



Stirling Campus, S1.19 @ 4.30pm

AGENDA

1. Declarations of interest

FOR APPROVAL

2. Minutes of meeting of 21 November 2023

(Elements of paper 2 are withheld from publication on the Forth Valley College website under Section 36 Confidentiality of the Freedom of Information (Scotland) Act 2002.)

3. Matters Arising - None

4. HR Policy updates

Ralph Burns

4.1 Retirement Policy

4.2 Prevention of Harassment and Bullying Policy

4.3 Gifts & Hospitality Policy

4.4 Flexible Working Policy

5. HR Policies – New

Ralph Burns

5.1 Professional Relationships Policy

6. Financial Regulations

Senga McKerr

7. Procurement Approvals

Senga McKerr

7.1 Fresh butcher meat

7.2 Electricity

7.3 Waste & Water waste billing

(Paper 7 is withheld from publication on the Forth Valley College website under Section 33 Commercial Interests and the Economy of the Freedom of Information (Scotland) Act 2002.)

8. Tuition Fees and Fee Waiver Session 2024/25

David Allison

(Paper 8 is withheld from publication on the Forth Valley College website under Section 25 Information Otherwise Accessible of the Freedom of Information (Scotland) Act 2002 -

<https://www.forthvalley.ac.uk/about-us/publications-forms/>

FOR DISCUSSION

9. Estates Dashboard/Update

Martin Loy



26 March 2023

FINANCE, RESOURCE & INFRASTRUCTURE COMMITTEE

(Paper 9 is withheld from publication on the Forth Valley College website under Section 36 Confidentiality of the Freedom of Information (Scotland) Act 2002.)

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|-----|------------------------------|-----------------|
| 10. | People Strategy Dashboard | Ralph Burns |
| 11. | Health & Wellbeing Dashboard | Karina Buchanan |
| 12. | Q2 Forecast Outturn 2023-24 | Senga McKerr |

(Paper 12 is withheld from publication on the Forth Valley College website under Section 36 Confidentiality of the Freedom of Information (Scotland) Act 2002.)

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| 13. | Falkirk Council LGPS Triennial Valuation | Senga McKerr |
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(Paper 13 is withheld from publication on the Forth Valley College website under Section 36 Confidentiality of the Freedom of Information (Scotland) Act 2002.)

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| 14. | Review of Risk |
| 15. | Any other competent business |

FOR INFORMATION

- | | |
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| 16. | Finance Update - 7 months to February 2024 |
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(Paper 16 is withheld from publication on the Forth Valley College website under Section 36 Confidentiality of the Freedom of Information (Scotland) Act 2002.)



3. Minute of Meeting of 21 November 2023 For Approval

26 March 2024

FINANCE, RESOURCE & INFRASTRUCTURE COMMITTEE

Steeple Suite, Falkirk Campus (commencing at 4pm)

Present: Liam McCabe
Craig Arthur
Philip Harris
Kirsten Kennedy, FVSA Vice President (FVSAVP)

Apologies: Paul Devoy
Caroline Johnston

In Attendance: Ken Richardson, co-opted member
Kenny MacInnes, Principal
Alison Stewart, Vice Principal Finance and Corporate Affairs (VPFACA)
David Allison, Vice Principal Infrastructure and Communications (VPIC)
Colin McMurray, Vice Principal Business and Innovation (VPBI)
Senga McKerr, Director of Finance (DOF)
Moirra France, Finance Manager (FM)
Stephen Jarvie, Corporate Governance and Planning Officer (CGPO)
Ester Vasallo, Supply Chain Manager (SCM) for item F/23/019 only
Pauline Jackson, Development & Fundraising Manager (DFM) for item F/23/021 only
Martin Loy, Head of Estates, Facilities Management & Health and Safety (HEFMHS) for item F/29/024 only

F/23/016 Declarations of Interest

None

F/23/017 Minutes of Meeting of 19 September 2023

Members considered the minutes of the meeting of 19 September 2023

a) Members approved the minute of the meeting

F/23/018 Matters Arising

The Chair raised the matter of the two retrospective procurement approvals brought to the last meeting of the Committee and queried what steps had been taken to ensure this did not happen.

The Principal reported to the Committee that he had met with key staff to ensure clarity on approval limits, signatures and what matters are reserved to the Committee and/or the Board of Management.

3.1 F/23/004 Review of Committee Remit

At the last meeting the Committee had expressed a wish to be made aware of any significant projects being undertaken by the College.



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The VPFA confirmed to the Committee that significant projects, which could also include projects with a low financial value but other significance to the College, will be brought to the Committee. She confirmed that, at this time, the most significant project underway was the Skills Transition Centre (STC) bid which had previously been presented to the Committee and Board.

3.2 F/23/003 People Strategy Dashboard

The Committee had requested that a cover sheet be added to the dashboard. The CGPO confirmed that, while there was not an update dashboard given the short period of time from the last meeting, this would be included in future reports.

F/23/012 Estates Update

Members had requested information on College maintenance and the Chair noted that the HEFMHS would be presenting a report on the estate later in the agenda.

F/23/019 Annual Procurement Report

The SCM presented members with the annual procurement report and sought endorsement for the content and approval to publish this on the College website in line with the College's procurement commitments. This would also fulfil the College's statutory obligation in this respect.

She commented that the overview of procurement to date and significant planned procurement levels for the next two years were included in the report.

Members queried whether the format of the report was prescribed and the SCM confirmed that this was the case.

Members queried whether there was any activity in the report that should have been brought to the Committee and also whether the new policy on 'No purchase order (PO), No Payment' was working well.

The SCM informed members that there were no non-compliant contracts in the last year but that there was some non-compliant spend. She noted that spend last year was 87% compliant as per the report.

She also commented on the 'No PO, No Payment' policy noting that, while only introduced in August, there had been a marked increase in PO use and that, if this trend continues, PO use is expected to rise from 64% to over 90% this academic year.

Members asked if it were known when the next PCIP assessment would be. The SCM informed members that there was not a date set yet but that Scottish Government intended to refresh the questions in February next year to adopt a lighter touch approach.



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Members queried whether the STC project was taking up increased time for the SCM and whether there was adequate resource in place to support this activity.

The VPFACA commented that there was additional procurement support included in the STC bid and this would be brought in when required.

Members noted the amount of detail that goes into prepare the Annual Procurement Report and thanked the SCM for her work.

a) Members approved publication of the Annual Procurement Report

F/23/020 Management Assessment of Going Concern

The DOF presented members with an assessment of going concern that had been requested by the external auditors. She noted that the document covered a period to July 2025 and was based on the calculations used in the recent SFC Financial Forecast Return document, with the figures adjusted to remove the savings in staff costs include to balance the FFR and removing all FWDF contribution.

She highlighted the College's cash reserve levels and that the overall assessment was that the College continued to be a going concern.

The VPFACA also highlighted that Audit Scotland considers all Colleges, due to their ONS classification as public bodies, to be going concerns.

a) Members noted the content of the report

F/23/021 Performance Review: Development and Fundraising

The DFM presented members with a report on the past years activity across fundraising and development as well as the forward work plan for the coming year.

The DFM

- noted that the fundraising strategy was under review but that the need to focus effort on the STC project had paused this work.

- [REDACTED]

- [REDACTED]

- discussed the bids that had not been successful and discussed reasons for this.

- outlined plans for the current academic year and provided an update on the STC funding process as well as work on the Forth Green Freeport initiative.

Members noted the Stirling Shared Prosperity bid and queried if there were similar funds in Clackmannanshire and Falkirk.



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The DFM reported that, while there were similar funds, Stirling was the only area to open the fund to bids from other organisations.

Members queried whether the work on STC was causing any staff resource issues.

The DFM informed members that this was not an issue at the moment owing to the project team in place and the use of external consultants for speciality areas of work.

She confirmed a work plan was also in place.

[REDACTED]

a) Members noted the content of the report

F/23/022 Q1 High Level Forecast 2023-24

The FM outlined the Q1 forecast for this academic year, noting that the current position was a projected small surplus. She emphasised that there were still a number of risks that had yet to be resolved including Flexible Workforce Development Funding (FWDF) levels, national pay awards; and the capital and revenue split of SFC's maintenance grant.

She highlighted that overall it was a positive position for Q1 and that greater detail would be brought to the next meeting of the Committee in which Q2 figures which give a firmer basis for forecasting would be available.

The VPFA highlighted the difficulty to forecast without knowing what, if any, FWDF allocation is being made to the College. She informed members that last academic year, the allocation was not made until mid-January.

The Principal also noted Foundation Apprenticeship (FA) funding, where the guidance on travel costs had only just been released despite College's having to start FA provision at the start of the academic year. This guidance results in a significant cost to the college relating to travel costs.

Members recommended that this be highlighted to the College's Outcome Agreement manager.

The Principal confirmed that sector funding was being raised at all levels, including at Ministerial level and outlined discussions he had had with Graeme Dey MSP.

The VPFA also confirmed both the College's Principals Group and Finance Directors group were pushing for earlier notification of funding levels.



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Members also noted the level of capital funding available and queried if this level was confirmed.

The DOF confirmed that it was and that the internal allocations for this funding was being looked at next week.

a) Members noted the content of the report

F/23/023 Student Funding Outturn 2022/23 and Forecast 2023/24

The DOF presented a report outlining the outturn for student funds last year and the forecast expenditure for the current year.

She highlighted that last year the College returned approximately 30% of the student funding allocation and noted that an underspend was forecast for this year. She confirmed that the student funding team were looking at ways to ensure eligible students receive the maximum permissible funding.

Members queried if the unused funds could be used for other purposes. The VPFA reported that the funding was specifically for this activity and that SFC were aware that all Colleges were in a similar position.

a) Members noted the content of the update

F/23/024 Estates Update

The HEFMHS presented his update paper to members, noting that there had not been significant movement since the last report to the Committee.

He discussed backlog and lifecycle maintenance and highlighted that the SFC's infrastructure strategy for the sector which was to be presented in November has now been moved back to nearer Christmas 2023.

He discussed the outcome of the review of the Total Facilities Management (TFM) contract and confirmed that the review had concluded that the current arrangements were delivering value for money and that the intention was to tender on this basis. He confirmed a Pre-Qualification Questionnaire (PQQ) had been issued for the TFM contract.

Members noted that managing the PQQ responses would put additional demands on the SCM in the College. The HEFMHS confirmed to members that the PQQ would be managed by the SCM's manager at APUC and so would not impact on her workload.

The HEFMHS informed members that the College's application for the Scottish Government's decarbonisation funding had unfortunately not been successful, likely owing to the number of applications made.



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The Principal commented that, while the College did not succeed in getting the funding, the targets from Scottish Government would still apply to the College and need to be delivered upon.

The HEFMHS updated members on progress with the insurance claim for the Stirling Campus issues discussed at the last Committee meeting and noted that this was ongoing and that a specification of the damage was being prepared by the College.

Members queried if this report would be taken to the Board of Management meeting.

The VPFACA confirmed an estates report would be presented.

Members recommend that there be discussion at the Board meeting to agree how the College will report on this matter to both the Committee and the Board.

a) Members noted the content of the report

F/23/025 Review of Risk

Risks were identified in their covering papers

F/23/026 Any Other Competent Business

None

F/23/027 Annual Report and Financial Statements 2022/23 (Joint item with Audit Committee)

The DOF presented the annual report and financial statements for 2022/23 to members for endorsement for approval by the Board.

She highlighted that there were a couple of outstanding matters to be resolved and what these were.

She noted that, owing to the way the accounts are required to be presented, they can be a very technical document and confirmed to members that the overall position for the year was an adjusted operating deficit of £44k after voluntary severance payments of £443k.

She discussed the request from the external auditors for an adjusted opening land and buildings valuation and the impact of this.

She also highlighted the note in the accounts regarding the Fuel Change suspected fraud and confirmed additional details were to be added within the Governance Report.



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Members welcomed that the College was able to maintain operational sustainability but noted the increase in staff turnover rates.

Members queried the statement [reference to be inserted] that SFC had 'signed off on the deficit' given the accounts had not been presented to and therefore were not yet approved by the Board of Management. The DOF informed members that SFC had seen and agreed the calculations used to reach the presentation of the adjusted operating position.

Members welcomed the positive cash generation position the College was in but queried if there was comfort with such small margins in the accounts. The VPFACA noted that the College cannot retain surpluses and aim for breaking even.

a) Members endorsed the accounts for submission to the Board of Management subject to the resolution of the outstanding matters with the external auditors.

F/23/028 Draft External Audit Annual Report to the Board of Management (Joint item with Audit Committee)

Michael Speight, Partner, Mazars, the College's external auditor presented the draft external auditor report to members.

[Redacted text block]

[Redacted text block]

Following extensive discussion, it was agreed that Mazars would meet further with the VPFACA and DOF to discuss further.

a) Members noted the content of the report



1. Purpose

To seek approval from members on the amendments to a number of HR policies following a standard review of the Policy and Procedures.

2. Recommendation

That members note and approve the changes.

3. Background

When approving a policy it is standard practice to have a review date noted. As part of the standard review process a three HR policies were identified as due for review:

- Retirement Policy
- Prevention of Harassment and Bullying Policy
- Gifts and Hospitality

In addition to this, the government has announced that the new flexible working regulations will come into effect on 6 April 2024, giving employees the right to request flexible working arrangements from day one of employment.

4. Key Considerations

The above noted policies have been reviewed and changes have been tracked.

Retirement Policy

Minor changes along with changes in relation to Equalities Impact Assessment and titles.

Prevention of Harassment and Bullying Policy

Key changes include the incorporation of

- Data Protection
- Sexual Harassment
- Compliant process where bully/harasser/sexual harasser is a third party
- Victimisation
- Related documents.

Gifts and Hospitality

Key changes include the incorporation of

- Equalities impact assessment
- Data Protection
- Related Documents

Flexible Working Policy

Along with minor changes to the Policy, new provisions include

- The Flexible Working (Amendment) Regulations 2023 will require employers to consult with the employee when they make a flexible working request before rejecting it.
-



4 HR Policy Updates For Approval

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FINANCE, RESOURCE & INFRASTRUCTURE COMMITTEE

- The time employers have to respond to a request will be reduced to two months, from the three months they are allowed under current rules.
- Employees will be able to make two requests within a 12-month period, compared to the single request they are currently allowed.
- There will also no longer be any requirement for the employee to explain what effect their request will have on the employer or how the impact might be dealt with.

5. Resource Implications (Financial, People, Estates and Communications)

Managers must read the policy and procedure and seek advice on process from HR. These processes need followed

6. Equalities

Who does this impact? All Staff
Assessment in Place? – Yes

7. Communities and Partners N/A

8. Risk and Impact

Please complete the risk table below. Risk is scored against Likelihood x Impact, with each category scored from Very Low through to Very High. Risks should be robustly scored and, if the combined score (Likelihood x Impact) is higher than the Board Risk appetite for the risk category identified, additional justification must be provided on why this risk is necessary.

If the paper is an approval, please reflect on whether the approval will have any direct or indirect impact for any other areas of operational activity internally or externally within the College – Yes

	Likelihood	Impact
Very High (5)		
High (4)		
Medium (3)		
Low (2)	2	2
Very Low (1)		

Total Risk Score – 4

The College has a Strategic Risk appetite for categories of risk as defined by the Board of Management. Decisions being taken at LMT/SMT/Board level must have cognisance of this. Please indicate the single most relevant risk category in the table below.

BoM Risk Categories & Risk Appetite (Select one area only)				
Cautious <15		Open 15> <20		Eager >20
Governance		Strategy		People
Legal	x	Financial		Project/Programme
Property		Reputational		
		Technology		



4 HR Policy Updates For Approval

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FINANCE, RESOURCE & INFRASTRUCTURE COMMITTEE

Is the score above the Board Risk Appetite level? No

Risk Owner – LMT

Action Owner – Ralph Burns

Paper Author – Ralph Burns

SMT Owner – Alison Stewart

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Retirement Policy and Procedure

Including Employer Discretions relating to Pension Scheme

Status	Approved
Date of version	April 2019 February 2024
Responsibility for Contents	Human Resources
Responsibility Review	Human Resources
Impact Assessment Review Date	January 2022 November 2026
Review Date	April 2022 February 2027
Primary Contact	Human Resource Business Manager

EQUALITIES IMPACT ASSESSMENT

We welcome feedback on this Policy and the way it operates. We are interested to know of any possible or actual adverse impact that this Policy may have on any groups in respect of gender, race, disability, sexual orientation, religion or belief, age or other characteristics.

An initial Equalities Impact Assessment of this Policy has been carried out. The policy has been written to fully comply with all obligations in respect of employment law and equality legislation and to take account of recommended best practice. It is therefore not anticipated that this policy will result in a negative or adverse impact on one or more groups in respect of [any protected characteristics: gender, race, disability, sexual orientation, religion or belief, age or other characteristics.](#)

DATA PROTECTION

The College processes personal data collected in relation to Retirement. All information is stored and processed in compliance with the Data Protection Act 2018 (DPA) and UK GDPR. The College is the data controller for your data, and is registered with the Information Commissioner's Office. The College will collect and process information relating to you in accordance with the [HR privacy notices](#) which are available on the college website.

Inappropriate access or disclosure of employee data constitutes a data breach and should be reported in accordance with the [College Data Policy](#) immediately. It may also constitute a disciplinary offence, which will be dealt with under the College's disciplinary procedure. Employees should use College data for organisational purposes only, and should not keep personal copies of College data under any circumstances. {Employees should avoid downloading documents to mobile devices, personal PCs, and external drives. Hard copies of documents should be returned to the College for secure destruction, or shredded at home. College devices should be stored securely, at a level of security appropriate to the sensitivity of the data processed.}

If you are unhappy with any aspect of the way your data is handled, you can contact the Data Protection Officer at dataprotection@forthvalley.ac.uk.

1. PURPOSE AND SCOPE OF THE POLICY

This policy relates to all employees and establishes guidelines for managers and employees in relation to retirement. Its aim is to ensure a consistent and fair approach and sets out procedures for those considering retirement.

2. RETIREMENT AGE

The College does not operate a compulsory retirement age for its employees.

The College is committed to equal opportunities for all its employees. The College recognises the contributions of a diverse workforce, including the skills and experience of older employees. It believes that employees should, wherever possible, be permitted to continue working for as long as they wish to do so. The College operates a flexible retirement policy

and employees may voluntarily retire at a time of their choosing. [If you are interested in flexible retirement, please refer to the Flexible Working Policy on Sharepoint.](#)

RETIREMENT PROCEDURE

If an employee has decided that he/she wishes to retire, they should inform their line manager in writing as far in advance as possible and, in any event, in accordance with their notice period as set out in their contract of employment.

The College will write to the employee acknowledging the employee's notice to retire.

~~The line manager will arrange to meet the employee to discuss arrangements for retirement, including the intended retirement date, succession and handover plans, pension details and phased retirement, if applicable.~~

Employees should consider their pension provision and take independent financial advice before making any decision in relation to retirement.

3. SUCCESSION PLANNING

An employee who is soon to retire will often have considerable knowledge in relation to their role and responsibilities. The College may require the employee's assistance and cooperation for succession planning purposes.

Prior to retirement, employees ~~should~~ [may be needed to](#) cooperate with the College, ~~if requested to do so~~, by:

- providing full written details of the status of work projects and future steps
- ~~developing~~ [helping to develop](#) a job description, including key competencies and skills required for the role where applicable
- ensuring a smooth handover of work
- assisting in training any successor

The following section is outlined in compliance with the requirements of the Local Government Pension Scheme (LGPS) rules. Whilst there are no similar publication requirements for employer discretions to be detailed for the Scottish Public Pensions Agency (SPPA) the principles behind the discretions listed (if not the specific details) are intended to apply to both pension schemes where rules allow.

LOCAL GOVERNMENT PENSION SCHEME EMPLOYER DISCRETIONS

4. AWARDING ADDITIONAL PENSION: Regulation 30 LGPS (Scotland) Regulations 2018

Summary of Discretion:

Consider whether to grant extra annual pension of up to £5,000 (figure at 1 April 2015 plus annual inflation linking as specified in scheme rules) to an active scheme member or, within 6 months of them leaving, to a member whose employment was terminated on the grounds of redundancy or business efficiency.

College Discretion:

The Vice Principal for Finance & Corporate Affairs in liaison with the Head of Human Resources ~~and the Depute Principal & Chief Operating Officer~~ will consider all relevant factors and only where it can be demonstrated to be in the interests of Forth Valley College will additional annual pension be granted. Additional pension will not be awarded if the scheme member is also being granted Compensatory Added Years on retirement.

5. FUNDING OF ADDITIONAL PENSION: Regulations 16(2e) 16(4d) LGPS (Scotland) Regulations 2018

Summary of Discretion:

Where an active scheme member wishes to purchase extra annual pension of up to £6,500 (figure at 1 April 2015 plus annual inflation linking as specified in scheme rules) by making Additional Pension Contributions (APCs), the employer can consider whether to contribute towards the cost of purchasing that extra pension via a Shared Cost Additional Pension Contribution (SCAPC).

College Discretion:

Where an active scheme member wishes to purchase extra annual pension of up to £6,500 (figure at 1 April 2015 plus annual inflation linking as specified in scheme rules) by making APCs, Forth Valley College will not contribute towards the cost of purchasing that extra pension via SCAPCs.

6. FLEXIBLE RETIREMENT : Regulation 29(7) LGPS (Scotland) Regulations 2018

Summary of Discretion:

Consider whether to permit the release of benefits on flexible retirement grounds for staff aged 55 or over who, with the agreement of the employer, reduce their working hours or grade.

College Discretion:

The Vice Principal for Finance & Corporate Affairs in liaison with the Head of Human Resources ~~and the Depute Principal & Chief Operating Officer~~ will consider all relevant factors including costs and changes to the employee's contract of employment, and only where it can be demonstrated to be in the best interests of Forth Valley College will benefits be released.

Any flexible retirement request will only be approved where the aggregate of pension and new salary does not exceed the former salary. Any application to reduce hours must be reasonable and not merely a token or cosmetic reduction to allow scheme benefits to be activated.

Where a flexible retirement request has been approved, the employee will be required to take all accrued benefits in relation to that employment.

7. WAIVING OF ACTUARIAL REDUCTION : Regulation 29(9) LGPS (Scotland) Regulations 2018

College Policy on Discretion:

Members whose benefits are released after age 55 and prior to the Normal Pension Age (including those released on flexible retirement grounds) may incur an early payment penalty.

Consideration has therefore to be given to the circumstances in which the early payment penalty would be waived and the costs borne by the employer.

College Discretion:

The Vice Principal for Finance & Corporate Affairs [in liaison with the Head of Human Resources](#) ~~and the Depute Principal & Chief Operating Officer~~ will consider all relevant factors and only where it can be demonstrated to be in the interests of the College or where exceptional compassionate circumstances exist will any early payment penalty be waived.

8. RULE OF 85 PROTECTION:

Para 1(1)(c) of Schedule 2 to the LGPS (Transitional Provisions, Savings and Amendment) Regulations 2014

Summary of Discretion:

Scheme members who joined before 1 May 2015 and who are granted retirement between age 55 and 60 are protected in varying degrees against the early payment penalty that would normally apply to a retirement before Normal Pension Age. This is known as Rule of 85 protection. The existence of rule of 85 protection means that if retirement is authorised an employer is required to make a strain payment to the Pension Fund to compensate it for the cost of additional pension payments and the loss of future contributions and investment returns. In some cases, the strain cost may result in the retirement application being refused. Under the new scheme, the option now exists for employers to set aside the rule of 85 protection, in which case the member would receive a lesser benefit but the strain cost to the employer would either be reduced or eliminated. This new flexibility may increase the affordability of such retirements. Consideration has therefore to be given to the circumstances in which the rule of 85 protection would be set aside

College Discretion:

The Vice Principal for Finance & Corporate Affairs [in liaison with the Head of Human Resources](#) ~~and the Depute Principal & Chief Operating Officer~~ will consider all relevant factors and only where it can be demonstrated to be in the interests of Forth Valley College will rule of 85 protection be set aside either in full or in part.

