

**Board of Management
Board Development Committee**

Date: Thursday 4th July 2019

Time: 11am

Venue: Tarff Valley

A G E N D A

			Presented by
1	Welcome and Apologies		BJ
2	Declaration of Interest		BJ
3	Minutes of the meeting held on 6 March 2018 have been approved	(attached)	BJ
4	Board Evaluation and Development		
4.1	Board Self Evaluation 2018-19	(verbal)	AW
5	Succession Planning	(verbal)	BJ
5.1	Terms of Office	(attached)	AW
5.2	SIM & Vice Chair Roles	(attached)	AW
6	Strategic Risk Register	(attached)	BJ
7	Board Development Event – January 2020	(verbal)	BJ
8	Any Other Business		
98	Date and Time of Next Meeting: Tuesday 29 October 2019 at 2pm		

Next Board Development Event: Tuesday 21 January 2020, 10am – 3pm

Board Development Committee

Minute of the Meeting of the Board Development Committee of the Board of Management of Dumfries and Galloway College held on 4 July 2019 at 12.30pm at Tarff Valley, Dumfries2

Present: Brian Johnstone (Chair) Delia Holland (Vice Chair)
Pat Kirby Janet Brennan
Karen McGahan

In attendance: Ann Walsh, Secretary to the Board and Minute Taker

Apologies: Hugh Carr

1 Welcome and Apologies

The Chair welcomed all to the meeting, in particular to Janet Brennan who joins the committee in her role as Chair of the Human Resources Committee and Karen McGahan who joins the committee in her role as Chair of the Finance & General Purposes Committee.

Apologies had been received from Hugh Carr.

The Chair extended thanks to the previous Chairs – Stuart Martin (HR Committee) and Ros Francis (Finance & General Purposes Committee).

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

The Chair started the meeting by reminding Members of the purpose of the committee, and adding that he felt it beneficial for the Chairs/Vice Chair to have the opportunity for discussion that this meeting affords.

2 Declaration of Interest

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

3 Minutes of the meeting held on 26 November 2018

The minutes were approved by the committee by email in May 2019.

3.1 Matters Arising from the meeting held on 26 November 2018

3.1.1 Board Evaluation 2017-18

This was approved by the Board in December 2018. It was then uploaded to the college website and submitted to the Scottish Funding Council in January 2019

3.1.2 Board Development Plan 2018-19

Agreed revisions were made and the plan was approved by the Board in December 2018. It was then uploaded to the college website and submitted to the Scottish Funding Council in January 2019

3.1.3 Succession Planning

The following extensions were approved by the Board in December 2018 and received ministerial approval in February 2019:

- Delia Holland and John Henderson, term of office extended for three years
- Barry Graham and Ros Francis term of office extended for four years

Approval was given by the Board for recruitment to fill the vacancy created by Stuart Martin's retiral.

3.2 Email Communication – 15 May 2019 (In place of a committee meeting)

The Chair reminded the committee that due to the range of commitments undertaken by Board Members in recent months it would have been difficult to arrange a meeting of the committee prior to the Board meeting held on 4 June 2019. Therefore email communication was used to continue the succession planning decision making by the committee, to enable recommendations to be made to the full Board for approval.

On 15th May 2019 a draft succession planning paper was sent to the committee with a covering email requesting the committee members to confirm their approval, via email, of this and the draft minutes of the meeting held in November 2018. Requiring particular attention was:

- *Proposal that Hugh Carr remains as Chair of Audit Committee for the next 2 years (this would enable time for a new Chair to take on this role prior to the end of Hugh's second term in office.*
- *The roles of SIM and Vice Chair are held by separate members of the Board, as explained in the paper*
- *The process to select the new Vice Chair is proposed to be via email voting to the Board Secretary directly to enable anonymity. Could you please confirm that you are in agreement of this process.*

Five of the six committee members approved the proposals and the draft minutes, with some questions remaining regarding the proposal to separate the SIM/Vice Chair roles. The sixth member was on holiday and not available to respond. The proposals were implemented and/or recommended to the Board for approval and the succession planning paper finalised for presenting and requesting approval by the Board at their meeting in June 2019.

It was agreed that the Board Secretary would provide a paper to the Board, in June 2019, outlining her research regarding the SIM/Vice Chair roles that includes reference to the current Vice Chair/SIM's previous paper regarding the role of the SIM.

3.2.1 Update from the Board Meeting in June 2019

Board Members approved the following recommendations:

- Hugh Carr to undertake a second term of tenure as Chair of the Audit Committee from 1 September 2019 for two years
- Delia Holland to be appointed as Vice Chair of the Board from 5 June 2019 for two years
- An increase by one non-executive Board member for both the Audit Committee and the Finance & General Purposes Committee
- A change in the Terms of Reference for the Audit Committee to state 5-6 Non-Executive Board Members

The Board deferred making a decision regarding whether the roles of SIM and Vice Chair should be held by different Board Members and requested that the position of SIM to be discussed at a Board Development Committee meeting and the paper prepared by the Board Secretary be taken to this meeting. Recommendations from this to come back to the Board for approval. This was discussed under item 5.2.

