



**Meeting of the Finance and General Purposes Committee**

Meeting to be held

On Tuesday 5 March 2019

At 1330 hours in the Board Room

**A G E N D A**

Number	Item	Presented By	Action Required: Decision, Discussion, For Noting
<b>F.19.1.01</b>	(i) Resignations	Mrs C Fair	Noting
	(ii) Appointments		
<b>F.19.1.02</b>	Apologies for Absence	Mrs C Fair	Noting
<b>F.19.1.03</b>	Any Additional Declarations of Interest including specific items on this Agenda.	Mr M Easton	Noting
<b>F.19.1.04</b>	Draft Minutes of Finance and General Purposes Committee meeting held on 27 November 2018 *	Mr M Easton	Decision
<b>F.19.1.05</b>	Draft Matters Arising/Action Sheet from Finance and General Purposes Committee meeting held on 27 November 2018 *	Mrs C Fair	Noting
<b>F.19.1.06</b>	Emerging Issues		
	(i) Estates Update/Backlog Maintenance	Mr Clinton	Noting/discussion
	(ii) National Bargaining - Verbal Update	Mr Clinton	Noting/discussion
	(iii) College Governance – Ministerial Announcement	Mrs Fair	Noting/discussion
	(iv) Review of Terms of Reference of Committee	Mrs Fair	Discussion/Decision
<b>F.19.1.07</b>	Q2 Management Accounts to 31 January 2019 and anticipated outturn for 2018-19 *	Mr N Clinton	Noting/Discussion
	(i) Contribution spreadsheet – Verbal Update		
<b>F.19.1.08</b>	2019-20 Budget – Verbal Update	Mr N Clinton	Discussion
<b>F.19.1.09</b>	Commercialisation Group – Verbal Update	Mr N Clinton	Discussion
<b>F.19.1.10</b>	Risk Register *	Mr N Clinton	Discussion
<b>F.19.1.11</b>	Policies due for Review ~	Mr D Duncan	Decision

Agenda F&GP Meeting 5 March 2019

	(i) Freedom of Information		
	(ii) Data Breach Handling Policy and Procedure (NEW)		
	(iii) Privacy and Marketing Communications Policy (NEW)		
	(iv) Right to Erasure Procedure (NEW)		
	(v) Subject Access Request Policy and Procedure (NEW)		
<b>F.19.1.12</b>	Annual Committee Effectiveness Review	Mrs C Fair	Noting
<b>F.19.1.13</b>	Date of next meeting – 4 June 2019	Mrs C Fair	Noting
<b>RESERVED ITEMS</b>			
<b>F.19.1.14</b>	Draft Reserved Minutes of Finance and General Purposes Committee Meeting held on 27 November 2018 *	Mr M Easton	Decision
<b>F.19.1.15</b>	Reserved Matters Arising of Finance and General Purposes Committee Meeting held on 27 November 2018 *	Mrs C Fair	Noting
<b>F.19.1.16</b>	Moray Growth Deal *	Mr D Patterson Committee	Discussion

**Agenda Item: F.19.1.04**



**FINANCE AND GENERAL PURPOSES**

Draft Minutes of Meeting held on

Tuesday 27 November 2018

At 1000 hours in the Board Room

**Present:**

Mr Murray Easton (Convenor)  
Mr Peter Graham  
Mr David Patterson  
Mr James Knowles  
Mr Joe Bodman  
Miss Caroline Webster  
Mrs Rosemary McCormack

**In Attendance:**

Mrs Deborah Newton  
Mr Nick Clinton  
Mrs Cathie Fair (Clerk)  
Mrs Eleanor Melton (Minutes)

Item		Action	Date
<b>F.18.5.01</b>	<b>(i) Resignations</b>		
1.1	There have been no resignations received.		
	<b>(ii) Appointments</b>		
1.2	There have been no new appointments.		
<b>F.18.5.02</b>	<b>Apologies for Absence</b>		
2.1	An apology was received from Nathan Sanderson (HISA)		
<b>F.18.5.03</b>	<b>Any Additional Declarations of Interest including specific items on this Agenda</b>		
3.1	There were no additional declarations of interest.		

**Agenda Item: F.19.1.04**

<b>F.18.5.04</b>	<b>Draft Minutes of Finance Meeting held on 11 September 2018</b>		
4.1	The minutes were accepted as a true record and approved by the Committee: Proposed: Mr Peter Graham Seconded: Mrs Joe Bodman		
<b>F.18.5.05</b>	<b>Matters Arising/actions Sheet from Board meeting held on 11 September 2018</b>		
5.1	<u>5.1</u> Complete		
	<u>5.2</u> Work in progress, may be ready by January/February to be shared offline and discussion at March F&GP meeting.		
	<u>8.2</u> Complete – No impact.		
	<u>9.1</u> Complete – There is no real consistency between partners, suggestion is to keep as is for now and Committee agreed.		
	<u>9.2</u> Ongoing – Has been raised with Fiona Larg and FD Practitioners’ group although no response as yet.		
	<u>10.1</u> On Agenda		
<b>F.18.5.06</b>	<b>Emerging Issues</b>		
	<b>i Backlog Maintenance</b>		
6.1	Mr Clinton updated members on the progress so far, the SFC sent out a pro-forma to be completed, including costings. CDMM are currently completing the boiler spec so this can then be put out to tender by Christmas, with a view to have work started by March. Other work planned includes retainer for Project Manager/Professional Services for project management of building works. Carpark – redesign, internal flooring being looked at. The Committee requested that the specifications be completed before Christmas holidays.		
<b>Action</b>	To keep committee updated on current status	<b>Mr Clinton</b>	As required
<b>Action</b>	Mail message to Board assuring members that tender has gone out	<b>Mr Clinton</b>	When issued
<b>Action</b>	Reinforce to CDMM that there is an expectation by the board to have the boiler spec out to tender by 18 December.	<b>Mr Clinton</b>	Immediate

**Agenda Item: F.19.1.04**

	Spend needs to be committed by the end of March; roofing and flooring issues and the potential re-design of Main Campus car park are currently being looked at. Bids are also being taken from academic areas with £150K currently identified.		
<b>Action</b>	Acquire confirmation that there will be no clawback of funds.	<b>Mr Clinton</b>	
	<b>ii VAT Update</b>		
6.2	Confirmation has been received from HMRC that we would be receiving a refund of around £70K (minus agent fees).		
	<b>iii UHI Accounting System</b>		
6.3	No implementation planned; there will be a further update in December.		
	<b>iv – UHI F&amp;GP Convenors</b>		
6.4	Mr Easton reported that there seemed to be a lack of connectivity around UHI regarding Finance although Mr Clinton does have regular contact with Niall McArthur and Fiona Larg. A telecom is planned on 11 December with F&GP convenors. Committee were asked for any suggested topics for discussion.		
<b>Action</b>	Suggested topics for discussion to Convenor	<b>Committee</b>	By 10-12-2018
<b>F.18.5.07</b>	<b>Final 2017/18 Management Accounts</b>		
7.1	Mr Clinton supported the paper provided, opening the table to questions if any. Pension liability has reduced by £5.5M. Mr Bodman queried if other colleges shared concerns of the significant pension reduction and if they would increase as quickly. The Committee queried why funding down by £20K. The HE ESIF uplift was £33K less. There is some uncertainty about whether final instalment will be received. It was suggested that this be added to the list to discuss at the Finance Convenors' meeting in December. Mr Clinton explained the allocation of ESIF funding and the process surrounding it (HE). He was recently asked to flag potential students for the funding. The Committee commended the cash flow position of a closing cash balance of £285K.		
<b>F.18.5.08</b>	<b>Update on 2018/19 Budget and 4 Year Financial Plan</b>		

**Agenda Item: F.19.1.04**

8.1	<p>Mr Clinton updated members on the situation to date, explaining that this is a positive place to be in and would like to have a closing balance of £500K by July 2019.</p> <p>Mr Easton asked Mr Clinton which loan he would suggest paying off first if found to be in the situation that he was able to. Mr Clinton said he would review the accounts in late March, at which point he would be able to have the conversation about paying off a debt early and/or proposals for additional uses of funds. SFC have confirmed that National Bargaining will be consolidated into Regional Funding but it is apparent that not all Colleges are using the same assumptions in relation to this.</p>		
<b>Action</b>	Four year forecast to be updated and presented to the Board on 18 December.	<b>Mr Clinton</b>	<b>Dec Board</b>
<b>F.18.5.09</b>	<b>Q1 Management Accounts - Verbal</b>		
9.1	Mr Clinton explained these are not yet available. It was requested that a Q1 actuals summary be made available for presentation to the board in December with an updated forecast for the year. Q2 and full year forecast to be presented in March.		
<b>Action</b>	For December Board – summary of Q1 actuals and 9 month estimated income	<b>Mr Clinton</b>	<b>Dec Board</b>
<b>Action</b>	Share with F&GP Committee by e-mail and Q2 Accounts to March F&GP meeting	<b>Mr Clinton</b>	<b>March F&amp;GP</b>
<b>F.18.5.10</b>	<b>Commercialisation Group Update - Verbal</b>		
10.1	<p>Mr Clinton updated members, explaining the first meeting of this group was held at the end of October, a full summary will be provided to the full board in December.</p> <p>Mr Easton queried what FGP would like to see from this group. It was agreed that the committee would like to see a breakdown of ideas from this year.</p>		
<b>Action</b>	Mr Clinton and Mr Easton to discuss offline and develop a reporting mechanism for presentation at the March F&GP.	<b>Mr Clinton Mr Easton</b>	<b>March F&amp;GP</b>
<b>F.18.5.11</b>	<b>Finance and General Purposes Committee's Annual Report to the Board</b>		

