**Code of Good Governance for Scotland's Colleges**

**Review of Compliance: New College Lanarkshire/ The Lanarkshire Board**

**Section A: Leadership and Strategy**

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| **Conduct in Public Life** | | | |
| **No** | **Principle** | **Compliance** | **Further Action** |
| A.1 | Every college and regional strategic body must be governed by an effective board that is collectively responsible for setting, demonstrating and upholding the values and ethos of the organisation. | * Standing Orders * Scheme of Delegation * Strategic Plan |  |
| A.2 | Every board member must ensure that they are familiar with and their actions comply with the provisions of their board's Code of Conduct. | * Code is made available to members at induction * Board Secretary provides advice * Registers of interest completed and reviewed at least annually |  |
| A.3 | The *Nine Principles of Public Life in Scotland,* which incorporate the seven Nolan principles, must be the basis for board decisions and behaviour. These key principles, which apply individually and collectively, are:   * + - Duty/Public Service     - Selflessness     - Integrity     - Objectivity     - Accountability and Stewardship     - Openness     - Honesty     - Leadership     - Respect | * Covered at Board induction * Monitored by Board Secretary |  |
| Vision and Strategy | | | |
| A.4 | The board is responsible for determining their institution's vision, strategic direction, educational character, values and ethos. Regional strategic bodies must also determine the regional strategy for colleges assigned to them. The board of an assigned college must have regard to the strategy determined by the regional strategic body. Board members have a collective leadership role in fostering an environment that enables the body to fulfil its mission and meet Scottish Government priorities, for the benefit of students and the community it serves. | * Board has significant input to, reviews and approves the Strategic Plan * Board approves Regional Outcome Agreement |  |
| A.5 | The board must develop and articulate a clear vision for the region or college. This should be a formally agreed statement of its aims and desired outcomes which should be used as the basis for its overall strategy and planning processes. | * In Strategic Plan |  |
| A.6 | The board provides overall strategic leadership of the region or college. The board is responsible for formulating and agreeing strategy by identifying strategic priorities and providing direction within a structured planning framework. | * Within Strategic Plan * Structure planned framework is in place |  |
| A.7 | The board (except in the case of assigned college boards) is responsible for overseeing the negotiation of its outcome agreement with SFC, to meet the needs of the college or region and make best use of available funding, consistent with national strategy. The board must ensure effective engagement with all relevant stakeholders in the development of its outcome agreement and monitor performance in achieving the agreed outcomes. | * ROA is approved by the Board | * ROA process is being reviewed by SFC. The Board should review requirements again, thereafter, in line with any changes |
| A.8 | The roles and responsibilities of the boards of assigned colleges should be undertaken in the context of the roles and responsibilities of their regional strategic body. Assigned college boards must contribute constructively to the development of the outcome agreement led in its region by the regional strategic body and support the regional strategic body to monitor performance in achieving the agreed outcomes. | There is a process of meetings between the two colleges to agree the ROA which is then approved by the Lanarkshire Board. | N/A |
| Performance | | | |
| A.9 | The board must ensure that a comprehensive performance measurement system is in place which is clearly linked to the regional strategic framework and identifies key performance indicators. It must ensure that it scrutinises performance measures and reports these on their website in a manner that is both timely and accessible to stakeholders. This will allow the board to determine whether or not the vision and mission of the region or the college are being fulfilled and that the interests of stakeholders are being met. | * The CSAO Committee monitors KPIs and reports to the Committee are published on the NCL website. |  |
| **Corporate Social Responsibility** | | | |
| A.10 | The board must demonstrate high levels of corporate social responsibility by ensuring it behaves ethically and contributes to economic development while seeking to improve the quality of life of the local community, society at large and its workforce. | * Within Strategic Plan and relevant policies |  |
| A.11 | The board must exercise its functions with a view to improving economic, cultural and social wellbeing in the locality of the college or region. It must have regard to social and economic needs and social inclusion. | * Within Strategies and policies |  |
| A.12 | The board must provide leadership in equality and diversity. | * The Board approves the Equality and Diversity strategy. |  |
| A.13 | The board must seek to reflect in its membership, the make-up of the community through offering maximum opportunity of membership to a range of potential members and removing potential barriers to membership, in partnership with its regional strategic body, as appropriate. | * We have focussed on diversity in skills, gender balance. * Application process reviewed for any potential barriers. Last recruitment process attracted young people and people with diverse ethnic background. |  |

