



# FINANCE AND GENERAL PURPOSES COMMITTEE

MINUTE OF MEETING HELD ON 1 SEPTEMBER 2022 AT 16:00

REMOTELY VIA MS TEAMS

Present	
Richard Nash (Chair)	Joanna Campbell (Principal)
Eddie Black	Caroline Stuart (Chair to BoM)
Susan McLellan	Kate Glendye
Jamie Ross	Claire McLean
In Attendance	
Douglas Dickson	Steve Uphill
Jill Galloway	Karen Hunter
Lorraine Grierson	Alison Donnelly (note taker)
Apologies for absence	
Sharon Hodgson	

Item 1	Welcome and Apologies for Absence		
Paper No: Verbal	Lead: R. Nash	Action Requested	Note
Discussion	The Chair welcomed everyone to the meeting and apologies were noted for SH. The Secretary to the Board confirmed that the meeting was quorate.		
Action			

Item 2	Declaration of Interest		
Paper No: Verbal	Lead: R. Nash	Action Requested	Note
Discussion	Members agreed to indicate declarations of interest as appropriate throughout the meeting. No interests were declared.		
Action	N/A		

Item 3	Action Log		
Paper No: FGP09.22-A	Lead: L. Grierson	Action Requested	Note
Discussion	<p>Item 1: Updated Contribution report will be presented in November. Overdue issues are in hand and will be presented at that time.</p> <p>Item 3: Carbon management data should be available later in the year with a view to being presented at the December meeting.</p> <p>Item 7: College Infrastructure Strategy will be updated by SU.</p>		
Action	The Committee noted the action log.		

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Item 4	Minute of the last meeting 26 May 2022		
Paper No: FGP09.22-B	Lead: R. Nash	Action Requested	Note
Discussion	Minutes were accepted as read. A question was raised re: item 6 on Stranraer campus. This is part of a larger discussion pertaining to the building condition at Stranraer campus.		
Action	Approved		

Item 5	Matters Arising		
Paper No: Verbal	Lead: R. Nash	Action Requested	Note
Discussion	No arising matters were brought forward.		
Action	N/A		

Item 6	Finance Update: Management Accounts		
Paper No: FGP09.22-C	Lead: S. Uphill	Action Requested	Approval
Discussion	<p>Discussion took place regarding public sector pay policy. A set of scenarios with underlying drivers were presented in the paper, which had been updated since the last Board of Management meeting. These projections will be included in the Financial Forecast Return to SFC.</p> <p>The key message is organisational stresses, especially the risk of a flat cash settlement from the Funding Council, pay awards and inflation. .... It was suggested that Scenario 4 seems the most likely at this time, given the caveat that additional pressures may not last for the entire forecasted period. .... Proposed actions were included in the paper and a systematic plan will be discussed at the Board Strategy Day. It was noted that the Voluntary Severance Scheme would need agreement from the Funding Council. ... A full business case will be brought to the Board in December.</p> <p>Funding Council news will likely come in late November. They typically only offer one year of forecasting. It was noted that pay negotiations could last quite some time. There is early engagement with the Scottish Government to settle quickly. It was noted that any pay awards will be backdated so will affect the whole AY. .... Members discussed the Flexible Workforce Fund and possible opportunities.</p> <p>....</p> <p>Confidential to members only.</p> <p>RN confirmed that the committee noted the 2021/22 outturn, discussed the forecast assumptions and the impact scenarios and approved submission to the SFC.</p>		
Decision	The committee approved Scenario 2, 3 and 4 for the FFR to SFC.		
Action	... KH to prepare a bridging analysis.		

Item 6.2	Contribution Report		
Paper No: Verbal	Lead: S. Uphill	Action Requested	Approval

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## Discussion

Reports will be forthcoming as budgets are re-established. There is a focus on granular detail to target costs more accurately and this will be brought to the next meeting to include the course costing model and support function costings.

It was noted that students are still being enrolled. FE enrolment is up on last year, and HE enrolment is down on last year, however there were still short courses to be rolled out and additional funding streams.

## Decision

The update was duly noted.

## Action

## Item 6.3

### Bad Debt – Write-off over £1k

Paper No:  
FGP-09.22-E

Lead: S. Uphill

Action Requested

Approval

## Discussion

Details in the paper were duly noted. SU advised that collection agencies were engaged to recover the debt, but to no reward. SU advised that within the Scheme of Delegation, it was necessary for the Committee to approve write-off of the debt.

## Decision

The Committee approved the write-off of the debt.

## Action

**SU to Write-off applicable debt.**

## Item 7

### Strategic Risk Register

Paper No:  
FGP09.22-F

Lead: Lorraine Grierson

Action Requested

Approval

## Discussion

No change was noted to Risk 3 ahead of the meeting. Risk 7 has a minor change, for which the paperwork was attached.

Due to the current financial situation, the Committee discussed Risk 3 with regard to changing the risk ratings. Due to the forecast showing a deficit, it was agreed to raise the risk level to 4 before going to Audit Committee for scrutiny.

Questions were asked regarding Covid-19 impacts and if these were still relevant and it was noted that they are still relevant as generic comment. Questions regarding level of overheads for credits and commercial income. It was noted that these involve a complex mixture of costing models. SU to review the wording of the mitigations.

Risk 7 - Discussions took place in respect of the net impact rating of 2 in respect of possible failure to achieve good industrial relations due to the difficult climate ahead. It was noted that there are new local Union reps for both Unison and EIS with good relations, however, the risk level could change quickly as this is national issue, which was largely outwith the control of the college. .... It was agreed to change the net ratings from 2/5 to 3/5 and the gross ratings from 3/5 to 4/5.

## Decision

Change risk level to both Risk 3 and 7 as above.

