Dumfries & Galloway College

Board of Management

Date: **7 June 2016**
Time: **2:00pm**
Room: **2089**

	A G E N D A		Presented by
1	Welcome and Apologies for Absence		BJ
2	Presentation by Andrew Brawley, Lead Officer Colleges, on Education Scotland's Review of the College		
	2a Education Scotland Review of the College Report	(attached)	
	2b Learners Report	(attached)	
3	Declaration of Interest		BJ
4	Minute of Meeting of 8 March 2016	(attached)	BJ
5	Matters Arising		
6	Regional Chair's Report	(attached)	BJ
7	Principal's Report	(attached)	CT
8	President of the Students' Association Report	(attached)	JW
9	Approved Committee Minutes		
	9.1 Audit Committee Minutes of 24 November 2015	(attached)	HC
	9.2 Audit Committee Minutes of 8 March 2016	(attached)	HC
	9.3 Learning & Teaching Committee of 15 March 2016	(attached)	DH
	9.4 Finance & General Purposes Committee of 1 March 2016	(attached)	JH
	9.5 Remuneration Committee of 26 January 2016	(attached)	DH
	9.6 Board Development Committee of 29 January 2016	(attached)	BJ
10	Matters for decision		
	10.1 2016-17 Regional Outcome Agreement	(attached)	CT
	10.1a Outcome Agreement Funding Allocation	(attached	CT
	10.2 2016-17 Budget	(attached)	JB
	10.3 Funding Implications Going Forward	(verbal)	CT

10.4	2016-17 Curriculum Delivery Plan	(attached)	AW
10.5	Revised Operation of Severance Payments Policy	(attached)	HP
10.6	Revised Equal Opportunities Policy	(attached)	HP
10.7	Revised Risk Management Policy	(attached)	JB
10.8	Strategic Risk Register	(attached)	JB
10.9	Succession Planning for the Executive Team	(attached)	CT
10.10	Succession Planning for the Principal	(attached)	BJ
10.11	Board Calendar for 2016-17	(attached)	BJ

11 Matters for discussion

11.1	Key Performance Indicators 2015-16	(attached)	JB
11.2	2015-16 Strategic Plan / ROA Update	(verbal)	CT
11.3	Review of Code of Good Governance Consultation	(attached)	BJ
11.4	Stranraer Campus Provision	(attached)	CT
11.5	2016-17 Funding to support the Student Association	(attached)	JB

12 Matters for information

12.1	FOIs Requests	(attached)	JB
12.2	Scottish Government Good College Governance Report	(attached)	BJ
12.3	Colleges Scotland Spending Review 2017 Submission	(verbal)	CT
12.4	Board Development Committee Update	(verbal)	BJ

13 Any Other Business

14 Date and Time of Next Meeting – 4 October 2016, @ 2pm at the Dumfries Campus

www.educationscotland.gov.uk

External review findings

Dumfries & Galloway College external review 8-13 February 2016

Andrew Brawley MI

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Judgement of Effectiveness

Dumfries & Galloway College has in place **effective** arrangements to maintain and enhance the quality of its provision and outcomes for learners and other stakeholders

This judgement mans that in relation to quality assurance and enhancement, the college is led well, has sufficiently robust arrangements to address any identified minor weaknesses, and is likely to continue to improve the quality of its services for learners and other stakeholders

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How well are learners progressing and achieving relevant, high quality outcomes?

Areas of positive practice

- Completed successful outcome rates for part-time FE programmes have improved recently and are now six percentage points above the national sector performance

- The college is making good progress in developing its safeguarding arrangements to reflect its PREVENT and Corporate Parenting responsibilities

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How well are learners progressing and achieving relevant, high quality outcomes?

Area for development

- In full-time FE programmes, further withdrawal rates have deteriorated over the past three years and are now at 21% which is four percentage points higher than national sector performance

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How effective are the college's learning and teaching processes?

Areas of positive practice

- Support services and curriculum teams work closely together to ensure learners are supported well

- Learners who disclose an identified additional support need have arrangements put in place quickly

- In many subject areas, ICT is used very well to support and encourage independent learning

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How effective are the college's learning and teaching processes?

Areas of positive practice (continued)

- Learners are well motivated and engage actively in their learning
- In almost all lessons, teaching staff utilise a range of effective learning and teaching approaches to stimulate and enhance learning

How effective are the college's learning and teaching processes?

Area for development

- Programme teams do not focus sufficiently on PI trend data information to identify and agree actions for improvement

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How well are learners engaged in enhancing their own learning and the work and life of the college?

Area of positive practice

- Almost all learners describe positive relationships with teaching and support staff and comment they find staff very helpful and approachable

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How well are learners engaged in enhancing their own learning and the work and life of the college?

Areas for development

- Arrangements for appointing representatives are not applied consistently and many have not yet received training to help them undertake their role

- Arrangements by the Student Association to gather class representatives' views and present them to the Board of Management are not effective

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How well is the college led and how well is it enhancing the quality of its services for learners and other stakeholders?

Areas of positive practice

- The Regional Board of Management work collaboratively with the principal and senior managers to provide clear strategic direction for the college

- The principal provides inclusive leadership and works effectively with a small team of senior managers

- *Learning and Teaching Mentors*, deployed across the college's four faculties, provide effective support to staff to improve learning and teaching practice

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How well is the college led and how well is it enhancing the quality of its services for learners and other stakeholders?

Areas of positive practice (continued)

- Leadership for services to support learners is effective. Managers and staff understand their roles and how their contributions shape and inform the learner experience

- The college works closely with Dumfries and Galloway Council and 16 secondary schools located within the Dumfries and Galloway region. It delivers a range of programmes to school-aged learners at the college and on school premises

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How well is the college led and how well is it enhancing the quality of its services for learners and other stakeholders?

Areas for development

- The college's *Learning and Teaching Strategy* and recently-revised *Retention and Learner Attainment Policy* do not provide sufficient direction to guide improvement.

- Support staff do not routinely collate and analyse learner-related support service delivery information to reflect on performance, identify trends or draw up improvement plans. Managers are over reliant on informal day-to-day information to evaluate overall performance.

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Main points for action

- **The college should implement college strategies to improve retention rates where these are low**

- **The college should improve class representation arrangements and support the Student Association to ensure effective learner engagement in the work and life of the college**

- **The college should improve approaches to self-evaluation to ensure that action planning leads to improvement in performance**

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Signposting excellent practice

Three published examples:

- Reablement and Partnership Working

- Industry Workforce Shortage Engagement

- Learning and Teaching Mentor Process

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Any questions?

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Scotland
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Dumfries and Galloway College
8 April 2016

**A report by HM Inspectors
on behalf of the
Scottish Funding Council**

Full report

The external review process

HM Inspectors undertake an independent review of the quality of provision in Scotland's colleges on behalf of the Scottish Further and Higher Education (HE) Funding Council (SFC) under a service level agreement between the Council and Education Scotland. External review teams include HM Inspectors, associate assessors and a student team member.

During external reviews, members of the review teams observe learning and teaching and hold discussions with learners, staff and stakeholders. They consider information on learner attainment and evaluate learner progress and outcomes. They meet with members of the Board of Management and obtain feedback from community groups, partners and employers who work with the college.

The purpose of this report is to convey the main outcomes arising from the external review, to acknowledge the college's strengths and to provide a clear agenda for future action to improve and enhance quality.

This external review results in judgements of **effective** or **limited effectiveness** or **not effective** that express the external review team's overall evaluation of *high quality learning, learner engagement* and *quality culture*.

The report also uses the following terms to describe numbers and proportions:	
almost all	over 90%
most	75-90%
majority	50-74%
less than half	15-49%
few	up to 15%

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1. Introduction

The external review

The external review by Education Scotland took place during the week beginning 8 February 2016.

We examined learning and teaching and other important activities that impact on the quality of the learner experience. We evaluated these against the three key principles of *high quality learning*, *learner engagement* and *quality culture*, using the 13 reference quality indicators outlined in *External quality arrangements for Scotland's colleges, updated August 2013*. We also included QIs *1.3 Adherence to statutory principles* and *2.2 Relevance of programmes and services to learner needs,* to support our evaluations. We used information from previous visits to the college to decide the scope of the review.

We found examples of excellence which we describe in this report on page 17.

The external review team talked with learners, staff at all levels in the college, members of the Board of Management, employers, external agencies and other users of the college.

2.   The college and its context

In carrying out the external review of Dumfries and Galloway College, Education Scotland took the following college context fully into account.

Dumfries and Galloway College operates within a single college region and delivers provision from two campus sites. The main campus is in Dumfries, located in a new building adjacent to the Crichton Campus. The college is part of the Crichton Campus partnership and shares services and resources with the University of the West of Scotland, the University of Glasgow, the Open University and Scotland's Rural College (SRUC). The college also has a campus in Stranraer from which it delivers almost 16% of total provision.

The Dumfries and Galloway region has the third largest land mass in Scotland. The area is also one of the most sparsely populated with 150,800 people spread over 6,426 square kilometres. The largest town is Dumfries (population 31,630), followed by Stranraer (10,290) and Annan (8,430). There are 16 secondary schools in the area and seven have fewer than 500 pupils. Nearly a third of the population live in remote areas further than 30 minutes drive from a large town.

The economy of the region consists mainly of micro firms employing ten people or less. Around 2% of businesses employ more than 50 people. The main employment sectors are agriculture, forestry, fishing, retail and construction.

The College offers a general curriculum from Scottish Credit and Qualifications Framework (SCQF) levels 1 to 9. This curriculum is delivered by four faculties: Business, Computing and Creative Industries; Education, Health and Social Services; Hairdressing, Beauty, Hospitality and Sport; and Building and Engineering Services. It also delivers a portfolio of programmes to provide workforce development opportunities for individuals and employers across the Dumfries and Galloway Region. In 2014, the college realigned its curriculum to provide growth in higher education (HE) provision and an increase in full-time further education (FE) programmes in engineering, health and social care and sport and leisure.

The College works closely with Dumfries and Galloway Council and the Local Employability Partnership and leads on the delivery of senior-phase Vocational Pathways and Foundation Apprenticeships.

In academic year 2014-15, the college enrolled 4137 learners on Scottish Funding Council (SFC) funded programmes. A total of 61% of these learners studied on a part-time basis which accounted for 18% of weighted Student Unit of Measurement (wSUM) activity. The total SFC grant-in-aid accounted for 82% of the college's total income. In academic year 2015-16, the college is contracted through the Dumfries and Galloway Regional Outcome Agreement (ROA), to deliver a target of 30,371 credits.

3. Outcomes of External Review

Judgement of *Effectiveness*

Section A: Overarching judgement

Dumfries and Galloway College has in place **effective** arrangements to maintain and enhance the quality of its provision and outcomes for learners and other stakeholders.

This judgement means that, in relation to quality assurance and enhancement, the college is led well, has sufficiently robust arrangements to address any identified minor weaknesses, and is likely to continue to improve the quality of its services for learners and other stakeholders.

Section B: Supporting statements

Learner progress and outcomes

In full-time FE programmes, further withdrawal rates have deteriorated over the past three years and are now at 21% which is four percentage points higher than national sector performance. Completed successful outcome rates for full-time FE programmes have fluctuated over the last three years and are now level with the national sector performance. The college is making good progress in developing its safeguarding arrangements to take account of its PREVENT and Corporate Parenting responsibilities. The college offers a broad range of programmes which are aligned closely to the needs of learners, local employers and the economy. Support services and curriculum teams work closely together to ensure learners are supported well. Learner satisfaction with college services and programmes is high. The majority of learners make good progress. Almost all learners who complete their programme gain a certificated award.

Learning and teaching processes

There are many areas of the college where information and communications technology (ICT) is used well to promote, enhance and support independent and flexible learning. Learners are well motivated and engage actively in their learning. They work collaboratively during lessons and engage enthusiastically in almost all learning activities. Almost all learners are making good progress in their work. Almost all learning activities are planned well by staff, and take good account of leaner abilities and needs. During teaching sessions, staff draw productively on their professional and subject knowledge to provide relevant, real-life examples which promote knowledge and understanding. In general, pre-course information and guidance arrangements are effective. However, programme teams do not focus sufficiently on performance indicator (PI) trend data information to identify and agree actions for improvement. In addition, few programme reports include sufficient evaluative commentary on learning and teaching approaches.

Learner engagement

Almost all learners describe positive relationships with teaching and support staff and find staff very helpful and approachable. The majority of learners take opportunities offered to them to plan aspects of their own learning. This includes selecting project topics, undertaking research activities and planning how to make best use of learning resources. Twice-yearly *Wheel* discussions facilitate learner involvement in self-evaluation. However, a few learners comment that the *Wheel* is time consuming and contains language that is difficult to understand. Many learners engage in lunchtime events promoted by the Student Association. Class representative meetings are poorly attended and there is a lack of awareness by many learners of the purpose of their role. The Student President and executive team are committed and enthusiastic and engage well with the college senior leadership team to develop structures and processes to support learner engagement. Arrangements by the Student Association to gather class representatives' views and present them to the Board of Management are not effective.

Leadership and Quality Culture

The Regional Board of Management works collaboratively with the principal and senior managers to set a clear strategic direction for the college and shape and inform the curriculum review process. Staff are committed to, and understand well, the college's strategic aims. The college works closely with secondary schools and local employers to ensure its curriculum takes good account of the South of Scotland Regional Skills Assessment Plan and Dumfries and Galloway Regional Economic Strategy. The principal provides inclusive leadership and works effectively with a small team of senior managers. The college's *Learning and Teaching Strategy* and recently-revised *Retention and Learner Attainment Policy* do not provide sufficient direction to guide improvement. *Learning and Teaching Mentors*, deployed across the college's four faculties, provide effective support to staff to improve learning and teaching practice. Staff are well motivated and have a pride in working at the college. Leadership for services to support learners is effective. Completed self-evaluation reports rarely identify underlying reasons behind withdrawals and do not include sufficiently robust actions to improve learner retention.

Section C: Areas of positive practice

- Completed successful outcome rates for part-time FE programmes have improved recently and are now six percentage points above the national sector performance.
- The college is making good progress in developing its safeguarding arrangements to reflect it's PREVENT and Corporate Parenting responsibilities.
- Support services and curriculum teams work closely together to ensure learners are supported well.
- Learners who disclose an identified additional support need have arrangements put in place quickly.
- In many subject areas, ICT is used very well to support and encourage independent learning.

- Learners are well motivated and engage actively in their learning.
- In almost all lessons, teaching staff utilise a range of effective learning and teaching approaches to stimulate and enhance learning.
- Almost all learners describe positive relationships with teaching and support staff and comment they find staff very helpful and approachable.
- The Regional Board of Management work collaboratively with the principal and senior managers to provide clear strategic direction for the college.
- The principal provides inclusive leadership and works effectively with a small team of senior managers.
- *Learning and Teaching Mentors*, deployed across the college's four faculties, provide effective support to staff to improve learning and teaching practice.
- Leadership for services to support learners is effective. Managers and staff understand their roles and how their contributions shape and inform the learner experience.
- The college works closely with Dumfries and Galloway Council and 16 secondary schools located within the Dumfries and Galloway region. It delivers a range of programmes to school-aged learners at the college and on school premises.

Section D: Areas for development

- In full-time FE programmes, further withdrawal rates have deteriorated over the past three years and are now at 21% which is four percentage points higher than national sector performance.
- Programme teams do not focus sufficiently on PI trend data information to identify and agree actions for improvement.
- Arrangements for appointing representatives are not applied consistently and many have not yet received training to help them undertake their role.
- Arrangements by the Student Association to gather class representatives' views and present them to the Board of Management are not effective.
- The college's *Learning and Teaching Strategy* and recently-revised *Retention and Learner Attainment Policy* do not provide sufficient direction to guide improvement.
- Support staff do not routinely collate and analyse learner-related support service delivery information to reflect on performance, identify trends or draw up improvement plans. Managers are over reliant on informal day-to-day information to evaluate overall performance.

Section E: Main points for action

- **The college should implement college strategies to improve retention rates where these are low.**

- **The college should improve class representation arrangements and support the Student Association to ensure effective learner engagement in the work and life of the college.**

- **The college should improve approaches to self-evaluation to ensure that action planning leads to improvement in performance.**

4. How well are learners progressing and achieving relevant, high quality outcomes?

How effective is the college at achieving and maintaining high levels of retention, attainment and progression?

Early withdrawal rates for full-time and part-time programmes have remained close to the national sector performance level over the last three years. In full-time FE programmes, further withdrawal rates have deteriorated over the past three years and are now at 21%, which is four percentage points higher than the national sector performance. Further withdrawal rates for part-time FE programmes have remained constant over the last three years and are now two percentage points higher than the national sector performance. Further withdrawal rates for part-time HE programmes have remained at 19% for the last three years which is 14 percentage points higher than the national sector performance. Further withdrawal rates for full- time HE programmes have remained around the national sector performance level for the last three years.

Completed successful outcome rates for full-time FE programmes have fluctuated over the last three years and are now level with the national sector performance. Completed successful outcome rates for part-time FE programmes have improved recently and are now six percentage points above the national sector performance. Completed successful outcome rates for full-time HE programmes have fluctuated over the last three years and are now at the sector performance level. Overall, completed successful outcome rates for part-time HE programmes have improved over the last three years but remain four percentage points lower than the national sector performance.

Success rates on modern apprenticeship programmes have improved and compare well with the national sector performance level. Most learners whose destinations are known progress to further study, modern apprenticeships or employment.

How well does the college adhere to its statutory principles?

The college is making good progress in developing its safeguarding arrangements to take account of PREVENT and Corporate Parenting responsibilities. All relevant staff are now part of the Protecting Vulnerable Group (PVG) scheme.

The college has worked closely with key partners to develop its Corporate Parenting Plan. Staff have drawn on the experience gained through achieving the *Buttle UK Quality Mark* for care leavers to develop arrangements in line with *Centre for Excellence for Looked after Children in Scotland* (CELCIS) guidelines. The college has recently created a new post of *Student Advisor* with a specific remit to provide support for care-experienced learners. Working with local community partners, including Police Scotland, the college has developed an appropriate action plan in response to PREVENT legislation. It has adjusted its *Safeguarding Children, Young People and Adults at Risk* policy and procedure to incorporate *PREVENT* duties.

Awareness raising sessions with regards to both Corporate Parenting and *PREVENT* have been undertaken by Board members and staff. These sessions have been supported by Police Scotland. Staff with specific roles in relation to *PREVENT* duties, for example, the *Safeguarding Coordinator* and ICT staff, have received bespoke training. As a result, staff have a good awareness of their responsibilities, particularly in

relation to *PREVENT*. Plans are in place to extend Workshops to Raise Awareness of PREVENT (WRAP) training to all staff and the Students' Association over the next few months. Online WRAP training is being incorporated within induction arrangements for new staff.

How well do programmes and services meet learner needs?

The college offers a broad range of programmes which are aligned closely to the needs of learners, local employers and the economy. Following a curriculum review in 2014, the college re-aligned the curriculum to offer increased provision within health and social care, engineering, sport and leisure and a specialised Wind Turbine Technician qualification.

The college funds a number of dedicated bus services to enable learners in rural communities to travel to college. The college campus in Stranraer provides valuable access for learners in the surrounding areas to attend learning opportunities, including Higher National Certificate (HNC) programmes. The college works closely with secondary schools across the area to expand the range of vocational qualifications available to senior phase pupils. This has included the recent introduction of HNC awards.

All subject areas have appropriate access level programmes which do not require formal entry qualifications. Progression routes are well planned. All subject areas enable progression to HNC level study and many subject areas offer progression to Higher National Diploma (HND) provision.

Supported Programme learners have access to learning opportunities at SCQF levels 1 and 2. These programmes are structured to encourage and ease transition to further learning within subject areas. Well-established articulation agreements with the University of Glasgow, the University of the West of Scotland and the Open University provide good opportunities for progression with advanced standing for almost all curriculum areas. The college is working with a number of universities to further expand access to degree-level learning opportunities.

Teaching and support functions work well together to support learners during their college experience. Support services and curriculum teams work closely together to ensure learners are supported well. Learner satisfaction with college services and programmes is high.

How well do learners make progress, attain qualifications and achieve more widely?

The majority of learners make good progress. Almost all learners who complete their programme gain a certificated award. Almost all learners develop valuable employability skills through participating in work-based experiences, visits to industry, community-based projects and working to real-life project briefs. In a few subject areas, learners participate in competitions which help to extend skills and improve self-confidence. Learners on hairdressing, beauty therapy and hospitality programmes benefit from working in realistic industry environments to develop and enhance employability skills. As a result of these approaches, most learners are prepared well for future employment or further learning.

Many learners gain additional certificates or awards and experiences which enhance their employment prospects. These include the National Progression Award (NPA) Reablement certificate, the Starcatchers Creative skills programme, Advanced European Computer Driving Licence (ECDL) and John Muir Trust award.
Core skills have been integrated into many FE level programmes to improve contextualisation and attainment. Core skills tutors are located within subject area faculties to facilitate effective communication and collaborative working practices. However, the impact of these changes on attainment is yet to be fully evaluated. Across a number of full-time FE programmes levels of further withdrawal are high, particularly for SCQF level 4 and 5 provision. Programme teams have introduced a number of changes to address this, including revised interview arrangements and allocation of additional tutor support time. However, it is too early to fully assess the impact of these initiatives.

5.   How effective are the college's learning and teaching processes?

How well does the college design and deliver programmes and services to meet the needs of learners from all backgrounds and circumstances?

In some subject areas, including hairdressing and care, learning activities take good account of equality and diversity themes and the diverse needs of individual clients. However, across a number of subject areas teaching teams do not actively promote equality and diversity-related themes when planning or delivering teaching sessions.

There is an appropriate range of programmes and tailored support arrangements for learners with additional support needs. Learners receive additional support in classes and staff make good use of individualised personal learning support plans and assistive technology to encourage and support learning.

There is an appropriate range of specialist vocational resources and workshop facilities for all learning programmes. There are many areas of the college where ICT is used well to promote, enhance and support independent and flexible learning.

How well do learners learn?

Learners are well motivated and engage actively in their learning. They work collaboratively during lessons and engage enthusiastically in almost all learning activities. Learners use a wide range of vocational and academic resources during lessons and outwith class times. They value and benefit from the resources provided through the college virtual learning environment (VLE) *LearnNet*, and resources available through the internet to develop independent learning skills. In many subject areas, ICT is used very well to support and encourage independent learning. However, in the Stranraer campus, there is limited library stock, and some learners are not fully aware of inter-campus library borrowing arrangements.

Across the majority of subject areas, learners develop independent learning skills through a range of learning approaches, including independent reading tasks and directed study time.

Almost all learners are making good progress in their work. They make good use of tutorial time to review the progress they have made and prioritise the work they need to do. Learners have good access to academic-related information on the VLE which helps them to keep track of their own academic progress.

How well do planning, teaching and the use of resources ensure effective learning?

Almost all learning activities are planned well by staff and take good account of learner abilities and needs. During teaching sessions, staff draw productively on their professional and subject knowledge to provide relevant, real-life examples which promote knowledge and understanding. Teaching teams take advantage of employer visits to refresh and update their knowledge of current industry practice. In most lessons, staff use digital resources well to encourage and support effective classroom-based discussions. Staff make resources and learning materials available on the VLE to enable learners who are absent from class to catch-up with their studies.

In almost all lessons, teaching staff utilise a range of effective learning and teaching approaches to stimulate and enhance learning. During demonstration activities, teaching staff promote vocational standards and reinforce the importance of health and safety and related themes. Where appropriate, during learning activities, teaching staff reinforce learner awareness and understanding of sustainability. In classes, teachers respond well to learner questions and demonstrate subject understanding and vocational expertise very well. However, in a few lessons teaching staff do not involve learners sufficiently in the planning of their own learning

Teaching staff establish constructive and respectful relationships with learners. This helps to promote a positive and purposeful learning environment which encourages learning activities. Programme teams provide useful opportunities for learners to develop confidence in working within a professional work environment. For example, learners on hair and beauty programmes work with clients to carry out consultations and apply treatments. Hospitality learners develop and improve their communication skills when taking orders and serving food in the college's *Zest* restaurant. During these activities, teaching staff set high standards and encourage learners to perform well. Within teaching activities, staff regularly make reference to relevant examples from industry. They make good use of guest speakers and industry visits to encourage and motivate learners to recognise what will be required of them in the world of work. However, in a few lessons, teaching approaches are not sufficiently engaging or motivating and learners are passive.

How well is assessment used to promote effective learning?

Programme teams plan assessment schedules well and assessment activities are spread evenly throughout the year. Staff provide appropriate advance notice of assessments and generally convey outcomes of assessments promptly to learners. Teaching staff make positive, constructive comments when returning assessed learner work. Learners benefit from this practice as it helps them to identify what they have achieved and what they need to do to improve further. Questioning techniques are used well by teaching staff during lessons which reinforces learning and understanding.

Assessment arrangements for learners with additional support needs are coordinated effectively through a central service. Arrangements are communicated promptly to teaching staff who ensure learners are supported to engage in assessment activities.

How well are potential and current learners provided with information, advice and support?

In general, pre-course information and guidance arrangements are effective. Learner applications are dealt with promptly and bursary applications are processed efficiently ensuring almost all learners receive accurate, prompt bursary and education maintenance allowance payments. Most potential learners are provided with appropriate information about programmes and are informed about what to expect before starting college. They are given helpful advice on funding and travel-related issues and these arrangements help learners to settle quickly into college. However, some learners did not have sufficient information to support them in decision making prior to entry.

Learner support services are accessible and readily available. Learners are well-informed about services available to them and many access support whilst studying at college to help overcome challenges or issues. Most learners make effective use of tutorial time and course-related and individualised attainment information on the college VLE to reflect on the progress. Young care leavers are supported well by staff to engage in their learning and remain on programme.

Personal Tutors provide accessible support and offer learners good opportunities to reflect on, and discuss their progress. These arrangements are valued by learners and encourage them to self-refer to support service staff where appropriate. When a learner requests advice or specialist help or assistance, access to services is arranged timeously. Learners who disclose an identified additional support need have arrangements put in place quickly.

How well does the college sustain continuous enhancement of learning and teaching through self-evaluation and internal review activities?

Programme review processes are systematic and structured. Teaching teams consider programme content, learning and teaching issues, qualifications delivered, and PI information. Employer advisory boards have been established to inform future programme planning. However, this is at an early stage and feedback from employers and stakeholders is not yet sufficiently established to fully inform planning for improvement.

Staff use learner views well to enhance learning and teaching approaches. Learners provide evaluative commentary on their learning experiences through completion of questionnaires and discussions held with teaching teams. Teaching staff and learners reflect on their programme performance, including teaching practice, through completion of the college's *Quality Wheel*. Programme teams identify areas of strength and actions for improvement. In addition, a *Peer Review* process supports self-evaluation arrangements, acts as a benchmark for report findings and encourages more rigorous reflection. However, programme teams do not focus sufficiently on PI trend data information to identify and agree actions for improvement. In addition, few programme reports provide sufficient evaluative commentary on learning and teaching approaches.

6. How well are learners engaged in enhancing their own learning and the work and life of the college?

How well do learners engage in enhancing their own learning?

The college demonstrates a clear commitment to promotion of learner engagement. The *Learner Engagement Strategy*, the *Wheel* and *Students' Association Development Plan 2015-16* provides clear, structured guidance to support learners to enhance their own learning. Almost all learners describe positive relationships with teaching and support staff and find staff very helpful and approachable.

The majority of learners take opportunities offered to them to plan aspects of their own learning. This includes selecting project topics, undertaking research activities and planning how to make best use of learning resources. In a few programmes, learners take opportunities to gain additional qualifications including ECDL, Reablement certification and Royal Environmental Health Institute Scotland (REHIS) qualifications to enhance further their employment prospects.

Most learners are aware of the progress they are making through active monitoring of *LearnNet*. During discussions held with *Personal Tutors*, they receive confirmation of unit achievement and regularly update their online tutorial records. Most learners access support services including, *The Point, Student Advisers* and *Student Funding* when required. Learners comment they are very satisfied with the support they receive from lecturing and support staff.

Almost all learners convey feedback on their learning experiences through individual discussions held with teaching staff or through information provided to their nominated class representative. Learners report that their views are listened to. They comment that teaching staff respond positively to suggestions for improvement. For example, adjustments have been made to timetables to accommodate learners with part-time jobs and epilepsy training has been introduced so learners can better understand the health issues of a classmate.

Twice-yearly *Wheel* discussions facilitate learner involvement in self-evaluation. Action plans and subsequent changes are reported to learners at *You Said - We Did* meetings. However, a few learners comment that the *Wheel* is time consuming and contains language that is difficult to understand. Learner views are captured through a range of helpful methods including surveys, comment cards and focus groups. Feedback is analysed comprehensively at both college and programme level. However, survey results are not communicated effectively to learners and many learners are not aware of any resulting actions for improvement. A few learners achieve more widely through participation in external competitions. This develops confidence and learner success is promoted and celebrated across the college. Many learners engage in lunchtime events promoted by the Students' Association.

How well do learners engage in enhancing the work and life of the college?

The Student President and executive team are committed and enthusiastic and engage well with the college senior leadership team to develop structures and processes to support learner engagement. This has included adoption of the National Union of Students Development of Strong and Effective College Student Associations in Scotland framework which is helping to ensure that the Student Association's development plans are embedded into wider college planning processes. The Student Association has members on college committees, including the Board of Management and the Learning and Teaching Committee.

The Student Association works collaboratively with the college to offer newly-enrolled learners a well-planned introduction to college life which includes a helpful range of *Fresher's Fayre* activities. College-wide themed weeks on topics such as citizenship or charity fund-raising events provide learners with opportunities to achieve more widely and develop skills for life and work. Representatives from external organisations including National Health Service (NHS) sexual health, Dumfries lesbian, gay, bisexual, and transgender (LGBT) and local volunteering organisations, work collaboratively with learners and support out-of-college activities.

Almost all classes have a nominated class representative. However, arrangements for appointing representatives are not applied consistently and many have not yet received training to help them undertake their role. This limits their ability to represent their peers and provide meaningful feedback on the learner experience. Learners often raise issues directly with teaching staff and tend to bypass formal college processes, including the class representative system, to provide feedback to staff on their college experiences. Class representative meetings are poorly attended and there is a lack of awareness by many learners of the purpose of their role. This limits opportunities to share information and exchange best practice from other areas of the college.

Arrangements by the Student Association to gather class representatives' views and present them to the Board of Management are not effective. As a result, the Board of Management does not receive sufficiently comprehensive information about issues which are of interest or concern to the wider learner body. This limits opportunities for the Board to explore issues more fully with learner representatives. Overall, current arrangements do not support effective learner engagement in enhancing the work and life of the college.

7. How well is the college led and how well is it enhancing the quality of its services for learners and other stakeholders?

The college's strategic aims are articulated clearly in the *Vision 2020 strategic plan 2015-20*. The six associated strategic outcomes provide clear direction for achieving the college's mission, values and aspiration to meet the changing needs of the local economy. These stated outcomes link closely to the ROA of 2014-17 and align well with local and national government priorities. The Regional Board of Management works collaboratively with the principal and senior managers to set a clear strategic direction for the college and shape and inform the curriculum review process. ROA targets are converted to operational plans which include key performance milestones against which the college measures and tracks progress made.

The *Board of Management* maintains an appropriate overview of college activity through a range of standing committees including *Learning and Teaching*. Board members engage frequently with senior managers and attend events and activities hosted by the college. The college is an active member of the Dumfries and Galloway Regional Developing the Young Workforce (DYW) Group which includes membership from the Chamber of Commerce, Dumfries and Galloway Council, and Skills Development Scotland. In recognition of its aspiration to promote and expand DYW opportunities to local residents, the DYW Group recently secured a £600,000, three-year funding grant from Scottish Government.

Staff are committed to, and understand well, the college's strategic aims. An all-staff conference, held at the beginning of the 2014 academic year, helped shape the college's *Vision 2020 strategic plan 2015-20*. The college works closely with secondary schools and local employers to ensure its curriculum takes good account of the South of Scotland Regional Skills Assessment Plan and Dumfries and Galloway Regional Economic Strategy. These plans inform curriculum planning, estate redevelopment and support effective partnership working. The college is committed to delivering provision for local learners of all abilities, across the region. A comprehensive curriculum review, conducted in 2014, resulted in significant changes to provision. These changes are ensuring the college provides a trained and qualified workforce to meet the current and future labour requirements of employers and the local economy. In the last few years, there has been a focus on increasing full-time HE provision recognising that the region has significantly fewer people with higher level qualifications.

The principal provides inclusive leadership and works effectively with a small team of senior managers. Together they provide clear and effective leadership for supporting college priorities and managing key college functions. Heads of Faculty and other managers responsible for curriculum and support services, work collaboratively together and feel well-supported by their senior team. However, the college's *Learning and Teaching Strategy* and recently-revised *Retention and Learner Attainment Policy* do not provide sufficient direction to guide improvement. Teaching teams are generally unaware of these documents.

Learning and Teaching Mentors, deployed across the college's four faculties, provide effective support to staff to improve learning and teaching practice. They conduct developmental observations of all teaching staff over a three-year timeframe. This approach is valued by staff and is particularly useful to newly-appointed teachers.

Staff are well motivated and have a pride in working at the college. They engage actively in planning and evaluation activities and almost all have a sense of being consulted and involved in decision making. The college has a strong commitment to continuous professional development (CPD) for staff. Newly-appointed teaching staff are supported well through induction arrangements to achieve teaching qualifications which provide a useful introduction to professional practice. Staff benefit from access to CPD events which enhance their knowledge and expertise.

Leadership for services to support learners is effective. Managers and staff understand their roles and how their contributions shape and inform the learner experience. Many staff are very experienced and are aware of how their roles impact on the wider work of the college. Support staff benefit from targeted and relevant CPD. They undertake online training activities which promote awareness and understanding of equality-related themes including safeguarding and data protection. Where additional update training is required the college is very responsive to these requests.

Support staff have developed effective links with a range of external agencies including local schools, social workers, the Dumfries LGBT centre, the local police and a range of third-sector organisations. They draw on these links to ensure staff are well informed and support arrangements are up-to-date.

Support service teams respond well to support-related requests from curriculum teams. They communicate and implement arrangements promptly and work closely with teaching teams across the college. However, self-evaluation arrangements for support services are underdeveloped and ineffective. Support staff do not routinely collate and analyse learner-related support service delivery information to reflect on performance, identify trends or draw up improvement plans. Managers are over reliant on informal day-to-day information to evaluate overall performance.

Staff have a clear commitment to improving the quality of the college experience for learners. The quality planning cycle includes key processes and milestones and arrangements are distributed evenly throughout the year. Teaching staff and learners grade learning experiences against criteria within the themes of *Supportive, Engagement, Flexible, Reflective, Innovative and Successful*. Through the *Peer Review* process selected teaching teams, across different subject areas, provide evaluative commentary and benchmark other teams' *Wheel* outcomes. These arrangements ensure consistent approaches to self-evaluation reporting.

Teaching staff often attribute the college's high levels of learner withdrawals to a variety of causal factors, including securing employment, health issues or causes unknown. Completed self-evaluation reports rarely identify underlying reasons behind withdrawals and do not include sufficiently robust actions to improve learner retention. Managers record and collate learner withdrawal data but do not evaluate or identify changes required in college policies, practices or procedures to bring about improvement.

8. How extensive and effective are college partnerships with communities, other learning providers, employers and agencies?

Partnership working is effective and is ensuring learners and staff benefit from collaborative arrangements at local and regional levels.

The college has developed many productive and effective relationships with local employers across the Dumfries and Galloway region. Employers speak very positively about communication with the college and arrangements which support local workers to enhance their skills and gain relevant qualifications. Through membership of the Crichton Campus Leadership Group, the college works collaboratively with a range of external stakeholders to facilitate a shared understanding of the skills, education and training needs of the Dumfries and Galloway region. Partners include a number of HE providers including the University of Glasgow, the University of the West of Scotland, the Open University and SRUC.

The college works closely with Dumfries and Galloway Council and 16 secondary schools located within the Dumfries and Galloway region. It delivers a range of programmes to school-aged learners at the college and on school premises. The college has helped create cluster groups of local schools to ensure viable group sizes and reduced travel time. The college leads on the development of senior-phase vocational pathways, foundation apprenticeships, and continues to strengthen school/college partnerships across the region. It has agreed curriculum offers with all secondary schools for 2016-17.

The principal is Chair of the Local Employability Partnership and the college was involved in an SFC Early Adopter Pilot Project to pilot delivery of an HNC in Electrical Engineering with S5 and S6 pupils. The college is working closely with Dumfries and Galloway Council on the Dumfries *Learning Town* project to explore opportunities for regeneration of Dumfries.

Many teaching staff work closely with employers to ensure learners access relevant work experience placements. There are effective links and a shared commitment with Skills Development Scotland to enhance educational opportunities for hard-to-reach learners. The college delivers an Employability Fund programme to support learners to remain in education and progress onto mainstream college provision. The college delivers a range of modern apprenticeship programmes across a number of vocational areas including engineering, motor vehicle, care, hairdressing, business administration and fabrication and welding.

9.   Signposting excellent practice

During the Education Scotland external review, the college submitted examples of what it considered to be excellent practice worthy of dissemination.

9.1

Reablement and Partnership Working

College staff worked in partnership with NHS and Dumfries and Galloway Regional Council to devise the NPA in Health and Social Care: Promoting Reablement. The programme is at SCQF level 6, and is approved by the SQA. It is recognised by University of the West of Scotland as part of articulation from the Scottish Wider Access Nursing Programme.

The qualification is designed to meet the changing needs of a health and social care support worker role. It seeks to provide currency and transferability alongside up-to-date skills within a health and social care context. Learners attend college for four three-hour sessions over a six-month duration. Teaching approaches include joint delivery by college staff and NHS personnel to full-time learners. The contribution made by health care workers is considered to be particularly useful and very relevant to workforce needs. This approach enables learners to meet and speak directly to individuals in their workplace and this motivates them further and encourages learning choices. This partnership working provides a very useful platform for learners to negotiate mandatory work placements which are key components of their programme and equip learners well for future employment.

The programme commenced in 2013 and three cohorts of 22 health care workers have undertaken the provision. As a result of their experiences, almost all health care workers achieved the NPA Reablement qualification. The qualification enhances their professional development and most learners articulate on to HE level study or gain employment in the health or social care sector.

9.2

Industry Workforce Shortage Engagement

Dumfries and Galloway College has developed effective partnership working with Scottish Power and sub-contractors to deliver Overhead Electrical Lines Technician training provision. This 17 week programme, commenced in February 2013, and has to date provided 45 learners with a bespoke programme of training leading to guaranteed employment.

Following interviews, each successful applicant is invited to the college to undertake an assessment. Further interviews and industry-simulated dexterity tests are carried out by contractors' personnel, who as the employer lead the recruitment process. Successful candidates are informed the next day and shortly after begin their training and employment programme.

Recruited learners attend college five days a week for the first ten weeks of the 17 week programme. Thereafter, training continues with the subcontractor. Learners are

categorised as employees from the first day of the programme and are guaranteed employment upon successful completion. This approach is motivating for learners and is a key attribute in ensuring successful completion of the programme. To date, there has only been one withdrawal. This bespoke provision includes additional qualifications in First Aid, Health and Safety, and Customer Relations. Enthusiastic and dedicated staff provide additional evening support to learners for more challenging subjects such as Applied Maths.

Learners and Scottish Power are very positive about the Overhead Electrical Lines Technician training programme. They recognise the value of their learning experiences and the important role the programme plays in delivering a trained workforce for the electrical distribution sector in Scotland.

9.3

Learning and Teaching Mentor Process

As a result of the 2012 Education Scotland External Review, Dumfries and Galloway College identified the need to improve learning and teaching practice further. To support improvement, the college appointed four *Learning and Teaching Mentors* who were given nine hours per week remission from teaching duties. Their role was to improve teaching practice through use of various best practice approaches.
The *Learning and Teaching Mentors* are managed by the e-learning manager, who is also responsible for personal development planning and other CPD activities. *Learning and Teaching Mentors* support improvement and development for all full-time and part-time teaching staff. They engage in regular discussions with Heads of Faculty who prioritise their own faculty requirements, which includes staff support and other themed activities.

Announced or unannounced developmental visits occur during teaching sessions. All teaching staff benefit from these experiences at least once over a three-year period. Classroom visits, conducted by the *Learning and Teaching Mentors,* identify strengths of teaching approaches and potential improvements to teaching practice. The overall learning experience is benchmarked against criteria which initiates professional dialogue at the end of the teaching session. Where relevant, improvement recommendations are agreed and where further support is required appropriate CPD is often provided. The *Learning and Teaching Mentors* meet regularly with Heads of Faculties to discuss their developmental visits. Classroom visit outcomes inform faculty-based self-evaluation reports and planning for CPD.

Teaching staff view the classroom visits positively. They comment that the *Learning and Teaching Mentors* support teaching improvement and individual reflection on teaching practice. These arrangements support college-wide improvement for learning and teaching and provide helpful information which informs planning for CPD development.

10. What is an overarching judgement?

Education Scotland uses an overarching judgement of *Effectiveness* to express the findings of the review team. The judgement of effectiveness takes into account all the evidence gathered through the external review. Such judgements express outcomes as:

effective;
limited effectiveness; or
not effective.

This judgement is further detailed by supporting statements which substantiate the judgement of effectiveness. Education Scotland evaluates and reports according to the three key principles. In this report, the principles and supporting statements relate to:

Key principle 1 – High quality learning (supporting statements numbers 1 and 2)

Key principle 2 – Learner engagement (supporting statement number 3)

Key principle 3 – Quality culture (supporting statement number 4)

Judgements of effectiveness and supporting statements provide stakeholders with assurances, or otherwise, about the quality of a college's provision. These judgements are based on trends and track record of a college, the findings at the time of the external review, and the college's capacity to continue improving.

A judgement of *effective* indicates that the college has in place **effective** arrangements to maintain and enhance the quality of its provision and outcomes for learners and other stakeholders. This judgement means that, in relation to quality assurance and enhancement, the college is led well, has sufficiently robust arrangements to address any minor weakness, and is likely to continue to improve the quality of its services for learners and other stakeholders.

A judgement of *limited effectiveness* indicates that the effectiveness of the college's arrangements to maintain and enhance the quality of its provision and outcomes for learners and other stakeholders is **limited**. This judgement means that there are some strengths in the college's arrangements for quality enhancement. However, there are weaknesses in arrangements for *high quality learning* and/or le*arner engagement* and/or *quality culture*. If not addressed, the importance of these weaknesses will continue to **limit the effectiveness** of the college's arrangements.

A judgement of *not effective* indicates that the college's arrangements to maintain and enhance the quality of its provision and outcomes for learners and other stakeholders are **not effective**. This judgement means that there are significant weaknesses in the arrangements for *high quality learning* and/or l*earner engagement* and/or *quality culture*. There is a high probability that, without significant and comprehensive action, with external monitoring and support, the college will fail to improve current low-quality provision and outcomes to an acceptable level. Education Scotland does not have evidence that the college has the capacity and commitment to identify and implement effective and comprehensive action.

Scottish Funding Council response to judgements

If the overarching judgement is **effective**, the Council will expect the college to engage with Education Scotland in follow-up activity, as appropriate, and, one year after the publication of the review reports, to provide a report, endorsed by its governing body (see *Council guidance to colleges on quality from August 2012*, paragraphs 62-66 SFC/13/2012 setting out its response to the review).

If the overarching judgement is of **limited effectiveness** or is **not effective**, the Council will require the institution to prepare and fulfil an action plan to address the shortcomings identified (see paragraph 67 of guidance). Education Scotland will provide advice to SFC on the adequacy of the action plan and on how it is being implemented. SFC, taking into account any advice from Education Scotland, will normally require a formal follow-up review at an appropriate time, usually within no more than two years.

11. What happens next?

Education Scotland will continue to monitor progress during annual engagement visits to the college.

There will be feedback to the learners at the college.

One year on from this report, the college will produce a report setting out what it has done to address the main points for action and/or areas for development in the report and other quality assurance and enhancement activities. There will be a link to this report from Education Scotland's website.

Andrew Brawley
HM Inspector

12. Further information

The review and judgements relate to the college as a whole and do not provide information about individual programmes of study or subjects. For further information on these or any other queries, contact the college or look on its website -
http://www.dumgal.ac.uk/dumgalportal/

For further information about Education Scotland, the external review methodologies, or other information about reviews, see www.educationscotland.gov.uk

For further information about the Scottish Funding Council, see –   www.sfc.ac.uk

13. How can you contact us?

This report has been produced as a web-only publication and is available on our website at
http://www.educationscotland.gov.uk/inspectionandreview/reports/othersectors/collegereviews/DumfriesandGallowayCollege.asp

If you would like to receive this report in a different format, for example, in a translation please contact the administration team on 0131 244 5684.

If you want to give us feedback or make a complaint about our work, please contact us by telephone on 0131 244 4330, or e-mail: complaints@educationscotland.gsi.gov.uk or write to us addressing your letter to The Complaints Manager, Denholm House, Almondvale Business Park, Livingston, EH54 6GA.

Readability Survey

Alternatively if you are reading this report in hard copy please type the following address into your web browser.

http://www.educationscotland.gov.uk/Images/FEReadabilitysurvey130612_tcm4-719342.doc

Appendix 1

Glossary of terms

CELCIS	Centre for Excellence for Looked After Children in Scotland
CPD	Continuing Professional Development
DYW	Developing the Young Workforce
ECDL	European Computer Driving Licence
FE	Further Education
HE	Higher Education
HNC	Higher National Certificate
HND	Higher National Diploma
ICT	Information and Communications Technology
LGBT	lesbian, gay, bisexual, and transgender
NHS	National Health Service
NPA	National Progression Award
PI	Performance Indicator
PVG	Protecting Vulnerable Group
QI	Quality Indicator
REHIS	Royal Environmental Health Institute Scotland
ROA	Regional Outcome Agreement
SCQF	Scottish Credit and Qualifications Framework
SFC	Scottish Funding Council
SRUC	Scotland's Rural College
VLE	Virtual Learning Environment
WRAP	Workshops to Raise Awareness of PREVENT
wSUM	weighted Student Unit of Measurement

Appendix 2

THE SCOTTISH CREDIT AND QUALIFICATIONS FRAMEWORK

This Framework diagram has been produced to show the mainstream Scottish qualifications already credit rated by SQA and HEIs. However, there are a diverse number of learning programmes on the Framework, which, due to the limitations of this format, cannot be represented here. For more information, please visit the SCQF website at www.scqf.org.uk to view the interactive version of the Framework or search the Database.

scqf
scottish credit and
qualifications framework

SCQF Levels	SQA Qualifications				Qualifications of Higher Education Institutions	SVQs/MAs
12					Doctoral Degree	Professional Apprenticeship
11	Some SQA qualifications are changing between 2013-2016. See www.sqa.org.uk/readyreckoner				Masters Degree, Integrated Masters Degree, Post Graduate Diploma, Post Graduate Certificate	Professional Apprenticeship SVQ 5
10					Honours Degree, Graduate Diploma, Graduate Certificate	Professional Apprenticeship
9				Professional Development Award	Bachelors / Ordinary Degree, Graduate Diploma, Graduate Certificate	Technical Apprenticeship SVQ 4
8		Higher National Diploma			Diploma Of Higher Education	Technical Apprenticeship SVQ 4
7	Advanced Higher Scottish Baccalaureate	Higher National Certificate			Certificate Of Higher Education	Modern Apprenticeship SVQ 3
6	Higher					Modern Apprenticeship SVQ 3
5	National 5 Intermediate 2					Modern Apprenticeship SVQ 2
4	National 4 Intermediate 1	National Certificate	National Progression Award			SVQ 1
3	National 3 Access 3					
2	National 2 Access 2					
1	National 1 Access 1					

Dumfries & Galloway College

2016 LEARNERS REPORT

A summary of our Education Scotland Review

What is a Learner's Report and Key Messages

In February 2016, Dumfries and Galloway College was visited by reviewers from Education Scotland who evaluated the quality of learning and teaching as part of our normal quality review process.

The external review team spoke with students, staff at all levels, employers, businesses, groups we work with and other College users to get a full account of the education experience provided at Dumfries and Galloway College.

Of the three levels of judgement which can be awarded after these reviews, Dumfries and Galloway College was granted the highest level – "Effective" and this Learners' Report will give you a short overview of what we have done to achieve this very positive report.

The full report can be found on Education Scotland's website: http://www.educationscotland.gov.uk/Images/DumfriesGallowayRev080416_tcm4-875457.pdf

Summary of key points:

- Almost all learners describe positive relationships with teaching and support staff and comment they find staff very helpful and approachable.

- In almost all lessons, teaching staff utilise a range of effective learning and teaching approaches to stimulate and enhance learning.

- In many subject areas, ICT is used very well to support and encourage independant learning.

- Learners who disclose an identified additional support need have arrangements put in place quickly.

Recognised Excellences

Reablement and Partnership Working

In partnership, the College, NHS and Dumfries and Galloway Regional Council have devised a National Progression Award in Health and Social Care: Promoting Reablement. This SCQF Level 6 award is recognised by the University of the West of Scotland as part of articulation from the Scottish Wider Access Nursing Programme. The award is designed to meet the changing needs of the role of a health and social care support worker.

Learners attend college for four three-hour sessions over a six-month duration. Teaching approaches include joint delivery by college staff and NHS personnel to full-time learners. The contribution made by health care workers is considered to be particularly useful enabling learners to meet and speak directly to individuals in their workplace.

This partnership working provides learners with mandatory work placement, equipping them well for future employment.

Industry Workforce Shortage Engagement

The College has developed an Overhead Electrical Lines Technician training programme in partnership with Scottish Power and sub-contractors. Learners are required to successfully complete an interview, an assessment and an industry simulated dexterity test before being recruited on to the programme.

Learners are categorised as employees from the first day of the programme and upon successful completion of the training programme are employed. The programme also includes additional qualifications in First Aid, Health and Safety, and Customer Relations. Learners spend the first ten weeks of the programme in college and the following 7 weeks with a subcontractor.

Learners and Scottish Power are very positive about the Overhead Electrical Lines Technician training programme. They recognise the value of their learning experiences and the important role the programme plays in delivering a trained workforce for the electrical distribution sector in Scotland.

Learning and Teaching Mentor Process

To support improvement and development of all teaching staff the College has appointed four Learning and Teaching Mentors. These mentors are given remission from teaching so that they can support their colleagues to further develop and improve their teaching practices. The College had developed a process to support improvement and development for all teaching staff.

Announced or unannounced developmental visits occur during teaching sessions. All teaching staff benefit from these experiences at least once over a three-year period. Classroom visits identify strengths of teaching approaches and potential improvements.

Teaching staff view the classroom visits positively. They comment that the Learning and Teaching Mentors support teaching improvement and individual reflection on teaching practice. These arrangements support college-wide improvement for learning and teaching and provide helpful information which informs planning for Continuous Professional Development.

Strengths in Learner Progress & Outcomes

- Rates of successful completion for learners on full-time programmes are now level with the national sector performance level.

- FE level programmes offer clear progression to HNC level study and many offer progression to High National Diploma provision.

- Learners make good progress and almost all gain a certificated award.

- Learners develop valuable employability skills through participating in work-based experiences, visits to industry, community based projects and working to real-life project briefs.

- Learners are prepared well for future employment or further learning.

- Relationships between learners and staff are positive and learners find staff to be helpful and approachable.

Strengths in Learning and Teaching

- Learners are well motivated and engage actively in their learning.

- In many subject areas, ICT is used well to promote, support and encourage independent and flexible learning.

- Learning activities are planned well by staff, and take account of learner abilities and needs.

- Learners use a wide range of vocational and academic resources during lessons and outwith class times.

- Learners provide evaluative commentary on their learning experiences to identify actions to improve programmes and services.

- Teaching staff make positive, constructive comments when returning assessed learner work.

- Teaching staff utilise a range of effective learning and teaching approaches to stimulate and enhance learning.