4 Board Evaluation and Development

4.1 Board Evaluation 2018-19

The proposed board self-evaluation for 2018-19 is for a review of the terms of reference (TOR) for the Learning and Teaching Committee to be undertaken and for self-evaluation of the Audit Committee.

Hugh Carr had sent in a suggestion that the TOR for all committees be reviewed, with particular attention to what each committee can approve and what needs to come to the full Board for approval.

During discussion it was agreed that the first step will be for the Board Secretary to email the current TOR to each Committee Chair and ask them to do an initial review.

Actions:

- Review of TOR for the Learning and Teaching Committee to continue
- Self-Evaluation of the Audit Committee to be undertaken
- Board Secretary to email the current TOR to each Chair and ask them to do an initial review.

5 Succession Planning & Vacancies**5.1 Terms of Office**

The Board Secretary spoke to the document provided which provides information to enable future planning.

5.2 Board Member Recruitment

The recruitment process for the current vacancy was approved by the Committee and the independent interview panel member in April. Following a good response, four candidates were shortlisted and interviewed. At the Board meeting in June 2019, Board Members approved the recruitment of the preferred candidate, Ann Hill, subject to a face to face meeting with two panel members, Ministerial Approval and standard checks. The Chair and second panel member, Janet Brennan, reported that the additional meeting was requested to support the telephone interview and was a positive meeting, therefore the standard checks are now underway. It is expected that all will be received and that Ann Hill will commence as a Board Member on 5 August 2019.

5.2 SIM & Vice Chair Role

The Board Secretary spoke to the paper issued explaining the rationale regarding the proposal to separate the SIM and Vice Chair roles and gave feedback regarding the current situation and thinking within the sector. The main rationale to separate the roles is to enable the SIM to be independent of the Chair and Principal.

Discussion took place regarding the length of tenure of the roles, the process to recruit and the development of job role/job descriptions.

Decisions:

The committee approved the following to be recommended to the Board for approval:

- Separation of the SIM and Vice Chair Roles
- Job descriptions to be developed for each role
- The length of tenure to be proposed within the job descriptions
- Process for election:
 - Ask for self nominations with accompanying statements, via an application/nomination form
 - Secret Ballot to be undertaken via email – outside of Board Meetings and prior to the Board Meeting to be held in October 2019. Voting to be returned to the Board Secretary.
 - Ratification of the elected Board Member to be undertaken at the October 2019 Board Meeting
 - Delia Holland to remain as Vice Chair and SIM until the new SIM has been elected and approved by the Board

Actions:

- Job Descriptions to be drafted by the Board Secretary and the Vice Chair
- Recommendation to separate the roles and the process to recruit the SIM to be emailed to the Board for approval
- Election process to be undertaken prior to the Board Meeting in October 2019

6 Strategic Risk Register

The strategic risk register was considered by members. No additions or amendments required from the Committee

7 Any Other Business**7.1 Feedback from Joint Working Group Meeting held on 26 June 2019**

Those that attended the working group meeting felt it was a good meeting that fell into two parts:

7.1.1 Progress on the SoSEP funded Hub and Spoke Project

Although this was not the main purpose of the meeting it was very useful with both Principals giving an update. The building work is going well, but more work is required regarding curriculum development and joint working. The Principals will take this work forward and come back with an update report.

Action: Both Principals to take forward the curriculum development work and provide an update report.

7.1.2 Strategy – discussions regarding a tertiary model option

This was the purpose of the meeting. Good discussion took place with no finite conclusion being made. It was agreed to invite the Scottish Funding Council (SFC) to speak to the two Boards at a Joint Board Meeting. The working group spent some time identifying the questions they would want to ask and discuss at that meeting. These will be listed in the minutes of the working group meeting and will be circulated to the Board.

The Chair advised that he has had a brief meeting with the Chair of Borders College and they will be asking that it is the Chair and the CEO of the SFC that attends the Joint Board meeting. This meeting will be hosted by our college.

Actions:

- Minutes of the Joint Working Group meeting to be circulated to the Board
- Joint Board Meeting to be organised

7.2 Committee Memberships

Ros Francis has requested that she move from being a member of the Finance and General Purposes Committee to being a member of the Audit Committee. Delia Holland has volunteered to become a member of the Finance and General Purposes Committee. This leaves the status quo in terms of numbers, still requiring an additional member for each committee.