## Action

**SU to add extra bullet to Risk 3 wording re: income references.**

## Item 8

### Terms of Reference and Committee Self Evaluation

Paper No:  
FGP09.22-G

Lead: L. Grierson

Action Requested

Approval

## Discussion

LG advised the Committee that it is an annual requirement to review the Terms of Reference. LG advised members that the content of the terms had not changed, however the layout has changed and now includes the schedule of business and

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committee mapping. The committee were asked to review.

Question raised re: the wording of 4.3. It was suggested that this could be strengthened to appear less passive/procedural. The Committee would like more frequent updates regarding KPI achievements and commercial income. It was noted that training course information had been sent to committee members to assist with comprehension of board terminology. Committee asked to see and approve strategy papers.

It was suggested that another committee may be helpful to deal with HR/OD issues. The Chair to the Board suggested that this be reviewed next year.

Action

**LG to amend wording to indicate review of KPI achievements at 4.3 should occur at each meeting. LG to send out Terms of Reference document for comment.**

## Item 9 Commercial and Marketing Update

Paper No:  
FGP09.22-H

Lead: D. Dickson

Action Requested

Note

Discussion

DD advised that course delivery had started, and bookable activities are in place. Tenders have been achieved with a discernible shift in terms of commercial delivery happening as early as possible.

DD advised members that the current Marketing Director had resigned, however a new Director has been appointed who will be in post from 1 November 2022, part of this remit will involve engaging with employers. There had been a restructure of roles to further engage with businesses and utilise different funding streams.

Discussions ensued regarding positive use of CRM system and how tools/processes need to be used on a cross college basis. ....

Comment was given to commend the Commercial and Finance teams regarding the work they had done.

..... It was asked if the new appointee could risk being overloaded, however members were advised that there is a managerial vacancy and once filled, they will support the incoming Director.

The report was duly noted.

KH left the meeting at 18:04 hrs.

Action

**DD to provide summary KPI to committee regarding marketing campaign success rates.....**

## Item 10 HR and Organisational Development

Paper No:  
FGP09.22-I

Lead: J. Galloway

Action Requested

Note

Discussion

JG will meet with SLT next week to discuss roles and structure for Phase 3 of Workforce 2025. The Interim Director of Digital Services left the college on 31 August and the current ICT Manager will take on some of these responsibilities until recruitment has taken place. The pay negotiations for both academic and support staff had been agreed and backdated to 1 September 2021.

It was noted that sickness figures for 2021/22 may have been underreported due to many staff working from home. The figures reflect absence over the covid period and

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members asked to see pre-covid levels as a fairer comparator. JG agreed to produce previous figures. .... It was noted that there has been good use of Vivup, the staff wellbeing platform, especially in the areas of stress/anxiety and weight management. There is scope to increase preventative strategies. JG advised members that the corporate values are embedded in the recruitment process and staff PRD. .... It was noted that the new values will help embed completion into the organisational culture.

CM left the meeting at 18:35 hrs.

Action

JG to provide pre-Covid sickness statistics to committee for comparison

## Item 10.2

### Digital Services Update

Paper No:  
FGP09.22-J

Lead: J. Galloway

Action Requested

**NOTE**

Discussion

The interim Director of Digital Services has been working with the Transformation Team on a number of key areas. Having lead workshops with SLT, there is recognition that the main focus should be on improving digital skills for staff across the College. Discussions are underway with SLT to identify key areas for development within their area.

Enabling works on the firewall were undertaken out of hours to enhance network security and to accommodate connectivity for UWS. ...

Confidential to members only...

Decision

The Board noted the report.

Action

## Item 10.3

### Data Protection Compliance

Paper No:  
FGP09.22-K

Lead: S. Patterson

Action Requested

**NOTE**

Discussion

SP provided Data Protection update from Paper FGP09.22-K. A question arose regarding how staff are communicated to regarding DP issues. It was noted there is a DP tab in AdminNet where staff can read relevant DP news pertaining to them.

It was noted that feedback from ICO on a recent DP issue came back within 2 days of the report being submitted with no further action required.

It was noted that an Information Governance Committee is to be implemented which would provide another opportunity for discussion for staff.

Action

## Item 11 & 12

### Estates and Sustainability

Paper No: Verbal  
FGP09.22-L

Lead: S. Uphill

Action Requested

**Note**

Discussion

UWS colocation update: very stressful time with enormous workloads on the Estates/IT teams. Mezzanine level is completed to Stage I. Feedback on noise will be addressed. There is a current supply chain issue with partitions causing delays. Stage II will begin during the October break.

The UWS contractor will come on site Monday to begin second floor refurbishment.

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Work will continue until Christmas under UWS management.

Biggest risk is the amount of physical space, presenting challenges with teaching space. The old UWS building may come in to use, if necessary. Weekly meetings are held with Trade Unions to ensure free communication.

From H & S paper FGP09.22-L it was noted that the live construction was the biggest risk at this time. A discussion commenced about where in the meetings the H&S update should occur.

Decision

Paper was duly noted.

Action

**SU to update information to show January 2023, not 2024, as the UWS up and running date.**

Item 12

Any Other Business

Paper No:  
VERBAL

Lead: R. Nash

Action Requested

Discussion

No other business was raised. Meeting was adjourned at 1851 hours.

Action

## Additional comments

*The date of the next FGP Committee Meeting is scheduled for 1 December 2022 at 1600 hours.*



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One step ahead

## FINANCE AND GENERAL PURPOSES COMMITTEE 01.09.22

### FINANCE AND GENERAL PURPOSES COMMITTEE

Date of Meeting	01 September 2022
Subject of Paper	Strategic Risk Register
Paper No.	FGP09.22-F
Agenda Item	Item 7
FOISA Status	Disclosable
Primary Lead	L Grierson
Date of production	25 August 2022
<b>Intended Outcome</b>	<b>Approval</b>

Financial Implications:	YES
Equality and Diversity Implications:	N/A
Learner and Learning Implications:	YES
Risks Assessed:	YES
Publicly Available:	YES

## **Strategic Risk Register**

### **1 Introduction**

**1.1** The purpose of this paper is to provide the Committee with the opportunity to review the College's Strategic Risks associated with FGP Committee.

