



MINUTE OF MEETING HELD ON 28 MARCH 2023 AT 1100 HRS

STEM HUB, STRANRAER CAMPUS/HYBRID

Present:		
Caroline Stuart (CS) - Chair	Danielle Hughes (DH) – Student President	Susan McLellan (SMc)
Sue Irving (SI)	Claire McLean (CMc)	Ann Hill (AH)
Joanna Campbell (JC) Principal	Sharon Hodgson (SH)	Jamie Ross (JR)
Kate Glendye (KG)	Malcolm MacLeod (MMac)	Will Dowson (WD)
In attendance:		
Douglas Dickson (DD) – Depute Principal	Jill Galloway (JG) – Vice Principal	Lorraine Grierson (LG) – Board Secretary
Mary Cheetham (MC) – Minute Secretary	Karen Hunter (KH) – Director of Finance	
Apologies:		
Eddie Black (EB)	Richard Nash (RN)	Rebecca Plant (RP)
Gillian Brydson (GB)		

1. Welcome and Apologies for Absence | Verbal | Chair C. Stuart

1.1. The Chair welcomed everyone to the meeting and confirmed Alan Glasgow, Managing Director of Wheatley Homes would be joining.

1.2. Apologies were received from: Richard Nash, Gillian Brydson and Rebecca Plant and Eddie Black the meeting was recorded as quorate.

Declaration of Interest and Connections | Verbal | Chair C. Stuart

1.3.1 The Chair reminded Members to indicate any declaration of interest as appropriate throughout the course of the meeting.

2. Minute of Meeting held 12 December 2022 | Paper 2.1 | Chair C. Stuart (For Approval)

2.1. A question was raised around paragraph 4.14 as to what had been acknowledged of the previous minutes. JC explained the conversation was around strategy and making a clear

plan over how to save the £511K. It was agreed to reword the previous minutes to incorporate implementing a clear plan.

2.2 The minutes were approved as an accurate representation of the meeting with amendments noted above.

2.2 Action Log | Paper 2.2 | L. Grierson

2.2.1 LG provided an overview on the progress of the 9 current actions, confirming that all commentary had been updated and actions were closed.

2.2.2 **The Board agreed to all Actions 1-9 now being marked as closed.**

3.1 Medium Term Business Cases | Papers 3.1 | J. Campbell (For Approval)

3.1.1 JC presented the Medium Term Business Cases to the Board for discussion on all proposals, noting the risks and opportunities and approval of the proposed options and need for investment.

3.1.2

3.1.3 A full discussion of all the proposals took place, and the Board were directed to the FFR on page 5 where all proposals were costed.

3.1.4 Confidential to members

3.2 Wheatley Group presentation

3.2.1 Confidential to members only.

3.2 UWS - West of Scotland Tertiary Education Strategic

3.3.1 **Executive board members were excused from the meeting.**

Confidential Minute taken.

4 Strategic Risk Register | Paper 4.1 | L Grierson (For Approval)

4.1 The Strategic Risk Register was presented to the Board for approval.

4.2 There are 5 risks which are assigned to the Board of Management for consideration in the first instance and any amendments are noted below. Members were invited to discuss the 5 risks associated with the Board and approve any amendments, and to approve the full Strategic Risk Register.

- Risk 1- Failure of College strategy to meet the needs of Dumfries and Galloway Region and/ or national priorities.
- Risk 2 – Legal actions; serious accident; incident or civil/criminal breach.
- Risk 5 - Business Continuity Incident – Fire, Systems, Emergency Procedures, Health.

- Risk 6 - Failure to meet regulatory obligations.
- Risk 12 – Health and Safety

Addition to Management Activity mitigation - Clear channels of communication regarding issues and preventative actions;

Addition to Independent Assurance monitoring - ‘Public Health’ and ‘Environmental Health’

4.3 FGP Committee - Risk 7 has an amendment to a mitigation and this risk will go to the next Audit Committee for deep dive discussion.

4.4 Audit Committee – Risk 11 has a minor adjustment to a mitigation.

4.5 **The Board approved the full Risk Register.**

5 Mid-Year FFR Budget | Paper 5.1 | K Hunter (For Approval)

5.1 Confidential to members only.

5.8 **The Board approved Paper 5 Mid-Year FFR Budget**

6 Anti-Fraud and Corruption Policy | Paper 6.1 | Karen Hunter

6.1 KH presented the paper and noted this information had been presented to the Audit Committee at their recent meeting who recommended the Board of Management **approve** the revisions of the policy.

6.2 KH advised that minor updates had been applied as outlined in the paper.

6.3 **The Board approved Paper 6 Anti-Fraud and Corruption Policy**

For Discussion and Approval

7 Chair’s Report | Paper 7.1 | C Stuart

7.1 The Chair updated the Board on the activities undertaken in her role during the period since the last Board Meeting on 12 December 2022.

7.2 The Chair provided an overview of the Board Development Plan for members **approval**.

7.3 CS advised that she had spoken with Ron and Candy from CDN who highlighted improvement has been seen across college and we are moving in the right direction with improved reporting.

7.4 CS congratulated the Board Secretary who has successfully completed her CIPFA Governance qualification and is now fully qualified.

7.5 CS commended KH on her sterling work and to the Principal and the Senior Management Team in the level of reporting.

7.6 **The Board agreed and approved the development plan.**

7.7 CS reminded members of the Strategy Meeting which will be held on 15 May 2023 in Dumfries.

8 Principal's Report | Paper 8.1 | J Campbell

8.1 The Principal provided an overview of the activity undertaken in her role during the period since the last Board meeting on 12 December 2022.

8.2 She highlighted that the James Withers review into skill delivery will be published in late Spring.

8.3 The College Principals and Chairs met for a fourth 'Think the Unthinkable' convention and four programmes of work are being taken forward; Skills, Workforce, Structure and Digital.

8.4 The Board requested a more rounded summary level Chief Executive Report to highlight key points or concerns.

9 Performance Report | Paper 9.1 | D Dickson, J Galloway, K Hunter

9.1 The Executive Team updated the Board on the performance of the College since the date of the last Board meeting on 12 December 2022.

9.2 Confidential to members only.

10. Student Association Report | Paper 10.1 | D Hughes

10.1 DH provided the Board with an update of the Student Association activity since the last Board meeting on 12 December 2022.

10.2 She advised that DGC SA had been nominated at the NUS Awards for College student association of year and campaign of year award. Awards to take place 28 March.

10.3 Our above and beyond awards are to take place on 14 June details of the event will be issued to the Board Secretary.

11 Board Self Evaluation Report Paper 11.1 LG

11.1 CS advised members that this will be taken as read. She felt it was a positive report and actions will be taken forward.

11.2 Chair's Review (Confidential – for Board members only) Paper 11.2 LG

11.3 The Chairs Review was shared with board members with an opportunity for comment and discussion at the next round of member reviews scheduled for May

12 TU Observers on the Board | Paper 12.1 | L Grierson

12.1 LG provided an overview of the contents to consider whether to onboard 2 Trade Union Observers to the Board at this time.

- 12.2 Onboarding to be raised at LJNC – at the moment we have 3 local unions, however only 2 have representation or members within the college. These 2 Unions would nominate a candidate, 1 for academic and 1 for support staff.
- 12.3 **JC advised that there should be a caveat included to say Local Representative Only to be taken onboard as observers.**
- 12.4 LG advised that CDN are looking to implement training for the Observers to cover their role and conflict of interest.
- 12.3 Discussion with the Board and result was happy to move ahead with this on the condition that CDN training should be completed prior to being brought onboard.
- 12.4 **LG to contact CDN to find out when the training will be arranged.**

13 Curriculum Planning 22-23 Report | Paper 13.1 | D Dickson

- 13.1 DD provided the Board with an overview on the curriculum paper and invited discussion.
- 13.2 He advised that Managers are looking at where curriculum will move to over the next 2-5 years, which will be challenging however we need a clearer picture to look at areas where greater demand needs to be built in.
- 13.3 ...

FOR INFORMATION ONLY

14 Health and Safety Report | Paper 14.1 | Billy Currie

- 14.1 CS asked members to take this as read and asked if there were any questions.
- 14.2 **Members noted the paper.**

15 Committee Minutes

- 15.1 Finance & General Purpose Committee minutes, Paper 15.1 were noted by the Board.
- 15.2 Learning & Teaching Committee minutes, Paper 15.2 were noted by the Board.
- 15.3 Board Development Committee Minutes Paper 15.3 were noted by the Board.

16 Any Other Business | Verbal | C Stuart

- 16.1 CS advised members that there was an outline proposal to set up an HR Sub Committee of F&GP in order to set aside time to discuss more fully the people element of FGP remit. This would occur 1 hour prior to FGP with a suggestion of 4 members. The Terms of Reference attached were in draft format as an indication of what will be discussed.
- 16.3 **Volunteers for the group were asked to contact the Board Secretary.**
- 16.3 **The Board approved the HR Sub-Committee**

17 Date of next meeting | Verbal | C Stuart




- 17.1 **The date of the next scheduled meeting is 16 June 2023 in Stranraer (1.30 pm).** Graduation will take place beforehand and board members will be invited to attend.
- 17.2 CS advised members that this will be Danielle Hughes' last meeting as Student Association President and took the opportunity to thank her for all her hard work and contribution to developing and moving the SA forward in a positive way. The Principal, Executive and SLT Team thanked DH for all her hard work and agreed the Student Association has come on leaps and bounds and to be proud of all that has been developed and achieved.



Dumfries and
Galloway College

One step ahead

BOM0323-2.2

Key	
	Ongoing
	Closed
	Overdue

Board of Management Action Log 28.03.23

No	Meeting Date	Action	Lead	Deadline	Status	Commentary
1	16/9/22	TU Reps on the Board – to bring a paper to March meeting detailing a process.	LG	Mar 23	Closed	<p>Dec update: The Scottish Gvt's Consultation on TU nominees went live on 1/12/22. https://consult.gov.scot/college-policy/trade-union-nominees/ This will require changes to legislation. The deadline for submissions to the consultation is Friday 27/1/23. There is to be consideration whether a formal sector response is needed, however, submissions can be made from individuals and colleges. Board to consider TU Observer status and a paper will be brought to March meeting with a proposed process for this.</p> <p>MARCH UPDATE Paper submitted to Board on 28 Mar 23.</p>
2	12/12/22	Confirmation is sought that there would be no loss of revenue from UWS	KH	Mar 23	Closed	<p>KH reported to FGP on 7/3/23 that the UWS revenue was confirmed as £... pa.</p>

Board of Management Action Log 28.03.23

BOM0323-2.2

No	Meeting Date	Action	Lead	Deadline	Status	Commentary
3	12/12/22	The Board requested that the Management accounts be presented to F&GP and be explicit about the scale of the risk, and the actions we will take to deliver a balanced budget.	KH	Mar 23	Closed	Paper submitted to FGP outlining forecast and current position on 7/3/23, which was confirmed as being very informative.
4	12/12/22	It was agreed that an update on the current financial position will be circulated following the Scottish Government Budget announcement and SFC confirmation about credit clawback in-year to the full Board	JC	Mar 23	Closed	JC circulated a revised forecast to BoM on 10/2/23.
5	12/12/22	The Board agreed to defer Risk 3 to the next meeting of F&GP for them to undertake a deep dive discussion.			Closed	Chair of FGP confirmed that he has had several discussions with JC and KH around Risk 3 Institutional Sustainability.
6	12/12/22	The Board agreed that Stakeholder engagement/management will be added to the agenda on the next F&GP committee and consider including within the TOR.	DD	Mar 23	Closed	This was included in the Commercial Paper presented to FGP on 7/3/23 and will be included as a standing item. The ToR are reviewed annually and this will be considered at that time.
7	12/12/22	DH noted that she will produce a Class Representatives report and findings at the next meeting.	DH	Mar 23	Closed	This has been added to the SA Report to FGP on 7/3/23 and BoM 28/3/23.
8	12/12/22	SU agreed to provide an update to the Board regarding the Graduation Riddor incident including details of any risk assessment which was undertaken prior to the graduation event.	DD	Mar 23	Closed	Response from DD circulated to the BoM on 24/1/23 via email.
9	12/12/22	In respect of a near-miss incident reported in the H&S Report regarding failure to hear the alarm due to machine shop noise. A discussion took place about and concerns were raised about the risk of hearing loss and possible claims from staff and/or students. SU agreed to provide more information by correspondence outwith the meeting.	BC	Mar 23	Closed	BC confirmed that all students and staff wear ear protection when cutting timber. Due to the noise drowning out the alarm system, a visual aid is required and being progressed.

