

Board of Management Human Resources Committee

Date: 13 March 2018

Time: 11:30 am

Room: 2009

A G E N D A

Presented by

- | | | | |
|-----|---|------------|-------|
| 1 | Welcome and Apologies for Absence | | SM |
| 2 | Declaration of Interest | | SM |
| 3 | Minute of Meeting of 10 October 2017 | (attached) | SM |
| 4 | Matters Arising | | SM |
| 4.1 | Board Members' Access to "SaveNet" | (verbal) | CT/MY |
| 4.2 | Invitation to Equality & Diversity Committee Meeting | (verbal) | MY |
| 5 | Equality and Diversity Update | (attached) | SL |
| 6 | National Bargaining/Union Engagement | (attached) | MY |
| 7 | Management Structure Update | (attached) | CT |
| 8 | Workforce Planning | (attached) | MY |
| 9 | Internal Audit Report - Sickness Absence | (attached) | CT |
| 10 | Strategic Risk Register | (attached) | CT |
| 11 | Any Other Business | | |
| 12 | Date and Time of Next Meeting – Tuesday 9 October 2018 at 11.30am (TBC) | | |

Board of Management

Minute of Meeting of the Human Resources Committee of the Board of Management of Dumfries and Galloway College held on Tuesday 13 March 2018 at 11:30 am in Room 2009

Present: Stuart Martin (Chair) Janet Brennan
Carol Turnbull Ian White
Rob Orr Ros Francis

In attendance: Brian Johnstone, Chair of Board of Management
Michael Youd, Human Resources Manager
Heather Tinning, Executive Team Assistant
Sue Livermore, Equality & Diversity Officer (Agenda item 5)
Ann Walsh, Secretary to the Board

1 Apologies for Absence

There were no apologies received. The Chair welcomed Michael Youd, Human Resources (HR) Manager to his first Human Resources Committee meeting and also Sue Livermore, Equality & Diversity Officer, attending to provide an update on Equality and Diversity.

The Secretary to the Board confirmed the meeting was quorate.

2 Declaration of Interest

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

3 Minute of Previous Meeting

The Minute of meeting from 10 October 2017 was approved.

3.1 Staff Development 2016-17

The HR Manager gave an update regarding staff development. He advised that work is ongoing with Dundee University in terms of the Teaching Qualification in Further Education (TQFE) training. He reported that 92% of Staff had completed the PREVENT training, advising that Dumfries and Galloway College is the highest performing college across Scotland, in terms of the PREVENT training.

4 Matters Arising

4.1 Board Members' Access to "SaveNet"

The Principal reported that the college pay a licence for the college discount website, allowing all employees access to the website, and advised that she will pursue whether this can be extended to include Board Members.

Action: The Principal to report back on Board Members' Access to SaveNet

4.2 Invitation to Equality and Diversity Committee Meeting

HR Committee Members are invited to attend an Interactive Workshop to be arranged for the end of November 2018. The Board Secretary confirmed that the e-learning Equality Training package had been completed by all Board Members.

Action: The Board Secretary to confirm date of the Equality and Diversity Interactive Workshop with HR Committee Members

5 Equality and Diversity Update

The Equality and Diversity Officer spoke to the report, which included a summary of progress achieved in 2017 and activities planned for 2018.

Progress achieved in 2017 includes:

- Equality and Diversity Framework now in place
- Equality and Diversity Committee established
- Equality & Diversity Policy has been reviewed
- Impact Assessment has been reviewed
- Created a range of development and training packages, some bespoke for specific groups:
 - Uptake to date: 250 students and 130 staff

Plans for 2018 include:

- Data capture and embedding of monitoring procedures that will result in annual production of core key performance indicators
- Effectively raise awareness of the new Equality and Diversity Policy Statement and Policy across the College, including production of a user friendly leaflet making both staff, visitor and student rights and responsibilities clear.
- Introduce an Equality Impact Assessment training package and guidance for managers across all functions

During discussion and on hearing of some of the training being provided, Committee Members suggested that some of this more specific training would be very helpful for Committee and Board Members. The Principal requested that Members direct any interest and questions through the HR Manager.

Board Member Janet Brennan volunteered for the role of Equality and Diversity Champion.

The Principal advised that she had asked the HR Manager to look at an appropriate Award Submission to recognise the work and also the pro-active work from the Equality and Diversity Committee.

Decision: The Committee endorsed Janet Brennan's offer to carry out the role of Equality and Diversity Champion

Action: Board Members to direct any questions relating to Equality and Diversity through the HR Manager in the first instance

The Chair thanked the Equality and Diversity Officer for the report.

6 National Bargaining Update

The HR Manager spoke to the report, which had been issued highlighting key points, including:

- There is currently work under way at a national level to progress the policy areas detailed in the National Recognition Procedure Agreement (NRPA). Discussions are ongoing between both groups of Trade Unions and Employers Association to find agreement regarding these terms and conditions.

- A job evaluation scheme has been selected for support staff. This is the Further Education Role Analysis (FEDRA) scheme. Work is underway to agree the approach to this between the Employers' Association and the Trade Unions.
- At the end of 2017, a tribunal decision against Glasgow City College regarding the status of a £100 payment made to staff as part of an unconsolidated pay award was made. There is a potential impact on Dumfries and Galloway College of this, and a guidance note will be issued with regards to how to settle this matter for affected staff.

The Principal provided an update on delivery of payment, advising that harmonisation costs for 2018/19 are included in an Indicative Letter of Funding received from the Scottish Funding Council (SFC). The Principal advised that it is unclear going forward that the ongoing costs will be met for the Sector. There has been no indication for additional support, in terms of the Cost of Living Pay Awards. Public sector pay policy is currently:

- 3% for those under £36,000
- 2% for those over £36,000

The Principal and her Team are meeting on a regular basis to discuss the Draft Budget for 2018-19.

Members noted the report.

7 Management Structure Update

The Principal spoke to the report, which had been issued. The purpose of the report was to inform members of a proposed organisational restructure. Due to the sensitive nature of this proposal which will impact on current staff it was requested that the paper be kept confidential to allow proper consultation with staff and their union representatives.

The Principal reported that following various discussions, including finding some progression opportunities for support staff, it had been decided not to appoint another Vice Principal, and highlighted proposed changes, including:

- Re-focus of the Vice Principal Performance and Planning's current role, to include Business Development and External Commercial Income
- Appoint new positions, including:
 - Head of Corporate Services
 - Administration Manager
 - Director of Planning and Quality
 - ICT Technician

Following the resignation of the ICT Manager, a new position has been considered to undertake some of the current duties. There is a Senior Network Administrator presently within the ICT team. The new proposal for an ICT Technician would allow for the skill set in the team to be maintained.

The Principal reported on an approximate increase on the salary costs for the proposed structure of £46,000 per annum. The Principal advised that some initial discussions had taken place with relevant staff and will continue with other staff members. A meeting will also be arranged with the Unions prior to issue of the Proposed Structure to staff for consultation.

The Principal advised of a target date for implementation as the end of May 2018. Positions would be advertised internally initially.

The Principal also reported on the requirement to have a Data Protection Officer. The post at Dumfries and Galloway College will be shared with 2 other establishments and will be based here for one day a week. The cost to the College is estimated to be approximately £11k.

Decision: The HR Committee recommend the proposals to the Board of Management

8 Workforce Planning

The HR Manager spoke to the report which had been issued, as an update to the paper issued at the last HR Committee meeting, advising that the college is currently working on data gathering and establishing the future need. The HR Manager and Vice Principal Learning and Skills have been discussing the current workforce in terms of the Lecturing Side and the best model for delivery in terms of Learning and Teaching across the college. This involves reviewing the number of Academic weeks and the impact on support staff on term time contracts, and impact on student support funding.

