

**FINANCE AND GENERAL PURPOSES COMMITTEE**

**MINUTE OF MEETING HELD ON 14 NOVEMBER 2023 AT 16:00 VIA TEAMS**

<b>Present:</b>		
Richard Nash (Chair)	Joanna Campbell (JC)	Jamie Ross (JR)
Caroline Stuart (CS)	Kate Glendye (KG)	Susan McLellan (SM)
<b>In attendance:</b>		
Karen Hunter (KH)	Douglas Dickson (DD)	Mary Cheetham (note taker)
Joe McGraw (JM)	Lorraine Grierson (LG)	
<b>Apologies:</b>		
Eddie Black (EB)	Claire McLean (CM)	

**1. Welcome and Apologies for Absence | Verbal | Chair R Nash**

- 1.1 The Chair welcomed everyone to the meeting and the meeting was recorded as quorate. Apologies were noted as above.
- 1.2 Declaration of Interests and Connections | Verbal | Chair R Nash
- 1.3 The Chair reminded Members to indicate any declaration of interest or connections as appropriate throughout the course of the meeting.

**FOR APPROVAL**

**2. Minutes of Previous Meetings and Matters Arising**

- 2.1.1 Minute of Meeting 13 September 2023 | Paper 2.1 | Chair R Nash
- 2.1.2 The minutes were approved as an accurate record of the meeting.
- 2.2 Action Log | Paper 2.2 | L. Grierson
- 2.2.1 The Committee noted updates to the Action Log.
- 2.2.2 Action 1 – The condition survey report would now include digital works and completion was expected at the end of the year. This would be brought to the Committee in due course.
- 2.1.3 Item 6... confidential
- 2.1.4 **The Committee noted the Action Log**

## FINANCE AND GENERAL-PURPOSE COMMITTEE

### 3 Item 3 - Strategic Risk Register | Paper 3.1 | L Grierson

3.1 Following review by the Executive Leadership Team the following was noted in relation to Risk 3 and Risk 7: -

- Risk 3 – Failure to Achieve Institutional Sustainability – no change to scoring. “Timely preparation of Management Accounts and forecasts” was added to the front-line Monitoring” and “Oversight of Management Activity Monitoring”.
- Risk 7 – Failure to achieve industrial relations - no change.

3.2 The Committee queried the scoring of Risk 3 and discussed related mitigations and the outcome of the recent Risk Audit. It was suggested that the Risk was more closely related to funding and the high scoring had previously been discussed and supported due to the impact of the limitations of the College’s business model. The college’s 4 year plan supports the impact of funding. One Member advised that the funding risk be acknowledged.

3.3 The Committee supported revisions to the narrative but acknowledged the associated risks of financial sustainability and pay awards.

3.4 **ACTION: - Revision narrative would be provided to Risk 3. LG**

**The Committee approved the risk register with agreed changes.**

## FOR DISCUSSION

### 4 Statutory Accounts – Draft Financial Statements | Paper 4.1 | K. Hunter

4.1 The Chair welcomed comments from attendees in respect of the Statements and the following was noted: -

- The meeting attendance record did not show the attendance for one member of the Committee.
- Narrative relating to the messaging around Transformation (as an ongoing project) was agreed to be included.
- ...
- The property valuation was queried, and the process of valuation was explained. It was acknowledged that the valuation was aligned with SFC requirements and compliance, and KH agreed to update the Accounting Policy to reflect the building valuation at Replacement Cost as a specialised building.
- ...
- RN queried the staff turnover and sickness absence rate of 25% for AY22/23 on headcount and requested that narrative be included to explain the reasons. The Depute Principal explained the 25% turnover on headcount is really high, however this would be due to the VSS, and changes within HR practices with the removal of temporary workers and fixed-term contracts from the operational plan . This was a

## FINANCE AND GENERAL-PURPOSE COMMITTEE

deliberate decision to streamline the establishment, contributing to the elevated turnover numbers, which deviate from past practices.