BOM0323-6.1

MEETING	BOARD OF MANAGEMENT COMMITTEE
AGENDA ITEM:	4
PAPER NO:	4.1

Date	28 March 2023
Location	Stranraer Campus
Title of Paper	Strategic Risk Register
Presented By	L Grierson
Recommendation	Approval
Appendix Attached	No
Disclosable Under FOISA	YES

Read Time: 10 mins

1. Recommendation

- 1.1 The Board of Management is recommended to consider the status and mitigation of risks assigned to them and approve.
- 1.2 The Board of Management is asked to approve the full Risk Register.

2. Executive Summary

2.1 The Principal and Executive Leadership Team routinely review the Strategic Risk Register to reflect the key risks to the College and the mitigations that are applied to each risk. Risks are also circulated to relevant committees for their scrutiny and Audit Committee review high level risks and individual risks for deep-dive scrutiny.

3. Context

3.1 Risk Register

There are currently 7 major risks (red), with 1 major risk after mitigation – Risk 3 - Failure to achieve institutional sustainability.

3.2 There are 5 risks which are assigned to the Board of Management. There have been no changes to the scoring of these risks, however any amendment to mitigations is added below and the Board are asked to consider the status and changes made.

Risk 1- Failure of College strategy to meet the needs of Dumfries and Galloway Region and/ or national priorities.

Risk 2 – Legal actions; serious accident; incident or civil/criminal breach.

Risk 5 - Business Continuity Incident – Fire, Systems, Emergency Procedures, Health.

Risk 6 - Failure to meet regulatory obligations.

Risk 12 – Health and Safety:

- **Addition to Management Activity mitigation - Clear channels of communication regarding issues and preventative actions;**
- **Addition to Independent Assurance monitoring - ‘Public Health’ and ‘Environmental Health’**

3.3 FGP Committee – the following amendments have been made to Risk 7: Failure to achieve industrial relations - **amendment to the Management of Activity level mitigation - ‘Attendance at Strategic HR Network’**. This risk will be presented to the next Audit Committee for deep dive scrutiny.

3.4 Audit Committee – the following amendment has been made to Risk 11: Failure to achieve and maintain systems and operable and secure ICT –**Amended Front Line mitigation: ‘Cyber Incident disaster recovery plan and training’**

4. Strategic Implications

4.1 This paper links into all strategic priorities of Ambition 2025.

5. Risk

RISK	MITIGATIONS
	Strategic Risk Register

6. Implications

Financial	Yes	Financial loss and reputational damage and impact to financial sustainability.
Legal	Yes	Failure to comply with statutory requirements
Learning and Teaching	Yes	Failure to provide sustainable learning opportunities and reduced provision.
Equalities	No	

Lorraine Grierson
 Secretary to the Board
 March 2023

STRATEGIC RISK REGISTER

RISK DEFINITION		ORIGINAL TASK				RESIDUAL RISK					
No	Risk	Likelihood	Impact	Total	Risk Level	Likelihood	Impact	Total	Risk Level	Risk Appetite	Trend
Responsible Person – Principal											
1	Failure of College strategy to meet the needs of Dumfries and Galloway Region and/or national priorities (BoM)										
		4	4	16		3	3	9			=
2	Legal actions; serious accident; incident or civil/criminal breach (BoM)										
		5	3	15		3	2	6			=
Responsible Person - VP Finance, Strategy and Sustainability											
3	Failure to achieve institutional sustainability (FGP)										
		4	5	20		4	5	20			=
4	Financial Fraud (AUD)										
		4	3	12		3	2	6			=
5	Business Continuity Incident – Fire, Systems, Emergency Procedures, Health (BoM)										
		4	4	16		4	3	12			=
6	Failure to meet regulatory obligations (BoM)										
		3	5	15		1	5	5			=
12	Health and Safety (BoM)										
		4	5	20		3	4	12			=
Responsible Person – Vice Principal People and Transformation											
7	Failure to achieve effective Industrial Relations (FGP)										
		5	4	20		4	3	12			=
11	Failure to achieve and maintain systems and operable and secure ICT (AUD)										
		4	5	20		3	4	12			=

Responsible Person - VP Learning, Skills and Student Experience									
8	Failure to achieve highest academic performance levels (LT)								
	4	4	16	3	4	12			=
9	Failure to adhere to academic compliance arrangements (LT)								
	5	3	15	4	2	8			=
10	Failure to achieve an effective student experience (LT)								
	3	4	12	2	4	8			=

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 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

Strategic Objective: Risk No: 1

Reference to Departmental Risk Registers:	Strategic
Owner:	Principal
Description of the Risk:	Failure of College strategy to meet the needs of Dumfries and Galloway Region and/or national priorities
What are the possible consequences if the risk was to emerge?	Loss of credibility, unable to meet economic and societal needs of region, curriculum not fit for purpose, College will not meet funding targets and will not remain financially sustainable

Numerical Scoring of Gross Risk (i.e., without controls in place)					
What is the predicted LIKELIHOOD of the risk occurring?	(A) 4/5	What is the predicted IMPACT of the risk?	(B) 4/5	What is the total risk score? (A x B)	16/25
The GROSS risk is therefore: (MIN/SIG/MAJ/FUN)	Major Risk				

3 LINES OF DEFENCE	MITIGATIONS	MONITORING
FRONT LINE (Management Assurance) Operational Delivery /Systems /Quality Assurance /Supervision	<ul style="list-style-type: none"> Workplans and oversight in line with ROA and Financial targets 	<ul style="list-style-type: none"> Clear performance metrics for all strategic outcomes and linked to individual performance targets reviewed on regular basis
OVERSIGHT OF MANAGEMENT ACTIVITY Internal Compliance and quality checks / Legal and Regulatory / Financial controls / Management controls / Project assurance	<ul style="list-style-type: none"> Robust strategic planning Effective environmental scanning Strong and effective partnerships Clear links between strategy and practice Concerted demands for increased activity levels 	<ul style="list-style-type: none"> Membership of key strategic groups SLT Systems of Control and Reporting Amendment of strategic direction/plans to government policy and regional economic strategy Robust monitoring of activity targets via ROA and reported quarterly to SFC
INDEPENDENT ASSURANCE Internal Audit / external bodies		<ul style="list-style-type: none"> Ongoing engagement and reporting to SFC Ongoing engagement and reporting to SDS External Audit BoM oversight

Numerical Scoring of NET Risk (i.e., with controls in place) (2 cont.)					
What is the predicted LIKELIHOOD of the risk occurring?	(A) 3/5	What is the predicted IMPACT of the risk?	(B) 3/5	What is the total risk score? (A x B)	9/25

Risk Status	Meeting 1 SIG	Meeting 2 SIG	Meeting 3 SIG	Meeting 4
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MEETING	AMENDMENTS TO RECORD
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Q1	No Change
Q2	Risk updated to show the 3 lines of defence.
Q3	No Change
Q4	

No.	Risk and Risk Appetite	Avoid	Averse	Cautious	Moderate	Open	Hungry
1	Failure of College strategy to meet the needs of Dumfries and Galloway Region and/or national priorities						
4	Financial Fraud						
6	Failure to meet regulatory obligations						

Strategic Objective: Risk No: 2

Reference to Departmental Risk Registers:	Strategic
Owner:	Principal
Description of the Risk:	Legal actions; serious accident; incident or civil/criminal breach
What are the possible consequences if the risk was to emerge?	Financial loss to the college, impact on reputation and potential criminal / civil legal proceedings

Numerical Scoring of Gross Risk (i.e., without controls in place)					
What is the predicted LIKELIHOOD of the risk occurring?	(A) 5/5	What is the predicted IMPACT of the risk?	(B) 3/5	What is the total risk score? (A x B)	15/25
The GROSS risk is therefore: MIN/SIG/MAJ/FUND	Significant Risk				

3 LINES OF DEFENCE	MITIGATIONS	MONITORING
<p style="text-align: center;">FRONT LINE (Management Assurance)</p> <p>Operational Delivery /Systems /Quality Assurance /Supervision</p>	<ul style="list-style-type: none"> Mandatory staff training on regulatory compliance areas Continuous professional development 	<ul style="list-style-type: none"> Records of staff training and completion Line Manager oversight
<p style="text-align: center;">OVERSIGHT OF MANAGEMENT ACTIVITY</p> <p>Internal Compliance and quality checks / Legal and Regulatory / Financial controls / Management controls / Project assurance</p>	<ul style="list-style-type: none"> Adherence to legislative and good practice requirements Positive Union relations and staff communication Ongoing management development programmes Whistleblowing Policy 	<ul style="list-style-type: none"> Monitoring and reporting in key areas – e.g., H&S, equalities, employee engagement, post-Covid arrangements Internal audit actions Staff surveys
<p style="text-align: center;">INDEPENDENT ASSURANCE</p> <p>Internal Audit / external bodies</p>	<ul style="list-style-type: none"> External legal advice contract in place and used where appropriate 	<ul style="list-style-type: none"> Internal and External Audit BoM oversight

Numerical Scoring of NET Risk (i.e., with controls in place)					
What is the predicted LIKELIHOOD of the risk occurring?	(A) 3/5	What is the predicted IMPACT of the risk?	(B) 2/5	What is the total risk score? (A x B)	6/25

Risk Status	Meeting 1 MIN	Meeting 2 MIN	Meeting 3 MIN	Meeting 4
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MEETING	AMENDMENTS TO RECORD
Q1	No change.
Q2	Risk updated to show the 3 lines of defence.
Q3	No Change
Q4	