The HR Manager reported on current work being undertaken, including:

- In terms of HR data, update staff qualifications, experience and skills
- Developing a Staff Engagement Survey
- To review and launch a new Staff Development Policy
- To incorporate Workforce Planning within the HR Strategy

The HR Manager advised that as part of the new General Data Protection Regulations (GDPR) the college require to have an Information Asset Register, and confirmed that the current iTrent system holds a range of personal staff details, including contact information and qualification details. Work will be undertaken to ensure GDPR compliance.

Decision: The HR Committee endorsed the aims of the Workforce Plan within a wider refresh of the HR Strategy and the approach being utilised

Brian Johnstone left the meeting

9 Internal Audit Report – Sickness Absence

The Principal spoke to the Internal Audit Report, advising that the Report had been presented by the Internal Auditor at the last Audit Committee meeting of 21st February 2018. Members noted the conclusion of Reasonable Assurance. Following discussion on the average working days lost owing to sickness absence, the HR Manager advised that following each Academic Year the information in relation to the average working days lost could be included in the Annual Report.

Members noted the report.

10 Strategic Risk Register

The Principal spoke to the report which had been issued, advising that the Strategic Risk Register is now presented at every Board Committee meeting to allow the opportunity for members to look at any relevant risks specific to their Committee.

Members noted the content of the Strategic Risk Register and that no amendments were required.

11 Any other business

None.

12 Date and Time of Next Meeting

The date and time of the next HR Committee meeting has been provisionally arranged for Tuesday 9th October, 2018 at 11:30 am.

Action: The Board Secretary to clarify the date and time of the next meeting, following confirmation of the Board and Committee Schedule for 2018-19

Board of Management

Minute of Meeting of the Human Resources Committee of the Board of Management of Dumfries and Galloway College held on Tuesday 10 October 2017 at 11:30 am in Room 2009

Present: Stuart Martin (Chair) Janet Brennan
Carol Turnbull Ian White
Rob Orr Ros Francis

In attendance: Brian Johnstone, Chair of Board of Management
Helen Pedley, Vice Principal Corporate Services
Heather Tinning, Executive Team Assistant
Ann Walsh, Secretary to the Board

1 Apologies for Absence

There were no apologies received.

The Secretary to the Board confirmed the meeting was quorate with enough members present to allow decisions to be made.

2 Declaration of Interest

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

3 Minute of Previous Meeting

The Minute of meeting from 4 October 2016 was approved.

4 Matters Arising

4.1 Board Members' Access to "SaveNet"

The Vice Principal Corporate Services reported on the college discount website, a staff discount scheme which offers savings with selected retailers. The Vice Principal advised that she is progressing this further in terms of access for Board Members.

4.2 Training and Development by CDN

The Vice Principal Corporate Services reported that staff had provided positive feedback in terms of training and development by CDN, with the exception of the Management Development Training undertaken by the new Curriculum Managers where it was advised that the training was not so positive. The Chair of the Board of Management reported that he had recently been appointed as a Board Member of CDN and advised that CDN continue to review their training, and welcomed feedback to report back to CDN. **The Vice Principal advised that subsequently in-house training had been undertaken by the Curriculum Managers which was positively received.**

5 Vice Principal's Annual Update

The Vice Principal Corporate Services spoke to the report which had been issued, providing an overview of activities during 2016-17. With regard to the Academic Restructure, the new Curriculum Managers are continuing to develop within their new roles. In terms of National Bargaining, an agreement has been reached that by April 2019, Salaries for Teaching Staff will be around £40,000 pro-rata. Following negotiations all Support Staff are entitled to 44 days Annual Leave pro-rata inclusive of statutory days. The Vice Principal advised that in some areas this has made a significant difference with the additional leave days, and Managers within the departments are looking to work more efficiently to maximise cover and accommodate the additional days. The Financial Implication for Term Time Staff amounts to approximately £12,000 across the year. The Vice Principal and the Principal continue to be involved in the Employers Association moving forward.

The Vice Principal asked the Committee to note that the College has been recognised as a Living Wage Accredited Employer, and advised that in terms of National Bargaining all colleges are to be Living Wage Accredited. As a condition of this status, the Living Wage must be met within tenders received. With regard to the Catering Contract, owing to the period of the contract, the Living Wage must be met and will be a condition of the tender for next session.

With regard to staff, the Vice Principal reported that there are approximately 210 full time equivalent staff at present. She advised that the staffing establishment is reviewed at the start of the session, with the teaching staff linked into the Curriculum Plan. The Vice Principal provided assurance to the Committee that all teaching staff are timetabled as per their contracts. The Committee were also reassured that all members of staff receive the same terms and conditions irrespective of the type of contract.

With regard to grievances, the Chair commented on the low number considering the size of the college. The Vice Principal advised that the majority of concerns tend to be addressed informally within the departments.

The Chair commended the HR Department and all staff for working through a difficult year.

6 Sickness Absence Report 2016-17

The Vice Principal Corporate Services spoke to the report which had been issued, providing a summary of the Sickness Absence during Academic Year 2016-17. Members noted a slight increase from the previous Academic session, from 4.37 to 4.9% which the Committee agreed was not a significant sickness absence rate. The Vice Principal also reported on a slight increase in absence owing to stress/anxiety and depression, and advised that a discussion takes place with each member of staff on return to work to determine whether the absence is work-related. The Vice Principal advised that where stress is indicated as a reason for absence a referral is made to occupational health. Discussions regarding the renewal of the NHS Occupational Health Support are due to commence. Occupational Health have been asked to help with Training for Managers with regard to recognising stress before absence occurs. Janet Brennan issued a leaflet from the HES Board based on the Well Being of Staff to the Vice Principal for information.

Members noted the report.

7 Staff Development 2016-17

The Vice Principal Corporate Services spoke to the report which had been issued, providing an update of Staff Development during Academic Session 2016-17. The Vice Principal reported that the amount spent, of £52,541, does not reflect the amount of Staff Development undertaken, as much of the development undertaken by staff does not attract a cost. A strong focus is on Teaching Staff, aiming for 100% having a Teaching Qualifications. The Vice Principal advised that this is not achievable owing to the turnover of staff but Teaching Staff, including Assessors, either possess or are in the process of working towards their qualifications. Overall, the Vice Principal reported that Staff are keen to further develop their skills and undertake Staff Development. The Vice Principal advised that the College was recently a pilot for Dundee University for Induction, with no cost incurred as the college was asked to be a pilot.

PREVENT training (Counter Terrorism) is ongoing for staff, with over 60% having completed the mandatory training and further sessions booked. Staff have provided positive feedback regarding this training.

Members noted the report.

8 National Bargaining/Union Engagement

The Vice Principal Corporate Services reported on the key outstanding priorities for this year including Job Matching for Promoted Lecturer Posts and the outstanding terms regarding class contact time for teaching staff.

Negotiations for Support Staff have been concluded, and focus is now around key factors in terms of Job Evaluation. The Vice Principal advised that a Tender will be issued by Colleges Scotland for a single job evaluation scheme for all colleges, following agreement of the scope and remit through the NJNC. The implementation date of 1st August 2018 has been agreed with the Unions.

Members noted the major piece of work at local level and the significant cost to the Sector.

The Chair thanked the Vice Principal Corporate Services for the update.

9 HR Strategy Report

The Vice Principal Corporate Services spoke to the report which had been issued, providing an update on work following the approval of the HR Strategy. She advised that Workforce Planning is a key element, with work ongoing at a National Level.

The Chair of the Board of Management reported that he attended the college's All Staff Session in August, providing an overview of the role of the Board and also a pictorial and summary of Board Members, with a view to raise the profile of the Board.