**Agenda Item: F.19.1.04**

11.1	Mr Easton confirmed he will share F&GP's annual report to the Board with F&GP members the following week prior to it being presented to the December Board.		
<b>Action</b>	Complete and circulate Committee's Annual Report to the Board within a week ready to go to Board by 18 December 2018	<b>Mr Easton</b>	18-12-2018
	<b>RESERVED ITEMS</b>		
<b>F.18.5.12</b>	<b>Draft Reserved Minutes from Finance and General Purposes Meeting held on 11 September 2018</b>		
12.1	This item is reserved and the minute held in confidence.		
<b>F.18.5.13</b>	<b>Draft Matters Arising from Finance and General Purposes Meeting held on 11 September 2018</b>		
13.1	This item is reserved and the minute held in confidence.		
<b>F.18.5.14</b>	<b>Annual Statutory Accounts 2017/18</b>		
14.1	This item is reserved and the minute held in confidence.		
<b>F.18.5.14</b>	<b>Review of External Auditors' Annual Report</b>		
14.1	This item is reserved and the minute held in confidence.		
<b>F.18.5.15</b>	<b>Risk Register</b>		
	<b>i Moray Growth Deal</b>		
15.1	This item is reserved and the minute held in confidence.		
<b>F.18.5.16</b>	<b>Date of Next Meeting</b>		
16.1	This item is reserved and the minute held in confidence.		
	<i>Meeting Closed at 13.15pm</i>		

**Action Sheet/Matters Arising from Finance and General Purposes Committee Meeting Held on 27 November 2018**

		<b>ACTION</b>	<b>DATE</b>	<b>UPDATE</b>
<b>F.18.5.05</b>	<b>Matters Arising/Action Sheet from Meeting of 11 September 2018</b>			
<b>5.1</b>	<u>5.2</u> Contribution spreadsheet to be shared offline with F&GP with a discussion at March F&GP meeting	<b>Mr Clinton</b>	March F&GP	On Agenda
<b>5.2</b>	<u>9.2</u> to chase up Issue of standardisation of Insurance across UHI with Fiona Larg and FD Practitioners' Group	<b>Mr Clinton</b>	ASAP	Ongoing
<b>F.18.5.06</b>	<b>Emerging Issues</b>			
	<b>(i) Backlog Maintenance</b>			
<b>6.1.1</b>	To keep Committee updated on current status of Backlog Maintenance	<b>Mr Clinton</b>	As required	Completed and on Agenda
<b>6.1.2</b>	Mail message to Board assuring members that tender has gone out.	<b>Mr Clinton</b>	When issued	Completed
<b>6.1.3</b>	Reinforce to CDMM that there is an expectation by the Board to have the boiler spec out to tender by 18 December	<b>Mr Clinton</b>	Immediate	Completed
<b>6.1.4</b>	Acquire confirmation that there will be no clawback of funds	<b>Mr Clinton</b>	ASAP	Completed
	<b>(iv) – UHI F&amp;GP Convenors</b>			
<b>6.4</b>	Suggested topics for discussion to Convenor.	<b>Committee</b>	By 10-12-2018	Completed
<b>F.18.5.08</b>	<b>Update on 2018/19 Budget and 4 Year Financial Plan</b>			
<b>8.1</b>	Four year forecast to be updated and presented to the Board on 18 December.	<b>Mr Clinton</b>	18-12-2018	Completed
<b>F.18.5.09</b>	<b>Q1 Management Accounts - Verbal</b>			
<b>9.1.1</b>	For December Board – summary of Q1 actuals and 9 month estimated income	<b>Mr Clinton</b>	18-12-2018	Completed

Matters Arising from Finance and General Purposes Committee 27 November 2018  
 Agenda item: F.19.1.05

		<b>ACTION</b>	<b>DATE</b>	<b>UPDATE</b>
<b>9.1.2</b>	Share with F&GP Committee by e-mail and Q2 accounts to March F&GP meeting	<b>Mr Clinton</b>	March F&GP	On Agenda
<b>F.18.5.10</b>	<b>Commercialisation Group Update</b>			
<b>10.1</b>	Mr Clinton and Mr Easton to discuss offline and develop reporting mechanism for presentation at the March F&GP	<b>Mr Clinton</b> <b>Mr Easton</b>	March F&GP	Remains outstanding
<b>F.18.5.11</b>	<b>Finance and General Purposes Committee's Annual Report to the Board</b>			
<b>11.1</b>	Complete and circulate Committee's Annual Report to the Board within a week ready to go to Board by 18 December 2018	<b>Mr Easton</b>	18-12-2018	Completed

**Agenda Item Reference: F.19.1.06**

<b>Title of Paper:</b>	Estates/Backlog Maintenance Update			
<b>To Committee:</b>	Finance & General Purposes Committee ("F&GP")			
<b>Subject:</b>	Spend/Allocation of 181/9 Backlog Maintenance			
<b>Version number and date:</b>				
<b>Brief summary of the paper:</b>	Update on current position regarding the spend/commitment of Backlog Maintenance funding for 18/19			
<b>Recommendations:</b>				
<b>Action requested/decision required:</b>	For noting and discussion			
<b>Status: (please tick ✓)</b>	<b>Reserved:</b>		<b>Non-reserved:</b>	X
<b>Date paper prepared:</b>	28 February 2019			
<b>Date of committee meeting:</b>	5 March 2019			
<b>Author:</b>	Director of Finance			
<b>Link with strategy:</b> Please highlight how the paper links to, or assists with: Strategic Plan including <ul style="list-style-type: none"> <li>• Curriculum</li> <li>• Learning and Teaching</li> <li>• Organisational culture</li> <li>• Partnership</li> <li>• Sustainability</li> </ul>	<p>Enclosed is a summary/update for F&amp;GP in respect of the projects/works being undertaken in utilising the 18/19 Backlog Maintenance funding the College has been awarded in respect of high priority areas (c£1.33m).</p> <p>These funds require to be spent or committed to (i.e. purchase order placed) by 31 March 2019.</p> <p>The College is well placed to ensuring that these funds are fully utilised in within the require timeframe</p>			
<b>Equality and diversity implications:</b>	N/A			
<b>Resource implications:</b> <i>(If yes, please provide detail)</i>	N/A			
<b>Risk implications:</b> <i>(If yes, please provide detail)</i>	Risk of funding not being committed to within the set deadline.			

<b>Appendices:</b>	As enclosed
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<b>Summary of Backlog Maintenance Spend - 18/19</b>		
<b>Spend Area</b>	<b>Amount - inc VAT (£'000)</b>	<b>Comments/Current position</b>
Boiler Replacement	500	Tenders due for submission on 5 Mar, review and appraisal due to be completed by 8 Mar.
Flooring Upgrade	250	Works agreed, and schedule over Easter break and summer break.
Capital upgrade projects	160	Various capital upgrade projects in academic areas, majority of goods order with remainder being ordered within the next 5-7 days.
Roof Repair work/car-park	120	Car park improvements works ordered - to be carried out during Easter break. Roof appraisal tenders received 28 Feb, currently with APUC for review.
Opex works (various)	125	Utilising BLM to address opex maintenance costs.
Window replacement works	50	Ordered, and work underway.
LRC Gable-end repair works	30	Spec being prepared by structural engineer, with works to commence thereafter (i.e. 2/3 weeks).
H&S matters/other BLM	100	To address various matters from H&S review.
<b>TOTAL</b>	<b>1,335</b>	



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Ms Clare Adamson MSP  
Convenor – Education and Skills Committee  
The Scottish Parliament  
EDINBURGH  
EH99 1SP

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18 February 2019

Dear Convenor,

Colleges make a vital contribution to this Government's commitment to improving the lives and employability of all Scotland's people. Their effective governance is fundamental in securing public value; and in supporting colleges to improve the life chances of their students and the performance of businesses.

In 2016, the then Education Secretary's Good Governance Task Group reported back on the lessons learned at Glasgow Clyde, North Glasgow and Coatbridge Colleges. The Task Group also made a series of recommendations to improve governance in Scotland's colleges around four strategic themes of prevention; self-assessment; external assurance; and sanctions. These recommendations have been taken forward in conjunction with the Good Governance Steering Group which is a cross-sector body with a remit to support-ongoing good governance across the college sector.

Two of the specific recommendations suggested that the Scottish Ministers consult on the introduction of a number of new provisions, either legislatively or administratively, to the college governance framework. The Scottish Government consulted on these recommendations in April and May 2017. The Scottish Government received 39 responses to this consultation – 28 from organisations, including 10 colleges, and 11 from individuals. The majority of the questions consulted on are complex and have required lengthy consideration.

The Scottish Government proposes to take forward a number of proposals where it has been clearly demonstrated that undertaking such an action would improve governance in Scotland's colleges and would not alter the chain of accountability in the sector as introduced by the Post-16 Education (Scotland) Act 2013.