### **2 The Report**

**2.1** The Principal and Executive Leadership 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. Currently F&GP Committee has 2 risks assigned to it for review.

Risk 3 – Failure to Achieve Institutional Sustainability – no change.

Risk 7 – Failure to achieve industrial relations – Net likelihood reduced to 4 (net of 5 suggests controls having no impact and are therefore not appropriate) - impact increased to 2.

**2.2** The supporting papers for Risk 3 and Risk 7 are attached for 'deep dive' consideration and scrutiny.

### **3 Recommendation**

**3.1** It is recommended that the Committee consider and, if so minded, approve the Strategic Risk Register.

**Lorraine Grierson**  
Secretary to the Board  
25 August 2022



# F&GP COMMITTEE 01.09.22

## STRATEGIC RISK REGISTER UPDATE F&G COMMITTEE – SEP 22

RISK DEFINITION		ORIGINAL TASK				RESIDUAL RISK					
No	Risk	Likelihood	Impact	Total	Risk Level	Likelihood	Impact	Total	Risk Level	Risk Appetite	Trend
Responsible Person - VP Finance and Commercial Services											
3	Failure to achieve institutional sustainability (F&GP)										
		4	5	20		3	5	15			=
7	Failure to achieve effective Industrial Relations (F&GP)										
		5	3	15		4	2	8			v

KEY: ASSESSMENT OF RISKS

Risks which should be monitored by the Risk Management Group:	Scores: 1 – 8	Minor Risk
Risks to be brought to the attention of SMT and the Board of Management:	Scores: 9 - 15	Significant Risk
Risks to be reported to, and monitored by, Board of Management:	Scores: 16 – 20	Major Risk
Risks to be reported to, and monitored by, Board of Management:	Scores: 21 – 25	Fundamental Risk

Risk Score Matrix Impact

5	10	15	20	25
4	8	12	16	20
3	6	9	12	15
2	4	6	8	10
1	2	3	4	5
	Likelihood			

**Risk No: 3**

<b>Reference to Departmental Risk Registers:</b>	Financial
<b>Owner:</b>	VP Finance, Strategy and Sustainability
<b>Description of the Risk:</b>	Failure to achieve institutional sustainability
<b>What are the possible consequences if the risk was to emerge?</b>	The college will be unable to continue, becomes insolvent, contravening governance requirements by SG, Section 22, Reputational damage to Board and F&GP

**Numerical Scoring of Gross Risk (i.e., without controls in place)**

What is the predicted <b>LIKELIHOOD</b> of the risk occurring?	(A)  4/5	What is the predicted <b>IMPACT</b> of the risk?	(B)  5/5	What is the total risk score?  (A x B)	20/25
The <b>GROSS</b> risk is therefore:  (low/medium/high)	<b>Major Risk</b>				

**Control Measures**

What controls/procedures are in place to reduce the likelihood and impact of the risk to a more acceptable level?	<p><b>Mitigation</b></p> <ul style="list-style-type: none"> <li>• Protection of funding through dialogue with SFC</li> <li>• Robust annual budget- setting and multi-year financial strategic planning</li> <li>• Effective budgetary control</li> <li>• Monitoring of Credits achieved vs target</li> <li>• Judicious monitoring of costs</li> <li>• Continual analysis of student requirements based on need</li> </ul>
	<p><b>Monitoring</b></p> <ul style="list-style-type: none"> <li>• Regular monitoring of budgets</li> <li>• Regular review of financial strategy and non-core income sensitivity</li> <li>• Financial forecast requires a clear programme of transformation to achieve financial sustainability</li> <li>• Greater ownership of budgets with Managers</li> <li>• Dialogue with SFC regarding impact of COVID-19 on financial sustainability.</li> <li>• Continuous monitoring of demand v funding allocation of student funds</li> </ul>

**Numerical Scoring of NET Risk (i.e., with controls in place) (2 cont.)**

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What is the predicted <b>LIKELIHOOD</b> of the risk occurring?	(A)  3/5	What is the predicted <b>IMPACT</b> of the risk?	(B)  5/5	What is the total risk score?  (A x B)	15/25
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<b>Risk Status</b>	<b>Quarter 1</b>  <b>SIG</b>	<b>Quarter 2</b>	<b>Quarter 3</b>	<b>Quarter 4</b>
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MEETING	AMENDMENTS TO RECORD
1	No amendments to risk.
2	
3	
4	

No.	Risk and Risk Appetite	Avoid	Averse	Cautious	Moderate	Open	Hungry
3	Failure to achieve institutional sustainability						

**Strategic Objective:** **Risk No: 7**

<b>Reference to Departmental Risk Registers:</b>	Organisational
<b>Owner:</b>	Vice Principal People and Transformation.
<b>Description of the Risk:</b>	Failure to achieve effective Industrial Relations
<b>What are the possible consequences if the risk was to emerge?</b>	Financial loss, impact to ability to effectively teach, industrial action, loss of reputation.

