <p>A new induction programme for all new teaching staff has been implemented from the start of the 2020/21 academic year – please see the attached programme (20.4.6a Tutor Induction Programme) for details. This will be reviewed and evaluated at the end of the academic year with feedback helping to inform improvements that can be implemented for the start of academic year 2021/22</p>					
2.3	Induction for students enrolled on national courses	An on-line longitudinal induction for students studying national courses will be developed.	A co-ordinated induction will be implemented resulting in better informed and prepared students, increasing their opportunities for success	Head of Student Services	Aug 2019
<p>Update – May 2019</p> <p>The longitudinal induction continues to be challenging. All full time students have a comprehensive induction which is broken into chunks for delivery at more relevant points in the student journey, however it has been difficult to keep students engaged. This is something that still requires a lot more work. The initial induction delivery has been re-developed to try to make it more engaging and relevant to students for 2019/20</p>					

QI	Area for development	Action	Outcome and Intended impact	Led by:	Completed by:
		<p>Update November 2019</p> <p>A series of sessions to support learners who are studying National Exams with Argyll College UHI have been designed. We have realised that learners who access these qualifications with us can often require a bit of extra support: given that the National Qualifications that we offer are also offered during compulsory secondary education, our learners do not generally have a straightforward identity as successful learners. Many learners have already attempted to achieve these qualifications previously; to be tackling these at an FE college can suggest either previous difficulties accessing the academic level of the course at school, or previous complicating factors within the learners' lives which had negatively impacted on their achievement. As such, we have tried to find mechanisms for providing practical and informative support, whilst recognising that our learners already have many demands on their time - and not wishing to add to these demands unnecessarily.</p> <p>Session 1 - understanding your specification (released October/November)</p> <p>Session 2 - study skills (note taking, time management) (released November/December)</p> <p>Session 3 - 'Your Coursework' (/portfolio) (released January)</p> <p>Session 4 - The Prelim (released February)</p> <p>Session 5 - Revision (released April).</p> <p>The student induction for a number of full time FE courses has been enhanced this year - NC Social Sciences, Access to Nursing & Access to HN – these courses have weekly guidance slots timetabled where the lead tutor covers a range of things including modes of study, study strategies and techniques, preparation for assessment, careers and employability. These form part of longitudinal induction without referring to it as such. The tutors cover things that are relevant and a priority for the students at the most appropriate time of the academic year. This enhanced induction will be reviewed and evaluated to inform future induction processes for full time FE courses</p> <p>In a number of courses, particularly where students are mainly taught by one tutor eg Childcare courses, the tutors continually refer back to information and topics covered during induction.</p> <p>The standard centre induction process for all courses was updated this year. The powerpoint presentation used by centre staff was redesigned and is now more visually engaging and easier for centre staff to use to expand on the key points to be covered.</p> <p>Update – November 2020</p> <p>This year all student inductions have moved completely to online due to the current COVID-19 situation. Students are sent initial joining instructions and information which is held on the college website. This provides students with the information they need to allow students to make their initial enrolment and</p>			

QI	Area for development	Action	Outcome and Intended impact	Led by:	Completed by:
<p>funding applications, then join in to Brightspace (VLE) where they can access the rest of their induction information. Students only see information that is relevant to their particular situation – videos and information about the centre they are associated with, information and help videos concerning funding and learning support relevant to their level of study, and of course to areas specifically for their course. This has proved to be successful in the whole and early indications from the Early Experience Survey show that students found this useful. The basis of this induction process will be used for future years, but combined with face to face induction too once more normal college access is possible.</p> <p>In addition to the above, a single member of college staff now has responsibility for the national programmes offered by Argyll College – previously the responsibility lay within specific curriculum teams. This provides a consistent approach to issues such as prelims, estimates and other quality assurance and compliance issues as well as providing specific and relevant support to the teaching staff delivering the courses. This became particularly relevant when the centres were closed during lockdown in March. SQA issued very detailed guidance and support for the national programmes and the teaching staff, led by the Curriculum Lead for national programmes, were able to work as a team to interpret the guidance and ensure a consistent and robust approach was followed across the college.</p>					
2.3	Ensuring all teaching staff use a wide range of technologies in their teaching.	Support and training will be provided to all teaching staff to improve the use of digital technologies in their teaching.	All staff use digital technologies in their teaching, where appropriate, resulting in an enhanced and improved learning and teaching experience for students.	Heads of Curriculum	June 2020
<p>Update – May 2019 This is on-going.</p> <ul style="list-style-type: none"> The UHI Learning and Teaching Academy (LTA) is presenting a lunchtime webinar on 22/8/2019 on ‘Benchmarks for the use of technology in learning and teaching’, to which all teaching staff will be encouraged to attend. An Argyll College member of teaching staff has undertaken research into how the use of screen capture and video technology can be used to improve feedback to students, particularly students being taught in a blended learning context. The results of this research will be disseminated within Argyll College and across the UHI region. The regional Quality Forum has identified using a wide range of technologies in teaching as something that relates to most UHI academic partners and will work collaboratively to develop a regional strategy. <p>Update – November 2019 Before the start of the 2019/20 academic year UHI and its academic partners migrated from Blackboard to Brightspace as the VLE. This is the biggest widespread change to new technology used within learning and teaching for some considerable time and it will take a number of years for all teaching staff to make use of the extensive features within the VLE. Brightspace offers a variety of interactive features such as quizzes, short response questionnaires, discussion boards and uploading of files. Learning materials have templates built in that allow for easy sharing of differing types of media: video; images; and embedded files. The</p>					

QI	Area for development	Action	Outcome and Intended impact	Led by:	Completed by:
	<p>integration of virtual classroom Collaborate facilitates synchronous communication between tutors and students, allows screen sharing, breakout rooms where students can be put into groups to have their own discussion before returning to the main group to share their conclusions, and quick polls. Screen casting, the recording of a PC screen for demonstration purposes, can easily be included within Brightspace. These tools allow tutors to develop learning materials that are engaging, interactive, and set clear goals for learners to work towards. The move from Blackboard to Brightspace was a significant change for most college teaching staff. To enable a smooth transition the college identified two Brightspace champions to support, encourage and provide training to staff. Since January 2019 the two champions have organised 13 training sessions for staff. They continue to regularly answer staff questions and requests for help as well as emailing staff to update on features within Brightspace that they may find useful to use. For example in early November an email was sent to all teaching staff to suggest using the tool 'Intelligent Agent' to manage assessment submissions. The work of the Brightspace champions will continue as teaching teams continue to use the many features within Brightspace to enhance their learning and teaching. The college will concentrate on ensuring all teaching staff adopt as many features within this VLE as possible.</p> <p>At the recent CDN College Awards Argyll College was Highly Commended in two categories:</p> <ul style="list-style-type: none"> Digital Learning award – for screen capture personal video feedback. Because most of the courses delivered by the college are taught via video conferencing, which enables small numbers of students from a number of locations to access tertiary education without leaving their home towns, the ability for teaching staff to have face to face chats with students to provide formal and informal feedback is limited. By using screen capture videos students receive verbal feedback, via video, from their tutor, which they can also refer back to. Core principles for the use of screen capture video feedback have been devised by a small team, with the intention of using video feedback across the college, and other UHI partners, during the next few academic years. Innovation Award – Game of Tones. This is an innovative digital learning technology developed by a college hairdressing tutor teaching schools link courses in Oban high school and an S5 school pupil looking for an IT project. The pupil developed a computer game to reinforce how colour neutralisation works, which is a fundamental but difficult concept within the hairdressing curriculum. The computer game helps to reinforce the theory learned in class in a fun and interactive way and is a very good example of collaboration between the college and a local secondary school. The app will be used within all relevant college hairdressing courses. <p>The annual staff development sessions, held this year on 26th and 27th August 2019, provided training sessions on the following technologies that staff are encouraged to use in their teaching: Brightspace, Video capture technology to provide feedback to students, Collaborate, Skype for Business as well as a session on Teaching by VC.</p> <p>Update – November 2020</p> <p>During college closures in March all teaching moved to on-line. For some teaching staff who had already developed materials in Brightspace this was an easy transition, for others it was more challenging. The college identified six members of teaching staff who were very experienced in incorporating digital</p>				