No.	Risk and Risk Appetite	Avoid	Averse	Cautious	Moderate	Open	Hungry
2	Legal actions; serious accident; incident or civil/criminal breach						

Strategic Objective: Risk No: 3 Financial Sustainability

Reference to Departmental Risk Registers:	Financial
Owner:	VP Finance, Strategy and Sustainability
Description of the Risk:	Failure to achieve institutional sustainability
What are the possible consequences if the risk was to emerge?	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 LIKELIHOOD of the risk occurring?	(A) 4/5	What is the predicted IMPACT of the risk?	(B) 5/5	What is the total risk score? (A x B)	20/25
The GROSS risk is therefore: MIN/SIG/MAJ/FUND	Major Risk				

3 LINES OF DEFENCE	MITIGATIONS	MONITORING
FRONT LINE (Management Assurance) Operational Delivery /Systems /Quality Assurance /Supervision	<ul style="list-style-type: none"> • Increase commercial income to reduce reliance on SFC funding • Effective cost control • Active tracking of Credits achieved/forecast vs target • Protection of funding through dialogue with SFC 	<ul style="list-style-type: none"> • Regular review of financial strategy and non-core income sensitivity • Finance business partnering to review budgets/spend with Managers • Continuous monitoring of demand v funding allocation of student funds
OVERSIGHT OF MANAGEMENT ACTIVITY Internal Compliance and quality checks / Legal and Regulatory / Financial controls / Management controls / Project assurance	<ul style="list-style-type: none"> • Strategic plan and Operating Plans approved by BoM and Committee • Budgets approved by BoM and Committee • Major project business cases approved by BoM and Committee • Finance Directors Network 	<ul style="list-style-type: none"> • Regular internal reporting to BoM and Committee • Regular interaction with Scottish Funding Council Finance Team • Knowledge exchange through Finance Directors Network / Colleges Scotland • VPs Group and Principals Group
INDEPENDENT ASSURANCE Internal Audit / external bodies	<ul style="list-style-type: none"> • Internal Audit Programme agreed by BoM/Audit Committee • External Auditors appointed through Audit Scotland • Regional Outcome Agreement 	<ul style="list-style-type: none"> • BoM/Committee review and approval of IA reports and action points tracking • Audit Committee/BoM oversight • Regular returns to Scottish Funding Council (FFR/FES)

Numerical Scoring of NET Risk (i.e., with controls in place) (2 cont.)					
What is the predicted LIKELIHOOD of the risk occurring?	(A) 4/5	What is the predicted IMPACT of the risk?	(B) 5/5	What is the total risk score? (A x B)	20/25

Risk Status	Meeting 1 SIG	Meeting 2 MAJ	Meeting 3 MAJ	Meeting 4
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MEETING	AMENDMENTS TO RECORD
Q1	No changes. FGP recommendation to increase Net scoring from 3/5 to 4/5 to reflect deficit forecast.
Q2	Updated to reflect 3 lines of defence. Added to monitoring: VPs Group and Principals Group.

Q3	No Changes
Q4	

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

Strategic Objective: Risk No: 4 Fraud

Reference to Departmental Risk Registers:	Financial
Owner:	VP Finance, Strategy and Sustainability
Description of the Risk:	Financial Fraud
What are the possible consequences if the risk was to emerge?	Financial Loss, Loss of reputation, impact to financial sustainability

Numerical Scoring of Gross Risk (i.e., without controls in place)					
What is the predicted LIKELIHOOD of the risk occurring?	(A) 4/5	What is the predicted IMPACT of the risk?	(B) 3/5	What is the total risk score? (A x B)	12/25
The GROSS risk is therefore: MIN/SIG/MAJ/FUN	Significant Risk				

3 LINES OF DEFENCE	MITIGATIONS	MONITORING
FRONT LINE (Management Assurance) Operational Delivery /Systems /Quality Assurance /Supervision	<ul style="list-style-type: none"> No PO / no Pay policy Scheme of financial delegation Segregation of duties and review of transactions 	<ul style="list-style-type: none"> Continuous review of financial controls Implementation of Internal Audit recommendations
OVERSIGHT OF MANAGEMENT ACTIVITY Internal Compliance and quality checks / Legal and Regulatory / Financial controls / Management controls / Project assurance	<ul style="list-style-type: none"> Review of impact of any changes in structure or duties Public Interest Disclosure (Whistleblowing) Policy 	<ul style="list-style-type: none"> Continuous review of financial controls Budget / spend review
INDEPENDENT ASSURANCE Internal Audit / external bodies	<ul style="list-style-type: none"> Internal Audit plan 	<ul style="list-style-type: none"> Internal Audit External Audit Counter Fraud Initiative Audit Committee/BoM oversight

Numerical Scoring of NET Risk (i.e., with controls in place) (2 cont.)					
What is the predicted LIKELIHOOD of the risk occurring?	(A) 3/5	What is the predicted IMPACT of the risk?	(B) 2/5	What is the total risk score? (A x B)	6/25

Risk Status	Meeting 1 MIN	Meeting 2 MIN	Meeting 3 MIN	Meeting 4
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MEETING	AMENDMENTS TO RECORD
Q1	Mitigation deleted: Adherence to procurement processes and internal approval processes Monitoring deleted: <ul style="list-style-type: none"> Regular review of costs and budgets /Transactional data sample testing / Monthly review of payroll
Q2	Risk updated to show the 3 lines of defence.
Q3	No Changes
Q4	

No.	Risk and Risk Appetite	Avoid	Averse	Cautious	Moderate	Open	Hungry
4	Financial Fraud						

Strategic Objective: Risk No: 5 Business Continuity

Reference to Departmental Risk Registers:	Organisational
Owner:	VP Finance, Strategy and Sustainability
Description of the Risk:	Business Continuity Incident – Fire, Systems, Emergency Procedures, Health threats
What are the possible consequences if the risk was to emerge?	Serious impact to the college’s ability to operate and deliver education to students, safeguarding of staff and students, impact to financial sustainability of college, loss of reputation

Numerical Scoring of Gross Risk (i.e., without controls in place)					
What is the predicted LIKELIHOOD of the risk occurring?	(A) 4/5	What is the predicted IMPACT of the risk?	(B) 4/5	What is the total risk score? (A x B)	16/25
The GROSS risk is therefore: MIN/SIG/MAJ/FUN	Major Risk				

3 LINES OF DEFENCE	MITIGATIONS	MONITORING
FRONT LINE (Management Assurance) Operational Delivery /Systems /Quality Assurance /Supervision	<ul style="list-style-type: none"> • Documented disaster recovery procedures, regularly reviewed • Separate COVID -19 – Risk Register /BCT Plan in place • Sound systems of administration • Staff CPD on business continuity themes • Monitoring Public Health Advice • Increased awareness of climate emergency issues • Planning, careful phasing of changes to processes, systems, and equipment • Effective management of / Asset Register in place • Effective management of systems and GDPR 	<ul style="list-style-type: none"> • Adherence to local and national Public Health Guidance • SA Climate awareness activities • Regular review/reporting on milestones, systems effectiveness etc. • Business Continuity Plan including scenario testing • Active data protection monitoring and auditing
OVERSIGHT OF MANAGEMENT ACTIVITY Internal Compliance and quality checks / Legal and Regulatory / Financial controls / Management controls / Project assurance	<ul style="list-style-type: none"> • Rolling programme of routine updates to systems and equipment 	<ul style="list-style-type: none"> • Liaison with SFC and Colleges Scotland – COVID-19 response groups • Climate Emergency College Group (includes Student Representatives)
INDEPENDENT ASSURANCE Internal Audit / external bodies	<ul style="list-style-type: none"> • Communication to stakeholders 	<ul style="list-style-type: none"> • Internal Audit on process and statutory compliance • BoM oversight

Numerical Scoring of NET Risk (i.e., with controls in place) (2 cont.)					
What is the predicted LIKELIHOOD of the risk occurring?	(A) 4/5	What is the predicted IMPACT of the risk?	(B) 3/5	What is the total risk score? (A x B)	12/25

Risk Status	Meeting 1 SIG	Meeting 2 SIG	Meeting 3 SIG	Meeting 4
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MEETING	AMENDMENTS TO RECORD
Q1	No changes.

Q2	Risk updated to show the 3 lines of defence.
Q3	Additional wording for Front Line mitigation – ‘Documented disaster recovery procedures, regularly reviewed’
Q4	

No.	Risk and Risk Appetite	Avoid	Averse	Cautious	Moderate	Open	Hungry
5	Business Continuity Incident, e.g., Fire, MIS Failure, Failure of Emergency Procedures, Threats to Health						

Strategic Objective: Risk No: 6

Reference to Departmental Risk Registers:	Organisational
Owner:	VP Finance, Strategy and Sustainability
Description of the Risk:	Failure to meet regulatory obligations
What are the possible consequences if the risk was to emerge?	Loss of reputation, impact to financial sustainability, Government bodies intervention

Numerical Scoring of Gross Risk (i.e., without controls in place)					
What is the predicted LIKELIHOOD of the risk occurring?	(A) 3/5	What is the predicted IMPACT of the risk?	(B) 5/5	What is the total risk score? (A x B)	15/25
The GROSS risk is therefore: MIN/SIG/MAJ/FUN	Significant Risk				

3 LINES OF DEFENCE	MITIGATIONS	MONITORING
FRONT LINE (Management Assurance) Operational Delivery /Systems /Quality Assurance /Supervision	<ul style="list-style-type: none"> Prevent, Health and Safety and Safeguarding training Staff awareness and contingency planning Engagement/practice sharing with local agencies 	<ul style="list-style-type: none"> Business Continuity Plan including scenario testing Information sharing with local agencies HR monitors staff numbers trained
OVERSIGHT OF MANAGEMENT ACTIVITY Internal Compliance and quality checks / Legal and Regulatory / Financial controls / Management controls / Project assurance	<ul style="list-style-type: none"> Engagement/practice sharing with local agencies Board approval of SFC submissions 	<ul style="list-style-type: none"> Information sharing with local agencies SFC obligations
INDEPENDENT ASSURANCE Internal Audit / external bodies		<ul style="list-style-type: none"> Internal Audit across all areas Annual external Audit BoM oversight

Numerical Scoring of NET Risk (i.e., with controls in place) (2 cont.)					
What is the predicted LIKELIHOOD of the risk occurring?	(A) 5/5	What is the predicted IMPACT of the risk?	(B) 1/5	What is the total risk score? (A x B)	5/25

Risk Status	Meeting 1 MIN	Meeting 2 MIN	Meeting 3 MIN	Meeting 4
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MEETING	AMENDMENTS TO RECORD
Q1	No changes
Q2	Risk updated to show the 3 lines of defence.
Q3	No changes
Q4	

No.	Risk and Risk Appetite	Avoid	Averse	Cautious	Moderate	Open	Hungry
6	Failure to meet regulatory obligations						