9. EARLY PAYMENT OF PENSION:

Regulation 29(5) & (13) LGPS (Scotland) Regulations 2014

Summary of Discretion:

Consider whether to agree to a request for early voluntary payment of benefits on or after age 55 and before age 60.

College Discretion:

The Vice Principal for Finance & Corporate Affairs [in liaison with the Head of Human Resources](#) ~~and the Depute Principal & Chief Operating Officer~~ will consider all relevant factors and only where it can be demonstrated that exceptional compassionate circumstances exist will benefits be authorised for release on or after age 55 and before age 60.

In determining compassionate grounds, financial reasons alone will not be considered sufficient to justify the release of benefits.

10. MEMBERS' CONTRIBUTION RATES:

Regulation 9(3) LGPS (Scotland) Regulations 2018

Summary of Discretion:

Consider whether member's contribution rates will be reassessed where there is a permanent material change to a member's employment. Notwithstanding any material change in the member's employment, rates require to be reassessed on the 1st April annually.

College Discretion:

A member's contribution rate will be reassessed where there is a permanent material change to a member's employment e.g. on promotion, demotion, re-grading or a part-time member's contractual hours change.

11. INTERNAL DISPUTES RESOLUTION PROCEDURE:

Regulation 68(5)(c) LGPS (Scotland) Regulations 2018

Summary of Discretion:

The Local Government Pension Scheme (LGPS) contains its own disputes resolution procedure. For the Falkirk Fund, this involves appeals being heard by the Principal Pensions Officer of Strathclyde Pension Fund with whom the Falkirk Council Pension Fund has a reciprocal arrangement. Some appeals require to be considered by the employer in question (e.g. a dispute over the member's rate of pension contribution or the failure of the employer to grant ill health retirement). Consequently, consideration should be given as to who should be responsible for adjudicating on such "employer related" disagreements.

College Discretion:

Where the appeal concerns "employer related disagreements" the specified person to hear an appeal is the Vice Principal for Finance & Corporate Affairs ~~and the Deputy Principal & Chief Operating Officer~~.

12. ACCEPTANCE OF LATE TRANSFER PAYMENTS:

Regulation 95(6) LGPS (Scotland) Regulations 2018

Summary of Discretion:

Consider whether to extend the normal time limit for acceptance of a transfer value beyond 12 months from joining the LGPS.

College Discretion:

Unless there have been administrative delays or omissions as determined by the Chief Finance Officer of Falkirk Council, belated transfer payments will only be accepted where the request to transfer has been made within 12 months of participating in the Falkirk Council Pension Fund.

**13. EXTENSION OF 30 DAY DEADLINE FOR SHARED COST APCS:
Regulation 16(16) LGPS (Scotland) Regulations 2018**

Summary of Discretion:

Consider whether to extend the 30 day deadline for a member to elect for a shared cost APC upon return from an unpaid authorised period of absence from work (n.b. does not apply to authorised leave relating to illness or injury, relevant child-related leave or reserve force service leave as separate rules apply).

College Discretion:

In the event of unpaid authorised leave of absence as described above, the scheme member will be allowed to elect to buy-back the amount of "lost" pension within three months of returning from that leave of absence or within one month of them having received details of the costs of the buy-back from the employer, whichever is the later.

Any other employer discretions arising under the LGPS regulations will be considered and determined by the Vice Principal for Finance & Corporate Affairs in liaison with the Head of Human Resources ~~and/or the Depute Principal & Chief Operating Officer~~ on a case by case basis.



PREVENTION OF HARASSMENT AND BULLYING POLICY AND PROCEDURES

Status:	Approved Draft
Date of version:	June 2018 Dec 2023
Responsibility for Contents	Human Resources
Responsibility for Review	Human Resources
Impact Assessment Review Date	March 2024 Aug 2026
Review Date	June 2024 Dec 2026
Primary Contact	Human Resources Business Manager

PREVENTION OF HARASSMENT AND BULLYING POLICY AND PROCEDURES

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13	Related Documents

EQUALITIES IMPACT ASSESSMENT

We welcome feedback on this Policy and the way it operates. We are interested to know of any possible or actual adverse impact that this Policy may have on any groups in respect of [gender, race, disability, sexual orientation, religion or belief, age or other characteristics any protected characteristic](#).

An Equalities Impact Assessment of this Policy has been carried out. The policy has been written to fully comply with all obligations in respect of employment law and equality legislation and to take account of recommended best practice. It is therefore not anticipated that this policy will result in a negative of adverse impact on one or more groups in respect of [gender, race, disability, sexual orientation, religion or belief, age or other characteristics any protected characteristic](#).

DATA PROTECTION

[The College processes personal data collected during the Harassment and Bullying process in compliance with the Data Protection Act 2018 \(DPA\) and the General Data Protection Regulation \(GDPR\). The College is the data controller for your data, and is registered with the Information Commissioner's Office. The College will collect and process information relating to you in accordance with the privacy notice which is available on the College website.](#)

[Inappropriate access or disclosure of employee data constitutes a data breach and should be reported in accordance with the College Data Policy immediately. It may also constitute a disciplinary offence, which will be dealt with under the organisation's disciplinary procedure. Employees should use College data for organisational purposes only, and should not keep personal copies of College data under any circumstances. \(Employees should avoid downloading documents to mobile devices, personal PCs, and external drives. Hard copies of documents should be returned to the College for secure destruction, or shredded at home. College devices should be stored securely, at a level of security appropriate to the sensitivity of the data processed.\)](#)

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1 INTRODUCTION

This document outlines the College policy and procedures on employee harassment and bullying. It is intended to underpin the need to provide a safe and secure learning and working environment for employees where everyone is treated with dignity and respect. In particular, it is the duty and policy of the Board of Management to provide a safe working and learning environment free from harassment and intimidation. The College and the trade unions recognise that harassment or bullying in the workplace is unacceptable and are committed to ensuring that any incidents are quickly and positively dealt with and treated with the utmost confidentiality.

2 THE POLICY

The policy document is written to take account of all forms of harassment and bullying including that which is based on discrimination as outlined in the College's Equalities Policy. The aim is to ensure that employees are made aware of the types of behaviour which may constitute

harassment. It also aims to ensure that employees are aware of their responsibilities to prevent harassment and bullying in the College and to deal with any complaints promptly, fairly and confidentially.

In particular this document details:

- Definitions of harassment and bullying and examples of unacceptable behaviour
- Support and advice available to those who feel they are the victim of harassment
- The informal complaint procedure
- The investigation and appeal processes

3 WHO DOES THE POLICY APPLY TO?

This policy applies to all members of College staff who are currently working within / or on behalf of the College.

4 PROVISIONS OF THE POLICY

This procedure is designed to allow individuals who believe they have been subject to discriminatory treatment, bullying or harassment to take action to stop it. It is hoped that the majority of cases can be resolved through informal discussions, as quickly and effectively as possible. If informal action proves ineffective or if the bullying or harassment is of a very serious nature, formal action can be taken.

Proven harassment or bullying is a disciplinary offence which may constitute gross misconduct and result in the offender's dismissal. However, it is an equally serious offence to raise an unfounded and malicious allegation against any other person.

Every employee has a responsibility to ensure by their actions, remarks or suggestions that they do not offend others. Managers have a particular responsibility to make their employees aware, to be alert to conduct or behaviour which may contribute to incidents of harassment and to take prompt action aimed at stopping harassment or bullying as soon as it is identified.

The College will take reasonable steps to help ensure that no employee is victimised for raising a complaint of harassment or bullying in good faith or for acting as a witness to harassment and or a bullying incident. A similar responsibility exists in respect of the alleged harasser while the matter is under investigation and a fair hearing will be provided for both parties.

It is recognised that the alleged harasser may not be an employee or learner of the College but nevertheless such action as is possible will be taken by the College to protect employees.

The Equality Act 2010 makes harassment unlawful across all the protected characteristics, (age, disability, gender reassignment, race, religion or belief, sex, sexual orientation) with the exceptions of marriage and civil partnership, and pregnancy and maternity.

The College has a common law duty of care, and responsibilities under health and safety legislation to take action, as well as responsibilities under discrimination law.

Over and above any legal requirements the College accepts its responsibilities in respect of any form of harassment in the workplace and while it is committed to dealing effectively with any

cases which arise, its overall aim is to encourage attitudes which create a working environment where harassment does not occur in the first place.

Individuals who harass others, could find that their actions break criminal as well as civil law and they could be personally liable and have to pay compensation themselves.

5 PROCEDURES

5.1 Definitions

There are many definitions and perceptions of what constitutes such behaviour, i.e. behaviour which may be distressing to an individual, may be quite acceptable to another. The key is that the actions or comments are viewed as demeaning and unacceptable by the recipient. All complaints will be taken seriously and a full investigation will take place, if appropriate.

Bullying and harassment may happen in one isolated incident or be repeated over a period of time.

Bullying may be characterised as offensive, intimidating, malicious or insulting behaviour, an abuse or misuse of power through means intended to undermine, humiliate, denigrate or injure the individual.

Harassment is defined as unwanted conduct related to a relevant protected characteristic that has the purpose or effect of:

- violating a person's dignity; or
- creating an intimidating, hostile, degrading, humiliating or offensive environment.

Sexual harassment is defined as:

- unwanted conduct of a sexual nature that has the purpose or effect of violating a person's dignity, or creating an intimidating, hostile, degrading, humiliating or offensive environment; and
- less favorable treatment related to sex or gender reassignment that occurs as a result of a rejection of or submission to sexual conduct.

Harassment based on association & perception.

It is unlawful to discriminate against or harass any individual based on perception that he or she has a particular protected characteristic or for association with another individual who has a protected characteristic.

5.2 Unacceptable Behaviour

Examples of unacceptable behaviour that may amount to bullying and harassment include:

- Spreading malicious rumours or insulting someone (particularly on the grounds of race, sex, disability, sexual orientation and religion or belief or age).

- Threatening behaviour to another person e.g. aggressive body language, inappropriate or hurtful looks.
- Copying written communication that are critical about someone to others who do not need to know
- Ridiculing (including the telling of unwelcome jokes) or demeaning someone – picking on them or setting them up to fail
- Exclusion or victimisation (including deliberately ignoring someone who is addressing you and / or encouraging others to do the same)
- Addressing another person inappropriately e.g. shouting
- Unfair treatment
- Overbearing supervision or other misuse of power or position
- Unwelcome sexual advances – touching, standing too close, displaying offensive materials
- Making threats or comments about job security without foundation
- Undermining the confidence of an employee and affecting their ability to carry out their duties, e.g. by overloading them with work or by constant criticism
- Preventing individuals progressing by intentionally blocking promotion or training opportunities unjustifiably

5.3 Sexual Harassment

Sexual harassment can happen to men, women and people of any gender identity and sexual orientation. It can be carried out by anyone of the same sex, different sex or any gender identity.

You can also experience sexual harassment from a customer, client or member of the public. The college will take steps to prevent this.

Sexual harassment can occur in many forms. While this is not an exhaustive list, examples include:

- physical conduct of a sexual nature, unwelcome physical contact or intimidation;
- persistent suggestions to meet up socially after a person has made clear that they do not welcome such suggestions;
- showing or sending offensive or pornographic material by any means (eg by text, video clip, email or by posting on the internet or social media);
- unwelcome sexual advances, propositions, suggestive remarks, or gender-related insults;
- offensive comments about appearance or dress, innuendo or lewd comments;

- leering, whistling or making sexually suggestive gestures; and
- gossip and speculation about someone's sexual orientation or transgender status, including spreading malicious rumours

5.3.1 Who is responsible for sexual harassment?

The college will do everything they can to try to prevent sexual harassment happening in the first place.

Anyone who sexually harasses someone at work is responsible for their own actions.

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5.34 Support and Advice

As an alternative to the immediate raising of a formal complaint, a pool of Harassment and Bullying advisers is maintained by the College to provide informal advice and assistance to any employee who believes he/she is a victim of harassment and/or bullying. A contact list of Harassment and Bullying Advisors are available on the HR page of SharePoint. Harassment and Bullying advisers may be contacted directly for support. In addition staff may also seek support from either the HR Department and / or the Employee Counselling Service which is confidential. (See section 6 below for more information on the specific role of the Harassment and Bullying advisors).

Any person who feels that they are the victim of harassment or bullying may be accompanied by a colleague when meeting with the advisor. If an interpreter is required, the College will take all reasonable steps to arrange such a person provided adequate notice is given (normally 5 working days).

Victims of harassment or bullying may contact their trade union representative for help or support and are entitled to such representation in line with grievance or disciplinary procedure.

Support and advice is provided on a confidential basis. Where however, it is evident that the law has been broken every effort will be made to encourage the individual to make a complaint to the relevant authorities.

6 ROLE OF HARASSMENT AND BULLYING ADVISERS

On being contacted the adviser will arrange to meet with the employee at the earliest opportunity or in any case within five working days. The complainant can confidentially discuss the details of their experiences with the adviser who will discuss the options available, including procedures and next steps

These options may include:

- Approaching the alleged harasser and tell him/her to refrain from harassment or, to ask a colleague or trade union representative, line manager or harassment and bullying adviser to make this approach on their behalf;
- To make a formal complaint as outlined below – the decision to make a complaint will always rest with the individual;

- Certain forms of harassment, e.g. indecent or sexual assault should be reported to the Police;
- The complainant may want to also report the incident to the Police;
- Referral to another form of support may be offered internally or by an external agency / body;
- For the complainant to take no action and to be aware of the possible consequences of this. Should this option be taken, the individual will continue to be offered the appropriate support from the College.

7 INFORMATION AND TRAINING

Information and training will be provided to ensure that all line managers, harassment and bullying advisors, and employees, understand what harassment and bullying are, their rights and duties to take action to stop such behaviour and the procedures to be followed where such cases occur.

The College will make this Policy & Procedures available to all members of staff via SharePoint. Where necessary, copies will be provided in a suitable accessible format.

8 COMPLAINT PROCEDURE

8.1 INFORMAL PROCEDURE

Employees who consider that they are being harassed or bullied should maintain a diary of incidents of alleged harassment which includes the time, date, place and nature of the incidents, how they felt at the time and the names of any witnesses present.

Whenever possible the employee should ask the alleged harasser to stop and / or make it clear that the behaviour is unwelcome. In circumstances where it is too difficult or embarrassing for the individual to approach the alleged harasser directly the initial approach may be made by a harassment and bullying adviser, line manager or trade union representative or work colleague. It is advisable that the employee and alleged harasser should keep a note of the details including time and date of the approach.

[Bully/harasser/sexual harasser is a third party](#)

[If an employee is experiencing bullying or harassment by a third party, for example a client or a supplier, the college encourages the employee to report this to their manager or the HR team without delay so that they can advise and support them on the best course of action.](#)

8.2 FORMAL PROCEDURE

If an alleged harassment persists or the complainant believes the circumstances warrant it, the case will be taken forward under the formal procedure.

Firstly, the circumstances of the alleged harassment should be discussed with the complainant's line manager or, if not appropriate, a member of the HR Team. After this discussion, if the employee wishes to continue with a formal complaint, they should put this in writing to their line manager (unless their line manager is involved in the alleged harassment, in this case they would raise their formal complaint with the next level of College management). The formal complaint will then effectively be dealt with **as a formal grievance (under the College's Grievance Policy)**.

The appropriate manager shall make arrangements to discuss the allegations with the complainant to determine how best to proceed, normally within 5 working days.

Even if the complainant does not raise it formally or wish to proceed with their complaint the college has a duty to protect its employees and may take formal action through the disciplinary process if the situation warrants it.

8.3 GRIEVANCE ADDITIONAL POINTS

When there is a need to apply a suspension or temporary redeployment during an investigation into harassment/bullying, the alleged harasser should normally be the employee who is suspended or moved. Where there are special circumstances to take into consideration, advice should be sought from the Human Resources Business Manager. If, in addition to any disciplinary action taken against the harasser, redeployment is seen as part of the solution to the problem then the harasser should normally be the employee to be moved. Any departure from that arrangement should be agreed in consultation with the Human Resources Business Manager.

9 CONFIDENTIALITY

Complainant and witness statements will remain confidential as far as is reasonably practicable. However, confidentiality cannot be guaranteed in all occasions as it is dependent on the individual circumstances.

It may be necessary for the College to rely on the use of information provided as part of the investigation (this may include witness statements) in any subsequent disciplinary process.

10 FURTHER ACTION

Provided the relevant line manager is satisfied after the investigation that harassment has taken place based on the conclusion of the investigation report, the harasser will be dealt with in accordance with the College Disciplinary procedure. If a disciplinary hearing is convened, care will be taken that the victim does not have to state unnecessarily or repeatedly in evidence the particulars of the complaint.

Where the complaint is shown to be unfounded and there are grounds for believing that the complaint is frivolous or mischievous, disciplinary action will be taken against the complainant in accordance with the College Disciplinary Procedure.

11 APPEALS

_____ If the complainant considers that the complaint of harassment or bullying has not been satisfactorily resolved they can appeal against the decision in writing to the ~~Depute Principal & Chief Operating Officer~~ Vice Principal for Finance and Corporate Affairs. The appropriate manager will hold an appeal hearing and confirm the decision of the hearing in accordance with the College's Grievance procedures.

12 VICTIMISATION

Anyone who complains or takes part in good faith in a bullying or harassment investigation must not suffer any form of detrimental treatment or victimisation. If anyone feels they have suffered such victimisation, they should inform their line manager or HR as soon as possible.

If it is found that someone has victimised anyone in this way, the college will instigate disciplinary action against them up to and including dismissal (or other appropriate action for non-employees) under our Disciplinary procedure.—

13 RELATED DOCUMENTS

Grievance Policy and Procedure

Disciplinary and Dismissal Policy and Procedure

Whistleblowing Policy and Procedure

Mental Health Ambassadors Standards of Conduct_____



Gifts & Hospitality Policy and Procedure

Status	Approved
Date of Version	January 2024 ⁴¹
Responsibility for Contents	Human Resources
Responsibility for Review	Human Resources
Review Date	January 2027 ⁴
Primary Contact	Head of Human Resources

EQUALITIES IMPACT ASSESSMENT

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An Equalities Impact Assessment of this Policy has been carried out. The policy has been written to fully comply with all obligations in respect of employment law and equality legislation and to take account of recommended best practice. It is therefore not anticipated that this policy will result in a negative of adverse impact on one or more groups in respect of any protected characteristic.

DATA PROTECTION

The College processes personal data collected in relation to gifts and hospitality. All information is stored and processed in compliance with the Data Protection Act 2018 (DPA) and UK GDPR. The College is the data controller for your data, and is registered with the Information Commissioner's Office. The College will collect and process information relating to you in accordance with the HR privacy notices which are available on the college website.

Inappropriate access or disclosure of employee data constitutes a data breach and should be reported in accordance with the College Data Policy immediately. It may also constitute a disciplinary offence, which will be dealt with under the College's disciplinary procedure. Employees should use College data for organisational purposes only, and should not keep personal copies of College data under any circumstances. (Employees should avoid downloading documents to mobile devices, personal PCs, and external drives. Hard copies of documents should be returned to the College for secure destruction, or shredded at home. College devices should be stored securely, at a level of security appropriate to the sensitivity of the data processed.)

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1. WHO DOES THE POLICY APPLY TO? PURPOSE AND SCOPE OF THE POLICY

The Policy applies to all College employees and members of the Board of Management. The aim of the Policy is to protect members of staff and Board members from accusations of impropriety and to demonstrate transparency in the College operations. Any breach of the policy will be regarded as misconduct, leading to disciplinary action up to and including summary dismissal.

2. POLICY GUIDELINES

You must never canvass or seek gifts or hospitality.

You are responsible for your decisions connected with the offer or acceptance of gifts or hospitality and for avoiding the risk of damage to your integrity or public confidence in the College. As a general guide, it is usually appropriate to refuse offers except:

- isolated gifts of a trivial nature or inexpensive seasonal gifts such as a calendar or diary, or other simple items of office equipment of modest value.

- normal hospitality associated with your duties and which would reasonably be regarded as inappropriate to refuse e.g. tea/coffee, lunch following a meeting. This includes hospitality/expenses received while seconded to a third party such as SQA or [Education Scotland](#) ~~HMIE~~.
- gifts received on behalf of the College.
- gifts of a cultural nature issued to an individual as a sign of friendship. Staff should use their own personal judgement as to the appropriateness of gifts and disclose any such gifts to their line manager to ensure transparency and to protect personal and college integrity.

You must not accept any offer by way of gift or hospitality which a member of the public might reasonably think could influence you in the performance of your duties. You should also consider whether any gift to a member of your family or organisation in which you have an interest may be perceived as having an influence on your judgement.

Where the hospitality offered takes the form of an invitation to a social or sporting event, the member of staff concerned should consult their line manager before accepting. In considering whether or not to accept the invitation, care should be taken to ensure that questions of improper influence have been fully considered. In dealing with commercial partners and in particular international partners it is recommended that further guidance is sought from [the Vice Principal Business & Innovation](#) ~~the appropriate commercial or international manager~~ before accepting or refusing a gift/hospitality.

The term 'gift' includes benefits such as relief from indebtedness, loan concessions, or provision of services at a cost below that generally charged to members of the public.

You must not receive repeated hospitality from the same source.

3. REPORTING PROCEDURE : GIFTS AND HOSPITALITY REGISTER

All gifts and hospitality received should be reported to your Head of Department/ Service Manager/Director in the first instance.

For Board of Management members, all gifts and hospitality received should be reported to the Secretary to the Board.

Gifts and hospitality with a value exceeding £50 from a single source must be recorded, using the Gifts and Hospitality Form, in the Gifts and Hospitality Register maintained by the Corporate Governance and Planning Officer/Depute Secretary to the Board who will also provide a copy of the required form. The register will include the names of the giver and the recipient(s) and details of the gift or hospitality received including an estimate of its value.

The Register is open to public inspection [by contacting the Corporate Governance and Planning Officer/Depute Secretary to the Board](#).

It is the responsibility of the recipient of a gift/hospitality to ensure that entries in the Gifts and Hospitality Register entries are up to date.

In cases where the employee's line manager agrees that the gift/hospitality was sent to the employee as a token of gratitude for work carried out to a particularly high standard or for an exceptional level of service given, the employee may, at the line manager's discretion, be permitted to retain the gift/hospitality (up to £50).

Decisions on gifts/hospitality over £50 will be agreed by the SMT member for that area. Thus small gifts or equivalent hospitality that are genuinely given as a token of appreciation or gratitude will be acceptable, provided that the employee properly declares the gift in line with this policy and provided that the employee does not subsequently treat the person who sent the gift more favourably than other customers/suppliers, etc. Where there is doubt over the value of the gift/hospitality it should be treated as if it were over the value of £50.

4. CONCLUSION

Gifts and hospitality is an extremely difficult area. It is difficult to anticipate every eventuality and members of staff are asked to observe the spirit as well as the letter of this policy statement.

In every case, you should consider both your personal position and that of the College. In particular, you should consider how a particular example would appear to external scrutiny.

If you have any doubt about the appropriate action to take, or if you have any questions about the application of the Policy, you must contact the Corporate Governance and Planning Officer/Deputy [Secretary/Clerk](#) to the Board or their representative.