**Numerical Scoring of Gross Risk (i.e., without controls in place)**

What is the predicted <b>LIKELIHOOD</b> of the risk occurring?	(A)  5/5	What is the predicted <b>IMPACT</b> of the risk?	(B)  3/5	What is the total risk score?  (A x B)	15/25
The <b>GROSS</b> risk is therefore:  (low/medium/high)	<b>Significant Risk</b>				

**Control Measures**

What controls/procedures are in place to reduce the likelihood and impact of the risk to a more acceptable level?	<p><b>Mitigation</b></p> <ul style="list-style-type: none"> <li>• Staff awareness and contingency planning</li> <li>• Engagement/practice sharing with local agencies</li> <li>• NRPA</li> <li>• Representation at Employers Association</li> <li>• Updated VP Structure in place – VP People and Transformation in post</li> <li>• Industrial action suspended</li> <li>• LJNC in place</li> </ul>
	<p><b>Monitoring</b></p> <ul style="list-style-type: none"> <li>• Regular union/management dialogue</li> <li>• Regular employee engagement monitoring</li> <li>• Open communication with staff</li> <li>• EA Circulars</li> </ul>

**Numerical Scoring of NET Risk (i.e., with controls in place) (2 cont.)**

# F&GP COMMITTEE 01.09.22

What is the predicted <b>LIKELIHOOD</b> of the risk occurring?	(A)  4/5	What is the predicted <b>IMPACT</b> of the risk?	(B)  2/5	What is the total risk score?  (A x B)	8/25
<b>Risk Status</b>	<b>Quarter 1</b>  MIN	<b>Quarter 2</b>	<b>Quarter 3</b>	<b>Quarter 4</b>	

MEETING	AMENDMENTS TO RECORD
1	Net likelihood reduced to 4 (net of 5 suggests controls having no impact and are therefore not appropriate) - impact increased to 2.
2	
3	
4	

No.	Risk and Risk Appetite	Avoid	Averse	Cautious	Moderate	Open	Hungry
7	Failure to achieve effective industrial relations						



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## Finance & General Purposes Committee 01.09.22

### Finance and General Purposes Committee

Date of Meeting	01 September 2022
Subject of Paper	Self Evaluation and Terms of Reference
Paper No.	FGP09-22-G
Agenda Item	Item 8
FOISA Status	Disclosable
Primary Lead	L Grierson
Date of production	25 August 2022
<b>Intended Outcome</b>	<b>Approval</b>

Financial Implications:	N/A
Equality and Diversity Implications:	N/A
Learning and Teaching Implications	N/A
Risks Assessed:	N/A
Publicly Available:	yes

## Introduction

To comply with the Code of Good Governance for Scotland's Colleges, the Board is required to:

*“Keep its effectiveness under annual review and have in place a robust self-evaluation process. There should also be an externally facilitated evaluation of its effectiveness at least every three to five years.”* An externally facilitated effectiveness review was undertaken in 2020.

*The evaluation of the board chair should normally be led by the vice-chair/senior independent member.*

*The board must ensure all board members are subject to appraisal of their performance, conducted at least annually, normally by the Chair of the Board.*

1 In line with this and the Board Development Framework, the Board Evaluation for 2021-22 should consist of:

- Individual 1:1 meetings with individual Members of the Board and Chair of the Board
- Evaluation of the External Review and Board Development Plan
- Board Self Evaluation 2021-22
- Identifying Board Developments for the 2022-23 Board Development Plan

Members will be contacted to arrange a suitable 1-1 appointment and evaluation forms will be sent to members for completion. Your performance will be appraised against (a) the role of board members set out in Guide for Board Members in the College Sector (b) any individual objectives applying to your office, as agreed with you, and (c) the extent to which you contribute to ensuring that the Board as a whole delivers its functions effectively and efficiently, in accordance with its vision, strategic direction, educational character, values and ethos.

1.1 In respect of the self-evaluation process, the Committee is asked to consider and complete the Committee Self-Evaluation form to reflect business over the last academic year and responses will be collated into one document.

1.2 The Board development plan will be populated from actions taken from the self-evaluation documentation and 1-1 meetings.

2 The Committee terms of reference have recently been reviewed and reformatted with a view to incorporating important information into one document which will be particularly helpful to new members of the Committee. This is attached for your information and review for approval at the full Board.

The terms of reference now include the Committee Schedule of Business for each meeting, and the Board Map providing an overview of Board business and governance.

## Recommendations

The Committee is asked to:

- note the self-evaluation details
- review and agree the Terms of Reference for Board approval

**Lorraine Grierson**  
Secretary to the Board

<b>Terms of Reference</b>	Finance & General Purposes Committee
<b>Date Approved by Committee</b>	Nov 2021
<b>Date Approved by Board</b>	Nov 2021
<b>Date of Next Review</b>	Sept 2022
<b>Chair</b>	Richard Nash

## 1. Membership

- 1.1. Minimum of 3 non-executive board members (one of whom shall be appointed as Committee Chair).
- 1.2. Chair of the Finance & General Purposes Committee (F&GP) are precluded from serving on the Audit Committee.
- 1.3. The Principal
- 1.4. Maximum of Staff Members
- 1.5. It is desirable that at least one member should have a background in finance, accounting/audit and HR.
- 1.6. In attendance:
  - 1.6.1.1. Vice Principal of Finance, Strategy & Sustainability
  - 1.6.1.2. Vice Principal of Learning Skills & Student Experience
  - 1.6.1.3. Vice Principal of People & Transformation
  - 1.6.1.4. Director of Estates & Sustainability
  - 1.6.1.5. Secretary to the Board

## 2. Quorum

4 members, 3 of whom to be non-executive Board members (quorum 50% or higher of membership, with the majority for decision-making to be non-executives).

## 3. Reporting

- 3.1. The F&GP shall make its recommendations to the Board of Management as appropriate.
- 3.2. The F&GP shall observe the Standing Orders in all its business.
- 3.3. Minutes of the meetings should be circulated to the Board for information.

