

**Remuneration Committee Meeting** 1.00 pm

**Handover of Chair** 2.00 pm

**Presentation Vision 2020: John Burt**

## **AGENDA**

### **Standing Items**

- 1 Apologies for Absence
- 2 Declaration of Interest
- 3 Minute of Meeting of 20 January 2014 (attached)
- 4 Matters Arising
  - 4.1 Item 12.1 Retention Monies (verbal update)
  - 4.2 Item 15 Dumfries Learning Town (verbal update)
- 5 Governance Issues
  - 5.1 Appointment of Regional Chairs (report attached)
  - 5.2 Revised Scheme of Delegation (report attached)
  - 5.3 Revised Committee Terms of References and Membership (report attached)
  - 5.4 Draft Calendar of Board Meetings 2014-15 (attached)
- 6 Chair's Update
- 7 Principal's Update (attached)
- 8 Key Indicator Report (attached)
- 9 Strategic Risk Register (attached)
- 10 Transfer of College Reserves (attached)
- 11 Institutional Sustainability (attached)

### **College Outcome Agreement**

- 12 Regional Outcome Agreement 2014-15 (verbal update)

### **Committee Minutes**

- 13 Audit Committee - 11 March 2014 (attached)
- 14 Matters Arising
- 15 Quality and Curriculum Committee - 11 March 2014 (attached)
- 16 Matters Arising
- 17 Finance and General Purposes Committee - 17 March 2014 (attached)
- 18 Matters Arising
- 19 Nominations Committee - 3 April 2014 (attached)
- 20 Matters Arising

### **Business**

- 21 Employer Skills Forums (verbal update)
- 22 Any Other Business
- 23 Date and Time of Next Meeting

### **Restricted Session**

- 24 Any Restricted Business

## Board of Management

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**Minute of Meeting of the Board of Management of Dumfries and Galloway College held on Monday 28 April 2014 from 2.00 pm in Room 2089, Dumfries campus.**

**Present:**

S Burgess	J Goldie	R Gunnell
J Henderson	K Henry	D Holland
T Hydes	B Johnstone (Chair)	
R Maloney	S Martin	C Turnbull

**In Attendance:**

- I Beach, Assistant Principal, Quality and Estates
- J Brown, Assistant Principal, Learner Services and Secretary to Board
- H Pedley, Director of Human Resources
- A Wright, Assistant Principal, Curriculum
- S Sutherland, PA to the Principal

- **Handover of Chair**

Professor Russel Griggs confirmed his retiral from the Board and handed over to the new Regional Chair for Dumfries and Galloway, Brian Johnstone.

- **Vision 2020**

John Burt, Director of the SFC Further Education Development Directorate (FEDD) presented to the Board on the Vision 2020 Summary Report, key recommendations and suggested next steps. Members noted the progress to date, and the participation and ownership of the staff in the process.

The Board approved the revised Vision 2020 statement and welcomed the opportunity to be involved in the next phase which would be the formation of focus groups on each of the strategic outcomes. Members agreed to identify any areas of particular interest.

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**1 Apologies for Absence**

Apologies for absence were intimated on behalf of H Carr, A Hannah, K MacGillivray-Fallis and A Nyondo.

**2 Declaration of Interest**

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

**3 Minute of Previous Meeting**

The Minute of meeting of the Board of Management of Dumfries and Galloway College, held on 20 January 2014 was approved.

**4 Matters Arising**

**4.1 Item 4.1 Retention Monies**

The Assistant Principal, Quality and Estates reported that he had received no further communication from Miller Construction since his letter to them of 7 February regarding retention monies, and seeking clarification in respect of the process for rectifying latent defects. The APQE added that Millers had only handed over the Operation and Maintenance Manual in March 2014, and there had been no technical handover with Estates staff as had been the original agreement.

The APQE also reported on two worrying latent defects which had recently come to light: the continuous flooding of a ground-floor classroom and an incident where a panel of glass had fallen from the front balustrade of the building. The Principal reported that in view of this, the College had commissioned a full building survey, to be funded from retention monies, in order to inform an ongoing preventative maintenance plan.

The Board expressed their concern and it was agreed that if a response was not forthcoming from Miller Construction by the end of that week, the APQE would seek legal advice on how best to proceed.

#### **4.2 Item 4.2 Dumfries Learning Town**

The Chair reported on various meetings which had taken place involving himself and the Principal, and a position statement which the College had sent to the Council making a case for the Learning Hub to be sited on the Crichton campus, but confirming the College's commitment to supporting the project whatever site option was chosen.

The Director of Education reported on significant and rapid progress to date. The Council Policy and Resources Committee had committed £100M to the project which would transform Dumfries education opportunities. He reported that the first phase would be to establish the Hub and a new build to replace Maxwelltown High school, and refurbishment of St Joseph's College by 2017. The second phase would be to rebuild Dumfries High School and refurbish Dumfries Academy.

All partners had been involved in the ongoing site appraisal group, and two favourite options were emerging, the Crichton Campus or a site at King George V park, and that the focus of the Hub would be additionality and not duplication of existing services. A suggestion had just emerged that potentially the Hub could be located on both sites.

The Board discussed the exciting nature of the project, but confirmed its position that location of the learning hub on the Crichton offered a unique opportunity for the people of Dumfries, which was also the position of the Scottish Government.

## **STANDING ITEMS**

### **5 Governance Issues**

#### **5.1 Appointment of Regional Chairs**

Members noted the report which had been issued on the Ministerial appointment of 12 regional chairs in Scotland.

#### **5.2 Revised Scheme of Delegation**

The Secretary to the Board spoke to the report which had been issued. She advised that on 3 March 2014 the Board of Management of Dumfries and Galloway was designated as a Regional College, under the Designation of Regional Colleges (Scotland) Order 2014 to amend Schedule 2 of the Further and Higher Education (Scotland) Act 1992 and Sections 23A to 23D of the Further and Higher Education (Scotland) Act 2005.

The Scheme specified the functions which were delegated to Boards of Management in terms of the Act to be exercised within the terms set out by the Financial Memorandum which applied to Scotland's Colleges.

As a result, the Secretary had reviewed the Scheme of Delegation for Members' consideration, with a caveat that the document reflected the position to date as further guidance was expected on the

Code of Governance, and as a result of a current consultation exercise on the appointment of Board Members.

The Board discussed the internal appointment of the Secretary to the Board and confirmed that the decision was based on continuity and added value.

Following discussion the Board approved the revised Scheme of Delegation, subject to the caveat mentioned, and agreed that an Internal Audit of the new arrangements would be carried out in a year's time to review the situation.

### **5.3 Revised Committee Terms of Reference and Membership**

As a result of the Governance changes as discussed in Item 5.2, the existing Standing Orders also need to be revised. The Secretary had issued suggested changes which were discussed and approved, and would now be reflected in the Standing Orders.

## **6 Chairs Update**

The Chair reported on his recent appointment, the establishment of the Regional Chairs Group, and membership of the Board of Colleges Scotland. The first meeting of the Regional Chairs Group had confirmed a focus on engagement with employers and ensuring that the sector was involved in decisions affecting local economies.

## **7 Principal's Update**

Members noted the report which had been issued. The Principal advised that since it was written she had met with the Director of Further Education for SRUC when closer working with Barony College had been agreed, particularly in the areas of engineering, food technology/enterprise and STEM (Science, Technology, Engineering and Maths). She suggested to the Board that the STEM development may be an ideal focus for the new Learning Hub.

## **8 Key Indicator Report**

The Assistant Principal, Learner Services (APLS) spoke to the report which had been issued.

Members noted the report.

## **9 Strategic Risk Register**

The APLS tabled an updated version of the SRR, including the potential health and safety risk following the recent incident involving the external balustrades and noting the commission of a full building survey, as discussed earlier in the meeting under Item 4.1.

Members noted and approved the SRR.

## **10 Transfer of College Reserves**

The APLS spoke to the report which had been issued on the transfer of College reserves to the Scottish Colleges Foundation. Members noted the position and that a grant application had been submitted to the Foundation requesting £2M for the hospitality development, to be considered at the next meeting of the Foundation on 9 May 2014.

## **11 Institutional Sustainability**

The Board noted and approved the suggested changes to the IS table for the College, as issued.

## **12 Regional Outcome Agreement**

The Principal reported that the College had received the Offer of Grant for 2014/15 in line with projections, and as a result she and the Chair would sign off the Regional Outcome Agreement and submit to SFC.

## Committee Minutes

### **13 Minute of Audit Committee – 11 March 2014**

The Board noted and approved the minute of Audit Committee held on 11 March 2014.

### **14 Matters Arising**

None

### **15 Minute of Quality and Curriculum Committee – 11 March 2014**

The Board noted and approved the minute of the Quality and Curriculum Committee held on 11 March 2014

### **16 Matters Arising**

None

### **17 Minute of Finance and General Purposes Committee – 17 March 2014**

The Board noted and approved the minute of the Finance and General Purposes Committee held on 17 March 2014.

### **18 Matters Arising**

None

### **19 Minute of Nominations Committee – 3 April 2014**

The Board noted and approved the minute of Nominations Committee held on 3 April 2014.

### **20 Matters Arising**

#### **20.1 Recruitment of Board Members**

The Secretary to the Board highlighted that, under new governance arrangements, all ordinary board members who wish to serve on the board after 2<sup>nd</sup> March 2015, must apply through one of the two recruitment processes planned to take place in May and December 2014. Advertisements would be placed in the local press, and on the Public Appointments Website.

## BUSINESS

### **21 Employer Skills Forum**

The Principal advised that the College was looking to widen its engagement with employers and that a draft remit for Employer Skills Forum would be issued for discussion at the June meeting of the Board. She asked Members to indicate any particular interest or to advise of any businesses who they felt should be involved.

### **22 Date and Time of Next Meeting**

The next meeting of the Board would take place at 2.00 pm on 16 June 2014.

**Remuneration Committee Meeting** 1.00 pm

**Handover of Chair** 2.00 pm

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## BUSINESS

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### **22 Date and Time of Next Meeting**

The next meeting of the Board would take place at 2.00 pm on 16 June 2014.

## Board of Management

### APPOINTMENT OF REGIONAL CHAIRS

#### 1. Purpose

The purpose of this report is to inform members of the Ministerial appointment of regional chairs.

#### 2. The Report

The Ministerial appointment of twelve regional chairs, including of the ten regional colleges was announced in a recent news release. The Chairs are:

Aberdeen and Aberdeenshire - Ken Milroy  
Ayrshire - Willie Mackie  
Borders - Anthony Jakimciw  
Central - Hugh Hall  
Dumfries and Galloway - Brian Johnstone  
Edinburgh - Ian McKay  
Fife - Stephen Magee  
Glasgow - Henry McLeish  
Lanarkshire - Linda McTavish  
West - Keith McKellar  
West Lothian - Janie McCusker

An interim appointment was made in the Dundee and Angus region, pending the outcome of a further public appointment round. There was no appointment in the Highlands and islands college region as this is not a Ministerial appointment.

Regional college chair appointments are subject to standard terms and conditions of appointment. These include the following remuneration rates.

Region	Daily rate (7.5 hours)	First financial year		Subsequent years	
		Maximum Days	Maximum total fee	Maximum Days	Maximum total fee
Borders Central Dumfries and Galloway West Lothian	£200	104	£20,800	78	£15,600
Aberdeen and Aberdeenshire Ayrshire Fife Lanarkshire Tayside West	265	104	£27,560	78	£20,670
Edinburgh Glasgow	330	104	£34,320	78	£25,740

Formal letters of appointment have yet to issue in relation to Glasgow and Lanarkshire as the regional arrangements are not yet in place.

#### 6. Recommendation

The Board is asked to note the report.

Jannette Brown  
Clerk to the Board  
April 2014

## Board of Management

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### Scheme of Delegation

#### 1 Introduction

On the 3rd March 2014, the Board of Management of Dumfries and Galloway College was designated as a Regional College. This designation was achieved by the Designation of Regional Colleges (Scotland) Order 2014. Section 6(1) of the Post-16 Education (Scotland) Act 2013, which makes new provision for the composition of college boards of management by amending Schedule 2 to Further and Higher Education (Scotland) Act 1992 and Sections 23A to 23D of the Further and Higher Education (Scotland) Act 2005.

This scheme specifies the functions which are delegated by the Board of Management in terms of Section 12 (4) of the Further and Higher Education (Scotland) Act 1992, the Further and Higher Education (Scotland) Act 2005 and the Post-16 Education (Scotland) Act 2013 will also be exercised within the terms set out by the Financial Memorandum which currently applies to Scotland's Colleges.

All delegations must be exercised in accordance with the law and having regard to any lawful direction and or guidance subsequently issued by Scottish Ministers or the Scottish Funding Council.

The delegations are dealt with in four main sections:

Section 5 – Delegations to the Chair of the Board of Management

Section 6 – Delegations to the Committees of the Board of Management

Section 7 – Delegations to the Principal and Chief Executive

Section 8 – Delegations to the Secretary of the Board of Management

#### 2 Compliance

Compliance with the terms of the Scheme of Delegation is mandatory upon delegates. Breaches may lead to withdrawal of delegations and/or imposition of sanctions.

#### 3 Review

The Scheme of Delegation shall be revised at least every three years. This shall not preclude a review being conducted before such time, should it be considered necessary by the Board of Management, or to bring the Scheme of Delegation into line with changes in legislation, regulation, or official direction or guidance.

#### 4 Authority reserved to the Board of Management

The following are reserved to the Board of Management and are, in such circumstances, excluded from any scheme of delegation:

## Board of Management

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- 4.1 determination of the mission, vision and key objectives of the Board of Management and the College;
- 4.2 final approval of the College Strategic Plan;
- 4.3 final approval of the Regional Outcome Agreement;
- 4.4 final approval of the College budget for revenue and capital expenditure and financial forecasts;
- 4.5 final approval of the year end accounts and financial statements;
- 4.6 approval of the Annual Audit Report;
- 4.7 approval of the Annual Report on Institutional-led Self Evaluation;
- 4.8 borrowing money (other than overdraft facilities arranged within the College's Financial Regulations) and, in connection with such borrowing, granting securities or giving guarantees or indemnities. Any such borrowing, and the granting of securities, guarantees or indemnities must comply with Section 12.7(a) of the Further and Higher Education (Scotland) Act 1992, the Further and Higher Education (Scotland) Act 2005 and the Post-16 Education (Scotland) Act 2013;
- 4.9 acquisition and disposal of heritable property in terms of any direction by Scottish Ministers or the SFC;
- 4.10 recruitment of Board members;
- 4.11 removal of Board members from office prior to the termination of their period of appointment;
- 4.12 appointment of Board Members to Standing Committees, the appointment of Standing Committee Chairs, and the co-option of additional members to Standing Committees;
- 4.13 appointment and dismissal of the Principal and Chief Executive and of the Secretary to the Board;
- 4.14 appointment and dismissal of the Board Secretary;
- 4.15 the making, amendment and revocation of the College's Articles of Governance (including Standing Orders, Financial Regulations, Standing Committee Terms of Reference, and this Scheme of Delegation);
- 4.16 establishment and winding-up of any subsidiary company of the College, and the College's membership of any company;
- 4.17 establishment of any Arm's Length Trust to support the charitable aims of the College; and
- 4.18 financial expenditure in excess of delegated limits as set out in the College's Financial Regulations.

The Principal and Chief Executive is responsible for the operational management of the College subject to strategic direction by the Board.

## Board of Management

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### 5 Delegations to the Chair of the Board

The Chair of the Board is a Ministerial appointment.

The Chair is the main point of contact on the Board for the College Principal and with the Principal will often represent the College in the public domain and respond on matters of media interest.

The Chair of the Board of Management is authorised:

- 5.1 in emergency situations, in the absence of the Principal and Chief Executive and his/her designated deputy, to take such measures as may be required to enable the College to carry on its business. The Chair shall report such instances to the appropriate committee(s) or to the Board as soon as possible thereafter, on any items for which approval of the committee or the Board would normally be necessary (In the Principal and Chief Executive's absence the deputising Assistant Principal will normally be responsible for the operational management of the College);
- 5.2 following approval by the Board of Management, to sign and date the College Annual Report and Financial Statements prior to their submission to the SFC;
- 5.3 following approval by the Board of Management, to sign the College Regional Outcome Agreement prior to submission to the SFC;
- 5.4 following approval by the Board of Management, to sign the College Annual Report Institutional-led Self Evaluation prior to submission to the SFC;
- 5.5 to sign all deeds and other documentation binding the Board of Management for all purposes to which Schedule 2, paragraph 20 of the 1992 Act applies, when approved to do so. The Board of Management will be notified of all deeds and other documents signed by the Chair at their next meeting.
- 5.6 to conduct the Principal and Chief Executive's annual performance appraisal
- 5.7 to initiate any disciplinary action against the Principal and Chief
- 5.8 to conduct annual appraisal review with Board members
- 5.9 attend all meetings of Committees of the Board of Management as an ex officio member (except those of the Audit Committee);
- 5.10 to represent the Board of Management on appropriate external committees

### 6 Delegations to Committees of the Board of Management

There is delegated to each Standing Committee of the Board of Management:

1. the exercise of all the functions and duties of that Committee as set out in its terms of reference as agreed and amended from time to time by the Board of Management;
2. the exercise of any special delegations to that Committee as set out in any Minute of the Board of Management; and
3. the review of matters of policy related to the work of that Committee.

## Board of Management

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Each Committee may exercise and perform on behalf of, and in the name of the Board all of the authority, powers and duties of the Board in relation to the functions so delegated.

The Chair of each Committee is authorised to sign approved minutes of that Committee on behalf of the Board of Management.

The Standing Committees of the Board of Management are:

- Audit Committee
- Remuneration Committee
- Financial and General Purposes Committee
- Human Resources Committee
- Learning and Teaching Committee
- Nominations Committee

### 7 Delegations to the Principal and Chief Executive

The Principal and Chief Executive is appointed by the Board and on appointment, becomes a member of the Board. Their salary is determined by the Remuneration Committee of the Board of Management.

The Principal and Chief Executive is responsible for the operational management of the College subject to strategic direction by the Board.

It is also the duty of the Principal to manage the College's resources and s/he has ultimate responsibility for staffing matters. With regard to College staff, the Principal requires to lead, appoint, assign, grade, appraise, suspend, discuss and determine pay and conditions of staff.

Save where otherwise provided, on occasion of the absence of the Principal from the College for more than 20 working days, or during approved leave, any power delegated to the Principal under this Scheme of delegation shall automatically transfer to the Designated Deputising Principal

The functions listed here are delegated to the Principal and Chief Executive, who may, in the exercise of his or her responsibilities and duties delegate particular functions to other members of staff while retaining responsibility to the Board of Management for the exercise of these functions.

The Principal and Chief Executive is authorised:

- 7.1 to manage and delegate as appropriate all college activities on a day to day basis subject to regular reporting to the Board of Management;

## Board of Management

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- 7.2 to carry out all functions necessary to enable her/him to fulfil the responsibilities of the Principal and Chief Executive and to implement through her/his management of the College the strategy and decisions of the Board of Management and Committees;
- 7.3 in emergency situations, take such measures as may be required, subject to advising the Chair of the Board and the Clerk to the Board, where possible, and subsequent reporting to the appropriate Committee or to the Board as soon as possible thereafter on any items for which approval of the Committee or the Board would normally be necessary;
- 7.4 to represent the College in furtherance of the duties of the position of the Principal and Chief Executive and the interests of the College;
- 7.5 to consult and negotiate with representatives of recognised trades unions and professional associations on behalf of the Board of Management;
- 7.6 following approval by the Board of Management, to sign and date the College Annual Report and Financial Statements prior to their submission to the SFC;
- 7.7 following approval by the Board of Management, to sign the College Regional Outcome Agreement prior to submission to the SFC;
- 7.8 following approval by the Board of Management, to sign the College Annual Report Institutional-led Self Evaluation prior to submission to the SFC;
- 7.9 to sign all deeds and other documents binding the Board for all purposes to which paragraph 20 of Schedule 2 to the 1992 Act applies;
- 7.10 to determine the criteria to be used to select staff for redundancy within the terms of the Board's current Recognition and Procedures Agreement(s) and to make staff redundant or terminate their contracts;
- 7.11 to authorise the issue of press release for publication and broadcasting on behalf of the College;
- 7.12 to engage the services of outside contractors as necessary, subject to existing financial limits, to carry out the strategy and decisions of the Board of Management
- 7.13 to approve the secondment of staff of the College to external agencies where the total cost for the secondment is recoverable and to approve the appointment, where necessary, of a temporary replacement for the duration of the secondment;
- 7.14 to administer, in accordance with any policy determined by the Scottish Government or the SFC or the Board, the disbursement of monies to students attending the College;
- 7.15 to set and amend as necessary the level of the tuition fees, examination expenses, maintenance and contribution scales for all courses and services offered by the College taking cognisance of periodic guidance issued on such matters by the Scottish Government and the SFC;
- 7.16 to waive or grant remission of tuition fees and expenses in special cases within guidelines set by the Board or which contribute to the achievement of the College's strategic priorities;
- 7.17 to take appropriate disciplinary action, including temporary exclusion and permanent exclusion, against students in accordance with any policies of the Board;



## Board of Management

- 7.18 to provide financial and other assistance to the Students' Association of the College within the terms of any scheme of establishment or policy of the Board;
- 7.19 to draw up specifications for, and to seek, tenders for the supply of goods and services to the College in accordance with the College's approved procurement procedures;
- 7.20 to arrange for any necessary alterations or adaptations to College property and to enter into contracts and to incur capital expenditure for any amounts within delegated limits set out in the Board's Financial Regulations and provided that the alteration or adaptation does not affect any material change in the character of the College, and subject to tender procedures;
- 7.21 to write off losses and make special payments up to the limit specified in the Financial Memorandum as issued to Colleges by the SFC;
- 7.22 on receipt of valid claims, to authorise the payment to Members of the Board or co-opted members of the Board's Committees such allowances and expenses as the Board may have determined after taking cognisance of guidance issued by the SFC and Scottish Government;
- 7.23 to authorise the Chair's remuneration taking cognisance of guidance issued by the SFC and Scottish Government
- 7.24 to respond on behalf of the Board to consultative documents which may from time to time be sent to the College by the Scottish Government, SFC or other external agencies;
- 7.25 to review annually the performance of members of the College's Executive Team against predetermined targets;
- 7.26 to vire monies from expenditure heads within agreed budgets taking account of and complying with the College's Financial Regulations;
- 7.27 to sign and date the report of the Board of Management of the Annual Accounts in terms of the account direction given by the SFC under the provisions of paragraph 18 of Schedule 2 to the Further and Higher Education (Scotland) Act 1992;
- 7.28 to sign all deeds and other documents binding the Board of Management for all purposes which relate to Schedule 2 to the 1992 Act;
- 7.29 to sign on behalf of the Board of Management applications for grant assistance from European Structural Funds and other funding bodies;
- 7.30 to rescind, in the role of Principal Chief Executive, any delegation to any nominated officer.

### **8 Delegation to the Secretary to the Board**

The Board Secretary is responsible for the proper conduct of the Board's business. The Secretary should not however participate in the discussions and decisions of the Board, although he should ensure issues are fully debated and clear decisions are recorded. The Secretary should be available to offer advice and guidance on procedural and governance issues when required. It is important that the Secretary preserves independence from the Management of the College.

