

Stirling Campus, S1.20 10am (refreshments available from 9.30am)

AGENDA

| | | Type | Lead |
|---|---|------------|-------------|
| 1 | Apologies and Declarations of interest | Discussion | Ross Martin |
| 2 | Minutes and Matters Arising of Meeting of 24 October 2019 | Approval | Ross Martin |

Elements of these minutes are exempt from disclosure under the Freedom of Information (Scotland) Act 2002 sections 30 (b)(i), 30(b)ii), 33(1)(b), 35(1)(a) and section 38(1)(b)

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| 3 | Minutes of Committee Meetings | | |
| | Falkirk Campus Project Board – 29 October 2019 | Noting | Ken Richardson |
| | Finance Committee – 19 November 2019 | Noting | Liam McCabe |
| | Audit Committee – 19 November 2019 | Noting | Lorna Dougall |
| | Falkirk Campus Project Board – 26 November 2019 | Noting | Ken Richardson |

Elements of the above Audit minute are exempt from disclosure under the Freedom of Information (Scotland) Act 2002 section 35(1)(a) and section 38(1)(b)

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| 4 | Principal's Report | Discussion | Ken Thomson |
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Elements of paper 4 are 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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| 5 | Chairs Update (Verbal) | Discussion | Ross Martin |
| 6 | Student Association Report | Discussion | Andrew Smirthwaite |

STRATEGIC PLAN IMPLEMENTATION

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|---|----------------------------------|--------------|-----------------|
| 7 | Fundraising Development Strategy | Presentation | Pauline Barnaby |
| 8 | Futures Programme | Approval | Andrew Lawson |

Paper 8 is withheld from publication on the Forth Valley College website under Section 33 Commercial Interests and the Economy and Section 30 (b) Free and Frank Provision of Advice or Exchange of Views of the Freedom of Information (Scotland) Act 2002.

GOVERNANCE

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| 9 | Annual Report and Financial Statements 2018/19 | Approval | Alison Stewart |
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Elements of paper 9 are withheld from publication on the Forth Valley College website under Section 27 Information Intended for Future Publication of the Freedom of Information (Scotland) Act 2002.

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| 10 | External Auditor Annual Report and Letter of Representation | Approval | Alison Stewart |
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Paper 10 is withheld from publication on the Forth Valley College website under Section 27 Information Intended for Future Publication of the Freedom of Information (Scotland) Act 2002.

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| 11 | Audit Committee Chair's Report to the Board of Management | Approval | Lorna Dougall |
| 12 | Board Member Recruitment | Approval | Alison Stewart |

(Elements of Paper 12 are withheld from publication on the Forth Valley College website under Section 38 Personal Information of the Freedom of Information (Scotland) Act 2002.)

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| 13 | Board Self Evaluation | Presentation | Alison Stewart |
| 14 | Board Development Plan (To Follow) | Approval | Alison Stewart |
| 15 | Risk Register | Discussion | Ken Thomson |

16 Review of Risk Discussion All

17 Any other competent business Discussion All

FOR NOTING

Construction Modern Apprentice Update Noting All

1pm Christmas Lunch

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Alloa Campus, (Commencing at 4.30pm)

Present: Ross Martin (Chair)
Dr Ken Thomson
Trudi Craggs (Vice Chair)
Colin Alexander
Fiona Campbell
Andrew Carver
Lorna Dougall
Pamela Duncan
Davie Flynn (Vice Chair)
Lindsay Graham (exited for elements of B/19/012)
Jennifer Hogarth
Liam McCabe
Ken Richardson
Steven Tolson

Apologies: Beth Hamilton
Andrew Smirthwaite

In Attendance: Andrew Lawson, Depute Principal and Chief Operating Officer (DPCOO)
David Allison, Vice Principal Information Systems and Communications (VPISC)
Kenny MacInnes, Vice Principal Learning and Student Experience (VPLSE)
Alison Stewart, Vice Principal Finance and Corporate Affairs (VPFACA)
Stephen Jarvie, Corporate Governance and Planning Officer and Deputy Board Secretary (CGPO)
John Laird, Education Scotland (for item B/19/010 only)

B/19/010 Education Scotland

John Laird, Education Scotland, provided members with an overview of the HMI engagement function and board engagement in the process.

He informed members that the role of HMI was to provide assurance to Scottish Government and other key public bodies, such as UK Visas and Immigration, in relation to the College.

He noted that this year was between submission dates for the College's Evaluative Report and Enhancement Plans (EREP's) and the next visit on 27 and 28 February 2020 would be used to look at progress against the actions identified in the current EREP.

He reported that the visits would be conducted by another HMI than himself, assisted by some associate assessors but confirmed that this would not be the full scale visits HMI used to conduct.

He noted that, while the College was one of the better rated Colleges in Scotland and was the source of a number of examples of best practice, the HMI function can still

B/19/013 Minutes of Committee Meetings

Audit Committee – 5 September 2019

Lorna Dougall, Committee Chair, informed members that the College had appointed a new internal audit firm MHA Henderson Loggie and that the September meeting was their first meeting.

She noted that the College continued to maintain progress against audit recommendations with very few recommendations not being completed within their agreed completion dates.

Draft Finance Committee – 17 September 2019

Liam McCabe, Committee Chair, noted that the Financial Forecast Return (FFR) had been the subject of considerable discussion at the Committee. He highlighted that this was due to be discussed at this meeting of the Board and confirmed that the amendments requested by Committee members had been made.

The Board noted that the FFR presents a considerable challenge, but was reassured that appropriate financial planning and control mechanisms were now in place in order to develop a robust approach to closing the projected funding gap, an outline of which was provided by the Principal and the VPFACA.

The Board endorsed the general approach being taken, noting that it represents considerable change for the management of the college, and that detailed staff engagement and participation was getting underway, in order to address the financial challenges from the perspective of our efforts to continuously improve the quality of provision.

Falkirk Campus Project Board – 24 September 2019

Colin Alexander, who had chaired the 24 September meeting, informed members of the recent tour of the new campus and that the key perception was regarding the large and impressive scale of the building.

Ken Richardson, Committee Chair, gave a presentation of some of the latest images of the campus. He informed members that, as the project was now projected to pass the original completion date, the College had formally written to Balfour Beatty to note this. He reported that the anticipated completion date had moved from 15 November to 16 December but that the impact of this would be managed through the development of a preferential access plan which means that the College will still be able to access completed sections of the build from 15 November to commence the fit out of the campus.

He informed members that Balfour Beatty were committing significant additional resource to the completion of the project in response to the College being clear that teaching will commence on 8 January 2020.

The Principal informed members that he had also written to the Managing Director for Balfour Beatty Scotland and Northern Ireland to get an assurance that appropriate resource would be committed to achieving this date, without compromising the quality of the build. He informed members he had received a response which confirmed that Balfour Beatty is fully aware of the date and demand for continuing quality control, and was working to achieve this.

The Chair of the Falkirk Campus Project Board indicated that the situation was being closely monitored, e.g. with monthly meetings, and thanked the FCPB members for their commitment and contribution to the project.

Learning & Student Experience Committee – 10 October 2019

Davie Flynn, Committee Chair, noted that the substantive item of the meeting was on the agenda for the full Board to discuss. He informed members that this had been his first meeting as Chair of the Committee and that he felt it had been a positive meeting.

B/19/014

Principal's Report

The Principal provided members with an update on his activities since the last meeting of the Board.

He highlighted the successful recent graduations in Falkirk and Stirling, noting his thanks for the efforts of the Communications and Marketing team and the staff volunteers who assisted in the events. He also noted the success of the two keynote speakers and how well their talks went over with graduating students and their families.

He reported that the Deputy First Minister had chosen the College as the venue to highlight the school exam results this year and also informed members that the First Minister had agreed to formally open the new Falkirk campus.

He reported on a recent successful funding application to SFC, noting that SFC had been so impressed with the submission that they had requested that the scope of the activity be increased.

He highlighted the opportunities the new Falkirk campus construction has opened in relation to network building and highlighted a number of recent tours with key and future stakeholders.

Members noted the content of the report

B/19/015 Chair's Report (Verbal)

The Chair updated members on recent activity.

He outlined recent work he had been conducting across Forth Valley on the development of the regional economy, and the central role which the college plays in that, and highlighted further opportunities for the College arising from this activity.

He updated members on recent discussion with the College's Employers Association and the progress being made with developing a whole sector position.

He informed members that, to support this, he would be suggesting to Scottish Government that there should be an event held where all College Boards can come together to discuss the direction of the sector, recognising the exceptional collection of talent which could be gathered and focused at such an event.

He highlighted the need for broader sectoral reform in order to maximise the impact of regionalisation, and derive maximum benefit for the sector from what has largely proven to be an exemplar for public service reform.

The Board agreed that there remains work to be done on the regional reform agenda in order that the sector can indeed secure maximum benefit – both in terms of effectiveness and efficiency.

It was agreed that the Chair should continue his work at the sectoral level, in discussion with both the SFC and SG, to ensure that FVC played its role in helping to shape its operating context, within the legislative, fiscal and regulatory frameworks in which we operate.

a) Members noted the content of the update

B/19/016 Student Association Report

The Forth Valley Student Association Vice President (FVSAVP) provided members with an update on the activities of the association.

He informed members that elections had recently been held for positions within the FVSA Executive team and that an Executive Office and LGBTQ Officer had been successfully appointed.

He highlighted the very successful fresher's fayre's which had been held across all three campuses and which had garnered a significant level of student attendance.

He informed members of an increase this year in the number of student led clubs and societies.

Members queried the extent to which the FVSA gets involved in supporting students, noting that student retention was a factor being discussed later in the meeting.

The FVSAVP confirmed to members that the FVSA does support students where requested and provided some recent examples of this work

Members suggested that it would be useful if the future update reports were to also include some information on student support or welfare.