Decision/Action: The request is approved and approval to be requested from the Board for the Committee membership changes proposed.

7.3 Vision 2020 and going forward

The Chair advised that the Principal will be holding a Staff Session on strategy at the end of November which will include some Board input and some inspirational speakers.

The Chair proposed that prior to this the Board has a strategic planning day, the outcome of which will feed into the day in November.

Decision: Members agreed to use the date of the next Board Development Committee meeting as the strategic planning day and that this would replace the Board Development Event planned for January.

Action: The Board Secretary to confirm that this date is suitable for the Principal and to inform the Board that the date of the next Board Development Event is being brought forward to 29 October 2019.

7.4 Principal's Objectives for 2019-20

Objectives for the Principal are within the remit of the Remuneration Committee, with the next meeting being on 5 November. The Chair suggested that initial areas for objectives for the Principal are considered by this committee as the Principal commenced her employment at the college in June 2019 the Chair wanted to ensure that she had some outline objectives in place. These will be developed and taken to the Remuneration Committee meeting on 5 November for approval.

Decision: The following outline objectives were approved for the Principal

- 1 Regional Outcome Agreement Achievement
- 2 Vision 2020 Progress
- 3 Hub & Spoke Learning Network progress within agreed timeline
- 4 Stranraer Strategy to be finalised
- 5 Action Plan for Education Scotland to support the Enhancement Plan
- 6 Articulation and other arrangements with Universities
- 7 Schools Engagement
- 8 Business and Employers (and embedding DYW principles and priorities of the Regional Skills Investment Plan (RSIP))
- 9 Engaging older learners
- 10 Staff – Workforce Plan

Action: Objectives to be developed further, to be taken to the November Remuneration Committee meeting for approval to be recommended to the Board.

7.5 Education Scotland Review / Enhancement Plan

Members discussed the Education Scotland feedback to the Board at the June Meeting . The Chair has met with the Principal regarding this. The Principal is aware of the Board’s concern and has had a detailed meeting with Juliet McAlpine, Education Scotland, to help ensure a clear understanding of what needs to be done.

The Learning &Teaching Committee will monitor the actions/enhancement plan and in her role as Chair of Learning and Teaching, Pat Kirby will be meeting with the Principal separately and will focus on this.

8 Date and time of next Meeting

The date of the next meeting of the Board Development Committee: TBC.

The Board Development Event has been brought forward, to be changed to a Board Strategic Planning Day to review Vision 2020 and Objectives for a new Strategic Plan – Revised date is 29 October 2019, 10am – 3pm (The 21st January 2020 date has been cancelled).

Board Development Committee

Minute of the Meeting of the Board of Management of Dumfries and Galloway College at its Board Development Committee held on 26 November 2018 at 2 pm in 2009

Present: Brian Johnstone (Chair) Delia Holland (Vice Chair)
Hugh Carr Pat Kirby

In attendance: Ann Walsh, Secretary to the Board and Minute Taker

1 Welcome and Apologies

The Chair welcomed all to the meeting, in particular to Pat Kirby who joins the committee in her role as Chair of the Learning & Teaching Committee. Apologies had been intimated on behalf of Stuart Martin and Ros Francis.

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

As Ros Francis has taken over as chair of the Finance and General Purposes Committee from John Henderson, he is no longer a member of this Committee. The Chair extended thanks to John Henderson, for all of his input to this committee, which has been very much appreciated.

The Chair started the meeting by reminding Members of the purpose of the committee, and adding that he felt it beneficial for the Chairs/Vice Chair to have the opportunity for discussion that this meeting affords.

2 Declaration of Interest

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

3 Minutes of the Meeting held on 6th March 2018

Approved

4 Matters Arising

4.1 Board Links

Board Links model developed and approved by the Board of Management. This was implemented in September, with all curriculum areas having a linked Board Member. First meetings are underway. Three members of the committee have had their first meetings and gave feedback. They have found the college staff they have met to be enthusiastic and welcoming. The meetings have been informative.

4.2 Partnership Working with Wallace Hall

Last year's Student Association President attended a function at Wallace Hall to make links and provide information about the college. This was a positive initiative that would be useful to share with the current SA President.

Action: Secretary to the Board of Management to inform the current Student Association President

4.3 Requirements when Recruiting a Committee Chair

Secretary to the Board confirmed that the Board are required to approve the appointment of committee Chairs, and also the appointment, and co-opted appointments of members to standing committees.

5 SoSEP Project

The Chair summarised the background which has previously been reported to the Board. The project was approved following a tripartite bid between Borders College, Dumfries and Galloway College and the Scottish Funding Council. Funding will be channelled through SFC.