## 4. Responsibilities

### 4.1. Financial Management

- 4.1.1. Consider the annual budget and recommend approval to the full Board.
- 4.1.2. Monitor actual performance against budget and provide an update to the Board on financial sustainability.



- 4.1.3. Consider capital expenditure, investments and borrowing in accordance with Scottish Funding Council (SFC) guidance and recommend approval to the full board.
- 4.1.4. Consider the Financial Forecast Return (FFR) to SFC and recommend approval to the full Board.
- 4.1.5. Consider the annual statutory accounts and recommend approval to the Audit Committee.
- 4.1.6. Oversee systems of financial control and delegated authority.
- 4.1.7. Carry out the Board of Management's constitutional delegation in financial matters.
- 4.1.8. Ensure compliance with the Financial Memorandum and Financial Regulations.
- 4.1.9. Consider and make recommendations for the Finance and Performance Strategy and monitor performance against KPIs at least once a year before presentation to the Board.
- 4.1.10. Monitor the strategic risks relevant to the Committee and suggest recommendations as required.

## **4.2. Estates and Infrastructure**

- 4.2.1. Consider and make recommendations for the Systems and Infrastructure Strategy and monitor performance against KPIs at least once a year before presentation to the Board.
- 4.2.2. Review the estates strategy, including digital is fit for purpose and sustainable.
- 4.2.3. Make recommendations to the Board on matters relating to the development and management of its property and facilities.
- 4.2.4. Consider health and safety aspects of the College's operations where these relate to estates and facilities and an annual report should be produced for consideration.

## **4.3. Commercial and Marketing**

- 4.3.1. Consider and make recommendations for the Growth and Innovation Strategy and monitor performance against KPIs at least once a year before presentation to the Board.
- 4.3.2. Consider and make recommendations for the annual report on marketing and monitor performance against KPIs at least once a year.
- 4.3.3. Consider and make recommendations against the performance of the College's commercial activity against budget.

## **4.4. Human Resources and Organisational Development**

- 4.4.1. Ensure the College is operating within all legal requirements relating to employment law and other legislation affecting employment.
- 4.4.2. Agree and approve the People and Culture Strategy monitoring performance against KPIs and recommend any action to the Board.

- 4.4.3. Ensure appropriate arrangements are in place for effective dialogue with trade unions.
- 4.4.4. Ensure appropriate policies or staff related matters e.g. appointments, promotion, staff development and appraisal and succession planning.
- 4.4.5. Review Equality and Diversity updates and the Annual Report, monitoring the College's progress in the implementation.
- 4.4.6. Monitor and review cyber resilience and information security capabilities to ensure IT infrastructure and information is protected and strengthened to ensure compliance with legislative requirements.
- 4.4.7. Monitor and review Data Protection and privacy processes, and staff training to ensure compliance with legislative requirements.

#### **4.5. Other**

Undertake a self-evaluation exercise annually to ensure that the Committee complies with best practice in relation to governance.

#### **4.6. Meetings**

The F&GP will normally meet at least four times per year.

## FGP COMMITTEE EVALUATION

(to be completed by Committee Members and VP collectively)

Date:

Good Practice	Yes	No	N/A	Comments/Action
<b>Composition, Establishment and Duties of the Committee</b>				
Does the Committee meet regularly in accordance with the Board Standing Orders?				
Does the Committee consistently have a quorum?				
Do all Committee members attend meetings regularly?				
Does the Committee have enough members?				
Does at least one of the Committee members have a background relevant to the remit of the Committee?				
Have new Committee members received all necessary training?				
Does the Committee report regularly to the Board?				

Good Practice	Yes	No	N/A	Comments/Action
<b>Terms of reference</b>				
Does the Committee have written terms of reference?				
Do the terms of reference include all aspects of the Committee's role?				
Does the membership of the Committee need to be changed?				

Are the terms of reference adopted by the full Board and reviewed annually?				
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Good Practice	Yes	No	NA	Comments/Action
<b>Compliance with the Law and Regulations</b>				
Does the Committee have a mechanism to keep it aware of topical legal and regulatory issues?				

Good Practice	Yes	No	NA	Comments/Action
<b>Internal Control</b>				
Does the Committee monitor to ensure that risk is controlled?				
Does the Committee regularly review relevant strategic plans?				
Does the Committee consider the level of detail and information it receives appropriate?				
Are appropriate internal performance measures monitored by the Committee?				
Is the Committee addressing all matters delegated to it by the Board and under its terms of reference?				

Good Practice	Yes	No	NA	Comments/Action
<b>Administrative arrangements</b>				
Does the Committee have an independent secretary?				

Are Committee papers distributed in sufficient time for members to give them due consideration?				
Are Committee meetings scheduled prior to important decisions on specific matters being made?				
Is the timing of Committee meetings discussed with all involved?				



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One step ahead

## FINANCE AND GENERAL PURPOSES COMMITTEE

Date of Meeting	<u>01 September 2022</u>
Subject of Paper	People Update to September 2022
Paper No.	FGP09.22-I
Agenda Item	Item 10.1
FOISA Status	Not restricted
Primary Lead	Jill Galloway
Date of production	22 August 2022
<b>Intended Outcome</b>	<b>Discussion</b>

Financial Implications:	N/A
Equality and Diversity Implications:	An EDI update is included
Learner and Learning Implications:	N/A
Risks Assessed:	N/A
Publicly Available:	Yes

## 1. Introduction

1.1 The purpose of this paper is to provide an update on staff related issues at the College.

The paper covers:

- Workforce 2025
- National pay negotiations
- Sickness Absence
- Leadership Development
- Values and Behaviours development
- Learning and Development update
- GTCS update
- Equality and Diversity update

## 2. Workforce 2025

2.1 The VP People and Transformation is working on the appointment of a Director of Digital Services which has been covered on an interim basis. The current interim postholder leaves the College on 31 August 2022 and the existing ICT Manager will take on some additional responsibilities in the short term while the role is recruited.