- The Chair questioned the absence loss of 13 days per FTE, VP People and Transformation confirmed it was a degree of long-term sickness, however an action plan was in place, RN welcomed the context and actions and asked for narrative to be provided to the accounts.
- JR advised he had questions regarding Table 18 on page 16, which were specifically related to provisions for liability and charges behind the pension and what they represent. This and other detailed comments on the statutory accounts will be addressed directly with KH after this meeting.

4.2 **Decision:** Members recommended the Financial Statements for year ended 31 July 2023 for Board of Management approval subject to the feedback above and additional feedback to follow from JR.

4.3 **Action:** KH to update the Accounting Policy re buildings and update the drafts statements as per notes above and JR's comments.

**AE left the meeting and MC joined the meeting at 1630 hrs**

**KG left the meeting at 1638 hrs.**

### 5 Management Accounts - September 2023 | Paper 5.1 | K. Hunter

5.1 Confidential for members.

**JC joined the meeting at 1654hrs.**

5.5 RN voiced concerns about recruitment challenges, emphasising the need to avoid overpromising. DD assured we have the ability to adapt as needed.

5.6 JC emphasised the opportunity for strategic manoeuvring in the long term, particularly in response to the Minister's discussion in parliament regarding the Tri-partite group. This group is examining credit guidance from the SFC, the funding model, delivery methods, and the timeline for decisions impacting the college cycle. The Minister praised the work and observed the potential for replication.

5.7 JC expressed concern about potential disadvantages, highlighting the need to demonstrate that the current funding model creates inequalities.

5.8 ...

5.9 ...

5.10 ...

5.11 **The Committee noted the content of the report.**

### 6 **People and Transformation Update**

#### 6.1 Information Governance Group Update | Paper 6.1 | J. McGraw

6.1.1 The Vice Principal introduced the paper and provided a summary of the following key

## FINANCE AND GENERAL-PURPOSE COMMITTEE

items: -

- Since the last meeting 6 FOI requests have been received and all responded to within the 20-day statutory period. No appeals received.
- The Data Protection and Digital Information Bill is at Public Bill Committee report stage, taking longer than originally thought.
- No data security incidents were reported since the last meeting.
- A Cyber Awareness email awareness campaign for all outlook users had been carried out in October 2023.
- ...

6.1.2 ...

### **6.1.3 The Committee noted the content of the report.**

## **6.2 Estates and Sustainability Update | Paper 6.2 | J. McGraw**

6.2.1 The Vice Principal of People & Transformation introduced the paper, and the following key points were noted: -

- A range of works were carried out in the Academic Year 2022/23 which were aligned to the Colleges strategies. Key elements of the works came in under budget, allowing for additional key projects to take place in summer 2023 aimed directly at the student experience.
- Carbon reporting figures have now been produced in time for the PBCCD report submission in November. The figures show a slight decrease of around 10t CO<sub>2</sub>/e in the calendar year 2022.

6.2.2 RN acknowledged the limited reduction in CO<sub>2</sub>/e, attributing it to increased travel post COVID and expressed concerns about shrinking margins of benefit and the significant challenge of achieving net zero by 2030 given funding restrictions. RN queried exploring possibilities and strategies. JM mentioned that the College will have a peer-to-peer review with UHI to assess and learn from best practices in Carbon funding.

6.2.3 JM highlighted a 5-year net zero plan is being drafted.

6.2.4 Business continuity management review has been underway with Zurich risk management experts. A new infrastructure plan to incorporate digital is in the process of completion and would be brought back to Committee for review.

6.2.4 JM also highlighted a maintenance funding bid of £350K was successfully and the money is to be used for efficiencies.

6.2.5 RN questioned whether any funding had been sought outside of the Government to identify funds to support education establishments to try support smaller projects. A full discussion took place on the various opportunities available including Funder Finder website and the Principal also confirmed she had written to the Chief Executive at D&G Council with regard to Borderlands money.

### **6.2.6 The Committee noted the content of the report.**

## FINANCE AND GENERAL-PURPOSE COMMITTEE

### 7 **Commercial Development & Marketing update | Paper 7.1 | B McMillan**

7.1 Confidential for members.

### 8. **AOCB**

#### 8.1 **Annual accounts' financial statements**

8.2 JR questioned why the annual accounts' financial statements from internal auditors RSM were addressed to a Scottish college but had a London address. There's a suggestion to shift the presentation to a Scottish address for better alignment.