The Principal agreed that this would be a valuable addition to the report and that he would look to see how the College could support this in conjunction with the VPLSE.

a) Members noted the content of the report

STRATEGIC PLAN IMPLEMENTATION

B/19/017 SFC Annual Report on Performance for 2018-2019

The VPLSE presented a report outlining the progress of the College against the targets in the College EREP and Outcome Agreement.

He informed members that the document had been prepared based on the interim guidance from SFC and that, now that final guidance had been recently released, it would be checked against this.

He highlighted a number of key areas, both positive and areas where there has been a reduction in performance.

He outlined the intervention strategy to counter areas of reducing performance, noting that gathering the best information at the correct times in the academic calendar is key to supporting this and that this is currently under review.

In relation to the dip in attainment levels across all categories he confirmed he and the VPISC would be meeting with each department to understand the issues involved as well as working with FVSA to engage further with students.

He noted that, while official figures had yet to be released, indications were that there was a dip across the whole College sector.

Members noted that further information should be provided to the Learning and Student Experience Committee when it is ready but, given its importance, should also be brought back to the full Board of Management for discussion.

Davie Flynn confirmed that the Learning and Student Experience Committee would review this information when it was ready.

Members noted that, while the number of care experienced students had increased, levels of attainment for recognised qualifications had fallen. The VPLSE confirmed that this was the case and would be one of the areas under review to understand the reasons behind this as there could also be external factors in play.

Members noted that additional context around the figures in the report would be useful.

a) Members noted the content of the report

B/19/018 Financial Forecast Return 2018/19 – 2023/24

The following section of the minute is exempt from disclosure under the Freedom of Information (Scotland) Act 2002 section 30(b)(i) and (ii) and section 33(1)(b)

The VPFAA presented the FFR for member's approval.

She noted that a high level summary had been presented at the previous meeting of the Board and, as agreed, had subsequently gone to the Finance Committee for detailed review before coming back for final approval.

She highlighted that the commentary was a key part of the document as the College will have to implement significant savings to achieve the position required by SFC and to ensure the longer term financial viability of the College.

She directed members to section 7 of the commentary which outlined the key risks to the College both from the ongoing funding position and also the implementation of the proposed savings.

She informed members that Finance Committee had requested a concise conclusion section be added to the commentary and confirmed that this had happened.

The Chair of the Finance Committee commented that the figures and underlying assumptions appeared to be robust.

He highlighted that this document represented a snapshot in time and that this was an ongoing process which would need further information to be brought to both Finance Committee and the Board of Management.

Members noted concerns that, while recognising the financial position of the College, this may stop the College being entrepreneurial and that the College should continue to be ambitious and make a positive difference to students and other stakeholders.

Members noted that the savings identified may result in redundancies and queried how this would comply with the Scottish Governments position on no compulsory redundancies.

It was acknowledged that, while the College needed to have cognisance of Scottish Government guidance, the legal responsibilities of the members to maintain the College's financial sustainability under Charities Legislation takes precedence.

- a) Members approved the FFR for submission to SFC

B/19/019 Forth Valley College Purpose and Value Statements

The Principal presented a paper outlining proposed College purpose and value statements for discussion which had been developed following discussion at the recent Board sessions.

He noted that, following the Board meeting, the statements would be tested with College staff.

Members noted that, in values, it should be excellent rather than excellence to match the other values.

- a) Members noted the content of the paper

B/19/020 Futures Programme (Presentation)

The following section of the minute is exempt from disclosure under the Freedom of Information (Scotland) Act 2002 section 30(b)(i) and (ii) and section 33(1)(b)

[Redacted content]

OPERATIONAL OVERSIGHT

B/19/021 Operational Plan Monitoring 2018/19

The VPISC presented a report on the College's achievement against the operational plan targets for 2018/19. He reported that, with the exception of a few minor delays, the remaining targets had been achieved.

- a) Members noted the content of the report

GOVERNANCE

B/19/022 Appointment of Vice Chairs & Senior Independent Member

The VPFACA reported that, at the previous Board meeting, the Chair had asked for nominees for 2 Vice Chair posts and the Senior Independent Member post. She reported that a member had expressed an interest in each of these posts and was seeking formal approval for the appointments.

- a) Members approved the appointments as outlined in the paper

B/19/023 Board Self Evaluation Feedback (Presentation)

This item was deferred to the December 2019 meeting.

B/19/024 Board Development Plan (Presentation)

This item was deferred to the December 2019 meeting.

B/19/025 Board of Management Committee Structure

The VPFACA presented a report outlining a revised committee structure resulting from both recent resignations and feedback from members at their one to one meetings with the Chair.

She reported that each Committee had also recently reviewed their remits and that there were a couple of minor changes. The changes had been outlined in the respective committee remits considered earlier in the meeting.

Members queried when the College would be advertising to fill the Board of Management vacancies. The VPFACA confirmed that this would occur in the next few weeks.

- a) Members approved the updated Committee structure as outlined in the paper
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B/19/026 **Review of Risk**

Risks were identified in the relevant papers

B/19/027 **Any other competent business**

None

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Falkirk Campus (4pm)

Present: Ken Richardson Forth Valley College Board Member (Chair)
 Colin Alexander Forth Valley College Board Member
 Ken Thomson Principal
 David Allison Vice Principal Information Systems and Communications (VPISC)
 Alison Stewart Vice Principal Finance and Corporate Affairs (VPFCA)
 David Logue Falkirk Campus Project Director (FCPD)

Apologies: Ross Martin Chair, Board of Management
 Steven Tolson Forth Valley College Board Member
 Andrew Lawson Depute Principal and Chief Operating Officer
 Claire Shiels Operations Director for Falkirk Campus (ODFC)
 Paul Dodd Scottish Futures Trust
 Martin Kirkwood Scottish Funding Council
 Alison Meldrum Scottish Funding Council

In attendance: Daniel Lockwood AECOM
 Lyndsay Condie Head of Communications and Marketing (HCM)
 Stephen Jarvie Corporate Governance and Planning Officer (CGPO)

FC/19/015 Apologies for Absence

The apologies were noted.

Members noted that Martin Kirkwood was now on secondment from Scottish Funding Council (SFC) and asked the CGPO to contact Alison Meldrum at SFC to see if she wanted to suggest an alternative staff member.

FC/19/016 Declarations of Interest

None.

FC/19/017 Minutes of Meeting of 24 September 2019

The Minutes of the meeting of 24 September 2019 were approved.

FC/19/018 Matters Arising

a) FC/19/011 New Falkirk Campus - Moves Contractor Procurement Award

The Chair reported to members that the amendment to the paper had been made as requested.

FC/19/019 New Falkirk Campus- NFC-012 Catering Equipment Procurement Award

The FCPD presented a paper seeking approval for the award of the Catering Equipment award, noting that this was for small items such as pots, pans and crockery and had been procured via the APUC framework.

The Principal noted that this procurement and the following agenda item had been considered and approved by SMT.

Members noted that the paper should be amended to reflect the lower technical score for the recommended supplier was still compliant with the tender.

- a) Members approved the awarding of the contract

FC/19/020 New Falkirk Campus- NFC-011 Sports and Fitness Equipment Procurement Award

The FCPD presented a paper seeking approval for the award of the Sport and Fitness Equipment award, noting that this was for items of gym equipment and had also been procured via the APUC framework.

He noted that the preferred supplier had come in top in terms of quality but was also lowest in price.

- a) Members approved the awarding of the contract

FC/19/021 New Falkirk Campus - Transition Update

The FCPD provided members with an update on preparations for the transition from the existing campus to the new campus.

He confirmed that the moves contractor had been appointed and a meeting would occur the following day to progress the detail of the move plan.

He noted that, following the preceding procurement approvals, there only remained three procurements to conclude and outlined the areas covered by these.

He provided an overview of the budget, noting that thanks to the work of the team and the College moves champions, this continued to be under budget.

He outlined some sponsored procurement activity and informed members that the companies providing this equipment would be invited for a tour of the new campus to thank them for their donations.

In relation to specialist projects, he confirmed the CompEx workshop components had commenced fabrication off site and the Westfield plant project was underway.

Members queried whether these specialist projects had College leads and the FCPD confirmed this was the case.

The FCPD provided members with an overview of communications developments, with building user guides (BUG's) being developed for staff and students.

He discussed the need to provide security for the sites over the Christmas period and confirmed that the College had included their insurers in these discussions.

Members asked for an overview of the security built into the new campus. The FCPD confirmed that there was significant CCTV coverage, only two entrances and that elements of the landscaping would also assist with security.

The Principal noted that the hoardings surrounding the site should also be left up over the holiday period to assist with security.

The FCPD reported on the development of the disposal strategy for the material not being taken to the new campus.

He also informed members that Scottish Futures Trust had expressed an interest in how the College is using the BIM system for not only the construction phase but also the plans for its use once the campus is operational. He noted that the BIM model was also being used by the College's FM provider to plan the maintenance for the new build.

The Principal reported that there was considerable interest amongst students in relation to the new build, with requests for timetables to be issued prior to the holiday period. He confirmed this would be looked at and also noted that maps of the new campus would be available to students.

a) Members noted the content of the report

FC/19/022 Project Managers Report

Daniel Lockwood, AECOM, presented the latest iteration of the project manager's report and dashboard.

He confirmed that the College had formally written to notify Balfour Beatty (BB) that the project had now moved past the contractual completion date.

He informed members that, since the last meeting, BB had notified the College of a further 4 weeks slippage to the programme that they do not feel will be recovered, with a revised completion date of 16 December 2019.

He highlighted that BB have allocated significant additional resource, with weekend and evening work in place and that they had provided a revised programme yesterday which AECOM are reviewing at this time.

He acknowledged the challenges this presents with an overlapping construction activity with fit out activity. He confirmed that a beneficial access strategy was being developed and the ODFC was in conversations with the moves contractor on this.