Section B: Quality of the Student Experience

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| Student Engagement | | | |
| No | Principle | Compliance | Further Action |
| B.1 | The board must have close regard to the voice of its students and the quality of the student experience should be central to all board decisions. | * Two student Board members participate in meetings * SA’s report to Board and CSAO quarterly * Student surveys reported to the CSAO and Board |  |
| B.2 | The board must lead by example in relation to openness, by ensuring that there is meaningful on-going engagement and dialogue with students, the students' association and as appropriate staff and trade unions in relation to the quality of the student experience. Consultation is essential where significant changes are being proposed. | * SA’s attend relevant Committees and meetings * SA’s quarterly reports to CSAO and Board * Student surveys * Staff surveys |  |
| B.3 | The board must consider the outcome of student surveys and other student engagements, and monitor action plans that could impact on the quality of the student experience. | * CSAO reports contain details of student feedback and surveys |  |
| B.4 | The college board must have regard to the Framework for the Development of Strong and Effective College Students' Association in Scotland. It must put in place robust partnership procedures (e.g. partnership agreement) to work together to achieve change and which are supported by regular and open communications. | * Partnership agreement is in place between Colleges and SA |  |
| B.5 | The college board must encourage a strong and autonomous students' association and ensure that the students' association is adequately resourced. | * Autonomy has been built in as a key part of the structure since merger |  |
| B.6 | The college board must ensure that the students' association operates in a fair and democratic manner and fulfils its responsibilities. | * NCL SA Constitution is in place and is reviewed at least every 5 years by the Board * SAs’ reports demonstrate progress |  |
| B.7 | The college board must review the written constitution of its students' association at least every five years. | * This is in place. | Review dates to be discussed at CSAO meeting. |
| **Relevant and High-Quality Learning** | | | |
| B.8 | The board must seek to secure coherent provision for students, having regard to other provision in the region or college's locality. The board must be aware of external local, national and international bodies and their impact on the quality of the student experience, including community planning partners, employers, skills development and enterprise agencies and employer bodies. The board must seek to foster good relationships and ensure that the body works in partnership with external bodies to enhance the student experience, including employability and the relevance of learning to industry needs. | * Partnership arrangements are reported to Board Committees and to the Board * ROA gives details * Agreements are in place with key bodies – e.g. local government, UWS, SDS, * Exec Team members sit on various external groups and bodies |  |
| **Quality Monitoring and Oversight** | | | |
| B.9 | The board must ensure appropriate mechanisms are in place for the effective oversight of the quality and inclusivity of the learning experience in the college or region. The board must ensure that the college works in partnership with sector quality agencies and other appropriate bodies to support and promote quality enhancement and high-quality services for students. | * Reports and briefings are made to the CSAO. Education Scotland make a presentation to the CSAO Committee on inspection findings. |  |

## Section C: Accountability

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| Accountability and Delegation | | | |
| No | Principle | Compliance | Further Action |
| C.1 | The board is primarily accountable to its main funder, either SFC or its regional strategic body. Through the chain of funding, the body is ultimately responsible to the Scottish Ministers who are accountable to the Scottish Parliament. | * Arrangements are set out in the Financial Memorandum which is a condition of funding and in the Financial Memorandum between the Lanarkshire Board as RSB and SLC. * NCL Principal is the Chief Officer for the RSB. |  |
| C.2 | The board must ensure delivery of its outcome agreement or in the case of an assigned college, its agreed contribution to the region's outcome agreement. | * This is reported on through Board papers to the CSAO committee and to the Board through the CSAO committee. |  |
| C.3 | The board must ensure it fulfils its statutory duties and other obligations on it, and that the terms and conditions of its grant are being met. | * Arrangements are in place and are monitored by Principal, Exec Team, and other key staff |  |
| C.4 | Scottish Ministers have powers to suspend or remove by order any or all board members of an incorporated college (except the principal) or a regional board for serious or repeated breaches of a term and condition of grant. | * Board members are made aware of this at induction |  |
| C.5 | The board also has a wider accountability to a range of stakeholders including students (both current and prospective), its staff, the wider public, employers and the community it serves, for the provision of high quality education that improves people's life chances and social and economic well-being. | * There are a range of evaluation processes in place for projects and processes and there are reports on activity to the CSAO Committee. | Consider a Stakeholder map which can be reported to the CSAO and to the Board. |