QI	Area for development	Action	Outcome and Intended impact	Led by:	Completed by:
	<p>technologies within their learning and teaching and asked them to support their peers. A number of drop in sessions and VC tutorials were organised and were well attended by staff. Teaching staff were also encouraged to engage with the six lecturers for one to one support and assistance. This support remains in place and the six are working well together, suggesting ideas and ways in which they can further develop and support staff.</p> <p>The college is in the process of collating and sharing good practice in using digital technologies. This is in the early stages of implementation, with a range of methods being used including podcasts, talking heads and short written guidelines on 'how to' or 'hints and tips' related to specific teaching topics. It is hoped a learning and teaching area on the college website will store these to ensure easy access for all staff regardless of location as well as sharing practice with a wider audience, to encourage connections and collaborations with colleagues across the education sector.</p>				
2.4	Review support staff resource	A review of support staff resource, experience and knowledge will be conducted.	Support staff knowledge is improved and sufficient resource in place to cover peak demands periods during the academic year.	Head of Student Services	June 2020
<p>Update – May 2019 This is ongoing.</p> <p>Update November 2019 The Oban support assistant is developing a range of skills to further enhance the student support team. During this academic year she will undertake the OU on-line autism course for helping and supporting autistic disorders. She is also becoming more familiar with assistive technologies and can now deliver the LADS adult dyslexia screening tool.</p> <p>Following further training the college now has a trained mental health first aider in each of our nine learning centres.</p> <p>The recent UHI appointment of a regional Mental Health Co-ordinator will help support student services staff across the region as well as identify and deliver various mental health training sessions to staff and students. For example the Access to Nursing students will receive mental health first aid training during this academic year as a part of their course. We are currently assessing how best to deploy the additional funding from the SFC to provide more counselling services over and above the online counselling already provided to our students.</p> <p>Update - November 2020 Three centres (Oban, Helensburgh and Campbeltown) now have Support Assistants with a greater amount of regular hours. This has enabled them to undertake more training in support techniques and technologies, and also to start to work together more as a team to share their individual knowledge and skill sets.</p>					

QI	Area for development	Action	Outcome and Intended impact	Led by:	Completed by:
	<p>Working remotely via webex and other technologies has actually helped to embed more robust support processes which should help to provide a more streamlined and faster assessment and support system in the future. These Support Assistants are now able to provide a greater level of support too to other assistants who only have very part time hours and for whom it can be hard to stay up to speed with what is available. One of the Support Assistants will be undertaking the PDA in Strategies to Facilitate Inclusive Learning and Working later on this academic year.</p>				
2.4	Engagement with HISA and student representatives	Increase engagement with HISA and enhanced training for student representatives	Students and staff are more aware of the role of HISA and the engagement with HISA is more systematic. The impact of the student voice on college activities is increased.	Head of Student Services	June 2020
<p>Update – May 2019 Ongoing. Improvements this year are mainly in the development of additional staff resource to liaise between HISA and the college staff, also the appointment of a HISA Co-ordinator who is now working with staff to help track and support class reps. The impact of this should show more clearly in 2019/20. The need to appoint a new HISA Depute in November set back class rep training and general HISA awareness when our original HISA Depute left the post in September.</p> <p>Update - November 2019 The college continues to work closely with the HISA Co-ordinator and the local HISA Depute liaises with local centre staff in Oban. A successful Freshers week was organised in Oban for the first time. This was a collaboration between HISA, SAMS and Argyll College.</p> <p>Student class reps – The HISA Co-ordinator has been helping to support class reps and encourage them to undertake the UHI on line class rep training. She also plans to set up regular meetings of class reps across the college, which will help develop a team of college class reps. There is an increase in students being appointed as class reps this year, with 26 student class reps in 2019/20, compared to 20 last year. HISA are working to develop a Centre Reps system too this year.</p> <p>Update - November 2020 The additional staff resource mentioned above has helped to strengthen the links between HISA and the college. HISA have been able to link into all of our taught classes this year via Webex and to date have been successful in raising the profile of the student association. The HISA Co-ordinator has been organising and rolling out online Class Rep training to this year's class reps.</p>					

QI	Area for development	Action	Outcome and Intended impact	Led by:	Completed by:
2.4	Counselling services available to students	Raise awareness and increase the promotion of the UHI Counselling services and in particular access to the on-line system.	Students have an increased access to counselling services, improving their overall college experience.	Head of Student Services	September 2019
<p>Update – May 2019</p> <p>This has been done with more staff being aware of this service and guiding students to it. This was also covered in student inductions. However to date there has been very little take up of this service. UHI now have a Mental Health Co-ordinator in place who will be working across UHI to develop a Mental Health Strategy and help to promote counselling services in some form or other.</p> <p>Update – November 2010</p> <p>UHI partners have developed a Mental Health Strategy and are currently in the process of developing a resource plan for the new funding from Scottish Government to support counselling services available to students. This funding has identified a people resource of 0.4FTE for Argyll. The college is identifying the best way to maximise this funding for the benefit of students in Argyll.</p> <p>Update - November 2020</p> <p>A Student Counsellor has now been in place (2 days per week) since March 2020. The counsellor is responsible for ensuring the social media and website information and resources are kept up to date, she has successfully completed the required courses to enable her to provide counselling services via online and alternative technologies as an alternative to face to face counselling. This is essential for working across Argyll College even beyond the restrictions imposed due to COVID-19. This service has not been evaluated as yet but will be in the next couple of months.</p> <p>All our students also have access to the online UHI Counselling service too</p>					
1.4	Feedback to students on improvements that have been made as a result of them raising concerns or making suggestions for improvements	Implement a system to ensure students are aware of improvements that have been made that directly link to issues or suggestions raised by them	Students are more aware of improvements implemented as a direct result of their feedback, increasing the impact the student voice has within the college	Head of Student Services	July 2020
<p>Update – May 2019</p> <p>This is ongoing. The Class Rep system is seen to be key for feeding back information to students, and next academic year this is likely to be more robust</p> <p>Update – November 2019</p> <p>Across the UHI region the nine FE colleges are benchmarking student survey data – the SFC student satisfaction and engagement (SSES) end of year survey as well as a regionally devised early student satisfaction survey (ESS) in November each year – to identify key areas for improvement that can be agreed and</p>					

QI	Area for development	Action	Outcome and Intended impact	Led by:	Completed by:
<p>collaboratively worked on across the region, as well as identifying best practice and processes that could be adopted by all partner colleges, and identify any areas where an individual partner has requested additional help or support.. This regional approach will benefit all partners. Local analysis of this year's Early Experience Survey has helped us to identify a couple of issues important to students that we may otherwise not have been aware of. For example students showed a clear preference for Graduation to be on a Friday next year, a few students commented that they would prefer to have the option of some shorter courses rather than committing for a 34 week course.</p> <p>Update – November 2020 The college will continue to work closely with local HISA representatives and class reps to disseminate improvements that have been made, particularly where students have suggested improvements or raised concerns. Centre staff are also encouraged to feedback locally to students on areas of improvement. For example in our Oban centre, the centre manager surveyed staff and students on a number of aspects relating to the centre – issues or suggestions to improve the food provided by the canteen, the car park, the centre toilets. She then used the white board where staff and student sign in each day to provide results of the survey and gave 'you said, we did/are going to do' information and explained why the college was not able to implement all suggestions.</p>					
1.4	Peer Review	Working with partners in the UHI region implement a system of peer review that is relevant and appropriate to the needs of Argyll College	Staff learn from each other and share practice between and across teaching teams, improving the overall teaching practice and impacting positively on the student experience.	Heads of Curriculum	September 2021
<p>Update – May 2019 This is on-going</p> <p>Update – November 2019 This is still on-going</p> <p>Update – November 2020 This is still on-going with very little progress having been made across the UHI partnership. Argyll College will now focus on implementing this within and across teaching teams in Argyll. As part of the new teaching staff induction process a new lecturer will observe an established lecturer's teaching session – this could be from within the same curriculum team or someone teaching within a different curriculum area. Teaching staff are asked to volunteer to be observed by a new member of staff. Building on this the college will be encouraging all teaching staff to ask to be observed or ask to observe a peer. This is one way to share practice, learn from each other and build up communities of practice across teaching teams and across college centres.</p>					