He outlined other key risks which may arise including commissioning of the new build, noting that BB were bringing in additional resource but that this matter would need to be closely monitored.

The FCPD provided an overview of the areas where BB are running behind and outlined the areas where the College would be able to access for fit out.

AECOM discussed building control consents and it was agreed that they should seek to block time into the building control officer's diary to ensure diary commitments do not delay progress with building sign off.

The FCPD informed members that, as well as the formal letter to BB on the contract end date, the Principal had emailed the Chief Executive for Scotland and Northern Ireland Hector MacAuley, to emphasise that teaching activity will start on 8 January in the new campus. He read out to members the reply received from Hector MacAuley stating that BB recognised the criticality of the 8 January date.

The FCPD highlighted to members that, while there was significant activity underway with a view to completing the campus, the College was not lessening the focus on the quality of the build, with snagging commencing in line with the proposed revised completion plan.

Members agreed that the focus on quality should remain and noted that the next meeting should also include a tour of the site.

Members queried the progress with the IT communications rooms and whether the College be able to accommodate any slippage on the date. The VPISC confirmed that the internet provider had been in discussion with BB and would not be on site until 4 November.

The FCPD confirmed BB were aware of the urgency in relation to having the IT Communications rooms completed and were directing additional resource to ensure this was complete.

Members noted that potential issues with the brickwork had been raised at previous meetings and asked for an update on progress. AECOM reported that the architects were looking into this matter and the FCPD noted that video evidence had been provided for review purposes and that this matter would be followed up on.

Members asked what preparations were in place if the build was not completed by the revised date of 16 December 2019.

The Principal noted that the College's position to BB continued to be that teaching would commence on 8 January 2020, with staff moving in on 6 January and that there was no manoeuvre room in this date. He informed members however that, if absolutely necessary, the existing Falkirk campus is still available to ensure there is minimal impact on students in the event of significant delay.

Members recommended that, given BB are now advising a date one week from the holiday period and that previous dates have slipped, a commitment to the recovery plan they have provided to AECOM should be sought and the plan closely monitored.

Members noted that this posed a significant reputational risk to the project.

The FCPD noted that the College could levy damages against BB under the contract

Members queried progress against cash flow and asked for an update.

The FCPD noted that, given the stage of the project, that cash flow was less of a primary indicator of progress at this time.

Members also asked for an update on commercial claims, noting that these had been ongoing for some time. AECOM confirmed that these matters were still live as BB did not have to conclude these until the final account stage. He provided members with an overview of the claims notified and AECOM's view on these.

Members queried whether there was sufficient budget to cover the worst case in relation to commercial claims. The FCPD confirmed that this was the case.

a) Members noted the content of the report

FC/19/023 Any other competent business

The Chair requested an update on the marketing for the project to date. The HCM provided members with an overview of progress against the campus comms plan, including staff information, community engagement and newsletters, plans for stakeholder engagement visits and social media campaigns.

She also noted that there was currently consideration to holding some form of farewell event for the existing campus as feedback from staff indicated fondness for the existing building.

She also outlined community benefit activity and plans beyond the opening of the new campus to focus on the fact that the College is one with three excellent campuses on offer.

a) Members noted the content of the update

S1.19, Stirling Campus (commencing at 4.30pm)

Present: Liam McCabe (Chair)
Andrew Carver
Pamela Duncan
Ken Richardson

Apologies: Trudi Craggs

In Attendance: Alison Stewart, Vice Principal Finance and Corporate Affairs (VPFACA)
Moira France, Finance Manager (FM)
Stephen Jarvie, Corporate Governance and Planning Officer (CGPO)
Pauline Barnaby, Development and Fundraising Manager (DFM) exited after F/19/014
Jacqueline Leishman, Supply Chain Manager (SCM) exited after item F/19/015

F/19/011 Declarations of Interest

The Chair declared an interest owing to the links between the College and University of Stirling in relation to certain degree level courses and under the Scottish Funding Council (SFC) HEI funded activity.

F/19/012 Minutes of meetings of 17 September 2019

Members approved the minute of the meeting of 17 September 2019

F/19/013 Matters Arising

a) F/19/008 FVC 5 Year Financial Plan

The Chair noted that there had been robust discussion at the meeting of the Board of Management on 24 October 2019 regarding the future financial position of the College. The Committee noted that while concerns about the future financial situation were raised, the Board reaffirmed its support for the strategy developed by management and discussed at the Board away day to address this matter.

The VPFACA informed members that the Chair and Principal had met with the Chief Executive of the Scottish Funding Council (SFC) the previous day to highlight these concerns. She highlighted that the lifecycle maintenance funding for the College estate had also been raised and SFC had indicated that they would like to see further information to see how the funding for the College estate maintenance could be given parity to other College builds which were supported by Non Profit Distribution programmes.

Members queried whether the College was commencing with a review of lifecycle maintenance and the VPFACA confirmed that AECOM had already been appointed to do so and that they were reviewing this in conjunction with the College's current FM provider.

F/19/014 Development & Fundraising Strategy 2019 – 2022

The DFM presented the new Development and Fundraising Strategy for the three year period 2019-2022.

She provided an overview of the progress to date on funding, highlighting the high level of success from applications.

She outlined the process used to refresh the strategy, highlighting the involvement of staff in its development and outlining the three key objectives within the strategy.

Members welcomed the high percentage of successful applications achieved to date.

Members queried whether the three year strategy would be broken down into annual targets. The DFM confirmed that there was an annual action plan developed to support the achievement of the overall strategy.

Members queried whether the College had an income target for fundraising activity. The VPFACA informed members that there was not a target as this activity is primarily used to provide added value to students and the College offering.

Members requested that an annual update be brought to the Committee and also requested that the report be provided to the full Board of Management. .

a) Members approved the Development and Fundraising Strategy 2019-2022

F/19/015 Annual Procurement Report

The Chair welcomed the Supply Chain Manager to her first meeting of the Finance Committee and confirmed that this paper should have been listed on the agenda as an approval item.

The SCM presented the annual report on procurement, noting that this was the second year this report had been produced to meet the College's obligations under the relevant legislation. In that regard the Committee noted that the form and content of the report was to all intents prescribed.

She highlighted the significant level of procurement, as measured by expenditure levels, conducted in 2018-19, confirming to members that these levels were primarily as a result of procurement for the new Falkirk campus.

Ken Richardson, as Chair of the Falkirk Campus Project Board, commented on the process for approval of tenders for the new campus project which added a further level of scrutiny. He highlighted that the process had been very transparent and the tenders received had secured a high level of quality whilst also maintaining value for money.

The SCM informed members that the recently completed Procurement & Commercial Improvement Programme (PCIP) review has shown continued improvement within College procurement, with the College assessment moving from silver to gold owing to the rating increasing from 63% to 79%.

Members commended the significant increase in the rating.

The VPFACA commented that the improvement was a result of a number of factors, including more robust procedures and increased staff awareness and training by the previous SCM.

Members noted their appreciation of the work done by the previous SCM and expressed their support to the current SCM to continue the positive direction of procurement.

a) Members approved the annual report for publication

F/19/016 Student Funding Outturn 2018/19 & Forecast 2019/20

The VPFACA presented members with an overview of the previous year's student funding levels and the expectations for funding claims for the current year.

She highlighted that changes last year in the criteria for student funding, moving from a pure attendance model to one that considered progression as the awarding criteria.

She noted that, while this had been challenging, the College now had a data baseline to anticipate funding utilisation which underpinned the forecast for 2019/20.

She confirmed that the College anticipated requesting in year redistribution funding from SFC to support the anticipated shortfall in funding levels.

Members queried whether the College was able to vire monies between the various funding streams. The VPFACA confirmed that the College was able to do this to an extent.

a) Members noted the content of the report

F/19/017 Review of Risk

None

F/19/018 Any Other Competent Business

None

F/19/019 Annual Report and Financial Statements 2018/19

The FM presented the annual report and financial statements for 2018/19.

She highlighted that, as in previous years, technical accounting treatments impacted on the presentation of the accounts. She referred members to page 12 of the accounts for a more insightful representation of the College's underlying financial position.

She informed members that the College continued to be a going concern and the College external auditors agreed formally with that assertion.

Members agreed to consider the draft external auditors report before confirming approval.

a) Following consideration of the draft external auditors report, members endorsed the Annual Report and Financial Statements 2018/19 for presentation to the Board of Management for approval

F/19/020 Draft External Audit Annual Report to the Board of Management

Steven Reid, Partner, Ernst & Young, presented the draft external auditor report to the Committees.

He provided an overview of the content in the report and confirmed that the report was a positive one with no matters requiring to be brought to the attention of the Committees.

He confirmed that he intended to issue an unqualified report on the accounts.

He thanked the finance team and College management for the high quality of the information provided to his team.

The VPFAA commented that the College had a positive underlying operating surplus position and that this had been agreed by SFC.

Members commented that the accounts were positive and recorded their thanks for the work done by the finance team.

Members queried the change in day's cash from last year to this. The VPFAA confirmed that this figure had been distorted owing to the drawdown of capital funding grant which was unspent at 31 July 2018.

Members queried the level of trade debtors and asked for an explanation for the increase. The FM noted that she did not have this information to hand and the VPFAA informed members that further information would be brought on this topic when the accounts were considered at the upcoming Board of Management meeting.

Members also commented on recent discussions at Board of Management level with senior management on measures being developed to support the long term sustainability of the College.

a) Members endorsed the Draft External Audit Annual Report for submission to the Board of Management

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Boardroom, Falkirk Campus (commencing at 4.30pm)

Present: Lorna Dougall (Chair)
Lindsay Graham (FVSAVP)
Beth Hamilton
Steven Torrie (Co-opted Member) exited after A/19/017

In Attendance: Alison Stewart, Vice Principal Finance and Corporate Affairs (VPFACA)
Stephen Jarvie, Corporate Governance and Planning Officer (CGPO)
Stuart Inglis, MHA Henderson Loggie
Steven Reid, Ernst and Young
Moira France, Finance Manager (FM) for A/19/016 and 017 only

A/19/016 Annual Report and Financial Statements 2018/19

The FM presented the annual report and financial statements for 2018/19.