| C.6 | Incorporated colleges and regional boards must maintain and publicly disclose a current register of interests for all board members. Board members have a personal responsibility to ensure any changes to their register of interests are notified timeously to the governance professional and to declare any specific conflicts of interest in the business of the meeting prior to the commencement of each meeting of the board and its committees and withdraw from meetings as appropriate. See section D.6 for the 'objective test' for judging if there is a conflict of interest. | * Register of interests is published on website * Updates are requested at least annually * Declarations of interests is a standing item on all agendas * Code of Conduct is on website |  |
| C.7 | The board must ensure that its decision-making processes are transparent, properly informed, rigorous and timely, and that appropriate and effective systems of financial and operational control, quality, management of staff, risk assessment and management are established, monitored, continuously improved and appropriately impact assessed. This includes:   * + 1. the prompt production, dissemination and online publication of board/committee agendas, minutes and papers to the public     2. every board meeting and every committee meeting having a well-structured agenda circulated timeously in advance     3. the retention of all key documentation which help justify the decisions made by the board and its committees     4. setting quorum for board and committee meetings in line with good practice and preferably at 50% or higher are non-executive members. A board should   satisfy itself that adequate arrangements are in place to ensure that decisions it has delegated to a committee are taken with a non-executive majority. | Arrangements are in Scheme of delegation  Board Secretary monitors.  Quorum is at 50% or higher for all meetings. |  |
| C.8 | The board may delegate responsibilities to committees for the effective conduct of board business. As a minimum the committees required are Audit, Remuneration, Finance and Nominations/Appointments. Delegation of responsibilities from and matters reserved to the board and its committees must be set out in a scheme of delegation including the functions delegated by the board to the chair, committees, the principal and the board secretary (and any other members of staff). Incorporated college boards and regional boards have no powers to delegate functions to an individual board member (except the chair who has no authority to act out with their delegated powers). | Arrangements are in place with terms of reference for each committee approved by Board  Scheme of Delegation is in place which includes duties delegated to Principal, Chair, governance professional |  |
| C.9 | The board must ensure every board committee has a specified member of the management team to provide objective, specialist advice to support it to discharge its remit, including by explaining in an accessible way the matters under discussion and the possible implications of different options. | Relevant staff are invited to each meeting |  |
| C.10 | The board must consider and have in place procedures to ensure effective working relationships and constructive dialogue amongst the board as a whole and ensure there are effective reporting and two-way communications between committees and the board. The board must ensure that discussions and decisions of every committee are accurately recorded and reported to the board, no later than the next meeting of the board. | Minutes of Committee meetings are made available to all Board members. Where a Committee wishes to refer a matter to the Board or another Committee, the Board Secretary and relevant Chair ensure this is communicated and recorded appropriately |  |
| Risk Management | | | |
| C.11 | The board of a college or a regional body is responsible for the overall management of risk and opportunity. It must set the risk appetite of the body and ensure there is an appropriate balance between risk and opportunity and that this is communicated via the principal to the body's management team. | * The Regional risk group meets regularly to review regional risk and there is a regional risk register which includes SLC’s risk register and this is updated and reported to each meeting of the ARC and to the Board. The risk appetite is reviewed at each meeting. |  |
| C.12 | The board must ensure that sound risk management and internal control systems are in place and maintained. It must ensure there is a formal on-going process for identifying, reporting, evaluating and managing the body's significant risks and review the effectiveness of risk management, business continuity planning and internal control systems. | As set out at C 11 above. |  |
| **Audit Committee** | | | |
| C.13 | The Audit Committee must support the board and the principal by reviewing the comprehensiveness, reliability and integrity of assurances including the body's governance, risk management and internal control framework. The Scottish Government Audit and Assurance Committee Handbook promotes the development of an assurance framework to aid the Committee in fulfilling this role. See Audit and Assurance Committee Handbook. | The ARC committee receives an updated risk register report at each meeting. Internal Audit reports are received in accordance with the internal audit plan which includes a review of corporate governance. There is a follow up report to assure that recommendations are implemented. |  |