As a result, I am proposing to undertake the following actions as a consequence of this consultation:

- **Partnership working:** introduce two trade union nominees to the boards of incorporated colleges, the Lanarkshire Board and the Glasgow Colleges' Regional Board *in addition* to the existing staff representatives, bringing the college sector into line with changes made in universities by the Higher Education Governance Act 2016.
- **Board appointments:** amend ministerial guidance for college board appointments to:
  - strengthen the guidance on succession planning and multiple candidate appointments, and;
  - require all board vacancies to be advertised on the Colleges Development Network Website.
- **Training:** ask the Colleges Development Network to embed teamwork within the induction training of board members.
- **Enhanced guidance:** develop guidance for the SFC and colleges to follow in relation to any specific reviews undertaken by SFC of colleges under section 7C(7) of the Act (which relate to reviewing statutory criteria for a body to remain eligible for funding).
- **Board meetings:** introducing the ability of SFC to attend the board meetings of assigned colleges.
- **Auditor General reviews:** we will further investigate allowing the Auditor-General for Scotland the ability to conduct economy, efficiency and effectiveness reviews with the non-incorporated colleges that are not part of a local authority.
- **Alignment:** bring colleges into line with other Scottish public bodies where appointing bodies may suspend board members.
- **Remuneration:** remunerate the incorporated, assigned college chairs (bringing them into line with their regional strategic body and regional college colleagues), at a rate to be determined by the Scottish Ministers.

I hope the Committee finds this information useful. Officials will work closely with the Good Governance Steering Group to take forward the implementation of these actions.

I also attach the responses to the public consultation, which will be shortly published on the Scottish Government website.



**RICHARD LOCHHEAD**

Agenda Item: F.19.1.06 (iv) (a)

<b>Title of Paper:</b>	Review of Terms of Reference of Finance and General Purposes committee			
<b>To Committee:</b>	Finance and General Purposes Committee			
<b>Subject:</b>	Terms of Reference of Finance and General Purposes Committee			
<b>Version number and date:</b>				
<b>Brief summary of the paper:</b>	A review of the Standing Orders of the Board of Management is currently being undertaken. The review is due by the end of 2019. It would seem sensible and timely to also undertake a review of the terms of reference of each of the Board's Standing Committees at the same time.			
<b>Recommendations:</b>	Committee is asked to consider the current terms of reference and check if they are still fit for purpose. There have been a number of changes to the remit of the Committee since these were last reviewed; the Building Committee no longer exists. Staff Governance is now responsible for the oversight of health and safety.			
<b>Action requested/decision required:</b>	Consider current terms of reference against the work of the Committee and make any recommended changes to be incorporated into the review of the Standing orders.			
<b>Status:</b> <i>(please tick ✓)</i>	<b>Reserved:</b>		<b>Non-reserved:</b>	✓
<b>Date paper prepared:</b>	27-2-2019			
<b>Date of committee meeting:</b>	5 Ma4ch 2019			
<b>Author:</b>	Cathie Fair			
<b>Link with strategy:</b> Please highlight how the paper links to, or assists with: Strategic Plan including <ul style="list-style-type: none"> <li>• Curriculum</li> <li>• Learning and Teaching</li> <li>• Organisational culture</li> <li>• Partnership</li> <li>• Sustainability</li> </ul>	Remit of F&GP covers financial stability and sustainability of the College			
<b>Equality and diversity implications:</b>				

Agenda Item: F.19.1.06 (iv) (a)

<b>Resource implications:</b> <i>(If yes, please provide detail)</i>	
<b>Risk implications:</b> <i>(If yes, please provide detail)</i>	Risk that terms of reference do not accurately reflect the current work of the Finance and General Purposes Committee
<b>Appendices:</b>	Current terms of reference of the F&GP Committee and Terms of Reference of Inverness College UHI
<b>References:</b>	<i>References to anyone else's work, publications or journals</i>

## **FINANCE & GENERAL PURPOSES COMMITTEE**

### **Terms of Reference**

#### **Authority**

- The Finance and General Purposes Committee is accountable to the Board, and is authorised on its behalf to:
- Ensure that a sound system of internal financial management and control and a robust mechanism for considering financial issues is in place; making recommendations as appropriate.
- Monitor the performance of that System on a regular basis throughout the accounting period.
- Carry out detailed examination of the Annual Report and Financial Statements and, if appropriate, recommend their approval by the Board. The Board remains responsible for their approval and for safeguarding the College's assets.
- Review the College's needs with regard to buildings and property, and to make recommendations to the Board on the acquisition and disposal of land, buildings or properties in accordance with those needs.
- The Committee may obtain independent professional advice and secure the attendance of external persons with relevant expertise and experience.

#### **Membership**

The Committee shall comprise at least three members of the Board, at least one of whom should have a background in finance or accounting, and the Principal.

The Committee may co-opt non-executive members who are not members of the Board, and who have particular relevant experience or expertise. Co-opted members may not be appointed to be Convener of the Committee, or attend Board meetings, but their status in other respects will be equivalent to full Board members.

The Board will appoint the Convener of the Committee.

**Agenda Item Reference: F.19.1.**

**Proceedings**

The Committee should meet at least three times a year, and the timing and content of the meetings should follow, as far as possible, the financial reporting cycle and the scheduling requirements of the full Board.

The Finance Director will attend meetings. Other staff may also be invited to attend as appropriate, given the areas of responsibility under consideration.

The Clerk to the Board of Management will attend the Committee. S/he will be responsible for establishing and maintaining effective mechanisms to inform the Committee of relevant reports and other publications that impact on the Committee's work.

At all its meetings, the quorum shall be at least one third of the total number of its members, subject to a minimum of three where the substantive membership is five or two where it is less than five.

**Duties**

**Financial Management and Controls**

- To advise the Board on all aspects of the College's finances, financial policies, procedures and administration and controls;
- To ensure adherence to the statutory requirements relating to the College's financial affairs, and compliance with the Financial Memorandum and related Funding Council guidance;
- To ensure that the College's Financial Regulations and Financial Procedures are complied with, and are reviewed and updated annually;
- To consider new means of income generation and advise the Board accordingly;
- To consider, review and report to the Board on the monthly and annual management accounts of the College, and quarterly and annual accounts of any subsidiary, Trust or other associated organisation;
- To review and recommend to the Board if appropriate the writing off of individual debts outwith the authority delegated to the Principal.
- To produce an annual report to the Board on the state of the College's finances.
- To consider and advise the Board on any relevant taxation issue;

**Agenda Item Reference: F.19.1.**

- To advise the Board generally on investments and borrowings and to seek appropriate advice from external sources;

**Risk Management and Business Continuity**

- To consider and advise the Board about the College's approach to risk management and business continuity;

**Budget Setting and Monitoring**

- To consider and make recommendations to the Board on the annual estimates of income and expenditure, including income, from Public Funds and all other sources;
- To monitor actual financial performance against budgets on a regular basis throughout the accounting period, to investigate significant variances in income and expenditure and to report to the Board
- To consider and make representations to the Board on the solvency of the College and the safeguarding of its assets, including reviewing annually the College's insurance arrangements;

**Banking**

- To consider and approve College banking arrangements and signatories for accounts;

**Student Matters**

- To approve all tuition fees and arrangements for determining the charges for services, and a system for collecting them in accordance with the Act and the Financial Memorandum;
- To consider Policies and Procedures for the financial support of students;

**Property**

- To consider and review any proposed capital spending projects and where appropriate approve those contained within the approved budget and to advise the Board on the financial implications of those in excess of the approved budget.

<p><b>Terms of Reference of the Board of Management of Inverness College UHI</b></p>
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Lead Officer	Chair of the Board of Management
Review Officer	Secretary to the Board of Management
Date first approved by BoM	June 2015
First Review Date	June 2017
Date review approved by BoM	
Next Review Date	
Equality impact assessment	N/A
Further information (where relevant)	

Reviewer	Date	Review Action/Impact

## **Board of Management Terms of Reference**

### **Membership**

The membership of the Board will be as determined by the Post 16 Education (Scotland) Act 2013 and as set out in paragraph 3.2 of the Constitution.

### **Quorum**

One half or fifty percent of the actual membership of the Board. Ordinary members must be in a majority at the meeting.

### **Frequency of Meetings**

The Board shall meet no less than four times each year.

### **Specific**

The Board has responsibility for overseeing the business of the College, determining its future direction and fostering an environment in which the College mission is achieved and the potential of all learners is maximised.

The Board of Management must ensure compliance with the statutes, ordinances and provisions regulating the College and its framework of governance and, subject to these, take all final decisions on matters of fundamental concern to the College.

The following items are retained for approval by the Board, upon advice from or recommendation by the relevant Committee where appropriate and may not be delegated:

1. determining the objectives of the Board of Management;
2. matters of new policy or variation of existing policy;
3. borrowing money (other than overdraft facilities within the Principal's delegated authority) and, in connection with such borrowing, granting securities or giving guarantees or indemnities. Any such borrowing, granting securities or indemnities must comply with Section 12.7(a) of the Further and Higher Education (Scotland) Act 1992;
4. the final approval of the annual budget;
5. the final approval of the College Strategic Plan;
6. approval of the year end Annual Accounts and Financial Statements for submission to the Regional Strategic Body;
7. approval of material changes to staff pay levels to the extent that any such changes fall outwith the terms of the approved annual budget of the College or any delegation to the Joint Negotiating Committee or otherwise in terms of this Scheme of Delegation and/or the Constitution;
8. the final consideration of the Annual Audit Report;
9. the acquisition and disposal of heritable property, whether by way of sale, transfer, assignation, lease, licence or otherwise or the granting or any standard securities, charges or any other rights in respect of any heritable property which relate to the College's title thereto;

10. The appointment of co-opted members
11. The appointment of members and co-opted members to standing committees;
12. the appointment of and disciplinary action against the Principal;
13. the approval of early retirement packages, enhanced pension arrangements or financial packages in excess of statutory provisions;
14. delegation of functions of the Board of Management;
15. the making, amendment and revocation of the Constitution and Standing Orders of the Board of Management (including, but not limited to, the code of conduct, Committee terms of reference and the Scheme of Delegation;
16. entering into of any material contracts or any contract or transaction which is not in the ordinary and proper course of the business of the College and on arm's length terms;
17. commencing any legal or arbitration proceedings (other than routine debt collection);
18. establishing committees and determining the terms of reference thereof; and
19. forming or promoting or joining with any other person in forming or promoting companies.
20. any functions, the exercise of which is clearly reserved to the Board in terms of any direction by Parliament or the Scottish Funding Council

## **Audit Committee Terms of Reference**

### **Membership**

Not less than 5 members of the Board of Management.