## Board of Management

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The Secretary to the Board of Management is authorised:

- 8.1 to keep proper records and minutes of the Board and associated Committee proceedings and to prepare agendas, draft minutes and agreed minutes of all meetings of the Board and Committees
- 8.2 to make available, for inspection on the College's website, copies of approved Minutes of any meeting of the Board and Committees in accordance with the College's Freedom of Information Policy and Publication Schedule;
- 8.3 to act as Returning Officer for elections of academic and support staff Management of the Board in terms of the Rules for Appointments;
- 8.4 carry out the administration and other duties imposed on the Secretary to the Board by the Rules for Appointment in respect of the nomination and appointment of other Management of the Board;
- 8.5 to maintain the Register of Interests of Board members
- 8.6 ensure that membership of Board of Management Committee's is up to date;
- 8.7 to proactively provide advice to Members of the Board including the Chair, Chairs of Standing Committees and the Principal and Chief Executive.
- 8.8 to arrange programmes of induction and development for members of the Board of Management

### 9 Recommendation

Members are asked to discuss and approve the revised scheme.

Jannette Brown  
Secretary to the Board  
April 2014

## **Revised Committee Terms of Reference and Membership**

### **1 Introduction**

On the 3rd March 2014, the Board of Management of Dumfries and Galloway College was designated as a Regional College. This designation was achieved by the Designation of Regional Colleges (Scotland) Order 2014. Section 6(1) of the Post-16 Education (Scotland) Act 2013, which makes new provision for the composition of college boards of management by amending Schedule 2 to Further and Higher Education (Scotland) Act 1992 and Sections 23A to 23D of the Further and Higher Education (Scotland) Act 2005.

The current Standing Orders will need to be revised to reflect changes resulting from the above. This paper details at the current committee structure and membership alongside suggested changes to reflect best practice.

Board members are asked to discuss and approve the revised terms of reference and membership.

Jannette Brown  
Secretary to the Board  
April 2014

Current Audit Committee	Proposed Audit Committee
Quorum: 2	Quorum: 3
Frequency: 4 per year	Frequency: 4 per year
Membership: 4 members - Hugh (Chair), Delia, Karen, Sandy (Stuart standing in for Sandy) (principal should not be a member)	Membership: 5 members. Chair of the Board and the Principal should not be members of the committee. No member should also be a member of the F&GP committee
In attendance: Principal, Assistant Principal (LS), Finance Manager, Internal and External Auditors	In attendance: Principal, Assistant Principal (LS), Finance Manager, Internal and External Auditors
<p>Terms of reference:</p> <ol style="list-style-type: none"> <li>1. ensure systems are in place to promote efficiency, effectiveness and economy</li> <li>2. appraise management's arrangements for achieving value for money</li> <li>3. review the effectiveness of the internal control and management systems;</li> <li>4. appoint, monitor and agree the remuneration of internal and external auditors</li> <li>5. ensure compliance with corporate governance requirements</li> <li>6. suggest examples of good practice in risk management, governance and internal control</li> <li>7. ensure a system of risk management has been established and is being maintained</li> <li>8. establish a Professional Malpractice (Whistle-blowing) Procedure</li> <li>9. agree an internal audit plan and review audit reports and annual report</li> <li>10. review the draft financial statements in accordance with the Accounts Direction</li> <li>11. agree a letter of engagement with the external auditor and review report to management</li> <li>12. prepare an annual report to the Board on Internal Financial Control prior to signing the financial statements.</li> </ol>	<p>Terms of reference:</p> <ol style="list-style-type: none"> <li>1. To ensure systems are in place to promote efficiency, effectiveness and economy , including where appropriate the identification of specific value for money studies, and to ensure that activities are managed in accordance with legislation and regulations;</li> <li>2. To review effectiveness of the internal controls and management systems;</li> <li>3. To ensure compliance with corporate governance requirements;</li> <li>4. To ensure a system of risk management is in place and is being maintained;</li> <li>5. Establish a Whistle-blowing policy;</li> <li>6. To advise the Board of the process for the appointment of the external auditor, who is currently appointed by the Auditor General for Scotland, for his/her remuneration;</li> <li>7. To determine the scope of the external auditor's work including any non-audit services provided;</li> <li>8. To appoint, monitor and agree the remuneration of internal auditors</li> <li>9. Agree internal audit plan and review audit reports including annual audit report;</li> <li>10. To prepare an annual report to the Board on Internal Financial Control prior to the signing of the Financial Statements</li> <li>11. To report to the Board as required – minutes of the meetings should be circulated to the Board</li> </ol>

## Board of Management

Current Nominations Committee	Proposed Nominations Committee
Quorum: 2	Quorum: 2
Frequency: 1 per year	Frequency: 1 per year
Membership: 3 members - Brian (Chair), Delia (Vice Chair) and Hugh (Chair of Audit)	Membership: 3 members. Principal should not be a member or attend the nominations committee. Best practice is that the Chair of the Board should be Chair of nominations
In attendance: Principal by invitation	In attendance:
<p>Terms of reference:</p> <ol style="list-style-type: none"> <li>1. nominate candidates for the approval of the Board to fill vacancies on the Board,</li> <li>2. determine the process whereby candidates are nominated and appointed</li> <li>3. develop and recommend to the Board policies and procedures for the induction, governance and development of Board members.</li> <li>4. consider recommendations to the Board on the Board's composition and balance</li> </ol>	<p>Terms of reference:</p> <ol style="list-style-type: none"> <li>1. In accordance with applicable legislation, and relevant guidance on standards in public life and college board appointments manage the process of recruitment and appointment of candidates for membership of the Board of Management;</li> <li>2. To nominate candidates for the approval of Chair of Board and Scottish Ministers;</li> <li>3. To review and consider the composition and balance of the Board in relation to equality, skills and experience balance;</li> <li>4. To develop policies and procedures for the induction, training and development of Board members;</li> <li>5. To receive and review evaluation reports on Board performance and development of members;</li> <li>6. To report to the Board as required – minutes of the meetings should be circulated to the Board.</li> </ol>

Current	Finance and General Purposes Committee	Proposed	Finance and General Purposes Committee
Quorum:	3	Quorum:	3
Frequency:	3 per year	Frequency:	4 per year
Membership:	4 members (including Principal and staff member)- currently John, Rona, Carol, Brian and Kenny	Membership:	5 members (including Principal and staff member)
Should include at least one person with a background in finance, accounting or risk. No member should also be a member of the Audit Committee		Should include at least one person with a background in finance, accounting or risk. No member should also be a member of the Audit Committee	
In attendance:	Assistant Principal (LS) and Finance Manager	In attendance:	Assistant Principal (LS), Assistant Principal (Quality and Estates) and Finance Manager
Terms of reference:	<ol style="list-style-type: none"> <li>1. approve all key decisions taken in relation to finance</li> <li>2. approve the annual budget and to monitor actual performance against budget and KPIs</li> <li>3. make recommendations to the Board on capital expenditure, investments and borrowing.</li> <li>4. set tuition fee levels</li> <li>5. consider the annual accounts and recommend these to the Board for approval</li> <li>6. oversee the system of financial control and delegated authority</li> <li>7. liaise with external audit to ensure financial statements give a true and fair view and exhibit regularity of spend</li> <li>8. to approve capital projects, co-ordinate the estates strategy and deal with all estates business</li> <li>9. ensure compliance with the financial memorandum and financial regulations</li> <li>10. safeguard and maintain the College's estate</li> <li>11. report to the Board as required</li> </ol>	Terms of reference:	<ol style="list-style-type: none"> <li>1. To consider the annual budget and recommend approval to the full Board;</li> <li>2. To monitor actual performance against budget;</li> <li>3. To consider capital expenditure, investments and borrowing and recommend approval to the full Board;</li> <li>4. To consider the Financial Forecast Return and recommend approval by the full Board;</li> <li>5. To consider the annual accounts and recommend for approval by the full Board;</li> <li>6. To oversee systems of financial control and delegated authority;</li> <li>7. To liaise with external audit service to ensure accounts show a true and fair view and exhibit regularity of spend;</li> <li>8. To carry out the Board of Management's constitutional delegation in financial matters;</li> <li>9. To ensure compliance with the Financial Memorandum and Financial Regulations;</li> <li>10. To make recommendations to the Board on matters relating to the development and management of its property and facilities;</li> <li>11. To consider health and safety aspects of the College's operation where these relate to estates and facilities;</li> <li>12. To report to the Board as required – minutes of the meetings should be circulated to the Board.</li> </ol>

Current	Quality and Curriculum Committee	Proposed	Learning and Teaching Committee
Quorum:	2	Quorum:	3
Frequency:	3 per year	Frequency:	4 per year
Membership:	6 members - currently Delia (Chair), Carol, Rona, Tom, Kenny and Rhona (student member).	Membership:	6 members (Principal, 3 Board members and 2 student members).
In attendance:	Assistant Principal (Curriculum), Assistant Principal (Quality and Estates) and 4 members of staff	In attendance:	Assistant Principal (Curriculum) and 4 members of staff (representative of each Faculty)
<p>Terms of reference:</p> <ol style="list-style-type: none"> <li>1. Approve and monitor the development of the College's learning and teaching strategy, the College's quality enhancement strategy and the college's learner engagement strategy.</li> <li>2. Oversee, monitor and make recommendation to the Board regarding the college's annual Report (and resulting action plans) regarding Quality and monitor preparations/readiness for HMIE annual engagement/aspect visits.</li> <li>3. Review the academic and student support aspects of the college operational plan to ensure consistency with the college strategic plan</li> <li>4. Recognise trends/innovation in education and recommend specific initiatives in the college</li> <li>5. Monitor perception data relating to the student experience at the college and make recommendations</li> <li>6. Review all student support mechanisms and structure and ensure that these meet the needs of learners</li> </ol>		<p>Terms of reference:</p> <ol style="list-style-type: none"> <li>1. To agree and monitor College teaching and learning strategy, aims and objectives;</li> <li>2. To agree and monitor College learner engagement strategy, aims and objectives;</li> <li>3. To agree and monitor College employer engagement strategy, aims and objectives;</li> <li>4. To reflect on trends in education and encourage innovation and curriculum development to ensure that the College is successfully serving the needs of its internal and external stakeholders;</li> <li>5. To agree and monitor academic performance, including student retention, progression, attainment PIs, ensuring arrangements are in place to action and address any areas of concern;</li> <li>6. To monitor: <ul style="list-style-type: none"> <li>• performance on admissions, access and inclusion;</li> <li>• arrangements for articulation and partnership</li> <li>• approaches to learning and teaching, including the use of ICT;</li> <li>• the volume and themes of student complaints.</li> </ul> </li> <li>7. To regularly consider reports from and related to the Student Association and address any issues raised by the Association;</li> <li>8. To maintain an overview of quality assurance and improvement by reviewing reports from both internal and external, including feedback and evaluation from student and stakeholder surveys;</li> <li>9. To consider Annual Report Institutional-led Self Evaluation and recommend for approval by the full Board following;</li> <li>10. To report to the Board as required – minutes of the meetings should be circulated to the Board.</li> </ol>	

Current      Staffing Committee	Proposed      Human Resources (HR) Committee
Quorum:      3	Quorum:      3
Frequency:    3 per year	Frequency:    1 per year
Membership: 4 members - currently Tom (Chair), Karen, Carol and Andrew	Membership: 4 members. Best practice suggests that at least one member with a background in HR
In attendance: Director of HR	In attendance: Director of HR
<p>Terms of reference:</p> <ol style="list-style-type: none"> <li>1. Oversight of staff recruitment, staff development and matters relating to staff discipline.</li> <li>2. Matters relating to the planning of staff complements.</li> <li>3. To hear appeals from staff against decisions made by the Principal in the matters of discipline, grievance and other matters including curricular matters.</li> <li>4. Other staff matters referred by the Board of Management.</li> </ol>	<p>Terms of reference:</p> <ol style="list-style-type: none"> <li>1. To ensure the College is operating within all legal requirements relating to employment law and other legislation affecting employment;</li> <li>2. To approve the HR strategy and to monitor actual performance against KPI to include staff welfare, staff establishment, turnover, sickness, and absence;</li> <li>3. To make recommendations to the Board on HR and staffing matters;</li> <li>4. To ensure that pay and conditions of employment are properly determined and that pension arrangements are monitored;</li> <li>5. To ensure appropriate arrangements are in place for effective dialogue with trade unions;</li> <li>6. To ensure there are appropriate policies, procedures and monitoring for appointments, promotion, staff development and appraisal;</li> <li>7. To ensure health and safety legislation relating to staffing is complied with and that regular reports are considered and recommended for approval to the full Board of Management;</li> <li>8. To prepare an annual report to the Board;</li> <li>9. To report to the Board as required – minutes of the meetings should be circulated to the Board</li> </ol>



## Board of Management

Current	Remuneration Committee	Proposed	Remuneration Committee
Quorum:	2	Quorum:	2
Frequency:	1 per year	Frequency:	1 per year
Membership: 3 members – currently Brian (Chair), Delia (Vice Chair) and John (Chair of F&GP)		Membership: Chair, Vice Chair and Chair of F&GP	
In attendance: Principal by invitation		In attendance: Principal by invitation	
Terms of reference: <ol style="list-style-type: none"> <li>determine and review the salaries, benefits, terms and conditions (and where appropriate severance payments) of senior staff (including the Clerk to the Board), and make recommendation of same for Principal to the Board.</li> <li>ensure the efficient and effective use of public funds.</li> </ol>		Terms of reference: <ol style="list-style-type: none"> <li>To determine and review the salaries, terms and conditions (and, where appropriate severance payments) of the Principal, members of the executive team and the Secretary to the Board;</li> <li>To ensure efficient and effective use of public funds;</li> <li>To report to the Board as required – minutes of the meetings should be circulated to the Board.</li> </ol>	



## Board of Management

### Calendar of Meetings 2014/15

	<b>BOARD</b>	<b>Audit Committee</b>	<b>F&amp;GP Committee</b>	<b>Nominations Committee</b>	<b>Learning &amp; Teaching Committee</b>	<b>Remuneration Committee</b>	<b>Human Resources Committee</b>
	(Tuesdays) 2.00 pm	(Tuesdays) 2.00 pm	(Tuesdays) 2.00 pm	(Tuesdays) 12.30 am	(Tuesdays) 2.00 pm	(Tuesdays) 12.30 pm	(Tuesdays) 2.00 pm
<b>2014</b>							
August		19-Aug	26-Aug				
September	16-Sep						
October					07-Oct		28-Oct
November	11-Nov <b>Development event</b>						
December		02-Dec	09-Dec		16-Dec		
<b>2015</b>							
January	20-Jan <b>Strategic session</b>					20-Jan	
February		24-Feb					
March			03-Mar		10-Mar		
April	28-Apr			28-Apr			
May		12-May					
June	23-Jun		09-Jun		16-Jun		

## Board of Management

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### Principal's Update

#### 1 Purpose of the Report

To update Members on key College activities.

#### 2 The Report

##### 2.1 Progress against Targets – 2013/14

Members are asked to refer to Item 8 on the agenda (Key Performance Indicators.)

##### 2.2 Academic Session 2014-15

###### 2.2.1 Funding Methodology

Scottish Funding Council is proposing to move to a needs-led method of funding which will be based on Regional demographics and economic need. SFC have undertaken to guarantee that there will be no more than a 1% change in activity on an annual basis, to minimise potential impact. It is also proposed that a credit-based system will replace WSUMS – eg one credit = 40 hours of planned learning, and that FTE's (Full-time equivalents) are counted – 1 FTE = 15 credits of learning. Parallel running of the new Credit system is being undertaken with 3 Colleges during academic session 2014/15 – Dumfries and Galloway, New Lanarkshire and Dundee and Angus Colleges – to identify any issues arising from the change and to develop appropriate guidance for Colleges. It is expected that the new system will be fully implemented across the sector from August 2015.

###### 2.2.2 Funding and Activity Targets 2014/15

College region Dumfries and Galloway will receive £8,331,000 (excludes student support and capital grant) from the Scottish Funding Council for academic year 2014/15 to plan and deliver further and higher education in the region. Activity targets for academic session 2014/15 remain the same as the current session but the College is aiming to maximise the number of places available and has increased its full-time target accordingly. To date, no information has been received regarding funding beyond 2014/15 but it is anticipated that the Sector is likely to experience further reductions in funding going forward.

###### 2.2.3 Curriculum Delivery Plan 2014/15

Curriculum Delivery Plan for 2014/15 shows no significant changes in that the broad range of curriculum offering at different levels has been maintained. For the first time in many years, Higher National Certificate programmes are being offered at our Stranraer campus. Applications are monitored on a regular basis and adjustments are made where necessary, these are mainly to reflect levels of demand. A final version of the Curriculum Delivery Plan 2014/15 will be presented to the June meeting of the Board of Management.

###### 2.2.4 Applications 2014/15

Our Curriculum Development Plan for 2014/15 targets 1800 full time places. To date, we have received in excess of 2,000 applications, 1,362 offers have been made and there are 128 applicants on the waiting list. Applications are still being received and processed and further Advice Sessions have been arranged throughout the remainder of this academic session.

## **2.3 College Developments**

### **2.3.1 CREST**

After a slow start, mainly due to the amount of time spend developing the new pavilion and dealing with installation/construction issues, projects are well underway and the completion of projects is speeding up. There are currently 10 projects at different stages of completion, 4 of which are in the final stages. A total of 9 projects are fully completed against a target of 36 by January 2015. An additional (part-time) member of staff is currently being recruited to assist in project delivery. The new pavilion is awaiting final occupation certificate and is completed to a high standard, creating a valuable legacy asset.

### **2.3.2 TRANSFORM**

The 'Transform – South of Scotland e-hub' project was due to end in July 2013. At that time the College was on plan to achieve all output and results targets by the project end date but with a project under-spend. It was agreed to seek a 12 month extension, using the under-spend to engage with 10 more businesses. An application to extend the project until July 2014 was made and approved. Moving forward the College has ring-fenced budget to continue transforming the curriculum.

### **2.3.3 Hospitality & Catering Development**

Plans for this development are currently on target and APUC are providing dedicated support for the tendering process. Detailed design plans are being finalised, prior to final tender arrangements. A communication strategy has been agreed and monthly briefings will be provided to staff, students, Board members, key partners and stakeholders. An Employers Forum will be established to advise on curriculum content, delivery patterns to suit the industry and work placement/experience opportunities.

### **2.3.4 STEM Development (Science, Technology, Engineering, Maths)**

STEM education is recognised as being key to the economic development of Scotland as well as to Education and Sir Ian Wood has made strong reference to STEM in his work on 'Developing Scotland's Young Workforce'. A STEM strategy is a coherent, strategic approach, driven by industry to ensure that the education and skills delivered is able to drive forward growth and success within science, technology, engineering and maths related industries. It involves an interdisciplinary and applied approach and sits at the heart of Curriculum for Excellence. Building on our strengths in this area, the College is seeking to develop a STEM strategy across all of our curriculum and, it is hoped, this will be widened to include schools and universities so that a regional approach will be developed. The first development event will be held in the College in May and our University partners and some schools have also indicated an interest in this initiative.

### **2.3.5 Graduate Apprenticeships in Engineering**

Skills Development Scotland approached the College to discuss the possibility of piloting a Graduate Apprenticeship Scheme in Engineering in the region. SDS are currently working to identify local employers who may be interested in participating in this initiative, Discussions will take place with UWS in the first instance, as a Crichton Campus partner, to ascertain their interest in becoming the University partner, but the University of Strathclyde has also expressed an informal note of interest.

### **2.3.5 Scottish Student Sport**

Scottish Student Sport was established in 2011 to provide and promote sport and physical opportunities in universities and colleges. Although the university sector has well established arrangements and resources to accommodate sport and physical activity, college students and the college sector have been in a position of relative disadvantage with little or no college infrastructure to support physical activity or competitive sport between colleges.

The evolution of the College Sector presents a new opportunity to increase sports and physical activity participation in Scotland's Colleges. Scottish Student Sport will work with staff and students within each of the colleges to provide assistance on how to establish a structure and organise sports within the Student Association. This will help raise awareness of sport and physical activity within each

college, enable clubs to be created around sports where there is the greatest interest and provide a body of students round which competitive sport can take place both within the college and between all the colleges. This initiative complements our Sports Curriculum Strategy as well as promoting healthy living to the wider student body and the College has indicated its willingness to be involved.

In the first instance the aim is to work towards establishing a competitive sports structure in 2014-15 between those Colleges who agree to participate. It will initially be based around a few sports where all the colleges already have some level of participation. As demand increases, so more sports will be added.

### **2.3.5 Degree in Applied Enterprise**

Of the 20 students from D&G College who commenced the newly developed BA Applied Enterprise (Creative Industries) in September 2012, 19 passed. 6 students progressed to BA (Honours) and will graduate this year, 12 students graduated (2 with distinction and 1 student chose not to graduate). The 1 remaining student will complete their studies in May of this year; due to health issues they had to extend their studies.

Three businesses were started from the cohort; Hero Chic Heels and Mural Memories and 2 students are starting a business this month Emkay Designs. Based on a co-operative business model, they will be joining with other micro businesses to offer a comprehensive service to small businesses in relation to e-business – ie web design, branding and logo, social media etc.

19 students from D & G College commenced The BA Applied Enterprise (Lifestyle and Wellbeing) and the BA Applied Enterprise (Creative Industries) in 2013 (10 in the Lifestyle and Wellbeing cohort and 9 in the Creative Industries cohort). The remainder of this year's cohort have come from central belt colleges. There are potentially 2 businesses this year that look likely to progress to actual start up: One sport related, one lifestyle related. These are currently in the process of patenting their concepts/products so further details cannot be disclosed at this time.

The BA (Honours) Applied Enterprise programme was successfully validated at the end of March 2014. The addition of the Honours year will enable students to focus on higher level skills, entrepreneurial thinking, reflection, innovation and creativity, and builds on the more practical focus of Level 9.

### **2.3.6 University Funded Places – 2013/14 and 2014/15**

To facilitate and encourage articulation from College to University 24 University funded places were made available to students studying Higher Education Courses in Health and Social Care and Childcare provision for Associate student pathways to the University of Glasgow (12) and University of the West of Scotland (12). Learners have been identified from the current cohort and will receive additional support and information from the Universities. Agreement has been reached with University of the West of Scotland for an additional 12 places to be made available in 2014/15 academic session. These student places are paid for by the Universities and are excluded from the College Activity measurement, creating additional student places.

### **2.3.7 Awards and Achievements**

The College, in Partnership with Dumfries and Galloway Council and the NHS, was recently awarded the National COSLA Silver Award for the work it has undertaken and developed through its Reablement Qualification and the development of the workforce across the region and Scotland.

Staff in the Princes Trust team have been formally recognised as part of Scotland's 'Best' and have some of the highest performance indicators not just in Scotland but across the UK. This was further acknowledged during a recent Ministerial visit to the College to meet the Princes Trust team and learners.

Beauty students from Stranraer Campus were winners in the Scottish regional competition and will be competing in the National finals in Blackpool for makeup and nails.

Our Introduction to Health and Social Care students were asked to present at the National EAUC (Environmental Association for Universities and Colleges) conference for the work they have been doing on sustainability related to their curriculum area.

## **2.4 External Funding**

### **2.4.1 Skills Development Scotland Contracts 2014/15**

The college has received its modern apprentice quota for 2014/15 comprising 66 starts (62 in 2013/14) across a range of curriculum areas equating to an income of approximately £228,504.

