

Falkirk Campus, Boardroom 4.30pm (refreshments available from 4pm)

**AGENDA**

	Type	Lead
CDN Marketing Awards Success	Presentation	Lyndsay Condie
1 Apologies and Declarations of interest	Discussion	
2 Minutes and Matters Arising of Meeting of 7 December 2017	Approval	Chair
3 Minutes of Committee Meetings		
HR (Inc. Nomination) Committee – 27 February 2018	Discussion	Beth Hamilton
Draft Finance Committee – 13 March 2018	Discussion	Ken Richardson
<b>STRATEGIC PLAN IMPLEMENTATION</b>		
4 Charitable Donations and Fundraising Policy (Elements of this paper are withheld from publication on the Forth Valley College website under Section 27 Information Intended for Future Publication of the Freedom of Information (Scotland) Act 2002. - <a href="https://www.forthvalley.ac.uk/about-us/plans-policies/">https://www.forthvalley.ac.uk/about-us/plans-policies/</a> )	Approval	Pauline Barnaby
5 SFC Indicative Allocations 2018/19	Discussion	Alison Stewart
6 Outcome Agreement 2018/19 (Elements of this paper are withheld from publication on the Forth Valley College website under Section 27 Information Intended for Future Publication of the Freedom of Information (Scotland) Act 2002. - <a href="https://www.forthvalley.ac.uk/about-us/plans-policies/">https://www.forthvalley.ac.uk/about-us/plans-policies/</a> )	Discussion	David Allison
7 Risk Management (Verbal)	Workshop	Lorna Dougall
8 Student Association Stress Report	Discussion	Amy Scobbie
9 Barclays Covenants (Elements of this paper are withheld from publication on the Forth Valley College website under Section 33 Commercial Interests and the Economy of the Freedom of Information (Scotland) Act 2002.)	Approval	Alison Stewart
<b>OPERATIONAL OVERSIGHT</b>		
10 Student Association Report (Elements of this paper are withheld from publication on the Forth Valley College website under Section 38 Personal Information of the Freedom of Information (Scotland) Act 2002.)	Discussion	Alan Buchan

- |    |   |            |               |
|----|---|------------|---------------|
| 11 | Principal's Report<br>(Elements of this paper are withheld from publication on the Forth Valley College website under Section 33 Commercial Interests and the Economy of the Freedom of Information (Scotland) Act 2002.)   | Discussion | Ken Thomson   |
| 12 | Tuition Fees and Fee Waiver Policy Session 2018-19<br>(Elements of this paper are withheld from publication on the Forth Valley College website under Section 27 Information Intended for Future Publication of the Freedom of Information (Scotland) Act 2002. - <a href="https://www.forthvalley.ac.uk/about-us/publications-forms/">https://www.forthvalley.ac.uk/about-us/publications-forms/</a> ) | Approval   | David Allison |
| 13 | Principal Discipline and Dismissal Policy   | Approval   | Andrew Lawson |
| 14 | 2016-17 Sector Performance Indicators   | Discussion | David Allison |
| 15 | Review of Risk  | Discussion | All           |
| 16 | Any other competent business  | Discussion | All           |

**FOR INFORMATION**

OSCR - Keeping vulnerable beneficiaries, volunteers and staff safe

---

Uncontrolled Copy

**Room S1.19, Stirling Campus (commencing at 10am)**

Present: Mr Ross Martin (Chair)  
Mrs Anne Mearns (Vice Chair)  
Dr Ken Thomson  
Mr Colin Alexander  
Mr Alan Buchan  
Mrs Fiona Campbell  
Mrs Lorna Dougall  
Mr Davie Flynn  
Ms Beth Hamilton  
Mr Scott Harrison  
Mr Ken Richardson  
Ms Amy Scobbie  
Mr Steven Tolson

Apologies: Mr Andrew Carver  
Mrs Trudi Craggs  
Mrs Pamela Duncan  
Mrs Caryn Jack  
Mr Liam McCabe

In Attendance: Mr Andrew Lawson, Depute Principal and Chief Operating Officer  
Mrs Alison Stewart, Vice Principal Finance and Corporate Affairs  
Mrs Fiona Brown, Vice Principal Learning and Quality  
Mr David Allison, Vice Principal Information Systems and Communications  
Mr Tom Gorman, Vice Principal Estates Development  
Mr Stephen Jarvie, Corporate Governance and Planning Officer and Deputy Board Secretary  
Ms Pauline Barnaby, Development and Fundraising Manager (for item B/17/016 only)  
Mr Ralph Burns, Head of Human Resources (for item B/17/017 only)

**B/17/013 Apologies and Declarations of interest**

The apologies were noted.

The Chair noted that the Principal's report refers to discussions which he's been having with Canal College. He informed members that Canal College is run by the Scottish Waterways Trust (SWT), of which he is also the Chair, and he would therefore have to avoid anything which could be, or be seen to be, a conflict of interest, such as taking part in discussion around any possible contractual relationship between Forth Valley College and SWT.

---

**B/17/014 Minutes and Matters Arising of Meeting of 10 August 2017**

The Chair asked for input on the accuracy of the minute and it was noted that the attendance list required updating regarding the attendance of Beth Hamilton. The Principal updated members on progress with the outputs from the recent Board Risk and Effectiveness sessions.

a) Members approved the minute of the meeting subject to the requested change

**B/17/015 Minutes of Committee Meetings**

**Strategic Development Committee - 16 November 2017**

The Chair of the Committee updated members on the recent meeting and mentioned the work being done by the College in relation to the Flexible Development Fund (FDF), which enables employers who pay the Apprenticeship Levy to access funding for training staff.

The Principal provided an overview of the FDF to members and noted that the sector had been engaged in discussions with SFC regarding funding levels and timescales for applications and training activity.

The Chair asked the Student Association President to provide an update on the recent Student Association Executive Elections. He informed members that while there had been a lot of interest, there had been a limited number of candidates, leaving a number of posts unfilled at this time. He confirmed that it was intended to hold a by-election around the time of the re-freshers fayre in January to fill these vacancies if possible.

**HR (Inc. Nomination) Committee - 21 November 2017**

The Chair of the Committee reported that it had been a good meeting with a focus on new reporting formats to ensure members are informed of the key issues in the College.

Members noted the item relating to the winners of the staff "Dragons Den" competition at the lecturing staff development days and asked when this information might be presented to the Board. It was confirmed this would come to the March 2018 meeting.

Members asked whether the actions in relation to developing procedures around the employment of the Principal had progressed. It was confirmed that a new procedure had been drafted and would be brought to the March meeting for members' consideration, following consultation with the trades unions.

---



**Audit Committee - 23 November 2017**

The Chair of the Committee updated members on the meeting, noting that the accounts and external auditors report had been considered and endorsed jointly with the Finance Committee.

She also updated members on the plans for the development of the College risk register and noted that members had met privately with the Internal and External Auditors. She reported that both sets of auditors were positive about the support received from College management and staff in their work and that there were no issues raised.

**Finance Committee - 23 November 2017**

The Chair of the Board of Management reported that he had raised the issue of Student Association finance and potential income diversification and asked members for any suggestions they had.

Members queried the potential for selling the popular Mental Health First Aid training to external organisations. Amy Scobbie responded by noting that this could be challenging as the licence for the product used will not be renewed by the Scottish Government. She also highlighted the potential lack of service continuity owing to the likely turnover of personnel involved in the training role. She highlighted that, as the current trainer, she would only be at the College until July 2018 when her term expires.

The Principal noted the suggestions and confirmed that the College and Student Association would look at this further.

The Chair of the Board of Management noted the content regarding International activity and queried whether a more appropriate methodology to develop this area of basis would be to collaborate with other colleges to establish a sectoral approach. The Principal noted that this had been discussed at the Committee and the department were refreshing the International Strategy with a view to bringing forward their thoughts at the March Committee and then the Board.

**STRATEGIC PLAN IMPLEMENTATION**

B/17/016

**New Falkirk Campus Stakeholder Event - Verbal**

The Development and Fundraising Manager gave a presentation on the fundraising opportunities in relation to the new Falkirk Campus development, focussing on four key areas within the College. She outlined the arrangements for the upcoming stakeholder engagement event on 30 January 2018 and led discussions on the manner in which members could contribute to the event.

---

The Principal confirmed that the focus of the event was not to secure funding or sponsorship, per se, but to begin the process of engaging key stakeholders in the new Campus development whilst raising the profile of the College.

The Chair noted that he would like as many Board members as possible to attend this event. He also confirmed that there would be preparatory material prepared for members to use.

The Chair of the Falkirk Campus Project Board informed members that the campus board would also be considering how to generate best value from the event at their meeting the following week.

Members queried whether the College had a system in place where leads could be collated and followed up on by the relevant members of staff. The Principal confirmed that this would be set up.

Members queried how the local community were being engaged in relation to the new campus. The Principal confirmed that community engagement was part of the contract with the main contractor and that the College Communications and Marketing team were working with them on this.

a) Members noted the content of the presentation and confirmed their support for the upcoming event

**B/17/017**

### **People Strategy**

The Head of Human Resources presented members with the People Strategy document for consideration and approval. He outlined the development of the strategy and how it was designed to develop College staff. He confirmed that the draft strategy had been presented to the Strategic Development Committee and that their comments had been incorporated into the version being presented to the Board of Management.

Members noted the stars of the future element of the strategy and queried how staff would be identified for this. The Head of Human Resources outlined the nomination and approval process for this aspect of the strategy.

The Depute Principal and Chief Operating Officer informed members that, following the distribution of the strategy, a number of staff-led working groups would be established to take forward the recommendations.

Members noted that application packs for College positions should be updated to make reference to the strategy and the opportunities available to all staff.

a) Members approved the People Strategy

---

**OPERATIONAL OVERSIGHT**

**B/17/018 Principal's Report**

The Principal presented a report updating members on his recent activities. He highlighted the very positive work done within the College on the Education Scotland review framework and noted that Education Scotland had agreed with the College's self-assessment.

He also outlined a number of meetings he had had with some key local organisations.

Members congratulated the Principal on securing Shirley-Anne Somerville MSP, Minister for Further Education, Higher Education and Science as a speaker at next year's graduation ceremony.

a) Members noted the content of the report

**B/17/019 Annual Report and Financial Statements**

The Vice Principal Finance and Corporate Affairs presented the Annual Report and Financial Statement to members. She confirmed that the accounts had been considered and endorsed at the recent joint meeting of the Finance and Audit Committees.

She highlighted that the various accounting treatments that Colleges are required to apply to the accounts could make the underlying financial health of the College more difficult to ascertain.

She confirmed that the College remained a going concern and highlighted that there had been no issues raised by the College external auditors.

Members highlighted some errors in the text of the document and it was agreed that these would be revised prior to the accounts being signed.

a) Members approved the Annual Report and Financial Statements

**B/17/020 External Auditor Annual Report and Letter of Representation**

The Vice Principal Finance and Corporate Affairs presented the External Auditor Annual Report and Letter of Representation. She confirmed that there were no issues raised in either of these documents.

a) Members approved the External Auditor Annual Report and Letter of Representation

---

**B/17/021      Group Life Assurance Cover**

The Depute Principal and Chief Operating Officer presented a paper on the Group Life Assurance cover currently offered to College staff. He highlighted that this benefit, at the current levels, was only offered by Forth Valley College and that, following discussions at the March 2017 Board meeting on the significantly increasing costs of this benefit, a consultation exercise with staff had been conducted.

He outlined the results of the consultation and presented members with a number of options in relation to the Group Life Assurance Cover.

Members discussed the options available, as outlined in the paper.

a) Members approved the option of reducing the benefit to 1 year's salary and that the current level would be phased out over the next 3 years. The benefit would also not be offered to new staff from 1 January 2018.

**B/17/022      Student Association Activity September to December 2017**

The Student Association President presented a report on the activities of the Student Association over the last four months.

He highlighted that student engagement had been good with successful class representative training being undertaken.

He provided further information on the recent elections and noted that those members elected would benefit from having experience of attending Board/Committee meetings.

He informed members of the current #fvsafe campaign that was running, noting that the Student Association were working in conjunction with Police Scotland on this.

Amy Scobbie updated members on mental health first aid training, noting that demand for this continues to be high.

a) Members noted the content of the report and welcomed the chance for Student Association Executive members to attend Board and Committee meetings.

**B/17/023      Operational Plan 2017/18**

The Principal presented the Operational Plan for 2017/18, noting that the draft plan had been reviewed by the Strategic Development Committee and updated to take account of their feedback.

Members queried whether all staff would be sent a copy of the Operational Plan.

---

The Principal confirmed that this would happen, in a combination of electronic and paper formats.

a) Members approved the Operational Plan 2017/18

**B/17/024      Review of Risk**

No additional risks were identified during the course of the meeting.

**B/17/025      Any Other Competent Business**

None

Uncontrolled Copy

---

**Room S1.18, Stirling Campus (commencing at 4.30pm)**

Present: Mrs Beth Hamilton (Chair)  
Mrs Fiona Campbell  
Mr Davie Flynn  
Mrs Anne Mearns  
Mr Steven Torrie (Co-opted member)

Apologies: Mr Steven Tolson

In Attendance: Mr Andrew Lawson, Depute Principal and Chief Operating Officer  
Mr Ralph Burns, Head of Human Resources  
Mr Stephen Jarvie, Corporate Governance and Planning Officer

**H/17/021 Declarations of Interest**

None

**H/17/022 Minutes of meeting held on 21 November 2017**

Approved.

**H/17/023 Matters arising**

a) H/17/015 Health and Safety Update

Members had requested that the report be updated. The Corporate Governance and Planning confirmed the updated report was circulated to members by email.

**H/17/024 Gifts and Hospitality Policy**

The Depute Principal and Chief Operating Officer presented the updated policy for consideration and approval. He noted that the update reflected changes in disclosure levels across the College sector in the years since the last revision to the policy. He noted that there was not a high occurrence of gifts and hospitality being received by the College.

Members queried whether the register was electronic or paper. It was confirmed that it is paper at the moment but would move to electronic at some point in the future in line with many College systems.

Members requested that, for clarity, a summary of changes be included on the front of the policy. It was confirmed that this would be added.

a) Members approved the revised policy document

---

**H/17/025      Complaints Procedure – Principal**

The Depute Principal and Chief Operating Officer presented the draft procedure. He highlighted that the procedure was developed as a result of a request from SFC and that it broadly mirrored the existing procedure for all staff, with the main changes being the Board's role in investigation and decision-making.

Members discussed the policy and noted that a flowchart of possible actions to be taken would be advantageous. Members also highlighted a number of minor amendments.

It was agreed that the changes highlighted and the flowchart would be developed prior to taking this item to the Board of Management for approval.

- a)      Members approved the recommendation of the policy to the Board of Management for final consideration and approval.

**H/17/026      Delivering the People Strategy**

The Head of Human Resources presented members with a report on the implementation of the People Strategy, which was approved by the Board of Management in December 2017.

He noted that a working group had been set up to ascertain a baseline of the College and outlined the findings of the group to date on the composition of staffing across the College.

Members noted the different levels of performance setting across the College and queried the reason for this. The Head of Human Resources noted that this was due to the variety of roles and whether targets being set were shorter or longer-term targets for individual staff.

Members also discussed the potential for training for future promotion/secondment. The Head of HR noted that this was coming through more strongly in the process but was only a factor where staff express an interest in progressing and there is the potential to do so.

Members requested more information on the composition of the listening to employee sessions. The Head of HR noted that the membership was mainly voluntary, with some key staff asked to participate, and that these sessions were not led by SMT to allow staff the freedom to express themselves fully. He also noted that the College was very aware that, when issues were raised, action needed to be taken if possible.

Members noted that attending these sessions may be of interest to Board Members.

Members queried whether the College had an indication of costs associated with this activity. The Head of HR noted that there weren't costs at this time as this activity is

---

in the early stages but also confirmed that the College, wherever feasible, developed additional training resources internally to ensure it was tailored to the College's environment and culture.

- a) Members noted the content of the report

**H/17/027 Staff Development – February 2018**

The Head of Human Resources presented a report on the recent staff development session for support members of staff. He highlighted that the focus was on digital technology and increasing staffs confidence, with a number of training sessions and a range of technologies being put on display in the main hall for staff to visit.

- a) Members noted the content of the report

**H/17/028 National Bargaining Report**

The Depute Principal and Chief Operating Officer presented a report updating members on developments with national bargaining. He noted that lecturers and senior lecturers core conditions had now been approved and confirmed that, while this would not effect existing staff, these new terms and conditions would apply to any lecturing staff joining the College from August 2018 onwards.

He reported on the pay demands submitted by EIS and support staff unions and outlined the current progress in relation to these and the options being considered by the Employers side. He also outlined the potential financial impact to the College of these options.

Members expressed concern at the additional cost and queried whether SFC would meet this.

The Depute Principal and Chief Operating Officer reported that there have been indications of additional funding from SFC but that College would likely need to find some of the additional funds.

Members noted that this should be highlighted to the Board and feedback to SFC that this is concerning.

The Depute Principal and Chief Operating Officer noted that the Employers Association was already in discussion with SFC on this and that the College had budgeted for potential increases.

- a) Members noted the content of the report

**H/17/029 Review of Risk**

Various risks were considered but none were amended

---



H/17/030      Any Other Competent Business

None

Uncontrolled Copy

---

**Boardroom, Falkirk Campus (commencing at 4.30pm)**

Present: Mr Ken Richardson (Chair)  
Ms Trudi Craggs  
Mrs Caryn Jack

Apologies: Mr Andrew Carver  
Mrs Pamela Duncan  
Mr Liam McCabe

In Attendance: Dr Ken Thomson, Principal  
Mrs Alison Stewart, Vice Principal Finance and Corporate Affairs  
Mr David Allison, Vice Principal Information Systems and Communications  
Mrs Senga McKerr, Head of Finance  
Ms Karen Richardson, Executive Office Manager

**F/17/022 Declarations of Interest**

None declared.

**F/17/023 Minutes of meeting of 23 November 2018**

The minutes of the meeting held on 23 November 2018 were approved.

**F/17/024 Matters Arising**

a) F/17/013 – Update on Barclays Covenants

The Vice Principal Finance and Corporate Affairs advised that Barclays had confirmed the requirement for the Board to sign off new covenants but had not confirmed this until the day after the previous Board meeting. She will therefore take a paper to the next Board meeting on 22 March 2018 seeking approval to sign off on behalf of the College.

Members also discussed International provision within the College as discussed at the previous meeting. The Principal reported that the Head of Business Development had been working on a revised International Strategy but this has been put on hold to give due consideration to all related factors. He also reported that the decline of International work throughout the college sector had been raised at the College Principals Group meeting, with our Chair and also with Colleges Scotland. Colleges Scotland are proposing colleges group together to provide international support in their own specialism areas and members agreed this would be beneficial as opposed to operating in isolation. Members requested this be discussed further at the June Board meeting with a view to considering a proposal on the way forward.

---

**F/17/025 Tuition Fees and Fee Waiver Policy Session 2018-19**

The Vice Principal Information Systems and Communications presented the proposed tuition fees and fee waiver policy for approval. Members acknowledged the proposal for fees to remain unchanged and where our costs sit in relation to neighbouring colleges. Clarification of when specific fees would apply was requested and the Principal provided an explanation and an example which was welcomed. The Vice Principal Information Systems and Communications explained that the college fee waiver policy also remains unchanged however should any changes be made to the national policy these would have to be incorporated.

Members approved the tuition fees and fee waiver policy.

**F/17/026 Resource Outturn 2017/18 (fiscal year)**

The Vice Principal Finance and Corporate Affairs explained that the intention was for members to both note the Q4/1 resource return that was submitted to SFC in February and to approve the Q4/2 return prior to submission to SFC later this week. She explained that the Q4/2 return is still being worked through and we are targeting an underspend in the resource budget. She also explained how the donation to the ALF is calculated and summarised key points for members' consideration. Members agreed there was no need to circulate the return prior to submission to SFC. Members sought clarification on the difference in figures between the College's cash budget for priorities figure and the SFC net depreciation figure. The Vice Principal Finance and Corporate Affairs explained that a schedule of proposed projects adding up to our budget figure will be created and she will be discussing the fixed amount set by SFC with them.

**F/17/027 Forecast Outturn 2017/18 (Q2 January 2018)**

The Vice Principal Finance and Corporate Affairs explained a reforecast exercise is undertaken at 6 months and although the outturn is only slightly down there are significant movements, primarily in tuition fees, international income and commercial income. She explained the issue which had led to the tuition fees decrease and also that SMT were closely monitoring the position with international and commercial income. Members noted the Flexible Workforce Development Fund income and noted that although this was significant some of the income was offset against the commercial income budget. The Principal gave a summary of the target and the number of employers who have taken up training. He also advised members that earlier in the day he, the Head of Business Development and the Business Development Commercial Manager had participated in a Scottish Government initiated review of this Fund overall, which had been a good opportunity given the issues encountered since its launch and with the administration involved for both employers and the College. Members asked if companies who have signed up are local and the Head of Finance confirmed that most are. She also reported that sixteen of the companies are new to the College and that brings further opportunities.

---

**F/17/028 Indicative Funding Allocation 2018/19**

The Vice Principal for Finance and Corporate Affairs advised members that for the first time SFC have stated in their guidance that any institutions whose Outcome Agreement is not satisfactory may receive a revised (lower) funding allocation. She advised members that at a recent meeting SFC had indicated there could be some movement between indicative and final allocations.

The Principal advised members that he and the Vice Principal Information Systems and Communications have a meeting scheduled with our SFC Outcome Agreement Manager the next day to discuss targets and intensification. He also advised that for the first time SFC have dictated delivery by including the childcare places, which were previous classed as additional, now within the main grant and how this means now looking at all other provision and possibly having the wrong mix of Lecturing skills to meet the new provision. Members asked if there was line of sight into teaching departments in terms of Scottish Government policy for recruitment in specific areas and an awareness of any barriers which potential applicants might encounter. Members were assured there is line of sight and that the Vice Principal Information Systems and Communications and the Vice Principal Learning and Quality were currently undertaking curriculum planning reviews with all teaching departments.

The Vice Principal for Finance and Corporate Affairs summarised key points for consideration. She also highlighted the significant cut in our capital maintenance budget and explained the reason for this budget being prioritised to other colleges in need of backlog maintenance. Members acknowledged the difficulty of this and how the lack of advanced funding information for future years makes it very difficult to implement a meaningful strategy.

Members acknowledged the need for a fair and transparent funding model and discussed the difficulties experienced with the current funding model and system.

The Vice Principal for Finance and Corporate Affairs advised that all of these matters would be raised at a meeting being planned with the SFC.

**17/029 Falkirk Council LGPS – Triennial Valuation**

The Vice Principal for Finance and Corporate Affairs asked members to note the current position of increased employer pension contributions on the College's finances. Members acknowledged the increased contribution level and the concern meeting this whilst being in receipt of a flat cash settlement from SFC.

**F/17/030 Review of Risk**

No new risks were identified other than those already highlighted within each paper. Members agreed it is positive that we are aware of all current financial risks and have mitigating actions planned.

---

**F/17/031 Any other competent business**

None.

The Chair reminded members of the date of the next meeting – 14 June 2018.

The Chair tendered his apologies for the Finance Committee meeting on 14 June and the Board meeting on 22 June 2018 as he will be out of the country.

Uncontrolled Copy

---

**1. Purpose**

To seek the approval of the Board of Management for the attached draft Donations and Fundraising Policy.

**2. Recommendation**

That members review the content of the policy, giving particular consideration to the process, criteria and factors which will be used to make decisions on the acceptance and refusal of charitable donations. That members approve the draft policy.

**3. Background**

As a charity registered in Scotland (SCO21191), Forth Valley College is subject to charity law, for example The Charities and Trustee Investment (Scotland) Act 2005 and to regulation by the Office of the Scottish Charity Regulator (OSCR). As a charity it is important that our Board of Management (Trustees) make clear and consistent decisions regarding the acceptance and refusal of charitable donations.

To support this, it was decided to develop a policy document to support decision making and highlight our commitment to meeting best practice in fundraising.

**4. Key Considerations**

The key purpose of the attached policy is to ensure that the reputation of our supporters (donors) and Forth Valley College are protected from any real or perceived impropriety in the relationship that is established through the offer and receipt of a charitable donation.

Whilst having a policy will not prevent issues arising it will help to manage the risks associated with the acceptance and refusal of donations. It also demonstrates to supporters, our partners and the wider community that our decision making is consistent and we have a clear, accountable process for this.

The policy also provides an opportunity for the College to set out our commitment to achieving and following best practice in fundraising as set out by the Scottish Fundraising Panel in their Fundraising Guarantee and the Code of Fundraising Practice as published by the Fundraising Regulator.

The Scottish Fundraising Panel were established by the Scottish Government to oversee self-regulation of fundraising in Scotland, set standards and handle complaints. The Fundraising Guarantee was established by the Panel as a positive statement about values, culture and practices. It also outlines to supporters how they can expect to be treated by fundraisers and charities.

---

In adopting the guarantee, Forth Valley College is providing reassurance to supporters that we follow best practice which is particularly important at a time when fundraising is under increased scrutiny.

We can also apply to the Fundraising Standards Panel to use the Fundraising Guarantee logo (as noted below) on our website which would further reinforce our commitment – making Forth Valley the first College in Scotland to have this.



5. Financial Implications

Please detail the financial implications of this item - None

6. Equalities

Assessment in Place? – No If No, please explain why – Not applicable

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

7. Risk

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

	Likelihood	Impact
Very High		
High		
Medium		
Low	X	X
Very Low		

Please describe any risks associated with this paper and associated mitigating actions – Failure to have an appropriate policy or guidelines in place could lead to inconsistent decision making leaving the College open to reputational or legal challenge. The attached policy will help to ensure a consistent approach is maintained.

Risk Owner – Alison Stewart

Action Owner – Pauline Barnaby

8. Other Implications –

Please indicate whether there are implications for the areas below.

**Communications – Yes**

**Health and Safety –No**

**Please provide a summary of these implications** – The policy, if approved by the Board of Management, would be uploaded to the College website as part of our Freedom of Information publication scheme.

**Paper Author** – Pauline Barnaby

**SMT Owner** – Alison Stewart

Uncontrolled Copy

---



### 1. Purpose

To inform members of the indicative funding allocations for Academic Year (AY) 2018-19 announced by SFC on 27 February 2018.

### 2. Recommendation

That members note the indicative allocations for AY 2018-19 and how this affects the College's finances.

### 3. Background

The SFC announced indicative funding allocations for AY 2018-19 on 27 February 2018. The figures are indicative only and will not be finalised until May 2018. SFC has indicated that should they conclude that an outcome agreement is unsatisfactory they will make the appropriate adjustments to final funding allocations. The SFC circular and sector funding allocations are attached to this paper for information.

### 4. FE Sector position

SFC decisions on funding are in line with the Minister for Further Education, Higher Education and Science's Letter of Guidance of 30 March 2017.

The key points in this indicative funding announcement for the FE sector for AY 2018-18 are:

- Student activity target has increased, however changes to childcare and ESF have resulted in a slight decrease to the overall activity target of 1%.
- Teaching funding has increased by £4.2 million for additional financial pressures equivalent to a 1% increase. In addition £34.2 million has been allocated to meet the full identified harmonisation cost of national bargaining.
- Core Student support funding has increased by £3.6 million with a further £5.2m million being set aside for the implementation of the Scottish Government's Independent Review of Student Support.
- Capital / maintenance funding has increased by £29.3 million, which includes £42m for the new Falkirk Campus.

The draft Budget document stated that in 2018-19 the Scottish Government

- "...invests around £1.8bn in our colleges and universities – providing a real terms increase in their funding". "This investment funds the teaching, research and innovation that will provide opportunities for our young people, train the workforce of the future and drive our productivity."
- supports "the expansion (of publicly funded childcare entitlement) by upskilling the early years workforce" and provides "funding for graduate level Early Learning and Childcare courses".

The ambitions of the Enterprise and Skills Review, particularly in relation to skills alignment, innovation, internationalisation and securing an improved learner journey post-15 will be driven by the Council's investment and activity in:

---

- Working in partnership with our colleges and universities to improve Scotland's skills base by providing accessible, high quality learning opportunities, with good outcomes for learners which are aligned to industry needs.
- Enhancing knowledge exchange and delivering impactful research and innovation.
- Supporting our universities and colleges to work collaboratively in developing international partnerships, to attract international students, and to ensure Scotland has the right skills to secure inward investment.
- Focusing efforts in growth employment areas, including through the implementation of the STEM strategy and the expansion of the Early Learning and Childcare workforce.
- Promoting a partnership approach between employers and education, to improve skills alignment and deliver high quality training opportunities to up-skill and re-skill the workforce through the Flexible Workforce Development Fund and other routes.
- To support an improved, more coherent learner journey post-15 by improving the alignment of our learning and skills system."

The Scottish Government also re-stated its commitment to "maintain at least 116,000 full-time equivalent college places" and to continue to develop the Flexible Workforce Development fund.

#### 5. Forth Valley College position

Funding Allocations	18/19 Indicative	17/18 Final	Variance agaisnt 17/18 final	%
GIA	20,793,053	20,710,100		
Childcare		93,842		
	20,793,053	20,803,942	(10,889)	-0.1%
ESOL (17/18 Strategic Funding)	71,807	75,452	(3,645)	-4.8%
ESF	478,510	535,267	(56,757)	-10.6%
Total Teaching Grant	21,343,370	21,414,661	(71,291)	-0.3%
National Bargaining pay costs	1,169,430		1,169,430	
	22,512,800	21,414,661	1,098,139	5.1%
Student Support	3,807,681	3,984,072	(176,391)	
Childcare	-	21,281	(21,281)	
ESF Student Support	-	21,469	(21,469)	
	3,807,681	4,026,822	(219,141)	-5.4%
Capital & Maintenance	686,107	1,043,370	(237,504)	-18.6%
New Falkirk Campus	42,000,000	19,500,000		
Credits	18/19 Indicative	17/18 Final	Variance agaisnt 17/18 final	%
GIA (including Childcare)	84,201	84,647	(446)	-0.5%
ESF	1,816	2,230	(414)	-18.6%
	86,017	86,877	(860)	-1.0%

### **Grant in Aid Funding (GIA)**

Overall GIA funding has increased by 5.1% rather than by the 7% as stated in Table 2 of SFC's circular. It should be noted that this increase relates to the funding for National Bargaining which is not linked to delivery of credits but rather the projected costs of implementing the agreed pay structure for teaching staff. If you exclude the NB funding there is a 0.3% decrease in credit related funding. It should also be noted that there is a reduction of 0.5% (446) core credits.

There are 2 key reasons for the variance from SFC's figures; firstly SFC have reduced the AY 17/18 core teaching comparison figure by the amount of funding that was advanced in July 2017 to cover national bargaining costs for April to July 17. This was notified as an advance of AY 17/18 funding to assist with cashflow issues at the 31 July year end and not a reallocation of funding to AY 16/17 from AY 17/18. In addition SFC have included ESOL funding for AY 18/19 within its calculation but has excluded the comparative 17/18 figure as this was funded from strategic funding rather than "core" funding.

It is worth noting that in 2017/18 SFC received additional funding for Early Learning & Childcare of £1.586m for the delivery of 11,213 credits. For 2018/19 there is no additional funding and the increased sector target of 28,267 credits has now to be delivered from core grant funding. For Forth Valley this in effect means a stopping current delivery in other areas to meet the increased childcare credits target of 1,672 credits.

The funding of National Bargaining costs is now taking priority over the implementation of the simplified funding model, which SFC is reviewing again, and the need to address inequalities in the level of core funding across the sector.

### **National Bargaining (NB)**

The costs of the harmonisation related to national bargaining, down to individual institution level, have been taken from information collated and provided by Colleges Scotland (and validated by SFC). The teaching uplift that SFC is providing in AY 2018-19 will be sufficient to fully meet the agreed and estimated costs of the national bargaining settlement for that year. The figures provided by Colleges Scotland demonstrate that the national bargaining costs in AY 2018-19 will be £32million higher than in AY 2017-18, but to fully fund the agreed settlement, a further £2.1 million is required for changes to annual leave for lecturing staff and additional annual leave for support staff for which no additional funding was provided in AY 2017-18. (This is shown in Table 2).

As Forth Valley College terms and conditions are more generous than those agreed through National Bargaining we have received no funding in this area. No account is taken of the additional costs FVC incurs for these more generous conditions and demonstrates yet further anomalies in the way funding is being allocated. It might also be debatable whether additional costs will actually be incurred by Colleges in relation to increased annual leave.

As noted above the National Bargaining funding is allocated based on figures agreed by Colleges Scotland and SFC which are based on staffing numbers in 2016-17. Some Colleges are currently making efficiencies in their delivery methods which will result in lower lecturer and senior lecturer

---

posts. Under this method of allocating funding they will continue to receive NB funding in relation to posts which have been removed by August 18 and for which no cost is being incurred.

Over time SFC intends to return to a simplified funding model however this will take a number of years to implement to ensure the financial sustainability of those Colleges who are considered to be overfunded.

### **European Social Funding (ESF)**

SFC funding for European Social Fund (ESF) projects for colleges in Lowlands & Uplands Scotland (LUPS) will remain at c.£8 million for 2018-19. The 'Youth Employment Initiative' (YEI) closes at the end of AY 2017-18. From AY 2018-19 therefore, subject to Scottish Government approval to extend SFC's participation in the 'Developing Scotland's Workforce' (DSW) programme from AY 2018-19, all ESF for colleges in LUPS will come through DSW, which focuses on higher level (Higher National) activity. All colleges are eligible, including those previously operating under the YEI.

The overall 2018-19 ESF budget for colleges in LUPS, including ESF match-funding, will total £13.1 million; a decrease of c.£6.6million from 2017-18 due to the lower ESF match-funding contribution under DSW (40%), compared with YEI (66%).

As a consequence of the reduction in the overall ESF funding for the sector, FVC's ESF funding has reduced by 10.6% (£56,757) however when you factor in there is no longer funding for Student Support Childcare costs, the funding has actually reduced by 14.6% (£78,226). There is however a corresponding reduction in the number of credits to be delivered of 18.6% (414 credits).