She highlighted that, as in previous years, technical accounting treatments impacted on the presentation of the accounts. She referred members to page 12 of the accounts for a more insightful representation of the College's underlying financial position.

She informed members that the College continued to be a going concern and the College external auditors agreed formally with that assertion.

Members agreed to consider the draft external auditors report before confirming approval.

a) Following consideration of the draft external auditors report, members endorsed the Annual Report and Financial Statements 2018/19 for presentation to the Board of Management for approval

A/19/017 Draft External Audit Annual Report to the Board of Management

Steven Reid, Partner, Ernst & Young, presented the draft external auditor report to the Committees.

He provided an overview of the content in the report and confirmed that the report was a positive one with no matters requiring to be brought to the attention of the Committees.

He confirmed that he intended to issue an unqualified report on the accounts.

He thanked the finance team and College management for the high quality of the information provided to his team.

The VPFACA commented that the College had a positive underlying operating surplus position and that this had been agreed by SFC.

Members commented that the accounts were positive and recorded their thanks for the work done by the finance team.

Members queried the change in day's cash from last year to this. The VPFACA confirmed that this figure had been distorted owing to the drawdown of capital funding grant which was unspent at 31 July 2018.

Members queried the level of trade debtors and asked for an explanation for the increase. The FM noted that she did not have this information to hand and the VPFACA informed members that further information would be brought on this topic when the accounts were considered at the upcoming Board of Management meeting.

Members also commented on recent discussions at Board of Management level with senior management on measures being developed to support the long-term sustainability of the College.

a) Members endorsed the Draft External Audit Annual Report for submission to the Board of Management

A/19/018 Declarations of Interest

None

A/19/019 Apologies for Absence

Mandy Wright

A/19/020 Minutes of meeting of 5 September 2019

The minutes of the Meeting of 5 September 2019 were approved as an accurate record.

A/19/021 Matters Arising

None

A/19/022 Chairs Report to the Board

The Chair presented the annual report of the committee to the Board of Management, noting that this report outlines the work of the Committee for the previous academic year.

a) Members approved the submission of the report to the Board of Management

A/19/023 Ernst & Young Letter of Representation Response

The Chair presented members with the draft response to the annual letter from Ernst & Young seeking assurances from the Audit Committee.

Steven Reid noted that one element to the report referred to reliance upon the external auditor's opinion noting that, as this was a letter to the external auditors, this reference should be removed. Following discussion on the many sources of assurance available to the Committee, it was agreed to remove this reference.

- a) Members approved the Chair to submit the letter on behalf of the Committee

A/19/024 Risk Management Policy

The VPFA presented members with an update to the Risk Management Policy. She noted that the changes were minimal, and primarily related to changes in staff job titles.

- a) Members approved the updated Risk Management Policy

A/19/025 Internal Audit Progress Report

Stuart Inglis, MHA Henderson Loggie, presented a report on progress against the agreed internal audit plan and confirmed that this was proceeding in line with the agreed timescales.

- a) Members noted the content of the report

A/19/026 Presentation of Internal Audit Reports

Elements of Section A/19/026 of the minute is exempt from disclosure under the Freedom of Information (Scotland) Act 2002 section 35(1)(a) and section 38(1)(b)

[Redacted content]

Credits

Stuart Inglis presented the annual report which covered 2018/19 activity. He highlighted that this was a positive report and that he was able to give a clean opinion to the Committee. He noted that there was only one recommendation, which was minor.

a) Members noted the content of the report

Student Support Funds

Stuart Inglis presented the annual review of student support funding.

It was noted that some of the appendices to this report were not included in the papers and that these would be emailed to members for information.

He reported that the report had not identified any issues other than a small under claim by the College for Educational Maintenance Allowance (EMA) funding and informed members that this amount would be claimed in the November EMA claim.

a) Members noted the content of the report

A/19/027 Progress Report on Audit Recommendations

The CGPO presented members with an update on progress against audit recommendations since the last meeting.

He noted that there was only one live recommendation at this time in relation to counselling and highlighted that Scottish Government had recently announced funding to support College's in securing additional counselling staffing.

a) Members noted the content of the report

A/19/028 Risk Management

The VPFACA presented the risk register to members, noting that there had been no changes since it had been discussed at the Board strategic session at the end of August.

She highlighted that funding levels remained a red risk and members agreed that it was appropriate for it to remain at the level.

a) Members noted the content of the report

A/19/029 National Fraud Initiative

The VPFACA presented a report on the first year of National Fraud Initiative (NFI) activity within the College. She outlined the process used for NFI checks and confirmed to members that no issues of fraud had been identified.

a) Members noted the content of the report

A/19/030 Review of Risk

All risks were covered in their respective papers

A/19/031 Any Other Competent Business

The CPGO noted that members had indicated that the Committee should meet three times per year and sought approval to look for a date in early September 2020 for the third meeting.

The VPFACA noted that this timing would allow the Committee to consider the draft governance statement ahead of the Board meeting.

a) Members approved the addition of a third meeting in early September 2020

A/19/032 Private Discussion between Members and Auditors (Verbal)

The annual private meeting between the Committee and the Auditors was welcomed as an opportunity to raise concerns where they may arise but also an opportunity to further explore current issues of particular concern. No items of concern were raised.

All agreed that sector financial sustainability was a significant issue for all colleges. It was important to note that Forth Valley College was in a good financial position, particularly given the modern campus sites at Alloa and Stirling and the new Falkirk building, but national bargaining and changes to pensions were having a significant effect. Those present explored their personal views on how the sector, both FE and HE, could work together and noted that Forth Valley College already had strong relationships with a number of HE institutions which were of benefit to both.

Falkirk Campus (4.30pm)

| | | |
|----------------|--|---|
| Present: | Ken Richardson Steven Tolson Ken Thomson David Allison David Logue | Forth Valley College Board Member (Chair) Forth Valley College Board Member Principal Vice Principal Information Systems and Communications (VPISC) Falkirk Campus Project Director (FCPD) |
| Apologies: | Ross Martin Colin Alexander Alison Stewart Paul Dodd Andrew Lawson Lyndsay Condie Alison Meldrum | Chair, Board of Management Forth Valley College Board Member Vice Principal Finance and Corporate Affairs (VPFCA) Scottish Futures Trust Depute Principal and Chief Operating Officer Head of Communications and Marketing (HCM) Scottish Funding Council |
| In attendance: | Claire Shiels Graeme Watson Daniel Lockwood Stephen Jarvie | Operations Director for Falkirk Campus (ODFC) AECOM AECOM Corporate Governance and Planning Officer (CGPO) |

The meeting was preceded by a tour of the new campus.

FC/19/024 Apologies for Absence

The apologies were noted.

FC/19/025 Declarations of Interest

None.

FC/19/026 Minutes of Meeting of 29 October 2019

The Minutes of the meeting of 29 October 2019 were approved.

FC/19/027 Matters Arising

None

FC/19/028 New Falkirk Campus - Transition Update

The ODFC provided members with an update on progress with the transition arrangements for the new campus.

She highlighted that the additional projects (Compex workshops, distillation towers and Westfield rig) were proceeding but that the latter two were under time pressures

and a meeting with Balfour Beatty (BB) and relevant subcontractors had been arranged to discuss this. She confirmed the relevant Head of Department was being kept apprised of progress and that contingency plans were in place if needed.

She provided an overview of procurement activity and confirmed that delivery dates were being amended to reflect the delays notified by BB. She summarised a potential access issue for deliveries relating to BB's site regulations but confirmed BB were working with the College to address these.

She confirmed that procurement activity overall continued to budget and that there was no anticipated requirement to utilise project contingency funds.

She informed members that the Building User Guides for staff and students were nearing completion.

a) Members noted the content of the report

FC/19/029

Project Managers Report

Daniel Lockwood, AECOM, presented the latest iteration of the project manager's report and dashboard.

He confirmed that BB had advised on further slippage in the programme of 9 days since the last report to the Committee. He outlined discussions with BB on this matter and noted that BB had advised that they plan to have as much of the project as possible completed by 23 December, when building control was scheduled to inspect the campus to agree final actions to allow occupancy. Building control would then revisit on 3 January 2020 to review these actions prior to College occupancy.

He outlined increased levels of resource being implemented by BB and an increase in working hours and changed working patterns to aid in the recovery of the timeline.

He noted however that this remained a significant risk to the College taking occupancy on 6 January 2020 as intended.

He highlighted also that the College would also need to consider resourcing over the Christmas closure period.

The FCPD outlined to members the key areas where building control consent would be required to allow College occupancy and confirmed that building control were being kept informed of progress through meetings with BB and the College.

Daniel Lockwood provided an overview of works that would be continuing once the College took occupancy, primarily on the landscaping. He also noted that BB would maintain a site presence to both manage these works and assist with the soft landings process which has been curtailed by the programme delays.

The FCPD noted that the College did have contingencies in place if occupation on the anticipated date was not possible but confirmed to members that these were not the College's anticipated outcome.

Members noted the timescales and the current pace of activity and agreed that the next meeting of the Committee on 17 December should provide a clearer view as to whether or not the 6 January 2020 move in date for the College is feasible.

The FCPD highlighted the work of the ODFC and her team in working around the moving completion date with changes to deliveries, managing staff expectations and managing the relationship with BB throughout a challenging period.

Members queried, given the delays and the potential for staff being in over the Christmas holiday period, whether the College was able to recover this additional cost.

The FCPD noted that the contract allows the College to levy damages against BB if necessary and that this should be discussed further by the Committee once the extent is known.

Members reiterated their commitment to ensuring the pursuit for completion does not compromise the quality of the finished project. The FCPD confirmed that via a combination of the College clerks and the BIM360 system, the College continues to ensure that the quality is not compromised.