To: Board of Governors

Date: 11 December 2020

Status: To Note

Subject: 2020 - 21 Update on progress towards targets

a) FE 2020/21

The FE credit target for 2020/21 is 6701 - an additional 119 credits compared to the core credit target for 2019/20.

(2019/20 overall credit target was 6716: 6582 core credits plus 134 ESIF credits).

There are no ESIF funded credits this year. SFC have allocated UHI an additional 2,000 unfunded credits for the year; Argyll College have been allocated 119 of these, based on our previous core target being 6% of the overall regional credit target.

To date, the credit count is 5,049, 75% of target. It is unlikely the college will achieve credit target this academic year. The UHI region may not achieve credit target this year – current activity levels are 77% of target.

There are a number of full time courses that have not started this year. In addition, with continued restricted access to college centres for staff and students, the normal volume of face to face part time and evening class activity will not take place. The marketing team working with curriculum teams are identifying a range of on-line courses that can be offered. There is an on-line open week planned for 23rd-26th November which includes a series of Q&A sessions and new video content to add to the range of curriculum specific promotional videos on the college website.

Across the UHI region there is collaboration to identify and develop provision that could be offered jointly by partners.

b) HE 2020/21

Predicted FTEs, made in Feb 2020 were 195.3 In early December at the SFC early statistical return (ESR) there is an opportunity to revise predictions based on known full time enrolments.

The current FTE count at 26th October is 210.3, 15 FTEs over target. This is likely to increase as unit and module attachments are made for all students and the final FTE figure will be closer to 220.

In addition, funded outwith the RAM, there are 18 enrolled PGDE teacher education students (16 primary, 2 secondary) and 7 graduate apprentice Early Education and Childcare students.

The table below shows the current position for 2020/21 and compares FTEs and student headcount for the last 4 academic years:

		Headcount		
	FTEs	Total	Full time	part time
2020/21	210.3	303	188	115
2019/20	199.6	285	160	125
2018/19	200.1	280	170	110
2017/18	221.6	290	195	84

Elaine Munro
20/11/20

To: Board of Governors

Date: 11 December 2020

Status: To Discuss

Subject: Early student experience survey

Across the UHI region all academic partners jointly develop and coordinate annual region wide surveys and collate high-level regional analysis. This is the third year the Early Student Experience Survey (ESES) has been carried out as a UHI-wide regional survey. This year there was careful consideration of the COVID pandemic context and minor changes were made to some of the regular questions with a few extra ones added.

The agreed student sample for the regional survey was:

FE students	Full time and substantive part time. The following students were not included in the sample and will be surveyed separately: <ul style="list-style-type: none">• students on supported programmes SCQF 1-3• students on school link activity• students on workbased learning (SVQs and MAs) taking place off campus
HNC students	Full time and substantive part time
HND students	Year 1 students only. Full time and substantive part time
UG degree students	Students in years 1-3. Full time and substantive part time. Stand-alone infill students were excluded.

The region response rates were lower than normal, with an overall response of 41%. In Argyll overall response was 59%, the highest response rate within the UHI partnership with 62% of FE students responding and 58% of HE students.

In relation to the question "Overall, I'm satisfied with my student experience so far" the responses were as follows:

UHI wide - overall satisfaction was high with 90.2% of FE students, 83.1% of HE students and 86% (**95.5%** in 2019/20) of all students answering they agreed or agreed strongly.

In Argyll the overall satisfaction was higher than the UHI average figures with 99.1% of FE students and 88% of HE students answering they agreed or strongly agreed.

The full range of questions and detailed responses from Argyll FE students are shown in paper 20.4.8a

Elaine Munro
20/11/20

HISA Update for December 2020

- Class rep meeting was well attended with reps taking part in discussions well. Their feedback for the joint partnership classes is very positive both from students in the class, and other reps who are happy these classes continued. We are doing a class rep GAP analyses to find out why some classes have no reps. The number of class reps this year is lower, 19 instead between 25 and 35 noted in previous years.
- Class reps have given feedback that help for the students from digital poverty fund and hardship funds is taking longer than they expected. HISA have had emails from students who are wondering why it takes so long.
- Student engagement is up with our online campaigns, competitions, social spaces such as Cuppa & Chat. We have Argyll students taking part and running events in UHI events such as International Student Quiz. We have higher numbers and engagement on our HISA Argyll College Facebook, Twitter & Instagram pages.
- HISA have supported classes events such as the HND Admin class for running competition events as part of their course, and the student SWAP nurses with their Christmas Charity Appeal.
- We had Argyll class reps attend the "Closing the Loop" Conference, with Mental Health the most important topic and theme going forward the UHI policy meetings.
- We have many events coming up before and during the Christmas Holidays to support students, such as competitions, comedy night, quiz events, these types of things.
- Students in Argyll College had the 3rd highest student engagement levels in UHI during freshers' events.
- Tutors at Argyll College have engaged really well with HISA, we did many class visits, they encourage students to come to social events, and Marketing team have been great at supporting HISA. - Thank you



University of the
Highlands and Islands
Argyll College

Oilthigh na Gàidhealtachd
agus nan Eilean
Colaiste Earra-Ghàidheil

**Unapproved Circulated Minutes of the Argyll College Management Board
Human Resources & Remuneration Committee
held at 1.30pm on Friday 27th November 2020
via Webex Teams**

Present: Jennifer Swanson (JS) Chair; Maggie Tierney (MT); Andrew Campbell (AMC); Martin Jones (MJ); Billie Smith (BKS)

Apologies:

In Attendance: Elaine Munro (EM); Ailsa Close (AEC); Vicky Daveney (VD)(Board Secretary)

No	Item	Action
20.4.1	Welcome & apologies for absence. The chair welcomed members to the meeting.	
20.4.2	Declaration of interest & to identify if any items deemed to be confidential. 20.4.5 is a confidential item. 20.4.6 is a confidential item.	
20.4.3	Minute of previous meeting The minutes to be signed by Chair as an accurate record of the meeting.	JS/VD
20.4.4	Outstanding Actions <ul style="list-style-type: none">• Awayday/Induction – to be rearranged when Covid-19 restrictions ease.• Redundancy policy – MJ to revisit whether requirement	
20.4.5	Matters arising Confidential item	
20.4.6	Summary of Recruitment and HR in last quarter Confidential item	
20.4.7	Annual HR Report MJ stated there had been a significant improvement in staff short-term sickness and noted the support service for staff, EAP, is being accessed. JS commented that this is reflected in other sectors and welcomed the work supporting staff wellbeing. MT commented on the gender bias of teaching staff. MJ stated that recruitment can be difficult due to location and some curriculum areas tend to have predominantly male or female tutors.	
20.4.8	Internal Audit Report 2020/21 – Staff Development MJ stated the need for the HR function to be more strategic and to integrate staff development. MT welcomed the plans discussed to address the issues raised in the audit report.	
20.4.9	Terms of Reference – for review	