A contract for a total of 88 starts (87 in 2013/14) has been awarded to the College through Skills Development Scotland Employability fund 2014/15 with an expected income forecast of £116,991.

### **2.4.2 ESF/ERDF Funding**

The next EU funding programme is currently being finalised and Scottish Funding Council are taking a strategic lead on behalf of the College Sector, using Government grant as match funding. This means that Colleges will not be required to provide any additional match funding in order to participate in SFC projects, but cannot use grant funding as match in any other potential bids –eg Local Authority etc. As we do not generate significant amounts of non-SFC income, it is unlikely that Dumfries and Galloway College will be able to participate in any non-SFC projects EU funded projects in the foreseeable future.

### **2.4.3 Crichton Foundation**

The College has received £10,000 from the Crichton Foundation to provide a discretionary fund to help full-time students who from time to time encounter hardship. This is the second year the Crichton Foundation awards committee has given funds to the College.

## **3 Recommendation**

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

**Carol Turnbull**  
**Principal**  
**April 2014**

## Board of Management

### Key Performance Indicator Report

	WSUMs		Enrolments		
	Actual	Target	Full-time	Part-time	Total
2013/14 (to date)	42,405	42,529	1633	2998	4632
2012/13	39,014	38,711	1616	3938	5554
2011/12	39,756	39,670	1523	4770	6293

	Retention (%)				Outcome (%)			
	Full-time Further education		Full-time Higher education		Full-time Further education		Full-time Higher education	
	Actual	Target	Actual	Target	Actual	Target	Actual	Target
2013/14 (to date)	78	74	86	81	-	65	-	72
2012/13	73	74	80	80	63	63	70	73
2011/12	72	72	78	78	61	61	70	61

Finance	Actual YTD (as at Feb '14) (£M)	Flexed Budget YTD	Variance YTD	Revised Projection
Income	£8.771	£8.639	£0.132	£9.904
Expenditure	£8.171	£8.325	£0.154	£10.018
Operating Surplus (Deficit)	£0.600	£0.314	£0.286	£(0.114)
Historical Cost Surplus (Deficit)	£0.716	£0.430	£0.286	£0.018

Staffing	Current		Previous Year	
	Headcount	FTE	Headcount	FTE
Academic	111	85.37	116	86.53
Academic Support	41	20.44**	35	15.42
Support	152	106.77**	155	102.52
<b>TOTAL</b>	<b>304</b>	<b>212.58**</b>	<b>306</b>	<b>204.47</b>

\*\* FTE figure now includes holiday allocation for term time staff

# Strategic Plan 2008-2014 Risk Register

Risk No.	Strategic Aim	Risk Description	Inherent Risk			Controls in Place	Assurances	Internal/ External	Residual risk			Further Action	Risk Owner
			Likelihood	Impact	Total				Likelihood	Impact	Total		
1	SA 6	Unable to achieve WSUM target	2	4	8	1. Real time monitoring system. 2. Contingency plans in place to offer additional provision as required. 3. Annual review of staffing and provision to rebalance areas of growth with areas of decline. 4. Annual review carried out by internal audit	1. Reviewed by SMT on a weekly basis 2. Reviewed by SMT on a weekly basis 3. Review carried out by HR and presented to SMT for consideration/approval. 4. Internal audit report presented to audit committee	Internal / External	1	3	3	No further action.	JB
2	SA 1, 3 & 6	Loss of collaborative partnership arrangements	2	3	6	1. Policy of limiting dependence on any one partnership. 2. Regular reporting of partnership issues at SMT. 3. Constant scanning to identify new potential partnerships.	1. Currently not specifically reviewed 2. SMT meetings/minutes 3. SMT meetings/minutes	Internal	1	2	2	No further action. Although policy not specifically reviewed, any issues would be identified through regular reporting at SMT. Internal audit review planned for 14/15	SMT
3	SA 1 & 6	Imbalance between demand for student support funds/bursaries and funds available	2	3	6	1. Detailed analysis and monitoring of spend undertaken on an ongoing basis by Finance Manager, reported monthly to SMT. 2. Allocation and amounts reviewed on an annual basis to ensure funding constrained within amount available. 3. Annual review carried out by internal audit	1. SMT meetings/minutes 2. SMT meetings/minutes 3. Internal audit report presented to audit committee	Internal / External	1	2	2	No further action but continue to monitor expenditure and amend student funding policies to match demand with available budget	JB
4	SA 1, 2 & 6	Review of funding methodology impacts on financial sustainability	4	4	16	1. Principal member of Working Group on Funding for the sector. 2. Assistant Principal (LS) college lead in pilot and parallel running of new funding methodology 3. Continuous review of curriculum and delivery by SMT to ensure that adverse impact minimised.	1. Feedback to SMT and Board meetings 2. Reports to Q&C committee	Internal	3	3	9	1. Parallel running of new methodology in 14/15 with full implementation starting 15/16. Internal audit review planning for 15/16	CAT
5	SA5 & 6	Unable to agree Pay Award	2	4	8	1. Detailed financial planning undertaken and approved by Finance and General Purposes Committee to ensure "affordability" of any offer. 2. Clear and well established negotiation processes in place with recognised unions. 3. Government suggested maximum 1% pay awards for 2013/14 and 2014/15.	1. F&GP meetings/minutes 2. Feedback to SMT and the Board 3. Included in budget which is monitored and reported through F&GP	Internal	2	2	4	Monitor Grant settlement and maintain dialogue consultations with unions	HP
6	SA 1,2,3,4,5,6,7	Disruption to business continuity due to Influenza pandemic, terrorism, fire or other disaster	2	4	8	1. Business continuity plan in place (check audit report recs)	1. Reviewed by SMT and report to Board 2. Internal audit review carried out in 11/12	Internal / External	2	2	4	Implementation of audit recs	SMT
7	SA 1 & 6	Failure to maintain student numbers	2	4	8	1. Strategies in place to improve retention. 2. Self evaluation process. 3. Poorly performing programmes removed from the curriculum.	1. Monitored at course level and review by SMT. Exception reporting to Board. 2. Monitored through self evaluation process and reported to SMT and Q&C committee	Internal	1	3	3	Internal audit review planned 13/14	SMT
8	SA 6	Loss of 'charitable' status	2	4	8	1. Internal control and governance arrangements in place to meet requirements of OSCR. 2. Work with Scotland's Colleges to influence and respond to any potential change to legislation affecting charitable status.	1. External audit coverage as part of annual review of financial statements.	External	1	2	2	No further action	CAT
9	SA 6	Downturn impacts on recruitment of Modern Apprentices	2	3	6	1. Maintain regular dialogue with training bodies. 2. Alter curriculum delivery to accommodate low numbers as and when required. 3. Contracts with relevant sector skills bodies and SDS in place.	1. Curriculum plans approved by SMT and Q&C 2. Curriculum monitor contract on ongoing basis	Internal	2	2	4	Reduction in demand and income to be balanced by staffing reductions. Planned internal audit on strategic planning in 14/15	SAW /CAT
10	SA 1,2,3,4,5,6,7	Reduction in SFC Core Grant	4	4	16	1. Scenario planning undertaken and measures to offset reduction identified which is then used to inform curriculum planning. 2. Annual review of provision undertaken through planning and budgetary process to ensure match of income and expenditure.	1. Curriculum plans approved by SMT and Q&C 2. Budget approved by the Board	Internal	2	4	8	Reduce curriculum provision in line with funding and implement cost savings. Seek to increase non SFC income.	SMT
11	SA 6 & 7	Changes to structure of FE colleges in Scotland adversely impacts on DAGCOL	2	4	8	1. D&G now confirmed as a single college region. Uncertainty still exists about future Crichton relationship and impact of being second smallest region in Scotland. Current indications are that college is region earmarked for growth.	1. Scottish Government confirmed D&G as a single college region 2. Principal member of Crichton Leadership group and feeds back to SMT and Board	Internal / External	2	3	6	Proactive involvement of SMT and BoM in process	SMT
12	SA 6 & 7	ONS reclassification of college impacts on governance, financial arrangements and ability to develop capital projects	3	4	12	1. Senior Management and Finance Manager representation at relevant briefings and ongoing monitoring of changes 2. External audit advice	1. Feedback to SMT and Board	Internal/ External	3	3	9	External audit will review any changes to accounting treatments	SMT
13	SA 3,5 & 6	Facilitate and support R&D in small and micro-business through the provision of facilities, equipment and infrastructure to help businesses develop new commercial products and processes	3	4	12	1. Detailed monitoring undertaken on a daily basis by Assistant Principal - Monitoring by and reporting to Lead Partner - Extra support provided by Assistant Principal to ensure efficient start up of CREST project	1. Feedback to SMT and Board	Internal / External	2	4	8	No further action	IPB
14	SA 5,6 & 7	Health and safety incident due to quality of construction of external balustrades	3	4	12	1. All panels to be tested and secured 2. Detailed monitoring undertaken by Assistant Principal (Q&E)	1. Feedback to SMT and Board	Internal / External	2	4	8	Commission a full building survey by external consultants	IPB



## **Board of Management**

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### **College Reserves**

#### **1 Purpose of the Report**

The purpose of this report is to provide Board Members with an update on the transfer of College reserves to the Scottish Colleges Foundation.

#### **2 Report**

It was reported to the audit committee on the 11 March that following a proposal from the chair of audit the Board agreed to the College joining the Scottish Colleges Foundation. It was also stated at the audit committee that the Principal, as Chief Accounting Officer, should be satisfied that any donations made to the Scottish Colleges Foundation is for the advancement of further and higher education.

The Principal, Assistant Principal (Learner Services) and Finance Manager met with the trustees of the Scottish Colleges Foundation to discuss how the donation and granting of funds would operate and in particular the operation of the College sub-funds. Following this meeting and receipt of the Scottish Colleges Foundation Memorandum of Understanding the Principal was satisfied that any donations made to the Scottish Colleges Foundation would be for the advancement of further and higher education.

At the finance and general purposes committee meeting on Monday 17 March and subsequent emails to members of the finance and general purposes committee, agreement was given for the College to transfer reserves to the Scottish College Foundation. Confirmation has been received that the College transferred £2,120,000 to the Scottish College Foundation before 31 March 2014.

A grant application has been submitted to the Scottish College Foundation requesting £2m for the hospitality development. Confirmation has been received that this application has been circulated to the Trustees of the Foundation and will be considered at the next meeting of the Trustees, due to be held on Friday 9 May 2014.

#### **3 Recommendations**

Members are requested to note the report.

						F = F+GP A = Audit Q = Q+C S = Staff	E = External I = Internal
	<b>Goals</b>	<i>Suggested Evidence</i>	<i>BoM Chairs Grade</i>	<i>Supporting Evidence</i>	<i>Risk</i>	<i>C'tee</i>	<i>Influence</i>

**Financial Strategy**

1	Generate sufficient level of operating surplus to finance other key resources	Operating surplus as % of total income	H	Audited financial statements, annual budgets/Financial Forecast Returns and monthly financial reports. Main Grant Letter. Uncertainty over ability to do this as a result of ONS re-classification.	3	F	I
2	Diversify income streams	Non-SFC income as % of total income	H	External funding bids and projects, CTS income, Training income, Partnership Contracts (e.g. DGHP, Construction Skills) and student income (e.g. SAAS) ( <i>importance has increased due to need to offset SFC funding cuts. Challenge has increased due to Gov policy re international students and impact of downturn</i> )	3	F	I
3	Maintain sufficient cash reserves to deal with unexpected events	Ratio of days cash to total expenditure, current ratio	H	Repayment of Lennartz money has increased degree of risk. ONS reclassification of colleges has had a significant impact on how reserves <del>will be</del> are now treated <del>in the future</del>	3	F	I
4	Service borrowings	Interest cover, long-term liabilities to total reserves, financing costs, depreciation costs	L	Low risk issue as College currently has no borrowings. Balance sheet Key Performance Indicators demonstrate financial well-being and are reported via monthly financial reports. Would now require ministerial approval (from 1.04.2014).	1	F	I
5	Efficient staff deployment	WSUMs per full-time equivalent (FTE)	M	Staffing levels reviewed on an ongoing basis, quarterly reports to Staffing Committee in relation to Curriculum staff and changes in the FTE of all staff across College. Reports made to BoM re: staffing levels. Approval forms for all recruitment indicating justification for the post.	1	S	I
6	Sound budget setting and financial management arrangements	Internal, external audit reports	H	ONS reclassification of colleges will have significant impact on college financial management arrangements. It will be difficult to compare "like for like" budgets and accounts	3	F	I
7	Effective risk management and scenario planning arrangements	Internal, external audit reports	L	Recent audit confirmed sound practice with revisions to existing arrangements planned in line with audit recommendations. Scenario planning undertaken at Board and fed into Strategic Plan. Scenario planning carried out regularly by SMT throughout the year and appropriate actions implemented	1	A	I
8	Efficient procurement practices	Delivery of efficiency gains	L	Procurement Capability Assessment provides an independent audit of College practices. Indicators of procurement performance and record of savings made	2	F	I
9	Continuous improvement in business processes	Delivery of efficiency gains	M	Submission of Efficient Government Return identifies savings made each year	3	F	I

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	<b>Goals</b>	<i>Suggested Evidence</i>	<i>BoM Chairs Grade</i>	<i>Supporting Evidence</i>	<i>Risk</i>	<i>C'tee</i>	<i>Influence</i>

**Other potential goals identified**

10	Capital Funding	Reduction in capital funding may impact on future ability of college to maintain and develop new capital assets/facilities	M	Capital Expenditure Programme agreed by the Board of Management. Regular capital expenditure monitoring reports. Periodic returns/submission to SFC. Transitional arrangements agreed with SFC to support ERDF projects. Increase in capital funding allocation for 2013/14, but ONS reclassification of colleges may impact on ability to develop future capital projects. Capital funding maintained for 2014/15.	3	F	E
11	Student Support Funds	Foreseeable trends indicate funding could be reduced and/or demand will be greater than availability of supply	H	Monitoring reports produced every two weeks. Demand for Student Support Funds is difficult to predict as is estimate withdrawals. Risk rests with College - policy reviewed annually to reflect available finance. Funding for 2012/13 confirmed at existing levels. No increase for 2013/14 despite increased WSUM target. No guarantee of in-year funding. In year funding received but College still overspent.	3	F	I
12	External Financial Environment	Effects of recession, depressed state of the economy, unknown Political environment and uncertainty of public sector financial allocations	H	Economic indicators/statistics/reports. Current Climate is unpredictable	3	F	E
13	Office of National Statistics Reclassification of Colleges	Ensure accounting and reporting practices comply with requirements	H	Full impact unknown as yet but accounting year end date has changed to 31 March.	3	F	I

**Human Resources Strategy**

14	Effective staff training and development programme	Number of days per employee invested in training and development, external accreditation, appraisal system	L	Staff development framework in place. Staff achieve on average 5 days per annum staff development (formal & informal). Staff development records identify individual progress. liP and HMle recognition of staff development process. PMR in place for SMT and CMT, trial roll out in progress.	2	S	I
15	Recruit and retain good quality staff	Investment in qualifications of staff	M Note: also applies to other areas, e.g. HR, H&S, IT	Records of staff qualifications demonstrate competency/knowledge. Staff Development Reviews highlight commitment to training and development. Qualified professional staff committed to CPD and submission of annual returns. Departmental staff turnover is very low. Staff Development records show continued professional development of all areas. Potential further reductions in staffing due to funding cuts could affect service delivery	2	S	E

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	<b>Goals</b>	<b>Suggested Evidence</b>	<b>BoM Chairs Grade</b>	<b>Supporting Evidence</b>	<b>Risk</b>	<b>C'tee</b>	<b>Influence</b>
16	Appropriate levels of staff turnover	Leavers in last year as % total staff (Note: grading takes account of geography and low turnover can stagnate skills base)	M	Low turnover - 9.4% for voluntary leavers (8% during 2011/12 session). This allows the College to maintain a stable workforce however can make it difficult to recruit new skills and knowledge.	2	S	E
17	Managing levels of sickness absence	Working days per employee lost through sickness absence	L	Absence level for 2012/13 was 3.8% which is a decrease on the previous year and compares favourably to public sector organisations. Absence monitored monthly by HR with annual report to Staffing Committee. Occupational health contract to ensure staff are able to return to work as soon as possible, enabled through phased return.	1	S	E
18	Appropriately qualified teaching staff	Percentage of permanent college payroll teaching staff with a teaching qualification, HMle reports	M	98% of permanent teaching staff currently possess a teaching qualification, the remainder are undertaking qualifications (2 people). Staff development records. Potential in future years for % with qualification to decrease due to retirement of staff who possess TQFE being replaced with new staff who do not. 50% of temporary teaching staff possess a teaching qualification with the remainder either undertaking a qualification or not required due to the short term contract/minimal hours delivery.	1	S	I
19	Staff input to and awareness of college strategic plan	Staff consultations, events, staff satisfaction survey	L	Planning and development week to enable all staff to participate in planning process. Communication survey, Principal's briefings and HMle reports confirmed that staff are involved in the planning process. <b>All staff involved in Vision 2020.</b>	1	S	I
20	Effective staff communications	Staff meetings, newsletters, staff satisfaction survey	M	College News, Intranet, Principal's Update, Staff Suggestion Scheme, direct access to SMT members.	2	S	I
21	Committed and effective governing body with appropriate mix of skills and experience	Board recruitment, induction, training and succession planning arrangements, audit reports	M	Full Board membership with committed members actively engaged in decision making. Membership refreshed as vacancies arise and generally attract good quality applicants. Succession planning enhanced through use of co-opted members overlapping with those retiring to familiarise new members with college processes, including training and induction. Given the changes to Governance arrangements in the sector there is a potential risk that in future we might not attract the desired skill mix or equality/diversity mix. New Regional Board came into effect in March 2014. New Regional Chairperson appointed through the Scottish Public Appointments process.	2	A	E
<b>Buildings and infrastructure strategy</b>							
22	Provide high quality facilities and services for staff and students	Staff and student satisfaction surveys, estate condition data, estates strategy, ICT strategy	L	Staff and Student Surveys. Comment Card system and Suggestion Scheme. Post Occupancy Evaluation studies Phase I and II. Estates Strategy reviewed on annual basis. Condition Surveys and inspection reports. Also monitored through revised Self-evaluation process.	1	Q	I

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	<b>Goals</b>	<b>Suggested Evidence</b>	<b>BoM Chairs Grade</b>	<b>Supporting Evidence</b>	<b>Risk</b>	<b>C'tee</b>	<b>Influence</b>
23	Continuous investment in estate to address backlog maintenance issues and/or maintain high quality facilities	Capital and maintenance spend on estate/insurance replacement value, estate condition data	M	Capital Expenditure reports. Planned and reactive maintenance programme. Property valuation reports. Reduction in capital funding in 2011/12, but maintained at same level for 2012/13. Capital funding increased in 2013/14 and is maintained for 2014/15	2	F	I
24	Efficient space utilisation	College data (seat utilisation)	M Note: Timetabling system	Room occupancy surveys undertaken on a sample basis. Timetabling system. Hospitality development will be accommodated but any future expansion will be difficult.	2	F	I
25	Buildings accessible to students with profound and complex needs	Disability Discrimination Act (DDA) compliance measures and evidence of reasonable adjustments	L	Dumfries campus design. Periodic inspections to ensure compliance with relevant legislation	2	S	I
26	Good practice in environmental sustainability	Climate action plan, energy consumption, emissions reporting	M	Climate Change Action Plans for Dumfries, Stranraer, Waste and Transport. Energy monitoring data. Sustainable procurement practices. Green Travel Plan/Initiatives	2	F	I
<b>Other potential goals identified</b>							
27	Transport		M Note: contracts could change suddenly affecting transport availability and student concerns exist at present	Utilising public transport for student travel. Replacement of fleet vehicles with low emission models. Promotion of sustainable travel options for staff/students. The cost of bus contracts in future could potentially be subject to large variations and may rise significantly at short notice. (tender prices and fuel cost variation)	2	F	I
<b>Quality and collaborative strategy</b>							
28	Appropriate range of provision that is relevant to the needs of the community and the wider economy	Student satisfaction survey, user survey, performance against activity target, use of new learning technology, 'flexibility' of curriculum, self-evaluation	M	Feedback from a wide variety of sources indicates provision meets the needs of community and wider economy, apart from peripheral issues which are marginalised by cost effectiveness. Funding Council targets are consistently met or exceeded, internal targets generally met and regularly monitored through internal processes. Strategic intervention for flexible delivery with 3 year plan supported by Board includes financial support. Comprehensive self-evaluation framework. College operates wherever possible in the local community given constraints of a large rural area.	3	Q	I

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	<b>Goals</b>	<b>Suggested Evidence</b>	<b>BoM Chairs Grade</b>	<b>Supporting Evidence</b>	<b>Risk</b>	<b>C'tee</b>	<b>Influence</b>
29	Appropriate levels of student achievement and attainment	Student statistics	H	Students generally achieve well, including wider achievement. However some areas of the college are not producing consistently high levels, these are being monitored through internal processes including a sub-committee of the Board. Risk that this may affect funding in the future	3	Q	I
30	Appropriate levels of student retention	Student statistics	H	Retention is generally in line with sector averages and remains fairly static year on year for the college as a whole. Some areas of the college have poor retention and these are being monitored through internal processes including a sub-committee of the Board. 2011/12 saw a 4% improvement in FE (full-time) retention to 72%, and 2012/13 saw a further improvement in retention to 73%.	2	Q	I
31	Commitment to equality and diversity of provision	Student statistics	L	Across the college as a whole statistics indicate that commitment to equality and diversity is achieving representative engagement. This is reflected in regular monitoring and reporting. At course team levels there is a need to improve representation in some curriculum areas, this is being encouraged through internal processes and monitored by a sub-committee of the Board Student representative on Equality Committee. Scotland's Colleges Award for Diversity week in recognition of joint working with students on equality strands	1	Q	I
32	Commitment to widening participation	Student statistics	M	As one of the colleges strategic aims this is an area where the college has performed well given the constraints of a large rural area and a diverse range of needs from a distributed population. Statistics show representation from almost all areas of the region and from a very good range of minority groups. However reduction in funding 2012/15 and focus on 16-24 year olds likely to impact on ability to maintain this on a part-time study basis.	2	Q	I
33	Appropriate quality of provision	HMIE review reports, student satisfaction survey	M	Education Scotland Review resulted in full confidence statements but highlighted some concern in the quality of teaching and learning.	2	Q	I
34	Productive engagement with other colleges, universities, schools and other stakeholders, including wider community	Articulation agreements, involvement in sector working groups, benchmarking groups, number of voluntary groups using college premises, shared services agreements, self evaluation	H	College operates benchmarking arrangements with other colleges and is actively involved in sector initiatives. We share premises with two universities and the Open University. There are articulation agreements with local and other universities including the development of articulation pathways and college staff teach on university courses. There is engagement with schools in the region and pupils attend college on various courses. CTS engage with the business community in regional premises and at the main college sites. The college sites are open for use by the community through appropriate booking arrangements (engagement with partners is likely to be adversely affected by their and our own funding cuts eg LAYP, UWS contract. Major potential development resulting from the introduction of the Dumfries Learning Town with implications for tertiary provision.	3	Q	I

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	<b>Goals</b>	<b>Suggested Evidence</b>	<b>BoM Chairs Grade</b>	<b>Supporting Evidence</b>	<b>Risk</b>	<b>C'tee</b>	<b>Influence</b>
35	Commitment to corporate and social responsibility issues including promotion of equality and diversity and public value	Corporate and social responsibility statement, audit, student satisfaction survey, self evaluation	L	The college operates as a community college serving the needs of the local area. In this respect the issues of social responsibility, promotion of equality and diversity and public value are intrinsic to the planning process and delivery mechanisms. These issues are given high priority by the Board and SMT. However there is no specific statement of intent or recent evidence to support the effectiveness of the college in this respect	2		A
36	Commitment to environmental sustainability	Participation in <i>Climate Change Commitment</i> , development of climate change action plan and monitoring of progress against plan	M	The college has signed up to and is committed to the Climate Change Commitment. An analysis of the college carbon performance has been conducted by the Carbon Centre resulting in an action plan for improvement which is supported by the Board with funds committed and action on-going. As the building is new there may be limited scope to make major improvements	2	F	I
37	Appropriate quality of support services	Staff, student satisfaction surveys	L	Evidence from internal and external evaluations all indicate that there is a high quality of support service accompanying those directly related to curriculum delivery	1	Q	I
38	Effective systems to monitor enrolments	Performance against WSUMs activity target	L	Comprehensive electronic and paper based processes effectively monitor the performance against WSUMs activity not only of the college as a whole but down to course level. The information is virtually real-time and interrogation of this data occurs regularly with corrective actions taking place wherever necessary	1	A	I
<b>Other potential goals identified</b>							
39	Curriculum	Sustainability of multiple campuses/provision	M	Marginality of operation some courses - as funding reduces the challenge increases	2	Q	I

## Board of Management

### Minute of the Meeting of the Audit Committee of the Board of Management of Dumfries and Galloway College held on Tuesday 11 March 2014 at 12.30 pm in Room 2009

**Present:** Hugh Carr (Chair)  
Delia Holland  
Karen McGillivray Fallis

**In attendance** Carol Turnbull, Principal  
Karen Hunter, Finance Manager  
Jannette Brown, Assistant Principal and Clerk to the Board  
Brian Johnstone  
Stuart Martin  
Lindsay-Anne Straughton, Baker Tilly  
Gary Devlin, Grant Thornton  
Angela Pieri, Grant Thornton  
Susan Sutherland, PA to the Principal

#### 1 Apologies

Apologies for absence were intimated on behalf of Sandy Burgess.