### **Student Support**

Student support has decreased by 5.4% (£219k) despite SFC providing an inflationary increase of 1.5%. While we are expecting an underspend in 2017/18 of £350k, after taking account of the inflationary increase in funding rates, this level of funding may be sufficient. It is unclear from the SFC circular if there will be any in year redistribution available if it is not sufficient.

### **Capital & Maintenance**

There are three distinct elements to SFC's policy objective to support capital investment in the college sector:

- Meeting the ongoing lifecycle maintenance needs which are essentially the core estate needs, year-on-year, of the sector.
- Tackling the very high priority estates needs identified in the recently completed sector condition survey.
- Continuing to develop and refine an evaluation framework to allow SFC to identify and prioritise major capital projects for campus replacement or refurbishment.

Lifecycle maintenance funding continues to be allocated based on core activity targets.

For financial year (FY) 2018-19 FVC's budget for is £630k for lifecycle maintenance and £56k for high priority backlog maintenance an overall reduction of 18.6% (£238k). While there can be little argument that the allocation for backlog maintenance is unfair given Alloa and Stirling are relatively new campuses and there is capital funding for the new Falkirk Campus, no consideration

---

is given to the fact FVC have to top slice £175k of the lifecycle maintenance for interest payments which does not apply to the majority of Colleges.

If this level of funding is maintained going forward this is below the £1.m lifecycle funding highlighted in the Decision point 4 Report as being required to support the new Falkirk Campus.

## 6. Flexible Workforce Development Fund

The Flexible Workforce Development Fund (FWDF) was set up in AY 2017-18 as a pilot programme to provide employers with flexible workforce development training opportunities, to support inclusive growth through up-skilling and re-skilling employees. This was in response to feedback from the Scottish Government's consultation on the introduction of the UK Government Apprenticeship Levy.

The FWDF will continue in AY 2018-19 and, in line with AY 2017-18, SFC has set aside £6 million from its core budget and they expect an additional £4 million will be transferred in-year to maintain a total budget of £10 million for AY 2018-19.

SFC will review the success of the pilot year and this will inform the operation and guidance we set out for the continuation of this programme in AY 2018-19. SFC will also consider the individual FWDF allocations to colleges / regions as part of this review process.

## 7. Financial Implications

The financial implications have been noted in section 5.

## 8. Equalities - N/a

## 9. Risk

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

	Likelihood	Impact
Very High		
High		
Medium	X	X
Low		
Very Low		

Whilst SFC continue to allocate funds on a priority basis to areas such as national bargaining, the implementation of a much needed simplified funding model is delayed potentially for a number of years. This results in continued disadvantaged to Forth Valley College in terms of its core funding with a lack of equity, consistency and transparency in how funding is allocated and could impact on performance measures and our commercial competitiveness.

In addition, the reduction in ESF credits and the requirement to deliver increased Early Learning & Childcare provision means there is a risk that we have the wrong mix of lecturers to deliver a changing curriculum, which is being driven by SFC / Scottish Government priorities.

The College should continue to argue for a fair and transparent funding model for the sector and the Principal, VP Finance and Corporate Governance will be seeking a meeting with SFC at the earliest opportunity. There is also a meeting with our Outcome Agreement Manager of 14 March and we will table our position at that meeting.

**Risk Owner** – Alison Stewart

**Action Owner** – Alison Stewart

**10. Other Implications –**

**Communications –No**

**Health and Safety –No**

**Paper Author** – Alison Stewart

**SMT Owner** – Alison Stewart

Uncontrolled Copy

---





# SFC Announcement

## Outcome agreement funding for colleges - indicative allocations for 2018-19

Issue date: 27 February 2018

Reference: SFC/AN/06/2018

Summary: Announcement of indicative college outcome agreement funding allocations for academic year 2018-19.

FAO: Principals/Directors and Board Secretaries of Scotland's colleges

Further information: **Contact:** Lorna MacDonald  
**Job title:** Director of Finance  
**Department:** Finance  
**Tel:** 0131 313 6690  
**Email:** [lornamacdonald@sfc.ac.uk](mailto:lornamacdonald@sfc.ac.uk)



Scottish Funding Council  
Promoting further and higher education

Scottish Funding Council  
Apex 2  
97 Haymarket Terrace  
Edinburgh  
EH12 5HD  
T 0131 313 6500  
F 0131 313 6501  
[www.sfc.ac.uk](http://www.sfc.ac.uk)

## Outcome agreement funding for colleges – indicative allocations for AY 2018-19

1. I am writing to provide you with initial Scottish Funding Council (SFC) decisions on indicative outcome agreement funding for colleges in academic year (AY) 2018-19.
2. The purpose of providing these indicative allocations is to help colleges plan their provision and for SFC to move towards finalised outcome agreements for AY 2018-19.
3. The indicative allocations set out in this announcement are based on the progress colleges have made towards meeting the targets outlined in their previous outcome agreements. Final funding allocations will reflect, in particular, the extent to which the targets and commitments in draft outcome agreements for AY 2018-19 meet SFC's national aspirations, as identified in our outcome agreement guidance. Should SFC conclude that an outcome agreement is unsatisfactory, we will make the appropriate adjustments to final funding allocations.
4. This approach supports the delivery of SFC's Strategic Plan, and is consistent with our wish to intensify outcome agreements, as detailed in the Minister for Further Education, Higher Education and Science's [Outcome Agreement Guidance letter](#) of 18 October 2017.
5. The indicative funding decisions set out in this announcement are based on the Scottish Government's draft budget (which was approved by the Scottish Parliament on 21 February 2018) and are in line with the Minister for Further Education, Higher Education and Science's most recent [Letter of Guidance](#) to SFC of 30 March 2017.

### Key points

6. The key points in this indicative funding announcement for AY 2018-19 are:
  - Teaching funding has been increased to meet the full identified harmonisation costs of national bargaining – an increase of £34.2 million.
  - An additional £4.2 million has been added to teaching grants for other additional financial pressures – equivalent to a 1% increase.
  - The core student activity (credit) target has increased, but changes to childcare and European Social Fund (ESF) have resulted in a slight decrease to the overall activity target of around 1%.
  - Core student support funding has increased by £3.6 million and a further £5.2 million has been set aside for the implementation of the Scottish Government-commissioned Independent Review of Student Support.
  - Capital funding has increased by £29.3 million.



## Scottish Budget

7. The Cabinet Secretary for Finance and the Constitution announced the 'Scottish Budget: Draft Budget 2018-19' on 14 December 2017, stating that the Draft Budget:
  - "...invests around £1.8bn in our colleges and universities – providing a real terms increase in their funding". "This investment funds the teaching, research and innovation that will provide opportunities for our young people, train the workforce of the future and drive our productivity."
  - supports "the expansion (of publicly funded childcare entitlement) by upskilling the early years workforce" and provides "funding for graduate level Early Learning and Childcare courses".
8. The Draft Budget document stated that "through the Scottish Funding Council, we invest around £1.8 billion in Scotland's colleges and universities to fund teaching, research and innovation activities for Scotland's learners. The ambitions of the Enterprise and Skills Review, particularly in relation to skills alignment, innovation, internationalisation and securing an improved learner journey post-15 will be driven by the Council's investment and activity in:
  - Working in partnership with our colleges and universities to improve Scotland's skills base by providing accessible, high quality learning opportunities, with good outcomes for learners which are aligned to industry needs.
  - Enhancing knowledge exchange and delivering impactful research and innovation.
  - Supporting our universities and colleges to work collaboratively in developing international partnerships, to attract international students, and to ensure Scotland has the right skills to secure inward investment.
  - Focusing efforts in growth employment areas, including through the implementation of the STEM strategy and the expansion of the Early Learning and Childcare workforce.
  - Promoting a partnership approach between employers and education, to improve skills alignment and deliver high quality training opportunities to up-skill and re-skill the workforce through the Flexible Workforce Development Fund and other routes.
  - To support an improved, more coherent learner journey post-15 by improving the alignment of our learning and skills system."

9. The Draft Budget document also stated that, in 2018-19, the Scottish Government will:
- “Deliver a real-terms increase in SFC funding, including a real-terms increase in college budgets.
  - Work in partnership with our colleges to provide high quality learning and teaching; improve Scotland’s skills base; enhance knowledge exchange; and maximise the impact of research, innovation and internationalisation in line with the recommendations of the Enterprise and Skills Review.
  - Contribute to the ambitions of the Strategic Board for Enterprise and Skills, and drive improved skills alignment and investment, alongside Skills Development Scotland.
  - Work with the college sector to address gender equality at all levels from course choices to senior staff and boards.
  - Contribute to the implementation of the STEM strategy, in particular increasing participation in STEM study at colleges.
  - Support the expansion of the Early Learning and Childcare workforce.
  - Provide additional investment of over £5 million for initial implementation of the findings of the Independent Review of Student Support.
  - Maintain at least 116,000 full-time equivalent college places, meeting the needs of learners and the economy, raise attainment levels and increase the numbers of students successfully completing courses and achieving qualifications.
  - Continue to develop the Flexible Workforce Development Fund to promote partnership working between colleges and employers to deliver high quality training opportunities to up-skill and re-skill the workforce.”

#### **Overall funds available for college sector**

10. The draft Further Education (FE) Resource budget for financial year (FY) 2018-19 was announced as £588.2 million; a £36.9 million (6.7%) increase from FY 2017-18.
11. The draft Net College Capital budget has increased by £29.3 million to £76.7 million. This budget includes a capital funding commitment of £42 million for Forth Valley College’s new estate project.

12. In setting SFC's indicative Academic Year (AY) budget for 2018-19, we span two Financial Years (FYs) 2018-19 and 2019-20. We do not have any information on the Scottish Government's plans for FY 2019-20 and beyond, and as such have planned on the basis of flat cash. On that basis, SFC has set an FE Revenue budget for AY 2018-19 of £599.9 million as shown in Table 1, which represents an increase of £45.9 million (8.3%) compared with AY 2017-18. This is the FY budget converted to an AY budget, taking account of the proportion of the FY 2018-19 budget that is already committed to AY 2017-18.

### Teaching funding

13. As set out in Table 2, for AY 2018-19 SFC has increased its core teaching funding grant by £40.1 million, from £414.6 million to £454.7 million; an overall increase of 9.7%.

### National bargaining costs

14. The costs of the harmonisation related to national bargaining, down to individual institution level, are taken from information collated and provided by Colleges Scotland (and validated by SFC). The teaching uplift that SFC is providing in AY 2018-19 will be sufficient to fully meet the agreed and estimated costs of the national bargaining settlement for that year. The figures provided by Colleges Scotland demonstrate that the national bargaining costs in AY 2018-19 will be £32 million higher than in AY 2017-18, but to fully fund the agreed settlement, a further £2.1 million is required for changes to annual leave for lecturing staff and additional annual leave for support staff for which no additional funding was provided in AY 2017-18. (This is shown in Table 2.)
15. The uplift for national bargaining amounts to 8.3% overall. However, the uplifts for individual colleges/regions range from 4.2% at West College Scotland to 19.6% for the Highlands & Islands region (although there are some very specific additional costs for some very small colleges).
16. In AY 2018-19 we are providing an uplift to all college/region teaching allocations to ensure that there are sufficient funds to meet the full cost of national bargaining (pay and terms of conditions). This means that not all colleges/regions need or have received the same increase. Over time, SFC intends to return to a simplified 'price x volume' model. We have compared college/region funds calculated through the model with the uplift needed to secure the national bargaining costs, and the difference equates to an institutional element which we are funding in AY 2018-19.
17. This 'institutional element' will be gradually reduced over time once the transition to the harmonised terms and conditions is fully implemented.

This eventual reduction for some colleges will be offset, at least partially, by an increase in the unit price for teaching funding.

18. It remains a condition of this additional funding that colleges are party to the recent agreement between colleges and EIS-FELA or are mirroring the national bargaining agreement for lecturing and support staff pay and conditions. Where a college has not agreed to pay staff in line with the national bargaining agreement, we will withhold this funding.

#### **Additional uplift to teaching grant**

19. Colleges are also facing other financial pressures, which are not fully addressed by the uplift for national bargaining costs. SFC has, therefore, provided an additional increase to teaching grants of 1%, at a cost of £4.2 million. This is shown in Table 2.

#### **Rural and Remoteness review**

20. Following SFC's consultation on rurality funding, we have increased the Rural and Remoteness premium for the colleges that are now categorised as rural and remote; an increase of £1 million, as shown in Table 2. This is based on our view of the longer term sustainability of colleges and prioritising small colleges with less opportunity for efficiencies and supporting dispersed campuses across the region.
21. This indicative allocation of the additional £1 million will be subject to discussion and agreement on outcomes with colleges / regions. Subject to satisfactory conclusion they will be confirmed in our final funding allocations.
22. For those institutions (Dundee & Angus and SRUC) which are no longer categorised as 'rural and remote' under our new definition, SFC will continue to provide a sustainable level of funding in order to protect their dispersed provision. This will be an institutional element that we will provide through the outcome agreement process. We intend to discuss and agree, with both institutions, the outcomes we expect in return for this resource.

#### **English for Speakers of Other Languages**

23. As previously communicated, SFC has transferred £1.5 million of English for Speakers of Other Languages (ESOL) funding from Strategic funds to core Teaching grant, as shown in Table 2. This was a small top-up grant for ESOL to be delivered by college and Community Planning Partnerships (CPPs). SFC still expects colleges to work with CPPs and we will monitor all ESOL activity through our outcome agreement process.

## AY 2018-19 student activity targets

24. The Scottish Government has reaffirmed its commitment to maintain 116,000 Full-time Equivalent (FTE) student places. SFC uses its demographic model to inform the decision of the allocation of places to colleges/regions and we have updated that model to take account of the increased priority for older learners and part-time study. Our demographic model always worked in partnership with other indicators such as historic performance against activity targets.
25. For AY 2018-19, SFC has set the sector core student activity target at 1.7 million credits. Table 3 shows the original core activity target for AY 2017-18 and any in-year redistribution of college activity, which we have taken as our starting point for AY 2018-19.

## Early Learning and Childcare workforce

26. The Scottish Government Draft Budget states that SFC should "*support the expansion of the Early Learning and Childcare (ELC) workforce*". In AY 2017-18 SFC received additional funds, over and above its core budget, to provide additional college (and university) places. For AY 2018-19, SFC is expected to fund this activity at colleges as a priority from its own core funds and there will be no additional funding provided by the Scottish Government for this purpose.
27. In AY 2017-18 colleges were expected to deliver over 11,213 additional credits. SFC has been working with colleagues in the Scottish Government Early Years Education Division and, to meet their target output for trained ELC professionals, we will require an increase in childcare activity in AY 2018-19, to deliver an additional 28,267 credits (on top of baseline), as shown in Table 3A.

## European Social Funding

28. SFC funding for European Social Fund (ESF) projects for colleges in Lowlands & Uplands Scotland (LUPS) will remain at c.£8 million for 2018-19. The '*Youth Employment Initiative*' (YEI) closes at the end of AY 2017-18. From AY 2018-19 therefore, subject to Scottish Government approval to extend SFC's participation in the '*Developing Scotland's Workforce*' (DSW) programme from AY 2018-19, all ESF for colleges in LUPS will come through DSW, which focuses on higher level (Higher National) activity. All colleges are eligible, including those previously operating under the YEI.
29. The overall 2018-19 ESF budget for colleges in LUPS, including ESF match-funding, will total £13.1 million; a decrease of c.£6.6 million from 2017-18 due to the lower ESF match-funding contribution under DSW (40%), compared with YEI (66%).

30. Indicative ESF funding is set out in Table 2 and additional ESF activity (credit) targets are shown in Table 3. The additional ESF credit targets are for HN-level activity and, therefore, SFC has not allocated any additional ESF student support funding. Childcare costs arising from the additional ESF activity will be met through core student support (childcare) budgets. As shown Tables 2 and 3, the reduction in AY 2018-19 (compared with AY 2017-18) in college teaching funding for ESF is £1.1 million. Indicative ESF activity targets for AY 2018-19 have reduced by c.11,000 credits.
31. The above excludes University of the Highlands and Islands (UHI)-partner colleges in the Highlands & Islands (H&I) region which, under a separate DSW operation for the H&I transition region, will receive SFC funding from HE strategic funds.

### **Flexible Workforce Development Fund**

32. The Flexible Workforce Development Fund (FWDF) was set up in AY 2017-18 as a pilot programme to provide employers with flexible workforce development training opportunities, to support inclusive growth through up-skilling and re-skilling employees. This was in response to feedback from the Scottish Government's consultation on the introduction of the UK Government Apprenticeship Levy.
33. The FWDF will continue in AY 2018-19 and, in line with AY 2017-18, SFC has set aside £6 million from its core budget and we expect an additional £4 million will be transferred in-year to maintain a total budget of £10 million for AY 2018-19.
34. SFC will review the success of the pilot year and this will inform the operation and guidance we set out for the continuation of this programme in AY 2018-19. We will also consider the individual FWDF allocations to colleges / regions as part of the review process.

### **College/university articulation places**

35. Streamlining the learner journey by encouraging articulation between colleges and universities remains a priority for SFC. This was further emphasised in a letter to the Chair of SFC, dated 18 October 2017, which set out the Minister's expectations that "SFC, alongside universities and colleges, closely monitors the expansion of articulation to ensure it continues to support disadvantaged learners to progress to degree level study. Where this is not achieved my expectation is, in line with the recommendation, that a proportion of articulation places will be prioritised for disadvantaged learners".
36. To support this priority area, SFC has reviewed the additional articulation places (associate students) scheme. The scheme has proved successful in increasing

the number of articulating students and – with some minor exceptions – the additional places have been filled. We are, therefore, proposing no change to the additional articulation places scheme for AY 2018-19 (and AY 2019-20), subject to satisfactory outcome agreement targets with the universities that receive these places. Colleges (and universities) should continue with current arrangements to meet the priorities set out by the Minister to expand articulation and ensure it continues to support disadvantaged learners to progress to degree level study.

37. As discussed and emphasised in previous SFC guidance, we expect 75% of funding for those years in which activity is delivered in colleges to be transferred from universities to colleges. SFC will continue to monitor the transfer and impact of this funding and, subject to budget availability, will continue these arrangements.

### **Student support**

38. For AY 2018-19 SFC has provided an inflationary (GDP) increase of 1.5% to the student support bursary, childcare rates and discretionary fund. In AY 2017-18 the core student support funding totalled £107.4 million. The cost of this inflationary uplift is £1.6 million.
39. The amount of student support needed by colleges in any year is always difficult to predict and in AY 2017-18 we set aside an additional £2 million for the in-year redistribution. These funds were not needed for the in-year redistribution in AY 2017-18. However, given the change of profile for ESF students, SFC would need to fund more FE students from core funding for AY 2018-19. Therefore, we have included the additional £2 million to our initial allocation bringing the total student support allocation for AY 2018-19 to £111 million. Individual allocations are based on colleges' actual student support spend in AY 2016-17, as shown in Table 4.
40. SFC has also ring-fenced £5.2 million for the implementation of the Independent Review of Student Support, commissioned by the Scottish Government.

### **Strategic funds**

41. The indicative AY 2018-19 budget for strategic projects and grants has provisionally been set at £14.9 million, which will allow SFC to meet all current strategic funding commitments. This is primarily the AY 2017-18 strategic fund budget, adjusted by £1.45 million for ESOL (see paragraph 23).
42. There has also been an adjustment for Lanarkshire region which received an additional uplift of £750k to their Access and Inclusion Premium from strategic

funds in AY 2017-18. For AY 2018-19 we have included this uplift in core teaching but this will be subject to the delivery of satisfactory outcomes.

## Capital

43. There are three distinct elements to the Council's policy objective to support capital investment in the college sector:

- Meeting the ongoing lifecycle maintenance needs which are essentially the core estate needs, year-on-year, of the sector.
- Tackling the very high priority estates needs identified in the recently completed sector condition survey.
- Continuing to develop and refine an evaluation framework to allow SFC to identify and prioritise major capital projects for campus replacement or refurbishment.

44. The total Capital funding budget for colleges in FY 2018-19 is £76.7 million; an increase of £29.3 million from FY 2017-18. In addition there is £5.8 million available from project slippage in FY 2017-18, giving an overall total for FY 2018-19 of £82.5 million.

45. Taking into account estate project funding commitments, including £42 million for Forth Valley College's new campus project, this increased budget will be used as shown below:

<b>College Capital FY 2018-19</b>	<b>£M</b>
Lifecycle maintenance	12.5
Very high priority backlog maintenance (as informed by the sector condition survey)	26.9
Forth Valley College – new Falkirk Campus project	42.0
New College Lanarkshire – loan repayment	1.1
<b>Total</b>	<b>82.5</b>

### *Lifecycle maintenance*

46. Funding for college lifecycle maintenance represents SFC's contribution to the sector's core estate needs as the year-on-year costs of running the college estate. We have allocated £12.5 million in FY 2018-19 for college lifecycle costs. Funding has been allocated in proportion to activity (credit) targets, as a proxy for the size of a college's estate.



### ***Very high priority backlog maintenance***

47. SFC is providing £26.9 million for very high priority backlog maintenance in FY 2018-19, as informed by the sector estate condition survey. Through the outcome agreement process we will ensure that each college / region uses these funds to address their very urgent needs.
48. Sector-wide indicative capital funding allocations for both lifecycle maintenance and high priority backlog maintenance are shown in Table 5.

### **Indicative funding tables for AY 2018-19**

49. We have attached the following tables:
  - Table 1 – College sector – overall indicative budget.
  - Table 2 – Indicative funding allocations.
  - Table 3 – Indicative credit targets.
  - Table 3A – Indicative childcare credit targets.
  - Table 4 – Indicative student support funding allocations.
  - Table 5 – Indicative capital funding (FY 2018-19).

### **Further Information**

50. SFC will confirm AY 2018-19 funding allocations and provide further information in our Final Outcome Agreement Funding announcement in May 2018.
51. Please contact Lorna MacDonald, Director of Finance, tel: 0131 313 6690, email: [lornamacdonald@sfc.ac.uk](mailto:lornamacdonald@sfc.ac.uk) or Martin Smith, Chief Funding & Information Officer, tel: 0131 313 6528, email: [msmith@sfc.ac.uk](mailto:msmith@sfc.ac.uk).



**Lorna MacDonald**  
Director of Finance

**Table 1: College sector - Overall indicative budget for AY 2018-19**

<b>Revenue funding</b>	<b>AY 2018-19 £000</b>	<b>AY 2017-18 £000</b>
Core Teaching & fee waiver funding	413,972	413,374
Early Years Education		1,586
Funding for additional credits for Glasgow region		203
National Bargaining Costs	34,158	
Additional Financial Pressures	4,154	
Rural & Remoteness uplift	1,000	
ESOL transfer from Strategic funds	1,455	
<b>Total Teaching</b>	<b>454,739</b>	<b>415,163</b>
<b>Core Student Support</b>	<b>111,041</b>	<b>109,790</b>
Student Support Review	5,200	
SFC contribution to ESF programme activity	8,000	8,000
Flexible Workforce Development Fund	10,000	10,000
Strategic funds	14,881	16,962
<b>Total Revenue funding (includes ring-fenced amounts shown below)</b>	<b>603,861</b>	<b>559,915</b>
<b>SG Ring-Fenced Funds</b>		
Flexible Workforce Development Fund - to be confirmed	4,000	4,000
<b>Total SFC excluding ring-fenced grants</b>	<b>599,861</b>	<b>555,915</b>
<b>ESF Teaching Grant</b>	<b>5,135</b>	<b>5,135</b>
<b>Capital funding</b>	<b>FY 2018-19 £000</b>	<b>FY 2018-19 £000</b>
College Lifecycle Maintenance	12,500	20,800
Condition Survey: Very High Priority Backlog Maintenance	26,900	2,000
<b>Project Funds</b>		
Forth Valley College: new Falkirk Campus	42,000	19,500
Fife College: non-NPD costs		3,800
New College Lanarkshire: loan repayment (former Coatbridge Campus)	1,100	1,100
<b>Total Capital projects</b>	<b>43,100</b>	<b>24,400</b>
<b>Total Capital funding</b>	<b>82,500</b>	<b>47,200</b>
<b>College NPD expenditure</b>	<b>29,300</b>	<b>29,100</b>

Table 2: Indicative funding allocations for AY 2018-19

College/Region	Final core teaching funding allocation (excluding Childcare) 2017-18	Additional Childcare funding 2017-18	Indicative core teaching funding (including Childcare) 2018-19	Funding for National Bargaining (unfunded in 2017-18)	Funding for National Bargaining costs 2018-19	Total funding for National Bargaining costs 2018-19	Additional financial pressures	Additional Rural & Remoteness funding	ESOL transfer from Strategic funds	Indicative core teaching funding allocation 2018-19	Funding percentage change from 2017-18
	£	£	£	£	£	£	£	£	£	£	%
Ayrshire College	32,755,755	158,199	32,740,573	0	1,978,002	1,978,002	329,140	0	104,834	35,152,549	7.3%
Borders College	7,486,353	41,280	7,487,980	26,548	628,748	655,296	75,276	200,000	21,004	8,439,556	12.7%
Dumfries & Galloway College	8,768,703	37,947	8,760,259	48,711	611,765	660,475	88,067	200,000	25,191	9,733,992	11.0%
Dundee & Angus College <sup>1</sup>	24,736,432	88,971	24,694,630	149,664	1,857,699	2,007,362	248,254	0	89,997	27,040,244	9.3%
Edinburgh College	41,108,102	242,554	41,132,833	341,088	2,245,075	2,586,163	413,507	0	155,372	44,287,875	7.7%
Fife College	31,339,583	164,609	31,338,237	168,991	2,443,038	2,612,029	315,042	0	110,765	34,376,073	9.7%
Forth Valley College	20,601,276	93,842	20,586,102	0	1,169,430	1,169,430	206,951	0	71,807	22,034,291	7.0%
Glasgow Region	81,739,015	137,174	81,444,890	255,018	6,184,795	6,439,812	818,762	0	322,352	89,025,816	8.9%
Highlands & Islands Region	36,190,387	0	35,999,747	568,957	6,509,039	7,077,996	361,904	400,000	92,147	43,931,793	21.4%
Lanarkshire Region <sup>3</sup>	41,263,512	230,503	41,279,388	255,652	3,210,276	3,465,928	407,440	0	153,482	45,306,238	9.8%
Newbattle Abbey College	692,028	0	688,383	12,873	148,382	161,256	6,920	0	0	856,559	23.8%
North East Scotland College	30,025,591	142,558	30,009,232	163,875	1,489,916	1,653,792	301,681	200,000	114,261	32,278,967	7.5%
Sabhal Mòr Ostaig	655,029	0	651,579	41,216	1,086,116	1,127,332	6,550	0	0	1,785,461	172.6%
SRUC <sup>2</sup>	8,980,193	0	8,932,888	0	0	0	89,802	0	18,989	9,041,679	0.7%
West College Scotland	38,471,104	179,480	38,446,984	0	1,615,775	1,615,775	386,506	0	138,423	40,587,689	5.5%
West Lothian College	9,760,675	69,228	9,778,122	79,828	867,722	947,551	98,299	0	36,377	10,860,348	11.3%
Scotland	414,573,741	1,586,345	413,971,828	2,112,422	32,045,778	34,158,200	4,154,101	1,000,000	1,455,000	454,739,128	9.7%

Indicative funding allocations including European Social Funding (ESF) a

ESF teaching (credit) funding 2017-18	ESF teaching (credit) funding 2018-19	Total teaching funding including ESF 2017-18	Total teaching funding including ESF 2018-19
£	£	£	£
306,939	223,293	33,220,893	35,375,842
150,285	134,524	7,677,918	8,574,079
0	0	8,806,650	9,733,992
1,222,965	1,154,055	26,048,368	28,194,299
476,300	348,082	41,826,956	44,635,957
716,813	628,510	32,221,005	35,004,583
535,267	478,510	21,230,385	22,512,801
4,815,398	4,566,278	86,691,587	93,592,094
298,104	0	36,488,491	43,931,793
3,044,009	3,155,524	44,538,024	48,461,762
0	0	692,028	856,559
716,847	624,285	30,884,996	32,903,252
0	0	655,029	1,785,461
0	0	8,980,193	9,041,679
1,732,847	1,626,517	40,383,431	42,214,206
224,639	195,279	10,054,542	11,055,628
14,240,413	13,134,857	430,400,496	467,873,985

**Table 3: Indicative credit targets for AY 2018-19**

College/Region	Final core credit targets (excluding Childcare) 2017-18	ESF activity targets 2017-18	Total activity targets 2017-18	Indicative core credit targets (including Childcare) 2018-19	Indicative ESF activity targets 2018-19	Total activity target 2018-19
	<i>Credits</i>	<i>Credits</i>	<i>Credits</i>	<i>Credits</i>	<i>Credits</i>	<i>Credits</i>
Ayrshire College	124,252	1,255	125,507	124,710	871	125,581
Borders College	24,521	574	25,095	24,682	478	25,160
Dumfries & Galloway College	30,067	0	30,067	30,176	0	30,176
Dundee & Angus College	103,232	5,101	108,333	103,314	4,494	107,807
Edinburgh College	184,028	2,000	186,028	184,764	1,357	186,121
Fife College	129,760	3,005	132,765	130,234	2,451	132,685
Forth Valley College	83,984	2,230	86,214	84,201	1,816	86,018
Glasgow Region	369,574	20,383	389,957	368,592	17,554	386,145
Highlands & Islands Region <sup>1</sup>	110,967	1,200	112,167	110,382	0	110,382
Lanarkshire Region	170,967	14,766	185,733	171,687	12,169	183,856
Newbattle Abbey College	926	0	926	921	0	921
North East Scotland College	134,118	3,035	137,153	134,414	2,460	136,873
Sabhal Mòr Ostaig	803	0	803	799	0	799
SRUC <sup>2</sup>	22,867	0	22,867	22,747	0	22,747
West College Scotland	159,025	7,086	166,111	159,449	6,368	165,817
West Lothian College	42,527	972	43,499	42,790	786	43,575
<b>Scotland</b>	<b>1,691,618</b>	<b>61,607</b>	<b>1,753,225</b>	<b>1,693,861</b>	<b>50,804</b>	<b>1,744,665</b>

<sup>1</sup> - Colleges in the Highlands & Islands transitional region will be allocated ESF activity/funding through a separate HE grant to the University of the Highlands & Islands (UHI).

<sup>2</sup> - SRUC will be allocated ESF activity/funding through HE funding.

**Table 3A: Indicative Childcare credit targets for AY 2018-19**

College/Region	Baseline Childcare credits (prior to ELC expansion)	Additional credits for Childcare 2018-19	Credits for PDAs 2018-19	Credits for HNCs 2018-19	Total Childcare credits (to be sourced from core credit targets) 2018-19
	<i>Credits</i>	<i>Credits</i>	<i>Credits</i>	<i>Credits</i>	<i>Credits</i>
Ayrshire College	2,670	2,819	0	5,489	5,489
Borders College	464	736	0	1,200	1,200
Dumfries & Galloway College	602	676	0	1,278	1,278
Dundee & Angus College	1,497	1,585	0	3,082	3,082
Edinburgh College	2,317	4,322	350	6,289	6,639
Fife College	1,757	2,933	0	4,690	4,690
Forth Valley College	1,011	1,672	0	2,683	2,683
Glasgow Region	3,179	3,753	1,400	5,532	6,932
Highlands & Islands Region <sup>1</sup>	0	0	0	0	0
Lanarkshire Region	4,420	2,799	0	7,219	7,219
Newbattle Abbey College <sup>2</sup>	0	0	0	0	0
North East Scotland College	600	2,540	250	2,890	3,140
Sabhal Mòr Ostaig <sup>2</sup>	0	0	0	0	0
SRUC <sup>2</sup>	0	0	0	0	0
West College Scotland	1,616	3,198	0	4,814	4,814
West Lothian College	1,407	1,234	0	2,640	2,640
<b>Scotland</b>	<b>21,540</b>	<b>28,267</b>	<b>2,000</b>	<b>47,807</b>	<b>49,807</b>

<sup>1</sup> - Colleges in the Highlands & Islands region are allocated Childcare activity/funding through HE funding.

<sup>2</sup> - Newbattle Abbey College, Sabhal Mòr Ostaig and SRUC do not receive Childcare activity/funding.

**Table 4: Indicative Student Support funding allocations AY 2018-19**

College / Region	student support spend 2016-17	Core student support funding 2017-18	Percentage share of student support spend 2016-17	Total student support funding 2018-19 <sup>1</sup>
	£	£	%	£
Ayrshire College	9,488,544	10,029,447	8.7%	9,642,142
Borders College	1,641,570	1,986,515	1.5%	1,668,143
Dumfries & Galloway College	1,758,682	2,030,532	1.6%	1,787,151
Dundee & Angus College	7,526,576	6,894,874	6.9%	7,648,414
Edinburgh College	9,095,918	10,165,335	8.3%	9,243,160
Fife College	7,584,276	8,801,090	6.9%	7,707,048
Forth Valley College	3,747,025	3,984,072	3.4%	3,807,681
Glasgow Region	21,806,506	19,042,922	20.0%	22,159,503
Highlands & Islands Region	8,420,103	8,588,398	7.7%	8,556,405
Lanarkshire Region	13,560,772	12,140,441	12.4%	13,780,289
Newbattle Abbey College	218,147	242,916	0.2%	221,678
North East Scotland College	7,787,748	8,171,312	7.1%	7,913,814
Sabhal Mòr Ostaig	0	23,071	0.0%	0
SRUC	2,184,565	2,105,400	2.0%	2,219,928
West College Scotland	11,388,127	10,213,005	10.4%	11,572,474
West Lothian College	3,064,021	3,010,670	2.8%	3,113,620
Scotland	109,272,580	107,430,000	100.0%	111,041,450

<sup>1</sup> - As in previous years, there will be a planned in-year redistribution in 2018-19. In 2017-18, £4,178,499 was provided for the in-year redistribution.