2.2 A proposal for Phase 3 of Workforce 2025 will be presented to the Board on 15 September 2022.

## 3. National Pay Negotiations

3.1 Following acceptance of the academic staff pay award in June 2022, on 1 July 2022 the support Staff Side Secretary confirmed on behalf of UNISON, Unite and GMB acceptance of the Pay and Terms and Conditions Offer 2021/22.....

3.2 The national Job Evaluation project remains ongoing across the Scottish college sector. The latest update from NJNC is available [here](#)

Confidential to members...

## **4. Leadership Development Programme**

- 4.1 Following the completion of the programme in June 2022, discussions are ongoing regarding follow up work with those managers who took part. Future Proof Learning have suggested a rolling programme of workshops to further embed the skills which were developed.

## **5. Values and Behaviours**

- 5.1 The Values project is ongoing with the Values having been officially launched at the start of the academic year in August 2022.
- 5.2 In June 2022, a series of briefings for the Senior Leadership Team and College Leadership Team were held to ensure that they are empowered to role model the Values and behaviours.
- 5.3 The Values video was launched to communicate the Values across the college.
- 5.4 The Values Implementation Group, led by the VP People and Transformation is being established, and staff are being encouraged to take part as Values Ambassadors.
- 5.5 Marketing collateral has been purchased to ensure there is strong visual messaging across College, this includes lanyards and card holders for all staff.
- 5.6 The team will focus on embedding the values into the recruitment and induction process in addition to HR policies and procedure.;
- 5.7 The VP People and Transformation is developing an internal communications strategy which will be reflective of the values and encourage two-way flows of communication across the College.

## **6. Learning and Development Update**

- 6.1 The key focus since May has been the introduction to Prevent for new staff and a refresher for current staff. All staff were issued online compulsory training via The Home Office website. A total of 35% of this training has been completed at time of this report based on the number of certificates we have received, and we continue to work with managers and teams to increase this further.



6.2 Academic specific training over May, June and July 2022 has focused on:

- Let's Talk Digital Learning
- Completion of Digital Learning

6.3 Training events over the last 3 months have included, amongst others:

- Award in First Aid at Work Certificate
- Cyber Awareness Training
- DGC Together for Challenging Unacceptable Behaviour
- Introduction to Cybersecurity
- PDA Professional Cookery
- Prevent E-Learning Training Course
- Professional Development Workshop - NextGeneration of HN Learning for Sustainability - The Journey so far
- Psychological Trauma Informed Practice Training
- Scottish FA B Licence Assessment Week
- Staying Safe Online
- Workrite AssessRite
- Workrite Feelrite
- Workrite GDPR Course
- Workrite Home Workers Course
- Workrite Personal Travel Safety Course
- DGC Digital Learning Transform Learning Module
- DGC Office 365 Knowledge LearnNet Transform
- Diploma in Mental Health
- Meta Skills
- Student Mental Health & Wellbeing Conference
- REHIS Annual Food Update

6.4 Flexible Workforce Development Fund training has had a few amendments based on input from Managers and teams. The themes and training identified and that will take place are detailed below with amendments made since the original publication:

- ILM Leadership and Management Award
- Highfield Award in Effective Auditing and Inspection
- Introduction to Effective Training
- SQA Planning & Delivering Training Sessions to groups
- Certificate in Virtual Training
- First Aid in Mental Health
- Awareness of Mental Health First Aid
- Award in the Prevention and Control of Infection for the Workplace
- REHIS Elementary Health and Safety
- IOSH Managing Safely
- Award in Safe Moving and Handling

- 6.5 The People Development and HR Systems Officer will meet with the College Data Protection Officer (DPO) on 1 September 2022 to discuss a collective approach to roll out the planned Data Protection Training for the new academic year 2022/23, created by the DPO. This will feature as part of annual compulsory training for all staff
- 6.6 PRD data is now being collated via a live document so that at any point in time PRD progress can be monitored by manager and area. The original aim was to have completed 100% of annual PRDs by the end of February 2022 to meet audit expectations. Current data indicates that completion rate has increased to 60%.
- 6.7 End of year CPD event was launched week commencing 20 June 2022 with a programme of online and on campus sessions. All staff were encouraged to participate where they could. The theme was **People & Culture** with a focus on the subcategories of **I Believe, I Can, and I Matter**. The sessions that were held are detailed below:
1. I Believe - Digital Classrooms/Lecture Recording
  2. I Matter - Staff benefits platform
  3. I Can - Improving the Senior Phase
  4. I Believe -Embedding Meta Skills into the curriculum
  5. I Matter - I Matter Forum meeting
  6. I Can - World Skills Hub
  7. I Matter - Let's Talk Our Values
  8. I Matter - LGPS & Shared Cost AVC's

## 7. GTCS Update

- 7.1 The payment of the annual registration fee via Deduction at Source (DAS) has been completed. The registration fee is currently £65 for all registrants, irrespective of working hours. The fee is collected annually and is not payable monthly. The £65 fee was deducted from all 52 registered lecturers from their May 2022 salary to cover GTCS membership for 2022/23, as instructed by GTC Scotland. The College has paid the total of £3,380 to GTC Scotland.
- 7.2 GTCS Registration update as of 30 June
- Closed – 49 (completed registration who were eligible)
  - Closed but not paid – 3 (applicant did not make payment)
  - Closed but refused – 5 (applicant did not apply for registration in tranche one)
  - Draft – 15 (applicant did not begin the application process)
  - Submitted – 0 (application in process)

- 7.3 Application for registration with GTCS Scotland. The national roll out via the SharePoint bulk upload system for eligible lecturers as part of tranche one (4 September to 31 March 2022) is now closed. For tranche one GTCS kept the bulk upload option open for those who have not yet applied for registration until 30 June 2022. After this date lecturers are now required to apply for registration via an individual application accessed through the GTC Scotland website. College HR contacts can no longer deal with any GTCS registration applications.
- 7.4 GTCS moved into tranche two from 1 May 2022 to 30 June 2022 for lecturers with a potential teaching qualification gained outside Scotland based on the data provided to GTC Scotland in the other teaching qualifications survey in December 2021. GTCS issued invitation emails to lecturers who had been uploaded to SharePoint by DGC to start registration application process through college HR by 30 June 2022. Lecturers who have not applied for registration by 30 June 2022 will show as closed on the database and will need to apply via individual application on the GTCS website thereafter.