5. LINKS TO OTHER POLICIES

Depending on the current or future relationship between the giver and the College you should also refer to the following policies and procedures:

- Anti-Bribery and Corruption Policy
- [Procurement Policy](#)
- [Travel and Expenses Policy](#)
- [Whistleblowing Policy and Procedure](#)
- [Discipline and Dismissal Policy and Procedure](#)



Flexible Working Policy and Procedure

Status	Approved <u>Draft</u>
Date of Version	October 2021 <u>Dec 2023</u>
Responsibility for Contents	Human Resources
Responsibility for Review	Human Resources
Impact Assessment Review Date	August 2024 <u>August 2026</u>
Review Date	October 2024 <u>Dec 2026</u>
Primary Contact	Human Resources Business Manager

FLEXIBLE WORKING POLICY AND PROCEDURE

INTRODUCTION

This document outlines the Flexible Working Policy and the Flexible Working Procedure for all staff at Forth Valley College. The document has been written to explain how the College will aim to fulfil its statutory obligations in relation to Flexible Working, the right to request and the duty to consider.

EQUALITIES IMPACT ASSESSMENT

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FLEXIBLE WORKING POLICY

This policy has been designed in line with an overall commitment to developing the College's family friendly policies ~~in relation to carers of children and adults, irrespective of hours worked~~.

This policy has been prepared by the College in consultation with UNISON and EIS-FELA with the needs of the College and its staff in mind.

FLEXIBLE WORKING

Forth Valley College believes that flexible working can increase staff motivation, promote work-life balance, reduce employee stress and improve performance and productivity. All

employees ~~who have a minimum of 26 weeks' continuous service~~ have the right to request flexible working and to have their request considered seriously by their Line Manager.

The request for Flexible Working can relate to one or a combination of the following:

- A change to hours worked
- A change to the times when hours are worked
- Working from home (either all or part of the week)
- Job Sharing

Also see attached list of alternative ways of working (Appendix 1).

INFORMAL FLEXIBLE WORKING

All staff have a right to request informal flexible working, this can be generally defined as an informal arrangement of flexible working agreed for the current role in the current circumstances. It may not have an end date but would be subject to review if the role, or the individual or team circumstances change, this will be communicated to the employee by their line manager.

Examples of informal flexible working arrangements that can be authorised by Line Managers/Heads of Service/Directors of Curriculum include the following:

- Adjusted start / finish times
- Adjusted lunch breaks
- Early finishes, where business needs can be met
- Remote working, including from home or other locations*
- Staggered start / finish times

It is expected that staff should be undertaking the responsibilities of their role within their working hours. Staff are encouraged to take breaks away from their workstation

* Working from a remote location is limited to the country in which you work. Employees must be physically available to attend work as and when required, this may be at short notice to cover sickness, if required to travel to work at short notice, you should ensure you travel safely.

For further details please refer to the Hybrid Working Policy and Procedure, and the Home Working Policy and Procedure.

FLEXIBLE WORKING PROCEDURE

The Flexible Working Procedure details entitlements to:

- Make an application for a flexible working arrangement
- Have an application seriously considered by the College
- Receive a written response to an application for a flexible working arrangement
- Have the right to appeal against a refusal to grant a flexible working arrangement.

1 UNDERSTANDING IF YOU ARE ELIGIBLE TO REQUEST FLEXIBLE WORKING ARRANGEMENTS UNDER THIS POLICY

~~To be eligible to make a request for a flexible working pattern, employees must:~~

- ~~• have worked for the College continuously for 26 weeks on the date when the application for flexible working is made~~

~~not have made another application to work flexibly during the past 12 months.~~

All employees have the statutory right to request flexible working. Under the statutory procedure, you can make two requests in every 12-month period. If you have submitted a flexible working request, you must wait until that one has been considered and any appeal has been dealt with, before submitting another.

2 HOW SHOULD I MAKE MY REQUEST AND HOW WILL MY REQUEST BE CONSIDERED?

2.1 REQUESTING A FLEXIBLE WORKING ARRANGEMENT

2.1.1 All requests must be made in writing and employees should complete and submit a Flexible Working application form using ITrent which can be found here, to their line manager having first ensured their eligibility to make such an application.

2.1.2 All flexible working requests should be submitted no later than 3-2 months before the proposed date of change.

This will enable adequate time for your application to be considered in line with the timescales around the approval process.

2.1.3 Employees should ensure that their Flexible Working Application is fully completed and includes:

- the date of the application;
- the current working pattern;
- the changes that the employee is seeking to their working arrangements;
- If the request is in relation to something which is covered by the Equality Act 2010;
- the date on which the employee would like the terms and conditions to come into effect;
- ~~what effect the employee thinks the requested change would have on the organisation;~~
- ~~how, in their opinion, any such effect might be dealt with;~~
- a statement that this is a statutory request;
- whether or not the employee has made a previous application(s) for flexible working; and
- if the employee has made a previous request, when the employee made that application noting that employees are entitled to make 4-2 applications within a 12 month period.

2.1.4 Employees may wish to seek guidance from their Trade Union Representative or HR Business Manager when completing a request.

2.2 CONSIDERING REQUESTS FOR FLEXIBLE WORKING

2.2.1 All applications for a flexible working arrangement made under the scope of this policy, will be considered thoroughly by the College.

2.2.2 On receipt of an application, arrangements will be made for the employee's line manager to meet with the employee to discuss the request. A HR Business Manager may also be in attendance at the meeting.

2.2.3 At this meeting the employee may choose to be accompanied by another employee of the College or a Trade Union representative.

2.2.4 The purpose of this consultation meeting is to provide both parties with the opportunity to discuss the desired change in working arrangement in more detail and consider how the change might be accommodated.

2.2.5 A decision regarding the outcome of the request will be communicated to the employee in writing within 3-2 months' of receiving the flexible working application.

2.3 ACCEPTING REQUESTS FOR FLEXIBLE WORKING

- 2.3.1 If the College is able to accept the request made by an employee for a flexible working arrangement, formal confirmation will be sent to the employee in writing. The confirmation will outline the agreed changes and the date they will become effective. This will normally be subject to a satisfactory trial period (see section 2.3.2).
- 2.3.2 During the trial period, which is usually at least 3 months in duration, regular review meetings will take place between the employee and their line manager to establish if the flexible working arrangement is operating effectively and to highlight any issues which may need to be addressed before the arrangement can be confirmed on a permanent basis.
- 2.3.3 If a trial period is found to prove that the flexible working arrangement is not successful, the employee's line manager would require the employee to revert back to their previous terms and conditions of employment. In this circumstance the College will confirm in writing the business reasons for this decision, as per section 2.4.2.
- 2.3.4 The agreed changes to the employee's working pattern will constitute a **permanent** amendment to the employee's main terms and conditions of employment with the College, unless otherwise agreed by both parties. For example, if both parties agree to a change in working pattern for 12 months, the employee would then revert back to their previous working pattern at the end of the 12 month period.

2.4 REFUSING REQUESTS FOR FLEXIBLE WORKING

- 2.4.1 If the College is unable to accept an employee's request for a flexible working arrangement, then formal confirmation of this decision will be sent to the employee in writing.
- 2.4.2 This confirmation will outline the business reason(s) why the request was refused. The reasons for refusing a flexible working request are:
- it will cost the business too much
 - work cannot be reorganised among other staff
 - more staff cannot be recruited
 - there will be a negative effect on quality
 - there will be a negative effect on the business' ability to meet customer demand
 - there will be a negative effect on performance
 - there's not enough work for the employee to do when they've requested to work
 - there are planned changes to the business, for example, intentions to reorganise or change the business and think the request will not fit with these plans
- 2.4.3 The confirmation letter will also advise the employee of their right to appeal against this decision.

2.5 APPEALING AGAINST REFUSAL TO GRANT FLEXIBLE WORKING PATTERN

- 2.5.1 Any appeal should be submitted in writing by the employee to the Head of Service/Director of Curriculum and should state the grounds of their appeal. This appeal should be made within 14 days of receipt of the College's confirmation that the flexible working request has been refused
- 2.5.2 Within 14 days of receiving an appeal notification, a further meeting will be arranged to consider the appeal.

- 2.5.3 The employee will be advised that they have the right to be accompanied at the appeal meeting by another employee of the College or a Trade Union representative.
- 2.5.4 The appeal will normally be considered by the Head of Service/Director of Curriculum or an appropriate nominee (not previously involved in considering the application).
- 2.5.5 The employee will be informed of the outcome of their appeal within 14 days of the appeal meeting taking place.
- 2.5.6 Where an appeal is successful, the employee will be sent written confirmation of the appeal decision **to approve** the request for a flexible working arrangement. The confirmation will outline the agreed changes, the date when they will become effective and will normally be subject to a satisfactory trial period.
- 2.5.7 Where an appeal is not successful, the employee will be sent written confirmation of this decision **not to approve** the request for a flexible working arrangement, outlining the reasons why the request cannot be granted. There is no right of further appeal.

~~2.5.8 Where a request has been denied, the relevant employee is entitled to make a further request 12 months from the date their original application was made, providing they still meet the eligibility criteria at that time.~~

2.6 WITHDRAWAL OF THE REQUEST FOR FLEXIBLE WORKING

- 2.6.1 If an employee wishes to withdraw their request for a flexible working arrangement, they should notify their line manager in writing as soon as possible.
- 2.6.2 An employee who withdraws their application for a flexible working arrangement ~~will not be eligible to make another application for a further 12 months from the date their application (i.e. the withdrawn request) was made~~ will still have this counted as an application.
- 2.6.3 An employee who is unable to attend either the meeting arranged to discuss their request for a flexible working arrangement or an appeal meeting, should contact their line manager as soon as possible to explain their absence. A further meeting will then be arranged.
- 2.6.4 An employee who fails to attend more than one meeting arranged to discuss their request for a flexible working arrangement, or an appeal meeting and who is unable to provide a reasonable explanation for their absence, will have their request considered to have been withdrawn. In such circumstances, the College will write to the employee confirming the request is being treated as withdrawn.

2.7 EXTENSIONS TO TIME LIMITS IN THE APPLICATION AND APPROVAL PROCESS

- 2.7.1 There may be other exceptional occasions when it is not possible to complete a particular part of the procedure within the specified time limit. In these circumstances an extension to the time limits can be agreed. Extensions to time limits can only take place if both the employee and the College agree. The details of the extension should be recorded in writing.

2.8 FACILITIES AND EQUIPMENT

For employees working at least 2 days a week or 40% of their working time at home Forth Valley College will:

- Provide staff with necessary equipment deemed essential for their role. This should be discussed with line managers, health and safety and IT.

Please note, should an employee leave the organisation, they will be expected to return any equipment owned by the college. Employees will be required to return any equipment to campus periodically for PAT testing.

2.9 HEALTH AND SAFETY

Mandatory requirements for those working from home at least 2 days a week or 40% of working time or more:

- Read FVC Home Working Policy– raise any issues with your line manager
- Complete the home working risk assessment module for home working on Moodle

If an employee cannot ensure a safe workstation, in line with the guidance set out in the risk assessment, then they should raise this immediately with their line manager and arrangements made for them to work on campus. Should an employee have a specific health concern regarding their work station, they should contact their Line Manager or HR Business Manager for further advice.

3.0 RELATED DOCUMENTATION

- [Hybrid Working Policy and Procedure](#)
- [Home Working Policy and Procedure](#)

ALTERNATIVE WAYS OF WORKING

APPENDIX 1

- **Annualised Hours** describes working time organised on the basis of the number of hours to be worked over a year rather than a week; it is usually used to fit in with peaks and troughs of work. Pay will depend on the hours worked in each pay period.
- **Compressed Hours** allow individuals to work their total number of agreed hours over a shorter period. For example, employees might work their full weekly hours over four rather than five days. They would be paid for a full-time job but would not receive overtime payments for the agreed extra hours they work in any one day.
- **Flexitime** gives employees choice about their actual working hours, usually outside certain agreed core times. Individuals are paid for the hours that they work.
- **Home working** doesn't have to be on a full-time basis and it may suit an employee to divide their time between home and office. What individuals are paid for depends on the hours they work. Employees ~~will be required to carry out a risk assessment of the activities undertaken to ensure there is a safe workstation, by home workers, identifying any hazards and deciding whether enough steps have been taken to prevent harm to them or anyone else who may be affected by their work.~~
- **Job-sharing** typically involves two people employed on a part-time basis, but working together to cover a full-time post. Both receive pay for the hours they work.
- **Staggered Hours** allows employees to start and finish their day at different times throughout the week. Pay will depend on the hours worked in total rather than the time at which they are worked e.g. if working staggered hours into the evening this would be inclusive of your regular working hours and would not attract an enhanced rate of pay.
- **Term-time Working** allows employees to take unpaid leave during the school holidays
- **Shift-Working** gives employers the scope to have their business open for longer periods than an eight-hour day. Agreed flexible working arrangements may mean that a shift premium is not needed.



5. Professional Relationships at Work For Approval

26 March 2024

FINANCE, RESOURCE & INFRASTRUCTURE COMMITTEE

1. Purpose

To seek approval from members on the introduction of a Policy on Professional Relationships at Work.

2. Recommendation

That members approve the introduction.

3. Background

Relationships between staff and between staff and students has long been a grey area with no guidance as to what is and what is not acceptable. Some relationships may create risks for staff and students, and in turn the college. This guidance provides clarity on what is expected of staff.

The Kevin O’Gorman case and changes in Sexual Harassment responsibilities for employers makes this a timely requirement.

4. Key Considerations

The scope of the guidance was considered and broken down to staff relationships and staff and student relationships.

There was a need to state that workplace relationships are part of life and as such are not ‘banned’. However it needs recognised that these may create conflict, stress and negativity, both to those involved and to other staff who may perceive themselves disadvantaged by such a relationship.

For staff relationships with students, clarity is given on relationships with those students under 18 and vulnerable adults. These are forbidden. Guidance is given to protect staff, students and the college on any relationship with a student over 18.

There is the option to make this a policy or leave as guidance was considered however due to the potential risk to the college a policy was felt necessary.

5. Resource Implications (Financial, People, Estates and Communications)

Staff and Managers must read the guidance and seek advice on process from HR.

6. Equalities

Who does this impact? All Staff
Assessment in Place? – Yes

This guidance is designed to improve clarity and work environment



5. Professional Relationships at Work For Approval

26 March 2024

FINANCE, RESOURCE & INFRASTRUCTURE COMMITTEE

7. Communities and Partners N/A

8. Risk and Impact

Please complete the risk table below. Risk is scored against Likelihood x Impact, with each category scored from Very Low through to Very High. Risks should be robustly scored and, if the combined score (Likelihood x Impact) is higher than the Board Risk appetite for the risk category identified, additional justification must be provided on why this risk is necessary.

If the paper is an approval, please reflect on whether the approval will have any direct or indirect impact for any other areas of operational activity internally or externally within the College – Yes

All managers and staff must be aware of the guidance.

	Likelihood	Impact
Very High (5)		
High (4)		
Medium (3)		3
Low (2)	2	
Very Low (1)		

Total Risk Score – 6

The College has a Strategic Risk appetite for categories of risk as defined by the Board of Management. Decisions being taken at LMT/SMT/Board level must have cognisance of this. Please indicate the single most relevant risk category in the table below.

BoM Risk Categories & Risk Appetite (Select one area only)				
Cautious <15		Open 15> <20		Eager >20
Governance		Strategy		People
Legal		Financial		Project/Programme
Property		Reputational		
		Technology		

Is the score above the Board Risk Appetite level? No

Risk Owner – LMT

Action Owner – Ralph Burns

Paper Author – Ralph Burns

SMT Owner – Alison Stewart



Forth Valley College

Professional Relationships at Work Policy and Procedure

Status	Draft
Date of Version	Feb 2024
Responsibility for Contents	Human Resources
Responsibility for Review	Human Resources
Impact Assessment Review Date	Dec 2026
Review Date	Feb 2027
Primary Contact	Human Resources Business Manager

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PROFESSIONAL RELATIONSHIPS AT WORK

1 INTRODUCTION

1.1 The College values and relies upon the professional integrity of relationships between employees and in the employee/student relationship. In order that College business is conducted and perceived to be conducted in a professional and proper manner it is necessary to distinguish between, and take account of, personal relationships which overlap with professional ones.

In the context of this document, a personal relationship is defined as:

- a family relationship;
- a business/commercial/financial relationship;
- an intimate/sexual/romantic relationship;
- any other relationship which may cause a conflict of interest situation.

Employees may seek guidance, on a confidential basis, from the HR Department. Students may seek guidance from Inclusion and Student Services or the relevant Curriculum/Operations Manager.

1.2 EQUALITIES IMPACT ASSESSMENT

We welcome feedback on this Policy and the way it operates. We are interested to know of any possible or actual adverse impact that this Policy may have on any groups in respect of any protected characteristics.

An Equalities Impact Assessment of this Policy has been carried out. The policy has been written to fully comply with all obligations in respect of employment law and equality legislation and to take account of recommended best practice. It is therefore not anticipated that this policy will result in a negative of adverse impact on one or more groups in respect of any protected characteristics.

1.3 DATA PROTECTION

The College processes personal data collected in implementation of this policy and procedure in compliance with the Data Protection Act 2018 (DPA) and the General Data Protection Regulation (GDPR). The College is the data controller for your data, and is registered with the Information Commissioner's Office. The College will collect and process information relating to you in accordance with the privacy notice which is available on the [College website](#).

Inappropriate access or disclosure of employee data constitutes a data breach and should be reported in accordance with the [College Data Policy](#) immediately. It may also constitute a disciplinary offence, which will be dealt with under the organisation's disciplinary procedure. Employees should use College data for organisational purposes only, and should not keep personal copies of College data under any circumstances. {Employees should avoid downloading documents to mobile devices, personal PCs, and external drives. Hard copies of documents should be returned to the College for secure destruction, or shredded at home. College devices should be stored securely, at a level of security appropriate to the sensitivity of the data processed.}

If you are unhappy with any aspect of the way your data is handled, you can contact the Data Protection Officer at dataprotection@forthvalley.ac.uk.

POLICY

2. PURPOSE AND SCOPE

2.1 The College is committed to the welfare of its employees and students and aims to provide a working environment in which mutually rewarding relationships between employees and between employees and students are developed in order to improve teaching and learning and which contribute to an effective and enjoyable learning environment for all.

2.2 We recognise that individuals who work together may form personal relationships. Personal relationships at work are a normal part of life and employees are entitled to a private life. At the same time, we are committed to promoting a working environment based on dignity, trust and respect.

It is important for us to ensure that employees behave in an appropriate, professional and responsible manner at work and that any personal relationship does not compromise this.

2.3 This document is intended to provide clarity in areas where personal relationships overlap with working relationships and to ensure that individual employees do not commit acts of impropriety, bias, abuse of authority, or conflict of interest and do not lay themselves open to allegations that they have done so.

2.4 This document does not form part of the contract of employment and we reserve the right to amend it at any time.

2.5 This document applies to all employees of the College.

2.6 While the document primarily covers employee and student relationships the principles within also apply to an employee who has, or begins, a personal relationship with a client, customer, contractor or supplier. As such relationships of this manner could cause a conflict of interest, these must be declared by the employee to their line manager.

PROCEDURE

3. RELATIONSHIPS BETWEEN EMPLOYEES

3.1 Where a personal relationship exists or develops between employees who are in a line management or supervisory relationship at work, the line manager or supervisor must not be involved in management activities or processes in relation to the other party that may compromise (or be perceived as compromising) the reputation, credibility or integrity of either party or the College, which includes but is not limited to:

- Recruitment and selection (including temporary or casual staff and contractors or consultants)
- Induction reviews
- PRD Reviews
- Promotion
- Disciplinary matters
- Handling grievances or complaints
- Timetabling

- Lesson observations
- Allocation and / or approval of additional paid work
- Approval of applications for professional development
- Approval of expenses
- Pay and grading decisions
- Or any other activity that may lead to such a compromise

3.2 A personal relationship could cause a conflict of interest with these duties, and may cause other employees to question management decisions in relation to a direct report with whom they have such a relationship.

3.3 Although the existence of a personal relationship between employees does not in itself present a bar to the employment or promotion of either party, employees should declare to their line manager any personal relationships which may give rise to a real or perceived conflict of interest, trust or breach of confidentiality.

3.4 Additionally, employees in a personal relationship should not work together in any circumstance whereby a conflict of interest, breach of confidentiality or unfair advantage may be perceived to be gained from the overlap of a personal and professional relationship. In any such circumstances, the relationship must be declared in confidence, to the employee's line manager. The manager must recognise the personal nature of the disclosure and treat it with the respect and understanding it merits. The manager to whom the information is disclosed will then make alternative management arrangements, dependent on options and circumstances, and confirm them in writing to the individuals concerned. If it is considered unavoidable to inform other employees about the relationship in order to explain a change in management arrangements, this will be discussed with the individuals concerned, before it is disclosed. The manager may also seek HR advice which may involve disclosing this information.

3.5 Similarly employees in a personal relationship should not be expected to influence their partner in any capacity or be asked to do so by any colleague.

3.6 We are committed to promoting a working environment based on dignity, trust and respect, and one that is free from discrimination, harassment, bullying or victimisation.

If a personal relationship at work has broken down and an employee finds themselves in a situation where they are treated unfairly at work as a result, they should raise this with their line manager or with the HR department. Alternatively, they can raise it formally under the Grievance procedure if appropriate. The Bullying and Harassment Policy and Procedure outlines the college position on unwanted conduct, harassment and sexual harassment including the support available and options open to any employee in this position.

4. RECRUITMENT OF EMPLOYEES

4.1 While not a bar to employment with the College, applicants for employment will be asked to declare any personal relationship with existing employees, students, or members of College's Governing Body.

4.2 Where a personal relationship exists between an employee and an applicant for a post, where a direct or indirect line management relationship exists, the advice of the HR Department should be sought. An alternative arrangement may need to be considered in order for the job application to proceed.

5. RELATIONSHIPS BETWEEN EMPLOYEES AND STUDENTS

5.1 Professional Relationship Definition

The College believes that the professional relationship between a student and an employee is vital to a student's educational development and affirms that the teaching relationship is based on trust, confidence and dependency. In this context a professional relationship is defined as one where there is an assessing, supervising, tutoring, teaching or pastoral role or a role providing administrative or technical support. Students are entitled to equality of treatment and it is important that a personal relationship between an employee and a student is not perceived by others to prejudice that equality of treatment. In the context of this policy, a student means any student studying at the College. It is not limited to those students who an employee has a direct professional relationship with or influence on.

5.2 Children and Vulnerable Adult Definitions

- 'child' or 'children' refers to a person or persons under the age of 18 years (as defined in the Children's Act 2004);
- 'vulnerable adult' is a person aged 18 or over who is or may need community care services by reason of mental or other disability, age or illness, and who is, or may be unable to take care of him or herself, or unable to protect him or herself against significant harm, abuse or exploitation.

5.3 Students aged under 18

5.3.1 All adults working with young people are in positions of trust as a result of the authority invested in their role, and it is important that all employees at the College understand the level of professional conduct expected of them in respect of relationships with students.

5.3.2 There are many situations which occur on a regular basis which require a good relationship between employees and students, and relationships of mutual respect are encouraged where an honest rapport can develop.

5.3.3 Whilst encouraging a mature and supportive relationship between employees and students, it is important to recognise that there are boundaries which cannot be crossed. Any relationship other than a professional one is unacceptable.

5.3.4 All employees must behave in a professional manner and should ensure that their language, actions or personal conduct, no matter how well intended, do not cause offence or allow themselves to be easily open to misinterpretation.

5.3.5 Colleges act as *in loco parentis* for students under the age of 18 and therefore there is a clear expectation that no employee, whether in a teaching or in a support role, should enter into an intimate, sexual or romantic relationship with any student of the College under the age of 18. To do so would be an abuse of trust, and teaching employees in particular should be aware that having a relationship with a student under 18 could be treated as a criminal offence that may result in imprisonment under the Sexual Offences Act 2003. This behaviour may constitute gross misconduct, which could lead to summary dismissal and a referral to the Protection of Vulnerable Groups (PVG) and General Teaching Council for Scotland (GTCS).