Strategic Objective: Risk No: 7

Reference to Departmental Risk Registers:	Organisational
Owner:	Vice Principal People and Transformation.
Description of the Risk:	Failure to achieve effective Industrial Relations
What are the possible consequences if the risk was to emerge?	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 LIKELIHOOD of the risk occurring?	(A) 5/5	What is the predicted IMPACT of the risk?	(B) 4/5	What is the total risk score? (A x B)	20/25
The GROSS risk is therefore: MIN/SIG/MAJ/FUN	Major Risk				

3 LINES OF DEFENCE	MITIGATIONS	MONITORING
<p style="text-align: center;">FRONT LINE (Management Assurance)</p> <p>Operational Delivery /Systems /Quality Assurance /Supervision</p>	<ul style="list-style-type: none"> Constructive formal and informal communication channels Regular meetings Staff awareness and contingency planning 	<ul style="list-style-type: none"> LJNC College Employers Scotland advice and updates Regular union/management dialogue
<p style="text-align: center;">OVERSIGHT OF MANAGEMENT ACTIVITY</p> <p>Internal Compliance and quality checks / Legal and Regulatory / Financial controls / Management controls / Project assurance</p>	<ul style="list-style-type: none"> LJNC (Local Joint Negotiation Committee) Representation at Employers Association NRPA (National Recognition and Procedures Agreement) Engagement/practice sharing with local agencies Attendance at Strategic HR Network 	<ul style="list-style-type: none"> ELT/SLT/Board Regular employee engagement monitoring Regular union/management dialogue
<p style="text-align: center;">INDEPENDENT ASSURANCE</p> <p>Internal Audit / external bodies</p>	<ul style="list-style-type: none"> College Employers Scotland 	<ul style="list-style-type: none"> SFC/Scottish Government FGP/BoM oversight

Numerical Scoring of NET Risk (i.e., with controls in place) (2 cont.)					
What is the predicted LIKELIHOOD of the risk occurring?	(A) 4/5	What is the predicted IMPACT of the risk?	(B) 3/5	What is the total risk score? (A x B)	12/25

Risk Status	Meeting 1 MIN	Meeting 2 SIG	Meeting 3 SIG	Meeting 4
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MEETING	AMENDMENTS TO RECORD
Q1	Net likelihood reduced to 4 (net of 5 suggests controls having no impact and are therefore not appropriate) - impact increased to 2. Gross and Net impact increased following 010922 meeting
Q2	Updated information to reflect the 3 lines of defence.
Q3	Addition to Management of Activity level mitigation - 'Attendance at Strategic HR Network'
Q4	

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

Strategic Objective: **Risk No: 8**

Reference to Departmental Risk Registers:	Organisational
Owner:	VP Learning Skills and Student Experience
Description of the Risk:	Failure to achieve highest academic performance levels
What are the possible consequences if the risk was to emerge?	Loss of reputation in the region, financial sustainability, ability to attract future students and educational partners Note – College performance has been a long term issue that predates COVID

Numerical Scoring of Gross Risk (i.e., without controls in place)					
What is the predicted LIKELIHOOD of the risk occurring?	(A) 4/5	What is the predicted IMPACT of the risk?	(B) 4/5	What is the total risk score? (A x B)	16/25
The GROSS risk is therefore: MIN/SIG/MAJ/FUN	Major Risk				

3 LINES OF DEFENCE	MITIGATIONS	MONITORING
FRONT LINE (Management Assurance) Operational Delivery /Systems /Quality Assurance /Supervision	<ul style="list-style-type: none"> Online reports with curriculum areas performance Action planning at curriculum area level Regular curriculum team meetings 	<ul style="list-style-type: none"> Managers and Directors monitor course PIs Self-evaluation reporting monitored by Performance
OVERSIGHT OF MANAGEMENT ACTIVITY Internal Compliance and quality checks / Legal and Regulatory / Financial controls / Management controls / Project assurance	<ul style="list-style-type: none"> College wide enhancement plan developed from self-evaluation Action planning from portfolio reviews 	<ul style="list-style-type: none"> College wide enhancement plan monitored annually Annual portfolio review to examine improvement actions Regular reportage on performance to SLT Reportage to L&T Committee on College wide self -evaluation and portfolio reviews
INDEPENDENT ASSURANCE Internal Audit / external bodies	<ul style="list-style-type: none"> Annual scrutiny by Education Scotland annually by HMI and STMs Self-evaluation reportage to Scottish Funding Council 	<ul style="list-style-type: none"> Reportage by Education Scotland presented to the BoM SFC Outcome Team monitor returns and provide feedback as required

Numerical Scoring of NET Risk (i.e., with controls in place) (2 cont)					
What is the predicted LIKELIHOOD of the risk occurring?	(A) 3/5	What is the predicted IMPACT of the risk?	(B) 4/5	What is the total risk score? (A x B)	12/25

Risk Status	Meeting 1 SIG	Meeting 2 SIG	Meeting 3 SIG	Meeting 4
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MEETING	AMENDMENTS TO RECORD
Q1	No Change
Q2	Risk updated to show the 3 lines of defence.
Q3	No Change
Q4	

No.	Risk and Risk Appetite	Avoid	Averse	Cautious	Moderate	Open	Hungry
8	Failure to achieve highest academic performance levels						

Strategic Objective: Risk No: 9

Reference to Departmental Risk Registers:	Organisational
Owner:	VP Learning Skills and Student Experience
Description of the Risk:	Failure to adhere to academic compliance arrangements, eg awarding bodies, Education Scotland
What are the possible consequences if the risk was to emerge:	Loss of reputation, financial loss, loss of ability to deliver and develop new courses, loss of ability to issue international visas and impact on student certification.

Numerical Scoring of Gross Risk (i.e. without controls in place)					
What is the predicted LIKELIHOOD of the risk occurring?	(A) 5/5	What is the predicted IMPACT of the risk?	(B) 3/5	What is the total risk score? (A x B)	15/25
The GROSS risk is therefore: MIN/SIG/MAJ/FUN	Significant risk				

3 LINES OF DEFENCE	MITIGATIONS	MONITORING
FRONT LINE (Management Assurance) Operational Delivery /Systems /Quality Assurance /Supervision	<ul style="list-style-type: none"> Assessor marks in line with national standards utilising awarding body resources. Action planning at curriculum area level Regular curriculum team meetings 	<ul style="list-style-type: none"> Internal verifier appointed for each unit and a cycle of verification is followed. Self-evaluation reporting monitored by Performance
OVERSIGHT OF MANAGEMENT ACTIVITY Internal Compliance and quality checks / Legal and Regulatory / Financial controls / Management controls / Project assurance	<ul style="list-style-type: none"> Management scrutiny of the cycle of verification and appointment of internal verifiers. Issues from internal verification are identified and action planned to ensure conformity with national standards. College wide enhancement plan developed from self-evaluation 	<ul style="list-style-type: none"> Scrutiny of internal verification reports by managers. SLT scrutiny of annual verification activity. College wide enhancement plan monitored annually Reportage to L&T Committee on College wide self -evaluation and portfolio reviews
INDEPENDENT ASSURANCE Internal Audit / external bodies	<ul style="list-style-type: none"> External verification by awarding body according to an annual cycle and risk Annual scrutiny by Education Scotland annually by HMI and STMs Self-evaluation reportage to Scottish Funding Council 	<ul style="list-style-type: none"> External verifier presents report of visit to curriculum and performance team. Performance directorate monitor external verification and report to SLT and the L&T Committee. Reportage by Education Scotland presented to the BoM SFC Outcome Team monitor returns and provide feedback as required

Numerical Scoring of NET Risk (i.e. with controls in place) (2 cont)					
What is the predicted LIKELIHOOD of the risk occurring?	(A) 4/5	What is the predicted IMPACT of the risk?	(B) 2/5	What is the total risk score? (A x B)	8/25

Risk Status	Meeting 1 MIN	Meeting 2 MIN	Meeting 3 MIN	Meeting 4
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MEETING	AMENDMENTS TO RECORD
Q1	No Change
Q2	Risk updated to show the 3 lines of defence.

Q3	No Change
Q4	

No.	Risk and Risk Appetite	Avoid	Averse	Cautious	Moderate	Open	Hungry
9	Failure to adhere to academic compliance arrangements						

Strategic Objective: Risk No: 10

Reference to Departmental Risk Registers:	Organisational
Owner:	VP Learning, Skills and Student Experience <i>(Inc Infrastructure/Marketing/ICT)</i>
Description of the Risk:	Failure to achieve an effective student experience
What are the possible consequences if the risk was to emerge?	Loss of reputation in the region, financial sustainability, ability to attract future students, ability to retain students and potential to limit student progression.

Numerical Scoring of Gross Risk (i.e., without controls in place)					
What is the predicted LIKELIHOOD of the risk occurring?	(A) 3/5	What is the predicted IMPACT of the risk?	(B) 4/5	What is the total risk score? (A x B)	12/25
The GROSS risk is therefore: MIN/SIG/MAJ/FUND	Significant Risk				

3 LINES OF DEFENCE	MITIGATIONS	MONITORING
FRONT LINE (Management Assurance) Operational Delivery /Systems /Quality Assurance /Supervision	<ul style="list-style-type: none"> • Clear arrangements for applications, onboarding and retention • Student block surveys and Student Satisfaction and Engagement Survey (SSES) • Student engagement prior to course start and on course • Continuous self- evaluation and action planning by support and teaching areas • Action planning at curriculum area level • Regular curriculum team meetings • Students' association officers' meetings with students • Student focus groups • Student class representatives input to course teams 	<ul style="list-style-type: none"> • Review of early student experience • Performance return survey and SSES results to CMs • Performance enhancement measure support areas to improve the student experience • Self-evaluation reporting monitored by Performance and Directors
OVERSIGHT OF MANAGEMENT ACTIVITY Internal Compliance and quality checks / Legal and Regulatory / Financial controls / Management controls / Project assurance	<ul style="list-style-type: none"> • College wide enhancement plan developed from self-evaluation • Action planning from portfolio reviews 	<ul style="list-style-type: none"> • Monitoring of College wide enhancement plan • Portfolio review to examine improvement actions • Regular reportage on performance and student satisfaction to SLT • Reportage to L&T Committee on College wide self -evaluation, enhancement plan and portfolio reviews
INDEPENDENT ASSURANCE Internal Audit / external bodies	<ul style="list-style-type: none"> • Annual scrutiny by Education Scotland annually by HMI and STMs • Self-evaluation reportage to Scottish Funding Council 	<ul style="list-style-type: none"> • Reportage by Education Scotland presented to the BoM • SFC Outcome Team monitor returns and provide feedback as required

Numerical Scoring of NET Risk (i.e., with controls in place) (2 cont)					
What is the predicted LIKELIHOOD of the risk occurring?	(A) 2/5	What is the predicted IMPACT of the risk?	(B) 4/5	What is the total risk score? (A x B)	8/25

Risk Status	Meeting 1 MIN	Meeting 2 MIN	Meeting 3 MIN	Meeting 4
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MEETING	AMENDMENTS TO RECORD
Q1	No Change
Q2	Risk updated to show the 3 lines of defence.
Q3	No Change
Q4	

No.	Risk and Risk Appetite	Avoid	Averse	Cautious	Moderate	Open	Hungry
10	Failure to achieve an effective student experience						