Following implementation of the new management structure overseeing the Academic Departments, comprising of 8 Curriculum Managers and 2 Heads of Curriculum, the feedback from staff has been positive in relation to communication.

Following the report on the Curriculum Development Project for Wigtownshire, the Principal advised that we will now look to progress an advert for the Stranraer Campus Development Manager.

The Chair thanked the Vice Principal for a Comprehensive report.

10 Workforce Planning

The Vice Principal Corporate Services spoke to the report which had been issued, providing an overview of the development of the Workforce Plan. The Vice Principal asked the Committee for a further meeting in view of the work ongoing around the workforce plan and the Staff Development Policy, to allow progress to be reviewed. In answer to a question in terms of the age profile of staff aged 51+, the Vice Principal advised that there is an older workforce within Dumfries and Galloway, along with an ageing population.

Action: The Board Secretary to advise HR Committee members of the date of the next meeting

11 Equality and Diversity Update

The Vice Principal Corporate Services spoke to the report which had been issued, providing an update on activity on Equality and Diversity. The Vice Principal advised that an Equality and Diversity Framework has been developed, and explained that other documents and procedures will sit underneath the Framework, to enable the Board to look at the overarching Framework. Following further discussion, the Vice Principal welcomed the opportunity for a Board Member to attend the Equality and Diversity Committee.

Decision: The Human Resources Committee approved the Equality Diversity Framework and Policy

Action: An invitation to the next Equality and Diversity Committee to be sent to Board Members

12 Any other Business

The Vice Principal Corporate Services advised the Committee that she has tendered her resignation from her position in the college. The Chair thanked the Vice Principal, on behalf of the Committee, for all her hard work and wished her well in her new post. The Principal advised that recruitment will be progressed in terms of the Vice Principal's position.

13 Date and Time of Next Meeting

The next meeting date and time will be confirmed.

Human Resources Committee

Equality and Diversity Update

1. Background

The College's Equality and Diversity Framework commits to the production of an Annual Equality and Diversity Action Plan (Appendix 1) and Annual Equality and Diversity Report (Appendix 2). These draw together the different strands of activity and reporting required by law into one simple point of access.

Appendix 1 summarises progress achieved in 2017. This year's report is brief and in tabular format. However, the intention is that content will expand considerably year on year as trends and themes emerge.

Appendix 2 summarises the activities planned for 2018. Please note that next year's work includes data capture and embedding of monitoring procedures that will result in annual production of core key performance indicators.

2. Our Commitment

Dumfries and Galloway College is committed to promoting equality of opportunity, celebrating and valuing diversity, eliminating unlawful discrimination, harassment and victimisation, and promoting good relations for all our staff, students, visitors and partners.

We aim to achieve equality for all by addressing discrimination in education and employment on the grounds of age, disability, gender, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, or sexual orientation. By fostering a culture of dignity and respect, we will ensure that every student and member of our staff achieves their full potential.

3. Review

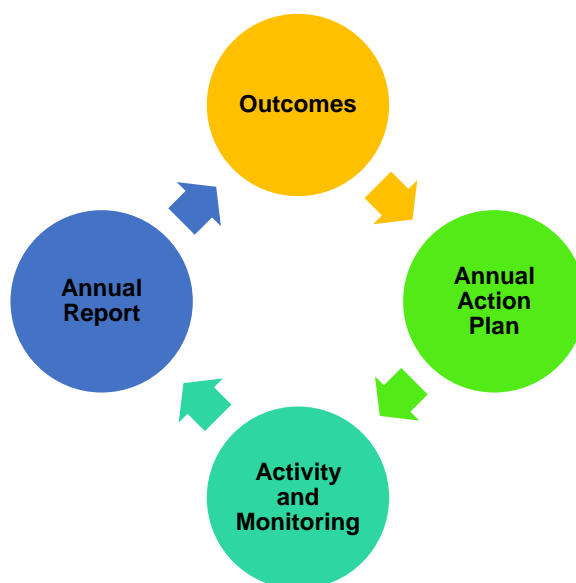
A root and branch review of our equality and diversity activity and progress led to the introduction of the new structural system we use to shape our work in this field.

The Equality and Diversity Framework provides our focal point. It clearly demonstrates how the different elements of our work link together to progress fairness for everyone in our College family.

The overall structure has been established over the last six months. The coming year will consist of embedding these new systems so that we have effective procedures in place to progress equality.

Human Resources Committee

4. Equality and Diversity Framework



4.1 Outcomes

These are shaped by the results of the monitoring and progress analysis carried out annually to determine whether we are likely to achieve our outcomes, and whether these outcomes are still relevant. Any revision of our overall College strategy (Vision 2020) is likely to prompt change here. Other influences at this stage will include external projects and legislation such as the BSL Act, Scottish Funding Council's Gender Action Plan and the Dumfries and Galloway region's Local Outcome Improvement Plan (LOIP).

4.2 Annual Action Plan

The Equality and Diversity Annual Action Plan will be approved by the Equality and Diversity Committee for presentation to the Executive Management Team and the Board for each calendar year. This will include progressing the Gender Action Plan and the BSL Plan, which will directly feed into this overarching plan. The plan will detail training, impact assessment and mainstreaming activity over the coming year.

4.3 Activity and Monitoring






This section simply represents putting the plan into action. Quarterly updates will be prepared for all plans, for consideration by the Equality and Diversity Committee. Where issues are considered to be high risk these will be escalated to CLT, EMT or Board level as appropriate.






4.4 Annual Report

The Equality and Diversity Annual Report will summarise the findings of monitoring of workforce/student profiles and an analysis of pay gaps for all protected characteristics, including any statutory reports. Results will be presented so that the Equality and Diversity Committee, EMT and CLT can adjust activity to achieve the best results in future years. The results will influence and changes to our outcomes.

Sue Livermore
Equality and Diversity Officer
13 March 2018






EQUALITY AND DIVERSITY: Annual Report 2017

Not started		Complete		Progressing to plan		Some slippage but will complete by deadline		Will not complete by deadline	
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Project	Deadline	Action	Status	Progress report
Equality and Diversity Framework	01/10/2017	Produce, approve and publish an Equality and Diversity Framework with supporting annual action plan and reporting mechanism		EDF completed and approved by EMT.
Equality and Diversity Committee	01/12/2017	Establish a cross-College Equality and Diversity Committee to support and challenge activity.		Strong Equality and Diversity Committee established with good representation across all aspects of College life.
Equality and Diversity Policy	01/10/2017	Produce, approve and publish a new Equality and Diversity Policy Statement and Policy and ensure this is publicised and embedded across the College		Equality and Diversity Policy completed and approved by EMT.
Impact Assessment	01/10/2017	Design and introduce a user-friendly Equality Impact Assessment system, embedded throughout Board and College management approval cycles		New form introduced and in use. Policies are being impact assessed as they are reviewed or produced and published on the HR webpage under a new menu tab.
Training	31/12/2017	Introduce and embed a matrix of Equality and Diversity training packages to meet College needs including induction, impact assessment, managing people, curriculum content and specific packages to address emerging issues		Managing Equality and Diversity, Equality and Diversity Refresher for staff, Equality and Diversity Refresher for students (with focus on harassment), Transgender, Gender Identity and Intersex for staff and students all available and in use. Just under 300 staff and students have been trained. Stonewall and Equate Scotland training are planned for June. All Board members have undertaken training online.

