

**Meeting of the Business, Resources and Infrastructure Committee
To be held on Tuesday 28 May 2024 at 4.00pm
by Hybrid Attendance at Kilmarnock Campus and via Microsoft Teams**

AGENDA

- 1 Welcome and Declarations of Interest
- 2 Apologies
- 3 Minutes of the meeting held 12 March 2024
 - BRIC Action & Decision Tracker
- 4 Matters Arising

Paper 1 (C/P)
Paper 1a (P)

Part A - For Discussion, Decision and Approval

- 5 2023-24 Management Accounts as at 30 April 2024
- 6 2024-25 Budget
- 7 Transformational Projects Update
- 8 2023-24 Financial Compliance Report
- 9 2023-24 Financial Matters Update Report

Paper 2 (R) (LW)
Paper 3 (R) (AR/LW)
Paper 4 (R) (AC/AR/DD)
Paper 5 (R) (AR)
Paper 6 (P) (LW)

BREAK

Part B - Regular Reporting/Monitoring

- 10 Estate Update Report including Future Skills Hub Project Review
- 11 Internal Audit Report – Estate Management
- 12 HR & HSW Update Report (Feb 2024 – April 2024)
- 13 HSW benchmark data to be presented
- 14 2023 -24 Quarterly Complaints Report (Q2)

Paper 7 (R) (AR)
Paper 8 (P) (AR)
Paper 9 (R) (DD/GB/MH)
Presentation (R) (MH)
Paper 10 (P) (AC)

Part C- Risk Management

- 15 Strategic Risk Register

Paper 11 (R) (AR)

Part D - For Information

- 16 **Date of Next Meeting** – Tuesday 17 September 2024 at 4.00pm **Kilwinning**

(C/P) Confirmed minutes will be published; (P) Papers will be published on the College website; (R) Papers will not be published for reasons of commercial sensitivity or for reasons of personal data confidentiality

**Minute of the Business, Resources and Infrastructure Committee
Held by Hybrid Attendance at Kilmarnock Campus and
via Video Conference using Microsoft Teams
on Tuesday 12 March 2024**

Present:

Mike Stewart	Chair
Matthew Wilson	Vice Chair
Norman Bone	Non-Executive Board Member
Lisa Keggans	Elected Member, Service/Support Staff
Tim Chan	Elected Student Vice President
Angela Cox	Principal, Ex-Officio
Janette Moore	Elected Member, Curriculum

In attendance:

Anne Campbell	Vice Principal – Skills and Enterprise
David Davidson	Vice Principal – People, Performance and Transformation
Alan Ritchie	Vice Principal – Finance and Infrastructure
Gillian Brown	Head of HR Services
Martin Hammond	Head of Health, Safety and Wellbeing
Alistair Rodgers	Director of Enterprise Development
Liz Walker	Head of Financial Services
Hilary Denholm	Board Governance Advisor
June Northcote	Executive Assistant (Minutes)

1. Welcome and Declarations of Interest

The Chair welcomed everyone to the meeting, particularly Alistair Rodgers, Director of Enterprise Development, and Tim Chan, Elected Student Vice President, who joined BRIC for the first time.

The meeting was confirmed as quorate.

No declarations of interest were presented.

2. Apologies

Apologies were received from Non-Executive Board member Gordon Neil.

3. Minutes of the Previous Meeting held on 21 November 2023 (*Paper 1*) (*P*)

The minute was approved as an accurate account.

Proposed: Norman Bone

Seconded: Lisa Keggans

Action & Decision Log (*Paper 1a*) (*P*)

The Committee noted that all previous decisions and no outstanding actions.

4. Matters Arising

There were no matters arising outwith those detailed on the meeting agenda.

5. Staff survey feedback and considerations (*Presentation*) (P)

Gillian Brown presented detailed results from the staff engagement survey, which was carried out earlier in the year, going on to report a staff response rate of 45% and the staff satisfaction rating down to 56% this year, from 78% the previous year. Those present acknowledged the challenging backdrop across the sector.

The Committee noted the following positive actions being taken by the College:

- The Evolve Leadership and Management development programme
- A Culture Study (values and behaviours)
- Introduction of the Staff Voice Group
- Review of the PPDR process
- Review of internal communication systems and processes
- An 'Investors in Wellbeing' Award

The Committee noted results and actions arising from the staff engagement survey as presented.

8. Financial Regulations Annual Review (*Paper 4*) (P)

Alan Ritchie introduced Paper 4 as presented, summarising the annual review and update of the Financial Regulations.

The Committee noted:

- The Financial Regulations were last updated in December 2022 and have been reviewed and updated as follows:
 - Update of post titles to reflect the current structure throughout the document.
 - Hyperlinks have been made to material documents referred to in the Financial Regulations to allow easy access to reference materials.
 - Board of Management financial responsibilities updated to reflect current wording in relation to financial sustainability.
 - Inclusion of financial responsibilities of the Executive Management Team.
 - The conditions regarding virement of budgets has been simplified.
 - Fraud and corruption section has been removed as now subject to separate policy.
 - Addition of table detailing approval levels for payments.
 - Update of procurement section to include Scottish Government requirements and requisition levels.
 - Addition of section on Intellectual Property Rights.

The relevance of the UK Procurement Legislation, in light of new Scottish Procurement Regulations and Official Journal of European Union (OJEU) process was also discussed.

A minor typographical error was noted and amended at page 38, point 10.13.

The Committee reviewed and approved the report as amended.

Decision BRIC27-D02: The Committee approved the Financial Regulations Annual Review.

11. Mainstreaming Equality and Diversity Annual Report (Paper 7) (P)

Gillian Brown introduced Paper 7, giving an annual update on how the College continues to build on its many strengths and achievements, as highlighted in the April 2023 [Mainstreaming Equality 2021 – 2023 and Equality Outcomes 2021-2025 Report](#).

The Committee noted:

- The ongoing good efforts of the College towards achieving Equality Outcomes 2021-25 and mainstreaming equality across the College.
- Achieving LGBT Youth Charter at foundation level.

The Committee welcomed and noted the detailed report as presented.

Decision BRIC27-D05: The Committee recommended the Mainstreaming Equality and Diversity Annual Report to the Board of Management for approval.

13. 2023-24 Student Support Funds as at 31 January 2024 (Paper 10) (P)

Alan Ritchie introduced Paper 10 as presented, providing an update on how the College has expended and plans to expend the £11m of student support funding.

A five-year analysis was provided to help gauge the impact of Covid and to understand the trend in applications and spend, comparing to pre-covid A/Y 2019-20.

The Committee noted:

- The College has seen a significant increase in the level of care experienced students requiring support during 2023-24.
- The College is supporting 460 care experienced students as at February 2024 compared to 435 in 2023-24. This has resulted in a £100k reduction in projected amount which will be available for the intended April and June cost of living / transition payments.
- The overall position remains that the College is operating within its allocated budget subject to the caveats and risks highlighted within the paper.
- There are no current risks that require to be drawn to members attention.
- Financial projections will continue to be refined throughout the year for reporting to both the Strategic Leadership Team and the Business, Resources and Infrastructure Committee. These projections will also be refined to reflect the information reported by curriculum on student numbers.

The Committee welcomed the detailed report and noted the report as presented.

14. HR & HSW Update Report (Nov 2023 – Jan 24) (Paper 11) (P)

Gillian Brown and Martin Hammond introduced Paper 11, as presented.

Committee members noted:

- The report provides members with an update on Human Resources and Health, Safety and Wellbeing activities during the reporting period, November 2023 to January 2024.
- This includes key data on recruitment and selection, sickness absence, staff learning and development, equality and inclusion and health, safety and wellbeing.
- HSW benchmark data to be presented at a future meeting.

The Committee noted the report as presented.

15. Quarterly Complaints Report Q1 (Paper 12) (P)

Anne Campbell introduced Paper 12, as presented.

Committee members noted:

- The report covers the period August – October 2023.
- 37 issues were received.
- 31 complaints were received, 1 of these was withdrawn. 6 issues were recorded as cannot directly assist.
- 20 out of 30 complaints received were dealt with at stage 1, which equates to 67% of complaints.
- Of the 30 complaints received, 37% of complaints were upheld, with a further 3% partially upheld. This combines to 12 out of 30 complaints. 5 complaints were resolved.

The Committee noted the report as presented.

17. AOB

No other items of business were noted.

18. Date of Next Meeting: Tuesday 28 May 2024 at 4pm.

(C/P) Confirmed minutes will be published on College Website; (P) – Paper will be published on the College Website; (R) – Paper is reserved, because it contains data or information of a personal nature, which is restricted by legislation, or because it contains commercially sensitive information, and will not be published on the College Website.

RESERVED ITEMS ON THE NEXT PAGE

Business, Resources & Infrastructure Committee - Action and Decision Log
Meeting No 28 – 28 May 2024

(Paper 1a)

Meeting Date	Agenda Item	Reference	Details	Action Owner	Due Date	Action Decision	Open Complete Approved Declined
12.03.24	2023-24 Management Accounts as at 31 Jan 2024	BRIC27: D01	The Committee recommended the 2023-24 Management Accounts to the Board of Management for approval.	N/A	N/A	Decision	Approved
12.03.24	Financial Regulations Update	BRIC27: D02	The Committee approved the Financial Regulations Update report.	N/A	N/A	Decision	Approved
12.03.24	College Estates Update	BRIC27: D03	The Committee reviewed and approved the payments and the report as presented.	N/A	N/A	Decision	Approved
12.03.24	Business Growth 6-month report	BRIC27: D04	The Committee recommended the Business Growth 6-month report to the Board of Management for approval.	N/A	N/A	Decision	Approved
12.03.24	Business Growth 6-month report	BRIC27: A01	A Stakeholder Engagement Strategy is to be introduced by the next cycle of Board meetings.	A Rodgers	28.05.24	Action	
12.03.24	Mainstreaming Equality & Diversity Annual Report	BRIC27: D05	The Committee recommended the Mainstreaming Equality & Diversity Annual Report to the Board of Management for approval.	N/A	N/A	Decision	Approved
12.03.24	2023-24 Corporate Risk Register	BRIC27: D06	The Committee approved the Risk for submission to ARC.	N/A	19.03.24	Decision	Approved

Business, Resources and Infrastructure Committee

28 May 2024

Strategic Objective Reference: SO5 High performing college underpinned by excellence in stewardship and governance.

Subject: **Financial Update Report**

Purpose: This report provides the Business, Resources and Infrastructure Committee with an update of several key matters including:

- 1) Key Stakeholder Engagement
- 2) External / Internal Audit
- 3) Procurement
- 4) Taxation
- 5) Banking
- 6) Loans

Recommendation: The Business, Resources and Infrastructure Committee is requested to consider the report.