#### 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 30 September 2013 was approved.

#### 4 Matters Arising

None.

### Standing Items

#### 5 SI: Internal Audit Reports

Lindsay-Anne Straughton, on behalf of Baker Tilly, Internal Auditor, spoke to the reports which had been distributed.

##### 5.1 Value for Money: Open Learning

The Committee noted and accepted the Advisory report, and the three recommendations related to carrying out a comprehensive review of the costs to agree a new costing model for the end of Session 2013/14.

##### 5.2 Follow-Up reports

The Committee noted follow up audits in respect of network security, general ledger, risk maturity, transport (VfM) and business continuity planning. Of the recommendations made following the original audits, 10 had been implemented, two were ongoing and two were yet to be implemented, which was entirely acceptable to the Internal Auditors.



### **5.3     Income and Debtors**

The Committee noted and accepted the report, which had identified no recommended actions. It was noted however that a Debt Recovery Agency was still not in place.

### **5.4     Procurement and Payments**

The Committee noted and accepted the report, which identified three recommendations on the methods and background to how suppliers were chosen.

During discussion, G Devlin of Grant Thornton indicated his feeling that the limits applied were slightly high. The Finance Manager advised on the internal process where all quotes were kept on file, and added that the majority of these had already been subject to APUC tendering. The Committee agreed and asked for the process to be reviewed following 12 months operating under the ONS reclassification.

### **5.5     IA Progress Report**

The Committee noted and accepted the report.

## **6    SI: ONS Reclassification of Colleges**

G Devlin, External Auditor, advised that there was still a good deal of uncertainty and lack of guidance regarding colleges' year end arrangements, March or July, but the college should continue to plan for a March year end.

### **6.1    External Audit meeting – 11 February 2014**

The Chair of the Committee tabled copies of an email he sent to all Board members following a meeting on 11 February with Gary Devlin, Grant Thornton, Chair of Audit, Brian Johnstone, Jannette Brown and Karen Hunter. In the email the Chair of Audit proposed that the Board decision to transfer reserves to the D&G Foundation was reversed, and that reserves (other than the Lennartz commitment) are transferred to the SFC Umbrella Trust.

This proposal was subsequently agreed and approval was given (by email) from the Chairman of the Board for the College to sign up to the SFC Umbrella Foundation.

As a result the College had formally lodged a request to join the SFC Trust, and the Principal and Assistant Principal (LS) would meet with the Trustees in the near future to discuss the reserves to be lodged by 31 March, and the date when these would require to be returned.

The External Auditor stressed that the Accounting Officer (Principal) would need to be satisfied that the funds as public monies were to be used for the purpose intended. The Committee discussed the situation and agreed that the Principal should seek clarification with the Trustees on the process for fund donations and requests, and in particular that the funds lodged would be "restricted".

In the meantime, the College would continue with the process of setting up the D&G FE Foundation, although the Board may ultimately decide that this should remain dormant.

G Devlin also highlighted that it was crucial that the College achieve a break even position at 31 March 2014.

The Committee agreed that it was content with the arrangements in place to inform the Board regarding the decision on whether to join the Umbrella Trust were robust and appropriate.

## **7    SI: Institutional Sustainability**

The Committee noted no change to the table considered at the previous meeting.

## **8      SI:      Strategic Risk Register**

The Assistant Principal (Learner Services) spoke to the report which had been distributed. She advised of only one proposed change, to Risk 12 regarding the ONS Reclassification, where it was felt that the residual risk could reduce from 12 to 9 and advice/guidance from external auditors added to the control measure.

The Committee noted the report and approved the proposal.

## **Business**

### **9   External Audit Report**

G Devlin, on behalf of Grant Thornton, spoke to the Financial Statements Audit Findings report which had been distributed. The Committee noted that there had been little change since the original draft which they had previously discussed, and recommended the Report to the Board for approval on 28 April 2014.

### **10 Any Other Business**

None.

### **11 Date and Time of Next meeting**

The next meeting had been diarised as 16 June 2014 but the Committee agreed that, in view of the change to the Accounting year, and in order to review the Audit Plan 2014/15, the next meeting would take place on 14 May 2014 from 12.30 pm.

## Board of Management

**Minute of Meeting of the Quality and Curriculum Committee of the Board of Management of Dumfries and Galloway College held on Tuesday 11 March 2014 from 2.00 pm in Room 2089, Dumfries campus**

**Present:**

- R Anderson, Academic Staff representative
- I Beach, Assistant Principal (Quality and Estates)
- T Hydes, Board Member
- R Gunnell, Board Member
- D Holland, Chair
- B Kirk, Student representative
- M Lonsdale, Student representative (vc link to Stranraer campus)
- W Robertson, Student representative
- K Somerville, Academic Staff representative
- C Turnbull, Principal
- A Wright, Assistant Principal (Curriculum)

**Observing:**

- A Hannah
- K MacGillivray-Fallis
- S Martin

**In Attendance:**

- J Brown, Clerk to the Board
- S Sutherland (note)

### **Presentation**

The Committee welcomed a presentation by members of the Learning and Teaching Mentors team on the process carried out to date and plans for the future.

### **Change of Chair**

Following the retiral of Fraser Sanderson, Mrs Delia Holland assumed the Chair of the Committee, and wished to place on record her recognition of Mr Sanderson's work on the Committee.

### **1 Apologies for Absence**

Apologies for absence were intimated on behalf of K Henry, J Henderson, J Maginess and D Patterson.

### **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 Quality and Curriculum Committee held on 30 September 2013 was approved.

### **4 Matters Arising**

#### **4.1 Item 4.2 Transform Update**

The Assistant Principal, Learner Services (APLS) spoke to the report which had been distributed updating Members on the European funded 'Transform – South of Scotland e-hub' joint project with Borders College, the purpose of which is to create further capacity to align college services to support remote access and to develop

blended learning materials. The project had been due to end in July 2013, but early in 2013 it became clear that there would be an under spend in many budget headings and so an application to extend the project until July 2014 was made and approved. Both colleges were currently on plan to meet the additional targets and/or overall budget spend.

The Committee noted the report, and asked for a presentation on TRANSFORM developments at the May meeting.

#### **4.2 Item 5 Key Performance Indicators: Examples of Action Taken**

The Assistant Principal, Curriculum (APC) spoke to the report giving examples of the actions taken by course teams where poor PIs had been identified.

#### **4.3 Item 10 Annual Engagement Visit**

The Assistant Principal, Quality and Estates (APQE) advised that John Bowditch, HMIe had made formal feedback to the Board on 20 January 2014, following the successful AEV in May 2013.

### **Standing Items**

#### **5 SI Key Performance Indicators**

The APC spoke to the report which had been issued on retention and learner outcomes to date for 2013/14.

The Committee noted that retention rates for full-time learners continued to move towards national averages, but a positive improvement across the sector meant that the college would need to improve even further.

Members discussed the areas of downward performance and it was agreed that the APC would provide a report to the next meeting on courses in the Business and Care areas where attainment was below 75%.

#### **6 SI Curriculum Developments**

The APC spoke to the report which had been issued informing Members of the key developments in the curriculum.

During discussion, the Committee noted that the College was working with all schools in the region except one, offering a range of delivery methods. Significantly for 2014/15 a range of programmes will be piloted for HNC including Electrical Engineering, Childcare and Education, Social Sciences and Sports and Fitness, supported through elearning with local Dumfries schools and Wallace Hall Academy as part of their Senior Phase provision.

The meeting also discussed the flexibility of online learning, and the student representatives confirmed that the College was offering a good mix of face to face and online learning, which was particularly helpful with revision, or where someone had missed classes.

#### **7 SI Complaints Handling Statistics**

The APQE spoke to the report which had been distributed.

## **7 SI Learner Engagement**

### **7.1 Complaints Handling Statistics**

The Assistant Principal, Quality and Estates (APQE) spoke to the report which had been issued, advising that the College was required to report annually on its performance in handling complaints in line with the SPSO requirements. The information in the report related to the period for 1 September 2013 to 21 February 2014. The Committee were pleased to note no major issues or trends and that all complaints had been resolved within the appropriate timescales.

## **8 Quality – Internal Audit Reports**

### **8.1 Admissions Survey**

The Committee noted the results from the on-line survey carried out for two weeks in November/December 2013 (a response rate of 265 of 1608 FT students). The report provided feedback from students in relation to the pre-application and admissions processes which included advice sessions.

The Committee discussed the number of students who had been referred by Job Centre Plus and acknowledged that, whilst this could be as a result of the changing age profile of students, it was disappointing and the meeting discussed ways of trying to create a better understanding of what the College has to offer.

### **8.2 Induction Survey**

The Committee noted the report providing feedback on Learner Induction for 2013-14 session (326 responses of 1608 FT students).

## **9 SI Students Association**

The student representatives present provided a verbal update on recent and forthcoming Association activities. They stressed how difficult it was to arrange a full executive meeting, ie including those members from the Stranraer campus. The Principal advised that, provided sufficient notice was given in terms of class attendance, the Association could agree advance date(s) in the year when this could happen.

## **10 SI Institutional Sustainability**

The Committee noted the IS table which had been distributed, with no change from the previous meeting.

## **Business**

### **11 Feedback on Aspect Visits**

#### **11.1 Maximising Learner Success – 12 February**

The APC reported on a positive visit involving representatives from college partners, schools and staff and students. A minor issue was raised by the students during feedback which was being addressed.

#### **11.2 Support for Learning – 26 February**

The APC reported on an positive visit when Education Scotland identified the excellent nature of learning support in the College, including the symbols used on CMIS to identify where there were support needs identified, and the joined up approach between support and lecturing staff.

## **12 SQA Systems Check**

The APQE reported that whilst SQA external verification visits occurred throughout the year, this visit was to monitor overall management. There were no development points identified and only one recommended action, which was a very positive outcome.

## **13 Credit Rating Project**

The APQE reported on the partnership with Borders College where the College was able as a centre to award accreditation to unrecognised qualifications, eg the eportfolio system.

## **14 Any other Business**

None

## **15 Date and Time of Next meeting**

The next scheduled meeting of the Committee would take place on 14 May from 2.00 pm, to be confirmed nearer the time.

## 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 Monday 17 March 2014 at 2.00 pm in Room 2089, Dumfries campus**

**Present:** R Gunnell  
J Henderson (Chair)  
K Henry  
C Turnbull

**In attendance:** K Hunter, Finance Manager  
J Brown, Assistant Principal (Learner Services) and Clerk to the Board  
S Sutherland, PA to the Principal

### **1 Apologies for Absence**

Apologies were intimated on behalf of Mr B Johnstone.

### **2 Declaration of Interest**

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

### **3 Minute of Previous Meeting**

The Minute of the Finance and General Purposes Committee held on 18 November 2013 was approved.

### **4 Matters Arising**

#### **4.1 Item 4.1 Retention Monies**

The Principal advised that the College had written to Millers outlining its continuing stance. The Assistant Principal (Quality and Estates) had received a note in response which was ambiguous but did hint at acceptance. He has asked them for written confirmation of this. In the meantime, the Committee was advised that there was still provision in the Accounts for the retention monies.

#### **4.2 Item 9 Institutional Sustainability**

The Principal reported that she had not yet added the establishment of a company limited by guarantee until the position was clearer, but that she would now add both the umbrella trust and college foundation as potential risks.

### **Standing Items**

#### **5 SI Capital Expenditure 2013/14**

The Finance Manager spoke to the report which had been distributed.

The Committee noted that the operational plans for 2013/14 had been reviewed and refined through SMT discussions, in order to prioritise works and ensure that the requests were in line with the Strategic Plan and Regional Outcome Agreement. In addition, funds from 2012/13 were available to carry forward and a request for an allocation of funds to complete the Transform project and e-business Strategy during 2013/14 was included.

The remaining items from the operational plan requests as approved at the previous meeting of the Committee were summarised as an Appendix to the report.

Members approved the allocation of capital expenditure to be used by 31 March 2014.

## **6      SI      Management Accounts for February 2014**

The Finance Manager tabled the financial report for February 2014.

The Committee noted that an operating deficit of £114,000 for the period to 31 March 2014 was forecast. However the accounting treatment of the core grant which should be recognised for the period was currently being clarified, in view of the change to the year end.

The Principal advised that both SFC and the External Auditors were aware and accepted that all college accounts to the end of March would be unusual and not comparable with previous years. However, the College was content as far as was possible that, had this been a normal year, it was still on course to return a slight surplus.

The Principal reported that whilst it was difficult to give the Committee the normal comparisons and assurances, SMT had been monitoring the cash flow position on a monthly basis and during March, the situation would be closely monitored in order to identify any amounts which should go into Trust prior to the end of the period.

The Committee noted the situation, and the lack of clear guidance available.

## **7      SI      Aged Debt Report**

The Finance Manager spoke to the report which had been distributed. It was noted that the Lewis Group had closed their debt collection department in January 2014, and the College was still trying to identify an alternative.

The Principal reported that it in terms of student funding, the balance of supporting students, whilst not overpaying so that monies could be recouped, was difficult and where students were in receipt of a bursary, housing and childcare benefits, their circumstances could change on a monthly basis.

Following discussion, the Committee agreed to write off the amount of £5,785.71, but noted that this figure was higher than previous years and so asked that the situation be closely monitored, and that the Finance Manager investigate the background to two individual student debts.

## **8      SI      Budget 2014/15**

The Finance Manager spoke to the report which had been distributed.

The Committee noted that the budget setting process for 2014/15 had had to commence much earlier in order to support the change in the year end. SMT had agreed the Curriculum Development Plan in December 2013, which had informed the staffing and resource costs for the budget.



The Committee reviewed the processes undertaken, and the key assumptions in the draft Budget, and recommended it to the Board for approval.

## **9 SI Institutional Sustainability**

The Principal spoke to the table which had been distributed. She highlighted a few minor additions to the narrative, in that capital funding had been maintained for 2014/15 (10) and that, whilst in year funding had been received, the College was still overspent on student funding (11).

In respect of efficient space utilisation (24), the Principal advised that the new hospitality development would be accommodated but thereafter any future expansion would be difficult.

The Committee noted the report.

## **10 ONS Reclassification of Colleges**

The Assistant Principal (Learner Services) reported that, following an external audit meeting on 11 February 2014, the Chair of Audit had issued an email to all Board Members proposing that the Board decision to transfer reserves to the D&G Foundation was reversed, and that reserves (other than the Lennartz commitment) be transferred to the SFC Umbrella Trust. This proposal was subsequently agreed and approval was given (by email) from the Chair of the Board for the College to sign up to the SFC Umbrella Foundation.

As a result the College had formally lodged a request to join the SFC Trust, and the Principal and Assistant Principal (LS) would meet with the Trustees in the near future to discuss the reserves to be lodged by 31 March, and in particular that the funds lodged would be “restricted”, and the date when these would require to be returned. The Committee noted the position, and agreed that the College lodge reserves of up to £2M with the Scottish Colleges Foundation before 31 March 2014.

In the meantime, the College would continue with the process of setting up the D&G FE Foundation, although the Board may ultimately decide that this should remain dormant.

## **Business**

### **11 Hospitality Curriculum Development**

The Principal reported on progress to date, and tabled key dates for the hospitality tendering process.

She advised that the budget for the build and adjacencies was still forecast to be within the £2M budget, and that it was anticipated that the build would be complete by 31 March 2015, for the first student intake in August 2015.

### **12 Any Other Business**

None

### **13 Date and Time of Next Meeting**

The next meeting was scheduled to take place on Monday 2 June 2014 at 2.00 pm.

## Board of Management

### Minute of the Meeting of the Nominations Committee of the Board of Management of Dumfries and Galloway College held on Thursday 3 April 2014 at 9.30 am in Room 2009.

**Present:** Brian Johnstone (Chair)  
Hugh Carr  
Delia Holland

**In attendance:** Jannette Brown, Clerk to the Board

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#### 1 Apologies for absence

There were no apologies.

#### 2 Declaration of Interest

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

#### 3 Minute of Previous Meeting

The Minute of meeting of the Nominations Committee, held on 25 March 2013 was approved.

#### 4 Matters Arising

There were no matters arising

#### 5 Correspondence received

Members noted the letter from Michael Cross, dated 4 March 2014, advising that, the board of management of the college was designated as a regional college. This designation was achieved by the Designation of Regional Colleges (Scotland) Order 2014. Section 6(1) of the 2013 Act, makes new provision for the composition of college boards of management by amending Schedule 2 to Further and Higher Education (Scotland) Act 1992 ("the 1992 Act") came into force on that date in relation to the college.

#### 6 Recruitment of Board members

Members discussed the report on forthcoming Board member retirements which included highlighting that all ordinary members term in office would end 2 March 2015. The committee agreed to hold two separate recruitment processes, one in May 2014 and the second in December 2014. Depending on the outcome of the recruitment in May 2014 the December recruitment may need to be targeted to address any particular gender, skills or knowledge balance of the Board. It was also agreed that nominations and if necessary election of the support staff member should be concluded by the end of June 2014. The Board recruitment process will follow the recruitment guidelines set out in the college sector board appointments draft guidance issued by the Scottish Government. In line with this guidance the committee noted that Board appointments should be advertised on the Public Appointments website. The recruitment process will be open to any Board members vacating the post to apply for a new appointment. At this point Hugh Carr declared an interest.

The committee agreed to invite the Chair of Finance and General Purposes Committee to take Hugh's place during the recruitment process. In line with the draft guidance the committee noted that an independent member should also be part of the recruitment panel. It was agreed that the Clerk to the Board would ask Brian Pattinson to join the panel. The Clerk will circulate a draft schedule of the process to the panel.

## **7 Future Development Events**

The committee agreed that the Board would benefit from a development event on leadership. The Clerk to the Board was asked to arrange for Jan Polley, Polley Solutions Ltd, to facilitate this event to take place late October/early November.

## **8 Any Other Business**

The committee expressed their concern on the lack of opportunity to get to know fellow board members and the SMT. The committee agreed to host an informal network event such as a BBQ or buffet supper sometime early in the summer. The Clerk to the Board would discuss further with the Principal and take forward.

## **9 Date and time of next meeting**

To be confirmed

## Board of Management

### ANNUAL REPORT OF STAFFING COMMITTEE

#### 1. Administrative Matters

This report from the Staffing Committee of the Board of Management of Dumfries and Galloway College is submitted in accordance with the requirement of Appendix XVII of Standing Orders in relation to the minimum reporting requirements for Standing Committees.

1.1 The period covered by the report is 1 August 2012 to 31 July 2013.

1.2 The membership of the Committee during the period, included:

Mr T Hydes	
Ms C Turnbull	
A Nyondo	
Mrs K Magillivray-Fallis	

1.3 During the relevant period, the meetings were as follows:

29 October 2012	3 members attended
21 January 2013	3 members attended
27 May 2013	4 members attended

1.4 The average attendance figure from amongst members was 3 per meeting.

1.5 There has been no significant change to the Committee's Terms of Reference during this period.

1.6 The Board agreed a Scheme of Delegation in January 2002 that affected all Committees, principally by granting delegated authority to the Chairman of each Committee the power to act on behalf of the Committee between meeting cycles. This power was not exercised.

#### 2. Main issues dealt with

2.1 Work completed in accordance with the Strategic or Operational plan included:

- Regular reports to the Committee from the Head of Human Resources in respect of:

Absence  
 Staffing Establishment Changes  
 Staffing Analysis  
 Staff Utilisation  
 Employment Law Changes  
 Grading reviews  
 Discipline and Grievance  
 Institutional Sustainability

2.2 Work completed in accordance with any Action Plans:

- Policies and procedures reviewed in light of changes in legislation
- Review of staffing establishment to ensure efficient use of the Human Resource within the budget constraints identified avoiding any redundancies.

2.3 There were no reports issued.

- 2.4 The current Terms of Reference are adequate to ensure that Staffing and Human Resources issues are dealt with appropriately.
- 2.5 The Committee can give a reasonable assurance to the Board of Management that there are no major weaknesses apparent in the processes and responsibilities within the areas for which the Staffing Committee has oversight.
- 2.6 The scope of the work during the period was, in the opinion of the Staffing Committee, appropriate and effective and the performance of the Management in Staffing and Human Resources was satisfactory.

### **3. Value for Money Studies (VFM)**

- 3.1 There were no specific value for money studies conducted during the report period.
- 3.2 There are 2 specific value for money studies planned for the subsequent year, Open Learning and Work Based Learning.

### **4. Other Matters**

There are no matters arising from trusts, joint ventures, subsidiary or associated companies.

### **5. Opinion**

The Committee is of the opinion that it has complied with the Board's Standing Orders and Financial Regulations and there is reasonable cause for assuring the Board on the effective and efficient achievement of the Board's objectives for the Committee.

OUR VALUES

SUPP  
TIVE  
communication  
understanding  
VALUE  
TRUST leadership  
RESPECT enthusiasm  
EFFECTIVE POSITIVE outcome  
STRENGTH ATTITUDE  
INCLUSIVENESS LISTENING  
INVOLVEMENT  
ACHIEVE  
OUR VALUES

# Vision 2020

## Summary Report

# Contents

- Vision 2020
- Appendix 1 Statement
- Appendix 2 Summary of Key Recommendations

Issued  
March 2014  
Carol Turnbull  
Principal

# Vision 2020

## Introduction

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 and our aspirations and priorities for that timescale.