Project	Deadline	Action	Status	Progress report
Reporting and Monitoring	31/12/2017	Undertake research to inform data gathering project to produce up to date results for equalities characteristics monitoring and pay gap tracking for staff	✓	Research undertaken into current best practice on equalities data gathering, particularly to meet emerging expansion of identities relating to sexual orientation and gender.
Advance equality of opportunity across the protected characteristics	31/12/2017	Enact and report quarterly on Gender Action Plan progress	➡	Quarterly report template and schedule in place. First Q1 report due for completion in March 2018.
		Increase awareness of issues and check systems for compliance relating to transgender and intersex status.	➡	Initial Transgender, Gender Identity and Intersex training for students and staff in use.
		Undertake initial consultation on BSL Plan for publication in October 2018	➡	Engagement with Deaf Action Scotland, agreement to pursue consultation event with local partners to prevent duplication of effort and reduce burden of engagement activity on the community.
		Produce draft Transgender policy	➡	Transgender Policy in draft, ready for development into a package containing guidance and procedures for staff/students who decide to undergo transition while they are at College.
Diversity Week	01/12/2017	Support events in conjunction with the Library and Students Association	➡	'Mapping the College' project, which logged the local, UK and global footprint of the college community. Blindfold Football in both Dumfries and Stranraer, Equality Ideas noticeboard, Scottish Book Week events to emphasise individuality and celebrate St Andrew's Day.

EQUALITY AND DIVERSITY: Annual Action Plan 2018/19

Not started		Complete		Progressing to plan		Some slippage but will complete by deadline		Will not complete by deadline	
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Project	Deadline	Action	Status	Progress report
Equality and Diversity Framework	31/10/2018	Review Equality and Diversity Framework as first annual cycle nears completion.		
	01/03/2019	Review progress towards Equality Outcomes within the framework in line with statutory requirements		
	01/03/2019	Produce pay gap reports to cover all protected characteristics in line with statutory requirements		
	01/03/2019	Produce mainstreaming report in line with statutory requirements		
Equality and Diversity Committee	01/12/2018	Consider, develop and approve the Equality and Diversity Annual Report 2018 for consideration at EMT level and provision for note at Board level.		
	01/03/2019	Consider, develop and approve the Equality and Diversity Annual Plan 2019 prior to consideration at EMT level and provision for note at Board level.		
	01/03/2019	Consider, develop and approve reviews of outcomes, pay gap information and mainstreaming in advance of formal statutory reporting		

Project	Deadline	Action	Status	Progress report
Equality and Diversity Policy	01/10/2018	Effectively raise awareness of the new Equality and Diversity Policy Statement and Policy across the College, including production of a user friendly leaflet making both staff, visitor and student rights and responsibilities clear.		
	01/04/2018	Produce and embed Transgender policy, guidance and procedure		
Impact Assessment	30/06/2018	Introduce an Equality Impact Assessment training package and guidance for managers across all functions		
	01/04/2018	Prioritise and schedule a review of all existing College policies and procedures through the new EIA system		
Training	01/04/2018	Introduce and embed a matrix of Equality and Diversity training packages to meet College needs for the year including induction, impact assessment, managing people, curriculum content and specific packages to address emerging issues		
Reporting and Monitoring	01/06/2018	Undertake data gathering project to produce up to date comparative results for equalities characteristics for staff and students, and pay gap monitoring for staff		
	01/04/2018	Produce standard monitoring reports for presentation to EDC quarterly		
Advance equality of opportunity across the protected characteristics	01/09/2018	Enact and report quarterly on Gender Action Plan progress		
	31/10/2018	Prepare and publish BSL Action Plan in partnership with other Dumfries and Galloway public agencies to meet statutory requirements		

Human Resources Committee

1. Purpose of the Report

The purpose of the report is to provide an update to members on the position of National Bargaining generally and the potential impact on Dumfries and Galloway College.

2. General

There is currently work under way at a national level to progress the policy areas detailed in the National Recognition Procedure Agreement (NRPA). Discussions are ongoing between both groups of Trade Unions and Employers Association as to what these will be. The areas are:

- Pay
- Working Hours
- Class Contact Hours
- Sick Pay
- Annual Leave
- Maternity Policy
- Paternity Policy
- Family Friendly Policies
- Transfer to permanent status
- Grievance and Disciplinary Policies

A number of data gathering exercises have taken place to enable an understanding of the current position nationally. There is a technical working group established to take these matters forward.

As part of the Employers' Association Meeting in January, an Executive Working Group has been established to examine three areas:

- Review of the recommendations made in a report regarding the Employers' Association
- Examine the scope of any potential review of the NRPA
- Develop a sector Pay and Reward Strategy

Michael Youd – HR Manager is a member of this group and will report back any details relevant to the Committee in due course. To date, this group have not met.

At the end of 2017, a tribunal decision against Glasgow City College regarding the status of a £100 payment made to staff as part of an unconsolidated pay award was made. There is a potential impact on Dumfries and Galloway College of this, and a guidance note will be issued with regards to how to settle this matter for affected staff.

3. Support Staff

There are currently three proposals from the support Trade Unions relating to a pay award for 2018/19, salary conservation following organisational change and arrangements for transferring to permanent status. These items will be discussed at the next Employers' Association Meeting on 12th March.

A job evaluation scheme has been selected for the support staff. This is the Further Education Role Analysis (FEDRA) scheme. The implementation date is September 2018. It is however

Human Resources Committee

recognised that this date is not achievable and there will therefore be a need to back date any changes to this date. Work is underway to agree the approach to this between the Employers' Association and the Trade Unions.

4. Lecturing Staff

As a result of the national framework for matching promoted posts to the new pay scales, there are three posts at Dumfries and Galloway College where local agreement between management and trade union could not be achieved. These three posts were referred to a national panel. Joint papers and some individual information was submitted for this referral, and a Union Rep and the previous Vice Principal attended. Unfortunately the previous referrals scheduled for that day over ran and we are awaiting a further date.

There is an ongoing disagreement regarding harmonisation of pay and annual cost of living pay awards. The current position is that the trade union view is that the two are separate, and management view the harmonisation to include a cost of living pay award.

As part of national discussions, and on direction from the Scottish Government, work is ongoing to explore the best route to professional registration for lecturing staff. There is a meeting scheduled at a college level with the General Teaching Council for Scotland (GTCS) which will explore the options. A further update will be provided at the next committee meeting.

5. Recommendation

The Staffing Committee is asked to note the information provided in this paper.

Michael Yoed
HR Manager
2 March 2018

Human Resources Committee

1 Purpose of the Report

The purpose of the report is to provide an update to members of the work being undertaken with regards to Workforce Planning. A paper has previously been presented to the committee to outline key areas of workforce planning.