At least one member of the Committee should have recent and relevant experience in finance, accounting or auditing.

Board members not eligible for appointment are the Chair of the Board, the Principal, members elected by the teaching and non-teaching staff of the college and the person appointed by the Students Association.

No member of the Finance and General Purposes Committee shall also be a member of the Audit Committee

The Chair of the Board and the Principal may be invited to attend meetings

Membership of the Committee should satisfy the requirements of the SFC Code of Audit Practice, and / or other appropriate guidance, as may be directed by the Board of Management.

### **Quorum**

Three members of the Committee entitled to vote upon the items before the meeting.

### **Frequency of Meetings**

The Committee will meet no less than three times each year.

### **Remit**

The Committee's remit is to review and monitor the following aspects of the College's operations, and to advise the Board appropriately on the:

1. Governance and management of the College.
2. Risk management and business continuity.
3. Adequacy of the College's financial management.
4. Effectiveness of the internal control and management systems.
5. Effectiveness of arrangements for safeguarding the assets of the College and the public funds at its disposal.
6. Economy, efficiency and effectiveness of the College's activities.
7. Effectiveness of the corporate governance and conduct of the College operations.
8. Internal audit.
9. External audit.
10. Value for money audit.
11. Health and Safety
12. Public interest disclosure (whistle-blowing) arrangements.
13. Data Protection and Freedom of Information

Specifically, the Audit Committee shall:

1. Receive updates to and review the contents of the risk register maintained by the College.
2. Review the reports submitted by the College's Internal Auditors and receive progress reports from College Management on the Internal Audit recommendations.
3. Jointly with the Board's Finance and General Purposes Committee review the annual report of the College's external auditors and the associated College financial statements on which that report is based
4. prepare an annual report for the Board of Management

The Audit Committee shall conduct its business in accordance with the requirements of any guidance and/ or codes of practice issued from time to time by the SFC and/ or any other relevant statutory or regulatory authority, as directed by the Board of Management.

## **Finance and General Purposes Committee - Terms of Reference**

### **Membership**

Not less than five Members of the board of Management including the Chair and Principal who are members *ex officio*.

### **Quorum**

Three members of the Committee entitled to vote upon the items before the meeting.

### **Frequency of Meetings**

The Committee shall meet no less than four times each year.

### **Remit**

The Committee has overall responsibility (within the Financial Memorandum between the College and the Regional Strategic Body) for the direction and oversight of the College's financial affairs.

The Committee has responsibility for the College's existing buildings and estates.

The Finance and General Purposes Committee shall:

1. Monitor the financial control of the college and keep the College Financial Regulations under review.
2. Review and approve the establishment of any arrangements to provide the College with banking facilities. This is subject to the authorisation limits set by SFC for the drawing down of loans.
3. Monitor actual expenditure and income against budget and report to the Board on any necessary action.
4. Monitor capital expenditure against agreed development plans.
5. Consider financial benchmarking information and monitor unit costs.
6. Advise the Board on financial strategy.
7. Review the effectiveness of financial management within the College.
8. Recommend to the Board the college's annual budget.
9. Consider and report on the annual financial statements.
10. Approve all key decisions taken in relation to college finance.
11. Make recommendations to the Board regarding the level of tuition fees and other charges.
12. Approve fee waivers on behalf of the Board and approve the write-off of bad debts (in accordance with the limits set in the Scheme of Delegation).
13. Consider and report on any other financial matters which the Board may delegate or refer from time to time.
14. Consider, and contribute to, the overall risk management strategy of the college.
15. Ensure compliance with statutory and regulatory requirements;
16. Consider and report on Shared Services in so far as they relate to the provision of such services to the college
17. Consider and report on issues of procurement
18. Consider and recommend to the Board on all matters relating to the operation of the Arms Length Foundation

19. Consider and report on all matters relating to student residences
20. Consider and report on all matters relating to the operational stage of the New Campus buildings
21. Ensure that the college's existing buildings and estates are fit for purpose;
22. Ensure that the college's existing buildings and estates are maintained to an appropriate standard;
23. Ensure that the college's existing buildings and estates are reasonably accessible and comply with the terms of the Equality Act 2010 and
24. Provide a healthy and safe environment for the college's staff, students and visitors.

## **Human Resources Committee Terms of Reference**

### **Membership**

Not less than five Board Members, including the Chair and Principal who are members *ex officio*.

Board Members who are employed at the College may not Chair the Committee.

### **Quorum**

Three members of the Committee entitled to vote upon the items before the meeting.

### **Frequency of Meetings**

The Committee shall meet no less than four times each year.

### **Remit**

The Committee has overall responsibility for the direction and oversight of all personnel matters relating to the function of the Board of Management as employer of the College's staff.

The Committee shall oversee the development and auditing of all human resource strategies and work streams and this shall include:

1. Overseeing the Human Resources Strategy and Annual Action Plan and monitoring actual performance against KPIs.
2. Auditing Human Resource policies and practices within the College, including those relating to recruitment and selection, terms and conditions of employment including Discipline and Grievance, Health and Safety, and training and development, staff development and appraisal.
3. Overseeing the provision of occupational health support, the provision of computerised human resources systems and a Job Evaluation system.
4. Monitor progress against Equality Scheme Action Plans.
5. Monitor the Investors in People standard and ensure the College provides appropriate Staff training and development.
6. Ensuring the College has in place an effective Performance Management framework monitored through regular statistical reports to the Committee.
7. Ensuring appropriate arrangements are in place for effective dialogue with trade unions
8. Ensuring that pay and conditions of employment are properly determined and that pension arrangements are monitored
9. Ensuring that the college is operating within all legal requirements relating to employment law and other legislation affecting employment

## **Learning and Teaching Committee Terms of Reference**

### **Membership**

At least five members of the Board, including the Principal *ex officio*, the Teaching Staff Representative and the Student Representatives.

### **Quorum**

Three members of the Committee entitled to vote upon the items before the meeting.

### **Frequency of Meetings**

The Committee shall meet no less than three times each year.

### **Remit**

The Committee has overall responsibility for monitoring the direction and performance of learning and teaching at the College.

The Learning and Teaching Committee shall:

1. Monitor the development of the College's Learning & Teaching Strategy.
2. Review the academic and student support aspects of the College Operational Plan to ensure consistency with the Strategic Plan.
3. Recognise trends in education and recommend specific initiatives in the College.
4. Monitor student retention and achievement and request specific action plans, as necessary.
5. Monitor data relating to the student experience at the College.
6. Review all student support mechanisms and structures, and ensure that these meet the needs of learners.
7. Monitor the College's preparations for and aspects of Education Scotland Reviews and other quality reviews.
8. Monitor the development of the College's Research Strategy
9. Monitor the development of the College's International links
10. To receive regular reports from the Students Association and monitor the college response to student concerns

## **Performance Review and Remuneration Committee Terms of Reference**

### **Membership**

Chair of the Board of Management and the Chairs of the standing committees.

The Chair of this Committee must be a member of the Human Resources Committee, and the Chair of the Human Resources Committee must be a member of this Committee.

The Chair of the Board of Management may not Chair this Committee.

The Principal may not be a member of this Committee.

### **Quorum**

Three members of the Committee entitled to vote upon the items before the meeting.

### **Frequency of Meetings**

The Committee shall meet at least once each year.

### **Remit**

The Committee shall consider and make decisions on the remuneration package and conditions of service, and any changes thereof, of the College Principal and such other senior staff as is considered appropriate, taking into account:

1. That College senior management should be fairly rewarded for their individual performance and contribution to the College's overall performance
2. Where, in terms of senior management remuneration, the College stands in relation to other comparable institutions in the sector, organisations of a similar size and the local market;
3. The Scottish Government's approach to remuneration in the public sector;
4. The relationship between the remuneration of the senior management and that of other employees of the College
5. The benefits granted to senior management; and
6. The adequacy of pension arrangements and also the cost implication of pension arrangements including the pension effect of remuneration proposals.

One member of the Board of Management shall represent the Board on the interview panel for Senior Management appointments.

The Committee shall consider such other matters relating to the Board of Management which the Chair shall from time to time determine, in particular in relation to severance payments.

The Committee should endorse any proposals for severance payments to Senior Managers and any exceptional settlements which will require to be formally notified to the Board of Management.

## **Search and Nomination Committee Terms of Reference**

### **Membership**

Chair of the Board of Management and the Chairs of the standing committees.

The Principal shall be excluded from membership of the Committee.

### **Quorum**

Three members of the Committee entitled to vote upon the items before the meeting.

### **Frequency of Meetings**

The Committee shall meet as and when required.

UHI as the Regional Strategic Body has the responsibility for appointment of the Chair and non-executive board members to the Board of Management of Inverness College and will at all times adhere to the College Sector Board Appointments: 2014 Ministerial Guidance.