He stated that matters of operating and how funds are drawn down will be for the Principal and her team, but there are four areas that the Board would wish to consider:

Governance and Oversight:

The Chair tabled the SoSEP project management structure and remit outline. He confirmed that funding will come through the colleges and that the Project Board reports to both Boards. Reporting will cover the entirety of the project to both College Boards. In addition. Within this college the Finance & General Purposes (F&GP) Committee will receive reports and monitor budgets and the Learning and Teaching (L&T) Committee will receive reports and monitor the impact on teaching and learning.

There was some discussion about whether there should be Board Members on the Project Board. The Chair was comfortable about this as there will be reports from the Project Board coming to both college boards.

It was noted that the project will be judged as a whole and so it is important to be informed regarding the whole project.

It was also noted that a formal offer of grant from SFC has not yet been received. A business plan is also required, this will be completed by the Principals once the offer of grant has arrived.

Progress of the Projects:

Updates will be provided at Board Meetings. Members requested:

- Minutes of the Project Board Meetings to be included in the Project updates to the Board
- A Business Plan with Timescales
- A Risk Map within the Business Plan

Members noted the high level of input required for the project from the Principal and the Vice Principals.

Risks Monitoring:

Is included in the College Strategic Risk Register

It was noted that having a dedicated Project Manager will help in managing risk

Appropriate interest by Board Committees:

As agreed, this will be through F&GP and L&T Committees

6 Board Evaluation and Development

6.1 Draft Board Evaluation 2017-18

The secretary to the Board talked through the draft Board Evaluation 2017-18. When approved by the Board this will be submitted to the SFC.

Decision: Approved, for recommendation to the Board at the meeting on 11 December 2018

6.2 Draft Board Development Plan 2018-19

The secretary to the Board talked through the plan, asking for confirmation and additions in some areas. The plan to be amended to reflect the discussion and be submitted to the Board for approval.

Decision: The draft plan was approved, subject to the agreed amendments being made, for recommendation to the Board at the meeting on 11 December 2018

Actions:

The Secretary to the Board will amend the plan as discussed

7 Succession Planning

The Chair talked to the paper issued, the main consideration for Members being the decisions required regarding the five non executive Board Members whose term of office ends in March 2019. Each are eligible to have their terms extended and all have been contacted and their potential extension discussed.

It was noted that Stuart Martin had decided not to have his term of office extended, but would wish to remain involved and support the college. It was also noted that Ros Francis would consider extending her term of office, but would not be able to commit to remaining as Chair of F&GP after March 2019 due to other commitments

A skills assessment of Board Members was undertaken earlier in November 2018 and the results discussed and considered prior to consideration of extending terms of office. It was noted that there was a good spread of skills, identified as good to strong skills, across the complete range of skills considered.

➤ Delia Holland left the room

Taking due consideration of the information provided, Members agreed the following to be recommended to the Board:

- Delia Holland and John Henderson to be extended for three years
- Barry Graham and Ros Francis to be extended for four years
- Recruitment to fill the vacancy created by Stuart Martin retiring from the Board

➤ Delia Holland returned to the meeting and was informed of the decisions

Other issues to be considered prior to the March 2019 Board meeting are, succession planning for Committee Chairs, as both HR and F&GP committees will require a new Chair from March 2019. Also, the Vice Chair position is planned for review before the June 2019 Board meeting. It was requested to include review of the Senior Independent Member at this time.

Decision: Extensions to terms of office and the recruitment to the non executive vacancy to be recommended to the Board at the meeting on 11 December 2019

8 Strategic Risk Register

The strategic risk register was considered by members. No additions or amendments required from the Committee

9 Any other business

None

10 Date and time of next Meeting

The next meeting of the Development Committee will take place on Tuesday 5 March 2019 at 2pm

Board of Management

Terms of Appointment of Board Members @ 1 July 2019

Board Member	Date of Appointment	1 st Term in Office End Date	Date of Extension / Re-appointment	2 nd Term in Office End Date
Janet Brennan	01.08.14	31.07.17	01.08.17	31.07.21
Hugh Carr	01.08.14	31.07.18	01.08.18	31.07.22
Ros Francis	01.04.15	31.03.19	01.04.19	31.03.23
John Henderson	03.03.15	02.03.19	03.03.19	02.03.22
Brian Johnstone	03.03.14	02.03.18	03/03/18	02/03/20
Naomi Johnston	23.02.17	22.02.21		
Pat Kirby	01.08.14	31.07.18	01.08.18	31.07.22
Barry Graham	03.03.15	02.03.19	03.03.19	02.03.23
Ann Hill	05.08.19	04.08.23		
Delia Holland	03.03.15	02.03.19	03.03.19	02.03.22
Sue Livermore	01.08.18	31.07.22		
Karen McGahan	01.08.14	31.07.16	01.08.16	31.07.20
Rob Orr	23.02.17	22.02.21		
Caitlin McCutcheon	01.08.19	30.06.20		
Robbie Thomas	08.08.17	07.08.21		
Nikki Vjatschslav	01.08.18	30.06.19	01.08.19	30.06.20
Ian White	29.08.15	28.08.19	29.08.19	28.08.23