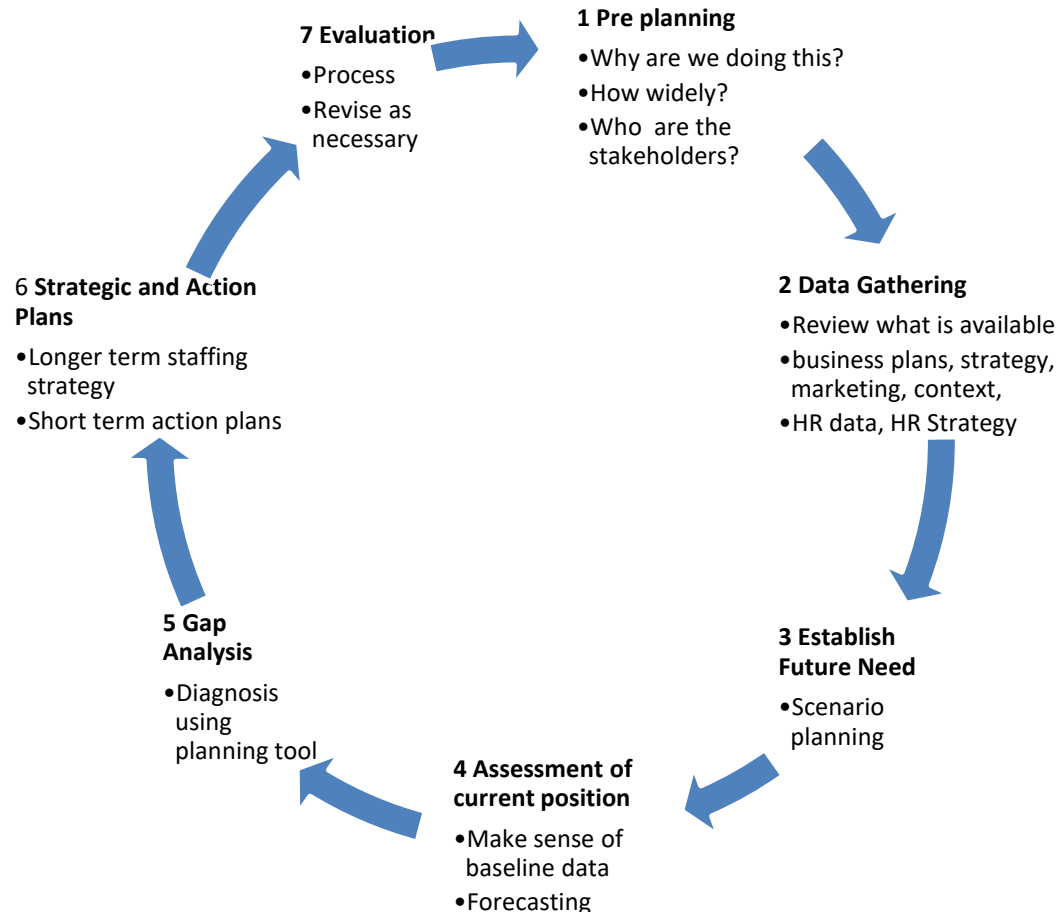
2 Background

A variety of different national policies both in terms of staff remuneration and other terms and conditions as well as course and subject delivery areas, have an impact on what staffing mix is required currently and for the future. The College is also examining ways to develop other business opportunities and secure income streams.

It is also important to understand that long term planning may be quite difficult due to the fact that budgets are set annually and that that national policies can change with short timescales. The College does however have a clear vision for the next 2-3 years and beyond, and the overall direction for the sector is known.

3. Current Position

Based on the model presented at the previous committee meeting, shown below, the College is currently at **2 Data Gathering** and **3 Establish Future Needs**.



Human Resources Committee

The process of Data Gathering is well underway on the lecturing side of the College staff. A review of the staffing requirements in each subject area has taken place with the Vice Principal and this has been compared with the current staff in place. The context of changing national terms and conditions has also been explored with regards to reduced weekly teaching commitment for lecturing staff from August. In terms of the future curriculum delivery, two options are being explored.

- Keep the current model of delivery over 2 blocks of 17 weeks
- Change to the new delivery model with 2 blocks of 18 weeks

It is believed that both options would be achievable with little impact on current staffing. The 36 week model would create more flexibility on a week to week basis however.

The change to a new model could affect some support staff who currently work 34 weeks and there could be an additional cost if they are required to work more weeks. This is being explored in parallel to the above options. There are also implications for student support if the session was extended and advice from the Scottish Funding Council would be required before making this change.

The same data has been gathered for support staff, however curriculum delivery does not necessarily drive a lot of the workload for this staffing group. Where it is identified that delivery is the key driver for staff hours, this will be identified and analysed in a similar way to lecturing staff. This will include staff who are Trainers, Assessors, Verifiers and Instructors or those who have elements of those jobs within their remit.

4. Staff Data

As part of a number of data gathering exercises planned, notably Equality and Diversity and Staff Engagement, it is proposed that we update the data held on staff to ensure we have an up to date picture on qualification, experience and the skills profile of our workforce. To avoid sending out multiple requests for information, all surveys and data gathering will be completed as one exercise.

5. Staff Development

Following a period of consultation, a revised Staff Development Policy and Procedure has been developed, it would be proposed to launch this over the coming weeks and encourage engagement through this to highlight the development and career aspirations of our staff.

6. HR Strategy

It is proposed, that following the data gathering and analysis exercises, that the opportunity is taken to review and re-launch the College's HR Strategy. The current HR Strategy Document was launched in 2016 and supports the aims and objectives set out within the overall Vision 2020 strategy for the College. The current areas of focus for the strategy are as follows:

1. An engaged, diverse and high quality workforce.
2. Adaptable, flexible and innovative staff, teams and organisation.
3. Excellent leadership and management.
4. A safe and healthy working environment.

Human Resources Committee

The revised strategy would build on objectives 1 and 2 from the 2016 strategy to include a clear workforce plan. It would also potentially cover the culture of the college. The revised plan would potentially focus on:

1. A clear workforce plan to ensure a future proofed, diverse and high quality workforce
2. A culture of flexibility, innovation and diversity across the workforce
3. A culture of strong and effective leadership across the College
4. A safe, healthy and engaged workforce

7. Recommendation

The Human Resources Committee is asked to endorse the aims of the workforce plan within a wider refresh of the HR Strategy and the approach being utilised. A further report will be presented to the Committee at the October meeting (or sooner if the work is completed before then).

Michael Yoed
HR Manager
2 March 2018



DUMFRIES AND GALLOWAY COLLEGE

Human Resource Management – Sickness Absence

FINAL

Internal audit report 3.17/18

24 November 2017

This report is solely for the use of the persons to whom it is addressed.
To the fullest extent permitted by law, RSM Risk Assurance Services LLP
will accept no responsibility or liability in respect of this report to any other party.



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Debrief held	1 November 2017	Internal audit team	Robert Barnett, Head of Internal Audit
Responses to debrief received	3 November 2017		Philip Church, Client Manager
			Dulcie Hakin, Lead Auditor
Draft report issued	20 November 2017		
Responses received	20 November 2017	Client sponsor	Finance Manager
Final report issued	24 November 2017		Vice Principal, Corporate Services
		Distribution	Finance Manager
			Vice Principal, Corporate Services

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The matters raised in this report are only those which came to our attention during the course of our review and are not necessarily a comprehensive statement of all the weaknesses that exist or all improvements that might be made. Management actions raised for improvements should be assessed by you for their full impact before they are implemented. This report, or our work, should not be taken as a substitute for management's responsibilities for the application of sound commercial practices. We emphasise that the responsibility for a sound system of internal controls rests with management and our work should not be relied upon to identify all strengths and weaknesses that may exist. Neither should our work be relied upon to identify all circumstances of fraud and irregularity should there be any.

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RSM Risk Assurance Services LLP is a limited liability partnership registered in England and Wales no. OC389499 at 6th floor, 25 Farringdon Street, London EC4A 4AB.

1 EXECUTIVE SUMMARY

1.1 Background

As part of the College's agreed internal audit plan for 2017/18, an audit of Human Resources Management - Sickness Absence was undertaken.

In the 2016/17 academic year the College lost 2564 staff working days due to sickness absence, 69.5% of these were support staff absences and 30.5% were teaching staff absences.

Sickness absence is monitored on the iTrent system, which was implemented throughout the College in April 2015. This coincided with the change in responsibility of sickness absence reporting from HR to employees' line managers.

When staff are absent, they must inform their line manager, or a member of HR if their line manager is not available. The line manager logs the absence on the iTrent system, and when staff return from any period of absence a 'return to work' interview takes place between the employee and the line manager. A Sickness Absence Certificate form is completed and sent to HR so they can close the absence.

The HR Officer maintains a spreadsheet of current absences that is monitored on a weekly basis and informs HR of any new sickness absences, long term absence dates for current absentees and employee Sickness Absence Certificates HR are awaiting from line managers.