8.3 **Action: KH to raise this point at the Audit Committee**

#### 8.4 **Interest Bearing Account**

8.5 RN requested the Executive Director of Finance to present an overview of the bank interest discussed in the previous meeting. KH provided a brief overview. After consulting with the bank manager regarding an interest-bearing account, it was confirmed as a viable option. KH will verify the interest rate and proceed with approving the business reserve account...

### 9. **Date of the Next Meeting**

9.1 The date of the next meeting is scheduled for 07 March 2024.



**Dumfries and  
Galloway College**

One step ahead

Item 2  
FGP1123-2.2

**Key**  
Ongoing  
Closed  
Overdue

## F&GP COMMITTEE ACTION LOG 14.11.23

No	Meeting Date	Action	Lead	Deadline	Status	Commentary
1	8/6/23	Condition Survey Report A detailed report with 5-year plan to be presented to the Committee.	BC	<del>Sep 23</del> Nov 23	Ongoing	An update has been included in the Estates Annual Report at 3.2 focussing on works for this year (presented to FGP Nov23). However, the Condition Survey Report has been extended to include digital works and so is still in progress.
2	13/9/23	Strategic Risk Register – the descriptive narrative of Risk 7 to be amended.	JM	Oct 23	Closed	Risk descriptor has been updated.
3	13/9/23	KH to research overnight deposits and discuss arrangements with Chair of FGP	KH	Oct 23	Closed	College bankers have confirmed that an automatic transfer is possible, and this is now being actioned.

No	Meeting Date	Action	Lead	Deadline	Status	Commentary
4	13/9/23	KH to update pension valuation assumptions in line with current market conditions and to provide revised management accounts.	KH	Oct 23	Closed	<p>Some detailed figures for variances were incorporated in the management Accounts presented to the Board in October. The format has been updated and the September reports includes additional commentary for variances.</p> <p>An updated valuation has been received showing a surplus of £5,006,000 for the pension valuation which was £375k lower than the original report. KH has updated the accounts to show this, but has applied an 'asset ceiling adjustment' to bring the valuation to nil, which is in line with the Audit Scotland advice.</p>
5	13/9/23	<p>Terms of Reference - KH to check the Strategy name at item 4.1.9 and report back.</p> <p>1.1 Quorum - to be amended to show 4 non-executive members</p>	KH/LG	Sep 23	Closed	<p>Strategy named amended to Growth and Sustainability Strategy</p> <p>Membership amended accordingly.</p>
6	13/9/23	I	JM	Nov 23	Closed	• .
7	13/9/23	ICT Security Policy and ICT Acceptable Use Policy - add a bullet point on page 18 of the Appendix to prohibit the use of IT equipment for any illegal activities. This was agreed.	JM	<del>Oct 23</del>	Closed	Policy has been amended and forwarded to BoM on 2/10/23 for final approval

<b>MEETING</b>	<b>FINANCE AND GENERAL PURPOSES COMMITTEE</b>
<b>AGENDA ITEM:</b>	<b>3</b>
<b>PAPER NO:</b>	<b>FGP-1123-3.1</b>

<b>Date</b>	14 November 2023
<b>Location</b>	MS Teams On-line
<b>Title of Paper</b>	Strategic Risk Register
<b>Presented By</b>	Lorraine Grierson
<b>Recommendation</b>	Approval
<b>Appendix Attached</b>	NO
<b>Disclosable Under FOISA</b>	YES

**Read Time: 3 minutes**

**1. Recommendation**

- 1.1 The Finance and General Purposes Committee are asked to approve the Strategic Risks 3 and 7.



## 2. Executive Summary

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

## 3. Context

3.1. The Principal and Executive Leadership Team routinely review the Strategic Risk Register to reflect the key risks to the College and the mitigations that will be applied to each risk.