- Support services and curriculum teams work closely together to ensure that learners are well supported.

Strengths in the College

- College staff are well motivated and have a clear commitment to improving the quality of the college experience for learners.

- The College works closely with secondary schools and local employers to ensure its curriculum reflects and supports the South of Scotland Regional Skills Assessment Plan and Regional Economic Strategy.

- The College is committed to delivering provision for local learners of all abilities, across the region.

- The College has a strong commitment to continuous professional development.

- Partnership working is effective and is ensuring learners and staff benefits from collaborative arrangements at local and regional level.

- The College is making good progress in developing its safeguarding arrangements to take account of it's Corporate Parenting responsibilities.

Our Next Steps

Dumfries and Galloway College received six areas for development and three main points for action.

The three main points for action are:

- The college should implement college strategies to improve retention rates where these are low.

- The college should improve class representation arrangements and support the Student Association to ensure effective learner engagement in the work and life of the college.

- The college should improve approaches to self-evaluation to ensure that action planning leads to improvement in performance.

'We are working together to provide students at Dumfries and Galloway College with the best experience possible'

Carol Turnbull
Principal and Chief Executive

Julian Weir
Student Association President

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Board of Management

Minute of meeting of the Board of Management of Dumfries and Galloway College held on Tuesday 8 March 2016 at 2 pm in Room 2097 of the Dumfries campus

Present:	Delia Holland (Acting Chair)	John Henderson
	Carol Turnbull	Pat Kirby
	Janet Brennan	Stuart Martin
	Hugh Carr	Ian White
	Ros Francis	Kenny Henry
	Karen McGahan	Craig McGill

In attendance: Jannette Brown, Secretary to the Board and Vice Principal Corporate Services & Governance
Andy Wright, Vice Principal, Learning and Skills
Helen Pedley, Director of Organisational Development and Facilities

Item 2 only Karen Hunter, Finance Manager
Andrew Ewart, Treasury Finance Officer, Dumfries and Galloway Council
Gillian Ross, Corporate Finance Manager, Dumfries and Galloway Council

Minute taker: Heather Tinning, Executive Team Assistant

1 Welcome and Apologies for Absence

Acting Chair (Delia Holland) welcomed all to the meeting, including Heather Tinning to her first Board meeting as Minute Taker. Apologies for absence were intimated on behalf of Brian Johnstone, Barry Graham and Julian Weir. In the Regional Chair's absence, the Vice Chair, Delia Holland will chair the meeting.

The Secretary to the Board confirmed the meeting was quorate with enough members present to allow decisions to be made.

2 Presentation on Local Government Pension Scheme – FRS17 Implications

Andrew Ewart and Gillian Ross from Dumfries and Galloway Council provided the Board with an overview of the Local Government Pension Scheme. Dumfries and Galloway Council is designated as a Scheme Manager and is required to operate and maintain a pension fund. The Fund is used to pay pension, lump sum benefits and other entitlements to scheme members and their dependants. Contributions to the Fund are made by employees and by participating employers of which the College is one. The Fund also receives income from the assets it holds, which include equities, property and bonds. The Scheme membership is made up of active members, deferred members and pensioner members.

An actuarial valuation of the Fund is held every three years as an independent financial health check and determines how much money has to be paid into the Fund to keep it in a position to pay benefits both now and in the future. The next valuation will take place in March 2017.

Board of Management

Investment management of the Fund is undertaken by external fund managers and overseen by the Council's Treasury Section.

The Chair thanked Andrew and Gillian for providing the Board with an overview of the pension scheme. Andrew Ewart, Gillian Ross and Karen Hunter left the meeting at this point.

3   Declaration of Interest

Members agreed to indicate declarations of interest as appropriate throughout the meeting.

4   Minute of previous meeting

The minute of the Board of Management meeting held on 15th December 2015 was approved.

5   Matters Arising

There were no matters arising.

6   Regional Chair's Report

The Chair spoke to the report which had been issued. The Chair highlighted to the Board some of the 'key messages in the report. She asked members to e-mail the Regional Chair if they had any queries. The Chair advised that she recently attended one of the Board Induction workshops run by the College Development Network. The Chair found the event very helpful and would recommend that all board members attend where they can.

7   Principal's Report

The Principal spoke to the report which had been issued. The Chair noted the number of activities that had taken place and congratulated the College on behalf of the Board.

The Principal updated members on the recent Education Scotland Review reporting that the College has in place effective arrangements to maintain and enhance the quality of its provision and outcomes for learners and other stakeholders. The College had received a draft copy of the report so that an accuracy check can be undertaken. The Principal and the Vice Chair will take part in an accuracy check discussion with the lead inspector from Education Scotland by telephone on the 9th March. The final report will be published on Friday 8th April 2016. The Lead Inspector will attend the June Board meeting to present the Review findings to members. Again the Chair congratulated the College on behalf of the Board. The Principal advised members that having three areas of excellence recognised by the Review was a great achievement for a small college, which shows how innovative college staff are.

Members noted the report.

Dumfries & Galloway College

Board of Management

8   President of the Students' Association Report

In the absence of the President of the Student Association, the Vice President (Stranraer) spoke to the report which had been issued, advising on activities in Dumfries. The Vice President also provided members with a verbal update on activities in Stranraer. A sponsored walk had been arranged at the Stranraer Campus to help raise funds for a student whose son had open heart surgery. Funds were being raised for the Glasgow Children's Hospital in support of the operation. A bench is being built at the Stranraer Campus in memory of a student, also a member of the Stranraer Student Association, who sadly passed away.   The Chair thanked the Vice Principal (Stranraer) for his update.

The Chair reported that the Vice Principal Corporate Services & Governance had invited her to attend a meeting with her and the Student Association Executive. At the meeting the Student Association Executive updated on progress made in the development plan, development of a self evaluation framework and the review of the constitution. Arrangements for 2016-17 elections were also discussed.

9   Approved Committee Minutes

The Chair reported on discussions between herself and the Regional Chair on the historical minutes that were presented at Board of Management meetings, and suggested a way forward to ask each Committee Chair to provide a verbal update of main points to allow for a recent update.

The Secretary to the Board confirmed that it is in the remit of each committee that committee minutes come to the Board. This provides the Board with a level of assurance of the work undertaken by each committee. Due to the temporary changes to operations last year where some committee meetings formed part of the full board meeting, approved minutes for some committees did take some time before being presented to the Board.

9.1   Human Resources Committee Minute 6.10.15

The Chair of the Human Resources Committee presented the minute of the meeting held on the 6th October 2015. He commented on the amount of work involved in the Draft Human Resources Strategy that the Director of Organisational Development and Facilities presented at the meeting.

Members noted the minute.

9.2   Learning & Teaching Committee Minute 27.10.15

The Chair of the Learning & Teaching Committee presented the minute of the meeting held on 27th October 2015. She highlighted the positive outcome of the 2014-15 student satisfaction survey

Members noted the minute.

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9.3 Finance & General Purposes Committee Minute 8.12.15

The Chair of the Finance & General Purposes Committee presented the minute of the meeting held on the 8th December 2015.

Members noted the minute.

9.4 Remuneration Committee Minute 28.4.14

Members noted the minute.

10 Matters for decision

10.1 Strategic Risk Register

The Vice Principal, Corporate Services and Governance, spoke to the report which had been issued. She advised that the register is now ordered in rating order of highest to lowest. In line with the College's Risk Management Policy only risks with a rating of 12 or above need to be included in the Risk Register, but for completeness all risks have been included.   She advised the Committee there were two changes since the last board meeting. Risk no 4 'Unable to achieve credit (activity) target has increased from a rating of 8 to 12 and risk no 5 'The review of property and provision in Dumfries by the University of the West of Scotland' is an addition to the Register. She advised members that the Strategic Risk Register had been discussed and approved at the Audit Committee at its meeting earlier that day. In response to a question on whether a rating of 3 was sufficiently high for the risk unable to achieve credit targets, the Vice Principal Corporate Services and Governance advised that the rating reflects the shortfall, forecast to be 3% under target. This equates to a potential claw back of £186,354 which has been accrued for in the 2015-16 accounts.

In response to a question on disruption to business continuity in light of the recent flooding, the Vice Principal Corporate Services & Governance confirmed that the procedure was followed. However, as is normally the case, the College would reflect on lessons learned from the event and the business continuity plan updated with any improvements.

The Principal provided an update on the recently held discussions with University of the West of Scotland (UWS) on the review of their Dumfries operations. She advised members that Dean, Professor Foley now has responsibility for Dumfries Campus. UWS were under the impression that they had a service level agreement with the College, although no documentation can be found to confirm this. She also reported on a recent meeting with Professor Malcolm Foley to discuss the review of current provision in Dumfries, including articulation links and future portfolio to be focused on Health and Wellbeing. UWS's current lease expires in August 2016. The intention is to extend the lease for one year to allow alternative options to be considered, including co-location with the College building.

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The Principal asked the Board to confirm in principle that they were happy for her to continue discussion with UWS on relocating to the College building with no commitment on either side. Board Members agreed. The Principal advised that SRUC will be included in future discussions also, but at present their focus is on appointing a new Principal. In response to a question on whether to explore articulation routes with other universities, the Principal advised that articulation opportunities were not exclusive to UWS, for example, the College is working with Strathclyde Engineering Academy in relation to Engineering.

Action: The Principal to continue discussions with UWS and SRUC as appropriate.

The Board approved the Strategic Risk Register.

10.2   Human Resources Strategy

The Director of Organisational Development and Facilities spoke to the report which had been issued. She advised that the strategy had been developed to support Vision 2020 and moving forward. She reported on discussions at the Human Resources Committee in terms of finalising the strategy. Members noted the work involved in developing the Strategy and congratulated the Team involved.

The Board approved the Human Resources Strategy.

10.3   Academic Staff Pay Award

The Chair spoke to the report that had been issued. Members raised concern about the wording of the report and asked for 'impose the pay award' to be changed to 'implement the pay award'. If agreement had been reached at the NJNC then implementing would be accurate, however agreement had not been reached therefore the Board were asked to impose the pay award. Members also sought clarification on affordability. It was confirmed that the college had included the pay award in the 2015-16 budget. Following further discussion members were asked to vote on imposing the pay award. Ian White declared an interest at this point and chose to abstain from the vote. The Chair asked for members to vote, by show of hands, to impose the pay award. By a majority, members agreed to impose the pay award. In reply to a question, why she voted no, the Principal advised of her concern of the damage that may be caused to good industrial relations by imposing the pay award in particular, at college level where the relationship with staff and management is very good. Following a request by some members to change their vote, the Chair confirmed that as the vote had already been counted this was not possible. The Principal confirmed that she would advise staff of the Board's decision.

The Board agreed to impose a pay award of 1% or £300 consolidated (whichever is greater), effective 1st April 2015, to be paid in the March 2016 pay.

The Principal advised that she had received an e-mail informing of the results of the EIS Ballot, and the 32 proposed dates of strike action between now and June. The first strike day had been

Board of Management

confirmed for 17th March, with another 2 days the following week, escalating to 3 days per week the week following the Easter Break. The Principal confirmed that the college had been informed that it had 71 EIS members. The Executive Management Team will be meeting on the 9th March to agree contingency plans which will be kept under review as further information becomes available.

In answer to a question on previous strike action, the Director of Organisational Development and Facilities confirmed that in recent years there had been a one day strike over pension changes. The last industrial action over a pay dispute was over 12 years ago.

Ian White confirmed that he had met with most of the Dumfries based EIS members that morning and explained the current situation. He advised that the total number of strike days was a shock to all and that members were conscious of the fact that this may have an impact on relationships within the college. Members also spoke of their concern over their students and the lack of teaching time if all strike days go ahead as planned and the amount of pay lost through strike days. The Principal confirmed that if all strike days go ahead as planned it is unlikely that students will complete their course both here and across the Sector.

It was noted that one of the strike days, 23rd March, was the day arranged for the Board Secretary Interviews. Hugh Carr offered to hold the interviews at DGHP, preventing any potential issues in crossing the picket line at the college.

The Principal re-iterated that the Industrial Action was taking place as a result of National Bargaining and as long as we continue to work with staff and the Union Representatives to acknowledge difficulties, the College can work its way through this difficult time. Members advised that the Board places great value on staff in the college. The Principal was commended on her intention to maintain the strong relationship between staff.

The Vice Principal Learning and Skills and the Director of Organisational Development and Facilities left the meeting at this point.

10.4   Executive Management Team Pay Award 2015-16

The Board discussed the recommendation made by the Remuneration Committee to offer a pay award to the Executive Management Team (including the Principal) of 1% (consolidated) plus two additional days annual leave (unconsolidated) for the period 1st April 2015-31 March 2016. This is in line with the pay award for support staff and on the proviso that, should an improved offer be made to other college staff, this will be extended to the Executive Team.

The Board approved the pay award, on the proviso that, should an improved offer be made to other college staff, this will be extended to the Executive team effective 1st April 2015, to be paid in the March 2016 pay.

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10.5   Review of Deputising Responsibilities

The Board discussed the recommendation made by the Remuneration Committee to align the salary of the Director of Organisational Development & Facilities to the same as the Vice Principals'.

The Board approved the salary change for the Director of Organisational Development & Facilities effective from 1 April 2016.

The Vice Principal Learning and Skills and the Director of Organisational Development and Facilities rejoined the meeting at this point.

10.6   Review of Selection and Appointments Committee Remit

The Chair spoke to the report which had been issued, advising that the remit of the Committee be expanded to reflect the 'development of the board' work of the Committee and to change the name of the Committee to better reflect the revised remit. The Board discussed the changes and in answer to a question on the Committee meeting once a year, the Board Secretary advised that there was a short-term need for the Committee to meet to develop the plan.

The Board approved the change of name to Board Development Committee and changes to the remit of the Committee.

10.7   Review of Remuneration Committee Remit and Membership

The Chair spoke to the report which had been issued, seeking approval from the Board to review the Committee remit and membership, to comply with the Scottish Funding Council's guidance on seeking approval for severance schemes and settlement agreements. The Chair asked for volunteers from staff members to join the Committee. Ian White volunteered.

The Board approved the change to remit and membership of the Remuneration Committee.

10.8   Employer Engagement Strategy

The Principal spoke to the report which had been issued, advising that there had been a strong focus on building stronger employer-college relationships over the last couple of years. She advised that the Crichton Institute undertook some of the background research. Members discussed the report, the importance of Employer Engagement and the work done by the College so far. The Board noted that regular updates on progress will be provided.

The Board approved the Employer Engagement Strategy.

11   Matters for discussion

11.1   Key Performance Indicators 2015-16

The Vice Principal, Corporate Services and Governance, spoke to the report which had been issued. She advised that the report had been improved to now include narrative on each of the KPIs. She highlighted to the Board that the College was forecasting a shortfall in credit activity which will require the College to repay some of its Scottish Funding Council grant. A provision has already been made in the accounts to reflect this. The main reasons for the shortfall in credits relate to some groups not achieving their recruitment target, some courses not running as planned and a drop in early student retention. Further work will be done to better understand the drop in early student retention so that measures can be put in place early next session to improve retention.

The Chair reported on the meeting that she and the Regional Chair had with Education Scotland during the review week which focused on retention. She advised that students leaving for employment should not be seen as a failure. The Vice Principal, Corporate Services and Governance, confirmed that the College records students reasons for leaving. The Chair asked for this information to be made available at a future board meeting. The Principal advised members that one of the mains points for action following the Review by Education Scotland is to implement strategies to improve retention rates. Following feedback from Education Scotland the College will also review its Open Access Admissions Policy. The Principal advised members that retention was also a sector problem.

Members noted the report.

Action: The Board requested information on the reasons students for leaving college to be available at a future board meeting

11.2   Strategic Plan/Regional Outcome Agreement Update

The Principal spoke to the report which had been issued on the Board strategic session on 2nd February 2016. The Board confirmed that if the College achieves the priority impacts for 2016-17 it will go some way to achieving Vision 2020. The final Regional Outcome Agreement will be updated to reflect areas identified at the session. The Principal reported that the final version of the Regional Outcome agreement for 2016-17 will be presented to the Board at its June meeting.

Members noted the report.

Action: Final version of the Regional Outcome Agreement for 2016-17 to be considered at the June meeting of the Board.

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12   Matters for information

12.1   Equalities Outcome

The Director of Organisational Development and Facilities spoke to the report which had been issued, providing an update on Equality Outcomes for the period 2013-17. A new user friendly Equalities Outcome report will be developed next session and be published in April 2017. In answer to a question on the percentage of staff over 50, the Director advised due to change in the State Pension age assumptions cannot be made on when staff will retire. However, part of the Human Resource Strategy in terms of the Workforce Planning, includes asking staff over 50 for an indication on when they are likely to retire. In answer to a question on 100% of the learners completing the Equality data at time of enrolment, the Director confirmed that students have the option to answer questions with 'I do not wish to respond'. Members noted and thanked the Director of Organisational Development and Facilities for a comprehensive report. It was noted that the equalities training for board members had not yet taken place.

Action: Board members to undertake Equalities training as soon as can be arranged

12.2   Scottish Funding Council Letter of Guidance 2016-17

The Principal spoke to the Ministerial letter which had been issued to the Scottish Funding Council, identifying the draft budget proposals for 2016-17. The Chair asked the Board to note the letter and in particular the information on Strategic Objectives identified in paragraphs 14 – 21 and Developing Young Workforce paragraphs 37 – 45. The Principal reported that the Scottish Funding Council was still working on grant allocation for colleges.

Members noted the letter.

12.3   National Pay Bargaining – Support Staff Pay Award

The Principal reported that UNISON members had accepted the National Joint Negotiations Committee pay offer of 1% or £300 (consolidated) whichever is the greater, plus 2 additional days annual leave (unconsolidated) for the period 1st April 2015-31March 2016, to be paid in the March pay.

12.4   College Chairs Remuneration – Revised January 2016

The Secretary to the Board spoke to the letter which had been issued, advising the College that entitlement of remuneration for Regional Chairs had now been revised. The Regional Chair can now claim up to a maximum of £20,800, backdated to when the Chair was appointed.

Members noted the letter.

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12.5 Dumfries and Galloway Skills Assessment January 2016

The Principal spoke to the report which had been issued, advising that this was for the Board's information at this stage. The Principal reported that the College will take account of the findings in the report when reviewing the curriculum and at the next Board Strategic Development event. In answer to a question on the data, the Principal advised that it was unlikely that we would receive a split in the areas for East and West. It was noted that the earnings in the area were well below the national average.

Members noted the report.

12.6 Education Scotland Review Update

The Principal provided an update on the recent Education Scotland Review earlier in the meeting, under the Principal's Report (agenda item no. 7).

13 Any other Business

None.

14 Date and Time of Next Meeting

The Date and Time of the next Board of Management Meeting was confirmed as Tuesday 7th June 2016, at Dumfries starting at 2 pm.

Board of Management

Report to the Board by the Regional Chair

1   Introduction

The purpose of this report is to update the Board of Management on recent developments in the Further Education sector, the Region as well as feedback from various meetings.

2   Colleges Scotland/Sector

2.1 Discussions regarding Colleges Scotland Committee Structure

Going forward the main committees which will report to the Board are Colleges Principals Group and Funding and Finance committee. A new Employers Association has been formed which will be responsible for Workforce for the Future and National Bargaining.

2.2 Sector Funding

Discussions have taken place and information has been gathered in this area which will lead to the Spending Review Submission for 2017/18 – 2019/20 which will be submitted to Scottish Government later this month after consideration at the CS Board meeting this week.

2.3 Meetings

I have attended various meetings including:

- Colleges Scotland Board Residential event on 31st March – 1st April
- Colleges Scotland Board meeting on 28th April
- Two CDN Board Induction/Governance events, which I recommend to all members
- Colleges Scotland Employers Association formation meeting

3   Regional Business

3.1 I met with Iain McIntosh, Vice Principal Edinburgh Napier University to discuss opportunities for D&G College and Napier University to work together, leading to increased articulation routes

3.2 I have been engaged with Board Secretary Recruitment and Initial meetings

3.3 I met with Professor Malcolm Foley, UWS

3.4 I have attended CCLG meeting on 23rd May here at the college

3.5 I have attended and input to the DYW Regional Board

3.6 I have attended the Chamber of Commerce Awards on 29th April at the Easterbrook Hall

3.7 I chaired the IoD/Scottish Enterprise Lecture by Jo Macsween here at the college on 4th May and also attended a Private Dinner in the evening

3.8 Also attended various Board committee meetings

Board of Management

4   Recommendation

It is recommended that the Board note the contents of this report, and members are invited to comment.

Brian Johnstone
Regional Chair
June 2016

Key Messages/Lines to Take – June 2016 (Non-disclosure)

Cabinet Secretary for Education and Skills – Key Priorities:

Education for Enterprise and Entrepreneurialism

Colleges Scotland supports the view of the Deputy First Minister and Cabinet Secretary for Education and Skills that enterprise education should be integral to our professional and technical education provision. Colleges Scotland will engage with the agencies that are funded to promote enterprise and entrepreneurialism in education and encourage its member colleges to ensure that enterprise and entrepreneurialism become integral to their vocational education provision.

Attainment Gap

Colleges Scotland supports the Scottish Government's key priority of closing the attainment gap. We believe that colleges are uniquely placed to make a real difference to attainment levels in Scotland. Colleges work in partnership with schools, local authorities and other agencies to provide highly effective 'alternative curriculum' provision for young people in schools at risk of disengaging and non-attenders. These include programmes designed to develop core and personal skills and a variety of experiences that build relationships with disengaged young people and begin to bring the college environment, and learning itself, within their comfort zone.

Many school-college partnerships offer exposure to learning in a workplace setting, helping young people to make an informed choice about vocational or academic routes and this will impact positively on attainment for all. We look forward to working with the Scottish Government to close the attainment gap and ensure that all young people can realise their potential regardless of background or circumstances.

Widening Access

We welcome the Sutton Trust's recent report which acknowledged the crucial role that colleges play in delivering higher education and progression routes into universities for students who wish to do so, regardless of their background. It underlines that these routes are more likely to see Scottish students from disadvantaged backgrounds gaining access to university.

There is still progress to be made and we look forward to working with the Scottish Government's Fair Access Commissioner when they are appointed in the summer to create innovative solutions to deliver a more efficient and integrated educational landscape.

College Budgets

The Scottish Government confirmed its commitment to deliver a flat-cash settlement to the college sector for the academic year 2016/17. We see this as a vote of confidence in the sector and a strong recognition of the valuable work that colleges deliver for the benefit of students, business and communities across Scotland. While finances are tight, we believe that we have robust financial monitoring systems and clear accountability to ensure that we deliver value for money. We recognise that the sector has to live within this tight financial settlement and work in partnership with the Scottish Government as well as the private sector and other organisations to deliver courses of the highest possible quality for students. Colleges are committed to ensuring that they work in

conjunction with schools, universities, employers and key stakeholders to deliver clear pathways to employment and improved skills.

Colleges Scotland has been in discussions with both the Scottish Government and the Scottish Funding Council regarding the next Spending Review – which we understand will cover the financial years 2017/18 to 2019/20 – and is currently preparing its submission to the Scottish Government.

Innovation and Enterprise Education

Colleges Scotland is strongly of the view that colleges should be perceived as vital to the Scottish Government's policy initiatives to stimulate and support innovation in Scotland's business and industry. We are making the case for this to be recognised through specific funding streams as part of our submission to the Scottish Government's Spending Review and through college engagement with and contribution to the Innovation Centres. Colleges already work closely with businesses in their regions and are uniquely placed to offer technical advice, training and support to enable such businesses to innovate and become more competitive and successful.

Foundation Apprenticeships

Colleges Scotland continues to question the rationale of developing Foundation Apprenticeships (FAs) only at SCQF Level 6. These and other concerns, particularly around funding, are under active consideration with key partners. Colleges will continue to bid for FA contracts and work with schools to secure participation, whilst advocating for entry points to FAs that are better suited to the majority of potential candidates. Colleges Scotland has engaged with NHS workforce planning and Scottish Government's regulatory division to promote the sector's potential to facilitate the NHS 2020 vision.

National Bargaining

We have worked hard with the EIS to reach a settlement and we are pleased that EIS members have accepted the offer. As part of the offer, which covers a two-year period inclusive of 2015/16 and 2016/17, the Management Side and the Lecturing Side of the NJNC agreed to jointly develop a roadmap towards harmonisation including national pay scales. The deal represents an important step towards modernising the college sector workforce and ensuring that terms and conditions of employment are brought into alignment across the country.

An offer has been made to Support Staff for 2016/17 which has been rejected. We will continue to work with the support staff trade unions to deliver a sustainable pay settlement for 2016/17.

Workforce for the Future

Creating a fit for purpose, cost effective and professional workforce to meet the needs of the college sector in the future is a challenging and extensive project. It is also inextricably linked to National Bargaining and the Trade Union claim for harmonisation, therefore it follows that to deliver both the Employers and Trade Union Side agenda, negotiation of a new flexible contract is required. Colleges Scotland, as the Employers' Association, has developed and scoped that piece of work which will now be developed into a detailed work and project plan. We continue to work and negotiate with the trade unions to realise the Workforce for the Future.

Colleges Scotland
June 2016

Board of Management

Principal and Chief Executive Report: April - June 2016

1   Purpose of the Report

This is the fourth (normally quarterly) report to the Board for academic year 2015-16 to provide Board members with a sense of 'day to day life' and activities of the College, with a particular focus on learners. The report provides a snapshot of the period and is not intended to be exhaustive.

2   The Report

2.1   Applications for 2016-17

Applications for next session appear healthy at the moment, with 2,000+ on the system (approx 270 of these are for Stranraer). Applications for Stranraer are higher than previous years at this stage in the application process but applications for Construction programmes in Dumfries are lower than anticipated.

2.3   Awards Ceremonies

Dates and times for the annual FE awards ceremonies are as follows:

- Hairdressing & Beauty – 6.00pm for 6.30pm, Tuesday 7 June, 2016 in Zest
- Sport & Fitness, 2.00-4.00pm, Wednesday 8 June 2016, in the Sportshall
- Construction & Engineering – these are being held as small class events at the learners' request
- Education, Health and Social Services – 6.00pm-8.00pm, Monday 6 June 2016
- Project Search – 6.00pm-8.00pm, Tuesday 21 June 2016

Stranraer HN Graduation -   Thursday 23 June, North West Castle, Stranraer

Dumfries HN Graduation -   Wednesday 24 August, Crichton Church, Dumfries

2.4   Student Association Elections

Student Association Elections have taken place. Voting opened on 25 May and closed 31 May.

2.5   Learner Activities

At this time of the year learners (and staff) are working hard to complete their work/assessments.

Some key learners activities include:

City and Guilds synoptic tests for Level 1 and 2 Professional Cookery have been taking place with industry representatives helping with the marking.

Hairdressing students have been working on their 'Total Look' assessment and will recreate the looks for the Awards Ceremony on 7 June.

Hospitality learners in Stranraer were asked to provide a lunch for the Stranraer Rotary Club recently. 28 members attended and the feedback was extremely positive. The Rotary Club are looking for opportunities to support the learners, perhaps with providing some sponsorship in the future.

The Student Association organised very successful summer BBQ's at both Stranraer and Dumfries. Live music, a photo booth, candy bar as well as burgers and hot dogs were on offer and both were very well attended.

June Holland, Head of Faculty and the Princes Trust Team attended Buckingham Palace recently as part of the 40th anniversary celebrations. The work or our extremely successful team was also recognised this week when we were informed we had won the Delivery Partner Award from the Princes Trust. This acknowledges the contribution the College has made to the aims and objectives of the Princes Trust compared with all the other (approximately 90) delivery partners and is an extremely high accolade a sit places us amongst the top 3 in Scotland.

Brownhall Primary school pupils have been participating in coaching sessions led by our Sport and Fitness learners. An event was also delivered at Georgetown Primary school for 130 pupils, which included boxing as one of the activities. Thankfully, I have not heard of any injuries!

The Student Support & Guidance Team wanted to raise awareness amongst learners of the 'Just Ask' scheme they run. Returning learners volunteer to help new students find their way around college and signpost them to the correct place. In the past the learners have worn badges to highlight the services but these were not always noticeable so this year the team have come up with a 'design a t-shire' competition which is open to all learners in Dumfries and Stranraer. I understand judging has taken place and a potential winner has been chosen – a technical check is being undertaken (ie how easy the t-shirt will be to print) and then the winner will be announced. There are approximately 12 'Just Ask' volunteers between the two campuses.

2.5 Employer Engagement & DYW
The College is delighted to have signed a pilot agreement with MAKlab in Dumfries allowing our Creative Industries learners and staff access to the excellent facilities and resources. The MAKlab in Dumfries works in partnership with UPLAND to offer young people, craft practitioners and makers, members of the public and local businesses access to some of the latest digital making equipment and materials.

The trial period will run until the end of this academic year and our learners are extremely excited about having access to the first class equipment, resources and assistance.

Sam Sparrow, MAKlab Studio Manager said *"We are keen to support, encourage, and involve the students and staff of the college in the growing resource, which I believe will be very valuable and*

useful for students and staff alike. The positivity and support has already been very good, and we look to build on this as MAKlab Dumfries continues to develop."

As part of our Strategic Objective to offer progression opportunities to our learners, the College recently signed a Memorandum of Agreement with Edinburgh Napier University to explore articulation opportunities – initially in the Engineering area but, potentially, this may expand to include other areas.

Iain Hawker, Head of Faculty for Business, Computing and Creative Industries is working with ERICSSON on their latest recruitment drive for Field Operatives. They are looking to recruit 3 or 4 posts in Dumfries and Galloway as part of a 250 UK recruitment drive over the next 3 years.

 Dumfries and Galloway College was the main sponsor for the Chamber of Commerce Business Awards held at the end of April. This was an extremely successful event with over 300 people attending, representing businesses across the region. The college logo was prominent on all marketing material, we arranged for gifts of business card holders and pens to be on every place setting, banners portraying learners were displayed throughout the hall and we had the opportunity to welcome all the guests and highlight our role in business and economic development.

The College hosted a Business lecturer on 'Growth and Managing Growth' delivered by Jo MacSween from MacSween haggis which was sponsored by Scottish Enterprise and the Institute of Directors. Although the turnout was relatively small, approximately 25 people, they were thoroughly engaged and some interesting discussion followed. The event was expertly compered by our Chair and Brian and I were invited to a dinner afterwards where the discussions continued.

2.6   Recommendation

Members are asked to note the update on key College activities.

Carol Turnbull
Principal and Chief Executive Officer
June 2016

Board of Management

Report to the Board by the President of the Students' Association

1. Introduction

The purpose of this report is to update the Board of Management on recent developments in the Students' Association including the following:

- Events/Training
- Student Partnerships in Quality Scotland [sparqs]
- Development Plan
- Self Evaluation
- Review of Constitution
- Elections
- Charity Fundraising

2. Student Association Events

At Stranraer campus, Student Association supported 5 students to take part in a 30 mile walk to raise money for Glasgow Children's Hospital.   SA at Stranraer also hosted a staff/student BBQ on 19 April which proved a great success. Plans before the end of the session include 2 members of the executive building a memorial bench for a former SA executive member who sadly passed away recently and a charity car wash with motor vehicle students to increase the total money raised for the Glasgow Hospital.

Elections are underway at both campuses with the President and Vice President roles up for re-election. In Dumfries, elections are also underway with President and Vice President role up for re-election. There are 2 potential candidates for the President and 2 for the Vice President. SA are hosting a staff student BBQ at Dumfries on Thursday 26 May with donations being sought for Teenage Cancer Trust.

3. Student Partnership Agreement

Student Partnerships were first explored through the quality working group as a Scottish alternative to the rest of the UK. The government's Post 16 consultation refers to wanting 'learners to have a strong voice in shaping their experience' and sets out the desire to 'strengthen current arrangements, including the profile of student unions'. Student Partnership agreements present opportunities to ensure students are central to assuring and enhancing the quality of education across colleges and universities.

To date two meetings have been held with a representative from SPARQs facilitating. The first meeting was held with SA representatives and a small number of staff. At the second meeting a number of additional staff and students joined the group which is now made up of a number of class reps, a Head of Faculty, 1 curriculum leader, 4 members of staff and representatives from the Student Association Executive including the Student President. The

Board of Management

partnership agreement is well underway and we plan to meet to finalise this before the end of the session.

4.   Development Plan update

The development plan has been discussed with the current Student Association Executives and adjustments made where appropriate. Required actions have been addressed with a number of recommendations being carried forward for the new executive to progress. A working plan of outstanding actions will be finalised prior to the end of session. Actions for the new session include:

- Review of working plan and development plan with new executive committee at start of session
- Plan for Freshers and various campaigns to be agreed following elections
- Discussion with Senior Management on input required to Outcome agreement
- Raise profile of Student Association through working with Marketing team
- NUS training for elected executives to be progressed

5.   Self Evaluation

The self evaluation for 2015.16 has been carried out and the documentation provided through SPARQs has been reviewed and reduced to make it a more manageable size.   A number of points for action have been passed to the Partnership Agreement group for further discussion and inclusion in the agreement where appropriate. These included the following actions;

- A dedicated website for the Student Association to be set up
- Partnership working with college to be progressed
- Review of link between class reps and student association
- Awareness raising events on the role of the student association to be held
- Implementation of Student Association Executive code of practice
- Finalised Constitution to be presented to the Board of Management by October

6.   Review of Constitution

NUS has been working with the Student Association to review the constitution. There have been no major amendments recommended but mainly ensuring that the constitution is up to date with current NUS guidelines and procedures. The review covered membership of the association, Powers of the association, election regulations, meeting regulations and Education act 1994. The final version will be considered by the elected executive for 2016-17 and be presented to the Board of Management meeting at the start of next session.

Board of Management

7.   Students' Association Elections

Election campaigns are being run between 25th and 31st May with 2 candidates standing for President, 2 for Vice President (Dumfries) and 2 for Vice President (Stranraer). Voting will take place on-line through the individual student log in to LearnNet. The HR Director has agreed to act as Returning Officer and Quality Manager as Depute Returning Officer.

8.   Charity Fundraising

So far this session Student Association at Stranraer Campus has raised £350 for their chosen charities and at Dumfries Campus the Student Association has raised £1,074.37.

9.   Recommendation

It is recommended that the Board note the contents of this report

Jules Weir
President
Students' Association

May 2016

Board of Management

Minute of the Meeting of the Audit Committee of the Board of Management of Dumfries and Galloway College held on 24 November 2015 at 2.00 pm in Room 1074b

Present:	Hugh Carr (Chair)		Delia Holland
	Stuart Martin		Pat Kirby

In attendance:	Carol Turnbull, Principal	Brian Johnstone, Regional Chair
	John Henderson, Chair of F&GP	Karen Hunter, Finance Manager
	Lindsay-Anne Straughton, RSM	Jackie Ballard, Grant Thornton
	Robert Barnett, RSM	Angela Pieri, Grant Thornton
	Jannette Brown, Secretary to the Board and Vice Principal Corporate Services & Governance	

Minute Taker: Caroline Donoghue, Executive Team Assistant

1   Apologies

Apologies were intimated on behalf of Janice Goldie

The Secretary to the Board confirmed the meeting was quorate with enough members present to allow decisions to be made.

2   Declaration of Interest

Members agreed to indicate declarations of interest as appropriate throughout the meeting.

3   Minute of Previous Meeting

The Minute of the Audit Committee held on 22 September 2015 was approved.

4   Matters Arising

There were no matters arising

5   2014-15 External Audit Annual Report

Jackie Ballard and Angela Pieri on behalf of Grant Thornton spoke to the External Audit Annual Report for 2014-15 which had been circulated:

Ms Ballard advised that the new format of the report was governed by requirements from Audit Scotland covering three areas of Finance, Governance and Performance and now includes a new Remuneration Report. The audit report covered the 16 month period from 01 April 2014 to 31 July 2015. Members were advised that the audit was substantially complete with the Remuneration Report and the Letter of Representation still to be included. The Remuneration Report currently has a qualification because the College is awaiting CETV pension information from the Local Government Pension Scheme. No

adjustments have been made to the primary statements in the accounts.   Both Ms Ballard and Ms Pieri thanked the Vice Principal, Corporate Services and Governance, Karen Hunter, Finance Manager and the Finance team for all their help and support during the Audit.

The Committee discussed and noted the report.   The Committee also recorded its thanks and appreciation of the work of the Finance team through difficult and complex circumstances in 2014/15

6   2014-15 Financial Statements

The Chairman of the Audit Committee asked members to discuss the Financial Statements which had been issued.

Members noted that although a deficit was recorded, the College is performing in line with the budget; no concerns were raised. Ms Ballard confirmed that whilst the College accounts show a deficit this is due to technical accounting adjustments and not because of mismanagement of college finances. Ms Ballard advised the Committee the College is required to move to the full International Financial Report Standards (IFRS) when presenting its financial statements for 2015-16.   Ms Ballard offered the services of Grant Thornton to support the College through the changes.

The Chair of the Audit Committee expressed strong objections to the level of personal financial information included in the remuneration report for the Executive Management Team and felt it was excessive and intrusive; members of the Committee supported his views and requested their concerns be reported to the Board of Management at the next meeting. Brian Johnstone, Regional Chair agreed to highlight the Committee's objections at the next Regional Chairs meeting.

Following discussion and assurances given by the Grant Thornton, External Auditors the Audit Committee approved the Financial Statements for recommendation to the full Board of Management at its meeting on the 15th December 2015.

7   Internal Audit Reports

Ms Straughton spoke to the reports which had been issued.

7.1   Student Activity Data

Ms Straughton spoke to the report which had been issued. This report is one of two statutory audits which are required by the Scottish Funding Council. This report is an independent opinion of the accuracy of the Further Education Statutory (FES) return. The Auditors are required to assess the adequacy of the College's systems procedures and controls which underpin the completion of the FES data submitted.

Ms Straughton confirmed there were no issues or management actions raised and the College received a green audit opinion which is the highest rating available.

Members noted the report.

7.2   Student Support Funds

Ms Straughton spoke to the report which had been issued. The audit is a statutory audit reviewing Bursaries, Student Support funds and the Education Maintenance Allowance (EMA). It includes a detailed review of the processes and controls in place relevant to the processing of applications and payments.

Ms Straughton confirmed there were no issues raised. There was one management action raised around the requirement for a separate bank account for Bursary funds. The Finance Manager confirmed that this has already been addressed. The College again received a green audit opinion which is the highest rating available

Members noted the report.

7.3   Internal Audit Progress Report

Ms Straughton spoke to the report which had been issued. The Internal Audit Report for 2015-16 was approved by the Audit Committee and this report gave an up to date overview of the audits completed to date. The report confirmed that there are no findings from the completed audits which require attention.

The Committee considered and noted the contents of the internal audit reports.

The committee congratulated the Principal and her staff on the positive reports from the internal auditors.

8   Strategic Risk Register

The Vice Principal, Corporate Services and Governance spoke to the report which had been issued. The Vice Principal advised that there were no new risks added to the register since the last meeting. The Principal and Executive Management Team have reviewed the Risk Register and have increased the risk rating in relation to the lack of flexibility of the College to manage financial and estates issues and the need to use funding from College's foundation for development within the college.

The Committee considered and approved the Strategic Risk Register.

9   Any Other Business

None

10   Date and Time of Next meeting

The next meeting of the Committee would take place on Tuesday 23 February 2016 at 2pm

14   Good Governance

The Chair asked members of the Executive Team and the Finance Manager to withdraw from the meeting in order for the Committee to meet privately with internal and external auditors.

The Chair sought feedback from external and internal auditors on any matters that they wished to raise without staff present. Both reported on strong and positive relationships with staff, and complimented them on the quality of cooperation received and working papers provided for audit. Neither raised any concerns or criticisms of management or staff.

Board of Management

Minute of the Meeting of the Audit Committee of the Board of Management of Dumfries and Galloway College held on 8 March 2016 at 12:30 pm in Room 2009

Present:	Hugh Carr (Chair)	Delia Holland
	Stuart Martin	Pat Kirby
In attendance:	Carol Turnbull, Principal	Karen Hunter, Finance Manager
	Philip Church, Client Manager, RSM	Angela Pieri, Grant Thornton

Jannette Brown, Secretary to the Board and Vice Principal Corporate Services & Governance

Minute Taker:	Heather Tinning, Executive Team Assistant

1 Apologies

The Chair welcomed members to the meeting. There were no apologies for absence.

The Secretary to the Board confirmed the meeting was quorate with enough members present to allow decisions to be made.

2 Declaration of Interest

Members agreed to indicate declarations of interest as appropriate throughout the meeting.

3 Minute of Previous Meeting

The Minute of the Audit Committee meeting held on 24 November 2015 was approved.

4 Matters Arising

There were no matters arising.

5 Internal Audit Reports

5.1 Value for Money – APUC's Procurement Capability Assessment

Mr Church spoke to the report which had been issued. The purpose of the report was to provide the College with feedback on its current system and processes for procurement to ensure the College is ready for any future Procurement Capability Assessments (PCAs), as well as confirming that appropriate procurement systems and procedures are in place to ensure Value for Money is achieved. Overall the review showed that system and controls in place were adequate. RSM identified six 'low' and three 'medium' actions. The 'medium' actions relate to:

- No annual reporting to the board detailing compliance with the Procurement Strategy during the year;
- A review of approved suppliers had not been undertaken to ensure value for money was still being achieved; and
- Ana analysis of spend had not been provided to management identifying any large areas of spend.

One of the 'low' priority actions in relation to governance found the Scheme of Delegation not sufficiently detailed and doesn't outline the authority delegated by the Board. The College has agreed to update the Scheme by July 2016.

Taking account of the issues identified the Board can take **reasonable assurance** that the controls upon which the College relies to manage this area are suitably designed, consistently applied. Members discussed the report and noted the key findings.

Action: Update current Scheme of Delegation by July 2016 and bring to committee for review.

5.2 Strategic and Financial Planning

Mr Church spoke to the report which had been issued. As part of the approved Internal Audit Plan for 2015/16, RSM reviewed the College's strategic and financial planning arrangements.   RSM concluded that the College has a strong control framework in place to deal with strategic and financial planning and are pleased to report that only one 'low' priority matter has been identified during our review, in relation to the level of detail recorded in Board meeting minutes surrounding the Board's involvement with the setting of the Strategic Plan.

Taking account of the issues identified, the Board can take **substantial assurance** that the controls upon which the College relies to manage the identified risk(s) are suitably designed, consistently applied and operating effectively. Members discussed the report and noted the key findings.

Action: Ensure detailed minutes are taken during Board strategic planning events

5.3 Budgetary Control

Mr Church spoke to the report which had been issued. An audit of Budgetary Control was undertaken as part of the audit plan for 2015/16. The College is required to have a robust control framework in place for budget setting and monitoring to ensure compliance with Scottish Funding Council requirements.

During the 2014/15 year the College undertook a year end change between its budget year for Scottish Funding Council (SFC) monitoring purposes and financial/ academic year end. This resulted in a March budget reporting year for SFC purposes and a July financial and academic year end. To accommodate this change the College undertook a 16 month budgeting year. Due to the change in budget reporting and financial/ academic year ends the College operates a four / eight month split to align the 12 month annual budgets to the two different year ends.   The audit work confirmed

that there are adequate controls in place around the budgetary controls at the College. RSM identified one area for improvement around the general documenting and audit trail available to support the budgetary controls in place. This has resulted in one "low" management action being raised.

Taking account of the issues identified, the Board can take **substantial assurance** that the controls upon which the organisation relies to manage this area are suitably designed, consistently applied and operating effectively. Members discussed the report and noted the key findings.

5.4 Progress Report

Mr Church spoke to the report which had been issued. The purpose of the report was to provide an update on progress against the Internal Audit Plan for 2015/16 approved by the Audit Committee in Many 2015. The Plan included a total of eight planned reviews. Summary of the results of the work to date:

Assignment area	Status
Strategic and Financial Planning	Being presented at this Audit Committee
Budgetary Control	Being presented at this Audit Committee
Value for Money – APUC's Procurement Capacity Assessment	Being presented at this Audit Committee
Human Resources Effectiveness	Fieldwork complete. Will be presented to next Audit Committee
Value for Money – Procurement	Fieldwork complete. Will be presented to next Audit Committee
Action Tracking	Fieldwork planned week commencing 11th April
Student Support Funds	Field work planned for summer 2016
Student Activity Data (Credits)	Field work planned for summer 2016

Members discussed the report and noted the progress made to date.

6 Strategic Risk Register

The Vice Principal, Corporate Services and Governance, spoke to the report which had been issued. She advised that the register has been adapted to show the Residual risk in order of highest to lowest. In terms of the College's Risk Management Policy only risks with a rating of 12 or above need to be included in the Risk Register, but for completeness all risks have been included.

She advised the Committee there were two changes since the last board meeting. Risk no 4 'Unable to achieve credit (activity) target has increased from a rating of 8 to 12 and risk no 5 'The review of property and provision in Dumfries by the University of the West of Scotland' is an addition to the register.

The Principal advised the Committee that she will provide a full update on the latest discussions with University of the West of Scotland at the Board meeting this afternoon.

Members discussed the report and noted the key changes.

7   Any other Business

7.1   College's Risk Management Policy

The Vice Principal, Corporate Services and Governance, advised the Committee that the College's Risk Management Policy was due to be reviewed and plans to bring the Policy to the next Audit Committee meeting for members to consider.

7.2   Account Year-End

The Principal reported on recent discussions to move the account year back to a March year-end. Members to note that this is a just an informal discussion at this stage, and would be updated accordingly.

8   Date and Time of Next Meeting

The next meeting of the committee planned to take place on Tuesday 10th May 2016 at 2 pm.

Board of Management

Minute of meeting of the Learning and Teaching Committee of the Board of Management held at the Dumfries Campus on Tuesday 15 March 2016 from 2.00 pm in Room 1074b.

Members present:	Delia Holland (Chair)	Carol Turnbull (Principal)
	John Henderson	Kenny Henry
	Craig McGill	

Faculty representatives:	Jim Maginess	Peter Woods

In attendance:
Andy Wright, Vice Principal (Learning and Skills)
Jannette Brown, Secretary to the Board and Vice Principal (Corporate Services & Governance)
Brian Johnstone (Regional Chair)
Rob Field (Student Association Vice Principal, Dumfries)

Item 3 only
Alison Jardine (Business Development Community Services Manager)
Drew Easton (Head of Faculty, Building and Engineering Services)

Minute Taker:
Heather Tinning, Executive Team Assistant

1   Welcome and Apologies for Absence

The Chair welcomed all to the meeting, including the Regional Chair, Brian Johnstone and also Rob Field from the Student Association to his first Learning and Teaching Committee meeting. The Chair also thanked John Henderson for chairing the last meeting in her absence.

Apologies for absence were intimated on behalf of Barry Graham, Ian White, Julian Weir, David Denholm and Lorna Carr.

The Secretary to the Board confirmed the meeting was quorate with enough members present for decisions to be made.

2   Declaration of interest

Members agreed to indicate declarations of interest as appropriate throughout the meeting.

3   Presentation – Overhead Lines Technician Course

Drew Easton, Head of Faculty for Building and Engineering Services and Alison Jardine, Business Development Manager gave a presentation on the Overhead Lines Technician Course. Members noted that this course has been identified as excellent practice by Education Scotland during their review. Members heard how the College had worked in partnership with Scottish Power and sub-contractors to develop and deliver a bespoke training course leading to guaranteed employment. The training course includes additional qualifications in First Aid, Health and Safety, and Customer

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Relations. Following an interview and an assessment each successful applicant is invited to a further interview which includes an industry-simulated dexterity test carried out by contractors. Learners attend college five days a week for the first ten weeks of the 17 week programme. Thereafter, training continues with the subcontractor. Learners are categorised as employees from the first day of the programme and are guaranteed employment upon successful completion. The Principal advised that a lot of resourcing and effort goes into building and maintaining these types of relationships.

Members congratulated the College on working with the sector to develop and deliver this course.

4   Minute of Previous Meeting

The Minute of the Learning and Teaching Committee held on 19 January 2016 was approved.

5   Matters Arising

There were no matters arising.

6   Education Scotland Review

The Principal reported that subject to a final moderation check the College will receive a full effectiveness statement following the Review. There will be three main points for action and three examples of excellent practice:

- Overhead Lines Technician Course;
- Learning and Teaching Mentor Process; and
- Reablement and Partnership Working.

Members agreed that for a small college to be recognised for three excellent practices was an outstanding achievement. The Principal advised that the Learning and Teaching Mentor Process had been welcomed by Lecturing staff, providing support and assistance when required. Once the Report has been published the Executive Management Team will develop an action plan to address the main points for action. The Principal advised that she was also keen to get staff involved in taking this forward.

Positive feedback had been received from Education Scotland on the strong working relationships and positive vibe that was obvious in the college. Andrew Brawley from Education Scotland will attend the Board Meeting in June to discuss the main findings of the Report.

Members congratulated the College on the positive outcome of the Review and the work all staff put in leading up to the Review.

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7   Funding to support the Developing Young Workforce

The Principal spoke to the report which had been issued. An outline of the proposed use of the funds was tabled for information. She advised that the College had submitted a bid to support some of the issues around the Developing Young Workforce, including gender imbalance and building school and employer relationships. The bid was successful and the College was awarded £75,000 to support the activity up to end of July 2016. In answer to a question on the Developing Young Workforce Conference, the Principal advised that the date was still to be confirmed and that following a recent discussion the focus will be on practitioners not employers. Once the date has been set members will be advised.

The Vice Principal Learning and Skills advised that gender imbalance workshops had been arranged for the 19th April. In terms of Sport, Peter Woods advised that gender imbalance is apparent with no females on the lower level classes. Members spoke of the concern of the number of females that drop sport when leaving school.   In terms of the Care Sector, the Vice Principal, Learning and Skills advised that male and female students were required to support employment opportunities in Dumfries and Galloway and the ageing population.

The committee noted the report.

8   Vice Principal (Learning and Skills) Update

The Vice Principal Learning and Skills spoke to the report which had been issued. He advised retention had improved in both the FE Computing and the HE Electrical Engineering by 7% and 6% respectively on last year's figures. In answer to a question on facing the challenges of retention, Pete Woods advised that in sport an extra tutorial hour had been considered, framework had also been changed over time, and different delivery methods had been considered. Members discussed the reasons students give for early withdrawal. The Principal advised that only 11% of students leave early for employment. The Vice Principal advised that the Princes Trust programme has great retention. The selection process differs from other curriculum courses and students receive a lot of support prior to starting the course.

The Regional Chair spoke of the aspirations of young people which can have a negative effect due to health issues. In terms of aspirations of young people, the Vice Principal Learning and Skills suggested that the process should start as early as primary school.

Pete Woods asked if the selection and entry requirements, a first come first served basis, was detrimental to retention. The Principal reported that not many students were being turned away and advised that as a result of the Education Scotland report there would be a review of this process. In response to a question on the FE Hospitality retention of 65%, the Vice Principal Learning and Skills, advised that there were always 'teething problems' on the first year of a new course and that a review of the course will be undertaken. The Principal reported that following

the recent Fairtrade Breakfast event, employers were very impressed with the students and that following this event some of the students had been offered employment. She advised that every Employer offered work placement opportunities. The Principal will ask the Marketing Department to write up a Case Study. The Chair advised that it would be useful for the Board to be provided with an update on how the course was going. Members commented on Zest and the positive experience that they had encountered on using the facilities. The Principal advised that Hospitality Courses at Stranraer also receive positive feedback with students successfully gaining employment.

The Vice Principal Learning and Skills spoke of the Curriculum Development Plan (CDP) for 2017-18 and the challenges of planning ahead when the funding level had not been confirmed. The Chair advised that she had attended a meeting with Faculty Heads to discuss the CDP 2017-18. The Vice Principal advised that it was important to address the skills in our region, and spoke of the Regional Skills Assessment review which allows us to look at the local skills needed.

Members noted the report.