He also confirmed to members that, following practical completion, the QS will be tasked with valuing the snagging works to be completed and this amount would be withheld from the final account until all works are completed.

a) Members noted the content of the report

FC/19/030 Any other competent business

Members noted that the next meeting on 17 December 2020 should include a site visit.

1. Purpose

To present to the Board of Management the twenty third Principal's report on key and strategic activity undertaken since the Board meeting in October 2019.

2. Recommendation

The Board should note and comment on the activity undertaken by the Principal since October 2019.

3. Key Highlights

3.1 Ken Richardson will give an update on progress on the new estate with entry still planned for 6 January for staff and 8 January for students. Timing is going to be tight with the work still to be done, however we do have a contingency if needed. It has to be noted the new build is stunning.

3.2 Following the Board residential in August and the Board meeting in October, Ross Martin and I met with Karen Watt CEO of SFC and her Director of Finance, Lorna MacDonald. We discussed the issues around life cycle maintenance, unequitable funding allocations through historical funding formula, the Futures Programme and other subjects including Foundation Apprentices, College Innovation Funding and Colleges Scotland and CDN. We had a good meeting with clear actions including a focussed breakdown of estate maintenance costs for the next ten years and an encouragement to work with other colleges working with the no detriment 22 hours teaching position which results in a few colleges having the highest unit cost for lecturers in the sector

3.3 Following the Board meeting in October and as noted in our project Plan, I held a Leadership conference with our senior managers to detail the financial position and the three phase approach to a balanced budget and a secure future. Following that meeting, Andy Lawson, Alison Stewart, Kenny MacInnes and Ralph Burns, Head of HR and myself met with our union representatives on the 20 November to provide them with a briefing in advance of the Principal's briefings which started with the first meeting on the 22 November. This will be followed by twelve further Principal Briefings. At each meeting I will be noting the current position of the new estate, discussing our new values and purpose statement and outlining the financial position of the college. As part of our consultation I will be asking staff and unions to consider two questions,

Question 1:

- **Operationally to build financial sustainability - what more can we be doing, what can we do to be smarter, improve productivity and be more efficient? What do we start, stop or do differently?**

Question 2:

- **Strategically to build financial sustainability – and with reference to Vision 2030, our new purpose and your networks, what more could the college be doing with our communities, our education partners and our industry partners over the next five years to ensure financial stability, improve income, productivity and maximise the college's profile?**
-

With Andy Lawson the lead officer on our Futures Programme, I will be asking all staff, whether individually or as a group, to send feedback to Andy for consideration. Questions will be posted in a bespoke FAQ page. Furthermore, I have now met with all constituent MSP's and have highlighted the current status of the Falkirk estate but have focussed on the Futures Programme and the life Cycle Maintenance issues. At their request I forwarded a file note of our conversation and all MSP's have asked me to keep them up to date on our discussions with SFC and progress of the Futures Programme.

- 3.4 Finally, and on a positive note, the College won six awards at the recent CDN Awards in Glasgow. We won the award for Essential Skills and were Highly Commended for Colleague of the Year (Waimun Lee), Inclusion and Marketing and were Commended for Sustainability and Employer Connections. Thanks to all the staff who attended the awards and a particular thank you to Board Members, Lorna Dougal and Liam McCabe for their support. It was most appreciated by the staff who were attended.

4 Networking

- 4.1 Headtorch ran a workshop with SMT and senior managers to highlight the role of managers in understanding mental health in the workplace.
- 4.2 In the 22nd Principal's Report I reported on being asked by Colleges Scotland to lead on the Sector's Digital Ambition towards 2030. In that role I chair a short life working group of college senior practitioners with representation from Colleges Scotland, CDN, SFC and Jisc. Over the last four weeks Colleges Scotland CDN have held workshops in seven colleges throughout Scotland and a further two virtual workshops at the end of this month. I was particularly pleased to introduce the workshops in Borders College, West of Scotland, Forth Valley and City of Glasgow. Our Marketing team had also made a video of me welcoming attendees to the workshop and explaining both the aim for the day and what the outputs from the workshops would be used for. These videos were used on three occasions in Inverness, Aberdeen and Fife.
- 4.3 I have had two formal meetings with the Student Association and met with the Student Council in Alloa and in Stirling. The report from the Student Council is discussed at SMT.
- 4.4 Finally, ConnectForth, our radio and TV station run by staff and students from our Creative Industries Department, launched their live lunchtime programme and I was delighted to help launch with their first interview. The programme was heard live in the refectories of both Falkirk and Stirling Campuses.

5. Presentations

- 5.1 I have given two presentation over the time period covered by this report. In early November I presented to the Grangemouth Probus Club on the College and the new estate. Following the presentation the College was asked if they could support Telford House in Grangemouth. This request has been taken up by the Director of Curriculum for Care, Health and Construction. The Probus Club have been invited to hold a meeting mid 2021 in the new Falkirk Campus and this was received with real enthusiasm. On the 28th November, I presented at the
-

Education Building Scotland Conference at the EICC on Forth Valley College, A Whole System Approach to Digital”.

6. Key Meetings

I undertook the following key meetings in the period 18 October to 29 November 2019:

- 6.1 As noted earlier in this report I have met with all our elected MSP's across Forth Valley including Michael Matheson MSP, Angus MacDonald MSP, Keith Brown MSP and Bruce Crawford MSP. On all occasions I have discussed our issues relating to life cycle maintenance, futures programme, positive attainment and highlighted the great things happening at the college. Keith Brown MSP has been invited to the Apprentices Awards in March.
- 6.2 Over the six week period of this report I have taken a number of visitors on tours of the new Falkirk campus including George Reid, Nicki Bridle, CEO Clackmannan Council, the Trustees of the Forth valley College ALF, Michael Matheson MSP and Angus MacDonald MSP and Gordon Hunt from the Robertson Trust. For Gordon the tour followed a positive meeting with Pauline Barnaby and the potential for round two of our Time4Me project and discussed the potential for a collaborative project with Clackmannan Council and University of Stirling.
- 6.3 Kenny MacInnes and I had further meetings with Martin McGuire, the Scottish Director for World Skills and the potential for Forth Valley College's involvement in world skills in the future following the success of Calum Bonner. [REDACTED]
- 6.4 I have had three scheduled meetings with Ross Martin, Chair of the Board of Management including a meeting with Karen Watt, CEO SFC and Lorna MacDonald, Director of Finance, reported elsewhere in this report.
- 6.5 The college hosted a successful visit from a Norwegian College with over thirty attendees. The day started with a presentation from myself and then the group was split into subject and support areas and our key managers took the groups on tours and engaged in discussion for a couple of hours. The Principal of was very pleased with the experience for his staff which has the potential for future exchanges.
- 6.6 I have attended one SQA Board meeting and chaired their Qualifications Committee on one occasion. I attended one HES Strategic Board meetings. In addition I attended the SQA Star Awards in Glasgow at the Kelvingrove Exhibition Hall and the MA Awards in Dundee at the Caird Hall, the latter as a guest of the Centre for Work Based Learning.

7. Colleges Scotland (CS)

- 7.1 I attended one meeting of Colleges Scotland Strategic Discussion with the College Principals Group (CPG). In addition, Alison Stewart, VP Finance and Corporate Affairs has been instrumental in pulling together all the College's Financial Forecast reports (FFRs) to ensure Colleges Scotland fully understands the collective financial position for the sector.
-

7.2 Andrew Lawson, Depute Principal and Chief Operating Officer and Ross Martin, Chair of the Board, continue to represent the College on the Employers Association and attended a residential in mid-November.

8. Community Planning Partnership

8.1 There has been one meeting of the Strategic Board meeting in Falkirk. Following a consultation of CPP partners the Board have decided to focus on key projects including mental Health and Well Being. I will report more fully on CPP and the College's involvement at the March meeting.

9. Financial Implications

None

10. Equalities

Assessment in Place? – Yes No

If No, please explain why – This paper is an overview report only, there are no changes to College policy or practice involved.

11. Risk

Please indicate on the matrix below the risk score. Risk is scored against Impact and Likelihood as Very Low through to Very High.

| | Likelihood | Impact |
|-----------|------------|--------|
| Very High | | |
| High | | |
| Medium | | |
| Low | | |
| Very Low | X | X |

Please describe any risks associated with this paper and associated mitigating actions –
None

Risk Owner – Ken Thomson

Action Owner – Ken Thomson

12. Other Implications –

Please indicate whether there are implications for the areas below.

Communications – Yes No

Health and Safety – Yes No

Paper Author – Ken Thomson

SMT Owner – Ken Thomson

1. Purpose

To provide members an update on the recent activities of the Forth Valley Student Association (FVSA)

2. Recommendation

That members note the content of the report

3. Key Considerations

The Student Association held their bi annual student councils over the three campuses to give the students' time to have their voices heard, this also gives the students a time to hold the elected sabbaticals to account to their elected manifestos. Students raised issues around funding this year, equipment in classrooms including software being out of date, travel costs, and anxiety regarding moving to the new campus.

The Student President and the Vice President attended the Sparqs Education Officers meeting, this meeting revolved around mental health, HGIOC Progress Visits, and diversity of student reps.

FVSA have been supporting the students when it comes to funding issues and advising how to access other funding available to tide them over till the funding issues have been sorted.

The Activities and Volunteers Co-ordinator, the two executive officers and the student president attended the Trans Day of Remembrance outside of Scottish Parliament.

The Student Association went out in the name of sustainability and environmentalism to collect "Nurdles" (Plastic pellets) off the beach in Bo'ness. These are released into the Forth by local Industries.

4. Financial Implications

Please detail the financial implications of this item – There are no financial implications.