3.2. Currently F&GP Committee has 2 risks assigned to it for review and any amendment made to these is noted below:

- Risk 3 – Failure to Achieve Institutional Sustainability – **no change to scoring. Timely preparation of Management Accounts and forecasts added to Front Line Monitoring. SLT added to Oversight of Management Activity Monitoring**
- Risk 7 – Failure to achieve industrial relations - **no changes**

## 4. Strategic Implications

4.1 This paper links into the following strategic priorities: Priority 2 – People and culture, Priority 4 – Growth and Financial Sustainability

## 5. Risk

Risk	Mitigations
Risk 3 and Risk 7	Paperwork attached for reference.

## 6. Implications

<b>Financial</b>	Yes	The College is required to achieve a balanced budget position on an annual basis. Financial loss due to industrial action.
<b>Legal</b>	Yes	Failure could result in insolvency, reputational damage and industrial action.
<b>Learning and Teaching</b>	Yes	Challenges to deliver on the objectives set out in the Regional Outcome Agreement (ROA). Challenges re sustainability of course offerings and impact on industrial action to learning.
<b>Equalities</b>	No	

**L Grierson**

Secretary to the Board

November 2023

**STRATEGIC RISK REGISTER UPDATE F&G COMMITTEE – NOV 23**

RISK DEFINITION		ORIGINAL TASK				RESIDUAL RISK					
No	Risk	Likelihood	Impact	Total	Risk Level	Likelihood	Impact	Total	Risk Level	Risk Appetite	Trend
<b>Responsible Person - VP Finance and Commercial Services</b>											
3	Failure to achieve institutional sustainability (F&GP)										
		4	5	20		4	5	20		Cautious	=
<b>Responsible Person – VP People and Transformation</b>											
7	Failure to achieve effective Industrial Relations (F&GP)										
		5	4	20		5	3	15		Cautious	=

KEY: ASSESSMENT OF RISKS

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

Risk Score Matrix Impact	5	10	15	20	25
	4	8	12	16	20
	3	6	9	12	15
	2	4	6	8	10
	1	2	3	4	5
	Likelihood				

# DUMFRIES AND GALLOWAY COLLEGE

## Strategic Objective: Risk No: 3 Financial Sustainability

Reference to Departmental Risk Registers:	Financial
Owner:	Executive Director Finance and Planning
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	<b>Major Risk</b>				

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

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

## Strategic Risk Register

What is the predicted <b>LIKELIHOOD</b> of the risk occurring?	(A) 4/5	What is the predicted <b>IMPACT</b> of the risk?	(B) 5/5	What is the total risk score? (A x B)	20/25
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<b>Risk Status</b>	<b>Meeting 1 SIG</b>	<b>Meeting 2 SIG</b>	<b>Meeting 3</b>	<b>Meeting 4</b>
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MEETING	AMENDMENTS TO RECORD
Q1	No change by Owner
Q2	Timely preparation of Management Accounts and forecasts added to Front Line Monitoring. SLT added to Oversight of Management Activity Monitoring
Q3	
Q4	

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

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

<b>Reference to Departmental Risk Registers:</b>	Organisational
<b>Owner:</b>	Vice Principal People and Transformation.
<b>Description of the Risk:</b>	Failure to achieve effective Industrial Relations through local dialogue/relationships and effect of national campaigns from trade unions
<b>What are the possible consequences if the risk was to emerge?</b>	Financial loss, impact to ability to effectively teach, industrial action, action short of strike action (ASOS), loss of reputation.

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

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

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

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

## Strategic Risk Register

What is the predicted <b>LIKELIHOOD</b> of the risk occurring?	(A) 5/5	What is the predicted <b>IMPACT</b> of the risk?	(B) 3/5	What is the total risk score? (A x B)	15/25
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<b>Risk Status</b>	<b>Meeting 1 SIG</b>	<b>Meeting 2 SIG</b>	<b>Meeting 3</b>	<b>Meeting 4</b>
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MEETING	AMENDMENTS TO RECORD
<b>Q1</b>	<p>No changes from Owner.</p> <p>FGP asked for the description and consequences to be amended as below:</p> <ul style="list-style-type: none"> <li>• Failure to achieve effective Industrial Relations through local dialogue/relationships and effect of national campaigns from trade unions.</li> <li>• Consequences: Financial loss, impact to ability to effectively teach, industrial action, action short of strike action (ASOS), loss of reputation.</li> </ul>
<b>Q2</b>	No changes from Owner.
<b>Q3</b>	
<b>Q4</b>	