9   Student Association Update

The Student Association Vice President (Stranraer) provided an update to members on the events taking place in the Student Association, including an end of year barbeque at Stranraer, Class Representative meeting with the Principal and Elections for President and Vice President to take place following the Easter break. The citizenship week has been delayed owing to the planned industrial action and will be held following the Easter break. The Student Association Executive was currently working on self evaluation framework and reviewing the Constitution. The Chair reported that the Vice Principal Corporate Services & Governance invited her to attend a meeting she had with the Student Association Executive on the 7th March. At the meeting the Student Association Executive updated on progress made in the development plan, development of a self evaluation framework and the review of the constitution. Arrangements for 2016-17 elections were also discussed.

The VP Corporate Services and Governance advised that another meeting with the Student Association Executive was planned for the 16th March. The purpose of the meeting was to consider the draft regional outcome agreement for 2016-17, progress on the review of the Constitution and self evaluation. Also to seek views on how best to resource the Association next session.

9.1   Learner Engagement Survey

The Vice Principal, Corporate Services and Governance, spoke to the report which had been issued. In preparation for Education Scotland Review the Student Association, supported by

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Quality Team, sought views from learners on a number of areas. Members noted a very positive report. Different mechanisms had been used to complete the survey, including focus groups and one to one discussions.

Members noted the report.

10   Key Performance Indicators

The Vice Principal Learning and Skills spoke to the report which had been issued, in terms of retention and outcomes. The report is also issued to update members on progression, including College to University, and employment. Following earlier discussions on retention, he asked that members note the report.

Members noted the report.

11   Quality Audit Reports/Surveys – Complaints Handling Statistics

The Vice Principal, Corporate Services and Governance spoke to the report, which had been issued. She advised that there was nothing significant compared to previous year. She advised that queries are often resolved in the classroom and not raised as a formal complaint.

Members noted the report.

12   Any other Business

12.1   Industrial Action

The Principal reported that the college had been notified by EIS that over half of the EIS members had voted for Industrial Action. The potential strike days identified amounts to 32 days, between March and the end of June. The college has put in place a communication strategy to ensure that all are kept informed including students; staff; board members and Key Stakeholders. The Principal advised that she had met with both Student Association Vice Presidents to discuss any issues and concerns raised they might have. She reported on Media interest, including a recent Standard publication and coverage on the local news. The Chair advised that the extent of the action was very concerning. The Principal advised that the focus would be on the learners and keeping disruption to a minimum. As well as maintaining good relationship with staff.

12.2   University of the West of Scotland

The Principal reported on a recent meeting with the University of the West of Scotland (UWS) and advised that UWS were keen to explore co-location with the College on the College site.

12.3   Learning and Teaching Committee Membership

Board of Management

The Chair spoke of the importance of this committee, in that it has overall responsibility for monitoring the direction and performance of learning and teaching and the quality of the learners experience at the College. She believed that the Committee should be strengthened by more non executive board members.

Action: The Chair will seek additional members to join the Committee at the next meeting of the Board.

13   Date and time of the Next Meeting

The next meeting of the Learning and Teaching Committee will take place on Tuesday 31st May 2016 at 2pm.

Board of Management

Minute of the Meeting of the Finance and General Purposes Committee of the Board of Management of Dumfries and Galloway College, held on Tuesday 01 March 2016 at 2.00 pm in Room 2009, Dumfries campus.

Present:	John Henderson (Chair)	Ros Francis
	Kenny Henry	

In attendance: Jannette Brown, Secretary to the Board and Vice Principal Corporate Services & Governance
Karen Hunter, Finance Manager
Helen Pedley, Director of Organisational Development

Minute Taker: Heather Tinning, Executive Team Assistant

1   Welcome and Apologies for Absence

The Chair welcomed members to the meeting, including Heather Tinning, Executive Team Assistant, to her first Finance and General Purposes Committee meeting as Minute Taker. Apologies for absence were intimated on behalf of Carol Turnbull and Karen McGahan.

The Secretary to the Board confirmed the meeting was quorate with enough members present to allow decisions to be made.

2   Declaration of Interest

Members agreed to declare any declarations of interest as appropriate throughout the meeting.

3   Minute of Previous Meeting

The Minute of the Finance and General Purposes Committee held on 08 December 2015 was approved.

4   Matters Arising

None.

5   Fire, Health and Safety Update

The Director of Organisational Development and Facilities spoke to the report which had been issued, summarising ongoing works over the last couple of months. The Director confirmed that the Health and Safety Officer was still absent from college and that a Consultant had been employed in his absence. Members noted the key themes from recent audits that had been

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completed in relation to a Fire Audit and a Health and Safety Audit. The Chair thanked the Director for a very full report.

The Chair asked the Director of Organisation Development and Facilities is there were plans in relation to the new build retention.   She updated the committee on the state of the radiators and that the retention monies would be used to replace all radiators over the summer.

5.1   Flooding Update

The Director of Organisational Development and Facilities also provided an update on the recent flooding in the College, advising that the main areas affected were the service yard and level 00, caused by the unprecedented rainfall and water from the neighbouring fields. The College was closed for one day to all staff and students. Almost all courses in the Building and Engineering were postponed for one week allowing the cleanup crew unhindered access to the area. Members noted minimal disruption to the staff and students owing to the efficient services of the Zurich, college insurers, and the invaluable labour organised by the Loss Adjuster, which allowed works to be completed quicker than anticipated.

6   Update of the Sale of Catherinefield

The Director of Organisational Development and Facilities reported on recent discussions with the current tenant in the Catherinefield premises. The Director advised that it was the College's intention not to renew the lease and that the current tenant had been offered first refusal on the purchase of the premises. It is understood that at present the tenant is holding discussions with his bank regarding the purchase.   Members noted that recent works had been completed by the College at Catherinefield, in terms of demolition of an outbuilding to create car parking spaces.

Although the Scottish Funding Council (SFC) previously permitted the sale of Catherinefield, the College has been advised because of reclassification the College should seek permission to sell the building.

Action: The Director of Organisational Development & Facilities to write to the SFC seeking permission to sell.

The Director of Organisational Development and Facilities left the meeting

7   Financial Update (inc January Management Accounts)

The Finance Manager spoke to the report which had been issued. She reminded members that the accounting period has reverted to a July year end. The Finance Manager reported on the budget changes, in particular the contingency set aside for any costs resulting from the flood damage.

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Members noted that the Balance sheet was looking positive.

The Vice Principal Corporate Services and Governance reported that Andrew Ewart from Dumfries & Galloway Council will be giving a presentation on the Local Government Pension Scheme/FRS17 implications at the Board meeting on the 8th March. A paper had been sent to Board Members providing a background to the Presentation.

Members noted that the summary had been revised slightly, showing budget changes for the periods against approved budget and forecast for the year.

The Chair thanked the Finance Manager for a comprehensive report.

8   Aged Debt Report

The Finance Manager spoke to the report which had been issued. She reported that a substantial amount had been invoiced recently for Complete Training Solutions (CTS) courses, with only a few invoices remaining unpaid. In terms of decrease of student fees outstanding, Scottish Awards Agency for Scotland (SAAS) has now paid the tuition fees, thus making a slight change to the bad debt provision.

Members noted the report.

9   Cash Flow Forecasts

The Finance Manager spoke to the report which had been issued. Members noted the new layout of the Forecast, making for easier reading. The Manager reported on the large amount of money due this month from SAAS, amounting to over £1/2m. Following discussion on the amount of cash noted, the Vice Principal Corporate Services & Governance reported that the college must now follow Scottish Funding Council guidance on cash flow which is to keep as low as possible. The Finance Manager reported that the College will be required to move its banking services to the Royal Bank of Scotland in-line with Scottish Government Banking guidance. The College is awaiting a migration date.

Members noted the report.

10   Any other Business

No other business.

11   Date and Time of Next Meeting

Board of Management

The next meeting of the committee planned to take place on Tuesday 17th May 2016, at 2 pm.

Board of Management

Minute of the Meeting of the Remuneration Committee of the Board of Management of Dumfries and Galloway College held on Tuesday 26 January 2016 at 2 pm in Room 1074b

Present:	Delia Holland (Chair)	Brian Johnstone
	John Henderson	
	Carol Turnbull, Principal, for agenda items 6 & 7 only	

In attendance: Jannette Brown, Secretary to the Board

Minute Taker: Heather Tinning, Executive Team Assistant

1 Welcome and Apologies for Absence

Brian Johnstone, the Chair welcomed all to the meeting of the Remuneration Committee, including Heather Tinning, newly appointed Executive Team Assistant, to her first meeting as Minute Taker. There were no apologies.

The Secretary to the Board confirmed the meeting was quorate with enough members present to allow decisions to be made.

2 Declaration of Interest

Members agreed to indicate declarations of interest as appropriate throughout the meeting.

3 Minute of Previous Meeting

The Minute of the Remuneration Committee held on 28 April 2014 was approved.

Members noted the date of the last Remuneration Committee as 28 April 2014. It was noted that no business had been conducted in 2015. The Secretary to the Board advised that the Committee would normally meet once per year. However, the pay award agreed at the meeting in April 2014 was for the period August 2013-March 2015, and there were no other items for business during this time a meeting was not convened.

4 Matters Arising

None.

5 Review of remit and membership of the Committee

The Chair spoke to the report which had been issued. The committee considered the guidance from the Scottish Funding Council on the importance that the Chair of the Remuneration is not the Chair of the Board. The Committee agreed that the Vice Chair would take over as chair of the Committee with immediate effect.

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Discussions then took place on the 'effectiveness' section of the Code of Good Governance for Scotland's Colleges relating to the Principal's performance and agreed that this should be part of the committee's remit. The Committee also agreed to expand the membership of the Committee to include one of the Board staff members.

Action: Changes to the remit and membership to be recommended to the Board at its next meeting.

The Committee invited the Principal to join the meeting to present agenda items 6 and 7.

6   Executive Management Team Pay Award 2015-16

The Principal spoke to the report which had been issued to the committee for them to consider a 1% pay award for the Executive Management Team. The Principal confirmed that the Executive Team pay and conditions were not included in the national negotiation mechanism and it will continue to be the remit of this committee to consider any changes. The Principal asked the committee to consider a pay award of 1% increase (consolidated) plus two additional days annual leave (unconsolidated), in line with the present pay offer to support staff. The award is for the period 1 April 2015 to 31 March 2016.

Action: The committee approved the pay award, on the proviso that, should an improved offer be made to other college staff, this will be extended to the Executive team, to be recommended to the Board at its next meeting.

7   Succession Planning for the Executive Management Team

The Principal spoke to the report which had been issued to the committee for them to consider succession planning in respect of the Executive team.

The Committee considered the first proposal in relation to the review of deputising role where traditionally the Vice Principals were paid a slightly higher salary in recognition of the deputising responsibilities.   From 1st April 2016 the Principal would also like the Director of Organisational Development and Facilities to also have a deputising role and salary increased to same as for the Vice Principals. The Principal asked members to note that 'deputising' is not the same as a formal depute role. A formal depute role would take on CEO responsibilities should the Principal be unable or unavailable to carry these out for a particular reason. Currently, the College does not have a formal depute role but the Principal may wish to review this moving forward

Action: The Committee approved the increase in pay for the Director of Organisational Development & Facilities from 1st April 2016 in recognition of the deputising role, to be recommended to the Board at its next meeting.

The committee considered the second proposal in relation to re-grading the salaries of the Executive Management team to reflect the salaries paid to similar posts in other colleges of a similar size. This re-grading also reflects the additional strategic responsibilities taken on

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by the Team following the resignation and non-replacement of the Assistant Principal (Quality & Estates). The Principal advised that should a member of the Executive team leave, the College would need to recruit externally. In order to attract quality candidates to the College it would need to offer a salary similar to the salaries offered in other Colleges.

The committee discussed the impact on the Principal's salary in term of the differential, should the Executive team be re-graded.

Action: The committee asked the Principal to carry out further work highlighting the additional responsibilities taken on by members of the team since she became principal and for more information on the salaries, including salaries of Principals, paid by other colleges for the committee to consider at its next meeting.

The Principal left the meeting at this point.

8   Principal's Annual Performance

The Chair advised the committee that part of his role as Regional Chair is to meet annually with the Principal to agree targets and monitor progress toward targets.   The Chair completed an appraisal in 2014 where targets for the year ahead were agreed. A number of meetings have taken place to discuss progress and the Chair is please to advise the Committee the Principal had achieved the agreed targets and was satisfied with the Principal's performance.

The Committee discussed the process going forward, in particular adhering to the 'effectiveness' section of the Code of Good Governance to ensure a clear process is in place to set and agree personal performance measures and when setting remuneration for the Principal and that the process should seek the views of students and staff. The Chair advised that the sector aims to have a standard approach to the process and documentation should be available shortly. The Committee agreed to seek views from staff and students by way of focus groups. The Committee would decided on 2 or 3 key outcomes from the strategic plan and or outcome agreement then seeking views from students and staff on how the college is progressing towards these targets. This information will be considered as part of the process of monitoring and reviewing the performance and setting of remuneration for the Principal.

Action: The Committee agreed to discuss this further at its next meeting.

9   Principal's Pay Award 2015-16

The Chair spoke to the report which had been issued to the committee, seeking members' approval for a 1% (consolidated) pay award for the Principal, plus two additional days (unconsolidated) annual leave for the period 1 April 2015 to 31 March 2016.

Action: The committee approved the pay award, on the proviso that, should an improved offer be made to other college staff, this will be extended to the Principal, to be recommended to the Board at its next meeting.

Board of Management

10   Any other Business

None.

11   Date and Time of Next Meeting

To be held on 5 April 2016 starting at 11am at the Dumfries campus.

Board of Management

Minute of the Meeting of the Board Development Committee of the Board of Management of Dumfries and Galloway College held on 29 January 2016 at 10.30am in Room 1074b

Present: Brian Johnstone (Chair)   Delia Holland
                          Stuart Martin   John Henderson
                          Hugh Carr

In attendance: Jannette Brown, Secretary to the Board

Minute Taker: Dorothy Turriff, HR Assistant

1   Welcome and Apologies

Brian Johnstone, the Chair welcomed all to the meeting of the meeting, including John Henderson and Dorothy Turriff as minute taker. There were no apologies.

The Secretary to the Board confirmed the meeting was quorate with enough members present for decisions to be made.

2   Declaration of Interest

Members agreed to indicate declarations of interest as appropriate throughout the meeting.

3.   Minute of Meeting

There were no previous minutes but it was confirmed that a number of meetings had taken place during 2014-15 to recruit Board members for the new Regional Board. The recruitment had resulted in a satisfactory outcome with 9 ordinary board members appointed. The holding of the Board Development Event on 10th November 2016 facilitated by Jan Polley was also noted.

4   Matters Arising

There were no matters arising.

5   Review of Committee Remit and Membership

The Chair spoke to the report which had been issued. The committee discussed section 13 of the guidance on seeking approval for severance schemes and settlement agreement from the Scottish Funding Council:

13. The Remuneration Committee, or equivalent Board committee, must undertake robust scrutiny of proposed severance schemes and settlement agreements before recommending approval to the Board. In order to preserve governance boundaries the Chair of the Remuneration Committee must not be the Chair of the Board.

The Committee agreed that the Vice Chair would take over as chair of the Remuneration Committee with immediate effect.

Discussions then took place on the 'Board Member Appointment, Induction and Training' and 'Board Evaluation' sections of the Code of Good Governance for Scotland's Colleges. The Committee agreed that this committee was best placed to take forward this work to ensure compliance with the code and for the remit of the committee be amended to reflect this. The Committee also agreed to expand the membership of the Committee to include all committee chairs and to change the name of the Committee to 'Board Development'; to reflect the additional work of the Committee.

Action: Changes to the remit, membership and name to be recommended to the Board at its next meeting.

6   Board Member Recruitment

The Chair spoke to the report which had been issued. As a result of a non executive resignation the Committee should consider recruiting to the vacancy. Members discussed the needs of the board in terms of skills, knowledge, experience, and gender of the remaining board members. The Board Secretary reminded the Committee that the Board must have between 9 and 12 non executive board member. The Board currently has 9. The Committee agreed to undertake recruitment for up to 3 new board members. To progress the recruitment a panel would be convened consisting of:

- Regional Chair, Brian Johnstone
- An independent member, Rona Gunnell
- Chair of Human Resource Committee, Stuart Martin
- Reserve, John Henderson or Delia Holland

The Board Secretary highlighted to the committee that Karen McGahan's term of office comes to an end during summer 2016. In line with 'College Sector Board Appointments: 2014 Ministerial Guidance' the Board should consider whether the needs of the Board will be most effectively met by extending an appointment or by making a new appointment. The Committee agreed that the member's skills and experience remain relevant to anticipated future needs of the board. The Committee agreed to extend the term of office for Karen McGahan. The exact period of extension allowed to be checked by the Secretary to the Board.

Action: Recruitment panel to be convened at the earliest convenience. The Board Secretary to confirm extension period and to prepare draft on behalf of Regional Chair letter to Scottish Ministers seeking approval for the extension.

7   Recruitment of Board Secretary

The Chair spoke to the report which had been issued. The Committee discussed the external recruitment for position of Secretary to the Board. The content of draft advertisement, job description and person specification were discussed. Members discussed changing the title of the post to reflect the governance role, however agreed to continue with the title 'Secretary to the

Board'. The interview panel was confirmed as: Carol Turnbull, Principal; Brian Johnstone, Regional Chair; Delia Holland; and Hugh Carr.

Members discussed the possibility of sharing the services of a Board secretary from another college and agreed to pursue this option if unable to appoint.

8   Board Development

The Chair spoke to the report which had been previously issued.   The Chair reminded members that the Board had asked the Committee to take development a board development framework to include board evaluation and any resulting plan to ensure the Board complies with the Code of Good Governance for Scotland's Colleges.

The chair reminded members of the development event on self evaluation facilitated by Jan Polley on the 10th November 2015. At the end of the event the Board agreed its strengths over the last 12 months, and its intended areas for development over the next 12 months. The Chair stated that the Board now needs to consider how best to address three key areas of board effectiveness:

- Individual board members evaluation, development and training in respect of their governance role;
- Annual review of board effectiveness - have in place a robust self-evaluation process; and
- A process for evaluating the effectiveness of the board chair and the committee chairs.

The Chair advised the Committee it should consider the Guidance 'A Development Framework – Guidance Notes for Boards in the College Sector' to address these areas. The Committee discussed a range of approaches to gather information to inform the Board Development Plan including one to one meetings with the Chair. These meetings provide an opportunity for individual members to reflect on their performance and identify future development requirements, draw on areas to focus from the draft development plan prepared at board development event, board member skills matrix, induction, board evaluation and Chair (including chair of committees) evaluation and development. The Committee also discussed the requirement for an external evaluation of board effectiveness to be carried out every 3 to 5 years. The committee acknowledged that the various templates in the Development Framework guidance should be used and adapted as required.

Action: The Committee to reflect on approaches to board evaluation for agreement at its next meeting on 26th April 2016. To present a draft board development plan for consideration by the Board at its meeting in June 2016.

11   Any Other Business

None

12   Date and Time of Next meeting

It was agreed that the next meeting of the Committee is to take place on Wednesday, 30 March 2016 @ 2:30

27 May 2015

By email

To Principals of Colleges
Cc Chairs of Colleges

Dear Principal

Future Development of Student Associations

The regionalisation agenda has provided an opportunity to focus on the development of college Students' Associations in line with Scottish Government priorities for the sector. Excellent progress has been made in developing college Students' Associations, supported initially by SFC funding to both single college regions and merging colleges and a huge commitment from college staff, students and senior management. This is a continuing priority for the Government, SFC and NUS who have been working together with the sector to develop a framework and associated tools to support colleges continue to make good progress with this development. This, the Framework for Developing Strong and Effective College Students' Associations, will be launched by the Cabinet Secretary on 3 June.

To support this development further SFC will be looking at the AY16-17 guidance for Outcome Agreements to make links with the Framework and the work that colleges are doing to continually improve, and to include appropriate measures.

In the meantime we understand that colleges will be making important decisions about the funding for their Students' Association in 2015-16. We are looking to the sector to continue to make an ongoing commitment to an adequate level of funding to cover the Students' Association core capacity. SFC is currently working with NUS to consider what an appropriate baseline might be and we will provide further guidance as we progress the current work with the sector on utilising the Framework and the tools available. We understand that early meetings are underway in each region to ask colleges what support you may need to take this important work forward.

Early advice from NUS suggests that for a small college, with a small geographical coverage, there would be a need for one full-time student officer (or equivalent), one full-time staff member employed for the purpose of supporting and developing the association and its activities, and an operational budget to support core activities and duties. It is likely that the budget required for this would be in the region of £75,000 to £85,000. Colleges with multiple campuses, larger student populations, and/or a disparate geographical spread would need to consider the additional resources required to ensure a strong association with effective representation in place.

This information is provided as a guide for the sector and we urge you to engage with NUS staff and Outcome Managers on this and other issues related to the future development and sustainability of your Students' Association when you meet for introductory discussions around the Framework and your aspirations for your Students' Association.

Yours sincerely

John Kemp
Director of Strategic Development

Framework

for the Development of Strong and Effective College Students' Associations in Scotland

Contents

Ministerial Foreword

I want to thank students, principals and other college staff, college chairs and other college board members, as well as colleagues in sparqs, NUS Scotland and the Scottish Funding Council for their contribution to this, Scotland's first framework for supporting the development of effective students' associations.

Its publication marks another important step in our collective journey to put students at the centre. I endorse the approach it takes, including the five principles on which it is based – autonomous, partnered, accountable, representative and sustainable.

This Government has done more to advance student representation than any other, legislating as we have to put students at the heart of college life. It is no accident that the Post-16 Education (Scotland) Act 2013 contains more references to students' associations than any other piece of legislation in Scottish history. Or that one of the first changes made by the Act was

to require colleges to seek to ensure the interests of their students are represented by an association. We have introduced new duties to consult and collaborate with associations and doubled the number of students they nominate to incorporated college boards.

I look to colleges and associations to work in partnership with common purpose in a spirit of openness, trust and mutual respect. The distinctive contribution that associations make to college life arises from their autonomous, representative role. It is therefore essential to the success of partnership that this is cherished and developed. It makes sense for colleges to support vibrant, autonomous and thriving students' associations, given how integral they are to colleges' mission to deliver positive outcomes for students. In line with the Code of Good Governance for Scotland's Colleges, I have no doubt that they will ensure they are adequately resourced.

Cabinet Secretary for Education and Lifelong Learning - Angela Constance MSP

The Framework

The Role and Importance of Students' Associations

Students' associations are the legally representative voice of students. A strong, effective students' association should enable students to make their voices heard, and to take collective action to change and improve their student experience.

Strong students' associations will be able to work as equal partners with their college, acting as critical friends, and enabling the college to develop robust quality and governance processes. A well-developed association will enable students to self-organise and speak in a representative, autonomous voice in discussions and decision making. Students' associations can introduce students to democratic activity and empower them to become active citizens both within the college and in the wider world. Students' associations can also come together to strengthen the student voice at a national level.

Scotland is world-leading in student engagement but students' associations have, in the past, been relatively underdeveloped. Students' associations have made great strides forward in recent years, even as the expectations on them have increased. This has included both new duties in legislation and increased responsibilities under sector policies.

However, both student officers and college staff recognise that there is still much work to be done. This Students' Association Development Framework is a sector-agreed shared way forward for students' association and college partnership development.

Legislative Context: Summary

1994 Education Act

The 1994 Education Act places a number of obligations on relevant governing bodies with regard to the proper running of their students' association. This includes ensuring that the association operates in a fair and democratic manner and is accountable for its finances. The governing body has a duty to prepare and revise a code of practice on how the various requirements are observed by or in relation to the association.

Post-16 Education (Scotland) Act 2013

- Two student members on incorporated college boards. Two student members on Regional Boards.

- The Scottish Funding Council (SFC) must be satisfied each college has suitable "arrangements for the purpose of seeking to ensure that the interests of the body's students are represented by a students' association".

- Regional colleges and regional strategic bodies must:

  - seek to secure the collaboration of students' association(s) (so far as is consistent with the proper exercise of their functions).

  - consult students' association(s) where they consider it appropriate to do so in the exercise of their functions.

- Other specific duties to consult students' associations on regional strategic bodies, Regional Boards, Ministers and SFC.

In multi-college regions, students' associations will therefore have a direct relationship with their regional strategic bodies, as well as with their colleges.

Please see Legislation Supplement: References to Students' Associations in Legislation at saframework.co.uk

Sector Expectations of College and Students' Association Partnerships

The Student Engagement Framework for Scotland identifies and defines five Elements of Student Engagement. Students' associations have a particularly key role to play in Element 4 which focuses on "formal engagement with institutions through representative structures and processes operated primarily by students' associations" but they can also contribute to the delivery of the other elements.[1]

Since 2007 'Student Engagement' has been one of the three Pillars underpinning college quality arrangements in Scotland. Education Scotland emphasise the role of students through a confidence statement against the question "How well are learners engaged in enhancing their own learning and the work and life of the college?"[2] Students' associations therefore have a key role to play in supporting college quality processes and quality enhancement. They also have an increasingly key role to play in external quality reviews.

The College Code of Good Governance states that the college governing bodies "must have close regard to the voice of its students and the quality of the student experience should be central to all board decisions." It goes on to say that "the board must lead by example in relation to openness, by ensuring that there is meaningful on-going engagement and dialogue with students, the students' association and as appropriate staff and trades unions in relation to the quality of the student experience."[3]

Students' associations also play a key role in the negotiation of Outcome Agreements. SFC expect to see evidence of how "outcomes within the outcome agreements have been developed and discussed with the students' association."[4]

Purpose of Framework

Students' associations need to be strong and effective in order to fulfil their role in the partnership, and both the college and students' association have a key role to play in making that partnership a success. The Framework has been developed through strategic dialogue with the college sector including colleges, students' associations, government, and sector agencies. Its purpose is to set out a sector-agreed framework for how colleges and students' associations can work in partnership, with the support of sector agencies and NUS Scotland, to develop strong and effective students' associations.

This Framework therefore provides:

▼ a shared vision for students' association development and a common understanding of its key concepts and qualities.

It is accompanied by a Self-Evaluation and Development Planning Tool which outlines:

▼ a set of standards and indicators/ prompts which identify the resources and support a students' association needs to be effective.

The Self-Evaluation and Development Planning Tool enables colleges and students' associations to measure the current level of development of their students' associations and college/ association partnership against the broad Principles of the Framework, to identify strengths and areas for development, and to agree actions for a Development Plan.

Implementing the Framework

As the students' association and the college both have key roles to play in ensuring students' association effectiveness, a partnership approach is essential for the effective implementation of this Framework.

Joint Working Group

Students' associations and colleges will want to set up a Joint Working Group to implement this Framework locally. Membership of this group should include student officers and senior college staff. Some partnerships may have already established groups which can take on this remit.

Resources and Support

In order for students' associations to be able to develop they need resources and support. Dedicated, highly skilled staff who are accountable to the students' association are absolutely fundamental to developing effective students' associations, and to their ongoing success. Students' associations will also need buy-in and support from all college staff.

Resources and tailored support is available nationally from sparqs and NUS Scotland.

Development of the Framework

The Framework has developed out of the increased focus and expectations placed on students' associations as a result of the Post-16 Reforms first identified in the Review of Further Education Governance in Scotland. The review recommended that "Student participation and representation become a commitment across the College Sector. Student Associations should be strengthened and become appropriately funded, autonomous and sustainable."[5]

NUS Scotland, SFC, and the Scottish Government led on the development and were joined by a representative from the Regional Chairs Group to provide high level sector support. Four Strategic Dialogue Events were held in May 2014 at which over a hundred and fifty delegates from across the college sector discussed good practice and areas for development in their students' association and college partnerships, and their vision for the future. Feedback on the final draft of the Framework was sought from seventy stakeholders at Validation Events in January 2015.

Through these events common themes were identified and these have guided the development of the Framework. Some key themes included:

- The need for a common language or framework for students' association development.

- The need for the development of both a culture supportive of students' associations and the embedding of processes and structures to enable students' associations to function effectively.

Some of the key issues identified included:

- Lack of resources, both in terms of operating budget and dedicated association staff and paid officers. However, associations who had accessed temporary funds cited their increase in sabbatical officers and dedicated staff as key factors in their success.

- Lack of autonomy, and confusion over what is meant by that term, and unclear accountability processes.

- Need to develop partnership working between the association and all levels of the college.

- Difficulty maintaining and building on achievements over multiple years.

Introduction to the Principles and Themes

There are two interdependent factors which are key to developing and sustaining effective students' associations. These are:

One: A culture within the college which actively values, supports, and encourages the students' association to develop and deliver its autonomous, representative role.

The Principles section outlines five key principles that must underpin, and drive forward, all the development and work of students' associations if they are to operate effectively.

Two: A scaffolding of resources, working structures, processes, and procedures which govern the students' association and ensure that it is able to deliver its responsibilities and manage the changeover between student officers and between staff.

The Themes section outlines five areas of development that colleges and students' associations will need to work together to put in place in order to enable the students' association to develop the key Principles and to fulfil its role effectively.

Principles

- Autonomous
- Partnered
- Accountable
- Representative
- Sustainable

Strong and Effective College Students' Associations

Themes

- Shaping the Life and Work of the College
- Governance and Democracy
- Aware and Active Students
- Sustainable Resources
- Value and Impact
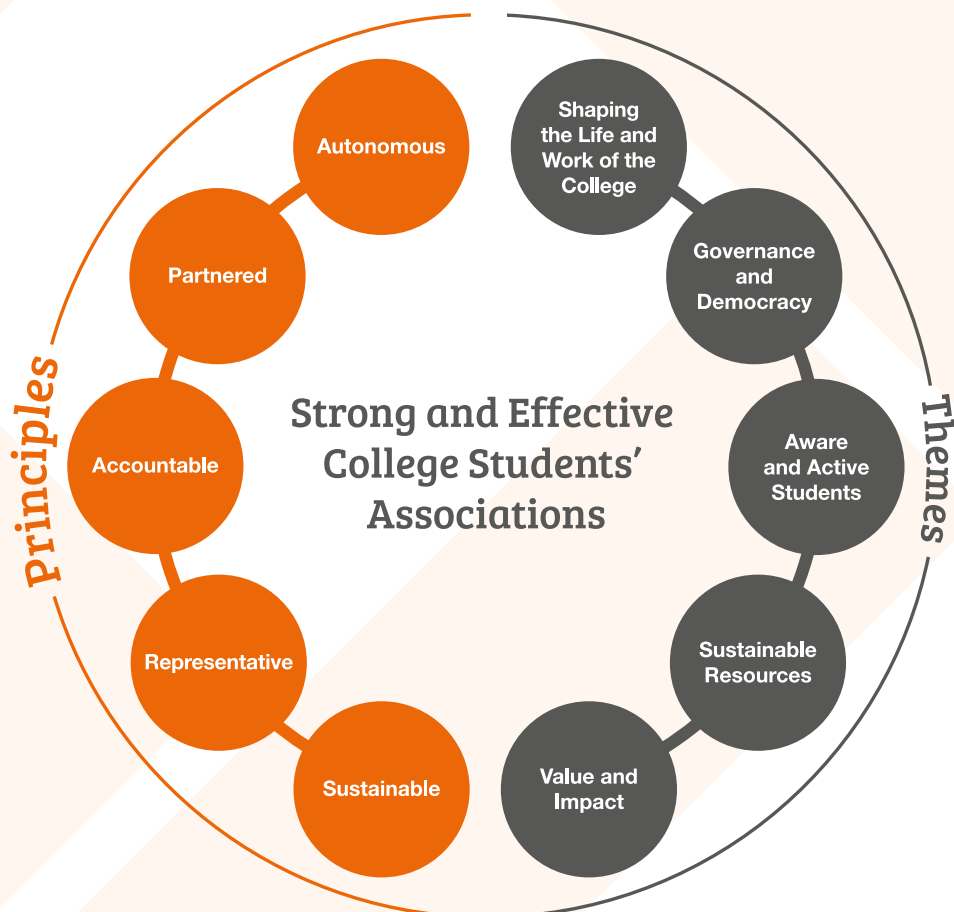
The Principles

The Principles

There are five Principles:

- Autonomous.
- Partnered.
- Accountable.
- Representative.
- Sustainable.

These Principles together make up the foundations of strong, effective students' associations and a culture which enables students' associations to thrive. This section of the Framework provides definitions of these Principles that students' associations and colleges will need to develop and implement.

All of the Principles are interdependent and therefore need to be developed simultaneously in order to succeed. If not, the students' association risks becoming unstable and will be unable to fulfil its representative purpose. For example, a students' association which has a well-developed Partnership will lose all progress if it's not also Sustainable. Similarly a students' association with a well developed representative structure will not be able to speak in an unbiased, independent student voice if it is not also Autonomous.

Principles

- Autonomous
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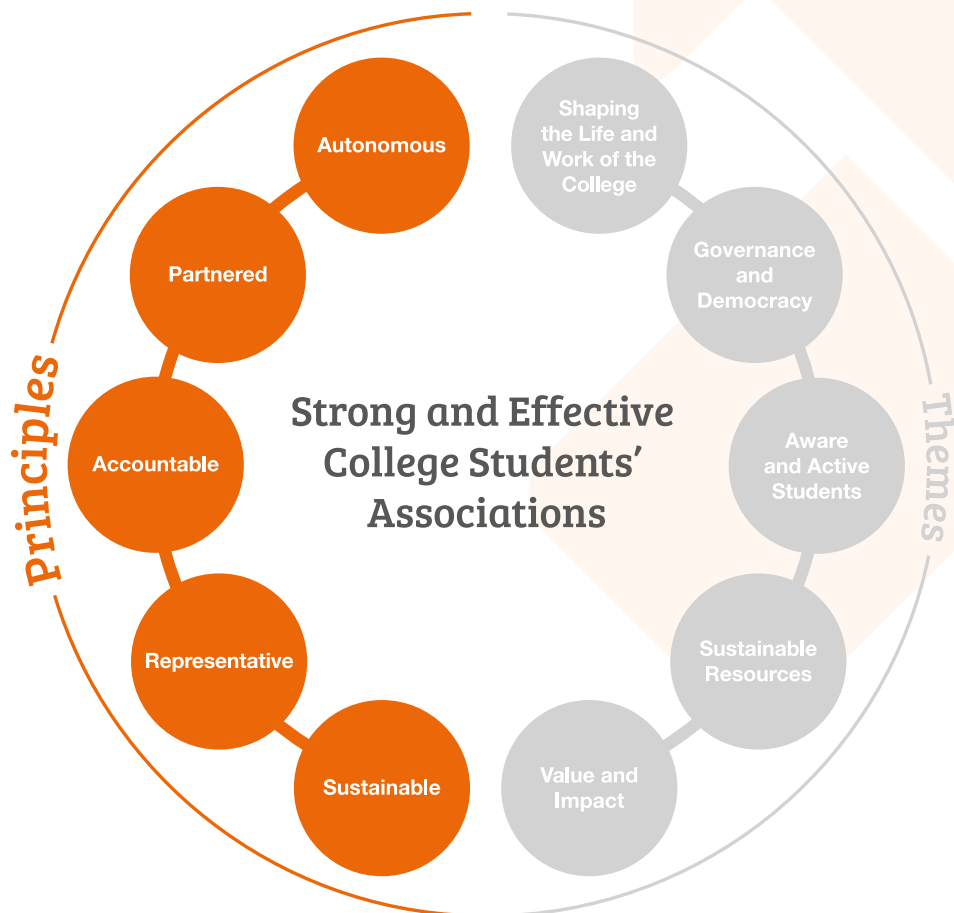
Autonomous

An autonomous students' association is one which enables students to articulate an independent student voice, and which can ensure that voice will be heard at the highest levels. Students determine its internal organisation and representative structures. Student representatives act according to the student determined priorities and policies and engage with college leaders as equal partners to negotiate how these priorities will be implemented.

Why Autonomy is Important

Autonomy enables students to determine their own policies and priorities independently which means that they are able to set the agenda for discussion and ensure the focus is kept on students. This enables the students' association and college to build a stronger relationship as the college is able to hear un-influenced truth about the quality of learning and teaching and the wider student experience

The students' association and college must be able to act as critical friends to each other, supporting each other to grow and develop. Students' association autonomy rebalances the distribution of power between the association and the college by ensuring the association is able to determine its own direction. This gives student officers the confidence to raise student identified issues, speak in an impartial and unbiased voice, and disagree with the college without fear of repercussions. Equally, the college should feel able to offer advice and recommendations to support the association while being mindful of the power differential between the association and college and ensuring that recommendations are not misinterpreted as directions.

By working together as equal partners in this way the students' association and the college can deliver stronger outcomes for students.

Autonomy will mean different things to students' associations at different stages

of development; some will want to develop as separate organisations, others will be more comfortable with a greater degree of closeness with the college. As the principles outlined in this Framework are embedded, self-determination will develop and grow.

Key Characteristics

- The college, as the association's principal partner and funder, recognises the natural power imbalance and the degree to which it could unduly influence the association. It therefore releases its controls over the association and actively supports its autonomy.

- The students' association is able to decide, within its agreed budget and financial management procedures, how to use the resources and support it receives from their college. It is supported by staff who are accountable to the association and who can provide advice and guidance.

- The students' association has organisational autonomy. It is able to decide how best to organise to represent its students, and make decisions on its own structures and processes. It has procedures and processes in place which enable it to resolve any internal issues itself, and sufficient resources to manage its own structures.

- The students' association is able to develop and articulate an independent student voice; students can decide their own priorities, ideas, and plans. The students' association's right to run campaigns is recognised and supported.

- The students' association is able to take ownership of projects and responsibilities. It has the 'freedom to fail' and to learn from its experiences.

- The students' association is included in the colleges' governance and decision making processes as an equal partner, not as a sub-department of the college.

Partnered

A college and students' association in partnership have an equal relationship based on mutual value, trust, and respect. They have clearly agreed roles and responsibilities and work together to deliver positive change for students.

Why Partnership is Important

Partnership is a widely accepted concept in colleges in Scotland. Effective students' associations are built on a strong, equal partnership between the students' association and the college.

College support is key to students' association success, and strong partnership is fundamental to the development of strong and effective students' associations. The relationship between the two organisations, and between college staff and student officers, is therefore key.

There will be times when the students' association and college will disagree. A strong partnership relationship enables the students' association and college to disagree on some areas, and the students' association to campaign on college policies, while continuing to respect each other, and to work in partnership on different areas of work or policy. Assurance that the partnership will survive disagreement gives the students' association confidence to act as a critical friend.

Partnership working is the most effective way for students' associations to deliver change, and therefore a strong partnership relationship between the students' association and the college enables the students' association to represent students effectively within the college's decision making processes and achieve positive change on their behalf. This also enables the students' association to contribute effectively to college governance and quality procedures.

Key Characteristics

- The roles and responsibilities of the association and the college within the partnership are clear and understood. In particular, the association's role as the college's 'critical friend', and the importance of this role to college governance, is understood by college staff. Both partners have realistic expectations of each other.

- The students' association and the college have embedded partnership procedures through which they can work together to achieve change and which are supported by regular and open communications.

- Partnership working takes place at both strategic and operational levels. The students' association is involved in all decision making which impacts students. Both the college and the students' association supports their partner to work more effectively, for example, taking each other's priorities and vision into account when developing strategic plans.

- The college ensures that their students' association has the support and resources it needs in order to realise their ambitions.

- The college and the students' association respect each other, recognising that they both bring a unique and valuable perspective to the partnership, and work to build trust, being mindful of the other's perspectives. For example, the association utilises its resources responsibly and the college hands areas of responsibility to the association.

- The college encourages student officers to develop into equal partners and avoid slipping into a 'teacher-student' or 'employer-employee' relationship which could put the officers' ability to think and act autonomously at risk.

- The college works proactively with the association, is actively committed to partnership working to create a direct positive impact on the student experience, and validates the importance of the students' association's role.

Accountable

An accountable students' association has clearly defined lines of accountability for its policy decisions and for its performance. It is accountable to its student members for what it says and does on their behalf. It is accountable, where appropriate, to its college's governing board for its compliance with the 1994 Education Act, the agreed terms and conditions of the funding it receives from its college, and for its performance against any other such agreements the students' association and the college have made in partnership.

Why Accountability is Important

An accountable students' association knows what it is responsible for. Responsibility encourages the association to take ownership of its activities.

If the students' association is not accountable to its student members then it loses its legitimacy as the voice of students and is unable to fulfil its role in its partnership with the college. Conversely, an accountable students' association can speak on behalf of the student body with authority and credibility.

An accountable students' association supports the college's governing body to fulfil its responsibility under legislation to seek to ensure that there is a students' association which represents the interests of its students.

Robust accountability processes enables the students' association to develop autonomously because they give the college and students reassurance that it can self-monitor and function effectively day to day.

Key Characteristics

- The students' association has clearly defined and understood lines of accountability which have been developed in partnership. Expectations are realistic.

- The students' association takes its mandate from the wishes of its students, and regularly and formally justifies what it says and does on their behalf to its student members. Student members understand their right and responsibility to hold their association to account. Democratic processes are the means by which the students' association is held to account for its policy decisions. The students' association also has other governance processes, such as a Trustee or Advisory Board, which complements and enforces the democratic processes and hold the students' association to account for its overall functioning.

- There are formal arms-length processes in place, though not line management of sabbaticals, through which the college can scrutinise the students' association and thereby uphold its legal responsibilities. This may include written agreements for delivery of services. For example, as part of budget negotiations reasonable terms and conditions may be agreed; the college should ensure that these do not overly limit association decision-making.

- The college supports the functioning of the association's democratic procedures. For example, providing meeting space, facilitating publicity, encouraging students to attend meetings and participate in elections, etc.

- The students' association has robust financial processes through which it is held to account for expenditure against its budget.

- Student officers who are also college board members are accountable to the board in their role as a board members, and to the association in their role as representative officers.

09

Representative

A representative students' association takes its mandate from its student members through its democratic processes. It speaks on their behalf with a collective, evidenced, and informed voice and is able to make claims, negotiate solutions, campaign, and create the change its members want. Its officers are elected through free and fair elections.

Why Representation is Important

A students' association must be representative in order to fulfil its core function of representing the interests of all students. It is important that the quality of the representation is high in order to ensure that the students' association is performing its function well and giving value to the students it represents. This increases the association's legitimacy in the eyes of the students, the college, and national bodies.

A representative students' association will challenge the college on occasion. This is important as it demonstrates that the association is fulfilling its roles and bringing issues which might be damaging to the college to its attention. If the association never challenges the college, this should be a cause for concern.

A representative students' associations has the right to speak out on issues of interest to its student members. If an acceptable compromise cannot be reached through the association and the college's partnership working structures the students' association must have the ability to continue the campaign through other methods. Preventing the students' association from doing so would be preventing it from representing its students. It is therefore important that the college understands that the students' association can exercise this right and it is important that the association takes into account the college's concerns when it does so.

Key Characteristics

- The students' association represents the interests of its students and should not be dominated by the views of a vocal minority. It is able to evaluate the different voices of the students it represents in order to develop a single students' association vision. A representative students' association understands that the majority opinion is not always the representative opinion, and ensures that the interests of disadvantaged minority student groups also shape students' association policy. On occasion, this may mean that the needs of the few will outweigh the wishes of the many.

- The college recognises and values the benefits of the students' association's representative role to the quality, life, and work of the college. It supports the association to gather evidence, influence decision making, and have an impact on student lives.

- The students' association supports all students to have a voice on decisions that affect them. The students' association actively engages with students with protected characteristics and with 'non-traditional' students to ensure it is representing different groups and that its democratic processes are accessible.

- Officers are elected in free and fair elections, receive training in their representative role, and are supported by skilled staff.

- The students' association has effective democratic and accountability structures. Class reps and student members are able to actively engage in the democratic processes and ensure that the association speaks in a legitimate voice.

Sustainable

> A sustainable students' association is able to function effectively and deliver its core representative purpose, at the same or a higher level, year after year. There is continuity of organisational memory, skills, plans and structures.

Why Sustainability is Important

Student officers are elected for one year terms, and most will serve only two. Under the 1994 Education Act students may only serve two paid terms in total at an institution. This means that there is a high turnover of student leadership within the association. If a students' association is not sustainable it has to start from the beginning every year, which means that it can do very little to fulfil its representative purpose.

Sustainability ensures that all the work and resources put in to students' association development are not wasted, and that there is value for money, because the achievements of one year are not immediately lost. Because the students' association and the college are not continually 'reinventing the wheel' structures and activities can be reviewed and improved in an incremental and organic way.

Sustainable does not mean the association is self-funding; a students' association reliant entirely on commercial activity would be very unsustainable as funding could never be guaranteed, and commercial efforts would leave little time for the association to deliver its representative purpose. The college will need to ensure that the students' association has the resources and support it needs to function effectively. The support and advice needed by the association may vary year to year.

Sustainability of structures and resources makes future planning possible, and enables the students' association and college to embark on long term projects and services which improve the student experience.

Key Characteristics

- The students' association has the resilience and flexibility to respond to challenges and solve problems using its own structures and processes.

- The students' association has long term dedicated staff who ensure the organisation continues to work and develop year on year, who manage progression planning and knowledge transfer, and who develop partnership relationships with college staff.

- The students' association is not person dependent or vulnerable to changes in leadership. It is able to maintain its structures and processes, and maintain and increase its levels of effectiveness regardless of changes in personnel and relationships due to elections and staff changes. It is not reliant on the goodwill of individuals.

- The primary responsibility for supporting and advising the students' association is written into the role of a key senior college staff member.

- There is effective progression planning, handover, and induction for students' association officers.

- The students' association is able to make long term plans for the future. Student officers are able to leave a legacy, and incoming officers are able to build on the achievements of previous years.

- The students' association has continuity of funding and resources. These are taken into account during the college's planning processes.

- There is continuity of organisational knowledge, planning and activities, structures, and processes. This includes both internal students' association processes, partnership processes with the college, and resources.

- The students' association has a college who is committed to partnership working.

11

Themes

This section looks at the processes, procedures and structures – 'the scaffolding' - that enables a students' association to function. These are the practical steps and actions that students' associations need to take in order to embed the Principles and to represent the interests of their students effectively.

These development actions have been organised into five thematic areas:

- Shaping the Life and Work of the College.
- Governance and Democracy.
- Aware and Active Students.
- Sustainable Resources.
- Value and Impact.

Each Theme feeds into and enhances the quality of the others. Each Theme also contributes to all five of the Principles. Students' associations and colleges therefore need to move forward on all of them together.

This section introduces each of the Themes and briefly summarises the elements of development they cover. The Self-Evaluation and Development Planning Tool breaks each Theme down further into actionable measures.

Principles

Themes

Autonomous

Partnered

Accountable

Representative

Sustainable

Shaping the Life and Work of the College

Governance and Democracy

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Value and Impact

Strong and Effective College Students' Associations
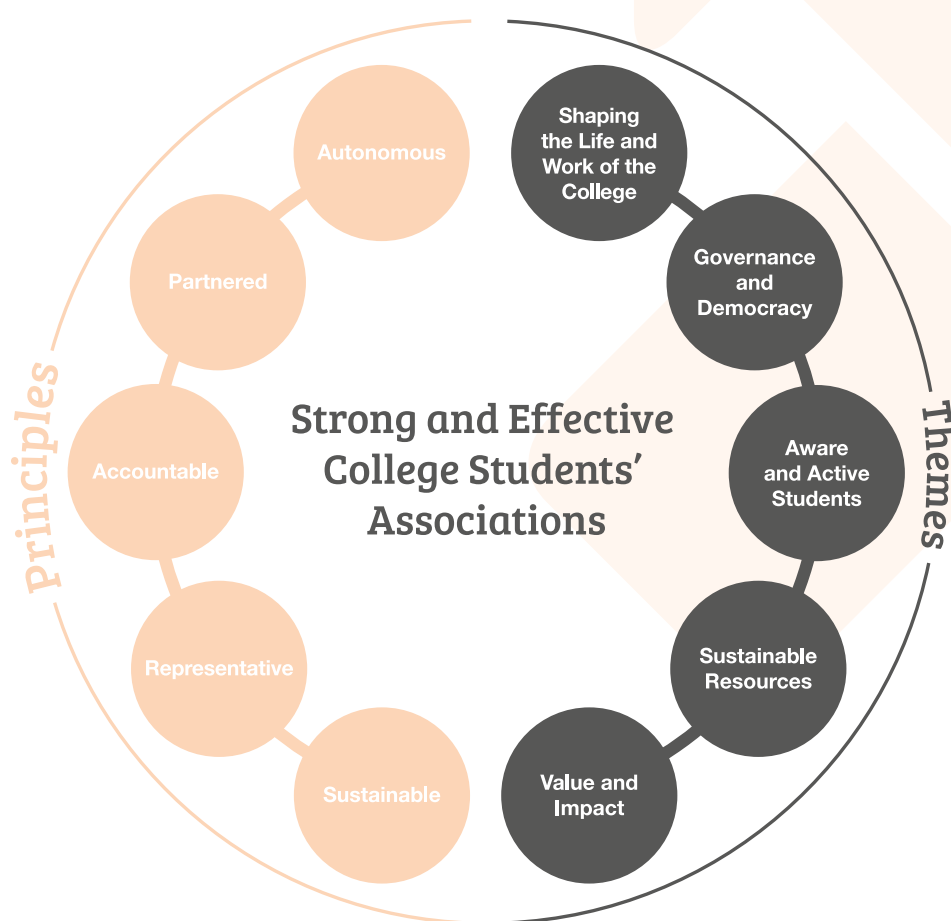
Shaping the Life and Work of the College

This Theme looks at how colleges and students' associations can ensure that students, and the student voice, are at the centre of everything that colleges – and the sector – do. It looks at what actions and processes colleges and students' associations need to put in place if students' associations are to be able to act as co-decision makers within the college and be able to influence its direction for the benefit of students and, ultimately, the college itself.

It is about:

- Ensuring that the students' association is regarded as an integral part of the college's governance, quality development, and decision making processes.

- Ensuring that the students' association is fully involved at all levels of the college decision making processes.

- Developing partnership working relationships between the students' association, senior management, board members, and teaching and non-teaching staff.

- Developing the association into an autonomous partner who is able to identify issues, set the agenda for discussion, and act as a critical friend to the college.

- Recognising that the association is a democratic, representative organisation which must be able to campaign for the needs and interests of its members.

- Ensuring that the college engages and consults with students through the association and seeks where possible to collaborate with the students' association on matters of common interest.

Self-Evaluation Measures

- There is a strong culture throughout the college that the association's influence on college policies, strategies, and delivery is highly valued, that the association is a high priority, and that it should be supported to deliver its core purpose.

- Robust, equal relationships based on trust, respect, and frequent communication exist between the association officers and the college staff. They identify, develop, and agree shared values and a shared vision and objectives for the college.

- All college staff, from the Senior Management Team to teaching staff, understand and value the role of the students' association and have clear responsibilities for supporting and facilitating the association's work.

- The partnership has mutually agreed and established equal partnership structures and processes which are embedded in the appropriate documents. For example, a Partnership Agreement.

- Students' associations act as co-creators and co-decision makers and have input into every decision which impacts on the student experience.

- The students' association acts as co-creators in the review and development of the curriculum and learning and teaching.

- Students' associations set the agenda for discussion as well as responding to the college's priorities.

- Two members of the college's governing body are students nominated by the students' association.

- The students' association is able to represent their students' interests at both a local and a national level, if they choose, and to work with NUS Scotland to ensure this takes place.

- Skilled, engaged class reps contribute to a smooth flow of information from class reps to the student officers, enabling the development of a college-wide evidenced student voice; the class rep system is integrated into the college's quality processes.

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Governance and Democracy

This Theme looks at how students' associations and colleges can ensure that the association has an effective and democratic governance structure in place which enables it to represent the interest of its student members. It looks at how students' associations, with the support of their colleges, can develop robust governance systems.

It is about ensuring that:

- The students' association has organisational autonomy and takes autonomous positions.