1.2 Conclusion

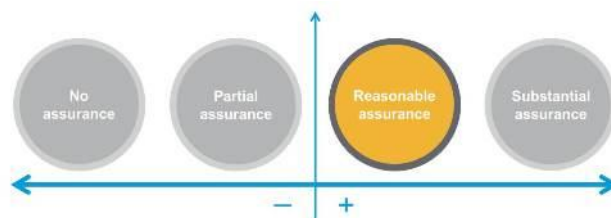
Overall our review found there were well-designed controls in place to identify and monitor sickness absence at the College. However, we found the Sickness Absence Certificate form did not evidence that a return to work interview had taken place, and the Sickness Absence Management Procedure lacked procedures for line managers to follow. Our testing also found there were delays in line managers logging absences on iTrent and absences being ended on iTrent after the employee had returned to work.

As a result of our findings, we have agreed **one medium** and **four low** management actions. Further details of these actions can be found in section two of this report.

Internal audit opinion:

Taking account of the issues identified, the Board can take **reasonable assurance** that the controls in place to manage this area are suitably designed and consistently applied.

However, we have identified issues that need to be addressed in order to ensure that the control framework is effective in managing the identified area.



1.3 Key findings

The key findings from this review are as follows:

- The Sickness Absence Management Procedure focussed on the procedure employees need to follow if they are absent, it was missing the procedure that line managers must follow when their employees are absent. There were issues with line managers logging absences on iTrent and returning employees' Sickness Absence Certificate form to inform HR the employee was back at work, it was decided to update the Sickness Absence Management Procedure with this procedure and remind line managers of their responsibility once the document is updated.
- We tested training records of 12 line managers and found for half that the training on how to record sickness absence on the iTrent system had not been recorded on their training records.
- The dates on three out of the 20 Sickness Absence Certificate forms that we reviewed did not agree to the absence dates recorded on iTrent.
- Managers signed the Sickness Absence Certificate form before giving it to HR, however there was no separate form in place to evidence that a return to work interview had taken place.
- Sickness absence figures were reported to the Board annually, but there was no oversight of sickness absence figures throughout the year.
- There was a lack of evidence on employee files of any contact that line managers had with employees on long-term sickness absence. However, the HR staff we spoke to were satisfied that line managers were in contact with employees as they speak to all managers throughout the week, either in person, over the phone or by email, so they did not think it was necessary to raise a management action for line managers to retain evidence and provide this to HR.

1.4 Additional information to support our conclusion

The following table highlights the number and categories of management actions made. The detailed findings section lists the specific actions agreed with management to implement.

Area	Control design not effective*		Non Compliance with controls*		Agreed actions		
					Low	Medium	High
Sickness Absence	0	(7)	5	(7)	4	1	0
Total					4	1	0

* Shows the number of controls not adequately designed or not complied with. The number in brackets represents the total number of controls reviewed in this area.

2 DETAILED FINDINGS

Categorisation of internal audit findings

Priority	Definition
Low	There is scope for enhancing control or improving efficiency and quality.
Medium	Timely management attention is necessary. This is an internal control risk management issue that could lead to: Financial losses which could affect the effective function of a department, loss of controls or process being audited or possible regulatory scrutiny/reputational damage, negative publicity in local or regional media.
High	Immediate management attention is necessary. This is a serious internal control or risk management issue that may lead to: Substantial losses, violation of corporate strategies, policies or values, regulatory scrutiny, reputational damage, negative publicity in national or international media or adverse regulatory impact, such as loss of operating licences or material fines.

This report has been prepared by exception. Therefore, we have included in this section, only those areas of weakness in control or examples of lapses in control identified from our testing and not the outcome of all internal audit testing undertaken.

Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Action for management	Implementation date	Responsible owner
Area: Sickness Absence								
1	There is a Sickness Absence Management Procedure in place that details the absence reporting procedure for staff. The procedure document was last reviewed in 2015 by the Vice Principal, Corporate Services. It is made available to staff on the intranet.	Yes	No	Discussions with the Vice Principal, Corporate Services found that the Sickness Absence Management Procedure would go for approval if significant changes were made. It would be the responsibility of the Executive Management Group to review and approve the procedure. Otherwise, the Vice Principal, Corporate Services reviews the document when it is due for renewal or if minor changes are required in the interim period. We confirmed the document was last reviewed in January 2015 and	Low	The Sickness Absence Management Procedure will be updated to detail the process that managers must carry out when a member of staff reports as sick i.e. log absence on iTrent on that day and ensure a Sickness Absence Certificate form is completed on their first day back and forwarded to the HR department. The revised procedure will be issued to all staff	31 st December 2017	Vice Principal, Corporate Services and HR Officer

Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Action for management	Implementation date	Responsible owner
				<p>was due for review in January 2018 and was made available to staff via the intranet.</p> <p>The procedure document did not include information about line managers having to log absences on iTrent and their responsibility to inform HR when employees return. If this is not included in the document there is a risk that line managers may not be able to use the document to determine their responsibilities in the sickness absence process.</p>		and managers will be made reminded of their responsibilities in the process of managing sickness absence.		
2	<p>When iTrent was set up in the College two years ago, responsibility for reporting sickness absence changed to line managers.</p> <p>All staff were given training on iTrent but managers received additional training for how to report sickness and other absences. This was provided through a Powerpoint presentation and demonstration on-screen by the HR Officer. This training is called 'People Manager</p>	Yes	No	<p>We tested a sample of 12 line managers to see if they had received 'People Manager iTrent' training, we found the following:</p> <ul style="list-style-type: none"> There was record of 'People Manager iTrent' training on the training record of three line managers in our sample. Three staff were in the process of receiving a bulk of management training, this would be added to iTrent once it was all completed. We confirmed the HR Officer had a spreadsheet tracking this training and all three of these staff were on the spreadsheet. 	Low	The HR Officer will review training records for all line managers to see who has had the training recorded and who does not. These records will be updated where employees have received training and if any individuals have not received training this will be provided and updated on iTrent.	31 st December 2017	HR Officer

Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Action for management	Implementation date	Responsible owner
	iTrent' on staff training records.			<ul style="list-style-type: none"> For six staff there was no record of training on iTrent. The HR Officer confirmed they had provided training to three of these staff but this had not been entered onto iTrent. <p>If line managers do not receive training in absence management, they may not understand what their responsibilities are in the process or the importance in following the procedure correctly.</p>				
3	<p>When staff are absent, they must phone their line manager to let them know at least 30 minutes in advance of their normal start time.</p> <p>If the line manager is unavailable, they must phone HR to inform them of their absence.</p> <p>The line manager / HR then record the absence on iTrent.</p> <p>When the employee returns, HR close the absence on iTrent when they receive the</p>	Yes	No	<p>For a sample of 20 staff absences, we carried out testing to determine if the absence had been logged on iTrent and closed on the system in a timely manner. We found the following:</p> <p><u>Logging absences</u></p> <ul style="list-style-type: none"> For half of our sample, the absence had been entered onto iTrent on the (first) day of the absence. In five instances, the absence had been logged the day after the (first) day of absence. In five instances the absence had been logged on the system 	Low	<p>HR will check dates on Sickness Absence Certificate forms agree to iTrent.</p> <p>Where these dates differ, they will check with line manager / employees to determine the correct dates and amend iTrent accordingly, or if iTrent does not need to be corrected, they will write on the form the reason for the difference.</p>	Immediately	HR Officer

Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Action for management	Implementation date	Responsible owner
	employee's ' Sickness Absence Certificate '.			five to nine days after the (first) day of absence.				
				<p><u>Closing absences</u></p> <ul style="list-style-type: none"> • In six instances the absence had been closed on the day of return, or earlier where the employee had informed the College their date of return • In six instances the absences had been closed two to seven days after the end date of the absence. • In eight instances, the absence had been close nine to 49 days after the end date of the absence. <p>If absences are not recorded and closed on time, there is a risk employees may not receive the correct payroll payment. This finding is addressed in management action one, when the Sickness Absence Management Procedure is updated to include line manager's responsibility in the sickness absence procedure, they will be reminded of their responsibilities and the correct procedures they must follow.</p>				

Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Action for management	Implementation date	Responsible owner
				<p>For our sample of 20 absences we found there were three forms that did not agree:</p> <ul style="list-style-type: none"> The end date on the form was 18th October 2016 but the end date on iTrent was 4th October 2016 - this was because the employee had a phased return from 4th October 2016 to 18th October 2016 and had put the date they were back to work full time as the end date. The end date on the form was 30th December 2016, the end date on iTrent was 22nd December 2016. There were no working days between 22nd December and 30th December 2016. 22nd December 2016 was the employee's last working day but they had put the last date of their sickness on the form, which was over the Christmas holiday. The end date on the form was 10th August 2017, the end date on iTrent was 30th August 2017. The employee had been on annual leave from 14th August 2017 to 30th August 2017. The date on iTrent was incorrect and needed to be amended. <p>If Sickness Absence Certificate forms are not checked to iTrent,</p>				

Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Action for management	Implementation date	Responsible owner
				there is a risk that the absence dates held on the system are incorrect.				
4	<p>On the date of their return, staff receive a 'return to work' interview with their line manager on the date of their return.</p> <p>This interview is normally an informal chat for smaller periods of absence where the employee's line manager signs their 'Sickness Absence Certificate' to confirm it agrees to what they have discussed. The interviews are more formal when the absence is over a longer period.</p> <p>If any concerns are raised by the employee at this stage, the manager informs HR who follow relevant procedures dependent on the concern raised.</p> <p>When employees are off due to 'stress' or another work-related</p>	Yes	No	<p>Discussions with HR staff and review of 'back to work' forms found that there is no separate document for 'back to work' interviews. Line managers just sign the sickness absence certificates that the employee completed.</p> <p>There is no way to confirm that an interview / meeting has actually taken place between the employee and their line manager.</p> <p>If there is no evidence that a return to work interview has taken place, there is a risk that they have not taken place and there has been no discussion with the employee if they need additional support or if their absence is likely to occur again.</p>	Medium	The Sickness Absence Certificate will be reviewed and additional information requested from managers regarding discussions with staff and outcomes of those discussions.	31 st December 2017	HR Officer

Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Action for management	Implementation date	Responsible owner
	issue, HR offer to refer them to the College's Occupational Health scheme it has in place with the NHS. Employees cannot be referred to this scheme without being informed and agreeing to this first.							
5	The Vice Principal Corporate Services produces an annual report that is presented to the Staffing Committee. This report provides details of staff absences in the previous year.	Yes	No	<p>We confirmed an annual Sickness Absence Report had been presented to the Human Resources Committee at the 10th October 2017 meeting.</p> <p>Although there is weekly monitoring to ensure that HR receive return to work forms for absent employees, there is no other reporting carried out throughout the year of sickness absence figures.</p> <p>If regular reporting and monitoring of sickness absence figures is not carried out there is a risk that trends in reasons for sickness absence will not be identified and relevant support for employees may not be implemented.</p>	Low	A Report on Sickness Absence will be provided on a quarterly basis to the College Leadership Team.	31 st January 2018	HR Manager (new post)

APPENDIX A: SCOPE

The scope below is a copy of the original document issued.

Scope of the review

The scope was planned to provide assurance on the controls and mitigations in place relating to the following area:

Objectives of the area under review

To ensure that sickness and absence is effectively identified and monitored to allow for staff to return in a timely manner.

When planning the audit, the following areas for consideration and limitations were agreed:

Areas for consideration:

The following areas were considered as part of the review:

- Policies and procedures pertaining to absence management were in place and available to staff.
- Training arrangements were in place to support managers to deal with sickness absence.
- We reviewed the processes in place to identify, record, manage and report absences with specific focus on short and long-term absenteeism.
- The review also assessed whether the information being reported from the system was accurate.
- Whether return to work interviews were conducted.
- The self-certification processes that were undertaken.
- Management reports and monitoring information was presented to and scrutinised by relevant forums– specific monitoring of long-term sickness – this included the actions taken to reduce sickness in areas where absenteeism is high and how the success of these is measured.

Limitations to the scope of the audit assignment:

- Conclusions are based on our assessments made through discussions with management, assessment of the current framework of controls and an initial review of relevant documentation available, either internally or externally generated.
- Testing was completed on a sample basis, so cannot confirm all sickness absence had been processed in accordance with the College's procedures.
- We have not commented on the suitability of the iTrent system.
- We did not review the purchase or the performance of external services, such as occupational therapy.
- The review was limited to examining processes in place for managing sickness absence. Other absence such as special leave, parental leave and annual leave did not form part of this review.

- We did not review or confirm absence management targets will be achieved.
- We did not review or confirm measures put in place to return staff to work are appropriate or suitable.
- Our work does not provide absolute assurance that material errors, loss or fraud do not exist.

APPENDIX B: FURTHER INFORMATION

Persons interviewed during the audit:

- Vice Principal, Corporate Services
- HR Officer

Documentation reviewed during the audit:

- Sickness Absence Management Procedure
- iTrent training slides provided to line managers
- Sickness absence certificate
- Weekly monitoring sheets
- Human Resources Committee meeting minutes
- Annual Absence Report

FOR FURTHER INFORMATION CONTACT

Rob Barnett, Head of Internal Audit

Robert.Barnett@rsmuk.com

Tel: 07791 237658

Philip Church, Client Manager

Philip.Church@rsmuk.com

Tel: 07528 970082

Human Resources Committee

Strategic Risk Register

1 Introduction

- 1.1 The purpose of this paper is to provide the Human Resources Committee with the opportunity to review the College's Strategic Risk Register.

2 The Report

- 2.1 In accordance with the College's Risk Management Policy any risk with an inherent rating of 12 or above must have mitigating controls in place and where the residual rating remains above 12 should be reviewed at least quarterly in order to identify if any further actions could be taken to reduce the residual rating to below 12. For completeness all risks are included in the attached register, in order of high to low ratings.
- 2.2 The Principal and Executive Management Team routinely review the Strategic Risk Register to reflect the risks the College is facing and the mitigation that will be applied to each risk. There are currently 10 strategic risks, four of which are rated 12 or above.
- 2.3 One new risk has been added:
- Risk No 14 – 'Non-compliance with GDPR', with an inherent risk rating of 12
- Changes have been made to the following:
- Risk No 1 – 'National Pay Bargaining'. No change to the risk factor but updated to reflect that the college still awaits its funding allocation for 2018-19
 - Risk No 5 – 'University of the West of Scotland – Review of property and provision in Dumfries'. There has not been any further discussion/information regarding this for some considerable time. It is recommended to remove this from the risk register
 - Risk No 2 – 'Public Sector funding cuts – forecast for session 2017-18'. It is recommended that this should be changed to 'Financial Sustainability' to better describe the risk faced by the college. An update has been provided
 - Risk No 13 – 'Cyber Attack'. No change to the risk factor, however updated to reflect current position
 - Risk No 4 – 'Unable to achieve credit (activity) target'. It is recommended to reduce the Risk factor from 12 to 8 to reflect current position

3 Recommendation

- 3.1 It is recommended that the Human Resources Committee consider and comment regarding risks within their area of responsibility and, if so minded, support the content of the Strategic Risk Register.