**Table 5: Indicative capital funding for FY 2018-19**

College/Region	FY 2018-19 indicative capital for lifecycle maintenance based on share of volume target	FY 2018-19 indicative capital based on gross very high priority backlog maintenance	Total indicative capital funding based on lifecycle & high priority backlog maintenance (college estate survey) for FY 2018-19
	£	£	£
Ayrshire College	932,882	2,764,749	3,697,631
Borders College	184,632	76,494	261,126
Dumfries & Galloway College	225,727	155,301	381,028
Dundee & Angus College	772,831	1,235,693	2,008,524
Edinburgh College	1,382,113	2,673,397	4,055,511
Fife College	974,204	1,693,221	2,667,425
Forth Valley College	629,862	56,245	686,107
Glasgow Region	2,757,223	3,494,799	6,252,022
Highlands & Islands Region	825,708	3,844,150	4,669,858
Lanarkshire Region	1,284,292	6,180,455	7,464,747
Newbattle Abbey College <sup>1</sup>	0	97,316	97,316
North East Scotland College	1,005,473	1,464,603	2,470,076
Sabhal Mòr Ostaig <sup>1</sup>	0	120,257	120,257
SRUC	170,154	0	170,154
West College Scotland	1,192,748	3,003,981	4,196,729
West Lothian College <sup>2</sup>	162,150	34,579	196,728
<b>Scotland</b>	<b>12,500,000</b>	<b>26,895,240</b>	<b>39,395,240</b>

<sup>1</sup> - Newbattle Abbey College and Sabhal Mòr Ostaig do not receive capital for lifecycle maintenance funding.

<sup>2</sup> - West Lothian College's capital funding is adjusted to reflect the repayment of a loan.

## 1. Purpose

For members to review and comment on our draft Outcome Agreement covering the period from 2018-19 to 2020-21.

## 2. Recommendation

That members review and comment on the draft Outcome Agreement.

## 3. Background

Last year we entered a new three year cycle for Outcome Agreements covering the period from 2017-18 to 2019-20. As such, the expectation from SFC set out in this year's guidance is that changes to the context statement within our Outcome Agreement should be minimal to reflect only significant changes since last Session, while still ensuring that Colleges meet both existing and new Scottish Government priorities, with focus to be on the targets within the Outcome Agreement.

Indicative funding allocations were published on 27<sup>th</sup> February. The targets contained within this draft version of our Outcome Agreement reflect the Credits allocation for the College as per the indicative allocation. The Principal and Vice Principal Information Systems have met with the College's Outcome Agreement Manager since this publication, and have indicated that the College could deliver beyond its indicative Credits allocation for 2018-19 should there be any re-distribution of Credits through any colleges stating that they cannot deliver to their indicative activity target.

The College submitted its first draft version of our Outcome Agreement to SFC in December, and a further draft revision, reflecting indicative allocations was submitted earlier this month. This current revision has no further changes to our targets, with only changes made to the context statement. There are a few areas within the Draft which require to be updated, and work is continuing with this process.

There has been no formal feedback from SFC on either of our submitted drafts in the way that there has been in previous sessions, however our Outcome Agreement Manager has fed back informally that he is comfortable with the targets set within our draft document, and that colleagues who have reviewed our Outcome Agreement are comfortable that we have 'intensified' our targets. SFC are undertaking an exercise to collate information from all regions to provide a sector position, with Outcome Agreement Managers supporting this process.

## 4. Key Considerations

### Key Changes to Guidelines

In her letter to SFC, the Minister for Further Education, Higher Education and Science took the opportunity to restate that colleges are not required to prioritise full-time provision for 16-24s but rather should be responsive to the current needs of all learners and the economy. This very

---



much reflects the enrolment pattern for the current session witnessed within Forth Valley College, and the College Sector, so is welcome.

The Minister has also asked for intensification of the Outcome Agreement process. In the new guidance, and through discussion with our Outcome Agreement Manager, there is a desire for targets to be as ambitious as they can be for the College and across the Sector, with a primary focus on retention and attainment. SFC also wish intensification of agreements in the areas of widening access, articulation, gender, Developing the Young Workforce, skills, innovation and apprenticeships.

SFC are also looking to reduce the length of time taken to agree Outcome Agreements, with a well-developed draft Outcome Agreement submitted by 15 December 2017, with a focus on targets being set, rather than a focus on text. This target was met by the College. Independently, SFC will be undertaking an exercise to set sector targets for each of the Outcome Agreement targets, and then work back to what they expect individual colleges to achieve, with dialogue with regions if college-set targets are falling below anticipated targets.

The number of strategies/plans that are expected to be referenced from within the Outcome Agreement has grown, with a full list shown within Table 1, and will require further work by the College through this session to have these in place for next session.

Table 1 – Strategies and plans

Strategy/Plan	New Requirement	Available
Access and Inclusion Strategy	No	Yes
BSL Plan	No	Yes
Corporate Parenting Plan	Yes	Yes
Developing the Young Workforce Plan	No	Updated annually
Equality and Human Rights Impact Assessment	Yes	Yes
Gaelic Language Plan	No	Within OA
Gender Action Plan	No	Yes
Public Bodies Climate Change Duties Report	No	Yes
Estates Strategy	Yes	Within OA
STEM Strategy and Action Plan	Yes	No
Student carers support policy	Yes	Yes

#### Indicative Timeline

The indicative Outcome Agreement timeline is shown, for information:

Guidance updated and published	October 2017
2016-17 Evaluative Report and Enhancement Plan submitted	31 October 2017
Guidance reviewed by Strategic Development Committee	16 November 2017
Draft Targets set by SMT	5 December 2017

First draft outcome agreement submitted to SFC	15 December 2017
Feedback from SFC	By 31 January 2018
Indicative funding allocations announced	February 2018
Draft Outcome Agreement reviewed/approved by Strategic Development Committee	22 February 2018
Outcome Agreement reviewed/approved by Board of Management	22 March 2018
Final Outcome Agreement submitted to SFC	By 30 April 2018
Publication of outcome agreements	May/June 2018

### 5. Financial Implications

**Please detail the financial implications of this item** – There is potential for SFC to consider situations where there is a concern over a variation in delivery against Outcome Agreement commitments. This action would involve SFC considering – taking context and ambition into account – whether funding needs to be recovered; taking a holistic view of both good and unsatisfactory progress to arrive at its decision.

### 6. Equalities

**Assessment in Place?** – Yes  No

**If No, please explain why** – Through the Outcome Agreement the college sets out and monitors its aspirations for all protected characteristics.

**Please summarise any positive/negative impacts (noting mitigating actions)** –

### 7. Risk

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

	Likelihood	Impact
Very High		
High		
Medium	X	X
Low		
Very Low		

**Please describe any risks associated with this paper and associated mitigating actions** – There is a risk of financial claw-back if the College doesn't make satisfactory progress towards meeting its Outcome Agreement commitments.

**Risk Owner** – David Allison

**Action Owner** – David Allison

**8. Other Implications –**

Please indicate whether there are implications for the areas below.

Communications – Yes  No

Health and Safety – Yes  No

Please provide a summary of these implications -

Paper Author – David Allison

SMT Owner – David Allison

Uncontrolled Copy

---

**Appendix 1: Part 2 - Outcomes & targets**

No	Measure	Performance		Current	Targets			Comment
		2015-16	2016-17	Year Target	2018-19	2019-20	2020-21	
<b>1a)*</b>	<b>The volume of Credits delivered</b>							
	Credits Delivered: Core	84,031	83,926	84,647	84,202	85,694	85,694	
	ESF	2,241	2,370	2,230	1,816	1,816	1,816	
	Core + ESF	86,272	86,296	86,877	86,018	87,510	87,510	
<b>1b)i)</b>	<b>Volume and proportion of Credits delivered to learners aged 16-19 and 20-24</b>							
	Volume of Credits delivered to learners aged 16-19	38,790	38,911	40,000	39,500	39,500	39,500	
	Proportion of Credits delivered to learners aged 16-19	45%	45%	46%	46%	45%	45%	
	Volume of Credits delivered to learners aged 20-24	19,955	20,460	18,300	19,500	19,500	19,500	
	Proportion of Credits delivered to learners aged 20-24	23%	24%	21%	23%	23%	23%	
<b>1b)ii)</b>	<b>Volume and proportion of Credits delivered to full-time learners aged 16-19 and 20-24</b>							
	Volume of Credits delivered to full-time learners	52,527	51,644	n/a	51,500	51,500	51,500	
	Volume of Credits delivered to full-time learners aged 16-19	26,610	26,477	n/a	26,265	26,265	26,265	
	Proportion of Credits delivered to full-time learners aged 16-19	51%	51%	n/a	51%	51%	51%	
	Volume of Credits delivered to full-time learners aged 20-24	11,458	11,126	n/a	11,330	11,330	11,330	
	Proportion of Credits delivered to full-time learners aged 20-24	22%	22%	n/a	22%	22%	22%	
<b>1c)*</b>	<b>Volume and proportion of Credits delivered to learners in the most deprived 10% postcode areas</b>							
	Volume of Credits delivered to learners in the most deprived 10% postcode areas	9,808	9,052	10,000	10,000	10,100	10,100	
	Proportion of Credits delivered to learners in the most deprived 10% postcode areas	11.4%	10.5%	12%	12%	12%	12%	
<b>1d)</b>	<b>Volume and proportion of Credits delivered to learners from different protected characteristic groups and Care Experienced</b>							
	<b>Gender -</b>							
	Volume of Credits delivered to females <sup>(1)</sup>	40,375	37,753	42,244	39,963	40,832	41,701	
	Proportion of Credits delivered to females <sup>(1)</sup>	47%	44%	49%	46%	47%	48%	
	Volume of Credits delivered to males <sup>(1)</sup>	45,897	48,399	43,790	45,905	46,518	45,639	
	Proportion of Credits delivered to males <sup>(1)</sup>	53%	56%	51%	53%	53%	52%	
	Volume of Credits delivered to Other learners <sup>(1)</sup>	-	145	n/a	150	160	170	
	Proportion of Credits delivered to Other learners <sup>(1)</sup>	-	0%	n/a	0%	0%	0%	
	<b>Ethnicity -</b>							
	Volume of Credits delivered to students where ethnicity is Black or an Ethnic Minority	2,481	2,588	2,500	2,500	2,500	2,500	
	Proportion of Credits delivered to students where ethnicity is Black or an Ethnic Minority	3%	3%	3%	3%	3%	3%	
	<b>Disability -</b>							
	Volume of Credits delivered to students who are disabled	13,625	14,768	12,000	14,500	14,500	14,500	
	Proportion of Credits delivered to students who are disabled	16%	17%	14%	17%	17%	17%	
	<b>Care Experience -</b>							
	Volume of Credits delivered to Care Experienced Learners	1,616	1,903	1,700	1,900	2,000	2,100	
	Proportion of Credits delivered to Care Experienced Learners	2%	2%	2%	2%	2%	2%	
<b>2a)*</b>	<b>Number of senior phase age pupils studying vocational qualification delivered by the College</b>	218	322	380	430	450	470	
<b>2b)</b>	<b>Volume and proportion of Credits delivered to senior phase age pupils studying vocational qualifications delivered by colleges</b>							

No	Measure	Performance		Current	Targets			Comment
		2015-16	2016-17	Year Target	2018-19	2019-20	2020-21	
	Volume of Credits delivered to senior phase age pupils studying vocational qualification delivered by the College	1,221	1,891	1,850	1,850	1,850	1,850	Increase in numbers is planned to be in Foundation Apprenticeships, and therefore there isn't an increase expected in Credits.
	Proportion of Credits delivered to senior phase age pupils studying vocational qualification delivered by the College	1.4%	2.2%	2.1%	2.2%	2.1%	2.1%	
<b>2c)</b>	<b>Volume and proportion of Credits delivered to learners at S3 and above as part of 'school-college' provision</b>							
	Volume of Credits delivered to learners at S3 and above as part of 'school-college' provision	6,828	7,014	5,100	7,000	7,200	7,400	
	Proportion of Credits delivered to learners at S3 and above as part of 'school-college' provision	7.9%	8.1%	6%	8%	8%	8%	
<b>2d)</b>	<b>Volume and proportion of Credits delivered at HE level to learners from SHEP schools</b>							
	Volume of Credits delivered at HE level	22,338	22,638	n/a	22,600	22,600	22,600	
	Volume of Credits delivered at HE level to learners from SHEP schools	3,574	4,075	3,100	4,000	4,000	4,000	
	Proportion of Credits delivered at HE level to learners from SHEP schools	16%	18%	15%	18%	18%	18%	
<b>3)</b>	<b>Volume and proportion of Credits delivered to learners enrolled on STEM courses</b>							
	Volume of Credits delivered to learners enrolled on STEM courses <sup>(2)</sup>	29,197	31,809	30,000	31,000	31,500	32,000	
	Proportion of Credits delivered to learners enrolled on STEM courses <sup>(2)</sup>	34%	37%	35%	36%	36%	37%	
<b>4a)*</b>	<b>Proportion of enrolled students successfully achieving a recognised qualification:</b>							
	The number of FT FE enrolled students achieving a recognised qualification	1,415	1,516	n/a	1,460	1,452	1,443	
	The total number of FT FE enrolled students	2,025	2,063	n/a	2,000	1,975	1,950	
	The percentage of FT FE enrolled students achieving a recognised qualification	70%	73%	71%	73.0%	73.5%	74%	
	The number of PT FE enrolled students achieving a recognised qualification	4,808	5,984	n/a	5,915	6,006	6,097	
	The total number of PT FE enrolled students	5,289	6,427	n/a	6,500	6,600	6,700	
	The percentage of PT FE enrolled students achieving a recognised qualification	91%	93%	91%	91%	91%	91%	
	The number of FT HE enrolled students achieving a recognised qualification	1,040	930	n/a	1,018	1,043	1,069	
	The total number of FT HE enrolled students	1,392	1,322	n/a	1,375	1,400	1,425	
	The percentage of FT HE enrolled students achieving a recognised qualification	75%	70%	75%	74%	74.5%	75%	
	The number of PT HE enrolled students achieving a recognised qualification	752	1,232	n/a	1,246	1,246	1,246	
	The total number of PT HE enrolled students	858	1,401	n/a	1,400	1,400	1,400	
	The percentage of PT HE enrolled students achieving a recognised qualification	88%	88%	89%	89%	89%	89%	
<b>4b)*</b>	<b>Proportion of enrolled MD10 students successfully achieving a recognised qualification:</b>							
	The number of MD10 FT FE enrolled students achieving a recognised qualification	210	204	n/a	219	221	222	
	The total number of MD10 FT FE enrolled students	306	285	n/a	300	300	300	
	The percentage of MD10 FT FE enrolled students achieving a recognised qualification	69%	72%	71%	73.0%	73.5%	74%	
	The number of MD10 PT FE enrolled students achieving a recognised qualification	484	508	n/a	491	501	510	
	The total number of MD10 PT FE enrolled students	537	543	n/a	540	550	560	
	The percentage of MD10 PT FE enrolled students achieving a recognised qualification	90%	94%	91%	91%	91%	91%	
	The number of MD10 FT HE enrolled students achieving a recognised qualification	74	81	n/a	89	89	90	
	The total number of MD10 FT HE enrolled students	117	117	n/a	120	120	120	
	The percentage of MD10 FT HE enrolled students achieving a recognised qualification	63%	69%	68%	74%	74.5%	75%	
	The number of MD10 PT HE enrolled students achieving a recognised qualification	31	42	n/a	45	45	45	
	The total number of MD10 PT HE enrolled students	35	54	n/a	50	50	50	
	The percentage of MD10 PT HE enrolled students achieving a recognised qualification	89%	78%	89%	89%	89%	89%	

No	Measure	Performance		Current	Targets			Comment
		2015-16	2016-17	Year Target	2018-19	2019-20	2020-21	
4c)*	<b>Proportion of senior phase age pupils successfully completing a vocational qualification delivered by the College</b>							
	The number of senior phase FT FE enrolled students achieving a recognised qualification	-	6	n/a	6	6	7	
	The total number of senior phase FT FE enrolled students	1	10	n/a	10	10	10	
	The percentage of senior phase FT FE enrolled students achieving a recognised qualification	0%	60%	n/a	62%	64%	66%	
	The number of senior phase PT FE enrolled students achieving a recognised qualification	76	134	n/a	200	206	213	
	The total number of senior phase PT FE enrolled students	135	222	n/a	322	322	322	
	The percentage of senior phase PT FE enrolled students achieving a recognised qualification	53%	60%	n/a	62%	64%	66%	
	The number of senior phase FT HE enrolled students achieving a recognised qualification	-	-	n/a	-	-	-	
	The total senior phase FT HE enrolled students	-	-	n/a	-	-	-	
	The percentage of senior phase FT HE enrolled students achieving a recognised qualification	-	-	n/a	-	-	-	
	The number of senior phase PT HE enrolled students achieving a recognised qualification	69	67	n/a	67	67	67	
	The total number of senior phase PT HE enrolled students	82	90	n/a	90	90	90	
	The percentage of senior phase PT HE enrolled students achieving a recognised qualification	84%	74%	n/a	74%	74%	74%	
4d)*	<b>Proportion of full-time enrolled Care Experienced students successfully achieving a recognised qualification</b>							
	The number of CE FT FE enrolled students achieving a recognised qualification	35	40	n/a	46	52	59	
	The total number of CE FT FE enrolled students	67	66	n/a	70	75	80	
	The percentage of CE FT FE enrolled students achieving a recognised qualification	52%	61%	n/a	65%	69%	74%	
	The number of CE FT HE enrolled students achieving a recognised qualification	5	7	n/a	8	10	12	
	The total number of CE FT HE enrolled students	9	13	n/a	15	17	20	
	The percentage of CE FT HE enrolled students achieving a recognised qualification	56%	54%	n/a	56%	58%	60%	
4e)*	<b>Proportion of full-time FE enrolled students aged 16-19 successfully achieving a recognised qualification</b>							
	The number of FT FE enrolled students aged 16-19 achieving a recognised qualification	784	860	n/a	844	849	855	
	The total number of FT FE enrolled students aged 16-19	1,137	1,160	n/a	1,140	1,140	1,140	
	The percentage of FT FE enrolled students aged 16-19 achieving a recognised qualification	69%	74%	n/a	74%	74.5%	75%	
5)	<b>Number of starts for direct contracted apprenticeships (including industry bodies such as CITB and SECTT)</b>	256	279	347	357	367	375	To be reviewed
6)	<b>Number and proportion of full time learners with substantial 'work placement' as part of their programme of study</b>							
	Total number of full time learners	3,418	3,393	n/a	3,450	3,500	3,500	
	Number of full-time learners with substantial 'work placement experience' as part of their programme of study	582	670	600	750	800	850	
	Proportion of full-time learners with substantial 'work placement experience' as part of their programme of study	17%	20%	n/a	22%	23%	24%	
7)*	<b>Number and proportion of successful students who have achieved HNC or HND qualifications articulating to degree level courses with advanced standing</b>							
	Number and proportion of successful learners who have achieved HNC or HND Qualification articulating to degree level courses with advanced standing	235	n/a	157	239	239	243	
	Proportion of successful learners who have achieved HNC or HND Qualification articulating to degree level courses with advanced standing	52%	n/a	40%	53%	53%	54%	
8)*	<b>The number and proportion of full-time college qualifiers in work, training and/or further study 3-6 months after qualifying</b>							

No	Measure	Performance		Current	Targets			Comment
		2015-16	2016-17	Year Target	2018-19	2019-20	2020-21	
	Response rate	94%	90%	92%	93%	95%	95%	
	The total number of full-time FE college qualifiers (Confirmed destination)	1,148	1,012	n/a	1,100	1,200	1,200	
	The number of full-time FE college qualifiers in work, training and/or further study 3-6 months after qualifying	1075	958	n/a	1,045	1,140	1,140	
	The proportion of full-time FE college qualifiers in work, training and/or further study 3-6 months after	95%	94.0%	95%	95%	95%	95%	
	The total number of full-time HE college qualifiers (Confirmed destination)	492	517	n/a	550	575	600	
	The number of full-time HE college qualifiers in work, training and/or further study 3-6 months after qualifying	458	486	n/a	523	546	570	
	The proportion of full-time HE college qualifiers in work, training and/or further study 3-6 months after	94%	94%	95%	95%	95%	95%	
<b>9)</b>	<b>The percentage of students overall, satisfied with their college experience (SSES survey)</b>							
	Response rate	30%	31%	40%	45%	50%	50%	
	Full-time	95%	95%	96%	96%	96%	96%	
	Part-time	96%	95%	95%	96%	96%	96%	
	Distance Learning	94%	95%	96%	96%	96%	96%	
<b>10)</b>	<b>Gross carbon footprint</b>	2,280 tCO2	2,263 tCO2	2,221 tCO2	2,220 tCO2	2,178 tCO2	-	New baseline to be set for move to new Campus

Uncontrolled



**Forth Valley Student Association**

**Stress Report**  
***Stress Survey Feedback and Analysis***

Uncontrolled Copy



***Author: Amy Scobbie***

**Last updated: 15 March 2018**

Uncontrolled Copy

## Contents

<b>Introduction</b> .....	<b>1</b>
<b>Terms of Reference</b> .....	<b>2</b>
<b>Methodology</b> .....	<b>3</b>
<b>Demographics of Respondents</b> .....	<b>4</b>
<b>Causes, Frequency and Impact of Stress</b> .....	<b>6</b>
Key Findings .....	6
Females .....	7
Males .....	8
Other Gender/Prefer Not to Say .....	9
<b>Stress Relief</b> .....	<b>10</b>
Females .....	10
Males .....	11
Other Gender .....	11
<b>Finding Help</b> .....	<b>12</b>
<b>What do Students Want?</b> .....	<b>13</b>
<b>National Strategies and Initiatives</b> .....	<b>20</b>
<b>Key Themes and Opportunities</b> .....	<b>21</b>
Service Improvement .....	21
Linking results with National Strategies .....	22
Shaping Curriculum and Empowering Learners .....	24
<b>Recommendations</b> .....	<b>26</b>
Service Improvement .....	26
Shaping Curriculum and Empowering Learners .....	28
<b>Appendices</b> .....	<b>28</b>
Appendix 1 - SMHFA Summary .....	28
Appendix 2 - SMHFA Feedback Results .....	30
Appendix 3 – SMHFA Training Statistics 2016/17 .....	32
Appendix 4 – Mindfulness Pilot Survey Results .....	33
Appendix 5 – Association of Colleges on students with mental health conditions in FE, Summary Report June 2015 .....	43

## Introduction

The Vice President of Health, Wellbeing and Sport (VP H,W&S) at Forth Valley Student Association (FVSA) ran a survey to gather feedback on student stress in order to compile this report to help give direction to her upcoming work at FVSA for the academic year 2017/18.

Throughout Mental Health Awareness week FVSA hosted information stalls based on the themes set out by the Mental Health Foundation (MHF). The theme for the academic year 2016/17 was 'Surviving or Thriving?' where we encouraged students and staff to run events, take part in fundraising and/or information stalls to raise awareness of issues relating to mental health and to identify factors that may lead towards developing a mental health issue.

The VP H, W&S conducted a stress survey parallel to the information stalls run by FVSA as the survey fitted in well with the theme. This report aims to highlight the findings of the survey as well as an analysis and recommendations.

## Terms of Reference

This report covers research findings identified from the completion of the stress survey, designed and written by the author.

The aim of the survey was to contribute to the identification of causes of stress experienced by students and the impact that this has on them so that specific issues can be addressed before they escalate or develop into mental health issues.

*“For most people, the stresses and challenges of student life will not directly ‘cause’ mental illness – but they can certainly affect emotional resilience and overall wellbeing in a way which leaves them more vulnerable to developing mental health problems such as depression and anxiety”<sup>1</sup>*

177 people took part in this study across the three college campuses and participants consisted of students and some members of staff.

Responses were initially collated by the VP H, W&S and then shared with the rest of FVSA for further input before finalising the report and sharing it with students, staff and any other relevant parties.

The intention of this report is to use the information gathered to:

- Influence better health and wellbeing of students and staff at Forth Valley College.
- Provide insight into key groups of students that may require additional support for their stress within different age groups, gender, department of study and campus they study on.
- Identify the main causes of stress for students within these groups, how much stress it causes them and the impact of this upon them.
- Provide insight into what participants do to alleviate that stress on a personal level and through accessing support whilst at college.
- Shape work for FVSA and FVC to better support individuals moving forward.
- Evidence the effectiveness and visibility of current services and contribute towards the identification of new services with a view of implementation to support students during their time at college.

---

<sup>1</sup> The Invisible Problem? Improving Students Mental Health HEIP Report 2017

## Methodology

The survey was conducted in person, in the three Forth Valley College Campuses in Falkirk, Stirling, and Alloa. The locations of the stalls were chosen to reflect prime locations in the college to capture the widest range and largest amount of students on each campus. The survey was run anonymously, in order to gain an honest and more accurate response.

Uncontrolled Copy

## Demographics of Respondents

All 177 individuals from the three campuses in FVC completed the demographics section of the survey. The first section included questions on gender, age, mode and location of study to allow for comparisons to be made. The following tables summarize this information.

<b>Respondents</b>			
<b>Gender Profile</b>	<b>Number</b>	<b>Percentage</b>	<b>Overall gender of students at FVC %</b>
Male	75	42%	53%
Female	98	55%	43%
Other*	3	2%	
Prefer not to Say*	1	1%	

\* Two respondents giving gender as other were 25-34 one was 16-24 and one respondent selecting prefer not to say the percentage of those selecting other or prefer not to say are disproportionately low and are unlikely to be representative of the group as a whole.

<b>Age Profile:</b>	<b>Number</b>	<b>Percentage</b>
16-24	118	66%
25-34	31	17%
35-44	21	12%
45-54	7	4%

<b>Respondents</b>			
<b>Campus Attended</b>	<b>Number</b>	<b>Percentage</b>	<b>Student Population of Campus</b>
Falkirk	122	68%	Falkirk 68%
Stirling	13	7%	Stirling 17%
Alloa	32	18%	Alloa 12%
Raploch	8	5%	Raploch 11%
All*	2	1%	

\*two respondents who selected all campuses were staff members

<b>Respondents</b>		
<b>Mode of Study</b>	<b>Number</b>	<b>Percentage</b>
Full Time	121	68%
Apprentice	45	25%
Flexible Learning	3	2%
Part Time	5	3%
Schools Programme	3	2%

<b>Respondents</b>		
<b>Department of Study</b>	<b>Number</b>	<b>Percentage</b>
Access and Progression	34	19%
Business	10	6%
Construction	3	2%
Electrical, Instrumental and Chemical Engineering	38	21%
Applied Science, Math's and Mechanical Engineering	17	10%
Care, Health and Sport	45	27%
Creative Industries	13	7%
Hospitality and Salon Services	13	7%
ESOL	1	1%
Staff	3	2%

Uncontrolled Copy

## Causes, Frequency and Impact of Stress

To identify the main causes, frequency and impact of stress upon respondents the survey contained the following questions:

**Question 6.** Have you ever felt stressed during your time at college (on campus or at home)?

**Question 7.** How often do you feel like this?

**Question 8.** What do you feel are the main causes of your stress?

**Question 9.** On a scale of one to ten, how stressed do you feel by these things (one being the lowest amount of stress (minimum) and 10 being the highest amount of stress (severe)?

### Key Findings

The common feeling that was experienced by most students was that they had indeed felt stressed during their time at college with 161 (91%) of the 177 respondents indicating this. Only 16 (9%) indicated that they hadn't experienced any stress during their time at college showing that a majority amount of students are being affected by stress.

Of the 161 respondents who recorded yes they have been stressed during their time at College 89 were female (50%), 68 are male (38%) and 4 other gender (2%).

Respondents were also asked to record how often they had felt like this and were given a table with four options: 1 (Less than once per year) 2 (1-5 times per year) 3 (More than once per month) and 4 (More than once per week) to determine the frequency of stress occurrence.

The results gathered showed 68 respondents indicating the frequency of stress experienced as more than once per week which is 42% of those who recorded feeling stressed during their time at college. 42 respondents (26%) indicated they felt stressed more than once per month. This amounts to a concerning 62% or more than three fifths of the respondent's experiencing stress who report they are experiencing it more frequently than once a month.

Respondents were asked to identify the main causes of their stress from a table that had 10 specific choices and one option of other. The participants could pick as many or as few options as they wanted to accurately represent what caused them stress. They were then given a scale of 1-10 to rate the level of stress caused by the stressors they had identified with 1 being a minimal level of stress caused and 10 being a severe level of stress caused. Figures are given in the table below to review the most significant causes of stress experienced and the level of stress this caused to respondents.



Cause of Stress	Frequency								Level of stress %							
	Female		Male		1-5 times a year		Less than once a year		1-3 minimal		4-5 moderate		6-7 moderate		8-10 severe	
Study	30	20	22	13	10	5	3	9	5	9	14	10	18	12	29	15
Work	8	12	14	7	4	0	2	4	1	3	7	5	9	4	11	10
Caring responsibilities	10	5	8	1	2	0	3	0	1	2	5	1	6	0	11	3
Finances	19	11	15	12	7	3	3	4	2	3	6	7	15	9	21	11
Family	26	12	16	4	8	0	3	2	3	3	11	2	14	4	25	9
Peers	5	9	5	1	3	2	1	1	0	2	6	2	3	4	5	5
Travel	6	4	3	5	2	4	1	0	0	4	2	4	3	1	7	4
Time management	11	8	9	6	8	0	2	3	1	3	7	1	10	3	12	8
Physical Health	14	6	3	1	2	0	2	1	1	1	4	1	5	3	11	3
Mental Health	26	11	9	3	3	1	2	4	1	3	4	1	8	6	27	10

### Females

The top four causes of stress in terms of commonality for females was Study with 65 respondents reporting this as a cause of stress, Family with a total of 53 respondents, Finances with 44 respondents and Mental Health with 40 respondents.

In addition to being common these causes of stress had the highest frequency of stress with 11 respondents having experienced severe levels of stress at least once a week from all four causes in the last month.

- Study had 30 respondents (32%) reporting feeling stressed more than once a week. The results also showed this to cause the most amount of stress, with 29 respondents (31%) reporting this to cause levels of stress between 8 and 10 on the scale (Severe).
- Family had 26 respondents (27%) recording that this caused them stress more than once a week and 25 (26%) recording the stress levels caused by this to be between 8 and 10 (Severe) on the scale.
- Finances had 19 respondents (20%) reporting experiencing stress more than once a week and 21 (22%) recording stress levels as between 8-10 (Severe) on the scale.
- Mental Health had 26 respondents (27%) reporting feeling stressed about their mental health more than once a week and 27 respondents (28%) feeling stress levels between 8 and 10 (Severe) on the scale.

This shows that Family had a bigger impact on stress amongst female respondents than in males. Further investigations would need to be made within this group to identify the causes of this being higher for females than other genders.

Most of the stress experienced by these causes was disproportionately experienced by women aged 16-24. This could be caused by the demographics of the people who took the survey as there was a significantly higher amount of 16-24 year olds who took part in the study, or it could be that their coping mechanisms at this younger age aren't as well developed as the participants in older age groups.

## Males

The top four causes of stress for males was Study with 47 respondents, Work was the second most common cause of stress with 23 respondents, and Finances was the third most common with 30 respondents and Mental Health with 19 respondents.

In addition to being common, Study, Work, Finances and Mental Health were also the most frequent causes of severe levels of stress amongst male respondents.

- Study was the most frequent cause of stress with 20 respondents reporting this to cause them stress more than once a week and also caused the biggest impact of stress, with 15 male respondents reporting this to cause stress levels between 8 and 10 (Severe).
- Mental Health and Family were the second most frequent causes of stress with 26 respondents for each reporting this to cause them stress more than once a week. However they jointly caused the third biggest impact, with 10 males for each reporting this to cause them levels of stress between 8 and 10 on the scale (severe).
- Finances was the third most frequent cause of stress amongst males with 19 respondents and also caused the second biggest impact of stress amongst males, with 11 reporting it to cause levels of stress between 8 and 10 (Severe) on the scale.

This showed that there were similarities between male and female respondents, with study, finances and mental health all being top causes of stress for both genders.

However this did also show that work had a bigger impact upon male respondents in relation to stress than females. This could be due to the higher number of apprentices that took this survey as they are working and studying at the same time and that they made up the majority of male respondents that participated in the survey.

## Other Gender/Prefer Not to Say

Those stating their gender as other than male or female reported Study, Mental Health and Physical Health as the top causes of stress.

- Mental Health and Study were joint top causes of Stress with all 4 respondents (100%) reporting these as causes of stress. They were also the most common causes of stress with all four respondents reporting feeling stressed more than once a month.
- Physical Health was the third most common cause of stress amongst this group of students with 3 of the 4 respondents recording this as a cause of stress and that this affected them more than once a month.
- The levels of stress recorded for each of the stressors identified was recorded as between 8 and 10 (severe) on the scale for 2 of the 4 respondents (50%) with the other 2 respondents recording levels of stress caused as between 4 and 7 (moderate) on the scale.

Although the number of students within this group is disproportionately low, the main causes of stress were similar to that of all students in the survey with both Mental Health and Study coming in as the top cause of stress.

Physical Health was a stressor identified specifically within this small group of students with 3 respondents (75%) stating this as a cause of stress. Further investigation would need to be done into why this causes this group of students experiences more stress than others as the number of participants within this group is too low to produce accurate results.

## Stress Relief

Respondents were asked to pick from a selection of common practices that are used to relieve stress with both healthy and unhealthy choices. Participants could pick as many or as little as they liked to represent which of these techniques they personally used to deal with stress. The table had 10 options as shown below

Respondents			
Techniques used to relieve stress	Female	Male	Other
<b>Exercise</b>	39	33	0
<b>Vent to family or friends</b>	46	18	1
<b>Repression</b> ( the action or process of suppressing a thought or desire in oneself so that it remains unconscious)	10	7	2
<b>Displacement</b> (the unconscious transfer of an intense emotion from one object to another)	8	5	1
<b>Alcohol/Drugs</b>	16	17	0
<b>Meditate</b>	11	3	0
<b>Art therapy</b>	7	1	1
<b>Hot bath</b>	34	7	4
<b>Eat too much or too little</b>	40	10	2
<b>Other please specify</b>	6	7	2

### Females

The results showed that the top methods used to relieve stress for female students was Venting with 46 of the respondents, Eating too much or too little with 40 of the respondents, and Exercise with 39 respondents.