Strategic Objective: Risk No: 11

Reference to Departmental Risk Registers:	Organisational
Owner:	VP People and Transformation
Description of the Risk:	Failure to achieve and maintain systems and operable and secure ICT
What are the possible consequences if the risk was to emerge?	Serious impact to the college's ability to operate and deliver education to students, financial loss, loss of data and reputation

Numerical Scoring of Gross Risk (i.e., without controls in place)					
What is the predicted LIKELIHOOD of the risk occurring?	(A) 4/5	What is the predicted IMPACT of the risk?	(B) 5/5	What is the total risk score? (A x B)	20/25
The GROSS risk is therefore:(MIN/SIG/MAJ/FUN)	Major				

3 LINES OF DEFENCE	MITIGATIONS	MONITORING
<p style="text-align: center;">FRONT LINE (Management Assurance)</p> <p>Operational Delivery /Systems /Quality Assurance /Supervision</p>	<ul style="list-style-type: none"> Documented disaster recovery procedures Cyber Incident disaster recovery plan and training Staff CPD on business continuity areas including Cyber security Firewalls and antivirus software in place 	<ul style="list-style-type: none"> Cyber exercises Regular planned security monitoring. Desktop DRP exercises carried out and reviewed regularly. Network traffic regularly monitored.
<p style="text-align: center;">OVERSIGHT OF MANAGEMENT ACTIVITY</p> <p>Internal Compliance and quality checks / Legal and Regulatory / Financial controls / Management controls / Project assurance</p>	<ul style="list-style-type: none"> Regular internal review of security measures and action around areas of concern; Regular cyber/phishing exercises; 	<ul style="list-style-type: none"> Feedback via SLT/ELT on monitoring statistics; Regular Board reporting around cyber position;
<p style="text-align: center;">INDEPENDENT ASSURANCE</p> <p>Internal Audit / external bodies</p>	<ul style="list-style-type: none"> CISO (Chief Information Security Officer) service in place through HEFESTIS. 	<ul style="list-style-type: none"> Regular reporting and risk assessment. Audit Committee/BoM oversight

Numerical Scoring of NET Risk (i.e., with controls in place)					
What is the predicted LIKELIHOOD of the risk occurring?	(A) 3/5	What is the predicted IMPACT of the risk?	(B) 4/5	What is the total risk score? (A x B)	12/25

Risk Status	Meeting 1 SIG	Meeting 2 SIG	Meeting 3 SIG	Meeting 4
MEETING	AMENDMENTS			
Q1	No change to scoring – additional monitoring in place			
Q2	Risk updated to show the 3 lines of defence.			
Q3	Amended Front Line mitigation ‘Cyber Incident disaster recovery plan and training’			
Q4				

No.	Risk and Risk Appetite	Avoid	Averse	Cautious	Moderate	Open	Hungry
11	Failure to achieve and maintain systems and operable and secure ICT						

Strategic Objective: Risk No: 12 Health & Safety Compliance

Reference to Departmental Risk Registers:	Organisational
Owner:	VP Finance, Strategy and Sustainability
Description of the Risk:	Failure to meet regulatory health & safety obligations
What are the possible consequences if the risk was to emerge?	Loss of reputation, financial penalties, criminal liability (corporate and individual)

Numerical Scoring of Gross Risk (i.e., without controls in place)					
What is the predicted LIKELIHOOD of the risk occurring?	(A) 4/5	What is the predicted IMPACT of the risk?	(B) 5/5	What is the total risk score? (A x B)	20/25
The GROSS risk is therefore: (MIN/SIG/MAJ/FUN)	Major Risk				

3 LINES OF DEFENCE	MITIGATIONS	MONITORING
FRONT LINE (Management Assurance) Operational Delivery /Systems /Quality Assurance /Supervision	<ul style="list-style-type: none"> Reporting and review procedure including “near miss” Health and Safety IOSH training for staff Regular communication on responsibilities Specific communication at time of increased risk e.g.Covid, building works, adverse weather 	<ul style="list-style-type: none"> Regular, formal Health & Safety Committee
OVERSIGHT OF MANAGEMENT ACTIVITY Internal Compliance and quality checks / Legal and Regulatory / Financial controls / Management controls / Project assurance	<ul style="list-style-type: none"> Clear channels of communication regarding issues and preventative actions 	<ul style="list-style-type: none"> Regular, formal Health & Safety Committee Reporting to Audit Committee / BoM
INDEPENDENT ASSURANCE Internal Audit / external bodies		<ul style="list-style-type: none"> Internal Audit Public Health Environmental Health

Numerical Scoring of NET Risk (i.e., with controls in place) (2 cont)					
What is the predicted LIKELIHOOD of the risk occurring?	(A) 3/5	What is the predicted IMPACT of the risk?	(B) 4/5	What is the total risk score? (A x B)	12/25

Risk Status	Meeting 1 SIG	Meeting 2 SIG	Meeting 3 SIG	Meeting 4
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MEETING	AMENDMENTS TO RECORD
Q1	New Risk
Q2	Risk updated to show the 3 lines of defence.
Q3	<ul style="list-style-type: none"> Addition to Management Activity mitigation - Clear channels of communication regarding issues and preventative actions Addition to Independent Assurance monitoring - ‘Public Health’ and ‘Environmental Health’
Q4	

No.	Risk and Risk Appetite	Avoid	Averse	Cautious	Moderate	Open	Hungry
12	Health & Safety compliance						

MEETING	BOARD OF MANAGEMENT COMMITTEE
Agenda Item:	6
Paper No:	6.1

Date	28 March 2023
Location	Stranraer Campus
Title of Paper	Anti-Fraud and Corruption Policy
Presented By	Karen Hunter
Recommendation	Approval
Appendix Attached	Yes
Disclosable Under FOISA	NO

Read Time: 6 minutes

1. Recommendation

- 1.1 The paper has been presented to Audit Committee who recommend the Board of Management **approve** the revisions to the policy.

2. Executive Summary

- 2.1 The Anti-fraud and Corruption Policy has been reviewed and references updated in line with the College Document Control Procedure and is now attached for Board of Management Committee review and approval.

3. Context

- 3.1 A copy of the updated Anti-fraud and Corruption Policy is attached.

4. Strategic Implications

- 4.1 This paper links to strategic priority 4, Growth and Financial Sustainability

5. Risk

Risk	Mitigations
Risk 4 – Financial Fraud	<ul style="list-style-type: none"> ➤ No PO/No Pay Policy ➤ Scheme of Financial Delegation ➤ Segregation of duties and review of transactions

6. Implications

Financial	Yes	The Policy sets out the College's position in the prevention of and response to fraud and corruption.
Legal	Yes	The College requires to comply with legislation including the Code of Good Governance for Scotland's Colleges, the UK Corporate Governance Code 2018 and Bribery Act 2010.
Learning and Teaching	No	None identified
Equalities	NO	None identified

Karen Hunter

Director of Finance

March 2023



**Dumfries and
Galloway College**

One step ahead

ANTI-FRAUD AND CORRUPTION POLICY

Responsibility: Director of Finance and Planning

Issue Date:

Equality Impact Assessment:

Version: 2

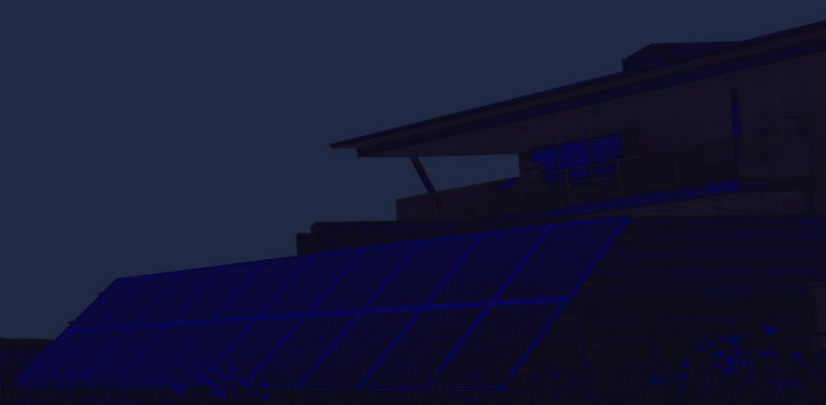


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1. Anti-Fraud and Corruption Policy

1. Purpose

- 1.1 One of the essential functions of public sector organisations is to ensure the proper use of public funds. This policy sets out the College's position in the prevention of and response to fraud and corruption.
- 1.2 In developing this policy, the College has taken account of existing external guidance and legislation, including the **Code of Good Governance for Scotland's Colleges**, the **UK Corporate Governance Code 2018** and **Bribery Act 2010**.
- 1.3 The College will treat any instances of fraud or corruption by its employees, board members, or contractors as serious breaches of discipline and as potentially criminal acts. Bribery of or by any College employee, board member or contractor for either personal or organisational gain will be similarly treated.
- 1.4 The College will co-operate fully with any criminal investigations carried out in response to instances of fraud, corruption, or bribery.

2. Scope

The policy applies to all activities undertaken on behalf of the College by members of staff, members of the Board of Management and its subsidiaries.

3. References

- *Code of Conduct Policy*
- *Public Interest Disclosure (Whistleblowing) Policy*

- *Disciplinary Procedure (Staff)*
- *Asset Management Procedure*
- *Scottish Public Finance Manual*
- *SFC Financial Memorandum*

4. Key Principles

- 4.1 The results of fraud and/or corruption can be costly, time-consuming, disruptive and unpleasant. The College, therefore, sees that the overriding principle to be applied is that of prevention. Where this fails, however, then reporting, investigation and, where necessary, sanctions, will be pursued rigorously and swiftly.
- 4.2 The College adheres to the Bribery Act 2010 which covers, amongst other things, the offences of bribing another person, of allowing to be bribed and organisational responsibility. Such offences include:
- The offer, promise, or giving of financial or other advantage to another person in return for the person improperly performing a relevant function or activity.
 - Requesting, agreeing to receive, or accepting a financial or other advantage intending that, in consequence a relevant function or activity should be performed improperly.
- 4.3 Preventative measures are identified under five broad headings: -

4.3.1 Policies and Procedures

The College shall develop new policies and procedures so as to reduce, as far as possible, the risks from fraud or corruption. The current policies to be maintained include: -

- Risk Management
- Financial Regulations
- Procurement
- Scottish Public Finance Manual
- Scheme of Delegation
- Financial Memorandum

4.3.2 Systems

The College will maintain in place systems which incorporate internal controls, including adequate segregation of duties to ensure that, as far as possible, fraud and corruption can be prevented.

4.3.3 Internal Audit

The College will ensure that it agrees a programme of internal audit assignments to support the systems and procedures already in place and to assist in the reduction of the likelihood of fraud.

4.3.4 Culture

The College will maintain a culture of openness, honesty and accountability. This will be supported by the following policies and procedures:

- 👉 *Code of Conduct Policy*
- 👉 *Public Interest Disclosure (Whistleblowing) Policy*
- 👉 *Disciplinary Procedure (Staff)*

4.3.5 Staff Recruitment, Induction and Training

The College will ensure references are taken up for all permanent and temporary staff. As part of induction, staff will be made aware of all policies and procedures pertinent to their post, including those concerning governance.