The UHI Court has established a Nominations Committee, which in turn has delegated responsibility for recruitment and selection to a Selection Panel which will comprise two members of the Nominations Committee, 2 members from the Board of Management of Inverness College and 1 independent person.

### **Remit**

The Search and Nomination committee shall

1. Consider the skills matrix of current Board Members to assist the Selection Panel to determine the skills and experience required of prospective members
2. Agree timescale/location for selection panel meeting
3. Agree where to place advertisements and local groups to circulate
4. Agree further information schedule relevant to Inverness College (with UHI input)
5. Agree local panel membership
6. Agree that standard templates fit circumstances

## **New Campus Project Board – Terms of Reference**

New Campus Project Board shall continue to conduct business only for so long as is considered necessary after the project has been completed and a post implementation review is provided and reported to the Board of Management.

### **Membership**

Chair of the Board of Management

(Chair) Principal (Project Owner)

Five other Board

members\*

Secretary of UHI

\*To include one member from the Audit Committee and one member from the Finance and General Purposes Committee

### **Quorum**

Three members entitled to vote upon the items before the meeting.

### **Frequency of Meetings**

The Project Board shall meet not less than four times per year and in accordance with business requirements.

### **Reporting**

The Project Board will provide regular progress reports on the Project to the Audit Committee and Finance and General Purposes Committee as required.

### **Remit**

The New Campus Project Board will monitor progress on the Project on behalf of the Board of Management, provide advice and support to the Project Steering Group as required and make decisions within the Project Board's delegated authority.

### **Responsibilities**

- Overseeing the progress of the Project on behalf of the Board of Management. The Project Board will operate in an advisory capacity and concern itself with the efficient and effective management and organisation of the Project.
- Maintain visible and sustained strategic commitment to the delivery of the Project.
- Appoint the Project Sponsor and approve the key appointments to the Project Team.
- Review reports from the Project Steering Group and Project Manager.
- Oversight of the implementation of the Estates Strategy as it relates to the new campus development.
- Ensure that communication and consultation strategies are in place for the Project.
- Monitor the risk register established for the Project.
- Monitor regular budget reports.
- To consider any necessary changes to the Project and make

recommendations to the Board of Management.

- At each approval gateway, evaluate the business case and investment proposals to ensure that it is satisfied that risks associated with the Project are being managed effectively and that the Project remains affordable. In the event that any gateway review identifies serious deficiencies, difficulties or budget concerns in respect of the Project, the Project Board shall determine the appropriate means of addressing and remedying such serious deficiencies, difficulties or budget concerns.
- Review and scrutinise the performance of each of: the Project Steering Group; the Project Sponsor; the Project Manager; and the Project Team against their respective responsibilities all as set out in the Project Implementation Plan. In the event that the Project Board considers that: the Project Steering Group; the Project Sponsor; the Project Manager; and/or the Project Team have failed to meet any such responsibilities, the Project Board shall determine the appropriate means of addressing and remedying such failure.
- Ensure that a post-implementation review is provided and reported to the Board of Management.

### **Delegated Authority**

The Project Board shall have authority to make commitments on behalf of the Board of Management, including matters that have received Board approval in principle.

This would include specifically, but not exclusively:

- Conclude any contracts of sale or purchase as previously approved by the Board.
- Post the approval of Stage D design, approve any changes that do not fundamentally change the design concept or result in an aggregated potential capital cost over-run compared to Scottish Government NPD Capital cap of more than £100,000 (any such over-runs to be funded from non NPD sources). The cumulative impact of any such changes to be reported to the Board of Management.
- Post the approval of Stage D design, approve any changes that do not fundamentally change the design concept or result in an aggregated potential cost over-run of more than £100,000. The cumulative impact of any such changes to be reported to the Board of Management.

## **Chairs Committee Terms of Reference**

### **Membership**

The Chair and Vice Chair of the Board of Management, the Chairs of each of the Standing Committees of the Board, and the Principal who is a member *ex officio*.

### **Quorum**

Three members of the Group entitled to vote upon the items before the meeting.

### **Frequency of Meetings**

The Group shall meet no less than four times each year.

### **Remit**

Review the membership and terms of reference of the Board's Standing Committees and the overall effectiveness of the Board's Committee Structure and to recommend to the Board any amendments or additions considered appropriate.

Ensure effective self-evaluation of the Board, its members, its Standing Committees and its Chairs.

Develop the annual Board development day programme.

Oversee the planning of the Board's training and development programme.

Oversee development of the Board's stakeholder engagement.

At the special request of the Board, to consider matters of special interest which are not within the remit of another Standing Committee.

To exercise the functions of the Board in any cases of urgency of which the Chair of the Board, the Vice Chair or the Chair of a Standing Committee shall be the judge and where it is not practicable to convene a meeting of the Board of Management.

**Agenda Item Reference: F.19.1.07**

<b>Title of Paper:</b>	FY18/19 Q2 Management Accounts		
<b>To Committee:</b>	Finance & General Purposes Committee ("F&GP")		
<b>Subject:</b>	Q2 Management Accounts & Anticipated Out-Turn for FY18/19		
<b>Version number and date:</b>			
<b>Brief summary of the paper:</b>	Quarterly Update to F&GP – Q2 Position & Anticipated Out-Turn for FY18/19		
<b>Recommendations:</b>			
<b>Action requested/decision required:</b>	For noting and discussion		
<b>Status: (please tick ✓)</b>	<b>Reserved:</b>	<b>Non-reserved:</b>	X
<b>Date paper prepared:</b>	28 February 2019		
<b>Date of committee meeting:</b>	5 March 2019		
<b>Author:</b>	Director of Finance		
<b>Link with strategy:</b> Please highlight how the paper links to, or assists with: Strategic Plan including <ul style="list-style-type: none"> <li>• Curriculum</li> <li>• Learning and Teaching</li> <li>• Organisational culture</li> <li>• Partnership</li> <li>• Sustainability</li> </ul>	Enclosed papers provide F&GP with an update on the financial position of the College after the first six months of FY18/19, together with the current anticipated out-turn for FY18/19.  These papers are linked to the College's financial sustainability.		
<b>Equality and diversity implications:</b>	N/A		
<b>Resource implications:</b> <i>(If yes, please provide detail)</i>	N/A		
<b>Risk implications:</b> <i>(If yes, please provide detail)</i>	Risk of failing to achieve financial sustainability.		
<b>Appendices:</b>	As enclosed		

## **FY18/19 - Q2 Management Accounts & Anticipated Out-Turn**

### **INTRODUCTION**

The enclosed pro-forma shows the financial performance of the College after the first six months of FY18/19, together with the current anticipated out-turn for FY18/19.

The format of the pro-forma has been previously agreed with F&GP, and highlights the impact of 'one-off' instances of income and expenditure, to illustrate the underlying performance of the College.

In light of the potential cost impact of a national Cost of Living ("CoL") award for teaching staff, I have updated the pro-forma so that the impact of this is clear to F&GP.

### **Q2 – UPDATE/KEY POINTS**

For the period to 31 January 2019 the College is reporting a surplus of **£138k**. However, this position is impacted by the following:

- The College received a net uplift of £50k in respect of the Brockenhurst VAT claim;
- A net VAT refund of c£40k was received. This coming as a result of an investigation into the level of VAT the College had been charged on fuel oil.
- Additional National Bargaining funding for changes in annual leave in respect of FY17/18. For the period to 31 Jan 19 £34k of this has been recognised (is £68k for FY18/19).

At the time of budgeting for FY18/19, in the interests of prudence, this income had been excluded.

- Q2 FE Income includes £25k of 'Financial Turbulence Funding' which was awarded to the College following discussion with FERB concerning the issue the College faced should its 17/18 FE credits not hit target. At the time of budgeting for FY18/19, in the interests of prudence, this income had been excluded.

The above have been highlighted as 'One-Off Adjustments' on the enclosed pro-forma. Excluding these factors would show a deficit of c£11k for the period, which is an improvement on that seen at Q1 (which saw a deficit of c£30k).

### **Income**

FE income is anticipated to be in-line with the original forecast, with the FE credit position on track to meet the College's annual target (18,807 credits).

The forecast for HE Income has been revised down, based on the most current information, with the College now anticipating 930 HE FTE's (which is in-line with AY17/18 final position). The original budget was based on achieving 935 FTE's - the anticipated income for the year has been reduced to reflect the reduction in HE FTE's.

**Agenda Item Reference: F.19.1.07**

Maintenance funding is up by £25k, which is purely related to 'matching' Backlog Maintenance ("BLM") income (originally c£100k had been budgeted) to BLM direct costs.

Non-Funded/Commercial Income is currently behind the Q2 budgeted position. However, from discussions with the relevant budget holders this is down to timing, as the income is heavily 'back-loaded' into the latter part of the academic year. Current expectations are that the original targets for these areas will be met come 31 July 2019.

Expenditure/Costs

Staff Costs

Staff costs in the period to 31 January 2019 were c£60k over budget. This is primarily related to the following:

- Cost impact of the reduction in class contact time for lecturing staff, which is a direct impact of National Bargaining (which also impacts the College's FTE's); and
- A greater than anticipated support staff pay award (original budget had assumed 2%, the actual national award was 3%).

The cost impact of the above has been slightly off-set by the back-pay of National Bargaining ("NB") funding for FY17/18 which is being received in FY18/19. This funding is in respect of changes in annual leave entitlement as a result of NB.

Non-Staff Costs

The adverse variance with regards to the College's operating costs are primarily due to the originally anticipated costs savings on fuel oil, which was connected the boiler replacement project (as part of the utilisation of BL funding).