1 KEY STAKEHOLDER ENGAGEMENT

Scottish Funding Council

- 1.1 The following table presents a list of SFC circulars issued since the last Committee meeting:

Date published	Circular	Content
12/3/2024	<u>College Statistics 2022-23</u>	Statistics
12/3/2024	<u>College Leavers Destination Guidance 2022-23</u>	Statistics
13/3/2024	<u>In year Re-distribution of Student Support Funds 2023-24</u>	Request for Info
28/3/2024	<u>College Staffing Data 2022-23</u>	Statistics
28/3/2024	<u>College Indicative Funding Allocations 2024-25</u>	Funding
22/4/2024	<u>FES Guidance Notes 2024-25</u>	Guidance

- 1.2 There were no returns due in the period and the College did not make any request for additional student support funding.
- 1.3 The College continues to discuss the CDEL / RDEL matter with the SFC however the SFC see this as a Scottish Government matter. The College has engaged with local MSPs to highlight the impact on Ayrshire of the change in policy. Discussions are ongoing with the College external auditors and the matter will be discussed at the June Audit and Risk Committee.

Skills Development Scotland

- 1.4 The table below shows the contracts awarded over the last two years. Although the 2024-25 contract value has increased this is not the increase that was projected and the College is in discussions with SDS. A further update on discussions with SDS will be provided at the Committee meeting.

Contract Year	Contract Amount
FY 2023-24	£1,178,913
FY 2024-25	£1,362,184

2 EXTERNAL / INTERNAL AUDIT

External Audit – Statutory Accounts

- 2.1 2023-24 will be the second year of Azets five-year external audit appointment. As previously reported the College has met with Azets to review the lessons to be learned from the 2022-23 audit.
- 2.2 The 2023-24 audit team will be:
- Andy Reid - Director
 - Adrian Kolodziej – Senior Manager
 - Caitlin McKenzie - Associate
- 2.3 The College continues to progress with the agreed audit plan:
- | | |
|------------------------------------|------------|
| • Student funding audit | 26-08-2024 |
| • Student activity audit | 16-09-2024 |
| • SFC FES Activity Statement | 04-10-2024 |
| • Financial Statements audit | 14-10-2024 |
| • Joint ARC / BRIC | 03-12-2024 |
| • Board of Management | 19-12-2024 |
| • Submission of year end paperwork | 31-12-2024 |
- 2.4 The College has held an initial planning meeting with the external auditors to bring them up to date with the issues / challenges faced by the College. The Audit and Risk Committee will receive the Audit Planning Strategy at its June 2024 meeting. A copy will be shared with the Business, Resources and Infrastructure Committee.

External Audit – Credits, Student Funding and Educational Maintenance Allowances

- 2.5 The College has confirmed with Wylie and Bisset that the audit of SFC credit activity is to be undertaken in the period 16 to 20 September. The student funding and EMA audit is to be undertaken in the period 26 to 30 August 2024.
- 2.6 Planning for these audits has been completed and the College is awaiting SFC audit guidance which is due to be published shortly.

Internal Audit

- 2.7 Wylie & Bisset are currently conducting Internal Audits on three areas:
- Overall Financial Controls
 - IT Security
 - Corporate Governance

- 2.8 The final reports will be issued to the June Audit and Risk Committee for their consideration with the Business, Resources and Infrastructure Committee receiving a verbal update on the outcomes at the May meeting and the actual reports at the September meeting.

3 PROCUREMENT

- 3.1 There are no procurement contracts that require approval at this meeting.

4 TAXATION

Background

- 4.1 The College is a registered charity (Scottish Charity Number SC021177) and is recognised by HM Revenue and Customs as a charity for the purpose of section 467, Income and Corporation Taxes Act 2010 and as such is exempt from corporation tax on charitable activities. The College receives no similar exemption in respect of Value Added Tax (VAT).
- 4.2 The College is not exempt from paying corporation tax on non-charitable activities where these activities are deemed to have made a profit. Non-charitable areas of activity include conference income and sponsorship; hire of accommodation; other non-core income and the rental/lease of accommodation.

Corporation Tax

- 4.3 Based on professional advice the College annually reviews the areas of activity which are likely to be deemed as non-charitable including the provision of catering services and rent/lease of premises. The total costs of supplying such services are calculated and compared to the level of income generated by the College. If a loss is generated, the net position arising from this means that the College has no corporation tax to pay.
- 4.4 The exercise to confirm the 2022-23 College corporation tax position was completed during the first quarter of 2023-24. The outcome of the exercise confirmed that there was no corporation tax liability on any of the College's non-charitable activities.
- 4.5 The College will annually review the requirement to take external professional advice regarding its corporation tax liability.

VAT

- 4.6 The VAT incurred by the College on purchases and overheads is known as input tax. For businesses that only make taxable supplies, either standard-rate, lower-rate or zero-rate, this input tax is fully recoverable, however for the College this is not the case.
- 4.7 The College, whilst being a VAT registered business, makes a material level of exempt sales (tuition fees, grant income) upon which it cannot charge VAT. The consequence of which is that the College cannot usually reclaim the input tax it incurs on purchases and overheads used in making those exempt supplies. The College makes both taxable and exempt supplies and is therefore considered as partially exempt.
- 4.8 As the College is partially exempt, it cannot recover input tax on purchases, costs and overheads relating to the exempt sales. Identifying the input tax that relates solely to the exempt supplies should be straight forward. However, a portion of overheads such as audit fees, light, heat, telephone and communication and IT costs are also likely to relate to exempt sales and must be identified.
- 4.9 The College and HMRC have agreed a special method for recovery of pot VAT. This agreement has allowed the College to annually recover pot VAT of approximately £20,000 This is recovered quarterly as an estimated percentage with an annual adjustment conducted each year and a claim for 2023-24 will be made as part of the October 2024 VAT return.
- 4.10 The College continues to conduct an annual externally facilitated VAT review, conducted by Azets . This review evaluates the quarterly VAT returns to ensure the returns are being submitted correctly; level of business/non-business % to allow the College to continue to claim VAT at lower % rate on utility supplies and purchasing activity to ensure VAT reclaims are made where possible.
- 4.11 The latest College VAT review was undertaken in November 2023 and resulted in the College recovering £2,507 from HMRC. This was because of the annual calculation of the recovery percentage increasing from 0.89% to 1.06%. This is recalculated every year. A similar review will be undertaken in November 2024.
- 4.12 In the past year, the College has not been subject to a VAT inspection by HMRC and has continued to submit digital quarterly VAT returns.

Pay As You Earn (PAYE)

- 4.13 During 2023-24 there have been no issues with either the calculation of PAYE nor in the payment of the relevant tax and national insurance.
- 4.14 The College has not been subject to a PAYE audit during the year.

5 BANKING

Primary Banking Service

- 5.1 In line with Scottish Government requirements, the College primary banking services are provided by the supplier appointed to the Banking Services Framework - Royal Bank of Scotland (RBS).
- 5.2 The Scottish Government issued a retender for the provision of banking services to 31 July 2026, which was awarded to RBS. The current banking arrangements are therefore not subject to any immediate change.

Bank Account and Signatories

- 5.3 The College operates the following bank accounts:

Bank	Account Name	Account Type	Date Closed
RBS	Main Account	Current	n/a
RBS	Purchase Ledger Account	Current	n/a
RBS	Sales Ledger Account	Current	n/a
RBS	Sundry Income Account	Current	n/a
RBS	Student Funds Account	Current	n/a
RBS	Other Funds Account	Current	n/a
RBS	Restricted Funds Account	Current	n/a
Bank of Scotland	Main Account	Current	19-02-2024
Bank of Scotland	Restricted Funds Account	Current	19-02-2024

- 5.4 All bank accounts are operated in line with the College Financial Regulations. The bank mandate for all accounts requires two signatories from the appropriate panels' dependant on value.

Credit Cards

- 5.5 Royal Bank of Scotland credit cards have been issued to the following members of staff with associated limits:

Account Name	Position	Expenditure Limit
Angela Cox	Principal	£2,000
Anne Campbell	Vice Principal	£2,000
Alan Ritchie	Vice Principal	£2,000
David Davidson	Vice Principal	£2,000
Liz Walker – Finance (online purchases)	Head of Financial Services	£10,000

- 5.6 The card issued to the Finance Department is only for use for online purchases. The purpose of these cards is to allow items to be ordered in line with the Financial Regulations.

6 LOANS

- 6.1 The College has two long term loans related to the Kilmarnock and Kilwinning campuses. Details are as follows:

Campus	Type	Provider	Length of Loan	End date
Kilmarnock	NPD	C3	25 years	October 2041
Kilwinning	PFI	KE Projects	25 years	June 2025

Campus	Opening Creditor 31.7.23 £'000	Capital Repayment 2023-24 £'000	Closing Creditor 31.7.24 £'000	Interest Payment 2023-24 £'000
Kilmarnock	38,939	1,440	37,499	2,275
Kilwinning	2,113	1,250	864	119

7 Resource Implications

7.1 There are no resource implications associated with this paper.

8 Consultation

8.1 Given the content of the paper no consultation was required or is required because of this paper.

9 Risk Considerations

9.1 There are no further risks identified because of this paper.

10 Equality Impact Assessment

10.1 An equality impact assessment is not applicable to this paper given the subject matter.

11 Recommendation

11.1 The Business, Resources and Infrastructure Committee are requested to note the content of the report.

Liz Walker
Head of Financial Services
28 May 2024

Publication

This paper will be published on the College's website.

Business, Resources and Infrastructure Committee**28 May 2024**

Strategic Objective Reference: SO5 High performing college underpinned by excellence in stewardship and governance

Subject: Internal Audit Report – Estate Management

Purpose: The paper provides an overview of the recently conducted internal audit review into Estate Management at the College.

Recommendation: The Audit and Risk Committee is requested to consider and note the report.

1 Executive Summary

This review formed part of the 2023-24 Internal Audit Plan. The purpose of this assignment was to review the strategic and operational arrangements in place in respect of estates management at the College. The internal auditors also reviewed the maintenance of the assets, the safety of the estates and the processes to ensure compliance with safety legislation.

Overall Assurance: Weak

The overall conclusion is as follows:

'We can provide the College with a weak level of assurance surrounding the controls in place for Estates Management. We have raised two recommendations including one high grade recommendations for improvement. Please see Section 3: Detailed Recommendations for further information. We have also raised three observations for consideration, please see Section 4: Observations for more information.'

The weak assurance is provided based on the lack of a current Infrastructure Strategy being in place. The College has committed to providing an updated Infrastructure Strategy by the end of 2024. The report has identified several areas of good practice on page 10 including that the College is meeting its statutory obligations.

2 Detailed Report

The College has accepted the one high and one medium graded recommendation and these will be added to the Rolling Audit Action Plan.

3 Resource Implications

No further resource implications require to be noted in this paper.

4 Consultation

No formal consultation is required to be completed. The audit report has been discussed with the relevant members of the Senior Leadership Team (SLT) and the required actions are being undertaken to address the recommendations made.

5 Risks

There are no further risks required to be considered because of this report.

6 Equality Impact Assessment

An equality impact assessment is not applicable to this paper given the subject matter.