5.4 Students aged 18 or above

5.4.1 A personal relationship between an employee and a student with whom they have a professional relationship or responsibility, in terms of teaching, tutoring, assessing, supervising, training or providing some other kind of pastoral, technical or administrative

support to the student, is discouraged by the College because of the difficulties which can arise.

5.4.2 All students are entitled to equality of treatment and it is important that this is maintained and also perceived to be maintained. Since employees will clearly have a higher hierarchical status at the College than the student, a personal relationship between an employee and a student can pose risks to both parties. The student may become isolated from their fellow students, particularly if there is a perception that the student is receiving more favourable treatment from the employee. Alternatively, the employee may experience strained relationships with colleagues or may risk allegations of harassment from the student, particularly if the relationship were to break up.

5.4.3 It is the responsibility of the employee to inform their line manager, in confidence, if they are in a personal relationship with a student aged 18 years or more. This requirement applies equally to relationships that existed prior to employment or enrolment and to relationships that develop at College. Lecturers/Assessors/IVs/Invigilators are also responsible for alerting their Manager immediately to any potential conflict of interest in an assessment situation by completing a [Conflict of Interest Declaration](#).

5.4.4 If the employee has a direct professional relationship with the student or any influence on the student at College, the College will put in place appropriate arrangements to ensure that the student's learning and assessment procedures are free from bias.

5.4.5 The College will also advise the employee and the student that their personal relationship should be conducted entirely off campus to avoid negative perceptions from other employees and students.

5.4.6 It is expected that the line manager will treat the disclosure sensitively, and should treat the disclosure with the respect it merits, but it is likely that other employees will need to be informed, in confidence. This will be on a strictly 'need to know' basis and will be discussed with the employee first.

5.5 Relationships with former students

5.5.1 For the purpose of transparency and to protect the employee it is recommended that if an employee enters into a personal relationship with a former student within one year of the student leaving, the employee should disclose this to their line manager, who will consider, based on 5.5.2, if this needs escalated to the Director/Head of Department.

5.5.2 The line manager should discuss the disclosure with the employee and determine whether any conflict of interest is potentially present requiring further investigation, is needed. The line manager should consider factors such as the period of time that has passed since the student was at the College and whether the employee had a direct professional relationship with the student or any influence on them when they were at College.

5.6 Relationships with students who are vulnerable adults

5.6.1 Personal, including intimate, sexual or romantic relationships between employees and vulnerable adult students are prohibited. This type of relationship could be viewed as an abuse of the employee's position of trust. Any employee who enters into such a relationship will be subject to the College's disciplinary procedure. This behaviour may constitute gross misconduct, which could lead to summary dismissal and a referral to the Protection of Vulnerable Groups (PVG) and General Teaching Council for Scotland (GTCS).

5.7 Relationships with students who are care experienced

As a Corporate Parent, the College has a number of duties to uphold the rights of, and safeguard the wellbeing of looked after children, young people and care leavers. Corporate parents have many of the same roles and responsibilities as parents do, in assisting vulnerable young people reach their personal goals. Corporate parenting responsibilities' extend to all looked after children, aged from birth to when they cease to be looked after. As these responsibilities continue to apply until the care leaver reaches their **26th birthday**, it would be inappropriate for the College to allow a staff member to enter a relationship with a care experienced student who was care experienced and was aged 26 years and under without due process to protect the student.

Staff who are in such a relationship with a student when starting work or the care experienced student commences education at the college, or staff who enter in to such a relationship unaware of the status of the learner, should immediately disclose this to their line manager or HR Business Manager. A review of the circumstances will take place to determine if any breach of corporate parenting responsibilities has taken place or any abuse of a position of trust has occurred. Decisions will be made relevant to the findings of this review and any other relevant factors. In such cases any abuse of the position of trust held by the employee could lead to summary dismissal and a referral to the Protection of Vulnerable Groups (PVG) and General Teaching Council for Scotland (GTCS).

6. DISCLOSING INAPPROPRIATE RELATIONSHIP BEHAVIOUR BY STUDENTS

6.1 Infatuations do occur occasionally on the part of a student towards an employee. In such situations the employee concerned must make every effort to remain above reproach and must discuss the situation with their line manager as soon as possible. It may become necessary to discuss matters with the student or in some cases, where we have a duty, the student's parents or carer in order to avoid any hurt, distress or embarrassment. The employee should ensure that they never allow themselves to be alone with the student concerned.

7. RELATED DOCUMENTS

- 7.1 [Employee Disciplinary and Dismissal Policy and Procedure](#)
- 7.2 [Safeguarding Protecting Young People and Adults Policy](#)
- 7.3 [Grievance Policy and Procedure](#)
- 7.4 [Prevention of Harassment and Bullying Policy and Procedure](#)
- 7.5 [Whistleblowing Policy and Procedure](#)
- 7.6 [GTCS Duty to Refer Guidance](#)
- 7.7 [Protection of Vulnerable Groups Scheme Policy & Procedure](#)
- 7.8 [Conflict of Interest Declaration](#)



6. Financial Regulations For Approval

26 March 2024

FINANCE, RESOURCE & INFRASTRUCTURE COMMITTEE

1. Purpose

To seek approval from members to implement updates to the Financial Regulations for the College.

2. Recommendation

That members discuss and confirm agreement with the revisions made to the previous version of the Financial Regulations approved by the Finance Committee 13th September 2022.

3. Background

The Financial Memorandum between the Scottish Funding Council (SFC) and Forth Valley College sets out the terms and conditions on which grant is made. The Board of Management is responsible for ensuring that conditions of grant are met. As part of this process, Forth Valley College must adhere to the SFC's Financial Memorandum, the Outcome Agreement, the Scottish Governments Scottish Public Finance Manual (SPFM), except where any special actions or derogations have been agreed with Scottish Ministers, and the Code of Good Governance for Scotland's Colleges which requires it to have sound systems of financial and management control.

The Financial Regulations of Forth Valley College form part of this overall system of accountability, and translate into practical guidance, the College's broad policies relating to financial control within this context. **Compliance is compulsory for all members of staff.**

The purpose of these Financial Regulations is to provide control over the totality of Forth Valley College's resources and provide management with assurances that the resources are being properly applied for the achievement of Forth Valley College's strategic plan and business objectives:

- Financial sustainability
- Achieving value for money
- Fulfilling its responsibility for the provision of effective financial controls over the use of public funds
- Ensuring that Forth Valley College complies with all relevant legislation
- Safeguarding the assets of Forth Valley College.

The Financial Regulations were last updated in 2022, and were technically only due for review in September 2025. However, due to a number of recent changes to names and delegated authority levels, this has been brought forward. The document has been left with track changes to facilitate review by members, other than the tables which have had changes accepted since the duplication of the tables was making the document difficult to read.

The approval limits for the Pricing of Products and Services, College expenditure and Grant applications and are set out within the relevant sections of the document, but also summarised in Section B.



6. Financial Regulations For Approval

26 March 2024

FINANCE, RESOURCE & INFRASTRUCTURE COMMITTEE

Once approved by the Finance, Resource & Infrastructure Committee, the Financial Regulations document will be added to the College website and the Finance SharePoint page.

4. Key Considerations

The key consideration for members:

- Compliance with these Financial Regulations is critical to ensure that FVC complies with the SFC Financial Memorandum. Although ultimate responsibility sits with the Board of Management, practically it sits with LMT and all members are aware that they must ensure that staff are familiar with the contents.
- There are a number of College policies referenced throughout the document, and staff signposted to the relevant department SharePoint page. These policies are part of the Financial Regulations of the College, and it is the responsibility of the members of LMT to ensure that any policies within their remit are uploaded for staff to access.
- The document refers to various legislative and technical guidance to be read in conjunction with these Financial Regulations (section 2.7). Any key matters FVC staff need to be aware of are detailed within the updated document and non-finance staff are not required to read the external guidance.
- The main changes made at this review include:
 - Name changes for the Finance Committee to the Finance, Resource & Infrastructure Committee and the merging of the Finance & HR committee remits in section 3.3
 - Increasing the frequency of professional valuations of the College estate in line with audit requirements at section 6.5
 - Referencing intangible assets for capitalisation, to allow the capitalisation of software where accounting standards permit
 - Updating section 10 on Grants and Contracts to set out levels of authority for grant applications
 - Updating the limits for procurement quotes as approved by the Finance Committee in June 2023 (section 13.5)
 - Clarifying section 13.11 for receipt of goods following the review of our procedures for the approval of orders and invoices, and the implementation of the no PO no Payment policy
 - Moving the responsibility for the spot checking of expense claims and the approval of payroll advances from Finance to HR, now that iTrent is implemented.

5. Resource Implications (Financial, People and Estate)

Once the updated document is approved and uploaded to the College website and the Finance SharePoint page, communication via [e-focus](#) will be required to inform staff of the revised regulations and remind them of their responsibilities in relation to compliance. Attention will be directed to section 10 on grant applications.

6. Equalities

An equalities assessment is not applicable given the nature of this report.



6. Financial Regulations For Approval

26 March 2024

FINANCE, RESOURCE & INFRASTRUCTURE COMMITTEE

7. Risk and Impact

	Likelihood	Impact
Very High		
High		
Medium		X
Low		
Very Low	x	

Total Risk Score – 3

The risk of staff not complying with the updated Financial Regulations is low given that there are minimal changes to current practices. The impact of non-compliance has a potentially higher risk, depending on the area of non-compliance, however controls within the Finance department mitigate against this risk.

Risk Owner – Alison Stewart
Paper Author – Senga McKerr

Action Owner – Senga McKerr
SMT Owner – Alison Stewart



Forth Valley College

Financial Regulations

Status:

Date of version:

Responsibility for regulations:

Responsibility for implementation:

Responsibility for review:

Date for review:

~~Final approved~~[Draft](#)

~~September 2022~~[March 2024](#)

Director of Finance

Director of Finance and Finance Manager

Director of Finance

~~September 2025~~[March 2027](#)

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A Financial Regulations

1. Introduction and Background

- 1.1. Forth Valley College came into being on 1 August 2005 as a result of the merger of Clackmannan and Falkirk Colleges. The Office for National Statistics (ONS) reclassified all incorporated Further Education (FE) Colleges as central government entities, to be referred to as Arm's Length Public Bodies from 1 April 2014. The College is a registered charity (Scottish Charity number SCO21191) for the purposes of the Law Reform (Miscellaneous Provisions) (Scotland) Act 2005. Forth Valley College is accountable through its Board of Management, which has ultimate responsibility for the effectiveness of its management and administration.
- 1.2. Forth Valley College is an exempt charity by virtue of the Charities Act 1993 as amended by the Charities Act 2006.
- 1.3. The Financial Memorandum between the Scottish Funding Council (SFC) and Forth Valley College sets out the terms and conditions on which grant is made. The Board of Management is responsible for ensuring that conditions of grant are met. As part of this process, Forth Valley College must adhere to the SFC's Financial Memorandum, the Outcome Agreement, Scottish Governments Scottish Public Finance Manual (SPFM), except where any special actions or derogations have been agreed with Scottish Ministers, and the Code of Good Governance for Scotland's Colleges which requires it to have sound systems of financial and management control. The financial regulations of Forth Valley College form part of this overall system of accountability.

2. Status of Financial Regulations

- 2.1. This document sets out Forth Valley College's financial regulations. It translates into practical guidance of Forth Valley College's broad policies relating to financial control within the context of the SFC's Financial Memorandum, the SPFM and all its subsidiary undertakings (where applicable). This document was approved by the Finance, [Resource & Infrastructure](#) Committee on ~~13th September 2022~~^{26th March 2024}.
- 2.2. These financial regulations do not in themselves set standards or provide control information, but they do outline a financial control system within which management can delegate authority whilst informing staff of correct financial procedures.
- 2.3. The purpose of these financial regulations is to provide control over the totality of Forth Valley College's resources and provide management with assurances that the resources are being properly applied for the achievement of Forth Valley College's strategic plan and business objectives:
- Financial sustainability
 - Achieving value for money
 - Fulfilling its responsibility for the provision of effective financial controls over the use of public funds
 - Ensuring that Forth Valley College complies with all relevant legislation
 - Safeguarding the assets of Forth Valley College
- 2.4. Compliance with the financial regulations is compulsory for all staff connected with Forth Valley College. Any member of staff who fails to comply with the financial regulations may be subject to disciplinary action under Forth Valley College's disciplinary and dismissal policy. The Board of Management will be notified of any such breach through the Audit Committee. It is the responsibility of Directors of Curriculum and Directors or Heads of Corporate Services to ensure that their staff are made aware of the existence and content of Forth Valley College's financial regulations.
- 2.5. The Finance, [Resource & Infrastructure](#) Committee is responsible for maintaining a continuous review of the financial regulations, through the Vice Principal of Finance & Corporate Affairs and the Director of Finance, and for advising the Board of Management of any additions or changes necessary.
- 2.6. In exceptional circumstances, the Principal may authorise a departure from the detailed provisions herein, in line with the SFC Financial Delegated Limits, such departure to be reported to the Chair of the Finance, [Resource & Infrastructure](#) Committee at the earliest opportunity. The Principal shall not, however, set aside those parts of the regulations that make reference to the responsibilities of the Scottish Funding Council or certain requirements that flow from the Scottish Public Finance Manual.

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- 2.7. The Financial Regulations should be read in conjunction with relevant guidance on accountability or propriety issued by:
- The SFC
 - The Financial Memorandum
 - The Accounts Direction
 - The Scottish Government
 - The Scottish Government Financial Reporting Manual (FReM)
 - The Scottish Public Finance Manual (SPFM)
 - Audit Scotland
 - The Code of Good Governance for Scotland's Colleges
 - Financial Reporting Council
 - SORP: Accounting for Further and Higher Educational Institutions
 - FRS102: Accounting and Reporting by Charities
- 2.8. The SFC issued a Financial Memorandum that had effect from 1st December 2014. The primary purpose of the Memorandum is to set out the formal relationship between the SFC and fundable bodies in the college sector, and the requirements with which fundable bodies must comply as a term and condition of grant from SFC. The Financial Memorandum also makes compliance with the requirements of the SPFM, a condition of grant. The Board of Management accepts that if the College fails to comply with any terms and conditions attached to the funds from the SFC or contained in the Financial Memorandum, the College may be required to:
- repay to the SFC any sums received from it; and
 - pay interest to the SFC in respect of any period during which a sum due to the SFC is unpaid
- 2.9. The Director of Finance is responsible for ensuring that copies of the Financial Regulations are published on the College's intranet website. The Director of Finance should be contacted for advice if there is any uncertainty as to the application of the Financial Regulations.

3 Corporate Governance

3.1 Board of Management

The Board of Management is responsible for the management and administration of Forth Valley College and must ensure that it provides suitable and efficient further education to its students, having regard to the provision in the area it serves and the likely needs of potential students.

To assist the Board of Management in meeting these responsibilities, the Board will maintain an Audit Committee in accordance with the best practice principles of corporate governance. The Board will also maintain a Finance, [Resource & Infrastructure](#) Committee, Remuneration Committee and other committees as appropriate

Its financial responsibilities include:

Reserved for the Board of Management

- Approving the College's Strategic Plan, Regional Outcome Agreement, Evaluative Report and Enhancement Plan
- Approving the Annual Report and Accounts
- Acquisition and disposal of property, subject to approval of SFC
- Approving the annual budget before the start of each financial year

Delegated to the Finance, [Resource & Infrastructure](#) Committee

- Ensure compliance with the Financial Memorandum between the Scottish Funding Council and the Board of Management of the College
- Approval of tuition fees and fee waiver policy which can be found on the College's website-
- Review regular financial reports to allow the revenue and capital budgets to be monitored and the financial position of the College to be assessed
- To consider and advise on the financial management and control systems within the College – including the approval of Financial Regulations

Delegated to the Audit Committee

- Reviewing the Internal and External Auditors' assessment of the effectiveness of the College's financial and other internal control systems, including controls specifically to prevent or detect fraud or other irregularities as well as those for securing economy, efficiency and effectiveness
- Ensuring that the College complies with the Code of Good Governance for Scotland's Colleges

The Board shall, for the purposes stated above, require the Principal to exercise responsibility for the control of resources, for seeking economy, efficiency and effectiveness in the use of all the College's resources, and for ensuring that financial considerations are taken into account at all stages in framing and reaching decisions and in their implementations.

3.2 Principal and Chief Executive

The College Principal & Chief Executive is responsible for ensuring the financial administration of the College's affairs in accordance with the SFC Financial Memorandum.

As Accountable Officer of the College, the Principal & Chief Executive is responsible for satisfying the Board of Management that funds provided to the College are used only in accordance with the Financial Memorandum and any other SFC conditions. The Principal & Chief Executive may also be required to justify any of Forth Valley College's financial matters to the Scottish Parliament Public Audit Committee.

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

The Principal & Chief Executive shall demonstrate his or her oversight of financial matters by signing the balance sheet and the statement of corporate governance within the annual financial statements, and the declaration page of the Financial Forecast Return (FFR), submitted to the SFC.

The Principal & Chief Executive has authority to disseminate actions to members of the Senior Management Team, but shall not assign absolutely to any person the responsibility set out in this section.

3.3 Governance Structure

The Board of Management has ultimate responsibility for Forth Valley College's finances, but is able to delegate specific powers and processes to the Committees detailed below. These Committees are accountable to the Board of Management. Remits for each of the committees are available on the College website.

Audit Committee

The Audit Committee's role is to contribute to good governance by providing assistance to the Board of Management on issues of compliance, risk, financial probity and the overall effectiveness of internal College control systems.

Finance, [Resource & Infrastructure](#) Committee

The purpose of the Finance, [Resource & Infrastructure](#) Committee is to contribute to good governance by providing independent advice to the Board of Management on the financial management of the College, providing a strategic overview of the College's financial direction while ensuring a position of financial security and that all relevant audit and legislative requirements are met. [The](#)

[Human Resources Committee](#)

~~The Human Resource (HR)~~ Committee advises the Board of Management on HR strategy (including industrial relation matters), oversees the Board's health & safety responsibilities, and monitors the Board's equal opportunities aspirations.

Remuneration Committee

The role of the Remuneration Committee is to provide good governance by providing an oversight and approving the remuneration arrangements of the Principal and Senior staff, in line with the FE Code of Good Governance, the Scottish Public Finance Manual and sectoral guidance.

Nomination Committee

The role of the Nomination Committee is to contribute to good governance in relation to the appointment of non-executive Board Member appointments and the appointment of the College Principal.

Learning and Student Experience Committee

The Learning and Student Experience Committee provides assistance to the Board of Management on the educational performance of the College, to act as the primary linkage between the Board of Management and the Student Association Executive, and to consider matters relating to the interests of learners in the College.

3.4 Vice Principal of Finance & Corporate Affairs

The Vice Principal of Finance & Corporate Affairs reports directly to the Principal & Chief Executive and has responsibility for the strategic financial management of the College. The Vice Principal of Finance & Corporate Affairs shall:

- Provide the Board of Management with an annual financial budget. The Plan shall reflect the overall strategic plan approved by the Board
- Develop and maintain an effective resource allocation method for allocating financial resources to College budget managers
- Develop and maintain a range of financial and other related performance indicators
- Provide the Finance, [Resource & Infrastructure](#) Committee with regular reports on the financial performance of the College
- Lead the College's management of financial risks
- Ensure the College has an effective system of financial controls
- Provide professional advice on all matters relating to financial policies and procedures
- Provide the Board with an annual report & financial statements.

The Vice Principal of Finance & Corporate Affairs together with the Director of Finance shall have the following operational responsibilities:

- Provide professional and credible financial advice and guidance to managers to promote best practice and ensure compliance with financial legislation and College policies
- Ensure that changing financial legislation and best practice is continually embedded within College policies and practices in a timely manner
- Lead and manage the College's financial planning systems to ensure that finances are able to meet the changing needs of the organisation ensuring effective financial procedures are in place, conforming to high standards of best practice

- Meet the statutory and other requirements of auditors and HMRC, Board members and the Principal & Chief Executive in respect of budget setting, financial monitoring and control, reporting, the preparation of annual accounts to prescribed standards and the completion of taxation formalities
- Liaise with internal and external auditors
- Lead in the development of the College's financial planning processes and procedures;
- Develop and maintain an efficient and effective financial systems and related procedures
- Produce accurate and timely management accounts and cash flow forecasts in the prescribed formats
- Provide accurate and timely financial information and reports to all budget managers
- Provide professional advice on all matters relating to financial policies and procedures

3.5 Members of LMT and Heads of Corporate Service Departments

Members of the Leadership Management Team (LMT) together with the Heads of Corporate Service departments are responsible to the Principal & Chief Executive for financial management of the areas or activities they control. They are advised by the Vice Principal of Finance & Corporate Affairs in executing their financial duties and the Vice Principal of Finance & Corporate Affairs will supervise and approve the financial systems operating within their departments, including the form in which accounts and financial records are kept.

The Directors and Heads of Corporate Service departments are responsible for establishing and maintaining clear lines of responsibility within their department for all financial matters. Where resources are devolved to budget holders, they are accountable to their line manager for their own budget.

3.6 All members of Staff

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

They should adhere to the College's financial authority limits (section 13.2) and the values of purchases for which quotations and competitive tenders are required (section 13.5).

Except as authorised by the Scheme of Delegation, staff shall consult with the finance staff and the Vice Principal of Finance & Corporate Affairs with respect to any matter which is liable to affect materially the finances of the College before any provisional or other commitment is incurred or before reporting thereon to a Committee.

They shall make available any relevant records or information to the Vice Principal of Finance & Corporate Affairs or his or her authorised representative in connection with the implementation of Forth Valley College's financial policies, these financial

regulations, the system of financial control and the requirements of the Board of Management.

They shall immediately notify the Vice Principal of Finance & Corporate Affairs whenever any matter arises which involves, or is thought to involve, irregularities concerning, inter alia, cash or property of Forth Valley College.

All members of staff with access to the College's finance system must comply with the rules laid down within the IT Security Policy, which is available on the College Documentation page on SharePoint.

3.7 Risk Management

The College acknowledges the risks inherent in its business, and is committed to managing those risks that pose a significant threat to the achievement of its business objectives and financial health. Details of the College's approach to risk management is set out in the Risk Management Policy which is available on the College Documentation SharePoint page.

The Board of Management has overall responsibility for the College's risk management strategy and ensuring a common approach to the management of tasks throughout the College through the development, implementation and embedding of a formal, structured risk management process.

The Audit Committee shall monitor and review the management of risk and ensure key risk indicators are identified and closely monitored on a regular basis.

In line with the Risk Management Policy the Leadership Management Team shall:

- Make conservative and prudent recognition and disclosure of the financial and non-financial implications of risks
- Be responsible for encouraging good risk management practice within their areas of responsibility
- Carry out regular reviews to identify significant risks associated with the achievement of key objectives and other relevant areas

3.8 Whistleblowing

Whistleblowing in the context of the Public Interest Disclosure Act is the disclosure by an employee (or other party) about malpractice in the workplace. A whistle-blower can blow the whistle about crime, civil offences (including negligence, breach of contract, etc.), miscarriage of justice, danger to health and safety or the environment and the cover-up of any of these. It does not matter whether or not the information is confidential and the whistleblowing can extend to malpractice occurring in the UK and any other country.

Normally, any concern about a workplace matter at the College should be raised with the relevant member of staff's immediate line manager or head of department. However, the College recognises that the seriousness or sensitivity of some issues, together with the identity of the person the member of staff thinks may be involved, may make this difficult or impossible. The College's Whistleblowing Policy, therefore, sets out how these situations should be handled

The College's Whistleblowing Policy can be found on the HR SharePoint page.