As the boiler replacement works have not yet begun, no significant costs savings in year are now anticipated.

Other Matters

There is currently uncertainty over whether or not there will be a national award made in respect of CoL for teaching staff. Should the most recent position be agreed, such costs would be in addition (and on top of) all NB pay award, and would not be funded SFC.

While no agreement either way has been made on this matter, based on the latest information (i.e. Colleges Scotland bulletin of 28 February 2019) it is anticipated that this would result in a cost of **c£60k** for the period covering 1 April 2017 to 31 January 2019.

A copy of Colleges Scotland bulletin has been enclosed for your reference (Appendix 3).

*Cash*

The enclosed cash flow pro-forma shows that at Q2 the College has continued to maintain a strong cash position (as was the case at Q1).

However, this is influenced by the 'one-off' gains highlighted above (i.e. VAT rebates, etc). The cash position is exclusive of any BLM income, so that the position presented is not distorted.

## **REVISED ANTICIPATED OUT-TURN – FY18/19**

### Income

Overall income (excluding one-off adjustments) for the year is anticipated to be £25k ahead of the original budget. The primary factor being the increase of BLM funding released to match in year expenditure.

### Expenditure

#### *Staff Costs*

Staff costs are anticipated to be **£247k** over budget for FY18/19. As noted previously this is primarily due to the NB impact of the reduction in class contact hours for teaching staff.

To date funding to address this has not been received/confirmed in the College's FY18/19 NB funding allocation. This matter has been raised with UHI (as the College's RSB), in order to fully understand the NB funding position for FY18/19 – which the College had understood to be fully funded.

#### *Non-Staff Costs*

The non-staff costs are anticipated to be broadly in-line with the original budget. The main factor for the adverse variance on operational costs being the saving on oil fuel savings not being achieved when initially anticipated.

However, following the boiler replacement project the College will see ongoing costs savings in this area.

### Cash

The anticipated closing cash position for FY18/19 is in-line with that seen at 31 July 2018.

## **CONCLUSIONS**

Overall the Q2 position is positive, with the underlying deficit (excluding exceptional gains) and the cash position both being ahead of budget for the first six months of the year.

There remains significant work to do over the second half of the year to ensure that the anticipated Out-Turn for FY18/19 (i.e. inclusive of one-off gains) is achieved, and to understand the funding due in respect of FY18/19 NB costs incurred by the College.

In regards to the latter point noted above, at the recent SFC visit to the College (on 27 February 2019), SFC confirmed that **the costs of National Bargaining will be fully funded for FY18/19 and FY19/20.**

In light of the above, there are current discussions with UHI on this matter, to which we await further feedback/clarity on.

MORAY COLLEGE UHI  
2018/19 FINANCIALS

## INCOME &amp; EXPENDITURE STATEMENT (excl pension adjustments)

	Budget	Budget	Latest Estimate		Anticipated	Variance	Variance
	(18/19 Annual)	(Aug - Jan 18/19)	Actuals (Aug - Jan 18/19)	Estimate (Nov - Jul)	Out-Turn (YE 31 Jul 19)	(Aug-Jan Actual v Budget)	(Anticipated Out-Turn v Budget)
	£'000	£'000	£'000	£'000	£'000	£'000	£'000
<b>Income:</b>							
FE Recurrent Funding	5,441	2,721	2,721	2,720	5,441	1	-
HE Recurrent Funding	2,648	1,324	1,317	1,316	2,633	(7)	(15)
Other Recurrent Funding (Excl DCG)	10	5	10	2	12	5	2
Maintenance Funding	201	101	131	95	226	30	25
Commercial Income	367	184	164	203	367	(20)	-
Other Education Activity/Income	312	156	127	185	312	(29)	-
Tuition Fees (HE & FE)	1,600	800	844	756	1,600	44	-
Other Income (excl Release of DCG)	1,004	502	607	410	1,017	105	13
Release of DCG	300	150	158	142	300	8	-
National Bargaining Funding	193	97	97	97	193	-	-
	12,076	6,038	6,176	5,926	12,101	138	25
<b>Expenditure:</b>							
Staff Costs	(9,102)	(4,551)	(4,610)	(4,689)	(9,299)	(59)	(197)
National Bargaining Costs (Teaching Staff)	(193)	(97)	(97)	(97)	(193)	-	-
Operating costs	(2,281)	(1,141)	(1,166)	(1,140)	(2,306)	(25)	(25)
Depreciation	(753)	(377)	(391)	(391)	(783)	(15)	(30)
	(12,329)	(6,165)	(6,263)	(6,318)	(12,581)	(99)	(252)
<b>Underlying Surplus/(Deficit)</b>	(253)	(127)	(87)	(392)	(480)	39	(227)
<b>One-Off Adjustments:</b>							
- FE Transitional Funding	153	77	77	77	153	-	-
- FE Financial Turbulence Funding (18/19)	-	-	25	25	50	25	50
- Impact of National Support Staff Pay Award (3% awarded, budget assumed 2%)	-	-	-	(50)	(50)	-	(50)
- National Bargaining Funding (in addition to 17/18 funding)	300	150	150	150	300	-	-
- National Bargaining Cost - Teaching Staff (in addition to 17/18 funding)	(300)	(150)	(150)	(150)	(300)	-	-
- National Bargaining (Back-Pay re AY17/18)	-	-	34	34	68	34	68
- Brockenhurst VAT Income	-	-	70	-	70	70	70
- Estimated agents costs (re Brockenhurst VAT claim)	-	-	(20)	-	(20)	(20)	(20)
- VAT refund (re: Fuel Oil)	-	-	50	-	50	50	50
- Agents costs re Fuel Oil VAT rebate	-	-	(10)	-	(10)	(10)	(10)
<b>Reported Surplus/(Deficit)</b>	(100)	(50)	138	(307)	(169)	188	(69)
- Provision to cover anticipated Cost of Living (Teaching Staff - not funded)*	-	-	(58)	(39)	(97)	(58)	(97)
<b>Adjusted Reported Surplus/(Deficit)</b>	(100)	(50)	80	(346)	(265)	130	(165)

\* provision based on most recent update from Colleges Scotland, however this matter is still to be agreed upon.

## CASH FLOW

	Budget	Budget	Latest Estimate		Anticipated	Variance	Variance
	(Original)	(Aug - Jan 18/19)	Actuals (Aug - Jan 18/19)	Estimate (Nov - Jul)	Out-Turn (YE 31 Jul 19)	(Aug-Jan Actual v Budget)	(Anticipated Out-Turn v Budget)
	£'000	£'000	£'000	£'000	£'000	£'000	£'000
<b>Income Surplus / (Deficit)</b>	(100)	(50)	80	(346)	(265)	130	(165)
<b>Non-cash Adjs:</b>							
Depreciation	753	377	391	391	783	15	30
Deferred Capital Grant release	(300)	(150)	(158)	(142)	(300)	(8)	-
	353	177	313	(96)	217	137	(136)
<b>Financing</b>							
Loan Repayments	(97)	(49)	(49)	(49)	(97)	-	-
Capital Funding	108	54	81	27	108	27	-
<b>Capital Expenditure</b>	(108)	(54)	(81)	(27)	(108)	(27)	-
<b>Working Capital:</b>							
UHI advances	-	-	-	-	-	-	-
Other	(41)	(21)	(33)	(88)	(121)	(13)	(80)
	(138)	(69)	(82)	(137)	(218)	(13)	(80)
<b>Net Cash Flow</b>	215	108	232	(232)	0	124	(215)
<b>Opening Cash Balance</b>	285	285	285		285	-	-
<b>Closing Cash Balance</b>	500	393	517		285	123	(215)

<b>Summary of Potential Cost of Living award - Teaching Staff</b>		
<b>Period</b>	<b>Amount (£'000)</b>	<b>Comments</b>
1 Apr 17 to 31 Mar 19	63	Unconsolidated payment of £625 per FTE - based on 100 teaching staff FTE for MC.
1 Apr 19 to 31 July 19	34	Taken 2% of payroll costs (as vast majority of MC staff on salary >£36.5k). Based on 4/12 of teaching staff payroll cost for AY18/19.
<b>TOTAL</b>	<b>97</b>	

## Lecturing Staff Pay Offer – February 2019

The management side present this revised offer for consideration. We would request that the EIS take this to their membership for consideration.

### Years 1 and 2 – 1<sup>st</sup> April 2017 – 31<sup>st</sup> March 2019

All lecturing staff receive a £625 unconsolidated payment.

### Year 3 (12 months) – 1<sup>st</sup> April 2019 – 31<sup>st</sup> March 2020

Immediately following the final migration payment, a consolidated award of Public Sector Pay Policy for all unpromoted and promoted lecturer scale points. This will be applied as 3% for salary points up to £36,500 and 2% for salary points above £36,500.

From 1<sup>st</sup> April 2019 until 31<sup>st</sup> March 2020, the Lecturers Pay Scale will be:

Point 1	32960
Point 2	35027
Point 3	37094
Point 4	38780
Point 5	40827

From 1<sup>st</sup> April 2019 until 31<sup>st</sup> March 2020, the Promoted Lecturer Fixed Points will be:

Fixed Point 1	44727
Fixed Point 2	47864
Fixed Point 3	51000

### Year 3 (5 month extension) – 1<sup>st</sup> April 2020 – 31<sup>st</sup> August 2020

A consolidated award of Public Sector Pay Policy as defined for 2019/20 for all unpromoted and promoted lecturer scale points. This will be applied as 5/12ths of 3% for salary points up to £36,500 and 2% for salary points above £36,500.