7 Recommendation

The Audit and Risk Committee is requested to consider and note the report.

Alan Ritchie
Vice Principal, Finance and Infrastructure
28 May 2024

Publication

This paper will be published on the College's website.

Ayrshire College Internal Audit 2023-24

Estates Management
February 2024

Overall Conclusion

Weak

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The matters raised in this report came to our attention during the course of our audit and are not necessarily a comprehensive statement of all weaknesses that exist or all improvements that might be made.

This report has been prepared solely for Ayrshire College's individual use and should not be quoted in whole or in part without prior written consent. No responsibility to any third party is accepted as the report has not been prepared, and is not intended, for any third party.

We emphasise that the responsibility for a sound system of internal control rests with management and work performed by internal audit should not be relied upon to identify all system weaknesses that may exist. Neither should internal audit be relied upon to identify all circumstances of fraud or irregularity should there be any although our audit procedures are designed so that any material irregularity has a reasonable probability of discovery. Every sound system of control may not be proof against collusive fraud. Internal audit procedures are designed to focus on areas that are considered to be of greatest risk and significance.

Overview

Purpose of review

The purpose of this assignment was to review the strategic and operational arrangements in place in respect of estates management at the College. We have also reviewed the maintenance of the assets, the safety of the estates and the processes to ensure compliance with safety legislation.

This review formed part of our 2023/24 Annual Internal Audit Plan.

Scope of review

Our objectives for this review were to ensure:

- The College's Estates Strategy supports the College objectives.
- The College has appropriate arrangements in place to ensure that its estates are managed effectively.
- There are robust procedures in place for ongoing maintenance and repair within the College.
- Estates planning takes due consideration of the College's future plans for the curriculum.
- The College is meeting its statutory obligations in relation to Estates Management.

Our approach to this assignment took the form of discussion with relevant staff, review of documentation and where appropriate sample testing.

1 EXECUTIVE SUMMARY

Limitation of scope

There was no limitation of scope.

1 EXECUTIVE SUMMARY

Background Information

College Estates

Ayrshire College has recently undergone a restructure of its estate where the previous Estates Strategy has rationalised and reduced the College estate down to three campuses and a satellite delivery centre. The three main campuses are in:

- Ayr;
- Kilmarnock; and
- Kilwinning.

Ayr Campus

The Ayr Campus is owned by the College and includes the Dam Park Building, Riverside Building and the Aeronautical Engineering Training Centre. The College is responsible for the maintenance of the Ayr Campus, whereby they will monitor and ensure compliance with the relevant statutory obligations.

The College maintain a schedule of planned preventative maintenance for the Ayr Campus which ensures statutory compliance inspections are appropriately scheduled and completed within required timeframes. During our review we were able to evidence that the College is fully meeting its obligations in respect of:

- Fire Safety;
- Gas Safety;
- Lift Maintenance; and
- Asbestos Management.

The campus has some of the oldest estate of the three campuses and is the only estate that requires asbestos inspections to be conducted.

1 EXECUTIVE SUMMARY

Kilmarnock Campus

The Kilmarnock Campus opened in 2016 and is the newest of the three campuses. The campus offers a wide range of facilities including gym and sports facilities, café and restaurant and a Learning Resource Centre. The campus is owned by C3 Investments and is maintained through a facilities management agreement provided by Dalkia. As such, the College does not have an obligation over the maintenance of the building but does have an invested interest to ensure the building is fit for purpose and properly maintained for the effective delivery of its curriculum.

Monthly meetings are held between C3 Investment, Dalkia and the College which consider the status of the campus and any planned works scheduled.

Kilwinning Campus

The Kilwinning Campus is owned by KE Projects Ltd and is maintained through a facilities management agreement provided by Bellrock. The Campus was established using a Public Finance Initiative (PFI) arrangement. The Kilwinning Campus is set to be returned to College ownership at the end of the agreement in June 2025. Monthly meetings are held with all parties similarly to the Kilmarnock Campus, where assurances are relayed back to the College. In 2023, the Willie Mackie Future Skills Hub opened adjacent to the main building which provides curriculum activities such as trades e.g. joinery, painting and decorating, as well as renewable energy. The College is currently looking towards creating sustainable estates in a move towards the Scottish Government Net Zero ambition and as such an energy audit is to be conducted. We have raised an observation regarding the net zero target. **Please refer to Section 4: Observation for further information.**

Estates and Infrastructure Team

There has been several notable changes in personnel at the College which has significantly impacted the Team. The Team is currently headed up by the Vice Principal of Finance and Infrastructure who has been in post since October 2023. The structure of the team is clear with defined roles and responsibilities however, due to vacancies and turnover in staff the team is not operating at full capacity. We have raised an observation regarding the current vacancies. **Please refer to Section 4: Observation for further information.**

1 EXECUTIVE SUMMARY

Estates Strategy

The College's 2010 - 2015 Estates Strategy was aimed at consolidating its estate down to the three campuses currently in use, including the opening of the new Kilmarnock campus. The College's previous Infrastructure Strategy ran from 2018 to 2020 and established five key strategic aims. There has been no Infrastructure Strategy in place since the conclusion of the previous strategy. We have raised a high-grade recommendation surrounding the development of an Infrastructure Strategy. **Please refer to section 3: Detailed Recommendations for further information.**

Property Budget

The College's total budget consists of a property budget which covers the maintenance of its estate. The budget allocated for the year is £2.7m. The budget and each component, including that of property, is considered within the management accounts which provide an analysis on the actual v budget for the year to date and forecast for the year. Significant variances are also highlighted through a traffic light system. Performance against the property budget for the year to date is slightly ahead of budget, with the College operating at a positive variance of £17k.

1 EXECUTIVE SUMMARY

Work Undertaken

Our work undertaken for this review included the following:

Objective 1: The College's Estates Strategy supports the College objectives.

- We have considered the current arrangements in place surrounding the development of an Infrastructure Strategy.
- We have discussed with key staff the current situation at the College and the timelines expected for the implementation of a robust infrastructure strategy.

Objective 2: The College has appropriate arrangements in place to ensure that its estates are managed effectively.

- We have considered the structure of the Estates Team and considered whether roles and responsibilities are documented, and staff are aware of this.
- We considered the reporting arrangements in place in respect of estates at the College to ascertain if this is adequate and provides management with valuable information.

Objective 3: There are robust procedures in place for ongoing maintenance and repair within the College.

- We have considered the Planned Preventative Maintenance Schedules in place for the Ayr Campus and the sources of assurance for the Kilmarnock and Kilwinning campuses.
- We have considered the use of the Estates Helpdesk and reviewed the utilisation of the tool in responding to estates requests and reactive maintenance works.
- We discussed with key staff the arrangements in place for ensuring the effective maintenance of the College's three campuses.

Objective 4: Estates planning takes due consideration of the College's future plans for the curriculum.

- We considered the arrangements in place for the development of a Curriculum Development Plan.
- We discussed with staff the current situation regarding the development of the Curriculum Development Plan to ascertain how the College ensure estates have the capacity to deliver the plan.

1 EXECUTIVE SUMMARY

Objective 5: The College is meeting its statutory obligations in relation to Estates Management.

- We reviewed the monitoring and compliance arrangements the College have in place to ensure that it is meeting its statutory obligations. This included sample testing on:
 - Fire Risk Assessment conducted at the Ayr Campus Buildings.
 - Asbestos Inspection conducted in December 2023 by SOCOTEC.
 - Boiler Services conducted in August 2023 at the Ayr Campus.
 - Lift Maintenance reports from OTIS for the period October 2023 to January 2024.
 - Lift Maintenance examinations conducted by Allianz for February 2023 and August 2023.

1 EXECUTIVE SUMMARY

Conclusion

Overall conclusion

Overall Conclusion: Weak

We can provide the College with a weak level of assurance surrounding the controls in place for Estates Management. We have raised two recommendations including one high grade recommendations for improvement. Please see **Section 3: Detailed Recommendations** for further information. We have also raised three observations for consideration, please see **Section 4: Observations** for more information.

Summary of recommendations

Grading of recommendations				
	High	Medium	Low	Total
Estates Management	1	1	0	2

The following is a summary of the recommendations we have graded as high

- Infrastructure Strategy

1 EXECUTIVE SUMMARY

Areas of good practice

The following is a list of areas where the College is operating effectively and following good practice.	
1.	The College has processes in place across its Ayr Campus to ensure the safety of its buildings in accordance with the Health and Safety at Work Act 1974. We were able to confirm these processes are operating effectively for the management of fire safety, asbestos, legionella, gas, and lifts. The College receives external assurances that the Kilmarnock and Kilwinning campuses are meeting their statutory obligations through monthly meetings with Dalkia and Bellrock.
2.	The College maintain Planned Preventative Maintenance (PPM) Schedules to ensure all planned works are conducted timely across the three campuses. The College is responsible for the maintenance of the Ayr Campus and as such ensure all planned works are conducted accordingly. We were able to confirm for the calendar years 2023 and 2024 to date, all PPM inspections had been completed accordingly or are scheduled to be completed during the year.
3.	The Estates Team is headed up by the interim Estates Manager and overseen by the Vice Principal of Finance and Infrastructure, the structure of the team is clearly documented with the roles and responsibilities outlined within the active job descriptions. From discussions with key members of staff we were able to confirm awareness of these responsibilities.
4.	The College effectively consider budget holder input when considering the allocation of the capital budget. Both a capital works request form and scoring matrix are used to assess proposed projects and allow the College to assess the needs and interests of its budget holders whilst considering projects that are in the interests of the College and funding opportunities available.

1 EXECUTIVE SUMMARY

The following is a list of areas where the College is operating effectively and following good practice.

5.

The College's Management Accounts effectively outline any variances against the budget for both the year to date and annual forecast. An analysis of property costs is included as an appendix to the accounts that effectively considers the maintenance budget on an ongoing basis. From our review of the December 2023 Management Accounts, the College is currently operating at a positive variance of £17k.

The property budget is currently managed by the Interim Estates Manager with monthly meetings held with the Finance Team to consider any areas of concern or significant variances identified.

2 BENCHMARKING

We include for your reference comparative benchmarking data of the number and ranking of recommendations made for audits of a similar nature in the most recently finished internal audit year.

Estates Management

Benchmarking				
	High	Medium	Low	Total
Average number of recommendations in similar audits	0	0	2	2
Number of recommendations at Ayrshire College	1	1	0	2

From the table above it can be seen that the College has a similar number of recommendations although the gradings are higher compared to those colleges it has been benchmarked against.