5. Equalities

Assessment in Place? No

If No, please explain why – Not applicable

6. Risk

Please indicate on the matrix below the risk score. Risk is scored against Impact and Likelihood as Very Low through to Very High.

| | Likelihood | Impact |
|-----------|------------|--------|
| Very High | | |
| High | | |
| Medium | | |
| Low | | |
| Very Low | x | x |

Please describe any risks associated with this paper and associated mitigating actions – None Identified

7. Other Implications –

Please indicate whether there are implications for the areas below.

Communications – Yes

Health and Safety – No

Please provide a summary of these implications – FVSA extensively promote events, clubs and opportunities to be involved in the work of the association.

Paper Author – Andrew Smirthwaite

SMT Owner – Kenny MacInnes

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1. Purpose

To present to members the Annual Report and Financial Statements for the year to 31 July 2019.

2. Recommendation

Members consider the financial position of the College for the year ended 31 July 2019 and approve the Annual Report and Financial Statements for the year ended 31 July 2019.

3. Background

The Office for National Statistics (ONS) reclassification of FE Colleges came into effect from 1 April 2014. There are a number of significant implications resulting from this reclassification not least the inability to retain surplus cash without this in effect being frozen due to government resource budgeting restrictions.

The Annual Report and Financial Statements have been prepared in accordance with the Accounts Direction issued by the Scottish Funding Council in July 2019. This direction requires the College to comply with the Statement of Recommended Practice: Accounting for Further and Higher Education issued in July 2015 (2015 SORP), the Scottish Public Finance Manual (SPFM) and the Scottish governments Financial Reporting Manual (FRoM).

The SPFM and FRoM both require additional disclosures.

4. Key Considerations

The adoption of the Financial Reporting standard (FRS) 102 and the 2015 SORP, combined with the government accounting restrictions on the ability to retain cash surpluses due to resource budgeting restrictions, means it is difficult to present the College's financial position in a way which informs readers of the true underlying financial sustainability of the College.

The key consideration for members is the long term financial sustainability of the College. This is referred to within the Annual Report and Financial Statements as the College continuing to operate on a "going concern" basis. Under the current reporting regime previous indicators such as reporting an operating surplus and having a strong Balance Sheet with net assets are no longer achievable. This does not however mean that the College is financially unsustainable.

The key measures going forward is the College's ability to generate cash from its day to day operational activities, and evidence that it can meet its liabilities as they fall due. The impact of non-cash technical accounting adjustments, while they are relevant to some extent, should be excluded when assessing the College's financial strength.

The Financial Performance section of the Performance Report provides a detailed review of the College's financial performance for the year ended 31 July 2019 and its financial position at 31 July 2019. The key points to note are:

- The College generated an underlying operational surplus of £1,268k excluding non-cash adjustments, funding from the Forth Valley College Foundation, the estates development costs and the loan repayments. This surplus demonstrates that the College is operating sustainably within its funding allocation.
- The net liability position in the Balance Sheet is distorted due to the technical accounting adjustments in relation to the treatment of government capital grants and pension liabilities. Additionally, the impact of reclassification where surplus cash has been donated to an arm's length foundation or spent to support the estates development programme impacts on the net liabilities.
- £187k is receivable within 2018/19 from the Forth Valley College Foundation in relation to capital IT spend for the new Falkirk Campus.
- The external auditors are content there are no going concern issues as the underlying financial position has been clearly demonstrated.

This paper and the annual report and financial statements 2018/19 were considered by the Finance and Audit Committee's on 19 November 2019 and were recommended for presentation to the Board of Management for final approval.

5. Financial Implications

SFC guidance states that for the financial period ended 31 July 2019 Colleges are permitted to report deficits equivalent to the spend on cash budget for priorities, FRS 17 pension charges and FRS 102 adjustments. The reported financial position falls within these guidelines.

Reporting a deficit does have implications however, and to counter any queries or concerns by the users of the Financial Statements, the Underlying Performance table on page 12 schedules out the non-cash technical adjustments and one-off adjustments included within the deficit, thereby highlighting the true underlying surplus.

6. Equalities

Assessment in Place? – not applicable given the nature of this report.

7. Risk

Please indicate on the matrix below the risk score. Risk is scored against Impact and Likelihood as Very Low through to Very High.

| | Likelihood | Impact |
|-----------|------------|--------|
| Very High | | |
| High | | |
| Medium | | x |
| Low | x | |
| Very Low | | |

Due to the adoption of FRS 102 in terms of the accounting treatment of certain items and the associated presentational changes, the College's underlying financial health is masked. There is a risk that those not familiar with the technical aspects of Financial Statements will misinterpret the state of the College's financial health. In mitigation of this, it needs to be stressed that the Board of Management, SFC and the external auditors are all in agreement that there is no going concern issue.

Risk Owner – Alison Stewart

Action Owner – Senga McKerr

Paper Author – Senga McKerr

SMT Owner – Alison Stewart

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1. Purpose

To present to members the annual report from the Chair of the Audit Committee to the Board of Management for approval.

2. Recommendation

That members approve the attached report.

3. Background

The Chair of the Audit Committee presents a report of the Committee's activities on an annual basis.

As this report is linked directly to the associated financial year, the information within this paper covers the 12 month period from 1 August 2018 to 31 July 2019 period.

This report was considered and endorsed at the Audit Committee meeting of 19 November 2019.

4. Financial Implications

Please detail the financial implications of this item – None. All audit activity is fully budgeted and progress against agreed activity is monitored.

5. Equalities

Assessment in Place? – Yes No

If No, please explain why – Not applicable

Please summarise any positive/negative impacts (noting mitigating actions) – Not Applicable

6. Risk

Please indicate on the matrix below the risk score. Risk is scored against Impact and Likelihood as Very Low through to Very High.

| | Likelihood | Impact |
|-----------|------------|--------|
| Very High | | |
| High | | |
| Medium | | |
| Low | X | X |
| Very Low | | |

Please describe any risks associated with this paper and associated mitigating actions – Failure to adequately check internal systems via the internal audit service could lead to systemic errors or inefficiencies. The Internal Audit function, overseen by the Audit Committee, ensures that adequate assurances are received.

Risk Owner – Ken Thomson

Action Owner – Alison Stewart

7. Other Implications –

Please indicate whether there are implications for the areas below.

Communications – Yes No

Health and Safety – Yes No

Please provide a summary of these implications – Not Applicable

Paper Author – Stephen Jarvie

SMT Owner – Alison Stewart

ANNUAL REPORT OF THE AUDIT COMMITTEE TO THE BOARD OF MANAGEMENT

1. Introduction

This report covers the 12 month period from 1 August 2018 to 31 July 2019. Membership of the Committee during that period underwent a number of changes following a review of committee membership. Attendance was as follows:

| Name | Attendance Record |
|---|-------------------|
| Lorna Dougall (Chair) | 3 of 3 meetings |
| Colin Alexander (last meeting 6 September 2018) | 1 of 1 meetings |
| Trudi Craggs (last meeting 6 September 2018) | 1 of 1 meetings |
| Pamela Duncan (Joined 4 December 2018) | 2 of 2 meetings |
| Lindsay Graham (joined 4 December 2018) | 2 of 2 meetings |
| Beth Hamilton | 2 of 3 meetings |
| Steven Torrie (co-opted) (joined 4 December 2018) | 2 of 2 meetings |
| Mandy Wright (co-opted) (joined 4 December 2018) | 1 of 2 meetings |

The Committee met on the following dates:

6 September 2018
4 December 2018
23 May 2019

2. Internal Audit

Internal Audit is governed by the Code of Audit Practice, as published by the Scottish Funding Council (SFC). The Code requires the Internal Auditors to adopt a risk-based approach to the programme, and to undertake follow-up work to ensure that all recommendations accepted by College management have been implemented.

Audit Provider: Scott Moncrieff. Their charge for the period was £21,807. (Fees are based upon the degree of responsibility and skill of staff, and the time involved in the work. Fees for additional services or assignments are agreed separately in advance).

Annual Report on Audit Activities: The Internal Auditor's report on audit activities carried out during the year 2018–2019 was considered by the Audit Committee at its 9 September 2019 meeting. Internal Audit assignments for this period were carried out broadly in accordance with the Audit Plan agreed by the Audit Committee on 6 September 2018.

Achievements: The audit assignments were identified based upon a review of the College risk register, the identification of new systems being implemented within the College and those audits (i.e. credits) required on a rolling basis.

The specific audit reports produced for each assignment made recommendations for the improvement of internal procedures and controls, and each recommendation was given an agreed

target date for implementation. The monitoring of internal audit recommendations is a standing agenda item on Audit Committee agendas.

Effectiveness: On the basis of the work undertaken during the year the auditors have expressed an opinion that the College has –
“a framework of controls in place that provides reasonable assurance regarding the organisation’s governance framework, internal controls, effective and efficient achievement of objectives and the management of key risks.”

3. External Audit

Audit Provider: Ernst & Young LLP.

Auditors Report: The External Auditor’s report on the Financial Statements for the year 2018-2019 is included in the papers. The audit was carried out during October/November 2019.

Management Letter: During the course of the audit the Auditors performed overviews of the key financial systems of the College to assess their adequacy for the purposes of ensuring that accurate, timely and complete accounting records were being maintained. The recommendations resulting from this exercise are set out in the report of the External Auditor.

4. Other Matters

During the past 12 month period, in addition to receiving reports from the Internal and External Auditors, the Committee also considered the Risk Register and treatment of significant risks.

The Audit Committee will also meet with the Internal and External Auditors without College staff in attendance at their meeting of 19 November 2019.

5. Adequacy and Effectiveness

The Committee accepts the views of the internal and external auditors that Forth Valley College’s internal financial and management systems are adequate and that the Board of Management’s responsibilities have been satisfactorily discharged.

Lorna Dougall
Chair
5 December 2019

1. Purpose

To seek approval to recommend to Scottish Ministers the appointment of 3 candidates for the existing non-executive vacancies and the co-option of two additional candidate.