3.9 Code of Conduct

The College is committed to the highest standards of openness, integrity and accountability.

It seeks to conduct its affairs in a responsible manner, having regard to the principles established by the Committee on Standards in Public Life (formerly known as the Nolan Committee), which members of staff at all levels are expected to observe (see Section C). These principles are selflessness, integrity, objectivity, accountability, openness, honesty and leadership. In February 2022, the Board of Management approved the adoption of the Code of Conduct, which is available on the College website.

The Register of Interest for the Board of Management shall be maintained by the Board Secretary and shall be made available on the College's website.

The Register of Interest for senior managers and other budget managers shall be maintained by the Vice Principal Finance & Corporate Affairs and shall be made available on SharePoint.

Additionally, members of the Board of Management, senior management or those involved in procurement are required to disclose interests in the College's register of interests. They are responsible for ensuring that entries in the register relating to themselves are kept up to date promptly, as prescribed in the financial procedures.

In particular, no person shall be a signatory to a College contract where he or she also has an interest in the activities of the other party.

3.10 Receiving Gifts, Hospitality and Entertainment

It is a criminal offence for members of staff to accept corruptly any gift or consideration as an inducement or reward for doing, or refraining from doing, anything in an official capacity or showing favour or disfavour to any person in an official capacity. Members of staff must:

- Not create suspicion of any conflict between their official duty and their private interest

- Not give the impression (to any member of the public, to any organisation with whom they deal or to their colleagues) that they have been (or may have been) influenced by a gift or consideration to show favour or disfavour to any person or organisation
- Not accept any gifts, rewards or hospitality (or have them given to members of their families) from any organisation or individual with whom they have contact in the course of their work that would cause them to reach a position whereby they might be, or might be deemed by others to have been, influenced in making a business decision as a consequence of accepting such hospitality. The frequency and scale of hospitality accepted should not be significantly greater than the College would be likely to provide in return.
- Seek advice from the Head of HR when it is not easy to decide between what is and what is not acceptable in terms of gifts or hospitality

Guidance on acceptable hospitality is contained within the Gifts and Hospitality Policy, which can be found on the College Documentation page on SharePoint. For the protection of those involved, the Corporate Governance & Planning Officer will maintain a register of gifts and hospitality received where the value is in excess of £50. Members of staff in receipt of such gifts or hospitality are obliged to notify the Corporate Governance & Planning Officer promptly.

3.11 Entertaining Guests

It is unlikely that a member of staff will need to offer a gift to another person or organisation linked to their college responsibilities. If, however, it is proposed to offer a gift, then this should normally be arranged via the College's executive office. If the proposed value of the gift is in excess of £500, then the proposal must be authorised initially by a member of the College's Senior Management Team and thereafter cleared by the Scottish Funding Council.

Entertaining guests from outside bodies should normally use the College's catering facilities. Reasons may be requested when submitting a claim for reimbursement. Guidance for entertaining guests is set out in the College's Travel and Expenses Policy, which can be found on the Finance SharePoint page.

4 Financial Planning

4.1 Introduction

The Vice Principal of Finance & Corporate Affairs is responsible for preparing a rolling three year financial plan for approval by the Board of Management on the recommendation of the Finance, [Resource & Infrastructure](#) Committee and for preparing financial forecasts for submission to SFC. Financial plans should be consistent with the strategic plans approved by the Board of Management.

4.2 Budget Objectives

The Board of Management will, from time to time, propose budget objectives for Forth Valley College. These will help the Vice Principal of Finance & Corporate Affairs in preparing the more detailed financial plans for Forth Valley College.

The Board shall plan and conduct its financial and academic affairs so that:

- Its total income is not less than sufficient, taking one financial (31 July) year with another, to meet its total expenditure
- A reasonable level of net current assets is maintained (excluding deferred capital grant and pension obligations)
- A reasonable level of capital expenditure is made each year so as to maintain the value of the College's fixed assets
- It has sufficient financial resources to meet its needs in the form of cash and other liquid assets or borrowing facilities.

4.3 Budget Preparation

The Vice Principal of Finance & Corporate Affairs is responsible for preparing an annual revenue budget and capital programme each year for consideration by the Finance, [Resource & Infrastructure](#) Committee before submission to the Board of Management. The budget should also include a projected year-end balance sheet and cash flow forecasts if appropriate.

The Vice Principal of Finance & Corporate Affairs must ensure that detailed budgets are prepared in order to support the resource allocation process and that these are communicated to Directors and Heads of Corporate Service departments as soon as possible following their approval by the Board of Management.

Throughout the year the Vice Principal of Finance & Corporate Affairs is responsible for submitting revised financial forecasts to the Finance, [Resource & Infrastructure](#) Committee.

4.4 Capital Budgets

The capital expenditure budget includes all expenditure on land, buildings, equipment, furniture and associated costs which are to be capitalised for inclusion in Forth Valley College's financial statements. The College's accounting policies shall set out the threshold for capitalising fixed assets (currently £10,000).

The annual funding allocation from SFC includes an amount for campus **Capital & Maintenance**. It is the responsibility of the Vice Principal of Infrastructure & Communications to decide on the split of this funding between revenue and capital, and to confirm the correct treatment of projects with the Director of Finance. Any [project capital commitment](#) costing more than £250,000 requires specific approval from the Board of Management.

In addition to the SFC funding allocation for capital, other funding sources may be sought for capital projects, e.g. Forth Valley College Foundation. These grants should be individually monitored for adherence to the terms of grant.

The Vice Principal of Infrastructure & Communications has responsibility for implementing protocols for the inclusion of capital projects in the capital expenditure programme for approval of the Finance, [Resource & Infrastructure](#) Committee. These set out the information that is required for each proposed capital project as well as the financial and qualitative criteria that they are required to meet.

The approval of variations, including the notification of large variations to SFC, as laid down in SFC guidelines is the responsibility of the Vice Principal of Finance & Corporate Affairs.

The Vice Principal of Infrastructure & Communications is responsible for providing regular reports concerning all capital expenditure to the Finance, [Resource & Infrastructure](#) Committee for monitoring purposes.

Post-project evaluations may need to be sent to the relevant funding body, as laid down in funding body guidelines or specific grant award letter.

4.5 **Full Cost Courses and Services Rendered**

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A full cost course is any course which is not eligible for SFC grant in aid support (i.e. funded by Credits).

Any member of staff wishing to run a full cost course or provide other services must complete a form in the business approval process to obtain the appropriate level of management authorisation. The form can be found on the Apprenticeships, Skills & Commercialisation SharePoint page.

All other income-generating activities shall be self-financing or surplus-generating unless it is intended that a new activity is to be launched as a loss leader. The provision of a "loss leader" activity shall be brought to the attention of the Vice Principal of Finance & Corporate Affairs.

4.6 **Overseas Business Activities**

Proposed business activity out with the UK must be subject to prior approval by the Principal and Senior Management Team. The approval limits within the College Scheme of Delegation are applicable to overseas activity.

4.7 Other Major Developments

Any significantly new aspect of business, which will require investment in buildings, resources or staff time should be presented for approval to the Finance, [Resource & Infrastructure](#) Committee in line with the Scheme of Delegation. The Committee shall be provided with a business case for the activity together with a risk assessment.

5 Financial Control

5.1 General

The control of income and expenditure within an agreed budget is the responsibility of the designated budget holder, who must ensure that day-to-day monitoring is undertaken effectively. Budget holders are responsible to their line manager and ultimately their SMT member for the income and expenditure appropriate to their budget.

Significant departures from agreed budgetary targets must be reported immediately to the Director of Finance by the budget holder concerned and, if necessary, corrective action taken. As a minimum, quarterly budget reviews will take place with each budget holder.

5.2 Financial Information

The budget holders are assisted in their duties by management information provided by the finance department. The types and frequency of management information available to different levels of management are described in the detailed [Budget Monitoring and Month End Management Accounting](#) Procedures to reflect the current management needs of the College.

The Vice Principal of Finance & Corporate Affairs is responsible for supplying budgetary reports on all aspects of Forth Valley College's finances to the Finance, [Resource & Infrastructure](#) Committee on a basis determined by the [Finance](#) Committee but subject to any specific requirements of SFC. The Chair of the Finance, [Resource & Infrastructure](#) Committee will update the Board of Management, which has overall responsibility for College finances.

5.3 Changes to Approved Budget

The Finance, [Resource & Infrastructure](#) Committee will approve any significant changes to the previously set budget after consideration of updated financial forecasts. Additionally, the Finance, [Resource & Infrastructure](#) Committee must approve moving the adjusted operating position (AOP) from surplus to deficit.

5.4 Virement

Where a budget holder is responsible for more than one budget, virement is only permitted with the prior approval of the Director of Finance. Virement is only permitted between budget headings (e.g. materials, transport, property costs) within the same budget at reforecast time in discussion with Finance.

Virement between capital and revenue budgets is not generally permitted but in exceptional circumstances may be approved by the Finance, [Resource & Infrastructure](#) Committee, and will also require SFC approval.

5.5 Treatment of Year-end Balances

At the year end, budget holders will not have the authority to carry forward a balance on their budget to the following year unless the Vice Principal of Finance & Corporate Affairs has approved a specific scheme for carrying forward all or part of unspent amounts.

6 Accounting Arrangements

6.1 Financial Year

Forth Valley College's financial year will run from 1 August until 31 July.

6.2 Basis of Accounting

The financial statements are prepared on the historical cost basis of accounting modified by the revaluation of certain fixed assets and in accordance with applicable accounting standards, the SFC's Accounts Direction and the SPFM.

6.3 Format of the Financial Statements

The financial statements are prepared in accordance with:

- Applicable Accounting Standards
- Statement of Recommended Practice Accounting for Further and Higher Education
- Financial Reporting Standard FRS 102
- The Financial Reporting Manual (FReM) issued by the Scottish Government.
- The Accounts direction and other guidance issued by SFC

6.4 Accounting Returns

The Vice Principal of Finance & Corporate Affairs is responsible for consolidating and submitting financial returns and other periodic financial reports to the SFC and other agencies as required.

The Vice Principal of Finance & Corporate Affairs is responsible for ensuring that all grants allocated and notified by the SFC and other bodies, are wholly received.

6.5 Capitalisation and Depreciation

New land and buildings will initially be recorded in the balance sheet at actual build or acquisition cost, except where they are received as gifts, where they will be recorded at depreciated replacement cost. Buildings will be depreciated in equal instalments over their estimated remaining useful life. Freehold land will not be depreciated

Full professional valuations will take place at least every 5-3 years to ensure that the fair value based on depreciated replacement cost, is not materially different to the current value. Interim valuations will take place as deemed necessary in the intervening years.

Costs incurred in relation to land and buildings after initial purchase or construction, and prior to valuation, are capitalised to the extent that they increase the expected future benefits to the College.

Expenditure incurred on the acquisition of assets, [including intangible assets](#), other than land and buildings will be recorded in the balance sheet where the acquisition cost per item is £10,000 or more. Capitalised assets other than land and buildings will be depreciated on a straight line basis over the useful economic life of the asset commencing in the year of acquisition.

6.6 Accounting Records

The Vice Principal of Finance & Corporate Affairs is responsible for the retention of financial documents. These should be kept in a form that is acceptable to the relevant authorities and complies with the Data Protection Act 2018.

Forth Valley College is required by law to retain prime documents for six years. These include:

- Purchase invoices
- Sales Invoices
- Bank statements
- Copies of receipts
- Paid cheques
- Payroll records, including expense claims and part-time lecturers' contracts

The Vice Principal of Infrastructure & Communications will make appropriate arrangements for the retention of electronic records. Members of staff should ensure that retention arrangements are in compliance with the College Information Management Procedures which can be found on SharePoint. Additionally, staff must ensure arrangements comply with specific requirements of funding organisations (e.g. Skills Development Scotland, [UK Shared Prosperity Fund](#) ~~European Social Fund~~).

6.7 Public Access

The Board of Management is required to supply any person with a copy of Forth Valley College's most recent financial statements. Copies of the latest financial statements are provided to statutory agencies as required and are available on the College website.

Under the terms of the Freedom of Information (Scotland) Act 2002 (FOISA) and the College's freedom of information procedure, the College is committed to assisting members of the public in exercising their statutory rights to access all types of recorded information including financial information. Under FOISA any person has the right to request information and the College is required to release that information unless any of the lawful exemptions apply. Requests for material will be dealt with promptly and submitted to the Corporate Governance & Planning Officer for collation and distribution.

6.8 Taxation

The Vice Principal of Finance & Corporate Affairs is responsible for advising Directors and Heads of Corporate Service departments on all taxation issues as they apply to Forth Valley College and will provide guidance on compliance with statutory requirements including those concerning VAT, PAYE, national insurance, corporation tax and import duty.

The Vice Principal of Finance & Corporate Affairs is responsible for maintaining Forth Valley College's tax records, making all tax payments, receiving tax credits and submitting tax returns by their due date as appropriate.

6.9 Charities Accounting

The Vice Principal of Finance & Corporate Affairs shall ensure financial record keeping and reporting comply with section 44 of the Charities and Trustees Investment (Scotland) Act 2005 and the Charities Accounts (Scotland) Regulations 2006. In doing so the Vice Principal Corporate Services shall:

- Keep proper accounting records
- Prepare a statement of account, including a report on its activities, at the end of each financial year
- Have the statement of account independently examined or audited
- Send a copy of the accounts, along with the annual return to OSCR
- Ensure accounting records are kept for a minimum of 6 years from the end of the financial year in which they were made.

7 Audit Requirements

7.1 General

External auditors and internal auditors shall have authority to:

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

The Vice Principal of Finance & Corporate Services shall be the primary point of contact for both external and internal auditors. The Board Secretary shall be the auditor's primary point of contact in terms of Board and Committee administration and the strategic risk management.

7.2 External Audit

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

The primary role of external audit is to report on Forth Valley College's financial statements and to carry out such examination of the statements and underlying records and control systems as are necessary to reach their opinion on the statements and to report on the appropriate use of funds. Their duties will be in accordance with advice set out in Audit Scotland's Audit Code of Practice and the Auditing Practices Board's statements of auditing standards.

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

Following consideration by the Finance, [Resource & Infrastructure](#) Committee and the Audit Committee, the financial statements will be submitted to the Board of Management for approval.

7.3 Internal Audit

Forth Valley College's Financial Memorandum with SFC requires that it has an effective internal audit function and their duties and responsibilities must be in accordance with advice set out in SFC's Financial Memorandum and Audit Scotland's Code of Audit Practice.

The internal auditor is appointed by the Board of Management on the recommendation of the Audit Committee. The main responsibility of internal audit is to provide the Board of Management, the Principal & Chief Executive and senior management with assurances on the adequacy of the internal control systems.

The internal audit service remains independent in its planning and operation but has direct access to the Board of Management, Principal & Chief Executive and Chair of the Audit Committee. The formal responsibilities of internal audit are set in the formal audit appointment letter.

7.4 Reporting

The Audit Committee shall agree an annual audit plan for internal audit and shall consider the reports resulting from this plan.

7.5 Other Auditors

Forth Valley College may, from time to time, be subject to audit or investigation by external bodies such as SFC, Audit Scotland, and HM Revenue & Customs. They have the same rights of access as external and internal auditors.

The Audit Committee shall consider reports prepared by other auditors.

7.6 Fraud Prevention

The Vice Principal of Finance & Corporate Affairs shall develop and maintain a Fraud Prevention Policy, which shall be approved by the Audit Committee. This policy shall be brought to the attention of all members of staff and be made available on the College Documentation SharePoint page.

The objective of this policy is to safeguard the proper use of the College's finances and resources. The College derives much of its income from public funds and, therefore, has a particular responsibility to ensure that income and resources are used solely for the purposes intended.

For the purposes of this policy, fraud is defined as dishonest, irregular or illegal acts, characterised by a deliberate intent at concealment or false representation, resulting in the diversion of resources, whether or not for personal gain, for the benefit of an individual or group of individuals at a consequent loss to the College.

The aftermath of fraud is costly, time-consuming and disruptive. The major thrust of any anti-fraud strategy should therefore be prevention.

7.7 Best Value and Value for Money

The duty of Best Value in Public Services is as follows:

- To make arrangements to secure continuous improvement in performance whilst maintaining an appropriate balance between quality and cost; and in making those arrangements and securing that balance,
- To have regard to economy, efficiency, effectiveness, the equal opportunities requirements, and to contribute to the achievement of sustainable development.

The Board of Management and senior managers shall take account of the five themes of Best Value characteristics that public service organisations are expected to demonstrate:

- Vision and Leadership
- Effective Partnerships
- Governance and Accountability
- Use of Resources
- Performance Management

The Scottish Government guidance also identifies the two cross-cutting themes which a Best Value organisation should fully embrace across all the activities by which they deliver their outcomes:

- Equality
- Sustainability

It is a requirement of the Financial Memorandum that the Board of Management be responsible for delivering value for money from public funds. It should keep under review its arrangements for managing all the resources under its control, taking into account guidance on good practice issued from time to time by the Scottish Funding Council, Auditor General, Audit Scotland and other relevant bodies.

8 Treasury Management

8.1 Banking Arrangements

All bodies to which the Scottish Public Finance Manual is directly applicable are required to have their core bank accounts with the Government Banking Service (GBS), except where the Scottish Government's Treasury and Banking Branch (T&B) can be persuaded that the holding of such an account would not be cost effective.

- The core bank account shall be used for the receipt of funding and the processing of all main payments and receipts. This principle does not preclude the use of commercial banks for processing transactions or the operation of local commercial bank accounts.
- A commercial bank account shall only be opened where there is a distinctive business need that cannot be met by the GBS bank account or where there is a separate contractual reason for doing so. Accounts shall be opened by the Vice Principal of Finance & Corporate Affairs and be in the name of Forth Valley College.
- Balances in commercial bank accounts should be kept to the minimum consistent with the principles of not providing funding in advance of need and avoiding accounts being overdrawn.
- Before issuing any indemnity to a bank, the Vice Principal of Finance & Corporate Affairs should consult with the Scottish Funding Council, which will consider in consultation with legal advisers as to whether the terms proposed are acceptable. In particular, the terms of the indemnity must not be too widely drawn and they must provide that the bank will remain liable for any acts of negligence or bad faith on its part.
- The Vice Principal of Finance & Corporate Affairs is responsible, on behalf of the Finance, [Resource & Infrastructure](#) Committee, for liaising with Forth Valley College's bankers in relation to the College's bank accounts and the issue of cheques/electronic payments.
- The authorised signatories for College bank accounts are:
 - Principal & Chief Executive
 - Vice Principals
 - Director of Finance
- All arrangements for the ordering, safe-keeping, control and signing of cheques on behalf of the College will be made by the Vice Principal of Finance & Corporate Affairs. All cheque payments shall be signed by at least two authorised signatories.
- The Vice Principal of Finance & Corporate Affairs shall be responsible for ensuring that all bank accounts are subject to regular reconciliation and that large or unusual items are investigated as appropriate.

8.2 Automated Transfers

All automated transfers on behalf of Forth Valley College, such as BACS (via SmarterPay) and faster payments through RBS Bankline, must be authorised in the appropriate manner as detailed in the "Scheme of Delegation" and "Authorisation Process by Department" for authorised spend and incorporating segregation of duties.

Each payment file should be reviewed and approved by a manager in the finance team, then uploaded by the compiler (senior finance assistant) and then sent for payment by the Director of Finance or his/her management team, ensuring a different manager from the approver of the payment file to ensure segregation of duties.

Changes to banking approvers for SmarterPay or RBS require approval by 2 authorised signatories.

9 Income

9.1 General

The Vice Principal of Finance & Corporate Affairs is responsible for ensuring that appropriate procedures are in operation to enable Forth Valley College to receive all income to which it is entitled. All receipt forms, invoices, vouchers or other official documents in use and electronic and web-based collection systems must have the prior approval of the Vice Principal of Finance & Corporate Affairs.

Levels of charges for services are reviewed periodically and significant changes are approved by the Finance, [Resource & Infrastructure](#) Committee.

The Vice Principal of Finance & Corporate Affairs is responsible for ensuring:

- The prompt collection, security and banking of all income received
- That all grants notified by SFC and other bodies are received and appropriately recorded in Forth Valley College's accounting records
- That all claims for funds, including contracts, are made by the due date

The Finance Manager is responsible for monitoring any new income streams in the year which must be communicated to the Director of Finance to consider the impact on the charitable status of the College and any VAT implications.

9.2 Pricing & Approval of Charges for Products and Services

There are two methods of pricing for products and services at Forth Valley College:

- Standard prices for core products and services, reviewed and agreed annually
- Bespoke prices for more unique, individual services, prepared by the Finance department, and approved through the business approval process

The business approval process is set with delegated authority limits as below and parameters for contribution percentages, set by the [Director of Commercialisation](#), [Vice Principal of Business & Innovation](#) & [Skills](#).

Quote Value	Authority
Less than £10,000	Pricing Manager
Less than £50,000	Head of Commercial & Training Delivery
£50,000 to £250,000	Vice Principal Business & Innovation
£250,000 to £500,000	Vice Principal Finance & Corporate Affairs
£500,000 to £1,000,000	Principal, Senior Management Team
Over £1,000,000	Finance, Resource & Infrastructure Committee

It is the responsibility of all staff to ensure that revenue to Forth Valley College is fully accounted for by the efficient application of agreed procedures for the identification, collection and banking of income. In particular, this requires the prompt notification to the Finance team of monies due so that collection can be initiated.

9.3 Receipt of Cash, Cheques and Other Negotiable Instruments

All monies received within departments, from whatever source, must be recorded by the department on a daily basis together with the form in which they were received, for example cash, cheques and other negotiable instruments.

All monies received must be either placed in a College safe, or promptly passed to the Finance department as set out in financial procedures. The custody and transit of all monies received must comply with the requirements of Forth Valley College's insurers.

All sums received must be paid in and accounted for in full, and must not be used to meet miscellaneous expenses or be paid into any petty cash float. Any exception to this requires approval by the Director of Finance. Personal or other cheques must not be cashed out of money received on behalf of Forth Valley College.

Forth Valley College may receive payments by debit or credit card as detailed in the financial procedures, including through the College's website for commercial courses.

9.4 Debt Management, Debt Write-off and Losses

The Vice Principal of Finance & Corporate Affairs should ensure that:

- Debtors' invoices are raised promptly, in respect of all income due to Forth Valley College
- Invoices are prepared with care, recorded in the ledger, show the correct amount due and are credited to the appropriate income account
- Any credits granted are valid, properly authorised and completely recorded.
- VAT is correctly charged where appropriate, and accounted for
- Swift and effective action is taken in collecting overdue debts, in accordance with the College's Debt Management Procedures

Only the Vice Principal of Finance & Corporate Affairs can implement or amend credit arrangements and indicate the periods in which different types of invoices must be paid.

All fraud losses must be brought to the attention of the Vice Principal of Finance & Corporate Affairs, and reported to the Audit Committee. Fraud losses in excess of £5,000 must be notified to the Scottish Funding Council.

Requests to write off debts or losses must be referred and authorised in accordance with the limits in the following table:

Write-off Value	Authority	SFC approval
Less than £3,000	Director of Finance, Finance Manager	no
£3,000 to £50,000	Vice Principal Finance & Corporate Affairs	Yes **
£50,000 to £100,000	Principal, Senior Management Team	Yes
Over £100,000	Finance Committee	Yes

**The write-off of overseas student fees of less than £6,000 does not require SFC approval

9.5 Student Fees

The Vice Principal of Finance & Corporate Affairs is responsible for ensuring that appropriate procedures are in operation for collecting tuition fees and that all student fees due to Forth Valley College are received.

Any student who has not paid an account for fees or any other item owing to Forth Valley College shall not receive the certificate of degree, diploma or other qualification awarded by Forth Valley College until all outstanding debts have been cleared. Such students shall be prevented from re-enrolling at Forth Valley College and from using any of Forth Valley College's facilities unless appropriate arrangements have been made.