- The students' association has appropriate lines of accountability in place.

- All student members have the opportunity to influence the priorities, decisions, and actions of the association and to hold their elected officers to account.

- The students' association and college are able to monitor the governance structures to check they are functioning effectively.

- Governance and democratic processes are sustained year on year.

Self-Evaluation Measures

- Student officers make autonomous decisions - informed by student opinion - on the organisation of the association, its priorities, and its activities. Student members are able to influence and shape the students' association's agenda throughout the year.

- The college and students' association ensure that all major officer roles are elected through free and fair elections.

- The association is structured in a way that best enables it to meet the needs of its student members and to represent their interests to the college.

- Student officers are accountable to their student members for the decisions and actions they take on their behalf.

- The students' association has governance structures which complement and reinforce its democracy and which ensure the students' association is appropriately accountable. The college's governing body has confidence that the association is operating effectively and fulfilling its responsibilities.

- Robust procedures are in place to hold paid officers to account and to safeguard their autonomy and ability to act as a critical friend to the college.

- The governance structures and processes are embedded and sustained year on year.

- The association's governance and democratic structures are reviewed regularly to ensure they are functioning effectively.

Aware and Active Students

This Theme looks at how students' associations and colleges can ensure that all students are aware the association exists, that they understand its representative role, and that they are able to play an active role within it. It looks at how the association is able to develop an evidenced, representative student viewpoint.

It is about ensuring that:

▰ The students' association is visible to students and that it delivers accessible and relevant services which meet their needs.

▰ Students feel able to bring their issues and concerns to the students' association.

▰ The students' association is able to gather views from all student groups.

▰ Student members engage with the association's democratic governance structures enabling them to function effectively.

▰ Enthusiastic, motivated students take up leadership roles at all levels of the association, from President to Faculty Reps to event organisers, in order for the association to develop and deliver services and activities effectively.

Self-Evaluation Measures

▰ The students' association is highly visible in all aspects of students' college experience. All students are aware of their students' association, understand its role as their representative body, and know how to engage with it.

▰ A significant number of students choose to take part in association activities and fulfil their roles as members of a democratic organisation. This will range from attending association organised social events, bringing their concerns to the attention of the association, and voting in elections. Students are able to see the changes that result from their engagement.

▰ A significant number of students choose to take a more active role in the association. This may be through volunteering as a course rep, organising events, societies, and campaigns, or running for election.

▰ There is a pool of motivated students running for major officer posts each year, supporting the sustainability of the students' association.

▰ All students are able to engage with the students' association and make their voices heard. The students' association is able to understand the perspectives of different groups of students and represent them effectively. This includes students on all campuses, part time, evening, and distance learners, students with protected characteristics, and students with additional or complex support needs.

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Sustainable Resources

This Theme looks at how colleges and sector agencies can ensure that students' associations have the resources and support they need to function and to deliver their core purpose effectively. Without resources, students' associations can't function.

It is about:

- Ensuring that the students' association has the resources its needs, particularly funding, paid officers, and students' association staff.

- Ensuring that officers and association staff have the skills they need in order to deliver their roles.

- Ensuring that all resources are managed in a way which supports both the association's autonomy and its partnership with the college.

Self-Evaluation Measures

- The students' association has a sustainable funding stream. The funding is at a level which enables it to have functioning organisational structures, to deliver its core representative purpose, and to have a positive impact on the student experience and the life and work of the college.

- There is an agreed process and timeline by which the students' association budget is negotiated and signed off.

- The students' association has robust financial management processes.

- The students' association has dedicated, long term staff who provide continuity, sustainability, and a stable skills base which enables the development and operation of an effective students' association.

- The students' association's major office holders are able to focus on their representative role. They have time to plan ways to increase the effectiveness of the students' association, to engage with hard to reach student groups, to attend college meetings and to build relationships with college staff and, where relevant, the college's regional strategic body.

- Volunteer officers and volunteers in general play a valuable role in the association, increasing its capacity, ensuring it has officers who are also current students, enabling students to get involved at all levels and stimulating interest in the major association offices.

- Student officers are equipped with the skills and knowledge they need to carry out their role effectively. There is an effective handover and induction process for new officers.

- Students' association has a dedicated social or office space.

16

Value and Impact

This Theme looks at how students' associations can prioritise and plan activities that meet the needs of their students and deliver positive change. It looks at how students' associations and colleges can evaluate and measure the partnership's success and ensure that students' associations represent students and have a positive impact on their experience at college. A students' association's success is highly dependent on its college's actions, and so any evaluation of impact must evaluate the contributions of both partners.

It is about:

- Enabling the association to articulate how it is aiming to improve the lives of students, and to evidence and evaluate how well it is succeeding.

- Exploring the other forms of beneficial activities students' associations can deliver, over and above their core representative purpose, and being able to identify the students' association's own priorities.

Self-Evaluation Measures

- The students' association plans its aims and activities to respond to the needs of its students.

- The association has continuity and sustainability of vision and planning and the flexibility to respond to changing contexts and the priorities of newly elected officers.

- The students' association and college evaluate how effectively the students' association is representing students, delivering beneficial impacts to them, and carrying out its plan. They determine whether it needs additional resources and support, and how it can continue to improve and develop.

- The students' association and college demonstrate impact to students and external partners.

- The students' association acts on the evidenced voice of students to represent them and achieves change on their behalf.

- The students' association takes ownership of college services, or works in partnership with the college to deliver them, where students' association leadership can add value to the services.

- The students' association delivers direct services or activities which enhance the student experience. The students' association's core representative purpose is prioritised. These are not essential, and should not be prioritised over the students' association's core representative purpose.

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Acknowledgements

We would like to thank the following colleges for hosting the Strategic Dialogue and Framework Validation Events.

- South Lanarkshire College and Students' Association
- Forth Valley College and Students' Association
- North East Scotland College and Students' Association
- University of the Highlands and Islands
- Dundee and Angus College and Students' Association

We would also like to thank all those who attended the events, gave their inputs, and helped to create this Framework throughout the process.

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Website

For full framework and supporting documents see: saframework.co.uk

Development of Strong and Effective College Students' Associations in Scotland:
Self-Evaluation

Contents

Introduction to the Self-Evaluation and Development Planning Tool

The primary purpose of the self-evaluation is to enable student officers and college staff to take stock and take action. It focuses on two simple but very challenging questions:

- How good are we now?

- How good can we be?

The self-evaluation should facilitate a shared assessment of the current effectiveness of the students' association in representing the interests of students. It should enable recognition of skills and good practice, as well as areas for development, and spark off new ideas and opportunities. As the students' association and the college both have key roles to play in ensuring the students' association's effectiveness, the self-evaluation should asses the activities and practices of both organisations. To enable the Joint Working Group to do this the Self-Evaluation Tool sets out a series of Measures, organised by Theme, and recommended Indicators of Good Practice.

The process of self-evaluation should aid learning and common understanding between partners. Recognising that each partner may have different perspectives, students' association and college may want to carry out separate evaluations first, and then combine results. This would enable the students' association and college to identify any conflicting perceptions, expectations, or priorities, and to explore and develop their own knowledge and practice. They would then be in a strong position to agree objectives and ways forward. Openness, honesty, and trust between the partners will be key.

Partners should take care to ensure that the process of self-evaluation is consistent with the Principles of the Framework, and support and embed student leadership of the association. College staff and officers should undertake the process as equal partners, but final decisions about the organisation of their association should be made by students themselves.

Timescales

The self-evaluation should be carried out yearly. After the first year it may only require updating in line with new evidence and priorities, and to ensure that each officer team is able to bring in new perspectives. The timing of the self-evaluation should fit with the students' association's and college's own planning cycles. However, there is value in holding it later in the academic year when officers will be able to speak with more experience.

Sources of Evidence

Self-evaluation should be based on verifiable evidence gathered from a range of sources. The more robust the self-evaluation the more reliance can be placed on it. A key source of information for completing the self-evaluation will be professional discussions between student officers and college staff. Taking other sources into account will enable partners to corroborate their own judgements. The Joint Working Group will also need to refer to written guidance and documentation and cross reference this with what actually happens. Completing the self-evaluation should also ideally include conducting research into students' views of the association and student voice in the college to ensure that planning takes the needs of student members into account.

Self-Evaluation Process

The students' association and the college should agree a process which ensures that all partners are able to be involved in the self-evaluation and planning; the outcomes of the partnership working are jointly agreed; and this strategic level planning translates into action at an operational level. Partners will need to ensure that there is sufficient time and resources available for this process to be effective.

Using the Self-Evaluation Tool

Key measures for students' association development are organised into Themes, and organised into a Self-Evaluation Plan to support students' association and college partners to work through them.

� Self-Evaluation Measures: key elements against which you can gauge your development of a strong and effective students' association.

▼ Indicators of Good Practice: practical steps to take to implement the Measure, with space to add your own.

▼ Self-Evaluation Score: Assign your partnership a numerical score which will enable you to identify your priority areas within the self-evaluation, and to measure your progress over time.

▼ What do we do well? What can we do better?: A space to record your own strengths and areas for development.

▼ What will success look like?: A space to record your ambitions and actions which can then be used to populate your Students' Association Development Plan.

Self-Evaluation Scoring System

Score 4. The element is strongly evident in the work of both partners, is consistent with the Principles, and helps enable the association to represent the interests of students.

Score 3. The element is evident in the work of both partners and is consistent with the majority of the Principles.

Score 2. The element is present in the work of the college and students' association intermittently. There are some activities or processes in place which might support its development, but no coherent approach to embedding the measure.

Score 1. The element is not present in the work of the college or the students' association.

This self-evaluation tool is intended to evaluate how effectively the students' association is able to function and represent the interests of students. The impact of its representational activities should be evaluated by the most appropriate mechanism. Eg, Partnership Agreements. The Value and Impact theme goes into this in more detail.

Students' Association Development Plan

The Joint Working Group will need to create a multiyear Students' Association Development Plan. This plan should set out how the students' association and the college will work together to address weaknesses identified through the self-evaluation process and to develop the students' association and strengthen its ability to fulfil its representative purpose.

All students' associations and colleges will be at different stages of development and they will all have different contexts which will influence their approach. Joint Working Groups will need to tailor the model project plans to meet the needs of their own students. Project Plans should be able to demonstrate how the chosen methods will enable the college and association to deliver the Principles. Principles should become standard and normalised throughout the college culture.

The Students' Association Development Plan should be jointly owned by the college and the students' association in order to support both partnership working and sustainability. Senior Management will need to ensure that it is embedded in the college's planning process and committees. Incoming officers should be introduced to the partnership's ongoing Development Plan by the Joint Working Group as part of their induction.

Theme Downloads

If you wish to download just one Theme please click here:

Shaping the Life and Work of the College

Governance and Democracy

Aware and Active Students

Sustainable Resources

Value and Impact

Strong and Effective College Students' Associations

Principles
- Autonomous
- Partnered
- Accountable
- Representative
- Sustainable

Themes
- Shaping the Life and Work of the College
- Governance and Democracy
- Aware and Active Students
- Sustainable Resources
- Value and Impact
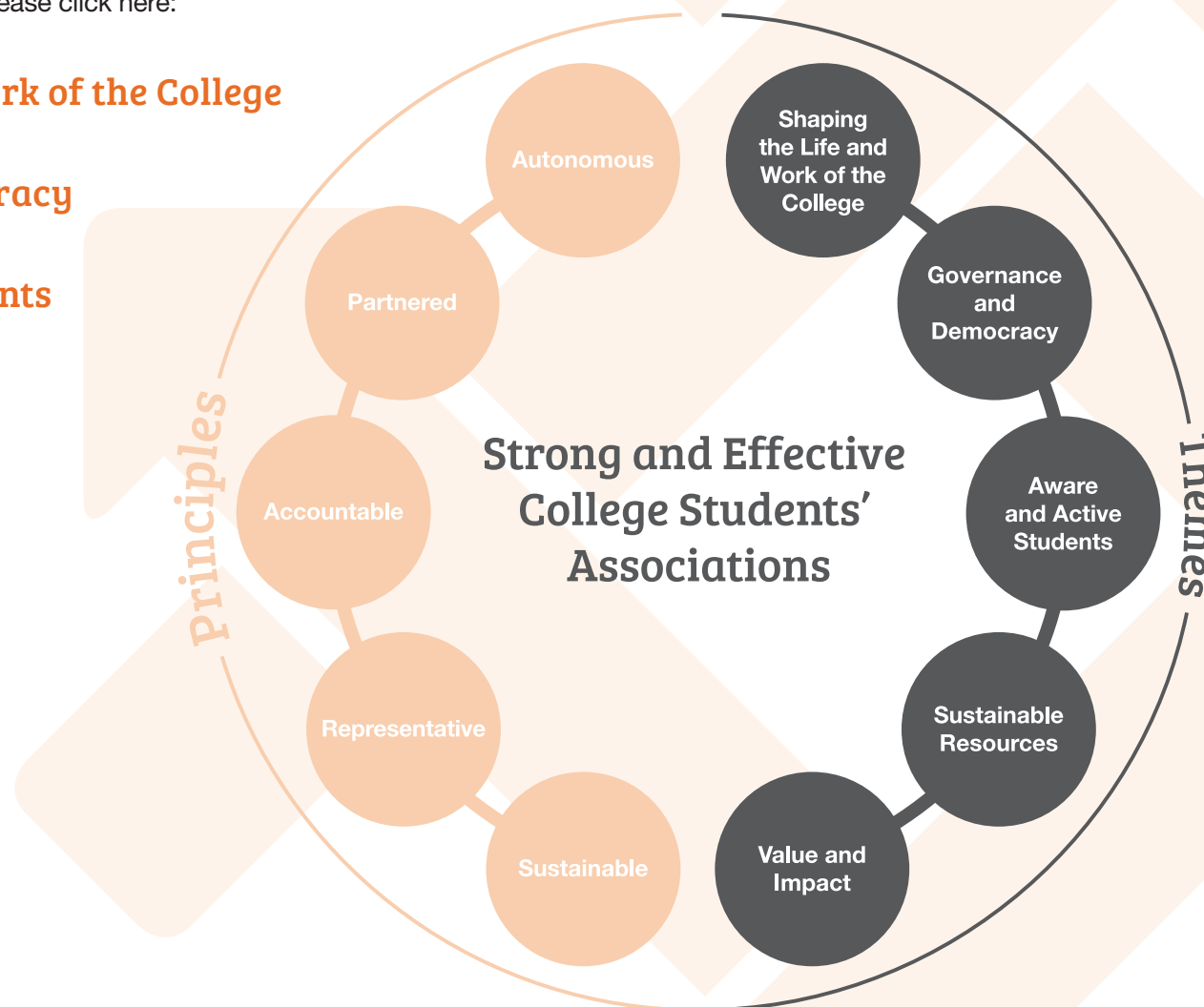
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- Ensuring that the students' association is fully involved at all levels of the college decision making processes.

- Developing partnership working relationships between the students' association, senior management, board members, and teaching, and non-teaching staff.

- Developing the association into an autonomous partner who is able to identify issues, set the agenda for discussion, and act as a critical friend to the college.

- Recognising that the association is a democratic, representative organisation which must be able to campaign for the needs and interests of its members.

- Ensuring that the college engages and consults with students through the association and seeks where possible to collaborate with the students' association on matters of common interest.

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
There is a strong culture throughout the college that the association's influence on college policies, strategies, and delivery is highly valued, that the association is a high priority, and that they should be supported to deliver their core purpose. **Indicators of Good Practice. Might include:** ▸ Senior staff regularly give out key messages that the students' association is a high priority. ▸ The college's partnership approach to student representation is defined and is highlighted in college communications. ▸ There are specific forums dedicated to ensuring these priorities are taken forward.			

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
Robust, equal relationships based on trust, respect, and frequent communication exist between the association officers and the college staff. They identify, develop, and agree shared values and a shared vision and objectives for the college. **Indicators of Good Practice. Might include:** ▰ As part of the Partnership Agreement, Strategic Planning and/or Outcome Agreement process the college and the students' associations agree a shared vision for the college and shared values for how the partnership will work together. ▰ The Principal has regular meetings with the students' association's major office holders.			

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
All college staff, from the Senior Management Team to teaching staff, understand and value the role of the students' association and have clear responsibilities for supporting and facilitating the Association's work. **Indicators of Good Practice. Might include:** ◤ Training on the students' association is included in all staff induction and continuing professional development. Students' association deliver or participate in staff training. ◤ The students' association includes staff in their communications and keeps them up to date. ◤ The responsibility to promote student representation is included in all staff members' objectives and/or role description, eg, Teaching staff promote students' association and encourage students to get involved.			

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
The partnership has mutually agreed and established equal partnership structures and processes which are embedded in the appropriate documents. For example, a Partnership Agreement.			

Indicators of Good Practice. Might include:

- The student engagement strategy is developed in partnership and sets out how the students' association links to the other forms of college led student engagement.

- College governance documents incorporate the students' association's role.

- A Partnership Agreement is agreed through open dialogue, is revised each year, and sets out the college and students' association's:

  - shared priorities.
  - mutual expectations.
  - roles and responsibilities.
  - boundaries.

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?

Students' associations act as co-creators and co-decision makers and have input into every decision which impacts on the student experience.

Indicators of Good Practice. Might include:

▌ Regional colleges and regional strategic bodies must, so far as is consistent with the proper exercise of their functions, seek to secure the collaboration of students' associations.

Required as a result of the Post-16 Education (Scotland) Act 2013. See Legislation Supplement.

▌ Regional colleges, regional strategic bodies, Scottish Ministers and the SFC have duties to consult students' associations

Required as a result of the Post-16 Education (Scotland) Act 2013. See Legislation Supplement.

▌ The college keeps the students' association informed about college policy making and decisions so it has the opportunity to get involved and influence them.

▌ The college actively consults the students' association on all matters which are important to students.

Continued ▽

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
- Students are involved in college meetings and committee structures at all levels and work in partnership with the college executive and leadership teams. Students are represented on all the college's key decision making bodies. - The students' association has enough paid officer and volunteer officer capacity to send members to participate in all relevant meetings. - The students' association ensures that the papers and points it puts to committees and boards are backed up by evidenced student opinion. - Students are able to participate meaningfully at committees. They are treated with respect as equal partners and have the opportunity to represent the student voice. - The students' association is involved in the formulation of college policies. For example retention and recruitment. - Students' association works with the college to develop and discuss the outcomes within the outcome agreement. Taken from SFC College Outcome Agreement Guidance 2015-16.			

Continued ▼

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
Students have an opportunity to contribute to the recruitment process of the College Principal. The views of students are sought as part of the process for setting the Principal's performance indicators. Students have a role in gathering and submitting evidence to the committee deciding the Principals' remuneration. Taken from the College Code of Good Governance.			

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
The students' association acts as co-creators in the review and development of the curriculum and learning and teaching. **Indicators of Good Practice. Might include:** ⬝ The students' association is involved in curriculum planning and the development of learning and teaching. ⬝ There is an effective student review process of learning and teaching.			

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
Students' associations set the agenda for discussion as well as responding to the college's priorities. **Indicators of Good Practice. Might include:** ▸ The right of the students' association to campaign on behalf of its students is recognised and supported by the college. The students' association exercises this right responsibly. ▸ Students are supported to put items on the agendas of the meetings they attend, from committees to the college's governing body. They are able to identify both issues and solutions. ▸ The students' association has the ability to run campaigns on issues that affect students both locally, regionally (where relevant) and nationally. ▸ Student board members, in their capacity as student governors, are able to put items on the agenda of college's governing body.			

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
Two members of the college's governing body are students nominated by the students' association. Required under the 2013 Post-16 Education (Scotland) Act. See Legislation Supplement. **Indicators of Good Practice. Might include:** ▀ The students' association has clear procedures for nominating the student board members which are recorded in its governing documents. If the association has decided that the nomination is part of the President's, or a Vice President's role, this is made clear in the candidate briefing. ▀ Student board members are full board members and are not excluded from board business unless there is a clear conflict of interest, in common with all board members. Taken from the College Code of Good Governance. ▀ The board and the students' association establish clear guidelines on relationships and effective communication. Taken from the College Code of Good Governance.			

Continued ▼

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
▰ The chair ensures that new board members receive a formal induction on joining the board, tailored in accordance with their individual needs. Taken from the College Code of Good Governance. ▰ Student Board members have access to ongoing support throughout the year, including via a mentor on the board. ▰ All Board members receive training about the role of the association and the role of the student board members, and support and encourage them to speak at Board meetings.			

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
The students' association is able to represent their students' interests at both a local and a national level, if they choose, and to work with NUS Scotland to ensure this takes place.			

Indicators of Good Practice. Might include:

◤ The students' association is able to engage students in campaigns on national issues of interest to students.

◤ An affiliated students' association is able to actively engage with NUS Scotland's democratic processes through attending events such as National Conference and thereby play a role in setting NUS' priorities and national agenda.

Delegates' discussions at national events are based on the policies agreed through their students' association's democratic structures.

◤ An affiliated association is able to set the policy of the National Union of Students who will then take it forward on their behalf.

◤ Students' association staff are able to support student officers to engage at a national level.

Continued ▼

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
⬛ The students' association is able to get involved in national campaigns it believes are relevant to their students and are able to gather strong evidence in order to support the case for national change.			
⬛ Strong and effective local students' associations come together into a powerful college student movement which can lobby on behalf of students at national level.			

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
Skilled, engaged class representatives contribute to a smooth flow of information from class reps to the student officers enabling the development of a college wide evidenced student voice; the class rep system is integrated into the college's quality processes.			

Indicators of Good Practice. Might include:

◤ A robust class representatives system with established processes to enable the flow of information from class representatives to student officers is well established.

◤ The college and the students' association both support the development and operation of the class representative system. For example, lecturers are responsible for promoting and conducting class representative elections in the first week of terms, and all class reps are able to access quality training. The college ensures it is adequately resourced.

◤ The class representative system is integrated into the students' association structure, with class representative and faculty/lead representative feedback flowing to the students' association's decision making processes.

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
⬚ Class representatives receive accreditation for their work. The students' association and college demonstrate to class representatives how their contributions have had an impact and formally recognise the work they do.			

Governance and Democracy

Download this section

This theme looks at how students' associations and colleges can ensure that the association has an effective and democratic governance structure in place which enables it to represent the interest of its student members. It looks at how students' associations, with the support of their colleges, can develop robust governance systems.

It is about ensuring that:

▰ The students' association has organisational autonomy and takes autonomous positions.

▰ The students' association has appropriate lines of accountability in place.

▰ All student members have the opportunity to influence the priorities, decisions, and actions of the association and to hold their elected officers to account.

▰ Students' associations and colleges are able to monitor governance structures to check they are functioning effectively.

▰ Governance and democratic processes are sustained year on year.

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
Student officers make autonomous decisions - informed by student opinion- on the organisation of the association, its priorities, and its activities. Student members are able to influence and shape the students' association agenda throughout the year. **Indicators of Good Practice. Might include:** ▸ The college understands and supports the autonomy and accountability of its students' association. The college and the college's governing body ensure that the association has the necessary support and advice to ensure the association's democratic structures function effectively. ▸ College staff provide mentoring support to student officers to enable them to develop into the elected leaders of an autonomous partner organisation. ▸ The process for making decisions is clearly set out, as are which officers or groups of officers are responsible for making which decisions.			

Continued ▼

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
▰ Student decision makers have access to the information they need to make informed decisions. For example, class representatives meeting reports, college performance indicator data, etc.			
▰ The students' association has democratic processes through which students can influence the association's plans for the year. These are tailored to the needs of the college's students and are accessible to all students in all locations and programmes of study.			
▰ Consultation procedures are built into the association's decision making processes.			
▰ Course representatives are able to feed into the association's decision making processes.			

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
The college and students' association ensure that all major officer roles are elected through free and fair elections. **Indicators of Good Practice. Might include:** ◤ Appointment to major union offices is by election in a secret ballot in which all members are entitled to vote. The college's governing body satisfies themselves that the elections are fairly and properly conducted. Required of incorporated colleges under the 1994 Education Act. See Legislation Supplement. ◤ The association has the resources and support necessary to run fair and vibrant elections. This might include extra staff support, online capability, marketing and communications and an election budget. ◤ Barriers to students voting are understood and every effort is made to remove them. All students have the opportunity to vote. ◤ There is a robust online voting system or similar arrangements to facilitate multi campus voting.			

Continued ▼

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
▼ Current student officers are not involved in planning or managing the election; this helps to maintain the integrity of the democratic process and avoid perceptions of bias.			
▼ Election regulations are set out in the association's governing documents and are upheld by the Returning Officer.			
▼ Returning Officers are ideally either external staff from NUS Scotland, the College Board Secretary, or a senior member of college staff who does not have direct responsibility for the students' association. The Returning Officer is supported by Deputy Returning Officers who are usually students' association staff.			
▼ There is an appropriate complaints and appeals process.			
▼ There is an official reporting mechanism to the college's governing body enabling them to ensure that the elections are fairly and properly conducted.			
▼ A robust process is in place to deal with officer resignations.			

Continued ▼

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
▸ All college staff understand the purpose of the elections and support and promote them to students. ▸ A person should not hold sabbatical union office, or paid elected union office, for more than two years in total at the establishment. Required of incorporated colleges under the 1994 Education Act. See Legislation Supplement.			

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?

The association is structured in a way that best enables it to meet the needs of its student members and to represent their interests to the college.

Indicators of Good Practice. Might include:

� It is clear which officer, or which officer group, is responsible for making which decisions.

▪ Responsibilities for key association activities are assigned to specific officers or staff. These include:

- ensuring democratic processes function and are upheld.

- deciding on strategic priorities and direction.

- financial planning.

- legal compliance.

- staff management.

▪ There is a process for evaluating gathered student opinion and, if there are contradictions, deciding on a way forward. These meetings are minuted.

▪ The students' association has a balance between locally focused roles and activity and whole-association/college remit based roles and activity.

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
▰ As far as possible the students' association mirrors its college's structures. This makes it easier for college and association to engage with each other, and for the association to represent student interests. ▰ The students' association actively explores examples of good practice from other associations and regions.			

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
Student officers are accountable to their student members for the decisions and actions they take on their behalf. **Indicators of Good Practice. Might include:** ▸ The college recognises that the students' association is accountable only to its student members for decisions on priorities, policies, and activities. ▸ Students are informed of their responsibility to hold officers to account and how they can do this. (See Aware and Active Students). ▸ Decision making processes are open and transparent. The association publishes its plans and minutes of decision-making meetings, ideally on an association website. Student officers report to students on the actions of the association at set times using the most accessible formats available. ▸ There are clear procedures in place by which students can no-confidence an officer.			

Continued ▽

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
▰ Students are kept informed of the association's affiliations to external organisations, and there are procedures by which continuing affiliations may be decided by referendum. Required of incorporated colleges under the 1994 Education Act. See Legislation Supplement.			

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
The students' association has governance structures which complement and reinforce its democracy and which ensure the students' association is appropriately accountable. The college's governing body has confidence that the association is operating effectively and fulfilling its responsibilities.			

Indicators of Good Practice. Might include:

◤ The students' association has a Trustee Board or Advisory Group which is responsible for overseeing and safeguarding the organisation. It ensures that the governance of the students' association is functioning effectively, and that it is delivering on the objectives that have been agreed through its democratic processes. This Trustee Board or Advisory Group should comprise the major student office holders, student representatives, and externals.

◤ All student officers are signed up to a code of conduct which has been developed by the students' association.

◤ There is a code of conduct for student members.

Continued ▼

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
There is a students' association complaints procedure which is available to all students. It aims to resolve the complaint within the association first, but includes provision for an independent person appointed by the college's governing body to investigate and report. *Required of incorporated colleges under the 1994 Education Act. See Legislation Supplement.*			
The college complies with all relevant legislation on students' associations including the Further and Higher Education (Scotland) Acts of 1992 and 2005, including as amended by the Post-16 Education (Scotland) Act and the Education Act 1994.			
Where suitable the students' association has charitable status, its own legal identity, and is additionally accountable to the Office of the Scottish Charity Regulator in accordance with charitable law. There are processes in place to ensure that the association is accountable for the use of its budget. See Theme: Sustainable Resources for more information.			
The students' association has robust financial governance procedures in place. See Sustainable Resources for full details.			

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
Robust procedures in place to hold paid officers to account and to safeguard their autonomy and ability to act as a critical friend to the association.			

Indicators of Good Practice. Might include:

◗ The employment status of paid student officers is agreed by the college and the students' association. Whether officers are employed by the college or are office holders with a service level agreement there are robust safeguards in place to protect their autonomy and ability to act as a critical friend to the association.

◗ Student officers have clearly defined role descriptions which are publicised during elections. These include responsibilities for sitting on college committees or Boards, and other actions agreed between the association and the college.

◗ There is a process in place for dealing with allegations of gross misconduct.

Continued ▽

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
- There is a separate Performance Management Policy in place for student officers. Student officers are not line managed as staff. Day to day support and challenge is provided by students' association staff and/or senior college staff member to enable the officers to deliver against their democratically agreed objectives. Minor performance issues are addressed informally. Student officers are accountable to the Trustee Board, Advisory Group, or relevant student democratic body for their performance against their democratically agreed objectives. If the association considers there are grounds for formal action over performance issues, the association's Performance Management Policy should be followed. This should follow a staged process with multiple warnings and provision of support. If there is no improvement the issue should be referred to the relevant democratic body for a vote of no confidence. - There is a robust process that allows students to call for a vote of no confidence in students' association officers.			

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
The governance structures and processes are embedded and sustained year on year. **Indicators of Good Practice. Might include:** ▸ The students' association has a written constitution mutually agreed by the college's governing body and the association. Required of incorporated colleges under the 1994 Education Act. See Legislation Supplement. ▸ Appropriate supplementary governing documents or schedules which contain additional detail are in place. ▸ The students' association's staff are responsible for supporting the democratic processes of the association. Eg, arranging meetings, posting minutes, etc.			

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
The association governance and democratic structures are reviewed regularly to ensure they are functioning effectively.			

Indicators of Good Practice. Might include:

◤ The association's constitution is reviewed at least every five years.

Required of incorporated colleges under the 1994 Education Act. See Legislation Supplement.

◤ By-laws and schedules that supplement and support the constitution are in place and can be changed through the processes outlined within the constitution when necessary.

They are reviewed at least every five years.

◤ The students' association innovates and regularly reviews its democratic structures taking into account new forms of participation and good practice.

Aware and Active Students

Download this section

This theme looks at how students' associations and colleges can ensure that all students are aware the association exists, that they understand its representative role, and that they are able to play an active role within it. It looks at how the association is able to develop an evidenced, representative student viewpoint.

It is about ensuring that:

- The students' association is visible to students and that it delivers accessible and relevant services which meet their needs.

- The students association is able to gather views from all student groups.

- Students feel able to bring their issues and concerns to the students' association.

- Student members engage with the association's democratic governance structures enabling them to function effectively.

- Enthusiastic, motivated students take up leadership roles at all levels of the association, from President to Faculty Reps to event organisers, in order for the association to develop and deliver services and activities effectively.

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
The Students' Association is highly visible in all aspects of students' college experience. All students are aware of their students' association, understand its role as their representative body, and know how to engage with it.			

Indicators of Good Practice. Might include:

- The college and students' association work together to agree messages and develop a co-ordinated approach to promoting the association.

- The association has a dedicated office or social space in a high traffic location, and similar spaces or signposted areas in all major centres.

- All teaching and support staff understand the role of the association and actively signpost it to their students. (See 'Shaping the Life and Work of the College' for more detail).

- The college promotes the students' association through its marketing and communication materials, particularly as part of the induction process.

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
⬛ The students' association creates its own communication tools, such as a website or a social media presence.			
⬛ The students' association is an active presence in the college.			
⬛ Students have the right not to be a represented by the association and there is a process by which they can exercise that right. They are not unfairly disadvantage by, for example, provision of services, because they have done so. The governing body of the college brings this right to the attention of all students at least once a year. Required under the 1994 Education Act. See Annex 1.			
⬛ The governing bodies of incorporated colleges set out a code of practice as to how the requirements set on them by the 1994 Education Act will be carried out and bring this and any restrictions imposed on the activities of the association by the law relating to charities to the attention of all students at least once a year. Required under the 1994 Education Act. See Annex 1.			

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
A significant number of students choose to take part in association activities and fulfil their roles as members of a democratic organisation. This will range from attending association organised social events, bringing their concerns to the attention of the association, and voting in elections. Students are able to see the changes that result from their engagement. **Indicators of Good Practice. Might include:** ▰ The students' association reaches out to students through democratic structures and other routes and actively seeks to make the association's activities relevant and accessible. ▰ Teaching staff promote the course representative role and support them to engage with their students. ▰ The students' association fulfils its promoted role and takes forward the concerns students raise with it. The association and the college feedback to students on the changes that have happened as a result, incentivising further engagement. Otherwise there is a significant risk of students becoming disillusioned.			

Continued ▼

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
⬛ The college and students' association demonstrate the value of the association, and the importance the college places on it, by promoting its impacts and successes. The promotion is done in a way that stimulates interest by proving that students who participate can have a positive impact that will be of benefit to them and their fellow students.			
⬛ The students' association and college implement a range of communication methods to ensure that the widest possible range of students is aware of and involved in the association. This includes:			
- The college enabling the association to access college communication channels, such as the students' association being able to email all students.			
- Officers making themselves available and approachable in both formal and appropriate informal settings.			
- Students' association activities being highly visible with clear information for students about how to take part and/or shape the associations priorities. For example, students' associations and colleges promoting elections to engage students and generate vigorous campaigning.			
- The association developing creative ways to engage students.			

Continued ▼

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
▸ The association maintains a steady level of engagement with students.			
▸ The college works with the Association to emphasise the importance of elections and to build momentum and excitement.			
▸ Students are encouraged to question and challenge officers.			
▸ Students are informed of what they will get out of taking part in students' association activities. For example: - Support in studying for their course. - Increased employability through skills learned. - Volunteering activities to go on their CV. - The opportunity to engage with support networks eg LGBT or Black and Minority Ethnic (BME) student groups.			
▸ The students' association identifies, and takes action on, issues which are of urgent, important interest to students.			

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
A significant number of students choose to take a more active role in the association. This may be through volunteering as a course rep, organising events, societies, and campaigns, or running for election.			

Indicators of Good Practice. Might include:

- The college and association highlight and advertise opportunities to take up roles in the association, and actively encourage students to take them on. Getting involved provides valuable opportunities for students including influencing college life, personal development, and leadership experience.

- The students' association has opportunity profiles which outline what the role is, what skills they will develop through involvement, how much time commitment is required, if there is payment, any other benefits or rewards, and an idea of what it could lead to.

- The college recognises and rewards student engagement.

Continued ▼

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
◤ The students' association creates opportunities for students to take an active role and, based on evidence of interest or need, sets up activities which volunteers can then take over, rather than waiting for students to come up with ideas and start up activities themselves.			
◤ The college and students' association actively seeks to empower students to use their skills to deliver change and encourage and supports students to step up to a greater leadership role.			

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
There is a pool of motivated students running for major officer posts each year, supporting the sustainability of the students' association. **Indicators of Good Practice. Might include:** ◤ The association develops a communication and engagement plan through which it identifies all the different student groups it needs to engage with, any gaps, and the most effective communication channels by which to reach them. The college helps its students' association to maximise the range of different channels and approaches available to communicate and engage with students. Approaches are tailored to fit the needs of different student groups. ◤ The college ensures the association has access to the resources it needs to engage with all student groups effectively. The students' association has sufficient resources in terms of a travel budget, paid officer time, and access to video conference equipment to enable it to deliver to, and engage with, students across the college. ◤ There is parity of provision and access across campuses; students are not disadvantaged by the campus they study at. All students are able to access its services.			

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
All students are able to engage with the students' association and make their voices heard. The students' association is able to understand the perspectives of different groups of students and represent them effectively. This includes students on all campuses, part time, evening, and distance learners, students with protected characteristics, and students with additional or complex support needs.			

Indicators of Good Practice. Might include:

▼ The college recognises and rewards student engagement and builds this into its formal structures.

▼ The college and students' association actively seek to empower students to use their skills to deliver change and encourage and support students to step up to a greater leadership role.

Sustainable Resources

Download this section

This theme looks at how colleges and sector agencies can ensure that students' associations have the resources and support they need to function and to deliver their core purpose effectively. Without resources, students' associations can't function.

It is about:

- Ensuring that the students' association has the resources its needs, particularly funding, paid officers, and students' association staff.

- Ensuring that officers and association staff have the skills they need in order to deliver their roles.

- Ensuring that all resources are managed in a way which supports both the association's autonomy and its partnership with the college.

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Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
The students' association has a sustainable funding stream that is at a level which enables its organisational structures to function, to deliver its core representative purpose, and to have a positive impact on the student experience and the life and work of the college. **Indicators of Good Practice. Might include:** ▰ The students' association receives its core funding from its college governing body ensuring its sustainability. ▰ The students' association core funding enables it to have: - a strong people resource, including sabbatical officer roles and professional level association staff. - sufficient funding for its organisational, governance, and democratic structures. - an operational budget that enables it to deliver high quality representation and other activities and to deliver its work to all student members across all its campuses.			

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
▸ The students' association is able to supplement this with commercial activity where it chooses.			
▸ The students' association has certainty regarding sabbatical officers, dedicated staff, and long term funding, enabling it to plan and develop its activities more effectively. This enables the recruitment of long term staff and advanced officer election and activity planning, thereby increasing sustainability.			
▸ The students' association is included in the college's strategic plan to ensure that it is in the operational plan and is therefore funded.			

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
There is an agreed process by which the students' association budget is negotiated and signed off.			

Indicators of Good Practice. Might include:

▼ Budget planning reflects the priorities of both the students' association and the college. The students' association gathers and evaluates student priorities as part of the budget planning process. It researches, measures, and justifies the need for resources and the worthwhile impact they will have. The students' association make use of its strategic and operational plan as part of its budgeting process. See 'Value and Impact.'

▼ The students' association's budget for the following academic year is signed of in sufficient time for sabbatical and other paid officer posts to be advertised and elected before the end of the summer term.

▼ The students' association leads on the development of its budget; the association writes the first draft.

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
▪ The college acts as a critical friend to the association, using staff members' professional expertise to support the association in this important area. Staff help the association to think through its plans in depth and to identify the impacts of its budgeting priorities on students and the college as a whole. ▪ There is an agreed timeline for budget discussions and decisions. ▪ Both parties approach discussions openly and transparently and there is mutual comprehension of the consequences budget decisions will have. ▪ The students' association is able to evaluate their progress, mistakes, and successes in order to make the case for future resources. See 'Value and Impact.'			

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
The students' association has robust financial management processes. **Indicators of Good Practice. Might include:** ◤ The students' association has robust financial management processes. ◤ The College's governing body ensures the students' association fulfils the requirements of the 1994 Education Act. The financial affairs of the association are properly conducted and appropriate arrangements exist for the approval of the association's budget, and the monitoring of its expenditure, by the governing body. Financial reports are published annually and are available to the governing body and all students. Required of incorporated colleges under the 1994 Education Act. See Legislation Supplement. ◤ The students' association officers have access to their budget. They receive training on how to interpret and manage it, including budgeting across the year.			

Continued ▼

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
▮ The students' association staff assist new officers to quickly understand the budget and to get up to speed.			
▮ The students' association has a set of democratic processes by which officers decide, in line with their budget, how funding is spent. For example, expenditure over specified limits (such as £500) requires a majority vote by the association executive.			
▮ The students' association spends within the budget agreed; if the budget needs to be adjusted there is a set process to do this.			
▮ The students' association and the college have financial processes that check that democratic processes have been followed and that all funding is spent properly and accounted for.			
▮ The college ensures that the association has access to the expertise it needs in order to publish its financial reports. For example, the college's Director of Finance might assign time to support the association to fulfil its obligations, and to design functional financial management processes.			

Continued ▼

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
◤ The procedure for allocating resources to groups or clubs is fair, set down in writing, and accessible to all students. Required of incorporated colleges under the 1994 Education Act. See Legislation Supplement.			

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
The students' association has dedicated, long term staff who provide continuity, sustainability, and a stable skills base which enables the development and operation of an effective students' association.			

Indicators of Good Practice. Might include:

▼ There is a clear distinction between students' association staff who support the students' association and learner engagement or liaison staff who engage with students on behalf of the college. Both roles are key and the teams should work closely together.

▼ Staff have the skills and experience necessary to fulfil their role and support the student officers. This includes managerial and organisational skills and capacity. They ensure the association meets its obligations and runs effectively, and free up officers to concentrate on their representative role.

Continued ▼

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
�corner Dedicated staff are employed on long term or permanent contracts. They manage and support the handover and transition between student officers. They coordinate succession planning ensuring progress isn't lost between one officer team and the next, which enables the college to have greater certainty about the activity the association will deliver year on year. They develop and keep an organisational memory for the association.			
▪ Association staff are remunerated at a level which reflects their remit and level of responsibility and have access to continuing professional development opportunities throughout the college, as well as national specialist development opportunities. These measures help enable the association to recruit and retain highly skilled staff.			
▪ Staff are mindful of the student-led nature of the organisation, and understand and support the association's role as an autonomous, representative body. Association staff provide advice and support, but the elected officers make the final decision and set the work of the association.			

Continued ▼

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
�, Staff support students to engage with often daunting work such as attending big meetings and acting as a critical friend to the college. They support them to develop confidence. ▸ The students' association sets its staffs' objectives. The college is mindful of the potential conflict of interest students' association staff face in being responsible for supporting a representative organisation. Students' association staff are not held to account for the actions they support the association to take, but for how well they support it to deliver its objectives. ▸ Student officers take the lead in working out what the 'right' staff support would be for their association. Ideal minimum would be one professional or managerial level staff member and one admin support. Additional support is determined by the size of the association, and its priorities. For example, recruiting someone to manage the development of a sports union. ▸ Student officers play a full role in the recruitment process with support from their college.			

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
The students' association's major office holders are able to focus on their representative role. They have time to plan ways to increase the effectiveness of the students' association, to engage with hard to reach student groups, to attend college meetings and to build relationships with the college staff.			

Indicators of Good Practice. Might include:

▼ Sabbatical officers receive a remuneration which enables them to focus on their role without having to take another part time job, and to maintain a good standard of living during their period in office.

▼ Sabbatical officers are elected before the end of the summer term enabling the association to function and to prepare for the new academic year over the summer months.

Continued ▼

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
The students' association has sufficient sabbatical posts to enable it to meet the needs of the student population. All students' associations have at least one sabbatical officer and aim to have at least two to give the association maximum flexibility. The number of paid sabbatical officers takes into account: - The size of the student population. - The number of campuses and the travel time between them. - The level of activity the association is expected to deliver. *Note: Students' associations might experiment with a combination of full time and part time paid officers. Part time paid officers, however, will face the same challenges of balancing their course of study with their representative role that volunteer officers will. In some colleges in which student numbers are very low a full time sabbatical officer might not be cost effective and other ways to deliver the same benefits should be sought.*			

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
Volunteer officers and volunteers in general play a valuable role in the association, increasing its capacity, ensuring it has officers who are also current students, enabling students to get involved at all levels and stimulating interest in the major association offices. **Indicators of Good Practice. Might include:** ▰ The association has a mix of full-time paid and volunteer officer posts. ▰ Volunteers are supported through appropriate training and development. ▰ There is a range of opportunities for students to volunteer in the association across the whole college community.			

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
Student officers are equipped with the skills and knowledge they need to carry out their role effectively. There is an effective handover and induction process for new officers. **Indicators of Good Practice. Might include:** ▸ Officers receive both induction and continuing professional development support throughout their time in office. This is delivered by students' association staff, by the college, and by national organisations such as NUS and sparqs as appropriate. ▸ Training is timely and ongoing throughout their term to ensure officers' skills and knowledge are current and that it enables them to fulfil their role effectively. ▸ Training is appropriate to the needs of individual officers and their college environment. It covers skills development, such as decision making and relationship management, and knowledge development such as the students' association's and college's decision making processes.			

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
▼ New officers are supported through an effective handover and induction process developed and coordinated by the students' association staff, supported by the college. This includes: - Full training programme. - Support to develop their own plans for the priorities they want to take forward. - Effective handover from their predecessors to ensure continuity and transfer of knowledge and skills. - Association team building. - Relationship building with key college staff. ▼ The association has access to the following resources to enable it to deliver effective inductions and continuing officer development: - Students' association staff who can deliver training and development. - College staff mentoring time. - Appropriate training and development opportunities, including national training programmes such as those delivered by NUS Scotland (for affiliated associations) and sparqs. - Officers able to access corporate college induction and staff development days.			

Continued ▼

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
▸ The college ensures that student officers are aware of and can access training and development opportunities in house and through regional collaboration and national programmes. ▸ College staff support the students' association by giving it access to their specialist skills and advice. For example, College Finance Director might work with the association to develop robust financial procedures.			

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
Students' association has a dedicated social or office space **Indicators of Good Practice. Might include:** ▰ The students' association has a dedicated social or office space at a high traffic location in the college. ▰ The students' association has a dedicated space on every major campus, and a physical information point on all campuses.			

Value and Impact

Download this section

This theme looks at how students' associations can prioritise and plan activities that meet the needs of their students and deliver positive change. It looks at how students' associations and colleges can evaluate and measure the partnership's success and ensure that students' associations represent students and have a positive impact on their experience at college. A students' association's success is highly dependent on its college's actions, and so any evaluation of impact must evaluate the contributions of both partners.

It is about:

- Enabling the association to articulate how it is aiming to improve the lives of students, and to evaluate how well it is succeeding.

- Exploring the other forms of beneficial activities students' associations can deliver, over and above their core representative purpose, and being able to identify your own students' association's priorities.

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
The students' association plans its aims and activities to respond to the needs of their students.			
Indicators of Good Practice. Might include: ▸ The students' association plans its activities and services to respond to the needs and interests of students. See 'Aware and Active Students'. ▸ Developing the strategic plan involves consultation and research into the needs and issues of the students and the college. ▸ The students' association takes college priorities into account when setting its own objectives. The students' association, in turn, has a role in jointly agreeing the college's priorities.			

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
The association has continuity and sustainability of vision and planning and the flexibility to respond to changing contexts and the priorities of newly elected officers.			

Indicators of Good Practice. Might include:

⬛ The students' association has an established planning process which facilitates the development of both long term and short term plans.

⬛ The students' association has long term strategic planning processes and a two to five year strategic plan which includes pieces of work that will take longer than a single officer's term. It sets out the association's vision for the future of the college and the students' association.

⬛ There is sufficient staff resource to support the delivery of the strategic plan.

⬛ The strategic plan is a flexible working document which is revised every year to ensure it is responsive to changing student needs, and to enable elected representatives to take forward their manifesto commitments.

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
◤ The students' association has operational planning processes which create a work plan for the year after the new officers are elected. ◤ The association has key priorities which keeps it moving forward between officer teams.			

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
The students' association and college evaluate how effectively the students' association is representing students, delivering beneficial impacts to them, and carrying out its plan. They are able to determine whether it needs additional resources and support, and how it can continue to improve and develop.			

Indicators of Good Practice. Might include:

◢ Students' association and college are able to demonstrate impact to students and external partners.

◢ The students' association is able to measure, evaluate, and demonstrate its success and impact in delivering its plan and representing the needs of students.

◢ Evaluation takes into account the influence of college controlled factors.

◢ The association and the college have robust joint evaluation and review processes which demonstrate where the student voice was heard and how it was acted upon.

◢ The college records and publishes what it has done differently as a result of the student voice.

Continued ▼

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
The association has processes which enable it to evaluate how effectively it is responding to the needs of students and to utilise the results to make improvements.			
Direct feedback from students is sought as a measure of impact.			
Evaluation takes into account impact on all stakeholders, including externals.			
The association keeps a log of its activity.			
The association regularly measures and evaluates its progress in delivering their plan.			
Impact is publicised to students, and to prospective students through, for example, an annual report. The impact of students' association activity, such as sitting on committees, is demonstrated.			
Both partners recognise that students' association impacts may not be instant, and that they may be soft impacts such as building student confidence which is difficult to measure.			

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
The students' association acts on the evidenced voice of students to represent them and achieve change on their behalf. **Indicators of Good Practice. Might include:** ▸ The students' association is able to achieve change through representation, partnership working, and campaigning. See 'Students at the Centre'.			

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
The students' association takes ownership of college services, or work in partnership with the college to deliver them, where student association leadership can add value to the services. **Indicators of Good Practice. Might include:** ⬛ The respective roles of the association and the college are clearly defined and understood.			

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
Students' associations deliver direct services or activities to enhance the student experience. These should respond to student interests and should not be prioritised over the students' association's core representative purpose. **Indicators of Good Practice. Might include:** ▼ Students' association delivers activities tailored to the interests and needs of the students, and which are appropriate to the association's capacity and resources. These activities might include: - Activities which aim to address issues which impact on students such as domestic violence, bullying, and mental and sexual health, or which promote equality and diversity. - Activities' aimed at involving students in the democracy of the students' associations and in national democracy, supporting students to develop as active citizens. For example, many students' associations played a role in raising student awareness of the Independence Referendum.			

Self Evaluation Measures	Self-Evaluation Score	What do we do well? What can we do better?	What would success look like?
- Social activities which help the development of social networks and promote the creation of a college community. - Students' association develop, or supports students to develop, social activities.			

Development of Strong and Effective College Students' Associations in Scotland:

Self-Evaluation

See: **saframework.com**

Legislation Supplement: References to Students' Associations in Legislation

See: **saframework.com**

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College region: Dumfries and Galloway

College regional grouping: Dumfries and Galloway College

The Board of Dumfries and Galloway College submit the Outcome Agreement to the Scottish Funding Council.

This Outcome Agreement reflects the College's commitment to responding to the educational and skills needs within our region, aligned to the Scottish Funding Council's 6 national priorities:

- **Efficient regional structures** - to deliver an efficient regional structure to meet the needs of the Dumfries and Galloway Region;
- **High quality & efficient learning** – to ensure that learner journeys are as short, efficient and effective as possible and that learners experience the highest quality of learning and teaching and achieve successful outcomes
- **Access for people from widest range of backgrounds** - to improve access to further and higher education for people from the widest possible range of backgrounds
- **Right learning in the right place** – to secure coherent provision of further and higher education in Scotland;
- **A developed workforce** - To ensure students are qualified and prepared for work and to improve and adapt the skills of the region's workforce;
- **Sustainable institutions** - to secure, well managed and financially and environmentally sustainable colleges.

Dumfries and Galloway College will receive £8,516,174 in core grant from the Scottish Funding Council for academic year 2016-17 with a credit target of 30,067 to plan and deliver further and higher education in the region.

This funding is on condition that overall the College delivers 30,067 credits and signs and commits to deliver the outcomes detailed within this agreement.

At Dumfries and Galloway College, we are moving into an exciting stage of our development, building on the successes of our past and driving forward to achieve our aspiration of becoming an 'outstanding college'. We aim to deliver the highest quality learning for our students, to make a positive contribution to the local and national economies and to utilise the expertise of our staff to deliver continuous improvements. 'Vision 2020' is our Strategic Plan for the period 2015-2020 and sets out our vision '*Inspiring our People, Businesses and Communities to be successful'*, our mission '*One College, one Team where: Learners come first; the changing needs of the economy are met; and innovation, collaboration and creativity are core to what we do.*

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The Outcome Agreement sets out how Dumfries and Galloway College will achieve its strategic outcomes for 2014-17 and beyond.

Dumfries and Galloway College will:

- Provide opportunities to access and progress through education and training at all levels.
- Deliver education and training that is a route to employment and career development and is aligned to local and national economic need.
- Be the first choice for recruitment, training and development of the workforce.
- Enable communities to grow and develop through local education and training.
- Support more businesses to start-up, grow and diversify.
- Enable people to build their independence and confidence in a supportive environment.

Monitoring Performance

The College will regularly measure and monitor progress towards the delivery of the outcomes set out in this agreement and reported to the Board of Management. The College will also produce an annual outcome agreement self evaluation report to be reported to the Board of Management.