2. Recommendation

That members consider and approve the content of the paper for recommendation to Scottish Ministers.

3. Background

Following the implementation of the Post-16 Education (Scotland) Act 2013, College Boards are required to seek Ministerial approval for appointments to non-executive positions within the Board of Management.

Recruitment activity also has to be conducted under the guidelines of the “College Sector Board Appointments: 2014 Ministerial Guidance” (the Guidance).

The guidance requires that both staff and students should have an input and that there is an independent member appointed to oversee the process.

There are currently 4 potential vacancies. Anne Mearns and Caryn Jack resigned from the Board last year and Colin Alexander and Fiona Campbell have given notice of their resignations before the end of the academic session 2019/20.

4. Advertising and Interview

The recruitment process used was an open one as per the Guidance. Vacancies were widely advertised via traditional and on-line methods to reach a wide audience both across Forth Valley as well as nationally.

The shortlisting and interviews were performed by the following;

| | Shortlisting | Interviews |
|----------------------------------|--------------|------------|
| Chair, Board of Management | ✓ | ✓ |
| Members of Nominations Committee | ✓ | ✓ |
| Staff Board Member | ✓ | |
| Student Association President | | ✓ |
| Secretary to the Board | ✓ | ✓ |
| Independent Member | | ✓ |

The Principal attended the Interviews in a supporting capacity.

There were 12 expressions of interest received. The Nominations committee reviewed the skills matrix of the current Board of Management. Given the quality of the applications and the number

of vacancies the interview panel shortlisted this to 8 applicants for interview. The interviews were held on the 29 November 2019 and 5 December 2019.

5. Appointment

Following the panel interviews, it is recommended by the Nomination Committee to offer the current non-executive vacancies to:

Naila Akram
Hazel Burt
Catherine Graham

Additionally, the panel were impressed with two other shortlisted candidates and is seeking approval to appoint Linda White and Dr Anna Fenge on a co-opted basis. The advantage to the co-option method is, beyond giving the Board the ability to utilise a very qualified candidate, this will also allow the Board to fill any upcoming vacancies in the near future in a much more timely manner, by removing the need to undergo a full recruitment process.

There is one final candidate, Andy Caldwell who will be interviewed this afternoon. If agreed by the Nominations Committee that he is appointable the 4th vacancy will be filled, otherwise we will continue with a vacancy and do a further recruitment later in the year.

CVs for all proposed members are attached for information.

No

6. Risk

Please indicate on the matrix below the risk score. Risk is scored against Impact and Likelihood as Very Low through to Very High.

| | Likelihood | Impact |
|-----------|------------|--------|
| Very High | | |
| High | | |
| Medium | | |
| Low | | |
| Very Low | X | X |

The process involved in the recruitment has been very robust and mirrors that used during the last round of Board applications.

Risk Owner – Ken Thomson

Action Owner – Alison Stewart

Paper Author – Alison Stewart

SMT Owner – Alison Stewart

1. Purpose

To update members on the progress of the 2018/19 Board Development Plan and present members with a draft Board Development Plan for 2019/20.

2. Recommendation

That Members

- consider the progress in relation to the 2018/19 Board Development Plan
- consider the draft Board Development Plan 2019/20 and subject to any amendments approve the plan and its publication on the College website
- approve the submission of both Plans to the Scottish Funding Council (SFC).

3. Background

The Financial Memorandum with the SFC requires governing bodies to comply with the principles of good governance set out in the Code of Good Governance for Scotland's Colleges. Section D.23 states "... There should also be an externally facilitated evaluation of its effectiveness at least every three years. The board must send its self-evaluation (including an externally facilitated evaluation) and board development plan (including progress on previous year's plan) to its funding body and publish them online."

4. 2018/19 Board Development Plan (Appendix 1)

Good progress has made against the 2018/19 Board Development Plan with the development of a Board Engagement calendar to support the Board in terms of engaging with staff and students. The Learning & Student Experience Committee now has responsibility for monitoring PIs and this has been discussed at both Committee and Board level over the last 6 months.

Further work is planned in relation to Board Member engagement and Equalities training remains outstanding. These items have been carried forward into the 2019/20 Board Development Plan.

5. 2019/20 Board Development Plan

A full review of compliance with the Code of Good Governance for Scotland's Colleges was completed to identify areas of non compliance /room for improvement. This coupled with feedback from the Board Members annual appraisal reviews and the Board residential session in September has formed the basis of the plan.

Key themes identified were Board members engagement, board members training and the monitoring of key performance indicators.

6. Financial Implications

There are no financial implications.

7. Equalities – N/a

8. Risk

Please indicate on the matrix below the risk score. Risk is scored against Impact and Likelihood as Very Low through to Very High.

| | Likelihood | Impact |
|-----------|------------|--------|
| Very High | | |
| High | | |
| Medium | | x |
| Low | | |
| Very Low | x | |

If the College does not have a Board Development Plan and submit it to SFC it would not be complying with the Code of Good Governance for Scotland's Colleges and would therefore also breach the requirements of the Financial Memorandum.

Risk Owner – Alison Stewart

Action Owner – Alison Stewart

9. Other Implications –

Communications – Yes - Publication on website and submission to SFC.

Paper Author - Alison Stewart

SMT Owner – Alison Stewart

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APPENDIX 1 - FORTH VALLEY COLLEGE – 2018/19 BOARD DEVELOPMENT PLAN

| No | Recommendation | Action | Responsibility | Date |
|--------------------------------------|--|---|--|---|
| Leadership and Strategy | | | | |
| 1 | A7 Ensure the board scrutinizes performance measures and reports these on the College website | Performance Measures to be agreed and monitored by Board or relevant sub committee | Board | June 2019 PI's reviewed by Learning & Student Experience Committee |
| Quality of Student Experience | | | | |
| 2 | A8 Ensure effective engagement with all relevant stakeholders in the development of the outcome agreement | Development of Board Engagement Calendar | Board Secretary / Chair | February 2019 Completed |
| 3 | Agree with each board member, as part of their ongoing annual development, how they will engage directly with students for 1-2 days per year in support of their governance role | Development of Board Engagement Calendar (to be incorporated into board member reviews) | Board Secretary / Chair | February 2019 c/fwd 2019/20 |
| Accountability | | | | |
| 4 | Take stock of and ensure board members have a range of sources of information on staff views (c/fwd from 2017/18) | Development of Board Engagement Calendar | Chair | June 2019 Completed |
| Effectiveness | | | | |
| 5 | D20 All members undertake appropriate training | Board Members Responsibilities / Charity Trustees Equalities | Board Secretary | December 2018 Completed February 2019 C/fwd 2019/20 |
| 6 | D21 Committee members have committee specific training | CDN - Audit Committee Training CDN - Remuneration Committee Training | Committee Members Committee Members | June 2019 June 2019 Completed for existing members, ongoing for new members |

APPENDIX 2 - FORTH VALLEY COLLEGE – 2019/20 BOARD DEVELOPMENT PLAN

| No | Recommendation | Action | Responsibility | Date |
|--------------------------------------|---|--|--|---|
| Leadership | | | | |
| 1 | Ensure effective support for the chair of the Board of Management | Review of role of Board members – increase the number of Vice Chairs | Board Chair | October 2019 |
| Quality of Student Experience | | | | |
| 2 | B.3 The board must consider the outcome of student surveys and other student engagements, and monitor action plans that could impact on the quality of the student experience. | Included within remit of Learning & Student Experience Committee (LSE). Regular reports to be taken to the LSE. | Board Secretary | September 2019 June 2020 |
| 3 | Agree with each board member, as part of their ongoing annual development, how they will engage directly with students for 1-2 days per year in support of their governance role (c/fwd from 2017/18) | Development of Board Engagement Calendar (to be incorporated into board member reviews) | Board Secretary / Chair | July 2020 c/fwd 2019/20 |
| Effectiveness | | | | |
| 3 | D20 All members undertake appropriate training | CDN - Board Member Training (new members) FVC – Board Member Induction Equalities | Board Secretary | June 2020 February 2019 C/fwd 2019/20 |
| 4 | D21 Committee members have committee specific training | CDN - Audit Committee Training CDN - Remuneration Committee Training | Committee Members Committee Members | June 2020 January 2020 |

1. Purpose

To present members with the Strategic Risk Register for the College.

2. Recommendation

That members note the content of the register attached to this paper and the actions taken to date.

That members note that risk was discussed at the recent Board of Management Strategic Session and give consideration to how this may amend the risks on the register.

3. Background

The College continues to monitor Strategic Risks to the College. These risks are discussed at SMT meetings and are also brought to each meeting of the Audit Committee.

4. Changes to the risk register

There have been no material changes to the risk register since the last update provided to members.

5. Equalities

Assessment in Place? – Yes No

If No, please explain why – The Strategic Risk Register document does not require equalities impact assessment. Individual risks may result in Equalities assessments being completed for new/revised College policies and procedures.

Please summarise any positive/negative impacts (noting mitigating actions) – Not Applicable

6. Risk

| | Likelihood | Impact |
|-----------|------------|--------|
| Very High | | |
| High | | |
| Medium | | |
| Low | X | X |
| Very Low | | |

Please describe any risks associated with this paper and associated mitigating actions – Risk continues to be comprehensively managed and reviewed across the College on an ongoing basis.

Risk Owner – Ken Thomson

Action Owner – Ken Thomson

7. Other Implications –

Please indicate whether there are implications for the areas below.