4.4 The principles to be observed for the reporting and investigation of fraud and corruption are as follows: -

4.4.1 Concerns should be reported in accordance with the College's Public Interest Disclosure (Whistleblowing) Policy. A detailed investigation of any concerns will be undertaken.

4.4.2 The College will deal with any instances of fraud or corruption swiftly, taking disciplinary action as necessary and informing the police if appropriate in accordance with the Disciplinary Procedure (Staff).

4.4.3 In the event that fraud is suspected on the part of contractors, agency

workers or by staff involved in agency or contract work on behalf of other bodies, procedures and responsibilities for reporting and investigation are the same as for staff. The College will also inform and involve employing contractors or agencies when appropriate.

5 *Responsibilities*

- 5.1 The Board of Management is responsible for ensuring the effectiveness of internal control of the College, based on information provided by the Executive Management Team.
- 5.2 The Audit Committee is responsible for agreeing this policy and monitoring its implementation and effectiveness.
- 5.3 The Executive Management Team is responsible for developing appropriate systems of internal control to reduce the likelihood and impact of fraud or corruption.
- 5.4 Operational managers are responsible for the application of internal controls to mitigate risks within their specified areas of responsibility.
- 5.5 All staff members are responsible for adhering to the systems of internal control which are relevant to their role.

6 *Review*

- 6.1 This policy will be reviewed every 3 years or whenever Corporate Governance changes affect any part of it.

7 *Distribution*

All Staff

Repository

Revision Log		
Date	Section	Description
December 2021	6- Distribution	Quality Manual Changed to repository

February 2023	5 - Responsibilities	Responsibilities updated to refer to relevant Committees and Management groups
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THIS FORM TO BE UPDATED WHENEVER THERE IS A CHANGE IN ANY SYSTEM DOCUMENT				
Document Name	Document Owner	Revision Number	Date of Issue	Date of Withdraw

MEETING	BOARD OF MANAGEMENT COMMITTEE
Agenda Item:	7
Paper No:	7.1

Date	28 March 2023
Location	Stranraer Campus
Title of Paper	Chair's Report
Presented By	Caroline Stuart
Recommendation	Discussion
Appendix Attached	YES
Disclosable Under FOISA	YES

Read Time: 2 minutes

1. Recommendation

- 1.1 The Board of Management are asked to **discuss** the contents of the paper and **approve** the Development Plan for 22-23.

2. Executive Summary

- 2.1 The purpose of this report is to update the Board on the activities of the Chair during the period since the last Board meeting on 12 December 2022. This report covers activity during January to March 2023. The Board are invited to **discuss** the contents.

3. Context

3.1 Activities Jan-March 23

3.2 Governance Review – Board Development Plan

- 3.2.1 Based on the work of the Board survey and your feedback, the Board Development Committee met in January. The minutes are attached in the pack and the Board development plan is attached to this paper for approval.

3.3 Strategic planning

3.3.1 We have an all-day strategic planning day set for 15th May, details of which will be sent out in due course.

3.4 Stakeholder Engagements Jan/Mar 2023

3.4.1 Below are some of the key stakeholder engagements which I have undertaken in my capacity as Chair of Dumfries and Galloway College:

- Joanna Campbell – Strategic plan, financial reporting and action plan
- UWS dinner with the new Principle, Marcos Ross and Joanna Campbell
- Convention of the South of Scotland
- Colleges Scotland – Board
- Colleges Scotland – Chairs meeting
- Colleges Scotland – Think the Unthinkable
- CDN Digital learning group
- CDN – Governance survey
- SFC
- Angela Cox and Fiona McQueen – Ayrshire College with Joanna Campbell
- Ray McGowan – Chair Borders College

4. **UWS**

4.1 Following on from our meeting with James Miller and Marcus Ross a paper is included for discussion.

6. **Strategic Implications**

6.1 All priorities within Ambition 2025

7. **Risk**

Risk	Mitigation
	N/A

8. **Implications**

Financial	Yes	The projected budget is indicating a flat cash settlement for the coming year.
Legal	No	
Learning and Teaching	No	
Equalities	No	

Caroline Stuart

Chair of the Board Of Management

March 2023

9. Draft Development Plan 2022-23

Board Development Plan 2022-23			
Code of Good Governance Criteria	Board Aims	Developments and Actions	Timescale
1. Leadership & Strategy	1.1 Strategy – keep strategy under review as events change. KPIs should align with strategic aims and have a clear link between Board and Committee activity and the strategic plan.	1.1 <ul style="list-style-type: none"> ➤ Ambition 2025 reviewed in October 2022 and strategic priorities updated. ➤ Board will continue to monitor KPIs and strategic developments. ➤ Strategy Event in May to further discuss financial stability and sustainability. 	Ongoing
	1.2 Keep Stakeholders updated to improve knowledge of Regional College Business.	1.2 <ul style="list-style-type: none"> ➤ There is regular communication and meetings by the Principal and Chair direct with stakeholders, ie. MSPs, MPs, SoSe, D&G Council, SFC, Crichton Trust, which are noted in reports to the Board and others as required. ➤ The Principal is a Trustee for JISC and a member of Artificial Intelligence Leadership Circle. The Chair is a member of SFC and SPA. Both incorporate key messages in regular Board Reports. ➤ Principal produces monthly briefings for all staff, and regularly hosts listening lunches, staff meetings and Managers meetings to share information. A monthly Business Newsletter is also being produced. ➤ Briefings and Newsletter to be shared with Board Members. ➤ The Chair to the Board has monthly meetings with SIM and Vice Chair. 	May 23 Monthly
	1.3 Develop/Maintain links with other Stakeholders.	1.3 <ul style="list-style-type: none"> ➤ Guest speakers to be invited to attend BoM and strategy days. 	Ongoing

Board Development Plan 2022-23

Code of Good Governance Criteria	Board Aims	Developments and Actions	Timescale
		<ul style="list-style-type: none"> ➤ Increased collaboration across the South of Scotland – Chair of the Board to follow up 	
2. Student Experience	2.1 Ensure effective use of student members of the Board.	2.1 <ul style="list-style-type: none"> ➤ Encourage reporting from SA on the effectiveness of the college to improve student voice. ➤ Student Association Constitution was reviewed and approved in 2022. ➤ Continued consideration of student satisfaction surveys. ➤ Continued monitored of PIs in respect of retention. ➤ New student members to meet with the Board Chair and Board Secretary to undertake induction training and training opportunities are taken up. ➤ Board to have more, links with staff and students – involve both in strategy days – staff and students attended the induction part and strategy days and board members enjoyed a walkaround meeting staff and students in the process. ➤ Consider regular presentations from staff/staff reps at L&T meetings – to follow up with LT Chair and D Dickson. 	August 2023 Ongoing Annually
3. Accountability	3.1 Board Meetings <ul style="list-style-type: none"> ➤ Review board agendas to make best use of time by ensuring papers for decision or substantive discussion come first and papers for noting are not discussed. 	3.1 <ul style="list-style-type: none"> ➤ All Terms of References were reviewed in April 2022 as part of the annual Evaluation process. Business Schedules for each committee have been created in line with strategic aims and legislative requirements to improve the effectiveness of meetings. This will continue to be monitored and reviewed. ➤ Papers for noting are not discussed unless a specific question arises. 	May 2023/24

Board Development Plan 2022-23

Code of Good Governance Criteria	Board Aims	Developments and Actions	Timescale
	3.2 Risks – The board must regularly review the risks to the College to ensure sustainability and incorporate/delete from the risk Register.	3.2 <ul style="list-style-type: none"> ➤ Further consideration has been given to the risk strategy and the 3 Lines of Defence have been added to each risk on the Risk Register showing mitigations and monitoring. Audit Committee continues to conduct deep-dives into individual risks. ➤ Individual Chairs to discuss their risks and consider for recommendation to Audit that these are now closed and can be removed from the Risk Register. ➤ All Board paper cover sheets have been updated to include strategic implications and risks. 	Agreed BOM Aug 22
4. Board Effectiveness	4.1 Board Skills, Diversity and Succession Planning <ul style="list-style-type: none"> ➤ The Board Development Committee will review, on a regular on-going basis, the skills and diversity of the Board. 4.2 Board member Development	4.1 <ul style="list-style-type: none"> ➤ The Chair will undertake 1-1 development and review sessions with board members in May as part of the self-evaluation process. This will highlight individual development requirements. Attention will be made to changes of terms of appointment and tenure. Halfway review carried out in done in Nov and full year by May 2023. 4.2 <ul style="list-style-type: none"> ➤ Members to consider 'Chair-shadowing' to ensure succession and development as discussed at the Bd Dev Committee in January 2023. ➤ Claire McLean is now E&D champion for the board and she will attend the E&D Forum meetings which are held quarterly. ➤ The Chair of FGP Committee will meet with new board members to discuss the finance model and position of the college. 	To be reviewed May 23 May 2023 Quarterly Arrange for Mar/Apr 23 Ongoing

Board Development Plan 2022-23

Code of Good Governance Criteria	Board Aims	Developments and Actions	Timescale
	<p>4.3 Continued work towards better financial reporting and reporting of business intelligence data, PIs and trends necessary for decision making.</p> <p>4.4 Board Self evaluation</p>	<ul style="list-style-type: none"> ➤ All Chairs will encourage committee members to participate and have their say in discussions and decision making. ➤ A skills audit refresh will take place for non-executives as part of the upcoming self-evaluation process. ➤ A skills review will be discussed at the Bd Dev Comm in June 2023 with consideration to be given to recruit a member with financial expertise. ➤ Consideration to be given to bringing on TU Observers onto the board before full implementation in August 2023. ➤ HR sub committee to be considered and held 1 hour before FGP to ensure a thorough coverage of People element. <p>4.3 The Board continue to work to refine reporting. Data driven information is necessary for informed decisions and systems need to be in place to provide the correct and timely information.</p> <p>4.4 Board self-evaluation is conducted annually. The overall feedback from the recent review has been positive in all areas. Comments and actions have been reported to the BoM in Mar 23.</p>	<p>May 23</p> <p>Jun 23</p> <p>BoM Mar 23</p> <p>Ongoing</p> <p>Annually</p>
5. Individual Effectiveness	5.1 Board training	5.1	Ongoing

Board Development Plan 2022-23

Code of Good Governance Criteria	Board Aims	Developments and Actions	Timescale
	<ul style="list-style-type: none"> ➤ CDN mandatory Induction Training <p>5.2 Board member induction</p> <ul style="list-style-type: none"> ➤ New members underwent an induction session as part of the Strategy Event in August 	<ul style="list-style-type: none"> ➤ New online events announced by CDN have been communicated to Board members and new opportunities will be communicated as they arise. ➤ A list of completed courses/events/workshops undertaken by the Chair, board members and board secretary are highlighted in the Self Evaluation Report for 2021-22 and reported to the BoM Mar 23. ➤ All Board members have completed their CDN Induction Training. ➤ CDN Remuneration Training – 2 members are yet to complete. ➤ College mandatory training by board members– GDPR, Cyber Resilience, Safeguarding and E&D Links to these training events will be distributed by the board secretary on a rolling basis. Reminders to be sent to members who have not completed the GDPR training. <p>5.2</p> <p>Feedback from new members in respect of their induction session has been positive. A presentation from ELT was provided and they had the opportunity to take a guided walk around the college and meet staff and students. Face to face inductions will continue.</p>	<p>March 2023</p> <p>June 23</p>
6. Relationships & Collaboration	<p>6.1 Increase collaboration and partnership working across south of Scotland.</p> <p>6.2 Ensure board members are invited to external events.</p>	<p>6.1</p> <ul style="list-style-type: none"> ➤ Contacts have been made with UWS, UoG to discuss partnership working. ➤ The UWS has now relocated to the College on Dumfries. <p>6.2</p> <p>Board members are invited to a variety of events including Award Ceremonies, graduation ceremonies, Ministerial visits and these have been well attended.</p>	<p>Ongoing</p>

Board Development Plan 2022-23

Code of Good Governance Criteria	Board Aims	Developments and Actions	Timescale
	6.3 Encourage stakeholders to attend board meetings and strategy event.	6.3 <ul style="list-style-type: none"> ➤ The Wheatley Group have been invited to attend the Board meeting in March 23. ➤ External stakeholders are invited to participate in board Strategy days. 	