	The committee approved the existing terms of reference. MT commented on the requirement for financial expertise on the F&GP Committee once the existing Chair steps down. Point 3.3 of the Terms of Reference states that “at least one member should have a background in finance, accounting or audit.” At this point MJ, AEC and EM left the meeting in order for confidential discussions to take place among the remaining committee members.	
20.4.10	Date of next meeting. Board Meeting – Friday 11 th December Committee Meetings – To be agreed	
	Signed by Date Chair of Human Resources & Remuneration Committee	



Outstanding Actions

		Responsibility	Deadline
September 2020			
Awayday/Induction	<i>Postponed due to covid restrictions. To be re-arranged when restrictions eased.</i>	AMC/MJ/VD	June 2021
Redundancy Policy	<i>Revisit whether there is a requirement for location to be added to policy.</i>	MJ	CM Feb 2021
November 2020			
Awayday/Induction	Postponed due to covid restrictions. To be re-arranged when restrictions eased.	AMC/MJ/VD	June 2021
Redundancy Policy	Revisit whether there is a requirement for location to be added to policy.	MJ	CM Feb 2021

To: Board of Governors

Date: December 2020

Status: For discussion

20.4.24 – Annual HR Report 2019/20

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12. Health Assured Interim Report	7

2. Staff sickness

Short term sickness absence:

Year	Teaching – number of Days	Total Cost	Non-Teaching – number of days	Total Cost	Total days	Total Cost (Approx)
2019/20	136	£20,000	114.5	£12,100	250.5	£32,100
2018/19	161	£23,000	195	£15,200	356	£44,000
2017/18	224	£28,000	181	£21,000	406	£43,200
2016/17	162	£7,500	78	£7,000	240	£14,500

Long term sickness absence:

Year	Teaching – number of staff	Total Cost	Non-Teaching – number of staff	Total Cost	Total – number of days if applicable	Total cost (Approx)
2019/20	2 (457 days)	£22,000	4 (350 days)	£37,400	807	£57,400
2017/18	4 (506.5 days)	£45,000	5 (608 days)	£42,000	1114.5	£87,000
2017/18	1	£2,000	8	£51,000	434	£53,000
2016/17	2	£16,000	3	£12,000	1162	£28,000

Long term sickness for 2019/20 - detail:

Teaching

1 x FT teaching staff long term sickness, chronic illness – OH referral, diagnosis reached, not returned in new academic year.

1 x PT teaching staff, long term illness, fixed term contract June 2020

Support staff:

1 x FT Support – chronic illness, off work since March, furloughed for 4 months remains on sickness absence

1 x PT Support – absence for 3 months, HSE workplace stress indicator process in place, resignation received July 2020

1 x PT Support – absent 5 months due to operation, returned to post.

1 x PT Support – chronic illness, has requested ill health retirement.

3. Other Absence:

Year	Teaching (days)	Absence Type	Non-Teaching (days)	Absence Type
2019/20	564	Statutory	664.5	Statutory
	13	Appointment	41	Appointment
	19	Compassionate	20.5	Compassionate
	2	Funeral	1	Funeral
	0	Industrial	0	Industrial
	0	Lieu	30.5	Lieu
	0	Weather	0	Weather
	27	Unpaid	0	Unpaid
	0	Authorised Absence	6.5	Authorised Absence
	28	Covid-19 – Self isolating (pre lockdown)	29.5	Covid -19 Self isolating (pre lockdown)
	0	Furlough	1164	Furlough
Total days	653		1957.5	Overall Days 2610.5
2018/19	25.5	Appointments	33.5	Appointments
	7.5	Compassionate	26	Compassionate
	1	Funeral	0	Funeral
	6	Industrial	0	Industrial
	0	Lieu	30	Lieu
	3	Weather	0	Weather
	12.5	Unpaid	2	Unpaid
Total days	419.5		1803.5	Overall Days 2223 days
2017/18	263	Statutory Leave	594	Statutory Leave
	16.5	Appointments	46.5	Appointments
	20	Compassionate	17	Compassionate
	2	Funeral	1	Funeral
	3	Unpaid Leave	62.5	Unpaid Leave
	0	Court	1	Court
	0	Lieu	37	Lieu
Total days	304.5		759	Overall Days 1063.5 days

4. Flexible Working Requests:

Year	Teaching	Granted/Not Granted	Non-Teaching	Granted/Not Granted
2019/20	2	1 request to reduce from 0.6FTE to 0.2FTE – approved started 01.09.2020 1 request to reduce from 1FTE CL to 0.5FTE CL – approved started 01.09.2020	0	0
2018/19	3	1 return from 0.6 to 1FTE - granted 1 request to reduce from 0.8 – 0.6 - granted 1 request to reduce from 1 – 0.8 – not yet finalised	2	1 request to work 0.8 over 5 days during school hours – granted 1 request to adjust working pattern during term time and out with term time
2017/18	3	1 granted 1 request withdrawn 1 employee returned to full time after end of flexible working request.	0	
2016/17	0		0	

5. Staff discipline activity:

Year	Disciplinary hearings	Warnings issued	Dismissals	Appeals
2019/20	4	2	1	1 – not concluded
2018/19	1	0	1	1 – not upheld
2017/18	2	1	1	1 – not heard to date due to non-communication from member of staff 1 – not upheld
2016/17	3	2	1	1 – not upheld

6. Staff grievance:

Year	Number of Grievances raised	Outcome	Appeal
2019/20	1	Not upheld	Not upheld
2018/19	1	Not upheld	Not upheld
2017/18	0	N/A	N/A
2016/17	1	Not upheld	Not upheld

7. Recruitment:

Year	Total Teaching	Full Time	Part time	Total Non-Teaching	Full time	Part time
2019/20	23	0	23	9	2	7
2018/19	19	0	19	21	5	16
2017/18	43	0	43	11	3	8
2016/17	18	0	18	0	0	3

8. Leavers:

Year	Total Teaching	Full Time	Part time	Total Non-Teaching	Full time	Part time
2019/20	56	0	56	33	8	25
2018/19	10	0	10	18	4	14
2017/18	29	1	28	10	2	8
2016/17	13	0	13	4	2	2

9. Recruitment by job role and location

Year	Teaching	Full/Part Time	Location	Non-Teaching	Full/Part Time	Location
2019/20	1	Part	Arran	0		Arran
	1	Part	Campbeltown	1	Part	Campbeltown
	7	Part	Oban	3	2 x Part 1 x Full	Oban
				4	PT - Supply	Little Learners
	2	Part	Lochgilphead	0		Lochgilphead
	2	Part	Islay	0		Islay
	1	Part	Rothsay	0		Rothsay
	6	Part	Dunoon	0		Dunoon
	3	Part	Helensburgh	1	Full	Helensburgh
			Tobermory	1	Part	Tobermory
Year	Teaching	Full/Part Time	Location	Non-Teaching	Full/Part Time	Location
2018/19	0	n/a	Arran	1	Part	Arran
	3	Part	Campbeltown	1	Part	Campbeltown
	11	Part	Oban	9	2x Full 7x part	Oban
	1	Part	Lochgilphead	4	Part	Lochgilphead/CERC
	2	Part	Islay	n/a	n/a	Islay
	0	n/a	Rothsay	n/a	n/a	Rothsay

	2	Part	Dunoon	3	2 x Full 1 x Part	Dunoon
	0	n/a	Helensburgh	3	Part	Helensburgh

10.Age profile and staffing splits (teaching and support):

The table below is an extract from the staffing return we are required to submit to the Scottish Funding Council annually each November. It is taken at a point in time in the academic and accurately reflects staffing data at this point – for reference figures are from 31st July 2020.