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

<b>MEETING</b>	<b>FINANCE &amp; GENERAL-PURPOSE COMMITTEE</b>
<b>Agenda Item:</b>	<b>6.1</b>
<b>Paper No:</b>	<b>FGP1123-6.1</b>

<b>Date</b>	14/11/2023
<b>Location</b>	MS Teams On-line
<b>Title of Paper</b>	Information Governance Group Update
<b>Presented By</b>	Joe McGraw
<b>Recommendation</b>	<b>Discussion</b>
<b>Appendix Attached</b>	NO
<b>Disclosable Under FOISA</b>	Part

**Read Time: 6 minutes.**

**1. Recommendation**

- 1.1 The Finance and General Purposes Committee are asked to discuss the contents of this paper.

## 2. Executive Summary

- 2.1 Since the last meeting 6 FOI requests have been received and all responded to within the 20-day maximum period.
- 2.2 Data Protection and Digital Information Bill at Public Bill Committee report stage.
- 2.3 Since the last meeting there have not been any Data security incidents.
- 2.4 Email campaign around Cyber Awareness Month in October 2023 has been undertaken.

## 3. Context

### 3.1 Freedom of Information Requests

- 3.1.1 It was reported that since the last meeting 6 FOI requests have been received and responded to within the statutory 20 working days. No appeals were received.
- 3.1.2 Data for the July-September period is being prepared and sent to the Scottish Information Office.
- 3.1.3 The volume of FOI requests has remained consistent.
- 3.1.4 FOI final approval for the College has been confirmed as remaining with Douglas Dickson, (Depute Principal).

### 3.2 Data Protection/GDPR

- 3.2.1 The Data Protection and Digital Information (No.2) Bill. This bill has been introduced to parliament and is still currently at Public Bill Committee report stage. The progress of the bill has slowed slightly from the intended completion of the report stage.
- 3.2.2 The Data protection Sharing procedure was reviewed and approved by the Information Governance Group. The applies when the College retains control over how the personal data in scope is processed. This procedure covers information sharing on a routine or on an ad-hoc or occasional basis, and situations in which the College has relationships with organisations who provide services to it, or who deliver services on its behalf involving personal data.
- 3.2.3 The “UK Data Bridge” – the UK has passed the Data Protection (Adequacy) (United States of America) Regulations 2023. This will come into effect on 12 October 2023. It is an extension of the EU-US Data Privacy Framework adopted in July 2023, known as a “UK Data Bridge”. Where companies are signed up to the framework, personal data may be transferred from the UK to the US without further safeguards being in place. There will no longer be the need for the exporter to have entered into an International Data Transfer Agreement (IDTA) and to have done a transfer risk assessment.

### 3.3 Privacy Notices

- 3.3.1 Privacy notices are produced to reflect new data processing activity, are frequently updated and can be found on the College’s website.
- 3.3.2 Minor amendments were made to the following privacy notices: The ‘Ask Colin’ system (FAQ section on the website, if people Need to ask a question or to find out more information)



3.4 Data Subject Rights Requests and Concerns

3.4.1 The Data Protection Team advised and redacted documentation in relation to a request for information received from a solicitor by the Commercial team. It has also provided advice to Student records in relation to a court order. Additional actions which can be taken to prevent further risks and issues arising are identified and actioned.

3.5 Data Security Incidents and Personal Data Breaches

3.5.1 There have been no incidents reported in the period since August 2023.

3.6 Staff Training

3.6.1 Further training materials are being developed for managers with LearnNet as the preferred mode of delivery. The data protection section of AdminNet is kept up to date with updated news items and top tips for good practice on an ongoing basis.

3.7 Data Sharing Agreements

3.7.1 The Data Protection Team will be beginning a process to review the College's Data Sharing Agreements. Advice was provided concerning the Highlands and Islands Enterprise Green Grant Fund Data Sharing Agreement.