| C.14 | The scope of the Audit Committee's work must be defined in its terms of reference and encompass all the assurance needs of the board and the principal. The Audit Committee must have particular engagement with internal and external audit, and must work with management and auditors to resolve any issues in relation to financial reporting. | * Terms of reference in place and were reviewed in 2023. * Internal and external auditors invited to all ARC meetings. |  |
| C.15 | The Audit Committee must promptly pursue recommendations arising from audit reports and must monitor their implementation. | All audit reports are submitted to ARC timeously.  Actions are logged and monitored until complete.  ARC challenge where deadlines have not been met and actions remain outstanding |  |
| C.16 | The membership of the Audit Committee cannot include the board chair or the principal and, in line with the Audit and Assurance Committee Handbook, ’executive members of the organisation should not be appointed to the Audit and Assurance Committee’, and the majority of members must be non-executive. The role of the college executive is to attend meetings at the invitation of the committee chair and to provide information for particular agenda items. | All members of the ARC are non - executive. The Principal and key Executive Board officers attend from both NCL and SLC to provide advice with the agreement of the Committee chair. |  |
| C.17 | The Audit Committee terms of reference must provide for the committee to sit privately without any non-members present for all or part of a meeting if they so decide. The Audit Committee members should meet with the internal and external auditors without the executive team present at least annually. | This is scheduled annually usually to coincide with external audit concluding. Standing invitation for auditors or any member of ARC to request a private meeting as and when required |  |
| C.18 | At least one member of the Audit Committee should have recent relevant financial or audit experience. | The ARC Chair and at least one other non-executive members have audit and finance experience |  |
| **Remuneration Committee** | | | |
| C.19 | It essential that members of the Remuneration Committee understand their role and responsibilities. Members must undertake the online training module for Remuneration Committees provided by College Development Network within one month of appointment. | Online module is made available to all members upon appointment and is also recommended to other Board members who are interested in undertaking it. | Newer members to complete this training |
| C.20 | The board must have a formal procedure in place for setting the remuneration of the principal by a designated committee of non-executive members. The board may wish to supplement this by taking evidence from a range of sources. In particular, staff and students should have a role in gathering and submitting evidence in relation to the college principal to the relevant committee. | There is a framework which was agreed at the inception of the Lanarkshire Board with staff and student representatives to inform the remuneration process. There is also a review by the Chair of the Board. | Remuneration Committee policy and key documents to be reviewed. |
| C.21 | The board chair cannot be the chair of the Remuneration Committee (but they can be a member of it). | The Chair attends but does not Chair the meeting. |  |
| **Financial and Institutional Sustainability** | | | |
| C.22 | The board is responsible for ensuring the financial and institutional sustainability of the body. The board must ensure compliance with its Financial Memorandum including in relation to the assigned college and NCL and to the relevant aspects of the Scottish Public Finance Manual. | Quarterly financial reports to the Finance Committee and to the Board from NCL and from SLC.  Financial Memo and SPFM provided at induction for Board Members.  NCL Chief Resource Officer ensures financial compliance for NCL as does the Vice Principal Finance Resources and Sustainability for SLC. The SLC Principal is the accountable officer for SLC and the Principal of NCL is the accountable officer and also the Chief Officer of the RSB. |  |
| C.23 | The board must ensure that:   * funds are used as economically, efficiently and effectively as possible * effective monitoring arrangements are in place * college staff report relevant financial matters to it. | Financial reports are provided quarterly to the Finance Committee and the Board |  |
| C.24 | For colleges that are charitable organisations, board members are also charity trustees. The board of a college that is a charity must ensure its members are aware of their responsibilities under charity legislation and for complying with relevant provisions as set out by the Office of the Scottish Charity Regulator. See *OSCR Guidance and Good Practice for Charity Trustees.* | Information provided at induction |  |
| **Staff Governance** | | | |
| C.25 | The college board as the employer, is responsible for promoting positive employee relations and for ensuring effective partnership between recognised trade unions and management. | Updates are provided on local consultative meetings and national bargaining progress to the RGP Committee |  |
| C.26 | The board must have a system of corporate accountability in place for the fair and effective management of all staff, to ensure all legal obligations are met and all policies and agreements are implemented and identify areas that require improvement and to develop action plans to address them. | Regular reports are provided to the RGP Committee  Strategies and key procedures are considered and recommended to the Board by the RGP Committee. |  |