# Background

The College Sector has undergone a period of fundamental change (Regionalisation and a re-focus of Government priorities) in recent times that has required Colleges to re-evaluate their strategic aims and priorities. Dumfries and Galloway College received a very positive Education Scotland Review in March 2012 that gave full confidence statements in all areas of college activity and identified 2 examples of sector leading practice. The appointment of a new Principal (August 2012) a new Chair of the Board of Management (March 2014), together with the need to develop a new Strategic Plan has provided the catalyst and opportunity for all Staff and Board members to engage and contribute to the development of a collective Vision, Mission and Plan.

## Process

Sessions were initially held with Board members and the Senior Management Team to identify and agree some key strategic aims and objectives. The Senior Management Team undertook further work to refine these into a Vision, Mission and Strategic Outcome draft document which was approved by the Board of Management and then used as the basis for a range of facilitated sessions with groups of staff. John Burt (ex Principal of Angus College) and Brian Curle (Director of Further Education Development) acted as external facilitators and separate sessions were held with All Staff, Support Managers, Heads of Faculties, Curriculum Leaders, Team Leaders and Officers, and the Senior Management Team. The aims of the facilitated sessions were to obtain staff views on the Vision 2020 document and to obtain key recommendations on moving forward collectively to achieve Vision 2020.

## Vision 2020 – Amended and Improved Version

The overall view from staff is that the Vision 2020 paper is generally acceptable and is recognised as building on previous work. The succinctness was welcomed and there were many and varied comments on specific wording. These have been considered and an improved Vision 2020 statement is attached (Appendix 1) – with the changes highlighted.

## Summary of Key Recommendations on Moving Forward Collectively to Achieve Vision 2020

A summary of the key recommendations from all of the staff sessions is attached (Appendix 2). Key messages are around openness, trust and consistent leadership and communication at all levels in the organisation. Support Managers, Heads of Faculty and SMT had a joint session with John Burt following the All Staff session, where he presented the summary. A commitment was made at that session to work together to ensure these messages are acted upon and Heads of Faculty and Support Managers also agreed to work more closely with each other moving forward. Some specific comments were received relating to clarity of the role of Curriculum Leaders and this is being taken forward as a priority.

## Next Steps

The improved Vision 2020 Statement will be presented to the Board of Management for formal approval at the meeting to be held at the end of April 2014. Carol met John and Brian recently to discuss how to take forward the next stage of development which will be to identify appropriate success factors for each of the Strategic Outcomes (ie how will we know if we've achieved our Strategic Outcomes). This is likely to be the most challenging aspect of the plan's development and many staff commented on this as part of their feedback to John. Once we have identified the success criteria we can then work back the way to identify appropriate milestones in Year 1, Year 2 etc that will tell us we are on our way. These milestones will become our Annual Operational Plans.

John Burt will attend the Board meeting to present a summary of the findings from the staff sessions to agree the next steps.





# Vision 2020

Inspiring our People, Businesses and Communities to be successful

## 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

## Strategic Outcomes:

- We will provide opportunities to access and progress through education and training at all levels.
- We will deliver education and training that is a route to employment and career development and is aligned to local and national economic need.
- We will be the first choice for recruitment, training and development of the workforce.
- We will enable communities to grow and develop through local education and training.
- We will support more businesses to start-up, grow and diversify.
- We will enable people to build their independence and confidence in a supportive environment.
- We will enable people, through lifelong learning, to remain healthy and socially engaged.

# Achieving Vision 2020

## Summary Report from All Sessions on Vision 2020

### Key Recommendations on Moving Forward Collectively:

- General Communications Enhanced
- Join up and ensure consistent communication across the organisation at all levels (vertically and HORIZONTALLY)
- Listen to and act on the views of staff from Vision 2020 Sessions
- Resource and Invest in Vision 2020
- Review Academic Structure/CL Role
- Devolve Leadership and trust your staff to deliver the agreed targets
- Ensure clear dissemination of objectives/actions with appropriate supporting information
- Ensure plans/projects include all appropriate teams from the start (Think Wider Earlier and Include)
- Promote Positive Behaviour/Success
- Value/Hold on to Best Staff
- Develop a 'joined-up' college workflow that highlights key activities and facilitates task driven meetings (Right People at the Right Time with the Right Focus)
- Ensure all staff feel respected and give respect

### Single Recommendations – i.e. made by a single group/table

Be Consistent / Be Proactive / A College Party / More Openness/Flexible Timetable / All Leaders Engaged / More Time Conscious / Ensure Systems fit-for-purpose / More Time for Learners / Need to think holistically about student life / More accent on Quality / Remove Barriers / Promote Staff Community / Utilise Subject Specialists Better / Take Staff with You/'One-Team' not there yet / Use Staff Better; Audit Staff Skills / Remove Blame Culture / Use Success Rates rather than Retention Rates / Share Good Ideas between Departments / Lead Change through Creativity / Look after Each Other / Never Compromise on Standards / Social Space for Staff / Better Employer Links



## Board of Management

### APPOINTMENT OF REGIONAL CHAIRS

#### 1. Purpose

The purpose of this report is to inform members of the Ministerial appointment of regional chairs.

#### 2. The Report

The Ministerial appointment of twelve regional chairs, including of the ten regional colleges was announced in a recent news release. The Chairs are:

Aberdeen and Aberdeenshire - Ken Milroy  
Ayrshire - Willie Mackie  
Borders - Anthony Jakimciw  
Central - Hugh Hall  
Dumfries and Galloway - Brian Johnstone  
Edinburgh - Ian McKay  
Fife - Stephen Magee  
Glasgow - Henry McLeish  
Lanarkshire - Linda McTavish  
West - Keith McKellar  
West Lothian - Janie McCusker

An interim appointment was made in the Dundee and Angus region, pending the outcome of a further public appointment round. There was no appointment in the Highlands and islands college region as this is not a Ministerial appointment.

Regional college chair appointments are subject to standard terms and conditions of appointment. These include the following remuneration rates.

Region	Daily rate (7.5 hours)	First financial year		Subsequent years	
		Maximum Days	Maximum total fee	Maximum Days	Maximum total fee
Borders Central Dumfries and Galloway West Lothian	£200	104	£20,800	78	£15,600
Aberdeen and Aberdeenshire Ayrshire Fife Lanarkshire Tayside West	265	104	£27,560	78	£20,670
Edinburgh Glasgow	330	104	£34,320	78	£25,740

Formal letters of appointment have yet to issue in relation to Glasgow and Lanarkshire as the regional arrangements are not yet in place.

#### 6. Recommendation

The Board is asked to note the report.

Jannette Brown  
Clerk to the Board  
April 2014

## Board of Management

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### Scheme of Delegation

#### 1 Introduction

On the 3rd March 2014, the Board of Management of Dumfries and Galloway College was designated as a Regional College. This designation was achieved by the Designation of Regional Colleges (Scotland) Order 2014. Section 6(1) of the Post-16 Education (Scotland) Act 2013, which makes new provision for the composition of college boards of management by amending Schedule 2 to Further and Higher Education (Scotland) Act 1992 and Sections 23A to 23D of the Further and Higher Education (Scotland) Act 2005.

This scheme specifies the functions which are delegated by the Board of Management in terms of Section 12 (4) of the Further and Higher Education (Scotland) Act 1992, the Further and Higher Education (Scotland) Act 2005 and the Post-16 Education (Scotland) Act 2013 will also be exercised within the terms set out by the Financial Memorandum which currently applies to Scotland's Colleges.

All delegations must be exercised in accordance with the law and having regard to any lawful direction and or guidance subsequently issued by Scottish Ministers or the Scottish Funding Council.

The delegations are dealt with in four main sections:

Section 5 – Delegations to the Chair of the Board of Management

Section 6 – Delegations to the Committees of the Board of Management

Section 7 – Delegations to the Principal and Chief Executive

Section 8 – Delegations to the Secretary of the Board of Management

#### 2 Compliance

Compliance with the terms of the Scheme of Delegation is mandatory upon delegates. Breaches may lead to withdrawal of delegations and/or imposition of sanctions.

#### 3 Review

The Scheme of Delegation shall be revised at least every three years. This shall not preclude a review being conducted before such time, should it be considered necessary by the Board of Management, or to bring the Scheme of Delegation into line with changes in legislation, regulation, or official direction or guidance.

#### 4 Authority reserved to the Board of Management

The following are reserved to the Board of Management and are, in such circumstances, excluded from any scheme of delegation:

## Board of Management

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- 4.1 determination of the mission, vision and key objectives of the Board of Management and the College;
- 4.2 final approval of the College Strategic Plan;
- 4.3 final approval of the Regional Outcome Agreement;
- 4.4 final approval of the College budget for revenue and capital expenditure and financial forecasts;
- 4.5 final approval of the year end accounts and financial statements;
- 4.6 approval of the Annual Audit Report;
- 4.7 approval of the Annual Report on Institutional-led Self Evaluation;
- 4.8 borrowing money (other than overdraft facilities arranged within the College's Financial Regulations) and, in connection with such borrowing, granting securities or giving guarantees or indemnities. Any such borrowing, and the granting of securities, guarantees or indemnities must comply with Section 12.7(a) of the Further and Higher Education (Scotland) Act 1992, the Further and Higher Education (Scotland) Act 2005 and the Post-16 Education (Scotland) Act 2013;
- 4.9 acquisition and disposal of heritable property in terms of any direction by Scottish Ministers or the SFC;
- 4.10 recruitment of Board members;
- 4.11 removal of Board members from office prior to the termination of their period of appointment;
- 4.12 appointment of Board Members to Standing Committees, the appointment of Standing Committee Chairs, and the co-option of additional members to Standing Committees;
- 4.13 appointment and dismissal of the Principal and Chief Executive and of the Secretary to the Board;
- 4.14 appointment and dismissal of the Board Secretary;
- 4.15 the making, amendment and revocation of the College's Articles of Governance (including Standing Orders, Financial Regulations, Standing Committee Terms of Reference, and this Scheme of Delegation);
- 4.16 establishment and winding-up of any subsidiary company of the College, and the College's membership of any company;
- 4.17 establishment of any Arm's Length Trust to support the charitable aims of the College; and
- 4.18 financial expenditure in excess of delegated limits as set out in the College's Financial Regulations.

The Principal and Chief Executive is responsible for the operational management of the College subject to strategic direction by the Board.

## Board of Management

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### 5 Delegations to the Chair of the Board

The Chair of the Board is a Ministerial appointment.

The Chair is the main point of contact on the Board for the College Principal and with the Principal will often represent the College in the public domain and respond on matters of media interest.

The Chair of the Board of Management is authorised:

- 5.1 in emergency situations, in the absence of the Principal and Chief Executive and his/her designated deputy, to take such measures as may be required to enable the College to carry on its business. The Chair shall report such instances to the appropriate committee(s) or to the Board as soon as possible thereafter, on any items for which approval of the committee or the Board would normally be necessary (In the Principal and Chief Executive's absence the deputising Assistant Principal will normally be responsible for the operational management of the College);
- 5.2 following approval by the Board of Management, to sign and date the College Annual Report and Financial Statements prior to their submission to the SFC;
- 5.3 following approval by the Board of Management, to sign the College Regional Outcome Agreement prior to submission to the SFC;
- 5.4 following approval by the Board of Management, to sign the College Annual Report Institutional-led Self Evaluation prior to submission to the SFC;
- 5.5 to sign all deeds and other documentation binding the Board of Management for all purposes to which Schedule 2, paragraph 20 of the 1992 Act applies, when approved to do so. The Board of Management will be notified of all deeds and other documents signed by the Chair at their next meeting.
- 5.6 to conduct the Principal and Chief Executive's annual performance appraisal
- 5.7 to initiate any disciplinary action against the Principal and Chief
- 5.8 to conduct annual appraisal review with Board members
- 5.9 attend all meetings of Committees of the Board of Management as an ex officio member (except those of the Audit Committee);
- 5.10 to represent the Board of Management on appropriate external committees

### 6 Delegations to Committees of the Board of Management

There is delegated to each Standing Committee of the Board of Management:

1. the exercise of all the functions and duties of that Committee as set out in its terms of reference as agreed and amended from time to time by the Board of Management;
2. the exercise of any special delegations to that Committee as set out in any Minute of the Board of Management; and
3. the review of matters of policy related to the work of that Committee.

## Board of Management

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Each Committee may exercise and perform on behalf of, and in the name of the Board all of the authority, powers and duties of the Board in relation to the functions so delegated.

The Chair of each Committee is authorised to sign approved minutes of that Committee on behalf of the Board of Management.

The Standing Committees of the Board of Management are:

- Audit Committee
- Remuneration Committee
- Financial and General Purposes Committee
- Human Resources Committee
- Learning and Teaching Committee
- Nominations Committee

### 7 Delegations to the Principal and Chief Executive

The Principal and Chief Executive is appointed by the Board and on appointment, becomes a member of the Board. Their salary is determined by the Remuneration Committee of the Board of Management.

The Principal and Chief Executive is responsible for the operational management of the College subject to strategic direction by the Board.

It is also the duty of the Principal to manage the College's resources and s/he has ultimate responsibility for staffing matters. With regard to College staff, the Principal requires to lead, appoint, assign, grade, appraise, suspend, discuss and determine pay and conditions of staff.

Save where otherwise provided, on occasion of the absence of the Principal from the College for more than 20 working days, or during approved leave, any power delegated to the Principal under this Scheme of delegation shall automatically transfer to the Designated Deputising Principal

The functions listed here are delegated to the Principal and Chief Executive, who may, in the exercise of his or her responsibilities and duties delegate particular functions to other members of staff while retaining responsibility to the Board of Management for the exercise of these functions.

The Principal and Chief Executive is authorised:

- 7.1 to manage and delegate as appropriate all college activities on a day to day basis subject to regular reporting to the Board of Management;



## Board of Management

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- 7.2 to carry out all functions necessary to enable her/him to fulfil the responsibilities of the Principal and Chief Executive and to implement through her/his management of the College the strategy and decisions of the Board of Management and Committees;
- 7.3 in emergency situations, take such measures as may be required, subject to advising the Chair of the Board and the Clerk to the Board, where possible, and subsequent reporting to the appropriate Committee or to the Board as soon as possible thereafter on any items for which approval of the Committee or the Board would normally be necessary;
- 7.4 to represent the College in furtherance of the duties of the position of the Principal and Chief Executive and the interests of the College;
- 7.5 to consult and negotiate with representatives of recognised trades unions and professional associations on behalf of the Board of Management;
- 7.6 following approval by the Board of Management, to sign and date the College Annual Report and Financial Statements prior to their submission to the SFC;
- 7.7 following approval by the Board of Management, to sign the College Regional Outcome Agreement prior to submission to the SFC;
- 7.8 following approval by the Board of Management, to sign the College Annual Report Institutional-led Self Evaluation prior to submission to the SFC;
- 7.9 to sign all deeds and other documents binding the Board for all purposes to which paragraph 20 of Schedule 2 to the 1992 Act applies;
- 7.10 to determine the criteria to be used to select staff for redundancy within the terms of the Board's current Recognition and Procedures Agreement(s) and to make staff redundant or terminate their contracts;
- 7.11 to authorise the issue of press release for publication and broadcasting on behalf of the College;
- 7.12 to engage the services of outside contractors as necessary, subject to existing financial limits, to carry out the strategy and decisions of the Board of Management
- 7.13 to approve the secondment of staff of the College to external agencies where the total cost for the secondment is recoverable and to approve the appointment, where necessary, of a temporary replacement for the duration of the secondment;
- 7.14 to administer, in accordance with any policy determined by the Scottish Government or the SFC or the Board, the disbursement of monies to students attending the College;
- 7.15 to set and amend as necessary the level of the tuition fees, examination expenses, maintenance and contribution scales for all courses and services offered by the College taking cognisance of periodic guidance issued on such matters by the Scottish Government and the SFC;
- 7.16 to waive or grant remission of tuition fees and expenses in special cases within guidelines set by the Board or which contribute to the achievement of the College's strategic priorities;
- 7.17 to take appropriate disciplinary action, including temporary exclusion and permanent exclusion, against students in accordance with any policies of the Board;

## Board of Management

- 7.18 to provide financial and other assistance to the Students' Association of the College within the terms of any scheme of establishment or policy of the Board;
- 7.19 to draw up specifications for, and to seek, tenders for the supply of goods and services to the College in accordance with the College's approved procurement procedures;
- 7.20 to arrange for any necessary alterations or adaptations to College property and to enter into contracts and to incur capital expenditure for any amounts within delegated limits set out in the Board's Financial Regulations and provided that the alteration or adaptation does not affect any material change in the character of the College, and subject to tender procedures;
- 7.21 to write off losses and make special payments up to the limit specified in the Financial Memorandum as issued to Colleges by the SFC;
- 7.22 on receipt of valid claims, to authorise the payment to Members of the Board or co-opted members of the Board's Committees such allowances and expenses as the Board may have determined after taking cognisance of guidance issued by the SFC and Scottish Government;
- 7.23 to authorise the Chair's remuneration taking cognisance of guidance issued by the SFC and Scottish Government
- 7.24 to respond on behalf of the Board to consultative documents which may from time to time be sent to the College by the Scottish Government, SFC or other external agencies;
- 7.25 to review annually the performance of members of the College's Executive Team against predetermined targets;
- 7.26 to vire monies from expenditure heads within agreed budgets taking account of and complying with the College's Financial Regulations;
- 7.27 to sign and date the report of the Board of Management of the Annual Accounts in terms of the account direction given by the SFC under the provisions of paragraph 18 of Schedule 2 to the Further and Higher Education (Scotland) Act 1992;
- 7.28 to sign all deeds and other documents binding the Board of Management for all purposes which relate to Schedule 2 to the 1992 Act;
- 7.29 to sign on behalf of the Board of Management applications for grant assistance from European Structural Funds and other funding bodies;
- 7.30 to rescind, in the role of Principal Chief Executive, any delegation to any nominated officer.

### 8 Delegation to the Secretary to the Board

The Board Secretary is responsible for the proper conduct of the Board's business. The Secretary should not however participate in the discussions and decisions of the Board, although he should ensure issues are fully debated and clear decisions are recorded. The Secretary should be available to offer advice and guidance on procedural and governance issues when required. It is important that the Secretary preserves independence from the Management of the College.

## Board of Management

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The Secretary to the Board of Management is authorised:

- 8.1 to keep proper records and minutes of the Board and associated Committee proceedings and to prepare agendas, draft minutes and agreed minutes of all meetings of the Board and Committees
- 8.2 to make available, for inspection on the College's website, copies of approved Minutes of any meeting of the Board and Committees in accordance with the College's Freedom of Information Policy and Publication Schedule;
- 8.3 to act as Returning Officer for elections of academic and support staff Management of the Board in terms of the Rules for Appointments;
- 8.4 carry out the administration and other duties imposed on the Secretary to the Board by the Rules for Appointment in respect of the nomination and appointment of other Management of the Board;
- 8.5 to maintain the Register of Interests of Board members
- 8.6 ensure that membership of Board of Management Committee's is up to date;
- 8.7 to proactively provide advice to Members of the Board including the Chair, Chairs of Standing Committees and the Principal and Chief Executive.
- 8.8 to arrange programmes of induction and development for members of the Board of Management

### 9 Recommendation

Members are asked to discuss and approve the revised scheme.

Jannette Brown  
Secretary to the Board  
April 2014

## **Revised Committee Terms of Reference and Membership**

### **1 Introduction**

On the 3rd March 2014, the Board of Management of Dumfries and Galloway College was designated as a Regional College. This designation was achieved by the Designation of Regional Colleges (Scotland) Order 2014. Section 6(1) of the Post-16 Education (Scotland) Act 2013, which makes new provision for the composition of college boards of management by amending Schedule 2 to Further and Higher Education (Scotland) Act 1992 and Sections 23A to 23D of the Further and Higher Education (Scotland) Act 2005.

The current Standing Orders will need to be revised to reflect changes resulting from the above. This paper details at the current committee structure and membership alongside suggested changes to reflect best practice.

Board members are asked to discuss and approve the revised terms of reference and membership.