3 DETAILED RECOMMENDATIONS

Infrastructure Strategy			
Ref.	Finding and Risk	Grade	Recommendation
1.	Organisations should maintain an Infrastructure Strategy to provide a strategic plan for managing and developing its estates in line with its corporate objectives. During our review we identified the College's Infrastructure Strategy is currently out of date. We were informed the decision was made to pause the development of an Infrastructure Strategy until the College's Corporate Plan has been fully developed and implemented, a target date for the Corporate Plan has been set for Summer 2024. Thereafter an Infrastructure Strategy will be developed to direct future plans. The infrastructure Strategy should take consideration of the utilisation of the College estates, we were informed the College is unaware of its current utilisation. There is the risk that without an Infrastructure Strategy the utilisation of the College's estates does not align with the mission of the College.	High	We recommend that the College ensure an Infrastructure Strategy is developed following the implementation of the Corporate Plan. The College should focus on gathering data and undertake a utilisation exercise to highlight areas underutilised. The Infrastructure Strategy should take consideration of: • Details and condition of the College campuses • Utilisation • Financial implications and running costs • Curriculum planning and learner needs • Sustainability • Options Appraisals

3 DETAILED RECOMMENDATIONS

Management response	Responsibility and implementation date
The College and the wider sector were expecting the delivery of the SFC Infrastructure Strategy in the latter part of 2023. The Strategy has now been replaced with a commitment from the SFC to deliver an infrastructure investment plan by the end of 2024. The College had anticipated that the SFC Strategy would provide an outline for the College to consider in developing its own strategy, but as this is now not available then the College will look to develop its own Infrastructure Strategy. This Strategy will be developed in conjunction with the revised Ayrshire College Corporate Strategy.	<i>Responsible Officer:</i> Vice Principal Finance and Infrastructure <i>Implementation Date:</i> 31 December 2024

3 DETAILED RECOMMENDATIONS

Monitoring of Estates Helpdesk			
Ref.	Finding and Risk	Grade	Recommendation
2.	It is good practice for organisations to monitor and report their performance against a set of agreed KPIs for the completion of estate works. During our review, we identified the College have an effective tool, the Estates Helpdesk, which logs requests made by staff. The Helpdesk allows for the effective recording of requests made by staff and provides the foundation to monitor performance. However, we identified this is not being fully utilised, where the completion of requests is not logged and no KPIs have been established to monitor and report performance. The College receives reports from the maintenance providers at the Kilmarnock and Kilwinning campuses, however there is limited internal reporting. There is the risk without adequate monitoring and reporting, high priority requests may go unresolved causing potential hazards at the College estates. There is a further risk that Management do not receive adequate information to inform key	Medium	We recommend that the College use its Estates Helpdesk for the monitoring of requests made. This would be strengthened alongside the introduction of reactive KPIs where performance can be measured on an ongoing basis. Thereafter regular estates reports should be produced and presented to Senior Management to inform key decisions and provide updates on performance against an established set of indicators. We also recommend the College look to implement a control to identify high priority requests from day to day requests. This will ensure high priority requests are identified at the first point of contact and as such can be resolved timely in line with established KPIs.

3 DETAILED RECOMMENDATIONS

	decisions.		
Management response			Responsibility and implementation date
The College receives monthly reports from both of its facilities management companies at Kilmarnock and Kilwinning. The College will develop a consistent suite of monthly reports incorporating the headings utilised by the external providers along with an agreed set of Performance Indicators for quarterly reporting to the Senior Leadership Team.			<i>Responsible Officer:</i> Vice Principal Finance and Infrastructure <i>Implementation Date:</i> 31 October 2024

4 OBSERVATIONS

The following is a list of observations from our review

1.	During our review we were informed that the Curriculum Development Plan (CDP) for this year has only recently been produced due delays in core information being produced including SFC credit guidance. Going forward the CDP should be prepared timely to ensure estates are used fully and have the capacity to deliver the desired curriculum.
2.	Whilst we were able to evidence a clear structure and defined roles and responsibilities, we have noted a turnover in staff has had an adverse impact on the College Estates Team. Currently the College has an Interim Estates Manager and one Estates Team Leader vacancy. The College should look to actively restore the Estates Team to full capacity to ensure its ambitions and improvements noted during our review can be implemented going forward. The College is aware of the current vacancies and is actively looking to fill these positions.
3.	The College aspires to meet the Scottish Governments net zero ambition for 2045 and as such is taking this into consideration for future planning. From discussions with key staff, it has been noted that the College will require additional funding if it wants to achieve this ambition. The College is committed to ensuring its priority remains with the delivery of its curriculum and will require guidance from the Scottish Government and Scottish Funding Council to achieve net zero whilst maintaining the quality of its curriculum delivery.

5 AUDIT ARRANGEMENTS

The table below details the actual dates for our fieldwork and the reporting on the audit area under review. The timescales set out below will enable us to present our final report at the next Audit and Risk Committee meeting.

Audit stage	Date
Fieldwork start	29 January 2024
Closing meeting	8 February 2024
Draft report issued	14 February 2024
Receipt of management responses	4 March 2024
Final report issued	5 March 2024
Audit and Risk Committee	19 March 2024
Number of audit days	6

6 KEY PERSONNEL

We detail below our staff who undertook the review together with the College staff we spoke to during our review.

Wylie & Bisset LLP			
Partner	Graham Gillespie	Partner	graham.gillespie@wyliebisset.com
Director	Stephen Pringle	Director of Internal Audit	stephen.pringle@wyliebisset.com
Senior	Zendl Abaigar	Internal Audit Senior	zendl.abaigar@wyliebisset.com
Auditor	Kyle McGuinness	Internal Auditor	kyle.mcguinness@wyliebisset.com

Ayrshire College			
Key Contacts:	Alan Ritchie	Vice Principal of Finance and Infrastructure	alan.ritchie@ayrshire.ac.uk
	Lisa Keggans	Interim Estates Manager	lisa.keggans@ayrshire.ac.uk
	Martin Hammond	Head of Health, Safety and Wellbeing	martin.hammond@ayrshire.ac.uk
Wylie & Bisset appreciates the time provided by all the individuals involved in this review and would like to thank them for their assistance and co-operation.			

APPENDICES

A GRADING STRUCTURE

For each area of review, we assign a level of assurance in accordance with the following classification:

Assurance	Classification
Strong	Controls satisfactory, no major weaknesses found, no or only minor recommendations identified.
Substantial	Controls largely satisfactory although some weaknesses identified, recommendations for improvement made.
Weak	Controls unsatisfactory and major systems weaknesses identified that require to be addressed immediately.
No	No or very limited controls in place leaving the system open to significant error or abuse, recommendations made require to be implemented immediately.

A GRADING STRUCTURE

For each recommendation, we assign a grading either as High, Medium, or Low priority depending on the degree of risk assessed as outlined below:

Grading	Classification
High	Major weakness that we consider needs to be brought to the attention of the Audit and Risk Committee and addressed by Senior Management of the College as a matter of urgency.
Medium	Significant issue or weakness which should be addressed by the College as soon as possible.
Low	Minor issue or weakness reported where management may wish to consider our recommendation.

Purpose of review

The purpose of this assignment is to review the strategic and operational arrangements in place in respect of estates management at the College. We will also review the maintenance of the assets, the safety of the estates and the processes to ensure compliance with safety legislation.

This review forms part of our 2023/24 Annual Internal Audit Plan.

Scope of review

Our objectives for this review are to ensure:

- The College's Estates Strategy supports the College objectives.
- The College has appropriate arrangements in place to ensure that its estates are managed effectively.
- There are robust procedures in place for ongoing maintenance and repair within the College.
- Estates planning takes due consideration of the College's future plans for the curriculum.
- The College is meeting its statutory obligations in relation to Estates Management.

Our approach to this assignment took the form of discussion with relevant staff, review of documentation and where appropriate sample testing.

Limitation of scope

There is no limitation of scope.

Audit approach

Our approach to the review will be:

- Discussion with key personnel to ascertain the current arrangements in place for the management of the College Estates.
- Assessment of the arrangements to consider whether these are fit for purpose and ensure effective management of the College Estates.
- Discussion with relevant management, staff, and budget holders to establish the operational control arrangements and their involvement in this process.
- A review of the maintenance controls for re-active and preventative maintenance.
- An assessment of how contractors are procured for, organised, and monitored.
- Review of documentation to confirm that policies and procedures are in place and that current arrangements comply with good practice.
- Appraisal of the adequacy of information and reporting provided to senior management for decision making.
- An overall review of the internal control environment to ensure all relevant controls are evident and being complied with.
- Review of whether the College is attaining value for money with their Estates Management Activities.
- Confirming that the College's estates works are in line with their Strategy.

Potential key risks

The potential key risks associated with the area under review are:

- The College's Estates Strategy is inadequate and is not consistent with the College's Strategic Plan.
- Current arrangements are inadequate and do not allow effective management of the College's estates.
- Robust procedures may not be in place for ongoing maintenance and repair within the College.
- The curriculum is not considered when the College is planning its Estates Strategy.
- The College is not meeting its statutory obligations in relation to Estates Management.