From 1<sup>st</sup> April 2020 until 31<sup>st</sup> August 2020, the Lecturers Pay Scale will be:

Point 1	33372
Point 2	35465
Point 3	37403
Point 4	39103
Point 5	41167

From 1<sup>st</sup> April 2020 until 31<sup>st</sup> August 2020, the Promoted Lecturer Fixed Points will be:

Fixed Point 1	45100
Fixed Point 2	48263
Fixed Point 3	51425

**Notes:**

- This offer is being made in good faith in advance of the 2019/20 and 2020/21 SFC funding allocations, in order to secure an agreement and break the current impasse.
- This offer represents a further investment in lecturers' salaries of an additional £2.5m.
- The agreed unpromoted lecturer pay scale and promoted lecturer fixed point salary values remain unchanged until 1<sup>st</sup> April 2019.
- This offer represents an increased investment in lecturers' salaries.
- The agreed harmonisation and migration payments are unaffected by this offer and the consolidated award takes place immediately after the final migration payment is made.
- All future pay settlement dates are effective from 1<sup>st</sup> September commencing 1<sup>st</sup> September 2020.
- These payments are in addition to an average pay increase for lecturing staff of 9% over the three years of the May 2017 pay migration and harmonisation agreement.
- The Pay Award will be applied pro rata for part time employees.
- The Pay Award will not apply to staff on existing conserved salaries, unless local policy arrangements allow for this.
- Non-NRPA colleges are encouraged to shadow the offer if accepted.

Thursday 28 February 2019

**Agenda Item Reference: F.19.1.10**

<b>Title of Paper:</b>	FY18/19 Q2 Management Accounts			
<b>To Committee:</b>	Finance & General Purposes Committee (“F&GP”)			
<b>Subject:</b>	Risk Register			
<b>Version number and date:</b>				
<b>Brief summary of the paper:</b>	Update on current position of the Risk Register			
<b>Recommendations:</b>				
<b>Action requested/decision required:</b>	For noting and discussion, and feedback on current Risk Register			
<b>Status: (please tick ✓)</b>	<b>Reserved:</b>		<b>Non-reserved:</b>	X
<b>Date paper prepared:</b>	28 February 2019			
<b>Date of committee meeting:</b>	5 March 2019			
<b>Author:</b>	Director of Finance			
<b>Link with strategy:</b> Please highlight how the paper links to, or assists with: Strategic Plan including	<p><b><u>Introduction</u></b></p> <p>The Risk Register (“RR”) has been updated following discussions with the SLT on 13<sup>th</sup> February 2019.</p> <p><b><u>Update</u></b></p> <p>The following additional risk has been added to the RR:</p> <ul style="list-style-type: none"> <li>● EIS Industrial Action.</li> </ul> <p>Risk scoring across the RR has been reviewed, and updated where necessary.</p> <p>The new UHI Risk Register (via SharePoint) is now live, and I have enclosed a sample of the management information (“MI”) that can now be generated.</p> <p>Any comments/feedback on the above noted matters, and enclosed are welcomed.</p>			

**Agenda Item Reference: F.19.1.10**

<b>Equality and diversity implications:</b>	N/A
<b>Resource implications:</b> <i>(If yes, please provide detail)</i>	N/A
<b>Risk implications:</b> <i>(If yes, please provide detail)</i>	That key risks to the College are not captured and suitable mitigating actions put in-place.
<b>Appendices:</b>	As enclosed

# LATEST\_RISK\_REGISTER\_REPORT\_121118\_fixed\_filters

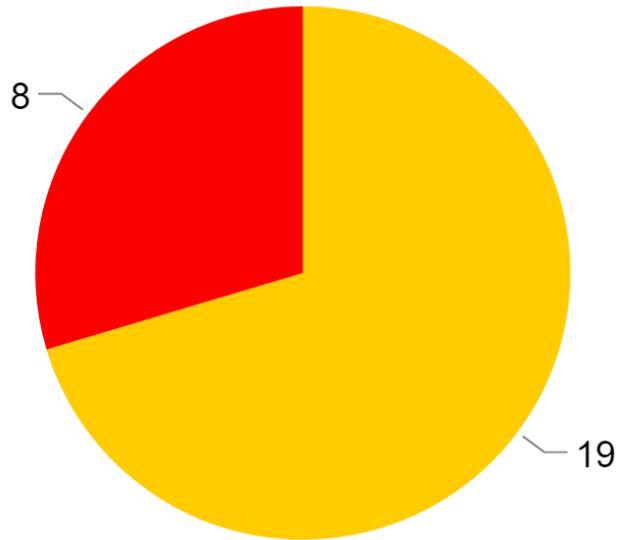
[View in Power BI](#) ↗

**Last data refresh:**  
12/11/2018 10:08:09 AM GMT  
Standard Time  
**Downloaded at:**  
12/11/2018 10:11:19 AM GMT  
Standard Time

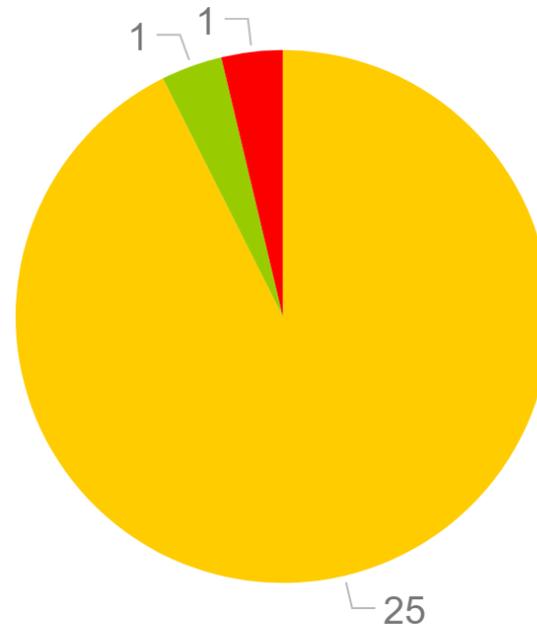
# Overall Active UHI Risks:Impact

Academic Partner: All | Department/Project: All

Count of Gross Colour by Gross Colour



Count of Res Colour by Res Colour



## Risk Register

- Academic
- Argyll College UHI
- Assembly Programme Board
- City Region Deal
- Development Office
- EDU
- Finance
- Further Education
- Governance & RM
- Highland Theological College...
- Human Resources
- Inverness College UHI
- Key Accounts
- Learning and Teaching
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- Research
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- SAMS
- Shetland College UHI
- Student Services
- West Highland College UHI

## Risk Status

Active



# RISK MAP (for Residual risk)



- Risk Register
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### Risk Status

Active

# Summary of the actual register entries for all the active risks where the residual impact score is >=12

Ref ID	Risk Description	Causes	Impacts Evidence	Modified	Owner
Moray /21	College estate not fit for purpose.	Lack of investment in capital maintenance/new capital project expenditure. Rapid growth of student population without investment in new expanded facilities.	Poor performance in NSS, increased number of complaints received, unable to meet new growth targets.	11/12/2018 10:01:19	FD
Moray /026	Failure to seize the financial, reputational and developmental benefits offered by the Moray Growth Deal.			28/11/2018 12:56:39	DIPSS
Moray /026	Failure to seize the financial, reputational and developmental benefits offered by the Moray Growth Deal.			28/11/2018 12:56:43	DIPSS

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Risk Status

Active ▼

# Summary of the actual register entries for all the active risks where the residual impact score is >=12

Residual Likelihood	Residual Impact	Residual Risk	Actions To Minimize	Future Mitigating Actions	Action Owner	Completion Date	Future Mitigating Actions 2
4	4	16	Continue to work with region and SFC regarding campus redevelopment plans. Maximise funding of Backlog Maintenance awarded for 18/19 for the benefit of the College estate - in-line with SFC Survey findings. Update Estates Strategy Action Plan and priority list of essential works required - to include a rolling 5 year programme of statutory maintenance work requirements.	Develop plan for prioritising backlog maintenance works, in-light of recent SFC Condition Report funding.	30/05/2019 23:00:00	FD	Implement spend of SFC Backlog ma
3	4	12	Ensure adequate resourcing, governance, and partnership support is in place for the college's involvement in the Moray Growth Deal	Secure support for, and allocate sufficient resource to, the development of outline and final business cases for the project	29/04/2018 23:00:00	Principal	Ensure appropriate governance is in