| C.27 | The board must comply with the nationally agreed college sector *Staff Governance Standard.* | This is embedded in staff policies and procedures and monitored by the RGP. |  |
| C.28 | The college board must comply with collective agreements placed on it through national collective bargaining for colleges. | This is managed by the College Registrar  Regular reports are provided by the Registrar to the RGP. |  |

## Section D: Effectiveness

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| **The Board Chair** | | | |
| No | Principle | Compliance | Further Action |
| D.1 | The chair is responsible for leadership of the board and ensuring its effectiveness in all aspects of its role. The chair is responsible for setting the board's agenda and ensuring that adequate time is available for discussion of all agenda items, particularly strategic issues. The chair must promote a culture of openness and debate by:   * + - encouraging the effective contribution of all board members     - fostering constructive challenge and support to the principal, executive team and fellow board members     - effective team-working     - positive relations between board members.   The chair must engage with the principal and the board secretary in a manner which is both constructive and effective. | Board agenda is drafted by the Board Secretary and sent for amendments/ additions to the Chair of the Lanarkshire Board and the NCL Principal and SLC Chair and Principal and to key members of the executive Boards.  The Board Secretary meets one a week with the Chair. Agenda items are discussed for the Board- at these meetings.  The annual review of the Chair by the SIM as part of the self- evaluation has been very positive on these aspects in D!. |  |
| D.2 | The board and its committees must have the appropriate balance of skills, experience, independence and knowledge of the body to enable them to discharge their respective duties and responsibilities effectively. | Skills matrix reviewed each time there is a vacancy on the Board and this is used also to match new members to Committees |  |
| **Senior Independent Member** | | | |
| D.3 | The board must appoint one of the non-executive members to be the senior independent member to provide a sounding board for the chair and to serve as an intermediary for the principal, other board members and the board secretary when necessary (see Annex 1 for the definition of 'non-executive'). The senior independent member should also be available where contact through the normal channels of chair, principal or governance professional has failed to resolve an issue or for which such contact is inappropriate. The senior independent member is also responsible for holding annual meetings with Board members, without the Chair, to appraise the Chair’s performance and provide the Chair with relevant feedback.  Further information on the role of the senior independent member can be found. Further information on the role of the senior independent member can be found in *The Guide for Board Members in the College Sector.* | Keith Fulton is the SIM and carries out an annual review of the Chair with Board Members. He carries out the role as set out in D3. |  |
| **Board Members** | | | |
| D.4 | Each board member is collectively responsible and accountable for all board decisions. Board members must make decisions in the best interests of the college and/or region as a whole rather than selectively or in the interests of a particular group. | This is covered at induction and is evidenced through Board minutes |  |
| D.5 | Staff, student and trade union board members are full board members and bring essential and unique, skills, knowledge and experience to the board. Staff, student and trade union board members must not be excluded from board business unless there is a clear conflict of interest, in common with all board members. | This is covered at induction, and it is unusual to ask any Board members to withdraw from a meeting |  |
| D.6 | Where the college is a charity, all board members, as charity trustees, including staff, student and Trade Union board members, have legal duties and responsibilities under the Charities Act 2005. This includes registering any personal interests that could be seen as conflicting with the interests of the body. The 'objective test' for judging if there is a conflict of interest is:  "... *whether a member of the public, with knowledge of the relevant facts, would reasonably regard the interest as so significant that it is likely to prejudice your decision making in your role as a member of a public body".* | This is in place through registers of interest and the Code of Conduct for Board members |  |
| **Principal and Chief Executive** | | | |
| D.7 | The college board must appoint the principal as chief executive of the college, securing approval for the appointment and terms and conditions of the appointment from the regional strategic body if necessary. | The Board is responsible for this process (scheme of delegation) but delegates certain aspects of the process to the Chair and Chair’s Committee or other Board members as appropriate. The final decision is taken by the full Board. |  |
| D.8 | The college board must ensure there is an open and transparent recruitment process for the appointment. Students and staff must have an opportunity to contribute to the recruitment process. | The College recruitment process is followed. Stakeholder events and interviews are part of the process which allow for students and staff to contribute |  |