**Quarterly Complaints Report
2023/2024
Quarter 2 (November 2023 –
January 2024)**

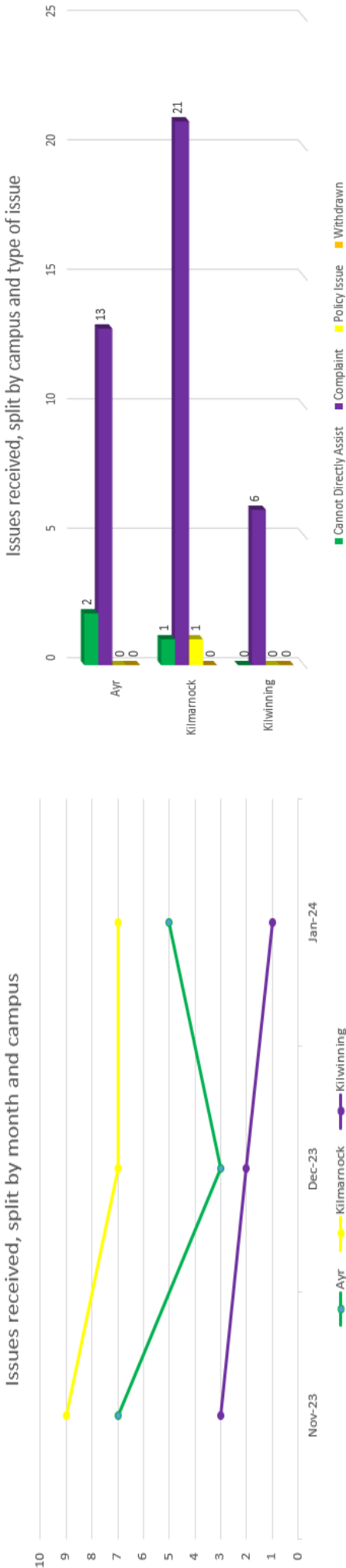
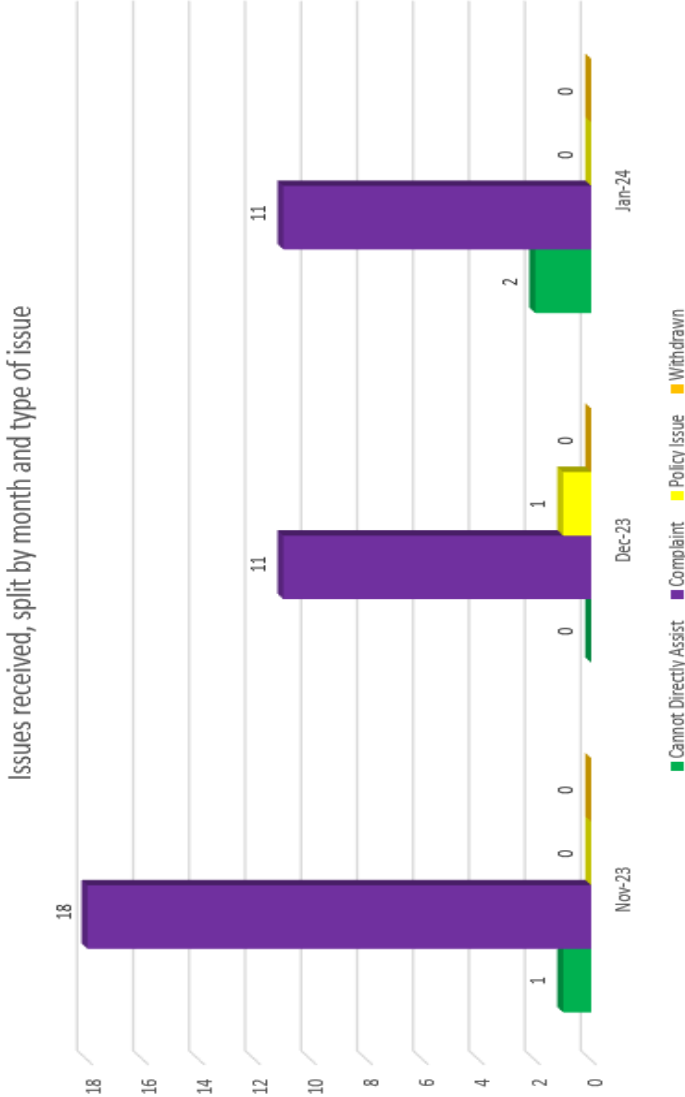


Total Issues Received

44 issues were received. The chart on the right shows the number of issues received each month, split by the type of issue.

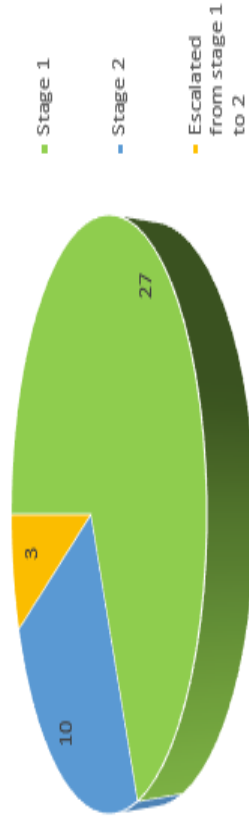
40 complaints were received. 3 issues were recorded as cannot directly assist and 1 as a policy issue. The issues recorded as cannot directly assist were a complaint about comments by a suspected student on social media, an anonymous complaint about treatment by a lecturer but there was not enough information to carry out an investigation and an anonymous complaint from a student about their attendance and trying to submit a medical certificate but we were unable to identify the student. The issue recorded as policy issue was about the behaviour of a student on placement. This was dealt with through the Student Conduct policy.

The charts below show the total issues received each month by campus and the total issues received split by campus and type of issue.



Complaints Received

Complaints received, split by stage



40 complaints were received.

The chart on the left shows the complaints received, split by stage.

27 out of 40 complaints received were dealt with at stage 1, which equates to 68% of complaints.

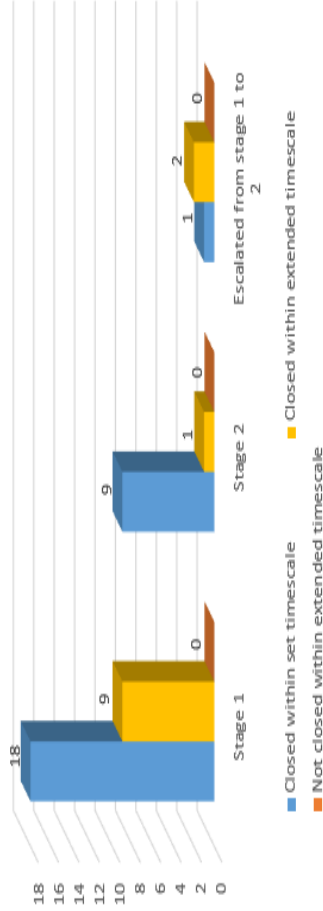
Stage 1 – SPSO set timescale is 5 working days and extended timescale is 10 working days

Stage 2 – SPSO set timescale is 20 working days and extended timescale is 40 working days

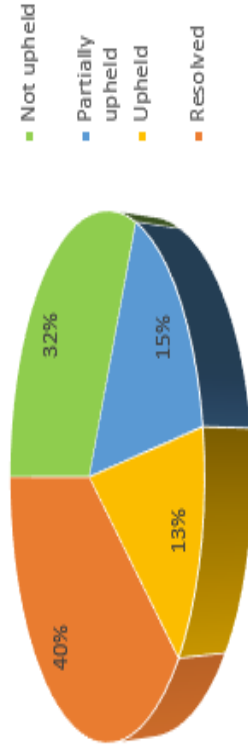
Escalated from stage 1 – 2 - SPSO set timescale is 20 working days and extended timescale is 40 working days

70% of complaints were closed within the SPSO set timescale.

Complaints received, split by stage and timescale closed in



Complaints received, split by outcome as a percentage



Of the 40 complaints received, 13% of complaints were upheld, with a further 15% partially upheld. This combines to 11 out of 40 complaints. 16 complaints were resolved.

Complaints Comparison

COMPLAINTS HANDLING PROCEDURE INDICATORS									
Total number of complaints received & complaints received per 100 population									
1.0									
1.1	Number of complaints Received								
1.2/1a	40	8662	0.5	32	9527	0.3	70	8662	0.8
2.0	Number of complaints closed at each stage and as a % of all complaints closed								
2.1/2a	Number of complaints closed at Stage 1 and % of total closed								
2.2/2b	27	67.5%	16	50.0%	47	67.1%	33	52.4%	
2.3/2c	10	25.0%	13	40.6%	17	24.3%	20	31.7%	
2.4	3	7.5%	3	9.4%	6	8.6%	10	15.9%	
3.0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
Number of complaints upheld, partially upheld and not upheld at each stage and as a % of complaints closed at that stage									
3.0	Stage 1								
3.1/3a	Number and % of complaints upheld at Stage 1								
3.2/3b	4	14.8%	2	12.5%	15	31.9%	4	12.1%	
3.3/3c	1	3.7%	n/a	n/a	1	2.1%	n/a	n/a	
3.4/3d	7	25.9%	4	25.0%	12	25.5%	5	15.2%	
3.0	15	55.6%	10	62.5%	19	40.5%	24	72.7%	
3.5/3e	Stage2								
3.6/3f	Number and % of complaints upheld at Stage 2								
3.7/3g	1	10.0%	6	46.2%	1	5.9%	8	40.0%	
3.8/3h	3	30.0%	n/a	n/a	4	23.5%	n/a	n/a	
3.9/3i	5	50.0%	7	53.8%	11	64.7%	12	60.0%	
3.10/3j	1	10.0%	0	0.0%	1	5.9%	0	0.0%	
3.11/3k	Escalated								
3.12/3l	3.0								
3.13/3m	Number and % of complaints upheld after Escalation								
3.14/3n	0	0.0%	3	100.0%	0	0.0%	5	50.0%	
3.15/3o	2	66.7%	n/a	n/a	2	33.3%	n/a	n/a	
3.16/3p	1	33.3%	0	0.0%	3	50.0%	5	50.0%	
3.17/3q	0	0.0%	0	0.0%	1	16.7%	0	0.0%	
4.0									
Total working days and average time in working days to close complaints at each stage									
4.1/4a	Total working days and average time in working days to close complaints at Stage 1								
4.2	144	5.3	74	4.6	210	4.5	144	4.4	
4b	211	21.1	361	27.8	371	21.8	524	26.2	
5.0	92	30.7	32	10.7	151	25.2	139	13.9	
Number and % of complaints closed within set timecales									
5.1/5a	{ S1=5 workings days; S2=20 working days ; Escalated = 20 working days}								
5.2/5b	Number and % of Stage 1 complaints closed within 5 working days								
5.3/5c	18	66.7%	13	81.2%	35	74.5%	28	84.8%	
5.4/5d	9	33.3%	3	18.7%	12	25.5%	5	15.2%	
5.5/5e	9	90.0%	5	38.5%	13	76.5%	9	45.0%	
5.6/5f	Number and % of Stage 2 complaints closed within 20 working days								
5.7/5g	1	10.0%	8	61.5%	4	23.5%	11	55.0%	
5.8/5h	Number and % of Escalated complaints closed within 20 working days								
5.9/5i	3	33.3%	3	100.0%	4	66.7%	9	90.0%	
6.0	2	66.7%	0	0.0%	2	33.3%	1	10.0%	
Number and % of complaints closed at each stage where extensions have been									
6.1/6a	Number and % of Stage 1 complaints closed within 10 working days (extension)								
6.2/6b	9	100.0%	3	100.0%	12	100.0%	5	100.0%	
6.3/6c	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.4/6d	Number and % of Stage 2 complaints closed within 10 working days (extension)								
6.5/6e	1	100.0%	6	75.0%	4	100.0%	9	81.8%	
6.6/6f	0	0.0%	2	25.0%	2	100.0%	2	18.2%	
6.7/6g	2	100.0%	0	0.0%	2	100.0%	1	100.0%	
6.8/6h	Number and % of Escalated complaints closed within 40 working days (extension)								
6.9/6i	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.10/6j	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.11/6k	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.12/6l	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.13/6m	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.14/6n	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.15/6o	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.16/6p	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.17/6q	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.18/6r	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.19/6s	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.20/6t	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.21/6u	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.22/6v	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.23/6w	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.24/6x	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.25/6y	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.26/6z	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.27/6aa	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.28/6ab	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.29/6ac	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.30/6ad	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.31/6ae	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.32/6af	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.33/6ag	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.34/6ah	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.35/6ai	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.36/6aj	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.37/6ak	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.38/6al	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.39/6am	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.40/6an	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.41/6ao	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.42/6ap	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.43/6aq	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.44/6ar	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.45/6as	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.46/6at	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.47/6au	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.48/6av	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.49/6aw	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.50/6ax	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.51/6ay	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.52/6az	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.53/6ba	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.54/6bb	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.55/6bc	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.56/6bd	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.57/6be	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.58/6bf	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.59/6bg	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.60/6bh	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.61/6bi	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.62/6bj	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.63/6bk	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.64/6bl	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.65/6bm	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.66/6bn	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.67/6bo	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.68/6bp	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.69/6bq	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.70/6br	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.71/6bs	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.72/6bt	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.73/6bu	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.74/6bv	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.75/6bw	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.76/6bx	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.77/6by	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.78/6bz	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.79/6ca	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.80/6cb	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.81/6cc	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.82/6cd	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.83/6ce	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.84/6cf	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.85/6cg	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.86/6ch	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.87/6ci	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.88/6cj	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.89/6ck	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.90/6cl	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.91/6cm	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.92/6cn	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.93/6co	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.94/6cp	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.95/6cq	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.96/6cr	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.97/6cs	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.98/6ct	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.99/6cu	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.100/6cv	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.101/6cw	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.102/6cx	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.103/6cy	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.104/6cz	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.105/6da	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.106/6db	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.107/6dc	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.108/6dd	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.109/6de	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.110/6df	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.111/6dg	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.112/6dh	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.113/6di	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.114/6dj	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.115/6dk	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.116/6dl	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.117/6dm	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.118/6dn	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.119/6do	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.120/6dp	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.121/6dq	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.122/6dr	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.123/6ds	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.124/6dt	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.125/6du	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.126/6dv	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.127/6dw	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.128/6dx	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.129/6dy	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.130/6dz	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.131/6ea	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.132/6eb	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.133/6ec	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.134/6ed	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.135/6ee	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.136/6ef	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.137/6eg	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.138/6eh	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.139/6ei	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.140/6ej	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.141/6ek	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.142/6el	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.143/6em	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.144/6en	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.145/6eo	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.146/6ep	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.147/6eq	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.148/6er	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.149/6es	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.150/6et	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.151/6eu	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.152/6ev	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.153/6ew	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.154/6ex	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.155/6ey	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.156/6ez	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.157/6fa	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.158/6fb	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.159/6fc	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6.160/6fd	Number and % of Escalated complaints not closed within 40 working days (extension)								
6.161/6fe	0	0.0%	0	0.0%	0	0.0%	0	0.0%	
6									