Jannette Brown  
Secretary to the Board  
April 2014

Current Audit Committee	Proposed Audit Committee
Quorum: 2	Quorum: 3
Frequency: 4 per year	Frequency: 4 per year
Membership: 4 members - Hugh (Chair), Delia, Karen, Sandy (Stuart standing in for Sandy) (principal should not be a member)	Membership: 5 members. Chair of the Board and the Principal should not be members of the committee. No member should also be a member of the F&GP committee
In attendance: Principal, Assistant Principal (LS), Finance Manager, Internal and External Auditors	In attendance: Principal, Assistant Principal (LS), Finance Manager, Internal and External Auditors
<p>Terms of reference:</p> <ol style="list-style-type: none"> <li>1. ensure systems are in place to promote efficiency, effectiveness and economy</li> <li>2. appraise management's arrangements for achieving value for money</li> <li>3. review the effectiveness of the internal control and management systems;</li> <li>4. appoint, monitor and agree the remuneration of internal and external auditors</li> <li>5. ensure compliance with corporate governance requirements</li> <li>6. suggest examples of good practice in risk management, governance and internal control</li> <li>7. ensure a system of risk management has been established and is being maintained</li> <li>8. establish a Professional Malpractice (Whistle-blowing) Procedure</li> <li>9. agree an internal audit plan and review audit reports and annual report</li> <li>10. review the draft financial statements in accordance with the Accounts Direction</li> <li>11. agree a letter of engagement with the external auditor and review report to management</li> <li>12. prepare an annual report to the Board on Internal Financial Control prior to signing the financial statements.</li> </ol>	<p>Terms of reference:</p> <ol style="list-style-type: none"> <li>1. To ensure systems are in place to promote efficiency, effectiveness and economy , including where appropriate the identification of specific value for money studies, and to ensure that activities are managed in accordance with legislation and regulations;</li> <li>2. To review effectiveness of the internal controls and management systems;</li> <li>3. To ensure compliance with corporate governance requirements;</li> <li>4. To ensure a system of risk management is in place and is being maintained;</li> <li>5. Establish a Whistle-blowing policy;</li> <li>6. To advise the Board of the process for the appointment of the external auditor, who is currently appointed by the Auditor General for Scotland, for his/her remuneration;</li> <li>7. To determine the scope of the external auditor's work including any non-audit services provided;</li> <li>8. To appoint, monitor and agree the remuneration of internal auditors</li> <li>9. Agree internal audit plan and review audit reports including annual audit report;</li> <li>10. To prepare an annual report to the Board on Internal Financial Control prior to the signing of the Financial Statements</li> <li>11. To report to the Board as required – minutes of the meetings should be circulated to the Board</li> </ol>

## Board of Management

Current Nominations Committee	Proposed Nominations Committee
Quorum: 2	Quorum: 2
Frequency: 1 per year	Frequency: 1 per year
Membership: 3 members - Brian (Chair), Delia (Vice Chair) and Hugh (Chair of Audit)	Membership: 3 members. Principal should not be a member or attend the nominations committee. Best practice is that the Chair of the Board should be Chair of nominations
In attendance: Principal by invitation	In attendance:
<p>Terms of reference:</p> <ol style="list-style-type: none"> <li>1. nominate candidates for the approval of the Board to fill vacancies on the Board,</li> <li>2. determine the process whereby candidates are nominated and appointed</li> <li>3. develop and recommend to the Board policies and procedures for the induction, governance and development of Board members.</li> <li>4. consider recommendations to the Board on the Board's composition and balance</li> </ol>	<p>Terms of reference:</p> <ol style="list-style-type: none"> <li>1. In accordance with applicable legislation, and relevant guidance on standards in public life and college board appointments manage the process of recruitment and appointment of candidates for membership of the Board of Management;</li> <li>2. To nominate candidates for the approval of Chair of Board and Scottish Ministers;</li> <li>3. To review and consider the composition and balance of the Board in relation to equality, skills and experience balance;</li> <li>4. To develop policies and procedures for the induction, training and development of Board members;</li> <li>5. To receive and review evaluation reports on Board performance and development of members;</li> <li>6. To report to the Board as required – minutes of the meetings should be circulated to the Board.</li> </ol>

Current	Finance and General Purposes Committee	Proposed	Finance and General Purposes Committee
Quorum:	3	Quorum:	3
Frequency:	3 per year	Frequency:	4 per year
Membership:	4 members (including Principal and staff member)- currently John, Rona, Carol, Brian and Kenny	Membership:	5 members (including Principal and staff member)
Should include at least one person with a background in finance, accounting or risk. No member should also be a member of the Audit Committee		Should include at least one person with a background in finance, accounting or risk. No member should also be a member of the Audit Committee	
In attendance:	Assistant Principal (LS) and Finance Manager	In attendance:	Assistant Principal (LS), Assistant Principal (Quality and Estates) and Finance Manager
Terms of reference:	<ol style="list-style-type: none"> <li>1. approve all key decisions taken in relation to finance</li> <li>2. approve the annual budget and to monitor actual performance against budget and KPIs</li> <li>3. make recommendations to the Board on capital expenditure, investments and borrowing.</li> <li>4. set tuition fee levels</li> <li>5. consider the annual accounts and recommend these to the Board for approval</li> <li>6. oversee the system of financial control and delegated authority</li> <li>7. liaise with external audit to ensure financial statements give a true and fair view and exhibit regularity of spend</li> <li>8. to approve capital projects, co-ordinate the estates strategy and deal with all estates business</li> <li>9. ensure compliance with the financial memorandum and financial regulations</li> <li>10. safeguard and maintain the College's estate</li> <li>11. report to the Board as required</li> </ol>	Terms of reference:	<ol style="list-style-type: none"> <li>1. To consider the annual budget and recommend approval to the full Board;</li> <li>2. To monitor actual performance against budget;</li> <li>3. To consider capital expenditure, investments and borrowing and recommend approval to the full Board;</li> <li>4. To consider the Financial Forecast Return and recommend approval by the full Board;</li> <li>5. To consider the annual accounts and recommend for approval by the full Board;</li> <li>6. To oversee systems of financial control and delegated authority;</li> <li>7. To liaise with external audit service to ensure accounts show a true and fair view and exhibit regularity of spend;</li> <li>8. To carry out the Board of Management's constitutional delegation in financial matters;</li> <li>9. To ensure compliance with the Financial Memorandum and Financial Regulations;</li> <li>10. To make recommendations to the Board on matters relating to the development and management of its property and facilities;</li> <li>11. To consider health and safety aspects of the College's operation where these relate to estates and facilities;</li> <li>12. To report to the Board as required – minutes of the meetings should be circulated to the Board.</li> </ol>

Current	Quality and Curriculum Committee	Proposed	Learning and Teaching Committee
Quorum:	2	Quorum:	3
Frequency:	3 per year	Frequency:	4 per year
Membership:	6 members - currently Delia (Chair), Carol, Rona, Tom, Kenny and Rhona (student member).	Membership:	6 members (Principal, 3 Board members and 2 student members).
In attendance:	Assistant Principal (Curriculum), Assistant Principal (Quality and Estates) and 4 members of staff	In attendance:	Assistant Principal (Curriculum) and 4 members of staff (representative of each Faculty)
<p>Terms of reference:</p> <ol style="list-style-type: none"> <li>1. Approve and monitor the development of the College's learning and teaching strategy, the College's quality enhancement strategy and the college's learner engagement strategy.</li> <li>2. Oversee, monitor and make recommendation to the Board regarding the college's annual Report (and resulting action plans) regarding Quality and monitor preparations/readiness for HMIE annual engagement/aspect visits.</li> <li>3. Review the academic and student support aspects of the college operational plan to ensure consistency with the college strategic plan</li> <li>4. Recognise trends/innovation in education and recommend specific initiatives in the college</li> <li>5. Monitor perception data relating to the student experience at the college and make recommendations</li> <li>6. Review all student support mechanisms and structure and ensure that these meet the needs of learners</li> </ol>		<p>Terms of reference:</p> <ol style="list-style-type: none"> <li>1. To agree and monitor College teaching and learning strategy, aims and objectives;</li> <li>2. To agree and monitor College learner engagement strategy, aims and objectives;</li> <li>3. To agree and monitor College employer engagement strategy, aims and objectives;</li> <li>4. To reflect on trends in education and encourage innovation and curriculum development to ensure that the College is successfully serving the needs of its internal and external stakeholders;</li> <li>5. To agree and monitor academic performance, including student retention, progression, attainment PIs, ensuring arrangements are in place to action and address any areas of concern;</li> <li>6. To monitor: <ul style="list-style-type: none"> <li>• performance on admissions, access and inclusion;</li> <li>• arrangements for articulation and partnership</li> <li>• approaches to learning and teaching, including the use of ICT;</li> <li>• the volume and themes of student complaints.</li> </ul> </li> <li>7. To regularly consider reports from and related to the Student Association and address any issues raised by the Association;</li> <li>8. To maintain an overview of quality assurance and improvement by reviewing reports from both internal and external, including feedback and evaluation from student and stakeholder surveys;</li> <li>9. To consider Annual Report Institutional-led Self Evaluation and recommend for approval by the full Board following;</li> <li>10. To report to the Board as required – minutes of the meetings should be circulated to the Board.</li> </ol>	



Current	Staffing Committee	Proposed	Human Resources (HR) Committee
Quorum:	3	Quorum:	3
Frequency:	3 per year	Frequency:	1 per year
Membership:	4 members - currently Tom (Chair), Karen, Carol and Andrew	Membership:	4 members. Best practice suggests that at least one member with a background in HR
In attendance:	Director of HR	In attendance:	Director of HR
Terms of reference:		Terms of reference:	
<ol style="list-style-type: none"> <li>1. Oversight of staff recruitment, staff development and matters relating to staff discipline.</li> <li>2. Matters relating to the planning of staff complements.</li> <li>3. To hear appeals from staff against decisions made by the Principal in the matters of discipline, grievance and other matters including curricular matters.</li> <li>4. Other staff matters referred by the Board of Management.</li> </ol>		<ol style="list-style-type: none"> <li>1. To ensure the College is operating within all legal requirements relating to employment law and other legislation affecting employment;</li> <li>2. To approve the HR strategy and to monitor actual performance against KPI to include staff welfare, staff establishment, turnover, sickness, and absence;</li> <li>3. To make recommendations to the Board on HR and staffing matters;</li> <li>4. To ensure that pay and conditions of employment are properly determined and that pension arrangements are monitored;</li> <li>5. To ensure appropriate arrangements are in place for effective dialogue with trade unions;</li> <li>6. To ensure there are appropriate policies, procedures and monitoring for appointments, promotion, staff development and appraisal;</li> <li>7. To ensure health and safety legislation relating to staffing is complied with and that regular reports are considered and recommended for approval to the full Board of Management;</li> <li>8. To prepare an annual report to the Board;</li> <li>9. To report to the Board as required – minutes of the meetings should be circulated to the Board</li> </ol>	

## Board of Management

Current	Remuneration Committee	Proposed	Remuneration Committee
Quorum:	2	Quorum:	2
Frequency:	1 per year	Frequency:	1 per year
Membership: 3 members – currently Brian (Chair), Delia (Vice Chair) and John (Chair of F&GP)		Membership: Chair, Vice Chair and Chair of F&GP	
In attendance: Principal by invitation		In attendance: Principal by invitation	
Terms of reference: <ol style="list-style-type: none"> <li>determine and review the salaries, benefits, terms and conditions (and where appropriate severance payments) of senior staff (including the Clerk to the Board), and make recommendation of same for Principal to the Board.</li> <li>ensure the efficient and effective use of public funds.</li> </ol>		Terms of reference: <ol style="list-style-type: none"> <li>To determine and review the salaries, terms and conditions (and, where appropriate severance payments) of the Principal, members of the executive team and the Secretary to the Board;</li> <li>To ensure efficient and effective use of public funds;</li> <li>To report to the Board as required – minutes of the meetings should be circulated to the Board.</li> </ol>	



## Board of Management

### Calendar of Meetings 2014/15

	<b>BOARD</b>	<b>Audit Committee</b>	<b>F&amp;GP Committee</b>	<b>Nominations Committee</b>	<b>Learning &amp; Teaching Committee</b>	<b>Remuneration Committee</b>	<b>Human Resources Committee</b>
	(Tuesdays) 2.00 pm	(Tuesdays) 2.00 pm	(Tuesdays) 2.00 pm	(Tuesdays) 12.30 am	(Tuesdays) 2.00 pm	(Tuesdays) 12.30 pm	(Tuesdays) 2.00 pm
<b>2014</b>							
August		19-Aug	26-Aug				
September	16-Sep						
October					07-Oct		28-Oct
November	11-Nov <b>Development event</b>						
December		02-Dec	09-Dec		16-Dec		
<b>2015</b>							
January	20-Jan <b>Strategic session</b>					20-Jan	
February		24-Feb					
March			03-Mar		10-Mar		
April	28-Apr			28-Apr			
May		12-May					
June	23-Jun		09-Jun		16-Jun		

## Board of Management

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### Principal's Update

#### 1 Purpose of the Report

To update Members on key College activities.

#### 2 The Report

##### 2.1 Progress against Targets – 2013/14

Members are asked to refer to Item 8 on the agenda (Key Performance Indicators.)

##### 2.2 Academic Session 2014-15

###### 2.2.1 Funding Methodology

Scottish Funding Council is proposing to move to a needs-led method of funding which will be based on Regional demographics and economic need. SFC have undertaken to guarantee that there will be no more than a 1% change in activity on an annual basis, to minimise potential impact. It is also proposed that a credit-based system will replace WSUMS – eg one credit = 40 hours of planned learning, and that FTE's (Full-time equivalents) are counted – 1 FTE = 15 credits of learning. Parallel running of the new Credit system is being undertaken with 3 Colleges during academic session 2014/15 – Dumfries and Galloway, New Lanarkshire and Dundee and Angus Colleges – to identify any issues arising from the change and to develop appropriate guidance for Colleges. It is expected that the new system will be fully implemented across the sector from August 2015.

###### 2.2.2 Funding and Activity Targets 2014/15

College region Dumfries and Galloway will receive £8,331,000 (excludes student support and capital grant) from the Scottish Funding Council for academic year 2014/15 to plan and deliver further and higher education in the region. Activity targets for academic session 2014/15 remain the same as the current session but the College is aiming to maximise the number of places available and has increased its full-time target accordingly. To date, no information has been received regarding funding beyond 2014/15 but it is anticipated that the Sector is likely to experience further reductions in funding going forward.

###### 2.2.3 Curriculum Delivery Plan 2014/15

Curriculum Delivery Plan for 2014/15 shows no significant changes in that the broad range of curriculum offering at different levels has been maintained. For the first time in many years, Higher National Certificate programmes are being offered at our Stranraer campus. Applications are monitored on a regular basis and adjustments are made where necessary, these are mainly to reflect levels of demand. A final version of the Curriculum Delivery Plan 2014/15 will be presented to the June meeting of the Board of Management.

###### 2.2.4 Applications 2014/15

Our Curriculum Development Plan for 2014/15 targets 1800 full time places. To date, we have received in excess of 2,000 applications, 1,362 offers have been made and there are 128 applicants on the waiting list. Applications are still being received and processed and further Advice Sessions have been arranged throughout the remainder of this academic session.

## **2.3 College Developments**

### **2.3.1 CREST**

After a slow start, mainly due to the amount of time spend developing the new pavilion and dealing with installation/construction issues, projects are well underway and the completion of projects is speeding up. There are currently 10 projects at different stages of completion, 4 of which are in the final stages. A total of 9 projects are fully completed against a target of 36 by January 2015. An additional (part-time) member of staff is currently being recruited to assist in project delivery. The new pavilion is awaiting final occupation certificate and is completed to a high standard, creating a valuable legacy asset.

### **2.3.2 TRANSFORM**

The 'Transform – South of Scotland e-hub' project was due to end in July 2013. At that time the College was on plan to achieve all output and results targets by the project end date but with a project under-spend. It was agreed to seek a 12 month extension, using the under-spend to engage with 10 more businesses. An application to extend the project until July 2014 was made and approved. Moving forward the College has ring-fenced budget to continue transforming the curriculum.

### **2.3.3 Hospitality & Catering Development**

Plans for this development are currently on target and APUC are providing dedicated support for the tendering process. Detailed design plans are being finalised, prior to final tender arrangements. A communication strategy has been agreed and monthly briefings will be provided to staff, students, Board members, key partners and stakeholders. An Employers Forum will be established to advise on curriculum content, delivery patterns to suit the industry and work placement/experience opportunities.

### **2.3.4 STEM Development (Science, Technology, Engineering, Maths)**

STEM education is recognised as being key to the economic development of Scotland as well as to Education and Sir Ian Wood has made strong reference to STEM in his work on 'Developing Scotland's Young Workforce'. A STEM strategy is a coherent, strategic approach, driven by industry to ensure that the education and skills delivered is able to drive forward growth and success within science, technology, engineering and maths related industries. It involves an interdisciplinary and applied approach and sits at the heart of Curriculum for Excellence. Building on our strengths in this area, the College is seeking to develop a STEM strategy across all of our curriculum and, it is hoped, this will be widened to include schools and universities so that a regional approach will be developed. The first development event will be held in the College in May and our University partners and some schools have also indicated an interest in this initiative.

### **2.3.5 Graduate Apprenticeships in Engineering**

Skills Development Scotland approached the College to discuss the possibility of piloting a Graduate Apprenticeship Scheme in Engineering in the region. SDS are currently working to identify local employers who may be interested in participating in this initiative, Discussions will take place with UWS in the first instance, as a Crichton Campus partner, to ascertain their interest in becoming the University partner, but the University of Strathclyde has also expressed an informal note of interest.

### **2.3.5 Scottish Student Sport**

Scottish Student Sport was established in 2011 to provide and promote sport and physical opportunities in universities and colleges. Although the university sector has well established arrangements and resources to accommodate sport and physical activity, college students and the college sector have been in a position of relative disadvantage with little or no college infrastructure to support physical activity or competitive sport between colleges.

The evolution of the College Sector presents a new opportunity to increase sports and physical activity participation in Scotland's Colleges. Scottish Student Sport will work with staff and students within each of the colleges to provide assistance on how to establish a structure and organise sports within the Student Association. This will help raise awareness of sport and physical activity within each

college, enable clubs to be created around sports where there is the greatest interest and provide a body of students round which competitive sport can take place both within the college and between all the colleges. This initiative complements our Sports Curriculum Strategy as well as promoting healthy living to the wider student body and the College has indicated its willingness to be involved.

In the first instance the aim is to work towards establishing a competitive sports structure in 2014-15 between those Colleges who agree to participate. It will initially be based around a few sports where all the colleges already have some level of participation. As demand increases, so more sports will be added.

### **2.3.5 Degree in Applied Enterprise**

Of the 20 students from D&G College who commenced the newly developed BA Applied Enterprise (Creative Industries) in September 2012, 19 passed. 6 students progressed to BA (Honours) and will graduate this year, 12 students graduated (2 with distinction and 1 student chose not to graduate). The 1 remaining student will complete their studies in May of this year; due to health issues they had to extend their studies.

Three businesses were started from the cohort; Hero Chic Heels and Mural Memories and 2 students are starting a business this month Emkay Designs. Based on a co-operative business model, they will be joining with other micro businesses to offer a comprehensive service to small businesses in relation to e-business – ie web design, branding and logo, social media etc.

19 students from D & G College commenced The BA Applied Enterprise (Lifestyle and Wellbeing) and the BA Applied Enterprise (Creative Industries) in 2013 (10 in the Lifestyle and Wellbeing cohort and 9 in the Creative Industries cohort). The remainder of this year's cohort have come from central belt colleges. There are potentially 2 businesses this year that look likely to progress to actual start up: One sport related, one lifestyle related. These are currently in the process of patenting their concepts/products so further details cannot be disclosed at this time.

The BA (Honours) Applied Enterprise programme was successfully validated at the end of March 2014. The addition of the Honours year will enable students to focus on higher level skills, entrepreneurial thinking, reflection, innovation and creativity, and builds on the more practical focus of Level 9.

### **2.3.6 University Funded Places – 2013/14 and 2014/15**

To facilitate and encourage articulation from College to University 24 University funded places were made available to students studying Higher Education Courses in Health and Social Care and Childcare provision for Associate student pathways to the University of Glasgow (12) and University of the West of Scotland (12). Learners have been identified from the current cohort and will receive additional support and information from the Universities. Agreement has been reached with University of the West of Scotland for an additional 12 places to be made available in 2014/15 academic session. These student places are paid for by the Universities and are excluded from the College Activity measurement, creating additional student places.

### **2.3.7 Awards and Achievements**

The College, in Partnership with Dumfries and Galloway Council and the NHS, was recently awarded the National COSLA Silver Award for the work it has undertaken and developed through its Reablement Qualification and the development of the workforce across the region and Scotland.

Staff in the Princes Trust team have been formally recognised as part of Scotland's 'Best' and have some of the highest performance indicators not just in Scotland but across the UK. This was further acknowledged during a recent Ministerial visit to the College to meet the Princes Trust team and learners.

Beauty students from Stranraer Campus were winners in the Scottish regional competition and will be competing in the National finals in Blackpool for makeup and nails.

Our Introduction to Health and Social Care students were asked to present at the National EAUC (Environmental Association for Universities and Colleges) conference for the work they have been doing on sustainability related to their curriculum area.

## **2.4 External Funding**

### **2.4.1 Skills Development Scotland Contracts 2014/15**

The college has received its modern apprentice quota for 2014/15 comprising 66 starts (62 in 2013/14) across a range of curriculum areas equating to an income of approximately £228,504.

A contract for a total of 88 starts (87 in 2013/14) has been awarded to the College through Skills Development Scotland Employability fund 2014/15 with an expected income forecast of £116,991.

### **2.4.2 ESF/ERDF Funding**

The next EU funding programme is currently being finalised and Scottish Funding Council are taking a strategic lead on behalf of the College Sector, using Government grant as match funding. This means that Colleges will not be required to provide any additional match funding in order to participate in SFC projects, but cannot use grant funding as match in any other potential bids –eg Local Authority etc. As we do not generate significant amounts of non-SFC income, it is unlikely that Dumfries and Galloway College will be able to participate in any non-SFC projects EU funded projects in the foreseeable future.

### **2.4.3 Crichton Foundation**

The College has received £10,000 from the Crichton Foundation to provide a discretionary fund to help full-time students who from time to time encounter hardship. This is the second year the Crichton Foundation awards committee has given funds to the College.

## **3 Recommendation**

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

**Carol Turnbull**  
**Principal**  
**April 2014**

## Board of Management

### Key Performance Indicator Report

	WSUMs		Enrolments		
	Actual	Target	Full-time	Part-time	Total
2013/14 (to date)	42,405	42,529	1633	2998	4632
2012/13	39,014	38,711	1616	3938	5554
2011/12	39,756	39,670	1523	4770	6293

	Retention (%)				Outcome (%)			
	Full-time Further education		Full-time Higher education		Full-time Further education		Full-time Higher education	
	Actual	Target	Actual	Target	Actual	Target	Actual	Target
2013/14 (to date)	78	74	86	81	-	65	-	72
2012/13	73	74	80	80	63	63	70	73
2011/12	72	72	78	78	61	61	70	61

Finance	Actual YTD (as at Feb '14) (£M)	Flexed Budget YTD	Variance YTD	Revised Projection
Income	£8.771	£8.639	£0.132	£9.904
Expenditure	£8.171	£8.325	£0.154	£10.018
Operating Surplus (Deficit)	£0.600	£0.314	£0.286	£(0.114)
Historical Cost Surplus (Deficit)	£0.716	£0.430	£0.286	£0.018

Staffing	Current		Previous Year	
	Headcount	FTE	Headcount	FTE
Academic	111	85.37	116	86.53
Academic Support	41	20.44**	35	15.42
Support	152	106.77**	155	102.52
<b>TOTAL</b>	<b>304</b>	<b>212.58**</b>	<b>306</b>	<b>204.47</b>