| D.9 | The college board must delegate to the principal, as chief executive, authority for the academic, corporate, financial, estate and human resource management of the college, and must ensure the establishment of such management functions are undertaken by and under the authority of the principal. | This is covered in the Scheme of Delegation |  |
| D.10 | The college board must ensure a clear process is in place to set and agree personal performance measures for the principal. This process should seek the views of students and staff. The chair, on behalf of the board, should monitor, review and record the principal’s performance, at least annually, against the agreed performance measures. | There is a framework used by the Remuneration committee which was agreed with staff and students at the inception of the Lanarkshire Board. The Chair also carries out an annual review. | The Remuneration Committee policies to be reviewed in 2024. |
| D.11 | The principal, as a board member, shares responsibility for good governance with the chair and all other members of the board, supported by the board secretary. The principal also enables good governance through supporting effective communication and interaction between the body and the rest of the college including staff and students. | This is part of the Principal’s role |  |
| D.12 | The board provides strategic direction for the region and/or college, and the chair provides leadership to the board. The principal provides leadership to the staff of the body. | In place |  |
| Governance | The board must provide a constructive challenge to the principal and executive team and hold them to account. | Evidenced in minutes of meetings |  |
| **Governance Professional** | | | |
| D.14 | The board must appoint a governance professional who is responsible to it and reports directly to the chair in their governance professional capacity. The governance professional may be a member of the senior management team in their governance professional capacity, but they cannot hold any other senior management team position at the same time. The appointment and removal of the governance professional is a decision of the board. | The Board Secretary is appointed and reports to the Chair.  This would be built into any process |  |
| D.15 | All board members must have access to the governance professional who has an important governance role in advising the board, the committees and individual board members and supporting good governance. The distinctive governance professional role includes:   * + - facilitating good governance and advising board members on:       * the proper exercise of their powers, including in relation to relevant legislation       * the board's compliance with its Financial Memorandum, the Code for Good Governance, its Standing Orders and Scheme of Delegation       * their behaviour and conduct in relation to the board's Code of Conduct. * providing clear advice to the chair and the board/committees on any concerns the governance professional may have that board members have not been given: * sufficient information   + information in an appropriate form * sufficient time to monitor, scrutinise or make informed and rigorous decisions in an open and transparent way. * attending and providing support to every board meeting and every meeting of every board committee. Where the governance professional is unable to attend, while the governance secretary retains overall responsibility, proper arrangements must be made to cover the role with a person who is fully able to discharge the role effectively. * having an unambiguous right to speak at board and committee meetings to convey any concerns they may have about governance. This extends to someone substituting for the board secretary. * reporting any unresolved concerns about the governance of the body to the relevant funding body (i.e. SFC or the regional strategic body). | Board members have direct access to the Board Secretary their first point of contact with the college  Advice given as required – normally individually  Any issue would be raised t the weekly meeting with the Chair.  This type of issue would be raised at the weekly meetings with the Chair.  Board Secretary endeavours to attend all meetings. The Chair’s assistant covers if necessary.  The Board Secretary does fulfil this role. |  |
| D.16 | The board must ensure the governance professional:   * + - has suitable skills, knowledge and behaviours to carry out their role effectively     - receives appropriate induction, and if new to the role, is mentored by a more experienced governance professional for at least their first year     - has adequate time and resources available to undertake their role effectively. | The Board Secretary of the Lanarkshire Board has 13 years- experience in the role and was mentored when new to the role. She is a member of the CDN Governance Professionals Group and able to access advice if required. |  |
| D.17 | The board must ensure arrangements are in place to deal with a governance professional's potential or real conflicts of interest. | This would be discussed with the Chair and the SIM if there were any potential conflict of interest and alternative arrangements made to deal with the issue. |  |
| Board Member Appointment, Induction and Training | | | |
| D.18 | For boards with responsibility for board appointments, the board must ensure a formal and open procedure is in place for recruiting and selecting new non-executive board members. Boards must have regard to current Ministerial Guidance on board appointments. | Ministerial Guidance is followed in this regard and an open recruitment process is followed through the Nominations Committee with a Chair from another regional board or regional college sitting on the Nominations Committee. |  |