Two of the most popular choices of stress relief with females were healthy ones with venting and exercise being in the top three. There were 20 female respondents who picked both of these choices as stress relief again with the highest percentage of them being aged between 16 and 24.

However eating too much or too little was the second most popular choice of stress relief which is an unhealthy choice and had 40 female respondents recording this as their personal choice of stress relief.

In total there were more healthy choices for personal stress relief selected than unhealthy choices amongst females.

## Males

The results showed the top personal methods of stress relief to be Exercise with 33 male respondents, Venting to family or friends with 18 respondents, and Alcohol/drugs with 17 respondents.

This had similarities with personal choices those female respondents recorded with Exercise and Venting both being top choices also however male respondents exercised as a choice of stress relief more than Venting.

Alcohol/Drugs was the third most popular choice amongst male respondents which is an unhealthy choice however although it didn't come into the top choices for females it had roughly around the same amount of respondents from each gender selecting this.

## Other Gender

Those stating their gender as other than male or female recorded their top choices of stress relief as a hot bath with 4 respondents, Repression with 2 respondents, and Eating too much or too little with 2 respondents. Other was also recorded as a popular choice of stress relief with 2 respondents recording this as their choice of stress relief however respondents did not specify what these other methods were.

This shows that unhealthy choices are more common within this group of students however due to the small amount of participants that identified as neither male nor female this would suggest that these results are not an accurate representation of this group as a whole and more evidence would need to be gathered.

As a whole the most common choices for personal methods of stress relief was Exercise with 72 respondents in total, Venting was the second most common choice with a total of 64 respondents and Eating too much or too little was the third most common with 50 respondents in total recording this as their choice of stress relief.

This feedback suggests that students are using healthy choices to cope personally with their stress with two healthy choices being the most common across genders.

## Finding Help

Question 11 part 1 asked participants if they were aware of current provisions within the college that could support them with this and were given a choice of either yes or no. The results are displayed in the table below:

Respondents	Yes	No
Female	58 (61%)	37 (39%)
Male	36 (48%)	39 (52%)
Other Gender	1 (25%)	3 (75%)
Total	95 (55%)	79 (45%)

These results indicate that over half of students are aware of current provisions throughout the College. In total 95 respondents recorded they were aware of provisions to support them with their stress.

The amount of students who were not aware of current provisions to support them with their stress was 79. Although this is less than the amount of students who have said they are aware of current services it is still a large portion of the total respondents.

To assess how accurate these results were in question 11 part 2 the survey also asked participants to tick which services they were aware of with 7 options to pick from and 1 option for other, so students could inform us of services they were aware of but were not included in our list so we could assess the visibility of current services throughout the student population.

Respondents	Female	Male	Other Gender
SMHFA	27	13	1
Stress Control Classes	24	14	1
Counselling	60	25	3
Mindfulness	45	13	1
New Health and Wellbeing area on Moodle	15	5	0
New Health and Wellbeing Officer in StudServ	14	5	0
Peer Support Training (SFAD)	15	12	0
Other	2	0	0

The top service that students were aware of was counselling which had the most number of students aware of this service with 89 respondents in total. This is a college-run service which is the longest running service that has been facilitated by the college for over ten years. However this was the only college service that students seemed to be aware of as the other College service which was the new Health and Wellbeing Officer within student



services had the lowest amount of students that were aware of it with 19 respondents in total.

Mindfulness had the second most respondents with 59 in total that knew about the service. Scottish Mental Health First Aid (SMHFA) had the third most with 41 respondents in total. Mindfulness and SMHFA are both spin-off services that are on offer and are not embedded within College services with Mindfulness<sup>2</sup> being facilitated by a staff member last year as a pilot to benefit students that due to popularity has been continued this year and SMHFA<sup>3</sup> which is an NHS service that was piloted in 2015 and has been increasing in demand which the VP H, W&S delivers.

Stress control classes is an NHS run service that is hosted within the College with the Student Association and College both doing work on promoting it. This and was the fourth most common service students were aware of with 39 respondents in total who knew about it.

Peer support training was the fifth most common service that respondents were aware of with 27 respondents, which is a surprising result as this course was only piloted this year to a class of 12 participants with a minimal amount of promotion done on it.

The new health and wellbeing area on Moodle was the sixth most common service that students were aware of with 20 respondents in total; again this is surprising as there has been no promotional work done on this yet at all as it is scheduled for the beginning of this term.

Students who recorded they were aware of other services only had 2 female respondents both of which specified Paws for Stress which is a service run by the LRC on the lead up to exam time for students to de-stress.

Of the 177 respondent's only 4 knew of all the services that were listed.

The results gathered evidence's that a vast majority of the student population do not know about current service provisions they can access within the college.

## What do Students Want?

---

<sup>2</sup> See attached pilot survey results and feedback results

<sup>3</sup> See attached pilot survey results and feedback results

The participants were asked in question 12 and 13 to come tell us what they think the College or student association could do to help support them with regards to stress and were not given any choices to pick from instead were asked to tell us in their own words.

**Question 12** asked Please tell us in a few words how you think the College could support you to reduce your stress?

**Question 13** asked Please tell us in a few words what work you would like to see done in the session 2017/18 by the student association to make improvement in this area.

All of the answers given are recorded below in order to analyse them fully:

Please tell us in a few words how you think the College could support you to reduce your stress?	Please tell us in a few words what work you would like to see done in the session 2017/18 by the Student Association to make improvement in this area?
Mindfulness	Somewhere to go when you're stressed or anxious
Lecturers not being on strike at graded unit time	Talk more to students
Helping with stress during class	Having time to talk to you
Give more help	Handy Kits
During my interview process on to next year I was told by my lecturer that I wouldn't have time to attend the gym I found this astounding considering I have a mental health diagnosis and exercise is medicine	The mindfulness classes are good
Take the time to listen and help make a plan of support	Something for students to do with animals or nature or walking
I feel the College has a wide range of support networks	Maybe a group counselling service
A de-stress room (background music, like oceans)	More handy kits
More paws for stress	Colouring Music
Mindfulness or counselling that students can access at least once a week	Stress rooms or Sensory rooms
Have better time management when handing out work	Maybe encourage students to seek support and make sure necessary support is in place and students know how to access it.



Please tell us in a few words how you think the College could support you to reduce your stress?	Please tell us in a few words what work you would like to see done in the session 2017/18 by the Student Association to make improvement in this area?
Stop cutting money in half for not doing I-learn.	Maybe more signs around campus maybe are more direct.
Study days or Support classes	More therapy days, rooms with music and stuff we can use to get calm.
Help out more often	Posters/talks of services we can use
Less work load at once spread out assessments etc.	Speaking to you
Be more approachable to support all students	More advertising on what services and help is available
Be more approachable to support everyone	More awareness
No more strikes at critical point in our year	Sessions built into LDW/Core skills that allow people to de-stress
Make students more aware of services available	Art therapy area
By not striking at the end of the year when everyone has deadlines to meet	Yoga or meditation classes for all students
More help and understanding with funding	Talk to students more/better
Be more open about mental health	Talk to them how they feel
Someone in the library to help explain questions etc.	More information regarding funding
Make services more available and make lecturers give more details on what's available	The addition of a health and wellbeing officer
Family stress is my biggest stressor and already have been to counselling sessions	More events more awareness
Art therapy area	More help and understanding with funding
Very well many information and options teachers helpful and know more techniques after my course	A dedicated member of staff for students to speak to regarding their mental health issues.
Lecturers could be more understanding	Somewhere to go for anxiety
Less assessments at one time , less strict deadlines	Make students more aware of what's available
Have regular lunchtime classes in a designated area	More info around the college to what is available for students.

Please tell us in a few words how you think the College could support you to reduce your stress?	Please tell us in a few words what work you would like to see done in the session 2017/18 by the Student Association to make improvement in this area?
Massage sessions with beauty students	Make students more aware of what is available to them.
Provide students with kits to practice stress relief	By offering stress relief sessions once/twice a year
Provide with kit for hairdressing as too expensive to buy with life expenses of bursary	Support someone by talking
Calm area within the College, soft seats, gentle music	More communication with students
More time for specific assignments	More stress relief
Being able to do coursework from closer to home ( it takes over an hour to travel to College)	More stress reduction/awareness days
Providing stress kit at the beginning of the course	More stalls about stress and mental health
Have mindfulness put into each course once a week	Make it easier for students to ask for help- speak to students and promote asking tutors for help and suggestions and more promotion on healthier eating and exercise for stress relief
Being able to speak to lecturers or LDW	Maybe look into designating a room that could be used to relax and for relaxation
The cuts to the bursary for missing one class or 1 hour need looked at and changed. Cutting bursary by half is too much and unjustified.	I don't think the student association could do any more in this area its really down to lecturers and myself
Attending mindfulness	More stress relief activities
I feel that within my department support or understanding is very lacking the lecturing staff seem very unapproachable	More pet therapy
Support groups	Support groups and counselling
Telling students where help is available	More stress relief kits
After College classes for extra support	
Ensuring the correct support is in place	Stress Balls
Outside seating (Falkirk Campus)	
Free or subsidized lunches for those who need it	
Benches in the locker room	

Please tell us in a few words how you think the College could support you to reduce your stress?	Please tell us in a few words what work you would like to see done in the session 2017/18 by the Student Association to make improvement in this area?
No strikes during vital study time	Ensuring there are no strikes
Better time management, Financial support (bursary?)	
Benches in the locker room	
Benches in the locker room	
Set more strict deadlines for work to be handed in and more information on finances	Help College to set out deadlines for students and provide financial information
More therapy dogs	More therapy dogs
Better communication between lecturers, better time management of work load by lecturers including clear deadlines	As per above
Have more people to talk to and more support	Have more people to talk to and more support
Better communication with lecturers, better time management, clear deadlines	Same as recommendations for College
Set clear dates for logs to be handed in	
Have reviews with classes to see how they are doing (apprentices)	
Better communication between lecturers, better time management and clear deadlines	
Make apprentices aware of support	Same as overleaf
I worry about absences and falling behind on course work due to my child having hospital appointments	
Learner advisors being able to point students in the right direction	
More mindfulness packages and classes	
Inform up front about assessments	
Removing stigma	
Being able to talk your concerns through with lecturers can actually help	
More fitness health and wellbeing classes available to students, better set out of exams (not all at once), more relaxing environment in	

Please tell us in a few words how you think the College could support you to reduce your stress?	Please tell us in a few words what work you would like to see done in the session 2017/18 by the Student Association to make improvement in this area?
classes, easier access to the gym for <u>all</u> students as its intimidating walking in there as if you shouldn't be there	
Offer meditation classes, yoga, Pilates at lunch.	
Have groups to go to, support for adult learning support	
I have to cope myself and do	
Provide more 'quiet zones' something similar to the prayer room but for all students to use	
Make services available more noticeable within the College	
Spread the workload	
When classes are in the assessment period give them a considerable amount of time	
More communication with students regarding work over the year	
Peer support	
Talking more to students	
Ensure there is flexibility with regards to deadlines (within reason)	
Support Groups	
Stress reduction classes	
More stress control classes and therapy dogs	
More pet therapy	
Have an area when students can meet and relax like a (sort of) garden area	
Lecturers could take action more on idiots who disrupt class	
More stress relief activities	
Support groups	
Cheaper food	

## Emerging Themes

- Of the total respondents 56 females recorded answers for questions 12 and 13, 16 males and 3 stating gender as other. Only responses that were relevant to the study have been used as some were irrelevant for e.g. free Nando's for all students was a suggestion and so these have been left out.
- Within the results from respondents, when asked how the college could support them with their stress, there were commonalities. One of the most prominent was that students want more support and understanding particularly from their lecturers so that they are able to talk to them when they are stressed or ask for support but also that they would benefit from some type of health and wellbeing classes such as stress relief, mindfulness, support groups or SMHFA training on a regular basis, or built into curriculum to help reduce their stress levels.
- Another commonality from the responses gathered was that the college could support students with their stress by spreading out assessments and workload better throughout the year. This was particularly prominent in responses recorded by apprentices, as well as clear deadlines for work to be completed by, and more communication between lecturers.
- A specific commonality that was recorded for apprentices was benches in the locker rooms.
- As well as this there was a shared view of staff being able to communicate better with students on what support is available, or better advertisement and visibility by support services so that students are more aware of these services which they have suggested would be a way that the college could better support students with regards to stress.
- From the responses to the question of what students thought the student association could do to help with reducing stress levels, the themes that were highlighted in the previous question with regards to how the college could support them seemed to continue with most students suggesting the same type of things such as support groups or mindfulness/stress reduction classes or mental health support.
- A key theme that was suggested that the student association could do to improve stress levels was to have a relaxation room where students could go to de-stress, or just a quiet place where students could relax.

## National Strategies and Initiatives

Results gathered from the survey were compared against

- The Scottish Government's mental health strategy 2015-22 which sets out a range of key commitments across the full spectrum of mental health improvement, services and recovery to ensure delivery of effective, quality care and treatment for people with a mental illness, their carers and families.
- The Further Education and Mental Health the Experience of Further Education Students in 2017 report commissioned by National Union of Students (NUS) where FVSA are mentioned twice in the report for work undertaken this year as best practice.
- Co-production in mental health, a literature review commissioned by Mind 2016
- Association of Colleges (AoC) survey on students with mental health conditions in Further Education in January 2017
- The invisible problem? Improving students' mental health commissioned by the Higher Education Policy Institute (HEPI) Report

References will be made to them throughout the rest of this report and how they tie in with the conclusions and recommendations set out.



## Key Themes and Opportunities

The report contains a number of identified key themes and opportunities to improve the student experience within the college. Which have been organised into two subsections to easily identify recommendations that result from each section.

### Service Improvement

1. Study, Family, Finances and Mental Health were all identified as being common causes of stress to students across FVC. It is important to ensure that these students are not impacted upon, disadvantaged or discriminated against due to mental health issues, caring responsibilities, financial difficulties or family commitments resulting in frequent severe levels of stress to the detriment of their mental health.
2. Evidence gathered suggested that students were not getting enough support in relation to these common causes of stress and that they had a minimal awareness of the extensive support they can access during their time at college.

*"As well as adequate, quality counselling support, students would want to see Colleges provide things like mindfulness courses, wellbeing courses, yoga and resilience and self-care courses. That said, unions should remain vigilant in ensuring that any additional provision is not introduced as a replacement for a well-funded counselling service"*<sup>4</sup>

3. Students recorded the prominence of stigma and discrimination that is still prevalent in relation to these issues and the lack of understanding and support provided.
4. Evidence gathered from various reports including feedback from SMHFA training and peer support training suggests that typically it is peers, specifically those with lived experience of similar situations, that enable the best support provisions as they can relate to peers through having a shared understanding.

*"They also want the College to properly facilitate peer support networks. When support peer is unsupervised, or set up informally, it can be draining and dangerous for the students. With the appropriate training and support it can be helpful, helping to reduce stigma and feelings of isolation."*<sup>5</sup>

*"Students want counsellors who are well-qualified, but they would also like to be supported by people who have direct experience of mental illness."*<sup>6</sup>

5. Evidence gathered suggest that students would be best benefited by services that have meaning to them and that encourage self-help techniques. Students would reap the benefits of initiatives that empower them to take the lead in their own health and wellbeing such as mindfulness, SMHFA, stress reduction and exam preparation.

*"Students would like personalised, tailored support that involves the people it affects. They want the ability to control their own recovery and to have an input into the type of support they receive. Students don't simply want to be told that they have to take the*

---

<sup>4</sup> Further Education and Mental Health, The experiences of further education students 2015 NUS

<sup>5</sup> Further Education and Mental Health, The experiences of further education students 2015 NUS

<sup>6</sup> Further Education and Mental Health, The experiences of further education students 2015 NUS

*only option that is available to them. Mental health issues affect people differently and what works for one student won't necessarily work for another. They need to be consulted, spoken to and listened to in any discussions around mental health provision."*

7

6. Students highlighted they would benefit from awareness raising of key issues such as mental health, LGBTI, Stress and Services including more activities and events centered around these that are a necessity to continue to educate the student and staff population of key issues and to reduce the stigma and discrimination that surrounds these subjects.
7. Students recorded their views on simple measures they thought could be taken by the college to help alleviate and improve stress levels as a whole for the student population.

### Linking results with National Strategies

The Scottish Government Mental Health Strategy stipulates key commitments that are in line with evidence gathered such as:

- To work more effectively with families and carers as they can have an important role in providing support to those with mental illness.
- Embedding more peer to peer work and support. To do this, work was taken forward under Delivering for Mental Health to establish paid peer-support workers that resulted in national work being undertaken to provide peer support workers with pay.
- Increasing the support for self-management and self-help approaches. This key theme is the evidence base for people taking a leading role in managing their own illness over time and the wider benefits to them that this approach offers is well established.
- Extending the anti-stigma agenda forward to include further work on discrimination.
- The work that has been taken forward in Scotland through See Me and SMHFA training is internationally recognised as establishing best practice and has been drawn on and adopted throughout the world.
- Focusing on the rights of those with mental illness. The Mental Health (Care and Treatment) (Scotland) Act 2003 established core principles to apply to mental health services in Scotland and has firmly embedded rights at the heart of practice within all services.
- Developing the outcomes approach to include personal, social and clinical outcomes. The Scottish Recovery Network was established in 2004 to take forward the recovery model in Scotland. Recovery is the idea that individuals and services should look beyond purely clinical/educational outcomes to see the whole person and their social and personal outcomes as equally valid.
- Ensuring that we use new technology effectively as a mechanism for providing and delivering evidence-based services.

---

<sup>7</sup> Further Education and Mental Health, The experiences of further education students 2015 NUS



In order to comply with current legislation both the Student Association and the College must take measures to ensure that the key principles within legislation are adhered to regarding individuals protected by this act so that their individual needs and rights are met.

*“Universities, government and the NHS have a collective responsibility to rise to this challenge. It is crucial that we start more open conversations about mental health on campuses to break down the stigma, support students to build up their emotional resilience, and enable more people to seek support from counselling and other mental health services when things get tough.”<sup>8</sup>*

This suggests that the College and Student Association have a responsibility of care to students and that not only their educational and academic needs should be taken in to consideration whilst they are attending College but also their social and personal needs in order to ensure that all students have the potential for growth and adequate opportunity to reach their full potential. This includes being able to access support from whatever means benefit them as an individual to ensure effectiveness without the fear of stigmatisation or discrimination.

*“Colleges have legal duties under the Equalities Act to provide ‘reasonable adjustments’ for students with disabilities, which include people with mental illnesses such as schizophrenia, bipolar disorder and depression. But the sheer prevalence of both self-reported and diagnosed mental health issues amongst young people in further education mean that Colleges should be going beyond reasonable adjustments”<sup>9</sup>*

Students would also benefit from all staff, particularly lecturing staff, having a better understanding of these issues and to be more able and willing to talk and offer support to students.

*“Whilst some students reported staff having a solid grasp of mental health problems, others reported those with a clear lack of understanding. At its worse students reported “feeling like a burden” and described a visit to a College counsellor leaving them feeling “worse than when they went in.” There was also a perception that some staff often saw mental health as a poor excuse used by student to get out of work and receive extended deadlines.”<sup>10</sup>*

FVC and FVSA should ensure that we use new technology effectively as a mechanism for providing and delivering evidence-based services. This ties in very well with the digitally enabled initiative that the college is already very much involved with and with many people already looking to the internet and other new media approaches for help when they are in distress, this trend is likely to continue. FVC have highlighting that digital applications are becoming the most popular choice for students to submit applications and it would be good to see this evidence being used to enhance other areas of college support. As students highlighted that engagement by both the Student Association and college could be improved upon, utilising digital resources to ensure maximum effectiveness could be a good starting point for this work. FVC and FVSA have an opportunity to digitally enable students but also

---

<sup>8</sup> The Invisible Problem? Improving Students Mental Health HEIP Report 2017

<sup>9</sup> Further Education and Mental Health, The experiences of further education students 2015 NUS

<sup>10</sup> Further Education and Mental Health, The experiences of further education students 2015 NUS

to ensure provisions are up to date and digitally aware to provide optimum access to services, increasing ease of access, widening access and reducing barriers to best support both their staff and students.

By acknowledging and taking action on the recommendations set out in this report under Service Improvement both FVC and FVSA would be adopting best practice in line with national recommendations.

### Shaping Curriculum and Empowering Learners

Results gathered from the survey and by making comparisons against other surveys conducted nationally, suggest that students would like to include health and wellbeing as part of their curriculum and for the materials within such classes to be relevant to their personal wellbeing. Course work within classes such as LDW activity should be tailored so that they are an effective educational resource that is best utilised to develop personal and life skills as these are essential to progression both academically and personally.

*"We also know students in FE are likely to have experienced forms of disadvantage. FE is often undertaken by young people who have found school difficult or who may require opportunities to develop basic and employment-related skills. They are also more likely to have employment related pressures and financial worries."*<sup>11</sup>

Altering specific elements of curriculum would be a welcome improvement by students. Suggestions were made to alter curriculum with regards to ensuring that their education is fit for purpose so that they can utilise what they have learned during their time at college, to improve how effectively they are learning by reducing their stress but also gain valuable life skills that can be further developed and continually used throughout the rest of their lives to improve their health and wellbeing.

*"There is a clear link between a student's wellbeing and their engagement at College. Research suggests that all forms of mental disorder are associated with an increased risk of disruption to education and the longer term consequences of mental health problems in childhood adolescence has been associated with poorer educational attainment and poorer employment prospects."*<sup>12</sup>

With study being the top cause of stress identified for students throughout FVC and with suggestions made from direct feedback from students, it is important to include study tips and exam prep as part of their core learning so that students are not becoming overwhelmed by the pressure and stress of studying and have adequate skills to progress their learning as well as adequate time to complete learning tasks.

*"The day to day of College life was also seen as a contributing factor towards poor mental health. The lack of perceived time to undertake assessments combined with multiple study units' means that many students feel pressured, stressed and anxious during College."*<sup>13</sup>

---

<sup>11</sup> Further Education and Mental Health, The experiences of further education students 2015 NUS

<sup>12</sup> Department of Health, Future in Mind, 2015

<sup>13</sup> Education and Mental Health, The experiences of further education students 2015 NUS

Finances were also a theme that occurred throughout the survey as a cause of stress but also within other surveys conducted as a real issue for students. Most of them highlighting that more information on finance, or including relevant financial information as part of the curriculum for all students, would enhance their learning experience and reduce their stress levels.

We did have Barclay's money workshops that used to run in the college to support students with finances however these are no longer running.

*"Having to worry about money is a key concern for many FE students" <sup>14</sup>*

This continual pressure that students are under in relation to finances is a pressure that is causing detrimental effects across the board for students and can ultimately lead to developing further problems.

*"In another study of undergraduate first-years from across the UK findings suggested that greater financial difficulties predicted poorer mental health, including greater likelihood of depression, stress, anxiety and alcohol dependence over time." <sup>15</sup>*

---

<sup>14</sup> Education and Mental Health, The experiences of further education students 2015 NUS

<sup>15</sup> HEPI, The invisible problem? Improving students mental health, 2016

## Recommendations

The following suggestions have been made for further consideration by the college and our external partners to combat the key issues identified from the study.

### Service Improvement

- Working with the student association and external services could assist the college in delivering joint working to raise awareness of services and options for support both internally and externally with students and staff. This could both tie into and/or inform national health and wellbeing campaigns that colleges/universities already deliver.
- College and Student Association review existing partnerships with external agencies with a view to identifying and addressing any gaps in provision. This review would ideally occur annually.
- Student Association will advocate at a national level via NUS to raise awareness of stress and mental health support.
- Student Association will work with other student bodies, particularly Stirling University Student Union, to identify, share and implement best practice.
- Survey results highlighted areas where students require extra support; the Student Association could work with the college to shape and enhance support services that are currently available to ensure effectiveness for students but also representation and advocacy of student's views throughout the college so that service users are leading these services. To source and adopt new practices (best practice) that will further support students during their time at college by implementing early interventions of support before the stressors identified escalate into other problems such as mental health conditions. By doing this we hope to reduce the strain on current services, reduce the amount of resources accessed and improve retention and accreditation rates.
- In recognition of the new students who enter the college each year, annual surveys and feedback from key staff and Student Association will identify trends in support needs.
- Flexibility within college support services and arrangements with external providers to be put in place to react to trends/support students.
- Due to the high turnover of students – information and awareness raising events should be scheduled at least twice annually by the college as well as the student association to capture both new and returning students and ensure awareness of service provisions.
- Twice annual information and awareness raising events to be delivered in partnership between the Student Association and college to ensure visibility of support to students.
- Survey/feedback activity to occur to ensure key messages are understood and retained by students
- This survey forms a benchmark for the 2016/17 academic intake at the College:
  - a) The survey could be rerun after awareness raising activity to assess improvement in knowledge of support services throughout the college.

- b) The survey could be rerun at a different time of year other than mental health awareness week to see if this time-period influenced any of the parameters. The findings should be shared/launched to a wider audience - including local and regional stakeholders to highlight prevalence and initiate dialogue amongst interested parties, to find consistent approaches to addressing some of the needs identified and ensuring the continuation of beneficial service provisions
- c) The data could be benchmarked against other colleges/universities in Scotland for similarities/ differences and influence national and local services
- Link the findings to national priorities and the Colleges Strategic Plan to support attainment for those who are most at risk of missing opportunities, disengaging from studies and require support.
- Student Association engagement with College Operational and Strategic Planning processes to ensure best practice is embedded in future college activity.
- Stigma reducing measures – collaborate with the Student Association and a range of local and national service providers to increase the visibility of service that can be accessed by students where and when they need this most.
- Work with the College to produce a culture where there is no stigma relating to mental health. A culture where students and staff can be open about challenges and feel confident that they can access support and act as support for each other.
- Enhance this cultural change via continued student awareness raising and staff training
- Snapshot surveys can be conducted by students throughout the year to measure change and inform students of ongoing development in relation to stress-reduction and prevention of mental health issues.
- Create and formalize a plan for SMHFA training so that staff and students continue to gain accreditation from this course, support for their own mental health and be able to recognise signs and symptoms of mental health issues so they can effectively support and signpost their students/peers within the college. This also ties in with national recommendations on best practice for colleges on how students are best supported with their mental health and wellbeing.
- Create and formalise a plan of support for student parents/carers with such things as:
  - a) Gathering data from the application process to identify if students are parents/carers to find out if they have family/caring commitments and or responsibilities that could cause them stress and impact upon their learning.
  - b) Once this data is gathered, implement measures that will benefit student parents/carers based upon their individual circumstances. Be proactive rather than reactive wherever possible.
  - c) Issue timetables well ahead of time to student parents/carers to allow adequate time to reserve or obtain a nursery placements for their children, source adequate care provisions and support and ease the amount of stress impacting upon these students
  - d) Provide a childcare service on campus that could be utilised by both students and/or staff for childcare during their time at college or establish partnerships with

local nurseries to ensure places are reserved for student parents and provide student parents with an information pack on these nurseries during induction periods.

- By working in partnership with FVSA this year to create a formal mental health partnership agreement the college could use this as a basis or starting point for the strategic planning of future work surrounding this influenced by these recommendations.

### Shaping Curriculum and Empowering Learners

- Utilisation of information to tailor specific elements of student's course work/curriculum such as the core and essential skills health and wellbeing strand and/or used to influence curriculum to include stress reduction, mindfulness, SMHFA and self-help techniques to help students cope with stress and mental health problems during their time at college. As with the points above, doing this could reduce the strain on current services, reduce the amount of resources accessed and improve retention/accreditation rates as whole; as national studies have shown that you learn more effectively when your general health and wellbeing is good and your most basic needs such as emotional wellbeing are met.

*“The B-CAMHS surveys of mental health of children and adolescents show all forms of mental disorder are associated with an increased risk of disruption to education and school absence. Research on the longer-term consequences of mental health problems in childhood and adolescence has found associations with poorer educational attainment and poorer employment prospects, including the probability of ‘not being in education, employment or training.’”<sup>16</sup>*

- Utilising I-learn to include study tips, exam prep, stress control, financial information and mindfulness activities. This would not only tie-in with digitally enabling students to best benefit them but also make services more accessible and make an underutilised resource effective and fit for purpose. This is a suggestion made by the Student Association, not only in response to the survey results, but because it is a recurring issue that students bring up to us both in person and at Student Council meetings that it could be better utilised as a means of communication or support and/or tailored to their course or student circumstances.
- Liaise with all departments to ensure better communication with students about work deadlines and the spreading of workload over the year, in particular, apprentices.
- Establish a student steering group in each annual intake to design, lead and deliver on a variety of projects related to the findings e.g. cross campus campaigns, stress reduction activities, awareness weeks and activities led by peer-support networks.

## Appendices

### Appendix 1 - SMHFA Summary

---

<sup>16</sup> Department of Health, Future in Mind, 2015

This year the VP HW&S focused a lot of work around mental health. Due to mental health issues continuing to be a growing and prevailing problem throughout society today, it was a key part of work done by the VP H, W &S to tackle this throughout the campuses via various approaches. The main approach used to combat this issue was Scottish Mental Health First Aid Training (SMHFA) because it had already been identified as an invaluable resource to both students and staff that supported them with their own mental health as well as identifying mental health conditions and support needs in others.

Throughout the session 2016/17 there has been an ever growing demand for Scottish Mental Health First Aid (SMHFA) training with numbers increasing from 77 students and staff trained last year to almost doubling those figures this year. It is a training initiative run by the NHS to train individuals to deliver classes where participants are trained to have a better awareness of mental health as a whole, signs and symptoms of the most common mental health issues such as Psychosis, Depression and Anxiety and also how to sign-post people effectively to both internal and external services in relation to this. Participants also learn how to respond to crisis situations such as when someone is having a panic attack. SMHFA is an initial response to distress and all participants on the course understand that this help is given only until other suitable or professional help can be found. The H, W&S Officer trained 140 participants this year, mainly consisting of students and key members of staff such as student services support staff, curriculum managers and lecturers. Due to the significant amount of positive feedback gathered from the sessions and the important role it has played in improving the health and wellbeing of students across our campuses, the Student Association are working closely with the college to ensure the continuation of this initiative but also to shape support services provided by the college to continue to improve the health and wellbeing of all Forth Valley College students and staff. Below are the summarised results from the feedback gathered and current stats:

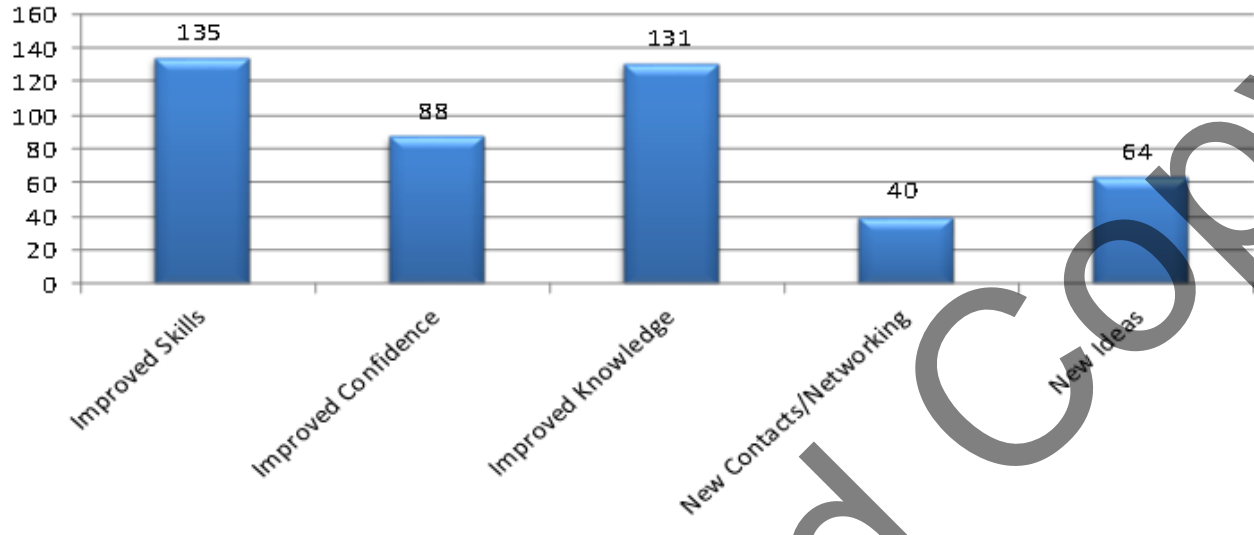
## Appendix 2 - SMHFA Feedback Results

	Yes	No	No Response		
Do you feel that the SMHFA Training was beneficial to you?	132	0	8		
	Improved Skills	Improved Confidence	Improved Knowledge	New Contacts/ Networking	New Ideas
What are the main benefits you have gained from taking part in this course?	135	88	131	40	64
	In my practice generally	In my personal life	Passing on information to others	To improve services	Training others
How will you use what you have learned during this course?	94	95	135	40	35

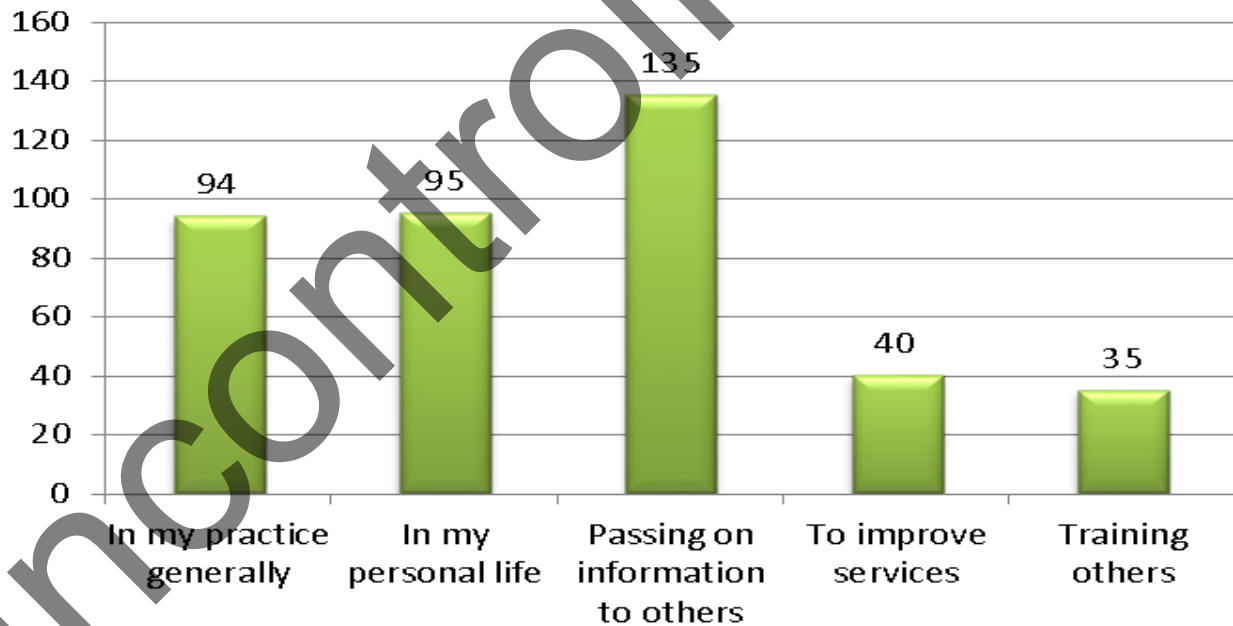




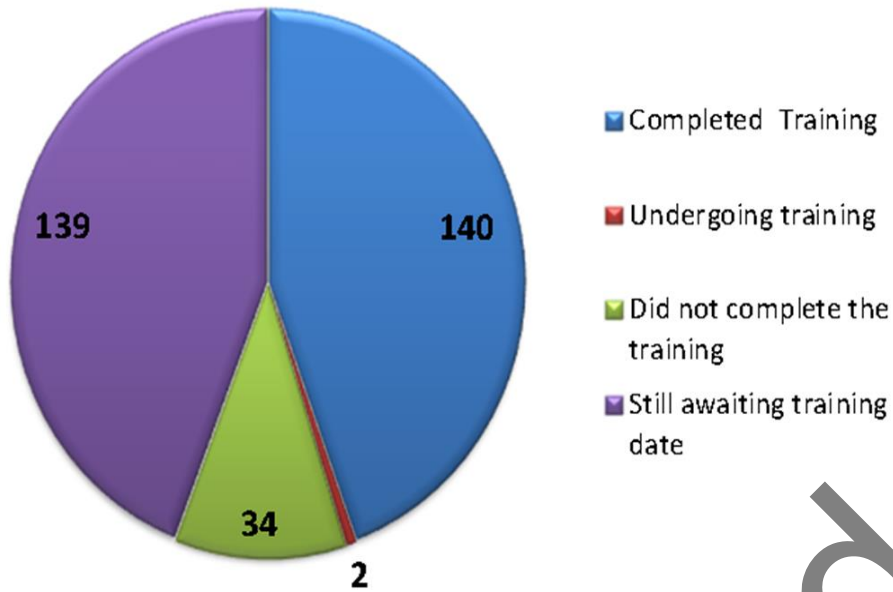
### What are the main benefits you have gained from taking part in this course?