Yellow = Term ending in 2020, recruitment process required for both positions

Grey = Term ending in 2021, Recruitment process required for one position, extensions possible for the other three positions

Green = Student Board Members, elections undertaken annually

Board of Management

Succession Planning – Vice Chair and Senior Independent Member (SIM)

1. Introduction

Succession Planning has been on the agendas of the last Board Meetings. As agreed in 2018, the final areas for review prior to June 2019, include the Vice Chair and Senior Independent Member roles.

The Senior Independent Member is appointed by the Board as a whole. The role of the SIM is set out in the Code of Good Governance and is therefore a condition of grant.

The role of the SIM is described in general terms in the sector's Code of Good Governance -

"A14. 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 secretary has failed to resolve an issue or for which such contact is inappropriate. Further information on the role of the senior independent member can be found in The Guide for Board Members in the College Sector. "

"D24. 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 the vice-chair/senior independent member. "

The only reference to the SIM in the Guide for Board Members in the College Sector is:

"The Senior Independent Board Member on your board may also be able to assist you. This is an experienced fellow non-executive board member who will have been designated by you and your board colleagues and is expected, amongst other things, to act as an intermediary with the chair if it is ever required. If your board chooses to have a vice chair, they will sometimes be the same person."

Some colleges took the decision to have the Vice Chair and SIM role undertaken by the same person, while others differentiated the SIM post from that of the Vice Chair/ Chair of Audit etc in order to protect its independence from the Chair.

At Dumfries and Galloway College the Vice Chair and SIM role have resided with the same Board Member.

2. Background and Rationale

In December 2016, Jan Polley facilitated a networking event for SIMs on behalf of the College Development Network (CDN). Delia Holland, as the SIM of the college attended this meeting and brought a paper back to the Board, which was discussed in June 2017. (Paper attached).

Within this paper a role description was agreed along with the attributes of a SIM.

Board of Management

The process for Board Development and Succession planning has been for the Board Development Committee to consider, and propose developments to the Board.

The suggestion to separate the roles was proposed to the Board Development Committee, who approved that this be recommended to the Board. This proposal takes account of the first attribute of a Board SIM:

- Seen as having personal integrity and being independent of the Chair and Principal

3 Supporting Information

There is no formal guidance on whether the Vice Chair or SIM should be held by different Board Members. Supporting information to separate the roles includes:

- The agreed role description and Attributes of a SIM, December 2016
- Information from other colleges:
 - I have received 11 responses
 - 8 colleges have the roles separate, of these, four initially had the roles held by one board member
 - 1 college is proposing the change at their June 2019 Board meeting
 - 2 colleges will be considering this in the near future

4. Recommendation

It is recommended that the Board:

DISCUSS, DECIDE AND APPROVE:

- Whether the roles of Vice Chair and Senior Independent Member are to be held by separate Board Members

Ann Walsh
Secretary to the Board of Management
3 June 2019

Board of Management

APPENDIX A

CONCLUSIONS OF NETWORKING EVENT FOR SENIOR INDEPENDENT MEMBERS - 7TH DECEMBER 2016



The following SIM role description was agreed –

The Senior Independent Member is appointed by the Board as a whole to provide advice and guidance to the Board Chair, as required and on its members' behalf, in order to support good standards of corporate governance and the maintenance of collective responsibility. Situations in which that advice and guidance may be required include

- a) Leading the annual appraisal of the Board Chair, alone or in conjunction with the Vice Chair, including ensuring
 - i. All board members have an opportunity to express their views on the Chair's performance over the last year and areas for development over the coming 12 months
 - ii. The Chair is given the opportunity to understand and discuss the collective views with the SIM
 - iii. An annual development plan is agreed with the Chair and the SIM ensures the board is informed of its content
 - iv. If required, the SIM facilitates the provision of information from the appraisal process to the Chair's appointing body (Scottish Government or the Regional Strategic Body)
- b) Intervening with the Chair, on behalf of the Board, if board members, the board secretary or senior staff are concerned that the Chair's actions are undermining good standards of corporate governance and the maintenance of collective responsibility, including if the Chair
 - i. Is unable to fulfil the responsibilities set out in the letter of appointment
 - ii. Fails to make pertinent information available to the Board as a whole
 - iii. Undermines the collective responsibility of the Board as a whole
 - iv. Acts in a manner which brings the Board into disrepute, including failing to address personal conflicts of interest
 - v. Is unable to work with the Principal to ensure that the staff of the organisation provide the Board with the service required, including adequate sources of information and assurance and delivery of performance
- c) Acting as a sounding board for the Chair in pursuit of good standards of corporate governance and collective responsibility.