MEETING	BOARD OF MANAGEMENT
Agenda Item:	10
Paper No:	10.1

Date	28 March 2023
Location	Stranraer Campus
Title of Paper	Student Association Report
Presented By	Danielle Hughes
Recommendation	Discussion
Appendix Attached	No
Disclosable Under FOISA	Yes

Read Time: 3 minutes

1. Recommendation

- 1.1 The Board of Management are asked to discuss the contents of this paper.

2 Executive Summary

- 2.1 75% of class reps have indicated they would prefer to learn fully on campus.
- 2.2 Student Association elections open for 23/24 team.
- 2.3 New Student wellbeing online platform launched.

3. Context

- 3.1 [Class Rep Meeting Feedback](#)
- 3.2 For our Block 2 Class Rep meetings, we focussed on the points which had been raised in previous meetings and discussions to gain more feedback.

3.3 The main element of this was around hybrid/online learning. We asked students to anonymously rate their personal preference in terms of how they learn. They were given the following options:

- Fully on Campus.
- Hybrid – where the classes would be delivered in person and students have the flexibility to decide how they attend.
- Blended – set days on campus & set days online.
- Fully online.

3.4 The outcome of this is shown below:

	1 st Preference	2 nd Preference	3 rd Preference	4 th Preference
Fully on campus	75%	0%	25%	0%
Hybrid	25%	50%	25%	0%
Blended	0%	25%	50%	25%
Fully online	0%	25%	0%	75%

3.5 Although the feedback was anonymous, we were able to determine through follow up discussion, that many of those who chose the option for fully on campus, did so due to the practical elements involved in their subject area. Those who did not have practical elements, suggested that the hybrid approach would support them well.

3.6 Whilst the students involved were aware that changes to the structure of this year's course may not be possible, they have voiced that they would like to see adaptations considered for the future.

3.7 Students were also asked to sum up their overall college experience in one word, this provided all positive responses with the most common being 'Enjoyable' and 'Fun'.

3.8 Additional feedback students looking for more variety and budget options in the canteen spaces. This feedback has been discussed with Billy Currie and taken forward in tender discussions for the canteen.

3.9 The students also felt strongly about the sense of security within the college. Opinions were split in relation to the presence of a security officer; however, they were keen to establish an element of identity through a lanyard or physical ID card being visible as they are aware of non-students being on campus.

4 Student Association Recruitment

- 4.1 Recruitment for academic year 23/24 Student Association Officers will open this month looking for a President and 2 Vice Presidents. This is selected through a democratic system of nominations and campaigning followed by a student election.
- 4.2 Once these have concluded, the committee will be advised of the successful candidates in preparation for them taking the roles on in August. The current team's roles will conclude in June.

5 External Awards

- 5.1 Bridge 2 Business Awards categories have launched. The Student Association are working with our B2B Programme Executive, Ailsa Paton, to submit four nominations:
- College Enterprise Champion – Hannah Mason-Beattie, Lecturer, for her work with Ailsa encouraging enterprise in her Level 5 Beauty & Make Up Artistry course.
 - Enterprising Student of the Year – Engineering Student, for her work on the B2B #FemaleBoss project and development since starting to work with Ailsa.
 - Social Enterprise Award – Student Association for work with the food bank and cost of living support for students.
 - Enterprising College of the Year – D&G College with a combination of the points above.
- 5.2 If we are fortunate to be selected for the shortlist of these awards, communications will be shared.

6 Above & Beyond Awards

- 6.1 We are now planning our 3rd annual Above & Beyond Awards event. This is an opportunity for students and staff to be nominated for and win awards as recognition for any work they have carried out over the academic year.
- 6.2 The event will take place on Wednesday 14th June 2023 with a BBQ and other activities alongside the award giving, and will be open to all students, staff & board members to attend. Nominations will open in April and all categories will be shared at this time, along with a free ticket registration system to monitor numbers for the BBQ.

7 Spectrum.Life

- 7.1 On February 1st we launched our new student wellbeing platform Spectrum.Life. This is a project which has been worked on alongside the student support teams and replaces the previous Togetherall platform.
- 7.2 Spectrum.Life's main benefit is the 24/7 support feature which will allow students to access a telephone helpline service 24/7 which can be initiated through phone call, live chat or WhatsApp message. It also includes a variety of fitness plans, recipes, podcasts and short wellbeing courses.
- 7.3 A video tour was created of the platform which can be found [HERE](#) and personal tutors were offered the opportunity for the Student Association to attend their class to show students the platform – this offer was taken up by four classes.
- 7.4 We have currently had 55 students register on the platform and are continuing to promote the benefits of this to students regularly.

8 Strategic Implications

- 8.1 This paper links to all strategic priorities in the Student Experience Strategy

9. Risk

Risk	Mitigations
Risk 10 – Failure to achieve an effective student experience	<ul style="list-style-type: none"> ➤ Student Association officers to have meetings with students. ➤ Student focus groups. ➤ Student class representatives input to course teams. ➤ Continuous self- evaluation and action planning by support and teaching areas.

10. Implications

Financial	No	
Legal	No	
Learning and Teaching	No	
Equalities	Yes	The projects worked on by the Student Association raise awareness of equality & diversity issues and allows these students to feel recognised and accepted.

Danielle Hughes

President Student Association

14 March 2023

MEETING	BOARD OF MANAGEMENT COMMITTEE
Agenda Item:	11
Paper No:	11.1

Date	28 March 2023
Location	Stranraer Campus
Title of Paper	Board Self Evaluation Report
Presented By	Lorraine Grierson
Recommendation	Discussion
Appendix Attached	YES
Disclosable Under FOISA	YES

Read Time: 4 Minutes

1. Recommendation

- 1.1 The Board of Management are asked to **discuss** the contents of this paper and note that findings from the self-evaluation surveys have informed the draft Development Plan 2022-23.

2. Executive Summary

- 2.1 The Board of Management is required under the Code of Good Governance for Scotland's Colleges (section D.23) to self-evaluate annually its performance and effectiveness against its overall duties and responsibilities. Compliance with the Code is a condition of grant awarded by SFC. The implementation of robust self-evaluation processes will ensure that governance arrangements are compliant with the Code of Good Governance
- 2.2 The report highlights the key findings from the evaluation process, which is attached.

3. Context

- 3.1 In October, the Committees were issued with a self-evaluation questionnaire to complete. The Board were also issued with a questionnaire which covers 10 sections. Responses to the questionnaire showed that members were broadly content with the governance arrangements and full results have been sent out separately to Board Members.
- 3.3 The content of the Report was discussed at the Board Development Committee meeting on 30 January 2023 to consider feedback and discuss further actions required, which are contained in the Board Development Plan.
- 3.4 The Evaluation process began in October 2022 and consisted of:
- Committee Self-Evaluation Questionnaire and review of Terms of Reference and business schedule.
 - Board of Management Self-Evaluation Questionnaire.
 - 1-1 Interim meetings with the Chair and individual members of the Board.
 - 1-1 Meeting with Senior Independent Member and the Chair, feedback of which will be relayed to the Board.
- 1.4 Due to the review of the agenda cycle and terms of reference, the Annual Self Evaluation process will now be conducted in May of each year, therefore full 1-1 reviews will take place in May 2023 and development actions will be added to the action plan.
- 1.5 The Board of Management Questionnaire was composed of 10 Sections where members were asked to grade their response from 1 'needs review' to 5 'excellent'.
- 1.5.1 The average responses are very positive, leaning more towards the higher end of the scale – the sectional average is outlined below.

1.5.2 Section 1 reflected a lower grading where there was concern around the length of the agendas and timing of papers being uploaded, however there has been a concerted effort to improve on this with a positive effect.

- Section 1 - Meetings – Preparation and Conduct of Meetings: Average Score – 31 out of 50
- Section 2 - The Conduct of Business: Average Score – 21 out of 25
- Section 3 - The Content and Quality of Papers Provided For Meetings: Average Score – 8 out of 10
- Section 4 – Membership: Average Score – 12 out of 15
- Section 5 - Stakeholder Information: Average Score – 11 out of 15
- Section 6 - The Operation of The Board’s Committees: Average Score - 18 out of 25
- Section 7 - Board of Management And Members Support: Average Score – 17 out of 20
- Section 8 - Performance Of The Board Chair: Average Score – 22 out of 25
- Section 9 – Governance: Average Score – 8 out of 10
- Section 10 – Qualitative responses are attached in the full report.

4. Strategic Implications

Ensuring that the College has effective governance arrangements in place enables the college to deliver Ambition 2025 and the annual Regional Outcome Agreement.

5. Risk

Risk	Mitigations
	There are no direct risks linked to the paper, however improving governance arrangements and effective forward planning will mitigate any risk of governance failure.

6. Implications

Financial	No	
Legal	Yes	Compliance with the Code of Good Governance is an SFC condition of grant.
Learning and Teaching	No	
Equalities	No	

Lorraine Grierson
Secretary to the Board
14 March 2023



**Dumfries and
Galloway College**

One step ahead

DGC

BOARD EVALUATION

Academic Year
Aug 2021 – July 2022

Date: January 2023

The background of the page is a dark, blue-tinted photograph. In the foreground, there are several solar panels mounted on a structure. In the background, a building with a flat roof is visible. The overall scene is dimly lit, suggesting a dusk or dawn setting.

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Board Self-Evaluation

Academic Year Aug 2021 – Jul 2022

1 *Attendance*

Throughout 2021-2022 the Board of Management meetings were held face to face, with the option of attending virtually via Teams.

All Committees are conducted virtually through Teams and will continue to do so.