Table 1: Type of Contract	Staff Status		Number of staff (FTE)		
			Teaching	Non-teaching (support)	Total
	All Staff		38.5	37.2	191.3
Table 2: Number of all Staff (FTE)	Permanent	Full-time	15.0	27.0	42.0
		Part-time	17.0	10.2	27.2
		Total	32.0	37.2	69.2
	Temporary	Full-time			0.0
		Part-time	6.5		6.5
		Total	6.5	0.0	6.5
	Permanent and Temporary	Full-time	15.0	27.0	42.0
		Part-time	23.5	10.2	33.7
		Total	38.5	37.2	75.7

Table 1: All staff (headcount) by age range, gender and employment category (teaching/senior management/other)	Age range (years of age)	Gender	Employment category				
			Teaching		Senior management	Other	Total
			Permanent	Temporary			
24 & under		Male				1	1
		Female		1		2	3
25 - 30		Male					0
		Female	2			3	5
31 - 35		Male	1	1		1	3
		Female	2	2		3	7
36 - 40		Male	3			1	4
		Female	8	3		3	14
41 - 45		Male	4	1			5
		Female	5	1		3	9
46 - 50		Male	1	3	1	1	6
		Female	6	2	1	8	17
51 - 55		Male		2	1		3
		Female	7	3		7	17
56 - 60		Male	4	2		1	7
		Female	5	5	4	5	19
61 - 65		Male		4		1	5
		Female	3	4		1	8
66 & over		Male	4	4			8
		Female		3		2	5
Total		Male	17	17	2	6	42
		Female	38	24	5	37	104

11. Staff numbers by location, split by support and teaching – 2019/20

Location	Support	Teaching	Total
Arran	3	3	6
Dunoon	13	24	37
Helensburgh	4	7	11
Islay	2	9	11
Lochgilphead (Lorne St)	5	18	24
Lochgilphead (CERC)	3	6	9
Tobermory	1	1	2
Campbeltown (Hazelburn)	3	14	17
Campbeltown (Stewart Road)	5	0	5
Oban	19	41	60
Rothesay	1	10	14
Little Learners	34	0	34

12. Health Assured Interim Report

EAP Management Information

Argyll College UHI

Product:	Complete EAP		
Current Contract Year:	29/01/2020	Report start date:	01/02/2020
Number of employees:	217	Report end date:	30/09/2020
Usage for reporting period (calls vs number of employees):			4.84%

Management Information for your Employee Assistance Programme

The usage statistics demonstrate the engagement of the organisation for the last 12 months.

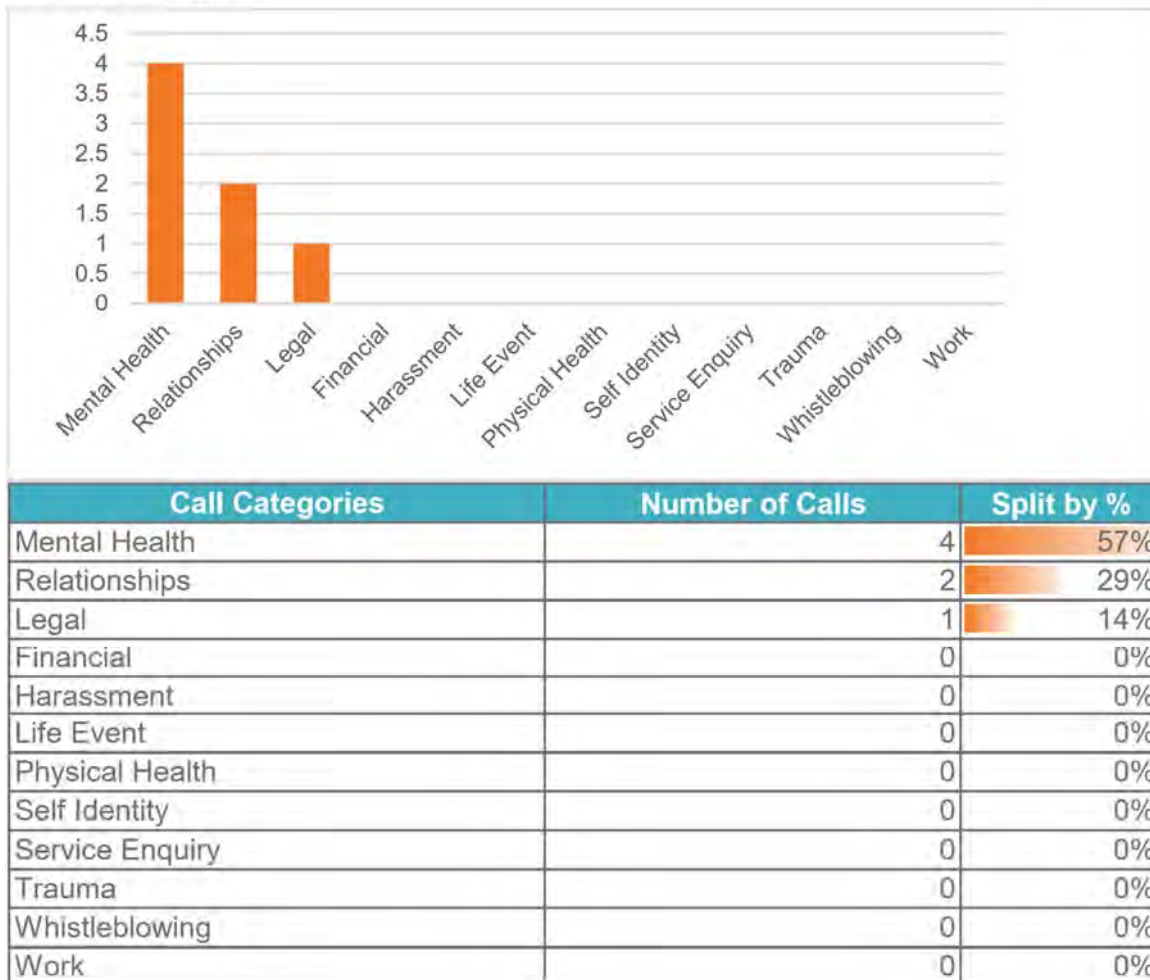
The management information is particularly valuable as EAPs often face the common misconception that the services are only accessed by those individuals suffering from stress or going through an emotional crisis. Health Assured's EAP not only supports individuals who require emotional support but also offers extensive practical support such as debt and legal information.

At Health Assured we are committed to supporting our clients by ensuring both employers and their employees gain maximum value from the service. Regular

promotion and communication in regards to the EAP is proven to raise awareness of this pro-active employee benefit, which in turn has a positive impact on utilisation.

Throughout the year we encourage promotion of the service to support engagement amongst staff and the following collateral is available:

Call Breakdown



Utilisation Summary	Utilisation
Face to face counselling cases	0
Face to face counselling sessions	0
Telephone counselling cases	1
Telephone counselling sessions	6
Online CBT cases	0
Online CBT sessions	0
Online counselling cases	0
Online counselling sessions	0

Additional Services	Utilisation
Online hits	151
Management referral cases	0
Monitored cases	0

Call Categories	Number of Calls
Mental Health\Anxiety	2
Mental Health\Impact of Mental Health of Another	2
Relationships\Family	2
Legal\Employment	1
Total:	7

2021 Schedule of Meetings

Argyll College UHI

MONTH	BOARD	AUDIT	FINANCE & GENERAL PURPOSE	LEARNING, TEACHING & ENGAGEMENT	HR & REMUNERATION	NOMINATIONS (meets as required)
JANUARY						
FEBRUARY		Friday 26 th February	Friday 26 th February	Friday 26 th February	Friday 26 th February	
MARCH	Friday 12 th March					
APRIL						
MAY		Friday 21 st May	Friday 21 st May	Friday 21 st May	Friday 21 st May	
JUNE	Friday 4 th June					
JULY						
AUGUST						
SEPTEMBER		Friday 10 th September	Friday 10 th September	Friday 10 th September	Friday 10 th September	
OCTOBER	Friday 1 st October*					
NOVEMBER		Friday 26 th November	Friday 26 th November	Friday 26 th November	Friday 26 th November	
DECEMBER	Friday 10 th December (to include AGM)					

Diary Date:-

Argyll College Graduation – 24th September 2021

Notes:-

*3 weeks between meetings to accommodate Graduation Ceremony.