The College may pass outstanding debts to debt collection agencies and reserves the right to take legal action to recover outstanding amounts. Students with debt sent to the Debt Collection agency shall be flagged in the student system, and checks should be made with the Finance [Service department](#) re the current status of this debt before finalising any enrolments.

Students with previously written off debt to the college shall be flagged in the student system and prevented from re-enrolling at Forth Valley College and from using any of the College's facilities unless appropriate arrangements have been made.

9.6 Student Loans and Cash Advances

The Vice Principal of Finance & Corporate Affairs shall ensure that appropriate records are maintained to support all transactions involving student loans, and cash advances.

9.7 Student Support Funds

The Vice Principal of Finance & Corporate Affairs is responsible for ensuring that all ring-fenced funding received by Forth Valley College for student support is used in accordance with each scheme's rules and regulations. Under no circumstances should payments be made other than in accordance with the approved schemes.

10 Grants and Contracts

10.1 General

Any proposed grant request to a trust fund or charitable foundation must be approved [by in line with the limits for Grant Applications set out below-a member of SMT.](#)

Grant Value	Authority
Less than £25,000	Directors, Heads of Estates, Information Technology, Learning & Quality and Human Resources
£25,000 to £250,000	Vice Principals
£250,000 to £500,000	Vice Principal Finance & Corporate Affairs
£500,000 to £1,000,000	Principal, Senior Management Team
Over £1,000,000	Finance, Resource & Infrastructure Committee

The Vice Principal of Finance & Corporate Affairs is responsible for examining every formal application for grant [above £25,000](#) and shall ensure that there is adequate provision of resources to meet all commitments. The Vice Principal of Finance & Corporate Affairs will ensure that the financial implications have been appraised, and it has been demonstrated that where relevant, eligible matching funds are available.

Grants and contracts shall be accepted on behalf of Forth Valley College by the Principal & Chief Executive. The Finance Manager shall initiate all claims for reimbursement from sponsoring bodies by the due date.

10.2 Grant Contract and Conditions

Many grant-awarding bodies and contracting organisations stipulate conditions under which their funding is given. In addition, there are often procedures to be followed regarding the submission of interim or final reports or the provision of other relevant information. Failure to respond to these conditions often means that Forth Valley College will suffer a significant financial penalty. It is the responsibility of the appropriate Director/Head of department to ensure that conditions of funding are met.

10.3 Forth Valley College Foundation

All applications to the Forth Valley College Foundation for grant funding, must firstly be approved by the Board of Management.

11 Other Income-Generating Activity

11.1 General

All other income-generating activities shall be self-financing or surplus-generating unless it is intended that a new activity is to be launched as a loss leader. The provision of a "loss leader" activity shall be brought to the attention of the Vice Principal of Finance & Corporate Affairs.

Provision must be made for charging both direct and indirect costs in accordance with Forth Valley College's costing and pricing model, in particular for the recovery of overheads.

11.2 Off site Collaborative Provision

Any contract or arrangement whereby Forth Valley College provides education to students away from College premises, or with the assistance of persons other than Forth Valley College's own staff or with independent contractors (partner organisations), must be approved by the Principal & Chief Executive.

Any contract greater than £1,000,000 shall be subject to approval by the Finance, [Resource & Infrastructure](#) Committee. The Committee shall be provided with a business case for the activity together with a risk assessment.

11.3 Other Major Commercial Activities

Any significantly new aspect of commercial business, or proposed establishment of a company or joint venture, which would require an investment in buildings, resources or staff time of more than £1,000,000 shall be subject to approval by the Finance, [Resource & Infrastructure](#) Committee.

The Committee shall be provided with a business case for the commercial activity together with a risk assessment.

11.4 Additional Payments to staff

Any proposal that involves additional payments to members of staff should be supported by a schedule of names and values and must be approved in writing by the appropriate Director/Head of Department and, the Director of Finance.

12 Patents and Intellectual Property Rights

12.1 General

Certain activities undertaken within Forth Valley College including consultancy may give rise to ideas, designs and inventions which may be patentable. These are collectively known as intellectual property.

Any activities likely to give rise to intellectual property should not be undertaken without the prior consent of the Principal & Chief Executive.

12.2 Patents

The Finance, [Resource & Infrastructure](#) Committee is responsible for establishing procedures to deal with any patents accruing to Forth Valley College from inventions and discoveries made by staff in the course of their work. Initial guidance should be sought from SFC should this situation arise.

12.3 Intellectual Property Rights

In the event of Forth Valley College deciding to become involved in the commercial exploitation of inventions and research, the matter should then proceed in accordance with sections 11 (Other Income-Generating Activity) and section 4.7 (Other Major Developments) depending on the scale and after discussion with the Principal & Chief Executive and Vice Principal of Finance & Corporate Affairs.

13 Expenditure and Procurement

13.1 General

The Vice Principal of Finance & Corporate Affairs, as well as all budget holders, are responsible for ensuring that no expenditure or contractual obligation is incurred unless it is within the legal powers of the College.

The Directors/Heads of departments are responsible for purchases within their own remit. Members of staff involved in procurement must comply with the College's Procurement Policy (available on the Finance SharePoint page) and related procedures to ensure that they do not act unlawfully. In all cases value for money must be obtained.

Budget managers must not commit the College to expenditure without first ensuring sufficient uncommitted budget resources are available.

It is the responsibility of the Vice Principal of Finance & Corporate Affairs to ensure that payments are made to suppliers of goods and services to Forth Valley College.

Section B summarises the levels of delegated authority within FVC for each areas of activity and expenditure.

Procurement of goods or services with non-competitive action requires prior consultation with SFC if the transaction is greater than £25,000 exclusive of VAT.

13.2 Scheme of Delegation/Financial Authorisation

The Director of Finance shall notify budget managers of the monetary limits within which they can authorise purchase orders and approve invoices. This is the Internal Scheme of Delegation (authorisation process by department) and can be found on the Finance SharePoint page.

A list of financial and other delegations to Board Committees and individual members of staff in accordance with the Scheme of Delegation will be regularly maintained by the Vice Principal of Finance & Corporate Affairs.

Under procedures agreed by the Vice Principal of Finance & Corporate Affairs and the Director of Finance, central control shall be exercised over the creation of requisitioners and authorisers and their respective financial limits (for electronic systems e.g. P2P).

~~Our procedures for the approval of orders and invoices are currently under review. The following expenditure levels are proposed and will require updating by our supplier on the purchasing system P2P. Any further changes to procedures will be communicated separately following completion of the review.~~

The Director of Finance must be notified immediately of any changes to the authorities to commit expenditure.

The Director of Finance shall maintain a register of authorised signatories and Directors/Heads of departments must supply specimen signatures of those authorised

to certify payments outwith P2P. These payments are for exceptional circumstances only or where it is not relevant to add a payee as a supplier.

Under no circumstances shall a budget manager authorise a purchase order and certify the resultant invoice. Senior budget managers shall ensure procedures are in place within their department to ensure a separation of duties.

All **capital budgets and expenditure** must be approved by SMT and any individual items greater than £250,000 must be authorised by the Finance, [Resource & Infrastructure](#) Committee.

The following table sets out procurement authorisation limits for **single items of revenue expenditure** (inclusive of VAT).

Expenditure level	Authority
Less than £20,000	Operations Managers, Heads of Corporate Service departments
£20,000 to £50,000	Head of IT, Head of Estates & Directors
£50,000 to £100,000	Director of Finance, Vice Principals
£100,000 to £250,000	Principal, Senior Management Team
£250,000 to £500,000	Finance, Resource & Infrastructure Committee unless incorporated within an approved project
Over £500,000	Board of Management
Non-competitive procurement over £25,000 (ex VAT)	Scottish Funding Council
Over £100,000 on consultancies	Board of Management plus Scottish Funding Council

The limits in the above table can be superseded with a specific scheme of delegation for an individual approved project with the prior approval of the Finance, [Resource & Infrastructure](#) Committee.

Expenditure through the college **Petty Cash** shall be authorised as follows:

Director/Head of Department	Up to £100
Director of Finance	Up to £250
Vice Principal Finance & Corporate Affairs	Up to £500

Purchase orders or Petty cash requests may not be split to lower value orders with a view to lowering the authorisation required.

13.3 SFC Financial Memorandum Delegated Limits

The following table sets out the delegated limits for categories of expenditure that require SFC approval or annual reportage. These delegated limits are contained within the SFC Financial Memorandum and are subject to periodic SFC update.

The Senior Management Team will monitor the items covered by the below table and report to the Finance, [Resource & Infrastructure](#) Committee any item requiring SFC approval and also provide annual reportage prior to the SFC reporting date.

Delegated Limits	
Operating leases - non property	£250,000
External business & management consultancies	£100,000
Procurement non-competitive action	£25,000
Special severance payments	£1,000
Reportable items	
Ex-gratia payments	£1,000
Claims waived or abandoned	£3,000
Write-off of bad debt	£3,000
Losses	£3,000
Fraud loss	£5,000
Extra contractual payments	£5,000
Compensation payments	£5,000
Overseas student irrecoverable loss limit	£6,000

13.4 Purchase of Goods and Services

The ordering of goods and services shall be in accordance with Forth Valley College's detailed financial procedures and procurement policies. The detailed procedures including the internal scheme of delegation and the authorisation process by department can be found on the Finance SharePoint page.

Forth Valley College requires all budget holders, irrespective of the source of funds, to obtain supplies, equipment and services at the lowest possible cost consistent with quality, delivery requirements and sustainability, and in accordance with sound business practice.

Official orders must be placed for the purchase of all goods or services, except those on the exceptions listing (in the financial procedures), those made using college credit cards or petty cash. In exceptional circumstances, urgent orders may be given orally, but must be supported by an official purchase order requisition endorsed 'confirmation order only' not later than the following working day.

It is the responsibility of the Vice Principal of Finance & Corporate Affairs to ensure that all purchase orders refer to Forth Valley College's Standard Terms and Conditions.

National and sector (APUC) frameworks should be used for all purchases where a framework exists - unless it can be proven that not using the framework is better value or agreement has been reached between the Budget Holder and the Director of Finance or the Vice Principal of Finance & Corporate Affairs.

13.5 Tenders and Quotations

Heads of Department/Service and other delegated budget holders must comply with Forth Valley College's Procurement Policy and Procedures.

Where goods and services are not being purchased via a National/APUC framework the following rules apply depending on the value. This value being based on 4 years spend for that commodity or the contract value whichever is the largest:

Value (including VAT)	Evidence
Up to £6,000	One written quote and submit with the purchase order requisition
£6,001 to £24,999	3 written quotes and submit with the purchase order requisition.
£25,000 to £49,999	Local tender exercise – advise the Supply Chain Manager.
£50,000 to current relevant GPA-EU threshold	National tender exercise – advise the Supply Chain Manager.
Current relevant GPA-EU threshold and over	EU tender exercise – advise the Supply Chain Manager.

In the event that three suppliers cannot be identified or there is a justifiable business case to contract directly with a single supplier without tendering/quotations, approval to proceed should be sought from the Supply Chain Manager.

13.6 Purchase agreements extending beyond the current financial year

All Hire Purchase, Lease and other financial on-going agreements must be approved and signed by the Principal or the Vice Principal of Finance & Corporate Affairs.

13.7 Information and Communications Technology Purchasing

Information and Communication Technology (ICT) purchasing will normally occur through the budgets allocated annually to the IT department. It is important that all ICT purchasing within the College is reviewed and approved by the Head of Information Technology. This is to ensure:

- That all products purchased are compatible with college networks
- Elimination of possible duplication within the College
- Value for money

13.8 Post-Tender Negotiations

Post-tender negotiations (i.e. after receipt of formal tenders but before signing of contracts) with a view to improving price, delivery or other tender terms must be conducted by the Supply Chain Manager and in accordance with procurement procedures.

13.9 Leasing

Authority to commit the College to operating and financial leases is restricted to the College Principal and Vice Principal of Finance & Corporate Affairs. Details of all operating or financial leases which the College is committed to must be notified to the Vice Principal of Finance & Corporate Affairs who will maintain a register of lease commitments.

Responsibility for the management of activity under individual leases will rest with the budget holder. The Vice Principal of Finance & Corporate Affairs will be responsible for monitoring overall lease activity within the College.

13.10 Major Building Contracts

Building contracts are the responsibility of the Board of Management with advice from the Vice Principal of Infrastructure & Communications, and where necessary external professional advisors.

Proposals will normally be initiated as a result of planned capital developments or in response from requests from departments. Consultants may be appointed if the project, as determined by the Board of Management, is too large or too specialised for department resources. Appointments shall be subject to tendering and other procedures where appropriate.

Proposals shall be presented in the form of costings or investment appraisals prepared in conjunction with the Vice Principal of Finance & Corporate Affairs, for consideration ultimately by the Board of Management. Proposals should comply with the appropriate funding body guidance.

Following consideration by the Senior Management Team, the Finance, [Resource & Infrastructure](#) Committee, and approval by the Board of Management, submissions should be forwarded to SFC where appropriate. If the required agreement is secured from SFC, the relevant procedural rules should be followed.

13.11 Receipt of Goods

All goods shall be received at designated receipt and distribution points. They shall be checked for quantity, quality and specification [by an appropriate member of staff. A delivery note shall be obtained from the supplier at the time of delivery and signed by the person receiving the goods. The delivery note must then be passed to the appropriate department immediately and the purchasing system updated to record the receipt. A confirmation shall be provided to the initiator of the order, allowing approval of the invoice for payment.](#)

13.12 Payment of Invoices

The Vice Principal of Finance & Corporate Affairs is responsible for deciding the most appropriate method of payment for categories of invoice. Payments to UK suppliers will normally be made by BACS transfer.

In **exceptional** circumstances, for urgent payments, the Finance department will prepare manual cheques or make a one-off faster payment from the College's bank account. These invoices should not exceed £2,000 nor be in relation to a repeat supplier which must be set up on P2P. Approval for payments in excess of this limit must be sought from the Director of Finance.

Suppliers should be instructed by the budget holder to submit invoices, quoting a valid purchase order number, for goods or services directly to the Finance department. Invoices received directly by other areas must be passed to the Finance department immediately.

Payments will only be made by the Finance department against invoices that have been certified for payment in line with approved payment procedures.

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

- Expenditure is incurred within the legal powers of the College

- The goods have been received, examined and approved with regard to quality and quantity, or that services rendered or work done is satisfactory
- Where appropriate, it is matched to the order
- Invoice details (quantity, price discount) are correct
- The invoice is arithmetically correct
- The invoice has not previously been passed for payment

When a budget holder approves an invoice on P2P for payment, or when an administrator confirms an invoice on P2P with a previously approved matching PO, this is their confirmation that the service has been provided or the goods received. *It is the responsibility of the staff member to ensure this is the case before confirming on P2P.*

13.13 Staff Reimbursement

Staff may incur expenses in relation to Forth Valley College business for which they are entitled to reimbursement. These expenses normally relate to travel and subsistence.

Where such expenses by staff are planned, the Director of Finance may approve a cash advance to staff. Upon completion of the travel or project to which the advance relates, any unspent balance must be repaid within one month and under no circumstances will a second advance be approved until the first balance has been settled.

13.14 College Credit Cards

Where appropriate, the Vice Principal of Finance & Corporate Affairs may approve the issuing of college credit cards to staff. Such credit cards shall be used for the payment of valid business expenses only, and the misuse of such cards shall be grounds for disciplinary action. Cards must not be loaned to another person, and it is the responsibility of the card holder to ensure procurement rules are followed.

In unusual circumstances the limit on an individual card can be temporarily increased by the card scheme administrator (Finance Manager), within the global limits [for the College](#) set by RBS. Credit card statements must be signed by the credit [card](#) user to verify expenditure transactions.

13.15 Petty Cash

The Director of Finance shall maintain the central petty cash floats to be held by the Finance Team.

Items totalling less than £500 may be paid from petty cash. Receipts or vouchers must support all petty cash expenditure, and requests must be approved in line with section 13.2 above.

The Vice Principal of Finance & Corporate Affairs shall make available to areas such imprints as he or she considers necessary for the disbursements of petty cash

expenses. However, it is important for security purposes that petty cash imprest floats are kept to a minimum.

The member of staff granted a float is personally responsible for its safe-keeping. The petty cash box must be kept locked in a secure place in compliance with the requirements of Forth Valley College's insurers when not in use and will be subject to periodic checks by the Heads of Department/Service, or the Finance Manager.

13.16 Late Payment Rules

The Late Payment of Debts (Interest) Act 1998 was introduced to give small businesses the right to charge interest on late payments from large organisations and public authorities. Key points are:

- Small businesses can charge interest on overdue invoices
- Interest is chargeable on sales
- The Act also applies to overseas organisations
- Forth Valley College can be sued for non-payment

In view of the penalties in this Act, the budget managers shall ensure prompt certification of invoices and the Vice Principal of Finance & Corporate Affairs shall ensure the resultant payment is processed promptly.

14 Payroll Control

14.1 Remuneration Policy

Salaries and other benefits for the Principal, the Senior Management Team and all Directors within LMT will be determined by the Remuneration Committee set up by the Board of Management. The Committee shall take cognisance of public sector pay policy and job evaluation outcomes to ensure equal treatment.

The Principal shall have delegated authority to negotiate with College employees changes to conditions not covered by National Bargaining. All other staff will be appointed to the salary scales approved by the Principal and in accordance with appropriate conditions of service, and National Bargaining arrangements.

The Remuneration Policy can be found on the College Documentation SharePoint page.

14.2 Appointment of Staff

All contracts of service shall be concluded in accordance with Forth Valley College's approved HR practices and procedures and all offers of employment with Forth Valley College shall be made in writing on the authority of the Head of Human Resources.

Budget holders shall ensure that the HR department is provided promptly with all information they may require in connection with the appointment, resignation or dismissal of employees.

14.3 Re-grading of Employees

The Vice Principal Finance & Corporate Affairs shall have delegated authority to approve the re-grading of employees, with the exception of the leadership (LMT) & senior (SMT) management teams. If a re-grading would result in a member of staff moving on to LMT or SMT terms and conditions, then the Remuneration Committee shall approve the re-grading.

A re-grading shall normally be determined through a job evaluation exercise carried out by the Head of HR in conjunction with the appropriate senior manager. Senior managers shall not knowingly allocate additional responsibilities to a member of staff that are inappropriate to his/her grading.

14.4 Restructuring Exercises

The Remuneration Committee shall will have delegated authority to consider and, if satisfied, approve any proposal to change the senior management structure.

The Principal shall have delegated authority to restructure below the level of the senior management team. The Principal shall not approve a restructuring exercise if the financial consequences cannot be contained within the approved College budget. If this situation

arises, then the matter shall be referred to the Finance, [Resource & Infrastructure](#) Committee for consideration.

14.5 Salaries and Wages

The Vice Principal of Finance & Corporate Affairs is responsible for all payments of salaries and wages to all staff including payments for overtime or services rendered. All timesheets and other pay documents, including those relating to fees payable to external examiners or visiting lecturers will be in a form prescribed by the Head of Human Resources.

The Head of Human Resources will be responsible for keeping the [Payroll & Pension Lead](#) ~~Vice Principal of Finance & Corporate Affairs~~ informed of all matters relating to staff for payroll purposes. In particular these include:

- Appointments, resignations, dismissals, secondments and transfers
- Absences from duty for sickness or other reason, apart from approved paid leave
- Changes in remuneration including salary increments and pay awards
- Information necessary to maintain records for pension, income tax and NIC

The Vice Principal of Finance & Corporate Affairs is responsible for payments to non-employees (e.g. agency staff).

All payments must be made in accordance with Forth Valley College's detailed payroll financial procedures and comply with HM Revenue and Customs regulations.

14.6 Payroll Advances

The ~~Finance Manager~~ [Head of HR](#) can approve payment of salary in advance when there is a legitimate reason for the request, usually as a consequence of an administrative oversight. Reasons could include, for example, where the staff member was underpaid in the previous month due to a change in their employment contract or additional hours being missed. Any advance made will be accounted for to HMRC in the following payroll month in line with legislation.

14.7 Pension Schemes

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

The Vice Principal of Finance & Corporate Affairs is responsible for:

- Paying contributions to various authorised pension schemes
- Preparing the annual returns to various pension schemes

The Head of Human Resources is responsible for administering eligibility to pension arrangements and for informing the Payroll & Pensions ~~Coordinator~~ [Lead](#) when deductions should begin or cease for staff.

14.8 Travel, Subsistence and other Allowances

Staff may incur expenses in relation to Forth Valley College business for which they are entitled to reimbursement. All claims for payment of subsistence allowances, travelling and incidental expenses shall be completed in a form approved by the Vice Principal of Finance & Corporate Affairs and in line with the college's Travel and Expenses Policy, which can be found on the Finance SharePoint page.

Claims shall be authorised as follows:

Expenses of:	Authorised by:
Chair of Board of Management	Board Secretary
Board members	Board Secretary
Principal	Board Secretary
Vice Principals	Principal
Leadership Management Team	Vice Principals
All other members of staff	Appropriate Senior Manager

The certification shall be taken to mean that:

- The journeys were authorised
- The expenses were properly and necessarily incurred
- Appropriate receipted documentation is included with the claim
- The correct budget is being charged
- The allowances are properly payable by Forth Valley College
- Consideration has been given to value for money in choosing the mode of transport.

The [Finance-HR](#) department will spot check expense claims, but it is the responsibility of the line manager approving the claim to ensure that all of the above is in order.

14.9 Cash Advances

The Director of Finance and the relevant Manager may jointly approve cash advances for business activity carried out away from Forth Valley College where cash expenditure may be unavoidable. Other forms of payment will be expected to be used wherever possible, such as an official purchase order and subsequent payment or a Forth Valley College credit/purchasing card.

Receipts or paid invoices will be retained for all sums expended in this way. Upon completion of the business activity to which the advance relates and within one month a final account must be prepared to demonstrate how the advance was disbursed and any unspent balance repaid. Under no circumstances will a second advance be approved when the final accounting for an earlier advance to a project or individual is outstanding.

14.10 Overseas Travel

The following table sets out the authorisation levels for overseas travel.

Overseas Travel	Authorised by:
Chair of Board of Management	Chair of Audit Committee or Finance, Resource & Infrastructure Committee
Board members	Board Secretary
Principal	Board Secretary
Vice Principals	Principal
Leadership Management Team	Vice Principals
All other members of staff	Leadership Management Team

Where spouses, partners or other persons unconnected with Forth Valley College intend to participate in a trip, this must be clearly identified in the approval request. Forth Valley College must receive reimbursement for the expected costs it may be asked to cover for those persons in advance of confirming travel bookings.

14.11 Severance Payments

The Vice Principal of Finance & Corporate Affairs shall be responsible for developing the College's Redeployment and Redundancy Policy which can be found on the HR SharePoint page. This policy will be subject to the approval of the [Finance, Resource & Infrastructure](#) Committee. The Remuneration Committee shall determine the severance arrangements for the Leadership Management Team.

The College's proposed scheme should be set by reference to the arrangements in place within the Scottish Government and set out in the Civil Service Compensation Scheme. If the College's proposed scheme is an enhancement to the core Scottish Government scheme, then the proposal must be cleared in advance by the Scottish Funding Council.

The Head of HR and Director of Finance shall work jointly on verifying the cost of severance packages particularly those that impact on the College's pension provision. All such payments shall be authorised by the Principal.

If an approved severance scheme is not in place and it is proposed to make a special severance payment, then payments up to £1,000 must be approved by a member of the Senior Management Team. Proposed payments in excess of £1,000 must be cleared by the Scottish Funding Council.