### How will you use what you have learned during this course?



Appendix 3 – SMHFA Training Statistics 2016/17

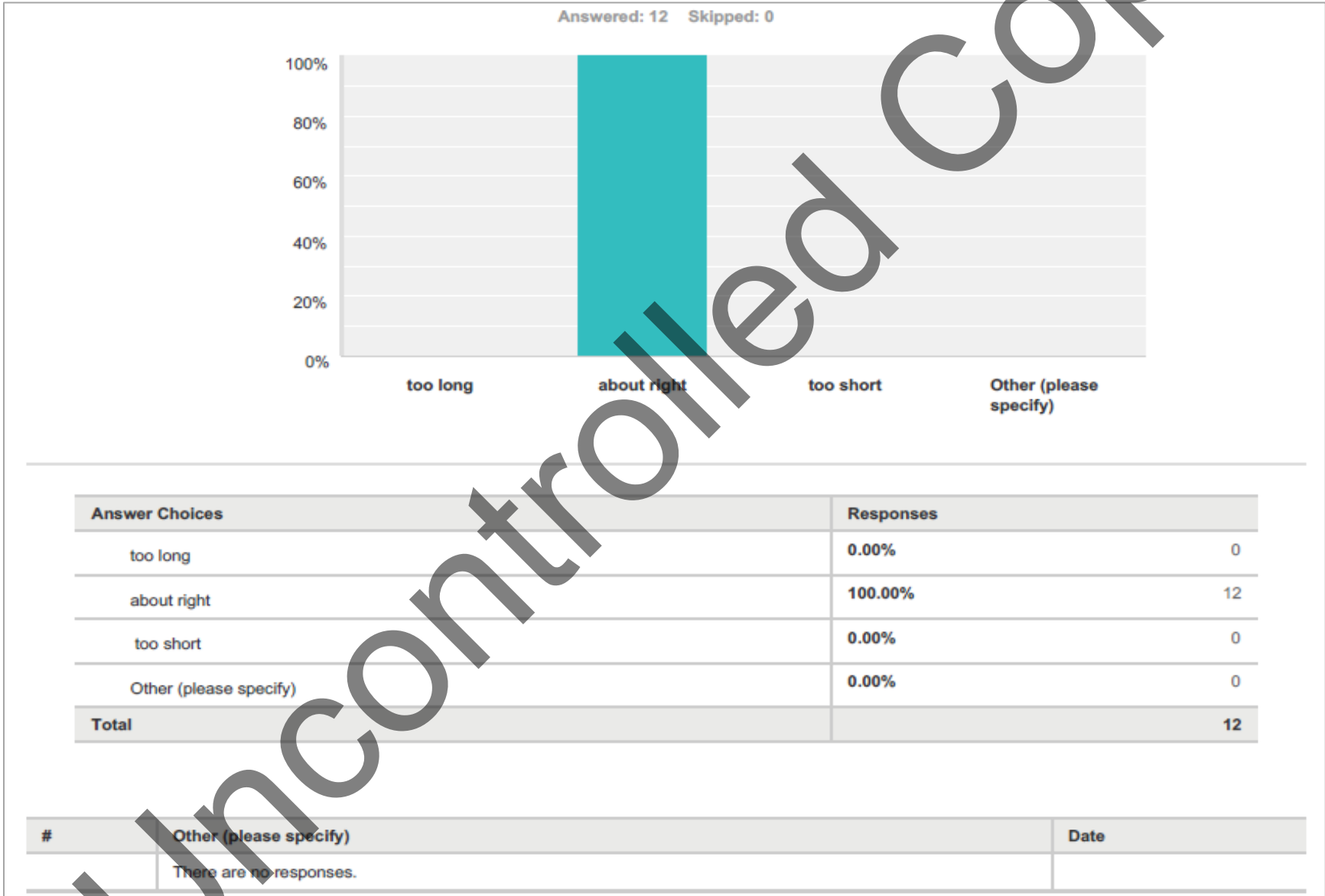


140	Completed Training
2	Undergoing training
34	Did not complete the training
139	Still awaiting training date
<b>315</b>	<b>Total</b>

Uncontrolled Copy

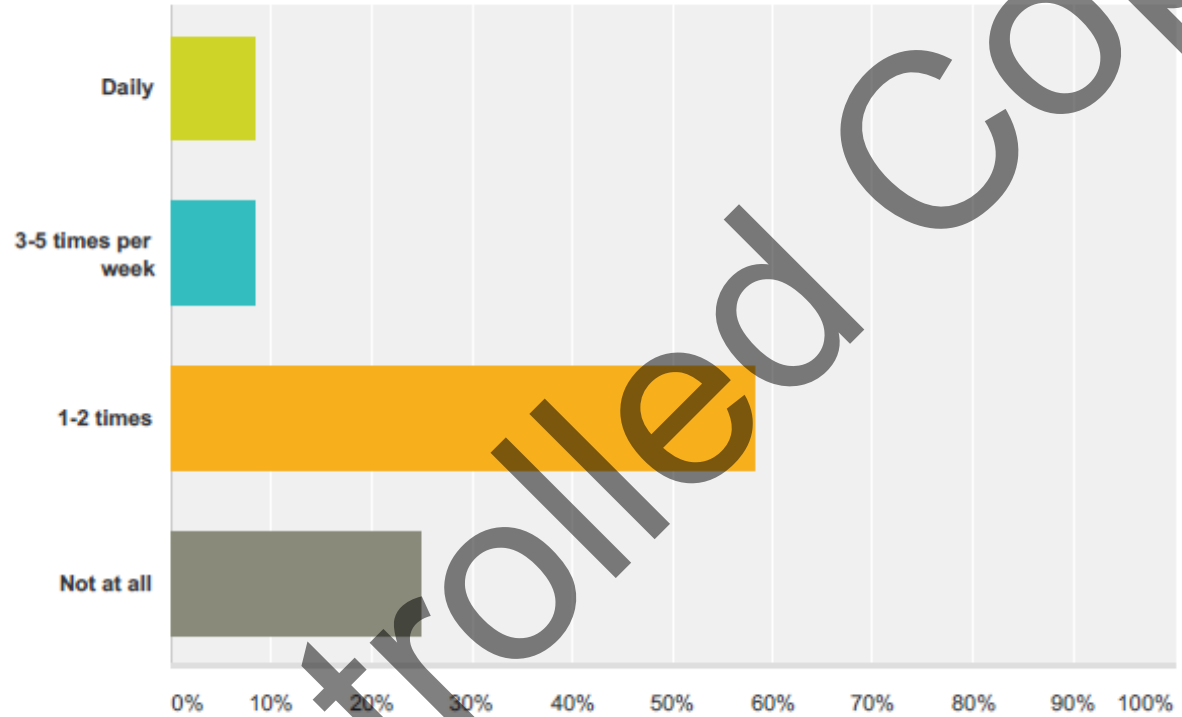
**Appendix 4 – Mindfulness Pilot Survey Results**

**Q1: Were the Mindfulness' lunch-time sessions...**



**Q2: How often did you manage to practice Mindfulness yourself between weekly sessions?**

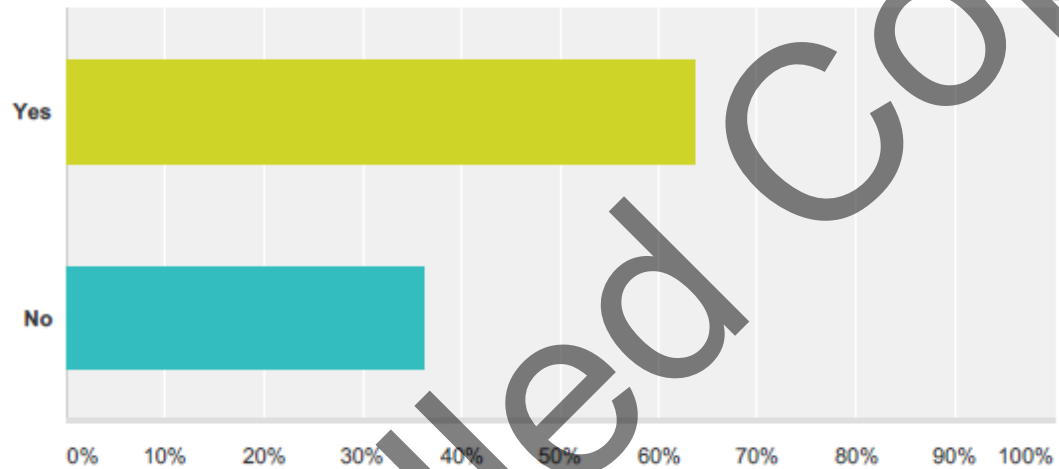
Answered: 12 Skipped: 0



Answer Choices	Responses
Daily	8.33% 1
3-5 times per week	8.33% 1
1-2 times	58.33% 7
Not at all	25.00% 3
<b>Total</b>	<b>12</b>

Q3: Did you listen to the audio tracks provided on Sound cloud? <http://soundcloud.com/dawn-24>

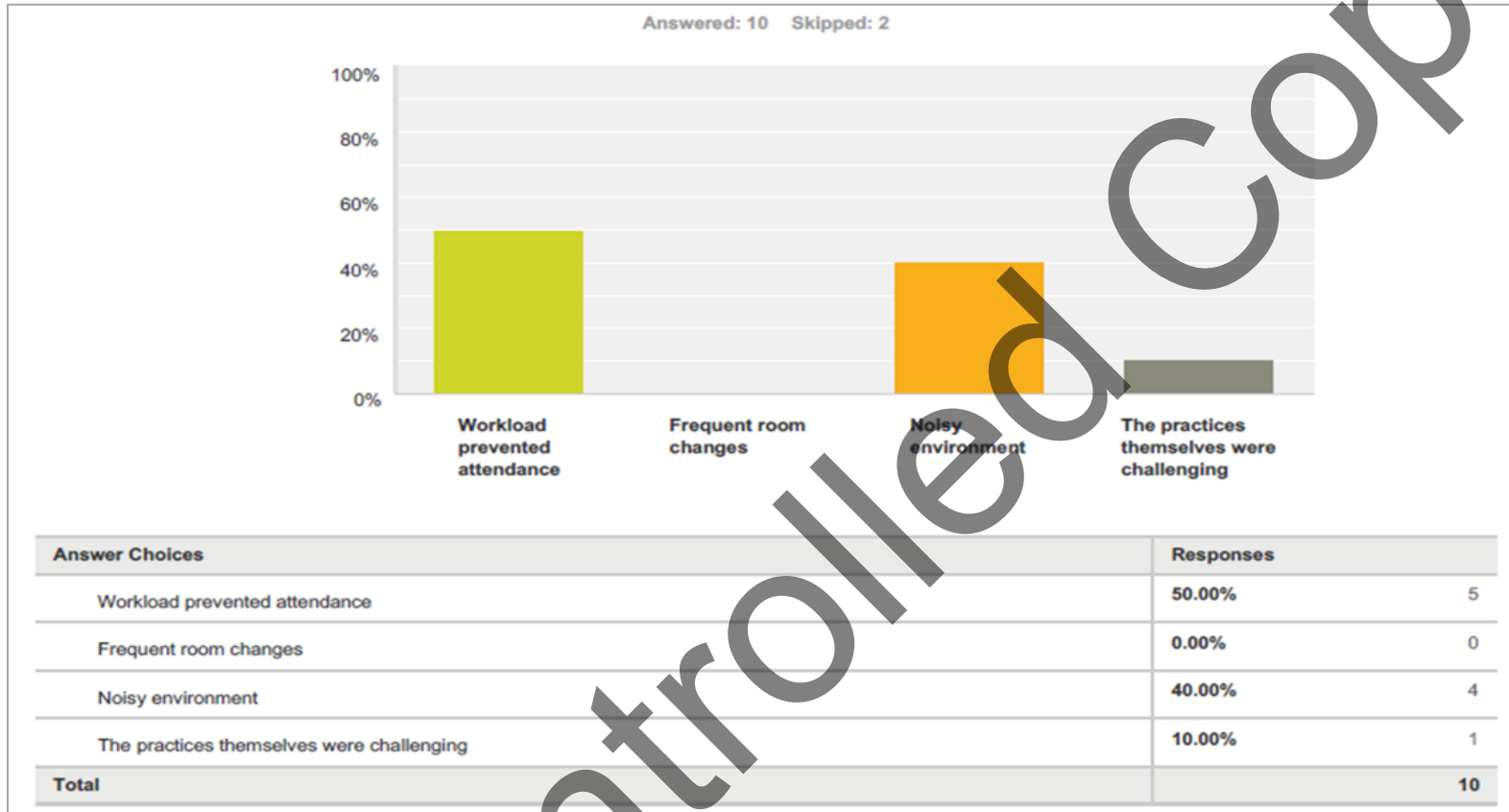
Answered: 11 Skipped: 1



Answer Choices	Responses
Yes	63.64% 7
No	36.36% 4
<b>Total</b>	<b>11</b>

#	If you did listen please provide any comments:	Date
1	They are a great resource, which I was able to re-visit and utilise.	1/27/2017 1:40 PM
2	Usually did the one minute body breath awareness and the 15 min body scan.	1/16/2017 2:35 PM
3	I found practicing with the group more beneficial and also when I was out running. Found difficult to find time to listed to the audio tracks.	1/16/2017 10:55 AM
4	I listened to a couple of the audio tracks and found them useful when practicing Mindfulness at home.	1/9/2017 12:52 PM

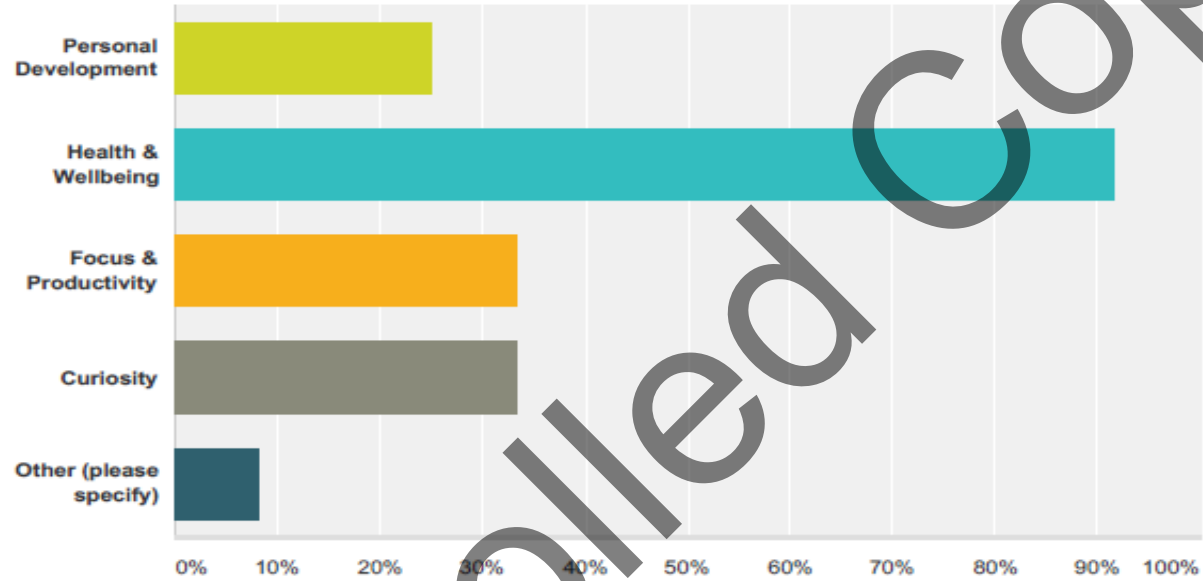
Q4: What did you find most challenging about the Mindfulness Sessions? Please select all that apply



#	Other (please specify)	Date
1	this was only on a few occasions and dependent on the practice, the noise was sometimes helpful for focusing.	1/27/2017 1:40 PM
2	no challenges	1/19/2017 10:04 AM
3	Sometimes found myself focusing on the noise outside the room.	1/16/2017 2:35 PM
4	I was really committed to attending the sessions but unfortunately diary and workload meant that some weeks this was difficult to balance. I also found room 6 to be quite noisy whereas the room in the Grange Building seemed much more peaceful and easier to stay focused.	1/16/2017 10:55 AM
5	Nothing	1/9/2017 12:52 PM
6	Made me fall asleep	1/9/2017 9:51 AM

**Q5: Reason for practicing Mindfulness: Please select all that apply**

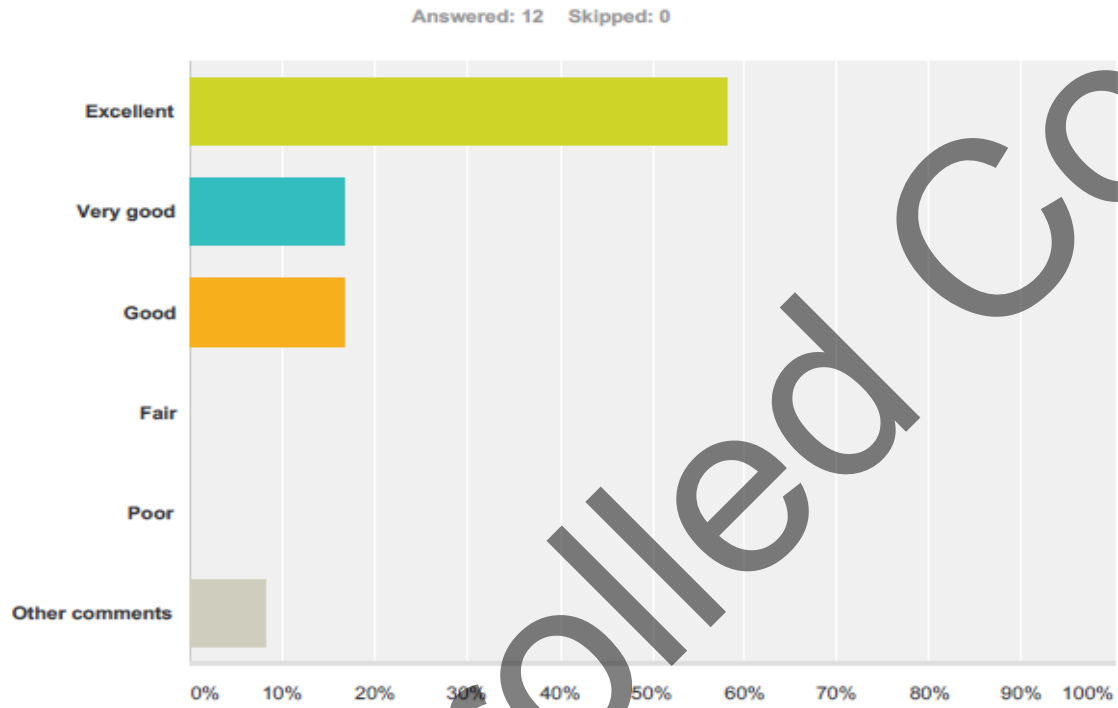
Answered: 12 Skipped: 0



Answer Choices	Responses
Personal Development	25.00% 3
Health & Wellbeing	91.67% 11
Focus & Productivity	33.33% 4
Curiosity	33.33% 4
Other (please specify)	8.33% 1
<b>Total Respondents: 12</b>	

#	Other (please specify)	Date
1	I had previously read some information on it and I also practice yoga so was interested in learning/using any other techniques that would support health and wellbeing.	1/16/2017 10:55 AM

**Q6: How helpful were the Mindfulness Sessions in meeting your reasons for practicing Mindfulness?**

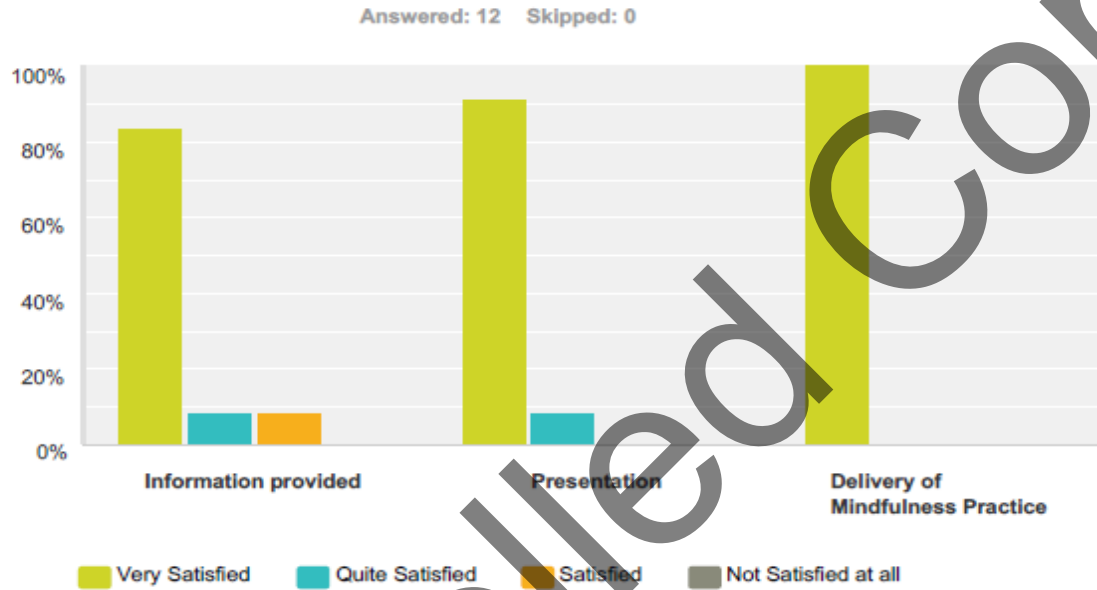


Answer Choices	Responses
Excellent	58.33% 7
Very good	16.67% 2
Good	16.67% 2
Fair	0.00% 0
Poor	0.00% 0
Other comments	8.33% 1
<b>Total</b>	<b>12</b>

#	Other comments	Date
1	The sessions were great and I look forward to attending more in the future.	1/27/2017 1:40 PM



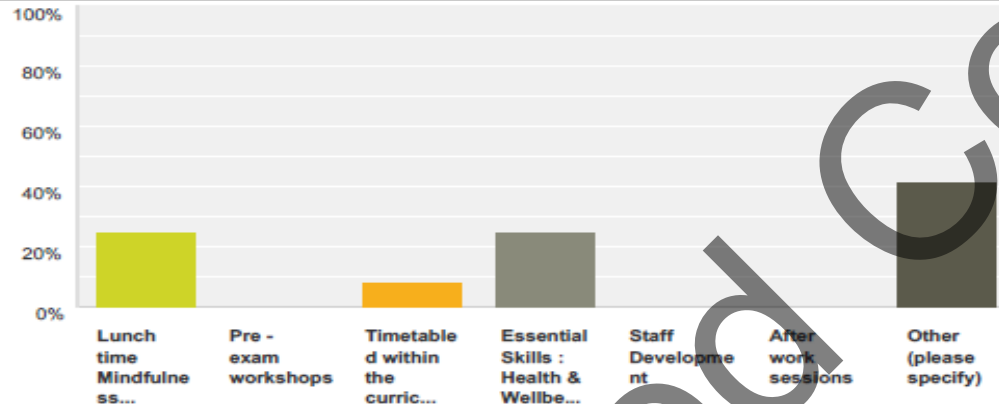
**Q7: Session Feedback: Please select from the following options;**



	Very Satisfied	Quite Satisfied	Satisfied	Not Satisfied at all	Total
Information provided	83.33% 10	8.33% 1	8.33% 1	0.00% 0	12
Presentation	91.67% 11	8.33% 1	0.00% 0	0.00% 0	12
Delivery of Mindfulness Practice	100.00% 12	0.00% 0	0.00% 0	0.00% 0	12

#	Any other comments:	Date
1	Jane's calm delivery of the sessions was extremely engaging.	1/27/2017 1:40 PM
2	Found the practice useful and would like to continue but this may mean dipping in and out due to diary commitments.	1/16/2017 10:55 AM
3	Jane's delivery was excellent. Her manner and voice lend themselves perfectly to the subject. I also feel she tried hard to tailor the taster programme to the needs of the participants.	1/11/2017 2:43 PM

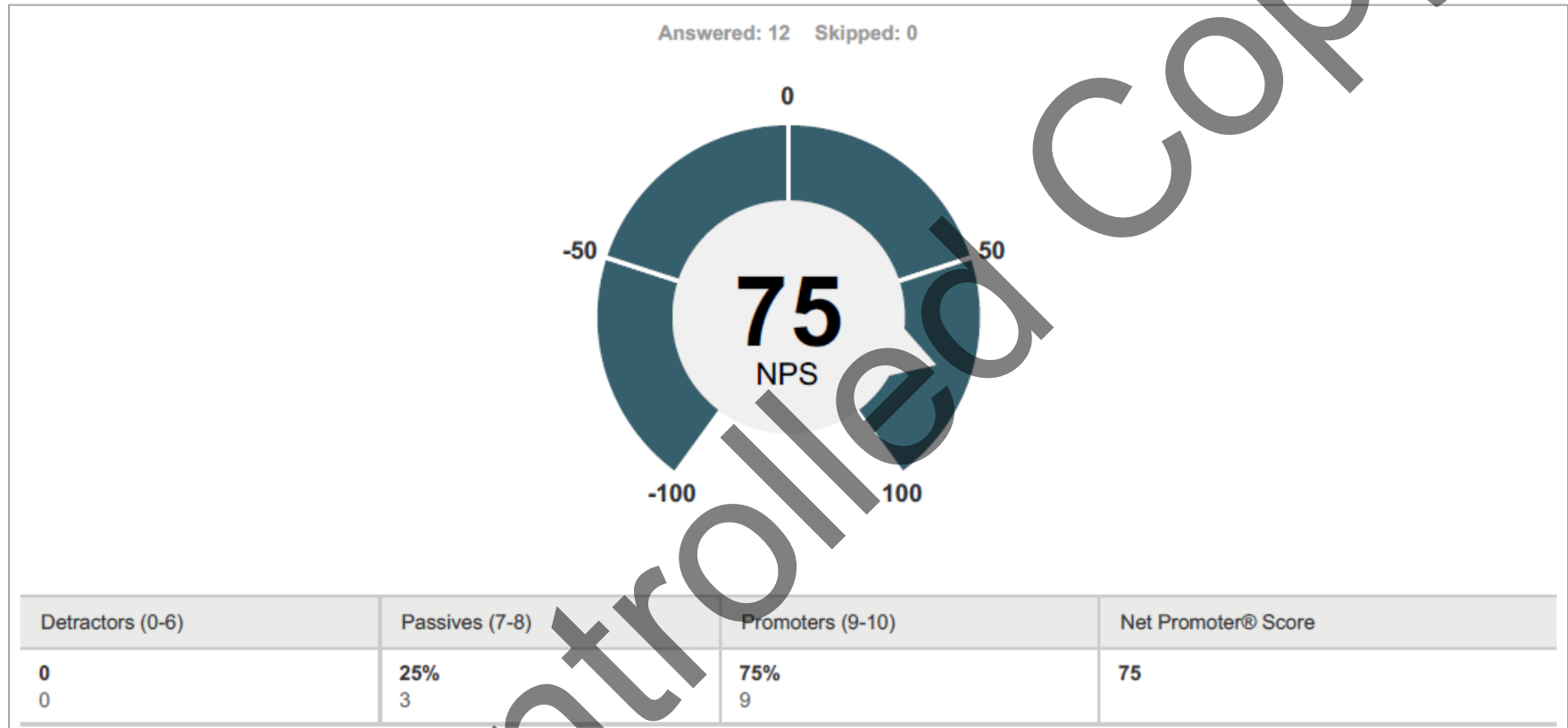
**Q8: How do you think the Mindfulness Project could be developed within the College setting to benefit both Staff and Students? Please select all that apply**



Answer Choices	Responses
Lunch time Mindfulness sessions	25.00% 3
Pre - exam workshops	0.00% 0
Timetabled within the curriculum	8.33% 1
Essential Skills : Health & Wellbeing Project	25.00% 3
Staff Development	0.00% 0
After work sessions	0.00% 0
Other (please specify)	41.67% 5
<b>Total</b>	<b>12</b>

#	Other (please specify)	Date
1	Lunch time Mindfulness sessions Pre-exam workshops Timetabled within the curriculum Essential Skills: health & wellbeing project Staff Development	1/27/2017 1:40 PM
2	Lunch time Mindfulness sessions Pre-exam workshops Essential Skills: Health & Wellbeing Project Question would not allow multiple selections	1/27/2017 1:26 PM
3	Lunch time Mindfulness sessions Staff Development would not allow me to select more than one	1/16/2017 2:35 PM
4	I think it would be useful for all of the above but I would not like to practice in a larger group. I would not feel comfortable doing this.	1/16/2017 10:55 AM
5	All of the above (other than "timetabled within the curriculum") would be of benefit to staff and students. It would only let me choose one, not multiple, hence this explanation.	1/11/2017 2:43 PM

Q9: How likely is it that you would recommend the Introduction to Mindfulness Techniques to student or a colleague?



**Q10: Can you comment on your experience of the Pilot? We may use your anonymised comments to advise other people about this Mindfulness Project. If you would not like your comments used could you please say.**

Answered: 9 Skipped: 3

#	Responses	Date
1	Using Mindfulness Techniques has allowed me to become more relaxed, less stressed and to prioritize my work load more effectively.	1/27/2017 1:40 PM
2	had an incident last year mindfulness come along at the right time for me as I was struggling in my home with nerves it helped me cope better in my home	1/19/2017 10:04 AM
3	Found it to be very worthwhile and interesting. Would definitely recommend to others.	1/16/2017 2:35 PM
4	Was anxious to start with but then found it useful and relaxed with the group. I felt very comfortable with Jane - she is an excellent practitioner to learn with.	1/16/2017 10:55 AM
5	I feel I have benefited enormously from these sessions. They have made me more mindful in general and I can see a difference in my work practices - not trying to multi-task all the time, focusing on finishing a task before starting the next one etc. Thank you!	1/11/2017 2:43 PM
6	Overall it has been a good valuable experience. It has given me a clear understanding of what Mindfulness is. I am now practicing my experience of here and now when I notice an absence of mind.	1/9/2017 4:18 PM
7	Overall it has been a good valuable experience. It has given me a clear understanding of what Mindfulness is. I am now practicing my experience of here and now when I notice an absence of mind.	1/9/2017 4:17 PM
8	I found the pilot to be a very good introduction to mindfulness and always felt more relaxed after attending	1/9/2017 12:52 PM
9	An excellent way to introduce mindfulness to staff and students, Jane is great!	1/9/2017 11:57 AM

## Appendix 5 – Association of Colleges on students with mental health conditions in FE, Summary Report June 2015



Association  
of Colleges

Promoting. Representing. Supporting.