3.8 Cyber Update

3.8.1 No significant incidents had been reported since the last meeting ...

3.8.2 .....

3.8.3 Additional staff training around Cyber will take place annually and communications are rolled out to highlight Cyber Awareness Month in October 2023.

3.8.4 ...

3.9 Policy and Procedure

3.9.1 The Data Protection Team and Performance Team have been updating data protection, policies and procedures and making them available to staff. The following documents have now been issued under document control. They were posted within the Performance Section of AdminNet in September/October:

- Data Protection Data Subject Rights Procedure (new) (this replaces the Subject Access Rights Procedure)
- Data Protection Privacy Notice Procedure (new)
- Data Protection Police Enquiries Procedure (revised) - (this replaces the Data Protection Guidance on Police Enquiries document)
- Data Protection Data Sharing Procedure (new)
- Data Protection Personal Data Breach Procedure (revised - this replaces the Data Breach Procedure)

**4. Strategic Implications**

4.1 This paper is linked to Strategic Priority 2 - People and Culture, and Strategic Priority 5 - Systems and Infrastructure.

**5. Risk**

Risk	Mitigations
Penalties or enforcement action by the ICO, reputational damage, litigation	<ul style="list-style-type: none"> <li>➤ Strong data protection framework in place</li> <li>➤ Technical and organisational controls</li> <li>➤ Strong incident response focused on containment, mitigation and learning lessons from incidents</li> </ul>
11 – Failure to achieve and maintain systems and operable and secure ICT	<ul style="list-style-type: none"> <li>➤ Documented disaster recovery procedures.</li> <li>➤ Cyber Incident disaster recovery plan and training.</li> <li>➤ Staff CPD on business continuity areas including Cyber security.</li> <li>➤ Firewalls and antivirus software in place.</li> <li>➤ Regular internal review of security measures and action around areas of concern</li> <li>➤ Regular cyber/phishing exercises.</li> <li>➤ CISO (Chief Information Security Officer) service in place through HEFESTIS.</li> </ul>

**6. Implications**

<b>Financial</b>	No	No direct financial implications
<b>Legal</b>	Yes	Compliance with UK GDPR and the Data Protection Act 2018 (DPA 2018) and the Privacy and Electronic Communications Regulation 2003 (PECR 2003).
<b>Learning and Teaching</b>	No	No direct Learning and Teaching implications.
<b>Equalities</b>	No	No direct Equalities implications.

**Joe McGraw**

Vice Principal People & Transformation

September 2023

<b>MEETING</b>	<b>FINANCE AND GENERAL PURPOSES COMMITTEE</b>
<b>Agenda Item:</b>	<b>6</b>
<b>Paper No:</b>	<b>F&amp;GP1123-6.2</b>
<b>Date</b>	14 November 2023
<b>Location</b>	MS Teams
<b>Title of Paper</b>	Estates Report 2023
<b>Presented By</b>	Billy Currie
<b>Recommendation</b>	Discussion
<b>Appendix Attached</b>	NO
<b>Disclosable Under FOISA</b>	YES

Read Time: 30 minutes

**1. Recommendation**

- 1.1 The Finance and General Purposes Committee are asked to note the contents of this paper.

## 2. Executive Summary

- 2.1 A range of works were carried out in the Academic Year 2022/23 which were aligned to the Colleges strategies as well as addressing matter arising from the Estates conditions surveys.
- 2.2 Key elements of the works came in under budget, allowing for additional key projects to take place in summer 2023 aimed directly at the student experience.
- 2.3 Carbon reporting figures have now been produced in time for the PBCCD report submission in November. The figures show a slight decrease of around 10t CO2/e in the calendar year 2022.

## 3. Context

### 3.1 Estates Work 2022/23

- 3.1.1 In the Estates update in November 2022 a range of works were listed as priority works for the Academic Year. The table below will provide an update on these works:

Works	Campus	Status
Roofing repairs on level 2 of Dumfries Campus	Dumfries	Complete
Remedial internal works on level 2 HR and Quality	Dumfries	Complete
Car park - replace EV chargers	Dumfries	Complete
Car Park - Dumfries. Running repairs/New signage/removal of centre bays	Dumfries	Complete
Lighting revamp - LED lighting	Dumfries	Deferred
Stranraer Campus - Aesthetics works	Stranraer	Complete
CCTV	Both	Complete

- 3.1.2 Of the above works, the roofing repairs and remedial internal works were identified on the Condition survey as immediate actions. These have now been fully resolved and signed off following a period of monitoring.