GLASGOW
Developing the
Young Workforce

Proudly supported by
GLASGOW
CHAMBER OF COMMERCE

T:
E:

16th June 2020

Dear ,

OFFER OF GRANT FOR XXX

Developing the Young Workforce Secondary Schools Pilot Project: Financial Year 2020-21

Pursuant to its receipt of a grant under and by way of this grant pass-through agreement, Argyll College hereby offers to give to Argyll & Bute Council Education ("the Grantee") a grant of up to, payable over the financial years 2020-21, in connection with the Development of a pilot to run for up to two years in ten Argyll secondary schools which is more particularly described in Part 1 of Schedule 1 ("the Project") and subject to the terms and conditions below. The proposal and expenditure are set out in Annex A.

1. Definitions and Interpretation

- 1.1 In these Conditions, the words and expressions set out in **SCHEDULE 4** shall have the meanings ascribed to them in that Schedule.
- 1.2 In these Conditions unless the context otherwise requires, words denoting the singular shall include the plural and vice versa and words denoting any gender shall include all genders.
- 1.3 The headings in these Conditions are for convenience only and shall not be read as forming part of the Conditions or taken into account in their interpretation.
- 1.4 Except as otherwise provided in these Conditions, any reference to a clause, paragraph, sub-paragraph or schedule shall be a reference to a clause, paragraph, subparagraph or schedule of these Conditions. The schedules are intended to be contractual in nature. They form part of the Agreement and should be construed accordingly.
- 1.5 This Agreement shall not be varied except by an instrument in writing signed by both parties.

2. Purposes of the Grant

- 2.1 The Grant is made to enable the Grantee to carry out the Project.
- 2.2 The Grant shall only be used for the purposes of the Project and for no other purpose whatsoever.
- 2.3 No part of the Grant shall be used to fund any activity or material which is party political in intention, use, or presentation or appears to be designed to affect support for a political party.
- 2.4 The main objectives/expected outcomes of the Grant are:
- To work across **ten** schools to improve the number of school leavers moving into sustained positive destinations
 - To work with the **ten** pilot schools and businesses towards increasing the number of employer engagements available for young people
 - To work in partnership with the **ten** pilot schools to encourage a whole school approach and commitment to the DYW agenda
 - To ensure that all statutory winter leavers participate in work experience placements to help their transition from school to positive sustained destinations
 - Increase the schools online participation in using **Marketplace and Founders 4** schools
 - Working with key partners to identify young people who are at risk of disengaging and helping secure a sustained positive destination
 - Work with the schools senior management team to monitor and track progress of pilot programme
 - Work with key partners to extend existing Schools and Business Partnerships
- 2.5 The targets/milestones against which progress in achieving objectives/expected outcomes shall be monitored are:

The Scottish Government and Argyll College recognises that the fulfilment of the KPIs is potentially limited given the uncertainty surrounding COVID-19. The Scottish Government will work with the DYW Argyll Regional Group and Argyll & Bute Council to work through challenges that emerge and will review the need to adapt, adjust or change these KPIs to respond to labour market demands in light of the emerging issues.

- Improvement year on year improvement in School Leavers Destination Report figures from the **ten** pilot schools
 - Reporting on the number of employer engagements young people undertake
 - Seeing an increase in the number of teachers/departments using **Marketplace and Founders 4** Schools as well as an increased activity from different departments with their main business partners
 - Report an increase in the number of senior phase pupils participating in work experience placements
 - Report against an improvement in the number of times these particular schools take advantage of offers on **Marketplace and post opportunities on Founders 4** Schools
 - A decrease in SLDR figures for those moving into negative destinations
 - Establishment of a working group which includes the Senior Management Team and representation from DYW Argyll
 - Report an increase on the number of businesses working with the ten pilot schools
- 2.6 The eligible costs for which the Grant can be claimed are:

- Staff and associated costs
 - Salary Costs:
 - Associated cost at 5%:
- Pupil transport/travel

TOTAL: £

2.7 The eligible costs exclude:

- Any Value Added Tax (VAT) reclaimable by the Grantee

2.8 All costs will be paid based on evidenced expenditure against the budget heading

3. Payment of Grant

3.1 The Grant shall be paid by Argyll College to the Grantee in accordance with the terms of **SCHEDULE 1** attached.

3.2 The Grantee shall within two months following the end of each financial year in respect of which the Grant has been paid submit to Argyll College a statement of compliance with the Conditions of the Grant using the form of words provided in **SCHEDULE 3**. The statement shall be signed by the Grantee's Project Manager or Finance Director.

3.3 In the event that the amount of the Grant paid by Argyll College to the Grantee at any point in time is found to exceed the amount of the expenses reasonably and properly incurred by the Grantee in connection with the Project, the Grantee shall repay to Argyll College the amount of such excess within 14 days of receiving a written demand for it from or on behalf of Argyll College. In the event that the Grantee fails to pay such amount within the 14 day period, Argyll College shall be entitled to interest on the sum at the rate of 2 per cent per annum above the Bank of England base lending rate prevailing at the time of the written demand from the date of the written demand until payment in full of both the sum and the interest.

3.4 Argyll College shall not be bound to pay to the Grantee, and the Grantee shall have no claim against Argyll College in respect of, any instalment of the Grant which has not been claimed by the Grantee by 31 March of the applicable financial year as set out in **SCHEDULE 1**, unless otherwise agreed in writing by Argyll College.

4. Inspection and Information

4.1 The Grantee shall keep Argyll College fully informed of the progress of the Project in the form of quarterly and annual reports. Details shall include actual expenditure to date compared with profiled expenditure and any change to estimated expenditure for the financial year and/or the Project as a whole, the reasons for any such changes and progress in achieving objectives/outcomes.

4.2 Revisions to targets/milestones against which progress in achieving objectives/outcomes are monitored shall be subject to the written agreement of Argyll College

- 4.3 The Grantee shall, on completion of the Project, submit a report to Argyll College summarising the outcomes and performance of the Project. Such a report shall include such statistical and other information relating to the impact of the Project as shall be required by the Argyll College.
- 4.4 The Grantee shall also provide any other information that Argyll College may reasonably require to satisfy themselves that the Project is consistent with the Agreement. The Grantee shall provide Argyll College with prompt access to any information they reasonably require to ensure compliance with these Conditions.
- 4.5 The Grantee shall keep and maintain for a period of: 5 years after the expenditure occurs, adequate and proper records and books of account recording all receipts and expenditure of monies paid to it by Argyll College by way of the Grant. The Grantee shall afford Argyll College, their representative and such other persons as Argyll College may reasonably specify from time to time, such access to those records and books of account as may be required by them at any reasonable time in response to a written request for such access from the person seeking it. The Grantee shall provide such reasonable assistance and explanation as the person carrying out the inspection may from time to time require.
- 4.6 In the event of the Grantee becoming aware of or suspecting any irregular or fraudulent activity that may have any impact on the Project or on the use of the Grant, or any part of it, the Grantee shall immediately notify Argyll College of such activity and provide such other information as Argyll College may reasonably require in relation to the impact on the Project and the use of the Grant.
- 4.7 The grantee shall immediately inform Argyll College of any change in its constitution for example, but not limited to, a change in status from one type of body corporate to another.