Communications – Yes No

Health and Safety – Yes No

Paper Author – Stephen Jarvie

SMT Owner – Ken Thomson

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Forth Valley College Strategic Risk Register

| Risk Management and Mitigation | | | | | Owners | | | Initial Risk Score | | | Score After Mitigation | | | Date Added and Date Score Updated |
|--------------------------------|---|---|--|--|-----------------|----------------|--------------|--------------------|--------|------------|------------------------|--------|------------|-----------------------------------|
| No | There is a real or perceived risk that... | Potential Consequences | Mitigating Actions | Actions/Progress to Date | Board Committee | SMT Risk Owner | Action Owner | Likelihood | Impact | Risk Score | Likelihood | Impact | Risk Score | |
| 1 | There is insufficient funding from Scottish Government/SFC to support the core activities of the College | <ul style="list-style-type: none"> - Inability to deliver high quality learning - Inability to react to changing economic and local environment - Inability to maintain College infrastructure - Impact on College performance indicators | <ul style="list-style-type: none"> - Principal and Chair represented on sector groups to lobby SFC/Scottish Government - Vice Principal Finance and Corporate Affairs member of SFC new funding model group - Business Development strategy to increase commercial income being developed by Director of Business Development | <p>Nov 19 - Chair of BoM and Principal have meeting scheduled with Karen Watt, SFC on 18 November 2019.</p> <p>August 19 - 5 year FFR currently being prepared based on SFC guidance. Funding gap of £2m has been identified in the medium term. A futures programme is being led by the Principal to address the gap.</p> <p>May 19 - Indicative allocations for 2019/20 are based on flat cash GIA and a reduction in capital & maintenance funding both of which are insufficient to meet the ongoing operations of the college. Efficiency savings are being planned and maintenance delayed.</p> <p>Nov 18 - work ongoing</p> | B | P | VPFACA | VH | VH | 25 | VH | VH | 25 | |
| 2 | Delays to completion and/or issues with the transition process to the new Falkirk Campus (e.g. as a result of adverse weather/impact of Brexit on supply chain) | <ul style="list-style-type: none"> - Impact on student experience and success - Potential increase in costs - Reputational damage | <ul style="list-style-type: none"> - EEG and FCPB monitoring progress - Development of migration strategy - Communications with stakeholders to manage expectations | <p>Nov 19 The project remains 3 weeks behind. However we will still have access on the 15 November to begin the transition to the new campus. Balfour Beattie will retain the insurance requirements for the building until full completion is done. We (FVC) do not see this as a major issues at this time</p> <p>Aug 19 The project remains on track with no major issues identified. The slight delay is being mitigated by Balfour Beatty</p> <p>April 19 - confirmation of completion date is now 15 November. Space Solution now in place and transitions groups are meeting to manage the transition process. At the point of writing no major issues have been identified</p> <p>Nov 18 - Actions being planned as per mitigating actions</p> | FCPB | P | DPCOO | H | H | 16 | M | H | 12 | |
| 3 | National Bargaining process will negatively impact on the College | <ul style="list-style-type: none"> - Unaffordable pay awards - Potential strike action which could impact on the Student experience and meeting commercial contracts - 'No Detriment' restricts options for FVC compared to sector | <ul style="list-style-type: none"> - Chair and DPCOO represent the College on the Employers Association - Communication with staff, students and other users - Force Majeure clauses in commercial contracts to mitigate impact of strike action | <p>Nov 19 - No further update</p> <p>Aug 19. Following a lengthy negotiation final settlement has been reached with new Terms & Condition in place. The settlement did have an impact on the colleges financial situation however, this has been worked through</p> <p>April 19. This situation regarding EIS dispute continues. No settlement has been agreed and further strike action is planned for the month of May. EIS have also initiated ASOS. WE continue to ensure that where possible services to students have minimum impact</p> <p>Nov 18 - We continue to be actively involved in this process which allows us to keep on track with potential changes and able to work through the implication quickly and effectively</p> | B | P | DPCOO | H | H | 16 | H | M | 12 | |
| 4 | Employers pension contributions to the Scottish Teachers Pension Scheme could increase by 5.2% from April 2019 | <ul style="list-style-type: none"> - Additional cost of approx. £500k per annum | <ul style="list-style-type: none"> - Scottish Government in discussion with UK Treasury - Working with Colleges Scotland to lobby Scottish Government for additional funding | <p>Nov 19 - no further update</p> <p>August 19 - SFC have confirmed 100% funding for the period September 2019 to March 2020. There is no guarantee of funding beyond this point. SFC guidance for the FFR is to assume 100% funding going forward but have stressed this is only a planning assumption and not confirmation of funding.</p> <p>May 19 - Initial guidance from SFC is to assume 50% funding being worst case scenario. Score changed - impact low v medium</p> <p>Nov 18 - awaiting outcome of discussions with Scottish Government</p> | F | P | VPFACA | VH | M | 15 | VH | L | 10 | |

Forth Valley College Strategic Risk Register

| | | | | | | | | | | | | | | | |
|---|---|---|--|--|-----|-------|-------|---|----|----|---|----|----|--|--------|
| 5 | The College will fail to deliver the Outcome Agreement | <ul style="list-style-type: none"> - Reputational damage - Potential clawback of funding and risk of reduction in credits allocated to the College | <ul style="list-style-type: none"> - Ongoing monitoring of performance against targets by new Leadership Team - Targets cascaded to Directors with accountability | <p>Nov 19 - The College met its Credits Activity target. Performance against full time PI targets was disappointing, despite the introduction on in-year tracking. Earlier and more in-depth tracking is being introduced this session.</p> <p>Aug 19 - Comparisons of in-year PI estimates with final outcomes is ongoing.</p> <p>May 19 - Additional monitoring reports have been built, and will be refined through usage.</p> <p>Nov 18 - Additional monitoring reports being built for Department teams to allow granular monitoring of targets.</p> | LSE | P | VPISC | M | VH | 15 | L | VH | 10 | | |
| 6 | The student experience fails to meet student expectations | <ul style="list-style-type: none"> - Reputational risk - Current/Potential students choose another College/Learning provider - Impact on College meeting credit and PI targets | <ul style="list-style-type: none"> - Listening to Learners - Ensuring relevance of courses through robust curriculum review - Robust evaluation processes at all levels - Student support systems in place and effective - Deliver on Creative Learning and Technologies Strategy | <p>Nov 19 - Official release of SFC Student Satisfaction Survey highlights FVC FE Students 95.8% satisfied and HE Students 86.3% satisfied with their college experience. Combined 91% satisfied. Student success Pls released to SFC. Down 1.5% combined (PT/FT FE and PT/FT HE) on 17-18 but mitigation plans in place</p> <p>August 2019 - In the SFC Student Satisfaction Survey, 94% of 2018-2019 FVC students were satisfied with their college experience. Positive internal audit of curriculum completed. 2018-2019 Student Success Pls not yet finalised.</p> <p>May 19 - Work ongoing</p> <p>Nov 18 - Actions in Evaluative Report and Enhancement Plan 2017-2018 to address areas where student success Pls are lower than target and to review and enhance student support arrangements; objectives and targets for delivery of year 2 of CLT Strategy in College Operational Plan 2018-2019.</p> | LSE | P | VPISC | M | VH | 15 | L | VH | 10 | | |
| 7 | The College is adversely impacted by a cyber attack. | <ul style="list-style-type: none"> - Reputational risk - Impact on learning & teaching - Impact on key services | <ul style="list-style-type: none"> - Up to date firewall, and cyber protection through Disc - Regular security patching - Full nightly backups and hourly snapshots to minimise disruption in the event of the need to restore data - Up to date anti-virus and malware software - Scanning and monitoring of all external drives - Resilience through additional connections to outside world - Documented and tested business continuity plan | <p>Nov 19 - College staff continue to attend security briefings, and Windows security updates are deployed estate-wide as they are received from Microsoft.</p> <p>Aug 19 - College staff are attending regular security briefings. Windows updates are deployed estate-wide as they are received from Microsoft.</p> <p>May 19 - College staff are members of Scottish Government Cyber Catalyst Group, and receive early warnings of any known cyber attacks.</p> <p>Nov 18 - Cyber Essentials accreditation secured, Member of National Cyber Security Information Sharing Partnership</p> | A | P | VPISC | M | VH | 15 | L | VH | 10 | | |
| 8 | the National Job Evaluation Process may impact staff | <ul style="list-style-type: none"> - Impact on staff morale - Short timescales for completion of submission - Potential financial impact on staff | <ul style="list-style-type: none"> - Driven by National Agreement - Sector wide Process - Follow guidelines from Colleges Scotland | <p>Nov 19 - With the exception of staff on maternity leave FVC have now submitted all JE document to Scotland Colleges. A team of analysts have been identified to take this process forward</p> <p>Aug 19 The first part of this process in near completion with only a few post to be evaluated. This is mainly due to post holder either being on maternity leave or having left the college after the cut of date of 18 September 18. This post will be evaluated by the relevant line manager</p> <p>May 19 - Process now begun with a Project Manager in place to support staff going through the process. Unison involvement is also in place and meeting are planed for key staff to support them in completing the sector wide template to role profiles</p> | HR | DPCOO | DPCOO | H | M | 12 | M | M | 9 | | Apr-19 |

Forth Valley College Strategic Risk Register

| | | | | | | | | | | | | | | | |
|---|---|--|---|---|----|-------|-------|---|---|----|---|---|---|--|--|
| 9 | Loss of key staff will impact on College operations | - Loss of knowledge, experience and links within the Sector and to employers etc | <ul style="list-style-type: none"> - People Strategy - Succession Planning - Talent Management Programme in place - Directors in post | <p>Nov 19 - There is no further update</p> <p>Aug 19 There is little evidence of staff exiting the college. The second stage of the Peoples Strategy is now underway and the focus is on potential managers of the future.</p> <p>April 19 - The first six months of the People Strategy has proven to be a success. We made the decision to fill vacancies internally where possible to encourage talent to remain within the college</p> <p>Nov 18 - First cohort of staff now on Talent Management programme. Effective TNA in place in all departments. Talent Management programme for first time managers ready to roll out</p> | HR | DPCOO | DPCOO | H | M | 12 | H | L | 8 | | |
|---|---|--|---|---|----|-------|-------|---|---|----|---|---|---|--|--|

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