- 40 complaints received, an increase of 25% from Q2 2022/2023.
- 68% of complaints were handled at stage 1 in Q2 2023/2024, compared to 50% for the same period in 2022/2023.
- 70% of complaints were closed within the target timescale, compared to 66% in Q2 2022/2023.
- 100% of complaints were closed within the extended timescale in Q2 2023/2024, compared to 94% closed within the extended timescale in the same period in 2022/2023.

Complaints – Sub-category

The chart below shows the complaints received, split by sub-category and outcome. Noted below are the reasons for complaint in each of the top 5 sub-categories:

Staff Conduct

- Treatment of students by staff member
- Unhappy with the way they were spoken to by staff member, inappropriate comments made
- Class cancelled as student was drinking coffee and did not remove the coffee
- Unhappy accused of plagiarism
- Member of staff unknown to the class went into class unannounced to confirm HND would run at different campus next year, unhappy with comments made
- Unhappy with the way concerns dealt with, accused of leaving early
- Lack of support, not received feedback

Health & Safety

- Unhappy there are no smoking shelters on campus
- Unable to get a disabled parking space, as occupied with cars without a disabled parking badge
- College minibus parked in disabled parking bay

*Pages 13-15 show all the categories and sub-categories available

Student Conduct

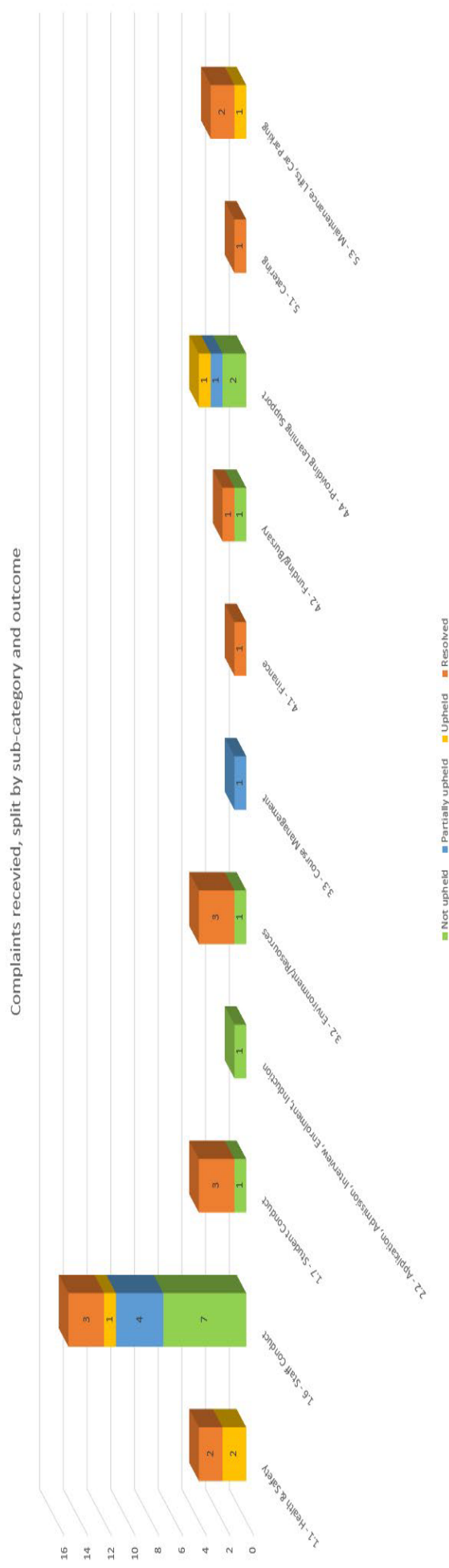
- Residents unhappy students smoking cannabis in their bin shed
- Unhappy with other students behaviour towards them and how this has been dealt with

Environment/Resources

- Can't get access to College systems from home due to multifactor identification
- Difficulty connecting to Wi-Fi, unable to save work at home
- Unable to sign in, connect to Wi-Fi or work on College computers in department
- Projector in the Open Space not working correctly

Providing Learning Support

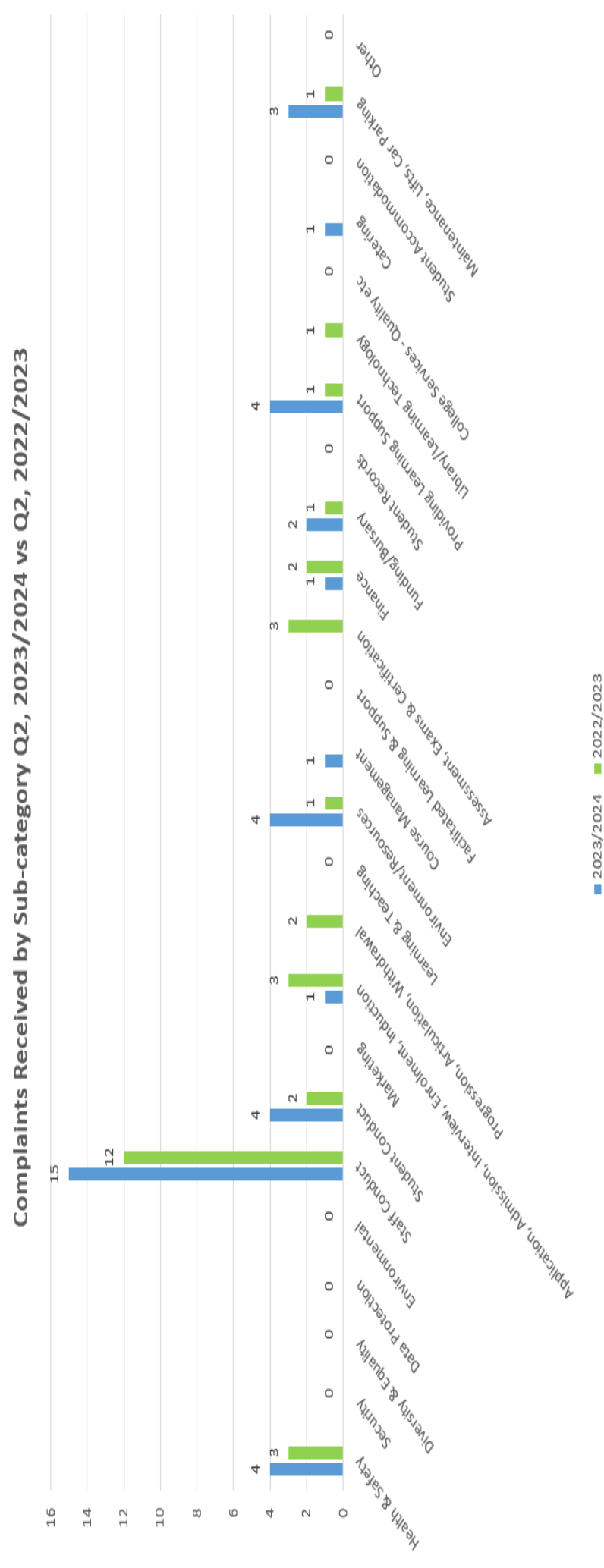
- Unhappy with the level of support received, placed on too high a level course, looking for refund
- Lack of support, appointments kept being changed
- Unhappy support not in place
- Unhappy BSL videos online, level 3 signer employed and using incorrect signs



■ Not upheld ■ Partially upheld ■ Upheld ■ Resolved

Complaints – Sub-category Comparison

The chart below shows the complaints received, split by sub-category, compared to complaints received, split by sub-category, in Q2 2022/2023.