14.12 Private Consultancies and Other Paid Work

The Head of HR shall be responsible for developing procedures for regulating members of staff taking up other paid employment including private consultancies whilst in the employment of the College. The Vice Principal Finance & Corporate Affairs shall consider and approve, in advance, all requests for secondary paid employment.

14.13 Other Compensation Payments

A **compensation payment** is one made in respect to, for example; unfair dismissal, personal injuries or damage to property. Any proposed compensation payments must be discussed with the Board Secretary and, thereafter, authorised by a member of the Senior Management Team. Any proposed compensation payments in excess of £5,000 must be cleared by the Scottish Funding Council.

An **ex-gratia payment** is a payment made where there is no legal obligation to make such a payment. These payments are sometimes used to settle a complaint or claim against the College on a no fault basis. Any proposal to make an ex-gratia payment must be approved by the Vice Principal Finance & Corporate Affairs. A proposed payment in excess of £1,000 must be cleared by the Scottish Funding Council.

A payment is regarded as an **extra-contractual payment** where although not legally due under the original contract there exists the possibility that a court might uphold a claim for payment. Any proposed extra-contractual payment must be approved by the Vice Principal Finance & Corporate Affairs. Any proposed extra-contractual payment in excess of £5,000 must be cleared by the Scottish Funding Council.

Waiver or abandonment of a claim occurs if it is decided not to pursue a financial or legal claim on behalf of the College. A decision on whether or not to pursue or abandon a claim must be discussed with the Vice Principal Finance & Corporate Affairs and be authorised by a member of the Senior Management Team. Any proposed waiver or abandonment of a claim in excess of £3,000 must be cleared by the Scottish Funding Council.

The Audit Committee must be provided with a regular report covering compensation payments, ex-gratia payments, extra-contractual payments made by the College as well as the waiver or abandonment of claims.

Special severance payments, ex-gratia payments, compensation payments and extra contractual payments should be reported to SFC on an annual basis (31 March). This report should include the number of special severance, ex-gratia payments, compensation payments and extra contractual payments which have been made and the attendant cost for each category. The SFC has delegated to colleges a £1,000 special severance payment limit.

15 Assets

15.1 Land, Buildings, Fixed Plant and Machinery

The purchase, lease or rent of land, buildings or fixed plant can only be undertaken with authority from the Board of Management, and with reference to SFC requirements where government-funded assets or government funds are involved.

15.2 Fixed Asset Register

The Vice Principal of Finance & Corporate Affairs is responsible for maintaining Forth Valley College's register of land, buildings, fixed plant and ~~machinery~~ [inventories](#).

Heads of Departments are responsible for maintaining a record of assets within their area of responsibility.

15.3 Stocks and Stores

Heads of departments are responsible for establishing adequate arrangements for the custody and control of stocks and stores within their areas.

Heads of departments are responsible for ensuring that regular inspections and stock checks are carried out. Stocks and stores of a hazardous nature should be subject to appropriate health & safety and security checks.

Those Heads of departments whose stocks require valuation in the balance sheet must ensure that the stock-taking procedures in place have the approval of the Vice Principal of Finance & Corporate Affairs.

15.4 Safeguarding Assets

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

Heads of departments are responsible for the care, custody and security of the buildings, stock, stores, furniture, cash, etc. under their control. They shall consult the Vice Principal of Infrastructure & Communications in any case where security is thought to be defective or where it is considered that special security arrangements may be needed.

Assets owned by Forth Valley College shall, so far as is practical, be effectively marked to identify them as College property. Assets owned or leased by Forth Valley College shall not be subject to personal use without proper authorisation.

15.5 Asset Disposal

Disposal of land and buildings must only take place with the authorisation of the Board of Management. SFC consent may also be required in advance of any planned sale, if government funds were involved in the acquisition of the asset.

The general criteria for the disposal of government-funded assets are as follows:

- Where the asset is to be sold and the proceeds of the sale are likely to be at or above the £500,000 threshold, prior Scottish Funding Council approval of the sale is required
- Where the asset is to be sold and the proceeds of the sale are likely to be less than the £500,000 threshold (whichever is the lower figure), the College has delegated authority to process the sale.

The required level of authorisation for the disposal of asset are noted in the following table:

Anticipated Proceeds of the Sale or Value of the Asset	Authority
In excess of £500,000	Board of Management plus Scottish Funding Council
£100,000 to £500,000	Finance, Resource & Infrastructure Committee
£10,000 to £100,000	Principal, Vice Principal of Finance & Corporate Affairs
Less than £10,000	Manager from LMT plus Director of Finance

15.6 Lease/Rent of College Assets

The general criteria for the leasing of an asset is as follows:

- Where the asset is to be leased for a period of 5 years duration or more, prior Scottish Funding Council approval is required; and
- Where the asset is to be leased for a period of less than 5 years duration, the College has delegated authority to process the lease.

The required level of authorisation for the lease/rental of assets is noted in the following table:

Anticipated Lease or Rental Period	Authority
5 years duration or more	Board of Management plus Scottish Funding Council
Annual lease charge > £250,000	Board of Management plus Scottish Funding Council
2 to 5 years duration and < £250,000 annual lease charge	Principal, Senior Management Team
2 to 5 years duration and < £50,000 annual lease charge	Vice Principal Finance & Corporate Affairs

16 Donations and Trust Funds

16.1 Gifts, Benefactions and Donations

The Vice Principal of Finance & Corporate Affairs is responsible for maintaining financial records in respect of gifts, benefactions and donations made to Forth Valley College and initiating claims for recovery of tax where appropriate.

16.2 Student Support Funds

The Vice Principal of Finance & Corporate Affairs will prescribe the format for recording the use of student support funds. Records of student support funds will be maintained according to SFC and SAAS requirements.

16.3 Trust Funds and Charitable Foundations

The Vice Principal of Finance & Corporate Affairs is responsible for maintaining a record of the requirements for any trust fund and for advising the Finance, [Resource & Infrastructure](#) Committee on the control of the expenditure of such funds donated to the College.

The Finance, [Resource & Infrastructure](#) Committee is responsible for ensuring that trust funds within the control of Forth Valley College are operated within any relevant legislation and the specific requirements for each trust.

All proposed grant requests to the Forth Valley College Foundation must be approved by the Board of Management.

Any proposed grant request to any other external trust fund or charitable foundation must be approved in line with the limits for [Grant Applications per Section 10 above](#). [Major Commercial Activities \(section 11 above\)](#).

Donations to the Forth Valley College Foundation must be approved by the Board of Management. Donations by the College to other trust funds or charitable foundations must be approved by the Finance, [Resource & Infrastructure](#) Committee.

17 Other

17.1 Insurance

The Scottish Ministers' policy is one of self-insurance. However, in their memorandum, SFC agreed a derogation whereby the College's commercial insurance arrangements can be extended for three years to 31 July 2024. [SFC is currently reviewing the request by the sector to extend this derogation date.](#)

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The Vice Principal of Finance & Corporate Affairs is responsible for Forth Valley College's insurance arrangements, in accordance with the SFC policy guidance, including the provision of advice on the types of cover available.

Commercial insurance must, however, be taken out where there is a legal requirement to do so:

- Motor vehicle insurance.
- Where buildings insurance is a condition of a lease.
- Where private sector contractors and developers take out a joint site insurance policy because it is cheaper than each individual party insuring themselves separately and the client's own risks can be covered for little or no extra cost.
- Where the purchase of insurance is integral to a project and where the cost would make no difference to the choice of contractor.
- Corporate travel insurance for staff travelling abroad on official business where the cost of emergency cover could be justified in terms of the availability of local support should an incident occur and the duty of care that employers have towards their employees.
- Insurance in relation to commercial income generation schemes where the cost of such insurance would be met entirely out of the income generated by those schemes.
- Insurance in respect of boilers and lifts where the cost of the premium covers periodic expert inspection designed to reduce the risk of loss or damage
- Insurance in respect of loaned assets where the lender is not prepared to accept an indemnity or letter of comfort.

The Vice Principal of Finance & Corporate Affairs is responsible for effecting insurance cover as determined by the Finance, [Resource & Infrastructure](#) Committee, including obtaining quotes, negotiating claims and maintaining the necessary records.

Heads of departments must give prompt notification to the Vice Principal of Finance & Corporate Affairs of any potential new risks and additional property and equipment that may require insurance and of any alterations affecting existing risks.

Heads of department must advise the Vice Principal of Finance & Corporate Affairs immediately of any event that may give rise to an insurance claim. The Vice Principal of Finance & Corporate Affairs will ensure that Forth Valley College's insurers are notified and, if appropriate, a claim prepared for submission to the insurers.

The Vice Principal of Infrastructure & Communications is responsible for ensuring suitable records of plant are kept which can be inspected by an insurance company and for ensuring that any inspection is carried out in the periods prescribed.

17.2 Companies and Joint Ventures

In certain circumstances it may be advantageous to Forth Valley College to establish a company or a joint venture to undertake services on behalf of Forth Valley College.

Under the Further and Higher Education (Scotland) Act 1992, a college needs the prior approval of the Scottish Funding Council before a company or a joint venture can be established. The Board of Management is responsible for ensuring that the required procedures are followed.

Having due regard to guidance issued by SFC and the Scottish Government, it is the responsibility of the Board of Management to establish the shareholding arrangements and appoint directors of companies wholly or partly owned by Forth Valley College. These and other arrangements will be set out in appropriate legal documentation.

The directors of companies where Forth Valley College is the majority shareholder must submit, via the Finance, [Resource & Infrastructure](#) Committee, an annual report to the Board of Management. They will also submit business plans or budgets as requested to enable the [Ce](#)committee to assess the risk to Forth Valley College. The College will ensure that appropriate external auditors are appointed to such companies.

Where Forth Valley College is the majority shareholder in a company, SFC requires that the company's financial year must be consistent with that of Forth Valley College. In addition, the Vice Principal Finance & Corporate Services shall determine financial procedures to ensure, for example, the company is properly charged for direct costs and a reasonable share of overheads.

17.3 Security

Keys to safes or other similar containers must be kept secure or carried on the person of those responsible at all times. The loss of such keys must be reported to the Director of Finance immediately.

The Vice Principal of Infrastructure and Communications shall be responsible for maintaining proper security and privacy of information held on Forth Valley College's computer network. Appropriate levels of security will be provided, such as passwords for networked PCs together with restricted physical access for network servers. Information relating to individuals held on computer will be subject to the provisions of the Data Protection Act 1998. A Data Controller shall be nominated to ensure compliance with the Act and the safety of documents.

The Principal & Chief Executive is responsible for the safekeeping of official and legal documents relating to Forth Valley College. Signed copies of deeds, leases, agreements and contracts must, therefore, be forwarded to the Corporate Governance and Planning Officer. All such documents shall be held in an appropriately secure, fireproof location and electronic versions stored in the Cloud.

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17.4 **Forth Valley Students' Association**

The [Forth Valley](#) Students' Association ([FVSA](#)) is a constituent part of Forth Valley College and, as such, is responsible to the Board of Management. Subject to any constraints imposed by SFC, the Board of Management shall determine the level of grant to be paid annually to the Students' Association and approve their budget for the year, via the Finance [Resource & Infrastructure](#) Committee.

The Finance department is responsible for maintaining the [FVSA Students' Association](#) bank account and financial records, on their behalf. In accordance with an agreement between Forth Valley College and the [Students' Association FVSA](#), the Association will provide quarterly statements of income and expenditure to the Vice Principal of Finance & Corporate Affairs on a prompt basis to enable them to ensure that financial disciplines are maintained.

At year end the [Forth Valley](#) Students' Association accounts will be presented to the Finance [Resource & Infrastructure](#) Committee for information.

In accordance with an agreement between Forth Valley College and the [FVSA Students' Association](#), Forth Valley College's internal auditor shall have access to records, assets and personnel within the [Students' Association](#) in the same way as other areas of Forth Valley College.

17.5 **Granting of Indemnities**

The College is required to seek the Scottish Funding Council's written consent if it intends to lend or give a guarantee, indemnity or letter of comfort.

SFC's written consent is not required for such arrangements if the indemnity is of a standard type contained in contracts and agreements for 'day-to-day' procurement of goods and services in the normal course of business.

Any member of staff asked to give an indemnity, for whatever purpose, should consult the Vice Principal of Finance & Corporate Affairs before any such indemnity is given.

B Summary of Authorisation Levels

Delegated Authority - Financial Limits		Revenue Expenditure Commitment	Capital Expenditure Commitment	Bad Debt write off	Severance	Leases	Commercial Pricing	Grant applications	Major projects/new activity
SFC	Non Competitive Procurement	>£25,000							
	External Business & Management consultancies	>£100,000							
	Bad Debts			>£3,000					
	Bad Debt - Overseas tuition fees			>£6,000					
	Severance (outwith VS Scheme)				>£1,000				
	Operating Leases - non property					>5 Years			
	Subsidiary companies					>£250,000			All
Board of Management		>£500,000				>5 Years			
Board Committee Finance, Resource & Infrastructure Com		£500,000	>£250,000	>£100,000		>£250,000	>£1m	>£1m	
SMT/Principal		£250,000	£250,000	£100,000		£250,000	£1m	£1m	All
VP	Finance & Corporate Affairs	£100,000		£50,000	£50,000	£50,000	£500,000	£500,000	
	Business & Innovation	£100,000					£250,000	£250,000	
	Infrastructure & Communications	£100,000						£250,000	
	Learning & Student Experience	£100,000						£250,000	
Director	Curriculum	£50,000						£25,000	
	Operations	£50,000						£25,000	
	Finance	£100,000		£3,000				£25,000	
Operations Manager		£20,000							
Head of Service	Estates	£50,000						£25,000	
	HR	£20,000		£1,000*	£1,000			£25,000	
	Learning & Quality	£20,000						£25,000	
	IT	£50,000						£25,000	
	Inclusion & Student Services	£20,000							
	Business Transformation	£20,000							
	Student Administration	£20,000							
	Marketing	£20,000							
	Finance	£20,000							
	Apprenticeship, Skills & Commercial	£20,000					£50,000		
Managers	Inclusion & Student Services	£10,000							
	Apprenticeship, Skills & Commercial	£10,000							
	Pricing Manager						£10,000		

* for salary overpayments

C The Seven Principles of Public Life

From the report of the Committee for Standards in Public Life (the Nolan Report)

1 Selflessness

Holders of public office should take decisions solely in terms of the public interest.

2 Integrity

Holders of public office should not place themselves under any financial or other obligation to outside individuals or organisations that may influence them in the performance of their official duties. They should not act or take decisions in order to gain financial or other material benefits for themselves, their families or their friends.

3 Objectivity

Holders of public office must act and take decisions impartially, fairly and on merit, using the best evidence and without discrimination or bias.

4 Accountability

Holders of public office are accountable for their decisions and actions to the public and must submit themselves to whatever scrutiny is appropriate to ensure this.

5 Openness

Holders of public office should act and take decisions in an open and transparent manner. Information should not be withheld from the public unless there are clear and lawful reasons for so doing.

6 Honesty

Holders of public office should be truthful.

7 Leadership

Holders of public office should exhibit these principles in their own behaviour. They should actively promote and robustly support the principles and be willing to challenge poor behaviour wherever it occurs.



10. People Strategy Dashboard For Discussion

26 March 2024

FINANCE, RESOURCE & INFRASTRUCTURE COMMITTEE

1. Purpose

The Dashboard outlines the progress towards the People Strategy outcomes

2. Recommendation

That members note the progress and comment

3. Background

The People Strategy has four key objectives

- Establishing a holistic approach to health and wellbeing
- Supporting our people to be all they can be
- Celebrating the contribution of all, as one team
- Empowering and nurturing a progressive leadership culture

The dashboard is a means to monitor progress towards these objectives.

4. Key Considerations

The strategy is progressing as predicted with key factors of influence on its impact being uncertainty over college funding with resulting impact on morale, job security and development options.

Selected Highlights

- New lead and revamp of Listening to Employees
- Disability Passport Reasonable Adjustments Guidance being introduced
- FVC Lecturing Staff with formal Teaching Qualification 83.33% (sector 78.60% SFC:2022)
- Work Task Analysis undertaken for academic roles with action plan created
- Team Day continues to be a success
- 9 staff undertaking TQFE, 10 staff taking PDA, and 12 staff taking L&D 9/11
- Professional Relationships at Work Policy proposed
- Probation Procedure proposed
- Launch of new Equalities group

Challenges

- Strike action and pay unresolved impacting on morale and employee relations
- Loss of Flexible Workforce Development Fund on CPD opportunities
- Implementation of new integrated HRIS going to plan but major work still ahead



10. People Strategy Dashboard For Discussion

26 March 2024

FINANCE, RESOURCE & INFRASTRUCTURE COMMITTEE

Point of interest

A review was undertaken of staff employed in 2019 and still employed at close 2023. Of those staff, 50% of non-lecturing staff were in a higher graded post. This is indicative of a progressive employer where opportunities arise and are being sourced from our internal resources. This in turn demonstrates succession planning and staff development through multiple mediums.

5. Resource Implications (Financial, People, Estates and Communications)

This dashboard outlines activities that have taken place and does not in itself incur any costs

6. Equalities

Assessment in Place? – No this is a report on activities which in themselves may be assessed

7. Communities and Partners N/A

8. Risk and Impact

	Likelihood	Impact
Very High (5)		
High (4)		
Medium (3)		
Low (2)	x	x
Very Low (1)		

Total Risk Score 4

The College has a Strategic Risk appetite for categories of risk as defined by the Board of Management. Decisions being taken at LMT/SMT/Board level must have cognisance of this. Please indicate the single most relevant risk category in the table below.

BoM Risk Categories & Risk Appetite (Select one area only)				
Cautious <15		Open 15> <20		Eager >20
Governance		Strategy		People x
Legal		Financial		Project/Programme
Property		Reputational		
		Technology		

Is the score above the Board Risk Appetite level? No

Risk Owner – LMT

Action Owner – Ralph Burns

Paper Author – Ralph Burns

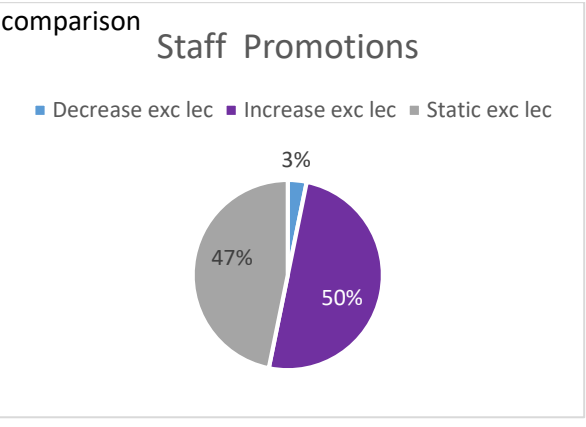
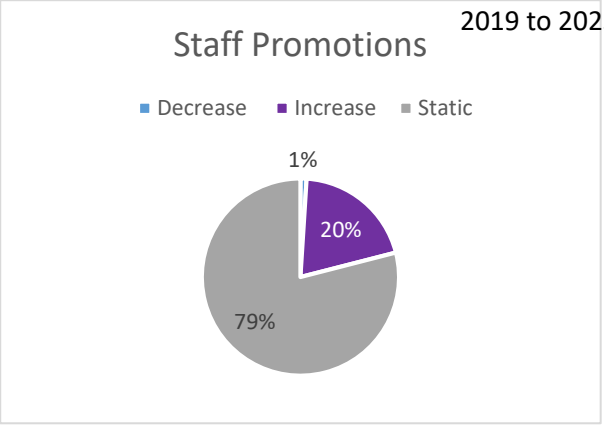
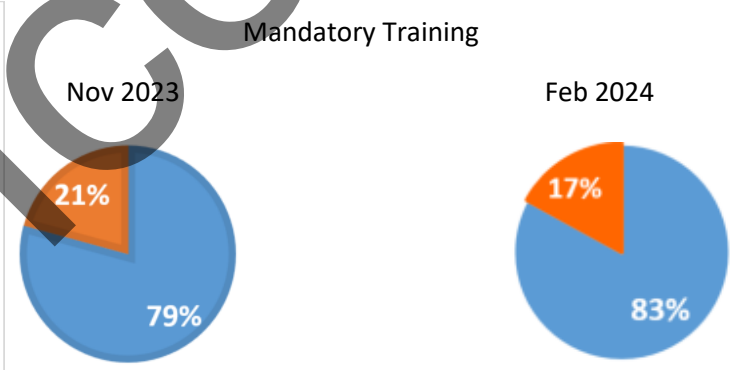
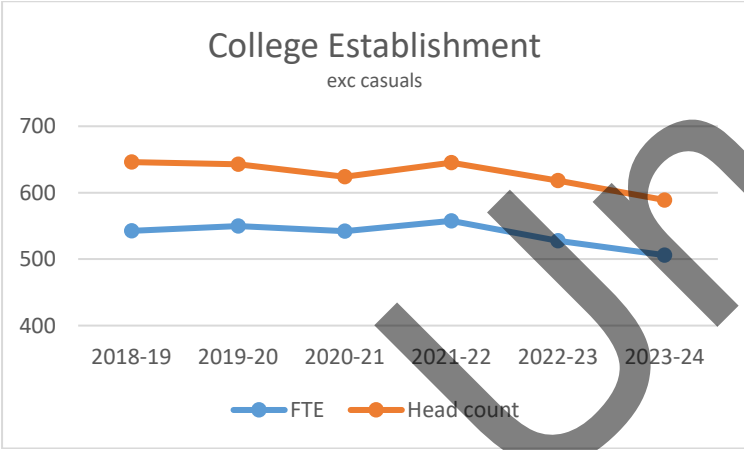
SMT Owner – Alison Stewart

Objectives against Target	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Comments
<ul style="list-style-type: none">Establishing a holistic approach to health and wellbeingSupporting our people to be all they can be	<div></div>	<div></div>	<div></div>	<div></div>	Delivery on track, SharePoint page with comprehensive offerings, published Work Task Analysis and relaunch Wellbeing Project 2023
<ul style="list-style-type: none">Celebrating the contribution of all, as one teamEmpowering and nurturing a progressive leadership culture	<div></div>	<div></div>	<div></div>	<div></div>	Induction plan with Probation progressing, Learning Needs Analysis matched to budget
	<div></div>	<div></div>	<div></div>	<div></div>	Team Development Day, Launch of new Equalities group, new lead and revamp of Listening to Employees
	<div></div>	<div></div>	<div></div>	<div></div>	Leadership development 7 staff on Strategic or Emerging Leadership programmes, Also staff participating in CMI, Education in Leadership, Leading and Managing Change & HNC in Business

Timeline of Critical Activity (Aug to Jan)							Comments
	Aug	Sep	Oct	Nov	Dec	Jan	
<ul style="list-style-type: none">HRIS implementationImplementation of Health and Wellbeing planBudget ManagementInduction and ProbationHybrid Working	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	Delays on reporting outputs, complications with expenses and some features to be enabled
	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	Challenges to budget ongoing but budget still on target
	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	Probation proposal progressing
	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	Policy agreed by LMT, consulted with unions and approved by Board Committee. Will be reviewed to determine if working for all

Highlights	
<ul style="list-style-type: none">Implementation of new integrated HRIS going to planTeam Development Day Nov 2023Work Task Analysis findings published, Action Plan in progressLiving Wage introduced ahead of pay award	<ul style="list-style-type: none">9 staff undertaking TQFE, 10 staff taking PDA, and 12 staff taking L&D 9/11Disability Passport being introducedLinkedIn Learning continues offering CPD to <u>all</u> staffFVC Lecturing Staff with formal Teaching Qualification 83.33% (sector 78.60% SFC:2022)

Top Risks, Issues and Dependencies	
<ul style="list-style-type: none">BudgetLoss of Analyst resourceLoss of Flexible Workforce Development Fund on CPD opportunities	<ul style="list-style-type: none">Strike action and pay unresolved impacting on morale and employee relationsOutput from Work Task Analysis needs actioned and momentum continued with new programmes



Recognising Success

Establishing a holistic approach to health & wellbeing

How we will recognise success:

- Demonstrate our commitment to healthy working lives through our activities and through relevant accreditation
- Application and success in wellbeing awards
- Favourable feedback gathered through the surveys and maintenance of the high standards resulting in low reportable health and safety incidents
- Attendance at work comparable positively with sector
- Evidence of consultation and support on key areas of change
- Continually review working patterns to support work-life balance and business need
- Invest in innovative mental health and wellbeing support for staff throughout the College

Evidence

Seeking next level in Carers Positive accreditation- Achieved Carers Established level 2023

Maintained Disability Confident Employer status

College awarded ‘Established’ level by Carer Positive Scotland

Initial findings produced in which to benchmark progress. HR undertaking short life working groups with staff to gather information and gain input

Wellbeing project run in 2023 to provide comparison figures with previous figures. No move in results during emotionally difficult period.