\*\* FTE figure now includes holiday allocation for term time staff



# Strategic Plan 2008-2014 Risk Register

Risk No.	Strategic Aim	Risk Description	Inherent Risk			Controls in Place	Assurances	Internal/ External	Residual risk			Further Action	Risk Owner
			Likelihood	Impact	Total				Likelihood	Impact	Total		
1	SA 6	Unable to achieve WSUM target	2	4	8	1. Real time monitoring system. 2. Contingency plans in place to offer additional provision as required. 3. Annual review of staffing and provision to rebalance areas of growth with areas of decline. 4. Annual review carried out by internal audit	1. Reviewed by SMT on a weekly basis 2. Reviewed by SMT on a weekly basis 3. Review carried out by HR and presented to SMT for consideration/approval. 4. Internal audit report presented to audit committee	Internal / External	1	3	3	No further action.	JB
2	SA 1, 3 & 6	Loss of collaborative partnership arrangements	2	3	6	1. Policy of limiting dependence on any one partnership. 2. Regular reporting of partnership issues at SMT. 3. Constant scanning to identify new potential partnerships.	1. Currently not specifically reviewed 2. SMT meetings/minutes 3. SMT meetings/minutes	Internal	1	2	2	No further action. Although policy not specifically reviewed, any issues would be identified through regular reporting at SMT. Internal audit review planned for 14/15	SMT
3	SA 1 & 6	Imbalance between demand for student support funds/bursaries and funds available	2	3	6	1. Detailed analysis and monitoring of spend undertaken on an ongoing basis by Finance Manager, reported monthly to SMT. 2. Allocation and amounts reviewed on an annual basis to ensure funding constrained within amount available. 3. Annual review carried out by internal audit	1. SMT meetings/minutes 2. SMT meetings/minutes 3. Internal audit report presented to audit committee	Internal / External	1	2	2	No further action but continue to monitor expenditure and amend student funding policies to match demand with available budget	JB
4	SA 1, 2 & 6	Review of funding methodology impacts on financial sustainability	4	4	16	1. Principal member of Working Group on Funding for the sector. 2. Assistant Principal (LS) college lead in pilot and parallel running of new funding methodology 3. Continuous review of curriculum and delivery by SMT to ensure that adverse impact minimised.	1. Feedback to SMT and Board meetings 2. Reports to Q&C committee	Internal	3	3	9	1. Parallel running of new methodology in 14/15 with full implementation starting 15/16. Internal audit review planning for 15/16	CAT
5	SA5 & 6	Unable to agree Pay Award	2	4	8	1. Detailed financial planning undertaken and approved by Finance and General Purposes Committee to ensure "affordability" of any offer. 2. Clear and well established negotiation processes in place with recognised unions. 3. Government suggested maximum 1% pay awards for 2013/14 and 2014/15.	1. F&GP meetings/minutes 2. Feedback to SMT and the Board 3. Included in budget which is monitored and reported through F&GP	Internal	2	2	4	Monitor Grant settlement and maintain dialogue consultations with unions	HP
6	SA 1,2,3,4,5,6,7	Disruption to business continuity due to Influenza pandemic, terrorism, fire or other disaster	2	4	8	1. Business continuity plan in place (check audit report recs)	1. Reviewed by SMT and report to Board 2. Internal audit review carried out in 11/12	Internal / External	2	2	4	Implementation of audit recs	SMT
7	SA 1 & 6	Failure to maintain student numbers	2	4	8	1. Strategies in place to improve retention. 2. Self evaluation process. 3. Poorly performing programmes removed from the curriculum.	1. Monitored at course level and review by SMT. Exception reporting to Board. 2. Monitored through self evaluation process and reported to SMT and Q&C committee	Internal	1	3	3	Internal audit review planned 13/14	SMT
8	SA 6	Loss of 'charitable' status	2	4	8	1. Internal control and governance arrangements in place to meet requirements of OSCR. 2. Work with Scotland's Colleges to influence and respond to any potential change to legislation affecting charitable status.	1. External audit coverage as part of annual review of financial statements.	External	1	2	2	No further action	CAT
9	SA 6	Downturn impacts on recruitment of Modern Apprentices	2	3	6	1. Maintain regular dialogue with training bodies. 2. Alter curriculum delivery to accommodate low numbers as and when required. 3. Contracts with relevant sector skills bodies and SDS in place.	1. Curriculum plans approved by SMT and Q&C 2. Curriculum monitor contract on ongoing basis	Internal	2	2	4	Reduction in demand and income to be balanced by staffing reductions. Planned internal audit on strategic planning in 14/15	SAW /CAT
10	SA 1,2,3,4,5,6,7	Reduction in SFC Core Grant	4	4	16	1. Scenario planning undertaken and measures to offset reduction identified which is then used to inform curriculum planning. 2. Annual review of provision undertaken through planning and budgetary process to ensure match of income and expenditure.	1. Curriculum plans approved by SMT and Q&C 2. Budget approved by the Board	Internal	2	4	8	Reduce curriculum provision in line with funding and implement cost savings. Seek to increase non SFC income.	SMT
11	SA 6 & 7	Changes to structure of FE colleges in Scotland adversely impacts on DAGCOL	2	4	8	1. D&G now confirmed as a single college region. Uncertainty still exists about future Crichton relationship and impact of being second smallest region in Scotland. Current indications are that college is region earmarked for growth.	1. Scottish Government confirmed D&G as a single college region 2. Principal member of Crichton Leadership group and feeds back to SMT and Board	Internal / External	2	3	6	Proactive involvement of SMT and BoM in process	SMT
12	SA 6 & 7	ONS reclassification of college impacts on governance, financial arrangements and ability to develop capital projects	3	4	12	1. Senior Management and Finance Manager representation at relevant briefings and ongoing monitoring of changes 2. External audit advice	1. Feedback to SMT and Board	Internal/ External	3	3	9	External audit will review any changes to accounting treatments	SMT
13	SA 3,5 & 6	Facilitate and support R&D in small and micro-business through the provision of facilities, equipment and infrastructure to help businesses develop new commercial products and processes	3	4	12	1. Detailed monitoring undertaken on a daily basis by Assistant Principal - Monitoring by and reporting to Lead Partner - Extra support provided by Assistant Principal to ensure efficient start up of CREST project	1. Feedback to SMT and Board	Internal / External	2	4	8	No further action	IPB
14	SA 5,6 & 7	Health and safety incident due to quality of construction of external balustrades	3	4	12	1. All panels to be tested and secured 2. Detailed monitoring undertaken by Assistant Principal (Q&E)	1. Feedback to SMT and Board	Internal / External	2	4	8	Commission a full building survey by external consultants	IPB

## **Board of Management**

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### **College Reserves**

#### **1 Purpose of the Report**

The purpose of this report is to provide Board Members with an update on the transfer of College reserves to the Scottish Colleges Foundation.

#### **2 Report**

It was reported to the audit committee on the 11 March that following a proposal from the chair of audit the Board agreed to the College joining the Scottish Colleges Foundation. It was also stated at the audit committee that the Principal, as Chief Accounting Officer, should be satisfied that any donations made to the Scottish Colleges Foundation is for the advancement of further and higher education.

The Principal, Assistant Principal (Learner Services) and Finance Manager met with the trustees of the Scottish Colleges Foundation to discuss how the donation and granting of funds would operate and in particular the operation of the College sub-funds. Following this meeting and receipt of the Scottish Colleges Foundation Memorandum of Understanding the Principal was satisfied that any donations made to the Scottish Colleges Foundation would be for the advancement of further and higher education.

At the finance and general purposes committee meeting on Monday 17 March and subsequent emails to members of the finance and general purposes committee, agreement was given for the College to transfer reserves to the Scottish College Foundation. Confirmation has been received that the College transferred £2,120,000 to the Scottish College Foundation before 31 March 2014.

A grant application has been submitted to the Scottish College Foundation requesting £2m for the hospitality development. Confirmation has been received that this application has been circulated to the Trustees of the Foundation and will be considered at the next meeting of the Trustees, due to be held on Friday 9 May 2014.

#### **3 Recommendations**

Members are requested to note the report.

						F = F+GP A = Audit Q = Q+C S = Staff	E = External I = Internal
	<b>Goals</b>	<i>Suggested Evidence</i>	<i>BoM Chairs Grade</i>	<i>Supporting Evidence</i>	<i>Risk</i>	<i>C'tee</i>	<i>Influence</i>

**Financial Strategy**

1	Generate sufficient level of operating surplus to finance other key resources	Operating surplus as % of total income	H	Audited financial statements, annual budgets/Financial Forecast Returns and monthly financial reports. Main Grant Letter. Uncertainty over ability to do this as a result of ONS re-classification.	3	F	I
2	Diversify income streams	Non-SFC income as % of total income	H	External funding bids and projects, CTS income, Training income, Partnership Contracts (e.g. DGHP, Construction Skills) and student income (e.g. SAAS) ( <i>importance has increased due to need to offset SFC funding cuts. Challenge has increased due to Gov policy re international students and impact of downturn</i> )	3	F	I
3	Maintain sufficient cash reserves to deal with unexpected events	Ratio of days cash to total expenditure, current ratio	H	Repayment of Lennartz money has increased degree of risk. ONS reclassification of colleges has had a significant impact on how reserves <del>will be</del> are now treated <del>in the future</del>	3	F	I
4	Service borrowings	Interest cover, long-term liabilities to total reserves, financing costs, depreciation costs	L	Low risk issue as College currently has no borrowings. Balance sheet Key Performance Indicators demonstrate financial well-being and are reported via monthly financial reports. Would now require ministerial approval (from 1.04.2014).	1	F	I
5	Efficient staff deployment	WSUMs per full-time equivalent (FTE)	M	Staffing levels reviewed on an ongoing basis, quarterly reports to Staffing Committee in relation to Curriculum staff and changes in the FTE of all staff across College. Reports made to BoM re: staffing levels. Approval forms for all recruitment indicating justification for the post.	1	S	I
6	Sound budget setting and financial management arrangements	Internal, external audit reports	H	ONS reclassification of colleges will have significant impact on college financial management arrangements. It will be difficult to compare "like for like" budgets and accounts	3	F	I
7	Effective risk management and scenario planning arrangements	Internal, external audit reports	L	Recent audit confirmed sound practice with revisions to existing arrangements planned in line with audit recommendations. Scenario planning undertaken at Board and fed into Strategic Plan. Scenario planning carried out regularly by SMT throughout the year and appropriate actions implemented	1	A	I
8	Efficient procurement practices	Delivery of efficiency gains	L	Procurement Capability Assessment provides an independent audit of College practices. Indicators of procurement performance and record of savings made	2	F	I
9	Continuous improvement in business processes	Delivery of efficiency gains	M	Submission of Efficient Government Return identifies savings made each year	3	F	I

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	<b>Goals</b>	<i>Suggested Evidence</i>	<i>BoM Chairs Grade</i>	<i>Supporting Evidence</i>	<i>Risk</i>	<i>C'tee</i>	<i>Influence</i>

**Other potential goals identified**

10	Capital Funding	Reduction in capital funding may impact on future ability of college to maintain and develop new capital assets/facilities	M	Capital Expenditure Programme agreed by the Board of Management. Regular capital expenditure monitoring reports. Periodic returns/submission to SFC. Transitional arrangements agreed with SFC to support ERDF projects. Increase in capital funding allocation for 2013/14, but ONS reclassification of colleges may impact on ability to develop future capital projects. Capital funding maintained for 2014/15.	3	F	E
11	Student Support Funds	Foreseeable trends indicate funding could be reduced and/or demand will be greater than availability of supply	H	Monitoring reports produced every two weeks. Demand for Student Support Funds is difficult to predict as is estimate withdrawals. Risk rests with College - policy reviewed annually to reflect available finance. Funding for 2012/13 confirmed at existing levels. No increase for 2013/14 despite increased WSUM target. No guarantee of in-year funding. In year funding received but College still overspent.	3	F	I
12	External Financial Environment	Effects of recession, depressed state of the economy, unknown Political environment and uncertainty of public sector financial allocations	H	Economic indicators/statistics/reports. Current Climate is unpredictable	3	F	E
13	Office of National Statistics Reclassification of Colleges	Ensure accounting and reporting practices comply with requirements	H	Full impact unknown as yet but accounting year end date has changed to 31 March.	3	F	I

**Human Resources Strategy**

14	Effective staff training and development programme	Number of days per employee invested in training and development, external accreditation, appraisal system	L	Staff development framework in place. Staff achieve on average 5 days per annum staff development (formal & informal). Staff development records identify individual progress. liP and HMle recognition of staff development process. PMR in place for SMT and CMT, trial roll out in progress.	2	S	I
15	Recruit and retain good quality staff	Investment in qualifications of staff	M Note: also applies to other areas, e.g. HR, H&S, IT	Records of staff qualifications demonstrate competency/knowledge. Staff Development Reviews highlight commitment to training and development. Qualified professional staff committed to CPD and submission of annual returns. Departmental staff turnover is very low. Staff Development records show continued professional development of all areas. Potential further reductions in staffing due to funding cuts could affect service delivery	2	S	E

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	<b>Goals</b>	<b>Suggested Evidence</b>	<b>BoM Chairs Grade</b>	<b>Supporting Evidence</b>	<b>Risk</b>	<b>C'tee</b>	<b>Influence</b>
16	Appropriate levels of staff turnover	Leavers in last year as % total staff (Note: grading takes account of geography and low turnover can stagnate skills base)	M	Low turnover - 9.4% for voluntary leavers (8% during 2011/12 session). This allows the College to maintain a stable workforce however can make it difficult to recruit new skills and knowledge.	2	S	E
17	Managing levels of sickness absence	Working days per employee lost through sickness absence	L	Absence level for 2012/13 was 3.8% which is a decrease on the previous year and compares favourably to public sector organisations. Absence monitored monthly by HR with annual report to Staffing Committee. Occupational health contract to ensure staff are able to return to work as soon as possible, enabled through phased return.	1	S	E
18	Appropriately qualified teaching staff	Percentage of permanent college payroll teaching staff with a teaching qualification, HMle reports	M	98% of permanent teaching staff currently possess a teaching qualification, the remainder are undertaking qualifications (2 people). Staff development records. Potential in future years for % with qualification to decrease due to retirement of staff who possess TQFE being replaced with new staff who do not. 50% of temporary teaching staff possess a teaching qualification with the remainder either undertaking a qualification or not required due to the short term contract/minimal hours delivery.	1	S	I
19	Staff input to and awareness of college strategic plan	Staff consultations, events, staff satisfaction survey	L	Planning and development week to enable all staff to participate in planning process. Communication survey, Principal's briefings and HMle reports confirmed that staff are involved in the planning process. <b>All staff involved in Vision 2020.</b>	1	S	I
20	Effective staff communications	Staff meetings, newsletters, staff satisfaction survey	M	College News, Intranet, Principal's Update, Staff Suggestion Scheme, direct access to SMT members.	2	S	I
21	Committed and effective governing body with appropriate mix of skills and experience	Board recruitment, induction, training and succession planning arrangements, audit reports	M	Full Board membership with committed members actively engaged in decision making. Membership refreshed as vacancies arise and generally attract good quality applicants. Succession planning enhanced through use of co-opted members overlapping with those retiring to familiarise new members with college processes, including training and induction. Given the changes to Governance arrangements in the sector there is a potential risk that in future we might not attract the desired skill mix or equality/diversity mix. New Regional Board came into effect in March 2014. New Regional Chairperson appointed through the Scottish Public Appointments process.	2	A	E
<b>Buildings and infrastructure strategy</b>							
22	Provide high quality facilities and services for staff and students	Staff and student satisfaction surveys, estate condition data, estates strategy, ICT strategy	L	Staff and Student Surveys. Comment Card system and Suggestion Scheme. Post Occupancy Evaluation studies Phase I and II. Estates Strategy reviewed on annual basis. Condition Surveys and inspection reports. Also monitored through revised Self-evaluation process.	1	Q	I

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	<b>Goals</b>	<b>Suggested Evidence</b>	<b>BoM Chairs Grade</b>	<b>Supporting Evidence</b>	<b>Risk</b>	<b>C'tee</b>	<b>Influence</b>
23	Continuous investment in estate to address backlog maintenance issues and/or maintain high quality facilities	Capital and maintenance spend on estate/insurance replacement value, estate condition data	M	Capital Expenditure reports. Planned and reactive maintenance programme. Property valuation reports. Reduction in capital funding in 2011/12, but maintained at same level for 2012/13. Capital funding increased in 2013/14 and is maintained for 2014/15	2	F	I
24	Efficient space utilisation	College data (seat utilisation)	M Note: Timetabling system	Room occupancy surveys undertaken on a sample basis. Timetabling system. Hospitality development will be accommodated but any future expansion will be difficult.	2	F	I
25	Buildings accessible to students with profound and complex needs	Disability Discrimination Act (DDA) compliance measures and evidence of reasonable adjustments	L	Dumfries campus design. Periodic inspections to ensure compliance with relevant legislation	2	S	I
26	Good practice in environmental sustainability	Climate action plan, energy consumption, emissions reporting	M	Climate Change Action Plans for Dumfries, Stranraer, Waste and Transport. Energy monitoring data. Sustainable procurement practices. Green Travel Plan/Initiatives	2	F	I
<b>Other potential goals identified</b>							
27	Transport		M Note: contracts could change suddenly affecting transport availability and student concerns exist at present	Utilising public transport for student travel. Replacement of fleet vehicles with low emission models. Promotion of sustainable travel options for staff/students. The cost of bus contracts in future could potentially be subject to large variations and may rise significantly at short notice. (tender prices and fuel cost variation)	2	F	I
<b>Quality and collaborative strategy</b>							
28	Appropriate range of provision that is relevant to the needs of the community and the wider economy	Student satisfaction survey, user survey, performance against activity target, use of new learning technology, 'flexibility' of curriculum, self-evaluation	M	Feedback from a wide variety of sources indicates provision meets the needs of community and wider economy, apart from peripheral issues which are marginalised by cost effectiveness. Funding Council targets are consistently met or exceeded, internal targets generally met and regularly monitored through internal processes. Strategic intervention for flexible delivery with 3 year plan supported by Board includes financial support. Comprehensive self-evaluation framework. College operates wherever possible in the local community given constraints of a large rural area.	3	Q	I

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	<b>Goals</b>	<b>Suggested Evidence</b>	<b>BoM Chairs Grade</b>	<b>Supporting Evidence</b>	<b>Risk</b>	<b>C'tee</b>	<b>Influence</b>
29	Appropriate levels of student achievement and attainment	Student statistics	H	Students generally achieve well, including wider achievement. However some areas of the college are not producing consistently high levels, these are being monitored through internal processes including a sub-committee of the Board. Risk that this may affect funding in the future	3	Q	I
30	Appropriate levels of student retention	Student statistics	H	Retention is generally in line with sector averages and remains fairly static year on year for the college as a whole. Some areas of the college have poor retention and these are being monitored through internal processes including a sub-committee of the Board. 2011/12 saw a 4% improvement in FE (full-time) retention to 72%, and 2012/13 saw a further improvement in retention to 73%.	2	Q	I
31	Commitment to equality and diversity of provision	Student statistics	L	Across the college as a whole statistics indicate that commitment to equality and diversity is achieving representative engagement. This is reflected in regular monitoring and reporting. At course team levels there is a need to improve representation in some curriculum areas, this is being encouraged through internal processes and monitored by a sub-committee of the Board Student representative on Equality Committee. Scotland's Colleges Award for Diversity week in recognition of joint working with students on equality strands	1	Q	I
32	Commitment to widening participation	Student statistics	M	As one of the colleges strategic aims this is an area where the college has performed well given the constraints of a large rural area and a diverse range of needs from a distributed population. Statistics show representation from almost all areas of the region and from a very good range of minority groups. However reduction in funding 2012/15 and focus on 16-24 year olds likely to impact on ability to maintain this on a part-time study basis.	2	Q	I
33	Appropriate quality of provision	HMIE review reports, student satisfaction survey	M	Education Scotland Review resulted in full confidence statements but highlighted some concern in the quality of teaching and learning.	2	Q	I
34	Productive engagement with other colleges, universities, schools and other stakeholders, including wider community	Articulation agreements, involvement in sector working groups, benchmarking groups, number of voluntary groups using college premises, shared services agreements, self evaluation	H	College operates benchmarking arrangements with other colleges and is actively involved in sector initiatives. We share premises with two universities and the Open University. There are articulation agreements with local and other universities including the development of articulation pathways and college staff teach on university courses. There is engagement with schools in the region and pupils attend college on various courses. CTS engage with the business community in regional premises and at the main college sites. The college sites are open for use by the community through appropriate booking arrangements (engagement with partners is likely to be adversely affected by their and our own funding cuts eg LAYP, UWS contract. Major potential development resulting from the introduction of the Dumfries Learning Town with implications for tertiary provision.	3	Q	I

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	<b>Goals</b>	<b>Suggested Evidence</b>	<b>BoM Chairs Grade</b>	<b>Supporting Evidence</b>	<b>Risk</b>	<b>C'tee</b>	<b>Influence</b>
35	Commitment to corporate and social responsibility issues including promotion of equality and diversity and public value	Corporate and social responsibility statement, audit, student satisfaction survey, self evaluation	L	The college operates as a community college serving the needs of the local area. In this respect the issues of social responsibility, promotion of equality and diversity and public value are intrinsic to the planning process and delivery mechanisms. These issues are given high priority by the Board and SMT. However there is no specific statement of intent or recent evidence to support the effectiveness of the college in this respect	2		A
36	Commitment to environmental sustainability	Participation in <i>Climate Change Commitment</i> , development of climate change action plan and monitoring of progress against plan	M	The college has signed up to and is committed to the Climate Change Commitment. An analysis of the college carbon performance has been conducted by the Carbon Centre resulting in an action plan for improvement which is supported by the Board with funds committed and action on-going. As the building is new there may be limited scope to make major improvements	2	F	I
37	Appropriate quality of support services	Staff, student satisfaction surveys	L	Evidence from internal and external evaluations all indicate that there is a high quality of support service accompanying those directly related to curriculum delivery	1	Q	I
38	Effective systems to monitor enrolments	Performance against WSUMs activity target	L	Comprehensive electronic and paper based processes effectively monitor the performance against WSUMs activity not only of the college as a whole but down to course level. The information is virtually real-time and interrogation of this data occurs regularly with corrective actions taking place wherever necessary	1	A	I
<b>Other potential goals identified</b>							
39	Curriculum	Sustainability of multiple campuses/provision	M	Marginality of operation some courses - as funding reduces the challenge increases	2	Q	I



## Board of Management

### Minute of the Meeting of the Audit Committee of the Board of Management of Dumfries and Galloway College held on Tuesday 11 March 2014 at 12.30 pm in Room 2009

**Present:** Hugh Carr (Chair)  
Delia Holland  
Karen McGillivray Fallis

**In attendance** Carol Turnbull, Principal  
Karen Hunter, Finance Manager  
Jannette Brown, Assistant Principal and Clerk to the Board  
Brian Johnstone  
Stuart Martin  
Lindsay-Anne Straughton, Baker Tilly  
Gary Devlin, Grant Thornton  
Angela Pieri, Grant Thornton  
Susan Sutherland, PA to the Principal

#### 1 Apologies

Apologies for absence were intimated on behalf of Sandy Burgess.

#### 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 30 September 2013 was approved.

#### 4 Matters Arising

None.

### Standing Items

#### 5 SI: Internal Audit Reports

Lindsay-Anne Straughton, on behalf of Baker Tilly, Internal Auditor, spoke to the reports which had been distributed.

##### 5.1 Value for Money: Open Learning

The Committee noted and accepted the Advisory report, and the three recommendations related to carrying out a comprehensive review of the costs to agree a new costing model for the end of Session 2013/14.

##### 5.2 Follow-Up reports

The Committee noted follow up audits in respect of network security, general ledger, risk maturity, transport (VfM) and business continuity planning. Of the recommendations made following the original audits, 10 had been implemented, two were ongoing and two were yet to be implemented, which was entirely acceptable to the Internal Auditors.

### **5.3     Income and Debtors**

The Committee noted and accepted the report, which had identified no recommended actions. It was noted however that a Debt Recovery Agency was still not in place.

### **5.4     Procurement and Payments**

The Committee noted and accepted the report, which identified three recommendations on the methods and background to how suppliers were chosen.

During discussion, G Devlin of Grant Thornton indicated his feeling that the limits applied were slightly high. The Finance Manager advised on the internal process where all quotes were kept on file, and added that the majority of these had already been subject to APUC tendering. The Committee agreed and asked for the process to be reviewed following 12 months operating under the ONS reclassification.

### **5.5     IA Progress Report**

The Committee noted and accepted the report.

## **6    SI: ONS Reclassification of Colleges**

G Devlin, External Auditor, advised that there was still a good deal of uncertainty and lack of guidance regarding colleges' year end arrangements, March or July, but the college should continue to plan for a March year end.

### **6.1    External Audit meeting – 11 February 2014**

The Chair of the Committee tabled copies of an email he sent to all Board members following a meeting on 11 February with Gary Devlin, Grant Thornton, Chair of Audit, Brian Johnstone, Jannette Brown and Karen Hunter. In the email the Chair of Audit proposed that the Board decision to transfer reserves to the D&G Foundation was reversed, and that reserves (other than the Lennartz commitment) are transferred to the SFC Umbrella Trust.

This proposal was subsequently agreed and approval was given (by email) from the Chairman of the Board for the College to sign up to the SFC Umbrella Foundation.

As a result the College had formally lodged a request to join the SFC Trust, and the Principal and Assistant Principal (LS) would meet with the Trustees in the near future to discuss the reserves to be lodged by 31 March, and the date when these would require to be returned.

The External Auditor stressed that the Accounting Officer (Principal) would need to be satisfied that the funds as public monies were to be used for the purpose intended. The Committee discussed the situation and agreed that the Principal should seek clarification with the Trustees on the process for fund donations and requests, and in particular that the funds lodged would be "restricted".