Should a SIM ever have serious concerns about the propriety, regularity or governance of the college, and these cannot be resolved satisfactorily with the Chair, they should inform the Scottish Funding Council or, in the case of an assigned college, the relevant Regional Strategic Body.

Board of Management

APPENDIX A

Attributes of a SIM

It was agreed that when appointing a SIM, Boards should give careful consideration to the personal attributes required of that postholder. The following attributes were suggested –

- Seen as having personal integrity and being independent of the Chair and Principal
- Experienced in and knowledgeable of the requirements of good governance and collective responsibility
- Respected by all board members and able to engage constructively with all concerned
- Ability to consider matters calmly and constructively, striking an appropriate balance between support and challenge

It was agreed that it should be for each Board to decide whether the SIM also holds other senior roles e.g. Vice Chair, Chair of Audit but, in doing so, Boards must satisfy themselves that any additional roles will not undermine the individual's ability to fulfil the role of SIM – the role of SIM is set out in the Code of Good Governance and is therefore a condition of grant.

When appointing the SIM, Boards may wish to give consideration to how long the appointment should last.

5th January 2017

Delia Holland,
SIM,
February 2017

Post Holders	Board	Board of Management	HoC	Head of Curriculum	HoSS&G	Head of Student Support & Guidance
	ELT	Executive Leadership Team	HoP&Q	Head of Planning & Quality		
	CLT	College Leadership Team	HoF	Head of Finance		
	PRIN	Principal	HoHR	Head of Human Resources		
	VPL&S	Vice Principal Learning & Skills	HoBD	Head of Business Development		
	VPBD&CS	Vice Principal Business Development	HoCS	Head of Corporate Services		

Score	Impact	Likelihood
1	Routine	Remote
2	Minor	Unlikely
3	Significant	Possible
4	Major	Probable
5	Critical	Very likely

Risk Number	POTENTIAL CONTRIBUTING FACTORS			TREATMENT		POST MITIGATION EVALUATION				
	Risks	Impact	Likelihood	Score	Mitigation Actions	Impact	Likelihood	Score	Monitoring	Responsibility /Committee Oversight
1	Strategic and Structural									
1.1	Failure of College strategy to meet the needs of Dumfries and Galloway Region and/or national priorities (eg Employability, DYW, attainment, articulation)	4	4	16	<ul style="list-style-type: none"> Robust strategic planning Effective environmental scanning Strong partnerships Clear links between strategy and practice Concerted demands for increased activity levels 	4	1	4	<ul style="list-style-type: none"> Robust monitoring via ROA Clear performance metrics Amendment of strategic direction/plans Rolling curriculum review 	Board, ELT BoM
1.2	College may be disadvantaged by changes to either UK or Scottish Government policies	4	3	12	<ul style="list-style-type: none"> Effective environmental scanning Negotiation/influence at national level 	4	2	8	<ul style="list-style-type: none"> Review of changes and amendment of strategic direction/plans Financial strategy sensitivities 	ELT BoM
1.3	College disadvantaged by changes arising from UK leaving European Union	3	4	12	<ul style="list-style-type: none"> Negotiation/influence at national level Review of activities/ projects Responsiveness to new opportunities 	2	2	4	<ul style="list-style-type: none"> Review of changes and amendment of strategic direction/plans/ curriculum Financial strategy not ESF dependent 	ELT BoM

Post Holders	Board	Board of Management	HoC	Head of Curriculum	HoSS&G	Head of Student Support & Guidance
	ELT	Executive Leadership Team	HoP&Q	Head of Planning & Quality		
	CLT	College Leadership Team	HoF	Head of Finance		
	PRIN	Principal	HoHR	Head of Human Resources		
	VPL&S	Vice Principal Learning & Skills	HoBD	Head of Business Development		
	VPBD&CS	Vice Principal Business Development	HoCS	Head of Corporate Services		

Score	Impact	Likelihood
1	Routine	Remote
2	Minor	Unlikely
3	Significant	Possible
4	Major	Probable
5	Critical	Very likely