## 8. Equality and Diversity Update

- 8.1 Preparations for the new academic year are underway, including the production of a draft events calendar in collaboration with the Student Association and iMatter forum to promote awareness. This covers a range of prioritised subjects determined by three methods: consultation across the College community, the findings of our annual report and our published outcomes. All documents relating to the latter two items can be accessed at any time through our public facing [Equality and Diversity Webpage](#).
- 8.2 'DGC Together' training package options now include a course on Neurodiversity, which joins courses on a wide range of equality subjects on LearnNet that are open to all staff. The 'Challenging Behaviour' course offered in March has been completed by all staff (except those absent due to sickness or maternity leave). A face-to-face presentation was made to the cleaning team, as they indicated they would prefer this format to the online option offered.
- 8.3 External training provision has been arranged for an international third sector client through the Flexible Workforce Development Fund for provision of a filmed [Equality and Diversity Toolkit](#) session and for face-to-face sessions focusing on gender and disability discrimination.
- 8.4 As 2023 is a Public Sector Equality Duty (PSED) reporting year, next year's annual report will incorporate all interim PSED statutory requirements as part of its holistic narrative. This will be submitted to ELT, SLT and CMT prior to submission to the Finance and General Purposes Committee in March. Following approval, this will be published online to meet our statutory duty by 30 April 2023.

### Recommendation

The Committee is invited to note the paper and discuss any of the items presented.

**Jill Galloway**  
VP People and Transformation  
22 August 2022



**Dumfries and  
Galloway College**

One step ahead

## FINANCE AND GENERAL-PURPOSE COMMITTEE 01.09.22

### Finance and General-Purpose Committee

Date of Meeting	<u>01 September 2022</u>
Subject of Paper	Digital Services Update
Paper No.	FIN09.22-J
Agenda Item	10.2
FOISA Status	Disclosable
Primary Lead	Jill Galloway
Date of production	25 August 2022
<b>Intended Outcome</b>	<b>Noting</b>

Financial Implications:	No
Equality and Diversity Implications:	No
Learning and Teaching Implications	No
Risks Assessed:	Risk 11
Publicly Available:	No

## 1. Introduction

The purpose of this paper is to provide an update on Digital Services at the College. The paper covers:

- Transformation
- Cyber Resilience
- Operational Update

## 2. Transformation

The interim Director of Digital Services has been working with the Transformation Team on a number of key areas. Contracts have now ended for two members of the team who had been exploring process mapping across some support services.

Having lead workshops with SLT, there is recognition that the main focus should be on improving digital skills for staff across the College. Discussions are underway with SLT to identify key areas for development within their area. There are a number of areas of excellent practice which can be built upon. The review will lead to a College-wide training development plan focussed on digital skills.

In addition, the Transformation Team are developing an options paper around the use of iTrent within the HR function. This paper will look to explore how iTrent can be best used by the College, particularly the options around payroll provision.

The Interim Director of Digital Services will leave the College on 31 August 2022, and recruitment is underway for a permanent appointment. The ICT Manager will take on some additional responsibilities during the recruitment period to ensure continuity of the current service provision.

## 3. Cyber Security

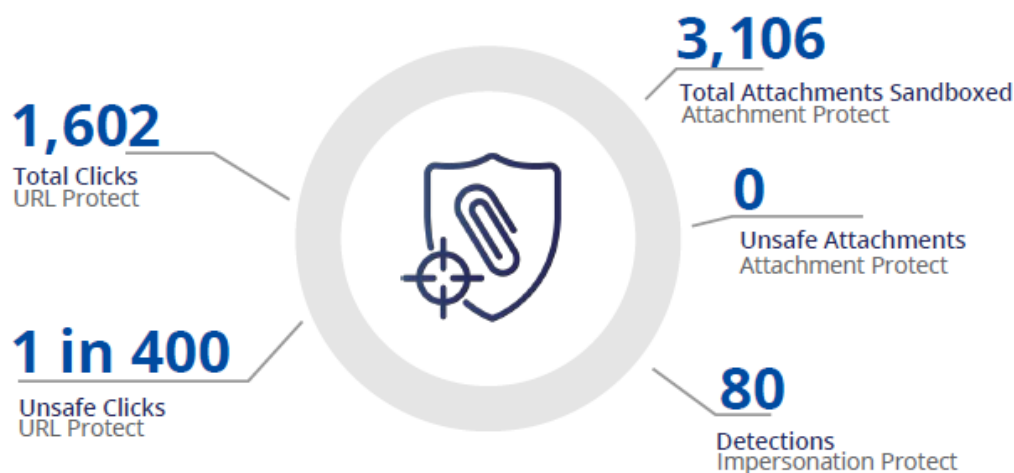
Enabling works on the firewall were undertaken out of hours to enhance network security and to accommodate connectivity for UWS. ....

The 16 questions from JISC on cyber posture have been answered and work is continuing on written procedures.

...