### **Association of Colleges (AoC) survey on students with mental health conditions in Further Education**

**Summary report, June 2015**

The Association of Colleges (AoC) carried out an online survey in response to concerns about the increasing number of students with mental health difficulties in further education colleges. The purpose of the survey was to gain a clearer picture of the range of students with mental health conditions and how support for these students is funded and managed.

The findings from the survey informed the design of an AoC conference on Mental Health in Further Education and will help to provide an evidence base to share with staff at the Department for Education (DfE) and the Department of Health (DoH).

The survey was emailed to principals, special educational needs contacts and student support contacts in colleges in England on 3 June 2015, with a two week deadline. It was also sent to AoC regional directors to follow up with colleges in their region and included in AoC briefings. 127 providers responded, 123 were colleges in England - 37% of the total number of colleges in the sector.

Key findings:

#### **Students with mental health conditions**

- 66% of respondents said that the number of students with mental health difficulties had 'significantly increased' in the past three years with a further 20% saying they had 'slightly increased'.
- Moreover 75% felt that their college had 'significant numbers' of students who had undisclosed mental health difficulties.
- 75% felt that pressures of social media were having an impact on students' mental health. Other reasons given by colleges for the possible increase in the number of students with mental health conditions were 'Exam pressures' (60%) and 'Financial concerns' (61%).
- All respondents reported having students with depression, anxiety, and those were self-harming. 97% reported having students with psychosis.

#### **Funding**

- 43% had no full-time counsellor or mental health support worker and 55% had experienced cutbacks to the support they could offer over the past three years.

#### **Links with health authorities**

- 60% of respondents said they had a 'good' or 'very good' relationship with their local health authority



- 55% reported a 'good' or 'very good' relationship with Child and Adolescent Mental Health Services (CAMHS)
- 60% reported that their relationship with local adult mental health services were only 'fair' or 'not very good'/'non-existent'
- Only 26% had joint provision with local health services although evidence shows that this is one of the most effective ways of supporting people with mental health difficulties in education.
- Only 19% said that they were 'always' able to have 'timely referrals' of their students to primary and secondary services outside the college.

#### **College policies and staff**

- Only 35% of respondents reported having a mental health policy.
- The majority of colleges (69-75%) reported that only some front-line staff (e.g. reception staff/security staff/first aiders), teaching staff and other staff had been given mental health training.
- 93% reported having structures in place to support the mental health and well-being of their staff.

#### **Health and wellbeing sessions**

- It was apparent that, within their limited resources, colleges were very concerned about the mental health needs of their students; 52% were providing health and wellbeing sessions for all their students with a further 40% providing them for some students.
- 66% of respondents said they were aware of the 'Five Ways to Wellbeing' – a set of a set of evidence-based actions, developed from evidence gathered in the UK government's Foresight Project on Mental Capital and Wellbeing, to promote people's wellbeing. They are: Connect, Be Active, Take Notice, Keep Learning and Give.
- 88% reported that their wellbeing sessions included ways to deal with stress-related situations such as exams or financial difficulties and 86% said they included a focus on physical activity and healthy eating.

#### **Recommendations for colleges, funding and Government**

Examples of good practice given both in the survey and at a subsequent AoC conference on Mental Health in Further Education on 1 July 2015 revealed that good practice requires both a clear college wide strategy on mental health and also close collaboration between local Health Authorities and colleges. Highbury College in Portsmouth, Hackney College and The City of Liverpool College have all created joined up provision with their local Health Authorities whereby college and Health Authority funding is brought together in order to provide appropriate support for students. These colleges have also developed college wide strategies on mental health whereby



mental health difficulties are not seen simply as requiring support for individual students but instead college policies, procedures and curriculum delivery are adapted to be inclusive of students with mental health difficulties. Good practice requires a mental health strategy which has implications for colleges, funding and Government policy and procedures.

### **Colleges**

Individual colleges need to develop a mental health policy and to ensure that they adapt their procedures so that they work in ways which best support students with mental health difficulties. There needs to be a college wide approach whereby mental health is seen as everyone's responsibility and all staff (teaching and non-teaching) receive mental health training. Colleges should also seek to create workable links with local mental health teams (both CAMHS and adult mental health teams) and look to ways of creating jointly funded provision.

### **Funding**

Allocation of funding needs to acknowledge the large increase in numbers of students with mental health difficulties. Funding should be allocated in ways which recognise that resources need to be available not just for individual support but also to allow for wider changes across the college.

### **Government**

It is important that there is clarity as to which section of the DfE is responsible for overseeing support for people with mental health difficulties in further education colleges. Colleges have duties under the Equalities Act to provide 'reasonable adjustments' for students with mental health difficulties and also have a duty to use their 'best endeavours' to provide an inclusive offer for all students with learning difficulties and disabilities under the Children and Families Act. The DfE Children and Young People's Mental Health Department has responsibility for young people with mental health difficulties, but reports and documents put out by this department have until now been solely focused on schools despite the fact that many more 16-18 year olds are studying in colleges. It is essential that there is clarity as to which section of the DfE is responsible for these students in college and that any resources available to schools should also be accessible by further education colleges.

The DfE needs to put forward a clear vision and strategy with measurable outcomes which recognise and facilitate the importance of structural links between colleges and local health authorities.



## 1. Purpose

To seek approval from members to amend the original covenants included within the Term Loan Agreement with Barclays Bank and to authorise Alison Stewart, Board Secretary to sign the attached Amendment Agreement on behalf of the Board of Management.

## 2. Recommendation

That members

- approve the amendments to the covenant
- authorise Alison Stewart to execute the Amendment Agreement
- authorise Alison Stewart to sign and despatch all documents in connection with the Amendment Agreement.

## 3. Background

In September 2010, the college entered into a Term Loan Facility Agreement with Barclays Bank as part of the funding arrangements for the new Stirling Campus. Within the agreement, there are two main financial covenants in addition to a general requirement to comply with the SFC Financial Memorandum:

- *available cash flow must be greater than 100% of debt service, i.e. the College can afford to meet the capital and interest payments in each year.*
- *Ratio of borrowings to "Adjusted Operating Surplus" must not exceed 7:1 (2012), 6.2:1 (2013), 4.5:1 (thereafter). "Adjusted Operating Surplus" means total income less total expenditure, plus depreciation, amortisation, interest payable and if not already deducted any additional non-cash paid FRS17 adjustments. This not equivalent to Operating Cash Surplus (as deferred grants are non-cash but remain included in income) but has been requested by the Bank.*

In March 2014, the College was reclassified as an arm's length public body. Following the reclassification, in order to meet Scottish Government's Resource Accounting requirements, Colleges were directed by Scottish Funding Council that the cash surpluses that ordinarily covered depreciation costs had to be spent in year.

Furthermore, in 2015/16 the College had to implement FRS 102, which has significant impact on the presentation of "Operating Surplus" within the College's accounts.

As a result of both these changes, the original covenants were no longer fit for purpose and required to be renegotiated with the Bank.

## 4. Revised Covenant

The College originally sought SFC support to provide a guarantee to the Bank which would allow the removal of the covenant altogether, however SFC were unwilling to do this.

---



The College has therefore agreed with the Barclays Bank a new covenant that provides the Bank with the required assurance that on an ongoing basis the College will be able to meet the capital repayments as they fall due.

As part of the College's Annual Resource Return, SFC require the College to deliver a Resource underspend equivalent to the loan repayments for that year. In effect, SFC require the College to set aside the cash for the loan repayments, as the repayments do not count against our Resource Budget expenditure.

The attached Amendment Agreement provides full details the revised covenant, which in summary is:

*"The Borrower shall ensure that the Reported Underspend for each Relevant Period is equal to or greater than the aggregate amount of the Loan Repayments for such Relevant Period."*

**5. Financial Implications**

Should the college fail to meet the covenant the Bank has the right to take appropriate action, which could include requesting the repayment of the loan.

**6. Equalities – N/a**

**7. Risk**

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

	Likelihood	Impact
Very High		
High		x
Medium		
Low		
Very Low	x	

Please describe any risks associated with this paper and associated mitigating actions – Should the College fail to meet the covenant the Bank has the right to request the loan to be repaid.

Risk Owner – Alison Stewart

Action Owner – Alison Stewart

**8. Other Implications – None**

Paper Author – Alison Stewart

SMT Owner – Alison Stewart

1. Purpose

To inform members on recent activity of FVSA.

2. Recommendation

That members note and comment on the operational plan and Student Association update.

3. Key Highlights

**By Elections**

The above elections took place in February and the following positions have now been filled within FVSA for 17-18:

- Mature Student Officer
- LGBT+ Student Officer
- Executive Officer (x2)
- Disabled Student Officer

**Student Partnership Agreement**

FVSA have built the review of the Student Partnership Agreement into our planning process for the year, we will conduct a self-evaluation against the NUS development framework, a SWOT analysis and strategic planning workshops with students as well as a discussion with SMT members around our Student Partnership agreement. This will all take place over the next few months and our completed strategic plan and SPA will come to the board in June, with our operational plan and the officers' plan of work following after the summer.

**FVSA Funding**

FVSA are currently working with SMT on preparing a paper to go to the Foundation. This will go to both College SMT and the Board in March, in the hope that it will be endorsed by both, ahead of being submitted to the foundation in April.

4. Financial Implications

**Please detail the financial implications of this item** – The SA has an operational budget and all activities are planned within this budget.

5. Equalities

Assessment in Place? – Yes  No

**If No, please explain why** – Some of the planned activities will require impact assessment, however this will be done on an individual basis.

**Please summarise any positive/negative impacts (noting mitigating actions) –N/A**

---

**6. Risk**

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

	Likelihood	Impact
Very High		
High		
Medium		
Low	x	x
Very Low		

Please describe any risks associated with this paper and associated mitigating actions –N/A

**Risk Owner** - Alan Buchan

**Action Owner** - Alan Buchan

**7. Other Implications**

Please indicate whether there are implications for the areas below.

**Communications** – Yes  No

**Health and Safety** – Yes  No

**Paper Author** – Alan Buchan

**SMT Owner** – Andrew Lawson



**Forth Valley Student Association**

**Plan**

***Academic Year 2017/18***

**Operational**



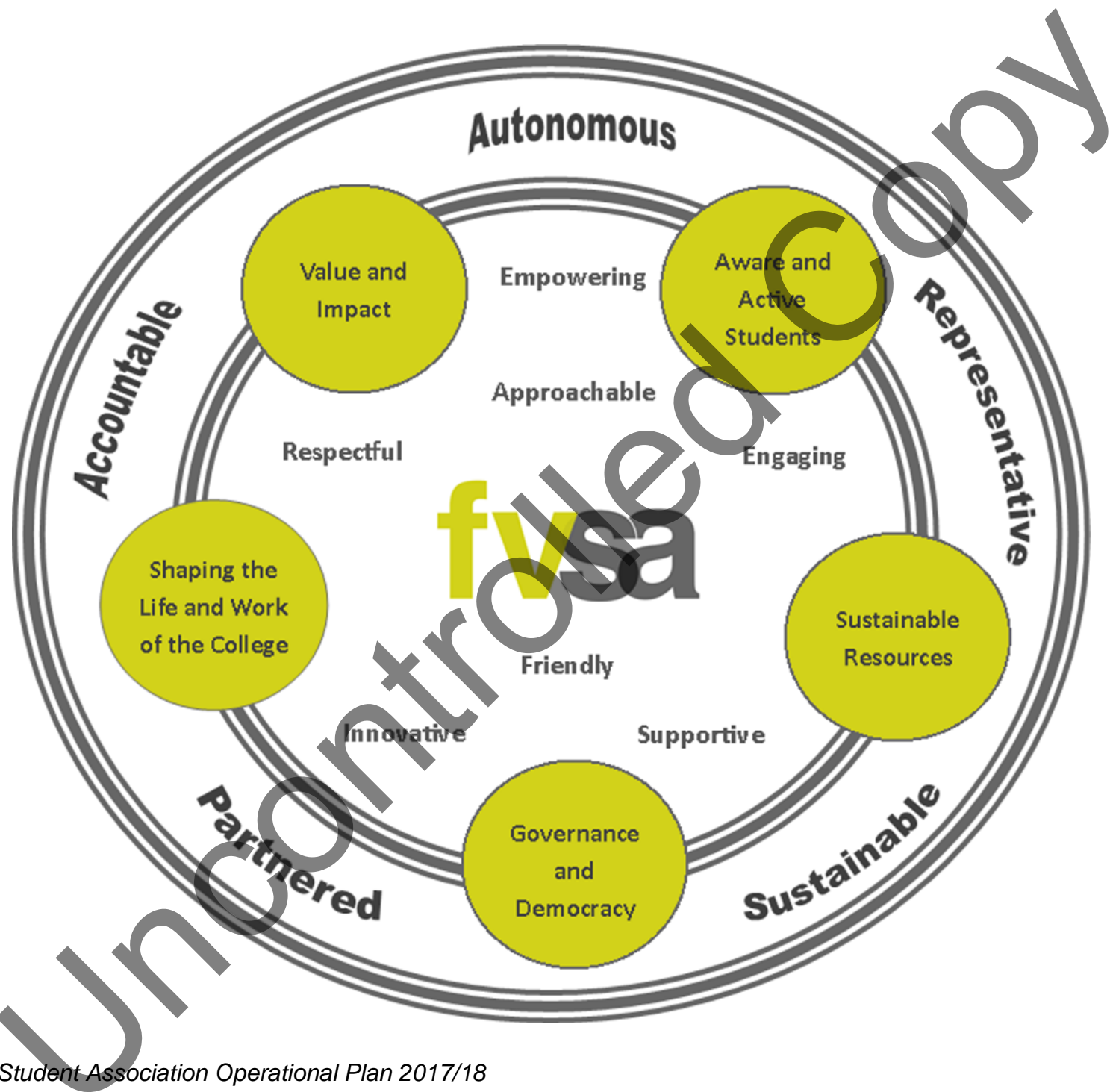
Last updated on: 16/03/18

Uncontrolled Copy

## **Contents**

Our Values .....	2
Operational Plan .....	3
Aware and Active Students .....	4
Value and Impact .....	5
Shaping the life and work of the College .....	6
Sustainable Resources .....	7
Governance and Democracy.....	8
Calendar of Events.....	9

Uncontrolled Copy



## **Our Values**

FVSA will always strive to maintain its core values and ensure that these values are represented in any of its actions.

### **Empowering**

FVSA will always endeavour to give students the information required to make decisions on issues affecting student life and ensure that these opinions are taken into account.

### **Engaging**

FVSA will maximise the number of opportunities for students to give feedback, both to the SA and to the College.

### **Approachable**

FVSA will maintain an active presence on every campus and visibly identify themselves to students as often as possible.

### **Respectful**

FVSA will respect the views of our students and will act on behalf of our students where possible.

### **Friendly**

FVSA will always endeavour to have positive communications and good relationships with students and staff within the College.

### **Innovative**

FVSA will maintain a forward thinking approach and work with the College in delivering new initiatives which benefit our students.

### **Supportive**

FVSA will fully support our students when required and if necessary will refer them to support providers when we are unable to assist.



## Operational Plan

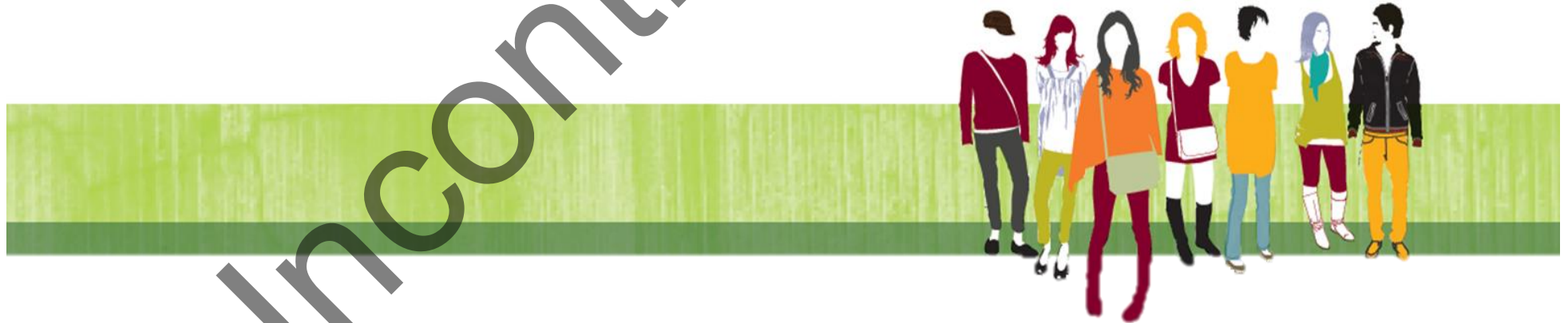
Forth Valley Student Association has developed an operational plan for the academic year 2017/18 which aims to maximise effectiveness for students. The plan has factored in a number of key goals, which were identified via student feedback, elected officer manifestos and tying in with the operational and strategic plans of Forth Valley College.

The Student Association aims to provide our students and partners such as the College with a clear identification of our priorities for the year ahead, and will allow the opportunity for our achievements to be measured.

The operational plan will tie into a two year strategic plan, which will set out a vision for the future of the Student Association within Forth Valley College. All plans will retain the core values of the Student Association and will reflect the voice of our students.

The Operational Plan will focus on five key themes which are set out in our Strategic Plan;

- Aware and active students
- Value and impact
- Shaping the life and work of the College
- Sustainable resources
- Governance and democracy



## Aware and Active Students

Objective	Assigned to	Start date	Due Date	Status	Update/Evidence
Develop student led clubs & Societies in order to develop a sense of community across the college and tackle social isolation.	AVC	19/9/17	30/6/18	Complete	A number of enquiries have been made by students, including jujitsu and Futsal/Football.
Review the current Class Rep system to improve training materials and resources for class reps to improve skills and increase engagement. .	President/SLO	1/7/17	30/4/18	In Progress	Updated training materials are now in place, over 170 of the 174 responses providing positive feedback.
Develop a Department Rep system in order to develop future student leaders and bridge the skills/knowledge gap between class reps and elected Sabbatical Officers.	President/SLO	1/7/17	30/6/18	Issue Identified	Development of pilot in progress, FVSA will work with two Curriculum Managers to develop the role and implement a trial within Creative Industries and Tourism in Block 2. <b>This is now been postponed until next year due to capacity issues.</b>
Develop a Communications and Engagement Plan, in order to monitor and improve how FVSA communicates and engages with students.	All Team	1/7/17	18/7/17	Complete	Formal Communication/Engagement Plan in Place, reviewed at the end of session 17/18 which will form a communication and engagement strategy.

## Value and Impact

Objective	Assigned To	Start date	Due Date	Status	Update/Evidence
Developing support for students through implementing liberation groups.	AVC/ Liberation Officers	1/8/17	30/6/18	In Progress	AVC developing networks internally and with local community organisations, as well as promoting liberation groups to students.
Collaborate with Student Services in order to engage student's pre entry, promote FVSA and identify the needs of incoming students.	President	1/10/17	30/6/18	In Progress	Plans in place for the year ahead, develop pre entry information and attend pre entry events in Summer 2018.  <b>Materials prepared, working to identify pre entry engagement opportunities</b>
To work with both students and the College to develop the FVSA Strategic Plan (July 2018 – June 2020), in order to ensure students are driving the work of FVSA, and that the College are able to support the development of FVSA throughout the plan.	All team	1/1/18	30/6/18	In progress	<ul style="list-style-type: none"> <li>• Hold focus Groups with students/advisory group/SMT</li> <li>• Develop plans in line with College strategic direction. Pass completed plan onto incoming officer team to publish.</li> </ul>
Update Student Contact Database to be able to better track student enquiries to increase contact with students to help them shape the work of FVSA.	Admin Assistant	1/7/17	18/8/17	Complete	<ul style="list-style-type: none"> <li>• Update database</li> <li>• review functionality</li> <li>• train FVSA team on use</li> </ul>

## Shaping the life and work of the College

Objective	Assigned To	Start date	Due Date	Status	Update/Evidence
To increase support and awareness for young carers/carers throughout Forth Valley College by organising a student carers campaign.	VP	1/7/17	30/6/18	In Progress	<ul style="list-style-type: none"> <li>Effective policy in place</li> <li>Carers Charter</li> <li>Carers Pass</li> <li>'C' on registers denoting student Carers</li> <li>Carers identified during induction/registration</li> <li>Student Carers Report produced to evidence support requirements.</li> </ul>
Develop a Mental Health Agreement between FVSA and FVC in order to improve support for students experiencing mental ill health.	VP	1/7/17	<del>19/1/18</del> 30/6/18	In Progress	<ul style="list-style-type: none"> <li>Mental health partnership agreement</li> <li>Report produced on work carried out over the academic term 2017/18 and student feedback gathered through SMHFA training/events.</li> <li><b>Update, 12<sup>th</sup> Feb 2018</b> - Timeline for this was updated. Work on mental health will form a strand of the new Partnership Agreement.</li> </ul>
To work with the College and students who require earlier access to timetables to plan improvements to the current process.	President	1/8/17	30/6/18	Complete	Set out plans for improvement, and review success through student/staff feedback.
To improve the sustainability of the Healthy Body Healthy Mind Committee in order to secure a long term commitment between the College and FVSA.	VP	5/9/17	17/4/18	Issue Identified	<ul style="list-style-type: none"> <li>Strategic Plan in place</li> <li>Chair in place for session 18/19</li> </ul>

## Sustainable Resources

Objective	Assigned To	Start date	Due Date	Status	Update/Evidence
Secure appropriate funding for FVSA before current funding runs out in order to promote sustainability of FVSA and allow for development.	President/SLO	01/8/17	<del>30/4/18</del> 30/4/18	In Progress	Gather evidence in support of funding ahead of submitting a funding proposal to FVC Foundation. <b>Paper will come to March board meeting and to Foundation in April.</b>
To start a clubs/societies/sports fund, in order to develop a sustainable base for clubs to grow in line with the demands of students.	AVC/SLO	1/8/17	30/6/18	Complete	Set up fund/process for allocation of funds to clubs/socs/teams. Identify ways to develop sustainable income to the fund. <b>Fund now in place, developing fundraising methods to sustain fund.</b>
Develop a multi-year plan to reduce carbon footprint of FVSA in order to promote environmental responsibility.	SLO	1/8/17	30/6/18	In Progress	Set targets to reduce travel/printing and monitor success in line with FVSA strategic plan.



## Governance and Democracy

Objective	Assigned To	Start date	Due Date	Status	Update/Evidence
Pilot a new class rep training program which extends throughout the year via online training in order to improve the development of class reps and maintain engagement.	SLO	01/7/17	1/4/18	In Progress	Measure success via participation levels and feedback on the training materials/content.
Implement elections for executive/liberation roles in order to improve democratic representation within FVSA.	SLO	1/7/17	22/12/17	Complete	Executive committee roles filled and elected officers engaging with FVSA decision making processes.
Develop training for students on submitting motions at student council in order to improve the ability of students to shape the work of FVSA.	AVC	1/8/17	1/10/17	Complete	SA uploaded materials for further training for students. This will improve accessibility and engagement.
Review all SA materials and promote accountability of Officers to students in order to ensure students are able to influence the work of FVSA and hold elected officers to account.	SLO/President	1/7/17	30/11/17	Complete	Materials in place and students supported in holding elected officers to account through class rep training information.
To set up an advisory group in order to provide strategic direction and support to the Students' Association and ensure that it is able to develop effectively in line with the <i>Framework for the Development of Strong &amp; Effective College Students' Associations in Scotland</i> .	President	1/7/17	29/9/17	Complete	Group membership filled and meetings held, input to FVSA Strategic Plan.

## Calendar of Events

### Block 1 (August - December 2017)

Event	Date	Campus
Fresher's Fayre	19 <sup>th</sup> September 2017	Falkirk
	20 <sup>th</sup> September 2017	Stirling
	21 <sup>st</sup> September 2017	Alloa
Class Rep Training	17 <sup>th</sup> , 18 <sup>th</sup> & 19 <sup>th</sup> October 2017	Falkirk
	24 <sup>th</sup> & 25 <sup>th</sup> October 2017	Stirling
	26 <sup>th</sup> & 27 <sup>th</sup> October 2017	Alloa
Executive/Liberation Elections	October/November	All
1 <sup>st</sup> Student Council Meeting	20 <sup>th</sup> November 2017	Alloa
	22 <sup>nd</sup> November 2017	Stirling
	24 <sup>th</sup> November 2017	Falkirk
16 Days of Action	25 <sup>th</sup> November 2017 - 10 <sup>th</sup> December 2017	All

**Block 2** (January - June 2018)

<b>Event</b>	<b>Date</b>	<b>Campus</b>
Re-Fresher's Fayre (Including HBHM Event)	6 <sup>th</sup> February 2018	Stirling
	7 <sup>th</sup> February 2018	Alloa
	8 <sup>th</sup> February 2018	Falkirk
Class Rep Training	20 <sup>th</sup> February 2018	Falkirk
No Smoking Day	14 <sup>th</sup> March 2018	All
Student Association Elections	March/April 2018	All
2 <sup>nd</sup> Student Council Meeting	18 <sup>th</sup> April 2018	Alloa
	19 <sup>th</sup> April 2018	Falkirk
	20 <sup>th</sup> April 2018	Stirling





**Forth Valley Student Association**

# **FVSA Activity Report**

## ***December 17-February 18***

**Last updated:** 16 March 2018

## Contents

<b>Key Highlights</b> .....	<b>1</b>
Social Media .....	1
Facebook .....	1
Twitter .....	1
By Elections .....	1
Funding .....	1
FVSA Planning .....	1
Strategic Planning .....	2
Framework Self Evaluation .....	2
Student Partnership Agreement .....	2
SMHFA Training .....	2
<b>Campaigns</b> .....	<b>3</b>
Christmas Gift Appeal .....	3
#BudgetForBetter Campaign .....	3
Student Transport .....	3
#fvsafe .....	4
Carers Can .....	4
<b>Student Opportunities</b> .....	<b>5</b>
Choices for Life Workshops .....	5
The power of Communities Workshops .....	5
<b>Events</b> .....	<b>6</b>
ReFreshers Week .....	6
Step Count Challenge .....	6
ReUnion: Canal clean up day .....	6
Breaking Down Barriers: Disability, Visibility, Accessibility Event .....	7
<b>Meetings</b> .....	<b>8</b>
November .....	8
December .....	8
January .....	8
<b>Appendices</b> .....	<b>10</b>

## Key Highlights

### Social Media

#### Facebook

[www.facebook.com/forthvalleySA](http://www.facebook.com/forthvalleySA)

#FVSA17, #FVSA18, #FVSAwelcome

#### Twitter

@forthvalleySA

#FVSA17, #FVSA18, #FVSAwelcome

### By Elections

At the time of writing there are candidates for the following positions within FVSA;

- 2x LGBT+ candidates(1 available)
- 1x Womens officer candidate
- 1x Mature students officer candidate
- 2x Executive officer candidates(3 Available)

If the above positions are all filled there will be 8 out of 10 possible voluntary positions filled.

### Funding

FVSA are currently working on the funding application which will go to the foundation. This is being supported by SMT, and on discussion with Alison Stewart the paper will come to the March board. FVSA hopes to gain the endorsement of both the board and SMT.

### FVSA Planning

FVSA have been carrying out a robust self evaluation and planning process, in order to promote sustainable growth within the SA and to provide a strong roadmap for staff and officers to build on in future. The planning process takes into account a number of key processes and approval stages, alongside key documents which FVSA work with.

## Strategic Planning

The Strategic Planning process will include a team self evaluation, SWOT analysis, Student workshops and we plan to hold discussions with members of the College, including College Senior Management and Board Members.

## Framework Self Evaluation

The FVSA team held our annual Framework Self Evaluation discussion on 26/1/18. During the meeting the actions from last year were reviewed, and new actions were decided based on our activity and where improvements were needed. During this session FVSA also carried out a SWOT analysis and discussed the future vision for the association, and what we do for students just now.

## Student Partnership Agreement

FVSA will be using the Strategic plan to influence our Student Partnership Agreement, guidance from sparqs and NUS states that the agreement should be a working document, based on shared projects. FVSA will use our strategic plans, alongside the College Strategic Plan to identify partnership projects which will form our partnership agreement. FVSA have been conducting research and have identified other partnership agreements which follow this practice. The current plan is to have the partnership agreement drafted and approved by our advisory group in May, and will then come to the Board in June.

## SMHFA Training

For session 17/18 **54** students have currently been trained, with a further **32** waiting to be trained. This will take the total number of students trained since the beginning of session 2016/17 to **226** if completed.

A small number of students have failed to complete the full training and so cannot be counted towards the final numbers as their sessions have lapsed and would need to be retrained.

## Campaigns

### Christmas Gift Appeal

FVSA visited Signpost Recovery in their Alloa office on 12<sup>th</sup> of December to drop off our gift appeal of toys and food for people and families of those recovering from addiction. During our appeal FVSA spent time raising awareness of the charity and asking for donations.

<https://www.forthvalley.ac.uk/news-events/student-association-spreads-christmas-cheer/>

### #BudgetForBetter Campaign

FVSA have been collaborating with NUS Scotland to contribute to the national #BudgetForBetter campaign. The campaign aims to push the government to meet the recommendations set out in the 2017 Student Support Review. The three main asks of the campaign are

- A higher repayment threshold for graduates to start repaying student loans. It is currently £17,775 in Scotland but £25,00 in England and Wales.
- Better investment in bursary support, to reduce the levels of debt students have to take on while studying
- Ring-fenced funding for mental health support in Colleges and universities, to make sure all colleges and universities have support in place for students experiencing poor mental health.

FVSA held tables across each campus and spoke to students about the campaign. We gathered 444 signatures for a petition which NUS have taken to the Scottish Government.

### Student Transport

FVSA have just conducted a survey on Student travel to and from the College, this will inform the work of FVSA on supporting students, particularly around the issues with bus travel. Students were keen to talk to FVSA about their experiences and in particular their difficulties in travelling between the three Council areas in Forth Valley.

## #fvsafe

FVSA ran a Safety Campaign across the College this winter. There was a range of information to help our students look after themselves in the run up to and during the Winter break, and focused on tackling the January blues in the last few weeks of block one and up to ReFreshers.

The campaign covered fire safety, alcohol & drug safety, smoking cessation, self-care, stress management, managing finances, physical fitness, tackling hate crime and preventing and responding to violence against women.

The campaign linked with the national 16 Days of Action campaign for preventing violence against women, the #notafavour campaign by Ash Scotland and with Police Scotland around the Choices for Life campaign.

For more information please check out the #FVSAFE on Facebook and Twitter.

## Carers Can

FVSA will launch a carers charter on 21/2/18 in partnership with the College. A student carers group is also now in place, supported by the Vice President. The group meets on each campus and will contribute to the work FVSA are doing to support student carers as well as offering social activities and an opportunity to share support and advice between members.

The carers support group and the VP have also worked on raising awareness of what a young carer is through the use of social media and putting up posters across campus on Young Carers Day.



## Student Opportunities

### Choices for Life Workshops

The VP has been working in partnership with Police Scotland, the army and Young Scot to develop a 'Choices for Life' workshop programme for FVC students. The workshops are aimed at providing preventative messaging about the harms and risks of substance misuse and highlighting positive life choices to young people. This was identified as a need based on recommendations set out in the FVSA stress report (published last year) where students identified that they would like to further develop their basic life skills.

The program will include social media and online information, alongside a number of events over a 5 week period. There will be practical advice provided in the form of hands on first aid training so that the young people can assist their peers should they fall into a state of collapse through alcohol or drugs. The target audience will be under 18s who currently attend Forth Valley College. This programme commences on the week beginning the 19<sup>th</sup> of February.

### The power of Communities Workshops

These workshops are a follow up from the peer support training last year which focused on identifying positive skills amongst the student population and how bring together these skills to make positive change within the community.

The programme of workshops will commence on the week beginning the 5<sup>th</sup> of March and will be delivered by Scottish Families Affected by Alcohol and Drugs. Participants will look at building a sense of community within our student population and identifying personal skills and gifts that they can use together to influence change.

The Workshops include topics such as :

- community initiative
- types of community
- what do we really know about our community and connections?
- ALEC – how/why and what - focus on what is strong & community building
- What do we mean by assets – people, institutions, organisation, associations open spaces
- Everyone has a gift – skills, experience, knowledge, talents
- Sharing our gifts
- Creating a plan for change

## Events

### ReFreshers Week

This year, ReFreshers was themed around celebrating the local community in each campus. There were a range of exhibitors who were offering opportunities to students within the community. FVSA promoted clubs and societies, voluntary elected roles and fundraising for signpost recovery and FVSA Clubs & Societies as well as continuing our budget for better campaign.



During the events FVSA conducted a quiz on the College and a student travel survey to help shape our future work. We received 186 quiz responses and 106 responses to our travel survey.

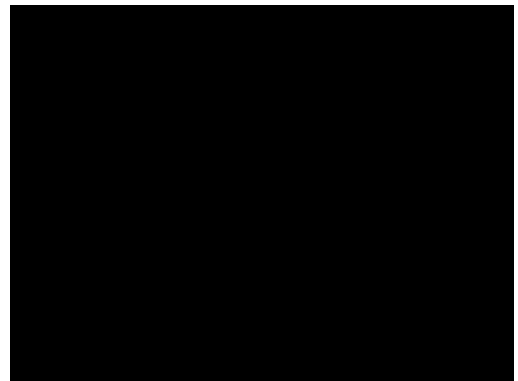
### Step Count Challenge



FVSA, along with groups of students and staff members took part in a 2 week step count challenge, arranged by our Activities & Volunteer Coordinator. The challenge aimed to promote walking as a form of exercise and to get students and staff to think about how active they are on a daily basis. The challenge was a great success, with FVC Library staff taking the prize, and a student team winning most improved. The combined steps over 5 teams was equivalent to 6 trips along the West Highland Way, with an average of 32 miles per person.