Signed by College Region/Date	Signed by SFC/Date

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Dumfries and Galloway Region

The Region of Dumfries and Galloway is situated in the south west of Scotland. It is 77 miles from Glasgow and 79 miles from Edinburgh to the main town of Dumfries. The Region is the third largest in Scotland in terms of land mass but is one of the most sparsely populated with 150,800 people spread over 6,426 square kilometres.

The Region is characterised by small settlements of 3,000 people or less spread across a large area. Nearly half of all people live in settlements with fewer than 3000 people. The largest town is Dumfries (population 31,630), followed by Stranraer (10,290) and Annan (8,430) with no other settlement having more than 4000 people. The population density is 23 persons per sq km (Scotland average: 68). Seven secondary schools have fewer than 500 pupils; 43% of primary schools have fewer than 50. Nearly a third of the population lives in remotes area (further than 30 minutes drive from a large town). The region suffers from a poor transport infrastructure with limited public services. A relatively low proportion of addresses in the region have broadband connections and those that do, have low average speed. The region faces many challenges – the economic situation, (currently it has the lowest average wage in Scotland and economic recovery is slow compared to other regions), rurality, and an ageing population.

Economic Profile [1]
GVA continued to rise by 1.4% in the region between 2012 and 2013. Output grew between 2012 and 2013, after it had contracted the previous year. The region accounts for 2% of Scotland's total output in 2013, the same as the previous year, although one percentage point lower than the region's share of national population. Output from the region is dominated by the production sector which accounts for 30% of total GVA.

Average workplace earnings in Dumfries and Galloway (£432 per week) remain below Scottish (£519) and UK (£518) averages, and earnings fell in the last year while they rose nationally. Since 2013, these full time worker earnings in the workplace have actually fallen by 1% in Dumfries and Galloway, while they have risen by 2% across Scotland. However those **living** in Dumfries and Galloway earn more than those working in the region - £454 per week. Many may commute to slightly better pad jobs in the surrounding local authority areas.

The business base is dominated by the agriculture, forestry and fishing sector, which accounted for 28% of all businesses in 2014, over three times the Scotland proportion, and higher than the 25% in 2013. The retail, accommodation and food services and professional, scientific and technical sectors all make up a smaller proportion of the business base than nationally.

The top 3 business sectors are Agriculture, Forestry and Fishing (28%), Retail (10%) and Construction (9%). The profile of businesses by size remains fairly similar to Scotland, where 83% of registered businesses in Dumfries and Galloway are micro firms employing fewer than 10 people. Around 2% employ more than 50.

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[1] Dumfries and Galloway Regional Skills Assessment 2015

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Profile of the Workforce

Total employment rose over the period 2009 to 2014 to 58,700. This represents a growth rate of 1%, equal to the Scotland rate, with the growth rate increasing between 2013 and 2014.

The employment by industry sector broadly mirrors the business base, with two exceptions. The top employing sector continues to be health. Some 19% or 11,000 are employed in the sector, above the Scottish and UK proportions, although the sector only accounts for 6% of the business base, reflecting a small number of large employers in the sector, such as local hospitals. Similarly, agriculture represents just 2% of employment but 28% of the business base, suggesting lots of small farms/employers and reflecting the fact that agriculture is not a highly labour intensive sector.

Retail and production are the two other key sectors of employment in the area, and both have a high employment concentration in Dumfries and Galloway, again signifying the predominance of lower paid jobs in the area. Other large employment sectors include education and accommodation and food services, both of which are also over-represented in the region.

The key changes over the 2012-2014 period were the expansion of employment in residential care, an increase of over 750 jobs. There were few significant job loss sectors, although there was a decline of almost 150 jobs in sawmilling activities. The key changes over the two years were:

Residential nursing care (+34%)
Restaurants (+34%)
Other residential care (+33%)
Sawmilling and planning (-20%)
Beverage serving (-10%)
Other social work activities (-7%)

People and Skills Supply
The total population of Dumfries and Galloway is 149,900[2] in 2014, slightly below the 150,300 in 2013. Over the period 2004-2014, growth has been relatively stagnant, with a 1% population increase compared to 5% growth in Scotland and 8% growth in the UK over the same period.

Dumfries and Galloway has experienced a decline in the younger age groups and those most economically active, with a -9% decrease of 0-15 year olds, -5% amongst 16-19 year olds and -28% amongst 35-44 year olds. The largest increase has been in those aged 20-24 (21%) and 65+ (20%) both higher than the growth in these age groups in Scotland.

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[2] Dumfries and Galloway Regional Skills Assessment 2015

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The Labour Market Participation[3]

The employment rate for Dumfries and Galloway in 2014 was 73%, equal to the Scotland and UK averages. 67% of jobs in the region are full time, lower than 74% in Scotland. A third of all jobs in Dumfries and Galloway are part-time, compared to 26% in Scotland.

In 2015 there were 306 unemployed young people aged 16-24 in the region, down by 47% on the previou year.

School-Leaver Destination (source: Skills Development Scotland Dumfries and Galloway Council Community Planning Partnership Report (December 2015)

Overall the percentage of school leavers entering a positive destination in 2014-15 is 93.0%, a rise of 2.0 percentage points in comparison to 2013-14. This is 0.1% above the national average of 92.9%.   Dumfries and Galloway Council is 21st (30th in 2013-14) out of 32 local authorities for the percentage of leavers entering a positive destination. The College is a member of the Dumfries and Galloway Employability Partnership which has developed an action plan to support and raise the percentage of school leavers entering a positive destination.

The percentage of leavers entering Higher Education in 2014-15 is 37% which is 1.3% lower than the national average of 38.3%. In comparison to 2013-14 this is a rise in Dumfries and Galloway of 0.6%.

The percentage of leavers entering Further Education has risen by 4.7% to 30.1% which is 2.3% higher than the national average of 27.8%.

593 leavers entered higher education, 137 (23%) of these studied at FE Colleges, 483 entered further education, 349 (72.9%) studied at Dumfries and Galloway College.

FE Students by FE Colleges

Institution	Total	%
Dumfries and Galloway College	349	72.9
Ayrshire College	20	4.2
Edinburgh College	9	1.9
City of Glasgow College	6	1.3

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[3]Dumfries and Galloway Regional Skills Assessment 2015

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Outwith Scotland	38	7.9
Other Institutions/Learning Providers	57	11.9

HE Students by FE Colleges

Institution	Total	%
Dumfries and Galloway College	92	67.2
City of Glasgow College	18	13.1
Edinburgh College	10	7.3
Ayrshire College	5	3.6
Other Institutions/Learning Providers	12	8.8

Only institutions with 5 or more leavers have been displayed above. All other institutions are captured under 'Other Institutions/Learning Providers'.

Deprivation
Around 17% of households have average household earnings of less than £10,000 per year, higher than the 13% across Scotland.

By contract, just over a quarter of households (26%) have incomes above £30,000 compared to 31% across Scotland.

22% of households are workless, just above the 20% in Scotland and 17% in the UK. This equates to some 10,400 workless households in the region (2013). There has been significant increase in the percentage of workless households since 2004, when the rate was 17%. This peaked at 24$ in 2012.

In general, leavers who live in the more deprived areas are less likely to enter positive destinations on leaving school than those from the less deprived areas. In 2014-15 there were 11% less positive destinations for those from more deprived areas.

Qualifications and attainment
The proportion of school leavers in Dumfries and Galloway entering Higher Education increased slightly from 2013/14 to 2014/15, at 36% and 37% of all school leavers respectively. 30% entered Further Education and 22% entered employment, which fell from 28% in 2013/14. The proportion unemployed decreased from 9% in 2013/14 to 6% in 2014/15, in line with the Scottish average.

13% of those aged 16-64 years have no qualifications, higher than the Scotland UK rate of 9%. Just over one in ten have lower level qualifications –

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broadly in line with the 10% in Scotland and 12% in the UK. In contrast, almost three in ten (30%) have high level qualifications (at SCQF 7-12), below the 41% in Scotland and 36% in the UK – reflecting the lower level of those in professional occupations.

Dumfries and Galloway College

Dumfries and Galloway College is a single college in a single region. Dumfries and Galloway Council is the sole Local Authority for the region. The College is the only general further education college in the region and potential learners and employers are dependent on it to deliver a curriculum which meets their needs. There is one other College in the region (previously known as the Barony College) which delivers land-based curriculum provision but, since August 2012, it is now part of the newly formed Scotland's Rural College (SRUC).
The College delivers further and higher education across a broad range of curriculum areas from access level to SCQF level 8, to approximately 1600 full-time and 3,500 part-time learners through its campus locations in Dumfries and 75 miles away in Stranraer.

Due to the characteristics of the region the College will remain financially challenged. In particular, the need to duplicate a wide range of curriculum and services in Stranraer, impacts both financially and on course viability. Small learner numbers and demand makes it difficult to sustain some provision and some courses require to be structured differently to those in Dumfries, e.g. by combining different levels of learners or using mixed methods of delivery, in order to maintain that area of provision.

The Dumfries and Galloway Regional Transport strategy vision is a transport system that delivers the internal and external connectivity required to sustain and enhance the region's economy and communities whilst minimising the impact of transport on the environment. In a large rural area such as Dumfries and Galloway, this is not easy: the long distances involved, and the fragile nature of many of the region's isolated communities, makes it harder to provide alternatives to private transport than might be the case in many urban areas. Dumfries and Galloway College is a partner of the regional transport group and recognises the travel difficulties students have in attending College. The College addresses this difficulty by provisioning bus services from /to key towns/settlements such as Stranraer, Newton Stewart, Machars, Moffat, Kirkconnel, Sanquhar, Dalbeattie, Annan, Gretna and Lockerbie, which are free to College students

The College's main campus is located in the outskirts of Dumfries adjacent to the Crichton Campus and the Universities of Glasgow and the West of Scotland, Scotland's Rural College (SRUC) and the Open University. The Crichton Campus is a unique collaboration between the College and these universities that brings a broad range of further and higher education to Dumfries. In particular, the Campus brings the choice of university learning to a region that in the past people have had to leave to attend university.

The College relocated to a new building on a site adjacent to the Crichton Campus in 2008, and efficiencies and improved learner experience have been achieved through shared services with the Universities of Glasgow and the West of Scotland in the form of some shared building space and a single, cohesive, library service available to all students from each institution. Dumfries and Galloway College, University of the West of Scotland and University of Glasgow developed a unique shared library service under the banner of 'Crichton Library'. A single library management is used by all

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institutions where all books, journals and e-books, irrespective of the host institution are included. This offers an enhanced service to students from all institutions, including college students studying at our Stranraer campus. In addition University of West Scotland and University of Glasgow Student Services and Student Association services operate from within the College building and the College refectory, café and shop is available to all staff and students across all institutions as well as the wider community.

The College is a member of the Crichton Campus Leadership Group (CCLG) which was created to facilitate a shared understanding of the skills, education and training needs of Dumfries and Galloway, through effective engagement with key stakeholders. It also plays a key role in raising the profile and maximising the impact of collaborative activity on the Crichton campus for the region, and capitalising on the attractiveness of its unique location in the UK and international markets.

The CCLG consists of groups that do not normally make strategic plans together, but this is a potential strength of the CCLG – to bring those parties together to give a stronger strategic focus for academic provision and community outreach activities, directly relevant to the social, economic, workforce and cultural needs of communities in Dumfries and Galloway. The College is recognised as a key player in the CCLG. Each party represented on the CCLG has its own strategic aims and objectives. The remit of the CCLG is as follows:

- To advise the academic partners and facilitate a shared understanding of the skills, FE and HE education and training needs of Dumfries and Galloway.
- To support the development of a collaborative strategic vision for provision at the Crichton Campus.
- To advise and support the collaborative provision delivered at the Crichton Campus, ensuring that the academic partners' activities are informed by the social, economic and cultural profile of the region.
- To support the academic partners' dialogue with the Community Planning Partnership on the potential contribution of the Crichton Campus to the economic growth and development of the region.
- To support the academic partners' dialogue and direct interfaces with Dumfries and Galloway Council and to contribute to this in respect of local school provision and its links to activities on the Crichton Campus.
- To advise and review progress on a Consolidated Outcome Agreement for the Crichton Campus

The Open University is a partner of the College and we have an agreement whereby they are able to use the College to hold tutorials and, OU students can come in and use IT equipment and library facilities

The Crichton Institute is a collaborative venture comprising Crichton campus academic and wider strategic partners. Its purpose is to deliver a programme of knowledge exchange, applied research, evidence synthesis and policy development that will have a transformational influence on

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the economic, social and cultural regeneration of South-West Scotland and is funded until January 2017 by the Scottish Funding Council. The Institute will be located in the Henry Duncan Building part of the main Dumfries campus.

The College is working closely with Dumfries and Galloway Council on the Dumfries Learning Town project where the Council is taking forward the review of Dumfries schools, in conjunction with the wider regeneration for Dumfries. Dumfries Learning Town is an innovative approach to provide a new model of 3 to 18 education delivery. This new approach will provide a greater range of subjects and learning environments to better meet the needs of all learners. Through new purpose built facilities which are better integrated with further/higher education and businesses, learners will fully benefit from an integrated approach to delivering Curriculum for Excellence together with essential life skills.

Priority Outcomes to be delivered in AY 2016/17

Efficient regional structures

Governance arrangements
The Regional Board for Dumfries and Galloway College is now well established and comprises of the Chair, the Principal, two student members, two staff members and 10 non-executive members. The College recognises the important role Board members have in acting as ambassadors for the College as well as providing a governance role. In order to strengthen relationships between staff and Board members and ensure Board members develop knowledge and understanding of college operations, a series of actions have been undertaken. These include: Attendance at Board of Management and relevant Board Committee meetings by Executive Team; Presentations by different staff groups and Strategic Topic discussions at Board and Committee meetings; regular invitations to attend College events; all staff and Board members strategic sessions; involvement in Employer Advisory Partnerships and stakeholder events. Board members receive copies of the College News and the Principal's Blog which provide relevant and up to date information on college activities.   A joint meeting with Borders College Board of Management was held in 2015-16 to identify shared issues/opportunities and to develop some key messages in respect of the unique challenges faced by Scotland's only 2 single-region, rural colleges. The Chair of the Board of Management is a member of the National Advisory Group on Developing the Young Workforce and is Chair of the Audit Committee of Colleges Scotland Board.

Strategic Plan and Regional Outcome Agreement 2016-17
In August 2015 Dumfries and Galloway College launched its five-year strategic plan setting out its vision and aspirations. The plan has been developed taking cognisance of: Dumfries and Galloway Single Outcome Agreement, Dumfries and Galloway Economic Strategy, Scottish Government post-16 legislation, Developing the Young Workforce, Opportunities for all and other national and local strategic developments. Staff, students and external stakeholders have been involved in the development of the plan. A joint event with staff and Board members will take place in

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February 2016 to consider and contribute to the development of the Regional Outcome Agreement for 2016-17 and to consider Vision 2020 progress against objectives.

Community Planning and Stakeholder Engagement
The College operates within the Community Planning Framework and is represented on a number of key partnership groups including: Community Planning Strategic Partnership, Community Planning Executive Group and, Employability Partnership (Principal has recently been appointed Chair of this group). An Economic Leadership Group is about to be established and the College will be represented at senior executive level. This will ensure a cohesive approach to the economic development and success of the region and the College's curriculum offering will reflect the skills required of key sectors, as identified in the Regional Skills Assessment provided by Skills Development Scotland.

There is senior College representation on Dumfries Learning Town Executive group as well as the Employability sub-groups and the College will continue to work with partners to progress this development.

As a member of the Crichton Campus Leadership Group, the College works with Campus partners to maximise the educational (and other) opportunities the Crichton campus can provide. SRUC are currently undertaking an Options Appraisal in respect of D&G provision and have stated their preferred option is to relocate to the Crichton site. This would present significant opportunities for the 2 colleges to share facilities and services, as well as develop joint curriculum. The two institutions recently signed A Memorandum of Understanding to work together as this development progresses.

A Developing Young Workforce Group has recently been established in Dumfries and Galloway and, although this will be employer-led, the College will have a key role in taking forward this initiative. The Chair of the Board of Management is a member of the Board of the Regional Group. Approval for the establishment of this group has been approved and will be supported by the Chamber of Commerce. Dumfries and Galloway College is a partner member of the Chamber of Commerce and is active in the support and development of the DYW Regional Group.

- **To support the Dumfries and Galloway Developing Young Workforce Group and ensure coherence with CPP structures and processes**

ICT and Broadband Capacity
The College currently has a 100mb broadband link connected to the JANET network via ClydeNet. ICT is at the heart of our business and extensive investment in infrastructure at the Dumfries Campus, equipment and staff development has taken place over the past five years to maximise the use of digital technology to deliver a flexible curriculum and learner experience. The College is currently upgrading the network infrastructure and some network cabling at Stranraer to same level as the Dumfries Campus. . We will continue to invest in ICT for the delivery of learning & teaching and services.

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The College has now signed up to join the Scottish Wide Area Network (SWAN) which is a Scottish Government initiative to support delivery of 'Scotland's Digital Future – Delivery of Public Services'. SWAN is designed to deliver a single public services network available for the use of any, and potentially all, public service organisations within Scotland. Dumfries and Galloway Council is part of Pathfinder South for SWAN agreed for the College to join SWAN at this early stage in its roll-out. The College has also upgraded the broadband capacity supplied by JISC.

- **To explore opportunities of a shared data centre with Dumfries and Galloway Council and JISC**
- **To upgrade/renew network infrastructure and cabling in Stranraer campus Summer 2016**

Developing Dumfries and Galloway College Students' Association

The SFC provided the College with financial support (up until March 2016) from its College Strategic Fund towards the cost of developing college Students' Associations. The College used these funds to develop a students' association where the students' association is be able to work as equal partners with the College. 2015-16 was the first time the College had been able to appoint a full time Student Association President on sabbatical.

The Students' Association has adopted the 'Development of Strong and Effective College Students' Associations in Scotland' framework developed by the National Union of Students and prepared its own development planning tool. The President (based in Dumfries) and Vice President (Stranraer) of the Student Association are members of the Board of Management. The President attends Executive Team meetings, when appropriate, meets with the Principal and other Executive Team members on a regular basis and is supported by the Quality Manager and her team. The Students' Association has also developed a self evaluation tool from the NUS 'Development of Strong and Effective College Students' Associations in Scotland' framework.

The priority for 2016-17 will be to continue to embed and achieve the outcomes. The College will continue to develop, support and fund the Students' Association.

- **To continue to embed and achieve outcomes from the development plan**
- **To further develop and embed the self evaluation tool**
- **To develop and implement Students' Association/College partnership agreement**
- **To implement the revised Students' Association constitution**
- **To continue to develop, support and fund the Students' Association**

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Carbon Management

In partnership with the Scottish Funding Council, Resource Efficient Scotland and the Environmental Association for Universities and Colleges (EAUC) we plan to develop a Carbon Management Programme that will assist in the identification of baseline information, which in turn will help develop a carbon footprint for the wider college sector. The College aims to reduce tCO2 emissions by 20% by December 2019. Due to extending the building to accommodate a new training kitchen and training restaurant reductions are not possible in 2015-16. A climate control action plan detailing annual reductions was finalised in December 2015.

A number of carbon projects have been identified in the plan, some of which are low cost high gain, while others are low cost, low gain. Many projects are based around raising awareness and education as this is the area the College believes the greatest gains can be achieved. As the largest College building, the Dumfries campus is a relatively new building (8 years old) and was designed to be as energy efficient as possible. Taking this into account there is limited scope for large scale energy reduction initiatives. All of the projects will help reduce the College's carbon footprint, and all are important as contributors towards sustainability for the College.

Carbon Management Projects

1. Existing Established Initiatives

Education for Sustainable Development (ESD)
- ESD Workbooks for Introduction to Sustainability, Construction, Hairdressing, Beauty and Health and Social Studies
- SCQF Credit Rating for Introduction to Sustainability
- Raising awareness and behaviour change

The College's existing ESD programme has raised the profile of the College's commitment to ESD and has been recognised as sector leading by Education Scotland. The ESD programme has been shortlisted twice by the Environmental Association for Universities and Colleges Green Gown Awards in 2012 and 2014 and nominated for a SQA Star Award in 2014. College ESD materials have also been shared with the wider Scottish college community and are used by other colleges, these materials can be obtained at:

http://www.eauc.org.uk/ucccfs/education_for_sustainable_development_workbooks

2. Responsible Futures

The Student Association is taking part in a National Union of Students (NUS) pilot scheme called Responsible Futures. The vision for Responsible Futures is of a desirable, externally assessed accreditation mark for a whole-institution approach to environmental sustainability and social

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responsibility, spanning the formal and informal curriculum, applicable to both Further and Higher education. Social responsibility refers to the duty that institutions have towards wider society in relation to ethics, wellbeing, social justice, global citizenship and moral responsibility.

The whole-institution approach is by the College and the Student Association working together in partnership. One of the audited requirements of the scheme is that there is a working group, comprised of College representatives and students, which helps drive the scheme forward. The Sustainability Committee that would be responsible for overseeing the Climate Change Action Plan would be appropriate to meet this requirement.

Further detail about the Responsible Futures scheme can be found here:

http://sustainability.unioncloud.org/responsible-futures/about

3. Existing Projects

A number of existing projects are already in place as part of on-going works and initiatives. A full description of each existing (E) project is provided below. These Existing projects are largely low cost, high gain projects to kick start the Plan. Where the cost is £0, this means there is no additional outlay for materials or capital, however there will be generally associated staffs cost which will need to be quantified.

Dumfries & Stranraer Campuses

Ref	Project	Lead	Cost (£)	When	Status
E1	Responsible Futures	SA	0	Ongoing 2015	Initiated
E2	Low flow taps in hairdressing salons	MF	1200	Oct 2015	Initiated
E3	Food waste and sustainability awareness	CS/CCO	50	Ongoing 2015	Initiated
E4	Plastic bottle greenhouse	CCO/SA	170	Sept 2015	Initiated
E5	College bike promotion and sustainable travel awareness and to improve staff awareness of the existing cycle fleet	FA	0	Sept 2015	Initiated
E6	Business Stream to audit the campus on water consumption and leakage detection	MC	0	2015	Initiated
E7	Promotion of video conferencing between campuses	CCO	0	Oct 2015	Initiated
E8	SCQF credit rating more sustainability materials, initially hairdressing, beauty and hospitality	QM	0	Ongoing 2015	Initiated

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4. Immediate Term Projects

A full description of each Immediate Term (IT) project is provided below. By IT we mean projects that will be fully implemented and/or completed between now and the end of 2016. These projects have been quantified where applicable, and it is hoped through educating staff, students and other building users about sustainability, that behaviour change across both campuses will lead significantly to the interim reduction of 9% emissions savings. These Immediate Term projects are largely low cost, high gain projects to kick start the Plan. Where the cost is £0, this means there is no additional outlay for materials or capital. The only costs will be existing associated staff costs.

Dumfries and Stranraer Campuses

Ref	Project	Lead	Cost (£)	When	Status
IT1	Lighting sensors in library and canteen	MC	10,000	2015/16	Planned
IT2	Water awareness campaign – toilet flushing	CCO	150 approx	2015/16	Proposed
IT3	Energy awareness workshops	CCO/SA	300 approx	2015/16	Proposed
IT4	Sustainability induction programme for new staff, either online or as induction pack for new staff using materials already developed in College	HR/CCO	0	2015/16	Proposed
IT5	Waste audit	CCOC	0	2015/16	Planned
IT6	Fleet vehicles and business travel audit	CCO	0	2015/16	Planned
IT7	College bike promotion and sustainable travel awareness	FM	0	2015/16	Planned
IT8	Food waste and sustainability awareness	CCO	0	2015/16	Planned
IT9	Staff switch off campaign, including training for cleaning staff	MF/CCO	0	2015/16	Planned
IT10	College wide sustainability awareness campaign	CCO	500 approx	2015/16	Planned
IT11	All of the Business Stream suggestions - Retrofit push taps - Install tap aerators and in-line flow restrictors - Change shower heads to aerated ones	MF	3000	2015/16	Proposed
IT12	Installing sensors to utilise natural day lighting where appropriate	MC	3000	2015/16	Planned
IT13	Waste and recycling awareness	CCO	150 approx	2015/16	Proposed
IT14	Whole college energy review	DoOD&F	0	2015/16	Planned
IT15	Solar panel feed in tariff display unit on public display	DoOD&F	3000 approx	2015/16	Proposed
IT16	Wildflower meadow at back of college as carbon offsetting projects	CCO	2000 approx	2015/16	Proposed
IT17	Zone control audit of heating and air conditioning	MC	3000	2015/16	Proposed
IT18	Responsible Futures to be implemented at Stranraer	SA	N/A	2015/16	Planned
IT19	Low flow taps in hairdressing salon at Stranraer	MF	600	2015/16	Planned

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5 Medium Term Projects

A full description of each Medium Term (MT) project will be compiled as the Plan develops and decisions are made about projects that will be implemented. These tables advise potential projects moving forward. By MT we mean projects that will be started by 2017 with an aim to being completed by the end of academic session 2017/2018. Agreed projects will be quantified for the first annual review of the Plan by the end of 2015.

Dumfries and Stranraer Campuses

Ref	Project	Lead	Cost (£)	When	Status
MT1	Low flow/aerated taps fitted throughout the entire campus	MF	TBC	2016/17	Proposed
MT2	Passive vents system review	MC	TBC	2017	Proposed
MT3	Continued raising awareness and behaviour change workshops	CCO/SA	TBC	Ongoing	Proposed
MT4	Complete college lighting sensors review	MC	TBC	2017/18	Proposed
MT5	Changing lights in the library to low energy units.	MC	TBC	2016/17	Planned
MT6	Curriculum ESD audit	AW/CS	0	2016/17	Proposed

- **To reduce tCO2 emissions by 128 to 1,185 in 2016-17**
- **To achieve the aim of reducing carbon emissions by 20% against the 2014 baseline, the College needs to save 900 tonnes of CO₂ equivalent by the end of 2019 against a BAU scenario.**

Shared Services and Collaboration
Dumfries and Galloway College, University of the West of Scotland and University of Glasgow developed a unique shared library service under the banner of 'Crichton Library'. A single library management system was introduced and all books, journals and e-books, irrespective of the host institution are included. This offers an enhanced service to students from all institutions, including college students studying in our Stranraer campus. The Open University is a partner of the College and we have an agreement whereby they are able to use the College to hold tutorials, OU students can come in and use IT equipment and library facilities. In addition UWS and UoG Student Services and Student Association services operate from within the College building and the College refectory, café and shop are available to all staff and students across all institutions as well as the wider community. Dumfries and Galloway Student Association offices are located next to UWS (and UoG) Student Association Offices and students are encouraged to hold joint sports activities and other social events during the year. University of the West of Scotland are currently undertaking a 'Transformational Project, in respect of their services and the College will be discussing the impact this may have on our shared services and articulation arrangements over the coming months.

- **To review existing arrangements and seek opportunities to expand shared services with Crichton partners**

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The Crichton Institute is a, collaborative venture comprising Crichton campus academic and wider strategic partners. Its purpose is to deliver a programme of knowledge exchange, applied research, evidence synthesis and policy development that will have a transformational influence on the economic, social and cultural regeneration of South-West Scotland and is funded until January 2017 by the Scottish Funding Council. The Institute is located in the Henry Duncan Building part of the main Dumfries campus.

The Crichton Development Trust are working with all Crichton campus partners to identify and deliver enhanced facilities that will support and encourage a strong, vibrant student community on the Crichton campus.

Should SRUC relocate some of its activity to the Crichton campus there will be further opportunities to identify and develop shared services for the benefit of learners.

Recent meetings between the College and University of the West of Scotland have resulted in an agreement to explore the benefits and barriers of co location on the Dumfries Campus.

- **To continue to collaborate with SRUC to identify future curriculum delivery opportunities**
- **To explore joint student association activities with students from DAGCOL and SRUC**
- **To work with SFC and UWS to provide an outline business case for co-location on the Dumfries Campus site**

CREST was established through a unique collaboration which pooled expertise, resources and knowledge from four colleges that have led on sustainability training and innovation in the UK and Ireland, namely South West College, Cavan Innovation and Technology Centre, Institute of Technology Sligo and Dumfries & Galloway College in Scotland. It provided expertise and a range of facilities to help entrepreneurs and SMEs, who might otherwise not have the capacity to do so, bring innovative and sustainable ideas from concept to reality. The project was supported by the European Regional Development Fund (EDRF) and managed by the Special European Union Programmes Body (SEUPB). The project reached successful conclusion at the end of January 2015 and Dumfries and Galloway College has committed to continuing to use the Micro Renewable Centre created through the project (now called the Energy Centre) to support and train businesses to adopt and implement renewable energy solutions.

- **To continue to collaborate with partners to identify future funding opportunities**

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Procurement

The Procurement Reform (Scotland) Act is likely to result in significant change in procurement practices for the College. The College developed and implemented a Procurement Strategy in 2015-16 to reflect the change in legislation. The College will work with APUC to ensure its procedures and practices are aligned with the new ACT.

- **To review College Procurement processes as a result of the new Act**

High quality & efficient learning

The College aspires to be an 'outstanding college'. We aim to deliver the highest quality learning for our students, to make a positive contribution to the local and national economies and to utilise the expertise of our staff to deliver continuous improvements. A new strategic plan, Vision 2020, for the period 2015-2020, sets out our priorities for that timescale.

Qualifications

In a region where there is a higher proportion of people with no or low level qualifications, the College adopts an Open Access policy and delivers programmes at Scottish Credit Qualification Framework level 4 or below which do not require any formal entry qualifications. This is in line with the Dumfries and Galloway Economic Strategy's aim to raise the low skills and qualifications base in the region. The college is committed to meeting learner needs by providing appropriate learning opportunities, skills and qualifications, ensuring that fewer young people in Dumfries and Galloway are not in employment, education or training. Improving attainment will remain a key priority for the College, particularly in curriculum areas with low performance indicators.

- **To continue to increase the number of programmes leading to recognised qualifications and level qualifications through SCQF.**
- **To continue to develop strategies for improving attainment at course level**

Student success rates

The College aims to be an outstanding college. Improving the success rates of students is a priority for us. In recent years full-time FE student success rates have been below the sector average. A number of strategies have been adopted to address this such as review of entry criteria; review progression routes to ensure they lead to employment, training or further study; review qualifications and awarding bodies to ensure the qualifications are current and supported by employers/relevant skills sectors and the introduction of integrated assessment where possible. The targets for 2015-16 are very ambitious and in line with our aspiration to be an outstanding college.

- **73% of full-time FE learners successfully achieving a recognised qualification in session 2016-17**
- **78% of full-time HE learners successfully achieving a recognised qualification in session 2016-17**

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- **79% of part-time FE learners successfully achieving a recognised qualification in session 2016-17**
- **78% of part-time HE learners successfully achieving a recognised qualification in session 2016-17**

Retention

FE retention rate fell by 4% during 2014-15, although a 2% improvement in FE retention rates has been achieved since 2013. A 6 % improvement has been made in full time HE student retention rates since 2011-12 and is now above the sector average.

- **To achieve 76% full-time FE learners retention rates in session 2016-17**
- **To achieve 85% full-time HE learners retention rates in session 2016-17**
- **To continue to develop strategies to improve early retention**

Learner Support and Guidance

All full-time learners currently offered a 1 hour tutorial with a personal tutor per week. The current system has operated in its current form for a number of years. The College is looking to refresh the system so that its focus includes on 'on-course' progress, employability and career guidance and an additional 1 hour was given for Access level programmes during 2015-16.

- **Evaluate the impact of the additional time allocated for tutorial session in 2015-16**
- **To include more career management, using the refreshed Skills Development Scotland My World of Work web site in 2016-17**

Progression

The College will ensure that it provides ease of access to, and progression within, learning to ensure that more learners develop the appropriate skills needed to get a job, keep a job or get a better job and that more learners achieve qualifications and progress to further study. The College is committed to a curriculum which is inclusive, challenging, engaging and aspirational, provides personalisation and choice, develops skills for learning, life and work, provides breadth, depth and progression, is relevant and responsive to employment opportunities and needs, and reflects the needs of the regional economy. The College Curriculum Planning and Review processes ensure a coherent well planned curriculum portfolio for 2015-16 which maximises progression opportunities for students. Appendix A to this document shows 2016-17 progress opportunities.

During 2016-17 we aim to:

- **Introduce a new Engineering Foundation Apprenticeship at SCQF Level 6**
- **Introduce Level 2 Diploma in Professional Cookery (Dumfries)**
- **Introduce Skills for Work Sport and Fitness National 5 with Maxwellton High School**
- **Introduce a National 4 in Hospitality with Moffat Academy**

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- **Introduce a new HNC Social Services to replace HNC Social Care programme**
- **Introduce a new HNC Childhood Practices to replace HNC Early Education and Child Care**
- **Introduce a new HNC in Computing Science**
- **Introduce a new school pathway SCQF Level 6 in Hospitality**
- **Introduce new Reablement pathway with Wallace Hall Academy**
- **Widen digital computing pathways through Developing Young Workforce across the region**
- **Explore changing from BTEC Level 2 in Computing to SQA Award for 2016-17 (based on learner and employer feedback)**
- **Explore HNC in Construction/Civil Engineering for development in 2017-18**
- **Explore HND in Electrical Engineering for development in 2017-18**

Articulation

The number of full-time learners studying at HE level has increased by 72% from 295 in 2011-12 to 505 in 2014-15. Learners studying at Higher National level now account for approximately 32% of all full-time activity. We anticipate that approximately 60% (120) of learners studying at Higher National Certificate level will progress on Higher National Diploma level study within the college and numbers progressing on to University programmes from either a Higher National Certificate of a Higher National Diploma has also grown significantly. We expect to maintain the number of students achieving HNC or HND articulating to degree courses with advanced standing in 2015-16. In 2016-17 we are looking to expand the level of articulation with advanced standing.

Articulation arrangements have been established with Crichton University partners, including the University of Glasgow, University of the West of Scotland and the Open University. Agreement has been reached with the University of Glasgow that learners studying relevant programmes at Dumfries and Galloway College will be guaranteed an interview for the MA Primary Education. The college is also exploring a new HNC in Care and Administration for 2016-17 in partnership with the NHS and UWS which could lead into direct articulation with the UWS Nursing Degree in chosen specialist pathways.

A Memorandum of Agreement was signed recently between Edinburgh Napier University and Dumfries and Galloway College to work collaboratively to identify opportunities for articulation – initially within Engineering but, potentially, in other areas.

- **To continue to work with Universities, including the Open University, to increase the number of learners articulating to degree level courses with advanced standing**

- **To explore the possibility of a new dedicated degree in Creative Industries with Crichton (and other) University partners**

- **To continue discussions with Strathclyde University to introduce a SWAP Access to Engineering programme in 2016-17**

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- **To develop a new HNC in Care and Administration for 2016-17 in partnership with NHS and UWS with direct articulation to UWS nursing degree**

- **To pursue articulation arrangements with Strathclyde University Engineering Academy**

- **To achieve guaranteed progression opportunities for learners within Engineering on to Edinburgh Napier University degree programmes (with advanced standing)**

- **To initiate discussion with Glasgow Caledonian University to support future articulation for HNC Construction/Civil Engineering learners**

- **To review all Business & Computing pathways with UWS to improve recruitment and articulation arrangements**

Active learning

A pilot scheme has been running for 2 years which involved the appointment of Learning & Teaching mentors from amongst the lecturing staff whose role is to support teaching staff to share good practice and enhance and improve the learning experience. Unannounced observations are undertaken during the year and feedback is provided to the relevant staff member. If any areas of concerns are observed, specific actions are agreed and follow up observation visits are carried out at a later date. The mentor scheme was put in place to address one of the main points for action from the Educations Scotland Review '*The college should continue to improve the effectiveness of its arrangements to ensure that all learners are appropriately engaged in enhancing their own learning'*. An evaluation of the effectiveness of the Learning & Teaching Mentors pilot was undertaken in 2015-16 which highlighted positive outcomes. As a result, the Learning & Teaching Mentor initiative has been made a permanent part of the college structure and is embedded as part of the Learning & Teaching process.

Progression into employment

The College will aim to improve the tracking of student destinations and has committed to and involvement in the SFC student destination pilot project. The College will develop a system to track the destination of all full-time students who completed their programmes in the previous academic session. In session 2013-14 90% of full-time students entered work, training and or further study 3-6 months are qualifying. In 2014-15 the College plans to achieve a 1% increase on the number of full-time students entering work, training and or further study with a further 0.5% in session 2015-16 and 2016-17.

- **To achieve a 1% improvement in the proportion of full-time students with a the positive destination in session 2016-17**

Access for people from widest range of backgrounds

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Social inclusion is at the heart of the College's vision and mission. The college provides a range of support to help learners access and achieve on their chosen programme of study. The College has a well established system for identify students who may have additional support needs. Once identified theses learners are assessed and if required assistance is put in place to support them. The variety and level of assistance can be wide range such as from providing a student with an education support worker, providing readers, scribes and prompters; providing assistive technology and adapted materials. The College also operates an Independent Learning Centre with specialist staff in both campus locations where learners can seek assistance to develop their literacy and numeracy skills. In addition, the College provides learning zones in both campus locations, staffed by specialists, where learners can access a range of computers, MACs and online services to help develop their independent learning skills.

- **To utilise SFC ELS funding to continue to provide support and services to students with additional support needs**

Dumfries and Galloway has 8 data zones in the 10% most deprived in Scotland as identified by the Scottish Index of Multiple Deprivation, two of which are in the 5% most deprived in Scotland. The 10% most deprived are in five areas within the region: central Dumfries, Northeast Annan, Northwest Dumfries, Upper Nithsdale and Stranraer. In 2015-16 365 learners from the 10% most deprived post codes enrolled on college programmes with a success rate of 60%.

- **To deliver 3,216 (11%) credits to learners from the most deprived 10% postcode areas in Dumfries and Galloway in session 2016-17**

Dumfries and Galloway College is committed to the principles of equality and diversity for everyone. In its Equal Opportunities Policy the College states its commitment to equal opportunities for all. The College's existence and activities are determined by a belief in, and desire to ensure that all members of the College have an equal opportunity to maximise their potential and are equally valued and treated with respect. We seek to improve education, employment and services in an environment in which diversity is valued.   The College operates an open entry policy to its courses. The College published its Equality Mainstream Report in April 2013. In April 2015 these outcomes were reviewed and updated.

- **To review Equality Mainstream Report progress on an annual basis and take action as required**

The College is committed to supporting young people in and leaving care. The College was awarded the Buttle UK Quality Mark for Care Leavers in September 2009 in recognition of the support it provides. The College operates a systematic approach where young students are asked to identify on their application and or enrolment form they are in and leaving care. The College also receives referrals from agencies and schools. Once the students have been identified they meet with a dedicated support worker from the new horizons team to establish how the College can assist and support them while at College. The College also displays a marker against the students' electronic attendance record to let staff know that this student is being support by the new horizons team. The College is looking to further develop the system and processes for monitoring and

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supporting learners in and leaving care, particularly in early identification arrangements to transition from school to college.

The College has been part of a multi agency strategic group looking into a response for the recent Children Services inspection for Dumfries and Galloway with a focus on GIRFEC (Get It Right For Every Child).

The college has become part of the corporate parenting group to support all looked after children and young people from the age 0 to 25 including care leavers. The Corporate parenting group reports into the Children's services Executive Group every 6 weeks.

As part of this group with representation from the Student Support and Guidance Manager and Safeguarding Co-ordinator the corporate parenting group have;-

- Reformed a new Corporate Parenting Group and developed a new action plan
- Improved listening to looked after children with young people setting up as champions
- Better access to leisure and cultural facilities for young people in care and also now considering financing a buddy/friend to accompany them for greater uptake.
- Better access to care,
- The college has meet with Listen 2 us 9(Young people in care) with student support teams and Guidance staff.
- The relevant sections of the Dumfries and Galloway Corporate Parenting Plan being discussed with Corporate Parenting Group
- Chair of the corporate parenting group has arranged a meeting at the college to share good practice and meet relevant staff
- The college is looking at methods of tracking ,monitoring data which is available at present
- Dumfries and Galloway College have prepared a Corporate Parenting Action Plan
- The college have recruited a member of staff whose remit is Looked after young people

The group is progressing the Corporate parenting action plan, and the college now also has representation on this group through its Student Support and Guidance Manager. The group will develop strategies around supporting all looked after people who are using the college for Education/Training for Transition arrangements. In 2015-16 the College developed and will continue to deliver on its Corporate Parenting Plan.

The College views PREVENT as part of its safeguarding duties. In 2015-16 the College developed and will continue to deliver on its PREVENT Action Plan currently delivering and intends to provide awareness and training session to staff and students as appropriate. Strategic Responsibility for PREVENT sits with VP Corporate Services and Governance who represents the College on the Regional CONTEST partnership.

- **To deliver Prevent awareness and training sessions to College staff**
- **To further develop the monitoring and support of learners in and leaving care for enrolment and success**
- **To continue improve the transition arrangements from school to college for students in and leaving care**
- **To deliver 360 credits to Care experienced learners in 2016-17**

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The College offers Princes Trust programmes at both Dumfries and Stranraer. Princes Trust programmes are full-time 12 week intensive programme aimed at 16-25 year olds looking designed to build motivation, gain work experience and have the chance to achieve a nationally recognised qualification whole make a real difference in the community. The Prince's Trust Team Programme has been running in the College for six years, supporting over 350 unemployed young people to gain the confidence, skills and experience they need to find work. To date, Dumfries and Galloway College has one of the best retention rates on these programmes, across the whole of Scotland.

- **To deliver 5 Princes Trust programmes across Dumfries and Stranraer campuses**

The College is committed to providing opportunities for learners with profound or complex needs. The College is collaborating with the Employability and Skills Team on an exciting new course 'Project Search'. This will be the first course of its kind in the South of Scotland and is one of only 11 across the UK. The project supports learners with a range of complex needs into employment. The course is jointly delivered by the College and the local authority and Galloway Council agreed to be the Industry Host for 2015-16. This is a new model that has had real success in Canada particularly related to opportunities for Employment in Hospitals

- **To deliver 1,353 credits, to learners with profound or complex needs including 'Project Search' course**

In session 2012-13 the overall gender balance was 55% female and 45% male. In session 2013-14 the balance shifted slightly to 52% female and 48% male. In session 2014-15 this remained stable at 53% female and 47% male.   It is not anticipated that the balance between male and female enrolments will change substantially during the planning period. At a college level the gender split for full-time courses is fairly evenly spread. However there are areas of the curriculum where gender imbalance needs to be addressed. In particular the male dominant areas of Construction, Engineering, Computing and Sports and the female dominant areas of Early Years & Care and Hair & Beauty. The College promotes equality in its marketing materials in particular through case studies. The College is also actively promoting gender balance when discussing school-college provision. While it is intended to increase activity in engineering which is traditionally male dominated, there will be a corresponding decrease in hair and beauty which is traditionally female dominated.

Following discussions with schools across the regions, which included Head teachers and Seniors management teams, commitment was made to begin to address gender imbalance issues in key sectors. 2016-17 will build on pilot sessions delivered in 20105-16 comprising one day taster sessions to S3/S2 pupils which will explore options, provide advice and guidance, speak to employers and existing students who have chosen non-traditional gender programmes.

These will include sessions for 16/17

Women into Engineering, Construction, Motor Vehicle, Computing /Digital Media and Sport

Men into Care ,Childcare ,Hairdressing ,and Beauty

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- **To continue to address gender imbalances at course level by 'ring-fencing' an agreed number of places on some programmes for under-represented gender. Eg 6 places 'ring-fenced' for females on Engineering programmes**
- **To deliver gender imbalance session to school pupils including Women into Engineering, Construction, Motor Vehicle, Computing/Digital Media and Sport and Men into Care, Childcare, Hairdressing and Beauty**

The College has well established monitoring by disability, gender, ethnicity, age and postcode. The College does not currently offer Gaelic speaking courses or support. Working with the CPP will identify any unmet demand within the region and agree any course of action required.

- **To work with the CPP to identify any unmet demand for Gaelic speaking courses and or support**

Right learning in the right place

Curriculum
The College is committed to improving the life chances for young people and adults in the Region by offering a breadth of curriculum at both campus locations. The College will continue to deliver courses to a wide range of students, from school pupils through to adult learners, offering a comprehensive portfolio of vocational courses and professional development opportunities.   The College continually reviews its curriculum and courses and makes decisions at strategic level based on demand from learners, the needs of employers, internal performance measures, external environmental analysis, including the use of the Regional Skills Assessments as well as national initiatives such as *Opportunities for All* and *Developing The Young Workforce*. Skills Investment Plans have been produced for the Tourism and Food and Drink sectors. A full Curriculum Review was undertaken in 2014-15 with the aim of aligning our curriculum offering more closely to the economic needs of the region from 2015-16 onwards. As well as taking account of the Regional Skills Assessments and Skills Investment Plans, the College used feedback from employers, CPP partners and other stakeholders groups in the development of the Curriculum Plan 2016-17.

South of Scotland Regional Skills Assessment 2012-2022 produced by Skills Development Scotland highlights Food, Drink and Tourism as the largest of the growth sectors in the region, accounting for 25% of all jobs. Greatest employment increases over the coming decade are expected to come from:
- Accommodation and Food
- Health and Social Work
- Engineering & Construction
- Arts & Entertainment
- Professional Services

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The curriculum is increasingly shaped by employer involvement and further engagement of employers and industry boards in the design and support of the delivery of courses is a key objective of all college curriculum areas.

The College has invested £2m in the development of Hospitality and Catering training facilities on the Dumfries campus which enabled the College to offer the following programmes starting in August 2015 - Introduction to Professional Cookery (SCQF 4); NC Hospitality (SCQF 5/6) and HNC Hospitality (SCQF7).

Through the TRANSFORM project, the College curriculum is more flexible, enabling us to provide more choice to learners throughout the region by offering programmes on a blended basis which will increase access opportunities to those who are unable to travel to college.   We have introduced three Higher National programmes at our Stranraer campus using a blended model. Development of an online Higher National Certificate in Social Care has increased the numbers of learners able to access this provision and has attracted some learners from out with the region.

The College uses a range of Awarding bodies from across the United Kingdom. A robust self-evaluation process involving staff, learners and, from 2015-16, employers, is used to gain feedback on the appropriateness of course content. Where feedback indicates that a programme does not meet the needs of learners and/or employers, an alternative, more appropriate programme is sourced. This places an additional burden on the college in terms of registration and quality systems as different Awarding bodies have differing requirements. However, it is part of the College's core philosophy to ensure we deliver the best and most appropriate learning.

CREST was established through a unique collaboration which pooled expertise, resources and knowledge from four colleges that have led on sustainability training and innovation in the UK and Ireland, namely South West College, Cavan Innovation and Technology Centre, Institute of Technology Sligo and Dumfries & Galloway College in Scotland. It provided expertise and a range of facilities to help entrepreneurs and SMEs, who might otherwise not have the capacity to do so, bring innovative and sustainable ideas from concept to reality. The project was supported by the European Regional Development Fund (EDRF) and managed by the Special European Union Programmes Body (SEUPB). The project reached successful conclusion at the end of January 2015 and Dumfries and Galloway College has committed to continuing to use the Micro-Renewable Centre created through the project (now called the Energy Centre) to support and train businesses to adopt and implement renewable energy solutions. We have incorporated our BPEC Gas Training and Assessment centre into the Energy Centre and it is also accessed by full time learners to enhance their programme of study.

- **To deliver 30,067 credits overall**

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Opportunities for All

Dumfries and Galloway College will contribute to meeting the National guarantee for young people and will aim to deliver 77% of credits in the 16-24 year old age groups in 2016-17.

In addition, the College will continue to work with Skills Development Scotland through the Employability Funding which targets the 16-24 year old age group in particular. Therefore, Dumfries and Galloway College is continuing its commitment to prioritise places for 16-24 year olds together with responding to funding specifically targeted to the age group of 25 and over. The College will ensure the curriculum is aligned to meet the objectives of 'Education Working for All', the final report of the Commission for Developing Scotland's Young Workforce. The College offers 16-19 year old the opportunity of job search skills through access to the SDS 'My World of Work'. The College will use the recommendations in the Commission for Developing the Young Workforce report 'Education Working for All!' to develop an implementation plan.

- **To support the DYW Regional Group**

Community learning

The College works across a wide area of community provision, often in partnership with Community Learning and Development and delivers learning in a variety of venues. The College is working closely with Dumfries and Galloway Council and other partners in the development of the Dumfries Learning Town initiative.

- **To harmonise approaches to community provision to ensure a more coherent offering to best meet the needs of all the local communities.**
- **To work with the Dumfries Learning Town initiative on joint initiatives to improve learning provision across the region, particularly for young people, those returning to work or furthest removed from the economy**.
- **To work with Community Learning partners to develop CLD Action Plan and report progress, slippage and outcomes to Community Planning Executive Group**

A developed workforce

Employer Engagement

The College will work with employers to better align the curriculum to any skills gaps or shortages. In many curriculum areas Employer Advisory Boards were established in October 2014 with the aim of strengthening relationships with employers and businesses in the region. The purpose and remit of these Boards are to ensure the curriculum is fit for purpose, to increase industry visits and work experience opportunities for learners, and to encourage more employers to directly recruit from the college. The College will work with employers to align the curriculum to any skills gaps or shortages. The College works closely with local employers, over the past year has worked with the NHS to develop a 'Reablement programme',

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Dumfries and Galloway Housing Partnership: develop bespoke programmes, worked with SPEN to expand the 'Overhead Lines Technician to include jointing skills and we are in discussions with Laing O'Rourke in respect of the construction of region's new acute district hospital.

An Employer Engagement Strategy has been developed in 2015-16 which identifies the significant role industry and business partners have in curriculum design and delivery and sets out key goals and outcomes we intend to achieve over the period 2015 – 2020.

- **To implement Employer Engagement Strategy**
- **To continue to develop Employer Advisory Partnerships as appropriate for different curriculum areas**
- **To explore Graduate Apprenticeships in Engineering – demand from local employers – links with Strathclyde University**
- **To increase employer engagement in the design of college programmes**
- **To deliver Foundation Apprenticeships in partnership with employers and schools**
- **To improve links with Creative Industry sector by working with sector partners including Uplands, CIC, Maklab, Stove and Moat Brae Trust**
- **The Hair, Beauty, Sport & Hospitality Faculty will continue to build on its work with communities/employer support**
- **Live briefs through employer engagement will continue to be used across all areas of the college curriculum**
- **Engineering groups will build on the development of the new Foundation Apprenticeships to further develop employer engagement**
- **The Care Curriculum area will continue to develop employer engagement across the region through the reablement programme and its workplace co-ordinator**
- **To explore Foundation Apprenticeships in Health and Social Care and Construction with Employers and Schools for 2017-18 development**
- **Roll out Reablement Awareness training to 1750 employees in the sector**
- **Employers will be involved in self evaluation across all curriculum areas in 2016-17**

Senior Phase Vocational Pathways

The College has held initial discussions with all secondary schools across the region and will collaborate with the local schools in the ongoing roll-out of Curriculum for Excellence and for Developing the Young Workforce. From the initial discussions it is clear that different solutions will be required for different schools and communities. Some will require in-school delivery for reasons of geography, timetabling etc, some will form school clusters with neighbouring schools and others will travel to college.

This will be a challenge to the college in terms of resource efficiency as there are likely to be small numbers (in comparison to urban schools) and travel time for staff to deliver in schools will mean they are unavailable in college and this will create timetabling and resource utilization issues.

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Nevertheless, the College will meet demand where feasible.

The College currently engages with all secondary schools across the region for Senior Phase options. A total of 500+ learners have chosen college options as part of their pathways. The curriculum areas include: Electrical Engineering, Motor Vehicle, Early Education and Childcare, Psychology, Energy, Beauty, Hospitality and Digital Gaming ranging from Skills for Work to HNC level.