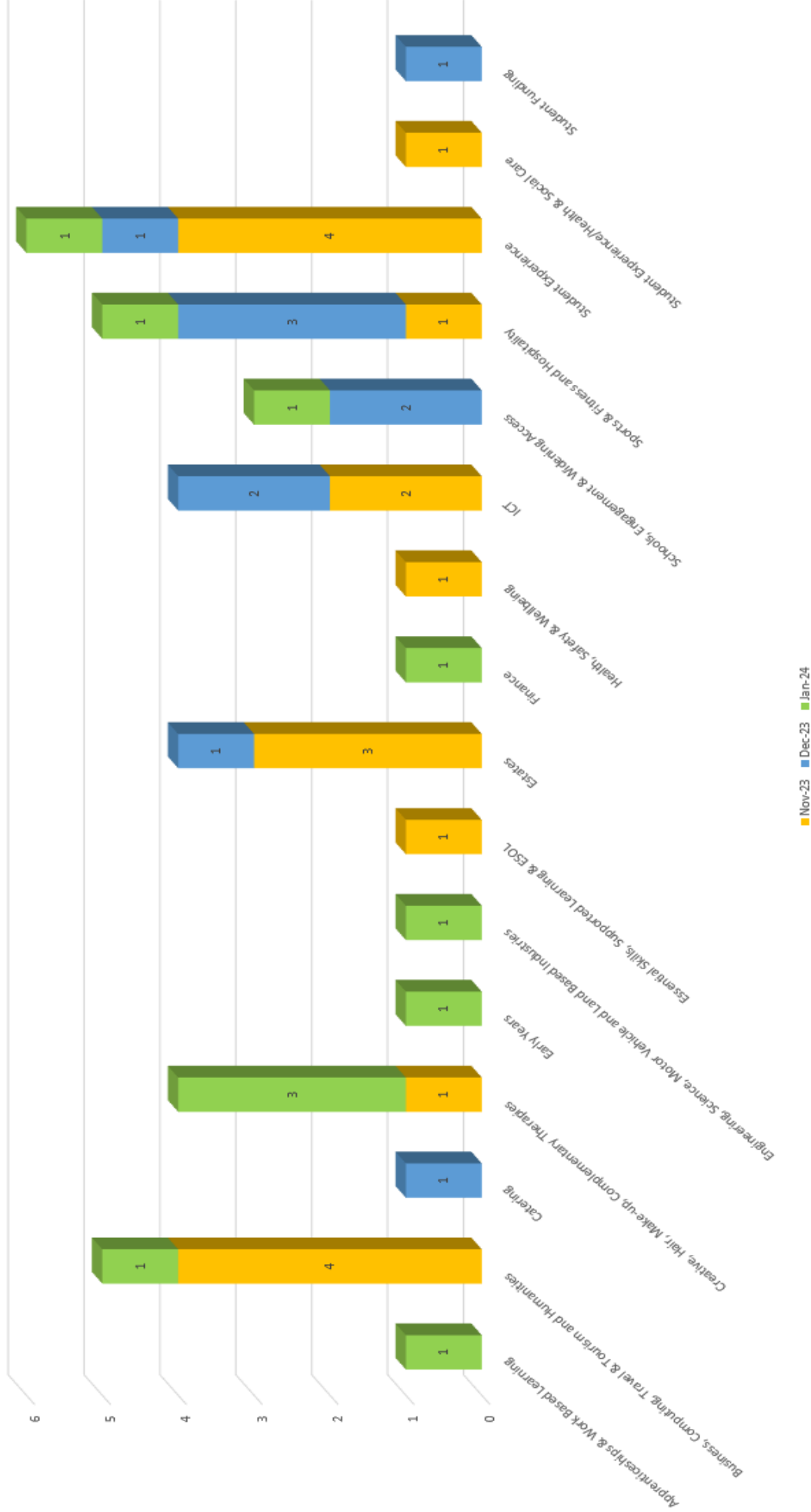
- Increase in complaints in the environment/resources sub-category from 1 in Q2, 2022/2023 to 4 in Q2, 2023/2024. This is mainly due to an increase in complaints about College IT equipment.
- Decrease in complaints received in the assessment & exams, certification sub-category from 3 in Q2, 2022/2023 to 0 in the same period of 2023/2024. This is mainly due to a reduction in complaints about students having to return to College to resit an exam they had already sat and passed.
- Increase in complaints received in the providing learning support sub-category from 1 in Q2, 2022/2023 to 4 in Q2, 2023/2024. This is due to an increase in complaints about lack of support or support not being in place.
- Increase in complaints received in the staff complaints sub-category from 12 in Q2, 2022/2023 to 15 in the same period of 2023/2024. There is no specific reason for the increase.

Complaints – Curriculum/Service Area

Quarterly Complaints Report – Q2, 2023/2024

The chart below shows issues received each month, split by curriculum/service area.

Monthly complaints (inc withdrawn) received, split by curriculum/service area

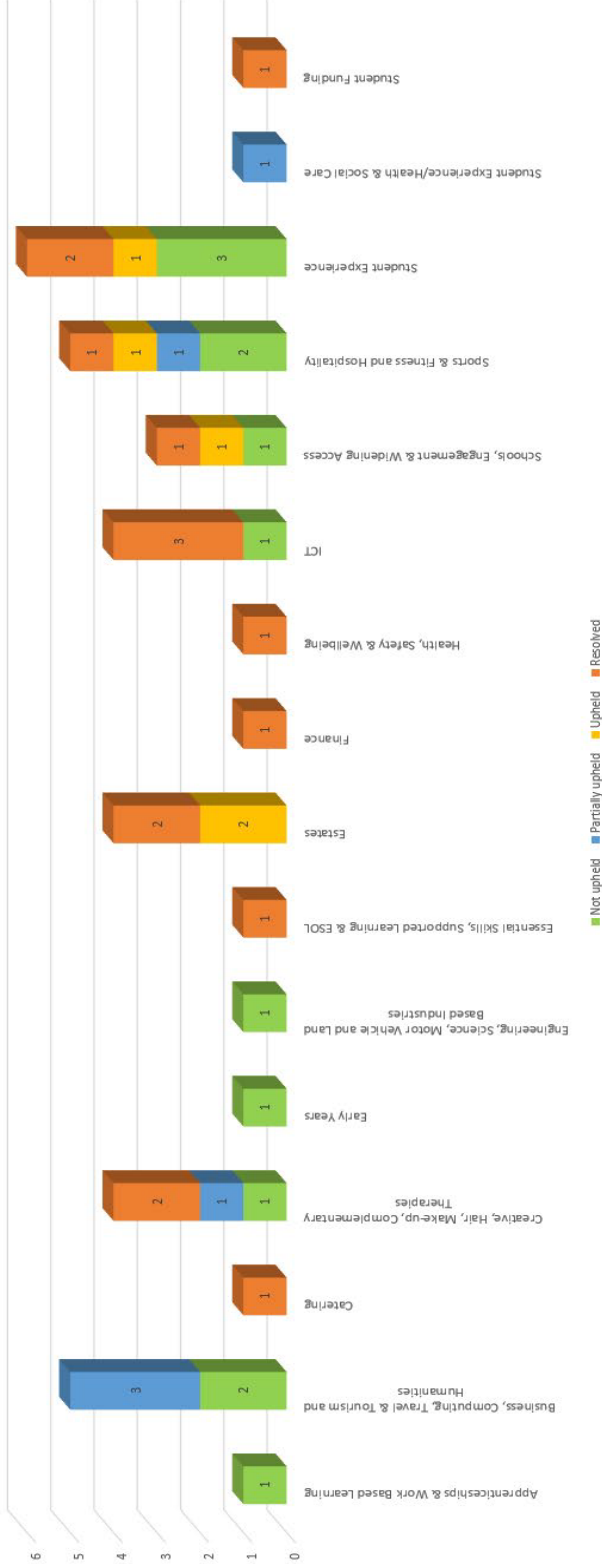


■ Nov-23 ■ Dec-23 ■ Jan-24

Complaints – Curriculum/Service Area

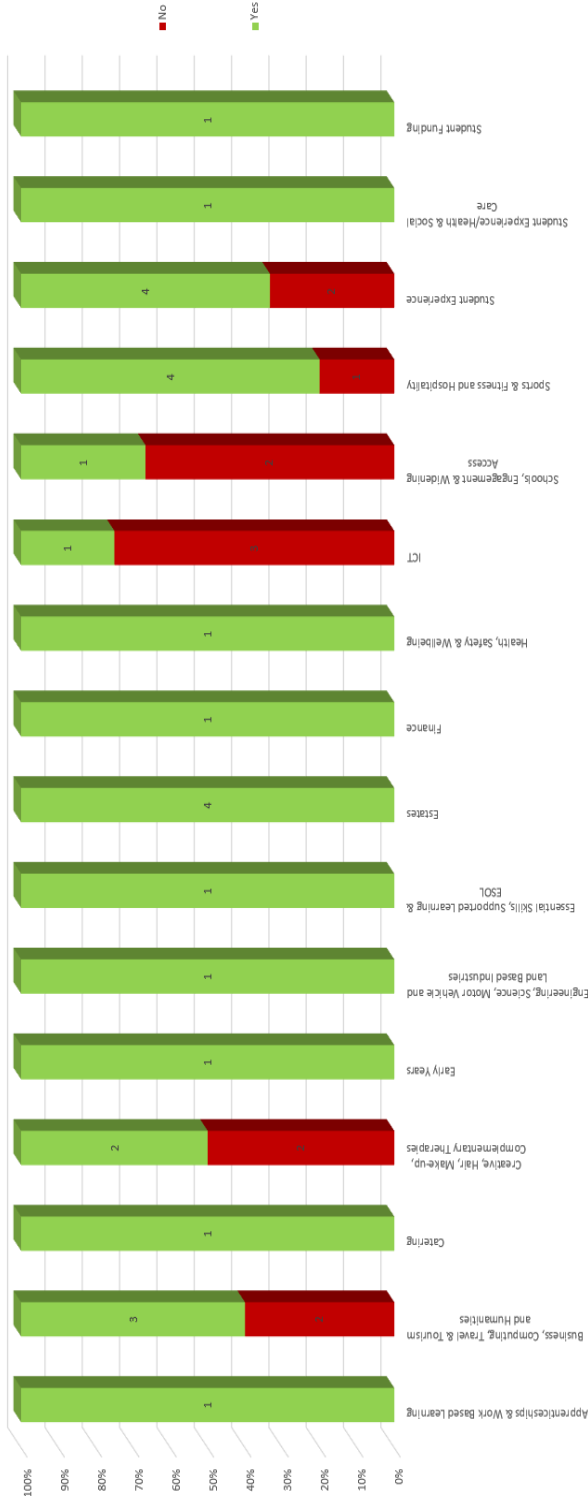
Quarterly Complaints Report – Q2, 2023/2024

Complaints received, split by outcome and curriculum/service area



The chart on the right shows the percentage of complaints received, split by outcome and curriculum/service area.

Percentage of complaints received, closed within timescale split by curriculum/service area



The chart on the left shows the percentage of complaints received, that were closed within the SPSO set timescale (5 or 20 working days), split by curriculum/service area.

Actions

Complaint Category	Number of actions	Number completed	Number outstanding
1. Customer Care	17	15	2
2. Applications, Admissions & Progression	1	0	1
3. Course Related	4	4	0
4. Services	3	3	0
5. Facilities	4	3	1
6. Others	0	0	0
Total	29	25	4

Service Improvements

Quarterly Complaints Report – Q2, 2023/2024

Issue	Actions
Student unhappy with the cleanliness of the desks in the Riverside building at Ayr.	Cleaner who is responsible for that run has been absent and this hadn't been picked up by anyone else. Area was brought up to standard and will now be cleaned by another cleaner.
Student unhappy lecturer cancelled the class because they were drinking coffee and refused to remove the coffee or themselves from the class.	Curriculum Manager and lecturing team met to agree classroom rules at the start of term and will be clear in communicating them to avoid inconsistency. Head of and Curriculum Manager worked with the lecturer to explore measures to deal with student issues instead of cancelling classes.
Student unhappy college minibus is parked in a disabled car parking bay.	Estates Manager spoke with staff who park the minibus and reminded them not to park this in the disabled parking bays and where this should be parked.
Student unhappy with the lack of support received and wants payment for fees refunded. Also unhappy they were placed on a course they felt was too high a level.	Process updated so Team Leaders will now be copied into all responses/reports from Educational Psychologists so reports will be actioned when there is staff absence. Interviewees will now be routinely asked to complete a written activity at the point of selection, to support the decision making process.
Resident at Mount Pleasant Way unhappy students are smoking cannabis in their bin shed.	Police Campus Liaison Officer attended the area several times and spoke to several students. Also arranged for uniformed officers to visit the area.
Student unhappy having continual difficulty connecting to Wi-fi network. Unable to save on Chromebook at home.	ICT checked all laptops within the third floor of the Dam Park building to make sure they were working. Two needed some technical support to resolve but that was completed while in the classrooms. All available laptops working as expected. ICT Infrastructure technician responsible for the network completed a wireless survey in all classrooms.
Student unhappy report was run through plagiarism software, as not an SQA requirement. Unhappy they were told their report had been plagiarised in front of other students in the class. Unhappy told to redo the report.	Arrange to promote more information to staff on Turnitin. Promote more information to students on Turnitin during the induction information for session for 2024/2025.