### ReUnion: Canal clean up day

On 14/2/18 the FVSA team attended a canal cleanup day organized in partnership with ReUnion Canal Boats, who operate out of Lock 16 on the Union Canal. The event was promoted to students throughout the ReFreshers events in the hope that students would take part in community work and sign up to the volunteering opportunities available through ReUnion. This is part of an effort by FVSA to reach out to local communities and encourage FVC students to do the same.





## Breaking Down Barriers: Disability, Visibility, Accessibility Event

Elena Semple, Activities & Volunteer Coordinator attended this event, hosted by Equalities and Rights Network. Elena made contact with a number of organisations which support people with disabilities, including Euan's Guide, an organisation which provide disabled access reviews of public places by disabled people and their families.

Uncontrolled Copy

## Meetings

### November

**22/11/17** Student Council Meeting Stirling-All team

**23/11/17** College Development Network awards – Vice President

**24/11/17** Student Council Meeting Falkirk- All team

**28/11/17** sparqs College Advisory Group- President

**28/11/17** NUS/sparqs Oversight and Direction group-The Student President is attending this group which has the responsibility of discussing the project to develop College Students Associations.

### December

**6/12/17** FVSA Advisory Group Meeting

**8/12/17** FVSA Advisory Group Meeting

**13/12/17** Visit from Luke Humberstone NUS Scotland President regarding #BudgetForBetter campaign and discussion on the work of NUS Scotland for this year.

### January

**9/1/18** Meeting Matt Woodthorpe and Jamie Grant from Stirling University Union-President and Student Liaison Officer

**10/9/18** Meeting with John Holleran from Scottish Families Affected by Alcohol and Drugs – Vice President and SLO

**12/1/18** Meeting with Katy Gowing, NUS Scotland regarding HBHM-All team

**12/1/18** Meeting with Lesley Young from Re-Union Canal Boats-All team

**16/1/18** Meeting with Jill Stevenson, Head of Student Support Service at Stirling University regarding their #Isthisok? campaign- VP

**18/1/18** Stirling University Union AGM-President

**19/1/18** Launch of Scotlands colleges delivering for all- VP

**22/1/18** Meeting with Ross Martin-President & VP

**23/1/18** Meeting with Laura Riley, Senior Communications Officer FVC regarding FVC Carers charter-VP

**24/1/18** Think Positive - Learning, Sharing & Networking Event – Activities & Volunteer coordinator

**24/1/18** Anne Fowler, FVC Learning & Teaching Manager to discuss FVSA supporting the promotions of the JISC Digital Student Tracker Meeting- President

**25/1/18** Meeting Astrid Smallenbrook & Jamie Grant from Stirling University Union regarding student issues with First Bus-President, SLO and AVC

**26/1/18** SWOT analysis/Framework self-evaluation meeting - ALL TEAM

**31/1/18** Mental Health network Child & Adolescent MHFA training - VP

Uncontrolled Copy

## Appendices

### Appendix 1-Operational Plan

Uncontrolled Copy

**1. Purpose**

To present to the Board of Management the sixteenth Principal's report on key and strategic activity undertaken since the Board meeting in December 2017.

**2. Recommendation**

The Board should note and comment on the activity undertaken by the Principal since December 2017.

**3. Key Highlights**

- 3.1 Over the last three months I have increased our strategic engagement with key stakeholders from membership of Scottish Government's Curriculum and Assessment Board and the Access Delivery Group to our employer engagement at the Estates event and the launch of the fly through. We also hosted Scottish Government's launch of Scotland's Colleges "Delivering for All" at our Alloa Campus. The latter involved Shirley-Anne Somerville, the Minister for Further Education, Higher Education and Science and after the launch followed a meeting with the Minister and Audrey Cumberland, Principal of West of Scotland College. We discussed maximising innovation, intensification, the role of CDN and Colleges Scotland, the opportunities for school college partnership and the role of colleges in economic development. In all cases, I was able to highlight excellent examples currently undertaken by Forth Valley College.
- 3.2 In addition to Ministerial engagement, I have also been taking a key role in the proposed Stirling and Clackmannan City Deal in my position as City Commissioner. In addition, I am also supporting the University of Stirling in two exciting research and training projects, which include the Scottish Environment Centre and the Intergenerational Wellbeing Centre. Over the last few months, I have been in meetings with Lord Ian Duncan, Parliamentary Under Secretary, Michael Gove, MP and Cabinet Secretary for the Environment, Stephen Kerr MP and Luke Graham MP. We have been lobbying hard for all projects. Once decisions are taken on which projects to take forward, there will be a full report to the Board to agree the College's involvement.
- 3.3 Progress on the Falkirk estate is good with the first girders now in place. Following the Stakeholder event, a number of avenues are being taken forward with key staff. One example is the opportunity being developed for the Training Rig and Distillation Plan in partnership with Ineos, with Dean Williams and Jen Tempamy from the College and supported by Board members, Ken Richardson and Ross Martin. We are also managing a number of Community Benefit projects with Balfour Beatty which, and this is developing into a strong partnership. SMT recently visited the headquarters of Balfour Beatty in Eurocentral and in addition to holding their weekly SMT meeting, had an opportunity for a guided tour.
- 3.4 Going forward with our school college partnership we will continue to support the Regional Improvement Collaborative launched by the Depute Minister and involving schools from West Lothian, Falkirk, Stirling and Clackmannanshire. In addition, we will be taking full advantage of SFC's recent announcement that Colleges will be expected to become a Regional STEM hub for schools, Universities and Employers.
-

3.5 I am delighted to say we were shortlisted for the TES FE Awards in London in February for the Best Teaching & Learning Initiative. We have also been shortlisted for three CDN Marketing Awards and the Student Association have been shortlisted for two awards at the forthcoming NUS Conference. In addition a FVC student has been shortlisted as Student of the Year at the NUS Awards. These are all fantastic accolades for our staff and underpin hard work and dedication in all areas.

#### **4. Networking**

4.1 As part of my "Day in the Life of" series, I spent a full day with the IT Services Department where I worked on the Help Desk, supported the IT Technicians and had a clear understanding of the Project management team and their work with business transformation and learner analytics.

4.2 I have now signed the Carers Charter on behalf of the College and supported by the Student Association.

4.3 As part of my Trustee and Board Member role of Jisc, I co-hosted the recent JISC Stakeholder Forum and have attended two Board meetings. This is a key role for me at the moment as Jisc is the UK provider of the JANET academic network with all Universities and Colleges and has strategic implications for cybersecurity. At the Stakeholder Forum the Department for Business, Innovation and Skills (BIS) indicated that funding for Jisc would be passed to all English Colleges on a subscription basis. In Scotland, however, the funding continues to be strategically funded centrally from SFC. Should SFC choose to take up a subscription model, it is important we understand the implications and prepare ourselves appropriately.

4.4 On the Employability front, I met with Karen Moore, Chief Executive and signed an MoU with the Scottish Waterways Trust in supporting progression for learners from the Canal College and I am currently in discussion with Euan Aitken, CEO of Cyrenians, to develop a similar arrangement for their clients.

4.5 I continue to be an active member of the CBI Scotland Council and most recently on the steering committee for the new IoD. In addition, I am now on the Curriculum and Assessment Board for Scottish Government which is reviewing Curriculum for Excellence and advising the Cabinet Secretary for Education and the Access Delivery Group on the Universities Widening Access policy.

4.6 David Allison and I will be meeting with Andrew Youngson, our SFC Outcome Agreement Manager, to understand the process of "intensification" and its implications for FVC.

#### **5. Presentations**

Key objectives of the 2017- 2022 Strategic Plan are that we will:

1. Maximise commercial opportunities
  2. Collaborate with employers and our community to develop and deliver training and skills requirements, and
  3. Grow and influence strategic partnerships.
-

Over the last few months, and as noted above, I have been working with both the Falkirk and Stirling and Clackmannan City Deal bids; collaborating with Stirling University as part of the Environment Centre and Intergenerational Wellbeing proposals and continue to support the Economic Partnership through the Gateway development working closely with Jen Tempany, FVC Head of Business Development. In addition, I am now on the steering committee for the new Central Scotland IoD and continue as a member of Council for CBI Scotland. Over the last few months, these projects have all had a very positive role as we continue to build on a very positive College profile particularly in its key role of supporting inward investment and profile. Specifically;

- 5.1 I hosted and was one of the key speakers alongside Minister, Shirley-Anne Somerville at the ESP STEM Conference held in the Stirling Campus. There were 120 attendees from across Scottish FE sector. During the day, attendees were able to hear excellent examples of STEM activity across Scotland including one from Kenny MacInnes, our Head of Applied Science and Mechanical Engineering. Kenny will also be leading on STEM for the College.
- 5.2 I was Co-Chair at the Jisc Stakeholder Forum, alongside Paul Lazells, Vice Chancellor of Royal Holloway University, and the Forum was held in parallel with the UK national Digifest Conference in Birmingham. This year we engaged with more stakeholders by streaming live discussion from hubs in Stirling, Cardiff and Belfast.
- 5.3 I also hosted a very successful Hospitality and Tourism Takeover Day during the February holidays. 160 young people from Falkirk Schools attended the event organised by the Forth Valley Developing Young Workforce group and Springboard. The event was also attended by Jamie Hepburn, Minister for Fair Work, Employability and Skills.

**6. Key Meetings**

I undertook the following key meetings in the period 17 March to 16 June 2017:

- 6.1 Over the period of this report, I have had four scheduled meetings with Ross Martin, Chair of the Board of Management. Additional events include meetings of Colleges Scotland Joint Chairs and Principals and at the second meeting of the new IoD Central Scotland Group on City Deals with Keith Brown, Minister for Economy, where both Ross and I gave presentations. In addition Ross and I jointly chaired the Stakeholder meeting promoting the Falkirk estate.

- 6.2 I have had four monthly meetings with the Student Association.

- 6.3 We are in the process of further developing our strategic University contacts in key subject areas.

[REDACTED]

██  
██

6.4 On the political front, I met with Luke Graham, MP for Clackmannan on the City Deal, with Dean Lockhart, MSP as part of the MA Awareness Week and a catch up meeting with Alexander Stewart MSP at our Alloa Campus.

6.5 As part of developing Community links, I provided a show and tell around the Falkirk Campus for Superintendent Martin Fortheringham and Chief Superintendent Anthony Beveridge as part of their community planning induction and I also met with Councillor Fiona Collie, who is the new Falkirk representative on the Community Planning Partnership.

6.6 In addition, I have met with Barry Fisher, MD Duke of Edinburgh Awards to discuss a lead role for the college for the integration of DoFE awards into select curriculum. I have also had meetings with Julia Brown, now lead in Life Science and Chemicals for Scottish Enterprise, and Anne Galbraith, CEO for Scottish Electricians Charitable Training Trust (SECTT).

**7. Colleges Scotland (CS)**

7.1 Following a review of the Colleges Principals Group (CPG) we have now gone to quarterly meetings which are interspersed with key working groups on finance, policy, innovation and skills. I attended the February quarterly meeting of CPG. I am a member of both the Finance Group and the Innovation Group. The Finance Group meet on a monthly basis immediately followed by the SFC Finance and Funding Committee and since December, I have attended two Finance Groups meetings. I am also a member of the Innovation Group and we have had one meeting in the last three months. We are still awaiting the outcome of our FutureQuipped bid to the SFC College Innovation Fund.

7.2 Andy Lawson, Depute Principal and Chief Operating Officer and Ross Martin, Chair of the Board, represent the College on the Employers Association.

**8. Community Planning Partnership**

8.1 There were three meetings of the Leadership Group for Community Partnership Planning in Stirling and two Executive and Strategic Board meetings in Falkirk. Towards the end of the year we will be bringing forward a paper to the Board with an analysis of value added for the College and a recommendation for discussion on taking forward the College's strategic involvement in CPP across the region aligned with our own Strategic Plan and the developing Local Outcome Improvement Plans.

**9. Financial Implications**

None

---



10. Equalities

Assessment in Place? – Yes  No

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

Please summarise any positive/negative impacts (noting mitigating actions) – N/A

11. Risk

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

	Likelihood	Impact
Very High		
High		
Medium		
Low		
Very Low	X	X

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

Risk Owner – Ken Thomson

Action Owner – Ken Thomson

12. Other Implications –

Please indicate whether there are implications for the areas below.

Communications – Yes  No

Health and Safety – Yes  No

Please provide a summary of these implications – N/A

Paper Author – Ken Thomson

SMT Owner – Ken Thomson

**1. Purpose**

To seek approval of the level of tuition fees and fee waiver policy for Session 2018-19 from members. Both the level of tuition fees and fee waiver policy have been reviewed by members of the Finance Committee.

**2. Recommendation**

That members approve the proposed tuitions fees and fee waiver policy for Session 2018-19.

**3. Background**

The Board of Management has responsibility for determining tuition fees. It is a condition of grant that no fees should normally be charged to home (Scotland) or EU students studying full-time in Scottish further education colleges and the notional fees are set by Scottish Government and published through SFC and the Students Awards Agency for Scotland (SAAS) for these students. These fees have yet to be set, therefore approval of tuition fees will be subject to any changes made to nationally set fees. SFC publishes its Fee waiver grant policy annually, with the latest available policy published for Session 2017-18. Approval of the fee waiver policy will be subject to any changes made to the national policy for Session 2018-19.

**4. Key Considerations**

**Tuition Fees**

As mentioned above full time fees are set nationally. It is yet to be confirmed if there are to be any changes from Scottish Government to the notional fees for Session 2018-19, and as such the full time fees are shown below at the same levels as for 2017-18. It should be noted that these fees have not changed over that last seven sessions.

Full time FE: £1,008

Full time HE (HNC/D): £1,285

Full time Degree: £1,820

It's forecasted for Session 2018-19 that 82% of all tuition fees received by the College from mainstream provision will come from full time learners.

SQA fees are a large determinant when setting part time fees. SQA fees for Session 2018-19 have not been released, and no commitment has been made by SQA to the likely timing of this release, or to the likelihood of the value of their fees for next session. SQA hasn't increased fees for the last 7 sessions, and will push to increase its fees for 2018-19, although in recent years Scottish Government has requested that SQA maintain the level of fees.

The Bank of England in its February Inflation Report stated that CPI inflation was tracking at 2.7% An inflationary increase would add £3 to the cost per Credit for an FE course, and £3.50 to the

---

cost per Credit for an HE course. Last session the College chose not to increase our part time fees to remain competitive with neighbouring colleges, however over the previous three sessions when inflation had been low we have increased fees by £5 per Credit. A comparison of our fees against neighbouring colleges has again been undertaken, and our fees for the current session are, with the exception of Dundee and Angus, higher or on a par with other Colleges, with most Colleges last session also not raising their fees. As a comparison of current HE fees, Dundee & Angus charge £140 per Credit, compared to our £130 per Credit, while our nearest neighbours in West Lothian, New College Lanarkshire and Fife currently charge between £110 and £130 per Credit. The most common fee per Credit for part time FE is around £100, which is less than our fee of £115 per Credit. The impact of applying an inflationary 2.7% increase to our part time and Credit based evening provision based on current activity levels could see an additional £8K received through tuition fees. Colleges are being asked to make learning available to all learners, across all modes of learning – increasing the cost of part time fees could be viewed as adding a barrier for part time learners. Taking all information into consideration, the proposal is to keep our fees for part-time and Credit-based evening courses for Session 2018-19 at the same level as Session 2017-18.

It's proposed that the fee for ECDL remains the same, to remain competitive with neighbouring Colleges, and to encourage growth in a revitalised qualification from British Computer Society.

Given the relatively low numbers of direct-entry International and Rest of the UK students it's proposed that fees for International and Rest of the UK remain the same for Session 2018-19. These fees are competitive compared with the average costs in the University sector, and are comparable with other College International fees. These fees are for students enrolling on mainstream courses, and as background, the college enrolled three international students on mainstream courses in Session 2017-18. Bespoke international provision would be priced on an individual contract basis.

It's proposed that re-sit examination fees are not increased. The volume of re-sits is relatively low and the fee reflects administration staff cost.

For any evening courses which fall out-with our standard pricing structure for FE and HE credits, fees will be set on a course by course or contract basis, with course fee/contract price being established through our established costing model.

#### **National Fee Waiver**

National Fee Waiver Policy has remained unchanged since Session 2012-13, with the exception of updates to reflect changes to benefit schemes and increases in the threshold levels for means-tested fee-waiver, however the College's Fee Waiver policy will be adapted should there be any changes to the National Policy, once published. As such, there are no changes to this part of the College's fee waiver policy.

---

**Local Fee Waiver**

There are no changes proposed to our local fee waiver policy.

Although not part of our local fee waiver policy as an additional benefit to staff where places remain available on courses not eligible for fee waiver (commercial and enhanced fee courses) just prior to courses commencing, these places have been advertised to staff.

**5. Financial Implications**

**Please detail the financial implications of this item** – Based on current activity levels it is forecasted that there is potential for an increase of £8K in tuition fees received in Session 2018-19 compared to Session 2017-18 if an inflationary 2.7% increase was applied to our part time fees. This potential additional income will not be realised under this proposal.

**6. Equalities**

**Assessment in Place?** – Yes  No

**If No, please explain why** –

**Please summarise any positive/negative impacts (noting mitigating actions)** –

**7. Risk**

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

	Likelihood	Impact
Very High		
High		
Medium		
Low	X	X
Very Low		

**Please describe any risks associated with this paper and associated mitigating actions** – The only risk identified is a potential loss of additional income if fees were increased, however comparisons against other Colleges have highlighted that our fees are higher, bar one college.

**Risk Owner** – David Allison

**Action Owner** – Pamela Duncan

**8. Other Implications** –

Please indicate whether there are implications for the areas below.

**Communications** – Yes  No

**Health and Safety** – Yes  No

**Please provide a summary of these implications** – Once approved, our tuition fees and fee waiver policy require to be published, and communicated internally to appropriate staff.

**Paper Author** – Pamela Duncan/David Allison

**SMT Owner** – David Allison

Uncontrolled Copy

---

**1. Purpose**

To present members with the new Discipline and Dismissal Policy for the role of Principal

**2. Recommendation**

That members consider the content of the attached and approve the policy.

**3. Background**

In 2017, the local EIS branch raised a complaint against the Principal of the College.

The complaint was considered by the then Chair of the Board of Management and, with the support of independent legal advice and the unanimous backing of the Board of Management, no action was taken.

**4. Key Considerations**

Following the decision of the Board of Management, EIS further raised this matter with both the Scottish Funding Council and the new Chair of the Board of Management.

While both SFC and the new Chair found no grounds to overturn the decision of the Board of Management, it was agreed that a specific policy should be developed to manage complaints raised against the Principal and to clarify the process for all parties involved.

The attached policy document was developed based upon the existing Discipline and Dismissal policy which applies to all other College staff and which had previously been ratified by the College's recognised trade unions. The changes made to the policy reflect the seniority of the role of Principal and the involvement of the Board of Management in investigating any complaints received and making and applying decisions based on these investigations.

The updated Policy has also been shared with the College's recognised trade unions.

Following consideration at the 27 February 2018 HR (Inc. Nomination) Committee meeting, a number of amendments were made. These are shown as track changes in the attached document. Committee members also recommended a flowchart of potential actions be added to the document and this has been included as appendix 2 of the document.

**5. Financial Implications**

None as the management of this policy would fall within the remit of the Board of Management.

---

6. Equalities

Assessment in Place? – No

If No, please explain why – Not required

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

7. Risk

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

	Likelihood	Impact
Very High		
High		
Medium		
Low		
Very Low	X	X

Please describe any risks associated with this paper and associated mitigating actions – While the College received a recommendation for the development of the attached policy, this was in order to enhance transparency. Previous decisions relating to this issue taken by the Board of Management were based upon sound, independent legal advice and these decisions were upheld.

Risk Owner – Andrew Lawson

Action Owner – Andrew Lawson

8. Other Implications –

Please indicate whether there are implications for the areas below.

Communications – Yes

Health and Safety – No

Please provide a summary of these implications – Copies of the policy will be retained by corporate governance staff and provided to the Board of Management should the policy be required to be enacted in the future.

Paper Author – Stephen Jarvie

SMT Owner – Andrew Lawson

# Principal Disciplinary and Dismissal Policy and Procedure

Status	Draft
Date of Version	<del>December 2017</del> <u>March 2018</u>
Responsibility for Contents	HR (Inc Nominations) Committee
Responsibility for Review	HR (Inc Nomination) Committee
Impact Assessment Review Date	
Review Date	<del>December 2020</del> <u>March 2021</u>
Primary Contact	Board Secretary



## **1 INTRODUCTION**

This document outlines the College Disciplinary and Dismissal policy and procedure. The College recognises the importance of attempting to resolve discipline issues, and welcomes the opportunity to address these matters informally wherever possible.

In particular this document details:

- Some examples of when these procedures will apply
- The steps involved in dealing with disciplinary issues
- The appeal process

## **2 EQUALITIES IMPACT ASSESSMENT**

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

An initial Equalities Impact Assessment of this Policy will be carried out. The policy has been written to fully comply with all obligations in respect of employment law and equality legislation and to take account of recommended best practice. It is therefore not anticipated that this policy will result in a negative or adverse impact on the post holder in respect of gender, race, disability, sexual orientation, religion or belief, age or other characteristics.

## **3 WHO DOES THE POLICY APPLY TO?**

This policy applies to the Principal of Forth Valley College of Further and Higher Education.

## **4 WHEN DOES THE POLICY APPLY?**

The Board of Management will apply the procedures set out in this policy if it proposes or contemplates taking disciplinary action against or dismissing the Principal (unless in its sole discretion, it decides that it is inappropriate to do so).

Some examples of the circumstances that these procedures would normally be applied to are:

- suspension with pay (pending an investigation)
- disciplinary action (including dismissal) for a reason related to the Principal's conduct, e.g. misconduct or gross misconduct
- disciplinary action (including dismissal) for a reason related to capability (relating to work performance or absence)
- dismissal for some other substantial reason

This list is not exhaustive.

It may not be appropriate to apply these procedures if:

- a party who would be involved in the procedures reasonably believes that following them would result in a significant threat to the person or to property or the Principal's further harassment
- the case meets the criteria of any other lawful exemption

If the Principal believes that the particular circumstances are such that one of these exclusions applies he/she should explain this to the Chair of the Board of Management.

Misconduct related to work will normally lead to disciplinary action being taken. The type of action that will be taken will be decided in accordance with individual circumstances, including the seriousness of the misconduct and whether it is a first occurrence of unacceptable conduct. Examples of what would be classed as misconduct and gross misconduct can be found in APPENDIX 1.

## 5 COMPLAINT

Any complaint or ~~grievance~~grievance against the Principal should be made in writing to the Chair of the Board of Management, who will then designate the Chair of the HR (~~Inc.~~Inc. Nominations) Committee (or the Senior Independent Member of the Board of Management – for the purpose of this document these terms are interchangeable) to review and if necessary launch an investigation into the complaint or grievance.

The Chair of the HR (Inc Nomination) Committee may seek legal or independent professional advice, if required, when determining the most appropriate course of action, if any, is to be taken.

## 6 INVESTIGATION

Following the initial fact finding and review and before any form of disciplinary action is taken or dismissal occurs the Board of Management will normally undertake an investigation. In certain circumstances the Board of Management may consider that it is not appropriate to carry out an investigation, for example:

- where the issue is relatively minor; or
- the Principal has been caught in the act and there are no mitigating circumstances;
- he/she has admitted that they were in the wrong.

In circumstances where an investigation is not considered necessary, the Chair of the HR (Inc Nomination) Committee will normally conduct a further fact finding meeting and any subsequent disciplinary hearing where appropriate.

The Board of Management will endeavour to ensure that investigations are completed in the shortest time consistent with the necessity for a full and thorough examination of the facts. If the Principal's actions are subject to investigation, they will be informed of this prior to the commencement of the investigation. Although each incident will require different forms of investigation, the process should allow for:

- appropriate enquiry into the background of the alleged misconduct
- an opportunity for the Principal to offer an explanation
- a balanced view to be taken on all of the facts and recommendations on how to proceed

Where relevant an Investigating Officer will be appointed by the Chair of the HR (Inc. Nomination) Committee from amongst the non-executive membership of the Board of Management. Board Members involved in this process shall be entitled to seek external legal advice at any point during the process. The Secretary to the Board of Management or Depute Secretary of the Board of Management may be requested to be note taker at investigatory meetings to support the Investigating Officer, or the Investigating Officer may request an external note taker be provided. All College staff will be required to cooperate fully in such an investigation. College staff will have no formal role in the process beyond this.

In the paragraph below, 'a witness' refers to any employee who is involved in the investigation, including the Principal who is subject to investigation.

Where the Investigating Officer requires to interview a witness who is absent from work due to sickness, the witness will be contacted to state that they are required to participate in the investigation. Usually the witness statement from the sick witness will be taken on their return to work, or sooner where the witness feels able to participate in the investigation before this time.

Where relevant the Investigating Officer may write to any witness who remains unfit for work to ask for written responses to their questions to allow them to conclude their investigation. However, where a witness' absence is prolonged they may be asked to attend the College's occupational health service for an independent medical opinion. This is primarily to support the management of the witness' sickness absence case (in line with the Absence Management Policy) but also to determine when the witness will reasonably be able to participate in the investigation in order that the investigation can be concluded as quickly as possible to the benefit of all parties concerned.

Once the investigation is complete, the Investigating Officer will prepare a written report on the basis of the available information and make recommendations on how to progress the case to the Chair of the HR (Inc Nominations) Committee. The report will be made available to the Principal if the matter progresses to a formal hearing.

The Chair of the HR (Inc. Nomination) Committee will take the decision if a disciplinary hearing is appropriate in the circumstances. Before a hearing is convened, the Chair of the HR (Inc. Nomination) Committee, who would normally be the chair of the potential hearing, will review the investigatory report and associated evidence where appropriate. The Chair of the HR (Inc. Nomination) Committee will then decide whether they consider the alleged misconduct serious enough, and if there is sufficient evidence to take the case forward to a formal hearing.

Where the grounds are not deemed serious enough and / or there is not sufficient evidence to warrant a formal disciplinary hearing, the Chair of the HR (Inc. Nomination) Committee may choose to either progress informal action (see Section 7) or take no further action. Under such circumstances the Principal will be contacted to confirm that no further formal action is being taken.

In the case where formal action is appropriate, the date of a disciplinary hearing will be notified to the Principal as soon as reasonably possible on the completion of the investigation. It may be appropriate for the Investigating Officer to attend the disciplinary hearing in order to present the findings of the investigation.

Where the allegations relate to financial irregularities or possible illegality, the Chair of the Board of Management shall be immediately informed. Further investigation by the Internal Auditors may be considered necessary.

So far as is reasonable, confidentiality will be maintained throughout the processes carried out in terms of this Policy. Such confidentiality will apply to all parties involved, including the Principal

An overview flowchart of this process is provided as Appendix PPENDIX 2 to this Policy.

## **76 SUSPENSION**

If the Principal is suspended they will be given written confirmation of the reason(s) for suspension and the date from which this takes effect. The written confirmation will be issued within 5 working days of the start date of suspension.

It will be made clear to the Principal that investigative, or precautionary, suspension is not a disciplinary sanction and is not in any way to be considered as a sanction in respect of any alleged misconduct.

The Principal may only be suspended on the authority of the Chair of the HR (Inc. Nomination) Committee following consultation with the Chair of the Board of Management. The period of suspension will be as short as possible.

The College recognises that if the Principal is placed on suspension they have a right of confidentiality and that publicity can cause unnecessary embarrassment and suffering. It is policy therefore that, so far as is reasonable, there will be no disclosure of allegations other than to those who may be professionally involved or require to be consulted as part of the investigation.

The Investigating Officer will remind all those involved in the investigation of their obligation to maintain confidentiality. However the Principal should be made aware that it may be necessary to disclose certain information so that the College can fully investigate the circumstances of the allegation(s).

## **87** INFORMAL DISCIPLINARY ACTION

This is normally the first level of a disciplinary procedure for first occurrences of misconduct other than misconduct which is deemed serious enough to warrant a formal procedure.

The emphasis is upon the Chair of the Board of Management or Chair of the HR (Inc. Nomination) Committee, discussing the situation with them and listening to any mitigating circumstances from which agreed remedial action can be taken or developed. The Principal will be made aware that further misconduct could result in formal disciplinary action being instigated. This will constitute an informal warning.

An accurate note of the meeting will be taken and kept for future reference by the Board Member initiating the discussion. The Board Member will provide the Secretary to the Board of Management with a file copy of the note of the meeting and this will also be recorded on the HR Information System. Such a record is to be expunged after a period of 6 months.

The purpose of an informal warning is to provide an opportunity for improvement without the necessity of invoking the formal disciplinary procedure.

## **98** FORMAL DISCIPLINARY ACTION

### **98.1** Convening a Hearing

When it appears that the Principal's work, behaviour, conduct, omission or capability is such as to warrant formal disciplinary action, the Principal will be invited to a disciplinary hearing.

The Principal will be given at least 5 working days' notice of the disciplinary hearing, he/she will be advised of the allegations against them, and / or the circumstances surrounding their case, and that the outcome of the hearing may include disciplinary action, up to and including dismissal. During the course of the investigation, further or different allegations may arise and these will be outlined in the notice of a disciplinary hearing.

The Principal will be provided with a copy of any investigatory report and all other associated evidence.

Where the Principal wishes to call or obtain statements from witnesses other than those carried out by the Investigating Officer (internal or external to the College), this must be discussed and agreed with Chair of the HR (Inc. Nomination) Committee prior to any contact being made.

All contact with witnesses and external people/organisations must be carried out on a professional basis and maintain the confidentiality of the process for both the Principal and the College. It is the responsibility of the Principal and/or their representative to make any necessary arrangements in respect of taking statements and arranging for their witnesses to attend the hearing if required.

Where the Principal intends to call witnesses, refer to witness statements or other documentation, the names of the witnesses and copies of all statements/documents must be provided to the Chair of the hearing no later than 3 working days in advance of the hearing. Failure to submit this information could result in the information being unable to be considered at the hearing. Witness working patterns will be taken into account when arranging the Disciplinary Hearing; this may be out with the relevant timescales.

Where the Principal is absent from work due to sickness, they will be asked if they are fit to attend the hearing. Where the Principal considers themselves unfit to attend the hearing, they will be asked to attend an appointment with the College's occupational health provider. Where the Principal refuses to attend an occupational health appointment it is likely that the disciplinary hearing will be convened in their absence.

#### **89.2 Right to be Accompanied**

The written statement inviting the Principal to attend the disciplinary hearing will remind the Principal of their right to be accompanied at the disciplinary hearing by a companion who is either:

- a colleague who works for the College; or
- a legal representative

If the Principal reasonably requests that such a person attends a formal hearing with them but that companion cannot attend, the College will postpone the hearing once, to give the Principal the opportunity to make alternative arrangements. Normally the postponement will not be any longer than 5 working days. If the Principal wishes a longer postponement they must explain this to the Chair of the hearing who will consider the reasonableness of the request with the Chair of the Board of Management.

A companion may not answer questions on the Principal's behalf.

#### **89.3 Disciplinary Hearing Panel**

The hearing will be convened as soon as practicable. The Chair of the hearing shall be entitled to request a professional advisor, who may be an external individual with a legal or other relevant background. The Chair of the hearing shall be the Chair of the HR (Inc. Nomination) Committee

#### **89.4 Conducting the Hearing**

The Chair of the hearing will outline the format of the disciplinary hearing. The Investigating Officer will usually present the facts found during the investigation. However, if the Investigating Officer is not present, the Chair will present the facts on behalf of the Investigating Officer. The Principal will then be given the opportunity to reply to the allegations against them, if any, or to the circumstances surrounding their case, present a defence and / or put forward mitigating circumstances which are relevant to their case.

During the hearing either party may request a brief adjournment to enable private discussion.

In exceptional circumstances, the College may wish to adjourn the hearing to allow for further investigation or gather further evidence. In such circumstances, it may be necessary to reconvene the hearing on a later date.

Prior to the conclusion of the hearing the Principal will be given the opportunity to make a final statement. Thereafter the Chair shall adjourn the hearing and consider the matter in private along with their chosen professional advisor. The Chair's role is to determine whether or not it is reasonable, given all the evidence and circumstances, to impose a disciplinary sanction and the level of sanction. The Chair will either recall the Principal and any representative and give the decision verbally, or advise that the outcome will be confirmed in writing normally within 10 working days.

At the conclusion of any hearing resulting in disciplinary action, the Principal will be advised of the right of appeal.

The Principal will be issued with written confirmation of any disciplinary action resulting from a disciplinary hearing within 10 working days of the conclusion of the hearing. This will include, where relevant, details of any previous issues relating to them, details of any timescales within which improvement is to be achieved and the likely consequences if there is no improvement. A copy of the written confirmation will be retained in their personnel file.

## **89.5 DISCIPLINARY ACTION**

In cases where there is a reasonable belief of the Principal's guilt of the alleged misconduct the following disciplinary action may be taken:

### **89.5.1 DISCIPLINARY SANCTIONS**

- a) For minor offences, a formal **verbal warning** will be issued making it clear that further misconduct and / or failure to improve will render the Principal liable to further disciplinary action. They will be told the reason for the warning and what action they need to take to reach an acceptable standard of conduct. If appropriate, they will be offered extra training and/or counselling and given a time limit for improvement.
- b) For a more serious offence, or further misconduct following a lesser warning, or where the ~~Principal~~**Principal** has failed to respond satisfactorily to earlier warnings a **written warning** will be issued making it clear that further misconduct and / or failure to improve will render the Principal liable to further disciplinary action. They will be told the reason for the warning and what action they need to take to reach an acceptable standard of conduct. If appropriate, they will be offered extra training and/or counselling and given a time limit for improvement.
- c) Where the severity of misconduct merits it, or further misconduct following a lesser warning happens, or where the Principal has failed to respond satisfactorily to earlier warnings where the warning is extant/live, a **final written warning** will be issued making it clear that further misconduct and / or failure to improve will render the Principal liable to further disciplinary action and could result in their dismissal. They will be told the reason for the warning and what action they need to take to reach an acceptable standard of conduct. If appropriate, they will be offered extra training and/or counselling and given a time limit for improvement.
- d) For an act or acts of further misconduct, other than gross misconduct, and / or failure to improve when still subject to a previous warning, the Principal may be liable to **dismissal** with notice or with pay in lieu of notice.