The College received SFC funding to become an early adopter following early recommendations from the Woods commission, to work with local secondary schools to develop flexible HNCs for school delivery. In session 2013-14 the college in collaboration with schools developed four HNCs for delivery in schools: HNC Social Sciences; HNC Early Education & Childcare; HNC Electrical Engineering and HNC Fitness, Health & Exercise. With the exception of the HNC Electrical Engineering all articulate to degrees on the Crichton Campus. All four HNCs were offered to schools for delivery in 2014-15 but only the HNC Electrical Engineering formed. This course is a mix of attendance at college and online delivery where pupils can continue their learning at a time and place to suit them. The College will continue to develop range of HNCs for school delivery.

The College organises an annual 'Schools Competition' which has been running for 15 years. The main purpose of the competition is to provide S3 pupils with an introduction to the College. Raising awareness of College Courses in a relaxed and competitive environment. In the year that they choose their choices for future destinations. The competition is a taster day with a difference. It is an opportunity for pupils to represent their school and compete with each other to win the ultimate coveted silverware prize of the annual 'School/College Trophy. The College has designed the individual events to provide pupils with a brief insight into College life and the various programmes delivered across the College. They've packed in some fun and competitive elements to make each event a competition in its own right. The competition also challenges gender balance with all competitions requiring at least one boy and one girl to compete. Employer engagement has become a large part of the Annual Competition with local businesses large and small supporting every area. Each individual event is hosted by the curriculum leader from the following areas:

- Business
- Computing
- Construction
- Creative Industries
- Education Studies
- Engineering
- Hair, Beauty & Complementary Therapies
- Health & Social Studies
- Sport
- Hospitality
-

The main sponsor of the competition in 2015 was Laing O'Rourke (main contractor on NHS Actue Services project) who donated £500 to the

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winning school.

Ambitious plans have already been agreed with schools for 2016-17 linked to Developing Scotland's Young Workforce.   These have been shared with the local authorities Employability and Skills Team.

The number of learners planned for 2016-17 is 500. New curriculum pathways include Engineering / Employability Skills, HNCs in Early Education & Childcare, National 5s in Energy, National Certificate in Hospitality, Travel and Tourism, Higher in Computing, Events Management, and Care for the Elderly.

All Senior Phase pathways have clear progression pathways and will lead directly into full time college options or University options.

Following individual planning meetings with schools, 5 regional cluster groups are being developed to support regional shared pathways. The Employability and Skills team also now have representation within each school. Timetable barriers will be discussed during planning with cluster groups. The local Education Authority has also formed sub groups across the region to look specifically at the 38 key Woods review recommendations. A two day conference for Head teachers is being hosted by Dumfries and Galloway College and has a full morning focussed on joint planning for Developing Scotland's Young Workforce and vocational pathways. Resourcing school college pathways in a rural area across such a geographical scale is an issue, and despite the College's flexible approaches to learning there is still a large amount of staffing time lost due to travel arrangements to support these programmes.

Partnership arrangements are in place to agree, monitor and evaluate the new Senior Phase Partnership including More Choices, More Chances members with a clear target if 100% positive destinations for all school leavers. The MCMC team report into the Council's employability Partnership Team which also agrees / discusses the College's Curriculum plan and Senior Phase pathways which links into current developing Community Planning action plans.

- **To increase the number of senior vocational pathways in partnership with local schools**
- **To work with SDS and Local schools to identify opportunity to pilot foundation apprenticeship in D&G**
- **To explore and implement partnership arrangements between Annan Academy, a local food manufacturing business and College that will offer routes to employment for senior phase pupils**
- **To explore and implement partnership arrangements with Dalbeattie High School, a local engineering business and College that will offer routes to employment for senior phase pupils**
- **To continue to offer HNCs for delivery in schools.**
- **To identify in collaboration with the schools further HNCs to be developed for delivery in schools**
- **To explore and implement partnerships with other schools and employers to ensure courses offer routes to employment**

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- **To implement actions from Dumfries Learning Town initiative to increase choice and progression opportunities for learners in Dumfries and Galloway**

Science, Technology, Engineering and Mathematics (STEM)

The College currently delivers on a range of engineering courses such as: Wind Turbine Technician, Overhead Lines Technician, NC Electrical Engineering, HNC Electrical Engineering, NC Engineering Fabrication & Welding courses, as well as courses in computing such as; Diploma in IT Support, HNC Computing and HND Computing Technical Support. The College is considering a number of ways in which it can offer STEM. It has had preliminary discussions with the New Engineering Foundation (NEF) on the potential of establishing a "Sustainable Development Hub" to act as a beacon for employer engagement. The College has also been discussing the STEM provision with local secondary schools. The College is in discussion with the SRUC regarding opportunities for joint delivery. One area being explored is for a centre of excellence in engineering. In addition the College is currently in discussing with schools potential STEM subjects for 2016-17 delivery. The College has an established Energy Centre to support and train businesses to adopt and implement renewable energy solutions. The College is planning to include renewable energy as a subject in full-time engineering programmes.

- **To explore Graduate Apprenticeships in Engineering opportunities with Strathclyde University Engineering Academy – based on demand from local employers**
- **To expand delivery of HNC Electrical Engineering to Schools**
- **To include renewable energy solutions in all full-time engineering programmes**
- **To deliver the new Engineering pathway in 2016-17**
- **To develop and Action Plan with clear targets and objectives for the College Energy Focus Group**
- **To extend provision in Energy and Renewables**
- **To explore STEM partnership opportunities with SRUC and Dumfries Learning Town**
- **To explore opportunities for provision in Energy and Renewables with schools in the West of the Region**
- **Realign Computing curriculum provision to include Maths and software development**
- **To develop Civil Engineering Provision**

Work experience

The College has a number of courses where substantial work placement (more than ten days) is in business and industry.., They are: HNC Early Education and Childcare; NC Early Education and Childcare; HNC Social Care; SWAP Access to Nursing; Vocational Studies in Health and Social Care; Intermediate 2 Health & Social Care and Higher Health and Social Care. The majority of programmes incorporate study visits and guest speakers from industry in their curriculum delivery. Creative Industry students participate in 'live' briefs working with industry partners. Work experience placement arrangements in Early Years Education were reviewed and changed as a result of employer feedback.

- **To continue to expand opportunities for work placements in programmes**

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Modern Apprenticeships

Dumfries and Galloway College is the major provider of modern apprenticeships (MA) programmes in Dumfries and Galloway, with over 70 apprentices training with the College at any one time. Over the past two years the College has supported Dumfries and Galloway Council in training apprentices as part of its youth employment commitment. Using the Regional Skills Assessment and feedback from Skills Development Scotland and employers to identify need and opportunity, the College will seek to extend the range of Modern Apprentices provided and increase the number of apprentices being trained by the College.

- **To increase the number modern apprenticeships delivered by the College from 66 in 2014-15, 71 in 2015-16 to 100 in 2016-17**

Work-based Learning

Dumfries and Galloway Region traditionally has a low level of qualifications, particularly amongst the older population. As part of our work-based learning strategy, the College has gradually increased the range and levels of Scottish Vocational Qualifications and other work-based qualifications delivered to learners in the work-place in order to support business development and growth. We plan to continue this expansion over the next few years.

- **538 learners undertook work-based in 2015-16, an increase of 11% on the 2014-15 target. Target for 2016-17 is 550.**

Employability

The College has a strong focus on developing learners' employability, citizenship, entrepreneurship. The college has a rigorous approach to self evaluation, where employability and essential skills are evaluated for each course. This includes learner feedback and engagement.   Employers have engaged directly with learners on a number of initiatives / events:

- The college hosted a region-wide Reablement Conference
- Care sector companies were invited to visit the College, deliver presentations on their business and offer opportunities for learners to apply for vacancies

Through self evaluation employability skills will be further explored to include employers and key stakeholders to ensure the skills delivered are fit for purpose.

- **To continue to increase employer engagement with learners through industry visits, work experience opportunities and work-related projects.**
- **To continue to work with employers and key stakeholders to ensure the employability skills delivered are current**

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- **To continue to maximise positive destination opportunities for young people through the Concordat between Dumfries and Galloway Council, Skills Development Scotland, Scotland's Rural College and Dumfries and Galloway College.**

Working with NHS Dumfries and Galloway

The College continues to work with the local NHS on development of the workforce across the region and Scotland. Meetings have taken place with Laing O'Rourke – the building contractor appointed for the new Acute Services facility – and opportunities for Modern Apprentices (technical level), supervisory staff, work placements and visits are being discussed. The college is also exploring a new HNC in Care and Administration for 2016-17 in partnership with the NHS and UWS which could lead into direct articulation with the UWS Nursing Degree in chosen specialist pathways.

- **To continue to work with NHS D&G relating to opportunities for Modern Apprentices (technical level), supervisory staff, and work placements**
- **To develop a new HNC in Care and Administration for 2017-18 in partnership with the NHS and UWS with direct articulation to UWS Nursing Degree**
- Delivery of Reablement awareness training (2 credits) to 1750 employees across the region
- Explore new SQA qualification in Mentor support (Mentors trained within organisations to support reablement)

Sustainable institutions

Institutional Sustainability

The College was reclassified as a Non Departmental Government Body as from 1 April 2014 and this has had a number of outcomes which the College continues to work through with the SFC.

Some of the impacts felt by the College to date of this reclassification have been:
- The budget setting process / timetable within the College has been amended to comply with the external budgetary requirements of the Scottish Government timetable;
- The Scottish Government March year end budget reporting requirements;
- Increased reporting requirements;
- The requirement to submit detailed monthly cash flow returns and to ensure that cash is not drawn down in advance of need;
- The requirement to submit quarterly resource returns which in the three months to March each year will be monthly;
- The ability of the College to borrow funds has been restricted;
- The requirement to insure college assets is under review.

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A revised Financial Memorandum (FM) between the College and the Scottish Funding Council (SFC), effective from 1 December 2014, makes it a term and condition of grant from SFC that incorporated colleges and Regional Boards comply with the requirements of the Scottish Public Finance Manual (SPFM) and sets out the special actions and derogations, which have been agreed with the Scottish Ministers. The College will continue to work with the SFC to ensure that the requirements of the FM are complied with.

The College aims to develop income streams to enable strategic reinvestment in core business and services for the benefit of students, staff and the communities we serve. The College aims to reduce dependence on a single funding stream and to seek opportunities to generate income from commercial activities and other public sources such as European funding streams and Skills Development Scotland

- **To increase its non SFC income by 0.5% (£60,000) from 21% to 21.5%**

Staff Development
The College maintains a comprehensive programme of continuous professional development for its entire staff. 91% of staff possesses TQFE or equivalent with a further 1.8% possessing a Professional Development Award. The remaining 7.2% are either working towards a PDA or due to start as they are new members of staff. 84% of work based assessors possess the appropriate assessing qualification with the remainder working towards a qualification. Each member of staff participates in a Staff Development review with their line manager on an annual basis and any training or development needs identified are recorded and progressed. These are followed up at a later date to evaluate effectiveness and impact. Heads of Faculty, in conjunction with the Learning & Teaching Mentors, and curriculum teams decide on the content of any College wide development required for teaching staff, taking account of national and local developments. Additional industry or course specific training is also undertaken. The College's HR Strategy has been developed to support Vision 2020 and will have a strong focus on staff development.

- **To achieve a target of 95% staff to possess TQFE qualification and 5% to possess a PDA**
- **To achieve a target of 100% of assessor to possess the assessor award or be working towards.**

Estate
Dumfries and Galloway College currently operates across two campus locations- Dumfries and Stranraer. Estates utilisation, maintenance and planning will continue to be developed in a way that supports the College curriculum planning process and community engagement strategy. In 2014-15 the College invested 1.3m in its Dumfries facilities to provision new teaching kitchen and restaurant. The Dumfries campus will be operating at full capacity from 2015-16. The Stranraer campus is currently under utilised. The capacity of the Dumfries estate to cope with the continuing growth and focus on full-time numbers is now at its limit.

The College aspires to grow (under the needs led model) however as its Dumfries campus is now operating at full capacity this will require major capital

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investment. There is scope within the existing land to expand and extend the building. This would provide the capacity to offer a new engineering wing. Should joint curriculum development and delivery with SRUC progress as it is hoped, additional engineering workshop, classroom, teaching and student facilities will be required. On completion of the review of curriculum at our Stranraer campus, there may be a requirement for additional/different facilities than currently available. The College's Estates Strategy was approved by the Board in 2015 and provides a basis for developing and managing the estate to its maximum potential to provide the College with a framework within which it can consider estate priorities in light of the College Strategic Plan and Regional Outcome Agreement.

- **To explore the opportunity to deliver engineering provision in Stranraer campus from 2017-18 onwards.**

National Pay Bargaining
An Employers' Association has recently been established through Colleges Scotland which aims to fully represent all employers in the College sector. The Principal and Director of Organisational Development and Facilities represent the College on this Association.

- **To participate in all consultation/discussions relating to National Bargaining to ensure the interests of Dumfries and Galloway College are fully represented.**

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Outcome Progress Table AY 2016-17

Measure	Baseline 2013-14	Target 2014-15	Target 2015-16	Target 2016-17	Target 2017-18	Note
SFC Priority – Efficient & Sustainability						
1. Gross carbon footprint (three-year period)	1,291	1,313	1,313	1,185	1,117	
SFC Priority – Right learning in the right place						
Outcome – To…						
2. * Volume of Credits delivered	31,582	30,070	30,371	30,067	30,067	
3 Volume and proportion of Credits delivered to learners aged 16-19 and 20-24	22,655	21049	22778	23152	23152	
	72%	70%	75%	77%	77%	
Volume and proportion of Credits delivered to learners aged 16-19	16,301	15,035	15,793	16,236	16,236	
	52%	50%	52%	54%	54%	
Volume and proportion of Credits delivered to learners aged 20-24	6,354	6,014	6,985	6,915	6,915	
	20%	20%	23%	23%	23%	
4. Volume and proportion of Credits delivered to full-time learners	25,008	24,065	25,207	25,557	25,557	
	79%	80%	83%	85%	85%	
Volume and proportion of Credits delivered to full- time learners aged 16-19	13,908	13,235	14,116	14,822	14,822	
	56%	55%	56%	58%	58%	
Volume and proportion of Credits delivered to full- time learners aged 20-24	5,236	4,813	5,797	5,739	5,739	
	21%	20%	23%	23%	23%	
5. * Volume and proportion of Credits delivered to learners in the most deprived 10% postcode areas in Scotland	3,778	3,217	3,249	3,216	3,216	
	12%	10.70%	10.70%	10.70%	10.70%	
6. Volume and proportion of Credits relating to learners from different protected characteristic groups and care leavers						

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Ethnicity						
White	31,325	29,824	30,121	29,819	29,819	
	99.18%	99.18%	99.18%	99.18%	99.18%	
Any mixed background	43	42	42	42	42	
	0.14%	0.14%	0.14%	0.14%	0.14%	
Asian, Asian Scottish or Asian British	118	111	117	116	116	
	0.37%	0.37%	0.37%	0.37%	0.37%	
Black, Black Scottish or Black British	46	45	47	47	47	
	0.15%	0.15%	0.15%	0.15%	0.15%	
Other ethnic background	50	48	51	50	50	
	0.16%	0.16%	0.16%	0.16%	0.16%	
Disability						
No know disability	29,635	28,266	28,548	28,262	28,262	
	94%	94%	94%	94%	94%	
Disabled	1,947	1,804	1,824	1,806	1,806	
	6%	6%	6%	6%	6%	
Sex						
Male	16,385	15,035	15,185	15,033	15,033	
	52%	50%	50%	50%	50%	
Female	15,197	15,035	15,186	14,884	14,884	
	48%	50%	50%	50%	50%	
Other	0	0	0	0	0	
	0%	0%	0%	0%	0%	
Care Leavers						
Care Leavers	372	360	364	360	360	
	1.20%	1.20%	1.20%	1.20%	1.20%	
7. Volume and proportion of Credits relating to learners with profound and complex needs enrolled on courses involving formal	1193	1203	1367	1353	1353	
	3.70%	4.00%	4.50%	4.50%	4.50%	

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recognition of achievement						
8. Volume and proportion of Credits delivered to learners at S3 and above as part of 'school-college' provision	1,031	1,000	1215	1504	1504	
	3.00%	3.30%	4.00%	5.00%	5.00%	
SFC Priority – High quality learning						
Outcome – To…						
9. * Percentage of enrolled students successfully achieving a recognised qualification						
Percentage of full-time FE students successfully a recognised qualification	62	67	70	73	76	
Percentage of part-time FE students successfully achieving a recognised qualification	78	79	80	81	82	
Percentage of full-time HE students successfully achieving a recognised qualification	72	74	76	78	80	
Percentage of part-time HE students successfully achieving a recognised qualification	74	76	78	79	80	
10. * Number and proportion of successful students who have achieved HNC or HND qualifications who have achieved HNC or HND qualifications articulating to degree level courses with advanced standing	46	82	82	87	87	
	27%	31%	31%	32%	32%	
11. * Number and proportion of full-time college qualifiers in	920	931	952	978	988	
work, training and/or further study 3-6 months after qualifying	90%	91%	91.50%	92%	92%	
SFC Priority – A developed workforce						

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Outcome – To…						
12. Number of starts for direct contracted apprenticeships (e.g. in construction)	66	70	94	100	110	
13. Number of full-time learners with substantial placements in business and industry	242	314	320	340	360	

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APPENDIX A

SCQF 4	SCQF 5	SCQF 6	SCQF 7	SCQF 8
KEYSKILLS (SCQF 1)				
LIFESTART (SCQF1)				
SKILLSTART ACCESS 2 (SCQF 2)				
SKILLSTART ACCESS 3 (SCQF 3)				
PROJECT SEARCH (SCQF 3)				
INTRODUCTION TO CARE	NEXT STEPS TO CARE	ACCESS TO HIGHER EDUCATION	HNC SOCIAL SCIENCES	
	NEXT STEPS TO HEALTH AND SOCIAL CARE	VOCATIONAL STUDIES IN HEALTH AND SOCIAL CARE	HNC SOCIAL CARE	
INTRODUCTION TO CHILDCARE	NEXT STEPS TO EARLY EDUCATION AND CHILDCARE	NC EARLY EDUCATION AND CHILDCARE	HNC EARLY EDUCATION AND CHILDCARE	
PRINCES TRUST PROGRAMME				
		ACCESS TO NURSING (SWAP)		
	NC BUSINESS ADMINISTRATION AND IT	ADVANCED BUSINESS ADMINISTRATION & IT	HNC BUSINESS	HND BUSINESS
		NC BUSINESS AND INFORMATION TECHNOLOGY	HNC ACCOUNTING	HND ACCOUNTING
INTRODUCTION TO COMPUTING	DIPLOMA IN IT (ICT SUPPORT) - LEVEL 2	SUBSIDIARY DIPLOMA IN IT (ICT SUPPORT) - LEVEL 3	HNC COMPUTING	HND COMPUTING: TECHNICAL SUPPORT
FOUNDATION STUDIES IN CREATIVE INDUSTRIES		CERTIFICATE IN ART & DESIGN	HNC ART & DESIGN	HND ART & DESIGN
		CERTIFICATE IN PHOTOGRAPHY	HNC PHOTOGRAPHY	HND PHOTOGRAPHY
		CERTIFICATE IN VISUAL COMMUNICATION (GRAPHIC DESIGN & CREATIVE MEDIA)	HNC VISUAL COMMUNICATION (GRAPHIC DESIGN & CREATIVE MEDIA)	HND VISUAL COMMUNICATION (GRAPHIC DESIGN & CREATIVE MEDIA)
INTRODUCTION TO SPORT AND LEISURE	DIPLOMA IN SPORT - LEVEL 2	DIPLOMA IN SPORT - LEVEL 3	HNC FITNESS HEALTH AND EXERCISE	HND FITNESS HEALTH AND EXERCISE
			HNC COACHING AND DEVELOPING SPORT	HND COACHING AND DEVELOPING SPORT

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INTRODUCTION TO HAIR AND BEAUTY	BEAUTY CARE AND MAKE UP INTERMEDIATE 2	BEAUTY CARE - HIGHER	HNC BEAUTY THERAPY	HND BEAUTY THERAPY
	HAIRDRESSING - INTERMEDIATE 2	HAIRDRESSING - HIGHER		

INTRODUCTION TO PROFESSIONAL COOKERY	DIPLOMA IN PROFESSIONAL COOKERY		HNC HOSPITALITY	
	NC HOSPITALITY			

CERTIFICATE IN VEHICLE MAINTENANCE	DIPLOMA IN VEHICLE MAINTENANCE AND REPAIR PRINCIPLES			
INTRODUCTION TO ENGINEERING	ELECTRICAL ENGINEERING - LEVEL 5	NC ELECTRICAL ENGINEERING - LEVEL 6	HNC ELECTRICAL ENGINEERING	
			WIND TURBINE TECHNICIAN	
		ELECTRICAL INSTALLATION APPRENTICESHIP		
	ENGINEERING FABRICATION & WELDING	NC MECHANICAL ENGINEERING		

INTRODUCTION TO CONSTRUCTION CRAFTS	SKILLS IN CONSTRUCTION - CARPENTRY AND JOINERY	CARPENTRY & JOINERY APPRENTICESHIP		
	SKILLS IN CONSTRUCTION - BRICKWORK	BRICKWORK APPRENTICESHIP		
	SKILLS IN CONSTRUCTION - PAINTING AND DECORATING	PAINTING AND DECORATING APPRENTICESHIP		
	SKILLS IN CONSTRUCTION - PLUMBING	PLUMBING APPRENTICESHIP		
	SKILLS IN CONSTRUCTION - MULTI CRAFTS	CONSTRUCTION TECHNICIAN CERTIFICATE	HNC CONSTRUCTION	

SFC Announcement

Outcome agreement funding for colleges - final allocations for 2016-17

Issue date: 9 May 2016

Reference: SFC/AN/07/2016

Summary: Announcement of final funding allocations for college outcome agreements in AY 2016-17.

FAO: Chairs, Principals / Chief Executives and Directors of Scotland's colleges / regional strategic bodies

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Scottish Funding Council
Promoting further and higher education

Outcome agreement funding for colleges - final allocations for AY 2016-17

Purpose

1. I am writing to provide you with the Scottish Funding Council's (SFC) final decisions on outcome agreement funding for academic year (AY) 2016-17. The figures provided in this announcement should be used to finalise your outcome agreement and the funding allocation for your college will be taken to be accepted upon the final signing of your outcome agreement for AY 2016-17.

2. The decisions on funding are in line with the Cabinet Secretary's Letters of Guidance of 8 February 2016 and 23 March 2016. They support SFC's strategy, in particular the extent to which the achievements in the emerging draft outcome agreements meet the national aspirations identified by SFC. The decisions have also been guided by negotiations on outcome agreements, including consideration of performance against past agreements where that is likely to affect the amount or type of funding we should allocate for AY 2016-17.

Guidance and policy priorities

3. In her Letter of Guidance of 8 February 2016, the Cabinet Secretary reiterated the Scottish Government's high-level strategic objectives remained unchanged from her earlier letter of 10 September 2015. These included:

    - High-quality, effective learning.

    - Access to education for people from the widest range of backgrounds.

    - Learning which prepares people well for the world of work and successful long-term careers, and in doing so supports our ambitions for economic growth.

    - Meeting the challenges set out by the Developing Scotland's Young Workforce report.

4. The February 2016 Guidance Letter also "*welcomed the publication of the SFC's Strategic Plan 2015-18 in November 2015 - a plan which is broad in scope and stretching in terms of ambition. I note the three main outcomes set out in the plan which are to be delivered by 2018: delivery of high quality learning and teaching; provision of world leading research; and stimulating innovation in the economy*".

5.   In her Letter of Guidance the Cabinet Secretary highlighted the potential for *"a more streamlined approach to the learner journey, ensuring that there is a clearer, more targeted path for young people between schools, colleges, universities and employment."* The Cabinet Secretary went on to say that she would like to see us *"allocate funding in a way that can best support more impactful delivery and, crucially, improvement in the quality of the learner experience"*.

Further guidance

6.   The Cabinet Secretary wrote again on 23 March 2016, in response to advice provided to her by SFC along with our college colleagues, to provide further guidance on her expectations for 2016-17. In this further Letter of Guidance the Cabinet Secretary stated:

"I was grateful to receive your advice, which set out a number of important areas for future reflection. These areas, including the future impact of demographics on FE provision and potential to introduce new measures of success for the FE sector, are important ones. However, the matters you address - including demand, supply, and shifting patterns of participation - are ones that clearly apply to, and affect, our wider learning system. I should therefore like to see them explored further as part of our forthcoming work to examine and improve the learner journey.

I would ask you to maintain the current volume of provision. In doing so, you should work with the sector to identify ways in which to maximise the funding available to secure appropriate, high quality and sustainable provision across the country. Additionally, I would ask that you continue your changes to ensure the distribution of activity more closely reflects regional need, taking account of colleges' capacity to deliver. Moreover, in the light of the financial pressures outlined in your paper, in deciding on institutional allocations, I would ask that you consider a modest increase in the unit of resource for colleges."

7.   In response to the guidance from the Cabinet Secretary we have taken the decision to maintain the sector credit target for AY 2016-17 and to provide a modest 1% increase in the teaching grant.

Overall available funds for the college sector

8.   The Deputy First Minister and Cabinet Secretary for Finance, Constitution & Economy announced Scotland's Spending Plans and Draft Budget 2016-17 on 16 December 2015. The FE Resource budget for financial year (FY) 2016-17 was announced as £530.3 million (maintained at the same level as FY 2015-16). SFC's available funds for AY 2016-17 is set out in Table 1 attached.

9.   Taking into account budget revisions which we expect to take place in year, the total resource funding available for distribution to the college sector is £536.053 million (Table 1). As requested by the Cabinet Secretary, we have used these additional funds to provide a modest increase in the unit of resource for teaching. In addition, we have provided an inflationary uplift to the student support bursary rates.

10. We will continue with the current criteria and arrangements for the Employability Fund.

11. SFC's capital allocation as set out in the Scottish Government's budget is £27.0 million, with a further £24.4 million allocated for college NPD expenditure (to meet the NPD service payments as per the profile provided by the Scottish Futures Trust).

12. In setting our indicative academic year (AY) budget for 2016-17 we span two financial years (FY) 2016-17 and 2017-18. We do not have any information on the Scottish Government's plans for the financial years beyond 2016-17, and as such have planned on the basis of flat cash for future financial years. The budgets set for capital and revenue are set-out in Table 1 attached.

AY 2016-17 activity targets

13. In response to the guidance from the Cabinet Secretary, we have kept the sector activity target at the same level as in AY 2015-16 at around 1,690,000 credits. Table 2 shows the original activity target for AY 2015-16 and any in-year redistribution of college activity. We have taken the AY 2015-16 activity target after any adjustments as our starting point for AY 2016-17.

14. We have used our demographic model as well as our knowledge of colleges' capacity to deliver, regional skills assessments and outcome agreement negotiations and made some small adjustments to the activity targets. These changes for AY 2016-17 are:

- Dumfries & Galloway College - a reduction of 304 credits (1%) based on discussions with the College about levels of activity in AY 2015-16.

- Edinburgh College - our starting point for AY 2016-17 is the activity levels after a redistribution of credits to other colleges following discussion with Edinburgh (9,194 credits). In addition, Edinburgh has also agreed a transfer of courses to SRUC (2,230 credits). This reduces their core target by 11,424 (5.8%) credits from the original AY 2015-16.

- Glasgow college region - an additional 1,080 credits (subject to further confirmation with Glasgow Region) but no additional funding for the City of Glasgow College, agreed as part of the Glasgow curriculum strategy.

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- North East Scotland College - an agreed transfer of 2,396 credits to SRUC.

- SRUC - will benefit from a transfer of 4,626 credits agreed with Edinburgh and North East Scotland Colleges.

- West Lothian College - an increase of 411 credits (1%) to meet additional need as part of our demographic modelling.

15. There is a small overall change in activity targets at the sector level with 1,187 more credits being delivered than in the final AY 2015-16 activity targets. However this has minimal financial impact and is mainly attributed to an agreement with the City of Glasgow College to deliver activity at its new campus.

College funding allocations by region AY 2016-17

16. Table 3 sets out the corresponding teaching funding. The starting point is the original funding allocated in AY 2015-16, followed by the in-year redistribution for Edinburgh College. We have then adjusted teaching grants in line with the activity changes above to obtain AY 2016-17 funding allocations.

17. We have then reflected the Cabinet Secretary's guidance for "*a modest increase in the unit of resource*" in light of financial pressures and added 1% to all teaching grants. This amounts to an additional £4 million.

18. In addition, for small rural colleges we have provided an additional uplift of 1%. This is because small rural colleges are faced with the same operational pressures as the rest of the sector but do not have the same economies of scale. As a result of this, Borders College and Dumfries & Galloway College receive an uplift of 2% in the price per credit. For the Highlands & Islands the region will receive an uplift of around 1.6% in the price per credit, based on the proportion of activity in small rural colleges within the region.

19. We have also provided some colleges / regions with additional funds as a result of movements to reflect the new funding model. These changes have been made to colleges that would gain from the move to the new regional prices and provide an additional 0.5% uplift. We have not made any reduction of funding to colleges that would lose out as they are still facing the same financial pressures. These changes impact on:

- Edinburgh College +£103,076

- Glasgow college region +£392,284

- Highlands & Islands region +£168,433

- North East Scotland College +£144,154

- SRUC +£41,345.

20. As a result of these changes most colleges are receiving a 1% uplift on their teaching grants from the original AY 2015-16 funding allocations. The colleges with additional activity to deliver from AY 2015-16 have a corresponding uplift to their teaching grants to cover this (Borders College, Highlands & Islands region, Lanarkshire college region and West Lothian College).

21. The transfer of activity from North East Scotland College and Edinburgh College to SRUC has a significant impact on the overall percentage changes in their funding. This transfer has been agreed by the colleges concerned and includes the transfer of courses and staff.

Student Support

22. We have allocated student support funds on the same basis as last year, as set out in Table 4. This means that student support for AY 2016-17 has been based on the percentage share of demand for student support in AY 2015-16 adjusted for changes in volume.

23. We have increased the bursary rate by an inflationary rate of 1.5%, at a cost of £1 million. We have also initially earmarked £3.2 million for in-year adjustments. Whilst we have improved our initial targeting of student support funds, this allocation can never be completely accurate due to changing student cohorts. As we have maintained the sector credit target overall, we still expect there to be a shortfall in student support in-year. We have therefore set aside these funds for the in-year redistribution, when we will know the level of potential shortfall. This will enable us to target these funds more effectively.

Strategic funds

24. We have set aside a budget of £19 million for strategic funds. This will enable us to continue to support sector-wide services and agencies (e.g. Education Scotland and JISC). In addition, these funds will enable us to support colleges / regions with specific financial pressures where this is necessary.

European funding

25. We have received and accepted a formal offer of grant for both our European Social Fund (ESF) programmes - the Youth Employment Initiative (YEI) and Developing Scotland's Workforce (DSW) - although the offer of grant for DSW is only for the current AY 2015-16.

26.   We have set-out in Table 5 the additional ESF activity targets that we provisionally expect colleges to deliver as part of these programmes in AY 2016-17. These activity targets and associated funding, are indicative, may change and are subject to Scottish Government approval. SFC has not had its DSW Operational Application for 2016-17 approved by the Scottish Government and therefore does not have an offer of grant for AY 2016-17 for the DSW programme.

College Capital infrastructure FY 2016-17

27.   The college capital and infrastructure budget for FY 2016-17 has increased from £25.5 million to £27.0 million. Against this budget, we have forward commitments which are set out in Table 1. Therefore, despite an increase to the overall budget, our project commitments mean that we are unable to maintain the core Capital / Maintenance Grant at the same level as FY 2015-16 (from £20 million in FY 2015-16 to £15.6 million in FY 2016-17).

28.   We have set out in Table 6 a breakdown of the college Capital / Maintenance funding. This has been allocated in proportion to each college region's credit target.

College NPD expenditure

29.   The Scottish Government has allocated £24.4 million for College NPD expenditure. This is to support the unitary charges associated with the NPD projects at Inverness, Kilmarnock and Glasgow, and has been agreed with Scottish Futures Trust.

Acceptance of grant and outcome agreements

30.   This letter announces the final funding that will be associated with your outcome agreement for AY 2016-17. By signing your outcome agreement you are agreeing to the funding allocation announced in this letter and the associated conditions of grant (see Annex B).

Funding tables

31.   We have attached the following tables and annexes for AY 2016-17:

   • Table 1 - Colleges Overall Budget for Academic Year 2016-17

   • Table 2 - College Core Activity Targets

   • Table 3 - College Core Teaching Funds

   • Table 4 - Student Support Allocations

- Table 5 - DSW / YEI / SFC European Social Fund Project

- Table 6 - College Capital / Maintenance Funding

- Annex A - Individual College Allocations and Calculations

- Annex B - General Conditions of Grant

Further Information

32. Please contact Lorna MacDonald, Director of Finance, tel: 0131 313 6690, email: lornamacdonald@sfc.ac.uk or Martin Smith, Chief Funding & Information Officer, tel: 0131 313 6528, email: msmith@sfc.ac.uk

Table 3: College Core Teaching Funds

Institution/Region	Original 2015-16 allocation	2015-16 In-year redistribution	Final 2015-16 allocations	Changes for 2016-17	2016-17 core funding allocations	1% increase for all colleges and 2% for small rural	Transition towards simplified funding	Final funding allocation 2016-17	% change from 2015-16 original allocation	2016-17 Credit target	2016-17 Capital funding
	£	£	£	£	£	£	£	£			
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(2)	(3)
Ayrshire College	£31,655,598	£0	£31,655,598	£0	£31,655,598	£316,556	£0	£31,972,154	1.0%	124,252	£1,159,315
Borders College	£6,912,672	£239,637	£7,152,309	£0	£7,152,309	£143,046	£0	£7,295,355	5.5%	24,521	£228,790
Dumfries and Galloway College	£8,413,961	£0	£8,413,961	-£64,771	£8,349,190	£166,984	£0	£8,516,174	1.2%	30,067	£280,538
Dundee and Angus College	£23,832,537	£0	£23,832,537	£0	£23,832,537	£238,325	£0	£24,070,863	1.0%	103,232	£963,191
Edinburgh College [1]	£41,774,374	-£1,688,478	£40,085,896	-£773,810	£39,312,086	£393,121	£103,076	£39,808,282	-4.7%	184,028	£1,717,046
Fife College	£30,288,858	£0	£30,288,858	£0	£30,288,858	£302,889	£0	£30,591,746	1.0%	129,760	£1,210,707
Forth Valley College	£19,766,914	£0	£19,766,914	£0	£19,766,914	£197,669	£0	£19,964,583	1.0%	83,984	£783,600
Glasgow Region	£77,123,694	£556,337	£77,680,031	£0	£77,680,031	£776,800	£392,284	£78,849,115	2.2%	368,574	£3,438,926
Highlands & Islands Region [2]	£32,546,898	£215,776	£32,762,674	£400,000	£33,162,674	£523,970	£168,433	£33,855,077	4.0%	110,967	£1,035,361
Lanarkshire Region	£38,198,401	£484,474	£38,682,875	£0	£38,682,875	£386,829	£0	£39,069,704	2.3%	170,967	£1,595,183
Newbattle Abbey College	£666,951	£0	£666,951	£0	£666,951	£6,670	£0	£673,621	1.0%	-	-
North East Scotland College [3]	£29,376,767	£0	£29,376,767	-£831,412	£28,545,355	£285,454	£144,154	£28,974,963	-1.4%	134,118	£1,251,368
Sabhal Mòr Ostaig	£623,833	£0	£623,833	£0	£623,833	£6,238	£0	£630,072	1.0%	-	-
SRUC	£6,581,944	£0	£6,581,944	£1,605,222	£8,187,166	£81,872	£41,345	£8,310,383	26.3%	22,867	£213,357
West College Scotland	£37,154,497	£0	£37,154,497	£0	£37,154,497	£371,545	£0	£37,526,042	1.0%	159,025	£1,483,760
West Lothian College	£9,086,539	£192,254	£9,278,793	£79,047	£9,357,840	£93,578	£0	£9,451,419	4.0%	42,527	£238,856
Scotland	£394,004,438	£0	£394,004,438	£414,276	£394,418,714	£4,291,546	£849,292	£399,559,552	1.4%	1,688,889	£15,600,000

1 - The change from 2015-16, Column 10, for Edinburgh College is a result of a reduction of activity in-year agreed with the college and an agreement to transfer activity to SRUC (paragraph 14).

2 - Column 5, Highlands & Islands includes funds previously allocated through strategic funds.

3 - The change from 2015-16, Column 10, for NES College is a result of an agreement to transfer of activity to SRUC (paragraph 14).

Board of Management

2016-17 BUDGET

1. PURPOSE OF REPORT

The purpose of this report is to review the initial budget proposals for the 2016-17 financial year which covers the 12 month period August 2016 to July 2017.

2. REPORT

The 2016-17 budget is based on the forecast out-turn for the current academic year, with some adjustments made for known changes. A summary of the income and expenditure is attached, which shows the current forecasts for the 2015-16 academic year and the initial budget for 2016-17. The report shows expenditure met from 'depreciation cash' in 2015-16 separately in order to highlight the underlying operating position.

The budget setting process has been refined from previous years, and now incorporates a continuous review and monitoring of income and expenditure, and forward planning, in order to accommodate Government budget reporting requirements. During 2015-16, the original budget has been revised with changes arising approved by the Executive Management Team and Finance and General Purposes Committee, in order to meet budget targets and re-align plans where necessary.

The 2016-17 budget has been prepared taking into account the operational supplies, services and support required in order to deliver the same level of services as the current year. Detailed discussions have been held with all College budget holders in order to assess any changes planned for 2016-17, and the effect on related income and expenditure for each area.

The draft budget shows income and expenditure for student support funds separately, as those funds are ring-fenced, and can only be used in accordance with rules set by the Scottish Funding Council (SFC) and the Student Awards Agency for Scotland (SAAS). This budget has been prepared on the assumption that student support funding grant will be sufficient to meet demand, but as the mix of students changes each year, and the demand for support can vary significantly between academic years, the forecast expenditure will be updated on a regular basis to highlight any potential shortfall.

SFC have recently confirmed their allocation of core grant and student support funding for 2016-17, which shows a reduction in credit targets of 1% and a net increase in core grant of 1.2%. The change to core grant includes a 1% increase on the activity grant for financial pressures, and an uplift of 2% in the price per credit. SFC have indicated that they will also provide some strategic funding, but the details of this are not yet known.

SFC have indicated that the College sector will be expected to utilise depreciation cash grant in 2016-17 for Government Budgeting and Reporting purposes, with similar priorities as the current year. The net depreciation budget is forecast to be £380,000, in line with the current year, and the cost of the 1% consolidated pay award and increased national insurance costs have been shown as expenditure from depreciation cash in this draft budget.

Board of Management

Key Assumptions

The key assumptions made for the initial draft figures are as follows:

2.1   Income

2.1.1   SFC Grant Allocation
SFC core grant will increase by £102,213 to £8,516,174.

2.1.2   SFC Projects
The budget for SFC Project income is lower than the current year as follows:

	2015/16	2016-17
Student Association Project	£ 71,000	£ 0
DYW	75,000	0
ESOL	42,756	40,000
EMA Admin	8,000	8,000
Total	£196,756	£ 48,000

2.1.3   Capital maintenance
The grant award letter from SFC shows a reduction in Capital maintenance grant of £98,404 to £280,538.

2.1.4   SFC Strategic Funds
SFC have indicated that Strategic Grant funding may be available to support the uplift for teaching salaries to move towards the top scale, and this has been estimated at £30,000.

2.1.5   Other Income
Additional HE courses are planned for 2016-17, and this has been reflected in the increased SAAS fee income.

Other income has been assumed to be at similar levels as the current year forecasts:

	2015/16	2016-17
SAAS fees	£640,000	£732,000
SDS contracts	96,000	96,000
CTS fees	188,000	200,000
SVQ fees	90,000	90,000
UWS teaching hours	30,000	30,000
UWS re-charges	80,000	80,000
Salary re-charges	34,000	34,000
Other partnership working	12,000	12,000
DGHP course fees	0	40,000
Re-ablement workshop fees	0	20,000

Board of Management

2.1.6 Release of capital grants
The draft budget includes a release of deferred capital grants as follows:

	2015/16	**2016-17**
SFC/ ERDF grants	£758,000	£758,000
Crichton Foundation/ SCF	58,000	58,000

The budget treatment of these grants will be updated when the options for accounting for capital grants has been considered.

2.2 Expenditure

2.2.1 Salaries
Total salary costs have currently been estimated at £8,208,000, of which £177,000 has been allocated against depreciation cash. The salary figure includes £35,868 for teaching staff increments, £30,000 for staffing contingencies, and £100,000 estimated costs for the increase in the rate of National Insurance.

2.2.2 Pay Award
The salary budget figures are based on estimated pay award of 1.5% for support (including cost of 2 days consolidated holiday) and £550 for teaching staff, and uplift for teaching salaries from April 2017 to move towards the top scale and a pay award of 1% for all staff for the period April 2017-July2017.

2.2.3 Staffing changes
The increase in total projected staffing costs includes:

Development time	£87,000
Increased delivery and new posts	£199,000

The increased delivery includes additional schools programmes, new HNC and Diploma courses to meet regional needs, and new day release in supported programmes. The new posts include the Board Secretary, Student Engagement Officer, an increase in Stranraer Princes' Trust to full time, Facilities Manager and an additional Work-Placement Co-ordinator.

2.2.4 Property costs
The budget is expected to cover core costs for ongoing estates maintenance and repairs. Any future developments will require to be costed and assessed against budget available. Approximately £330,000 of the donations by the College is still held by the Scottish Colleges Foundation, and an application could be made for grants to fund future development projects.

2.2.5 Other expenditure
Supplies and services forecasts are based on 2015-16 budget levels. Some budget has been included for consultancy and other professional fees, including VAT advice, HR, and catering, in line with the current costs.

3

Board of Management

2.2.6 Operational Plan

No funds have been set aside in this draft budget for any operational plan developments. The possible utilisation of depreciation cash funds for operational plan developments during 2016-17 will be explored when further information is available.

2.2.7 Student Support Funding

The forecast income and expenditure for student support is based on the SFC budget income for 2016-17, which has been reduced by £92,294 to reflect the decrease in target student numbers. The budget assumes equal levels of income and expenditure, with no overspend arising.

2.2.8 Assets

Depreciation and the corresponding release of deferred capital grants have been calculated based on the fixed assets at 31 March 2016. Any changes to fixed assets will impact on depreciation costs.

2.2.9 Contingency

£30,000 has been set aside for payroll contingencies, with no general contingency included in the budget at this time.

2.2.10 Depreciation cash expenditure

The costs of the 2015-16 consolidated pay award of 1% as well as national insurance increases have been allocated against depreciation cash expenditure in this draft budget. SFC has indicated that the priorities for 2016-17 will be in line with 2015-16 – namely Student Support, Loan repayments, and pay award as well as other cost pressures.

The net depreciation cash for 2016-17 is estimated to be in line with the current year at £380,000.

3 OUT-TURN FOR THE PERIOD

The draft budget shows an underlying break-even out-turn for the year, with costs being met from depreciation cash for the consolidated pay award and national insurance increases as noted above.   Some funds remain with the Scottish Colleges Foundation.

4 REVIEW OF BUDGET CHANGES

The budget will be reviewed and updated as the year progresses and further information is available. The Executive Management Team will regularly scrutinise any changes and developments throughout the year, and regular reports will be made at Finance and General Purposes Committee meetings in order to meet budget targets and re-align plans where necessary.

5 RECOMMENDATION

Members are requested to consider the draft budget for 2016-17 as recommended by the Finance and General Purposes Committee, and approve it pending approval by the Scottish Funding Council of proposals for utilising depreciation cash.

Dumfries & Galloway College

Board of Management

INCOME AND EXPENDITURE	ACADEMIC YEAR		
	12 month period July to August		
	Forecast for 2015/16	**Budget for 2016-17**	*Variance*
INCOME	**£000**	**£000**	**£000**
Grant Income	9,107	8,895	*(212)*
Release of deferred capital grant	816	816	*(0)*
Fee Income	1,681	1,868	*187*
Other Income	67	64	*(3)*
SFC Strategic Fund	-	30	*30*
Total Income	**11,671**	**11,673**	
EXPENDITURE			
Gross pay costs	6,132		
Pensions	1,073		
National Insurance	441		
Total Pay Costs	**7,646**	**8,031**	*385*
Property Costs	1,051	739	*(312)*
Other overheads	1,776	1,703	*(73)*
Depreciation	1,198	1,197	*(1)*
Student Support Contingency			
Total Other Costs	**4,025**	**3,639**	
Total Expenditure	**11,671**	**11,670**	
UNDERLYING OPERATING SURPLUS/ (DEFICIT)	**0**	**0**	
DEPRECIATION CASH EXPENDITURE	**380**	**177**	*(203)*
OVERALL OPERATING SURPLUS/ (DEFICIT)	**(380)**	**(177)**	

Board of Management

STUDENT SUPPORT

	ACADEMIC YEAR		
	12 month period July to August		
	Forecast for 2015/16	**Budget for 2016-17**	*Variance*
	£000	**£000**	**£000**
Income	2,548	2,442	**(106)**
Expenditure	2,548	2,442	**(106)**
Net costs to be met by College	**0**	**0**	

Funding Implications Going Forward

Key points from (verbal) update at Board of Management Meeting – Tuesday 7 June 2016

Unit of resource (ie price per credit) is insufficient and sector (in my view) is in a precarious position. A number of Principals have reported, informally, that they are currently unable to balance their budgets. Although D&G College have been able to present a balanced budget, this is based on a number of assumptions regarding additional funding – none of these are committed in writing.

A Review of the credit system has been agreed by SFC but, unless more funding is available to the sector, it is unclear how helpful this will be.

Depreciation is still an issue – firstly that Colleges are still having to use this to fund pay awards, service debt and support student funding support shortfalls and, secondly, because it results in a technical deficit in the annual accounts. Colleges are beginning to report that this is having an adverse effect when they are bidding for work and, in some cases, in the eyes of the public who very often don't understand the 'technicality' and only see that the college has reported a deficit.

SFC have announced that they are going to form a small working group to look at reporting methodology to see if there is a way accounts can be presented that avoids this technical deficit.

Many colleges received a reduction in their capital grant allocation for 2016-17 as SFC have allocated £ms to support new campus developments at City of Glasgow College City Centre and Ayrshire College's Kilmarnock campus. There are concerns that the inability to invest in campus infrastructure will have long-term adverse effects on the sector – eg out of date IT equipment, lack of modern facilities to attract learners etc.

National Bargaining – Colleges still have not received the full amount of funding to cover the 2016-17 pay settlement. As yet, we have been given no indication of when this might be received.

Scottish Government has made it clear that they expect the College sector to increase commercial income. How we do this when budgets are extremely tight and re-classification as a public body makes it difficult to save and invest for the future will be an ongoing challenge.

Innovation and Enterprise are also SG priorities and the College sector will be expected to participate fully in appropriate partnerships and initiatives. Funding resources and activities will be difficult.

Carol Turnbull
June 2016

Board of Management

2016-17 Curriculum Delivery Plan

1   Purpose of the Report

This report will highlight key development areas to the committee in terms of the curriculum delivery plan for 16/17.

2   The Report

2.1   Schools

This year's plan has seen delivery to 319 learners to schools across the region; next year's plan has been developed with all schools across the region with only one school where there has been no take up. The college now has 533 learners who have chosen college options for 16/17 delivery. There has been little take up of HNCs and work in the senior phase remains limited this will be developed further with the schools for 17/18. New areas being delivered for 16/17 include:-

- National 4 in Activity Tourism
- NPA Award in Reablement Level 6
- National 5 in Computing Science
- HNC in Computing Science
- Photography and Digital Imaging Level 5
- National 5 in Sport and Recreation
- National 4/5 Hospitality Practical Cookery
- National 5 in Motor Vehicle
- S2 Design Engineer and Construct.
- Foundation Engineering programme NC

2.2 Curriculum Plan for 16/17

Faculty Building and Engineering Services.

For 16/17 delivery, the faculty will consolidate its existing curriculum delivery as they have, over recent years, seen significant developments in this area. The Performance Engineering Operatives qualification will continue to be rolled out alongside all level 6 courses as part of its portfolio. There has been further development with employers and schools to develop the Foundation Apprenticeship Engineering pathway for 16/17.There continues to be growth in the schools pathways related to the National 5 in Energy and Motor Vehicle programmes.

Construction remains in a difficult position re numbers engaged with traditional construction trades ,and courses still need to be delivered together, with apprentices and full time leaner's having joint delivery. The technician area also continues to struggle in terms of numbers but is working closely with employers on some new development for this area. An exciting new course called" Design Engineer Construct" is being delivered to all 72 S2 pupils at Dalbeattie School, which will then be rolled out across the region. This will impact positively in technician take up in future years.

Faculty Hairdressing Beauty Hospitality and Sport.

Board of Management

Following a major restructure of this areas portfolio during 15/16 Hair and Beauty was significantly reduced and Hospitality portfolio to be developed for the region. A consolidated approach will take place for 16/17 with only one new full time programme being introduced for level 2 learners in the Hospitality area. Sport/Hospitality and Activity Tourism have new school courses, and significant development work is taking place with employers, schools and SDS on a new foundation Apprenticeship pathway for the Food Technology and Processing sector for 17/18.

Faculty Education Health and Social Studies.

This faculty has continued to grow and now has the largest amount of learners at the college with a target 540 full time learners for 16/17.The faculty has seen major change in terms of new qualifications throughout its Care and Childcare programmes from National 4 level to HNC frameworks. The Faculty continues with a successful Princes Trust programme and will continue to work with the Employability Partnership team for Project Search. A new pilot programme in Reablment is being delivered with Wallace Hall School. The area is working with NHS partners looking to introduce Foundation Apprentice pathway for Care in 17/18 .This is a significant area of delivery for Dumfries and Galloway regionally.

Faculty Business Computing and Creative Industries

The Faculty has seen major changes in new SQA Qualifications particularly related to its Business and Computing areas. The Faculty had little input into school college pathways and this remained a target for its plan in 16/17.Through engagement with the schools, these new pathways now include, Digital Gaming, National 5 in Computing, HNC Computing Science, Higher Computing, Photography and Digital Media. The area has developed for 16/17 a new full time HNC IN Computing Science which is now full with 21 learners on the course. The faculty also deliver employability programmes in the use of digital media and will continue to support this for 16/17.

2.4   Other areas to Note

College courses by % size.

- Accounting 2%
- Business 6%
- Care 21%
- Childcare 9%
- Computing 6%
- Construction 10%
- Creative Industries 10%
- Engineering12%
- Hair and Beauty 11%
- Hospitality 5%
- Sport 8%

Board of Management

College courses by Scottish Credit Qualifications Framework (SCQF)

- Level 1 to 3 has 3% activity levels
- Level 4 14%
- Level 5 26%
- Level 6 24%
- Level 7 25%
- Level 8 8%

3   Recommendation

Members are asked to approve the 2016-17 delivery plan.

Andy Wright
Vice Principal (Learning & Skills)
May 2016

Board of Management

Operation of Severance Payments Policy

1   Purpose of the Report

The purpose of this report is to provide the Board of Management with a revised Operation of Severance Payments Policy for approval.

2   Background

In cases of severance due to redundancy or premature retirement, Dumfries and Galloway College is required to have a policy in place applicable to all staff. The Scottish Funding Council Financial Memorandum provides guidance on the content of such a policy and recently provided further guidance in February 2016 (SFC/GD/01/2016) on seeking approval for severance schemes and settlement agreements. The College policy has therefore been updated to reflect the recent guidance.

3   Recommendation

Members are asked to note and approve the attached revised policy as recommended by the Finance and General Purposes Committee.