Service Improvements

Quarterly Complaints Report – Q2, 2023/2024

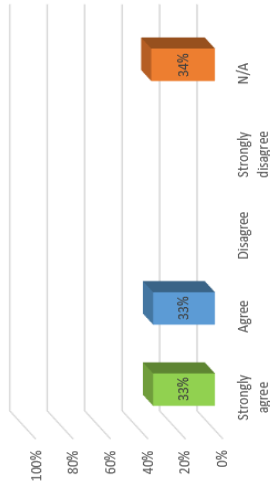
Issue	Actions
Parent of a student unhappy that someone driving in the carpark nearly knocked their son over. Also unhappy cars are parked at the front on the building on double yellow lines at the end of the day to collect people.	Health, Safety and Wellbeing team developed a poster to be displayed throughout the campuses on car park safety. Students will hopefully share this with those that pick them up.
Student unhappy the computers in the Hospitality department don't let you sign in, connect to the internet or do any work and it affects the work they are able to do in class.	ICT technicians checked all of the computers on the third floor to ensure they were working.
Councillor unhappy that the projector in the open space not working correctly.	Contacted external engineer and projector was fixed in the Open Space.
Student unhappy prices of food and drink not displayed in Refectory and Coffee Shop.	New price lists now displayed for confectionery, hot and cold drinks, cakes and chilled cabinet products. Breakfast and lunch pricing now displayed. Price list now displayed in the coffee shop.
Local authority employee unhappy with the way they have been treated by a member of staff and that managers knew about this and did nothing about it.	College and Local Authority staff who manage the programme will meet to do a full review of the programme. This will give an opportunity to fully define roles and responsibilities going forward and to discuss perceived issues from both organisations in a professional and neutral way, with a view to providing the best possible experience for future students.
Student unhappy they went to the gym and this was closed and had prepared themselves for this, as had anxiety about going.	Remove posters around the Kilmarnock campus promoting the gym being open on Tuesday and Wednesday evenings.

Customer Satisfaction

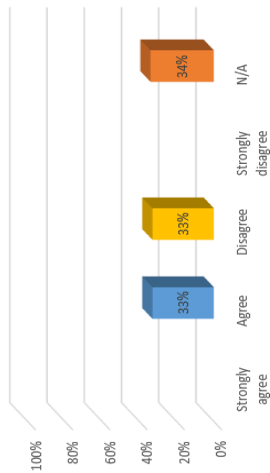
Quarterly Complaints Report – Q2, 2023/2024

A total of 36 surveys have been sent, with 3 responses received, this equates to a 8% response rate. The results from the responses received are shown in the charts below.

Q2 - I was aware of the complaints procedure before I needed to make a complaint



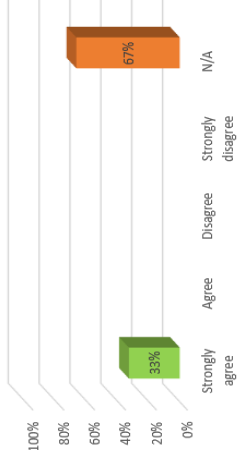
Q3 - I found the complaints process easy to access



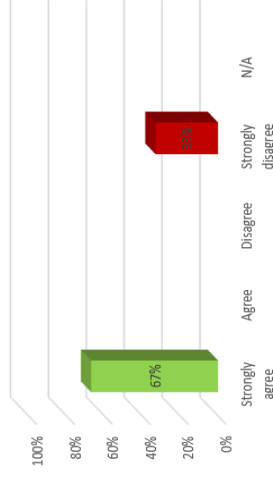
Q4 - I found the complaints form easy to use



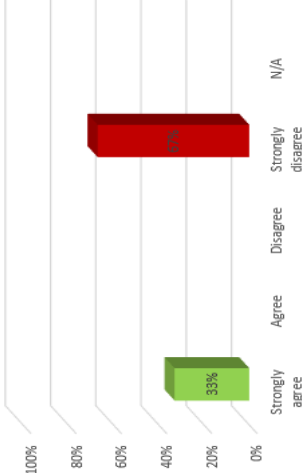
Q5 - I was able to access information and assistance in making my complaint where this was required



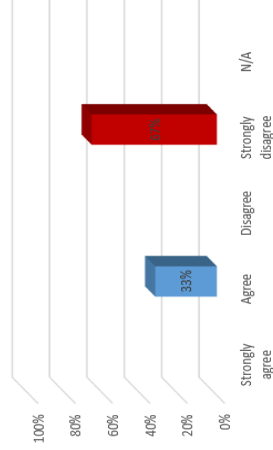
Q6 - I received a prompt acknowledgment of my complaint



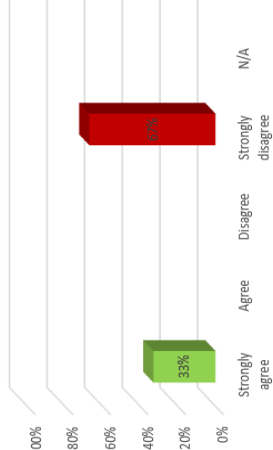
Q7 - I felt my complaint was taken seriously



Q8 - I felt my complaint was thoroughly investigated



Q9 - I received a fair and objective response to my complaint



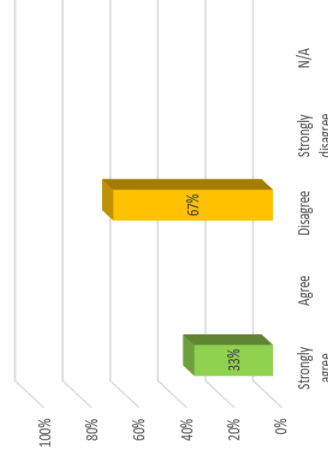
Q10 - I received a clear response to my complaint



Q11 - I received a response to my complaint within an appropriate timescale



Q12 - I was dealt with courteously at all times



Appendix

The tables below show the College Development Network categories and sub-categories, which we have adopted.

1.0	CUSTOMER CARE	
	Sub-Category	Examples
1.1	Health & Safety	• Alleged misuse of disability car parking spaces • Subject to passive smoking in no smoking area • Tripping hazards in workshop
1.2	Security	• Theft of personal property • Padlock on bicycle locker cut by Estates staff
1.3	Diversity & Equality (<i>Protected Characteristics</i>)	• Failure to make reasonable adjustments under the terms of Equality Act • Visitor complains of poor accessibility to toilets and lifts • Student not allowed to progress on course due to additional support not being available to support disability • Textbook contains racist material
1.4	Data Protection	• E-mail address divulged to other people • Staff shared student personal data with others during classroom discussion
1.5	Environmental	• Housing Association complains of students littering outside tenants' properties • Neighbour complains of noise from construction work at College • Residents complain that students and staff used private car-parking spaces
1.6	Staff Conduct	• Poor customer service • Failure to respond to requests by e-mail/phone etc. • Requests handled impolitely, discourteously
1.7	Student Conduct	• Student complains that disciplinary procedure was applied unfairly • Students damage neighbouring properties

Appendix cont...

2.0	APPLICATIONS, ADMISSIONS, PROGRESSION	
	Sub-Category	Examples
2.1	Marketing	• Unable to find evening class information on College website • Misleading information in College prospectus
2.2	Application, Admission, Interview, Enrolment, Induction	• No acknowledgement of application • Criteria for rejecting application was unfair • Placed on waiting list despite applying quickly • No information on College website to inform applicant course was already full and only found out weeks later • Applicant travelled long distance for interview only to be told they didn't have the necessary entry requirements • Applicant invited to wrong campus for interview
2.3	Progression, Articulation & Withdrawal	• Student unhappy that they were not allowed to progress to next level having successfully achieved the previous level • Student complains withdrawal process was not followed • University not supplied with student reference as requested
3.0	COURSE RELATED	
	Sub-Category	Examples
3.1	Learning & Teaching	• Quality of teaching not to the standard expected • Teaching from powerpoint for 3 hours without a break • Lecturer unapproachable when requiring support
3.2	Environment/Resources	• Classrooms/desks not fit for purpose • Wifi unreliable • Broken smartboard • Workshops too cold • Not enough computers for size of class
3.3	Course Management	• Class cancelled at short notice • No contingency for staff absence • Lecturer arrives late/finishes class early
3.4	Facilitated Learning Support	• Guidance class not held • Staff do not provide printed materials in format stipulated in PLSP • Staff unaware of changes to PLSP
3.5	Assessment & Exams, Certification	• Assessments crammed into end of block • Student not provided with opportunity for re-sit • Delay in providing results/certificates • Not receiving certificate due to College failing to attach student to group award • Noise disruption during exam

Appendix cont...

4.0	SERVICES	
	Sub-Category	Examples
4.1	Finance	- Former student unhappy to be threatened with legal proceedings for unpaid fees - Student unhappy not to have course fees refunded after withdrawing from course
4.2	Funding/Bursary	- Delay in processing bursary application - Application for hardship fund handled unfairly
4.3	Student Records	Student personnel data is incorrect/not updated
4.4	Provided Learning Support	- Delay in arranging DSA assessment - Student unhappy that they could not have the same support worker for every class - Student unhappy that additional support requirements have not been put in place
4.5	Library/Learning Technology	- Student complained that library overdue book notification system was unfair - Lack of support provided by the College with regards to provision of IT on evening class - Library opening hours
4.6	College Services – Quality etc	Delay in handling complaint

5.0	FACILITIES	
	Sub-Category	Examples
5.1	Catering	- Coffee shop frequently runs out of soya milk - Choice on offer
5.2	Student Accommodation	- Poor wifi service - Cleanliness of accommodation
5.3	Maintenance, Lifts, Car Parking	- Lifts out of order - College does not provide sufficient car parking space - College signage is misleading

6.0	OTHERS	
	Sub-Category	Examples
6.1		No College wide 2 minute silence on Remembrance Day