Starting point positive with colleges returning figures with FVC firmly in the mid range in 2021/22. In 2022/23 absence reduced with long term absence returning to pre-Covid figures

LNCC, Listening to Employees, input on new induction process and on survey findings. New L2E’s terms of reference to include greater input into change. Creation of Equalities group with staff representatives 2023/24

Launch of new Hybrid Working Survey to influence decision making. Hybrid Working Policy introduced for 2023-24

Staff working patterns being added to new HR/Payroll System to allow improved monitoring – 2024

Comprehensive offerings and information on SharePoint Clear training programme developed and published.

Utilisation of FWDF 2022/23

Work Task Analysis undertaken for academic roles

Funding from ALF in 2022 and 2023

Celebrating the contribution of all, as one team

How we will recognise success:

- The College will use equality and diversity reporting and statistical evidence to identify and indicate the extent to which the organisation attracts and employs staff reflecting the diversity of the local community
- Evidence of management and staff partnership working
- Evidence from equality impact assessments to action and align to inclusive practices
- Evidence of the staff experience from survey results and activities relating to decision making, communication, equality and team work

Evidence

EQIA’s undertaken on key policies and change, Training given to unions and managers. Creation of an equalities focused group with staff members (2023-24). New HR system able to monitor new categories including carers and forces volunteers

Listening to Employees, LNCC, Induction SLWG. Cultural Survey SLWG, Work Task Analysis on Lecturing, Curriculum Manager and Department Administrator role, staff lead working groups (supported by managers) to look at service provision and enhancement

Training for managers and unions put in place. Updated form to meet most recent best practice. Adjustments made during consultation process in to restructure to adapt to new information

EQIA’s uploaded to Internet for transparency 2023-24

Update of Bullying and Harassment Policy to reflect stronger protection for sexual harassment and introduction of a Professional Relationships Policy to protect staff and students

Staff team building day positive feedback, Listening to employees continues 2022, and refreshed Terms of reference for 2024, Cultural Survey. Launch of Hybrid Working Staff Survey resulting in continuation of Hybrid Working and new policy. Work Task Analysis for individual roles and Wellbeing survey (Update) 2023-24. Creation of Equalities group with staff representatives 2023/24

Supporting our staff to be all they can be

How we will recognise success:

- The indicators for success are having staff with the required skills, performing highly in appropriate roles to realise the College’s vision and aims – quantified through a monitoring and evaluation of the personal review and development process (PRD) and activities which are undertaken, together with engagement in reflective practice and objective setting
- Measurement and evaluation of CPD activity
- Quantify and analyse data and feedback from staff survey and staff groups on flexible work options
- Annual training needs analysis for all staff throughout the College linked to PRD
- Analysis of establishment and equalities data actioning change
- Recognising and celebrating our success through multiple mediums

Evidence

Revalidation through GTCs of our PRD process. Access to LinkedIn Learning promoted as well as utilisation of FWDF for key development needs. Supporting soft skills and change, including courses on managing time, coping with change, working with a new boss.

Induction process review 2024 to proceed with probation to measure success and ensure best practice.

Data shows that of all staff employed in 2023 who were also employed in 2019, 20% are in promoted posts. This rises to 50% when excluding lecturers

TNAs set, On budget, FWDF utilised

Use of Apt (public social partnership) for free training delivery linked to inclusiveness

13 staff achieved TQFE 2022-23

9 Staff supported TQFE 2023-24

83% of lecturing staff with TQ, 4% undertaking 6 % under two years service and on route via support given by L&Q 2023/24

Improvements in Mandatory Moodle figures in Nov 2023 showing 79% compliance

Survey results being analysed and working staff groups set up, Hybrid Working policy introduced on findings Trial period until end 2024.

On target in 2023, TNA compiled for 2023-24 and utilising Linked In Learning and balanced against individual needs

Independent Equal Pay Audit undertaken, management training on EQIA completion and requirements. EQIAs undertaking for key policies, influencing decisions.

E-focus articles appearing weekly, utilising media and SharePoint, Forces Covenant Silver Award, Finalist for Stirling Award 2022 and Doolan Award, Microsoft Showcase School recognition, Chartered Institute of Public Relations Nominee

Winner of ECI training provider of the year 2023 Winner Green Apple award 2023: EAUC Alliance for Sustainability Leadership in Education in partnership with West Lothian and Border Colleges - Nov 23

Empowering and nurturing a progressive leadership culture

How we will recognise success:

- New managers undertaking a bespoke induction process
- The availability and utilisation of management and leadership programmes
- Mentoring and coaching programmes developed for all managers
- Change management training embedded and linked to significant changes or challenges
- CDN Awards 2023 winner for Professional Services Colleague of the Year Award; Highly commended for our Sustainability Action; Commended for our Digital Learning
- Finalist in the Green Gowns Award 2023 – Sustainability: Creating Impact category

Evidence

In planning stage, staff involvement with positive feedback on new proposals. Initial update given to LMT and agreement to progress

Ceannas, Executive, Developing and Strategic management levels through CDN provided to staff, CMI, Graduate Apprenticeships offered.

Utilising bespoke coaching, and Leadership coaching, CDN provision of cost effective coaching programme for all. Collaboration with Fife College trialled and being reviewed.

Training programmes using flexible workforce development fund in progress, change management, transformational management, managing teams courses run during 2022 and 2023

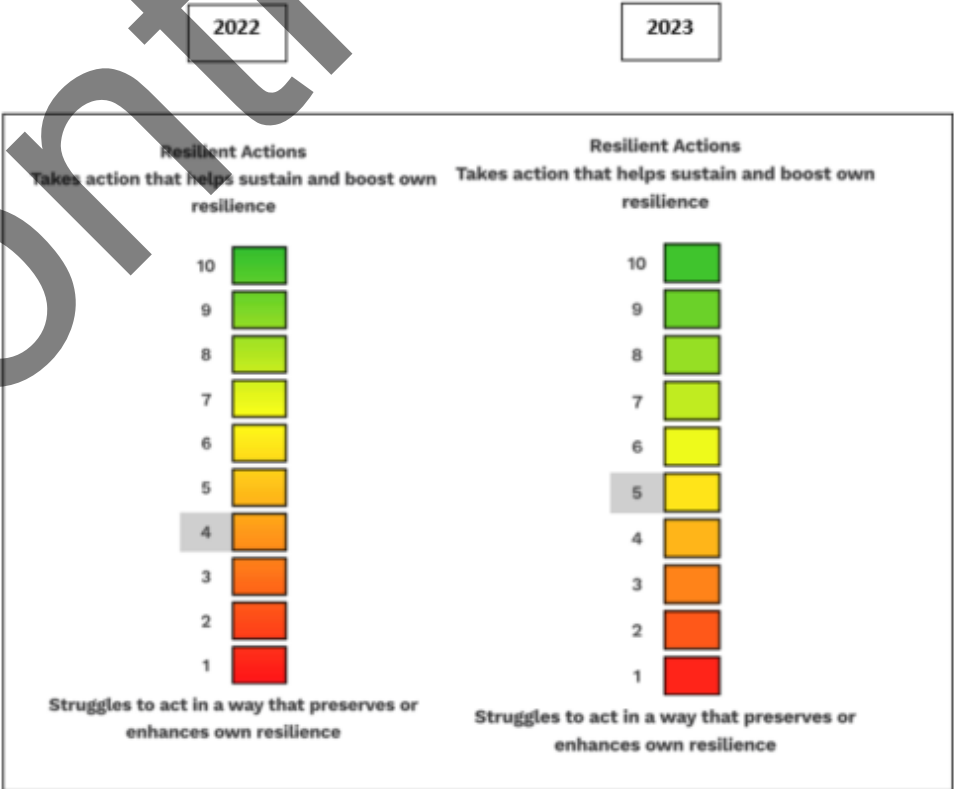
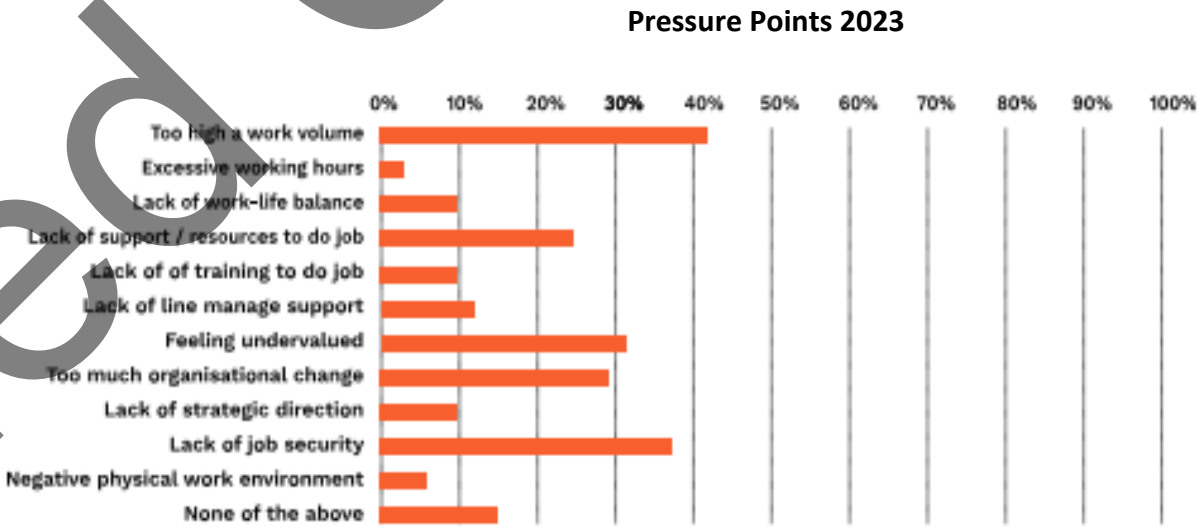
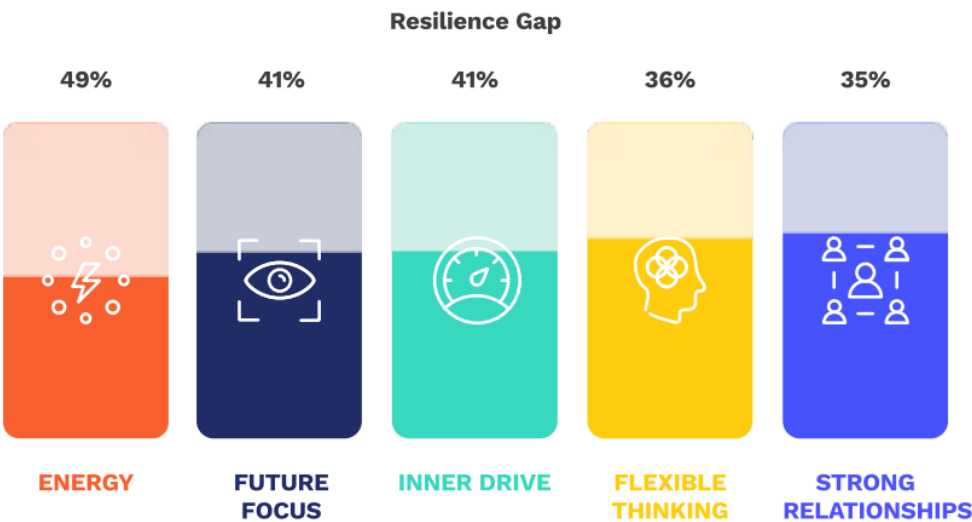
Objectives against Target	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Comments
<ul style="list-style-type: none">Establishing a holistic approach to health and wellbeing (in line with the People Strategy) through:<ul style="list-style-type: none">Creating and maintaining a range of initiativesProviding accessible support optionsDeveloping a working environment that is flexible, adaptable and appropriateCelebrating and nurturing the individual and team contributionsProviding skills to manage and the support to adapt to change	<div></div>	<div></div>	<div></div>		<p>Following the success of the strategic Health & Wellbeing Outcomes Framework for 22/23, the updated framework for 23/24 has been created and implemented which is being continually updated as more resources become available. The Health & Wellbeing Outcomes Framework is intended to be a strategic and preventative framework and has been prepared in line with an overall commitment to developing the College's approach to the provision of education and awareness learning for the workplace around health and wellbeing.</p> <p>The Health & Wellbeing Framework evidences the support available to staff to aid them to become involved in creating a culture of openness around health and wellbeing.</p>

Timeline of Critical Activity (Aug to Feb)	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Comments
<ul style="list-style-type: none">Health & Wellbeing webinar/support sessions scheduled/booked in until July 2024 with continual promotion. Health and Wellbeing Calendar Awareness Day/Month promoted via SharePoint page and efocus.Pro-active approach to Men's Health including researching Andropause support and writing proposed guidance for possible implementation.The Wellbeing Project ran again for a second year as planned. The Health & Wellbeing Outcomes Framework updated with support introduced which is supported by evidence of the results.	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<ul style="list-style-type: none">Direct promotion of health and wellbeing at Staff Development days.Introducing Andropause guidance subject to approval from LMT. Visits from Andy's Man Club.Action plan and most recent results have still to be published to all staff.

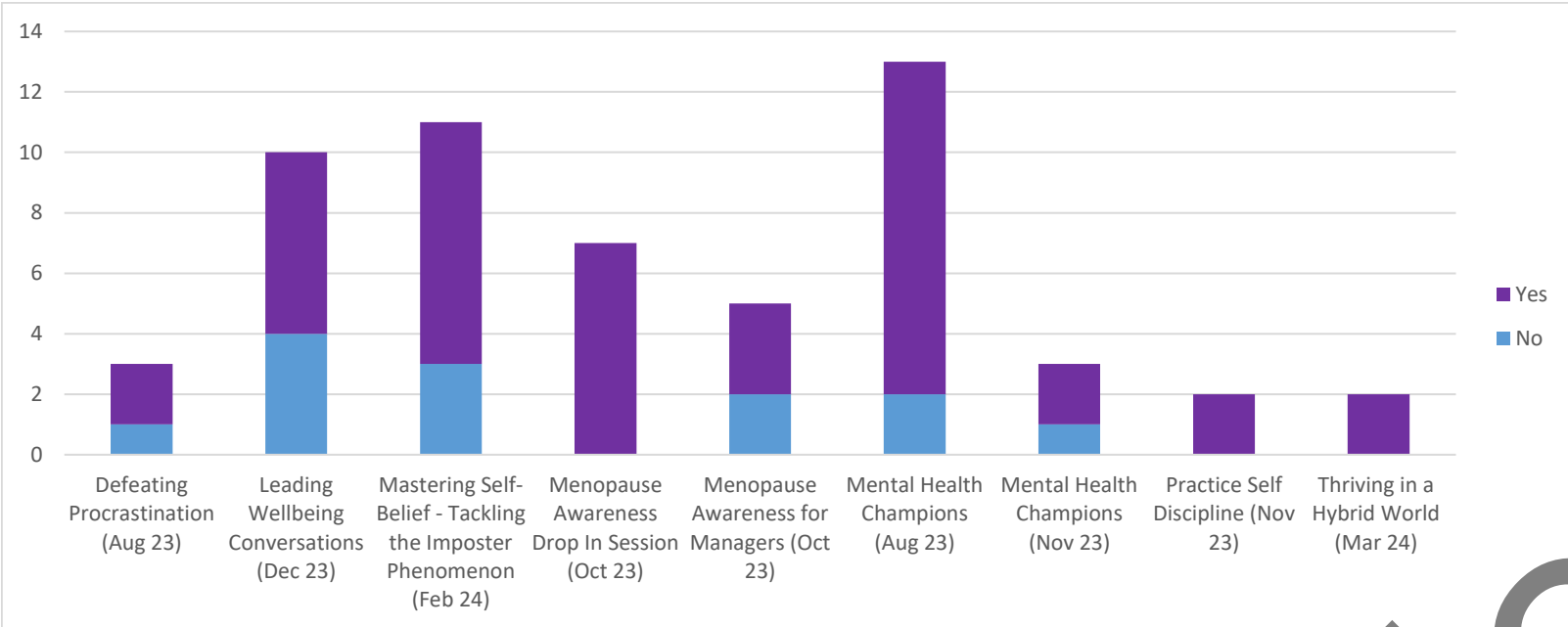
Highlights	
<ul style="list-style-type: none">Additional funding received through Flexible Workforce Development Fund to re-run essential health and wellbeing sessions were in place until December 2023. Courses such as Scottish Mental health first aid provided required knowledge for student facing staff and corporate services.Andropause guidance has been submitted to LMT for approval. Continuing with the pro-active approach to ensure that as many avenues of support are covered as possible.Work Task Analysis Action plan – following the successful work task analysis, the action plan has now been submitted to the unions and LMT. Some areas have already been actioned.The Wellbeing Project – all line managers were invited to attend sessions on how to lead wellbeing conversations in December 2023 following the success of the previous courses. Discussions now underway to create a more bespoke workshop to compliment the addition of the reasonable adjustment disability passport.The Wellbeing Project – plans in place to rerun The Wellbeing Project Questionnaire. This will launch in September 2024. These results will determine the Teams to focus on for future Work Task Analysis and also provide a benchmark as to where health and wellbeing support is required.We gained Established Level for Carer Positive in June 2023. We will now aim for achieving the Exemplary Level which demonstrates our range of support for our workforce who have caring responsibilities throughout 2024.	<ul style="list-style-type: none">Feedback continues to be excellent from webinars/sessions runMorale Boosters offered throughout the year is proving more popular each time whilst increasing promotion and awareness opportunities. At Christmas, we were able to do a triple draw.Renewed "SuperChamps" for our Mental Health Ambassadors which is a learning portal to access and build knowledge/skills. We have extended resources out to other groups of people e.g. Student Services. Onboarding sessions have also been run to ensure staff with access get the most from the resource.Introduction of a new SharePoint page providing support and guidance on Men's Health.Visit from Andys Man club, with dedicated time set aside to support STEM and Construction based on evidence on where to target support.Mental Health first aid booked in December 2023 to run in March 2024, to ensure we have as many staff as possible equipped with the correct skills and knowledge to support those who may need it.Targeted training being proposed for departments to help them deal with workload through the Working Smarter Foundation.Working with PAM Wellbeing to promote more "In the moment support" access to a counsellor immediately.

Top Risks, Issues and Dependencies

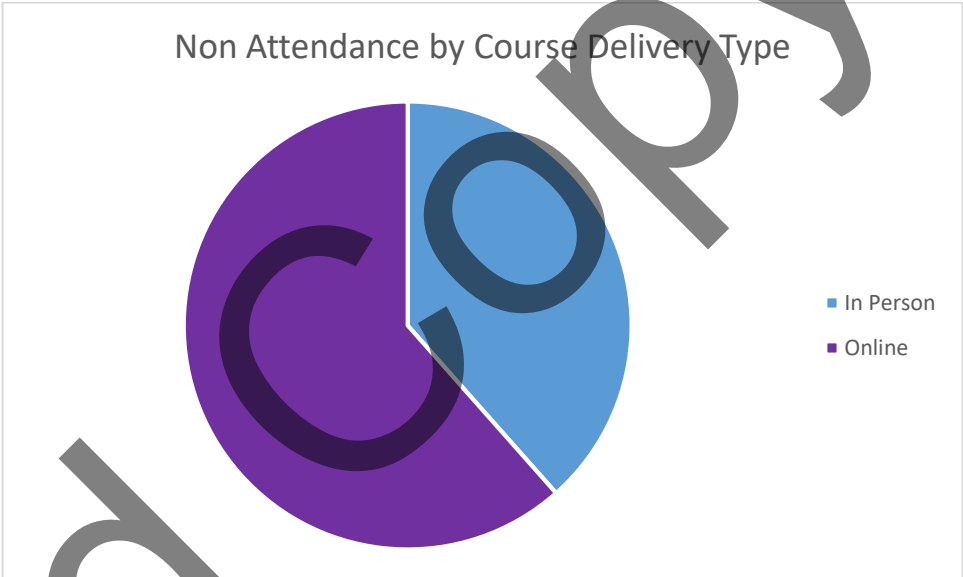
- Budget
 - Staffing resource
 - Staff not taking advantage of health and wellbeing initiatives and last minute dropout rates.
 - Males not engaging with initiatives as much as females
- Wellbeing survey highlights workload, closely followed by lack of job security as key concerns and this won't be a quick fix.
 - Work Task Analysis findings highlighted that simplifying work processes, communication, pastoral care and impact of student behaviours needed further investigation.



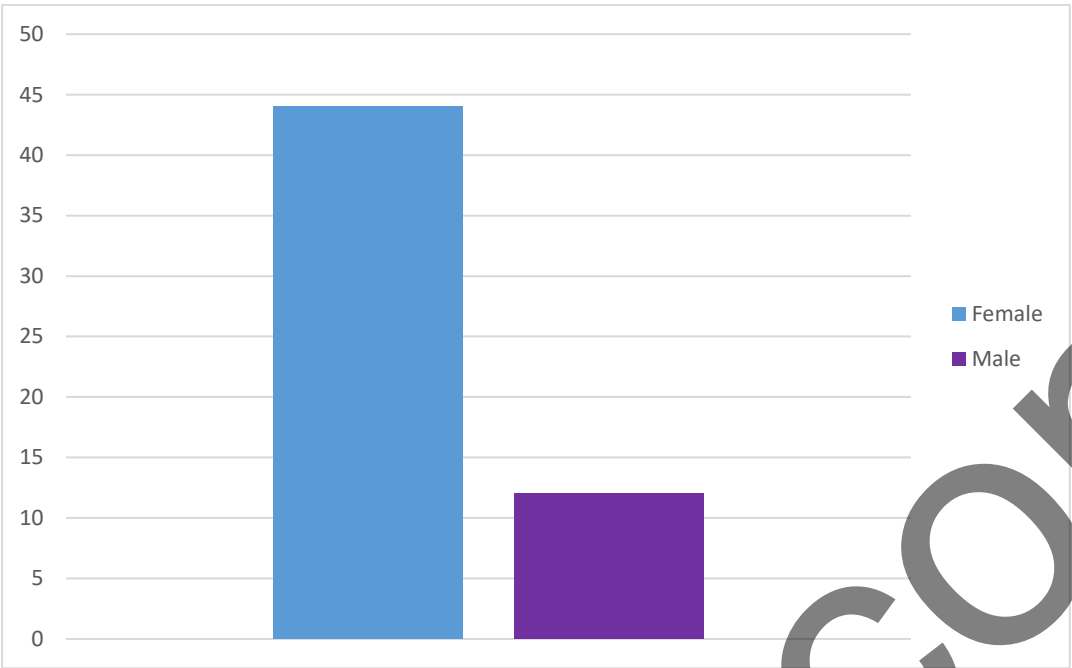
Attendance vs Non Attendance



Non Attendance by Course Delivery Type



Count of Gender



Reasons for Non Attendance