Strategic Plan 2017-2018 Risk Register

Risk No.	Risk Description	Inherent Risk			Controls in Place	Assurances	Internal/ External	Residual risk			Further Action	Risk Owner
		Likelihood	Impact	Total				Likelihood	Impact	Total		
1	National Pay Bargaining	4	4	16	1. Detailed financial planning undertaken and approved by Finance and General Purposes Committee to ensure "affordability" of any offer. 2. National negotiation processes in place with recognised unions. 3. Government public sector pay guidance for 2017-18 is for maximum 1%, College budget will reflect this.	1. Feedback to EMT and the Board 2. Included in budget which is monitored and reported through F&GP and Board 3. Sound internal planning and monitoring to ensure service continuity in event of industrial action 4. College adopts a pragmatic approach to budget and scenario planning.	Internal/ External	3	4	12	December 2017 - EIS have declared a formal dispute in respect of 2017/18 Cost-of-Living Pay Award. February '18 - Discussions re 2017-18 pay award are ongoing. SFC have indicated that there will be funding to cover costs of harmonisation of lecturer's pay for 2018-19 in Funding allocation but no confirmation received as yet.	EMT
6	Failure to achieve attainment targets	4	4	16	1. Real time monitoring systems in place 2. Strategies in place to improve retention. 2. Strategies in place to improve student success 3. Poorly performing programmes removed from the curriculum.	1. Monitored at course level and review by Vice Principal (Learning and Skills) 2. Monitored through self evaluation process and reported to ET and L&T committee	Internal/ External	3	4	12	Moving forward achieving attainment targets agreed with the SFC in the Regional Outcome may be a condition of grant. Low attainment can also be detrimental to college reputation. For 2017-18 changes been made to Induction, ongoing monitoring of KPIs and data analysis. New Academic structure allows for closer monitoring. Moving towards proactive flagging of vulnerable students for close monitoring.	EMT
3	Governance issues: Reclassification and other changes to governance reduce the flexibility of the College to manage financial and estates issues and meet targets in the Outcome Agreement.	4	4	16	1. Executive Management Team and Finance Manager representation at relevant briefings and ongoing monitoring of changes 2. External audit advice	1. Appropriate and robust internal planning and monitoring arrangements 2. Regular liaison with Scottish Funding Council	Internal/ External	3	4	12	The Board of Management and EMT continue to monitor the situation. December 17 - Capital Funding remains a concern.	EMT
14	Non-compliance with GDPR	3	4	12	1. Recruitment of specialist, 1 day per week in partnership with Ayrshire College and Conservatoire in Glasgow. 2. JISC undertaking audit of college current processes. 3. Internal check on systems and Processes. 4. Online training of staff.	1. Standing agenda item on Audit Committee agenda. 2. Senior College Manager leading on development.	External/ Internal	3	4	12	College is well placed in terms of data protection but work is ongoing to measure gap and take appropriate actions.	EMT
4	Unable to achieve credit (activity) target	3	4	12	1. Real time monitoring system. 2. Contingency plans in place to offer additional provision as required. 3. Annual review of staffing and provision to rebalance areas of growth with areas of decline. 4. Annual review carried out by internal audit	1. Reviewed by EMT on a weekly basis 2. Curriculum areas looking to run additional courses to address shortfall. 3. KPI reported and discussed at each board meeting 4. Provision made in accounts for clawback 5. Marketing strategies for 18/19 recruitment	Internal / External	2	4	8	Early warning strategies to be implemented to improve early retention. . November 2017 - work is ongoing to monitor and progress against targets. February 2018 - College is maximising all credits for FE and HE courses, resulting in a reduction in the predicted gap between actual v target credits.	EMT

Strategic Plan 2017-2018 Risk Register

Risk No.	Risk Description	Inherent Risk			Controls in Place	Assurances	Internal/ External	Residual risk			Further Action	Risk Owner
		Likelihood	Impact	Total				Likelihood	Impact	Total		
5	University of West Of Scotland - Review of property and provision in Dumfries.	4	3	12	1. Principal continue to discuss with Senior Management of UWS. 2. Principal and Vice Principal on the Joint Academic Strategy Group. 3. Regular reporting and discussion at EMT as information becomes available.		Internal/ External	2	3	6	Continue dialogue with UWS. Keep SFC informed of potential loss of contribution to college overheads from UWS for shared accommodation. Also potential loss of articulation opportunities for College students if UWS provision if reduced. Recent discussion indicate UWS not near making a decision at this point in time.	EMT
2	Public sector funding cuts - forecast for session 2017-18	4	4	16	1. Scenario planning undertaken and measures to offset reduction identified which is then used to inform curriculum planning. 2. Annual review of provision undertaken through planning and budgetary process to ensure match of income and expenditure.	1. Curriculum plans approved by EMT and L&T 2. Budget approved by the Board	Internal	1	4	4	November 2017 - Current Budget for 2017-18 forecast break-even position. December 2017 - Recent budget announcement forecast flat cash settlement for colleges, however details unknown at this stage. February 2018 - Break-even position forecast for 2017-18. No further details re settlement for 2018-19 available as yet.	EMT
13	Cyber attack	3	4	12	1. Janet network (via JISC) provides secure connectivity. 2. Regular reporting at ET. 3. Constant scanning to identify potential attacks/network vulnerabilities. 4. VP CS&G and IT Manager meets regularly with JISC account Manager	1. Janet secure network provides a high speed, highly reliable and secure, world-class network, enabling national and international communication and collaboration to the UK research and education community. 2. Regular updates from JISC on potential attacks/network vulnerabilities 3. EMT meetings/minutes 4. Internal Audit 2016/17	External/ Internal	1	4	4	Jisc's Security Operations centre is responsible for monitoring and resolving any security incidents (detect, report, investigate) that occur on the network. They also provide an enhanced service for the detection and mitigation of Denial of Service (DoS) attacks that occur across the network. February 2018 - The recent requirement placed on the college by the Scottish Government to adhere to the cyber resilience measures have resulted in the college undertaking an audit of where we are compared to the new standards. If necessary an action plan to achieve the cyber resilience standards will be developed and monitored through our audit committee.	EMT

Strategic Plan 2017-2018 Risk Register

Risk No.	Risk Description	Inherent Risk			Controls in Place	Assurances	Internal/ External	Residual risk			Further Action	Risk Owner
		Likelihood	Impact	Total				Likelihood	Impact	Total		
10	Imbalance between demand for student support funds/bursaries and funds available	3	3	9	1. Detailed analysis and monitoring of spend undertaken on an ongoing basis by Finance Manager, discussed monthly with VP (CS&G) who updates ET. 2. Allocation and amounts reviewed on an annual basis to ensure funding constrained within amount available. 3. Annual review carried out by internal audit	1. EMT Meetings/Minutes 2. Internal Audit Report presented to Audit Committee	Internal	1	3	3	December 2017 - Requested additional funding for 2017/18 that has been provided. February 2018 - College received additional student support grant that will meet demand.	EMT
9	Prevent Duty – disruption due to threat of extremism / risk of external influences	3	4	12	1. Vice Principal attendance at local multi-agency CONTEST group 2. Regular reporting of Prevent issues at EMT. 3. Constant scanning to identify new potential threats.	1. College Prevent Action Plan 2. CONTEST meetings/minutes 3. EMT meetings/minutes 4. 80% staff trained by Sept '17	External/ Internal	1	2	2	Vice Principal leading on Prevent Action Plan, any issues would be identified through regular reporting at EMT. Immediate concerns to be raised with contact within Police Scotland. Review of evacuation procedures in relation to 'stay safe' has taken place. The College is kept updated through SOCCT Group and appropriate action taken	EMT