In the meantime, the College would continue with the process of setting up the D&G FE Foundation, although the Board may ultimately decide that this should remain dormant.

G Devlin also highlighted that it was crucial that the College achieve a break even position at 31 March 2014.

The Committee agreed that it was content with the arrangements in place to inform the Board regarding the decision on whether to join the Umbrella Trust were robust and appropriate.

## **7    SI: Institutional Sustainability**

The Committee noted no change to the table considered at the previous meeting.

## **8      SI:      Strategic Risk Register**

The Assistant Principal (Learner Services) spoke to the report which had been distributed. She advised of only one proposed change, to Risk 12 regarding the ONS Reclassification, where it was felt that the residual risk could reduce from 12 to 9 and advice/guidance from external auditors added to the control measure.

The Committee noted the report and approved the proposal.

## **Business**

### **9   External Audit Report**

G Devlin, on behalf of Grant Thornton, spoke to the Financial Statements Audit Findings report which had been distributed. The Committee noted that there had been little change since the original draft which they had previously discussed, and recommended the Report to the Board for approval on 28 April 2014.

### **10 Any Other Business**

None.

### **11 Date and Time of Next meeting**

The next meeting had been diarised as 16 June 2014 but the Committee agreed that, in view of the change to the Accounting year, and in order to review the Audit Plan 2014/15, the next meeting would take place on 14 May 2014 from 12.30 pm.

## Board of Management

**Minute of Meeting of the Quality and Curriculum Committee of the Board of Management of Dumfries and Galloway College held on Tuesday 11 March 2014 from 2.00 pm in Room 2089, Dumfries campus**

**Present:**

- R Anderson, Academic Staff representative
- I Beach, Assistant Principal (Quality and Estates)
- T Hydes, Board Member
- R Gunnell, Board Member
- D Holland, Chair
- B Kirk, Student representative
- M Lonsdale, Student representative (vc link to Stranraer campus)
- W Robertson, Student representative
- K Somerville, Academic Staff representative
- C Turnbull, Principal
- A Wright, Assistant Principal (Curriculum)

**Observing:**

- A Hannah
- K MacGillivray-Fallis
- S Martin

**In Attendance:**

- J Brown, Clerk to the Board
- S Sutherland (note)

### **Presentation**

The Committee welcomed a presentation by members of the Learning and Teaching Mentors team on the process carried out to date and plans for the future.

### **Change of Chair**

Following the retiral of Fraser Sanderson, Mrs Delia Holland assumed the Chair of the Committee, and wished to place on record her recognition of Mr Sanderson's work on the Committee.

### **1 Apologies for Absence**

Apologies for absence were intimated on behalf of K Henry, J Henderson, J Maginess and D Patterson.

### **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 Quality and Curriculum Committee held on 30 September 2013 was approved.

### **4 Matters Arising**

#### **4.1 Item 4.2 Transform Update**

The Assistant Principal, Learner Services (APLS) spoke to the report which had been distributed updating Members on the European funded 'Transform – South of Scotland e-hub' joint project with Borders College, the purpose of which is to create further capacity to align college services to support remote access and to develop

blended learning materials. The project had been due to end in July 2013, but early in 2013 it became clear that there would be an under spend in many budget headings and so an application to extend the project until July 2014 was made and approved. Both colleges were currently on plan to meet the additional targets and/or overall budget spend.

The Committee noted the report, and asked for a presentation on TRANSFORM developments at the May meeting.

#### **4.2 Item 5 Key Performance Indicators: Examples of Action Taken**

The Assistant Principal, Curriculum (APC) spoke to the report giving examples of the actions taken by course teams where poor PIs had been identified.

#### **4.3 Item 10 Annual Engagement Visit**

The Assistant Principal, Quality and Estates (APQE) advised that John Bowditch, HMIe had made formal feedback to the Board on 20 January 2014, following the successful AEV in May 2013.

### **Standing Items**

#### **5 SI Key Performance Indicators**

The APC spoke to the report which had been issued on retention and learner outcomes to date for 2013/14.

The Committee noted that retention rates for full-time learners continued to move towards national averages, but a positive improvement across the sector meant that the college would need to improve even further.

Members discussed the areas of downward performance and it was agreed that the APC would provide a report to the next meeting on courses in the Business and Care areas where attainment was below 75%.

#### **6 SI Curriculum Developments**

The APC spoke to the report which had been issued informing Members of the key developments in the curriculum.

During discussion, the Committee noted that the College was working with all schools in the region except one, offering a range of delivery methods. Significantly for 2014/15 a range of programmes will be piloted for HNC including Electrical Engineering, Childcare and Education, Social Sciences and Sports and Fitness, supported through elearning with local Dumfries schools and Wallace Hall Academy as part of their Senior Phase provision.

The meeting also discussed the flexibility of online learning, and the student representatives confirmed that the College was offering a good mix of face to face and online learning, which was particularly helpful with revision, or where someone had missed classes.

#### **7 SI Complaints Handling Statistics**

The APQE spoke to the report which had been distributed.

## **7 SI Learner Engagement**

### **7.1 Complaints Handling Statistics**

The Assistant Principal, Quality and Estates (APQE) spoke to the report which had been issued, advising that the College was required to report annually on its performance in handling complaints in line with the SPSO requirements. The information in the report related to the period for 1 September 2013 to 21 February 2014. The Committee were pleased to note no major issues or trends and that all complaints had been resolved within the appropriate timescales.

## **8 Quality – Internal Audit Reports**

### **8.1 Admissions Survey**

The Committee noted the results from the on-line survey carried out for two weeks in November/December 2013 (a response rate of 265 of 1608 FT students). The report provided feedback from students in relation to the pre-application and admissions processes which included advice sessions.

The Committee discussed the number of students who had been referred by Job Centre Plus and acknowledged that, whilst this could be as a result of the changing age profile of students, it was disappointing and the meeting discussed ways of trying to create a better understanding of what the College has to offer.

### **8.2 Induction Survey**

The Committee noted the report providing feedback on Learner Induction for 2013-14 session (326 responses of 1608 FT students).

## **9 SI Students Association**

The student representatives present provided a verbal update on recent and forthcoming Association activities. They stressed how difficult it was to arrange a full executive meeting, ie including those members from the Stranraer campus. The Principal advised that, provided sufficient notice was given in terms of class attendance, the Association could agree advance date(s) in the year when this could happen.

## **10 SI Institutional Sustainability**

The Committee noted the IS table which had been distributed, with no change from the previous meeting.

## **Business**

## **11 Feedback on Aspect Visits**

### **11.1 Maximising Learner Success – 12 February**

The APC reported on a positive visit involving representatives from college partners, schools and staff and students. A minor issue was raised by the students during feedback which was being addressed.

### **11.2 Support for Learning – 26 February**

The APC reported on an positive visit when Education Scotland identified the excellent nature of learning support in the College, including the symbols used on CMIS to identify where there were support needs identified, and the joined up approach between support and lecturing staff.

## **12 SQA Systems Check**

The APQE reported that whilst SQA external verification visits occurred throughout the year, this visit was to monitor overall management. There were no development points identified and only one recommended action, which was a very positive outcome.

## **13 Credit Rating Project**

The APQE reported on the partnership with Borders College where the College was able as a centre to award accreditation to unrecognised qualifications, eg the eportfolio system.

## **14 Any other Business**

None

## **15 Date and Time of Next meeting**

The next scheduled meeting of the Committee would take place on 14 May from 2.00 pm, to be confirmed nearer the time.

## 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 Monday 17 March 2014 at 2.00 pm in Room 2089, Dumfries campus**

**Present:** R Gunnell  
J Henderson (Chair)  
K Henry  
C Turnbull

**In attendance:** K Hunter, Finance Manager  
J Brown, Assistant Principal (Learner Services) and Clerk to the Board  
S Sutherland, PA to the Principal

### **1 Apologies for Absence**

Apologies were intimated on behalf of Mr B Johnstone.

### **2 Declaration of Interest**

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

### **3 Minute of Previous Meeting**

The Minute of the Finance and General Purposes Committee held on 18 November 2013 was approved.

### **4 Matters Arising**

#### **4.1 Item 4.1 Retention Monies**

The Principal advised that the College had written to Millers outlining its continuing stance. The Assistant Principal (Quality and Estates) had received a note in response which was ambiguous but did hint at acceptance. He has asked them for written confirmation of this. In the meantime, the Committee was advised that there was still provision in the Accounts for the retention monies.

#### **4.2 Item 9 Institutional Sustainability**

The Principal reported that she had not yet added the establishment of a company limited by guarantee until the position was clearer, but that she would now add both the umbrella trust and college foundation as potential risks.

### **Standing Items**

#### **5 SI Capital Expenditure 2013/14**

The Finance Manager spoke to the report which had been distributed.

The Committee noted that the operational plans for 2013/14 had been reviewed and refined through SMT discussions, in order to prioritise works and ensure that the requests were in line with the Strategic Plan and Regional Outcome Agreement. In addition, funds from 2012/13 were available to carry forward and a request for an allocation of funds to complete the Transform project and e-business Strategy during 2013/14 was included.



The remaining items from the operational plan requests as approved at the previous meeting of the Committee were summarised as an Appendix to the report.

Members approved the allocation of capital expenditure to be used by 31 March 2014.

## **6      SI      Management Accounts for February 2014**

The Finance Manager tabled the financial report for February 2014.

The Committee noted that an operating deficit of £114,000 for the period to 31 March 2014 was forecast. However the accounting treatment of the core grant which should be recognised for the period was currently being clarified, in view of the change to the year end.

The Principal advised that both SFC and the External Auditors were aware and accepted that all college accounts to the end of March would be unusual and not comparable with previous years. However, the College was content as far as was possible that, had this been a normal year, it was still on course to return a slight surplus.

The Principal reported that whilst it was difficult to give the Committee the normal comparisons and assurances, SMT had been monitoring the cash flow position on a monthly basis and during March, the situation would be closely monitored in order to identify any amounts which should go into Trust prior to the end of the period.

The Committee noted the situation, and the lack of clear guidance available.

## **7      SI      Aged Debt Report**

The Finance Manager spoke to the report which had been distributed. It was noted that the Lewis Group had closed their debt collection department in January 2014, and the College was still trying to identify an alternative.

The Principal reported that it in terms of student funding, the balance of supporting students, whilst not overpaying so that monies could be recouped, was difficult and where students were in receipt of a bursary, housing and childcare benefits, their circumstances could change on a monthly basis.

Following discussion, the Committee agreed to write off the amount of £5,785.71, but noted that this figure was higher than previous years and so asked that the situation be closely monitored, and that the Finance Manager investigate the background to two individual student debts.

## **8      SI      Budget 2014/15**

The Finance Manager spoke to the report which had been distributed.

The Committee noted that the budget setting process for 2014/15 had had to commence much earlier in order to support the change in the year end. SMT had agreed the Curriculum Development Plan in December 2013, which had informed the staffing and resource costs for the budget.

The Committee reviewed the processes undertaken, and the key assumptions in the draft Budget, and recommended it to the Board for approval.

## **9 SI Institutional Sustainability**

The Principal spoke to the table which had been distributed. She highlighted a few minor additions to the narrative, in that capital funding had been maintained for 2014/15 (10) and that, whilst in year funding had been received, the College was still overspent on student funding (11).

In respect of efficient space utilisation (24), the Principal advised that the new hospitality development would be accommodated but thereafter any future expansion would be difficult.

The Committee noted the report.

## **10 ONS Reclassification of Colleges**

The Assistant Principal (Learner Services) reported that, following an external audit meeting on 11 February 2014, the Chair of Audit had issued an email to all Board Members proposing that the Board decision to transfer reserves to the D&G Foundation was reversed, and that reserves (other than the Lennartz commitment) be transferred to the SFC Umbrella Trust. This proposal was subsequently agreed and approval was given (by email) from the Chair of the Board for the College to sign up to the SFC Umbrella Foundation.

As a result the College had formally lodged a request to join the SFC Trust, and the Principal and Assistant Principal (LS) would meet with the Trustees in the near future to discuss the reserves to be lodged by 31 March, and in particular that the funds lodged would be “restricted”, and the date when these would require to be returned. The Committee noted the position, and agreed that the College lodge reserves of up to £2M with the Scottish Colleges Foundation before 31 March 2014.

In the meantime, the College would continue with the process of setting up the D&G FE Foundation, although the Board may ultimately decide that this should remain dormant.

## **Business**

### **11 Hospitality Curriculum Development**

The Principal reported on progress to date, and tabled key dates for the hospitality tendering process.

She advised that the budget for the build and adjacencies was still forecast to be within the £2M budget, and that it was anticipated that the build would be complete by 31 March 2015, for the first student intake in August 2015.

### **12 Any Other Business**

None

### **13 Date and Time of Next Meeting**

The next meeting was scheduled to take place on Monday 2 June 2014 at 2.00 pm.

## Board of Management

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### Minute of the Meeting of the Nominations Committee of the Board of Management of Dumfries and Galloway College held on Thursday 3 April 2014 at 9.30 am in Room 2009.

**Present:** Brian Johnstone (Chair)  
Hugh Carr  
Delia Holland

**In attendance:** Jannette Brown, Clerk to the Board

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#### 1 Apologies for absence

There were no apologies.

#### 2 Declaration of Interest

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

#### 3 Minute of Previous Meeting

The Minute of meeting of the Nominations Committee, held on 25 March 2013 was approved.

#### 4 Matters Arising

There were no matters arising

#### 5 Correspondence received

Members noted the letter from Michael Cross, dated 4 March 2014, advising that, the board of management of the college was designated as a regional college. This designation was achieved by the Designation of Regional Colleges (Scotland) Order 2014. Section 6(1) of the 2013 Act, makes new provision for the composition of college boards of management by amending Schedule 2 to Further and Higher Education (Scotland) Act 1992 ("the 1992 Act") came into force on that date in relation to the college.

#### 6 Recruitment of Board members

Members discussed the report on forthcoming Board member retirements which included highlighting that all ordinary members term in office would end 2 March 2015. The committee agreed to hold two separate recruitment processes, one in May 2014 and the second in December 2014. Depending on the outcome of the recruitment in May 2014 the December recruitment may need to be targeted to address any particular gender, skills or knowledge balance of the Board. It was also agreed that nominations and if necessary election of the support staff member should be concluded by the end of June 2014. The Board recruitment process will follow the recruitment guidelines set out in the college sector board appointments draft guidance issued by the Scottish Government. In line with this guidance the committee noted that Board appointments should be advertised on the Public Appointments website. The recruitment process will be open to any Board members vacating the post to apply for a new appointment. At this point Hugh Carr declared an interest.

The committee agreed to invite the Chair of Finance and General Purposes Committee to take Hugh's place during the recruitment process. In line with the draft guidance the committee noted that an independent member should also be part of the recruitment panel. It was agreed that the Clerk to the Board would ask Brian Pattinson to join the panel. The Clerk will circulate a draft schedule of the process to the panel.

## **7 Future Development Events**

The committee agreed that the Board would benefit from a development event on leadership. The Clerk to the Board was asked to arrange for Jan Polley, Polley Solutions Ltd, to facilitate this event to take place late October/early November.

## **8 Any Other Business**

The committee expressed their concern on the lack of opportunity to get to know fellow board members and the SMT. The committee agreed to host an informal network event such as a BBQ or buffet supper sometime early in the summer. The Clerk to the Board would discuss further with the Principal and take forward.

## **9 Date and time of next meeting**

To be confirmed

## Board of Management

### ANNUAL REPORT OF STAFFING COMMITTEE

#### 1. Administrative Matters

This report from the Staffing Committee of the Board of Management of Dumfries and Galloway College is submitted in accordance with the requirement of Appendix XVII of Standing Orders in relation to the minimum reporting requirements for Standing Committees.

1.1 The period covered by the report is 1 August 2012 to 31 July 2013.

1.2 The membership of the Committee during the period, included:

Mr T Hydes	
Ms C Turnbull	
A Nyondo	
Mrs K Magillivray-Fallis	

1.3 During the relevant period, the meetings were as follows:

29 October 2012	3 members attended
21 January 2013	3 members attended
27 May 2013	4 members attended

1.4 The average attendance figure from amongst members was 3 per meeting.

1.5 There has been no significant change to the Committee's Terms of Reference during this period.

1.6 The Board agreed a Scheme of Delegation in January 2002 that affected all Committees, principally by granting delegated authority to the Chairman of each Committee the power to act on behalf of the Committee between meeting cycles. This power was not exercised.

#### 2. Main issues dealt with

2.1 Work completed in accordance with the Strategic or Operational plan included:

- Regular reports to the Committee from the Head of Human Resources in respect of:

Absence  
 Staffing Establishment Changes  
 Staffing Analysis  
 Staff Utilisation  
 Employment Law Changes  
 Grading reviews  
 Discipline and Grievance  
 Institutional Sustainability

2.2 Work completed in accordance with any Action Plans:

- Policies and procedures reviewed in light of changes in legislation
- Review of staffing establishment to ensure efficient use of the Human Resource within the budget constraints identified avoiding any redundancies.

2.3 There were no reports issued.

- 2.4 The current Terms of Reference are adequate to ensure that Staffing and Human Resources issues are dealt with appropriately.
- 2.5 The Committee can give a reasonable assurance to the Board of Management that there are no major weaknesses apparent in the processes and responsibilities within the areas for which the Staffing Committee has oversight.
- 2.6 The scope of the work during the period was, in the opinion of the Staffing Committee, appropriate and effective and the performance of the Management in Staffing and Human Resources was satisfactory.

### **3. Value for Money Studies (VFM)**

- 3.1 There were no specific value for money studies conducted during the report period.
- 3.2 There are 2 specific value for money studies planned for the subsequent year, Open Learning and Work Based Learning.

### **4. Other Matters**

There are no matters arising from trusts, joint ventures, subsidiary or associated companies.

### **5. Opinion**

The Committee is of the opinion that it has complied with the Board's Standing Orders and Financial Regulations and there is reasonable cause for assuring the Board on the effective and efficient achievement of the Board's objectives for the Committee.

OUR VALUES

**SUPPORTIVE** communication  
understanding  
VALUE **TRUST** leadership  
RESPECT enthusiasm  
EFFECTIVE **ATTITUDE**  
POSITIVE outcome  
STRENGTH motivation  
INCLUSIVENESS LISTENING  
INVOLVEMENT **ACHIEVE**  
OUR VALUES

# Vision 2020

## Summary Report

# Contents

- Vision 2020
- Appendix 1 Statement
- Appendix 2 Summary of Key Recommendations

Issued  
March 2014  
Carol Turnbull  
Principal

# Vision 2020

## Introduction

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 and our aspirations and priorities for that timescale.



# Background

The College Sector has undergone a period of fundamental change (Regionalisation and a re-focus of Government priorities) in recent times that has required Colleges to re-evaluate their strategic aims and priorities. Dumfries and Galloway College received a very positive Education Scotland Review in March 2012 that gave full confidence statements in all areas of college activity and identified 2 examples of sector leading practice. The appointment of a new Principal (August 2012) a new Chair of the Board of Management (March 2014), together with the need to develop a new Strategic Plan has provided the catalyst and opportunity for all Staff and Board members to engage and contribute to the development of a collective Vision, Mission and Plan.

## Process

Sessions were initially held with Board members and the Senior Management Team to identify and agree some key strategic aims and objectives. The Senior Management Team undertook further work to refine these into a Vision, Mission and Strategic Outcome draft document which was approved by the Board of Management and then used as the basis for a range of facilitated sessions with groups of staff. John Burt (ex Principal of Angus College) and Brian Curle (Director of Further Education Development) acted as external facilitators and separate sessions were held with All Staff, Support Managers, Heads of Faculties, Curriculum Leaders, Team Leaders and Officers, and the Senior Management Team. The aims of the facilitated sessions were to obtain staff views on the Vision 2020 document and to obtain key recommendations on moving forward collectively to achieve Vision 2020.

## Vision 2020 – Amended and Improved Version

The overall view from staff is that the Vision 2020 paper is generally acceptable and is recognised as building on previous work. The succinctness was welcomed and there were many and varied comments on specific wording. These have been considered and an improved Vision 2020 statement is attached (Appendix 1) – with the changes highlighted.

## Summary of Key Recommendations on Moving Forward Collectively to Achieve Vision 2020

A summary of the key recommendations from all of the staff sessions is attached (Appendix 2). Key messages are around openness, trust and consistent leadership and communication at all levels in the organisation. Support Managers, Heads of Faculty and SMT had a joint session with John Burt following the All Staff session, where he presented the summary. A commitment was made at that session to work together to ensure these messages are acted upon and Heads of Faculty and Support Managers also agreed to work more closely with each other moving forward. Some specific comments were received relating to clarity of the role of Curriculum Leaders and this is being taken forward as a priority.

## Next Steps

The improved Vision 2020 Statement will be presented to the Board of Management for formal approval at the meeting to be held at the end of April 2014. Carol met John and Brian recently to discuss how to take forward the next stage of development which will be to identify appropriate success factors for each of the Strategic Outcomes (ie how will we know if we've achieved our Strategic Outcomes). This is likely to be the most challenging aspect of the plan's development and many staff commented on this as part of their feedback to John. Once we have identified the success criteria we can then work back the way to identify appropriate milestones in Year 1, Year 2 etc that will tell us we are on our way. These milestones will become our Annual Operational Plans.

John Burt will attend the Board meeting to present a summary of the findings from the staff sessions to agree the next steps.



# Vision 2020

Inspiring our People, Businesses and Communities to be successful

## 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

## Strategic Outcomes:

- We will provide opportunities to access and progress through education and training at all levels.
- We will deliver education and training that is a route to employment and career development and is aligned to local and national economic need.
- We will be the first choice for recruitment, training and development of the workforce.
- We will enable communities to grow and develop through local education and training.
- We will support more businesses to start-up, grow and diversify.
- We will enable people to build their independence and confidence in a supportive environment.
- We will enable people, through lifelong learning, to remain healthy and socially engaged.

# Achieving Vision 2020

## Summary Report from All Sessions on Vision 2020

### Key Recommendations on Moving Forward Collectively:

- General Communications Enhanced
- Join up and ensure consistent communication across the organisation at all levels (vertically and HORIZONTALLY)
- Listen to and act on the views of staff from Vision 2020 Sessions
- Resource and Invest in Vision 2020
- Review Academic Structure/CL Role
- Devolve Leadership and trust your staff to deliver the agreed targets
- Ensure clear dissemination of objectives/actions with appropriate supporting information
- Ensure plans/projects include all appropriate teams from the start (Think Wider Earlier and Include)
- Promote Positive Behaviour/Success
- Value/Hold on to Best Staff
- Develop a 'joined-up' college workflow that highlights key activities and facilitates task driven meetings (Right People at the Right Time with the Right Focus)
- Ensure all staff feel respected and give respect

### Single Recommendations – i.e. made by a single group/table

Be Consistent / Be Proactive / A College Party / More Openness/Flexible Timetable / All Leaders Engaged / More Time Conscious / Ensure Systems fit-for-purpose / More Time for Learners / Need to think holistically about student life / More accent on Quality / Remove Barriers / Promote Staff Community / Utilise Subject Specialists Better / Take Staff with You/'One-Team' not there yet / Use Staff Better; Audit Staff Skills / Remove Blame Culture / Use Success Rates rather than Retention Rates / Share Good Ideas between Departments / Lead Change through Creativity / Look after Each Other / Never Compromise on Standards / Social Space for Staff / Better Employer Links