- e) In cases where gross misconduct is alleged and is established on the balance of probabilities, the Principal will be liable to **summary dismissal** and have no entitlement to notice or pay in lieu of notice.

Warnings may only be authorised by the Chair of the hearing. If a warning is issued, that fact shall be recorded in the Principal's personnel file.

## **89.5.2 RETENTION PERIODS**

Subject to satisfactory conduct, warnings will normally be expunged from the Principal's personnel file after the following period:

Verbal Warning -	6 months from the date of issue
Written Warning -	12 months from the date of issue
Final Written Warning -	18 months from the date of issue

If on appeal, or any other reconsideration, any disciplinary action is effectively withdrawn, then all written reference to that action will be expunged from the Principal's personnel file and they will be notified accordingly.

Where their conduct is such that a pattern of abuse of the system emerges, or that due to the nature of the offence, evidence of satisfactory conduct can only be satisfied over an extended period, warnings will remain on their record for a longer period to be determined by the Chair of the disciplinary hearing. They will be notified of the length of time for which the warning will remain extant.

The College reserves the right to omit any stage of the procedures if the Chair of the HR (Inc. Nomination) Committee considers that it is appropriate to the individual circumstances, whilst ensuring that the procedure adopted is compliant with ACAS guidelines.

## **910 APPEALS**

The Principal may appeal against any formal disciplinary action taken under the above procedures. Appeals should be submitted in writing by the Principal within 5 working days of receipt of the confirmation of a disciplinary action. The appeal should be submitted to the Chair of the HR (Inc. Nomination) Committee. The Principal should also make clear the basis of their appeal, i.e.

- they have not committed the alleged act or acts of misconduct (if so, new evidence should be submitted); and/or
- the disciplinary sanction decided upon.

An appeal will not normally be by way of re-hearing unless the Principal has additional material to introduce which was not available at the time of the disciplinary hearing. Normally, the appeal hearing will reconsider the original decision.

If the decision that the employee is appealing is a decision to dismiss them, the appeal hearing may take place after their dismissal has taken effect.

Appeal hearings will be arranged as soon as possible and normally within 4 working weeks of receipt of the appeal but this may depend on the availability of persons holding the appeal or on other factors. Reasonable notice of the date of an appeal will be given.

The College will remind the Principal of their right to be accompanied at the appeal hearing.

### **910.1 Appeal Panel**

Appeals will be heard by the Chair of the Board of Management. Panels will comprise of one other person from the non-executive members of the Board of Management. Any person previously involved in the case will be excluded from membership of the panel. The Secretary to the Board, ~~or~~ Depute Secretary to the Board or an external resource may attend as note taker and external advisors may be invited at the discretion of the Chair of the Board of Management. All supporting papers will be issued to Panel members prior to the date of the Appeal Hearing.

### **109.2 Appeal Procedure**

At any appeal hearing the Principal will be given the opportunity to submit a case for confirmation, reduction or withdrawal of the disciplinary action taken. If the Principal is appealing the decision they should submit further / new evidence for the panel's consideration.

Where the Principal wishes to call or obtain statements from witnesses other than those obtained as part of the original investigation / hearing (internal or external to the College), this must be discussed and agreed with the Chair of the Board of Management prior to any contact being made. The names of the witnesses and copies of all statements must also be provided to the Chair of the appeal hearing no later than 3 working days in advance of the appeal hearing.

All contact with witnesses and external people/organisations must be carried out on a professional basis and maintain the confidentiality of the process for both the Principal and the College.

It is the responsibility of the Principal and/or their representative to make any necessary arrangements in respect of taking statements and arranging for their witnesses to attend the hearing if required.

In submitting an appeal, the Principal must be aware that the severity of sanction could be increased as well as being reduced.

The decision of an appeal panel may be given immediately after the conclusion of the appeal hearing or in writing, within 10 working days of the appeal procedure being concluded.

The College will either:

- uphold the original disciplinary decision and confirm the original disciplinary sanction or dismissal (no change)
- confirm the original disciplinary decision and substitute a new sanction (increase or decrease to sanction)
- overturn the disciplinary decision (remove the disciplinary sanction).

There is no right of further appeal.



## **MISCONDUCT**

Most breaches of disciplinary rules fall within this category and would not normally result in dismissal, except in cases of repeated misconduct after a warning or warnings have been given. Examples of misconduct are given below, but are not exclusive or exhaustive:

- a) Negligence in the performance of official duties or non-compliance with College procedures;
- b) Habitual poor timekeeping or absence;
- c) Discrimination (on the basis of any of the protected characteristics i.e. age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion and belief, sex or sexual orientation)), harassment, bullying or intimidation of other employees or members of the public. In certain circumstances the seriousness of an offence may result in an immediate charge of Gross Misconduct;
- d) Refusal to carry out a reasonable instruction from an appropriate manager;
- e) Failure to wear protective clothing when required or not using safety equipment provided for any specific task;
- f) Undertaking any form of unauthorised private business activity which, in any way is in conflict with the interests of the College, or which relates to the nature of the duties undertaken by the individual;
- g) Misuse of College IT facilities including inappropriate use of the Internet;
- h) Disclosure of information in contravention of rules on Data Protection;
- i) Inappropriate or offensive behaviour or conduct;
- j) Careless disregard of the College's rules or a breach of its policies and procedures.

## **GROSS MISCONDUCT**

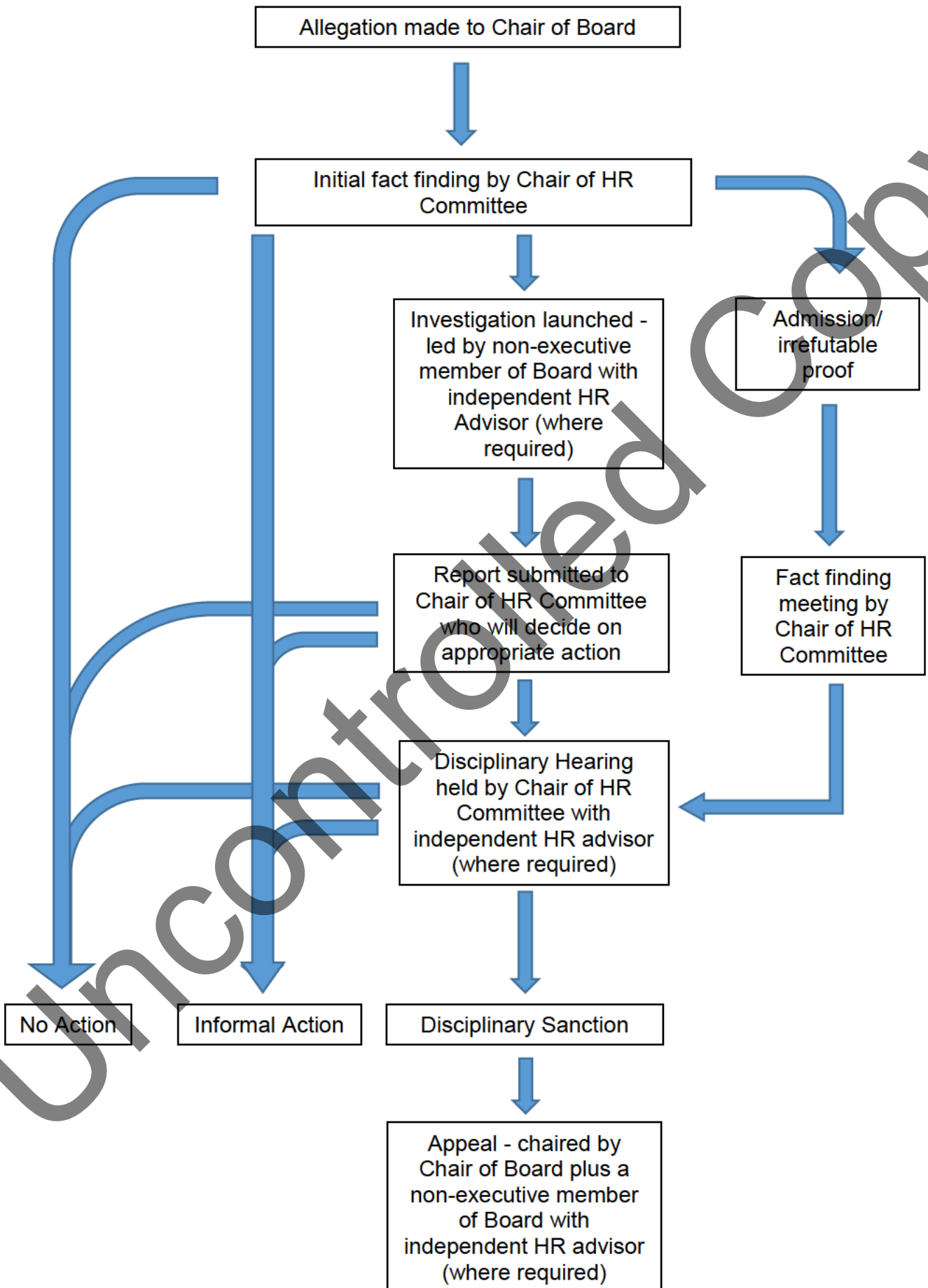
Gross misconduct will be considered to have taken place when the Principal's conduct, behaviour or omission, whether in the course of employment or otherwise, is so grave as to strike at the basis of the relationship between employer and employee.

The following list of offences arising in the course of employment are examples of incidents that may be treated as gross misconduct. Examples given below are not exclusive or exhaustive.

- a) Inability to carry out the functions of the post due to being under the influence of alcohol and/or drugs;
- b) Wilful damage to, or destruction of property or equipment;
- c) Theft or unauthorised possession of property or facilities belonging to the College or another employee or student;
- d) Fraud or deliberate falsification of official documentation for example College records, registers, reports, accounts, expenses claims or falsely awarding pass marks to students;

- e) Repeated or serious refusal to carry out any legitimate instruction from an appropriate or senior manager;
- f) Absence from work without permission or without notification or contrary to the conditions on which specific permission to be absent has been granted;
- g) Serious negligence in the performance of official duties or non-compliance with College procedures which causes or might cause unacceptable loss, damage or injury;
- h) Conduct likely to bring the College into disrepute, for example damage to college reputation, abusive language, violent behaviour, fighting, threatening violence, immoral or obscene conduct, whether within or outside the workplace;
- i) Excessive or inappropriate use of foul or abusive language or threats made to other employees, students or members of the public;
- j) Conviction of a criminal offence considered potentially damaging to the College, or preventing an individual from performing their work;
- k) Serious disregard to any safety requirement imposed by law or specified within the College Safety Policy documents;
- l) Serious discrimination (on the basis of any of the protected characteristics i.e. age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion and belief, sex or sexual orientation) harassment or intimidation of other employees, students or members of the public;
- m) Inappropriate relationship or behaviour with a College student;
- n) Misuse of the College's property or name or otherwise bringing the College into serious disrepute;
- o) Serious misuse of IT facilities including downloading or viewing pornographic images from the intranet;
- p) Serious breach of confidence (subject to the Public Interest Disclosure Act 1998) or serious breaches of rules on Data Protection;
- q) Serious breach of trust and confidence.

Appendix 2



1. Purpose

For members to discuss College Sector Performance Indicators for Academic Year 2016-17.

2. Recommendation

That members discuss the Sector and College Published PIs for Academic Year 2016-17.

3. Background

SFC has issued official Sector PIs to Colleges, produced from FES (Further Education Statistics) information. This information has been uploaded to the College Data Dashboard to allow easier reporting and comparisons to be made, as per previous sessions, and greater visibility to all College staff.

4. Key Considerations

For the sector overall there have been fractional reductions in both the Full Time FE and Full Time HE success rates. For Forth Valley there has been a fantastic increase of 4.1% in our Full Time FE rate, however we have seen a disappointing drop in Full Time HE success of 3.2%. The Sector's Part Time FE success rate has increased by 2.8%, with our equivalent rate increasing by 2.2%. The Sector's Part Time HE success rate has increase by 0.2%, with our equivalent rate falling by 0.8%, although we remain the highest in the Sector.

Sector Success PIs

	2016-17	2015-16	Change
Full Time FE	65.3%	65.5%	-0.2%
Full Time HE	71.6%	72.2%	-0.6%
Part Time FE	77.1%	74.3%	2.8%
Part Time HE	78.6%	78.8%	0.2%

Forth Valley College Success PIs

	2016-17	2015-16	Change
Full Time FE	73.5%	69.4%	4.1%
Full Time HE	70.3%	73.1%	-3.2%
Part Time FE	93.1%	90.9%	2.2%
Part Time HE	86.8%	87.6%	-0.8%

For the first time since the publication of Sector PIs, Forth Valley has the highest success rate for Full Time FE students (excluding the very small number for Newbattle College) – see Figure 1 in Appendix 1. Our Part Time FE and HE Success rate both remain the highest in the Sector. Full Time HE Success is more disappointing with the College falling below the sector average for the first time (see Figure 2 in Appendix 1). Our part time success rates for both FE (Figure 3 in Appendix 1) and HE (Figure 4 in Appendix 1) continue to be the highest in the sector.

In terms of performance against our Credits target we have met our target, and overall the sector has met its activity target, with only two colleges (New College Lanarkshire and Newbattle) failing to meet their activity target.

Our overall success PIs by all age-bands are the highest in the sector. The analysis by gender is very interesting, with the College having the highest success rates for males in both FE and HE,

and also for males in HE, however our success rate for females in HE is just below the sector average (74.4% compared to 74.8%).

Within Key Groups our success rates are the highest in the sector for students from the 10% most deprived datazones, from students from the 20% most deprived datazones, from Care Experienced students and from students with a disability. We have higher than sector average success rates for students from an ethnic minority and where the year of study is greater than first year. Only within the category of fees paid by employer are we below the sector average.

Within subject areas at FE level we have the highest success rates in Engineering, Construction, Computing and ICT, Hairdressing, Beauty and Complementary Therapies and Business, Management and Administration. We are above sector average for Hospitality and Tourism, Art and Design, Care, Sport and Leisure, Special Programmes and Science, and are below sector average for Languages and ESOL, and Media.

Within subject areas at HE level we have the highest success rates in Engineering, Computing and ICT. We are above sector average for Hospitality and Tourism, Art and Design, Sport and Leisure, Media and Science and are below sector average for Construction, Care, Hairdressing, Beauty and Complementary Therapies and Business, Management and Administration

The drop in HE FT is partly attributable to an increase in students withdrawing before the end of their course (18.5%) and partly to an increase in students remaining on the course but not completing sufficient units (11.1%). Figure 5 in Appendix 1 shows the HE FT Success/Partial Success and Withdrawn percentages for the past three years.

A detailed analysis of the reasons for FT HE students leaving or failing to succeed in 2016-2017 has been carried out and the top-level outcomes of this analysis are shown in Figure 6 in Appendix 1. The analysis shows that the reasons for students not successfully completing their HN course are complex, varied and often very individual. It is also often difficult to determine how to categorise the circumstances affecting students, as in many cases there are multiple causal factors at play.

It is clear from detailed discussions with Curriculum Managers that, where the root cause(s) of a student being unable to cope with their college workload are known, all possible steps are taken to ensure that the student has every opportunity to achieve their qualification aim. There is no indication that we are failing to provide appropriate and sufficient support to students who have disclosed issues to college staff.

It is, however, important to note that supporting students with major health or life challenges often involves making plans for the student to return to complete their studies in the following year, particularly where the student is eligible for "plus one" SAAS funding (an additional year's funding for medical, compassionate and academic repeats). Often circumstances such as physical or mental health issues; caring responsibilities; pressures arising from the need to hold down part-time work whilst studying; or a wide range of personal or domestic crises can mean that a student is simply unable to cope with the demands of completing all of the content of their course in one year. In these situations, a range of options is available, including fully repeating the year or returning to complete part-time in the following year. In 2017-2018, 46% of those HE FT students failing to achieve in 2016-2017 have re-enrolled with the college to complete their

---

qualification or to undertake a course at a more suitable level for them. Whilst this flexible and supportive approach may well be the best solution for the student in these cases, it does record as a negative outcome with SFC and impacts on the college's PIs.

#### **Actions in Progress to Maximise Retention and Achievement in 2017-2018**

At the end of Block 1 CMs provided detailed information about the actions already being taken by them and their teams to maximise retention and success in 2017-2018. These include:

- Improvements to recruitment and pre-entry guidance processes, to ensure that we prepare students as fully as possible for the expectations of the course. It should, however, be noted that, as applicant numbers decrease and/or fewer applicants take up their offers (for example due to offers from Universities through Clearing), we are under more pressure to accept applicants who are less suitable and therefore less likely to succeed;
- Changes to programme structures where specific units were proving to be barriers to success e.g. Maths; and to introduce more practical and engaging units;
- Revision of delivery and assessment schedules to incorporate adjustments to assessment structure and student workload;
- Changes to units on feeder NC courses (e.g. work placement) to better prepare progressing students;
- Additional team building and motivational activities for students;
- Opportunities for students to complete the Scottish Mental Health First Aid training (although these are limited);
- Bespoke timetables for specific students to reduce travel/days at college;
- Increased use of Moodle to deliver units that can be fast-tracked, to free up more time to help students with more difficult units;
- Improved arrangements for access to first line pastoral support, for example individual named tutors (lecturers) for students; regular one to one reviews and one to one support to catch up on work where required; increased tutorial time within classes; additional support given by lecturers outwith normal class timetables to help support students with assessments and coursework;
- Introduction of department assessment centres to reduce the amount of assessment time eating into core delivery sessions; reduces potential assessment overload later in the year; and lessen student anxiety about failed or missed assessments;
- Tightening up on end of Block recovery plans with students;
- Broadening the scope and delivery of ELS (Extended Learning Support) and introduction of department based subject specific ELS support; enhanced ELS type provision for HN students build into teaching schedules at end of Block 1 to enhance student achievement;
- Tightening up on absence monitoring and actioning where attendance levels fall below acceptable thresholds.

To evidence the impact of these measures so far, HODs provided estimates of the numbers of students expected to remain on course and achieve for all HE FT courses. These predictions are in Appendix 2. This shows a very positive current predicted position, with an overall success rate of around 80% for FT HE in 2017-2018, although it is important to note that factors impacting negatively on student success are often unpredictable and can occur at any time in the academic

---

year. It is proposed that this exercise is repeated after the Easter break, to ensure that we are still on track and to ensure that further remedial actions are put in place as required.

One concern arising from the analysis of withdrawal/failure reason in 2016-2017 was the high numbers of withdrawals/failures attributed to “lack of effort or engagement” (79 students, or 20% of the total unsuccessful). This suggests a reactive, rather than proactive approach. While CMs and teams are specifically working on strategies to enhance student engagement from the start and avoid students slipping into poor attendance patterns, SMT have also initiated a full review of the way in which we provide proactive/preventative guidance for HE FT students. The purpose of this review is to ensure that we have robust systems and structures in place to catch students before personal or life circumstances have a negative impact on their studies.

In addition, the college’s IS team have been developing a dataset to enable college staff to more effectively use learner analytics. As part of this, we will analyse our data through a range of demographics and characteristics over a number of datasets, which track student interactions with the college. This will help us to better understand trends, patterns and early indicators of potential drop-out, which can be used by college staff to predict earlier, students more likely to need additional support and monitoring to keep them on course and successfully complete. Given the recent drop in FT HE success rates, initially the focus of this work will be on this group of learners.

**5. Financial Implications**

**Please detail the financial implications of this item – None**

**6. Equalities**

**Assessment in Place? – Yes  No**

**If No, please explain why –** The published PIs report on Sector and individual college performance against a number of protected characteristics.

**Please summarise any positive/negative impacts (noting mitigating actions) –**

**7. Risk**

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

	Likelihood	Impact
Very High		
High		
Medium		
Low	x	x
Very Low		

**Please describe any risks associated with this paper and associated mitigating actions** – Overall the College has performed well in Session 2016-17 in terms of success PIs. We have the highest PIs for part time students, and the highest PIs for Full Time FE students. However, our Full Time HE PI has dropped to below the sector average. This paper sets out the actions being taken to improve success rates for these students and mitigate the risk of negative reputational impact resulting from low success rates.

**Risk Owner** – David Allison/Fiona Brown

**Action Owner** – David Allison/Fiona Brown

**8. Other Implications –**

Please indicate whether there are implications for the areas below.

**Communications** – Yes  No

**Health and Safety** – Yes  No

**Please provide a summary of these implications** – The College publishes its own PIs on the College website.

**Paper Author** – David Allison/Fiona Brown

**SMT Owner** – David Allison/Fiona Brown

Uncontrolled Copy

---



Figure 1: FT FE Success 2016-2017 Sector Comparators

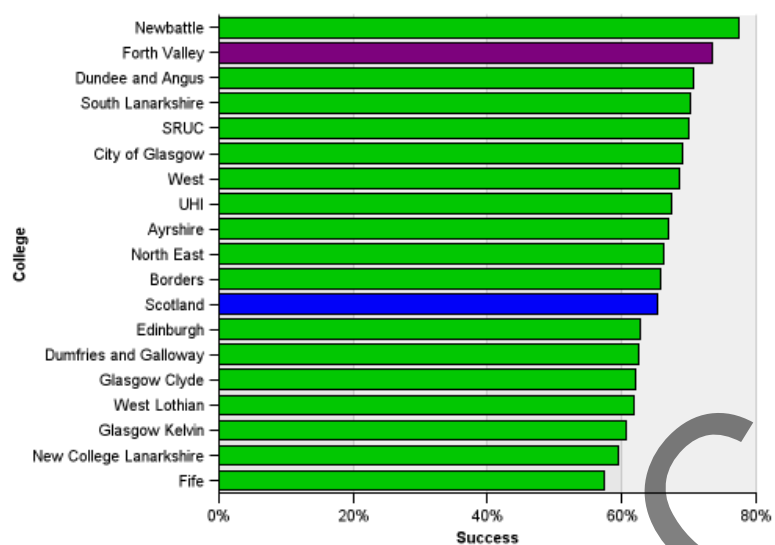


Figure 2: FT HE Success 2016-2017 Sector Comparators

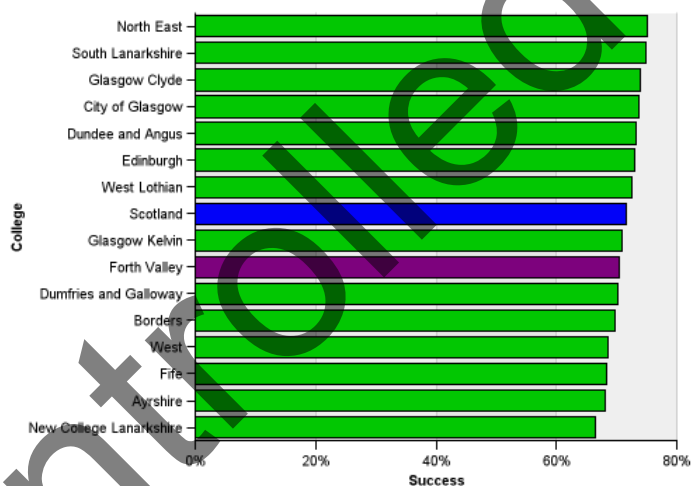


Figure 3: PT FE Success 2016-2017 Sector Comparators

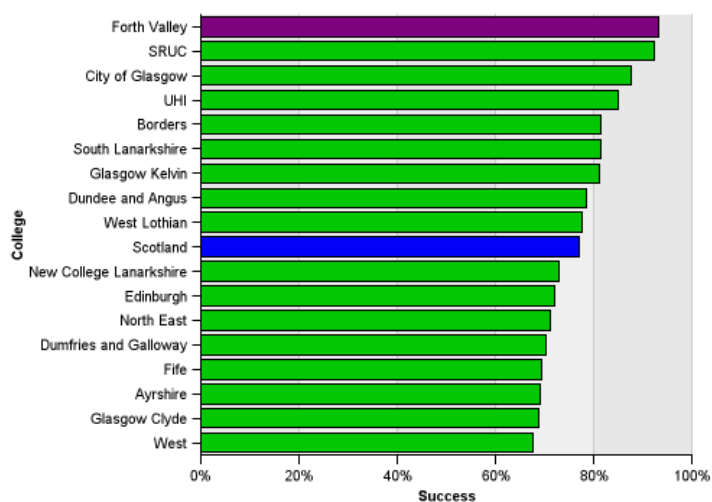


Figure 4: PT HE Success 2016-2017 Sector Comparators

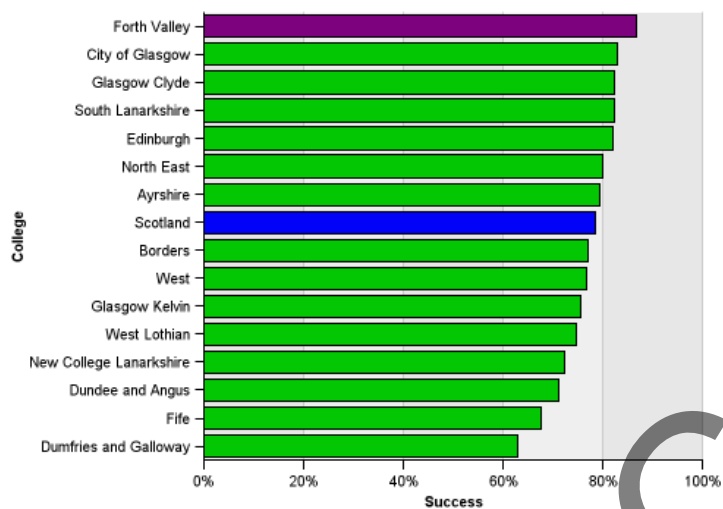


Figure 5: FVC HE FT Success/Partial Success and Withdrawn Percentages 3 Year Trend

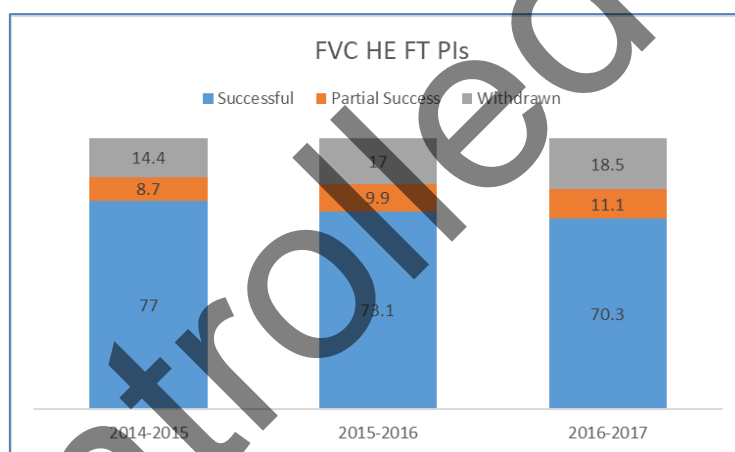
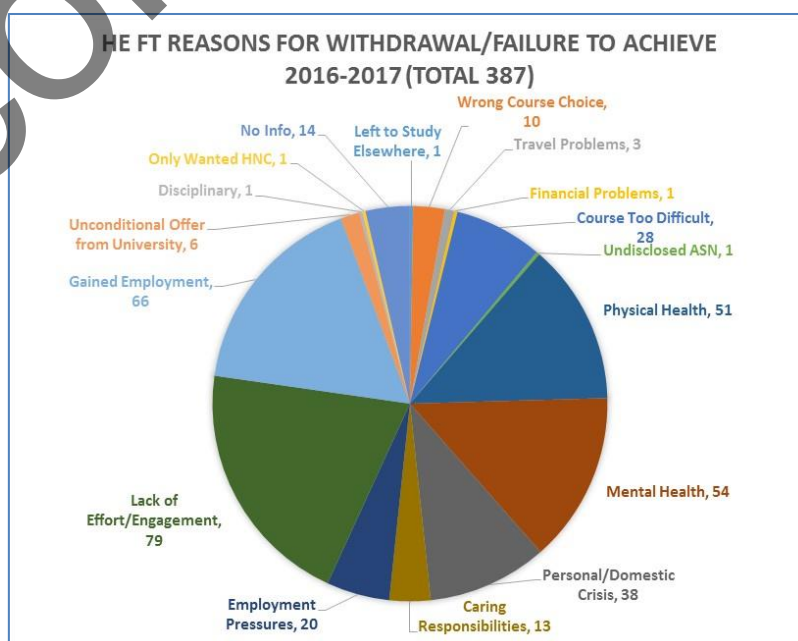


Figure 6: FVC FT HE Reasons for Failure to Achieve 2016-2017



For Information

**From:** OSCR Online [<mailto:oscronline@oscr.org.uk>]

**Sent:** 14 February 2018 12:02

**To:** [oscronline@oscr.org.uk](mailto:oscronline@oscr.org.uk)

**Subject:** [OSCR Online] - Keeping vulnerable beneficiaries, volunteers and staff safe

**Importance:** High

The recent reports of abuses connected to some charities working in the international aid sector are deeply troubling and as a regulator we take such matters extremely seriously.

There are two key points that we would like to remind charities of in light of the reports.

- Safeguarding (keeping vulnerable beneficiaries, volunteers and staff safe)
- Notifiable Events

Due to the importance of them both, we are asking charity trustees to make sure that these topics are Agenda Items at the next meeting.

### **Safeguarding - Keeping vulnerable beneficiaries, volunteers and staff safe**

The public is right to expect the highest standards of governance from charity trustees – charity law also requires it. We work very closely with Police Scotland and the justice system where we consider there is any criminal activity or risk to vulnerable people. Charities working with vulnerable beneficiaries or volunteers need a heightened focus on possible abuses of power that might lead to bullying, harassment, or sexual misconduct.

The legal duty of all charity trustees is to act in the best interests of their charity and, in particular, to act with due care and diligence. For all charities, this means trustees should make sure that they create a safe environment for staff, beneficiaries and volunteers. Charities should have the appropriate policies, procedures and practices in place to make sure that everyone is kept safe. It is important to develop a culture that enables anyone to report concerns, whilst making sure that those concerns are dealt with appropriately and in a sensitive manner. They should also ensure that everyone in the organisation understands these policies and that they are reviewed and kept up to date as organisations grow and change.

Remember, charity trustees are the ones who are ultimately accountable when something goes wrong in a charity, and it is up to them to take appropriate action when it is required. If you are a charity trustee, please review your safeguarding policies – and if they are not comprehensive enough, work with your fellow trustees to get them where they need to be as soon as possible.

Here are some key actions for charity trustees to take:

- Know what you have to do – trustees must follow charity law but there may be other specific statutory duties because of the type of work your charity does (for instance, your staff and volunteers may need to be members of the Protection of Vulnerable Groups –[PVG](#) –scheme depending on the type of work your charity carries out)

## For Information

- Assess your safeguarding risks and address them where necessary
- Be confident that the steps you put in place are relevant to the size and work of your charity
- Make sure your charity's policies and procedures are effectively applied in practice throughout the organisation, and you are confident that they will continue to be followed in the future
- Review your safeguarding policies and procedures at least once every 12 months. If there are gaps, make sure that any new policies or procedures are in line with the charity's purposes and the law
- Encourage a safe environment so that volunteers, staff and beneficiaries feel that they can speak up when they think something is going wrong
- Be decisive with any action you have to take, procrastinating can be viewed as complacency
- Be transparent when incidents do occur, and learn if things go wrong
- Ensure that serious incidents are reported to OSCR and other relevant bodies.

Later this year, we will be publishing new guidance on safeguarding. If there is anything you would like to see us cover in this guidance, please email [info@oscr.org.uk](mailto:info@oscr.org.uk) and we will consider your suggestions.

### Notifiable events

When problems occur, it is important for trustees to address them vigorously and transparently – we have a [Notifiable Events](#) system which should be used in circumstances like this.

This system was started in April 2016 and it gives us an opportunity to provide guidance to charities when serious incidents occur.

A [Notifiable Event](#) could be:

- fraud and theft
- significant financial loss
- incidents of abuse or mistreatment of vulnerable beneficiaries
- a lack of charity trustees required to make a legal decision
- when a charity has been subject to a criminal investigation or an investigation by another regulator or agency; sanctions have been imposed, or concerns raised by another regulator or agency
- when significant sums of money or other property have been donated to the charity from an unknown or unverified source
- suspicions that the charity and/or its assets are being used to fund criminal activity (including terrorism)
- charity trustees acting improperly or whilst disqualified.

There is no legal requirement to report a Notifiable Event. However, it is an important way for charities to reassure us, and other interested parties, that they are on top of the issues they are facing. Ultimately, we may become concerned if there has been a matter that has

For Information

not been reported to us; especially if it goes on to have a negative impact on the individual charity or the wider charity sector.

For more information, please read the [news item](#) we published in November 2017 encouraging charities to report significant incidents when they occur.

Regards,  
David Robb  
Chief Executive  
OSCR Online

- Tel: 01382 220 446
- Email: [osconline@oscr.org.uk](mailto:osconline@oscr.org.uk)
- OSCR, 2nd Floor, Quadrant House, 9 Riverside Drive, Dundee, DD1 4NY

---

This email and any files transmitted with it is intended only for the person(s) (the "Intended Recipient") to whom it is addressed. It may contain information that is privileged and confidential within the meaning of applicable law. Accordingly any dissemination, distribution, copying or other use of this email or any of its contents by any person other than the Intended Recipient may constitute a breach of civil or criminal law and is strictly prohibited. If you are not the Intended Recipient please contact the sender as soon as possible. OSCR's email policy allows for limited personal use of its email system and views expressed in such correspondence are solely those of the author. No liability is accepted for viruses, and it is your responsibility to scan for viruses.