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Risk Status

Active ▼

# Summary of the actual register entries for all the active risks where the residual impact score is $\geq 4$

Ref ID	Risk Description	Causes	Impacts Evidence	Modified	Own
Moray /01	Ineffective curriculum planning (College + Region)	Poor demand awareness/ineffective employer engagement, Ineffective evaluation of learning and teaching. Ineffective resultant action plan. Poor workforce planning/recruitment.	Student numbers/progression/attainment/student satisfaction Learner surveys, reputational risk, low student numbers	28/11/2018 09:43:40	DCA
Moray /05	Ineffective business continuity planning	"Major incident, pandemic, major fire/flood, terrorist activity, ICT loss of service"	Disaster Recovery Plans, dry test runs	28/11/2018 09:54:30	DIPS
Moray /07	Failure to develop a student performance management system	Lack of availability of real-time easily accessible reports that allow monitoring of financial, and academic performance	Lack of effective planning, monitoring and control of applications, enrolments, and quality performance indicators	28/11/2018 09:58:25	DIPS
Moray /08	Ineffective delivery of essential skills	Not sufficiently contextualising core skills with key employability skills within curriculum as part of the learner experience. Core Skills team stretched in terms of ability to meet requests.	Performance KPIs, low student attainment, low student progression, failure to achieve adequate levels of student achievement and satisfaction.	28/11/2018 10:01:22	DLT
Moray /12	Failure to attract, develop and retain a workforce fit for the 21st century in a tertiary teaching context and adapting to necessary change.	Poor performance management of competence issue, pace of curriculum development, excessive demand on CPD, lack of staff capability, poor workforce planning, affordability	Workforce Planning and Development Strategy, inability to compete, loss of business and reputation, failure to achieve adequate levels of student achievement and satisfaction.	28/11/2018 11:38:38	HR D
Moray /18	Non-compliance with relevant statutory regulations.	Lack of awareness of relevant laws and penalties. Management failures. E.g. new General Data Protection Regulation from 25th May 2018, Bribery Act, Health and Safety Regulations etc.	GDPR will provide new rights for individuals and impose additional obligations on data controllers and processors. GDPR will also introduce an increased penalty framework for non-compliance/data breaches and includes new requirements for authorities to ensure that they maintain evidence to demonstrate compliance with the Law.	28/11/2018 12:36:29	DIPS
Moray /20	Financial failure/operating loss. Inability to achieve a balanced budget.	Increased pay costs (national bargaining), pensions and NI contributions. Efficiency savings are not achieved quickly enough to counteract reductions in income.	Services cut resulting in reduction of teaching expertise and/or research capacity leading to a reduction in service quality leading to student dissatisfaction and risk of reputational damage.	11/12/2018 09:47:27	FD
Moray /22	Academic quality is sub standard	Difficulty recruiting and retaining high calibre staff. Conditions and terms of employment are not competitive with limited scope for career progression. Infrastructure/estate is unsuitable or not for for purpose..	Poor performance in quality monitoring/assurance reviews. Loss of staff to competitor institutions. Poor attainment levels, high level of withdrawal and poor retention. Damage to reputation.	28/11/2018 12:47:41	DLT
Moray /7	Failure to develop a student performance management system	Lack of availability of real-time easily accessible reports that allow monitoring of financial, and academic performance	Lack of effective planning, monitoring and control of applications, enrolments, and quality performance indicators	11/12/2018 09:54:06	DIPS

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## Risk Status

Active



# Summary of the actual register entries for all the active risks where the residual impact score is $\geq 4$

Residual Likelihood	Residual Impact	Residual Risk	Actions To Minimize	Future Mitigating Actions
2	4	8	College exceeded year 2 of FRP, and College now has a 4 Year Financial Plan in-lace, with a focus on sustainability (not recovery). Open dialogue between FD and F&GP, with a 'no surprises' culture. Agreed reporting pro-forma/mechanism for quarterly accounts with F&GP and Board.	Monthly meeting with FD/Principal and UHI to review financial and academic performance, for reporting to SFC
2	4	8	Continual review of curriculum as part of planning ahead for the next academic year, to ensure that a high quality and effective curriculum is offered by Moray College.	Carry out FE course reviews with HOAC to identify areas which require assistance/development of curriculum, a
2	4	8	Continued participation and contribution to the Student Data Reporting Group, ensuring College reporting requirements are fully incorporated into the new standard reporting system for FE & HE.	Develop reporting that meets the needs for student management - explore capabilities of SITS to deliver strear parties (i.e. SLT, HOAC, etc).
2	4	8	Continued participation and contribution to the Student Data Reporting Group, ensuring College reporting requirements are fully incorporated into the new standard reporting system for FE & HE.	Develop reporting that meets the needs for student management - explore capabilities of SITS to deliver strear parties (i.e. SLT, HOAC, etc).
2	4	8	Implement a Policy Framework and Review Schedule across the college.	Conduct regular house-keeping review of internal policies (at least annually). Currently reviewing existing polic
2	4	8	Ongoing dialogue with College HMI. Scrutinising of KPIs by Course teams, SMT and Board of Management. Development of Academic area operational plans.	Regular course reviews carried out to capture early warning signs of poor academic quality (i.e. student achieve
2	4	8	Ongoing review of curriculum, workforce planning and CPD based on curriculum developments, performance and capability management, management development, staffing budget management.	Revise and implement workforce planning and development strategy
2	4	8	Refreshed BCP now in place.	Following review of BC Live exercise, requirement for better co-ordination of crisis management.
2	4	8	Review of best practice in delivery/support of essential skills across the college sector.	DLT to lead the Single Policy Environment working group on UHI Essential Skills Policy.
4	4	16	Continue to work with region and SFC regarding campus redevelopment plans. Maximise funding of Backlog Maintenance awarded for 18/19 for the benefit of the Colege estate - in-line with SFC Survey findings. Update Estates Strategy Action Plan and priority list of essential works required - to include a rolling 5 year programme of statutory maintenance work	Develop plan for prioritising backlog maintenance works, in-light of recent SFC Condition Report funding.

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## Risk Status

Active



**Evaluation on Functionality of the Finance and General Purposes Committee**

<b>1 You and your fellow Board/Committee members' role and contribution</b>							
Using the scale provided please answer the following questions by ticking the box that most closely represents your opinion							
<ul style="list-style-type: none"> <li>Members have a sound understanding of the scope and terms of reference of the Board of Management?</li> </ul>							
Strongly Agree	<input type="checkbox"/>	Agree	<input type="checkbox"/>	Disagree	<input type="checkbox"/>	Strongly Disagree	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>There is a sufficient level of knowledge and understanding of the role and work of the Board?</li> </ul>							
Strongly Agree	<input type="checkbox"/>	Agree	<input type="checkbox"/>	Disagree	<input type="checkbox"/>	Strongly Disagree	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>Individual members contribute well to the work of the Board of Management?</li> </ul>							
Strongly Agree	<input type="checkbox"/>	Agree	<input type="checkbox"/>	Disagree	<input type="checkbox"/>	Strongly Disagree	<input type="checkbox"/>
Please provide any comments you would like to make on individual Committee members' contribution							
<b>2 Chair's Role</b>							
Would you agree that the Chair leads the Committee effectively in that:							
<ul style="list-style-type: none"> <li>They focus on the Committee's priorities and respond to the challenges presented?</li> </ul>							
Strongly Agree	<input type="checkbox"/>	Agree	<input type="checkbox"/>	Disagree	<input type="checkbox"/>	Strongly Disagree	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>They facilitate participation and encourage constructive debate including the viewpoint of others?</li> </ul>							
Strongly Agree	<input type="checkbox"/>	Agree	<input type="checkbox"/>	Disagree	<input type="checkbox"/>	Strongly Disagree	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>They bring together a constructive and workable plan of actions from the Board debate?</li> </ul>							
Strongly Agree	<input type="checkbox"/>	Agree	<input type="checkbox"/>	Disagree	<input type="checkbox"/>	Strongly Disagree	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>They ensure that actions identified are completed satisfactorily by the agreed dates?</li> </ul>							
Strongly Agree	<input type="checkbox"/>	Agree	<input type="checkbox"/>	Disagree	<input type="checkbox"/>	Strongly Disagree	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>They demonstrate appropriate leadership for different situations?</li> </ul>							
Strongly Agree	<input type="checkbox"/>	Agree	<input type="checkbox"/>	Disagree	<input type="checkbox"/>	Strongly Disagree	<input type="checkbox"/>
Please provide any comments you would like to make on the Chair's role and effectiveness							

Agenda item: F.19.1.12

<b>3 Finance and General Purposes Committee's Role and Responsibilities</b>							
The Finance and General Purposes Committee's key role is to approve the College's financial strategy and annual budget and to monitor actual financial performance against the budget and key performance indicators. Are you satisfied that you/the Committee:							
<ul style="list-style-type: none"> <li>Receives relevant reports in order to be able to monitor and secure the economical, efficient and effective management of the College's resources and expenditure?</li> </ul>							
Strongly Agree		Agree		Disagree		Strongly Disagree	
<ul style="list-style-type: none"> <li>Has sufficient expertise and knowledge to enable it to assess the College's compliance and requirements?</li> </ul>							
Strongly Agree		Agree		Disagree		Strongly Disagree	
Please provide any comments you would like to make on the Committee's role and responsibilities (Optional)							
<b>4 Resources</b>							
<ul style="list-style-type: none"> <li>The Clerk to the Board and Minute Secretary to the Committee provide effective and appropriate advice and assistance to the Board?</li> </ul>							
Strongly Agree		Agree		Disagree		Strongly Disagree	
<ul style="list-style-type: none"> <li>The Board receives appropriate and quality information and papers to support its work?</li> </ul>							
Strongly Agree		Agree		Disagree		Strongly Disagree	
<ul style="list-style-type: none"> <li>The Board receives effective and appropriate support from the executive of the College effectively to progress the business of the Committee?</li> </ul>							
Strongly Agree		Agree		<b>Disagree</b>		Strongly Disagree	
<ul style="list-style-type: none"> <li>Actions are undertaken effectively and timeously?</li> </ul>							
Strongly Agree		Agree		Disagree		Strongly Disagree	
<b>5 General Assessment</b>							
<ul style="list-style-type: none"> <li>What are your views on the current matters of focus for the Board – are they about right/what would you look to change?</li> </ul>							
<ul style="list-style-type: none"> <li>What are your views on the matters which the Board should be looking at in the future?</li> </ul>							
<ul style="list-style-type: none"> <li>How can the Board's organisation and overall performance be improved?</li> </ul>							