Board of Management

OPERATION OF SEVERANCE PAYMENTS POLICY

1   Introduction

In cases of severance due to redundancy or premature retirement, Dumfries and Galloway College will apply the following policy to all staff, in accordance with current employment law, duties under the Scottish Funding Council Financial Memorandum with Funding Bodies in the College Sector and Ethical Standards in Public Life Act (2000) in all cases.

2   Scope

The guidance applies to all employees of the College

3   Responsibilities of the College

3.1   The Principal and Director of Organisational Development and Facilities are responsible for implementation of this policy.

3.2   In exercising their discretion in issuing employees with terms and conditions of employment, the College must act reasonably. This includes using funds from public and other sources only for the purposes for which they were provided. The College has a responsibility to use both public and any 'private' funds in a prudent way that that ensures that issues of regularity, propriety and value for money are fully taken in to account. The Board of Management are responsible for approving any Voluntary Severance Scheme subject to 4.4 below.

3.3   The circumstances leading to termination will determine whether any payment is to be made to an employee on termination of employment.

3.4   Under the Scottish Public Finance Manual and the Scottish Funding Council (SFC) Guidance on seeking approval for severance schemes and settlement agreements the College is required to seek prior approval from the SFC for:

   3.4.1   Any new severance scheme;

   3.4.2   Any changes to a previously approved scheme;

   3.4.3   Any payment, forming part of any scheme, considered to be sensitive or high profile;

   3.4.4   Any use of settlement agreements; and

   3.4.5   Any payment to an individual in excess of contractual entitlement out with an approved voluntary severance scheme.

3.5   When agreeing a severance package, the college will remit this task to the Remuneration Committee of the Board of Management in the case of a member of

the Executive Management Team or where the costs of all elements of a proposed severance payment would amount to more than £40,000. In cases below this limit the matter shall be dealt with by the Principal.

3.6   The Remuneration Committee will generally oversee severance arrangements. It will do so in the context of this policy and SFC Guidance on seeking approval for severance schemes and settlement agreements that sets out general principles covering all severance packages.

4   General Policy Statement

The college's general policy is that where a severance payment is to be made, it will not normally exceed the statutory and/or contractual entitlement of the employee. Any exceptional settlements proposed that are in excess of, or otherwise not within such a framework, will be specifically considered by the Remuneration Committee or Principal and formally approved by the Board of Management.

5   Negotiating Terms

In general, public funds should only be used to meet contractual and other payments required by current employment law. In exceptional circumstances, and in the interests of the College, agreement may be reached following appropriate consultation with the recognised Trade Unions to enhance payments made.

6   Audit

Internal auditors will periodically review the systems for the determination and payment of severance settlements in their strategic audit plan. Payments made to senior staff will be audited by the College External Auditors.

7   Distribution

Board of Management
All Staff
Quality Manual

Board of Management

Equal Opportunities Policy

1.   Introduction

1.1   The purpose of this paper is to provide the Board of Management with a revised Equal Opportunities Policy for approval.

2.   Background

2.1   As part of the review of the College's Equality Outcomes a review of the Equal Opportunities Policy was also undertaken.   This has resulted in a minor revision to explicitly make reference to the protected characteristics and the College's associated documents.

3.   Recommendation

3.1   It is recommended that the Board of Management approve the attached policy.

Board of Management

Equal Opportunities Policy

Dumfries and Galloway College is committed to the provision of equal opportunities in all aspects of College life. We welcome students and staff from all backgrounds and aim to provide equal services to all our students and staff.

The College believes in human rights for all connected with the organisation and all members of the community. We are committed to the fulfilment of all agreements and acts, which may have implications for our role in training and education.

All individuals within Dumfries and Galloway College have a responsibility for compliance with legislation and for a positive attitude towards equal opportunities. All external persons connected to Dumfries and Galloway College will be encouraged to hold the same responsibilities and commitment.

The College actively seek to advance equality of opportunity, foster good relations and eliminate discrimination, harassment and victimisation because of the protected characteristics of: age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex and sexual orientation and marriage & civil partnership.

In support of this policy the College has published their Equality Mainstream Report 2013-2017 and a suite of Equality Outcomes 2013-2017.

Board of Management

Review of Risk Management Policy

1.   Introduction

1.1   The purpose of this paper is to provide the Board of Management with the opportunity to review the Risk Management Policy.

2.   Background

2.1   In line with its remit the Audit Committee has reviewed the Risk Management Policy and the effectiveness of the risk management systems, including the College's appetite for risk, every three years.   The audit committee approved the changes as recommended by the Executive Management Team. The changes to the content of the policy are highlighted in red.

3.   Recommendation

3.1   The Audit Committee recommends that the Board of Management consider and, approve the revised policy.

Board of Management

QUALITY

RISK MANAGEMENT POLICY

Responsibility	Vice Principal Corporate Services & Governance
Review Date	May 2019

Board of Management

1　Purpose of the policy

The purpose of the risk management policy is to outline the college approach to risk management and define the key principles, processes and responsibilities for the management of risk across the organisation.　This policy forms part of the College's internal control and corporate governance arrangements

2　Objective of risk management

The objective of undertaking risk management is to provide a systematic way of identifying, recording, monitoring and reporting risks to ensure the organisation is able to meet its objectives.

3　Principal documents

The identification and management of risk affecting the organisation's ability to achieve its objectives are set out in college strategic plan which incorporate the corporate level risk register and in other planning documents such as college operational and faculty plans regional outcome agreement. These contain the key responsibilities of all members of staff and partners involved in the college's work. The effective management of risk is an important means by which the organisation achieves its goals. To that end the college policy is designed to:

- manage risk actively across the full range of activities
- devolve responsibility for risk ownership and management to the most appropriate level whilst maintaining clear overall executive management responsibilities
- integrate risk management with planning at department and corporate levels
- encourage a risk aware way of working
- accept levels of risk that are compatible with professional responsibilities and take account of stakeholder expectations
- monitor and report regularly on the management of risk

4　Nature and context of risk

Risk can be defined as the threat that an event, action or inaction will adversely affect the organisation's ability to achieve its objectives.

Risks can be strategic or operational in nature. It is possible to control some risks and to influence others but there will be some that are outside management control or influence. Risk management takes these factors into account in judging the acceptable level of risk and the actions needed to reduce the risk level.

5　Implementing the risk management policy

5.1　Roles and responsibilities

Risk management is an integral part of the overall governance arrangements of the College.　As such there are specific responsibilities for people and groups undertaking different roles in the organisation:

5.2　Board of Management

Board of Management

The Board of Management has ultimate responsibility for the management of risk within the College. This includes:

- determining the appropriate risk appetite for the College;
- or level of setting the tone at the top for risk management throughout the organisation;
- approving the overall risk management arrangements including this policy and the appetite for risk;
- consideration of reports on the operation of risk management arrangements through the Audit Committee, the Principal and annual assurances for completion of annual report and accounts.

5.3 Audit Committee

Detailed consideration of the operation of risk management arrangements is delegated to the Audit Committee. This role includes:

- consideration, at each meeting of the corporate level risk register;
- consideration of internal audit reports involving risk or risk management;
- consideration of external audit reports involving risk or risk management;
- advising the Board on annual assurances involving risk and risk management included in the annual report and accounts.

5.4 Accountable Officer

The Principal has specific personal responsibility for signing the annual accounts including the Statement on the System of Internal Control.

5.5 Executive Management Team

The Executive Management Team has day to day responsibility for the management of the system of internal control including risk management. This role includes:

- encouraging a culture of risk awareness and risk management
- consideration of risk related procedures, strategies and registers
- ensuring that risks and risk management are included in project proposals or work plans presented to it for consideration or approval
- ensuring that there is ownership for all significant risks by a named member of the Senior Management Team

5.6 Staff, partner organisations and contractors

Members of staff and partner organisations or contractors are expected to:

- be familiar with the policy on and approach to risk management
- to be risk aware in their work
- to take responsibility for the ownership of risks assigned to them
- to inform managers if they become aware that business objectives could be at risk
- to take a corporate approach to risk by considering the implications for the whole organisation of individual risk management actions

This risk management policy and the risk register will form part of induction training for new staff.

5.7 Risk register

The college will maintain a corporate level risk register under the ownership of the member of executive management responsible for planning. The register will be updated and considered regularly by the Executive Management Team and considered by the Audit Committee at each scheduled meeting. The

Board of Management

Audit Committee is responsible to the Board of Management for monitoring, updating and raising awareness of risk levels. The main annual update is carried out in parallel with corporate planning processes.

The corporate risk register is intended to cover corporate wide risks and risks to corporate developments. Risks to individual projects are recorded and reported through operational planning and Executive Management Team monitoring processes unless they are so significant or pervasive that they pose a risk to corporate level objectives, at which point they are added to the corporate risk register.

Individual projects with a value over £50k or require constant active monitoring will carry a separate risk register throughout the life of the project.

5.8   Structure of the risk register
The register will ~~group risks by strategic aims and~~ include the following components for each risk:
- inherent risk assessments of likelihood and impact
- controls/actions in place to mitigate the inherent risks
- residual risk assessments of likelihood and impact
- further actions or monitoring required including timescales and reference to any relevant Key performance Indicators
- identity of risk owner

5.9   Risk scoring and risk appetite
The likelihood and impact of each risk is scored in accordance with Table A below. A definition of the categories of impact is provided in Table B below.

Traffic lights are used to identify the highest scoring Residual risk assessments which will be those requiring the greatest Board of Management / Senior Management Team attention. For Residual risk assessments Table C indicates the organisation's appetite for different levels of risk.

Any risks which have impacts on strategic objectives must have mitigating controls in place. Any risks with an inherent rating of 12 or above must have mitigating controls in place and where the residual rating remains above 12 should be reviewed at least quarterly in order to identify if any further actions could be taken to reduce the residual rating to below 12.

Table A:

IMPACT	Multiplier	LIKLIEHOOD			
		Unlikely	Possible	Likely	Almost Certain
Multiplier		1	2	3	4
Major	4	4	8	12	16
Moderate	3	3	6	9	12
Minor	2	2	4	6	8
Insignificant	1	1	2	3	4

Board of Management

Table B:

IMPACT	Financial	Health and Safety	Reputation	Strategic Aims
Major	Reduction in SFC grant >£250k	Loss of life, permanent disability	National press	Not able to deliver on an aim
Moderate	Reduction in SFC grant between grant £100-250k	Serious injury (not permanent)	Significant local press (region wide)	Increased cost to deliver an aim
Minor	Reduction in SFC grant between £50-100k	RIDDOR Report (Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995).	Minor local press	Delay on delivering an aim
Insignificant	Reduction in SFC grant <£50k	No perm injury	No press	No impact

Table C:

Residual risk assessment	Risk appetite response
12-16	Unacceptable level of risk exposure which requires immediate corrective action to be taken
6-9	Acceptable level of risk that requires constant monitoring and action to be taken to reduce exposure
1-4	Acceptable level of risk exposure subject to regular active monitoring measures

5.10   Other risk management arrangements

Risk management is also included in the project planning for major corporate projects. The nature and extent of documentation will depend on the significance of the project and the risks involved. Where major projects are concerned the risk may also appear at the corporate level – this does not obviate the need for specific risk management and ownership at the project level.

6.0   Review

6.1   This policy will be reviewed every 3 years or whenever Corporate Governance changes affect any part of it.

DISTRIBUTION LIST

All Staff Members
Quality Manual

Board of Management

Strategic Risk Register

1.   Introduction

1.1   The purpose of this paper is to provide the Board of Management with the opportunity to review the College's Strategic Risk Register.

2   The Report

2.1   In line with the College's Risk Management Policy any risk with an inherent rating of 12 or above must have mitigating controls in place and where the residual rating remains above 12 should be reviewed at least quarterly in order to identify if any further actions could be taken to reduce the residual rating to below 12. For completeness all risks are included in the attached register, in order of high to low ratings.

2.2   The Principal and Executive Management Team routinely review the Strategic Risk Register to reflect the risks the College is facing and the mitigation that will be applied to each risk.

2.3   There are three changes since the last committee meeting. The risk relating to 'Failure to achieve an effective outcome following Education Scotland Review' has been removed following confirmation by Education Scotland that "Dumfries & Galloway College has in place **effective** arrangements to maintain and enhance the quality of its provision and outcomes for learners and other stakeholders".

Risk no 7 'unable to achieve credit (activity) target has been downgraded to a rating of 4 as a result of the EIS accepting the nation pay award for 2016-17.

Risk no 5 'Safety concerns relating to construction of the College by Miller Construction' is new to the register.

2.4   The Audit Committee considered and approved the Strategic Risk Register at its meeting on 10 May 2016.

3.   Recommendation

3.1   The Audit Committee recommends that the Board of Management consider and, approve the Strategic Risk Register.

Board of Management

SUCCESSION PLANNING FOR EXECUTIVE TEAM

1.   PURPOSE

The purpose of this report is to seek approval to bring into line the salaries of the Executive Management Team (excluding Principal) with the sector.

2.   BACKGROUND

The Board of Management, at a previous meeting, asked the Principal to consider succession planning in respect of the Executive Team. The Principal presented a paper to the Remuneration Committee on the 26 January 2016. The paper highlighted that in terms of succession planning it is very likely that the College would have to recruit externally for at least 2 of the 3 current Executive team posts. In addition, in order to attract high calibre staff the Board of Management would need to consider aligning Executive Team salaries with (at least) the sector average. The Committee asked the Principal to provide the Committee with detailed information relating to the changes in responsibilities of the Executive Team since August 2012.

3.   THE REPORT

3.1   Salary Levels

Upon reviewing salaries across the sector, the average salary for a member of the Executive Team is £75,151 with 49 days annual holiday. This is where the Executive Team member reports directly to the Principal, may act as a Deputy for the Principal (or shares this responsibility) and has strategic responsibility for key functions as is the case at Dumfries and Galloway College. Current salaries for Executive Team members at Dumfries and Galloway College are 3 x £60,696, with 43 days annual holiday.

As this is a very broad range more specific information can be provided for Colleges of a similar size as follows:

	Activity Volume	Exec Team Salary
Dumfries & Galloway College	30,371	3 x £60,696
Borders College	24,095	2 x £65,948 1 x £73,271
West Lothian College	42,088	3 x £64,906

It can be seen from the above table that Executive Team members at Dumfries and Galloway College are on a lower salary than their counterparts in other similar size

Board of Management

colleges, and are significantly lower than the sector average of £75,151. If a member of the Executive team were to leave now, it could be difficult to recruit someone with the appropriate level of skills, knowledge and expertise, certainly from within the sector, at current salary levels.

4   RECOMMENDATION

The Remuneration Committee considered the matter at its meeting on 5 April 2016 and agreed to recommend Members approve the re-grading of Executive Team salaries to £65,000 per annum, per person, to reflect the salaries paid to similar posts in other Colleges of a similar size.

Carol Turnbull
Principal
June 2016

Board of Management

SUCCESSION PLANNING FOR THE PRINCIPAL

1.   PURPOSE

The purpose of this report is to seek approval to bring into line the salary of the Principal with the sector.

2.   BACKGROUND

The Board of Management, at a previous meeting, asked the Principal to consider succession planning in respect of the Executive Team. The Principal presented a paper to the Remuneration Committee on the 26 January 2016. The paper highlighted that in terms of succession planning it is very likely that the College would have to recruit externally for at least 2 of the 3 current Executive team posts. In addition, in order to attract high calibre staff the Board of Management would need to consider aligning Executive Team salaries with (at least) the sector average. The Committee asked the Principal to provide the Committee with detailed information relating to the changes in responsibilities of the Executive Team since August 2012.

The Principal was also asked to include similar information relating to the Principal's salary.

3.   THE REPORT

3.1   Salary Levels

Upon reviewing salaries across the sector, the average salary for a Principal is £110,934 with 49 days annual holiday. The current salary for the Principal at Dumfries and Galloway College is £92,718 with 43 days annual holiday.

As this is a very broad range more specific information can be provided for Colleges of a similar size as follows:

	Activity Volume	Principal Salary
Dumfries & Galloway College	30,371	£92,718
Borders College	24,095	£104,638
West Lothian College	42,088	£107,971

It can be seen from the above table that the Principal at Dumfries and Galloway College is on a lower salary than their counterparts in other similar size colleges, and is significantly lower than the sector average of £110,934. If the Principal were to

Board of Management

leave now, it could be difficult to recruit someone with the appropriate level of skills, knowledge and expertise, certainly from within the sector, at current salary levels.

4   RECOMMENDATION

The Remuneration Committee considered this matter at its meeting on 5 April 2016 and agreed to recommend Members approve the re-grading of Principal salary to £95,000 per annum.

Brian Johnstone
Regional Chair
June 2016

Board of Management

Board of Management Calendar of Meetings 2016-17 - DRAFT

All meetings will be held on a Tuesday unless stated otherwise and take place at the Dumfries Campus.

	BOARD	Audit Committee	Finance & General Purposes Committee	Learning & Teaching Committee	Human Resources Committee	Board Development Committee	Remuneration Committee
	2:00 pm	2:00 pm	2:00 pm	2:00 pm	**11:30am**	2:00pm	2:00pm
2016							
Graduation Ceremony	24-Aug (Dumfries)						
September		20-Sep	27-Sep			20-Sep (starting 12:45)	
October	04-Oct			11-Oct	04-Oct	18-Oct	
November	15-Nov Strategic/ROA Session (10-3)	22-Nov	29-Nov				
December	06-Dec			13-Dec			
2017							
January	24-Jan Development event (10-3)						
February		21-Feb	28-Feb				07-Feb
March	07-Mar			14-Mar			
April							
May		16-May	23-May	30-May			
June	06-Jun						
Graduation Ceremony	22-June (Stranraer)						

Dumfries & Galloway College

Board of Management

Key Performance Indicator Report

1 Introduction

The purpose of this paper is to provide the Board of Management with an update on the Colleges Key Performance Indicators.

2 The Report

One of the many duties of the board is to ensure satisfactory delivery of the College's performance and financial targets and, if necessary understand and agree actions when targets are not being achieved.

The Board has agreed four Key Performance Indicators (KPIs) to monitor and review at each board meeting. The KPIs are: Credit Activity; Retention (both early and further); Student Outcomes; and Income & Expenditure.

2.1 Credits

For session 2015-16, WSUMs activity target was replaced with a much simpler credit activity target. WSUMs had been the building block to our funding for the past 20 years. Under the WSUMs measure set tariffs were applied for students on full-time courses, SUMs could be claimed for students receiving extended learning support (ELS) and a subject weighting was applied to each student.

The Credit measure more closely matches student activity and is identical to the way we counted part-time SUMs. A credit is equivalent to 40 hours of learning. The Credit system pays the same pro rata price for a full or part-time student which means the funding system supports protected groups such as women returners who are more likely to study on a part-time basis. The College Credit target is around 25% lower than the equivalent WSUMs target as a result of removing the full-time tariffs, ELS activity and subject weightings.

The table below shows actual activity against target. Activity for session 2015-16 is the current position which includes a forecast to the end of the session. Final (audited) activity figures against target are also shown for the previous three sessions.

	Target	Actual	Variance	Projected Further Credits	Projected Total	Projected Claw back
2015-16	30,371	29,554	(817)	185	29,739	£111,864
2014-15	42,529	42,413	(116)	n/a	n/a	£22,806
2013-14	42,529	42,761	232	n/a	n/a	none
2012-13	38,711	39,014	303	n/a	n/a	none

It is likely that for session 2015-16, the College will not achieve its credit target. There are a number of reasons for this: decrease of 3% in early student retention, some full-time groups

Dumfries & Galloway College

Board of Management

did not achieve target numbers, one of the Overhead Lines Technician courses did not run because of changes in the sector, school link activity is approx 200 credits less than planned. In addition as a consequence of a delayed start to one of the Princes Trust groups credits will not be able to be claimed this session.

2.1.1   Enrolments

Whilst enrolment figures do not form part of the Board KPIs, the College reports them for information. There is growing interest from Scottish Government in Full Time Equivalent (FTE) places delivered by colleges. Under the new simplified credit system it is easier to work out the level of FTEs delivered by colleges and overall in the sector. There may be a requirement for colleges to be measured by FTE places delivered, in the near future.
The table below shows the total enrolment for session 2015-16 to date, compared to final audited enrolment figures for the previous three sessions.

Enrolments	Full-time					Part-time	Total
	HE Dfs	HE Str	FE Dfs	FE Str	Total		
2015-16	456	24	894	225	1,599	4,078	5,677
2014-15	470	35	895	215	1,615	4,090	5,705
2013-14	393	-	984	255	1,632	4,098	5,730
2012-13	373	-	958	285	1,616	3,938	5,554

2.2   Retention

There are two retention KPIs the Board monitors:
- Early Student Retention – a measure of the number of students that meet the required retention date for Credit funding purposes (approx 25% of the course duration) as a percentage of total enrolments; and
- Student Retention – a measure of the number of students who complete the course as a % of total enrolments.

The table below shows the retention figures for session 2015-16 to date, compared to final audited retention figures for the previous three sessions.

	Early Student Retention (%)		Student Retention (%)			
	Full-time Further Education	Full-time Higher Education	Full-time Further Education		Full-time Higher Education	
	Actual	Actual	Actual	Target	Actual	Target
2015-16	88	95	70	75	83	82
2014-15	91	96	70	74	84	81
2013-14	92	94	74	74	82	81
2012-13	91	94	73	74	80	80

2.3   Student Outcomes

The student outcome measures the % of successful students as a % of total enrolments. This measure is analysed at the end of each session. Headline student outcomes for the past four sessions are as follows:

	Outcome (%)			
	Full-time Further Education		**Full-time Higher Education**	
	Actual	**Target**	**Actual**	**Target**
2014-15	64	64	71	71
2013-14	64	65	71	72
2012-13	63	63	70	73
2011-12	61	61	70	61

2.4   Income and Expenditure

A break-even out-turn on operating activities at 31 July 2016 is planned. The changes arising from the year-end accounting adjustments for pension obligations and any additional expenditure from depreciation cash will continue to have an impact on the results reported in the financial statements in due course. The following table shows the headline figures, income and expenditure is also monitored by the Finance and General Purposes Committee:

Income and expenditure	PERIODS 1 TO 9 (April '16)		FORECAST TO JULY 2016		
	Actual	**Budget**	**Forecast**	**Budget**	*Variance*
	£000	**£000**	**£000**	**£000**	**£000**
Income (1)	8,746	8,703	11,622	11,574	*48*
Staffing Costs (2)	5,711	5,687	7,697	7,575	*(122)*
Other Costs (3)	3,135	3,278	4,305	4,438	*133*
Total Expenditure	8,846	8,965	12,002	12,013	*11*
Operating Surplus/(Deficit)	(100)	(262)	(380)	(439)	*59*
Underlying Operating Surplus/ (Deficit) – net of depreciation cash expenditure	280	(262)	0	(439)	*439*

3.   Recommendation

The Board is asked to discuss progress against targets.

17 May 2016
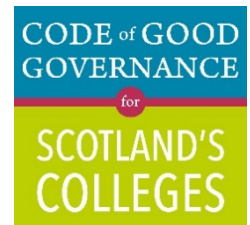
Colleagues

The Code of Good Governance for Scotland's Colleges

With the support of NUS Scotland, the Trades Unions and the Scottish Government and with the strong endorsement of the Scottish Funding Council, the Code of Good Governance for Scotland's Colleges was launched in December 2014. The Code reflects the high standards of governance that prevail across colleges in Scotland and was recognised as a milestone in codifying how colleges should be governed effectively.

From the outset, it was the intention of the Good Governance Steering Group to review the effectiveness of the Code in the early years to ensure that it was indeed fit for purpose and operating effectively. The Steering Group has now completed that review and we now wish to consult with colleges and other stakeholders before we introduce some amendments to the original Code.

As before, the Review has been a collaborative process involving representatives from the college principals and chairs groups, SFC, Scottish Government, trade unions, student representation, Colleges Scotland and College Development Network.

This review of the Code has also benefitted from input from the Cabinet Secretary's Governance Task Group that reported in March 2016. It therefore takes account of the thankfully very few but nevertheless notable failures in governance that the college sector has experienced recently.

The proposed changes to the Code are relatively few and are generally about recognising and codifying best practice, as well as providing additional information to colleges that is designed to support colleges in delivering the highest standards of governance.

The Code is supplemented by a range of other materials and training provision including a new Guide for Board Members in the College Sector and a Board Development Framework, which is part of a series of guidance notes for boards. We are always seeking new ways to support and improve good governance in the sector and as part of this consultation exercise, we would be delighted to hear any ideas that you may have to help improve governance generally in the college sector in Scotland.

The closing date for comments on the revised code is Friday 17 June. Following the consultation, we aim to agree the final version of the Code by the end of June, with publication shortly thereafter.

Colleagues will be aware that the Code requires colleges to undertake an externally facilitated evaluation of Board effectiveness every three years. Towards the end of last year, Regional Chairs agreed that there would be merit in bringing these reviews forward and undertaking them in a more coordinated sector wide way.

It is expected that the effectiveness reviews are undertaken within the context of the revised Code. We propose therefore to issue a model **Effectiveness Review Framework** as soon as the revised Code is agreed. The Framework will provide guidance based on what is accepted best practice for externally validated governance reviews, with an expectation that reviews will be completed by the end of December 2016.

We look forward to receiving your response to the consultation on the Code (and indeed any other matters you want to raise on governance more generally) by 17 June 2016

Hugh Hall
Chair of the Good Governance Steering Group

Please send responses via: https://www.surveymonkey.co.uk/r/LYNQ5M9
Closing date Friday 17 June

Code of Good Governance for Scotland's Colleges
May 2016 Consultation

1.   Foreword

2.   Code of Good Governance for Scotland's Colleges
- Governance and the Code
- Statement of Compliance with Good Governance

3.   Principles

Section A: Leadership and Strategy
- Conduct in Public Life
- Vision and Strategy
- Corporate Social Responsibility

Section B: Quality of the Student Experience
- Student Engagement
- Relevant and high quality learning
- Quality Monitoring and Oversight
- Statutory Duties and Other Obligations

Section C: Accountability
- Accountability and Delegation
- Risk Management and Audit
- Audit Committee
- Remuneration Committee
- Financial and Institutional Sustainability
- Staff Governance

Section D: Effectiveness
- The Board Chair
- Board Members
- Principal and Chief Executive
- Board Secretary
- Board Member Appointment, Induction and Training
- Board Evaluation

Section E: Relationships and Collaboration
- Partnership working
- Openness and Transparency

1.   Foreword

Colleges in Scotland thrive in the heart of their communities, serving the interests of those communities, students, employers, governments and their agencies and other stakeholders. They have an essential and valuable role in Scottish society. In 2014/15, they enrolled almost 300,000 students and Scotland's colleges contribute almost £15 billion to the Scottish economy each year. Colleges are also a major employer with 13,500 directly employed staff. Colleges and regional strategic bodies receive substantial public funding and also operate in an increasingly commercial and enterprising way. Every board member is accountable for the proper use of this funding, and there is a clear obligation of stewardship of taxpayer's money, and ensuring its efficient and effective use.

Boards are expected to innovate, pursue new opportunities and take measured risks in delivering what is best for their stakeholders. In recent times, they have gone through major transformational change, embracing regionalisation and post-16 education reforms.

Against this background, it is right and proper that the highest standards of governance and propriety are expected of our boards and those individuals who serve them. This Code of Good Governance codifies the principles of good governance for learners and learning that already exist in our colleges and promotes accountability and continuous improvement in how colleges and regional strategic bodies are governed.

The original Code, published in December 2014, was subject to extensive consultation and this revised version was developed collaboratively with a wide range of stakeholders including representatives of students and staff.

The Code is based on key principles and has been written in a way that is mandatory and anticipates compliance. All colleges that receive funding from the SFC, or from a regional strategic body must comply with the Code as a term and condition of grant. Exceptions should be rare and must be explained publicly.

The Code will be kept under ongoing review and is supported by supplementary guidance designed to embed and operationalise the principles set out in the Code, including:

- The Guide for Board Members in the College Sector (June 2015)
- Further Guidance Notes for Boards in the College Sector - A Board Development Framework (November 2015)
- A Board Effectiveness Review Framework (to follow summer 2016)

Colleges Scotland will act as custodian of the review process but, in keeping with the way that the Code was created, the broad church of stakeholders who drew up the Code will be engaged fully in its development and revision.

In addition to demonstrating good governance, Colleges and regional strategic bodies must also ensure compliance with their statutory and other obligations. The Secretary to the Board has an important role to play in providing guidance to the Board on its legal obligations.

Colleges have an important individual and collective role to play in promoting economic, social and cultural well-being. We expect this Code to provide the essential underpinning to help discharge that role to the highest standards possible.

Hugh Hall, Chair of the Good Governance Steering Group
May 2016

2.   Code of Good Governance for Scotland's Colleges

Governance and the Code

Corporate governance:

- is the way in which organisations are directed and controlled within a legislative framework
- defines the distribution of rights and responsibilities among the different stakeholders and participants in the organisation
- determines the rules and procedures for making decisions on corporate affairs including the process through which the organisation's objectives are set
- provides the means of achieving those objectives and monitoring performance.

Scotland's colleges refers to colleges either funded by the SFC or by a regional strategic body for the provision of education. Such colleges can be incorporated or non-incorporated. The overarching purpose of good governance for Scotland's Colleges is to:

- Lead the college and set its strategic direction and values
- Ensure effective management and financial controls to support the student experience within a framework of public accountability and transparency
- Deliver high quality of learning and outcomes.

The Code of Good Governance for Scotland's Colleges has been developed, and is owned, by the college sector. Colleges are required to comply with it as a condition of grant from either the Scottish Funding Council or their regional strategic body. It establishes standards of good governance practice for all college boards and provides the essential foundations for compliance within the legislative framework set out by the further and higher education acts.

Boards must not only follow the letter but also the spirit of the Code to ensure good governance.

Boards must think deeply, thoroughly and on a continuing basis about their overall tasks and the implications of these for the roles of their individual members. Key to this is the leadership of the chair, the support given to and by the Principal, and the frankness and openness of mind with which issues are discussed and tackled by all board members.

Statement of Compliance with Good Governance

Each board must state its adoption of the Code in the corporate governance statement contained in its annual audited financial statements. The chair, on behalf of the board, is expected to report as to how the principles have been applied by the board. Where, for whatever reason, a board's practice is not consistent, with any particular principle of the Code, it should make this known to the SFC or, if it is an assigned college, the regional strategic body. This should be done immediately they become aware of an inconsistency and, without exception, in advance of publishing the information. An explanation for that inconsistency must be clearly stated in its corporate governance statement. Boards will be expected to offer a clear rationale for exceptions in the context of their college's operational model and to identify mitigations.

Individual board members have duty to act on serious concerns about the governance of their body. Information on who board members can approach is included in **The Guide for Board Members in the College Sector**.

3.   Principles

Section A: Leadership and Strategy

Conduct in Public Life

A.1   Every college and regional strategic body must be governed by an effective board that is collectively responsible for setting, demonstrating and upholding the values and ethos of the organisation.

A.2   Every board member must ensure that they are familiar with, and their actions comply with, the provisions of the board's Code of Conduct (where this applies).

A.3   The nine key principles underpinning public life in Scotland, which incorporate the seven Nolan principles, must be the basis for board decisions and behaviour. These key Principles, which apply individually and collectively, are:

- Duty/Public Service
- Selflessness
- Integrity
- Objectivity
- Accountability and Stewardship
- Openness
- Honesty
- Leadership
- Respect.

Vision and Strategy

A.4   The board is responsible for determining their institution's vision, strategic direction, educational character, values and ethos. Regional strategic bodies must also determine the regional strategy for colleges assigned to them. For an assigned college, the board must have regard to the strategy determined by the regional strategic body. Board members have a collective leadership role in fostering an environment that enables the body to fulfil its mission and meet Scottish Government priorities, for the benefit of students and the community it serves.

A.5   The board must develop and articulate a clear vision for the region or college. This should be a formally agreed statement of its aims and desired outcomes which should be used as the basis for its overall strategy and planning processes.

A.6   The board provides overall strategic leadership of the body. The board is responsible for formulating and agreeing strategy by identifying strategic priorities and providing direction within a structured planning framework.

A.7   The board must ensure that a comprehensive performance measurement system is in place which identifies key performance indicators. It must ensure that it scrutinises performance measures and reports these on their website in a manner that is both timely and accessible to stakeholders. This will allow the board to determine whether or not the body's vision and mission are being fulfilled and that the interests of stakeholders are being met.

A.8 The board (except in the case of assigned college boards) is responsible for overseeing the negotiation its outcome agreement with the SFC, to meet the needs of the college or region and make best use of available funding, consistent with national strategy. The board must ensure effective engagement with all relevant stakeholders in the development of its outcome agreement and monitor performance in achieving the agreed outcomes.

A.9 The role and responsibilities of the boards of assigned colleges should be undertaken in the context of the roles and responsibilities of their regional strategic body, which differ depending on whether a college is incorporated or not. Assigned college boards must contribute constructively to the development of the outcome agreement led in its region by the regional strategic body. The college board must support the regional strategic body to monitor performance in achieving the agreed outcomes.

Corporate Social Responsibility

A.10 The board must demonstrate high levels of corporate social responsibility by ensuring the body behaves ethically and contributes to economic development while seeking to improve the quality of life of its workforce as well as of the local community and society at large.

A.11 The board must exercise its functions with a view to improving economic and social wellbeing in the locality of the college or region. It should have regard to social and economic needs and social inclusion.

A.12 The board must provide leadership in equality and diversity.

A.13 The board must seek to reflect in its membership, the make-up of the community through offering maximum opportunity of membership to a range of potential members and removing potential barriers to membership, in partnership with its regional strategic body, as appropriate.

A.14 The board must appoint one of the independent non-executive members to be the senior independent member to provide a sounding board for the chair and to serve as an intermediary for the principal, other board members and the board secretary when necessary. The senior independent member (or vice-chair) should also be available where contact through the normal channels of chair, principal, or secretary has failed to resolve an issue or for which such contact is inappropriate. Further information on the role of the senior independent member can be found in the Guide for Board members.

Section B: Quality of the Student Experience

Student Engagement

B.1 The board must have close regard to the voice of its students and the quality of the student experience should be central to all board decisions.

B.2 The board must lead by example in relation to openness, by ensuring that there is meaningful on-going engagement and dialogue with students, the students' association and as appropriate staff and trades unions in relation to the quality of the student experience. Consultation is essential where significant changes are being proposed.

B.3 The board must consider student surveys and monitor action plans that could impact on the quality of the student experience.

B.4 The board must have regard to the **Framework for the Development of Strong and Effective Students Associations,** including by having embedded partnership processes to work together to achieve change and regular and open communications (e.g. set out in a Partnership Agreement).

B.5 The college board must encourage a strong and independent students' association and ensure that the students' association is adequately resourced.

B.6 The college board must ensure that the students' association operates in a fair and democratic manner and fulfils its responsibilities.

B.7 The college board must review the written constitution of its students' association at least every five years.

Relevant and high quality learning

B.8 The board must seek to secure coherent provision for students, having regard to other provision in the region or college's locality. The board must be aware of external local, national and international bodies and their impact on the quality of the student experience, including community planning partners, employers, skills development and enterprise agencies and employer bodies. The board must seek to foster good relationships and ensure that the body works in partnership with external bodies to enhance the student experience, including employability and the relevance of learning to industry needs.

B.9 The board must ensure delivery of its Outcome Agreement or in the case of an assigned college, its agreed contribution to the region's Outcome Agreement.

Quality Monitoring and Oversight

B.10 The college board must ensure appropriate mechanisms are in place for the effective oversight of the quality and inclusivity of the learning experience and work with other bodies as appropriate to oversee and monitor this. The college board must ensure that the body works in partnership with sector quality agencies and other appropriate bodies to support and promote quality enhancement and high quality services for students.

Statutory Duties and Other Obligations

B.11 The board must ensure it fulfils its statutory duties and other obligations on it, including in ensuring that terms and conditions of its grant are being met.

Section C: Accountability

Accountability and Delegation

C.1 The board is primarily accountable to its main funder – either the SFC or its regional strategic body. Through the chain of funding, the body is ultimately responsible to the Scottish Ministers who are accountable to the Scottish Parliament.

C.2 Scottish Ministers have powers to remove by order any or all board members of an incorporated college (except the principal) or a Regional Board for serious or repeated breaches of a term and condition of grant.

C.3 The board also has a wider accountability to a range of stakeholders including students (both current and prospective), its staff, the wider public, employers and the community it serves, for the provision high quality education that improves people's life chances and social and economic well-being.

C.4 Incorporated colleges and Regional Boards must maintain and publicly disclose a current register of interests for all board members. Board members should declare any conflicts of interest in the business of the meeting prior to the commencement of each meeting of the board and its committees and withdraw from meetings as appropriate or when requested to do so.

C.5 The board must ensure that its decision-making processes are transparent, properly informed, rigorous and timely, and that appropriate and effective systems of financial and operational control, quality, management of staff, risk assessment and management, are established, monitored, continuously improved and appropriately impact assessed. This includes:
   a) the prompt production, dissemination and publication of board/committee minutes and papers
   b) every board meeting and every committee meeting having a well-structured agenda circulated timeously in advance
   c) the retention of all key documentation which help justify the decisions made by the board and its committees.

C.6 The board may delegate responsibilities to committees for the effective conduct of board business. The minimum committees required are Audit, Remuneration and as appropriate Nominations/Appointments. Delegation of responsibilities from, and matters reserved to, the board and its committees must be set out in a scheme of delegation including the functions delegated by the board to the chair, committees, the principal and the board secretary (and any other members of staff). Incorporated college boards have no powers to delegate functions to an individual board member (except the chair who has no authority to act out with their delegated powers).

C.7 The college board must ensure every board committee has a specific manager to provide objective, specialist advice to support it to discharge its remit, including by explaining in an accessible way the matters under discussion and the possible implications of different options.

C.8 The board must consider and have in place procedures to ensure effective working relationships and constructive dialogue amongst the board as a whole and ensure there is effective reporting and two way communication between committees and the board. The board must ensure that discussions and decisions of every committee are accurately recorded and reported to the board, no later than the next meeting of the board.

Risk Management and Audit

C.9 The board is responsible for the overall management of risk and opportunity. It must set the risk appetite of the body and ensure there is an appropriate balance between risk and opportunity and that this is communicated via the principal to the executive team.

C.10 The board must ensure that sound risk management and internal control systems are in place and maintained. It must ensure there is a formal on-going process for identifying, reporting, evaluating and managing the body's significant risks and review the effectiveness of risk management, business continuity planning and internal control systems.

Audit Committee

C.11 The Audit Committee must support the board and the principal by reviewing the comprehensiveness, reliability and integrity of assurances including the body's governance, risk management and internal control framework.

C.12 The scope of the Audit Committee's work must be defined in its terms of reference and encompass all of the assurance needs of the board and the principal. The Audit Committee must have particular engagement with internal and external audit and financial reporting issues.

C.13 The Audit Committee must promptly pursue recommendations arising from external audit reports and must monitor their implementation.

C.14 The membership of the Audit Committee must consist of non-executive board members who must be independent and objective. Non-executive refers to any member of the board except the principal. The chair of the board must not be a member of the Audit Committee. The role of the college executive is to attend meetings at the invitation of the committee chair and to provide information for particular agenda items.

C.15 The Audit Committee terms of reference must provide for the committee to sit privately without any non-members present for all or part of a meeting if they so decide. The Audit Committee members should meet with the internal and external auditors without the executive team present at least annually.

C.16 At least one member of the Audit Committee should have recent relevant financial or audit experience.

Remuneration Committee

C.17 It essential that members of Remuneration understand their role and responsibilities. Members must undertake the on-line training module for Remuneration Committees provided by CDN within one month of appointment.

C.18 The college board must have a formal procedure in place for setting the remuneration of the principal by a designated committee of non-executive members. The board may wish to supplement this by taking evidence from a range of sources. In particular, staff and students should have a role in gathering and submitting evidence to the relevant committee.

C.19 The chair cannot be the chair of the Remuneration Committee (but they can be a member of it).

Financial and Institutional Sustainability

C.20 The board is responsible for ensuring the financial and institutional sustainability of the body. The board must ensure compliance with its Financial Memorandum (either with the SFC or regional strategic body, depending on which is funding it), including in relation to incorporated colleges and Regional Boards, relevant aspects of the Scottish Public Finance Manual.

C.21 The board must ensure that:
- funds are used as economically, efficiently and effectively as possible;
- effective monitoring arrangements are in place; and
- college staff report relevant financial matters to it.

C.22 For colleges that are charitable organisations, board members are also charity trustees. A college board that is a charity must ensure its members are aware of their responsibilities under charity legislation and for complying with relevant provisions as set out by the Scottish Charity Regulator.

Staff Governance

C.23 The board, as the employer, is responsible for promoting positive employee relations and for ensuring effective partnership between recognised trades unions and management.

C.24 The board must have a system of corporate accountability in place for the fair and effective management of all staff, including to ensure all legal obligations are met and all policies and agreements are implemented and identify areas that require improvement and to develop action plans to address them.

C.25 The board must ensure staff are well informed, appropriately trained and developed, involved in decisions which affect them, treated fairly and consistently and provided with a safe working environment.

C.26 The board must comply with the nationally agreed college sector Staff Governance Standard.

C.27 The college board must comply with collective agreements placed on it through national collective bargaining for colleges.

C.28 The college board must ensure the implementation of a broad range of up to date staffing policies negotiated/consulted, as appropriate, with recognised trade unions which:
- recognise the pivotal role of college staff in providing education and support services
- reflect current good practice, providing a positive platform and framework for the effective management, engagement and governance of all staff.

Section D: Effectiveness

The Board Chair

D.1   The chair is responsible for leadership of the board and ensuring its effectiveness in all aspects of its role. The chair is responsible for setting the board's agenda and ensuring that adequate time is available for discussion of all agenda items, particularly strategic issues. The chair must promote a culture of openness and debate by:
- encouraging the effective contribution of all board members
- fostering constructive challenge and support to the principal, executive team and fellow board members
- effective team-working
- positive relations between board members.

The chair must engage with the principal and the board secretary in a manner which is both constructive and effective.

D.2   The board and its committees must have the appropriate balance of skills, experience, independence and knowledge of the body to enable them to discharge their respective duties and responsibilities effectively.

Board members

D.3   Each board member is collectively responsible and accountable for all board decisions. Board members must make decisions in the best interests of the body as a whole rather than selectively or in the interests of a particular group.

D.4   Staff and student board members are full board members and bring essential and unique, skills, knowledge and experience to the board. Staff and student board members must not be excluded from board business unless there is a clear conflict of interest, in common with all board members.

D.5   As a charity trustee all board members, including staff and student board members, have legal duties and responsibilities under the Charities Act 2005.

Board members have a duty to put the interests of the charity before their own interests or any person or organisation, including those responsible for their appointment.

Where this is not possible there may be a conflict of interest. (See OSCR | Conflict of Interest) If another duty prevents a board member from putting the interest of the charity first they must:
- Disclose the conflict
- Not participate in any discussion or decision making on the matter.

Principal and Chief Executive

D.6   The college board must appoint the principal as chief executive of the college, securing approval for the appointment and terms and conditions of the appointment from the regional strategic body if necessary.

D.7   The board must ensure there is an open and transparent recruitment process for the appointment. Students and staff must have an opportunity to contribute to the recruitment process.

D.8   The college board must delegate to the principal, as chief executive, authority for the academic, corporate, financial, estate and human resource management of the college, and must ensure the establishment of such management functions as should be undertaken by and under the authority of the principal.

D.9   The college board must ensure a clear process is in place to set and agree personal performance measures for the principal. This process should seek the views of students and staff. The chair, on behalf of the board, should monitor, review and record the principal's performance, at least annually, against the agreed performance measures.

D.10 The principal, as a board member, shares responsibility for good governance with the chair and all other members of board, supported by the board secretary. The principal also enables good governance through supporting effective communication and interaction between the board and the rest of the college including staff and students.

D.11 The board provides strategic direction for the body, and the chair provides leadership to the board. The principal provides leadership to the staff of the body.

D.12 The board must provide a constructive challenge to the principal and executive team and hold them to account.

Board Secretary

D.13 The board as a whole must appoint a board secretary who is responsible to it and reports directly to the chair in their board secretary capacity. The board secretary may be a member of the senior management team in their board secretary capacity, but they cannot hold any other senior management team position at the same time. The appointment and removal of the board secretary is a decision of the board as a whole.

D.14 All board members must have access to the board secretary who has an important governance role in advising the board, the committees and individual board members and supporting good governance. The distinctive board secretary role includes:

- facilitating good governance and advising board members on:
    - the proper exercise of their powers, including in relation to relevant legislation
    - the board's compliance with its Financial Memorandum, the Good Governance Code, its Standing Orders and Scheme of Delegation
    - their behaviour and conduct in relation to the board's Code of Conduct.

- providing clear advice to the chair and the board/committee on any concerns the board secretary may have that board members have not been given:
    - sufficient information
    - information in an appropriate form
    - sufficient time

  to monitor, scrutinise or make informed and rigorous decisions in an open and transparent way.

- attending and providing support to every board meeting and every meeting of every board committee. Where the board secretary is unable to attend, while the board secretary retains overall responsibility, proper arrangements must be made to cover the role with a person who is fully able to discharge the role effectively.

- having an unambiguous right to speak at board and committee meetings to convey any concerns they may have about governance. This extends to someone substituting for the board secretary.

- reporting any unresolved concerns about the governance of the body to the relevant funding body (ie. the SFC or the regional strategic body).

D.15 The board must ensure the board secretary:

- has suitable skills, knowledge and behaviours to carry out their role effectively

- receives appropriate induction, and if new to the role, is mentored by a more experienced board secretary for at least their first year.

- has adequate time and resources available to undertake their role effectively.

D.16 The board must ensure arrangements are in place to deal with a board secretary's potential or real conflicts of interest.

Board Member Appointment, Induction and Training

D.17 For boards with responsibility for board appointments, the board must ensure a formal and open procedure in place for recruiting and selecting new non-executive board members. Boards must have regard to all relevant Ministerial Guidance on board appointments.

D.18 The board is responsible for ensuring appropriate arrangements are in place for the conduct of student elections and nominations and elections of staff members to the board.

D.19 The chair must ensure that new board members receive a formal induction on joining the board, tailored in accordance with their individual needs. The board secretary should support the chair in the provision of relevant induction for new board members.

D.20 The board must ensure all board members undertake appropriate training and development in respect of their governance role. The board secretary should support the chair in the provision of relevant training and development opportunities for board members, which should be tailored to meet board members skills and needs. The board secretary must keep records of the development activity of board members, including the chair.

D.21 The board must ensure that new college committee members receive a committee induction pack and have their specific training needs assessed and met.

Board Evaluation

D.22 Extension of the term of office of board appointments requires evidence and the Board must ensure appropriate mechanisms are in place to support this.

D.23 The board must keep its effectiveness under annual review and have in place a robust self-evaluation process. 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.

D.24 The board must agree a process for evaluating the effectiveness of the board chair and the committee chairs. The evaluation of the board chair should normally be led by the vice-chair/senior independent member.

D.25 The board must ensure all board members are subject to appraisal of their performance, conducted at least annually, normally by the chair of the Board.

D.26 The performance of regional college chairs will also be evaluated by the Scottish Government, as regional college chairs are appointed by the Scottish Ministers and are personally accountable to them.

D.27 The performance of assigned, incorporated college chairs will also be evaluated by the regional strategic body, as they are appointed by the regional strategic body and are personally accountable to them.

Section E: Relationships and Collaboration

Partnership working

E.1 The board must work in partnership to secure the coherent provision of a high quality of fundable further and higher education in their localities.

E.2 The board must ensure effective consultation, local and regional planning and must follow the principles of effective collaborative working: mutual respect, trust and working towards commonly agreed outcomes.

E.3 The board must ensure effective partnership working with local and national bodies including businesses, public and third sector organisations to develop commonly agreed priorities following the principles of effective collaborative working.

E.4 The board must encourage and support effective partnership working and collaboration within and across regions to address local needs and meet national priorities and specialisms.

Openness and Transparency

E.5 The board must communicate appropriately and accessibly the work of the board and its committees to internal and external stakeholders to support effective and transparent governance.

E.6 The board, via the board secretary, must ensure all board/committee agendas, minutes, papers, policies and appropriate reports are published promptly on the body's website. Information should be redacted or withheld for publication only where necessary.

Annex

References in this Code to:

- "college" means a college funded by either the SFC or a regional strategic body
- "incorporated college" means a college with a board of management under part 1 of the Further and Higher Education (Scotland) Act 1992
- "assigned college" means a college assigned to a regional strategic body
- "Regional Board" means a regional strategic body that has no other functions. There is one Regional Board, the Regional Board in Glasgow.
- "board" mean the governing body of the college or to the regional strategic body[1]
- "body" means the organisation in question, i.e. a college or regional strategic body
- "principal" include where appropriate in the context, the chief officer or equivalent person of a regional strategic body.
- 'non-executive' means any member of a board with the exception of the principal.

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[1] In the context of the regional strategic body in the Highlands and Islands, board means either the Court of the University of the Highlands and Islands (UHI) or the UHI Further Education Regional Board, as appropriate.

Board of Management

New Provision at Dumfries and Galloway College Stranraer Campus

1   Purpose of Report

The purpose of this report is to advise the Board on potential new provision at Dumfries and Galloway College Stranraer Campus.

2   Background to Report

Recent intelligence gathered from employer engagement activities and meetings have identified that it is appropriate for the college to consider introducing Engineering programmes to the Stranraer Campus portfolio.

In addition, there may be an opportunity to support the Film Industry operating in Dumfries and Galloway, specifically in the West of the Region, by providing some short, upskilling programmes.

3   Recommendation

Members are invited to discuss the report.

Carol Turnbull
June 2016

Board of Management

1 **Engineering Provision at Dumfries and Galloway College Stranraer Campus**

Recent intelligence gathered from employer engagement has identified that it is appropriate that the college reviews its Curriculum strategy for Stranraer campus with a view to introducing some basic Engineering provision.

1.1 Background and Context

Engagement with employers in the West of the region is challenging and difficult. The business sector is fragmented and diverse with no one coherent voice available to inform college strategy and provision. There are relatively few large (and fewer high end) engineering businesses with a preponderance of small micro businesses. Many of the owners of the latter are "lifestyle" operations and thus have a different type of business driver. Often business growth is not a major driver either through lack of capacity on ownership/management or through choice.

1.2 Current Situation

Over the last year the Principal has had a number of meetings with some of the larger engineering employers in the West of the region, including Helmet Integrated Systems, Lactalis (previously Mclelland Cheese factory) Stena, P&O and other small business who have provided a strong (albeit anecdotal) evidence base to suggest that it would be appropriate to introduce a basic engineering programme at our Stranraer campus leading to apprentice, employment and further study opportunities. SRUC do not currently have a base in the West of the Region and we believe there would be demand for agricultural engineering which could also be delivered via our Stranraer campus. Discussions with the two local schools support this proposal and they have expressed a desire to introduce a Foundation Apprenticeship in Engineering in the West, involving a school(s), the College and an employer(s).

1.3 The Proposal

The proposal is to identify and equip an appropriate workshop area in the Stranraer campus to deliver (initially) a level 5 Introduction to Engineering programme, commencing August 2017. This would be offered on a full and part-time basis and would also form part of our school-college vocational pathways offering. The programme would include an energy element to it as well as general engineering skills in mechanical processes. This would support any new work we do with schools around energy and engineering and enhance transition arrangements with schools. The following year this could be developed into a National Certificate programme, which again, would link in with school arrangements in accessing a potential Foundation pathway similar to the model in Dumfries. The framework could include different energy units alongside the mechanical NC model. It is unlikely that we would attract sufficient numbers to sustain Higher National provision but learners would be offered a HNC at Dumfries which are included in the Faculty plans and we would seek partnership arrangements with Ayr College for those learners where that would be a better option.