Staff awareness around cyber is ongoing and the intention is to send a monthly update including metrics from the email security gateway around number of attempts.

Example report for July 2022:



Firewall statistics can be included to show the number of daily attempts to penetrate our network perimeter.

Following on from the penetration test report and the release of some critical security patches for various operating systems and software, the process of updating servers and end user computers has been formalised. This also addresses requirements under the Cyber Essentials Plus accreditation.

...

#### 4. Operational Update:

##### UWS Co-location

The main focus of the team over the summer has been around the co-location of UWS. This has involved close working with the IT team at UWS to identify how to split and manage the networks without causing disruption to DGC staff and students. The plans are still in discussion, but a mutually agreeable solution has been identified.

##### Desktop Estate Upgrade

112 new PCs have been purchased to upgrade the desktop estate – these cover the Cyber, eSports and CAD labs. The remaining PCs have been reused for general purpose use and devices set aside for contingency use. The new and existing PCs are in the process of having a new image deployed. All PCs and other equipment that have been assessed and found to be beyond the end of life have been marked for disposal under WEEE regulations.

##### LapSafe

The LapSafe self-service device locker solution was purchased earlier in the year under the transformation budget, and it is due to be installed mid to late September. New digital student cards have been designed to display a QR code for signing out a device.

#### Recommendation

The Committee is invited to note the paper and discuss any of the items presented.

# Finance Committee

**Jill Galloway**  
VP People and Transformation  
22<sup>nd</sup> August 2022



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## Finance & General Purposes Committee 01.09.22

### FINANCE AND GENERAL PURPOSES COMMITTEE

Date of Meeting	<u>01 September 2022</u>
Subject of Paper	Data Protection Compliance
Paper No.	FGP09.22-Jb
Agenda Item	Item 10.3
FOISA Status	Disclosable
Primary Lead	Susan Patterson (HEFESTIS, Data Protection Officer (DPO))
Date of production	August 2022
<b>Intended Outcome</b>	

Financial Implications:	No direct financial implications
Equality and Diversity Implications:	No direct equality and diversity implications
Learner and Learning Implications:	No direct learner and learning implications
Risks Assessed:	Yes
Publicly Available:	Yes



**1. Background**

Data protection continues to evolve, with changes to be affected by new legislation introduced to parliament just before the summer recess. The [Data Protection and Digital Information Bill](#) (DPDI), known as the Data Reform Bill, is mainly made up of a proposed set of changes to the UK GDPR and Data Protection Act 2018. The Bill aims to make compliance with data protection law more flexible, while retaining the core compliance measures which will enable the UK to continue to be deemed an adequate country for data transfers by the EU. The Bill, as with any other, is not yet a law, may not become law, and is liable to amendment as it makes its way through the House of Commons and the House of Lords.

It is not recommended that the College makes changes based on what is in the Bill at this stage, however, it is recommended that the College considers the changes seriously and prepares for them. HEFESTIS will provide a series of briefings on the changes and disseminate information to staff.

The College continues to monitor its compliance with data protection law using the Information Commissioner’s Office (ICO) Accountability Framework. Actions are identified and progressed in accordance with this framework.

**2. Policies and Procedures**

All data protection policies and procedures were reviewed earlier this year. The Data Protection Policy has been approved by the Senior Leadership Team and the updated version will be made available on AdminNet. Data Protection input was provided for the Data Classification Policy (IT-owned) which is also ready for publication once approvals are complete. The Data Protection Team will continue to keep policies and procedures under review and provide input into other appropriate College policies.

**3. Data Protection Officer Advice**

The DPO provided advice on the following subjects and projects during the 2021/22 academic year.

<b>Subject or Project</b>
Counselling
Student Support
Effini Data Improvement Project
Vivup Employee Benefits Platform
Cloud Telephony System
Goldvision Customer Relationship Management System
Marketing – Photography for Publication
Marketing – General Practice and Potential Procurement of Business Contacts
Foundation Apprenticeships
Young Person’s Guarantee Scheme
Partnership with Capability Scotland
Digital Economy and Climate Emergency Training Framework
Lapsafe

## **4. Privacy Notices**

Privacy notices are produced to reflect new data processing activity, are frequently updated and can be found here [Data Protection : Privacy Notices | Dumfries & Galloway College \(dumgal.ac.uk\)](https://www.dumgal.ac.uk/Data-Protection-Privacy-Notices)

## **5. Data Subject Rights Requests**

Data Subjects have rights in data protection law, including the right to be informed (privacy notices) and the right to access information about themselves. Data subjects have additional rights which apply only in some circumstances, for example the right to restrict processing of their data and the right to have their data deleted.

The Data Protection Team has not dealt with any formal Data Subject Rights Requests in the 2021/22 academic year.

Any concerns raised by data subjects about data processing are dealt with in a timely manner. Representatives of the department which the concern relates to are consulted prior to responses being issued to data subjects. Additional actions which can be taken to prevent further issues arising are identified and actioned.

## **6. Data incidents and breaches**

There have been 6 data incidents during 21/22 academic year (Aug 2021-Jul 2022). One of the breaches met the threshold for reporting to the ICO and data subjects (see separate reports previously issued). The main cause of breaches has been human error – all incidents are analysed for lessons learned and to determine appropriate interventions (e.g. awareness raising and training).

## **7. Staff training**

The DPO provided a tailored session for Student Records staff on Data Subject Requests, Third Party Requests and Home Working. An i-Learn module for induction and refresher training for staff is under development and will be released following completion and internal approvals. The DPO continues to provide training sessions as requested by HR and to fulfil the criteria in the ICO Accountability Framework. This is in addition to the standard Data Protection module available via Workrite. The data protection section of AdminNet is kept up-to-date with new news items on an ongoing basis.