Risk Number	Risks	Impact	Likelihood	Score	Mitigation Actions	Impact	Likelihood	Score	Monitoring	Responsibility/ Committee Oversight
2	Financial									
2.1	Change in SFC Funding Methodology and Allocation – Reduction in Funding	3	3	9	<ul style="list-style-type: none"> Negotiation/influence at national level Contingency plans for reduced funding 	2	3	6	<ul style="list-style-type: none"> Advance modelling of new funding methodologies and allocations Monitoring impact of changes Amendment of strategic or operational direction/plans Financial strategy sensitivities 	ELT F&GP
2.2	Failure to achieve institutional sustainability	5	4	20	<ul style="list-style-type: none"> Protection of funding through dialogue with SFC Robust annual budget-setting and multi-year financial strategic planning (from 2018-19) Effective budgetary control Where required, swift action to implement savings 	4	3	12	<ul style="list-style-type: none"> Regular monitoring of budgets Regular review of financial strategy and non-core income sensitivity 	CLT F&GP
2.3	Salary and conditions of service pressures outstrip ability to pay	4	4	16	<ul style="list-style-type: none"> Influence within Employers Association Management of staffing expenditures 	4	3	12	<ul style="list-style-type: none"> Expenditure modelling On-going discussions with staff Financial strategy sensitivities 	ELT HoHR F&GP

Post Holders	Board	Board of Management	HoC	Head of Curriculum	HoSS&G	Head of Student Support & Guidance
	ELT	Executive Leadership Team	HoP&Q	Head of Planning & Quality		
	CLT	College Leadership Team	HoF	Head of Finance		
	PRIN	Principal	HoHR	Head of Human Resources		
	VPL&S	Vice Principal Learning & Skills	HoBD	Head of Business Development		
	VPBD&CS	Vice Principal Business Development	HoCS	Head of Corporate Services		

Score	Impact	Likelihood
1	Routine	Remote
2	Minor	Unlikely
3	Significant	Possible
4	Major	Probable
5	Critical	Very likely

Risk Number	POTENTIAL CONTRIBUTING FACTORS			TREATMENT		POST MITIGATION EVALUATION				
	Risks	Impact	Likelihood	Score	Mitigation Actions	Impact	Likelihood	Score	Monitoring	Responsibility/ Committee Oversight
2	Financial (cont.)									
2.4	Financial Fraud	4	3	12	<ul style="list-style-type: none"> Strong financial controls: segregation of duties and review of transactions Review of impact of any changes in structure or duties Whistleblowing arrangements 	3	2	6	<ul style="list-style-type: none"> Continuous review of financial controls Internal Audit programme 	HoF Audit
2.5	Failure to achieve credit (activity) target	5	3	15	<ul style="list-style-type: none"> Real time monitoring system Identify & implement additional/alternative provision where required 	4	1	4	<ul style="list-style-type: none"> Continuous review of progress v targets. Current shortfall of approx. 450 credits – expected to achieve target, including ELC target. Indicated to SFC that we will take additional 350 credits this year 	ELT HoC HoP&Q F&GP
2.6	Insufficient Student Support Funding to meet demand.	4	5	20	<ul style="list-style-type: none"> Strong financial monitoring Possible opportunity to request additional in year funding 	4	2	8	<ul style="list-style-type: none"> Continuous monitoring of demand v funding allocation Ongoing dialogue with Scottish Funding Council. Confirmation received from SFC that full amount of additional funding requested would be allocated 	PRIN HoF F&GP

Post Holders	Board	Board of Management	HoC	Head of Curriculum	HoSS&G	Head of Student Support & Guidance
	ELT	Executive Leadership Team	HoP&Q	Head of Planning & Quality		
	CLT	College Leadership Team	HoF	Head of Finance		
	PRIN	Principal	HoHR	Head of Human Resources		
	VPL&S	Vice Principal Learning & Skills	HoBD	Head of Business Development		
	VPBD&CS	Vice Principal Business Development	HoCS	Head of Corporate Services		

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1	Routine	Remote
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Risk Number	POTENTIAL CONTRIBUTING FACTORS				TREATMENT		POST MITIGATION EVALUATION				
	Risks	Impact	Likelihood	Score	Mitigation Actions	Impact	Likelihood	Score	Monitoring	Responsibility /Committee Oversight	
3	Organisational										
3.1	Legal actions; serious accident; incident or civil/criminal breach	4	5	20	<ul style="list-style-type: none">Adherence to legislative and good practice requirementsPositive Union relations and staff communicationEffective management development programmes	3	2	6	<ul style="list-style-type: none">Monitoring and reporting in key areas – eg H&S, equalities, employee engagementContinuous professional developmentInternal audit programmeStaff surveys	ELT BoM	
3.2	Reputational Risk – Loss of reputation with key stakeholders	4	3	12	<ul style="list-style-type: none">Marketing strategyPositive marketing approaches	4	2	8	<ul style="list-style-type: none">Stakeholder engagementSocial media monitoring arrangements	PRIN VPBD&CS HoP&Q BoM	
3.3	Disasters – eg Fire, MIS Failure, Failure of Emergency Procedures	5	4	20	<ul style="list-style-type: none">Sound systems of administrationClear fire and disaster recovery arrangementsStaff CPD	5	1	5	<ul style="list-style-type: none">Business Continuity Plan including scenario testing	VPBD&CS VPL&S HoCS BoM	
3.4	Failure to meet Prevent and related obligations	5	3	15	<ul style="list-style-type: none">Prevent trainingStaff awareness and contingency planningEngagement/practice sharing with local agencies	5	1	5	<ul style="list-style-type: none">Business Continuity Plan including scenario testingInformation sharing with local agencies	VPBD&CS HoCS BoM	