| D.19 | The board is responsible for ensuring appropriate arrangements are in place for the conduct of student elections and nominations, and elections and nominations of staff members and trade union members to the board. | Student elections covered in SA Constitutions.  Staff election procedures managed through nomination papers and electronic voting process. | Arrangements for TU members to be finalised by the TU’s with Lanarkshire Board approval of the process. |
| D.20 | The chair must ensure that new board members receive a formal induction on joining the board, tailored in accordance with their individual and collective needs. The governance professional should support the chair in the provision of relevant induction for new board members. | All Board members attend local session with the Chair and the Board Secretary and then CDN mandatory session. Tours of the campuses arranged. |  |
| D.21 | The board must ensure all board members undertake appropriate training and development in respect of their governance role. The governance professional should support the chair in the provision of relevant training and development opportunities for board members, which should be tailored to meet board members’ skills and needs. The governance professional must keep records of the development activity of board members, including the chair. | Briefing sessions, and relevant training opportunities are made available as required.  Chair asks individuals about needs at one to ones and attempts are made to meet requests – individually or as a group.    Board Secretary arranges training and keeps record. | Circulate CDN training opportunities and set out 2024 training. |
| D.22 | The board must ensure that new committee members receive a committee induction and have their specific training needs assessed and met. | Committee Chair welcomes new members at first meeting they are attending.  Other training needs discussed individually between individual and Chair and also through one to ones with the Chair of the Board. Training needs are also picked up in the self evaluation of the Committees. |  |
| **Board Evaluation** | | | |
| D.23 | Extension of the term of office of board appointments requires evidence and the board must ensure appropriate mechanisms are in place to support this. | Evidenced through formal requests through the Scottish Government and to ministers. |  |
| D.24 | The board must keep its effectiveness under annual review and have in place a robust self-evaluation process. There should also be an externally facilitated evaluation of its effectiveness every three to five years. The board must send its self-evaluation (including an externally facilitated evaluation) and board development plan (including progress on previous year's plan) to its funding body and publish them online. | Self-evaluation undertaken annually.  The external reviews of the Lanarkshire Board have to date been undertaken by the SFC. | Suggested that review self-evaluation with a move away from review of compliance to more about continual improvement and impact.  External Review to be undertaken latter part of 2024. |
| D.25 | The board must agree a process for evaluating the effectiveness of the board chair and the committee chairs. The evaluation of the board chair should normally be led by senior independent member. | This is done through the self- evaluation process with a questionnaire reviewing the committees the Chair and the Board. |  |
| D.26 | The board must ensure all board members are subject to appraisal of their performance, conducted at least annually, normally by the chair of the board. | One to ones for each Board member undertaken by the by Chair  Chair’s annual review conducted by SIM |  |
| D.27 | The performance of regional college chairs will also be evaluated by the Scottish Government, as regional college chairs are appointed by the Scottish Ministers and are personally accountable to them. | Scottish Ministers arrange these and seek feedback from the SIM, governance professional and Principal as relevant |  |
| D.28 | The performance of assigned college chairs will also be evaluated by the regional strategic body, as they are appointed by the regional strategic body and are personally accountable to them. | The assigned Chair’s performance is undertaken by the SLC Board and any issues raised with the Lanarkshire Board Chair. | Consider the presentation of the SLC self -evaluation report to the RSB. |

## Section E: Relationships and Collaboration

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| Partnership Working | | | |
| No | Principle | Compliance | Further Action |
| E.1 | The board must work in partnership to secure the coherent provision of high quality fundable further and higher education in their localities. | Performance reports are made to the CSAO. |  |
| E.2 | The board must ensure effective consultation, local and regional planning and must follow the principles of effective collaborative working: mutual respect, trust and working towards commonly agreed outcomes. | ROA approved by Board.  Exec Board on various Boards/bodies. |  |
| E.3 | The board must ensure effective partnership working with local and national bodies including businesses, public and third sector organisations to develop commonly agreed priorities following the principles of effective collaborative working. | Exec Team on various Boards/bodies |  |
| E.4 | The board must encourage and support effective partnership working and collaboration within and across regions to address local needs and meet national priorities and specialisms. | Reports on partnership working made to the CSAO. | Consider a partnership working annual report. |