5. Confidentiality and Data Protection

- 5.1 The Grantee will respect the confidentiality of any commercially sensitive information that they have access to as a result of the Project.
- 5.2 Notwithstanding the above, the Grantee may disclose any information as required by law or judicial order. All information submitted to Argyll College may need to be disclosed and/or published by Argyll College or Scottish Ministers. Without prejudice to the foregoing generality, it should be noted that Scottish Ministers may disclose information in compliance with the Freedom of Information (Scotland) Act 2002, any other law, or, as a consequence of judicial order, or order by any court or tribunal with the authority to order disclosure.
- 5.3 The Grantee shall ensure that all requirements of the Data Protection Laws are fulfilled in relation to the Project.

6. Disposal of Assets

The Grantee shall not, without prior written consent of Argyll College, dispose of any asset funded, in part or in whole, with Grant funds within 5 years of the asset being acquired or developed. During that period Argyll College shall be entitled to the proceeds of the disposal – or the relevant proportion of the proceeds

based on the percentage of grant funding used in connection with the acquisition or improvement of the asset against the whole proceeds. Argyll College shall also be entitled to the relevant proportion of any proceeds resulting from any provision included as a condition of sale. Recovery by Argyll College shall not be required where the value of the asset is less than £1,000.

7. Publicity

The Grantee shall where reasonably practicable acknowledge in all publicity material relating to the Project the contribution Scottish Ministers to its costs. Argyll College will require to approve the form of such acknowledgement prior to its first publication.

8. Intellectual Property Rights

- 8.1 All Intellectual Property Rights are hereby assigned to and shall vest in Argyll College.
- 8.2 The Grantee shall ensure that nothing contained in any materials produced or submitted to Argyll College by the Grantee or anyone acting on its behalf nor the reproduction of such materials, shall constitute an infringement of any third party copyright or intellectual property right and shall indemnify the Argyll College against all actions, proceedings, claims and demands made by reason of any such infringement.

9. Default and Recovery etc. of Grant

- 9.1 Argyll College may re-assess, vary, make a deduction from, withhold, or require immediate repayment of the Grant or any part of it in the event that:
 - 9.1.1 The Grantee commits a Default;
 - 9.1.2 Argyll College consider that any change or departure from the purposes for which the Grant was awarded warrants an alteration in the amount of the Grant;
 - 9.1.3 The Grantee fails to carry out the Project;
 - 9.1.4 In Argyll College opinion, the progress on the Project is not satisfactory; or
 - 9.1.5 In Argyll College's opinion, the future of the Project is in jeopardy.
- 9.2 If, pursuant to its grant with Scottish Ministers, Argyll College's opinion is that, the Grant or any part of it is state aid such that in order to give effect to recovery provisions in its grant with Scottish Ministers, Argyll College is required to recover sums from the Grantee in order to ensure Scottish Ministers' compliance with their obligations under EU law, Argyll College may require immediate repayment of the Grant or any part of it together with interest at such rate and on such basis as may be determined from time to time by the Commission of the European Union.
- 9.3 Argyll College may withhold the payment of the Grant if at any time within the duration of the Agreement:
 - 9.3.1 The Grantee passes a resolution that it be wound up, or a court makes an order that the Grantee be wound up, in either case otherwise than for the purposes of reconstruction or amalgamation, or circumstances arise which would enable a court to make such an order or

the Grantee is unable to pay its debts within the meaning of section 123 of the Insolvency Act 1986;

9.3.2 Where the Grantee is an individual, if a petition is presented for the Grantee's bankruptcy or the sequestration of his estate or a criminal bankruptcy order is made against the Grantee; or the Grantee makes any composition or arrangement with or for the benefit of creditors, or makes any conveyance or assignation for the benefit of creditors, or if an administrator or trustee is appointed to manage his affairs; or

9.3.3 A receiver, manager, administrator or administrative receiver is appointed to the Grantee, or over all or any part of the Grantee's property, or circumstances arise which would entitle a court or a creditor to appoint such a receiver, manager, administrator or administrative receiver.

9.4 In the event that the Grantee becomes bound to pay any sum to Argyll College in terms of clause 9.1, the Grantee shall pay Argyll College appropriate sum within 14 days of a written demand for it being given by or on behalf of Argyll College to the Grantee. In the event that the Grantee fails to pay the sum within the 14 day period, Argyll College shall be entitled to interest on the sum at the rate of 2 per cent per annum above the Bank of England base lending rate prevailing at the time of the written demand, from the date of the written demand until payment in full of both the sum and interest.

9.5 Notwithstanding the provisions of this clause 9, in the event that the Grantee is in breach of any of the Conditions, Argyll College may, provided that the breach is capable of a remedy, postpone the exercise of their rights to recover any sum from the Grantee in terms of clause 9 for such period as they see fit, and may give written notice to the Grantee requiring it to remedy the breach within such period as may be specified in the notice. In the event of the Grantee failing to remedy the breach within the period specified, the Grantee shall be bound to pay the sum to Argyll College in accordance with the foregoing provisions.

9.6 Any failure, omission or delay by Argyll College in exercising any right or remedy to which they are entitled by virtue of clauses 9.1 to 9.3 shall not be construed as a waiver of such right or remedy.

10. Assignment

The Grantee shall not be entitled to assign, sub-contract or otherwise transfer its rights or obligations under the Agreement without the prior written consent of Argyll College.

11. Termination

The Agreement may be terminated by Argyll College giving not less than 3 months' notice in writing from the date of the notice being sent.

12. Corrupt Gifts and Payments of Commission

The Grantee shall ensure that its employees shall not breach the terms of the Bribery Act 2010 in relation to this or any other grant. The Grantee shall ensure that adequate controls are in place to prevent bribery.

13. Continuation of Conditions

13.1 These Conditions, except for Condition 6, shall continue to apply for a period of 5 years after the end of the financial year in which the final instalment of the Grant was paid.

13.2 Condition 6 shall continue to apply until the end of the period referred to in that Condition.

14. Compliance with the Law

The Grantee shall ensure that in relation to the Project, they and anyone acting on their behalf shall comply with the relevant law, for the time being in force in Scotland.

15. Governing Law

This contract is governed by the Law of Scotland and the parties hereby prorogate to the exclusive jurisdiction of the Scottish Courts

If you wish to accept the offer of this Grant on the whole terms and conditions as set out in the letter and annexed Schedules, you should sign and date both copies of the Grant Acceptance below and return one copy of the offer of Grant and Schedules to me at Argyll City Council Education Services
City Chambers East Building, 40 John Street, Argyll, G1 1JL. You should retain the second copy of the offer of Grant and Schedules for your own records.

Signed acceptances must be returned within 28 days of the date of this offer letter.

In order to receive the grant payment(s), you should take a photocopy of the Schedule 2 Grant Claim Form from the original you have retained, sign and date the form(s) any time after the date(s) indicated in section D of the Schedule 2 form.

Yours sincerely

GRANT ACCEPTANCE

On behalf of Argyll & Bute Council I accept the foregoing offer of Grant by Argyll College dated 16/6/20 in the whole terms and conditions as set out in the letter and annexed Schedules. I confirm that Argyll & Bute Council is solvent. I confirm that I hold the relevant signing authority.

Signed:

«Director/Company Secretary/Authorised Signatory»

Print Name:

Position in Organisation of Person Signing:

Date:

Place of Signing:

Signed:

Witness Name:

Address:

Date:

Place of Signing:

SCHEDULE 1

PART 1: THE PROJECT/PROGRAMME

DYW IN SCHOOL SECONDARY SCHOOLS – ARGYLL PILOT

Nationally the DYW programme has met the headline targets to reduce youth unemployment by 40% by 2021. The DYW National Group, are convinced that to secure further reductions, more has to be done to connect employers with schools and to groups of young people who do not find the transition to work straightforward regardless of the economic cycle, for example, young people from disadvantaged backgrounds and care experienced young people.