- 3.1.3 Due to key works, namely roofing repairs, coming in significantly under budget further works were identified and addressed across the Estate as per the following:

Works	Campus	Status
Concrete slab to external area to allow additional construction teaching space	Dumfries	Complete
Floor painting in workshops 0019, 0028,0029, 0037	Dumfries	Complete
Electrical booths refresh in 0028 and 0029	Dumfries	Complete
Furniture refresh for Engineering classrooms and level 1 classrooms(x4)	Dumfries	Complete

3.1.4 By carrying out additional works this helped present a positive start to the new Academic Year. This has allowed for a focus on other works to take place and a view to future planning for similar works over coming years.

### 3.2 Estates Planning

3.2.1 A 5-year Estates plan has been drafted and discussed at Senior Leadership. From the meeting it was agreed to widen the scope of the action plan to become a 5 Year Infrastructure Plan, incorporating Digital projects to provide a full view of works and capital required.

3.2.2 Work continues on this, with the Digital team actively working on pulling the information together to allow a redraft of the plan to be completed before the Christmas break.

3.2.3 Estates have utilised the information already in the plan to begin improvements for Academic Year 23/24

### 3.3 Works for 2023/24

3.3.1 The following will highlight key works to take place within the Academic Year 23/24:

Works	Campus	Status
Fire, Intruder and CCTV systems overhaul	Dumfries (full) and Stranraer (in part)	In progress, funding in place (see 3.4)
Flooring upgrades on Level 0, Costa, Level 2 Office Corridor and 2089/lift area	Dumfries	Scope issued to contractors
Building cladding clean	Dumfries	Tender prepared
Learning Estate refresh	Dumfries and Stranraer	In discussion to identify areas for improvement

3.3.2 The above works have been included in budget planning for this year and have been set as immediate priorities based on the Condition Survey and the Student Experience.

### 3.4 Priority Maintenance Funding

3.4.1 In June 2023 Scottish Funding Council announced the availability of ring-fenced funding for High Priority Maintenance requests, particularly those with immediate Health and Safety implications. The funding available totalled £4.6m

3.4.2 The College submitted an application for a total of £350k from the allocation and, in October, was informed that the application was successful.

3.4.3 These works were high priority on the Condition Survey and as such had been included on the plan for 23/24. It would be noted though that, with limited internal budget, the works would have been limited to minor upgrade/refresh where possible.

3.4.4 The outcome of the successful means the College can now fully upgrade the Dumfries fire detection system, intruder system and CCTV at both Dumfries and Stranraer immediately. The provision of new systems will provide a more modern, suitable and reliable system designed to meet the long terms usage needs of the College.

### 3.5 Carbon Management

3.5.1 As part of the Colleges climate reporting duties, the Public Bodies Climate Change Duties report is compiled ready for submission in November each year.

3.5.2 The report is at the stage where it will be reviewed by sectors peers in 1-1 and group session prior to any final changes being made ahead of the submission deadline.

3.5.3 The report has given the figures for this year which will be shown in the following table, with previous years in for comparison:

Reference year	Year	Year type	Scope 1	Scope 2	Scope 3	Total	Units
Baseline Year	2014/15	Calendar	315	870	136	1,321	tCO <sub>2</sub> e
Year 1 carbon footprint	2015/16	Calendar	324	762	115	1,201	tCO <sub>2</sub> e
Year 2 carbon footprint	2016/17	Calendar	365	726	114	1,205	tCO <sub>2</sub> e
Year 3 carbon footprint	2017/18	Calendar	338	591	83	1,012	tCO <sub>2</sub> e
Year 4 carbon footprint	2018/19	Calendar	402	485	66	952	tCO <sub>2</sub> e
Year 5 carbon footprint	2019/20	Calendar	445	410	51	906	tCO <sub>2</sub> e
Year 6 carbon footprint	2020/21	Calendar	326	283	81	690	tCO <sub>2</sub> e
Year 7 carbon footprint	2021/22	Calendar	343	273	72	688	tCO <sub>2</sub> e
Year 8 carbon footprint	2022/23	Calendar	379.90	268.43	30.46	678.79	tCO <sub>2</sub> e