- All meetings have been quorate during this session, however, 1 Remuneration meeting was rescheduled to ensure a quorum.
- An extraordinary FGP Committee meeting was held in May 2022 to discuss financial sustainability – commercial and marketing review and UWS partnership proposal.
- An extraordinary Board of Management meeting was held in May 2022 to discuss financial sustainability – commercial and marketing review and UWS partnership proposal
- An extraordinary Audit Committee meeting was scheduled in June 2022 to introduce and handover to the new Chair of Audit Committee, and discuss the role of internal audit and the audit plan for 2022-23.

The Chair of the Board and Principal, in addition to their membership of committees, attended committees to which they have a right of attendance and all meetings were supported by members of the Executive Leadership Team.

A Board Development day was held virtually on 31 August 2021 which was well attended by members and Executive Leadership Team.

Board of Management	5 meetings	91%	All quorate
Audit Committee	5 meetings	85%	All quorate
FGP Committee	5 meetings	82%	All quorate
LT Committee	4 meetings	82%	All quorate
Remuneration Committee	3 meetings	89%	All quorate

2 *Committee Membership*

Board member recruitment took place in March 2022 and 3 candidates were appointed for their expertise and skills in HR, commercial, finance and economic development. 1 co-opted member was also appointed to Audit and Learning and Teaching Committees.

A refresh of committee membership was carried out to ensure adequate numbers and expertise were attributed to them.

Sue Irving was appointed as Vice Chair to the Board of Management in June 2022 for a 1 year period.

Committee	2021-22	2022-23
AUDIT	6	5 + co-optee
FGP	5	9
LT	8	9 + co-optee
REM COM	6	8
BD DEV COMM	5	7

3 *Gender Balance Of Board*

2021-22		2022-23	
15 members (1 co-optee)		16 members (1 co-optee)	
7 male = 47%	8 female = 53%	5 male = 31%	11 female = 69%

4 *Board Training/Events Aug 21- Jul 22*

4.1 Below is a list of the various training and events attended by Board Members and Board Secretary during the academic year:

CDN Induction

CDN Audit Training

CDN Remuneration

CDN College Sector Policy and funding

CDN All you need to know about college funding

CDN Learners and Learning at the Centre

College Climate Change conference

CDN The Economic Challenge Facing the Public Sector

CDN College Expo

CDN The Art of Strategic Questioning

CDN Understanding PREVENT Responsibilities

CIPFA Intro to Know and Skills of Audit Comm

CIPFA Diploma in Governance

CDN Strategic Leadership

Cyber Security, Colleges Scotland and Jisc

CDN Whistleblowing

CDN Leadership and Governance Summit

College Mandatory DP/ E&D, Safeguarding

Highfield Audit and Inspection

Board Development Day Aug 21

5 *College Mandatory Training*

5.1 Data Protection, Equality and Diversity, Safeguarding are mandatory for all Board Members however uptake has been minimal with only 3 board members completing these within the period.

6 *CDN Mandatory Training*

6.1 All board members have completed their CDN Induction training.

6.2 All relevant board members have completed the CDN Audit training.

6.3 All relevant board members have been asked to complete the Remuneration Training however 2 members are still to complete.

7 Common Themes From Feedback

Below is a reflection of common themes arising from the self evaluation process and actions to be included in development/action plan.

7.1 Timeliness Of Papers

- Once uploaded to AC, updates or edits should be highlighted
- Reduction of late papers – much effort has been put into this process which has shown a significant improvement.

7.2 Members/Attendance

- Contribution to meetings – very good, however quieter members should be given the opportunity to speak, Student reps – possible mentoring/coaching for them to encourage participation.
- Membership – will be reviewed annually – at June 2023 meeting.
- Often more ELT than board members present.
- Broad range of skills/knowledge of board members.
- Operational vs Strategic input – Standards Commission Guidance to be disseminated to board members.

7.3 Reports

- Student Association – feedback to the board on college effectiveness and not just what the reps have been doing.
- Length of agenda – time should be available to discuss important issues and risks, but not always possible due to length of agenda.
- Terms of Reference – include evidence in each agenda as to which parts of the terms of reference have been addressed.
- Reporting – ensure adequate information provided/concise.
- Papers should be standardised with executive summary/recommendations on front cover – new templates are currently being drafted.
- Focus on key risks and opportunities.

- Principal's report more all-encompassing, need to be clear about key points.

7.4 *Priorities*

- More strategic discussion and clear decision making, more financial deep dives at board.
- Commercial income/growth.
- Focus on PIs – student attainment and progression.
- Future planning to remain sustainable and be a key player in the region, how do we achieve this?
- Stakeholder engagement important – invite guest speakers to the board.

7.5 *Training*

- CDN and college mandatory training – Members to complete annual mandatory training.
- Induction has improved, and developing well. Recruitment has strengthened mix of skills and experience on the board.
- Compliance with Law and Regulations – what more can we do to ensure this?

8 *Feedback From Individual Board Members*

Correspondence with Board members - All info has to be in email – no referring back to portal to check – no time.	Board Secretary will endeavour to include all information in emails.
Operational v strategic – check with all if we should be discussing this	Standards Commission – Advice Note Operational vs Strategic to be circulated to members (<i>Appendix 1</i>)
Desire for more face-to-face to build relationships – important given upcoming challenging times	Confirmed all Boards will be face-to-face and committees remain online
Board working well – good skills mix, open, constructive challenge, more face to face will build trust and ability to challenge	
Chair with both V Chair and SIM to have 1:1 chat every month	These have now been diaried for last Friday of month.
Board links	On 1:1s where advice needed as and when.
Next Board Meeting and beyond	
Now have business /action plan for the year – report using this as template to update on all actions.	Action plan progressing well.
Commercial activity. Higher up the agenda given its importance	Business Development Director to bring commercial paper to March Board for deeper scrutiny.

<p>All Papers – Summary front cover for all papers to include what? Why? how much? Legal or EQUIRA implications etc plus clear asks of the Board.</p> <p>Noting items at the end – all grouped together with only 15 mins to discuss</p>	<p>New template being progressed.</p> <p>Actioned from Sept board meeting and will continue.</p>
<p>College & SMT</p>	
<p>Future – good to have in year plan – now need the 2–3-year vision of where are we going, what do we need to do to achieve– College to be at heart of everything in Dumfries and move up to being a strategic skills partner – e.g. with SOSE and Council</p>	
<p>Focus on progression rates and faculties – L&T committee – drop out a concern.</p>	<p>This will be updated to each LT meeting and Board through performance report.</p>
<p>Future models</p>	
<p>Board working well – good skills mix, open, constructive challenge, more face to face will build trust and ability to challenge</p>	
<p>....</p>	
<p>....</p>	
<p>Student Association</p>	
<p>Enjoying flexibility of online versus offline – want to be able to choose, want recorded lectures etc so can catch up if have other responsibilities like job/care/children</p>	

Pods in the learning zone – more of them – so that students could watch lectures, meet up socially when on campus	
Business Intelligence reporting – outstanding action from Governance review	
L&T Chair feedback re BI reporting – no data previously collated – so there was an information black hole	This is now being collated but will take another year before comparisons etc can be drawn. DD working hard on this already and has in hand.
F&GP Chair – talking to JC (SU and JG) about reporting and progress.	
Commercial – Better reporting required	
Audit – reports are considered in meeting from auditors. Reporting needs further thought as to what if anything is required.	

9 All Committee Evaluation Responses

(Full responses at Appendix 2)

MEETING	BOARD OF MANAGEMENT
AGENDA ITEM:	14
PAPER NO:	14.1

Date	28 March 2023
Location	Teams
Title of Paper	Health and Safety Update
Presented By	Billy Currie
Recommendation	Noting
Appendix Attached	No
Disclosable Under FOISA	Yes

Read Time: 2 minutes

1. Recommendation

- 1.1 The Board of Management are asked to **note** the contents of this paper.

2. Executive Summary

- 2.1 The paper will show the College remains fully compliant on Health and Safety matters. Focus has been on the safe completion of the UWS co-location works and the further integration of staff and students thereafter.
- 2.2 Health and Safety incidents are stable with no major incidents reported at this stage.

3. Context

3.1 Accidents and First Aid Statistics

The following shows the accident stats logged since the start of the Academic Year.

Month	Total	Dumfries	Stranraer	Offsite
August	11	9	2	0
September	5	2	2	1
October	7	3	4	0
November	3	3	0	0

DUMFRIES AND GALLOWAY COLLEGE

December	2	1	0	1
January	3	2	1	0
February	4	4	0	0
March	2	1	1	0

3.2 Of the above, 3 are reported for staff members. All of those were minor incidents and resulted in 0 lost time.

3.3 Since November 2 incidents have required further medical attention. Both were student incidents, 1 related to existing health condition and 1 as result of an incident at Dumfries Ice Bowl as part of a class.

4 Near Miss Reporting

4.1 The near miss reporting system has recorded the following:

15 near misses reported since September 2022.

Of these, 14 are now fully closed. 1 remains open, this is in the hands of a 3rd party contractor.

4.2 RIDDOR

There have been no reports through the RIDDOR system since the last report. The previously reported RIDDOR for injury to a member of public has now been closed.

5 UWS Project

5.1 The UWS construction phase is now mostly completed with snagging and tidy up works taking place. Contractors are now mostly offsite.

5.2 There have been issues with an incident noted in the Hair and Beauty department which was dealt with via the AKP H&S team (main contractor for UWS build).

5.3 There was also a fire alarm activation caused by works taking place on the site which resulted in a full college evacuation. This was an issue caused by incorrect isolations in place.

5.4 Operational teams are now looking at the staff move and how UWS staff will work with College staff on matters such as first aid and fire marshalling etc.

6 Audit

6.1 The previous audit report has been accepted and entered as completed. No further audits are planned at this stage.

6.2 A programme of internal departmental audits will take place to review implementation of internal measures.

7 Inspections

7.1 A Fire Risk Assessment for both campuses has been ordered for 3rd and 4th April 2023. The report will be issued at the next H&S committee meeting following the inspection.

7.2 All statutory inspections for 2022 were completed. Zurich have begun 2023 inspections as per the Written Schemes of Examination issued on 1st January 2023.

8 Strategic Implications

8.1 This paper is directly linked to Strategic Priority 5, Systems and Infrastructure.

9 Risk

RISK	MITIGATIONS
<i>Risk 12 – Failure to meet regulatory Health and Safety Obligations</i>	<ul style="list-style-type: none"> ➤ Reporting and Review procedure including Near Miss ➤ Health and Safety IOSH training for staff ➤ Specific communication at time of increased risk eg Covid, building works, adverse weather ➤ Clear channels of communication regarding issues and preventative actions.

10 Implications

Financial	Yes	Failure of College H&S processes could lead to financial penalties imposed through actions.
Legal	Yes	Failure of College H&S processes could lead to legal proceedings
Learning and Teaching	Yes	H&S processes ensure the safety of all staff and learners when working in high risk areas.
Equalities	Yes	H&S policies and procedures cover all persons utilising our campuses

William Currie

Director of Estates and Sustainability

20 March 2023