MCR pathways and other specialist providers are already meeting part of that need but the capacity of schools to engage with the different offers, including those from employers through the DYW groups, has been flagged as an issue by a number of DYW groups. MCR pathways already have a sophisticated National Plan and have experience of developing and implementing a programme across the 30 Argyll secondary schools. This Argyll pilot will adopt a similar approach for the DYW Programme in ten Argyll secondary schools.

Secondary school is a crucial stage for young people where more vulnerable young people start to disengage at the stage where important choices are considered for post-school. Each secondary school in Argyll should have a clearly identified 'employability team'.

The project would involve an in-school resource (DYW Co-ordinator) that would work alongside teachers, MCR pathways co-ordinators and SDS careers advisors to create an employability hub based in the selected secondary school.

Via the creation of a fulltime role the grantee will support the: co-ordination; monitoring; and reporting of progress against agreed KPIs within and across the ten pilot schools. The post holder will further escalate any issues of under-performance in the pilot to the DYW Lead and assist in the application of any necessary remedial action. In addition the post-holder will

- Increase the level of DYW engagement with Argyll Secondary schools - concentrating on the feeder schools for the ten Pilot secondary schools, with a particular focus on activity which will address any risk of disengagement as pupils progress through education.
- Work as part of the team to use creative marketing and networking to get business involved in the programme of work.
- Work with key partners in education services to ensure a successful pilot of increased DYW activity in ten schools.
- Working closely with the Programme Director in ensuring the successful delivery of the DYW plan and the integration and learning from the pilot.
- Supporting the delivery of and monitoring the impact of projects support DYW funding.

PART 2: PAYMENT OF GRANT

1. The total Grant of up to shall be payable by the Scottish Ministers to the Grantee in 4 instalments, as noted in the schedule of payments on receipt of a completed claim for Grant in the form set out in **SCHEDULE 2** together with the associated monitoring information set out in paragraph 4.1 of the Offer of Grant.
2. The total Grant shall be payable over the financial year/s 2020/2021. Argyll College shall not be bound to pay any instalment of the Grant which has not been claimed by the Grantee by 31 March of the applicable financial year, unless otherwise agreed in writing by Argyll College
3. The Grantee shall provide a monthly profile of expenditure of the Grant before the start of project. Any change to the profile or to the overall costs of the Project/Programme shall be notified to Argyll College at the earliest opportunity via the claims for Grant and monitoring reports.
4. Each claim shall be for an amount equal to the actual reasonable and proper costs and expenses incurred by the Grantee in connection with the Project since the submission by it of the last claim for an instalment of the grant.
5. Each claim shall be submitted together with such explanatory or supplementary material as Argyll College may from time to time require whether before or after submission of the claim.
6. On receipt of each claim (and any required documentation and information), Argyll College shall determine the amount of expenditure which they consider the Grantee shall reasonable and properly incur in connection with the Project having regard to that claim. The determination shall be based on the information provided by the Grantee in accordance with this Schedule Argyll College shall use their best endeavours (but shall be under no obligation or duty) to pay the amount determined to the Grantee within 10 working days of receiving a claim and any required documentation and information relevant to the claim.
7. In order to facilitate the accrual of expenditure of the Grant for the financial year the Grantee shall, where appropriate, advise Argyll College in writing by April 2021 the amount of the Grant actually expended up to and including 31 March 2021.

SCHEDULE 2

GRANT CLAIM FORM

Organisation:

Project: DYW Argyll School Pilot Project

Total agreed grant for: 2020/21:

Payment Details:

A: Name and address of organisation:	B: Name of contact within organisation including position and telephone number:
C: Bank Details (Name and address) Sort Code...../...../..... Account Number.....	D: Total amount of Argyll College grant offered in 2018-19 - Amount of grant requested (Please circle)

We hereby claim grant of in respect of the above period in accordance with the terms and conditions of the offer of Grant dated 16th June 2020 and the Schedules attached thereto.

Completed by:

Position:

Contact Details:

Date:

SCHEDULE 3

STATEMENT OF COMPLIANCE WITH CONDITIONS OF GRANT

Argyll & Bute Council - Developing the Young Workforce in secondary schools – Argyll Pilot

This is to confirm that the grant claimed by Argyll & Bute Council in relation to the above Project during the financial year ended 31 March 2021 was properly due and was used for its intended purpose(s) in accordance with the terms and conditions of the Grant. This statement is supported by the records of Argyll & Bute Council.

Signed:

Name in block capitals:

Position:

Date: [Click here to enter a date.](#)

SCHEDULE 4

DEFINITIONS

“Agreement” means the agreement constituted by Argyll College invitation to apply for a grant, the Grantee’s Application, these Conditions and the Grantee’s acceptance of these Conditions;

“Conditions” means these grant conditions;

“Data Protection Laws” means any law, statute, subordinate legislation, regulation, order, mandatory guidance or code of practice, judgment of a relevant court of law, or directives or requirements of any regulatory body including the Data Protection Act 1998, the Data Protection Act 2018 and any statutory modification or re-enactment thereof and the GDPR.

“Default” means:

- a) Any breach of the obligations of either party under this Agreement (including, but not limited to, any breach of any undertaking or warranty given under or in terms of this Agreement);
- b) Any failure to perform or the negligent performance of any obligation under this Agreement;
- c) Any breach of any legislation; or
- d) Any negligence or negligent or fraudulent miss-statement or misappropriation of Grant, or any other default,

In all cases by either party, its employees, agents or representatives;

“Financial Year” means a period from 1 April in one year until 31 March in the next;

“Grant” means the grant offered by Argyll College to the Grantee as specified in the Award Letter, as varied from time to time in accordance with these Conditions;

“Grantee” means the person, organisation or body to which the Grant will be payable as specified in these Conditions. Where two or more persons, organisations or bodies are the Grantee, references to the “Grantee” are to those persons, organisations or bodies collectively and their obligations under the Agreement are undertaken jointly and severally;

“Intellectual Property Rights” means all copyright, patent, trademark, design right, database right and any other right in the nature of intellectual property whether or not registered, in any materials or works in whatever form (including but not limited to any materials stored in or made available by means of an information technology system and the computer software relating thereto) which are created, produced or generated as part of the Project by or on behalf of the Grantee.

“Project/Programme” means the purpose for which the Grant has been awarded as described in the Offer of Grant;

“Payment” means each of the payments specified in Schedule 1 hereto.

Developing the Young Workforce – Grant proposal

Scottish Government has awarded additional funding of £90,143.20 to Argyll College for the DYW project. This is to employ 10 part-time DYW Schools Coordinators to be based in 10 secondary schools in Argyll & Bute until the end of the current financial year.

The eligible costs for which the Grant can be claimed are outlined below:

Salary for 10 coordinators -	£72,360
Set up costs –	£5,000
Additional project Costs -	£3,500
Administration/Management Costs -	£9,283

There has been ministerial commitment for funding in 2021-22, but the Scottish Government cannot make a formal offer of funding until national budgets are announced next year.

At present Argyll College hosts the DYW Argyll Project and we employ 1 F-T DYW Manager, and one F-T DYW Assistant on the project. The DYW Board has agreed that the 10 schools coordinators should be employed by Argyll & Bute Council and a grant awarded to them to cover the employment and any directly associated costs of these employees, following a model developed in other regions.

We have a draft grant letter prepared for this, and will check that there are no VAT implications of such an offer. The funding supplied to Argyll & Bute Council would cover salary, set up and projects costs only.

We are seeking Board approval to make this grant offer to Argyll & Bute Council, once any necessary VAT implications are clarified.