3.5.4 The table shows a further reduction in calendar year 2022 of 10tCO<sub>2</sub>e. The main reduction is in our scope 3 emissions, namely the impact of remote working. There has been a very slight decrease in the use of natural gas across the estate however electricity use has again increased. This can be linked to the introduction of the AIMS project which does utilise heavier machinery which draws higher energy usage.

3.5.5 The College has now completed Net Zero surveys for both Dumfries and Stranraer. These have been compiled in partnership with Faithful and Gould as well as the Carbon Futures Trust.

3.5.6 These reports have been viewed and will be utilised to provide input into the 5-year plans moving forward.

3.5.7 For this Academic Year, a funding application of £2.5m has been submitted to the Scottish Governments Energy Efficiency Grant Scheme to allow the College to carry out 2 major projects as follows:

- LED light fit out. Replace all lights across the Estate with energy efficient LED lighting and suitable controls. Impact will be the reduction of electricity use across the Estate.
- Heating and Hot Water upgrades: Replace the heating and hot water systems at Dumfries campus with a low carbon alternative. Impact will be the removal of reliance on natural gas to power the 5 x boilers utilised to provide heat and hot water in the Dumfries Campus.

3.5.8 If the application is successful, the College will move immediately to procure services with a view to project implementation in early 2024.

### 3.6 Business Continuity Management

3.6.1 Since March 2023 work has been underway to redesign the Colleges approach to Business Continuity Management.

3.6.2 With the support of Zurich, our risk management experts, a new framework has been drafted which will provide clear guidance and process to follow in the event of an incident which may affect College business.

3.6.3 The framework identifies key responsibilities and as such a training workshop was run by Zurich onsite on Tuesday 31<sup>st</sup> October. The purpose of the workshop was to help key areas carry out impact analysis work which will then aid the creation of departmental action plans.

3.6.4 From the workshops, the departmental plans will be worked up and included in the new framework. It is envisaged that the framework will begin to make its way to relevant committees in January 2024.

### 3.7 Catering Services

3.7.1 Following a successful tender, Aramark were again awarded the catering services provision for a period of 5 years from 1<sup>st</sup> August 2023.

3.7.2 The catering services tender takes around 18 months to complete, using resource from Estates and Finance alongside colleagues from APUC.

3.7.3 Due to previous learnings, the tender for this service was a more efficient process with no requirement to call on external legal services. This resulted in a cost saving compared to previous tenders.

## 4. **Strategic Implications**

4.1 This paper is directly linked to Strategic Priority 5, Systems and Infrastructure. Further links to Priority 4, Finance and Performance.

## 5. **Risk**

Risk	Mitigations
Risk 3 - Failure to achieve institutional sustainability	Utilising external funding to carry out improvement works
Risk 10- Failure to achieve and effective student experience	Ensure suitable works are identified with L&T colleagues aimed directly at enhancing the on-campus student experience
Risk 12 – Failure to meet regulatory Health and Safety Obligations	Reporting and Review procedure including Near Miss Health and Safety IOSH training for staff Specific communication at time of increased risk eg Covid,

	<p>building works, adverse weather</p> <p>Clear channels of communication regarding issues and preventative actions.</p>
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## 6. Implications

Financial	No	<p>Continued investment required in estates projects each year to ensure building and facilities are kept in operational condition.</p> <p>External funding eases the pressure on College budgets in 23/24</p>
Legal	No	The College must meet statutory requirements in terms of Estates provision.
Learning and Teaching	No	Estates provision directly affects the provision of high quality learning and teaching
Equalities	No	The College estate must always be suitable for all users.

### **Billy Currie**

Director of Estates & Sustainability

1 November 2023.