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3	Organisational (cont.)									
3.5	Industrial Relations Problems (including industrial action)	4	5	20	<ul style="list-style-type: none">Adherence to legislative and good practice requirementsPositive Union relations and staff communicationEffective management development programmesIndustrial action continuity planning	4	5	20	<ul style="list-style-type: none">Regular union/management dialogueRegular employee engagement monitoringOpen communication with staffEIS currently taking industrial (including strike) action.	ELT HoHR HR
3.6	Failure to achieve ambitions of ICT strategy; strategy and development is ineffective, programme of change not achieved	4	4	12	<ul style="list-style-type: none">Planning, careful phasing of changes to processes, systems and equipmentEffective management of ICT arrangements	4	2	8	<ul style="list-style-type: none">Regular review/reporting on milestones, systems effectiveness etcRegular CPDRolling programme of updates to systems and equipment	VPBD&CS HoCS Audit
3.7	Breach of ICT/Cyber security	4	3	12	<ul style="list-style-type: none">Effective management of ICT arrangementsActive ICT/data security monitoring and cyber security policy	4	2	8	<ul style="list-style-type: none">Staff CPD on cyber security issuesRegular security monitoring/testingCyber resilience plan	VPBD&CS HoCS Audit

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	Risks	Impact	Likelihood	Score	Mitigation Actions	Impact	Likelihood	Score	Monitoring	Responsibility /Committee Oversight
3	Organisational (cont.)									
3.8	Breach of data security/data protection	5	4	20	<ul style="list-style-type: none"> Effective management of ICT arrangements and GDPR compliance Mandatory staff CPD and awareness raising on data protection (relative to role) 	4	2	8	<ul style="list-style-type: none"> Active data protection monitoring and auditing Effective information and data security policies in operation Regular data security monitoring/testing GDPR Action Plan 	VPBD&CS, HoCS Data users Audit
3.9	Failure to reach aspirational standards in learning, teaching and service delivery	4	3	12	<ul style="list-style-type: none"> Clear quality arrangements and priority actions Continuous self-evaluation and action planning Rigorous CPD arrangements in place Regular classroom observation and learner feedback arrangements 	4	3	12	<ul style="list-style-type: none"> Comprehensive monitoring of key PIs and student/staff feedback Regular Stop and Review events External review and validation findings Current PI report indicates no significant improvement in retention at this moment 	VPL&S, VPBD&CS HoP&Q HoC L&T
3.10	Failure to achieve/maintain compliance arrangements, eg contracts; awarding bodies; audit	4	3	12	<ul style="list-style-type: none"> Robust strategic planning and monitoring Effective environmental scanning Strong partnerships Clear links between strategy and practice 	2	2	4	<ul style="list-style-type: none"> Effective internal monitoring/review/verification arrangements External review findings 	PRIN CLT Audit

Key to Risk Estimation/Score based on scale of 1 – 5 for impact/likelihood: Green (1-8) = Minor Risk; Amber (9-15) = Significant Risk; Red (16-20) = Major Risk; Purple, (>21 - 25) = Fundamental Risk

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3	Organisational (cont.)									
3.11	Failure to meet the deadlines in our successful bid to SoSEP regarding the provision of Hub and Spoke model for Engineering, Construction and Care	3	4	12	<ul style="list-style-type: none"> Robust project planning in place and feedback via EMT to Board of Management Clear and consistent approach to the project with Borders College Independent scrutiny through clerk of works (for building works) SFC involvement at all stages of the project 	3	3	9	<ul style="list-style-type: none"> Curriculum development planning through L&T Committee Overall project through regular Board of Management updates Further scrutiny through SoSEP Board 	PRIN VP BD&CS VP L&S BoM L&TC
3.12	Failure to reach contractual agreement with CITB regarding delivery of Construction related Apprenticeships	4	4	16	<ul style="list-style-type: none"> National issue, discussions with CITB, SQA now escalated to include SDS and Scottish Government Request to defer new qualification until 2019/20 being considered by SQA regulatory body 	4	4	16	<ul style="list-style-type: none"> Principal actively involved in national discussions Detailed scenario planning regarding costs of delivery and impact on college currently being completed Curriculum Manager involved in national forum exploring options 	PRIN VP L&S CM BoM