An Employer Advisory Partnership would be established, comprising the businesses identified above and other interested parties to encourage and facilitate curriculum design, work placements and direct employment opportunities. Support would also be sought from Skills Development Scotland, Dumfries and Galloway Council and the Scottish Funding Council.

Board of Management

1.4 Risks

- <u>Market division</u> - There is a risk that introducing new provision may 'split' the market rather than create new demand. Ie learners who currently apply for motor vehicle and/or construction programmes opt for engineering instead. This could lead to programmes becoming unviable. Marketing and promotion, including highlighting job opportunities would require to be undertaken, prior to recruitment and applications across all areas would need to be closely monitored.
- <u>Activity Target</u> - The College receives an annual activity target and receives no additional funding if this is exceeded. Introducing a new programme may require a reduction in a group/programme elsewhere.
- <u>Space and Resources</u> - A suitable location is required and building work/reconfiguration of existing workshops/rooms may be required. At this point it is not known whether this could be accommodated within our existing footfall. New equipment would be required.

1.5 Costs:

Cost of equipment is estimated at approximately £120,000. However, a suitable location is required and building work/reconfiguration of existing workshops/rooms may be required. If this proposal is approved by the Board, detailed plans will be developed. As this is curriculum development, it is proposed that a funding bid would be made to the Scottish Funding Council in the first instance. If necessary, funding could also be sought from Scottish Colleges Foundation.

1.6 Summary:

Although it is recognised that there are risks, it is felt that the potential benefits to the local economy and learners (through increased choice and employment opportunities) outweigh these. There is support for this provision from employers and the two local secondary schools in that this provision is needed to support economic development and business activity in the West of our Region.

2 Film Studies

2.1 The Current Situation

Recent meetings between PalmFilm Company, Wullie Scobie (Councillor) and College staff have identified a potential market for skills and employment opportunities relating to the Film Industry. The idea of establishing a 'Green Screen Studio' near Stranraer is currently being explored and there is a proposal to shoot part of a film relating to Bonnie Prince Charlie in the area, although this has hit funding problems at the moment. However, the Film Company feel that, should a local skills base be developed, this would be attractive to film companies and would help with funding for filming and for the Green Screen proposal. Game of Thrones is filmed 'just across the water' in Ireland and there is a UK need for skilled people to work in the film industry.

2.2 The Proposal

The proposal is to identify some low cost, low risk, short courses to gauge interest but also to develop some key skills.

Board of Management

The first of these would be a 'Make Up Artistry' course aimed at current and past Beauty students. It would last approximately 6-8 weeks and be delivered by an experienced Make Up Artist. It is proposed to hold an Information Event in the Stranraer campus week beginning 20 June to highlight job opportunities in this area. College staff will also be part of the programme.

Should this be successful we would explore the proposal to offer an 'Introduction to Film Course' probably aimed at school leavers next session with an information event held in the Autumn. PalmFilm Company will use their contacts to help borrow/be given second hand equipment and Wullie Scobie has a contact in Border TV that he would ask for assistance.

Depending on the success of the Green Screen Studio Initiative and whether 'The Great Getaway' receives funding, other opportunities may arise.

2.3   Risks

- Employment Opportunities – It is not clear exactly what opportunities would be available locally but Palm Film Company stated that there is a shortage of skilled people working within the Film Industry, particularly in the areas of Make Up, Film and Sound production. They also state that film makers would be attracted to the area if they know there is a skills base already in situ. Councillor Scobie stated that he has been involved with initiatives in the past and the West of the Region does attract film companies.
- Skills – The College does not currently deliver any programmes relating to Film production and Make Up Artistry so, initially, we would be dependent on the cooperation and support of the Film Company to provide skilled staff to deliver the programmes. However, staff in Stranraer campus have said they know of people working in other colleges who would be willing to assist us if we decided this was an area we wished to develop.
- Demand – Demand for this type of provision is unknown at this stage. The short course in make- up artistry may provide us with some indication but it is difficult to ascertain this at the moment.

2.4   Costs

At this stage, these would be limited to the cost of Make Up kits and, as stated above, support in terms of donated equipment would be sought by interested parties.

2.5   Summary

This is, to a great extent, unknown territory for the College. However, it is believed that a low risk, low cost, incremental approach as outlined above would allow us to test the market without having to make a significant investment at this stage. Should the film company be successful in securing funding for the 'Great Getaway', and/or the Green Screen Studio go ahead, further possibilities will be explored.

Carol Turnbull

June 2016

Dumfries & Galloway College

Board of Management

Funding to Support the Students' Association

1. Purpose

The purpose of this report is to advise members of two sections in the revised code of good governance relating to the Quality of the Student Experience and the actions which are planned by the College to comply with these requirements.

2. The Report

The 'Student Engagement' area of Section B: Quality of the Student Experience of the revised code of good governance (currently out for consultation) has been expanded to clearly state the Boards duties in relation to the Students' Association. The code now states:

> B.1 **The board must have regard to the Framework for the Development of Strong and Effective Students Associations, including by having embedded partnership processes to work together to achieve change and regular and open communications (e.g. set out in a Partnership Agreement).**
>
> B.2 **The college board must encourage a strong and independent students' association and ensure that the students' association is adequately resourced.**

The College also received a guidance letter from the Scottish Funding Council in May 2015 advising us as follows:

> *"for a small college, with a small geographical coverage, there would be a need for one full-time student officer (or equivalent), one full-time staff member employed for the purpose of supporting and developing the association and its activities, and an operational budget to support core activities and duties. It is likely that the budget required for this would be in the region of £75,000 to £85,000."*

In setting the budget to support the Students' Association the College has considered the Scottish Funding Council letter of Guidance, a proposal submitted by the Students' Association President regarding officer posts and has also taken into account one of the main points for action identified following the recent Education Scotland Review:

> *"The college should improve class representation arrangements and support the Student Association to ensure effective learner engagement in the work and life of the college."*

The following documents are attached to this report for information:

> 9a - Scottish Funding Council Letter of 27 May 2015
> 9b - Framework for the Development of Strong and Effective College Students' Association
> 9c - Development of Strong and Effective College Students' Association Self Evaluation framework

Dumfries & Galloway College

Board of Management

The budget the College has set for the Students' Association for academic year 2016-17 is £95,544, broken down as follows:

Staffing:		**Comments**
President (full time)	£20,663	(if part-time president elected, additional payment will be offered to the executive officers to help spread the work load)
Vice President x 2 (1 day per week)	£5,376	
SA admin (Stranraer)	£4,332	
SA admin (Dumfries)	£11,082	
Learner Engagement Co-ordinator	£29,091	New post
Total cost of staffing	£70,544	(plus 2016-17 pay award pending)
Operational budget (based on 15/16)	£25,000	(budget for activities, events, conferences, travel, hospitality, marketing etc)
Overall budget	**£95,544**	

Members will note that the College is looking to introduce a new post of learner engagement co-ordinator. The exact job title, job description and person specification is still being considered. This additional resource will address the main point for action identified by Education Scotland mentioned above.

The College has asked the Students' Association to provide a list of activities planned for 2016-17 to ensure the correct level of operational budget is set. The operational budget above is based on 2015-16 activities.

3. Recommendation

Members are asked to note the contents of the report.

Board of Management

Freedom of Information Requests

1. Introduction

1.1 Members will be aware that the College is required to ensure that it complies with the Freedom of Information (Scotland) Act 2002 (FOISA). The purpose of this report is to provide reassurance that Freedom of Information requests are responded to in line with requirements of the Act. Responsibility for Freedom of Information is contained within the remit of the Vice Principal Finance and Corporate Services who oversees all incoming/outgoing correspondence.

2 The Report

2.1 All Freedom of Information requests received are checked to ensure there is no ambiguity of what is requested. Should there be any such doubt, this is checked immediately with the requester. There is an established process in place to ensure compliance with the 20 day deadline for responses is met. Responses take into account our duty under the Data Protection Act.

2.2 In the year from April 2015 until March 2016 the College received a total of 32 requests. A sample of the types of requests is attached. The main sources of these are from trades unions, 'whatdotheyknow', NUS and political parties.

2.3 The quarterly returns required by the Information Commissioner are also completed and returned within the deadlines set by the Information Commissioner's Office.

3. Recommendation

3.1 Members are asked to note the report.

Jackie Baillie MSP
MG16
Scottish Parliament
Edinburgh
EH99 1SP

Tel: 0131 348 5905
Fax: 0131 348 5986

30 September 2015

Dear Colin,

FREEDOM OF INFORMATION REQUEST

This is a freedom of information request under the Freedom of Information (Scotland) Act 2002. The information I require is as follows:

1) How many people were given severance packages by your college or its predecessor in each year since 2007/08.
2) What was the total value of severance packages issued by the college or its predecessor in each year since 2007/08.
3) How many people were given severance packages by the college but have been re-employed in this or any other college in any capacity (whether that employment is direct, fixed, temporary or consultancy) in each year since 2007/08.

Please treat each question (1-3) as a separate request.

I understand it is my right to receive the information within 20 working days. I look forward to hearing from you.

Yours sincerely

Jackie Baillie
Shadow Cabinet Secretary for Public Services and Wealth Creation

Iain Gray
Member of the Scottish Parliament for East Lothian

Dumfries and Galloway College
Bankend Road
Dumfries
DG1 4FD

PRINCIPAL'S OFFICE
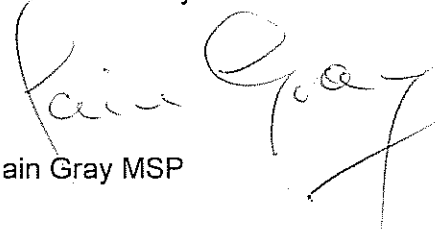
2 4 JUN 2015

19th of June 2015

Dear Carol Turnbull

I am writing to request information on the number of student places at Dumfries and Galloway College for 2015-16 and a comparison with the number of places in 2014-15.

Please provide figures for the number of places by headcount and FTE and also the number of full-time and part-time places in a table and format similar to the one provided below.

	15/16 Target Headcount	14/15 Actual Headcount	15/16 FTE	14/15 FTE
FTE				
PTFE				
FTHE				
PTHE				
Total				
FT				
PT				
Total				

Please treat this as a request under the Freedom of Information (Scotland) Act 2002, and as such, I would be very grateful for a response within 20 working days.

Yours sincerely

Iain Gray MSP

Hello, I would like to make a request for the following information:

Question 1:
(a) To date in 2015/16, and as a percentage, how much of your (i) bursary fund, (ii) childcare fund, and (iii) discretionary fund has been allocated to students?
(b) What was the final equivalent allocation in 2014/15?

Question 2:
(a) If you have allocated now, or in the previous academic year, more than 100% of your bursary funds, how and from where did this additional allocation get funded? *If it came from different sources in different years, please provide the details broken down by (i) 2014/15 and (ii) 2015/16.*

Question 3:
(a)   The number of students studying at your institution with children, with information broken down by (i) year and level of study; (ii) gender; (iii) age; (iv) whether they have disclosed a disability; and, (v) mode of study (part time or full time) in academic year 2014/15
(b)   This number as a percentage of your student population

Question 4:
(a) To date in 2015/16, and as a number, how many students have applied for (i) bursary fund, (ii) childcare fund, and (iii) discretionary fund?
(b) What was the final equivalent number of students who applied for each of the above in 2014/15?

Question 5:
(a) To date in 2014/15, and as a number, how many students have been allocated a (i) bursary, (ii) discretionary fund award, and/or (iii) a childcare fund award?
(b) What was the final equivalent numbers of students allocated each of the above in 2014/15?

Question 6:
(a) Does your college pay FE bursaries at 100% of the SFC guidance rate?
(b) If you responded No to Q8: At what percentage rate is your college paying bursaries?

Question 7:
(a) Does your college pay FE students aged 16-19 an EMA or a FE bursary?
(b) If you do pay any 16-19 year old students EMA, please provide the number of students aged 16-19 receiving (i) EMA, and (ii) FE bursary. Please provide this information broken down by year, across 2014/15 and to date in 2015/16.

Question 8:

(a) As a result of unmet demand from students and/or student support funding shortages, has your college: (i) Used discretionary funds to top up bursary funds; (ii) Ended courses earlier than planned or intended; (iii) Ceased funding students' bursaries prior to their course ending; and/or (iv) closed applications for hardship funds?

Should you require any clarifications, please do not hesitate in contacting me.

Regards, Philip

Philip Whyte
Policy and influencing manager
e. Philip.whyte@nus-scotland.org.uk
m. 07554 451 941
www.nus.org.uk
1 Papermill Wynd, McDonald Road, Edinburgh EH7 4QL

Jackie Baillie MSP
MG16
Scottish Parliament
Edinburgh
EH99 1SP

Tel: 0131 348 5905
Fax: 0131 348 5986

8 March 2016

Dear FOI Officer,

FREEDOM OF INFORMATION REQUEST

This is a freedom of information request under the Freedom of Information (Scotland) Act 2002. The information I require is as follows:

1. How many students are taking (a) Highers, (b) Intermediate 1 and (c) Intermediate 2 subjects at college in each academic year from 2007 to 2016.

I understand it is my right to receive the information within 20 working days. I look forward to hearing from you.

Yours sincerely

Jackie Baillie
Shadow Cabinet Secretary for Public Services and Wealth Creation

Dear Dumfries and Galloway College,

Under the terms of the Freedom of Information (Scotland) Act 2002, I am writing to formally request the following information for all Estates, Facilities Management (soft and hard services) within your college.

1) Which elements of these services do you self-deliver /deliver in house?

2) Which elements of these services are outsourced or sub-contracted?

3) For each of the services that are outsourced or sub contracted can you provide the following information for each contract:

a) Service type
b) Current Provider
c) Whether the provider has Living Wage Accreditation or not.
d) Current contract start and end dates, duration and extension options (if any)
e) Annual contract value

4) The number, and job titles of individuals employed by outside contractors to provide services on site at the college who are paid less than the Living Wage.

5) Whether your College has a policy to require on-site staff working for external contractors to be paid Living Wage rates as a minimum.

Please provide this information in electronic format of your choice.

Please do not hesitate to contact me should you require further clarification of the information I am requesting.

I understand that you are required to respond to my request within the 20 working days after you receive this letter.

I would be grateful if you could confirm in writing that you have received this request.

I look forward to hearing from you

Yours faithfully,

Mrs D King

Please use this email address for all replies to this request:
request-324777-52c2245e@whatdotheyknow.com

Is brownj@dumgal.ac.uk the wrong address for Freedom of Information requests to Dumfries and Galloway College? If so, please contact us using this form:
https://www.whatdotheyknow.com/change_request/new?body=dumfries_and_galloway_college

Disclaimer: This message and any reply that you make will be published on the internet. Our privacy and copyright policies:
https://www.whatdotheyknow.com/help/officers

For more detailed guidance on safely disclosing information, read the latest advice from the ICO:
https://www.whatdotheyknow.com/help/ico-guidance-for-authorities

If you find this service useful as an FOI officer, please ask your web manager to link to us from

your organisation's FOI page.

Good College Governance

The Report of the Education Secretary's Task Group

Foreword by Cabinet Secretary

Colleges make a vital contribution to this Government's commitment to improving the lives and employability of all Scotland's people. They have a unique ability to meet the needs of learners and industry, often flexing quickly and creatively to meet changing demands. That is why we continue to make such a significant financial investment in the sector and why, rightly, we take such a close interest in how they are run: quite simply, colleges matter because of the vital contribution they make to our people, economy and society.

Effective governance is fundamental in supporting colleges to improve the life chances of their students and the performance of businesses. And good corporate governance demands an unswerving focus on culture, values and people – and strong systems and processes underpinning decision-making and public accountability. This is true for all our public bodies, including colleges.

I am grateful for the time and energy numerous volunteers devote as college sector board members. I want to thank every one of them for their public service. I know from speaking to board members over the years, theirs is an increasingly demanding role. But I also know the reward they get from making a difference and how satisfying it is to be part of a sector that helps change lives.

That is why the recent examples of governance failures at a small number of colleges are so jarring; those entrusted with the proper stewardship of public funds at such vital institutions broke that trust. What happened at North Glasgow and Coatbridge colleges in 2013 and at Glasgow Clyde College last year was unacceptable. And while we should not lose sight of the fact that the specific governance failures happened before improved arrangements came into place, it would be remiss to fail to learn the lessons.

Building on the good work already in train, with my Task Group, I am absolutely determined to take concrete action for further improvement. I thank all the members of my Task Group for the experience and expertise they brought to our work. We will meet again before the end of the year to review progress. Reports such as this are all well and good but what matters is how they are implemented; that is what will make the difference.

Angela Constance MSP
Cabinet Secretary for Education and Lifelong Learning

Section 1: Executive Summary

1.1   The College Good Governance Task Group was announced by Angela Constance, the Cabinet Secretary for Education and Lifelong Learning, on 8 October 2015 in a Parliamentary Statement as part of the Government's response to governance failures at Glasgow Clyde College. We have been asked specifically to learn lessons from events at Glasgow Clyde College, North Glasgow College and Coatbridge College. Our remit also includes developing the necessary capacity and behaviour to improve governance. We have therefore sought, where appropriate, to focus on culture, behaviour and people, while recognising the importance of rigorous systems and processes.

1.2   This report focuses on areas for improvement. But we should not forget, as Audit Scotland's "**Scotland's Colleges 2015**" report acknowledges, that college sector governance has many positives.

1.3   We were invited to produce an initial assessment on the basis that further relevant evidence will become available later this year. In discharging this aspect of our remit, the Group noted the assessment of the Scottish Funding Council (SFC). The SFC judges that, overall, in most of the colleges the quality of governance is generally effective.

1.4   The lessons we learned highlight the importance of:

- boards striking a proper balance between challenge and support to the college leadership team and chair.

- basic governance arrangements, including meetings with timely minutes and agendas.

- taking decisions with sufficient information and time for consideration.

- the relationship between the chair and principal, and the role of every board member in providing checks and balances.

- the specific role of board secretary in facilitating and supporting effective governance.

1.5   We have identified four strategic themes to strengthen college governance further and to instil greater confidence in it – (1) prevention; (2) self-assessment; (3) external assurance and (4) sanctions.

1.6   We are conscious of the detail in some of our recommendations (and actions already in train) represents the established practice of many boards. However, given the recent failures at a few colleges, we do consider it is helpful to boards and individual board members that all are clear on the fundamentals.

1.7   We recommend that:

1) **better arrangements are put in place to improve board member recruitment**, including
    a) appointing bodies providing comprehensive information for prospective members
    b) Scottish Ministers consulting on whether assigned college chairs should be remunerated and whether trade union nominees should join incorporated college boards
    c) college sector boards consider the voluntary pledge to aim for 50:50 gender balance (already in train)
2) **board member development is better supported**, including
    a) Ministers mandating induction and on-going development of (a) regional chairs appointed by them (b) other board members [(b) already in train]
    b) online learning modules for board members (already in train)
3) **board member appraisal is better used to improve performance**, including:
    a) Scottish Government reviewing appraisal process for regional chairs (already in train)
    b) Mandatory appraisal of board members (already in train)
4) **better systems are put in place to ensure that all boards consistently get the basics right**, including:
    a) developing a national governance portal
    b) reviewing the Code of Good Governance to outline requirements more clearly (already in train)
5) **good governance practice is better supported and facilitated**, including:
    a) role of board secretary is enhanced and better supported to better facilitate good governance
    b) case studies of good governance
    c) guidance on the performance of principals
6) **staff governance is better implemented**, including Colleges Scotland and recognised unions are reviewing the sector's staff governance standard (already in train)
7) **board self-assessments are better used to improve performance**, including:
    a) funding bodies to meet annually with bodies to discuss their self-assessment and development plan
    b) national framework for external validation of self-assessments being developed, which colleges will undertake by Autumn 2016 (already in train)
8) **external assurance is better used to respond more promptly to emerging issues before they become problematic**, including:
    a) SFC is adopting a pro-active, risk-based, differentiated approach to assurance that the terms and conditions of its grant are being met (already in train)
    b) Ministers will review how best to ensure appropriate direct observation of board meetings
9) **more sanctions are considered so that a wider range of measures is available, if necessary**, including Ministers consulting on a range of possible new measures, such as powers to suspend, bar people from college boards who have since left boards, direct in the face of a board not governing effectively
10) **the governance health of the sector is further assessed**.

Section 2: Introduction

Background

2.1   The College Good Governance Task Group was announced by Angela Constance, the Cabinet Secretary for Education and Lifelong Learning, on 8 October 2015 in a Parliamentary Statement as part of the Government's response to governance failures at Glasgow Clyde College.

Remit

2.2   Our remit was to:

- produce an initial assessment of the overall quality and resilience of college governance

- consider

  a) the lessons that can be learned for government and the wider sector from governance difficulties, including from events at Glasgow Clyde, North Glasgow and Coatbridge colleges, taking note of relevant recommendations from the Public Audit Committee[1].

  b) good practice from within the sector and other sectors [health, voluntary, university, business and NDPB sectors; housing associations and college sectors in England, Wales and Northern Ireland].

  c) existing - and planned - college sector and Scottish Funding Council (SFC) activity to improve governance (including developing the capacity and behaviour necessary), and whether, and if so, in what ways, that might purposefully be supplemented.

- make recommendations by early 2016 on further measures to improve college governance and to instil greater confidence therein.

Importance of culture, values and people

2.3   The sector's Good Governance Code[2] makes clear that every college must be governed by an effective board that is, collectively, responsible for setting, demonstrating and upholding the values and ethos of the organisation. Moreover, the nine key principles underpinning public life in Scotland, which incorporate the seven Nolan principles, must be the basis for board decisions and behaviour: duty/public service; selflessness; integrity; objectivity; accountability & stewardship; openness; honesty; leadership and respect. These are the fundamental values we expect every board member in every college to adopt, uphold and exhibit. They also form a core part of Codes of Conduct and of Ministerial guidance on appointments[3].

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[1] We were not formed to review the findings of the Public Audit Committee (in relation to North Glasgow or Coatbridge colleges or of the Cabinet Secretary (in relation to Glasgow Clyde College).
[2] **Code of Good Governance for Scotland's Colleges** is at
http://www.scottishcollegegovernance.ac.uk/code/cogg-home
[3] http://www.gov.scot/Resource/0045/00458051.pdf

2.4   Our remit specifically includes developing the necessary capacity and behaviour to improve governance. We have therefore sought, where appropriate, to focus on culture, behaviour and people, while recognising the importance of rigorous systems and processes.

Engagement with sector

2.5   During the course of our work, our secretary consulted and engaged widely. He worked with the Good Governance Steering Group (of which, like other Task Group participants, he is a member), regional chairs, principals, student representatives, recognised trade unions, board secretaries and board members.

2.6   Further information on the Task Group, including our membership, can be found in the supporting material report[4] published alongside this main report.

New controls on colleges following Office of National Statistics (ONS) reclassification as public bodies

2.7   We have been asked specifically to learn lessons from events at Glasgow Clyde College, North Glasgow College and Coatbridge College. The failures at the latter two colleges related to shortcomings in the governance of severance; this took place in 2013. We note that from 1 April 2014, after colleges were reclassified as public bodies by ONS, additional controls applied, which mean that incorporated colleges must now obtain prior approval from SFC for severance and settlement arrangements. The new controls reduce the risk of similar events in future.

2.8   That said, we note from the Policy Note to the Glasgow Clyde College removal order[5] that one of the Cabinet Secretary's concerns was that prior written approval from SFC for the procurement of services through non-competitive action was not obtained. So regrettably the need for SFC approval may not in itself be sufficient to ensure compliance.

2.9   But this is where effective governance comes in - to ensure compliance through the appropriate checks and balances. We outline later in this report how these can be enhanced, including through a more prominent role for the board secretary

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[4] Our supporting material report can be accessed from
http://www.gov.scot/Topics/Education/UniversitiesColleges/17135/CollegeGovernance/collegegoodgovernancetaskgroup
[5] http://www.legislation.gov.uk/ssi/2015/348/pdfs/ssipn_20150348_en.pdf

Section 3: Current Assessment of College Governance

3.1   This report focuses on areas for improvement. But we should not forget, as Audit Scotland's "**Scotland's Colleges 2015**" report acknowledges, that college sector governance has many positives.

3.2   Quite properly though, following three recent high profile failures in college governance, we were asked to "produce an initial assessment of the overall quality and resilience of college governance". It was natural for us to establish if these events were isolated examples, or whether they were a sign of more systemic weakness.

Initial assessment of the overall quality and resilience of college governance

3.3   We were invited to produce an "initial" assessment on the basis that further relevant evidence will become available later this year - not least in Audit Scotland's 2016 report on the college sector due in the Autumn.

3.4   In discharging this aspect of our remit, the Group noted the assessment of the Scottish Funding Council (SFC), the national, strategic body with responsibility for colleges, regional strategic bodies (and universities). As such, SFC has a central role in advising Ministers of the overall condition of the college sector, including in relation to governance.

SFC assessment

3.5   In most instances, as a consequence of SFC funding the college or regional strategic body, SFC assesses directly whether a body is meeting the terms and conditions of its grant, including whether it is complying with the Good Governance Code. In relation to assigned colleges, SFC in part relies on information provided by the regional strategic body.

3.6   In reaching its assessment, SFC has drawn on a range of evidence:

- the financial statements, incorporating the Corporate Governance statement which describes the governance structures and processes that have been in place during the year under review;
- the external auditor's report, which covers governance matters; and
- the internal auditor's annual report which gives an opinion on the strength of internal controls.

3.7   From the information available to SFC it judges that, overall, in most of the colleges the quality of governance is generally effective. Using its new risk-based approach (see **Annex B**), SFC concludes that, currently, the majority of colleges are in the lower risk categories.

3.8   However, SFC also concludes a smaller number of colleges currently constitute a high risk, generally because of specific financial challenges. In addressing these difficulties (either directly with the college itself, or through its regional strategic body), SFC is establishing the nature of these challenges and the extent to which they are rooted in poor governance.

Further assessment

3.9   Building on SFC's *initial* assessment, we outline in section 6 that SFC will produce a *further* assessment of the health and resilience of the college sector governance based on, among other things, the reports of externally validated self-assessments. These self-

assessments will be undertaken later this year, supported by a national framework being developed by the sector's Good Governance Steering Group.

Sector action to date

3.10   Now that major structural changes are in place, the next phase of reform has rightly focused on supporting boards and their members to govern effectively, including encouraging behaviours that support constructive challenge.

3.11   The college sector itself has already embraced the need to focus on good governance. Chaired by the chair of Forth Valley College, the Good Governance Steering Group, established to develop the Good Governance Code, continues to meet to oversee its implementation. The Group is currently reviewing the Code. Beyond this, it has published a guide for college board members[6] (June 2015) and board development framework[7] (November 2015) with many more support materials to follow.

3.12   We have identified four strategic themes to strengthen college governance further and to instil greater confidence in it – (1) prevention; (2) self-assessment; (3) external assurance and (4) sanctions.

3.13   As well as framing our recommendations, we have used them to set out in **Annex A** actions already in train.

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[6] http://www.gov.scot/Topics/Education/UniversitiesColleges/17135/CollegeGovernance
[7] http://www.pldfscotland.ac.uk/download-document/6214-board-development-framework-guidance-notes

Section 4: Lessons Learned – Clyde, North Glasgow and Coatbridge Colleges

4.1   Good college governance demands structures and processes for decision-making and accountability and controls.   But it is also, fundamentally, about people and the importance of behaviours at the top of the organisation (and throughout) that exemplify and promote effective governance.   This is the backdrop to our work and the 'critical success factors' we developed to guide our considerations[8].

4.2   Good governance should always be about learning, including from what is working well – and how that could be done better; from areas of weakness and from the strengths and weaknesses of others.   And as a <u>college</u> board, good governance should always be about ensuring the best possible outcomes for learners.

4.3   It was therefore an important part of our remit to consider the lessons learned from Clyde, North Glasgow, and Coatbridge colleges drawing on the findings of the Cabinet Secretary (in relation to Glasgow Clyde) and of the Public Audit Committee (PAC) in relation to North Glasgow and Coatbridge.

4.4   The lessons we learned are set out below (further detail is in our supporting material report). They highlight the importance of:

- boards striking a proper balance between challenge and support to the college leadership team and chair.

- basic governance arrangements, including meetings with timely minutes and agendas.

- taking decisions with sufficient information and time for consideration.

- the relationship between the chair and principal, and the role of every board member in providing checks and balances.

- the specific role of board secretary in facilitating and supporting effective governance.

Glasgow Clyde College

4.5   The specific lessons we have learned from events at Glasgow Clyde College are:

a) Someone should be clearly identified as responsible for ensuring good governance and that board/committee members receive all relevant information to make a rigorous decision. To achieve this, the distinctive role of the board secretary should be enhanced complementing the separate roles of chair and principal.

b) Boards need clear guidance on early production and publication of minutes.

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[8]   Better board member capacity
- o   Recruitment
- o   Development
- o   Appraisal
- Better board capacity
  - o   Support, including from SFC/funding body and senior management
  - o   Self-assessment and board action to improve performance.
- Better pro-active external governance health-checks.

c) Boards require more awareness of
  i. schemes of delegation and of incorporated colleges' power to delegate
  ii. board member collective and individual responsibilities
  iii. their 'constitutions' and difference between legislative provision and Standing Orders[9]
  iv. sector norms in relation to Standing Orders, Schemes of Delegation and Election Rules (aspects of governance arrangement that colleges do have responsibility).

d) Boards require guidance on the unique role they have in relation to the performance of the one member of staff who was not ultimately the responsibility of the college's principal and chief executive, namely the principal themself.

4.6   The events in Clyde largely pre-dated the publication of the sector's new framework for the development of students' associations. However, the events serve to underscore its importance.

North Glasgow College

4.7   The specific lessons we have learned from events at North Glasgow College are:

a) It should be straightforward to locate all relevant guidance (also relevant to Coatbridge College).

b) Good governance is not served by college chair being chair of the Remuneration Committee.

c) There should be a person clearly responsible for ensuring good governance (also relevant to Glasgow Clyde College and Coatbridge College).

d) Board/committee members must receive all relevant information to make a rigorous decision.

e) Boards need clear guidance on early production and publication of minutes and for communication of committee discussions/decisions at following meeting of the board (also in part relevant to Glasgow Clyde College and to Coatbridge College).

f) Committees need greater support in understanding what constitutes good governance, including in ensuring there is clear written evidence to justify their decisions (also relevant to Coatbridge College).

g) The expectation on remuneration committees needs to be clearer.

h) A more a pro-active, risk based, differentiated approach to assurance that terms and conditions of grant are being met is required.

Coatbridge College

4.8   The specific lessons we have learned from events at Coatbridge College are:

a) It should be straightforward to locate all relevant guidance (also relevant to North Glasgow College).

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[9] We are aware that the Scottish Government has circulated a guide to colleges on this.

b) Board members should have more awareness of
    i.   their charity trustee duties
    ii.   their roles on the board or committee
   iii.   the role of internal and external audit.

c) There should be a person clearly responsible for ensuring good governance and that board/committee members receive all relevant information to make a rigorous decision (also relevant to Glasgow Clyde College and North Glasgow College).

d) Boards need clear guidance on early production and publication of minutes and for communication of committee discussions/decisions at following meeting of the board (also in part relevant to Glasgow Clyde College and to North Glasgow College).

e) Chairs must be clear about the scope of their powers.

f) Decisions about pay must be open and transparent, with appropriate governance oversight.

g) Principals and boards need to be better aware of the principal's role analogous to that of an accountable officer.

h) College staff should understand better the distinction between legal and audit function.

i) The sector may benefit from a more sector-wide approach to the commissioning of legal services.

j) Members of board committees should be better aware of their role and have all relevant information.

k) Committees need greater support in understanding what constitutes good governance, including in ensuring there is clear written evidence to justify their decisions (also relevant to North Glasgow College).

Section 5

Good practice within and beyond the college sector

5.1   In this section we summarise some 'interesting practice' in the college sector and beyond[10], which has informed some of our consideration of recommendations.

5.2   We want the college sector in Scotland to continue to learn from good practice that is relevant to the Scottish context. In next section we therefore recommend that the Good Governance Steering Group develop and maintain a national portal that includes good practice case studies.

Recruitment

- **College sector (Scotland)** – (a) two trade union representatives are invited to board meetings of at least one college; (b) some colleges identify candidates during open recruitment for which no immediate position and hold them in reserve for suitable vacancies.
- **College sector (Northern Ireland[11])** – Ministers appoint college chair and board members. All are remunerated.
- **Financial Reporting Council** (2011 Guidance on Board Effectiveness) – important to consider personal attributes among board candidates, including ability to listen and forge relationships.
- **Private sector (UK)** – Board Culture (Mazars, 2016) advises matters to be considered for board composition include "personal attributes to work well together" as is diversity.

Development

- **Health sector (Scotand)** – resources available for board members include *Being Effective What NHS non-executive directors need to know,* among other things it includes tips, role in relation to specific matters (e.g. accountability, culture).

Appraisal

- **Housing associations (Scotland)** – all governing body members of registered social landlords subject to annual performance reviews to assess their contribution and effectiveness.
- **College sector (Northern Ireland**) – members are subject to ongoing performance appraisal, with a formal assessment being completed by the chair at the end of each year, and before any re-appointment. The chair is appraised on an annual basis by the Department (the funding body). An unsatisfactory appraisal report may contribute to certain actions being taken, which could ultimately lead to the termination of appointment.

Board support, including from funding body and body and senior management

- **College sector (Wales)** – Governance Code provides (a) clerk (i.e. board sectary should be solely responsible to the governing body and have a direct reporting line to its chair; (b) governing body must protect their ability to carry out responsibilities, including appropriate training and development and ensuring adequate time and resources are available for the role to be undertaken effectively; (c) clerk must inform the governing

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[10] Further detail is in our supporting material report.
[11] Colleges in Northern Ireland are classified as public bodies.

believes that any proposed action would exceed its powers or involve regulatory risk or (where the clerk has other management responsibilities at the college) if there is a potential conflict of interest between clerking and management roles. Wales Assembly Government (the funding body) is developing a governance web portal for colleges

- **Health sector (Scotland)** – NHS Scotland has a staff governance standard for organisations and employees
- **College sector (Northern Ireland)** – Government Department (the funding body) attends meetings of colleges' Audit Committee.
- **University sector (Scotland)** – Governance Code - governing body information and papers to be published "quickly and fully" except when matters of confidentiality.
- **Third sector (UK)** – A principle outlined in Governance Code is "working effectively both as individuals and as a team". Boards advised to act quickly and positively to deal with any relationship strains or breakdowns, using external facilitation or mediation, where appropriate.
- **Housing Associations (Scotland)** – Scottish Housing Regulator publishes series of "Governance Matters" editions which set out good practice examples in real-life case study of a registered social landlord (anonymised) that had to deal with a serious issue.

Self-assessment and action to improve performance

- **College Sector (Wales)** - Estyn (college inspection agency) 2010 self-assessment manual for colleges includes: How Good is the work of our governors? And lists questions to be considered, including how well they understand their roles, and do they support college as a critical friend and do they hold college to account for standards and quality achieved?

External governance health-checks

- **College sector (Wales)** – Estyn (college inspection agency) 2015 guidance for the inspection of further education includes "inspectors should judge how well governing body is fulfilling its statutory obligations and takes full account of relevant legislation and guidance". They should evaluate how well governors understand their role; challenge the senior management team; set appropriate strategic direction; oversee standards and quality oversee college procedures and practices (complaints and appeals). Inspections involve examining minutes of meetings of governing body and its committee and discussions with governors.
- **College sector (Northern Ireland)** – Education and Training Inspectorate reports can include views on the governance of the college.

Sanctions

- **College sector (England)** - The FE Commissioner intervenes in FE Colleges, designated institutions and local authority maintained FE institutions, on basis of: an inadequate Ofsted inspection; failure to meet national minimum standards of performance; inadequate assessment for financial health or financial control as identified by the Skills Funding Agency. An annual report is published on lessons learned from interventions.

Section 6

Recommendations

6.1   In this section, we bring together our ten recommendations for strengthening college governance further, framed by four strategic themes:

- prevention (1-6)
- self-assessment (7)
- external assurance (8); and
- sanctions (9)[12].

6.2   We recommend that:

1) better arrangements are put in place to improve board member recruitment
2) board member development is better supported
3) board member appraisal is better used to improve performance
4) better systems are put in place to ensure that all boards consistently get the basics right
5) good governance practice is better supported and facilitated
6) staff governance is better implemented
7) board self-assessments are better used to improve performance
8) external assurance is better used to respond more promptly to emerging issues before they become problematic
9) more sanctions are considered so that a wider range of measures is available, if necessary
10) the governance health of the sector is further assessed.

6.3   These recommendations should be considered alongside the considerable activity that is already taking place, set out in **Annex A**.

6.4   As indicated below, some of our detailed recommendations have already been agreed.

6.5   We are conscious of the detail in some of our recommendations (and actions already in train) represents the established practice of many boards. The **Code of Good Governance for Scotland's Colleges** is commendably short, but in so doing it does not include the same level of specificity as some other codes. However, given the recent failures at a few colleges, we do consider it is helpful to boards and individual board members that all are clear on the fundamentals.

6.6   We will meet again as a group before the end of the year to review progress on new and existing activity.

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[12] Our tenth is on further assessing the governance health of the sector.

Our ten recommendations in detail

6.7   We recommend that:

1) better arrangements are put in place to improve board member recruitment

a) **Appointing bodies** should
   i)   provide comprehensive information for prospective board members with:
       i.   a realistic indication of time commitment, i.e. preparation and attendance at board and committee meetings, as well as development and other activities
       ii.   what it is like to serve on a college board, the expectations on them, including in relation to behaviours, and the personal development and satisfaction they might expect to derive
       iii. link to new governance portal to get full sense of role.
   ii)   advertise all board vacancies on CDN website (this may encourage more from college sector to consider applying).

b) **Scottish Ministers** will consult on:
   i)   whether assigned college chairs should be remunerated
   ii)   whether trade union nominees should join incorporated college boards and the future of elected staff members
   iii) amending appointments guidance to make provision for highly regarded candidates for which there is no immediate position and to encourage the recruitment of board members with demonstrable ability to work well as a team.

c) **GGSG** will advise the Scottish Ministers on updating the national framework for travel and subsistence for college board members.

2) board member development is better supported

a) **Scottish Ministers** will incorporate in terms and conditions of appointment mandatory induction and on-going development of regional chairs appointed by Ministers.

b) **CDN** will:

   i)   work closely with SFC on identifying training needs for board members, including by SFC copying CDN all relevant sector communications
   ii)   ensure governance training for all board members includes boards' role to nurture, mentor and support student board members
   iii) review governance training for principals and other senior managers, including to support principals in their 'accountable officer' roles
   iv)   incorporate audit in the training for principals and senior managers
   v)   advise college staff of different functions of legal and audit professionals
   vi)   seek to work with relevant bodies on the delivery of training for board members. These could include National Union of Students Scotland, sparqs, recognised trade unions, Office of the Scottish Charity Regulator (OSCR), Audit Scotland, the Standards Commission for Scotland, Ethical Standards Commissioner for Scotland, SFC and Scottish Government.   (Some of this is already happening.)

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3) board member appraisal is better used to improve performance

a) Direct board observations should inform chair appraisals – see 8(b).

4) better systems are put in place to ensure that all boards consistently get the basics right

a) **CDN** will develop and maintain a national governance portal that includes:

   i) links to Financial Memorandums, guides and guidance, including to relevant OSCR publications
   ii) examples of excellent minutes and board/committee papers of various types
   iii) good practice case studies
   iv) jargon-busting' material for new board members unfamiliar with the sector
   v) where to go for further advice on particular matters.

b) **SFC and regional strategic bodies** must ensure their Financial Memorandums list all extant guidance.

c) **GGSG** should review the Code to make clear:

   i) boards must ensure college staff report relevant financial matters to them
   ii) Audit Committees promptly pursue recommendations arising from external audit reports and that Audit Committees monitor their implementation.

5) good governance practice is better supported and facilitated

a) **College Development Network (CDN)** will

   i) develop:

      i. a structured training programme for board secretaries, which includes mandatory units both in terms of initial development of skills, knowledge and behaviours and in relation to continuous professional development.
      ii. specific resources for board secretaries to enable them to carry out their role effectively
      iii. opportunities for board secretaries to network not only with each other but with others carrying out a similar role in different sectors.

   ii) consider whether a bespoke qualification/module should be developed or whether existing qualifications could be utilised to support board secretary development
   iii) remind colleges to appoint a non-executive board member as a senior independent member
   iv) review scope for a more sector-wide approach to the commissioning of some legal advice, where issues are similar across a number of colleges, to inform (but not replace) consideration by individual colleges

b) **SFC, regional strategic bodies and the Scottish Government** must send correspondence relevant to the governance of a college to the chair, principal and board secretary, recognising the distinction between governance and operational is not always clear-cut, so erring when in doubt on copying them in.

c) **GGSG** will:

    i) develop and disseminate a checklist of early warning indicators for board members (see **Annex G** of our supporting material report for our initial draft)

    ii) produce case studies of good governance drawn from reports of externally validated self-assessments

    iii) develop guidance for incorporated colleges on the performance of principals, including in relation to any suspension or disciplinary action and require compliance with it

    iv) consider whether changes are required to principals' contracts to emphasise their role analogous to that of an accountable officer.

6) staff governance is better implemented

a) **GGSG** will incorporate within a revised Code key elements of a revised Staff Governance Standard.

7) board self-assessments are better used to improve performance

a) **Funding bodies** should meet at least annually with their funded bodies to discuss their self-assessment and development plan to identify what support they require (this may include peer support). Funding bodies should seek to adopt a consistent approach.

b) **SFC** will send regional college/Regional Board self-assessments and board development plans to Scottish Ministers to inform regional chair appraisals.

8) external assurance is better used to respond more promptly to emerging issues before they become problematic

a) **Regional strategic bodies** must adopt a pro-active, risk-based, differentiated approach to assurance that the terms and conditions of its grant are being met for the colleges they fund.

b) **Scottish Ministers** will review how best to ensure appropriate direct observation of board meetings. The purpose of the observations would be to provide early warning of governance problems and involve assessing, among other things, the extent to which board members

    i) provide constructive challenge – get the balance right between challenge and support

    ii) focus on the right things - strategic oversight and not operational detail

    iii) exhibit the right behaviours conducive to working collectively to carry out their governance role (including chair not over-dominant or acting in an executive role).

This may involve the piloting of new approaches.

Direct board observations should inform (a) institutions' self-assessments; (b) SFC/RSB risk assessments; and (c) chair appraisals.

c) **SFC and OSCR** in reviewing their Memorandum of Understanding for the sharing of information, should extend it to include regional strategic bodies, given their role in funding and monitoring colleges.

9) more sanctions are considered so that a wider range of measures is available, if necessary

Scottish Ministers will

a) consult on:

  i) Ministerial powers
     i. to suspend any or all board members (except the principal) when considering a removal order
     ii. bar people from college boards, even if they have since left the board
     iii. to direct colleges in the face of a board not governing appropriately.
  ii) requiring co-operation of assigned colleges in SFC reviews. Meantime, this should be given effect through the Financial Memorandum mechanisms.
  iii) SFC's powers to attend and address meetings in failing to meet criteria to be publicly funded.
  iv) SFC and regional strategic body powers to attend and address meetings relevant committee meetings.
  v) extending the powers of the Auditor General for Scotland to conduct economy, efficiency and effectiveness examinations so that all publicly funded colleges can be subject to such examinations.
  vi) clarifying that the powers of an appointing body's powers includes a power to suspend, in line with other appointments.

b) review whether existing powers to require information are sufficient.

10) the governance health of the sector is further assessed

a) **SFC** will produce a further assessment of the health and resilience of the college sector governance based on, among other things, the reports of externally validated self-assessments when available.

GLOSSARY OF TERMS

Appointing bodies	Scottish Funding Council and regional strategic bodies
CDN	College Development Network
Code/ Good Governance Code	Good Governance Code for Scotland's Colleges
EIS	Educational Institute of Scotland
GGSG	Good Governance Steering Group
NDPB	Non-Deparmental Public Body
NUS	National Union of Students
ONS	Office of National Statistics
OSCR	Office of the Scottish Charity Regulator
PAC	Public Audit Committee
SFC	Scottish Funding Council

ANNEX A

SECTOR ACTIONS ALREADY IN TRAIN

1) better arrangements are put in place to improve board member recruitment

a) **College sector boards** are considering the voluntary pledge to aim for 50:50 gender balance.

2) board member development is better supported

a) **GGSG** is

   i)   incorporating in model terms and conditions of appointment mandatory induction and on-going development of board members
   ii) developing online learning modules for board members, including those sitting on Audit and Remuneration Committees
   iii) reviewing the Code to ensure new college committee members receive a committee induction pack and have their specific training needs assessed and met.

b) **College Development Network (CDN)** is holding
   i)   an annual national conference for all board members
   ii) new mandatory national induction seminars.

3) board member appraisal is better used to improve performance

a) **Scottish Government** is reviewing the appraisal process for regional chairs appointed by Ministers.

b) **GGSG** is incorporating in model terms and conditions of appointment mandatory appraisal at least annually

4) better systems are put in place to ensure that all boards consistently get the basics right

GGSG is

a) reviewing the Code to make clear:

   i)   the prompt production, dissemination and publication of board/committee minutes and papers
   ii) committees promptly informing their board of their discussions/decisions.
   iii) all board/committee meetings must have well-structured agendas
   iv) boards/committees must retain key documents which help justify decisions made
   v)   a college board chair cannot be the chair of the Remuneration Committee
   vi) expectations on the Remuneration Committee
   vii) each board committee must have a designated manager and the expectations on those managers are clearly laid out

viii) colleges must have regard to the framework for the development of students' associations[13], including by having embedded partnership processes to work together to achieve change and regular and open communications (e.g. set out in a Partnership Agreement)

ix) no individual board member (other than the chair) can be delegated functions

x) chairs have no authority to act outwith their powers

b) developing model

i) Standing orders
ii) Scheme of delegation
iii) Model terms and conditions of appointment
iv) Election rules for staff members[14].

5) good governance practice is better supported and facilitated

GGSG is reviewing the Code to ensure:

a) The distinctive board secretary role includes:
   i) facilitating good governance and advising board members on:
      1. the proper exercise of their powers, including in relation to relevant legislation
      2. the board's compliance with its Financial Memorandum, the Good Governance Code, its Standing Orders and Scheme of Delegation
      3. their behaviour and conduct in relation to the college's Code of Conduct.
   ii) providing clear advice to the chair and the board/committee on any concerns they may have that board members have not been given:
      1. sufficient information
      2. information in an appropriate form
      3. sufficient time to make an informed and rigorous decision in an open and transparent way.

b) It includes provision in relation to a board secretary's potential or real conflicts of interest, and the meaning of the distinctive nature of the board secretary role: the Board Secretary may be a member of the senior management team in their board secretary capacity, but they cannot hold any other senior management team position at the same time; and that they report to the chair direct in their role as board secretary.

c) The board secretary attends and provides support to every board meeting and every meeting of every board committee. Where the board secretary is unable to attend, while the board secretary retains overall responsibility, proper arrangements must be made to cover the role with a person who is fully able to discharge the role effectively.

d) The board secretary must report any unresolved concerns about the governance of the body to the relevant funding body (i.e. the SFC or the regional strategic

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[13] http://www.saframework.co.uk/

[14] These will give colleges a better understanding, so that any decisions to depart from sector norms (which may be warranted in particular circumstances) are taken in the full knowledge of them.

body[15]). Such a requirement would be in addition to the obligation on a college in the Code to report immediately any inconsistency with the Code.

e) The board secretary (or substitute) has an unambiguous right to speak at board and committee meetings to convey any concerns they may have about governance.

f) The board itself must appoint its board secretary who should have a direct reporting link to the chair for board business.

g) Board secretaries have suitable skills, knowledge and behaviours to carry out this important, enhanced role effectively. In particular, Board secretaries receive appropriate induction.   Board secretaries new to the role should be mentored by a more experienced college board secretary for at least their first year.

h) Board secretaries have adequate time and resources available to undertake their role effectively.

6) staff governance is better implemented

a) **Colleges Scotland and recognised unions** are reviewing the sector's Staff Governance Standard
b) **National Joint Negotiating Committee** is deciding which staff are in scope of the national collective bargaining agreements, ensuring that college sector pay is dealt with in an open, transparent and equitable manner.

7) board self-assessments are better used to improve performance

GGSG is

a) developing a national framework for the external validation of self-assessment reviews, which colleges will undertake by Autumn 2016.

b) developing a national framework for annual self-assessments (which will be based on the next version of the Code).

c) reviewing the Code to make clear

   i) externally validated self-assessments must take place at least every 3 years[16]
   ii) that colleges and regional strategic bodies must send
      i. their self-assessments (include externally facilitated assessments)
      ii. board development plans (including progress on previous year plan)
   to their funding body and publish them online.

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[15] The regional strategic body must in turn advise the SFC of this.
[16] At present the Code provides for them every 3 – 5 years.

8) external assurance is better used to respond more promptly to emerging issues before they become problematic

SFC is

a) adopting a pro-active, risk-based, differentiated approach to assurance that the terms and conditions of its grant are being met (see **Annex B**).

b) bringing wider performance and quality issues within its new assurance framework for financial sustainability and governance.

ANNEX B

SCOTTISH FUNDING COUNCIL NEW MORE PROACTIVE, RISK BASED, DIFFERENTIATED APPROACH

1.   Taking account of recent advice, and the Public Audit Committee's report, the Scottish Funding Council (SFC) is developing a pro-active, risk-based, differentiated approach to assurance. This will enable SFC to take timely and appropriate action, based on a robust assessment of risk. It places a heavy emphasis on prevention – and therefore proactivity is paramount to prevent situations deteriorating and risk escalating.

2.   In practice, this will mean SFC liaising as appropriate with the Scottish Government, Education Scotland and Audit Scotland, to collate and analyse a wide range of information and 'softer' intelligence - including the most up-to-date financial, procedural, governance, performance and quality issues in relation to a college. It will use this comprehensive body of evidence – including 'real time' data – to monitor change and proactively manage risk. This will allow SFC to target its resources and tailor responses efficiently and effectively.

Risk categorisation

3.   SFC will categorise risks and take action as follows:

- High risk bodies – '**red**' – **Those where SFC has a concern of potential serious or critical financial and/or governance issues**. SFC will conduct a full review of governance/financial documentation including minutes of board and committee minutes, interviews with key individuals (including with students' associations representatives and recognised trades unions, as appropriate), and observation of board meetings with a view to developing an action plan to put things right or take other appropriate action.

- Medium risk bodies – '**amber**' – **Those where SFC has a concern that there are financial and/or governance issues that need to be addressed**. In this instance, SFC will use some of the actions for red' bodies, as appropriate, with a lighter touch in satisfactory areas.

- Low risk – '**green**' – Those where SFC has no significant concerns. Here, SFC is likely to rely on a college's self-assessment.

4.   SFC's approach continues to be to try to prevent serious difficulties from the outset – by persuading, informing and influencing before crucial decisions or events. Necessarily, this 'prevention' stage needs to be carefully handled, with much of the interaction undertaken in private or with key board or senior executive colleagues. If these attempts are not successful then SFC escalates its approach to more formal action.

5.   To ensure SFC has a full overview of governance across the sector, including in relation to colleges funded by regional strategic bodies (RSBs), RSBs are required to inform the SFC of any breaches by assigned colleges of the terms of the regional Financial Memorandum (and Code of Governance). We note though that responsibility for ensuring compliance with the terms and conditions of grant rests with the body making that grant (i.e. the RSB for colleges it funds).

6.   Under the new approach, when SFC is concerned about a college or regional strategic body, it informs the body of its concerns. Depending on the circumstances SFC contacts either or all of: the chair of the Board; the whole Board; the Principal; and the

regional strategic body[17]. SFC then works with the college/regional strategic body to improve matters. If SFC met with an unwillingness to cooperate then it would escalate matters, as appropriate.

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[17] Either because the regional strategic body itself has been assessed as high risk or because one of its assigned colleges has.